

**Texas Education Agency
Financial Compliance Division**

**ELECTRONIC REPORT
SUBMISSION STANDARDS**

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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separately in the section Signed Pages of the Annual Financial and Compliance Report (PDF) (*Figure 4.*) and will not be published on the web.

Some LEAs prefer that original signatures not be published on the web.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 (*Figure 4.*) 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 in the following 3 sections.

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

1) **Annual Financial and Compliance Report (PDF) section (posted on the web)** as shown in the *Figure 2 below*.

- AFR or Revised AFR Page(s)/ Report(s)

Electronic Report Submission Standards

The file name should be 999999ax.PDF.

- 999999 = the school district's (or charter's) county-district number
- **a** = 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)
- Note = with draw-down box selecting "Initial Submission" for initial submissions; selecting "Revised Complete Report" or "Revised Pages" for the District's corrected page(s) or report(s) responding to the TEA's AFR Review Letter

Note: If the response to the TEA's AFR Review Letter is an explanation note(s) or a response letter(s), it should be submitted under the Signed Pages of Annual Financial and Compliance Report (PDF) section (Figure 4.) as described in the paragraph 2) below.

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

2) Signed Pages of Annual Financial and Compliance Report (PDF) section (NOT posted on the web) as shown in the Figure 4 below.

- AFR (submitted under Signed Pages section)

The file name should be 999999CPARPTx.PDF.

- 999999 = the school district's (or charter's) county-district number
- **CPARPT** = 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)
- Note= with draw-down box selecting "Independent Auditor Report"

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 999999Lx.PDF.

- 999999 = the school district's (or charter's) county-district number
- **L** = 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)
- Note= with draw-down box selecting "L1 Schedule"

Electronic Report Submission Standards

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.

- 999999 = the school district's (or charter's) county-district number
- **MGLT** = 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)
- Note= with draw-down box selecting "Management Letter"

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
- Note = with draw-down box selecting "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 - other than a corrected AFR page(s) or a revised audit report(s)

If the response is an explanation note(s) or a response letter(s) instead of a corrected AFR page(s) or a revised audit report(s), the file name should be 999999**DR**x.PDF.

- **Note: If the response is a corrected AFR page(s) or a revised audit report(s), it should be submitted under the Annual Financial and Compliance Report (PDF) section (posted on the web) as described in the paragraph 1) above.** 999999 = the school district's (or charter's) county-district number
- **DR** = the alpha designation given this report

Electronic Report Submission Standards

- Note = with draw-down box selecting “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**.

3) State Compensatory Education Reports sections

- Agreed-Upon Procedures for the State Compensatory Education Report

The file name should be 999999cx.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 999999tx.PDF.

- 999999 = the school district’s (or charter’s) county-district number
- **t** = the alpha designation given this report
- 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 999999999px.PDF.

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

Electronic Report Submission Standards

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 999999ex.PDF.

- 999999 = the school district's (or charter's) county-district number
- **e** = the alpha designation given this report
- **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 username and password will be created for each approved TEAL applicant.

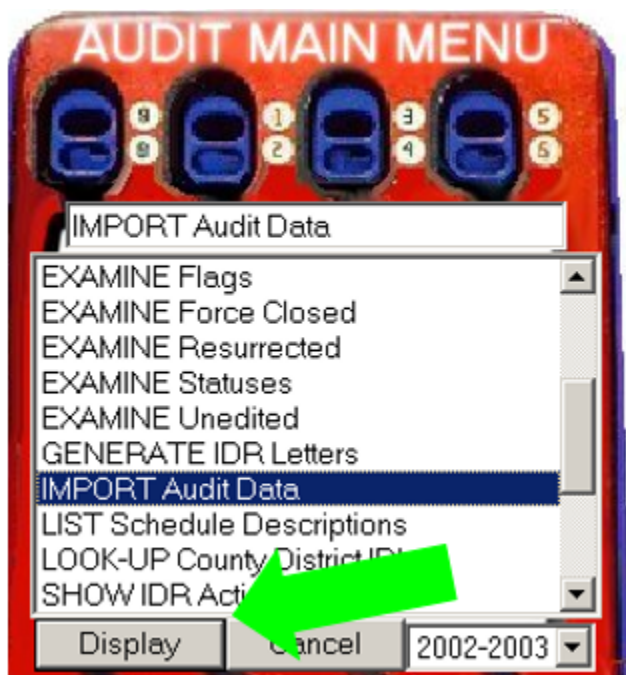
If a user has an existing TEAL account, AUDIT application access may be added by logging into TEAL and using the self-service options. Note: While a user may have a TEAL account, each application accessed behind this firewall requires a separate request to be added to an account.

