

**Texas Education Agency
Division of Financial Compliance**

**ELECTRONIC REPORT
SUBMISSION STANDARDS**

Revised April 2016

Table of Contents

Document Objective2
File Format3
File Naming Conventions3
Submission Procedures7
Viewing PDF Reports.....10
File Validations15
Resubmission of Data15
Contact Information.....15



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* in an electronic format to the Texas Education Agency Secure Environment (TEASE) through the AUDIT-Audits and Indirect Cost Rates application.

In addition, certain LEAs will submit for State Compensatory Education (1) an *Agreed-Upon Procedures for State Compensatory Education (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)* in an electronic format to the Texas Education Agency (TEA). Please reference the State Compensatory Education module in the *Financial Accountability System Resource Guide (FASRG)* for additional information.

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

File Format

The *Annual Financial and Compliance Report*, 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 in an electronic Acrobat® Portable Document Format (PDF) with a maximum file size not to exceed 50 megabytes (MB). The PDF file must be printable and not password protected. Each report in its entirety should be in a separate PDF file. The submission should be a “searchable” PDF file. If scanning the file, please set the scanner to “text” and “200dpi.” Avoid using the “photo” or “image” setting as this will create a large file which might prove difficult to upload.

Some LEAs prefer that the original signatures not be published on the web.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 of the complete report with original signatures. This report is submitted separately in the section titled *Signed Pages of the Annual Financial and Compliance Report (PDF)* and will not be published on the web.

IMPORTANT NOTE: The financial audit report will only be considered submitted when a complete, signed annual financial report in PDF is received by the TEA in the *AUDIT-Audits and Indirect Cost Rates* application in the TEASE 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 titled *Signed Pages of the Annual Financial and Compliance Report (PDF)* and will not be published on the web.

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.

Annual Financial Report section:

- Annual Financial Report

The file name should be: 999999ax.PDF

Electronic Report Submission Standards

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).

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

Signed Annual Financial and Compliance report section (NOT posted on the web):

- Annual Financial Report (submitted under Signed Pages section)

The file name should be: 999999**CPARPT**x.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).

Example: The Annual Financial Report (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

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).

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;

Electronic Report Submission Standards

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 Annual Financial Report 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 Annual Financial Report 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 Annual Financial Report 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 Annual Financial Report 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;

Electronic Report Submission Standards

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*i*x.PDF

999999 = the school district's (or charter's) county-district number;
i = 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: 999999999*p*x.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 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

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 via the internet through the *AUDIT-Audits and Indirect Cost Rates* application in the TEASE.

To setup a TEASE account a user must request access through the TEASE Applications Reference webpage, which can be found on the TEA’s Internet site under “TEASE.” A unique user name and password will be created for each approved TEASE applicant.

If the person has an existing TEASE account, *AUDIT-Audits and Indirect Cost Rates* access may be added by logging into their TEASE account and selecting the Add/Modify Application Access button in the upper right hand corner of the main page. Note: While a person may have a TEASE account, each application accessed behind this firewall requires a separate request in order to be added to an account.

Once approved, the user will have access to the TEASE AUDIT-Audits and Indirect Cost Rates application that will allow files to be uploaded. **It is strongly recommended that at least one person in each district have TEASE *Audits and Indirect Cost Rates* access.**

To upload the electronic files, log into the **TEASE environment**, select **Audit – Audits and Indirect Cost Rates**.

Application List

Your Applications

AUDIT - Audits and Indirect Cost Rates	▼	Launch
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[AUDIT - Audits and Indirect Cost Rates](#)

The online Auditing and Indirect Cost application

Select “**IMPORT Audit Data**” and click on the “**Display**” button (fig. 1)

