

**U.S. DEPARTMENT OF EDUCATION**

ED*Facts* Submission System

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| **FS099 - Special Education Related Services Personnel File Specifications** |
| **SY 2020-21** |

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DOCUMENT CONTROL

DOCUMENT INFORMATION

|  |  |
| --- | --- |
| **Title:** | FS099 - Special Education Related Services Personnel File Specifications |
| **Security Level:** | Unclassified – For Official Use Only |

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 | April 2021 | Updated for SY 2020-21:* Section 2.5
* Renamed heading "Guidance" to "Data Reporting Guidelines"
* Streamlined questions and answers to ensure the file specification emphasizes technical guidance and includes references for any critical policy guidance
 |

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](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 iii](#_Toc68099087)

[PREFACE iv](#_Toc68099088)

[1.0 PURPOSE 1](#_Toc68099089)

[2.0 GUIDANCE FOR SUBMITTING THIS FILE 1](#_Toc68099090)

[2.1 Changes from the SY 2019-20 File Specifications 1](#_Toc68099091)

[2.2 Core Requirements for Submitting this File 1](#_Toc68099092)

[2.3 Required Categories and Totals 3](#_Toc68099093)

[2.4 Categories and Permitted Values 3](#_Toc68099094)

[2.5 *Revised!* Data Reporting Guidelines 4](#_Toc68099095)

[2.6 Definitions 5](#_Toc68099096)

[3.0 FILE NAMING CONVENTION 9](#_Toc68099097)

[4.0 FIXED OR DELIMITED FILES 10](#_Toc68099098)

[4.1 Header Record Definition 10](#_Toc68099099)

[4.2 Data Record Definition 11](#_Toc68099100)

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# PURPOSE

This document contains instructions for building files to submit ED*Facts* Data Group 609: Special education related services personnel (FTE) table. The definition for this data group is:

The number of full-time equivalent (FTE) related services personnel employed or contracted to provide related services for children with disabilities (IDEA) who were ages 3 through 21.

The data using this file specification are collected under the authority of the Individuals with Disabilities Education Act (IDEA), Section 618.

The ED data stewarding office/s for this file: OSERS/OSEP

# 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

As noted in the document history on page ii, Section 2.5 has been renamed to "Data Reporting Guidelines" and the questions and answers have been streamlined to ensure the file specification emphasizes technical guidance and includes references for any critical policy guidance (statutory, regulatory, or program priority). Our goal is to be transparent about the source of reporting guidance and requirements. We encourage grantees and survey respondents to use the references to build contextual understanding about the reporting requirements.

There have been no other 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** | Child Count Date - The date designated by the state that is between October 1 and December 1 for the IDEA child count. | Child Count Date - The date designated by the state that is between October 1 and December 1 for the IDEA child count. |  |
| **Education units reported** | Include SEA | Operational LEAs that have responsibility for children with disabilities (IDEA) with IEPs. |  |
| **Education units not reported** |   | Closed, inactive, or future LEAs LEAs that do not have responsibility for children with disabilities (IDEA) with IEPs. |  |
| **Type of count** | Full-time equivalent (FTE), rounded to the hundredth decimal place | FTE, rounded to the hundredth decimal place |  |
| **Zero counts** | Required for all valid combinations, except as explained below | Not required; valid combinations for the state that are not included will be assumed to be zeros |  |
| **Zero Exceptions and Not applicable** | If a state does not use a permitted value (e.g., Social Workers), the counts by that permitted value should be left out of category set A and subtotals 1. | If a state does not use a permitted value (e.g., Social Workers), the counts by that permitted value should be left out of category set A and subtotals 1. |  |
| **Missing** | Use “-1” to report missing FTE counts (ignore instructions on number format in record layouts)Use “MISSING” when a category is not available  | Use “-1” to report missing FTE counts (ignore instructions on number format in record layouts)Use “MISSING” when a category is not available  |  |
| **Related metadata survey**  | The responses to the E*MAPS* State Supplementary Survey - IDEA and the permitted values reported must align.  | The responses to the E*MAPS* State Supplementary Survey -IDEA and the permitted values reported must align.  |  |

## Required Categories and Totals

The table below lists the combinations of the categories and totals that are expected to be submitted for the state and each LEA or school that should be included in the file.