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. (*Figure 1.*)

Figure 1.



3. Verify that the correct county-district number and year are displayed at the top of the import page. (Figure 2.)

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.** Click the Choose File button (Figure 2) to locate the file you will be uploading on your computer, select the file, and click on the Open button (Figure 3.).

An AFR PDF file **must** first be submitted under the **Annual Financial and Compliance Report (PDF)** section (using the format 999999ax) (Figure 2.), before the application will allow a submission under the **Signed Pages of Annual Financial and Compliance Report (PDF)** section. (Figure 4.) 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. (Figure 4.)

Figure 2. Annual Financial and Compliance Report (PDF) – Publicly Published

Annual Financial Reporting for School Districts Audit Data Import Utility

Step 1: Enter the County-District number and select the Fiscal Year for the file(s)
Step 2: Type in the full path to each of the files you wish to upload or click on 'Browse...' for each one
[You may upload more than one file at a time, but it is recommended that each file be uploaded individually]
Step 3: Click on 'Upload Now'
Step 4: Wait for a minute while the file(s) are uploaded, the results will be displayed in your browser when the process is complete

IMPORTANT NOTES

- Verify that the file is in the proper PDF format (or text format for GASB data feed) before uploading the file.
- Verify that the year of the plan being submitted matches the fiscal year displayed in the upper right-hand corner of the import page. For example, 2008-09 should be submitted under fiscal year 2009.
- All uploaded PDF files must be reviewed and approved by Texas Education Agency (TEA) personnel for public viewing before it will be visible on the TEA public web page

District: Year:

GASB Data Feed

Text File to upload: No file chosen

Annual Financial and Compliance Report (PDF)

The filename should be 999999ax.PDF
999999 = The school district's (or charter's) county-district number
a = The alpha designation given this report
x = the last digit of the audit year being submitted
(for example, 5 for fiscal year 2015, school year 2014-2015)

Before submission, please verify that the Annual Financial and Compliance Report (AFR) in PDF includes the following:
NOTE: Signed versions may be submitted in the section below

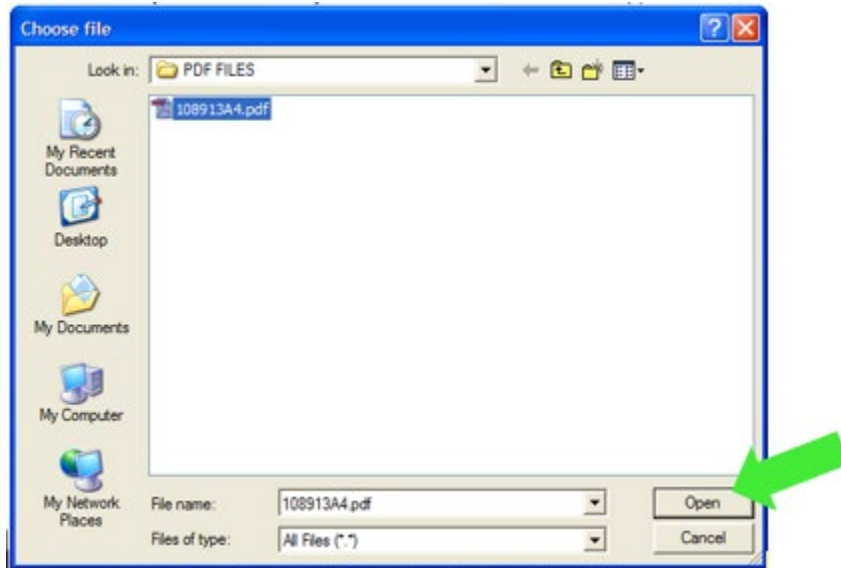
- Board approved (or disapproved), signed, and dated certificate of board,
- Signed and dated auditor's reports,
- Management/comment letter (if applicable, and can be submitted as a separate PDF), and
- Schedule L-1 Required Responses to Selected School First Indicators (ISDs only, and can be submitted as a separate PDF)

PDF to upload: No file chosen

Note:
--Choose a Note--
Initial Submission
Revised Complete Report
Revised Pages

Electronic Report Submission Standards

Figure 3.



