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U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

**FS029 - Directory**

**File Specifications**

**SY 2017-18**

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**U.S. Department of Education**

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DOCUMENT CONTROL

DOCUMENT INFORMATION

|  |  |
| --- | --- |
| **Title:** | FS029 – Directory File Specifications |
| **Security Level:** | Unclassified – For Official Use Only |

DOCUMENT HISTORY

|  |  |  |
| --- | --- | --- |
| **Version Number** | **Date** | **Summary of Change** |
| 1.0 – 13.0 |  | Versions 1.0 through 13.0 are used to build files for school years prior to SY 2017-18. |
| 14.0 | July 2017 | Updated for SY 2017-18:   * Editorial updates throughout (e.g., changed “Zip” to “ZIP.”) * Throughout – Moved DG 669 Out of state indicator from descriptive information to contact information to match Attachment B-2 * Section 2.4.1.6 and table D.2.3-1- Revised DG 551 definition by deleting “or similar entity by the state.” * Tables 2.4.3.3-1 and D.2.3-1– Revised LEA type descriptions to match exactly to Attachment B-2 * Tables 2.4.3.4-1 and D.3.3-1– Revised school type descriptions to match exactly to Attachment B-2 * Appendix D – In D.2.3-1 (LEA) and D.3.3-1 (School), revised codes used in Pop Column to clarify when data elements are required * Removed Appendix E on XML File Specifications |
| 14.1 | September 2017 | * Revised DG804 name to "Charter authorizer identifier (state)" * Added a Tech Tip under section 2.4.3.4 |
| 14.2 | February 2019 | * Section 4.5: Explained maximum value for the operational status Effective Date |

PREFACE

This document provides technical instructions for building files that are submitted through the ED*Facts* Submission System (ESS). The ESS is an electronic system that facilitates the efficient and timely transmission of data from SEAs to the U.S. Department of Education.

This document is to be used in coordination with other documentation posted on the [ED*Facts* Initiative Home Page](https://www2.ed.gov/about/inits/ed/edfacts/index.html) under ED*Facts* System Documentation, including:

* ED*Facts* Workbook – a reference guide to using the ED*Facts* Submission System (ESS); particularly useful to new users; contains multiple appendices, including one that explains how to use the file specifications
* ESS User Guide – provides assistance to new users of the ED*Facts* Submission System (ESS); it addresses the basic mechanics of system access and data submission
* ED*Facts* Business Rules Guide – describes each business rule, including the error number, type, message, definition, edit logic, and the file specifications where the business rules are applied

Please contact the Partner Support Center (PSC) with questions about the documents. You will find contact information for PSC and each State ED*Facts* Coordinator on the [ED*Facts* Contact Page](http://www2.ed.gov/about/inits/ed/edfacts/eden/contacts.html).

Data submitted through the ESS are authorized by an Annual Mandatory Collection of Elementary and Secondary Education Data Through ED*Facts* (OMB 1850-0925, expires 6/30/2020). ED*Facts* is a U.S. Department of Education (ED) initiative to govern, acquire, validate, and use high-quality, kindergarten through grade 12 (K–12) performance data for education planning, policymaking, and management and budget decision-making to improve outcomes for students. ED*Facts* centralizes data provided by SEAs, LEAs and schools, and provides users with the ability to easily analyze and report data. This initiative has significantly reduced the reporting burden for state and local data producers, and has streamlined data collection, analysis and reporting functions at the federal, state and local levels.

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# PURPOSE

The purpose of the Directory is to identify all governmental entities providing publicly-funded education at the elementary and secondary levels. It serves as the basis of official statistics that provides information on the condition of education.

This document contains technical instructions for building fixed, delimited and XML files used to submit the Directory for each education level.

The Directory is a unique file. Therefore, the Directory file specification document is slightly different from the other file specifications documents.

Section 2.1 – Explains changes from the prior year, the same as all other file specification documents

Section 2.2 – Explains the requirements for submitting the Directory. This section is formatted differently than other file specifications

Section 2.3 – Briefly explains the types of errors that can occur with Directory files

Section 2.4 – Provides guidance on the directory data and is organized by the content areas of directory data:

* Unique identifiers
* Contact information
* Descriptive information
* Charters
* Explanations

Section 3.0 – Explains the naming convention and the coding for the population status column in the record layout, the same as all other file specifications

Section 4.0 – Provides guidance on common reporting situations, including changing state identifiers, schools changing LEAs, mergers, and updating operational status

In addition, this document contains several appendices:

Appendix A – Contains the state abbreviations and codes

Appendix B – Contains recommended abbreviations for entity names

Appendix C – Explains the connection between current year and previous year operational statuses

Appendix D – Contains information pertaining to submitting fixed or delimited files

* Section D.1 – Contains the record layouts and examples for SEA files
* Section D.2 – Contains the record layouts and examples for LEA files
* Section D.3 – Contains the record layouts and examples for school files

Throughout this document, technical hints are available, such as:

**Tech Tip!** In the ED*Facts* Reporting System, EDEN017 is an extract of the school level directory. EDEN028 is an extract of the LEA level Directory.

Also, boxes that explain how the data submitted through the directory impacts ESS have also been added, such as:

**Did you know?** A Directory record must exist in ESS for every school and LEA prior to submitting any other data. If a Directory record does not exist, all other ESS data submissions for that educational entity will fail. **Therefore, the LEA and school Directory files must be the first files submitted for each school year for those levels.**

The directory is the cornerstone of your ESS submissions. Therefore, it is encouraged that you review this entire document before submitting the Directory file for SY 2017-18.

It is also encouraged that you review Attachment B-2 Directory Records for the ED*Facts* Data Set. Attachment B-2 of the ED*Facts* Paperwork Clearance Package includes an explanation of the directory.  [Attachment B-2](http://www.reginfo.gov/public/do/PRAViewIC?ref_nbr=201507-1850-001&icID=217323) can be found on reginfo.gov.

The ED data stewarding office for all data groups in this file is ED*Facts,* except for the following data groups for which OII – Charter is the steward:

* Charter LEA Status (DG653)
* Charter Status (DG27)
* ***Revised!*** Charter Authorizer Identifier (State) (DG 804)

# GUIDANCE FOR SUBMITTING THIS FILE

This section contains changes from the previous school year and guidance for submitting this year’s file.

## Changes from the SY 2016-17 File Specification

Other than any editorial changes listed in the document history on page ii, there have been no other changes to this file specification.

## Requirements for Submitting the Directory

An accurate directory must exist for every state at the SEA, LEA and school levels. The directory data for the LEA and school levels are school-year specific and will not roll over from the previous school year. To assist you with your submission, the ED*Facts* Reporting System has an extract report available to provide you with your previous LEA or school level directory.

SEA

* The Directory file is submitted only if the SEA directory data changed.
* The directory data from the previous year is rolled over if a new Directory file is not submitted.
* Updates to the SEA Directory file can be processed on an as-needed basis.

LEA

* The entire LEA Directory must be submitted for each school year.
* The LEA Directory file must be submitted before the school Directory file is submitted.
* Records on supervisory unions must be submitted in a first LEA Directory file, which must be processed before records on component LEAs are submitted in a second LEA Directory file.

School

* The entire school directory must be submitted for each school year.
* The school Directory file must be submitted after the LEA Directory file is submitted.

**Did You Know?** Each year NCES “locks” their published directory for the CCD collection. While SEAs can make changes to the directory in ESS after the directory is “locked” for CCD, those changes will not affect the published CCD file and could have unanticipated consequences. As a result, SEAs should inform PSC before making changes to a prior year directory. To better understand the impact of your prior year submission update, contact PSC.

## Errors with Directory Files

This section briefly describes the types of errors that can occur with Directory files.

**Table 2.3-1: Error Types**

|  |  |
| --- | --- |
| **Error Type** | **Description of Error** |
| Format error | Format edits take place when the file is first submitted to ESS. A format edit is a check that determines whether the file conforms to the record layouts described in sections D/E.1, D/E.2, and D/E.3. Format errors are the most serious error type and prevent any further processing of the file. Format errors require that the file be corrected and resubmitted. |
| Validation error | Validation edits take place while the file is still in the ESS. A validation edit is a check to determine whether the values in a field are included in the permitted values column of the tables in sections D/E.1, D/E.2, and D/E.3. A value that fails the edit check is always incorrect. A file with validation errors will not be transferred to the staging database. The SEA must correct the data values and resubmit the entire file before processing can continue. |
| Match error | Match edits take place once the file is in the staging database. These edits ensure that directory entries are consistent with the directory for the previous school year. Match edits mimic edits formerly conducted by CCD and appear on the Match Error Report (Submission Error Reports, Reports tab). These edits are critical to the functioning of the directory, and, therefore must be corrected. The SEA should correct all match errors before addressing other submission edits. |
| Submission errors and warnings | Submission edits take place when the file is in the staging database and help to ensure that submitted data meet an acceptable level of reasonability. Submission edits check the values entered in one field against other similar values in the same file or across files. For the Directory file, these checks appear on the State, Agency, or School Edit Reports, but not the Match Error Reports. If a discrepancy is found (e.g., a value falls outside of the acceptable range), a submission error or warning is issued. Discrepancies are categorized as either errors (urgent) or warnings (less urgent) depending on their level of significance and the urgency with which corrections need to be made. Errors must be corrected. States should investigate warnings and either correct the data or provide an explanation. Keep in mind that providing an explanation will not remove the warning from the error report. |

## Guidance

This section describes the data submitted for the directory. Directory data can be organized into five content areas: unique identifiers, contact information, descriptive information, charters and explanations. The table below identifies the data groups submitted for each level of the directory.

**Table 2.4-1: Data Groups in the Directory by Education Level and Type – Unique Identifiers**

| **SEA** | **LEA** | **School** |
| --- | --- | --- |
| **DG# Name of data group** | **DG# Name of data group** | **DG# Name of data group** |
| 559 State code | 559 State code | 559 State code |
| 7 Education entity name | 7 Education entity name | 7 Education entity name |
| 570 State agency number | 570 State agency number | 570 State agency number |
|  | 551 Supervisory union identification number |  |
|  | 4 LEA identifier (state) | 4 LEA identifier (state) |
|  | 1 LEA identifier (NCES) | 1 LEA identifier (NCES) |
|  |  | 5 School identifier (state) |
|  |  | 529 School identifier (NCES) |

**Table 2.4-2: Data Groups in the Directory by Education Level and Type – Contact Information**

| **SEA** | **LEA** | **School** |
| --- | --- | --- |
| **DG# Name of data group** | **DG# Name of data group** | **DG# Name of data group** |
| 8 Address mailing | 8 Address mailing | 8 Address mailing |
| 9 Address location | 9 Address location | 9 Address location |
| 10 Telephone - education entity | 10 Telephone - education entity | 10 Telephone - education entity |
| 11 Web site address | 11 Web site address | 11 Web site address |
| 458 Chief state school officer  contact information |  |  |
|  | 669 Out of state indicator | 669 Out of state indicator |

**Table 2.4-3: Data Groups in the Directory by Education Level and Type – Descriptive Information**

|  |  |  |
| --- | --- | --- |
| **SEA** | **LEA** | **School** |
| **DG# Name of data group** | **DG# Name of data group** | **DG# Name of data group** |
|  | 16 Operational status - LEA   * School Year Start * Updated[[1]](#footnote-1) | 531 Operational status - school   * School Year Start * Updated1 |
|  | 571 Effective Date | 571 Effective Date |
|  | 453 Local education agency (LEA) type | 21 School type |
|  |  | 743 Reconstituted status |

**Table 2.4-4: Data Groups in the Directory by Education Level and Type – Charter Information**

|  |  |  |
| --- | --- | --- |
| **SEA** | **LEA** | **School** |
| **DG# Name of data group** | **DG# Name of data group** | **DG# Name of data group** |
|  | 653 Charter LEA status | 27 Charter status |
|  |  | 804 Charter authorizer identifier (state)  ***Revised!*** |

In addition to unique identifiers, contact information, descriptive information and charter information, explanations may be included in Directory files.