* An “X” in the column indicates that the category value must be submitted when reporting that aggregation.
* The total indicator must be either “Y” (Yes) or “N” (No).
	+ If the record is for a category set, specify an “N” (No).
	+ If the record is for a subtotal or education unit total, specify a “Y” (Yes).
* The abbreviations in the “Table Name” column represent the technical name of the data used in the file.

**Table 2.3–1: Required Categories and Totals**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Aggregation** | **Table Name** | **Staff Category (Special Education Related Service)** | **Certification Status** | **Total Indicator** | **Comments** |
| **Category Set A** | **SPEDUPERSNL** | X | X | N | FTE by Staff Category (Special Education Related Service) by Certification Status |
| **Subtotal 1** | **SPEDUPERSNL** | X |  | Y | FTE by Staff Category (Special Education Related Service) |

## Categories and Permitted Values

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

**DG609 - Special education related services personnel (FTE) table:**

**Staff Category (Special Education Related Service)**

Titles of personnel employed and contracted to provide related services for children with disabilities (IDEA).

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| AUDIO | Audiologists |  |
| SPEECHPATH | Speech-language pathologists |  |
| INTERPRET | Interpreters |  |
| PSYCH | Psychologists | Report for LEAs with students |
| OCCTHERAP | Occupational therapists |  |
| PHYSTHERAP | Physical therapists |  |
| PEANDREC | Physical education teachers and recreation and therapeutic recreation specialists |  |
| SOCIALWORK | Social workers |  |
| MEDNURSE | Medical/nursing service staff |  |
| COUNSELOR | Counselors and rehabilitation counselors |  |
| ORIENTMOBIL | Orientation and mobility specialists |  |
| MISSING | Missing | Use when data are not available by this category. |

**Certification Status**

An indication of whether a related services personnel holds the certification or licensure required by their assignment.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| FC | Fully certified or licensed |  |
| NFC | Not fully certified or licensed |  |
| MISSING | Missing | Use when data are not available by this category. |

## *Revised!* Data Reporting Guidelines

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

***New!*** The questions in this section are based on the following statute, regulation, and/or regulatory guidance: 20 U.S.C. 1412(a)(14), 34 CFR § 300.156.

This file specification is used to collect the full-time equivalency (FTE) of related services personnel employed or contracted to provide related services to children with disabilities (IDEA) ages 3 through 21. Other files collect data on special education teachers (FS070) and special education paraprofessionals (FS112).

***Revised!* Which staff should be reported in this file?**

Report the related services personnel types listed in section 2.6. For the types listed, include the FTE of all personnel employed or contracted to provide related services to children with disabilities (IDEA) ages 3 through 21 regardless of funding source (i.e., Part B IDEA, State, or local), including personnel employed by private agencies.  See 34 CFR § 300.156.

***Revised!* How are data reported by FTE?**

Report the FTE on only the percentage of time the related services personnel work specifically with children with disabilities (IDEA) receiving special education and related services. When reporting the SEA or LEA data, the data are rounded to the hundredth decimal place. For example, a speech and language pathologist who works specifically with children with disabilities 3 hours per day of a 6-hour school day is counted as 0.50 FTE.  An orientation and mobility specialist who works 4 hours per day of a 6-hour school day is counted as 0.67 FTE.  As another example, if an LEA has two audiologists who **each** work with children with disabilities 4 hours per day of a 6-hour school day, the LEA would report 1.33 FTE (rounding 1.334 to the nearest hundredth decimal place).  See 34 CFR § 300.156.

***Revised!*** **How are staff reported by certification status?**

Include the FTE of personnel as ‘fully certified’ if they:

* Hold appropriate State certification or licensure for the position held; or
* Hold positions for which *no* State requirements exist (i.e., no certification or licensure requirements).[[1]](#footnote-2)

Include the FTE of personnel as ‘not fully certified’ if they:

* Did not hold standard State certification or licensure for the position to which they were assigned, or
* Did not meet other existing State requirements for the position.

These “not fully certified” individuals may be personnel employed on an emergency, provisional, or other basis (e.g. long term substitutes) if they do not hold standard state certification or licensure for the position to which they were assigned or if they did not meet other existing state requirements for the position. See 20 U.S.C. 1412(a)(14) and 34 CFR § 300.156.

