

U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

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| **FS127 - N or D Participation - LEA File Specifications** |
| **SY 2020-21** |

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DOCUMENT CONTROL

DOCUMENT INFORMATION

|  |  |
| --- | --- |
| **Title:** | FS127 - N or D Participation - LEA 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 | May 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 657: N or D participation table - LEA. The definition for this data group is:

The number of students participating in programs for neglected, delinquent, or at-risk students (N or D) under Title I, Part D, Subpart 2 (LEA) of ESEA as amended.

The data collected using this file specification are collected under the authority of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the Every Student Succeeds Act (ESSA).

The ED data stewarding office/s for this file: OESE/SSA/N or D.

# 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**

|  | **LEA** |
| --- | --- |
| **Reporting Period** | Program Year (N or D) - The 12-month period beginning July 1 and ending June 30 as described for the Prevention and Intervention Programs for the Education of Children and Youth Who Are Neglected, Delinquent or At-Risk Program (N or D) |
| **Education units reported** | LEAs with programs or facilities funded by Title I, Part D Subpart 2 |
| **Education units not reported** | LEAs that do not have programs or facilities funded by Title I, Part D, Subpart 2. For example, LEAs that have programs solely funded by Title I, Part A. |
| **Type of count** | Once for each type of N or D program |
| **Zero counts** | Not required, valid combinations for the state not included will be assumed to be zeros |
| **Zero exceptions or****Not applicable** | If a state does not have programs that fall under a particular program type, the counts by that permitted value should be left out of the file. |
| **Missing** | Use “-1” to report missing counts.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** | **N or D Program (Subpart 2)** | **Racial Ethnic** | **Sex (Membership)** | **Age (All)** | **Disability Status (Only)** | **English Learner Status (Only)** | **N or D Long Term Status** | **Total Indicator** | **Comments** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Category Set A** | **NDPARTICLEA** | X | X |  |  |  |  |  | N | Student Count by N or D Program (Subpart 2) by Racial Ethnic |
| **Category Set B** | **NDPARTICLEA** | X |  | X |  |  |  |  | N | Student Count by N or D Program (Subpart 2) by Sex (Membership) |
| **Category Set C** | **NDPARTICLEA** | X |  |  | X |  |  |  | N | Student Count by N or D Program (Subpart 2) by Age (All) |
| **Category Set D** | **NDPARTICLEA** | X |  |  |  | X |  |  | N | Student Count by N or D Program (Subpart 2) by Disability Status (Only) |
| **Category Set E** | **NDPARTICLEA** | X |  |  |  |  | X |  | N | Student Count by N or D Program (Subpart 2) by English Learner Status (Only) |
| **Category Set F** | **NDPARTICLEA** | X |  |  |  |  |  | X | N | Student Count by N or D Program (Subpart 2) by N or D Long Term Status |
| **Subtotal 1** | **NDPARTICLEA** | X |  |  |  |  |  |  | Y | Student Count by N or D Program (Subpart 2) |

## Categories and Permitted Values

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

**DG657 - N or D participation table - LEA:**

**N or D Program (Subpart 2)**

The types of program under ESEA, as amended, Title I, Part D, Subpart 2 (LEA programs).

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| ATRISK | At-risk programs | Programs operated (through LEAs) that target students who are at risk of academic failure, have a drug or alcohol problem, are pregnant or parenting, have been in contact with the juvenile justice system in the past, are at least 1 year behind the expected age/grade level, are English learners, are gang members, have dropped out of school in the past, or have a high absenteeism rate at school. |
| NEGLECT | Neglected programs | An institution for neglected children and youth is a public or private residential facility, other than a foster home, that is operated primarily for the care of children who have been committed to the institution or voluntarily placed under applicable State law due to abandonment, neglect, or death of their parents or guardians. |
| JUVDET | Juvenile detention | Detention facilities are shorter term institutions that provide care to children who require secure custody pending court adjudication, court disposition, or execution of a court order, or care to children after commitment |
| JUVCORR | Juvenile correction | An institution for delinquent children and youth is a public or private residential facility other than a foster home that is operated for the care of children and youth who have been adjudicated delinquent or in need of supervision. Include any programs serving adjudicated youth (including non–secure facilities and group homes) in this category. |
| OTHER | Other programs | Any other programs, not defined above, which receive Title I, Part D funds and serve non–adjudicated children and youth. |
| MISSING | Missing | Use when data are not available by this category. |

