

**U.S. DEPARTMENT OF EDUCATION**

**Education Data Exchange Network (EDEN)**

***EDFacts***  
**Guidance on Submitting Racial and  
Ethnic Data**

**January 2010**

**U.S. Department of Education**

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## DOCUMENT CONTROL

### DOCUMENT INFORMATION

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### DOCUMENT HISTORY

Version Number	Date	Summary of Change
Draft	Sep 2008	<ul style="list-style-type: none"> <li>Draft version for discussion at EDFacts Coordinator's Meeting</li> </ul>
5.0	Nov 2008	<p>Preface – Clarified language.            Contents - Moved the section on EMAPS            1.0 – Expanded on purpose of the document. Add language on scope of document.            1.0 – Added that Title I assessment and accountability data does not have to be reported by the 7 permitted values in SY 2010-11.            2.0 – Added explanation of terms category and permitted values            2.0 – Added reference to list of files with racial and ethnic data, and that no staff data are collected by racial or ethnic categories.            3.0 – Clarified language on implementation            3.0 – Added step for planning the transition            3.0 – Clarified language in questions and answers            3.0 – Added question and answers for</p> <ul style="list-style-type: none"> <li>Can we change our elections in EMAPS and submit files on the same day/</li> <li>What happens if we don't make elections in EMAPS and we submit data to ESS?</li> <li>When do we have to make a decision on how to submit the files, is there a deadline?</li> <li>When will the EMAPS tool be available to SEAs and when will it close?</li> <li>Do we have to convert Title I accountability and assessment data to the 7 RE permitted values?</li> </ul> <p>3.0, 5.0 and 9.0 – Changed “more than one race” to “two or more races”            5.0 – Added footnotes on permitted values.            5.0 – Added guidance about the submission edit when the 7 permitted values do not equal the total.</p>

Version Number	Date	Summary of Change
		6.0 – Revised opening sentence. Reformatted the tables. 6.0 – Removed accountability and assessment data clusters 7.0 – Added section on accountability and assessment data 8.0 – Added text on <i>EMAPS</i> 9.0 – Clarified explanation of how data submitted as “two or more races” are handled for reporting.
5.1	Jan 2009	Added Appendix A: Instructions to Record Your Racial and Ethnic Data Reporting Plan in <i>EMAPS</i>
5.2	Feb 2009	4.0 – Added guidance when state has not implemented the 7 RE permitted values but has more than the 5 RE permitted values
5.3	Sept 2009	3.0 – Updated answer to question “when will the <i>EMAPS</i> tool be available to SEAs and when will it close” 5.0 – Corrected names of 7 permitted values 5.0 – Reworded paragraph to remove reference to number of files and instead direct reader to where the files are listed 6.0 – Update names of files and data groups, deleted column for submission period, deleted N/X047 LEP – Eligible, added N/X148 and N/X149 to CTE cluster 7.0 – Updated names of files and data groups, deleted column for submission period, added N/X107, N/X150 and N/X151
6.0	Jan 2010	1.0 - Update location of information on Department guidance on race and ethnicity. 6.0 - Added N/X041 Graduation Rate to the Title I cluster 7.0 - Removed N/X041 Graduation Rate from the list of accountability and assessment data groups and files. Appendix A – Updated

**RELEASE AUTHORIZATION**

Name	Signature / Date
Author	
QA	
Release Authority	

## PREFACE

This document provides instructions to assist State Education Agencies (SEAs) on submitting racial and ethnic data through the EDEN Submission System.

This document explains how SEAs report or submit racial and ethnic data to the U.S. Department of Education through the EDEN Submission System. It does not include information on how SEAs collect racial and ethnic data.

EDEN is a centralized, coordinated repository of state reported, K through 12, educational data residing at the U.S. Department of Education. The EDEN Submission System is an electronic system that facilitates the efficient and timely transmission of data from SEAs to the U.S. Department of Education.