Electronic Report Submission Standards

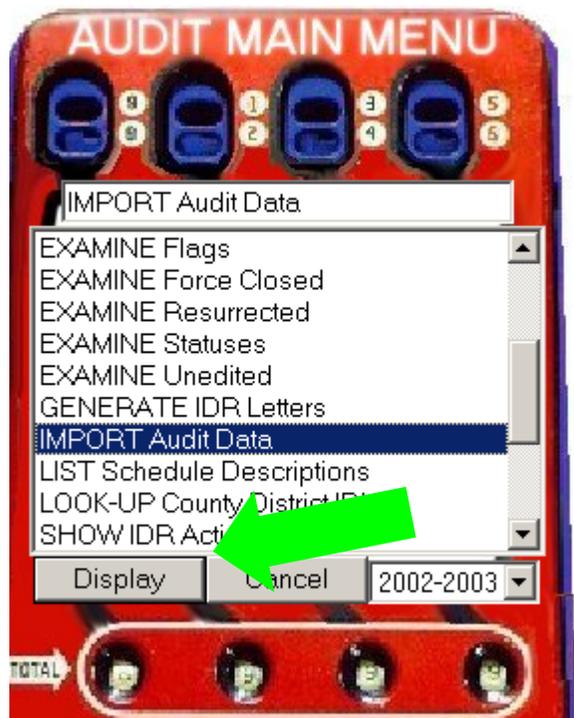


Fig. 1

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

NOTE: If past or future reports are to be submitted, the year must be changed to match the report being submitted. For example, reports for school 2005–06 will be submitted under “2006”. Also, the year will need to be changed for each report being submitted, as the import page will default to the current submission year each time the import page is displayed.

Electronic Report Submission Standards

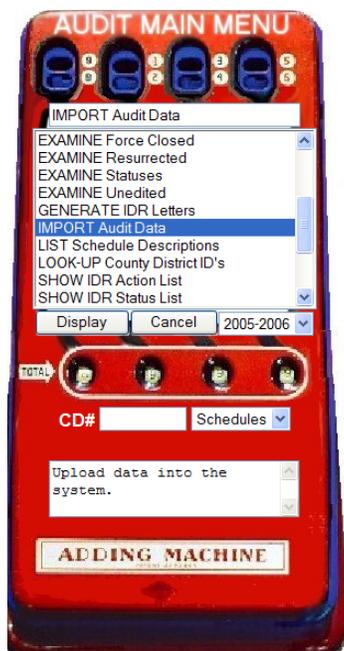


Fig. 2

Annual Financial Reporting for School Districts Audit Data Import Utility

- Step 1:** Enter the County-District and the Fiscal Year for the file(s)
- Step 2:** Type in the full path to the files you wish to upload or click on "Browse" for each one' [You may upload 1 or more files in any combination]
- Step 3:** Click on 'Upload Now'
- Step 4:** Wait for a minute or so. Once the file(s) are uploaded, the results will be displayed in your browser. The upload process is complete

District Year

GASB Data Feed

Text File to upload:

Annual Financial and Compliance Report (PDF)

Report Section

PDF to upload:

If you have been notified you need a State Comp Ed Audit:

Agreed-Upon Procedures for State Compensatory Education Report (PDF)

PDF to upload:

The Annual Financial Report submission section is found at the top of the import page and the State Compensatory Education section is towards the bottom (fig. 3). **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 (fig. 4). At the bottom of the main page, click on the “**Upload Now**” button to upload the file (fig. 3). The upload should only take a few minutes.

A confirmation message will be emailed to the email address tied to the submitter’s TEASE account when the file has been successfully uploaded. The system should also display 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 (2,000–3,000 kilobytes (KB)), the system might time-out and a confirmation message will not be displayed on screen.

After the file has been uploaded, you will then have the option to return to the upload page to upload the next file.