### Unique Identifiers

The unique identifiers are identifiers and names. Care should be taken to validate identifiers since the leading causes of duplicate LEAs and schools are submitting an incorrect NCES ID with an updated state ID and adding or removing leading zeros in state IDs and NCES IDs.

#### State Code (DG559)

Definition - The two-digit American National Standards Institute (ANSI) code for the state, District of Columbia, and the outlying areas and freely associated areas of the United States.

Appendix A contains a list of the State Codes.

**Did You Know?** State Codes are used to identify each state’s data. Therefore, the State Codes must be accurate on every file or you will get a validation error.

#### Education Entity Name (DG7)

Definition - The full registered name of the school, LEA, SEA, or other entity reporting education data.

Abbreviations should not be used if the full name can be entered in 60 characters. If the name is longer than 60 characters, it will need to be abbreviated. Appendix B contains a list of recommended abbreviations.

The primary identifiers—NCES and state identifiers—are used in combination with the education unit name and addresses to identify duplicates. It is imperative that each education unit be included only once in the database.

To avoid confusion,

* Report the LEA name differently from any school names associated with the LEA. For example, add the word “Agency” to the LEA.
* Include the types of grades served in the school name. For example, “Jones School” should be specified as “Jones Elementary School,” “Jones Middle School,” or “Jones High School.”

**Did You Know?** Names are used in the edit checks to identify duplicates.  Therefore, it is important that names are unique.

* LEA names must be unique within the state.
* School names must be unique within the LEA.

**Note:** Cases of duplication that existed prior to SY 2016-17 will not trigger an error.

#### State Agency Number (DG570)

Definition - A number used to uniquely identify state agencies.

The State Agency number is assigned by ESS and the only valid value currently available is “01” for the SEA. This ID cannot be updated through this file.

The directory data for the SEA is the directory data for the state agency that administers the ESEA programs. Other state agencies may be involved in “coordinating and supervising public elementary and secondary instruction.” For example, a different state agency may administer the programs under the Carl D. Perkins Career and Technical Education Act of 2006. In this case, the directory data are still the directory data of the SEA even though the files submitted that contain data for programs under Carl D. Perkins Career and Technical Education Act of 2006 are provided by the other state agency.

#### LEA Identifier (State) (DG4) and School Identifier (State) (DG5)

Definition DG4 - The identifier assigned to an LEA by the SEA. Also known as State LEA Identification Number (ID).

Definition DG5 - The identifier assigned to a school by the SEA. Also known as State School Identification Number (ID).

State identifiers submitted to ESS must be consistent across submissions and levels since they are used to connect the data submitted.

The directory allows changes to a state ID through the use of a new state identifier and a prior state identifier. ED*Facts* associates the institution with the new state identifier as of the supplied effective date. Regardless of any effective dates specified in the submitted file, a Directory file will only affect data for the SY specified in the header. For example, submitting a change using a SY 2014-15 (i.e., version11.x) Directory file will only affect data for SY 2014-15. To make the change in a different SY requires that the change be submitted in a file specifically for that SY.

**Did you know?** In the ESS database, state identifiers are the primary keys. This means that the state identifiers are used to uniquely identify the education entities and connect all the data about the entity together. State LEA identifiers are also used to connect schools to their LEAs. Therefore, the State LEA identifier must be unique within the state and the State school identifier must be unique within the LEA.

**Tech Tip!** Because the fields for the state identifiers are alphanumeric, ESS views the identifier “0011” as different from “11.” If a state submitted records for an LEA or school where some records use “0011” and other use “11,” the ESS database won’t link the two and will instead create two records. SEAs must be consistent about the use of leading zeros on LEA and school identifiers.

• If a state includes leading zeros in the IDs, then the state must always use leading zeros in its IDs.

• If a state does not include leading zeros in the IDs, then the state can never use leading zeros in its IDs.

#### LEA Identifier (NCES) (DG1) and School Identifier (NCES) (DG529)

Definition DG1 - The seven-digit unique identifier assigned to the LEA by NCES. Also known as NCES LEA ID.

The first two digits of the LEA identifier (NCES) are the 2–digit State Code and the last five digits are unique within the state.

Definition DG529 – The twelve-digit unique identifier assigned to the school by NCES. Also known as NCES School ID.

The NCES identifier for a school is five digits that are unique within each LEA and within the state. The seven digit LEA identifier and the five digit school identifier are merged together to make a unique 12 digit identifier. In the school directory file, the field for school identifier (NCES) is only for the unique 5 digits for the school.

|  |
| --- |
| **Did You Know?** Having the 12 digit unique identifier broken down into the LEA and School identifiers provides the ability to move schools between LEAs and properly assign new NCES IDs. |

An incomplete NCES identifier will result in a validation error, that is, the file will not be processed.

**Tech Tip!** If you inadvertently submit an incorrect NCES identifier, contact PSC. They will arrange for a correction in the database. Incorrect NCES identifiers cannot be corrected by you.

All schools and LEAs must have NCES identifiers in the Directory file UNLESS the school or LEA has one of the following start of school year statuses:

* New (if not Future in the prior year)
* Added
* Future (only in the first year)

For schools, the NCES LEA identifier (DG1) must be included in the file.

The system will generate an ID for new (if not Future in the prior year), added, and future (in the first year) schools and LEAs. You can retrieve all of the new NCES IDs by going to the Agency New-Added-Future tab of the Match Error Report, which is found on the Reports tab of the Submission Error Report in ESS. You can also retrieve the new NCES ID for a single LEA or school by looking up the new LEA or school in the Education Unit Profile of ESS.

**Tech Tip!** If a state identifies an existing school or LEA that has not previously been reported to ESS, the state should report the school or LEA with an operational status of “Added” the first time the school or LEA is added to the Directory. Schools or LEAs reported as “Added” will be assigned an NCES ID number. If the school or LEA is reported as “Open” it will generate an error on the Match Error Report since the school or LEA was not reported in a prior school year.

#### Supervisory Union Identification Number (DG551)

***Revised!*** Definition - The three-digit unique identifier assigned to the supervisory union

If your state does not have supervisory unions or similar entities, leave this field blank.

The supervisory union ID is used to link LEAs to each other in a hierarchical relationship. For example, a state has an administrative “all grades” LEA above a high school LEA and an elementary LEA. The supervisory union ID will link the administrative “all grades” LEA with the high school LEA and the elementary LEA.

The supervisory union ID is required for LEAs with the following LEA types:

* 2 – Regular public school district that is a component of a supervisory union
* 3 – Supervisory union

For all other LEAs, this field should be left blank. See section 2.4.3.3 for more information on LEA types.

The supervisory union ID is a three digit state assigned number. It may be either:

* A state-assigned identifier
* A county code if the county superintendent acts as the administrative center

The supervisory union ID must exist in the administrative LEA (that is, the LEA with the type of 3) prior to the supervisory union ID being used in the subordinate LEA with the type of 2. The IDs must match exactly including how the data are justified in the field. For example, if the supervisory union ID is right justified for the administrative LEA, it must be right justified for the subordinate LEA.

**Tech Tip!** If you are opening a new supervisory union, you will have to submit one Directory file to establish the administrative LEAs and a second Directory file to associate the subordinate LEAs.

### Contact Information

The contact information consists of the addresses and phone numbers. Addresses are used to identify duplicates and to obtain locale codes from the U.S. Census Bureau. At the SEA level, the chief state school officer contact information is also submitted.

#### Address Mailing (DG8)

Definition - The set of elements that describes the mailing address of the education entity, including the mailing address, city, state, ZIP Code and ZIP Code + 4.

In the file, the mailing address is divided into the following fields:

* Address Mailing 1
* Address Mailing 2
* Address Mailing 3
* City Mailing
* State Abbreviation Mailing
* ZIP Code Mailing
* ZIP Code plus 4 Mailing

The field “Address Mailing 1” is required. If a street address, Post Office box, or rural route is not available, the phrase “No Street Address” should be provided in the field Address Mailing 1 along with a valid city, state and ZIP code.

**Tech Tip!** If the LEA or school has a future status and you don’t have a street address, report the mailing address as:

* Address Mailing 1 – “No street address”
* Address Mailing 2 – Leave blank
* Address Mailing 3 – Leave blank
* City Mailing – Fill in city name
* State Abbreviation Mailing – Fill in the USPS code
* ZIP Code Mailing – Fill in a zip code for the city the school or LEA will be in
* ZIP Code plus 4 Mailing – Leave blank

#### Address Location (DG9)

Definition - The set of elements that describes the physical location of the education entity, including the street address, city, state, ZIP Code and ZIP Code + 4.

In the file, the location address is divided into the following fields:

* Address Location 1
* Address Location 2
* Address Location 3
* City Location
* State Abbreviation Location
* ZIP Code Location
* Zip Code plus 4 Location

The field “Address Location 1” should only be left blank if 1) it is the same as the mailing address **AND** 2) the mailing address does not contain “PO Box” in it; otherwise the location address must also be reported.

**Did you know?** ED uses the location address to obtain the locale codes, geographic location and congressional districts of LEAs and schools from the U.S. Census Bureau. Therefore, it is extremely important that the location addresses are accurate.

When a location address is provided, it must be a complete address consisting of a minimum of the following fields:

* Address Location 1
* City Location
* State Abbreviation Location
* ZIP Code Location

If any of the fields listed above is provided, all four must be provided.

**Tech Tip!** If the LEA or school has a Future status and you don’t have a street address, report the location address as:

* Address Location 1 – “No street address”
* Address Location 2 – Leave blank
* Address Location 3 – Leave blank
* City Location– Fill in city name
* State Abbreviation Location – Fill in the USPS code
* ZIP Code Location – Fill in a zip code for the city the school or LEA will be in
* ZIP Code plus 4 Location – Leave blank

Location Address Lines 1, 2, and 3 cannot be a Post Office Box. Any combination of “PO Box”, “P.O. Box” or “Post Office Box” is invalid. However, a rural route number, with or without a box number (e.g., RR 3, Box 25), will be accepted.

**Tech Tips!** Tips for submitting addresses (Mailing DG8 and Location DG9)

Include the correct street suffix (Ave, St, Rd) since Peachtree Street may be very far from Peachtree Road.

Use only USPS recognized street suffix abbreviations when abbreviating street suffixes. Note that abbreviations within addresses make it harder to determine the correct locale code and geographic location. See the [USPS web site](https://pe.usps.com/text/pub28/28apc_002.htm) for those recognized street suffix abbreviations.

Include any directional descriptor (North, South, East, West) since 1990 K St NW may have a very different locale code from 1990 K St SE. The following standard abbreviations are accepted N, E, S, W (North, East, South, West) alone or in combination, e.g., NW for Northwest.

Be consistent when using punctuation.

Do NOT use commas within the address fields when submitting a comma-delimited file.

Do NOT use quotation marks or other special characters within address fields.

ZIP code plus 4 is not required for either the mailing or location addresses at this time. However, if provided, it must be a valid ZIP extension (i.e., four digits, not all zeros).

**Did you know?** ESS stores a single set of Mailing and Location Address information for each education entity. The latest submitted address data are the official address data for that SY. This is the address that ESS extracts and sends to the Common Core of Data (CCD) and the Migrant Student Information Exchange (MSIX).

#### Telephone - Education Entity (DG10)

Definition - The 10-digit telephone number, including the area code, for the education entity.

Do not include hyphens, blanks, periods or parentheses.

**Tech Tip!** If an LEA is not operational, and as such does not have a valid telephone number, use the SEA’s telephone number. If a school is not operational, and as such does not have a valid telephone number, use the LEA’s telephone number.

#### Web Site Address (DG11)

Definition - The Uniform Resource Locator (URL) for the unique address of a Web page of an education entity.

This field is optional. If a URL is not available or the entity does not have a URL, leave this field blank.

#### Chief State School Officer Contact Information (DG458)

Definition - The contact information of the chief state school officer, including first and last name, official title, phone number, and email address.

In the file, chief state school officer (CSSO) contact information is divided into the following fields:

* First Name
* Last Name
* Title
* Phone number
* E-mail

#### Out of State Indicator (DG669)

Definition - An indication that the mailing or location address of the LEA or school is outside of the state.