## CONTENTS

DOCUMENT CONTROL .....	ii
PREFACE .....	iv
1.0 Purpose.....	1
2.0 Background .....	2
3.0 Implementation in <i>EDFacts</i> .....	3
4.0 Submitting using the 5 Permitted Values .....	7
5.0 Submitting using the 7 Permitted Values .....	8
6.0 List of Files Collecting Racial and Ethnic Data by Clusters .....	10
7.0 Accountability and Assessment Data Groups and Files .....	12
8.0 Overview of <i>E MAPS</i> for Racial and Ethnic Data Reporting Plans .....	15
9.0 Public Reporting on Racial and Ethnic Data During the Transition .....	16
APPENDIX A: Instructions for Recording Your Racial and Ethnic Data Plan in <i>E MAPS</i> .....	17

## 1.0 PURPOSE

The purpose of this document is to explain how the guidance issued by the U.S. Department of Education (ED) on collecting and reporting racial and ethnic data will be implemented in EDFacts for the reporting of data to ED, as part of the EDFacts collection under OMB#1875-0240.

Prior to school year (SY) 2008-09, State Education Agencies (SEAs) submitted racial and ethnic data using 5 permitted values. No later than SY 2010-11, SEAs must submit racial and ethnic data using 7 permitted values -- except for Title I assessment and accountability data concerning “major racial and ethnic groups”. In SYs 2008-09 and 2009-10, SEAs are permitted to begin submitting data using the 7 permitted values. This document explains what SEAs must do to submit racial and ethnic data through EDFacts.

**Revised!** This document does not include a detailed explanation of the implementation of the racial and ethnic guidance. Information on the guidance is at <http://www.ed.gov/edfacts> under the heading “EDFacts Overview” under the bullet “What is the latest guidance on race and ethnicity for the collection of federal education data.”

This document does not provide information on transitioning from 5 permitted values to 7 permitted values. SEAs are encouraged to read the *Forum Guide to Race/Ethnicity Data Implementation*. The Forum Guide can be found at <http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2008802>.

Section 6 of this document contains a list of all the files with racial and ethnic data that must be transitioned from 5 permitted values to 7 permitted values by SY 2010-11.

States may, but are not required, to use the 7 permitted values to report assessment and accountability data under Title I of the ESEA. Rather, for these purposes, States may report on “major racial and ethnic groups,” as defined by each State. Section 7 of this document lists the files that contain the Title I assessment and accountability data that are collected by major racial and ethnic groups.

### Scope of this Document

This document covers only the reporting (or submitting) of racial and ethnic data to ED through the EDEN Submission System. It does not include information on collecting racial and ethnic data by SEAs.

## 2.0 BACKGROUND

Final guidance issued in the Federal Register on October 19, 2007 (72 Fed. Reg. 59267) on the collection and reporting of racial and ethnic data by educational institutions and other grantees now allows individuals to self-identify their ethnicity and race, and select more than one race and/or ethnicity. This change permits individuals to more accurately reflect their racial and ethnic backgrounds by expanding reporting options from five to seven permitted values and permitting individuals to select more than one category. The final guidance requires, beginning with data for SY 2010-11 and future school years, that all SEAs must submit racial and ethnic data (except for assessment and accountability data required under Title I of the ESEA) by the 7 permitted values. SEAs may choose to submit data by the 7 permitted values earlier, that is, in SYs 2008-09 and 2009-10.

EDFacts collects racial and ethnic data on students in the files listed in section 6. EDFacts also collects data on students for Title I accountability and assessment by major racial and ethnic groups. Those files are listed in section 7. EDFacts does not collect racial and ethnic data on staff.

The guidance on racial and ethnic data refers to ethnicity (i.e., Hispanic/Non-Hispanic) and racial subgroups (e.g. American Indian or Alaskan Native or Asian) as “categories.” In EDFacts, racial and ethnic is a type of “category” and the racial and ethnic subgroups are types of “permitted values.” In this document, as in all EDFacts technical guidance, the racial and ethnic subgroups will be referred to as permitted values.