Electronic Report Submission Standards



Fig. 3

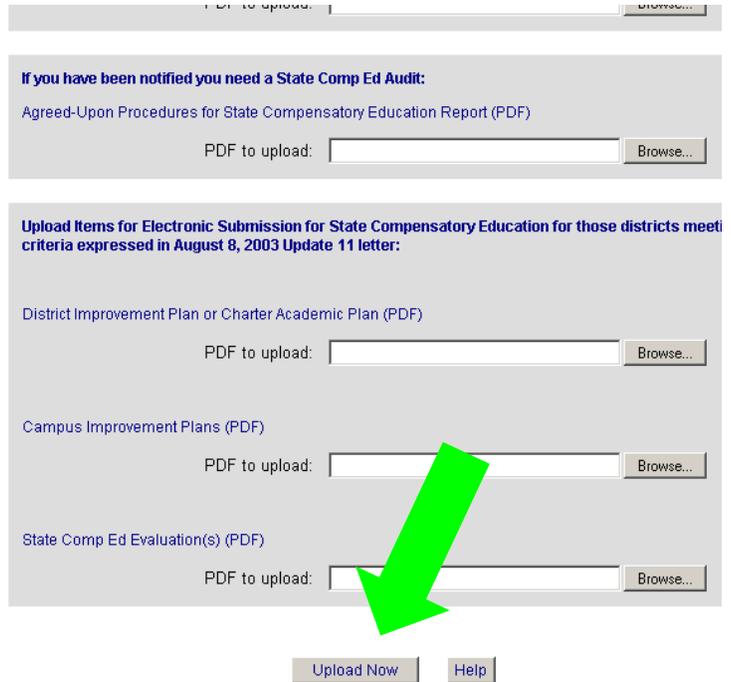
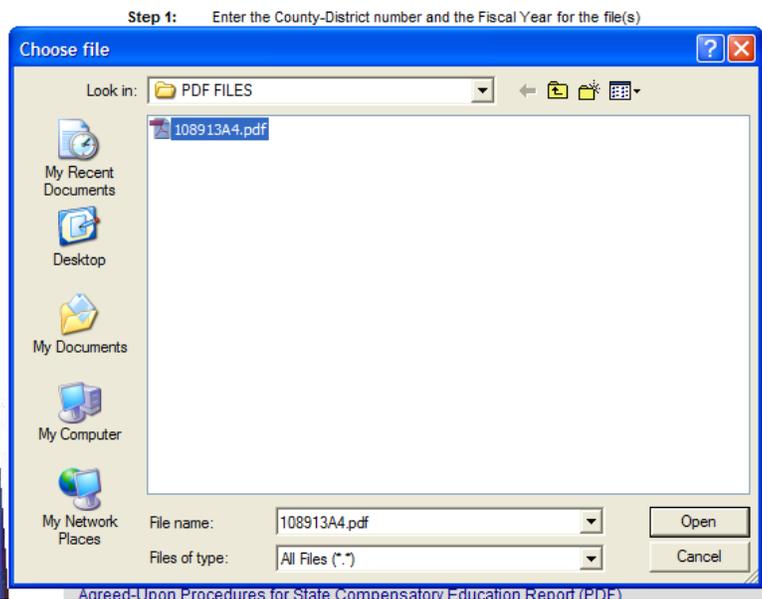


Fig. 4



Viewing PDF Reports

To verify the submission of PDF files, select “VIEW District Status” and click the “Display” button (fig. 5).