ESS includes an Out of State School Indicator on the school and LEA level Directory files. This is a simple flag (Yes/No) to indicate whether the school or LEA has an out–of–state address as compared to the state submitting the file.

Each state has a State Code (e.g., Texas’ is 48). If the mailing or location address Postal State Code (e.g., TX) of an LEA or School does not match the state code then set the Out of State indicator to Yes. This will avoid the validation error that would require the addresses to be within the state.

This field is optional and defaults to No if left blank.

### Descriptive Information

Descriptive information is submitted only for LEAs and schools. Descriptive information includes various statuses and indicators.

#### Operational Status - LEA (DG16) and Operational Status - School (DG531)

Definition DG16 - The classification of the operational condition of a local education agency (LEA).

Definition DG531 - The classification of the operational condition of a school.

The School Year Start Operational Status is the start status for the institution and is linked to the October 1st date for the current school year.

If an LEA or school changes its operational status during the school year, the state reports an updated status and may also report an effective date for that status change. See section 4.5 “Updating Operational Status During the School Year” for more information. Note that inactive, closed, and future schools are not expected to report students, AYP status, or other data.

**Tech Tip!** If the operational status has not been updated throughout the year, the Effective Date will default to the original submission date when the file was submitted.

The operational status codes for LEAs are slightly different than for schools. Status 5 for LEAs is “changed boundary” while status 5 for schools is “changed LEA affiliation”. The definitions of the operational status codes are provided below:

**Table 2.4.3.1-1: Operational Status**

(See Section 2.4.3.2 below this table for additional guidance on reporting operational status for LEAs and schools.)

| **Status**  **Code** | **Status** | **LEA Operational Status – This status applies when the LEA…** | **School Operational Status – This status applies when the school…** |
| --- | --- | --- | --- |
| 1 | Open | * In previous SY   + Was reported with a status that is operational * In current SY   + Is in operation and had no significant changes in geographic boundaries | * In previous SY   + Was reported with a status that is operational * In current SY   + Is in operation and is affiliated with the same LEA as the previous SY |
| 2 | Closed[[2]](#footnote-2) & [[3]](#footnote-3) | * In previous SY   + Was reported with a status that is operational * In current SY   + Is NOT in operation and is not expected to be in operation in the future | * In previous SY   + Was reported with a status that is operational * In current SY   + Is NOT in operation and is not expected to be in operation in the future |
| 3 | New[[4]](#footnote-4) | * In prior SYs   + Was NOT in operation in a prior SY * In current SY   + Is in operation   Note: This status is used in the first SY that the LEA is operational regardless of whether the LEA was reported as Future in previous SY. | * In prior SYs   + Was NOT in operation in a prior SY * In current SY   + Is in operation   Note: This status is used in the first SY that the school is operational regardless of whether the school was reported as Future in previous SY. |
| 4 | Added | * In previous SY   + Was not reported even though it was in operation * In current SY   + Is in operation   Note: This status is for LEAs that were previously overlooked. | * In previous SY   + Was not reported even though it was in operation * In current SY   + Is in operation   Note: This status is for schools that were previously overlooked. |
| 5 | Changed geographic boundary / Changed LEA affiliation | * In previous SY   + Was reported * In current SY   + Is in operation but has undergone a significant change in geographic boundaries | * In previous SY   + Was reported * In current SY   + Is in operation but was previously reported as affiliated with a different LEA |
| 6 | Inactive[[5]](#footnote-5) | * In previous SY   + Was reported * In current SY   + Is temporarily closed but expected to reopen   Note: When an LEA that has been reported as inactive reopens, it is reported as Open (instead of reporting as Reopened) | * In previous SY   + Was reported * In current SY   + Is temporarily closed but expected to reopen   Note: When an school that has been reported as inactive reopens, it is reported as Open (instead of reporting as Reopened) |
| 7 | Future[[6]](#footnote-6) | * In prior SYs   + Was not reported with an operational status * In current SY * Is NOT in operation at start of the SY * In future SY   + Is scheduled to be in operation within 2 years | * In prior SYs   + Was not reported with an operational status * In current SY * Is NOT in operation at start of SY * In future SY   + Is scheduled to be in operation within 2 years |
| 8 | Reopened | * In prior SYs   + Was reported as Closed * In current SY   + Is in operation   Note: A reopened LEA must be reported with the NCES LEA ID it had prior to being reported as closed. | * In prior SYs   + Was reported as Closed * In current SY   + Is in operation   Note: A reopened school must be reported with the NCES LEA and school IDs it had prior to being reported as closed. |

Closed, inactive or future LEAs may report GEPA data through the Federal Programs file – FS035.

**Tech Tip!** Appendix C “Assigning Operational Status” contains a chart that explains the relationship between the previous school year’s operational status and the current school year’s operational status.

LEAs and schools can stay in the “1-Open” status indefinitely. Other statuses have limits:

**Table 2.4.3.1-2: Limits for Operational Statuses**

| **Status** | **Limit** |
| --- | --- |
| Closed | Can reopen any time if it closed in SY2006-07 or after, otherwise call Partner Support Center to determine if reopen is possible or if it needs to be submitted as a new school or LEA. |
| New | Used for one year then changed to open, closed, changed, or inactive |
| Added | Used for one year then changed to open, closed, changed, or inactive |
| Inactive | No set timeline, but must be changed to open or closed eventually. ED will check on schools and LEAs that are Inactive for 5 years or more. |
| Future | Two years then must be changed to new or closed |
| Reopened | Used for one year then changed to open, closed, changed, or inactive |
|  |  |

#### Guidance on Operational Status

**What if a school opens after the start of the school year?**

The School Year Start Operational Status is a mandatory field. If an LEA or school opens after the start of the school year, the state should put in the field “School Year Start LEA/School Status” the permitted value "7” for “Future LEA or school." The field “Updated LEA Operational Status” would have the permitted value “3” for New. The field “Effective Date of Updated LEA/School Operational Status” should have the date the LEA or school opened. See section 4.5 “Updating Operational Status During the School Year” for more information on updating the operational status of an LEA or school during the school year.

**What if the school has a very small student population and does not have any students for this year?**

Report the school as Open if there are staff or as inactive if there are no staff. When the school is reported as Open in the Membership file (FS052), report the education unit total as zero.

**What if an LEA or school reopens after it closed or remains inactive for several years?**

Beginning with SY 2009-10, if an LEA or school was reported to ESS as closed in SY 2006-07 or later, the school or LEA may be reopened at any time. Similarly, if an LEA or school was reported to ESS as inactive in SY 2006-07 or later, it may change status (to open, closed, changed agency, or inactive) without a specific time limit. After a school or LEA closes Directory records should not be submitted unless the entity reopens. Schools or LEAs that are inactive require a Directory record each year.

If an LEA or school closed or became inactive before SY 2006-07, please call the Partner Support Center so they can determine whether the LEA or school is in ESS and matches CCD data. If not, a new school or LEA will need to be created.

**What changes should result in the LEA or school being closed and a new LEA or school being open?**

ED needs to maintain the history and continuity of schools for longitudinal data studies, trend analysis, and research initiatives. Therefore, closing a school and reopening it as “New” is closely reviewed for the appropriate assignment of NCES IDs.

The lists below present possible reasons for creating a new school or LEA, how it relates to the assignment of a new NCES ID, and reasons that would not warrant assigning a new NCES ID.

A new school or LEA should be created (get a new NCES ID assigned) if:

1. The grade span of the school or LEA changed by more than 3 grades, not including pre-kindergarten or kindergarten as grades;
2. The school’s or LEA’s physical location changed and the attendance area changed significantly;
3. Two schools or LEAs of about the same size, or with different grade spans, merge. The two original entities would be closed, and the merged education unit would be reported as a new school or agency.

A new school or LEA should NOT be created (should not get a new NCES ID) if:

* The grade span of the school or LEA changed by 3 grades or less, not including pre-kindergarten or kindergarten;
* The school or LEA’s physical location or address changed, but the attendance area did not change significantly;
* A smaller school or LEA merges with a larger entity that provides essentially the same grade span;
* A school just changes charter status or magnet status;
* A school undergoes restructuring under provisions in ESEA;
* The name of a school or LEA changes;
* The state identifier for the school or LEA changes;
* A school changes LEAs or the boundary of an LEA changes.

**Did you know?** The CCD reviews closely the list of new LEA or schools and has the final word on NCES ID assignment. The CCD may change the status indicator of an LEA or school in the CCD files if the LEA or school does not meet the criteria for closing and reopening as “New”. If you are not sure whether a school meets the criteria for closing and reopening as “New”, please contact PSC for guidance.

Section 4.2 “School Changes LEA” provides information on how to move a school to a different LEA. Section 4.3, “LEAs or School Merge,” provides additional information about how to handle mergers of LEAs and schools.

When a non-charter public school becomes a charter school several changes can occur. If those changes fall under the reasons to create a new school, listed above, the old public school should close, a new public charter school should be opened and a new NCES ID will be assigned. However, if none of those reasons apply, the school should retain its existing NCES ID, it should get the appropriate operational status (i.e., Open or Changed Agency), and the charter status should be changed from “No” to “Yes”.

If an existing charter public school becomes a regular public school, the same rules apply. If none of the reasons to create a new school apply, only the charter status and, if applicable, operational status need to change.

**What if the file includes a closed record for a school closed in the previous school year?**

Submitting a closed record for a school that was reported in the previous SY as closed will result in an error on the match report. Contact PSC as they will need to correct this.

#### Local Education Agency (LEA) Type (DG453)

Definition - The classification of an education unit reported in the local education agency (LEA) file.

The chart below explains the LEA types.

**Table 2.4.3.3-1: LEA Type**

| **Code** | **LEA Type** | **Description** | **Notes** |
| --- | --- | --- | --- |
| 1 | Regular public school district that is not a component of a supervisory union | A regular public school district is a local government administrative authority that governs the education system at a specified local level on behalf of the public and the state that is not a component of a supervisory union. |  |
| 2 | Regular public school district that is a component of a supervisory union | A regular public school district is a local government administrative authority that governs the education system at a specified local level on behalf of the public and the state that is component of a supervisory union. | Each agency given this code must have an entry in the Supervisory Union ID data field. |
| 3 | Supervisory union[[7]](#footnote-7) | A supervisory union is an administrative center or county superintendent’s office serving as the administrative center. | Each agency given this code must have an entry in the Supervisory Union ID data field. |
| 4 | Service agency | A service agency is an agency that does not operate schools instead it provides specialized educational services (such as career and technical education) or related services (such as services in IEPs) to other education agencies that the agencies cannot readily provide for themselves. |  |
| 5 | State operated agency  ***Revised!*** | State operated agency is an organization overseen by a state agency that operates schools or programs that provide public elementary and/or secondary level instruction. |  |
| 6 | Federal operated agency  ***Revised!*** | Federal operated agency is a federal agency that provides elementary and/or secondary level instruction. |  |
| 7 | Independent charter district  ***Revised!*** | An independent charter district is an education unit created under the state charter legislation that is not under the administrative control of another local education agency and that operates one or more charter schools – and only charter schools. | An individual charter school that acts also as a district and is reported as a district in the LEA Directory file should have an agency type of “Independent charter district”. |
| 8 | Other local education agency  ***Revised!*** | The “Other education agency” permitted value is available for SEAs that have data to report at the LEA level for an education unit that the SEA has determined is not one of the existing types. | Other education agencies include:   * Intermediate levels of public agencies that provide education but are not school districts, such as juvenile correctional institutions, sheriff’s offices, or university lab schools; * Public organizations that are responsible for providing education at sites such as hospitals, residential treatment centers; and * Postsecondary schools or agencies reported in order to include a postsecondary “shared time” school, such as community colleges or technical institutes.   Do not report the following agencies on the current list as Type 8 - Other education agency:   * Nonpublic PK-12 school agencies (do not include these in the LEA Directory). * Charter school agencies (these should be reported as Type 7 above).   If “8” is used, please provide a description of the entity in the explanation field. |
| 9 | Specialized public school district | A specialized public school district is a school district that operates one or more schools that are designed for a specific educational need or purpose. |  |

#### School Type (DG21)

Definition - The classification of schools based on the curriculum concentration.

