Texas Education Agency

Financial Compliance Division

ELECTRONIC REPORT

SUBMISSION STANDARDS

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Version 12.5

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Document Objective

The purpose of this document is to outline the procedures for local educational agencies (LEAs) and regional education service centers (ESCs) to submit the annual financial and compliance report (AFR) in an electronic format to the Texas Education Agency Login (TEAL) through the AUDIT application.

In addition, certain LEAs will submit the following in an electronic format to the Texas Education Agency (TEA) for State Compensatory Education (SCE): (1) an Agreed-Upon Procedures for SCE Report; (2) the District Improvement Plan (also referred to as the Academic Plan for charter schools); (3) the Campus Improvement Plan(s); and/or (4) SCE Evaluation(s). Please reference the SCE module in the *Financial Accountability System Resource Guide* (FASRG) for additional information.

Please note that an AFR data feed text file is also required from LEAs (not applicable to charter schools) and ESCs. The file standards and requirements for the data feed text file are explained in a separate document, *Annual Financial Report Data Feed Standards*.

File Format

The AFR, the Agreed-Upon Procedures for State Compensatory Education Report, the District Improvement Plan (or Charter Academic Plan), the Campus Improvement Plan(s), and the SCE Evaluation(s) must be submitted to the agency as PDFs. Each report, in its entirety, should be in a separate PDF file.

The PDF must:

- be in a basic searchable text format,
- be printable,
- not password protected, and
- not exceed the maximum file size of 50 megabytes (MB).

IMPORTANT NOTE: The financial audit report will only be considered submitted when a complete, signed AFR in PDF is received by TEA in the AUDIT application in the TEAL environment.

Two other sections of the financial package, the management/comment letter (if applicable) and Exhibit L-1 (not applicable to charter schools and ESCs), may be submitted separately in the section Signed Pages of the Annual Financial and Compliance Report (PDF) and will not be published on the web.

Some LEAs prefer that original signatures not be published on the web. To address this security concern, LEAs and ESCs can choose to submit their reports with the approver's printed name in place of the required signature. If the LEAs and ESCs choose to do this, it must then submit a duplicate copy of the complete report with original signatures. This report is submitted separately in the Signed Pages of the Annual Financial and Compliance Report (PDF) section and will not be published on the web. A PDF file must first be submitted under the AFR section before the system will allow a submission under the Signed Pages section.

File Naming Conventions

Each report must adhere to the following file naming conventions.

Note: Revised files may be submitted with the same name. All versions will be saved by the system.

AFR section

- AFR

The file name should be 999999**a**x.PDF.

- o 999999 = the school district's (or charter's) county-district number
- o **a** = the alpha designation given this report
- o x = the last digit of the audit year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The AFR for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903a6.pdf.**

Signed AFR section (NOT posted on the web)

- AFR (submitted under Signed Pages section)

The file name should be 999999**CPARPT**x.PDF.

- o 999999 = the school district's (or charter's) county-district number
- o **CPARPT** = the alpha designation given this report
- o x = the last digit of the audit year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The AFR (submitted under the Signed Pages section) for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903CPARPT6.pdf.**

- L1 Schedule

The file name should be 999999**L**x.PDF.

- o 999999 = the school district's (or charter's) county-district number
- o **L** = the alpha designation given this report
- o x = the last digit of the audit year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The L1 schedule for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903L6.pdf.**

- Management Letter

The file name should be 999999**MGLT**x.PDF.

- o 999999 = the school district's (or charter's) county-district number
- o **MGLT** = the alpha designation given this report
- o x = the last digit of the audit year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The Management Letter for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903MGLT6.pdf.**

- TEA's AFR Review Letter to District ***TEA USE only**

The file name should be: 999999**TEARL**x.PDF

   - 999999 = the school district's (or charter's) county-district number
   - **TEARL** = the alpha designation given this report
   - = TEA's AFR Review Letter to District
   - **For TEA's Use Only:**
     x = the last digit of the audit year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The TEA's AFR Review Letter to District for Adrian ISD #**180903** for fiscal year 2016, (school year 2015–16) would be named **180903TEARL6.pdf**

- District's Response to the TEA's AFR Review Letter

The file name should be 999999**DR**x.PDF.