## Definitions

The following are types of related services personnel categories that are the permitted values for “Staff Category (Special Education Related Service).” Related Service):”

1. Audiologists (**AUDIO**) - provide the following services to children with disabilities:
* Identification of children with hearing loss;
* Determination of the range, nature, and degree of hearing loss, including referral for medical or other professional attention for the habilitation of hearing;
* Provision of habilitative activities, such as language habilitation, auditory training, speech reading (lip-reading), hearing evaluation, and speech conservation;
* Creation and administration of programs for prevention of hearing loss;
* Counseling and guidance of children, parents, and teachers regarding hearing loss; and
* Determination of the children’s needs for group and individual amplification, selecting and fitting an appropriate aid, and evaluating the effectiveness of amplification.
1. Speech-language pathologists (**SPEECHPATH**) - provide the following services to children with disabilities:
	* Identification of children with speech or language impairments;
	* Diagnosis and appraisal of specific speech or language impairments;
	* Referral for medical or other professional attention necessary for the habilitation of speech or language impairments;
	* Provision of speech and language services for the habilitation or prevention of communicative impairments; and
	* Counseling and guidance of parents, children, and teachers regarding speech and language impairments.

Note – This does not include speech teachers who are reported in FS070 Special Education Teachers or FS112 Special Education Paraprofessionals.

1. Interpreters (**INTERPRET**) - provide services to children who are deaf or hard of hearing, including:
	* Oral transliteration services;
	* Cued language transliteration services; and
	* Sign language interpreting services.
2. Psychologists (**PSYCH**) - provide the following services to children with disabilities or in evaluations for special education eligibility:
	* Administering psychological and educational tests, and other assessment procedures;
	* Interpreting assessment results;
	* Obtaining, integrating, and interpreting information about child behavior and conditions relating to learning;
	* Consulting with other staff members in planning school programs to meet the special needs of children as indicated by psychological tests, interviews, direct observations, and behavioral evaluations;
	* Planning and managing a program of psychological services, including psychological counseling for children and parents; and
	* Assisting in developing positive behavioral intervention strategies.

Note – For reporting psychologists whose service time is divided between children with disabilities (IDEA) and children in the general population, base the reported FTE on only the percentage of time the psychologist works specifically with children receiving (or being evaluated for) special education and related services.

1. Occupational therapists (**OCCTHERAP**) - provide the following services to children with disabilities:
	* Improving, developing or restoring functions impaired or lost through illness, injury, or deprivation;
	* Improving ability to perform tasks for independent functioning if functions are impaired or lost; and
	* Preventing, through early intervention, initial or further impairment or loss of function.
2. Physical therapists (**PHYSTHERAP**) - provide the following services to children with disabilities:
	* Screening, evaluation, and assessment of children to identify movement dysfunction;
	* Obtaining, interpreting, and integrating information appropriate to program planning to prevent, alleviate, or compensate for movement dysfunction and related functional problems; and
	* Providing individual and group services or treatment to prevent, alleviate, or compensate for movement dysfunction and related functional problems.
3. Physical education teachers and recreation and therapeutic recreation specialists (**PEANDREC**) – provide the following services to children with disabilities:
	* Special physical education, adaptive physical education, movement education, or motor development to children and youth with disabilities; and/or
	* Assessment of leisure function;
	* Therapeutic recreation services;
	* Recreation programs in schools and community agencies; and
	* Leisure education.
4. Social workers (**SOCIALWORK**) - provide the following services to children with disabilities:
	* Preparing a social or developmental history on a child with a disability;
	* Group and individual counseling with the child and family;
	* Working in partnership with parents and others on those problems in a child’s living situation (home, school, and community) that affect the child’s adjustment in school;
	* Mobilizing school and community resources to enable the child to learn as effectively as possible in his or her educational program; and
	* Assisting in developing positive behavioral intervention strategies.
5. Medical/Nursing service staff (**MEDNURSE**) – personnel who provide medical and nursing services including:
	* Medical services[[2]](#footnote-3) for diagnostic and evaluation purposes provided to determine whether a child has a disability and the nature and extent of the special education and related services that the child needs.
	* Nursing services designed to enable a child with a disability to receive FAPE as described in the child’s IEP, with the exception of services related to medical devices that are surgically implanted (e.g., cochlear implants).
6. Counselors and rehabilitation counselors (**COUNSELOR**) – provide the following services to children with disabilities:
	* Guide individuals, families, groups, and communities by assisting them in problem solving, decision-making, discovering meaning, and articulating goals related to personal, educational and career development.
	* Provide services in individual or group sessions that focus specifically on career development, employment preparation, achieving independence, and integration in the workplace and community of a student with a disability.
	* Vocational rehabilitation services provided to a student with disabilities by vocational rehabilitation programs funded under the Rehabilitation Act of 1973, as amended.
7. Orientation and mobility specialists (**ORIENTMOBIL**) – personnel who provide orientation and mobility services including:
* Services provided to blind or visually impaired students by qualified personnel to enable those students to attain systematic orientation to and safe movement within their environments in school, home, and community; and
* Teaching students the following, as appropriate:
* Spatial and environmental concepts and use of information received by the senses (such as sound, temperature and vibrations) to establish, maintain, or regain orientation and line of travel (e.g., using sound at a traffic light to cross the street);
* To use the long cane or a service animal to supplement visual travel skills or as a tool for safely negotiating the environment for students with no available travel vision;
* To understand and use remaining vision and distance low vision aids; and
* Other concepts, techniques, and tools.