The chart below explains the school type codes.

**Table 2.4.3.4-1: School Type**

| **Code** | **School Type** | **Description** |
| --- | --- | --- |
| 1 | Regular school | A regular school is a public elementary/secondary school that does not focus primarily on career and technical, special, or alternative education, although it may provide these programs in addition to a regular curriculum. |
| 2 | Special education school | A special education school is a public elementary/secondary school that focuses primarily on serving the educational needs of students with disabilities (IDEA) and which adapts curriculum, materials, or instruction for these students. |
| 3 | Career and technical education school  ***Revised!*** | A career and technical education school is a public elementary/secondary school that focuses primarily on providing secondary students with an occupationally relevant or career–related curriculum, including formal preparation for technical or professional occupations. |
| 4 | Alternative education school | An alternative school is a public elementary or secondary school that addresses the needs of students that typically cannot be met in a regular school program and is designed to meet the needs of students with academic difficulties, students with discipline problems, or both students with academic difficulties and discipline problems. |
| 5 | Reportable program | The permitted value “reportable program” is available for SEAs that have data to report to ED*Facts* at the school level that the SEA has determined does not meet the definition of a public elementary/secondary school . |

Alternative Education School Guidance:

* These entities can be located on the same campus as a regular school, but have their own administrator.
* Additional examples of Alternative Education Schools include (but are not limited to):
  + A long-term secure juvenile justice facility, or
  + An interim alternative education facility.

Reportable Program Guidance:

* To be reported as a reportable program in the Directory, that program or entity:

1. Is not a public school under the CCD and ED*Facts* definition of a school; and
2. Must report students to ED*Facts* or the CRDC at the school level to meet a specific federal requirement; and
3. The students reported in the reportable program are eligible to receive free public education from the state.

***New!* Tech Tip!** Unless there is a specific federal reporting requirement for which a separate NCES ID is needed, it is not necessary to report a program or entity as a reportable program.

* Examples of Reportable Programs include (but are not limited to):
  1. Juvenile detention/residential facilities/juvenile correctional facilities, including short-term detention facilities that are community-based or residential, where children with disabilities (IDEA) receive special education and related services (see also FS002),
  2. Private schools where children with disabilities (IDEA) receive special education and related services at public expense, homebound/hospital programs and residential facilities (public and private) where children with disabilities (IDEA) receive special education and related services (see also FS002),
  3. Early childhood programs, postsecondary programs, adult education centers

Other guidance on School Type:

* Charter schools are classified in the same manner as non-charter schools.
* If a school has 10 or more students and 90% or more of those students have IEPs, the school should be reported either as a Special Education School (School Type 2) or as an Alternative Education School (School Type 4). This is one criteria CCD uses in their review of school type so that similar schools are consistently identified as having a special education focus. Schools where less than 90% of the students have IEPs can also be reported as Special Education or Alternative Education school types if that meets your state’s criteria.

**Did you know?** NCES combines the school type information with the agency type to identify each school as a:

◼ Locally operated public school

◼ Regionally operated public school

◼ State-operated public school

◼ Federally operated public school

#### Reconstituted Status (DG743)

Definition – An indication that the school was restructured, transformed, or otherwise changed as a consequence of the state’s accountability system under ESEA or as a result of School Improvement Grants (SIG), but is not recognized as a new school for CCD purposes.

As a consequence of the state’s accountability system under ESEA or as a result of School Improvement Grants (SIG), a school may be restructured, transformed, or otherwise substantially changed in order to improve student achievement. In some instances, such changes may qualify the school as a new school as determined by the state. In these cases, the state will issue the school a new state ID, and the school will start a new accountability history. However, in many cases, such schools will not qualify as a new school for purposes of CCD and will continue to retain the same NCES ID. For example, if a restructured school that is recognized by the state as a new school with a new state ID continues to offer instruction in essentially the same grades or to the same population of students, it would not be considered a new school for purposes of CCD. In these instances, the event of restructuring, transformation, or other similar substantial change needs to be recorded in order to explain likely shifts in trend data. The event of restructuring, transformation, or similar change is recorded using the reconstituted status.

A reconstituted status determination of “Yes” or “No” is needed for all schools. A reconstituted status of “No” applies to any school that has not been restructured, transformed or otherwise substantially changed or one that qualifies as a new school for CCD purposes. The only schools that qualify for a reconstituted status of “yes” are reconstituted schools--*i.e.*, schools that do not qualify as a new school for purposes of CCD and are one of the following:

* In the first year of implementing a turnaround, transformation, or restart model under SIG;
* In the restructuring (implementation) year under ESEA accountability; or
* Experiencing a change under a state-defined accountability system similar to the ESEA restructuring (implementation) year.

To determine whether a school in the bulleted list above has a reconstituted status of “Yes,” first establish whether the school is a new school for purposes of CCD using the guidance in section 2.4.3.2 under the question “what changes should result in the LEA or school being closed and a new LEA or school being opened.” If the school does not meet the criteria for a new school, then the school has a reconstituted status of “Yes.”

In summary:

* For reconstituted schools that do not meet the CCD criteria for a new school, use the permitted value “Yes.”
* Use the permitted value “No” for all other schools, including new schools as determined by CCD criteria.

**Tech Tip!** A school’s reconstituted status will never be “Yes” when its operational status is “New” (status code 3).

### Charters

This section explains how to report data on charter schools and districts.

#### States without charter schools

States that have no charter schools, report the data groups on charter as follows:

In the LEA file

* Report Charter LEA Status as “NA – State does not have charters or state does not permit charter LEAs”

In the school file

* Report Charter Status as “Not Applicable”
* Leave the fields for charter authorizer identifier blank

#### Charter Status (DG27)

Definition - An indication that a public school provides free public elementary and/or secondary education to eligible students under a specific charter executed, pursuant to a state charter school law, by an authorized chartering agency/authority and that is designated by such authority to be public charter school.

Permitted Values:

* Yes
* No
* Not Applicable

A state should only use the Not Applicable value for Charter Status when charter schools are not permitted in the state.

ESS will store a single Charter Status for a school for any school year.

**Tech Tip!** Some states contain charter “campuses.” If entities known as “campuses” meet the definition of a school, these entities should be reported into the Directory as regular schools with a charter status of “Yes”.

#### Charter Authorizer Identifier (State) (DG804)

Definition - The identifier assigned to an authorized public chartering agency by the SEA.

This number is used to link the charter authorizers that will be in the Charter Authorizer Directory (FS 190) to specific charter schools reported in the Directory.

**Why are there two fields for charter authorizer identifier?**

In the situation where a charter may have multiple authorizers, two fields are available to input authorizer identifiers. The first field is for the primary authorizer and the second is for the secondary authorizer. The primary authorizer should be the authorizer that ultimately approves the charter petition, and all listed charter schools will have a primary authorizer. The secondary authorizer field would only be necessary for charter schools that complete a two-step authorization process. The SEA should determine whether a secondary authorizer is included based on the charter authorizing requirements in their state.

**What identifier should be used?**

These identifiers must match to a record in the Charter Authorizer Directory file (FS190). The state is able to create any number they want for these identifiers, as long as it is unique within the state. If the authorizer is already an established LEA, the state may use the NCES LEA ID as the charter identifier. If the charter school has only one authorizer, fill out the first field and leave the second field blank.

#### Charter LEA Status (DG653)

Definition - The status of a charter district as an LEA for purposes of federal programs.

If LEA type (DG 453) is not Independent charter district (code 7):

* **NA** - Not applicable – State does not have charters or state does not permit charter LEAs
* **NOTCHR** - Not a charter district– State has charter LEAs but this LEA is not a charter LEA.

If LEA type (DG 453) is Independent charter district (code 7):

* **CHRTIDEAESEA** – LEA for federal programs - Charter district which is an LEA for programs authorized under *IDEA, ESEA* and *Perkins*
* **CHRTESEA** – LEA for ESEA and Perkins - Charter district which is an LEA for programs authorized under *ESEA* and *Perkins* but not under *IDEA*
* **CHRTIDEA** – LEA for IDEA - Charter district which is an LEA for programs authorized under *IDEA* but not under *ESEA* and *Perkins*
* **CHRTNOTLEA** – Not LEA for federal programs - Charter district which is not an LEA for federal programs

### Explanations

This field should be used to provide explanations of LEAs with the LEA Type code of “8-Other Education Agencies” and schools with the School Type code of “5-Reportable Program.”

### Grades Offered (DG18)

Definition - The grade level(s) offered by the school or district.

The Grades Offered data file is closely related to the Directory file and are submitted in file N039. Grades offered should be submitted in conjunction with directory data. See the grades offered file specification for information on submitting grades offered.

## Definitions

[Attachment B-2 Directory Records for the ED*Facts* Data Set](http://www.reginfo.gov/public/do/PRAViewIC?ref_nbr=201507-1850-001&icID=217323) includes an explanation of the directory and definitions.  Attachment B-2 can be found on reginfo.gov.

# FILE NAMING CONVENTION

The following file naming convention is to help identify files to provide technical assistance.

A maximum of 25 characters (including the file extension) is allowed for the file name.

The following is the naming convention for file submissions:

sslev**filename**vvvvvvv.ext

**Table 3.0-1: File Naming Convention**

|  |  |  |
| --- | --- | --- |
| **Where** | **Means** | **Limit in characters** |
| ss | USPS State Abbreviation | 2 |
| lev | Abbreviation for level:   * SEA for a State Education Agency level * LEA for a Local Education Agency level * SCH for a school level | 3 |
| filename | DIRECTORY | 9 |
| vvvvvvv | Alphanumeric string designated by the SEA to uniquely identify the individual submission (*e.g.,* ver0001, v010803) | 7 |
| .ext | Extension identifying the file format:  .txt – fixed  .csv – comma delimited  .tab – tab delimited | 3 |

# COMMON REPORTING SITUATIONS

This section explains how to report directory data for common reporting situations.

## Changing State Identifiers

States can change State LEA Identifiers (DG4) and State school Identifiers (DG5). States can **not** change NCES Identifiers for either LEAs or schools (DG1 and DG529, respectively).

### Changing the State LEA Identifier

To change or update a State LEA Identifier, in an LEA Directory File:

* Enter the previous (old) State LEA Identifier in the field “DG4 Prior State LEA ID.” This field is located near the end of the LEA Agency Object.
* Enter the new State LEA Identifier in the field “DG4 LEA Identifier (State).” This field is located immediately after the field for “DG570 State Agency Number.”
* Fill in all other applicable fields

The system will check that the ID entered into the field “Prior State LEA ID” exists in the database. If the ID does not exist, a validation error will be triggered, that is the file will not process.

All schools associated with the previous State LEA Identifier will be updated to the new State LEA Identifier.

The change takes effect once the file is processed.

### Changing the State School Identifier

To change or update a State school identifier, in a school Directory file:

* Enter the previous (old) State school identifier in the field “DG5 Prior State School ID.” This field is located near the end of the School Agency Object.
* Enter the new State school identifier in the field “DG5 School Identifier (state).” This field is located after the field for “DG570 State Agency Number” and after the fields for LEA Identifiers (State) and (NCES).
* Leave the field “DG4 Prior State LEA ID” blank.
* Fill in all other applicable fields

The system will check that the ID entered into the field “Prior State School ID” exists in the database. If the ID does not exist, a validation error will be triggered, that is the file will not process.

The State LEA Identifier in the field “LEA Identifier (State)” must be the same as the State LEA Identifier associated with the previous State school identifier. If the ID is not the same, a validation error will be triggered, that is the file will not process.

The change takes effect once the file is processed.

## School Changes LEA

States can change the LEA that a school is associated with. The change is done differently for a schools in Future status.

To change the LEA that a school is associated with, when the school is not in Future status, submit a school Directory file:

* Enter the new State LEA identifier in the field “DG4 LEA Identifier (State).”
* Enter the previous (old) State LEA identifier in the field “DG4 Prior State LEA ID.”
* Enter “5” for changed agency in the field “DG531 SY Start Operational Status” if the change is for the start of the school year.

