Technical Bulletin #1: File Structure

Revised: November 20, 2017

The purpose of this Technical Bulletin is to provide states with the information that is required to create and transmit the National Youth in Transition Database (NYTD) data file to the Administration for Children and Families (ACF) NYTD System. ACF has revised this technical bulletin to emphasize that all NYTD data must be reported in a single record (Section 2.2), clarify the use of Federal Information Processing Series (FIPS) codes (Section 3.3) and to share the new registration form for file transmission (Appendix B). The new registration form should be submitted when a state requests connection to NIH.

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1 Introduction

1.1 Purpose of the Technical Bulletin

The purpose of this Technical Bulletin is to provide states with the information required to create and transmit the National Youth in Transition Database (NYTD) data file to the Administration for Children and Families (ACF) NYTD System.

1.2 Overview of the Technical Bulletin

States must submit NYTD data files in a format that meets ACF specifications (45 CFR 1356.85(a)(2)). This Technical Bulletin outlines these specifications, including the following requirements for the NYTD data file structure:

- The Extensible Markup Language (XML) structure of the NYTD data file to be used in the transmission of data to the NYTD system;
- The electronic data transmission standards;
- The NYTD data file name standards;
- Format for optional footnotes included in the NYTD data file; and
- Guidelines for assigning and encrypting record numbers of youth reported to NYTD.

1.3 NYTD Background

Public Law 106-169 established the John H. Chafee Foster Care Independence Program (CFCIP) at section 477 of the Social Security Act, providing states with flexible funding to carry out programs that assist youth in making the transition from foster care to self-sufficiency. The law requires the Administration for Children and Families (ACF) to develop a data collection system to track the independent living services states provide to youth and develop outcome measures that may be used to assess states' performance in operating their independent living programs. The law also requires ACF to develop reporting requirements and impose a penalty of between 1 and 5 percent of states' annual allotment under CFCIP for noncompliance with these requirements.

To meet the law's mandate, ACF published a proposed rule in the Federal Register on July 14, 2006, and a final rule on February 26, 2008. The rule, codified into federal regulation at 45 CFR 1356.80 (http://edocket.access.gpo.gov/2008/pdf/E8-3050.pdf), establishes the National Youth in Transition Database (NYTD) and requires that states engage in two data collection activities. First, states must collect information on youth and the independent living services they receive that are paid for or provided by state agencies that administer the CFCIP. Second, states must collect outcome information on certain youth in foster care and must follow these youth over time to collect additional outcome information. The regulation also outlined the compliance standards a state's NYTD data file must meet, including the penalties that may be imposed on states based on the area and degree of noncompliance. States began collecting NYTD data on October 1, 2010, (federal fiscal year 2011) and report data to ACF semiannually. The collected information allows ACF to track which independent living services states provide and to assess the collective outcomes of youth. In addition, because a common identifier must

be used for youth reported to both NYTD and the Adoption and Foster Care Analysis and Reporting System (AFCARS), ACF also is able to analyze the information related to a youth's foster care experiences reported to AFCARS along with their service and/or outcomes information reported to NYTD.

2 General Information

2.1 NYTD Data File Description

A NYTD data file must contain information on all applicable NYTD data elements listed in 45 CFR 1356.83(g) in a single data file. The NYTD data file contains case-level data on youth in three reporting populations:

- *Served population*: includes all youth who receive at least one independent living service paid for or provided by the state CFCIP agency or an agent of the state during a six month reporting period.

- *Baseline population*: includes all youth in foster care who reach their 17th birthday in FFY 2011 or in every third fiscal year following FFY 2011 (e.g., 2014, 2017, 2020, etc.).

- *Follow-up population*: includes youth who turn age 19 or 21 in a certain fiscal year and who participated in data collection as part of the baseline population.

There are 13 data elements (1-13) providing information about youth in all NYTD reporting populations, 20 data elements (14-33) providing information exclusively about youth in the served population , and 25 data elements (34-58) providing information exclusively about youth in the baseline and follow-up populations. Further information on the NYTD data elements, including the definition of each element and response option can be found in regulation at 45 CFR 1356.83. (http://edocket.access.gpo.gov/2008/pdf/E8-3050.pdf).

2.2 NYTD Youth Record Description

States must report all applicable data elements for an individual youth in **one record** in each semiannual data file (45 CFR 1356.83(f)). Please note that it is possible for a youth to be in more than one reporting population. For example, a youth who turned age 17 while in foster care in FY 2017 and who was receiving academic support such as tutoring paid for by the CFCIP agency would be in both the baseline population and the served population. The state is required to report all data on this youth in a single record, including basic demographic information required for all youth (elements 1-13), information required for served population youth (elements 14-33) and information on the youth's baseline outcomes (elements 34-58).

3 Data File Structure

3.1 Overview of XML

Extensible Markup Language (XML) is a language that allows text documents to be structured and annotated using particular syntax elements ("markup"). The language is extensible in that it allows sets of markup elements to be created for a given scenario.

XML was chosen for use with the NYTD data file because it offers distinct advantages as a file format:

- XML is stored in plain text, for maximum system compatibility;
- XML is widely used and is based on defined standards;
- Because of its extensibility, XML may be tailored to the particular requirements of the NYTD system. Thus, the markup can be specifically designed to structure NYTD data, and to provide both record-level population data and additional metadata. Metadata ("data about the data") included within the file includes a file identifier number, a file generation date, the file type (file type), and various notes (see Section 5). By including both data and metadata within XML markup, data may be bound explicitly to their relevant descriptors, with limited external information required;
- XML is self-documenting, so the markup provides semantic information on the file contents;
- XML provides a flexible means of providing contextual structure to hierarchical and other complex data; and
- XML is easily parsed, so the marked-up information may be read and extracted from the file without difficulty.

3.2 Requirements for NYTD XML Data File Structure

- A valid transmission will consist of a single data file including both the data and associated metadata.
- The data file will be a well-formed XML document in accordance with defined World Wide Web Consortium (W3C) XML standards (see http://www.w3.org/TR/REC-xml/).
- The overall structure of the XML-based data file (see Appendix A: NYTD XML Schema Definition) is dictated by an associated W3C XML Schema (nytd_data_file_format.xsd).
- The XML data file structure must begin with a proper XML declaration, including the appropriate character encoding:
    - The suggested encoding is UTF-8 Unicode, with the corresponding initial declaration: <?xml version="1.0" encoding="utf-8" ?>.
    - If the use of UTF-8 is specified, it is expected that only the 128 characters defined by the ASCII encoding scheme will be included in the file. UTF-8 is backwards compatible with the ASCII standard.
    - **The record number (NYTD data element 3) for youth reported to NYTD must be the same encrypted record number reported to AFCARS for youth who are or were in foster care.** States that use "extended ASCII" encodings in their encrypted record numbers for AFCARS must specify an extended ASCII encoding for their NYTD data files. These states should use a declaration corresponding to the "extended ascii"

encoding/code page they utilize, such as <?xml version="1.0" encoding="ISO-8859-1" ?> or <?xml version="1.0" encoding="windows-1252" ?>.

