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U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

**FS035 – Federal Programs**

**File Specifications**

**SY 2017-18**

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DOCUMENT CONTROL

DOCUMENT INFORMATION

|  |  |
| --- | --- |
| **Title:** | FS035 – Federal Programs 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 | January 2020 | Updated for SY 2017-18:* Added new section 2.4 “Categories and Permitted Values”, listing categories and permitted values used in this file
	+ Revised permitted values for category Federal Program Code (added values 84.323A and 84.424; revised descriptions for values 84.358, 84.367A and 84.371; removed values 84.366B and 84.377)
* Guidance section renumbered to 2.5
	+ Deleted duplicate information on categories and permitted values from Q & A section
* Definitions section renumbered to 2.6
 |

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* Initiatives Home Page](http://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 Single Inventory (BRSI) - a single inventory containing business rules applied to ED*Facts* data throughout the pre- and post-submission lifecycle of that data. The inventory 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 8/31/2022). ED*Facts* is a U.S. Department of Education (ED) initiative to govern, acquire, validate, and use high-quality, pre-kindergarten through grade 12 (pre-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.

**Contents**

[DOCUMENT CONTROL ii](#_Toc29463961)

[PREFACE iii](#_Toc29463962)

[1.0 PURPOSE 1](#_Toc29463963)

[2.0 GUIDANCE FOR SUBMITTING THIS FILE 1](#_Toc29463964)

[2.1 Changes from the SY 2016-17 File Specifications 1](#_Toc29463965)

[2.2 Core Requirements for Submitting this File 1](#_Toc29463966)

[2.3 Required Categories and Totals 3](#_Toc29463967)

[2.4 *New!* Categories and Permitted Values 3](#_Toc29463968)

[2.5 Guidance 4](#_Toc29463969)

[2.5.1 LEA Level File 6](#_Toc29463970)

[2.5.2 Data Quality Check 7](#_Toc29463971)

[2.6 Definitions 8](#_Toc29463972)

[3.0 FILE NAMING CONVENTION 9](#_Toc29463973)

[4.0 FIXED OR DELIMITED FILES 10](#_Toc29463974)

[4.1 Header Record Definition 10](#_Toc29463975)

[4.2 Data Record Definition 11](#_Toc29463976)

[APPENDIX 13](#_Toc29463977)

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# PURPOSE

This document contains instructions for building files to submit ED*Facts* Data Group 547: Federal programs funding allocation table. The definition for this data group is:

The amount of federal dollars distributed to local education agencies (LEAs), retained by the state education agency (SEA) for program administration or other approved state-level activities (including unallocated, transferred to another state agency, or distributed to entities other than LEAs).

This data collection is mandated under Sec. 424 of the General Education Provisions Act (GEPA), which requires that ED report to Congress on the distribution of Federal education funds to school districts when those funds flow through state agencies. For state-administered programs, states make the award determinations and distribute the funds to Local Education Agencies (LEAs) and other recipients based on the requirements specific to each program. For each program listed in the appendix, states report by Code of Federal Domestic Assistance (CFDA) number the amount distributed to each LEA that received funds from the state’s Federal allocation. The data in this file specification was previously collected under GEPA 424 Data Collection on the Distribution of Federal Education Funds (OMB Clearance Number 1875-0203).

The ED data stewarding office/s for this file: OCFO.

# GUIDANCE FOR SUBMITTING THIS FILE

This section contains changes from the previous school year, core requirements for submitting this file, required categories and totals, and general guidance.

1.

## Changes from the SY 2016-17 File Specifications

There have been changes to this file specification that resulted in changes to the record layouts. The changes are:

* Revised permitted values for category Federal Program Code

## Core Requirements for Submitting this File

The following table contains the reporting period, the education units included or excluded, the type of count, and zero count reporting.