1. If the change is for during the school year:
2. Enter “5” for changed agency in the field “DG531 Updated School Operational Status.”
3. Enter the date the change happened in the field “Effective Date.”

* Enter the State school identifier in the field “DG5 School Identifier (state)”
* Fill in all other applicable fields

The system will check that the IDs entered into the following fields exist in the database:

* DG5 School Identifier (State)
* DG4 LEA Identifier (State)
* DG4 Prior State LEA ID

If the IDs do not exist, validation errors will be triggered, that is the file will not process.

The change takes effect once the file is processed.

**Tech Tip!** If the school is changing to a new LEA, then you must first submit an LEA record for the new LEA before submitting the school record that changes the LEAs association.

**Special Instructions for Future Schools** - If a school is in Future status and needs to move from one LEA to another:

* Close the school in the old LEA
* Add the school in the new LEA with an operational status of Future

If a Future school was allowed to change agencies like schools that are operational, the Future school would appear as an operational school and lose its future status.

## LEAs or School Merge

When an LEA or school is merged into another LEA or school that provides essentially the same grades, the smaller entity should be closed while the larger entity is left open.

* Smaller entity – Operational status “2-Closed”
* Larger entity – Operational status “1-Open” and retains its NCES ID.

When two LEAs or schools of equal size or with different grade spans are merged or consolidated within an existing building or a new physical location, both entities should be closed and a new entity opened.

* Existing schools or LEAs – Operational status “2-Closed”
* Consolidated new school or LEA – Operational status “3-New”

## LEAs or Schools Split

When an LEA or school splits into two or more entities, the one that retains the most characteristics of the original LEA or school retains the NCES ID number. The characteristics of the LEA or school are related to the student population for the LEA or school, the grades offered, and the attendance area from which the school or LEA draws students.

## *Revised!* Updating Operational Status During the School Year

ESS supports adding previously unreported LEAs and schools during a school year as well as updating the operational status of previously reported LEAs and schools during a school year.

To report a previously unreported LEA or school or to update the operational status of a previously reported LEA or school, submit an LEA or school Directory file containing:

* The operational status from the start of the school year in the field “DG16 School Year (SY) Start LEA/DG531 School Operational Status.”
* The updated operational status in the field “Updated LEA (DG16)/School Operational Status (DG531).”
* The effective date of the change in operational status in the field “DG571 Effective Date.”
* All other applicable fields.

If the Effective Date is not specified, the date the file is processed will be used as the Effective Date. If the Effective Date is specified in the file, the date specified will be used as the Effective Date.

ALL records with a later Effective Date than the date in the file (or the date the file is processed if the field is left blank) will be voided. For example, a state submits the following 3 updates to the “Updated Operational Status” field for SY 2017-18 for Washington School:

**Table 4.5-1: Example of Updating Operational Status**

|  |  |  |
| --- | --- | --- |
| **Date Submitted** | **Updated Operational Status Field Values** | **Operational Status Effective Date Field Values** |
| #1 – Jan 15, 2018 | Open | 1/15/2016 |
| #2 – Feb 1, 2018 | Closed | 4/1/2016 |
| #3 – Feb 10, 2018 | Open | 2/1/2016 |

ESS will insert the Updated Operational Status = Open with an Effective Date of 2/1/2018. ESS will then void out the Updated Operational Status = Closed with an Effective Date of 4/1/2018 record since it occurs on or after the Effective Date on the most recent file.

**Table 4.5-2: ESS Record for Washington School for SY 2017-18**

|  |  |  |  |
| --- | --- | --- | --- |
| **Status** | **Effective Date** | | **Explanation** |
| Open | 1/15/2018 | This record remains. | |
| ~~Closed~~ | ~~4/1/2017~~ | This record is deleted. | |
| Open | 2/1/2018 | This is the updated status. | |

This will leave Operational Status = Open with an Effective Date of 2/1/2018 as the latest record.

Note: This would ONLY be for the school year that is specified on the header of the file, regardless of the Effective Date specified.

As the directory is SY specific, the Effective Date should fall within the range of dates of the school year being reported. The maximum value for Effective Date will be the last day of September of the school year. For example, for SY 2017-18, the latest accepted operational status Effective Date will be 9/30/2018.

# APPENDIX A: STATE ABBREVIATIONS AND CODES

This Appendix defines the state abbreviations and the two-digit American National Standards Institute (ANSI) codes (01-78). These codes were formerly known as Federal Information Processing Standards (FIPS) codes.

**Table A-1: State Abbreviations and ANSI Codes**

| **State name** | **ANSI** | **State abbreviation** |
| --- | --- | --- |
| ALABAMA | 01 | AL |
| ALASKA | 02 | AK |
| ARIZONA | 04 | AZ |
| ARKANSAS | 05 | AR |
| CALIFORNIA | 06 | CA |
| COLORADO | 08 | CO |
| CONNECTICUT | 09 | CT |
| DELAWARE | 10 | DE |
| DISTRICT OF COLUMBIA | 11 | DC |
| FLORIDA | 12 | FL |
| GEORGIA | 13 | GA |
| HAWAII | 15 | HI |
| IDAHO | 16 | ID |
| ILLINOIS | 17 | IL |
| INDIANA | 18 | IN |
| IOWA | 19 | IA |
| KANSAS | 20 | KS |
| KENTUCKY | 21 | KY |
| LOUISIANA | 22 | LA |
| MAINE | 23 | ME |
| MARYLAND | 24 | MD |
| MASSACHUSETTS | 25 | MA |
| MICHIGAN | 26 | MI |
| MINNESOTA | 27 | MN |
| MISSISSIPPI | 28 | MS |
| MISSOURI | 29 | MO |
| MONTANA | 30 | MT |
| NEBRASKA | 31 | NE |
| NEVADA | 32 | NV |
| NEW HAMPSHIRE | 33 | NH |
| NEW JERSEY | 34 | NJ |
| NEW MEXICO | 35 | NM |
| NEW YORK | 36 | NY |
| NORTH CAROLINA | 37 | NC |
| NORTH DAKOTA | 38 | ND |
| OHIO | 39 | OH |
| OKLAHOMA | 40 | OK |
| OREGON | 41 | OR |
| PENNSYLVANIA | 42 | PA |
| RHODE ISLAND | 44 | RI |
| SOUTH CAROLINA | 45 | SC |
| SOUTH DAKOTA | 46 | SD |
| TENNESSEE | 47 | TN |
| TEXAS | 48 | TX |
| UTAH | 49 | UT |
| VERMONT | 50 | VT |
| VIRGINIA | 51 | VA |
| WASHINGTON | 53 | WA |
| WEST VIRGINIA | 54 | WV |
| WISCONSIN | 55 | WI |
| WYOMING | 56 | WY |
| AMERICAN SAMOA | 60 | AS |
| BUREAU OF INDIAN AFFAIRS | 59 | BI[[8]](#footnote-8) |
| DOD COMBINED | 63 |  |
| DOD DOMESTIC | 61 | DD8 |
| DOD OVERSEAS | 58 | DO8 |
| GUAM | 66 | GU |
| MARSHALL ISLANDS | 68 | MH |
| MICRONESIA | 64 | FM |
| NORTHERN MARIANAS | 69 | MP |
| PUERTO RICO | 72 | PR |
| REPUBLIC OF PALAU | 70 | PW |
| VIRGIN ISLANDS | 78 | VI |

# 

# APPENDIX B: RECOMMENDED ABBREVIATIONS

Below is a list of recommended abbreviations.

**Table B-1: Recommended Abbreviations**

|  |  |
| --- | --- |
| **Abbreviation** | **Description** |
| ACAD | Academic |
| ADM | Administration or Administrative |
| AG | Agriculture |
| AGY | Agency |
| BD | Board |
| BOR | Borough |
| CAR | Career |
| CLD | Child |
| CLDN | Children |
| CMTE | Committee |
| CNSM | Consortium |
| CNT | Central |
| CTE | Career and Technical Education |
| CTR | Center |
| COM | Community |
| COMM | Commission |
| COMP | Computer |
| COMPHEN | Comprehensive |
| CON | Consolidated |
| COOP | Cooperative |
| CORP | Corporation |
| CORR | Correction |
| CO | County |
| CUR | Curriculum |
| DEPT | Department |
| DIST | District |
| DVL | Development |
| ED | Education |
| EDL | Educational |
| ELEM | Elementary |
| ELEMSCH | Elementary School |
| EXM | Exempted |
| FAM | Family |
| HLT | Health |
| HM | Home |
| HS | High School |
| IMP | Improvement |
| IND | Independent |
| INST | Institution |
| JCT | Junction |
| JHS | Junior High School |
| JR | Junior |
| LOC | Local |
| LRN | Learning |
| MIDSCH | Middle School |
| METRO | Metropolitan |
| MUL | Multi |
| MUN | Municipal |
| NRS | Nursing |
| OP | Operations |
| ORG | Organization |
| PAR | Parish |
| PLT | Plantation |
| PROG | Program |
| PUB | Public |
| REORG | Reorganized |
| RES | Resource |
| RGN | Region |
| RGNL | Regional |
| SCH | School |
| SEC | Secondary |
| SEP | Separate |
| SOC | Social |
| SPEC | Special |
| SR | Senior |
| SRV | Service |
| ST | State |
| SUPT | Superintendent |
| SUPV | Supervisor |
| TECH | Technical |
| TERR | Territory |
| TRD | Trade |
| TRN | Training |
| TWN | Township |
| UNF | Unified |
| UNIV | University |
| UNORG | Unorganized |
| UNT | United |
| VIL | Village |
| VLY | Valley |
| YTH | Youth |

# 

# APPENDIX C: ASSIGNING OPERATIONAL STATUS

The chart below indicates what operational statuses are allowable based on the previously reported operational status. For more information about operational status, see section 2.4.3.1 and 2.4.3.2.

**Table C-1: Verifying Reported CCD School/Agency Operational Status Against Previously Reported Status**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **Reported Operational Status** | | | | | | | | |
|  |  | **1-OPEN** | **2-CLOSED** | **3-NEW** | **4-ADDED** | **5-CHANGED** | **6-INACTIVE** | **7-FUTURE** | **8-REOPENED** | **Omit from CY Directory** |
| **Previously Operational Status** | **1-OPEN** | **Yes** | **Yes** | **X** | **X** | **Yes** | **Yes** | **X** | **X** | **X** |
| **2-CLOSED** | **X** | **X** | **X** | **X** | **X** | **X** | **X** | **Yes** | **Yes** |
| **3-NEW** | **Yes** | **Yes** | **X** | **X** | **Yes** | **Yes** | **X** | **X** | **X** |
| **4-ADDED** | **Yes** | **Yes** | **X** | **X** | **Yes** | **Yes** | **X** | **X** | **X** |
| **5-CHANGED** | **Yes** | **Yes** | **X** | **X** | **Yes** | **Yes** | **X** | **X** | **X** |
| **6-INACTIVE** | **Yes** | **Yes** | **X** | **X** | **Yes** | **Yes** | **X** | **X** | **X** |
| **7-FUTURE** | **X** | **Yes** | **Yes** | **X** | **X** | **X** | **Yes** | **X** | **X** |
| **8-REOPENED** | **Yes** | **Yes** | **X** | **X** | **Yes** | **Yes** | **X** | **X** | **X** |
| **Omitted from PY Directory** | **X** | **X** | **Yes** | **Yes** | **X** | **X** | **Yes** | **Yes** |  |

**Legend**

Yes - Acceptable

X – Not acceptable

**Notes:**

**Previously Reported Status 2-Closed**

The only acceptable reported status when the previously reported status is “2-Closed” is “8-Reopened.” If you submit any other status, you will get an error on the match report (match error). To resolve the match error, you will need to contact PSC so that they can help you determine the error resolution.

**Previously Reported Status 6-Inactive**

Starting in SY 2009-10, an education unit can be inactive indefinitely. If the school or LEA became inactive before SY 2006-07, it can not be reactivated.