- With the exception of characters used in the encrypted record numbers for NYTD data element 3, all other data in the file should be standard (not extended) printable ASCII and should exclude the defined control characters (0 to 31, and 127).
- A few characters must only be included in an XML data file if they are escaped (replaced by another representative set of characters) or if they are specifically denoted as "CDATA" (Character DATA). These characters are the ampersand character (&), the left-angle bracket character (<), and the right-angle bracket character (>). To allow for nesting, the single quotation mark (') and double quotation mark (") should also be escaped. The table below shows replacement characters which may be used in place of the prohibited characters. To denote a group of characters as CDATA, they must be wrapped in the "<![CDATA[" and "]]>" start and end delimiters. For example, for a record-level note (see Section 5) that includes special characters, both of the following are equivalent:

<record_note><![CDATA[
This record is > record 123 & record 124, but < 'special' record 125.
]]>**</record_note>**

<record_note>
This record is > record 123 & record 124, but < 'special' record 125.
</record_note>

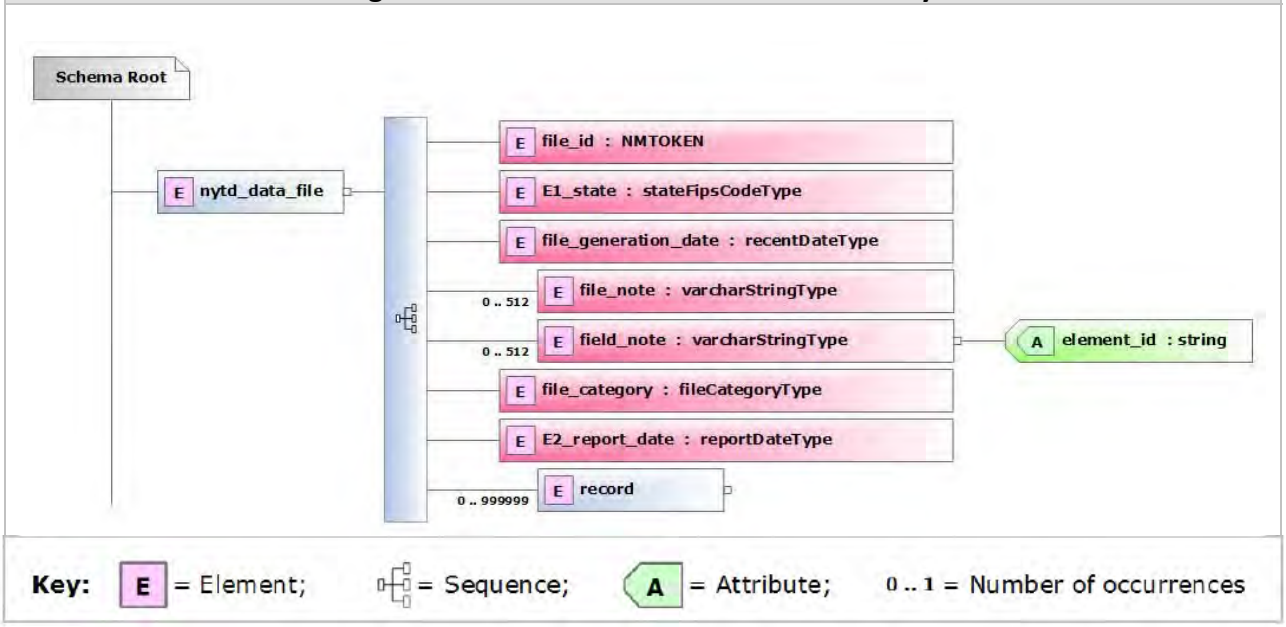
Special Character	Replacement
&	&amp;
'	&apos;
"	&quot;
<	&lt;
>	&gt;

- Acceptable reported values for each NYTD data element, which are explicitly enumerated in the XML Schema, are typically lower case strings corresponding to the response options listed in Appendix A of the NYTD regulation (73 FR 10372 – 10375). **In order to meet the NYTD compliance standard associated with file format (45 CFR 1356.85(a)(2)) a data file must contain an acceptable value for each NYTD data element exactly as that value appears inside the quotation marks in Table 1**.
- Dates for data element 4 (date of birth) and data element 35 (date of outcome data collection) are to be reported in the format "YYYY-MM-DD" (e.g. 1994-02-01) consistent with the base XML Schema date type, where:
  - "YYYY" is the year;
  - "MM" is the month (0-12); and
  - "DD" is the day (01-31).
- The date for data element 2 (report date) is not formatted as a date, but rather as a set of 6 numbers that correspond to the last month and year of a reporting period, formatted as "YYYYMM", where "YYYY" and "MM" are consistent with their descriptions above.
- The XML Schema defines sequences which require that NYTD data elements be reported in order.

3.3 NYTD Data File Structural Hierarchy

XML provides a structural hierarchy to a data file by organizing the data into “nested” sets of tags to make the entire file more readable. **Figure 1** shows an overview of the NYTD data file’s structural hierarchy. The data for the NYTD XML file is nested within the top level XML tag "nytd_data_file". Nested under this tag, the data is then organized into two sections: section one contains the overall metadata for the NYTD data file and section two contains the data for the NYTD data elements that are required for each youth. A third level is nested under section two that contains each youth's data "record". There are then two additional areas nested under each youth data record labeled with "served_population" and "baseline_followup_populations" tags. These sections help to group the NYTD data elements based on each reporting population’s associated NYTD data elements.

Figure 1. NYTD Data File Structural Hierarchy



The naming convention used for the NYTD XML tags that correspond to the NYTD data elements found in the regulation at 45 CFR 1356.83(g) utilize the data element number followed by the data element name (where “#” is the NYTD data element number):

<E#_data_element_name>

If the name has more than one word, each word is separated by an underscore. The XML tags that correspond to the NYTD data elements as well as the acceptable values for each NYTD data element correspond to those provided in the regulation, though the precise wording or letter case may differ. Table 1 lists each of the NYTD data elements found in the regulation and its corresponding XML tag. The NYTD data element response options found in the regulation are also listed in Table 1 alongside their corresponding acceptable XML values. Please note that the term "element" used in the following sections refers to an XML element as used in the XML Schema Definition (XSD) file, rather than to a NYTD data element. XML elements are commonly referred to as XML "tags." To avoid confusion, the term "NYTD data element" will be used explicitly in this document to differentiate the two terms. The 58 NYTD data elements are numbered as they appear in regulation at 45 CFR 1356.83(g).

Table 1: List of NYTD Elements/Tags

NYTD Data File

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
N/A	File_id	N/A	[a string of 1 to 255 letters, numbers, periods, colons, hyphens and underscores]	NMTOKEN
1. State	E1_state	2-digit state FIPS code	"[FIPS code]"[2]	stateFipsCodeType
State	File_generation_date	N/A	[Date] [yyyy-mm-dd]	recentDateType
State	File_note	N/A	[optional] [multiple file notes allowed, each note can be up to 2000 characters]	varcharStringType
State	field_note	N/A	[optional] [multiple field notes allowed, each note can be up to 2000 characters]	varcharStringType with element_id

1 NYTD data elements 3-58 accept the optional attribute of "note". This attribute is of data type “charStringType” and its length cannot be more than 255 characters.

2 At the time of the publication of the NYTD regulation, FIPS (Federal Information Processing Standards) codes were geographic identifiers for states and counties that were maintained by the National Institute of Standards and Technology (NIST). We are aware that the American National Standards Institute (ANSI) has since taken over the management of geographic codes from NIST. Under NIST, the codes adhered to the Federal Information Processing Standards (FIPS). ANSI continues to issue the commonly used FIPS codes, although the name has changed to “Federal Information Processing Series”, because it is no longer considered the standard. We are continuing the use of FIPS codes for NYTD reporting at this time. To access the list of FIPS codes, please visit: http://www.census.gov/geo/reference/ansi.html.