**Table 2.2-1: Core Reporting Requirements**

|  | **SEA** | **LEA** | **School** |
| --- | --- | --- | --- |
| Reporting Period | Federal Fiscal Year – The 12 month period beginning October 1 and ending September 30 | Federal Fiscal Year – The 12 month period beginning October 1 and ending September 30 |  |
| Education units included | Include SEA | LEAs that were operational at any time during the school year and received funds for program administration or other approved state-level activities. |  |
| Education units not included |  | LEAs that were closed or inactive. LEAs that did not receive funds for program administration or other approved state-level activities. |  |
| Type of count | Dollars | Dollars |  |
| Zero counts | Not required. Unreported values will be assumed to be zeros.  | Not required. Unreported values will be assumed to be zeros.  |  |
| Zero exceptions orNot applicable | If there were any unused Federal Program Codes, leave these out of the file | Leave LEAs that did not receive funds for program administration or other approved state-level activities out of the file. |  |
| Missing | Use “-1” to report dollar amounts. Use “-1” only when an Educational Unit has received funds under a Federal Program Code but the amount is unavailable at the time of submission and will be provided in a later submission.“MISSING” is not a permitted value for this file. | Use “-1” to report dollar amounts. Use “-1” only when an Educational Unit has received funds under a Federal Program Code but the amount is unavailable at the time of submission and will be provided in a later submission.“MISSING” is not a permitted value for this file. |  |
| Related metadata survey |  |  |  |

## Required Categories and Totals

The data group is submitted at the following levels:

* SEA
* LEA

As indicated in the following tables, each record must have a federal program code and a full dollar amount.

At the SEA level, each record must also have a Funding Allocation Type.

**Table 2.3–1a: SEA Level - Federal Program Tables, Required Categories, and Applicable Totals**

| **Table Name** | **Federal Program Code** | **Federal Programs Funding Allocation Type** | **Full Dollar Amount****(Funding Allocation)** |
| --- | --- | --- | --- |
| **FEDPROG** | X | X | X |

At the LEA level, only Federal Program Code and Full Dollar Amount are required.

**Table 2.3–1b: LEA Level - Federal Program Tables, Required Categories, and Applicable Totals**

| **Table Name** | **Federal Program Code** | **Full Dollar Amount (Funding Allocation)** |
| --- | --- | --- |
| **FEDPROG** | X | X |

## *New!* Categories and Permitted Values

This section contains the categories and permitted values used for submitting this file.

**DG547 - Federal programs funding allocation table:**

**Federal Programs Funding Allocation Type**

The Funding Allocation Type allows for the identification of whether the SEA retained the funds for distribution, transferred the funds to another state agency, distributed to non-LEAs, or the amount is unallocated.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| RETAINED | Retained by SEA for program administration, etc. |  |
| TRANSFER | Transferred to another state-level agency |  |
| DISTNONLEA | Distributed to entities other than LEAs |  |
| UNALLOC | Unallocated or returned funds |  |

**Federal Program Code**

The unique five–digit number assigned to each federal program as listed in the Catalog of Federal Domestic Assistance (CFDA).

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| 84.002 | Adult Education State Grant Program  |  |
| 84.010 | Title I Grants to Local Education Agencies |  |
| 84.011 | Migrant Education - Basic State Grant Program |  |
| 84.013 | Title I Program for Neglected and Delinquent Children |  |
| 84.027 | Special Education - Grants to States |  |
| 84.048  | Career and Technical Education - Basic Grants to States |  |
| 84.173 | Special Education Preschool Grants |  |
| 84.196 | Education for Homeless Children and Youth |  |
| 84.282 | Charter Schools Program |  |
| 84.287 | 21st Century Community Learning Centers  |  |
| 84.323A | Special Education State Personnel Development Grants | New for SY 2017-18 |
| 84.334S | GEARUP State Awards |  |
| 84.358 | Rural Education Achievement Program | Name changed from “Rural Education Program” for SY 2017-18 |
| 84.365A | English Language Acquisition, State Grants |  |
| 84.367A | Supporting Effective Instruction State Grants | Name changed from “Improving Teacher Quality State Grants” for SY 2017-18 |
| 84.371 | Comprehensive Literacy Development Grants | Name changed from “Striving Readers” for SY 2017-18 |
| 84.372 | Statewide Longitudinal Data Systems |  |
| 84.424 | Student Support and Academic Enrichment Grants | New for SY 2017-18 |
| MISSING | Missing |  |