**Reported Status 3-New**

An education unit does not have to be previously reported as “7-Future.”

**Reported Status 8-Reopened**

Starting in SY 2009-10, an education unit can reopen at any time if the school or LEA closed in SY 2006-07 or after. If an education unit closed before SY 2006-07, it cannot be reopened.

**Omitted from previous Directory and Reopened in CY Directory**

That combination is allowed only if the school/LEA was operational at some point during or since SY 2006-07 and subsequently closed, but not allowed if the entity was closed before SY 2006-07 or had never been reported.

# APPENDIX D: FIXED OR DELIMITED FILES

## D.1 SEA Directory File

This section describes the SEA Directory file. States are not required to submit an SEA Directory file each year. Instead, states submit an SEA Directory only when the information changes.

The "Pop" column in the header and data records is coded as follows:

M - Mandatory, this field must always be populated

O - Optional, data in this field are optional

### D.1.1 Guidance for Submitting the SEA Directory File

The SEA Directory file contains the following data groups:

Unique Identifiers

* State Code (DG559)
* Education Entity Name (DG7)
* State Agency Number (DG570)

Contact Information

* Address Mailing (DG8)
* Address Location (DG9)
* Telephone - Education Entity (DG10)
* Web Site Address (DG11)
* Chief State School Officer Contact Information (DG458)

Section 2.4 contains explanations of the data listed above.

### D.1.2 SEA Header Record Definition

The header record is required and is the first record in every file submitted to the ESS. The purpose of the header record is to provide information as to the file type, number of data records in the file, file name, file identifier, and file reporting period.

**Table D.1.2–1: SEA Header Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Type | 1 | 50 | String | M | Identifies the type of file being submitted. | **SEA DIRECTORY INFO** |
| Total Records In File | 51 | 10 | Number | M | The total number of data records contained in the file. The header record is NOT included in this count. |  |
| File Name | 61 | 25 | String | M | The file name including extension, the same as the external file name. | See section 3.0 |
| File Identifier | 86 | 32 | String | M | Any combination of standard characters to further identify the file as specified by the SEA (e.g., a date, person’s name, and version number). |  |
| File Reporting Period | 118 | 9 | String | M | The school year for which data are being reported. The required format is "CCYY–CCYY" or "CCYY CCYY", where either a hyphen or a space separates the beginning and ending years. | **2017-2018**  OR  **2017 2018** |
| Filler | 127 | 753 | String | M | Leave filler field blank. |  |
| Carriage Return / Line Feed (CRLF) | 880 | 1 |  | M |  |  |

Below is an example of a header record.

**Table D.1.2–2: SEA Header Record Example**

|  |  |
| --- | --- |
| Format | File Type,Total Records in File,File Name,File Identifier,File Reporting Period,Filler,Carriage Return / Line Feed (CRLF) |
| Example | SEA DIRECTORY INFO,1,EUSEADIRECTORYver0007.CSV,characters to identify file,2017-2018,¶ |

### D.1.3 SEA Data Record Definition

Data Records are required and immediately follow the header record in every file submitted to the ESS. For the Directory file at the SEA level, there is only one Data Record.

**Table D.1.3–1: SEA Data Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Record Number | 1 | 10 | Number | M | A sequential number assigned by the State that is unique to each row entry within the file. |  |
| **DG559** State Code | 11 | 2 | String | M | See section 2.4.1.1  The two-digit American National Standards Institute (ANSI) code for the state, District of Columbia, and the outlying areas and freely associated areas of the United States. | For a list of valid State Codes, refer to the ED*Facts* Workbook. |
| **DG570** State Agency Number | 13 | 2 | String | M | See section 2.4.1.3  A number used to uniquely identify state agencies.  This ID cannot be updated through this file. | **01** – State Education Agency |
| Filler | 15 | 14 | String | M | Leave filler fields blank. |  |
| Filler | 29 | 7 | String | M | Leave filler fields blank. |  |
| Filler | 36 | 20 | String | M | Leave filler fields blank. |  |
| Filler | 56 | 12 | String | M | Leave filler fields blank. |  |
| **DG7** Education Entity Name - SEA | 68 | 60 | String | M | See section 2.4.1.2  The full registered name of the SEA reporting education data. |  |
| **DG11** Web Site Address - SEA | 128 | 80 | String | O | See section 2.4.2.4  The Uniform Resource Locator (URL) for the unique address of a Web page of an SEA. |  |
| **DG10** Telephone – SEA | 208 | 10 | String | M | See section 2.4.2.3  The 10-digit telephone number, including the area code, for the SEA.  Do not include hyphens, blanks, or parentheses. | Cannot be between 00000000000–2000000000 or 9900000000–9999999999. |
| **DG8** Address Mailing 1 - SEA | 218 | 60 | String | M | See section 2.4.2.1  The mailing street name and number or Post Office Box for the SEA |  |
| **DG8** Address Mailing 2 - SEA | 278 | 60 | String | O | See section 2.4.2.1  Additional mailing street address information for the SEA |  |
| **DG8** Address Mailing 3 - SEA | 338 | 60 | String | O | See section 2.4.2.1  Additional mailing street address information for the SEA |  |
| **DG8** City Mailing - SEA | 398 | 30 | String | M | See section 2.4.2.1  The mailing address city for the SEA |  |
| **DG8** State Abbreviation Mailing - SEA | 428 | 2 | String | M | See section 2.4.2.1  The state abbreviation for the mailing address for the SEA | For a list of valid USPS State Abbreviations, refer to Appendix A. |
| **DG8** ZIP Code Mailing – SEA | 430 | 5 | String | M | See section 2.4.2.1  The five–digit ZIP Code for the mailing address for the SEA | All 5 digits (cannot be 00000 or 99999 or less than 00600) |
| **DG8** ZIP Code Plus 4 Mailing - SEA | 435 | 4 | String | O | See section 2.4.2.1  The four–digit extension of the ZIP Code for the mailing address for the SEA | All 4 digits (cannot be 0000)  OR  blank |
| **DG9** Address Location 1 - SEA | 439 | 60 | String | O | See section 2.4.2.2  The street address that describes the physical location of the SEA |  |
| **DG9** Address Location 2 - SEA | 499 | 60 | String | O | See section 2.4.2.2  Additional address information that describes the physical location of the SEA |  |
| **DG9** Address Location 3 - SEA | 559 | 60 | String | O | See section 2.4.2.2  Additional address information that describes the physical location of the SEA |  |
| **DG9** City Location - SEA | 619 | 30 | String | O | See section 2.4.2.2  The name of the city that describes the physical location of the SEA |  |
| **DG9** State Abbreviation Location - SEA | 649 | 2 | String | O | See section 2.4.2.2  The state abbreviation for location address of the SEA | For a list of valid USPS State Abbreviations, refer to Appendix A |
| **DG9** ZIP Code Location - SEA | 651 | 5 | String | O | See section 2.4.2.2  The five–digit ZIP Code for the location address of the SEA | All 5 digits (cannot be 00000 or 99999 or less than 00600)  OR  blank |
| **DG9** ZIP Code Plus 4 Location - SEA | 656 | 4 | String | O | See section 2.4.2.2  The four–digit extension of the ZIP Code for the location address of the SEA | All 4 digits (cannot be 0000)  OR  blank |
| **DG458** CSSO First Name | 660 | 30 | String | M | See section 2.4.2.5  The first name of the chief state school officer. |  |
| **DG458** CSSO Last Name | 690 | 30 | String | M | See section 2.4.2.5  The last name of the chief state school officer. |  |
| **DG458** CSSO Title | 720 | 50 | String | M | See section 2.4.2.5  The title of the chief state school officer. |  |
| **DG458** CSSO Phone Number | 770 | 10 | String | M | See section 2.4.2.5  The phone number of the chief state school officer.  Do not include hyphens, blanks, or parentheses. |  |
| **DG458** CSSO E–mail | 780 | 80 | String | M | See section 2.4.2.5  The e–mail address of the chief state school officer. |  |
| Explanation | 860 | 200 | String | O | Text field for state use. |  |
| Carriage Return / Line Feed (CRLF) | 1060 | 1 |  | M |  |  |

Below is an example of a data record, this is the set of data that should be submitted for each education unit. See table 2.4-1.

**Table D.1.3–2: SEA Data Record Example**

|  |  |
| --- | --- |
| Format | File Record Number,State Code,State Agency Number,Filler,Filler,Filler,Filler, Education Entity Name - SEA,Web Site Address - SEA,Telephone - SEA,Address Mailing 1 - SEA,Address Mailing 2 - SEA,Address Mailing 3 - SEA,City Mailing - SEA,State Abbreviation Mailing - SEA,ZIP Code Mailing – SEA,ZIP Code Plus 4 Mailing - SEA,Address Location 1 - SEA,Address Location 2 - SEA,Address Location 3 - SEA,City Location - SEA,State Abbreviation Location - SEA,ZIP Code Location - SEA,ZIP Code Plus 4 Location - SEA,CSSO First Name,CSSO Last Name,CSSO Title,CSSO Phone Number,CSSO E-mail,Explanation,Carriage Return / Line Feed (CRLF) |
| Example | 1,80,01,,,,,Euphoria State Education Agency,www.doe.k12.eu.us,5552104958,PO Box 1650,Drawer 300,Bin 5,Commons Station,EU,12345,1234,123 Elm Street,STE900,Commons Station,EU,12345,1234,John,Doe,Director of Education,9998675309,johndoe@euphoria.gov,explanation¶ |

## D.2 LEA Directory File

All LEA directory data are specific to a school year; therefore, states must submit a complete LEA directory each school year.

This section describes the fixed file and delimited file specifications used to transmit information pertaining to the LEA Directory File. The file type is specified in the header record.

***Revised!*** The "Pop" column in the header and data records is coded as follows:

M - Mandatory, this field must always be populated

O - Optional, data in this field are optional

N – Submitted if LEA has been assigned an NCES ID

U – Submitted if LEA is updating operational status

S – Submitted if LEA is changing state identifier ID (DG4)

### D.2.1 Guidance for Submitting the LEA Directory File

The LEA Directory file contains the following data groups:

Unique Identifiers

* State Code (DG559)
* Education Entity Name (DG7)
* State Agency Number (DG570)
* LEA Identifier (State) (DG4)
* LEA Identifier (NCES) (DG1)
* If LEA type 2 or 3, then
  + Supervisory Union Identification Number (DG551)

Contact information

* Address Mailing (DG8)
* Address Location (DG9)
* Telephone - Education Entity (DG10)
* Web Site Address (DG11)
* Out of State Indicator (DG669)

Descriptive Information

* Operational Status - LEA (DG16)
  + School Year Start
  + Updated
    - Effective Date (DG571)
* Local Education Agency (LEA) Type (DG453)

Charter Information

* Charter LEA Status (DG653)

Section 2.4 contains explanations of the data listed above.

### D.2.2 LEA Header Record Definition

The header record is required and is the first record in every file submitted to the ESS. The purpose of the header record is to provide information as to the file type, number of Data Records in the file, file name, file identifier, and file reporting period.

**Table D.2.2–1: LEA Header Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Type | 1 | 50 | String | M | Identifies the type of file being submitted. | **LEA DIRECTORY INFO** |
| Total Records in File | 51 | 10 | Number | M | The total number of data records contained in the file. The header record is NOT included in this count. |  |
| File Name | 61 | 25 | String | M | The file name including extension, the same as the external file name. | See section 3.0 |
| File Identifier | 86 | 32 | String | M | Any combination of standard characters to further identify the file as specified by the SEA (e.g., a date, person’s name, and version number). |  |
| File Reporting Period | 118 | 9 | String | M | The school year for which data are being reported. The required format is "CCYY–CCYY" or "CCYY CCYY", where either a hyphen or a space separates the beginning and ending years. | **2017-2018**  OR  **2017 2018** |
| Filler | 127 | 678 | String | M | Leave filler field blank. |  |
| Carriage Return / Line Feed (CRLF) | 805 | 1 |  | M |  |  |

Below is an example of a header record.