NYTD Data Element Number and Name	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
State	File_category	N/A	"test" "regular" "corrected" "subsequent	fileCategoryType
2. Report date	E2_report_date	Month and year	"yyyymm" [as described in Section 3.2 above]	reportDateType

Record

NYTD Data Element Number and Name	XML Element/Tag Name	NYTD Response Options	NYTD XML Values[1]	Data Type
3. Record number	E3_record_number	encrypted, unique person identification number	[a string of 5 to 255 characters, with whitespace collapsed, encrypted as described in Section 4. See Section 3.2 for information about CDATA]	recordNumberWithNoteType
Record number	record_note	N/A	[A single (optional) record note element per each record, each note allows up to 2000 characters]	varcharStringType
4. Date of birth	E4_date_of_birth	Year, month, day	[Date] [yyyy-mm-dd, as described in Section 3.2 above]	filteredDateWithNoteType
5. Sex	E5_sex	Male Female	"male" "female"	sexWithNoteType

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
6. Race: American Indian or Alaska Native	E6_race_american_indian_alaska_native	Yes No	“yes” “no”	noYesWithNoteType
7. Race: Asian	E7_race_asian	Yes No	“yes” “no”	noYesWithNoteType
8. Race: Black or African American	E8_race_black_african_american	Yes No	“yes” “no”	noYesWithNoteType
9. Race: Native Hawaiian or Other Pacific Islander	E9_race_hawaiian_pacific_islander	Yes No	“yes” “no”	noYesWithNoteType
10. Race: White	E10_race_white	Yes No	“yes” “no”	noYesWithNoteType
11. Race: unknown	E11_race_unknown	Yes No	“yes” “no”	noYesWithNoteType
12. Race: declined	E12_race_declined	Yes No	“yes” “no”	noYesWithNoteType
13. Hispanic or Latino ethnicity	E13_hispanic_latino	Yes No Unknown Declined	“yes” “no” “unknown” “declined”	noYesUnknownDeclinedWithNoteType

Served Population

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
14. Foster care status – services	E14_foster_care_status_services	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
15. Local agency	E15_local_agency	FIPS code Centralized unit Blank	"[5-digit FIPS code]"[3] "centralized unit" ""	localAgencyWithNoteType
16. Federally recognized tribe	E16_federally_recognized_tribe	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
17. Adjudicated delinquent	E17_adjudicated_delinquent	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
18. Educational level	E18_educational_level	Less than 6th grade 6th grade 7th grade 8th grade 9th grade 10th grade 11th grade 12th grade Post secondary education or training College Blank	"under 6" "6" "7" "8" "9" "10" "11" "12" "post secondary" "college" ""	educationLevelWithNoteType

3 At the time of the publication of the NYTD regulation, FIPS (Federal Information Processing Standards) codes were geographic identifiers for states and counties that were maintained by the National Institute of Standards and Technology (NIST). We are aware that the American National Standards Institute (ANSI) has since taken over the management of geographic codes from NIST. Under NIST, the codes adhered to the Federal Information Processing Standards (FIPS). ANSI continues to issue the commonly used FIPS codes, although the name has changed to "Federal Information Processing Series", because it is no longer considered the standard. We are continuing the use of FIPS codes for NYTD reporting at this time. To access the list of FIPS codes, please visit: http://www.census.gov/geo/reference/ansi.html.

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
19. Special education	E19_special_education	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
20. Independent living needs assessment	E20_independent_living_needs_assess	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
21. Academic support	E21_academic_support	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
22. Post-secondary educational support	E22_post_secondary_educ_support	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
23. Career preparation	E23_career_preparation	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
24. Employment programs or vocational training	E24_employment_programs	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
25. Budget and financial management	E25_budget_financial_mgmt	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
26. Housing education and home management training	E26_housing_educ_home_mgmt_training	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
27. Health education and risk prevention	E27_health_educ_risk_prevention	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
28. Family support and healthy marriage education	E28_family_support_healthy_marriage_educ	Yes No Blank	“yes” “no” “”	noYesBlankWithNoteType
29. Mentoring	E29_mentoring	Yes No Blank	“yes” “no” “”	noYesBlankWithNoteType
30. Supervised independent living	E30_supervised_independent_living	Yes No Blank	“yes” “no” “”	noYesBlankWithNoteType
31. Room and board financial assistance	E31_room_board_financial_assist	Yes No Blank	“yes” “no” “”	noYesBlankWithNoteType
32. Education financial assistance	E32_educ_financial_assist	Yes No Blank	“yes” “no” “”	noYesBlankWithNoteType
33. Other financial assistance	E33_other_financial_assist	Yes No Blank	“yes” “no” “”	noYesBlankWithNoteType

Baseline Follow Up Information

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
34. Outcomes reporting status	E34_outcomes_reporting_status	Youth participated Youth declined Parent declined Youth incapacitated Incarcerated Runaway/missing Unable to locate/invite Death Not in sample Blank	"participated" "declined" "parent declined" "incapacitated" "incarcerated" "runaway missing" "unable to locate" "death" "not in sample" ""	outcomesReportingStatusWithNoteType
35. Date of outcome data collection	E35_date_outcome_data_collection	Year, month, day	[yyyy-mm-dd, as described in Section 3.2 above]	recentDateBlankWithNoteType
36. Foster care status – outcomes	E36_foster_care_status_outcomes	Yes No Blank	"yes" "no" ""	noYesBlankWithNoteType
37. Current full-time employment	E37_current_full_time_employment	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
38. Current part-time employment	E38_current_part_time_employment	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
39. Employment-related skills	E39_employment_related_skills	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
40. Social Security	E40_social_security	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
41. Educational aid	E41_educ_aid	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
42. Public financial assistance	E42_public_financial_assist	Yes No Not applicable Declined Blank	"yes" "no" "not applicable" "declined" ""	noYesDeclinedNABlankWithNoteType
43. Public food assistance	E43_public_food_assist	Yes No Not applicable Declined Blank	"yes" "no" "not applicable" "declined" ""	noYesDeclinedNABlankWithNoteType
44. Public housing assistance	E44_public_housing_assist	Yes No Not applicable Declined Blank	"yes" "no" "not applicable" "declined" ""	noYesDeclinedNABlankWithNoteType
45. Other financial support	E45_other_financial_support	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
46. Highest educational certification received	E46_highest_educ_certification	High school diploma/GED Vocational certificate Vocational license Associate's degree Bachelor's degree Higher degree None of the above Declined Blank	"high school ged" "vocational certificate" "vocational license" "associate" "bachelor" "higher degree" "none of the above" "declined" ""	highestEducationCertificationWithNoteType
47. Current enrollment and attendance	E47_current_enrollment_attendance	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
48. Connection to adult	E48_connection_adult	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
49. Homelessness	E49_homelessness	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
50. Substance abuse referral	E50_substance_abuse_referral	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
51. Incarceration	E51_incarceration	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType
52. Children	E52_children	Yes No Declined Blank	"yes" "no" "declined" ""	noYesDeclinedBlankWithNoteType

NYTD Data Element Number and Name 45 CFR 1356.83(g)	XML Element/Tag Name	NYTD Response Options 45 CFR 1356.83(g)	NYTD XML Values[1]	Data Type
53. Marriage at child's birth	E53_marriage_at_childs_birth	Yes No Not applicable Declined Blank	"yes" "no" "not applicable" "declined" ""	noYesDeclinedNABlankWithNoteType
54. Medicaid	E54_medicaid	Yes No Don't know Declined Blank	"yes" "no" "do not know" "declined" ""	noYesDeclinedDKBlankWithNoteType
55. Other health insurance coverage	E55_other_health_insurance	Yes No Don't know Declined Blank	"yes" "no" "do not know" "declined" ""	noYesDeclinedNADKBlankWithNoteType
56. Health insurance type: Medical	E56_health_insurance_type_medical	Yes No Don't know Not applicable Declined Blank	"yes" "no" "do not know" "not applicable" "declined" ""	noYesDeclinedNADKBlankWithNoteType
57. Health insurance type: Mental health	E57_health_insurance_type_mental_health	Yes No Don't know Not applicable Declined Blank	"yes" "no" "do not know" "not applicable" "declined" ""	noYesDeclinedNADKBlankWithNoteType
58. Health insurance type: Prescription drugs	E58_health_insurance_type_prescription_drugs	Yes No Don't know Not applicable Declined Blank	"yes" "no" "do not know" "not applicable" "declined" ""	noYesDeclinedNADKBlankWithNoteType

