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U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

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| **FS131 - LEA End of School Year Status File Specifications** |
| **SY 2020-21** |

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DOCUMENT CONTROL

DOCUMENT INFORMATION

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| --- | --- |
| **Title:** | FS131 - LEA End of School Year Status 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 614: REAP Alternative Fund Use Authority Status. The definition for this data group is:

An indication that the local educational agency (LEA) notified the state of the LEA's intention to use its Title II, Part A or Title IV, Part A funds for alternative uses, as authorized in Title V, Section 5211 of ESEA, as amended.

**Note:** The ED*Facts* OMB package uses the data group title “REAP alternative funding status.” The data steward notified ED*Facts* that the data group title should be updated (as a result of the flexibilities noted in ESSA) to “REAP Alternative Fund Use Authority Status” or “AFUA” Status. While the ED*Facts* Submission System (ESS) will maintain the title as used in the OMB package, this file specification will adopt the updated title. The official title will be updated when we publish the SY 2022-23 OMB package.

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

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

# 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 |  | School Year - Any 12-month period  Report whether the LEA is exercising the alternative use of funds authority during the current school year |  |
| Education units included |  | LEAs that were operational at any time during the school year and were eligible to receive funds under Title V, Section 5211 of the ESEA, as amended |  |
| Education units not reported |  | LEAs that were closed, inactive, or future for the entire school year.  Also exclude operational LEAs if the LEA is not eligible under SRSA Title V, Section 5211 of the ESEA, as amended |  |
| Type of count |  |  |  |
| Zero counts |  |  |  |
| Zero exceptions or  Not applicable |  | Use the “NA” permitted value |  |
| Missing |  | Use the “MISSING” permitted value |  |
| Related metadata survey |  |  |  |

## Required Categories and Totals

This section is not used for this file specification.

## Categories and Permitted Values

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

**DG614 - REAP Alternative Fund Use Authority (AFUA) status:**

**REAP Alternative Fund Use Authority (AFUA) Status**

The statuses describing the intention to use AFUA.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| YES | Yes | The LEA is exercising AFUA. |
| NO | No | The LEA is eligible but is not exercising AFUA. |
| NA | Not applicable | The LEA is not eligible to use AFUA. |
| MISSING | Missing | If the status is missing, use the permitted value MISSING. This is a mandatory field that must be populated. |

## *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 statutory references: ESEA Sections 5211(a)(1), 5211(b), 5212, and 5231.

***Revised!*** **What is the REAP Alternative Fund Use Authority status (formerly known as REAP alternative funding status)?**

The REAP Alternative Fund Use Authority (AFUA) status provides the status as to whether a LEA uses AFUA. AFUA provides those LEAs that are eligible for the REAP Small, Rural School Achievement (SRSA) program with greater flexibility in using the formula grant funds that they receive under certain State-administered Federal programs.

**NOTE:** Dual-eligible LEAs (those LEAs that are eligible for both SRSA and the Rural and Low-Income School (RLIS) program) that opt to receive RLIS funds may make use of AFUA under this provision, as may LEAs that are eligible for SRSA but choose not to participate.

Report for each SRSA-eligible LEA, whether or not the LEA exercises the authority.

***Revised!*** **What qualifies an LEA as SRSA eligible?**

An LEA must be both “small” and “rural” to be eligible for an SRSA grant. The REAP statute provides that an LEA is deemed “small” if it meets either of the following criteria:

* it has fewer than 600 students in average daily attendance in all schools; or
* it serves only schools located in counties with a population density of fewer than 10 persons per square mile.

An LEA is deemed “rural” if it meets either of these criteria:

* + - it serves only schools with an NCES locale code of 41 (Rural, Fringe), 42 (Rural, Distant), or 43 (Rural, Remote); or
    - it is located in an area of the State defined as rural by a State governmental agency and approved by the Secretary.

See ESEA Sec 5211 (b) and 5231.

**This section is a direct citation of the statute describing AFUA. ESEA SEC. 5211(a)(1):**

An eligible local educational agency may use the applicable funding that the agency is eligible to receive from the State educational agency for a fiscal year to carry out local activities authorized under any of the following provisions:

(A) Part A of title I.

(B) Part A of title II.

(C) Title III.

(D) Part A or B of title IV.

(2) NOTIFICATION — an eligible local educational agency shall notify the State educational agency of the local educational agency’s intention to use the applicable funding in accordance with paragraph (1), by a date that is established by the State educational agency for the notification.

(c) APPLICABLE FUNDING DEFINED — In this section, the term ‘‘applicable funding’’ means funds provided under any of the following provisions:

(1) Part A of title II.

(2) Part A of title IV.

***Revised!* What if the LEA is not eligible to use the authority** **(i.e., what if the LEA is not eligible for SRSA)?**

If the LEA is not eligible to use the authority, report NA or exclude from the file.

## 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 | **LEASYEND** | 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

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. | **NCLB LEA END SY STATUS** |
| 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 | 239 | String | M | Leave filler field blank. |  |
| Carriage Return / Line Feed (CRLF) | 366 | 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 | NCLB LEA END SY STATUS,15,euleaLEASYENDv000001.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 the statuses and other data for the education units.

**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. |  |
| Filler | 49 | 6 | String | M | Leave filler field blank. |  |
| Filler | 55 | 15 | String | M | Leave filler field blank. |  |
| REAP Alternative Funding Status | 70 | 15 | String | M | The statuses describing the intention to use REAP-Flex Alternative Uses of Funding Authority. | **YES** – Yes  **NO** – No  **NA** – Not applicable  **MISSING** |
| Filler | 85 | 15 | String | M | Leave filler field blank |  |
| Filler | 100 | 15 | String | M | Leave filler field blank. |  |
| Filler | 115 | 15 | String | M | Leave filler field blank. |  |
| Filler | 130 | 6 | String | M | Leave filler field blank. |  |
| Filler | 136 | 9 | String | M | Leave filler field blank. |  |
| Filler | 145 | 6 | String | M | Leave filler field blank. |  |
| Filler | 151 | 15 | String | M | Leave filler field blank. |  |
| Explanation | 166 | 200 | String | O | Text field for state use. |  |
| Carriage Return / Line Feed (CRLF) | 366 | 1 |  | M |  |  |

Below is an example of a data record, this is the set of data that should be submitted for each education unit.

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

|  |  |
| --- | --- |
| Format | File Record Number,State Code,State Agency Number,LEA Identifier (State),Filler,Filler,Filler,REAP Alternative Funding Status,Filler,Filler,Filler,Filler,Filler,Filler,Filler,Explanation¶ |
| Example | 1,80,01,00606EUPHORIA,,,,YES,,,,,,,,Explanation¶ |



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