**Table D.2.2–2: LEA Header Record Example**

|  |  |
| --- | --- |
| Format | File Type,Total Records in File,File Name,File Identifier,File Reporting Period,Filler,Carriage Return / Line Feed (CRLF) |
| Example | LEA DIRECTORY INFO,1,EULEADIRECTORYver0007.CSV,characters to identify file,2017-2018,¶ |

### D.2.3 LEA Data Record Definition

Data Records are required and immediately follow the header record in every file submitted to the ESS. Data Records provide the unique identifiers, contact information, and descriptive information about the LEAs in the state. Each LEA has a record.

**Table D.2.3–1: LEA Data Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Record Number | 1 | 10 | Number | M | A sequential number assigned by the SEA that is unique to each row entry within the file. |  |
| **DG559** State Code | 11 | 2 | String | M | See section 2.4.1.1  The two-digit American National Standards Institute (ANSI) code for the state, District of Columbia, and the outlying areas and freely associated areas of the United States. | For a list of valid State Codes, refer to the ED*Facts* Workbook. |
| **DG570** State Agency Number | 13 | 2 | String | M | See section 2.4.1.3  A number used to uniquely identify state agencies.  This ID cannot be updated through this file. | **01** – State Education Agency |
| **DG4** LEA Identifier (State) | 15 | 14 | String | M | See section 2.4.1.4  The identifier assigned to an LEA by the SEA. Also known as State LEA Identification Number (ID). |  |
| **DG1** LEA Identifier (NCES) | 29 | 7 | String | N  ***Revised!*** | See section 2.4.1.5  The seven-digit unique identifier assigned to the LEA by NCES. Also known as NCES LEA ID.  If submitted, all seven digits are required. An incomplete NCES ID will result in a validation error. See Section 2.3“Errors with Directory Files.” | Two–digit state code followed by a five–digit local education agency (LEA) code. |
| Filler | 36 | 20 | String | M | Leave filler fields blank. |  |
| Filler | 56 | 12 | String | M | Leave filler fields blank. |  |
| **DG7** Education Entity Name - LEA | 68 | 60 | String | M | See section 2.4.1.2  The full registered name of the school, LEA, SEA, or other entity reporting education data. |  |
| **DG669** Out of State Indicator | 128 | 3 | String | O | See section 2.4.3.7  An indication that the mailing or location address of the LEA is outside of the state.  Leaving this field blank will use the default value of NO. | **YES** – The LEA is out of state compared to the SEA. **NO** – The LEA is not out of state compared to the SEA. |
| **DG453** Local Education Agency (LEA) Type | 131 | 1 | String | M | See section 2.4.3.3  The classification of an education unit reported in the local education agency (LEA) file. | **1** – Regular public school district that is not a component of a supervisory union **2** – Regular public school district that is a component of a supervisory union **3** – Supervisory union  **4** – Service agency **5** – State operated agency  **6** – Federal operated agency  **7** – Independent charter district **8** – Other local education agency  **9** – Specialized public school district  ***Revised!*** |
| **DG11** Web Site Address - LEA | 132 | 80 | String | O | See section 2.4.2.4  The Uniform Resource Locator (URL) for the unique address of a Web page of an LEA. |  |
| **DG551** Supervisory Union Identification Number | 212 | 7 | String | O | See section 2.4.1.6  The three-digit unique identifier assigned to the supervisory union  ***Revised!***  When the LEA Type is “3”, this field contains the three–digit number of the supervisory union. When the LEA Type is “2”, this field contains the three–digit number of the supervisory union to which the LEA belongs. |  |
| **DG10** Telephone – LEA | 219 | 10 | String | M | See section 2.4.2.3  The 10-digit telephone number, including the area code, for the LEA.  Do not include hyphens, blanks, or parentheses. | Cannot be between 00000000000–2000000000 or 9900000000–9999999999. |
| **DG8** Address Mailing 1 - LEA | 229 | 60 | String | M | See section 2.4.2.1  The mailing street name and number or Post Office Box for the LEA. |  |
| **DG8**  Address Mailing 2 - LEA | 289 | 60 | String | O | See section 2.4.2.1  Additional mailing street address information for the LEA |  |
| **DG8** Address Mailing 3 - LEA | 349 | 60 | String | O | See section 2.4.2.1  Additional mailing street address information for the LEA |  |
| **DG8** City Mailing - LEA | 409 | 30 | String | M | See section 2.4.2.1  The mailing address city for the LEA |  |
| **DG8** State Abbreviation Mailing - LEA | 439 | 2 | String | M | See section 2.4.2.1  The state abbreviation of the mailing address for the LEA | For a list of valid USPS State Abbreviations, refer to Appendix A |
| **DG8** ZIP Code Mailing - LEA | 441 | 5 | String | M | See section 2.4.2.1  The five–digit ZIP Code for the mailing address for the LEA | All 5 digits (cannot be 00000 or 99999 or less than 00600) |
| **DG8** ZIP Code Plus 4 Mailing - LEA | 446 | 4 | String | O | See section 2.4.2.1  The four–digit extension of the ZIP Code for the mailing address for the LEA | All 4 digits (cannot be 0000)  OR    blank |
| **DG9** Address Location 1 - LEA | 450 | 60 | String | O | See section 2.4.2.2  The street address that describes the physical location of the LEA |  |
| **DG9** Address Location 2 - LEA | 510 | 60 | String | O | See section 2.4.2.2  Additional address information that describes the physical location of the LEA |  |
| **DG9** Address Location 3 - LEA | 570 | 60 | String | O | See section 2.4.2.2  Additional address information that describes the physical location of the LEA |  |
| **DG9** City Location - LEA | 630 | 30 | String | O | See section 2.4.2.2  The name of the city that describes the physical location of the LEA |  |
| **DG9** State Abbreviation Location - LEA | 660 | 2 | String | O | See section 2.4.2.2  The state abbreviation for location address of the LEA | For a list of valid USPS State Abbreviations, refer to Appendix A |
| **DG9** ZIP Code Location - LEA | 662 | 5 | String | O | See section 2.4.2.2  The five–digit ZIP Code for the location address of the LEA | All 5 digits (cannot be 00000 or 99999 or less than 00600)  OR  blank |
| **DG9** ZIP Code Plus 4 Location - LEA | 667 | 4 | String | O | See section 2.4.2.2  The four–digit extension of the ZIP Code for the location address of the LEA | All 4 digits (cannot be 0000)  OR  blank |
| **DG16** Operational Status – LEA  SY Start | 671 | 30 | String | M | See section 2.4.3.1  The classification of the operational condition of a local education agency (LEA), at the start of the school year | **1** – Open **2** – Closed **3** – New **4** – Added **5** – Changed geographic boundary **6** – Inactive **7** – Future  **8** – Reopened |
| **DG16**  Operational Status– LEA  Updated | 701 | 30 | String | U  ***Revised!*** | See section 2.4.3.1  The classification of the operational condition of a local education agency (LEA), if changed during the school year  See section 4.5.  Use only if updating the LEA operational status from the start of the SY | **1** – Open **2** – Closed **3** – New **4** – Added **5** – Changed geographic boundary  **6** – Inactive **7** – Future  **8** – Reopened |
| **DG571** Effective Date | 731 | 10 | String | U  ***Revised!*** | The date a change in a directory data element takes place.  Use only if updating the LEA operational status from the start of the SY.  If blank, defaults to the date the file is processed. | **YYYY-MM-DD** |
| **DG653**  Charter LEA Status | 741 | 30 | String | M | See section 2.4.4.4.  The status of a charter district as an LEA for purposes of federal programs. | **For LEAs that are not charter:**  **NA –** Not applicable  **NOTCHR –** Not a charter district  **For LEAs that are charter**  **CHRTNOTLEA** - Not LEA for federal programs (Charter district which is not an LEA for federal programs)  **CHRTIDEA** - LEA for IDEA (Charter district which is an LEA for programs authorized under *IDEA* but not under *ESEA* and *Perkins)*  **CHRTESEA** – LEA for ESEA and Perkins (Charter district which is an LEA for programs authorized under *ESEA* and *Perkins* but not under *IDEA)*  **CHRTIDEAESEA** – LEA for federal programs (Charter district which is an LEA for programs authorized under *IDEA*, *ESEA* and *Perkins)* |
| **DG4** Prior State LEA ID | 771 | 14 | String | S  ***Revised!*** | See section 4.1.1.  This field is to be used when the State LEA ID needs to be changed. |  |
| Explanation | 785 | 200 | String | O | See section 2.4.5 |  |
| Carriage Return / Line Feed (CRLF) | 985 | 1 |  | M |  |  |

Below is an example of a data record, this is the set of data that should be submitted for each education unit. See table 2.4-1.

**Table D.2.3–2: LEA Data Record Example**

|  |  |
| --- | --- |
| Format | File Record Number,State Code,State Agency Number,LEA Identifier (State),LEA Identifier (NCES), Filler,Filler, Education Entity Name - LEA,Out of State Indicator,Local Education Agency (LEA) Type,Web Site Address - LEA,Supervisory Union Identification Number,Telephone – LEA,Address Mailing 1 - LEA,Address Mailing 2 - LEA,Address Mailing 3 - LEA,City Mailing - LEA,State Abbreviation Mailing - LEA,ZIP Code Mailing - LEA,ZIP Code Plus 4 Mailing - LEA,Address Location 1 - LEA,Address Location 2 - LEA,Address Location 3 - LEA,City Location - LEA,State Abbreviation Location - LEA,ZIP Code Location - LEA,ZIP Code Plus 4 Location - LEA,Operational Status – LEA SY Start,Operational Status– LEA Updated,Effective Date,Charter LEA Status,Prior State LEA ID,Explanation,Carriage Return / Line Feed (CRLF) |
| Example | 1,80,01,3400024,8000142,,,Whitcomb USD,N,1,www.whitcombschools.com,,5555559999,204 Main St,,,Whit City,EU,99999,,,,,,,,,1,,,NA,,¶ |

## D.3 School Directory File

All school directory data are specific to a school year; therefore, states must submit complete a school directory each school year.

This section describes the fixed file and delimited file specifications used to transmit information pertaining to the School Directory File type. The file type is specified in the header record.

***Revised!*** The "Pop" column in the header and data records is coded as follows:

M - Mandatory, this field must always be populated

O - Optional, data in this field are optional

N – Submitted if school has been assigned an NCES ID

U – Submitted if school is updating operational status

S – Submitted if school or the LEA the school belongs to is changing state identifier ID (DG4)

C – Submit if school is a charter school

### D.3.1 Guidance for Submitting the School Directory File

The School Directory file contains the following data groups:

Unique Identifiers

* State Code (DG559)
* Education Entity Name (DG7)
* State Agency Number (DG570)
* LEA Identifier (State) (DG4)
* LEA Identifier (NCES) (DG1)
* School Identifier (State) (DG5)
* School Identifier (NCES) (DG529)

Contact information

* Address Mailing (DG8)
* Address Location (DG9)
* Telephone - Education Entity (DG10)
* Web Site Address (DG11)
* Out of State Indicator (DG669)

Descriptive Information

* Operational Status – School (DG531)
  + School Year Start
  + Updated
    - Effective Date (DG571)
* School Type (DG21)
* Reconstituted Status (DG743)

Charter Information

* Charter Status (DG27)
  + If charter status is “yes,” then
  + Charter Authorizer Identifier (State) – Primary and Secondary Authorizer (DG804)

Section 2.4 contains explanations of the data listed above.

### D.3.2 School Header Record Definition

The header record is required and is the first record in every file submitted to the ESS. The purpose of the header record is to provide information as to the file type, number of Data Records in the file, file name, file identifier, and file reporting period.