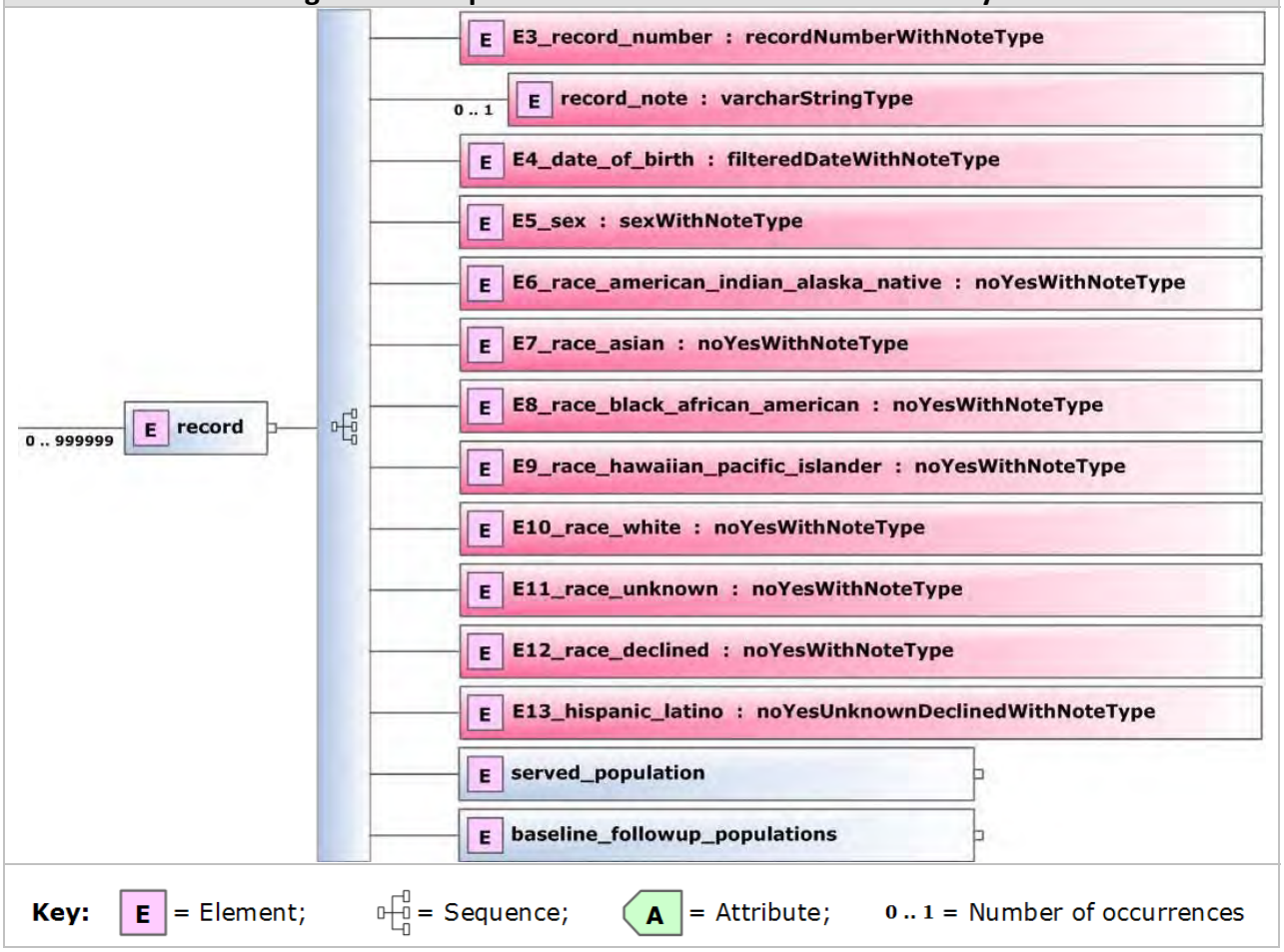
3.4 Group Element "nytd_data_file"

The first section of the XML file structure contains a root element ("nytd_data_file"), which subsumes an ordered set of other elements. This then defines the metadata and record-level data for the file. The nytd_data_file group element contains the following seven elements:

- file_id: This is the unique identifier of the generated XML file that allows users to differentiate files easily.
- E1_state: This represents NYTD data element 1 (State), the two digit FIPS code for the state.
- file_generation_date: This corresponds to the date when the XML file was generated by the state.
- file_note: These are the overall data file notes for the associated reporting period. The maximum length of each note is 2000 characters and a nytd_data_file can contain up to 512 file_note elements, though it is not required to include any. It is at the states' discretion to/how to collect this optional information (see Section 5 for more information).
- field_note: This is the note corresponding to each NYTD data element outlined in regulation (45 CFR 1356.83(g)). The maximum length of each note is 2000 characters and there can be up to 512 field_note elements, though it is not required to include any. If a field_note is included, its corresponding "element_id" attribute is required. The element_id corresponds to the NTYD data element number as it appears in regulation at 45 CFR 1356.83(g). It is at the states' discretion whether and how to collect this optional information (see Section 5 for more information).
- file_category: This corresponds to the type of transmission. It is of data type "fileCategoryType." and accepts the following values:
    - "test" – file is for testing purposes and is not to be used as an official submission to the federal NYTD database;
    - "regular" – file is for a current report period submitted during the appropriate transmission period;
    - "corrected" – file is to replace a non-compliant regular file that is submitted after the report due date and prior to the end of the corrective period;
    - "subsequent" – file is received after regular report due dates or any corrective due dates.
- E2_report_date: This represents NYTD data element 2 (Report date). Its value is the year (between 2010 and 2099) and last month of the reporting period, formatted as "yyyymm" (e.g. 201103 for March, 2011).
- record: This is a group element which consists of an ordered list of the NYTD data elements as they appear in regulation at 45 CFR 1356.83(g) and also contains an element to provide record-level notes. There may be many records in NYTD data files. As noted in Section 2.2, the state must report all applicable data elements for an individual youth in a single, unique **record** regardless of the reporting population membership(s) of the youth.

3.5 Group Element “record”

Figure 2. Group Element "record" Structural Hierarchy



Each "record" consists of an ordered list of NYTD data elements 3 – 13 (see Table 1), as well as two group elements:

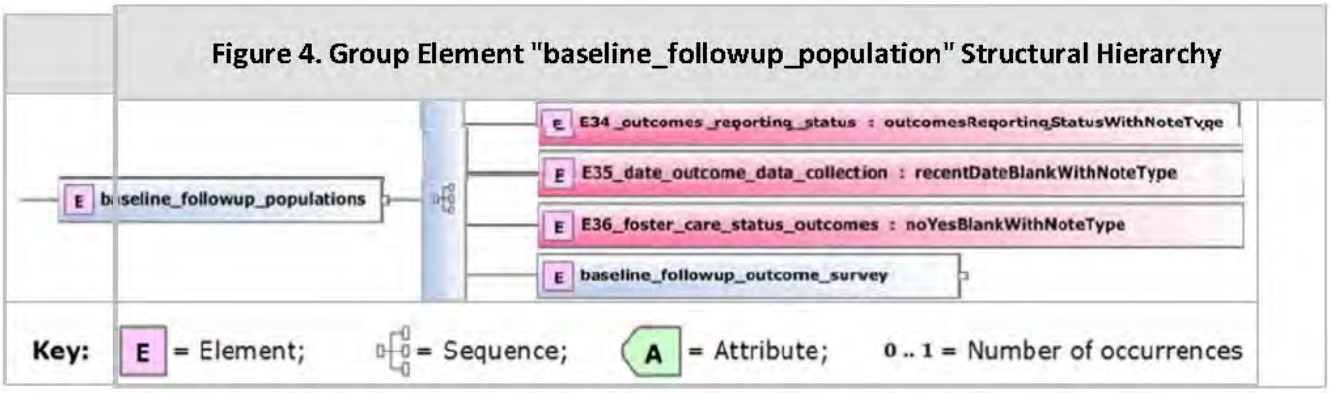
- served_population: This is a group element consisting of an ordered list of the elements relevant only to the served population, including NYTD data elements 14-33.
- baseline_followup_populations: This is a group element consisting of an ordered list of the elements relevant only to the baseline and follow-up populations, including NYTD data elements 34-36.

