****

U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

|  |
| --- |
| **FS132 - Section 1003 Funds File Specifications** |
| **SY 2020-21** |

This technical guide was produced under U.S. Department of Education Contract No. 91990019A0008 with Applied Engineering Management Corporation. Brandon Scott served as the contracting officer’s representative. No official endorsement by the U.S. Department of Education of any product, commodity, service or enterprise mentioned in this publication is intended or should be inferred.

This technical guide is in the public domain. Authorization to reproduce it in whole or in part is granted. While permission to reprint this publication is not necessary, the citation should be: *FILE 000 – File Name File Specifications – VXX.X* (SY XXXX-XX), U.S. Department of Education, Washington, DC:  ED*Facts*. Retrieved [date] from the [ED*Facts* Initiative Home Page](http://www.ed.gov/edfacts).

On request, this publication is available in alternate formats, such as Braille, large print, or CD Rom. For more information, please contact the Department’s Alternate Format Center at (202) 260–0818.

DOCUMENT CONTROL

DOCUMENT INFORMATION

|  |  |
| --- | --- |
| **Title:** | FS132 - Section 1003 Funds 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 | January 2021 | Updated for SY 2020-21:* Section 2.2: Created separate Core Reporting Requirements for each Data Group (56 and 794)
* Section 2.5
* Renamed heading "Guidance" to "Data Reporting Guidelines"
* Streamlined questions and answers to align with the intent of Executive Order on Promoting the Rule of Law Through Improved Agency Guidance Documents (EO 13891)
* Table 4.2-1: For DG794 School Improvement Funds 1003(a), corrected Type from String to Number
 |

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 ii](#_Toc62569601)

[PREFACE iii](#_Toc62569602)

[1.0 PURPOSE 1](#_Toc62569603)

[2.0 GUIDANCE FOR SUBMITTING THIS FILE 1](#_Toc62569604)

[2.1 Changes from the SY 2019-20 File Specifications 1](#_Toc62569605)

[2.2 Core Requirements for Submitting this File 2](#_Toc62569606)

[2.3 Required Categories and Totals 3](#_Toc62569607)

[2.4 Categories and Permitted Values 4](#_Toc62569608)

[2.5 *Revised!* Data Reporting Guidelines 4](#_Toc62569609)

[2.6 Definitions 4](#_Toc62569610)

[3.0 FILE NAMING CONVENTION 5](#_Toc62569611)

[4.0 FIXED OR DELIMITED FILES 6](#_Toc62569612)

[4.1 Header Record Definition 6](#_Toc62569613)

[4.2 Data Record Definition 7](#_Toc62569614)

#

# PURPOSE

This document contains instructions for building files to submit the following ED*Facts* data groups:

**Table 1.0-1: ED*Facts* Data Groups in File**

|  |  |  |
| --- | --- | --- |
| **Data Group Name** | **DG** | **Definition** |
| Economically disadvantaged students | 56 | The unduplicated number of students who met the state criteria for classification as economically disadvantaged according to the state definition. |
| School Improvement Funds 1003(a) | 794 | The dollar amount that the school received for school improvement under Section 1003(a) 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

# 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 changes to this file specification that resulted in changes to the record layouts. The changes are:

* Table 4.2-1: For DG794 School Improvement Funds 1003(a), corrected Type from String to Number

## Core Requirements for Submitting this File

The following tables contain the reporting period, the education units included or excluded, the type of count, and zero count reporting for each data group.