In this document, “RE” means “racial and ethnic” and refers to data collected using either the 5 or 7 permitted values. The term “major racial and ethnic groups” refers to the data collected for accountability and assessment purposes under Title I of the ESEA.<sup>1</sup>

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<sup>1</sup> The term “major racial and ethnic groups” is used in Title I of the ESEA, as amended by the No Child Left Behind Act, to describe certain data collected for accountability and assessment.



### 3.0 IMPLEMENTATION IN EDFACTS

SEAs have a choice in how they transition to the 7 RE permitted values. They may switch from reporting 5 to 7 RE permitted values for all files within one school year, or they may initially transition reporting to 7 RE permitted values for only certain file cluster(s). In both cases, the transition must be fully implemented for all RE data no later than SY 2010-2011.

SEAs may transition the submission of RE data by file clusters. A file cluster is a group of related files that require consistent RE data. Section 6 lists the files in each cluster. For example, an SEA can transition data in the Common Core of Data cluster in SY 2008-09 while transitioning the data in the IDEA cluster in SY 2009-10.

In some SEAs, the source of the racial and ethnic data for all (or many) of the clusters will be the same information system. In these cases, an SEA will likely need to transition all (or most) of the clusters during the same school year.

All data submitted for a cluster must use the same permitted values. For example, if one file in a cluster is submitted using the 7 RE permitted values, all the other files in the cluster must be submitted using the 7 RE permitted values. Unless you can submit all files in the cluster using the 7 RE permitted values, you must continue to report using the original 5 RE permitted values. Once you transition a cluster of files to the 7 RE permitted values, you can no longer report those files using the 5 RE permitted values for that school year or any successive school year.

For SY 2008-09, each SEA must:

1. Plan the transition
  - SEAs are encouraged to read the *Forum Guide to Race/Ethnicity Data Implementation*.<sup>2</sup>
  - SEAs will need to determine the source of the racial and ethnic data for each file listed in section 6.
2. Decide when each cluster will be transitioned to 7 RE permitted values
  - Section 6 contains a list of files in each cluster.
  - Section 9 explains how the data will be reported during the transition.
3. Record the decision for each cluster and/or school year in the *EDFacts Metadata and Process System (EMAPS)* tool.
  - Section 8 offers an introduction to *EMAPS*.

<sup>2</sup> The Forum Guide can be found at <http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2008802>.

- Appendix A of this document details how to record your Racial and Ethnic Data Reporting Plan in the *EMAPS* tool.
4. Submit the data to the EDEN Submission System (ESS) in accordance with the plan recorded in *EMAPS*.
- Section 4 explains how to submit using the 5 RE permitted values.
  - Section 5 explains how to submit using the 7 RE permitted values.

### Key Things to Remember

- SEAs will fully transition all files listed in section 6 to the 7 RE permitted values for data for SY 2010-11.
- Earlier adoption of the 7 RE permitted values can be done in “clusters.”
- Data files within a cluster must all be submitted consistently as either the 5 or 7 RE permitted values
- Prior to submitting files by 7 RE permitted values to ESS, elect the value of “7” in *EMAPS*.
  - *EMAPS* defaults each SEA’s RE plan to 5 permitted values for all files in SY 2008-09 and 2009-10. SEAs with this plan do not need to log in to *EMAPS* before submitting data.
  - ESS will reject file submissions that do not match the state’s plan in *EMAPS*. Therefore SEAs must elect to 7 RE permitted values in *EMAPS* prior to submitting those data files to ESS.
- Once a file cluster has been submitted with the 7 RE permitted values, it can never be submitted with the 5 RE permitted values.

### What if we change our plan?

An SEA can change its plans for any cluster in *EMAPS* up until it submits data for the first file in that cluster. Once the first data for a file in a cluster are submitted and accepted into ESS, the plan is “locked” for that cluster.