3.6 Group Element "served_population"

Figure 3. Group Element "served_population" Structural Hierarchy

The served_population group element is an ordered list of NYTD data elements 14 – 33 (see Table 1).

3.7 Group Element "baseline_followup_populations"

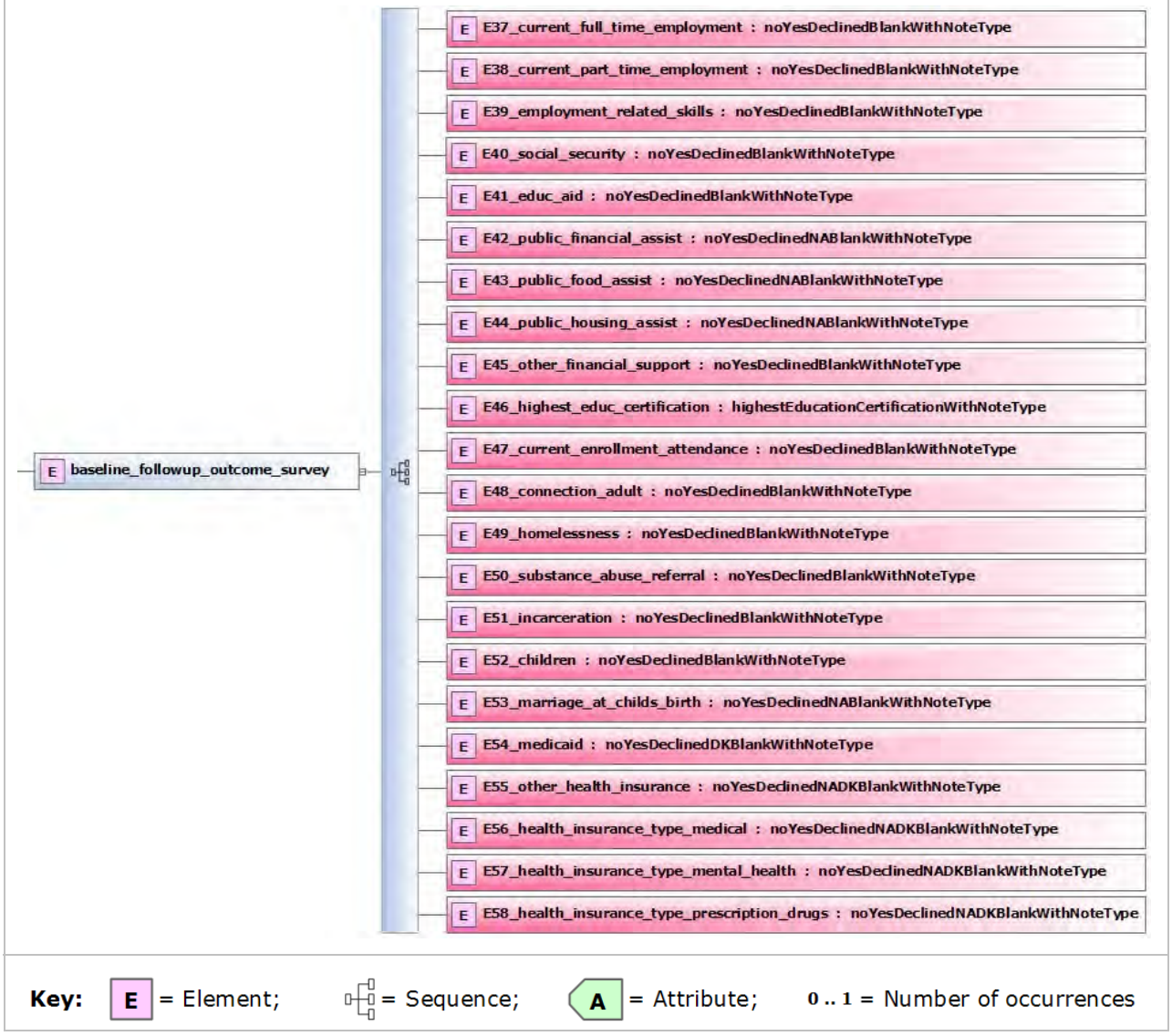


Each "baseline_followup_populations" consists of an ordered list of NYTD data elements 34 - 36 (see Table 1), as well as the group element baseline_followup_outcome_survey:

- baseline_followup_outcome_survey: Contains the elements related to the Youth Outcome Survey for baseline/follow-up youth.

3.8 Group Element "baseline_followup_outcome_survey"

Figure 5. Group Element "baseline_followup_outcome_survey" Structural Hierarchy



The baseline_followup_outcome_survey group element is an ordered list of NYTD data elements 37 – 58 (see Table 1).

4 Encryption

4.1 General Information on Encryption of Record Numbers

To protect confidentiality when reporting case-level data about a youth to NYTD, states are required to use an encrypted, unique person identification number for the youth which follows the youth as long as he or she is reported to NYTD (45 CFR 1356.83(g)(3)). Sections 4.2 and 4.3 below describe the procedures for encrypting youth record numbers. Section 3.2 contains important, related requirements for formatting record numbers for NYTD.

4.2 Guidelines for Encryption of Record Numbers for Youth Who Are or Were in Foster Care

If a youth reported to NYTD is in foster care as defined in 45 CFR 1355.20 or was previously in foster care, then the state agency must use and report for data element 3 (record number) the same person identification number for the youth the state agency reports or reported to AFCARS. The person identification number must remain the same for the youth wherever the youth is residing and in any subsequent NYTD reports. The guidelines for encrypting the record numbers of such youth were detailed in *AFCARS Technical Bulletin #7: Encryption Guidelines and Algorithms* (https://www.acf.hhs.gov/cb/resource/afcars-tb7).

4.3 Guidelines for Encryption of Record Numbers for Youth Who Were Never in Foster Care

If a youth reported to NYTD was never in foster care as defined in 45 CFR 1355.20, then the state agency must assign a person identification number that remains the same for the youth wherever the youth is residing and in any subsequent reports to NYTD. States should follow the same guidelines outlined in *AFCARS Technical Bulletin #7: Encryption Guidelines and Algorithms* when assigning and encrypting the record numbers of youth reported to NYTD that were never in foster care.

5 Notes (Footnotes)

5.1 General Information on Notes

States may include notes or "footnotes" with the NYTD file which comment on or clarify the data provided in a NYTD data file. The intent of these footnotes is to provide additional information that may be helpful in understanding the state's NYTD data. This technical bulletin suggests the types of subject matter that may be contained in a note and provides the format for submitting notes with a NYTD data file. ACF will include the notes in any distribution of the data set.

A state may include a note with a NYTD data file pertaining to the entire file (file-level note), an individual data element (element-level note), an individual youth record (record-level note), or an individual value in the data file (value-level note). When considering adding optional notes, states should follow a rule of reason and identify and discuss significant issues that may lead to misinterpretation of the data. Notes should not give the appearance of being a research finding, but rather should offer a specific possible explanation for an occurrence in the data. Listed below are examples of the four types of notes. See Table 2 for an overview of each type of note.