Electronic Report Submission Standards

Figure 4. Signed Pages of Annual Financial and Compliance Report (PDF)- Not Publicly Published

Signed Pages of Annual Financial and Compliance Report (PDF)

The filename must conform to the following format: 999999ax.PDF

999999 = The school district's (or charter's) county-district number

a = CPARPT, MGLT, or L, as appropriate to the selected Note below

a = TEARL, DR, or ITEA as appropriate to the selected Note below

TEARL = TEA Review Letter to District (999999TEARL5.PDF) - **FOR TEA USE ONLY**

DR = District Response (999999DR5.PDF)

ITEA = Investment Training Exception Affidavit (999999ITEA5.PDF)

x = the last digit of the audit year being submitted
(for example, 5 for fiscal year 2015, school year 2014-2015)

PDF to upload: No file chosen

Note:

- Choose a Note--
- Independent Auditor Report
- Management Letter
- L1 Schedule
- TEA Review Letter to District
- District Response
- Investment Training Exception Affidavit

State Compensatory Education Agreed-Upon Procedures for State Compensatory Education

PDF to upload: No file chosen

State Compensatory Education Plans and Evaluations:

- All uploaded PDF files must be reviewed and approved by TEA personnel. TEA approval of a submitted plan does not certify it is in compliance with Texas Education Code, Sections 11.251-11.253, but only that it has been approved for public viewing.

District Improvement Plan or Charter Academic Plan (PDF)

PDF to upload: No file chosen

Campus Improvement Plans (PDF)

PDF to upload: No file chosen

State Comp Ed Evaluation(s) (PDF)

PDF to upload: No file chosen

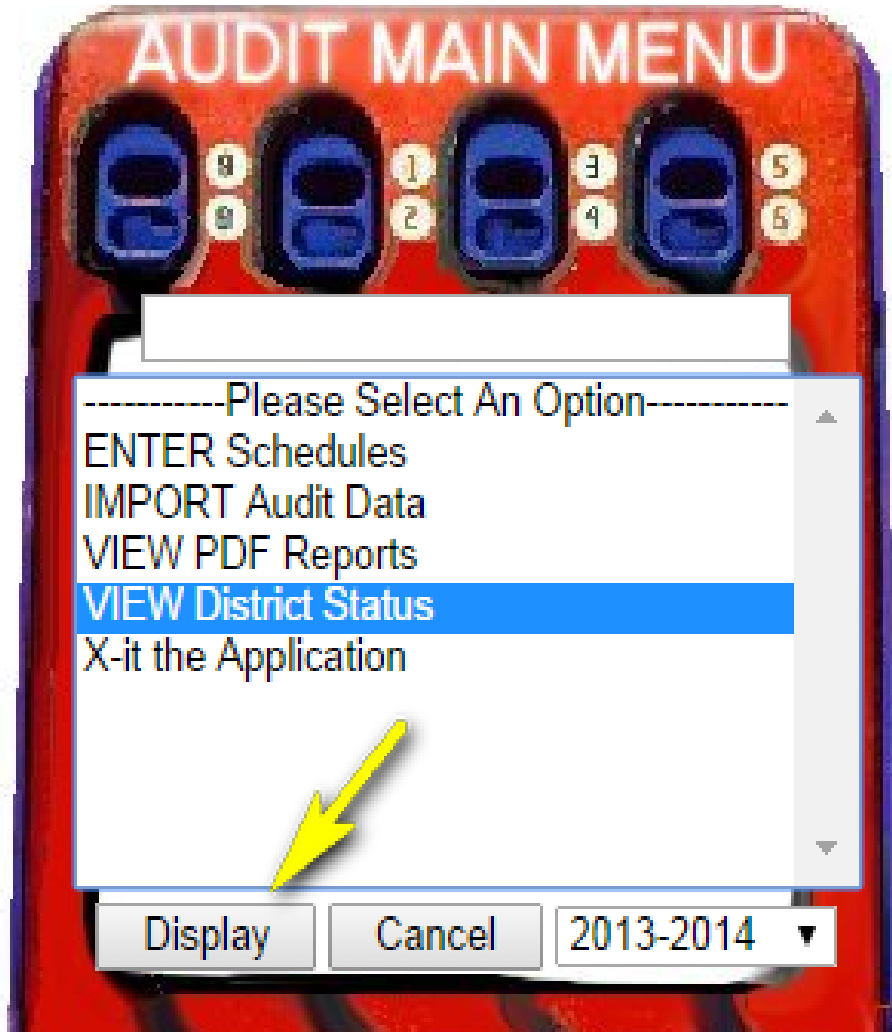
IMPORTANT NOTE:
Maximum allowable PDF size is 10 MB.