**Racial Ethnic**

The general racial category that most clearly reflects individuals' recognition of their community or with which the individuals most identify.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| AM7 | American Indian or Alaska Native |  |
| AS7 | Asian |  |
| BL7 | Black or African American |  |
| HI7 | Hispanic/Latino |  |
| PI7 | Native Hawaiian or Other Pacific Islander |  |
| MU7 | Two or more races |  |
| WH7 | White |  |
| MISSING | Missing | Use when data are not available by this category. |

**Sex (Membership)**

An indication that students are either female or male.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| F | Female |  |
| M | Male |  |
| MISSING | Missing | Use when data are not available by this category. |

**Age (All)**

The discrete age of students (children).

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| 3TO5 | 3 through 5 | In legacy collection as 3 through 5 |
| 6 | Age 6 |  |
| 7 | Age 7 |  |
| 8 | Age 8 |  |
| 9 | Age 9 |  |
| 10 | Age 10 |  |
| 11 | Age 11 |  |
| 12 | Age 12 |  |
| 13 | Age 13 |  |
| 14 | Age 14 |  |
| 15 | Age 15 |  |
| 16 | Age 16 |  |
| 17 | Age 17 |  |
| 18 | Age 18 |  |
| 19 | Age 19 |  |
| 20 | Age 20 |  |
| 21 | Age 21 |  |
| MISSING | Missing | Use when data are not available by this category. |

**Disability Status (Only)**

An indication that children (students) are children with disabilities (IDEA).

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| WDIS | Children with one or more disabilities (IDEA) |  |
| MISSING | Missing | Use when data are not available by this category. |

**English Learner Status (Only)**

An indication that students met the definition of an English learner.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| LEP | English learner |  |
| MISSING | Missing | Use when data are not available by this category. |

**N or D Long Term Status**

An indication that students were served for at least 90 consecutive days during the reporting period by Title I, Part D of ESEA as amended.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| NDLONGTERM | Long-Term N or D Students |  |
| 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.

The questions in this section are based on the following statute and/or regulatory guidance: ESEA section 1431.

***NEW!* The grant making offices noticed states are having trouble distinguishing between zero reporting and missing. When should “missing” be used?**

Missing should be used for data that should have been collected by the State, but the state does not have the data (e.g., barrier such as a state law, pandemic, natural disaster). Submit a data note explaining why the data are missing.

**Which students should be reported in this file?**

Report only students who received Title I, Part D, Subpart 2 services during the reporting period. Students who do not receive or benefit from Title I, Part D, Subpart 2 services should not be included.

**Are programs funded by Title I, Part A reported in this file?**

No. Do not report programs funded solely through Title I, Part A.

**How are programs and facilities classified by the N or D Program (Subpart 2) permitted values?**

Classify programs and facilities based on how the program or facility was classified to ED for funding purposes.

**What if the data cannot be disaggregated between Juvenile Detention Facilities and Juvenile Corrections?**

If data cannot be disaggregated between Juvenile Detention Facilities and Juvenile Corrections, report the data under Juvenile Corrections.

**Do other files collect related data?**

The ED*Facts* Workbook contains a list of the data groups that support oversight and reporting of the Prevention and Intervention Programs for the Education of Children and Youth Who Are Neglected, Delinquent or At-Risk Program (N or D).