If after submitting a file, a State needs to change its plans for a cluster, the State must contact the EDFacts Partner Support Center (PSC). PSC will need to delete the data in ESS before you will be able to submit data for that cluster with different RE permitted values to ESS.

**What happens if we submit data differently than in our plan?**

The file will be rejected. The ESS will reject files that do not match the RE transition plan in *EMAPS*.

**Can we submit using a combination of permitted values from the 5 and 7 RE permitted values for one file; for example, can we use the original 5 RE permitted values plus the “two or more races” permitted value from the 7 RE permitted values?**

No. Data within a file or cluster **cannot** be submitted using a combination of the 5 and 7 RE permitted values. Except for the Title I assessment and accountability data, data for school years before SY 2010 – 2011 must be submitted using either the 5 RE permitted values or the 7 RE permitted values. Files containing permitted values of 5 and 7 RE will be rejected. Files with Title I assessment and accountability data will be submitted using the permitted values for “major racial and ethnic groups.”

**Can we elect to report data by 5 or 7 RE permitted values on a file-by-file basis in *EMAPS*?**

No. Data files within a cluster must be submitted using the same set of permitted values, either the 5 RE permitted values or the 7 RE permitted values (for school years prior to SY 2010 – 2011). Data are required to be submitted consistently within clusters to maintain analytic ability and integrity.

**If we submitted using 7 RE permitted values in SY 2008-09, can we submit using 5 RE permitted values in SY 2009-10?**

No. If an SEA submits using the 7 RE permitted values for a cluster SY 2008-09, the SEA must continue to submit that same data using the 7 RE permitted values for SY 2009-10. In other words, once an SEA makes the transition, the SEA cannot go back.

**Can we change our elections in *EMAPS* and submit files on the same day?**

No. The information on the plan in *EMAPS* is loaded nightly into ESS. You must wait one day after recording your decisions into *EMAPS* to submit the files. If your RE data plans match the default in *EMAPS* then you do not need to make changes in the *EMAPS* tool and you do not need to wait to submit data. *The EMAPS system defaults to expect all data to be submitted by 5 RE categories for SYs 2008-09 and 2009-10, and 7 RE categories in SY 2010-11.*

**What happens if we don't make elections in *EMAPS* and we submit data to ESS?**

ESS will only accept data that matches the plan in *EMAPS*. *EMAPS* defaults to expect all data to be submitted by 5 RE categories for SYs 2008-09 and 2009-10, and 7 RE categories for all data in SY 2010-11.

- If your SEA's RE plan matches the default plan, then you will be able to submit to ESS without logging into *EMAPS*.
- If your SEA plans to submit data by 7 RE permitted values for SYs 2008-09 or 2009-10, you must make that election in *EMAPS* prior to submitting those data.

**When do we have to make a decision on how to submit the files; is there a deadline?**

You must decide which permitted values you will submit for a file cluster and ensure that the plan is recorded in *EMAPS* **prior** to submitting the data. Once data is submitted according to the *EMAPS* plan, your RE plan is "locked". Other than making the election in *EMAPS* before you submit the data, there is no deadline for recording your Racial and Ethnic Data Reporting Plan.

**When will the *EMAPS* tool be available to SEAs and when will it close?**

The *EMAPS* tool will house a variety of state-supplied information. The RE portion of *EMAPS* is available now. Appendix A contains guidance on how to use it to record your states RE plan.

The RE plan in *EMAPS* will not "close". You will be able to go into the tool at your leisure to review and revise your future RE data plans. However, revisions will not be allowed once data has been submitted for a particular data cluster and school year. Revisions to the RE plan will be allowed for clusters with no data and future school years.

**Do we have to convert Title I accountability and assessment data to the 7 RE permitted values?**

No. See section 7 for more information on Title I accountability and assessment data.