- 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. (*Figure 5.*)

Figure 5.




Electronic Report Submission Standards

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. (*Figure 6.*)

Figure 6.

TEXAS EDUCATION AGENCY
Division of Financial Compliance


[District Status](#)

Fiscal Year:

County-District #:

County-District Name:

[Find a County-District #](#)

CDN	District	Data Feed Status
043919	LOVEJOY ISD	Submitted Pending Finalization

View PDF	File Size	Version	Date
FINANCIAL			
View 043919a4.pdf	26,507,572 Bytes (25,886 KB)	1	9/19/2014 3:07:17 PM
View 043919a4.pdf	26,507,572 Bytes (25,886 KB)	2	9/19/2014 3:15:15 PM
View 043919a4.pdf	26,507,572 Bytes (25,886 KB)	3	9/19/2014 3:24:07 PM
View 043919a4.pdf	26,507,572 Bytes (25,886 KB)	4	9/19/2014 3:30:26 PM
SIGNEDPAGES			
View 043919l4.pdf	218,191 Bytes (213 KB)	1	9/19/2014 3:46:07 PM

View Data File	File Size	Version	Date
View 04391941.TXT	10,709 Bytes (10 KB)	1	9/30/2014 4:51:36 PM

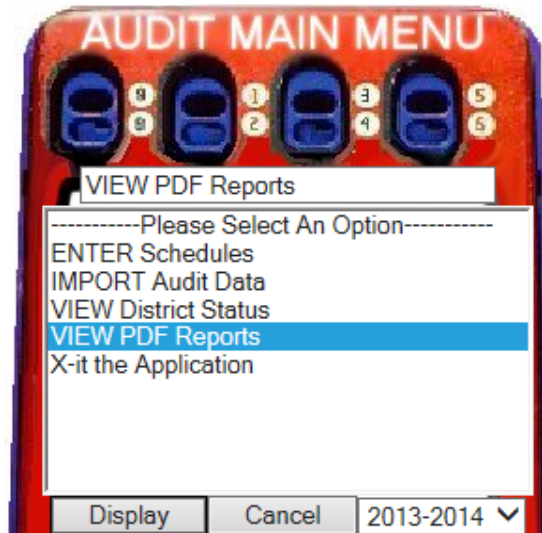
Please verify that the Annual Financial and Compliance Report (AFR) in PDF includes the following:

- Board approved (or disapproved), signed, and dated certificate of board,
- Signed and dated auditor's reports,
- Management/comment letter (if applicable, and can be submitted as a separate PDF), and
- Schedule L-1 Required Responses to Selected School First Indicators (ISDs only, and can be submitted as a separate PDF)

Electronic Report Submission Standards

Selecting VIEW PDF Reports and clicking the Display button provides a limited view of the submitted PDFs. (Figure 7.)

Figure 7.



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. (Figure 8.)

Figure 8.

TEXAS EDUCATION AGENCY

Division of School Financial Audits



Fiscal Year
County-District #

[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	

IMPORTANT NOTE: 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 submissions can also be found under the heading Electronic AFR Public Viewer on the Financial Compliance Division's Annual Financial and Compliance Reports (AFRs) webpage. (Figure 9. & Figure 10.)

The direct link to the reports is <https://tealprod.tea.state.tx.us/Audit/Public/PDFViewer.asp>

Figure 9.

