

**U.S. DEPARTMENT OF EDUCATION**

ED*Facts* Submission System

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| **FS112 - Special Education Paraprofessionals File Specifications** |
| **SY 2020-21** |

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# DOCUMENT CONTROL

DOCUMENT INFORMATION

|  |  |
| --- | --- |
| **Title:** | FS112 - Special Education Paraprofessionals 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.

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# PURPOSE

This document contains instructions for building files to submit ED*Facts* Data Group 647: Special education paraprofessionals (FTE) table. The definition for this data group is:

The number of full-time equivalent (FTE) paraprofessionals employed or contracted to work with 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 offices 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 | Not required; valid combinations for the state that are not included will be assumed to be zeros |  |
| Zero Exceptions and Not Applicable |  | If any LEA has no students in one of the age ranges, that age range should be left out of the file. |  |
| Missing | Use “-1” to report missing FTE count (ignore instructions on number format in record layouts)  Use “MISSING” when a category is not available | Use “-1” to report missing FTE count (ignore instructions on number format in record layouts)  Use “MISSING” when a category is not available |  |
| Related metadata survey |  |  |  |

## 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** | **Age Group** | **Qualification Status (Paraprofessionals)** | **Total Indicator** | **Comments** |
| **Category Set A** | **SPEDPARAPROF** | X | X | N | FTE by Age Group by Qualification Status (Paraprofessionals) |
| **Subtotal 1** | **SPEDPARAPROF** |  | X | Y | FTE by Qualification Status (Paraprofessionals) |
| **Subtotal 2** | **SPEDPARAPROF** | X |  | Y | FTE by Age Group |
| **Education Unit Total** | **SPEDPARAPROF** |  |  | Y | Education Unit Total of FTE |

## Categories and Permitted Values

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

**DG647 - Special education paraprofessionals (FTE) table:**

**Age Group**

The age range of students (children).

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| 3TO5 | 3 through 5 | In legacy collection as 3 through 5 |
| 6TO21 | 6 through 21 | In legacy collection as 6 through 21 |
| MISSING | Missing | Use when data are not available by this category. |

**Qualification Status (Paraprofessionals)**

An indication of whether paraprofessionals are classified as qualified for their assignment according to state definition.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| Q | Qualified |  |
| NQ | Not qualified |  |
| 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), 20 U.S.C. 6319(g)(2), 34 CFR § 300.156.

This file specification is used to collect the full-time equivalency (FTE) of special education paraprofessionals employed or contracted to provide special education services to children with disabilities (IDEA) ages 3 through 21. Other files collect data on special education teachers (FS070) and related services personnel (FS099).

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

Include the FTE of all paraprofessionals employed or contracted to provide special education and related services to children with disabilities (IDEA) ages 3 through 21 regardless of funding source (i.e.,Part B IDEA, State, and 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 special education paraprofessionals 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 paraprofessional who works specifically with children with disabilities for 3 hours per day of a 6-hour school day is counted as 0.50 FTE.  A paraprofessional 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 paraprofessionals 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 FTE of paraprofessional reported by qualification status?**

FTE is reported as either qualified or not qualified. Qualification status depends on whether paraprofessionals are included in the state’s definition of qualified based on the criteria identified in 20 U.S.C. 1412(14)(B). See 20 U.S.C. 1412(a)(14) and 34 CFR § 300.156.

Report paraprofessionals who meet the applicable requirements for the position in which they are employed as qualified and report paraprofessionals who do not meet the applicable requirements for the position in which they are employed as not qualified.

* If paraprofessionals are included, then paraprofessionals must meet the State standard for qualified based on the definition.
* If paraprofessionals are not included in the definition, then paraprofessionals are considered qualified for the FTE if they either:
  + Hold the appropriate State certification or licensure for the position held, or
  + Hold a position for which no State requirements exist (i.e. certification or licensure requirements).

Paraprofessionals who do not meet the standards listed above for qualified are reported as not qualified.