## Guidance

This file specification is used to collect data about the distribution to LEAs of the fiscal year (FY) federal allocations to states for state-administered educational programs. Funding data reported through this file represent the full dollar amount of the Federal allocations to states for a specific fiscal year that were either distributed to LEAs, transferred to other state agencies, distributed to non-LEAs, or retained for state-level activities.[[1]](#footnote-1) States report on the uses of funds allocated during a particular fiscal year, regardless of the year the funds were actually used (within the 27- month period allowed by the Tydings Amendment). **These amounts should not include funds carried over from a previous fiscal year.**

**What year does my state report GEPA funds, even if the funds are allocated by ED in a different year than they are distributed by the state?**

The rule to follow is that states should always report GEPA funding in FS035 (both SEA and LEA levels) according to the Federal Fiscal Year (FFY) in which the funds were allocated (awarded or allotted) to the state by ED. Even if the funds weren’t actually distributed by the state to LEAs or other entities until a later year, the funds should be recorded in the year they are originally allocated by ED. For instance, GEPA funds allocated to the state in FFY17 should be reported in the SY2017-18 FS035 file at both the SEA and LEA levels.

**How does Federal Fiscal Year (FFY) relate to school year (SY) for purposes of ED*Facts* GEPAreporting?**

For purposes of reporting, School Year 2017-18 will be used to report Federal Fiscal Year 2017. In the header record data element named File Reporting Period, enter 2017-2018 or 2017 2018 when reporting federal allocation data for Fiscal Year 2017.

 FFY 2018 federal allocation data will be reported under school year 2018-19.

**What programs are included in this file?**

This file should include all programs where the state received funds from the U.S. Department of Education and distributed some portion of those funds to LEAs. The appendix lists the programs that SEAs may apply for and distribute to LEAs. These are the only programs states should include in this file.

**What funds are reported?**

Funds reported include program allocations from Federal Fiscal Year 2017.

Federal program allocations are available for obligation by the recipient for up to 27 months. For Federal Fiscal Year 2017 states can make distributions through September 30, 2019.

**What if my state received Federal funds for a program or CFDA number that is not listed in the appendix?**

If the program is not listed in the appendix, do not include it on the file.

**What if my state received Federal funds for a program or CFDA number listed in the appendix, but the program was not administered by the SEA? For example, what if the program was administered by the Department of Technical and Adult Education?**

Report the amount transferred and, if the data are available, the amount distributed to LEAs either by the SEA or the state agency that received the funds.

**What qualifies as a distribution to an LEA? Is it the amount the SEA planned to distribute to the LEA or the amount the LEA actually received and did not return to the SEA?**

GEPA 424 requires states to report on the “uses of federal funds…under any Federal program administered by the State that provided grants or contracts to a local education agency.” States should, therefore, report the actual amount the LEA received and did not return to the SEA.

**How should amounts that were forfeited or returned to the SEA (e.g., allocations to LEAs that closed during the school year) be reported?**

Returned or forfeited funds should be reported as unallocated, unless those funds were repurposed during the same fiscal year. If repurposed, then those funds are reported according to the recipient of the repurposed funds (e.g., distributed to an LEA or another state agency).

**What if the LEA that was allocated funds is not operational in the current SY?**

If there are LEAs that were allocated funds that are not operational in the current SY, submit a spreadsheet to PSC with the data.  The spreadsheet should be in the same format as the LEA level file.

**If funds for one or multiple LEAs are members of consortia whose lead is a non-LEA, how should the funds be reported?**

Funds should be reported at the SEA level under the code 'DISTNONLEA.'

**Should the amount of funds distributed to LEAs be included in the SEA file as well?**

No, they should be included only once.