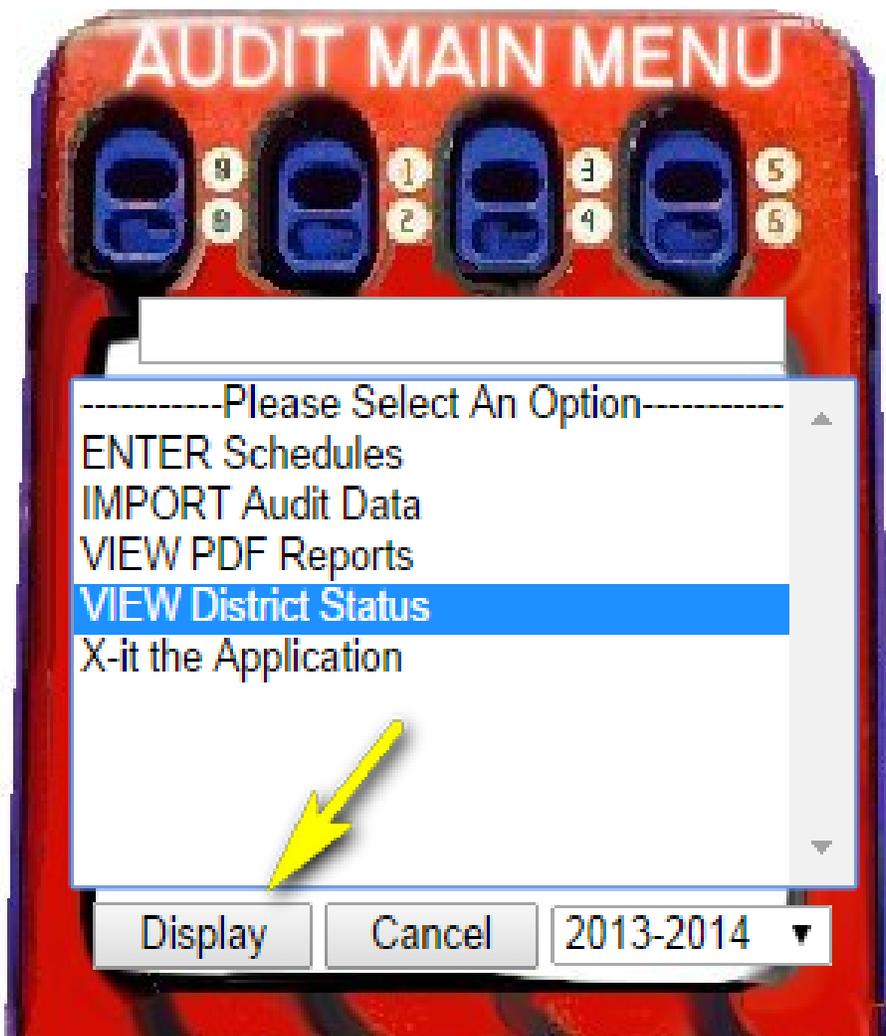


Fig. 5

Electronic Report Submission Standards

District personnel with TEASE AUDIT application access are able to (fig. 6):

- view a listing of submitted files with submission dates and times,
- view the status of the data feed, and
- immediately open pdfs and data feed files submitted.

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 043919i4.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)

Fig. 6

Electronic Report Submission Standards

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

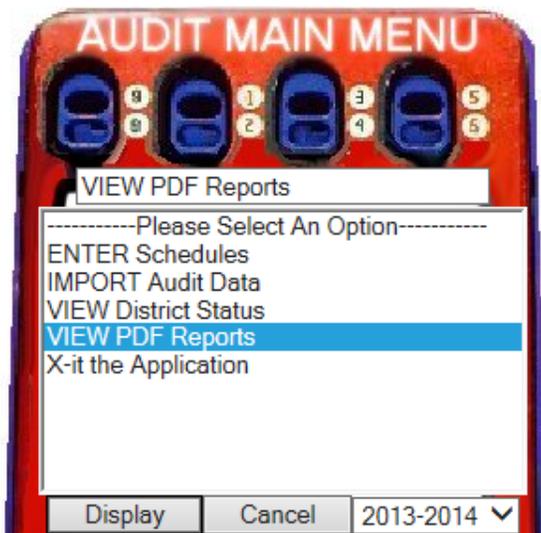


Fig. 7

After a PDF file has been submitted but not yet approved, the school number will appear on the pull-down menu. When the school number is selected, the submission information will be viewable, but the PDF file will not open for viewing. The example below (fig. 8) indicates a file was submitted under Annual Financial and Compliance Report (PDF), for Adrian ISD #180903, but is not yet available for viewing.

IMPORTANT NOTE:

TEA approval of a submitted PDF file does not certify that it is in compliance with the various report requirements, but only that it has been approved for public viewing.