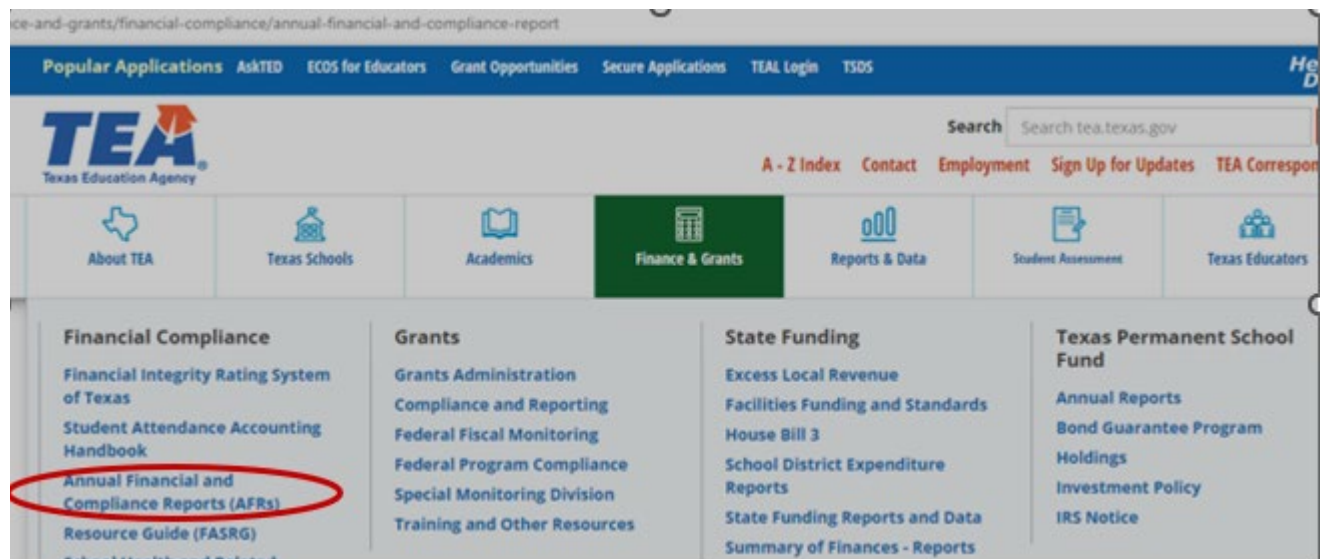
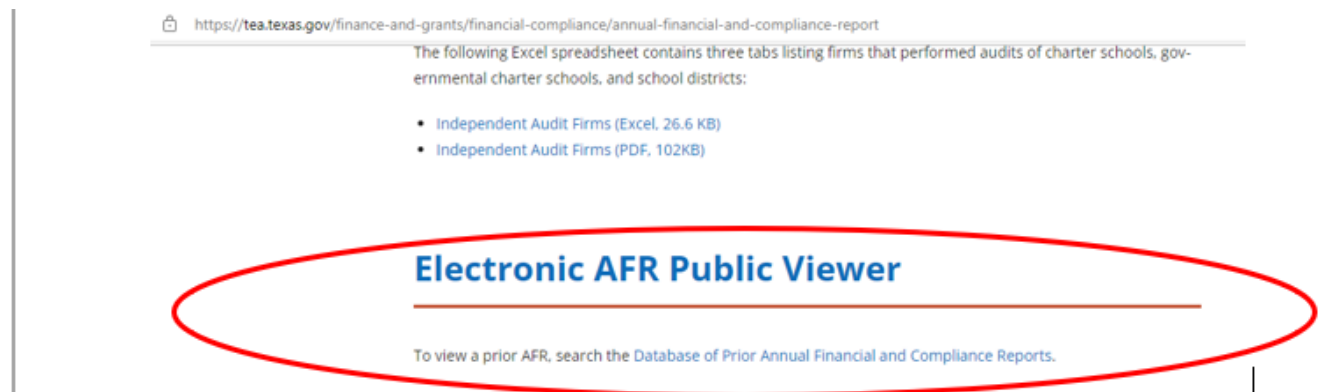


Figure 10.



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.