***Example of a note about a NYTD data file*:**

> During report period B, the state opted to extend its title IV-E foster care program to include youth up to age 21 as authorized by P.L. 110-351.

Example of a note about a NYTD data element

> *Independent living needs assessment (element 20):*
> State policy requires all youth in foster care to receive an independent living needs assessment no more than 30 days after the youth's 13th, 15th, and 17th birthdays.

***Example of a note about a NYTD youth record**:*

> This youth's 17th birthday fell on September 29, 2017 but survey data was not collected until October 13, 2017 and was not included in the state's regular 2017B NYTD data file.

Example of a note about a NYTD datum or "value" (value-level notes)

> *Other financial assistance (element 33), with the value "yes":*
> The state CFCIP agency paid the youth's public transportation costs so that the youth could attend and maintain a part-time job.
>
> *Outcomes reporting status (element 34), with the value "incarcerated"*
> The youth was located but was incarcerated. The state was unable to invite the youth to participate in the survey by the end of the report period.

5.2 Information on Including Notes in a Data File Submission

Notes included in the NYTD file are optional character strings. File-level, record-level, and element-level notes cannot exceed 2000 characters in length per note, while value-level notes cannot exceed 255 characters.

In general, valid note strings may consist of any ASCII characters except for an unescaped[4] ampersand character (&) and a left-angle bracket character (<). To allow for nesting, single (') and double quotation marks (") may also be escaped. For additional information, consult the World Wide Web Consortium's XML standards for acceptable character data (http://www.w3.org/TR/REC-xml/#syntax).

Table 2: List of NYTD Note Types

Note Type (pertains to):	XML Element/Tag Name	Number of Notes	Length of Note	XML Example
File-level (Entire file)	*file_note*	0 to 512	0 to 2000 characters	**<file_note>**During report period B, the state opted to extend its title IV-E foster care program to include youth up to age 21 as authorized by P.L. 110-351.**</file_note>**
Element-level (Data element)	*field_note*, with NYTD Element number specified in *element_id* attribute	0 to 512	0 to 2000 characters	**<field_note element_id="20">**State policy requires all youth in foster care to receive an independent living needs assessment no more than 30 days after the youth's 13th, 15th, and 17th birthday.**</field_note>**
Record-level (Youth record)	*record_note*	0 or 1 per record	0 to 2000 characters	**<record_note>**This youth's 17th birthday fell on September 29, 2017 but survey data was not collected until October 13, 2017 and was not included in the state's regular 2017B NYTD data file.**</record_note>**
Value-level (Value for an element in a youth record)	*note* attribute added to an XML tag for NYTD data	0 or 1 per data value	0 to 255 characters	**<E34_outcomes_reporting_status note="**The youth was located but was incarcerated. The state was unable to invite the youth to participate in the survey by the end of the report period.**">**unable to locate**</E34_outcomes_reporting_status>**

[4] An escape character is a single character designated to invoke an alternative interpretation on immediately subsequent characters in a character sequence. The term escape sequence refers to the escape character and the character or characters whose meaning is modified.

6 Data File Name

6.1 Naming the NYTD Data File for Transmission

The state's NYTD data file name is to follow this naming convention (which is the same general format used in AFCARS):

VVG1CX4.CFI.ss.Zyyyy.Xyymmdd.Thhmm.xml

Where:

- "VVG1CX4" is the application account number that identifies NYTD data files for storage at the NIH Center for Information Technology;
- "CFI" refers to the historically required software of transmission "Cyberfusion". While the name of this technology has changed, we are retaining "CFI" as the designation in the file name for simplicity;
- "ss" is the state code;
- "Z" is the report period "A" (corresponding to the period October 1-March 31) or "B" (corresponding to the period April 1-September 30);
- "yyyy" is the report year;
- "X" is the type of submission R, C, S, or T as described below;
- "yymmdd" is the year, month, and day;
- "T" refers to the time of transmission;
- "hhmm" is the hour and minutes that correspond to the time the state transmits the data file (24-hour clock); and
- ".xml" is the XML file name extension.

The NYTD data file name **must** include the date and time the state is transmitting the NYTD data file, not the date and time the NYTD data file was created.

6.2 Examples of Types of Submissions and File Names

The data file should be named according to the type of submission being made: regular (R), corrected (C), subsequent (S), or test (T). The submission types are described below.

- Regular (R) Data File: A NYTD data file for a current report period that is submitted during the appropriate transmission time frame, April 1 – May 15 and October 1 – November 14.

    - Example: A state submits a NYTD data file for the 2015A report period (October 1, 2014 – March 31, 2015) on May 1, 2015 at 12:30 pm

        File name: **VVG1CX4.CFI.ss.A2015.R150501.T1230**

- Corrected (C) Data File: A NYTD data file submitted for the appropriate corrective action time frame. Corrected files may be submitted by a state in order to correct errors in their file that caused the state to be out of compliance with the NYTD standards. The transmission periods are: May 16 – September 30 for corrected "A" period (October 1 – March 31) files and November 15 – March 31 for corrected "B" period (April 1 – September 30) files.

    - Example: A state is notified by the Children's Bureau that its data file for the 2017A report period is not in compliance with NYTD standards. The state has until September 30, 2017 to submit a corrected 2015A data file. The state submits a corrected file on September 28, 2017 at 4:00 pm.

        File name: **VVG1CX4.CFI.ss.A2017.C170928.T1600**

- Subsequent (S) Data File: A NYTD data file submitted after the due dates for a regular NYTD data file (May 15 or November 14) for a reason other than completing a corrective action are considered subsequent data files.

    - Example: A state's NYTD data file was compliant with the NYTD standards for the 2015B report period. The state then makes corrections to information related to data element 23 (Career Preparation) for several records and submits a subsequent file on December 10, 2015 at 8:30 am.

        File name: **VVG1CX4.CFI.ss.B2015.S151210.T0830**

- Test (T) Data File: A NYTD data file that is submitted for testing purposes and is not to be used as an official submission to NYTD.

    - Example: A state wants to check its electronic data transmission routine and submits a NYTD test data file for the 2015B report period on October 7, 2015 at 2:00 pm.

        File name: **VVG1CX4.CFI.ss.B2015.T151007.T1400**

7 Electronic Data Transmission

7.1 Requirements for Electronic Data Transmission

The NYTD regulation requires states to report all NYTD data to ACF electronically according to ACF's specifications (45 CFR 1356.83(h)). To meet this requirement, states must electronically transmit NYTD data files to the National Institutes of Health (NIH) Center for Information Technology in Bethesda, Maryland using the software identified by the Children's Bureau for secure electronic data file transfers.