***Revised!* Table 2.2-1a: Core Reporting Requirements – Data Group 56 Economically disadvantaged students**

|  | **SEA** | **LEA** | **School** |
| --- | --- | --- | --- |
| **Reporting Period** |  |  | October 1 (or closest school day) - October 1 or the closest school day to October 1 |
| **Education units reported** |  |  | Schools that were operational at any time during the school year. |
| **Education units not reported** |  |  | Schools that were closed, inactive, or future for the entire school year. Also exclude operational schools, if the school meets all of the following criteria: * Never had students during the school year and
* Did not receive school improvement funds under Section 1003 of the ESEA for the school year
 |
| **Type of count** |  |  | Numeric values in whole numbers (i.e., no decimal places or symbols). |
| **Zero counts** |  |  | Report zero. This field is mandatory and cannot be left blank. |
| **Zero exceptions or****Not applicable** |  |  | Report zeros when there are zero students in the school that meet the data group definition. |
| **Missing** |  |  | Use “-1” to report missing counts. |
| **Related metadata survey** |  |  |  |

***New!* Table 2.2-1b: Core Reporting Requirements – Data Group 794 School Improvement Funds 1003(a)**

|  | **SEA** | **LEA** | **School** |
| --- | --- | --- | --- |
| **Reporting Period** |  |  | School Year - Any 12-month period |
| **Education units reported** |  |  | Schools that were operational at any time during the school year. |
| **Education units not reported** |  |  | Schools that were closed, inactive, or future for the entire school year. Also exclude operational schools, if the school meets all of the following criteria: * Never had students during the school year and
* Did not receive school improvement funds under Section 1003 of the ESEA for the school year
 |
| **Type of count** |  |  | Numeric values in whole dollars (i.e., no decimal places or symbols). |
| **Zero counts** |  |  | Not required. |
| **Zero exceptions or****Not applicable** |  |  | If the school received no funds, the field should be left blank. |
| **Missing** |  |  |  Use “-1” to report missing counts. |
| **Related metadata survey** |  |  |  |

## Required Categories and Totals

This section is not used for this file specification.

## Categories and Permitted Values

This file specification does not use any categories and permitted values.

## *Revised!* Data Reporting Guidelines

 There is no additional data reporting guidance for this file specification.

## 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:* SCH for a school level
 | 3 |
| filename | **SCHSYEND** | 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 SCHOOL 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 | 269 | String | M | Leave filler field blank. |   |
| Carriage Return / Line Feed (CRLF) | 396 | 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 SCHOOL END SY STATUS,15,euschSCHSYENDv000001.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 SEA 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. |   |
| **DG5**School Identifier (State) | 29 | 20 | String | M | The identifier assigned to a school by the state education agency (SEA). Also known as the States School Identification Number (ID). This ID cannot be updated through this file.  |   |
| Filler | 49 | 15 | String | M | Leave filler field blank. |  |
| Filler | 64 | 15 | String | M | Leave filler field blank. |  |
| Filler | 79 | 6 | String | M | Leave filler field blank. |  |
| **DG56**Economically Disadvantaged Students | 85 | 6 | Number | M | The unduplicated number of students who met the state criteria for classification as economically disadvantaged according to the state definition. | Integer |
| Filler | 91 | 15 | String | M | Leave filler field blank.  |  |
| Filler | 106 | 15 | String | M | Leave filler field blank. |  |
| Filler | 121 | 15 | String | M | Leave filler field blank. |  |
| Filler | 136 | 15 | String | M | Leave filler field blank. |  |
| Filler | 151 | 15 | String | M | Leave filler field blank. |  |
| **DG794**School Improvement Funds 1003(a) | 166 | 15 | Number***Revised!*** | O | The dollar amount that the school received for school improvement under Section 1003(a) of ESEA, as amended | Dollars (to the nearest dollar) |
| Filler | 181 | 15 | String | M | Leave filler field blank |  |
| Explanation | 196 | 200 | String | O | Text field for state use. |  |
| Carriage Return / Line Feed (CRLF) | 396 | 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 – School level**

|  |  |
| --- | --- |
| Format | File Record Number,State Code,State Agency Number,LEA Identifier (State),School Identifier (State),Filler,Filler,Filler,Economically Disadvantaged Students,Filler,Filler,Filler,Filler,Filler,School Improvement Funds 1003(a),Filler,Explanation,Carriage Return / Line Feed (CRLF) |
| Example | 4,80,01,00620NEWSCHOOL,00000000000000000010,,,,979,,,,,,666,,¶ |



The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

www.ed.gov