## 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:* LEA for a Local Education Agency level
 | 3 |
| filename | **NDPARTLEA** | 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.  | **LEA NEGL OR DELQ PARTICIPATION** |
| 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 | 258 | String | M | Leave filler field blank. |   |
| Carriage Return / Line Feed (CRLF) | 385 | 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 NEGL OR DELQ PARTICIPATION,15,euleaNDPARTLEAv000001.csv,characters to identify file,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 | 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. |   |
| Filler | 29 | 20 | String | M | Leave filler field blank. |   |
| Table Name | 49 | 20 | String | M | See table 2.3-1 Required Categories and Totals | **NDPARTICLEA** |
| Neglected or Delinquent Program (Subpart 2) | 69 | 15 | String | M | The types of program under ESEA, as amended, Title I, Part D, Subpart 2 (LEA programs). | **NEGLECT** – Neglected programs**JUVDET** – Juvenile detention**JUVCORR** – Juvenile correction**ATRISK** – At–risk programs**OTHER** – Other programs**MISSING** |
| Racial Ethnic | 84 | 15 | String | A | The general racial category that most clearly reflects individuals' recognition of their community or with which the individuals most identify. | **AM7** – American Indian or Alaska Native**AS7** – Asian**BL7** – Black or African American**HI7** – Hispanic/Latino**PI7** – Native Hawaiian or Other Pacific Islander**MU7** – Two or more races**WH7** – White**MISSING**  |
| Sex (Membership) | 99 | 15 | String | A | An indication that students are either female or male. | **F** – Female**M** – Male**MISSING**  |
| Age (All) | 114 | 15 | String | A | The discrete age of students (children). | **3TO5** – 3 through 5**6** – Age 6**7** – Age 7**8** – Age 8**9** – Age 9**10** – Age 10**11** – Age 11**12** – Age 12**13** – Age 13**14** – Age 14**15** – Age 15**16** – Age 16**17** – Age 17**18** – Age 18**19** – Age 19**20** – Age 20**21** – Age 21**MISSING**  |
| Disability Status (Only) | 129 | 15 | String | A | An indication that children (students) are children with disabilities (IDEA). | **WDIS** – Children with one or more disabilities (IDEA)**MISSING**  |
| English Learner Status (Only) | 144 | 15 | String | A | An indication that students met the definition of an English learner. | **LEP** – English learner**MISSING**  |
| N or D Long Term Status | 159 | 15 | String | A | An indication that students were served for at least 90 consecutive days during the reporting period by Title I, Part D of ESEA as amended. | **NDLONGTERM** – Long-Term N or D Students**MISSING**  |
| Total Indicator | 174 | 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 | 175 | 200 | String | O | Text field for state use. |   |
| Student Count | 375 | 10 | Number | M |  |   |
| Carriage Return / Line Feed (CRLF) | 385 | 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,Neglected or Delinquent Program (Subpart 2),Racial Ethnic,Sex (Membership),Age (All),Disability Status (Only),English Learner Status (Only),N or D Long Term Status,Total Indicator,Explanation,Student Count,Carriage Return / Line Feed (CRLF) |
| Category Set A | 1,80,01,00613EUPHORIA,,NDPARTICLEA,NEGLECT,AM7,,,,,,N,,10¶ |
| Category Set B | 7,80,01,00613EUPHORIA,,NDPARTICLEA,JUVDET,,M,,,,,N,,10¶ |
| Category Set C | 8,80,01,00613EUPHORIA,,NDPARTICLEA,JUVCORR,,,6,,,,N,,10¶ |
| Category Set D | 12,80,01,00613EUPHORIA,,NDPARTICLEA,ATRISK,,,,WDIS,,,N,,5¶ |
| Category Set E | 15,80,01,00613EUPHORIA,,NDPARTICLEA,ATRISK,,,,,LEP,,N,,5¶ |
| Category Set F | 17,80,01,00613EUPHORIA,,NDPARTICLEA,ADLTCORR,,,,,,NDLONGTERM,N,,4¶ |
| Subtotal 1 | 23,80,01,00613EUPHORIA,,NDPARTICLEA,JUVCORR,,,,,,,Y,,40¶ |



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