## 4.0 SUBMITTING USING THE 5 PERMITTED VALUES

This section contains the instructions for submitting data using the 5 RE permitted values. The 5 RE permitted values and the codes for each are listed below.

AM – American Indian or Alaska Native
AS – Asian or Pacific Islander
BL – Black (not Hispanic)
HI – Hispanic
WH – White (not Hispanic)

For SY 2008-09, the examples in the file specifications contain the above codes in the fields for RE.

The existing business rules related to the percentage changes from the current year to the prior year in the RE permitted values will be used when data are submitted using the 5 RE permitted values.

If your state has not implemented the 7 RE permitted values and has students not assigned to one of the 5 RE permitted values, then report these students according to the following:

- Leave out of any category set or subtotals with racial ethnic as a category
- Include in the category sets and subtotals that do not have racial ethnic as a category
- Include in total of the education unit

In the SEA level file, include in the explanation field for the category set and subtotals with racial ethnic as a category, the number of students and a description of the racial/ethnic composition not included in the category set or subtotal.

In some files, a submission error is triggered when the totals of category sets (or subtotals) are not equal. If this happens, contact the Partner Support Center. The Partner Support Center will arrange to have the edit turned off.

## 5.0 SUBMITTING USING THE 7 PERMITTED VALUES

This section contains the instructions for submitting data using the 7 RE permitted values.

The data by 7 RE permitted values will be submitted in the exact same fields as the data submitted by the 5 RE permitted values. However, the permitted values used in those fields are different. The 7 RE permitted values and the codes for each are listed below:<sup>3</sup>

AM7 – American Indian or Alaskan Native
AS7 – Asian
BL7 – Black or African American
HI7 – Hispanic/Latino
PI7 – Native Hawaiian or Other Pacific Islander
WH7 – White
MU7 – Two or more races

“Multi-racial” and “other” are not allowable permitted values.

A submission edit has been added to ESS to check whether the sum of the 7 RE permitted values equals the total for the education unit. If the sum of the 7 RE permitted values does not equal the total for the education unit, the SEA should add an explanation to the file in the record for the total of the education unit that describes why the sum does not equal the total of the education unit. The submission edit for the sum not equaling the total will appear on the submission report regardless of whether the explanation is included in the file.

The files listed in section 6.0 must be transitioned to 7 RE permitted values. The examples in the these file specifications apply except that the codes in the fields for the RE data are the codes for submitting data using 5 RE permitted values not the 7 RE permitted values.

During the school year(s) that the data are transitioned from 5 RE permitted values to 7 RE permitted values, the ESS business rules that compare current year numbers to prior year numbers are turned off. Although the ESS business rules are turned off, NCES will do this analysis for the CCD cluster (Membership N/X052, Dropouts N/X032, and Graduate/Completers N/X040) as part of its data processing for the Common Core of Data (CCD). Therefore, although you will not receive errors or warnings from ESS, you may receive questions from NCES about significant changes from the prior year numbers.

<sup>3</sup> The words “(not Hispanic)” have been removed from the permitted values “Black” and “White” because all the permitted values except for “Hispanic” are “(not Hispanic)” including the permitted value “Two or more races.”

During the school year after the transition, the business rules that compare current year numbers to prior year numbers will be reactivated.

## 6.0 LIST OF FILES COLLECTING RACIAL AND ETHNIC DATA BY CLUSTERS

The tables below list by cluster all the data groups and files that collect racial and ethnic data and must be transitioned from 5 permitted values to 7 permitted values by SY 2010-11.