### LEA Level File

**What is reported at the LEA level?**

At the LEA level, for each program report the amount distributed by the SEA to each LEA. For programs administered by a different state agency, if possible report the amount distributed to LEAs by that agency.

**How do I avoid validation errors when reporting GEPA funding for new LEAs which started receiving funding in the prior school year (before the LEA was operational)?**

States should include new LEAs with an operational status of ‘7’ for ‘FUTURE’ in their directory submissions as soon as it is known that the LEA may be opened at some point in the future. See further guidance in Directory (FS029).

**What if an LEA did not receive funds for a particular program?**

If an LEA did not receive any funds for a program, do not include a record for that CFDA number for that LEA.

**What is an LEA for this file?**

States should report distributions to any entity that is treated as an LEA for CCD reporting as well as any other entities that are treated as LEAs when reporting data for any other federal program in the ED*Facts* Submission System (ESS). If the entity is classified as an LEA on your Directory file and it received money from the state for a program, then report the distributions to that entity.

**What if subgrants were made to entities that are not “Regular School Districts”?**

Several of the Federal Programs reported in this file, codes 84.002, 84.011, 84.282 and 84.287, allow subgrants to entities other than LEAs. If the entity is any of the eight Education Agency Types that allow for the agency to be included in the state’s ED*Facts* LEA Directory, the allocation should be included in this file.

If the subgrants are made to entities that are not part of the state’s ED*Facts* LEA Directory, they should be left out of the file.

### Data Quality Check

**How can I check the file for reasonability?**

For each CFDA code, the sum of

* the full dollar amount reported for each LEA that received funds, plus
* the amount transferred to other state agencies, plus
* the amount distributed to non-LEAs, plus
* the amount retained at the state level should equal the amount of the Federal allocation the state received for that program. If there were unallocated funds, then the sum should equal the amount of the Federal allocation the state received minus the amount of unallocated funds. The sum of the distributions should never exceed the total allocation by more than a few dollars; the result of rounding to the full dollar amount. If the sum is greater than the total, make sure that funds carried over from a prior fiscal year were not included.

Note that these are rules of thumb. At this time, they are not programmed as business rules in the ESS.

## Definitions

See the [ED*Facts* Workbook](https://www2.ed.gov/about/inits/ed/edfacts/eden-workbook.html) for the standard definitions. This file specification has no additional definitions.

# 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
 | 3 |
| filename | **FEDPROOFF** | 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 | 4 |

# FIXED OR DELIMITED FILES

This section describes the fixed file and delimited file specifications. The fixed file and delimited files contain a header record followed by data records. The file type is specified in the header record.

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

M - Mandatory, this field must always be populated

A - This field is populated in accordance with table 2.3-1 “Required Categories and Totals”

O - Optional, data in this field are optional

1.

## 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 4.1–1: Header Record**

| **Data Element****Name** | **StartPosition** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Type | 1 | 50 | String | M | Identifies the type of file being submitted.  | **SEA FEDERAL PROGRAMS****LEA FEDERAL PROGRAMS** |
| 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 | Enter the Academic School Year associated, for purposes of this data collection, with the fiscal 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 | 177 | String | M | Leave filler field blank. |  |
| Carriage Return / Line Feed (CRLF) | 304 | 1 |   | M |   |   |

Below is an example of a header record.

**Table 4.1–2: Header Record Example**

|  |  |
| --- | --- |
| Format | File Type,Total Records in File,File Name,File Identifier,File Reporting Period,Filler,Carriage Return/Line Feed |
| Example | LEA FEDERAL PROGRAMS,15,EUSEAMEMBERSHPver0007.CSV,Euphoria LEA Version 7.0,2017-2018,¶ |

## Data Record Definition

Data records are required and immediately follow the header record in every file submitted to the ESS. Data records provide counts for the specified category sets, subtotals and education unit totals.