***Revised!*** **How should we report teachers who work with 5-year-old children with disabilities who are in Kindergarten (now reported in FS002)?**

Report the special education teachers and paraprofessionals who are employed or contracted to work with 5-year-old children with disabilities who are in Kindergarten in the school age reporting category (permitted value **6TO21**). See public input discussion in [ED-2018-ICCD-0117-0238](https://www.regulations.gov/document?D=ED-2018-ICCD-0117-0238).[[1]](#footnote-2)

## Definitions

The following definition supports this file:

**Paraprofessionals**

Paraprofessionals areemployees who provide instructional support, including those who:

1. provide one-on-one tutoring if such tutoring is scheduled at a time when a student would not otherwise receive instruction from a teacher
2. assist with classroom management, such as organizing instructional and other materials
3. provide instructional assistance in a computer laboratory
4. conduct parental involvement activities
5. provide support in a library or media center
6. act as a translator
7. provide instructional support services under the direct supervision of a teacher.[[2]](#footnote-3)

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 | **SPEDPPROF** | 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 ED PARAPROFESSIONALS**  **LEA SPECIAL ED PARAPROFESSIONALS** |
| 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. | **2020-2021**  OR  **2020 2021** |
| Filler | 127 | 333 | String | M | Leave filler field blank. |  |
| Carriage Return / Line Feed (CRLF) | 460 | 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 SPECIAL ED PARAPROFESSIONALS,15,euleaSPEDPPROFv000001.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 | 20 | String | M | Leave filler field blank. |  |
| Table Name | 49 | 20 | String | M | See table 2.3-1 Required Categories and Totals | **SPEDPARAPROF** |
| Filler | 69 | 15 | String | A | Leave filler field blank. |  |
| Age Group | 84 | 15 | String | A | The age range of students (children). | **3TO5** – 3 through 5  **6TO21** – 6 through 21  **MISSING** |
| Qualification Status (Paraprofessionals) | 99 | 15 | String | A | An indication of whether paraprofessionals are classified as qualified for their assignment according to state definition. | **Q** – Qualified  **NQ** – Not qualified  **MISSING** |
| Filler | 114 | 15 | String | M | Leave filler field blank. |  |
| Total Indicator | 129 | 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 | 130 | 200 | String | O | Text field for state use. |  |
| FTE | 330 | 10 | Decimal Number | M | Report decimal numbers down to one- hundredth FTE |  |
| Carriage Return / Line Feed (CRLF) | 340 | 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,Filler,Age Group,Qualification Status (Paraprofessionals),Filler,Total Indicator,Explanation,Paraprofessional FTE¶ |
| Category Set A | 1,80,01,00605EUPHORIA,,SPEDPARAPROF,,3TO5,Q,,N,,2.50¶ |
| Subtotal 1 | 8,80,01,00605EUPHORIA,,SPEDPARAPROF,,,NQ,,Y,,2.80¶ |
| Subtotal 2 | 6,80,01,00605EUPHORIA,,SPEDPARAPROF,,6TO21,,,Y,,5.80¶ |
| Total of education unit | 9,80,01,00605EUPHORIA,,SPEDPARAPROF,,,,,Y,,9.8¶ |



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1. In response to public comments requesting a change to reporting special education teachers and paraprofessionals by age-based categories (i.e., ages 3-5, ages 6-21) to reporting by the grade levels of early childhood and school age, OSEP agreed to allow states to report the special education teachers and paraprofessionals who are employed or contracted to work with 5-year-old children with disabilities who are in Kindergarten in the school age (i.e., ages 6-21) reporting category in order to better align with the with the changes to the Part B Child Count and Educational Environments data.  Additionally, OSEP committed to providing clarification about how to report these personnel in the ED*Facts* file specifications for 070 - Special Education Teachers and 112 - Special Education Paraprofessionals. [↑](#footnote-ref-2)
2. Definition adapted from 20 U.S.C § 6319(g)(2) [↑](#footnote-ref-3)