Appendix A NYTD XML Schema Definition

```
<?xml version="1.0" encoding="utf-8" ?>
<xs:schema xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns:nytd="http://nytd.acf.hhs.gov" attributeFormDefault="unqualified"
elementFormDefault="unqualified" targetNamespace="http://nytd.acf.hhs.gov"
xmlns:xs="http://www.w3.org/2001/XMLSchema"
xsi:noNamespaceSchemaLocation="http://www.w3.org/2001/XMLSchema.xsd">
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        <xs:complexType>
            <xs:sequence>
                <xs:element name="file_id">
                    <xs:simpleType>
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                            <xs:whiteSpace value="collapse" />
                            <xs:minLength value="1" />
                            <xs:maxLength value="255" />
                        </xs:restriction>
                    </xs:simpleType>
                </xs:element>
                <xs:element name="E1_state" type="nytd:stateFipsCodeType" />
                <xs:element name="file_generation_date" type="nytd:recentDateType" />
                <xs:element name="file_note" minOccurs="0" maxOccurs="512"
type="nytd:varcharStringType" />
                <xs:element name="field_note" minOccurs="0" maxOccurs="512">
                    <xs:complexType>
                        <xs:simpleContent>
                            <xs:extension base="nytd:varcharStringType">
                                <xs:attribute name="element_id" type="xs:string" use="required">
                                    <xs:annotation>
                                        <xs:documentation>
                                            This element_id must correspond to the element number
(1-58) that the note corresponds to.
                                        </xs:documentation>
                                    </xs:annotation>
                                </xs:attribute>
                            </xs:extension>
                        </xs:simpleContent>
                    </xs:complexType>
                </xs:element>
                <xs:element name="file_category" type="nytd:fileCategoryType" />
                <xs:element name="E2_report_date" type="nytd:reportDateType">
                    <xs:annotation>
                        <xs:documentation>
                            corresponds with the end of the reporting period
                        </xs:documentation>
```

```
                    </xs:annotation>
                </xs:element>
                <xs:element name="record" minOccurs="1" maxOccurs="999999">
                    <xs:complexType>
                        <xs:sequence>
                            <xs:element name="E3_record_number"
type="nytd:recordNumberWithNoteType" />
                            <xs:element name="record_note" minOccurs="0"
type="nytd:varcharStringType" />
                            <xs:element name="E4_date_of_birth"
type="nytd:filteredDateWithNoteType" />
                            <xs:element name="E5_sex" type="nytd:sexWithNoteType" />
                            <xs:element name="E6_race_american_indian_alaska_native"
type="nytd:noYesWithNoteType" />
                            <xs:element name="E7_race_asian" type="nytd:noYesWithNoteType" />
                            <xs:element name="E8_race_black_african_american"
type="nytd:noYesWithNoteType" />
                            <xs:element name="E9_race_hawaiian_pacific_islander"
type="nytd:noYesWithNoteType" />
                            <xs:element name="E10_race_white" type="nytd:noYesWithNoteType" />
                            <xs:element name="E11_race_unknown" type="nytd:noYesWithNoteType"
/>
                            <xs:element name="E12_race_declined" type="nytd:noYesWithNoteType"
/>
                            <xs:element name="E13_hispanic_latino"
type="nytd:noYesUnknownDeclinedWithNoteType" />
                            <xs:element name="served_population" minOccurs="1" maxOccurs="1">
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                                    <xs:documentation>
                                        This element may not be omitted.
                                    </xs:documentation>
                                </xs:annotation>
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type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E15_local_agency"
type="nytd:localAgencyWithNoteType" />
                                        <xs:element name="E16_federally_recognized_tribe"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E17_adjudicated_delinquent"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E18_educational_level"
type="nytd:educationLevelWithNoteType" />
                                        <xs:element name="E19_special_education"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E20_independent_living_needs_assess"
type="nytd:noYesBlankWithNoteType" />
```

```
                                        <xs:element name="E21_academic_support"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E22_post_secondary_educ_support"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E23_career_preparation"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E24_employment_programs"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E25_budget_financial_mgmt"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E26_housing_educ_home_mgmt_training"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E27_health_educ_risk_prevention"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element
name="E28_family_support_healthy_marriage_educ" type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E29_mentoring"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E30_supervised_independent_living"
type="nytd:noYesBlankWithNoteType" />
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type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="E32_educ_financial_assist"
type="nytd:noYesBlankWithNoteType" />
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type="nytd:noYesBlankWithNoteType" />
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maxOccurs="1">
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                                        This element may not be omitted.
                                    </xs:documentation>
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type="nytd:outcomesReportingStatusWithNoteType" />
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type="nytd:recentDateBlankWithNoteType" />
                                        <xs:element name="E36_foster_care_status_outcomes"
type="nytd:noYesBlankWithNoteType" />
                                        <xs:element name="baseline_followup_outcome_survey"
minOccurs="1" maxOccurs="1">
                                            <xs:annotation>
                                                <xs:documentation>
```

```
                This element may not be omitted.
            </xs:documentation>
        </xs:annotation>
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            <xs:sequence>
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                <xs:element name="E40_social_security"
type="nytd:noYesDeclinedBlankWithNoteType" />
                <xs:element name="E41_educ_aid"
type="nytd:noYesDeclinedBlankWithNoteType" />
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type="nytd:noYesDeclinedNABlankWithNoteType" />
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```

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```
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```

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                    </xs:documentation>
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            </xs:enumeration>
```

```
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            Declined
        </xs:documentation>
    </xs:annotation>
</xs:enumeration>
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        </xs:documentation>
    </xs:annotation>
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            Bachelor's degree
        </xs:documentation>
    </xs:annotation>
</xs:enumeration>
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    <xs:annotation>
        <xs:documentation>
            Higher degree
        </xs:documentation>
    </xs:annotation>
</xs:enumeration>
<xs:enumeration value="none of the above">
    <xs:annotation>
        <xs:documentation>
            None of the above
        </xs:documentation>
    </xs:annotation>
</xs:enumeration>
<xs:enumeration value="">
    <xs:annotation>
        <xs:documentation>
            Blank
        </xs:documentation>
    </xs:annotation>
```

```
            </xs:enumeration>
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="outcomesReportingStatusType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
            <xs:enumeration value="participated">
                <xs:annotation>
                    <xs:documentation>
                        Youth participated
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="declined">
                <xs:annotation>
                    <xs:documentation>
                        Youth declined
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="parent declined">
                <xs:annotation>
                    <xs:documentation>
                        Parent declined
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="incapacitated">
                <xs:annotation>
                    <xs:documentation>
                        Youth incapacitated
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="incarcerated">
                <xs:annotation>
                    <xs:documentation>
                        Incarcerated
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="runaway missing">
                <xs:annotation>
                    <xs:documentation>
                        Runaway/missing
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
```

```
            <xs:enumeration value="unable to locate">
                <xs:annotation>
                    <xs:documentation>
                        Unable to locate/invite
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="death">
                <xs:annotation>
                    <xs:documentation>
                        Death
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="not in sample">
                <xs:annotation>
                    <xs:documentation>
                        Not in sample
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="">
                <xs:annotation>
                    <xs:documentation>
                        Blank
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="blankType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
            <xs:maxLength value="0">
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                    <xs:documentation>
                        Blank
                    </xs:documentation>
                </xs:annotation>
            </xs:maxLength>
        </xs:restriction>
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    </xs:simpleType>
    <xs:simpleType name="noYesDeclinedBlankType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
```

```
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                <xs:annotation>
                    <xs:documentation>
                        No
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="yes">
                <xs:annotation>
                    <xs:documentation>
                        Yes
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="declined">
                <xs:annotation>
                    <xs:documentation>
                        Declined
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="">
                <xs:annotation>
                    <xs:documentation>
                        Blank
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="noYesDeclinedNABlankType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
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                <xs:annotation>
                    <xs:documentation>
                        No
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="yes">
                <xs:annotation>
                    <xs:documentation>
                        Yes
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="declined">
```

```
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                    <xs:documentation>
                        Declined
                    </xs:documentation>
                </xs:annotation>
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            <xs:enumeration value="not applicable">
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                    <xs:documentation>
                        Not applicable
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="">
                <xs:annotation>
                    <xs:documentation>
                        Blank
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
        </xs:restriction>
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    <xs:simpleType name="noYesDeclinedDKBlankType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
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                <xs:annotation>
                    <xs:documentation>
                        No
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="yes">
                <xs:annotation>
                    <xs:documentation>
                        Yes
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="declined">
                <xs:annotation>
                    <xs:documentation>
                        Declined
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="do not know">
                <xs:annotation>
```

```
                    <xs:documentation>
                        Don’t know
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="">
                <xs:annotation>
                    <xs:documentation>
                        Blank
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="noYesDeclinedNADKBlankType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
            <xs:enumeration value="no">
                <xs:annotation>
                    <xs:documentation>
                        No
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="yes">
                <xs:annotation>
                    <xs:documentation>
                        Yes
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="declined">
                <xs:annotation>
                    <xs:documentation>
                        Declined
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="not applicable">
                <xs:annotation>
                    <xs:documentation>
                        Not applicable
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="do not know">
                <xs:annotation>
                    <xs:documentation>
```

```
                    Don’t know
                </xs:documentation>
            </xs:annotation>
        </xs:enumeration>
        <xs:enumeration value="">
            <xs:annotation>
                <xs:documentation>
                    Blank
                </xs:documentation>
            </xs:annotation>
        </xs:enumeration>
    </xs:restriction>
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    <xs:restriction base="xs:string">
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        <xs:maxLength value="255" />
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        <xs:maxLength value="2" />
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        <xs:whiteSpace value="collapse" />
        <xs:pattern value="\d{5}|centralized unit|" />
    </xs:restriction>
</xs:simpleType>
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    <xs:restriction base="xs:string">
        <xs:whiteSpace value="collapse" />
        <xs:maxLength value="255" />
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    <xs:restriction base="xs:date">
        <xs:whiteSpace value="collapse" />
        <xs:minInclusive value="1900-01-01" />
    </xs:restriction>
</xs:simpleType>
<xs:simpleType name="recentDateType">
```

```
        <xs:restriction base="xs:date">
            <xs:whiteSpace value="collapse" />
            <xs:minInclusive value="2009-01-01" />
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="recentDateBlankType">
        <xs:union memberTypes="nytd:recentDateType nytd:blankType" />
    </xs:simpleType>
    <xs:simpleType name="sexType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
            <xs:enumeration value="male">
                <xs:annotation>
                    <xs:documentation>
                        Male
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="female">
                <xs:annotation>
                    <xs:documentation>
                        Female
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="fileCategoryType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
            <xs:enumeration value="test">
                <xs:annotation>
                    <xs:documentation>
                        Test
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="regular">
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                    <xs:documentation>
                        Regular
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="corrected">
                <xs:annotation>
                    <xs:documentation>
                        Corrected
```

```
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
            <xs:enumeration value="subsequent">
                <xs:annotation>
                    <xs:documentation>
                        Subsequent
                    </xs:documentation>
                </xs:annotation>
            </xs:enumeration>
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="varcharStringType">
        <xs:restriction base="xs:string">
            <xs:whiteSpace value="collapse" />
            <xs:minLength value="0" />
            <xs:maxLength value="2000" />
        </xs:restriction>
    </xs:simpleType>
    <xs:simpleType name="reportDateType">
        <xs:annotation>
            <xs:documentation>
                A year-month date string between 2010 and 2099, formatted as "yyyymm" E.g. 201103
            </xs:documentation>
        </xs:annotation>
        <xs:restriction base="xs:token">
            <xs:whiteSpace value="collapse" />
            <xs:pattern value="(20[1-9][0-9])(0[39])" />
        </xs:restriction>
    </xs:simpleType>
    <xs:complexType name="recordNumberWithNoteType">
        <xs:simpleContent>
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                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="filteredDateWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:filteredDateType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
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    <xs:complexType name="sexWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:sexType">
                <xs:attribute name="note" type="nytd:charStringType" />
```

```
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="noYesBlankWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:noYesBlankType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="noYesWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:noYesType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="noYesUnknownDeclinedWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:noYesUnknownDeclinedType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="localAgencyWithNoteType">
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            </xs:extension>
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    </xs:complexType>
    <xs:complexType name="educationLevelWithNoteType">
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    <xs:complexType name="outcomesReportingStatusWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:outcomesReportingStatusType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="recentDateBlankWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:recentDateBlankType">
```

```
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="noYesDeclinedBlankWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:noYesDeclinedBlankType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="noYesDeclinedNABlankWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:noYesDeclinedNABlankType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="highestEducationCertificationWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:highestEducationCertificationType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="noYesDeclinedDKBlankWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:noYesDeclinedDKBlankType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
    <xs:complexType name="noYesDeclinedNADKBlankWithNoteType">
        <xs:simpleContent>
            <xs:extension base="nytd:noYesDeclinedNADKBlankType">
                <xs:attribute name="note" type="nytd:charStringType" />
            </xs:extension>
        </xs:simpleContent>
    </xs:complexType>
</xs:schema>
```