   - 999999 = the school district's (or charter's) county-district number
   - **DR** = the alpha designation given this report
   - = District's Response (**if a response is required**)
   - x = the last digit of the audit year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The District's Response for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903DR6.pdf.**

State Compensatory Education Reports sections

- Agreed-Upon Procedures for the State Compensatory Education Report

The file name should be 999999**c**x.PDF.

   - 999999 = the school district's (or charter's) county-district number
   - **c** = the alpha designation given this report
   - x = the last digit of the audit year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The Agreed-Upon Procedures for the State Compensatory Education Report for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903c6.pdf.**

- District Improvement Plan (or Charter Academic Plan)

The file name should be 999999**t**x.PDF.

- o   999999 = the school district's (or charter's) county-district number
- o   **t** = the alpha designation given this report
- o   x = the last digit of the fiscal year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The District Improvement Plan for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903t6.pdf.**

- • Campus Improvement Plan

The file name should be 999999**999p**x.PDF.

- o   999999 = the school district's (or charter's) county-district number
- o   **999** = the school three-digit campus number
- o   **p** = the alpha designation given this report
- o   x = the last digit of the fiscal year being submitted (for example, 6 for fiscal 2016, school year 2015–16)

Example: The Campus Improvement Plan for Adrian ISD #**180903** for **campus 001** for fiscal year 2016 (school year 2015–16) would be named **180903001p6.pdf.**

- • SCE Evaluation(s)

The file name should be 999999**e**x.PDF.

- o   999999 = the school district's (or charter's) county-district number
- o   **e** = the alpha designation given this report
- o   x = the last digit of the fiscal year being submitted (for example, 6 for fiscal year 2016, school year 2015–16)

Example: The SCE Evaluation for Adrian ISD #**180903** for fiscal year 2016 (school year 2015–16) would be named **180903e6.pdf.**

Submission Procedures

The electronic mechanism for submitting the required reports involves uploading each individual PDF through the AUDIT application in TEAL.

To set up a TEAL account, a user must request access through the TEAL webpage. A unique user name and password will be created for each approved TEAL applicant.

If a user has an existing TEAL account, AUDIT application access may be added by logging into TEAL and using the self-service options. Note: While a user may have a TEAL account, each application accessed behind this firewall requires a separate request to be added to an account.

Once approved, the user has access to the TEAL AUDIT application and can upload files. **At least one person in each district needs to have TEAL application access.**
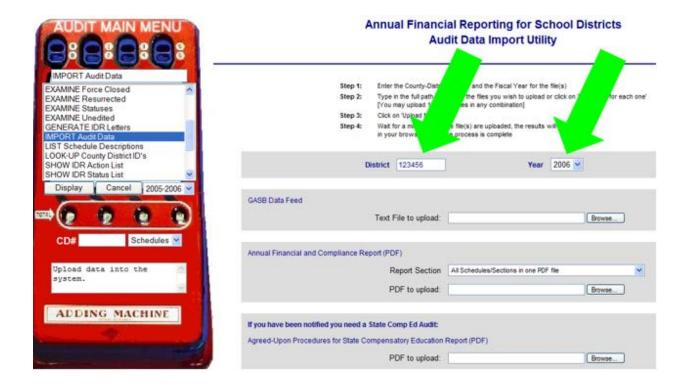
To upload the electronic files, take the following steps.

1. Log onto TEAL and select the AUDIT application.

2. Select IMPORT Audit Data and click on the Display button.

3. Verify that the correct county-district number and year are displayed at the top of the import page.

NOTE: If past or future reports are being submitted, change the year to match the year of the report. For example, reports for the 2005–06 school year will be submitted under "2006." Also, change the year for each report being submitted because the import page will default to the current submission year each time the import page is displayed.

4. The AFR submission section is found at the top of the import page, and the SCE section is towards the bottom. **It is recommended you upload each file separately**. Use the Browse button next to the file you will be uploading, locate the file on your computer, select it, and click on the Open button.

Electronic Report Submission Standards

5. At the bottom of the main page, click on the Upload Now button to upload the file. The upload should only take a few minutes.

