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U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

**FS035 – Federal Programs**

**File Specifications**

**SY 2020-21**

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DOCUMENT CONTROL

DOCUMENT INFORMATION

|  |  |
| --- | --- |
| **Title:** | FS035 – Federal Programs File Specifications |

DOCUMENT HISTORY

|  |  |  |
| --- | --- | --- |
| **Version Number** | **Date** | **Summary of Change**  |
| 1.0 – 16.0 |  | Versions 1.0 through 16.0 are used to build files for school years prior to SY 2020-21. |
| 17.0 | February 2023 | Updated for SY 2020-21* Section 2.5: Updated years in examples.
 |

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](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 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](https://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 6/30/2025). 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.

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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 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: Office of Chief Data Officer.

# 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.

##  Changes from the SY 2019-20 File Specifications

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

##  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 under one of the formula grant programs listed in section 2.4 below under Federal Program Code. |  |
| Education units not included |  | LEAs that were closed or inactive. LEAs that did not receive funds under one of the formula grant programs listed in section 2.4 below under Federal Program Code. |  |
| 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 under one of the formula grant programs listed in Section 2.4 under Federal Program Code 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

At the SEA level, each record must have a Federal Program Code, Funding Allocation Type, and Full Dollar Amount.

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

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

At the LEA level, each record must have Federal Program Code and Full Dollar Amount.

**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 |

## Categories and Permitted Values

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

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

**Funding Allocation Type**

The types of allocation or distribution made.

Used only at the SEA level

|  |  |  |
| --- | --- | --- |
| **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 |  |
| 84.334S | GEARUP State Awards |  |
| 84.358 | Rural Education Achievement Program |  |
| 84.365A | English Language Acquisition, State Grants |  |
| 84.367A | Supporting Effective Instruction State Grants |  |
| 84.371 | Comprehensive Literacy Development Grants |  |
| 84.372 | Statewide Longitudinal Data Systems |  |
| 84.424 | Student Support and Academic Enrichment Grants |  |

## Data Reporting Guidelines

This section contains guidance for submitting this file in the format of questions and answers.

***Revised!* What funds are reported?**

Funds reported include program allocations from Federal Fiscal Year 2020.

Amounts reported should reflect funds received from the Department for which the period of Federal availability to obligate to the States began between October 1, 2019 and September 30, 2020, except that the “Advance Funds” reported should be those made available October 1, 2020.

The Department has approved waivers of GEPA section 421(b) to some States for certain programs, effectively extending the availability of certain FY 2020 funding to September 30, 2023. Accordingly, the Department will issue an extension of the reporting period for the affected data

**How are funds reported when the federal program code has an additional character beyond what is listed in section 2.4 above?**

Ignore any characters beyond the three digits following the “84.”

The federal program codes listed in section 2.4 use CFDA codes in the format of 84.xxx with the xxx denoting a specific Department program. When there is more than one grant competition or other sub-program activity conducted under a program, the Department may add an “alpha suffix” to identify each sub-program component. Award amounts that share the same three digits following “84.” are within the same program and, therefore, should be reported as a single program.

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

Report the following:

* Amounts retained by the SEA for program administration
* Transferred to another state level agency
* Distributed to entities other than LEAs
* Unallocated or returned funds

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

At the LEA level, for each program report the amount distributed by the SEA to any LEA included in the state’s LEA Directory file for SY 2020-21.

## Data Entities in the LEA level file

***Revised!* What entities are reported in the LEA level file?**

Report any federal grant distributions for the programs listed in section 2.4 to any entity that is reported in the state’s LEA Directory file for SY 2020-21 (the reporting SY).

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

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

**How are funds to new LEAs handled?**

LEAs can receive federal funds before becoming operational LEAs. 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).

**If funds for one or multiple LEAs are members of consortia whose lead is a non-LEA (not reported in the state’s LEA Directory file), how should the funds be reported?**

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

## Distributions to LEAs

**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).

**The amount of funds distributed to the LEAs is included on the LEA level file; should the amount of funds distributed to them be included in the SEA file as well?**

No, they should be included only once in the LEA 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 in the LEA file plus
* the amount transferred to other state agencies, plus
* the amount distributed to non-LEAs, plus
* the amount retained at the state level

The total of the above 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

## 4.1 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** | **Start Position** | **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 | Integer***Revised!*** | 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. | **2020-2021****OR****2020 2021** |
| 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 Examples**

|  |  |
| --- | --- |
| Format | File Type,Total Records in File,File Name,File Identifier,File Reporting Period,Filler,Carriage Return/Line Feed |
| Example-SEA | SEA FEDERAL PROGRAMS,15,EUSEAFEDPROOFFver0007.CSV,Euphoria SEA Version 7.0,2019-2020,¶ |
| Example - LEA | LEA FEDERAL PROGRAMS,35,EULEAFEDPROOFFver0007.CSV,Euphoria LEA Version 7.0,2020-2021,¶ |

## 4.2 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** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Record Number | 1 | 10 | Integer***Revised!*** | 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 |
| Federal Programs Funding Allocation Table | 84 | 10 | Integer***Revised!*** | 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 |
| Federal Programs Funding Allocation Type | 94 | 10 | String | A | 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 Examples**

|  |  |
| --- | --- |
| **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 - SEA | 1,03,01,,,FEDPROG,84.243,72000,TRANSFER,¶ |
| Example - LEA | 1,03,01,00613EUPHORIA,,FEDPROG,84.371,12000,,¶ |



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