See the [ED*Facts* Workbook](https://www2.ed.gov/about/inits/ed/edfacts/eden-workbook.html) for the standard 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 | **SPEDPRSNL** | 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

## 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 SPECIAL EDUCATION PERSONNEL****LEA SPECIAL EDUCATION PERSONNEL** |
| 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, 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. | **2020-2021**OR**2020 2021** |
| Filler | 127 | 228 | String | M | Leave filler field blank. |   |
| Carriage Return / Line Feed (CRLF) | 355 | 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 (CRLF) |
| Example | LEA SPECIAL EDUCATION PERSONNEL,15,euleaSPEDPRSNLv000001.csv,characters to identify file,2020-2021,¶ |

## 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 | 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 | 15 | String | M | Leave filler field blank. |   |
| Table Name | 44 | 20 | String | M | See table 2.3-1. | **SPEDUPERSNL** |
| Staff Category (Special Education Related Service) | 64 | 50 | String | A | Titles of personnel employed and contracted to provide related services for children with disabilities (IDEA). | **AUDIO** – Audiologists**SPEECHPATH** – Speech-language pathologists**INTERPRET** – Interpreters**PSYCH** – Psychologists**OCCTHERAP** – Occupational therapists**PHYSTHERAP** – Physical therapists**PEANDREC** – Physical education teachers and recreation and therapeutic recreation specialists**SOCIALWORK** – Social workers**MEDNURSE** – Medical/nursing service staff**COUNSELOR** – Counselors and rehabilitation counselors**ORIENTMOBIL** – Orientation and mobility specialists**MISSING**  |
| Certification Status | 114 | 15 | String | A | An indication of whether a related services personnel holds the certification or licensure required by their assignment. | **FC** – Fully certified or licensed**NFC** – Not fully certified or licensed**MISSING**  |
| Filler | 129 | 15 | String | M | Leave filler field blank. |  |
| Total Indicator | 144 | 1 | String | M | An indicator that defines the count level – see table 2.3-1 “Required Categories and Totals” | **N** – Specifies category set**Y** – Specifies subtotal or total of the education unit |
| Explanation | 145 | 200 | String | O | Text field for state use. |   |
| Staff FTE | 345 | 10 | Decimal | M | Report decimal numbers down to one- hundredth FTE |   |
| Carriage Return / Line Feed (CRLF) | 355 | 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 2.3-1.

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

|  |  |
| --- | --- |
| **Aggregation**  | **Example** |
| Format | File Record Number,State Code,State Agency Number,LEA Identifier (State),Filler,Table Name,Staff Category (Special Education Related Service),Certification Status,Filler,Total Indicator,Explanation,Staff FTE, Carriage Return / Line Feed (CRLF) |
| Category Set A | 1,80,01,PSC017,,SPEDUPERSNL,PSYCH,FC,,N,,300.12¶ |
| Subtotal 1 | 23,80,01, PSC017,,SPEDUPERSNL,PSYCH,,,Y,,330.24¶ |



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1. Adapted from 34 CFR § 300.156(b) [↑](#footnote-ref-2)
2. Adapted from 20 U.S.C. § 1401(26) and 34 C.F.R. Part 300.34(5) [↑](#footnote-ref-3)