TEXAS EDUCATION AGENCY

Division of School Financial Audits



Fiscal Year
County-District #
[Find a County-District #](#)

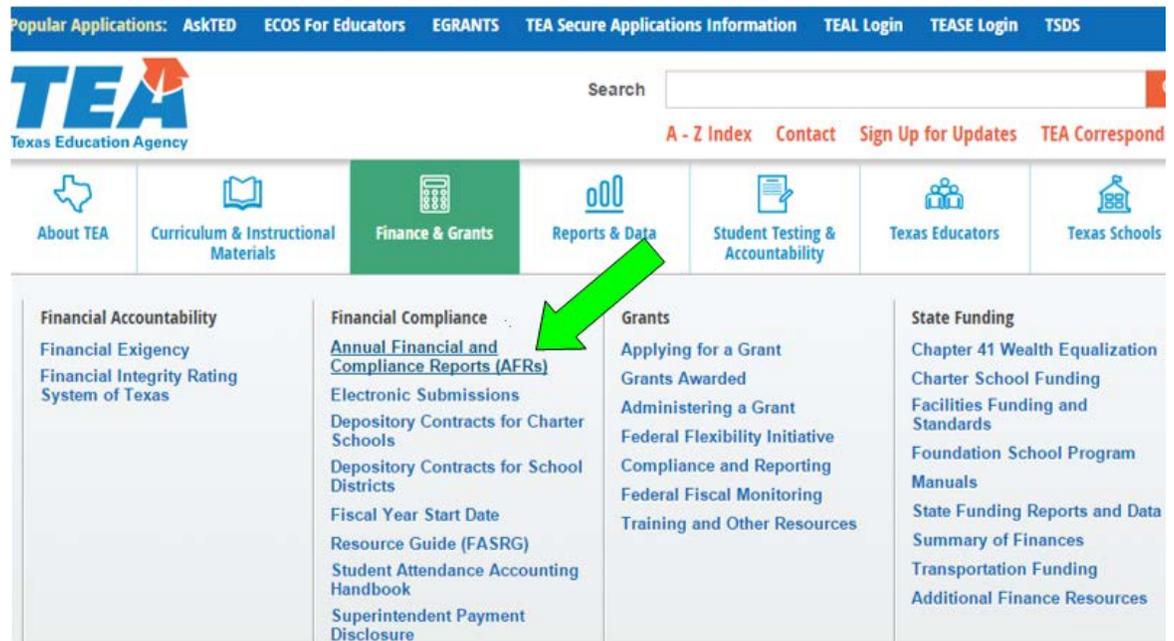
FINANCIAL	File Size	Version	Date	Status	Note	Comment
180903a1.pdf	25,406 Bytes (25 KB)	1	11/16/2011 2:01:19 PM		Initial submission	

Fig. 8

Electronic Report Submission Standards

The PDF files can also be found under the heading titled: “Annual Financial and Compliance Reports (AFRs)” on the Division of Financial Compliance’s webpage of the TEA web site:

http://tea.texas.gov/Finance_and_Grants/Financial_Compliance/Electronic_Submissions/ (fig. 9).



The screenshot shows the TEA website navigation menu. The 'Finance & Grants' tab is highlighted in green. A green arrow points to the 'Annual Financial and Compliance Reports (AFRs)' link in the 'Financial Compliance' sub-menu.

Popular Applications:	Asked	ECOS For Educators	EGRANTS	TEA Secure Applications Information	TEAL Login	TEASE Login	TSDS
TEA Texas Education Agency							
Search <input type="text"/>							
A - Z Index Contact Sign Up for Updates TEA Correspond							
About TEA	Curriculum & Instructional Materials	Finance & Grants	Reports & Data	Student Testing & Accountability	Texas Educators	Texas Schools	
Financial Accountability Financial Exigency Financial Integrity Rating System of Texas	Financial Compliance Annual Financial and Compliance Reports (AFRs) Electronic Submissions Depository Contracts for Charter Schools Depository Contracts for School Districts Fiscal Year Start Date Resource Guide (FASRG) Student Attendance Accounting Handbook Superintendent Payment Disclosure	Grants Applying for a Grant Grants Awarded Administering a Grant Federal Flexibility Initiative Compliance and Reporting Federal Fiscal Monitoring Training and Other Resources	State Funding Chapter 41 Wealth Equalization Charter School Funding Facilities Funding and Standards Foundation School Program Manuals State Funding Reports and Data Summary of Finances Transportation Funding Additional Finance Resources				

Fig. 9

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 reports submission standards, contact Paul Moreno in the Division of Financial Compliance, (512) 463-9095.