**Table D.3.2–1: School Header Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Type | 1 | 50 | String | M | Identifies the type of file being submitted. | **SCHOOL DIRECTORY INFO** |
| Total Records in File | 51 | 10 | Number | M | The total number of data records contained in the file. The header record is NOT included in this count. |  |
| File Name | 61 | 25 | String | M | The file name including extension, the same as the external file name. | See section 3.0 |
| File Identifier | 86 | 32 | String | M | Any combination of standard characters to further identify the file as specified by the SEA (e.g., a date, person’s name, and version number). |  |
| File Reporting Period | 118 | 9 | String | M | The school year for which data are being reported. The required format is "CCYY–CCYY" or "CCYY CCYY", where either a hyphen or a space separates the beginning and ending years | **2017-2018**  OR  **2017 2018** |
| Filler | 127 | 684 | String | M | Leave filler field blank. |  |
| Carriage Return / Line  Feed (CRLF) | 811 | 1 |  | M |  |  |

Below is an example of a header record.

**Table D.3.2–2: School Header Record Example**

|  |  |
| --- | --- |
| Format | File Type,Total Records in File,File Name,File Identifier,File Reporting Period,Filler,Carriage Return / Line Feed (CRLF) |
| Example | SCHOOL DIRECTORY INFO,1,EUSCHDIRECTORYver0007.CSV,characters to identify file, 2017-2018,¶ |

### D.3.3 School Data Record Definition

Data Records are required and immediately follow the header record in every file submitted to the ESS. Data Records provide the unique identifiers, contact information, and descriptive information for the schools in the state. Each school has a record.

**Table D.3.3–1: School Data Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Record Number | 1 | 10 | Number | M | A sequential number assigned by the SEA that is unique to each row entry within the file. |  |
| **DG559**  State Code | 11 | 2 | String | M | See section 2.4.1.1  The two-digit American National Standards Institute (ANSI) code for the state, District of Columbia, and the outlying areas and freely associated areas of the United States. | For a list of valid State Codes, refer to the ED*Facts* Workbook. |
| **DG570** State Agency Number | 13 | 2 | String | M | See section 2.4.1.3  A number used to uniquely identify state agencies.  This ID cannot be updated through this file. | **01** – State Education Agency |
| **DG4** LEA Identifier (State) | 15 | 14 | String | M | See section 2.4.1.4  The identifier assigned to an LEA by the SEA. Also known as State LEA Identification Number (ID). |  |
| **DG1** LEA Identifier (NCES) | 29 | 7 | String | N  ***Revised!*** | See section 2.4.1.5  The seven-digit unique identifier assigned to the LEA by NCES. Also known as NCES LEA ID.  If submitted, all seven digits are required. An incomplete NCES ID will result in a validation error. See Section 2.3“Errors with Directory Files.” | Two–digit state code followed by a five–digit local education agency (LEA) code. |
| **DG5** School Identifier (State) | 36 | 20 | String | M | See section 2.4.1.4.  The identifier assigned to a school by the SEA. Also known as State School Identification Number (ID). |  |
| **DG529** School Identifier (NCES) | 56 | 5 | String | A | See section 2.4.1.5.  The five digit portion of the identifier assigned to the school by NCES. Also known as NCES School ID. | 5 Digits |
| **DG7** Education Entity Name - School | 61 | 60 | String | M | See section 2.4.1.2  The full registered name of the school, LEA, SEA, or other entity reporting education data. |  |
| **DG21** School Type | 121 | 1 | String | M | See section 2.4.3.4.  The classification of schools based on the curriculum concentration. | **1** – Regular school **2** – Special education school **3** – Career and technical education school **4** – Alternative education school **5** – Reportable program  ***Revised!*** |
| **DG669** Out of State Indicator | 122 | 3 | String | O | See section 2.4.3.7  An indication that the mailing or location address of the school is outside of the state.  Leaving this field blank will use the default value of NO. | **YES** – The school is out of state compared to the SEA. **NO** – The school is not out of state compared to the SEA. |
| **DG11** Web Site Address - School | 125 | 80 | String | O | See section 2.4.2.4  The Uniform Resource Locator (URL) for the unique address of a Web page of a school. |  |
| **DG10** Telephone – School | 205 | 10 | String | M | See section 2.4.2.3  The 10-digit telephone number, including the area code, for the school.  Do not include hyphens, blanks, or parentheses. | Cannot be between 00000000000–2000000000 or 9900000000–9999999999. |
| **DG8** Address Mailing 1 - School | 215 | 60 | String | M | See section 2.4.2.1  The mailing street name and number or Post Office Box for the school. |  |
| **DG8** Address Mailing 2 - School | 275 | 60 | String | O | See section 2.4.2.1  Additional mailing street address information for the school |  |
| **DG8** Address Mailing 3 - School | 335 | 60 | String | O | See section 2.4.2.1  Additional mailing street address information for the school |  |
| **DG8** City Mailing - School | 395 | 30 | String | M | See section 2.4.2.1  The mailing address city for the school |  |
| **DG8** State Abbreviation Mailing - School | 425 | 2 | String | M | See section 2.4.2.1  The state abbreviation of the mailing address for the school | For a list of valid USPS State Abbreviations, refer to Appendix A. |
| **DG8** ZIP Code Mailing - School | 427 | 5 | String | M | See section 2.4.2.1  The five–digit ZIP Code for the mailing address for the school | All 5 digits (cannot be 00000 or 99999 or less than 00600) |
| **DG8** ZIP Code Plus 4 Mailing - School | 432 | 4 | String | O | See section 2.4.2.1  The four–digit extension of the ZIP Code for the mailing address for the school | All 4 digits (cannot be 0000)  OR  blank |
| **DG9** Address Location 1 - School | 436 | 60 | String | O | See section 2.4.2.2  The street address that describes the physical location of the school |  |
| **DG9** Address Location 2 - School | 496 | 60 | String | O | See section 2.4.2.2  Additional address information that describes the physical location of the school |  |
| **DG9** Address Location 3 - School | 556 | 60 | String | O | See section 2.4.2.2  Additional address information that describes the physical location of the school |  |
| **DG9** City Location - School | 616 | 30 | String | O | See section 2.4.2.2  The name of the city that describes the physical location of the school |  |
| **DG9** State Abbreviation Location - School | 646 | 2 | String | O | See section 2.4.2.2  The state abbreviation for location address of the school | For a list of valid USPS State Abbreviations, refer to Appendix A |
| **DG9** ZIP Code Location - School | 648 | 5 | String | O | See section 2.4.2.2  The five–digit ZIP Code for the location address of the school | All 5 digits (cannot be 00000 or 99999 or less than 00600)  OR  blank |
| **DG9** ZIP Code Plus 4 Location - School | 653 | 4 | String | O | See section 2.4.2.2  The four–digit extension of the ZIP Code for the location address of the school | All 4 digits (cannot be 0000)  OR  blank |
| **DG531**  Operational Status – School SY Start | 657 | 30 | String | M | See section 2.4.3.1  The classification of the operational condition of a school, at the start of the school year. | **1** – Open **2** – Closed **3** – New **4** – Added **5** – Changed LEA affiliation  **6** – Inactive **7** – Future  **8** – Reopened |
| **DG531** Operational Status – School Updated | 687 | 30 | String | U  ***Revised!*** | See section 2.4.3.1  The classification of the operational condition of a school, if changed during the school year  See section 4.5.  Use only if updating the school operational status from the start of the SY | **1** – Open **2** – Closed **3** – New **4** – Added **5** – Changed LEA affiliation **6** – Inactive **7** – Future  **8** – Reopened |
| **DG571** Effective Date | 717 | 10 | String | U  ***Revised!*** | The date a change in a directory data element takes place.  Use only if updating the school operational status from the start of the SY  If blank, defaults to the date the file is processed. | **YYYY-MM-DD** |
| **DG27** Charter Status | 727 | 30 | String | M | See section 2.4.4.2  An indication that a public school provides free public elementary and/or secondary education to eligible students under a specific charter executed, pursuant to a state charter school law, by an authorized chartering agency/authority and that is designated by such authority to be public charter school. | **YES** – Charter school **NO** – Not a charter school **NA** – Not Applicable |
| **DG4** Prior State LEA ID | 757 | 14 | String | S  ***Revised!*** | See section 4.1.1  This field is to be used when the State LEA ID needs to be changed. |  |
| **DG5** Prior State School ID | 771 | 20 | String | S  ***Revised!*** | See section 4.1.2  This field is to be used when the State School ID needs to be changed |  |
| **DG743**  Reconstituted Status | 791 | 15 | String | M | See section 2.4.3.5  An indication that the school was restructured, transformed, or otherwise changed as a consequence of the state’s accountability system under ESEA or as a result of School Improvement Grants (SIG), but is not recognized as a new school for CCD purposes. | **YES** – Reconstituted school  **NO** – Not a reconstituted school |
| Filler | 806 | 15 | String | M | Leave filler fields blank. |  |
| **DG804**  Charter Authorizer Identifier (State) - Primary Authorizer  ***Revised!*** | 821 | 20 | String | C  ***Revised!*** | See section 2.4.4.3  For charter schools, the SEA-assigned identifier of the primary agency authorizing this school. |  |
| **DG804**  Charter Authorizer Identifier (State) - Secondary Authorizer  ***Revised!*** | 841 | 20 | String | C  ***Revised!*** | See section 2.4.4.3  For charter schools, the SEA-assigned identifier of the secondary agency authorizing this school, if applicable. | If there is no secondary authorizer, leave this field blank. |
| Explanation | 861 | 200 | String | O | See section 2.4.5 |  |
| Carriage Return / Line Feed (CRLF) | 1061 | 1 |  | M |  |  |

Below is an example of a data record, this is the set of data that should be submitted for each education unit. See table 2.4-1.

**Table D.3.3–2: School Data Record Example**

|  |  |
| --- | --- |
| Format  ***Revised!*** | File Record Number,State Code,State Agency Number,LEA Identifier (State),LEA Identifier (NCES),School Identifier (State),School Identifier (NCES),Education Entity Name - School,School Type,Out of State Indicator,Web Site Address - School,Telephone - School,Address Mailing 1 - School,Address Mailing 2 - School,Address Mailing 3 - School,City Mailing - School,State Abbreviation Mailing - School,ZIP Code Mailing - School,ZIP Code Plus 4 Mailing - School,Address Location 1 - School,Address Location 2 - School,Address Location 3 - School,City Location - School,State Abbreviation Location - School,ZIP Code Location - School,ZIP Code Plus 4 Location - School,Operational Status – School SY Start,Operational Status – School Updated,Effective Date,Charter Status,Prior State LEA ID,Prior State School ID,Reconsituted Status,Filler,Charter Authorizer Identifier (State) – Primary Authorizer,Charter Authorizer Identifier (State) - Secondary Authorizer,Explanation,Carriage Return / Line Feed (CRLF) |
| Example | 1,80,01,3400024,8000142,278A,32405,Whitcomb Elementary,1,NO,www.whitcombschools.com,5555559999,204 Main St,,,Whit City,EU,99999,,,,,,,,,,1,,,NO,,,NO,,,,¶ |



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1. *These data are submitted only when an operational status is updated during the school year. See section 4.5 “Updating Operational Status During the School Year” for more information*. [↑](#footnote-ref-1)
2. LEAs or schools previously reported as “7-Future” that never opened must eventually be reported as “2-Closed.” [↑](#footnote-ref-2)
3. If an LEA or school is temporarily closed and expected to reopen, it should be reported as “6-Inactive” instead of as “2-Closed.” [↑](#footnote-ref-3)
4. LEAs or schools not yet in operation should be coded with an operational status of “7-Future.” [↑](#footnote-ref-4)
5. LEAs and Schools coded as “6-Inactive” must either close or return to open status. These entities are reported in the Directory during the years that they are inactive. [↑](#footnote-ref-5)
6. If an LEA or school become in operation after the beginning of the SY, the LEA or school would be reported with a school year start operational status of future and an updated status of new. [↑](#footnote-ref-6)
7. LEAs with a type code of “3 – Supervisory union” are not included in FS052 because the students are reported by the LEAs with the LEA type code of “2” [↑](#footnote-ref-7)
8. Not official U.S. Postal State Abbreviations. The state abbreviations for the Department of Defense (overseas) schools are AA, AE, and AP to indicate schools located in Asia, Europe, and the Pacific, respectively. For Department of Defense (domestic) schools and Bureau of Indian Education schools, state abbreviations correspond to the state in which the school is located. [↑](#footnote-ref-8)