6. **A confirmation message will be emailed to the email address tied to the submitter's TEAL account when the file has been successfully uploaded.** The system also displays a confirmation message when the file has been successfully uploaded. However, if the file is larger than the average file size of 2 to 3 MB (2,000 to 3,000 KB), the system might time out and a confirmation message will not be displayed on screen.

After the file has been uploaded, you have the option of returning to the upload page to upload the next file.

Viewing PDF Reports

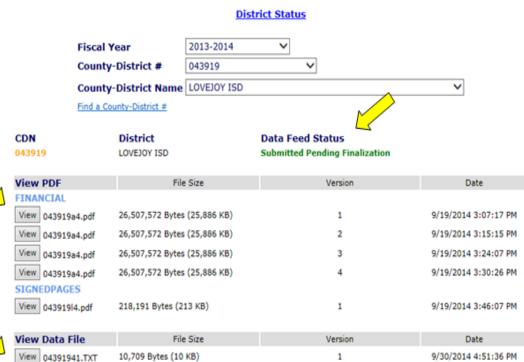To verify the submission of PDF files, select VIEW District Status and click the Display button.

District personnel with TEAL AUDIT application access can:

- view a listing of submitted files with submission dates and times,
- view the status of the data feed, and
- immediately open submitted PDFs and data feed files.
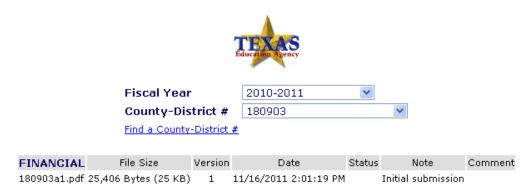
Selecting VIEW PDF Reports and clicking the Display button provides a limited view of the submitted PDFs.

After a PDF file has been submitted but not yet approved, the school number appears on the pull-down menu. When the school number is selected, the submission information is viewable, but the PDF file does not open for viewing. The example below indicates a file was submitted under Annual Financial and Compliance Report (PDF), for Adrian ISD #180903, but is not yet available for viewing.
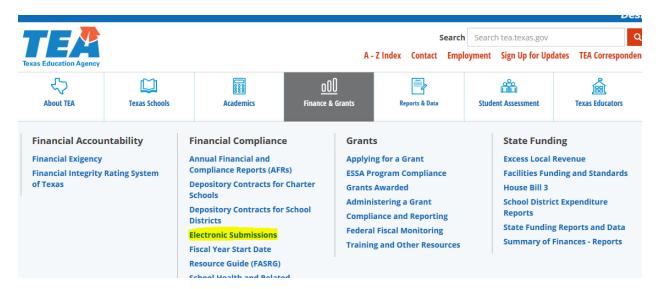
TEXAS EDUCATION AGENCY

Division of School Financial Audits

Fiscal Year	2010-2011
County-District #	180903

Find a County-District #

FINANCIAL	File Size	Version	Date	Status	Note	Comment
180903a1.pdf	25,406 Bytes (25 KB)	1	11/16/2011 2:01:19 PM		Initial submission	

<u>IMPORTANT NOTE:</u> TEA approval of a submitted PDF file does not certify that it follows the various report requirements, but only that it has been approved for public viewing.

The PDF files can also be found under the heading Annual Financial and Compliance Reports (AFRs) on the Financial Compliance Division's Electronic Submissions webpage.

The direct link to the reports is http://tea4avwaylon.tea.state.tx.us/audit/PDFviewer.asp.

File Validations

The entire file could be rejected if any of the following conditions exist:

- The file name does not include the county-district number (or campus number when required), the alpha designation, and/or the last digit of the year in which the report is being submitted.
- The file was submitted under the incorrect year.
- The file is not in the correct PDF format.
- The file exceeds the maximum allowable size of 50 MB.
- The file is corrupt.
- The file cannot be opened.
- The file lacks integrity and completeness.
- The file is password protected.
- The file is not printable.

Resubmission of Data

Electronic files not meeting the previously outlined validation criteria must be corrected and resubmitted in their entirety.

Contact Information

For questions regarding these electronic report submission standards, contact Paul Moreno in the Financial Compliance Division at (512) 463-9095 or Paul.Moreno@tea.texas.gov.