**Table 4.2–1: Data Records**

| **Data Element Name** | **StartPosition** | **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 | 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 | 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 | The identifier assigned to a local education agency (LEA) by the state education agency (SEA). Also known as State LEA Identification Number (ID). This data element cannot be updated through this file. | SEA level – Blank |
| Filler | 29 | 20 | String | M | Leave filler field blank. |   |
| Table Name | 49 | 20 | String | M | See tables 2.3-1a and 2.3-1b | **FEDPROG** |
| Federal Program Code | 69 | 15 | String | M | The unique five–digit number assigned to each federal program as listed in the Catalog of Federal Domestic Assistance (CFDA) | See section 2.4***Revised!*** |
| **DG547**Federal Programs Funding Allocation Table | 84 | 10 | Number | M | The amount of federal dollars retained by the state education agency (SEA) for program administration or other approved state-level activities, transferred to another state agency, distributed to non-LEAs, or unallocated. The dollar amount is expressed as a numeric value in whole dollars, no decimal places or "$". | Full Dollar Amount |
| **DG547**Federal Programs Funding Allocation Type | 94 | 10 | String | M | The Funding Allocation Type allows for the identification of whether the SEA retained the funds for distribution, transferred the funds to another state agency, distributed to non-LEAs, or the amount is unallocated. | LEA level – Blank**RETAINED –** Retained by SEA for program administration, etc.**TRANSFER –** Transferred to another state-level agency**DISTNONLEA –** Distributed to entities other than LEAs.**UNALLOC –** Unallocated or returned funds |
| Explanation | 104 | 200 | String | O | Text field for state use |   |
| Carriage Return / Line Feed (CRLF) | 304 | 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 tables 2.3-1a and 2.3-1b.

**Table 4.2–2: Data Record Example – SEA level**

|  |  |
| --- | --- |
| **Aggregation**  | **Example** |
| Format | File Record Number,State Code,State Agency Number,State LEA Identifier,Filler,Table Name,Federal Program Code,Federal Programs Funding Allocation Table,Federal Programs Funding Allocation Type,Explanation,Carriage Return / Line Feed (CRLF) |
| Example | 1,03,01,,,FEDPROOFF,84.243,72000,TRANSFER,¶ |

# APPENDIX

List of the U.S. Department of Education’s Federal Program Codes Applicable to Reporting the Federal Programs Funding Allocation Table (Full Dollar Amount) Data.

| **Federal Program Code** | **Description** | **Notes** |
| --- | --- | --- |
| 84.002 | Adult Education State Grant Program | Subgrants may go to agencies other than LEAs. |
| 84.010 | Title I Grants to Local Education Agencies |  |
| 84.011 | Migrant Education – Basic State Grant Program | Subgrants may go to agencies other than LEAs |
| 84.013 | Title I Program for Neglected and Delinquent Children |  |
| 84.027 | Special Education - Grants to States |  |
| 84.048 | Career and Technical Education – Basic Grants to States |  |
| 84.173 | Special Education Preschool Grants |  |
| 84.196 | Education for Homeless Children and Youth |  |
| 84.282 | Charter Schools Program | Subgrants may go to agencies other than LEAs |
| 84.287 | 21st Century Community Learning Centers  | Subgrants may go to agencies other than LEAs. |
| 84.323A***New!*** | Special Education State Personnel Development Grants |  |
| 84.334S | GEARUP State Awards |  |
| 84.358 | Rural Education Achievement Program***Revised!*** |  |
| 84.365A | English Language Acquisition, State Grants |  |
| 84.367A | Supporting Effective Instruction State Grants***Revised!*** |  |
| 84.371 | Comprehensive Literacy Development Grants***Revised!*** | Competitive awards are made to states and are then subgranted to LEAs |
| 84.372 | Statewide Longitudinal Data Systems |  |
| 84.424***New!*** | Student Support and Academic Enrichment Grants |  |



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1. States’ use of these retained funds varies by program, but may include activities such as technical assistance, professional development, development of standards and assessments, curriculum development, program evaluation, development of accountability systems and direct services for children in state institutions. [↑](#footnote-ref-1)