Appendix B AFCARS/NYTD Registration Form for File Transmission

---

Instructions: Please submit a separate form for each system registration and for each update to the state or tribal program official.

1. **Date**: Date the form is emailed.

2. **IV-E Agency**: Name of the state or tribe requesting connection to NIH.

3. **System Name**: The federal reporting system for which the state or tribe is requesting connection to NIH.

4. **Program Official**: The person that is the primary program contact in the title IV-E agency office. Please provide name and contact information. (The Children's Bureau will contact this person regarding non-technical matters related to AFCARS/NYTD reporting).

5. **System Contact**: The person responsible for setting-up/maintaining the data transfer software. Please provide name and contact information. (The Children's Bureau will contact this person if there is a connection problem such as an incorrect IP address).

6. **Network Contact**: The person responsible for maintaining/updating VTAM network definitions and connection. Please provide name and contact information. (The Children's Bureau will contact this person if there is a network problem).

7. **Platform**: Indicate the type of platform/operating system where specified data transfer software is hosted.

8. **State or Tribe IP address**: Staff from ACF OCIO will contact the staff person noted in item 5 and/or 6 by telephone to obtain this information.

9. **State or Tribe PORT #**: Staff from ACF OCIO will contact the staff person noted in item 5 and/or 6 by telephone to obtain this information.

Once the form is completed, send to afcars@acf.hhs.gov (for AFCARS) or to NYTDhelp@acf.hhs.gov (for NYTD). When the form is received, the Children's Bureau will send the identifiers to set up the connection to the server at NIH to the system contact.

AFCARS/NYTD Registration Form for File Transmission

Check all that apply:

- ❑ I am updating my state or tribal program official (complete items 1-4)
- ❑ I am updating my state or tribal file transmission registration (complete items 5-9)

Items 1-4 are required to be completed by the primary state/tribal program office contact for AFCARS or by the primary state office contact for NYTD.

1. Date:_____/_____/_____
2. IV-E Agency: _____
3. System Name: This request is for (check one): ❑ AFCARS ❑ NYTD
4. Program Official: _____

   Phone:_____Email: _____

Items 5-10 are to be completed by a state/tribal system contact.

5. System Staff Name: _____

   Phone:_____Email: _____

6. Network Staff Name: _____

   Phone:_____Email: _____

7. Platform (check one or write in): ❑ HPUX ❑ SUN/SOLARIS ❑ AIX ❑ LINUX ❑ WINDOWS ❑ AS/400 ❑ OS/390 ❑ z/OS ❑ Other: _____
8. IP Address: ACF OCIO will contact state point of contact listed in item 5 and/or 6.
9. Port #: ACF OCIO will contact state point of contact listed in item 5 and/or 6.

For VPN users only

State VPN Device Brand [Router, FW]	
IV-E Agency VPN endpoint IP Address	**ACF OCIO will contact state POC listed in item 5 and/or 6.**
Encapsulation AES 256 or AES 128	☐
Hash Code HMAC (MD5, SHA1, SHA2)	☐
Transport or Tunnel Mode	☐
Agree on a pre-shared key	☐

For **AFCARS** please email completed form to afcars@acf.hhs.gov. For **NYTD** please email completed form to NYTDhelp@acf.hhs.gov.

For Internal Use Only

CB Contact_____ Rec'd Date_____/____/_____
OCIO Contact_____Rec'd Date_____/____/____