### Common Core of Data (CCD) Cluster

File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N052	Membership	39	Membership table
X/N032	Dropout	326	Dropouts table
X/N040	Graduates/Completers	306	Graduates/completers table

### Perkins / Career and Technical Education (CTE) Cluster

File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N082	CTE Concentrators	521	CTE concentrators exiting table
X/N142	CTE Concentrators Academic Achievement	681	CTE concentrators academic achievement table
X/N083	CTE Concentrators Graduates	320	CTE concentrators graduates table
N/X148	CTE Participants Non-Traditional Fields	691	CTE participants non-traditional fields table
N/X149	CTE Concentrators Non-Traditional Fields	692	CTE concentrators non-traditional fields table

### Individuals with Disabilities Education Act (IDEA) Cluster

File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N002	Children with Disabilities (IDEA) School-Age	74	Children with disabilities (IDEA) school age table
X/N089	Children with Disabilities (IDEA) Early Childhood	613	Children with disabilities (IDEA) early childhood table
X/N005	Children with Disabilities (IDEA) Removal to Interim Alternative Educational Setting	512	Children with disabilities (IDEA) removal to interim alternative educational setting table
X/N007	Children with Disabilities (IDEA) Reasons for Unilateral Removal	476	Children with disabilities (IDEA) reasons for unilaterally removal table
X/N006	Children with Disabilities (IDEA) Suspensions/Expulsions	475	Children with disabilities (IDEA) suspensions/expulsions table



File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N088	Children with Disabilities (IDEA) Disciplinary Removals	598	Children with disabilities (IDEA) disciplinary removals table
X/N143	Children with Disabilities (IDEA) Total Disciplinary Removals	682	Children with disabilities (IDEA) total disciplinary removals table
X/N009	Children with Disabilities (IDEA) Exiting Special Education	85	Children with Disabilities (IDEA) exiting special education table

## Limited English Proficient (LEP) Cluster

File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N046	LEP Students in LEP Program	123	LEP students in LEP program table

## Migrant Cluster

File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N121	Migrant Students Eligible – 12 Months	634	Migrant students eligible- 12 month table

## Neglected or Delinquent (N or D) Cluster

File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N127	N or D Participation - LEA	657	N or D Participation Table- LEAs
X/N119	N or D Participation - State Agency	656	N or D Participation Table - State Agency

**Revised!** Title I Cluster

File Specification Number	File Specification Name	Data Group ID	Data Group Name
X/N037	Title I Part A SWP/TAS Participation	548	Title I SWP/TAS participation table
N.X041	Graduation Rate	563	Graduation rate table

## 7.0 ACCOUNTABILITY AND ASSESSMENT DATA GROUPS AND FILES

Under Title I of the ESEA, as amended by the No Child Left Behind (NCLB) Act, States determine through their Consolidated State Application Accountability Workbook (also referred to as the State Accountability Plan) their major racial and ethnic groups for determining adequate yearly progress.

The tables below list the data groups and files that collect accountability and assessment data by major racial and ethnic groups. For these files, States may, but are not required to, report using the 7 RE permitted values.

States must obtain approval from the U.S. Department of Education before changing the major racial and ethnic groups used for reporting Title I accountability and assessment data by amending their State Accountability Plan.

The tables below list the data groups and files that collect accountability and assessment data by major racial and ethnic groups.

### Accountability and Assessment Data Groups and Files

Data Group ID	Data Group Name	File Specification Number	File Specification Name
552	AMO reading/language arts table	X/N111	AMO Reading/Language Arts Status
553	Reading/language arts participation status table	X/N110	Reading/Language Arts Participation Status
554	AMO mathematics status table	X/N109	AMO Mathematics Status
555	Mathematics participation status table	X/N108	Mathematics Participation Status
556	Elementary/middle additional indicator status table	X/N106	Elementary/Middle Additional Indicator
557	High school graduation rate indicator status table	N/X107	High School Graduation Rate Indicator
583	Academic achievement in mathematics table	X/N075	Academic Achievement in Mathematics
584	Academic achievement in reading (language arts) table	X/N078	Academic Achievement in Reading/Language Arts
585	Academic achievement in science table	X/N079	Academic Achievement in Science

Data Group ID	Data Group Name	File Specification Number	File Specification Name
588	Assessment participation in mathematics table	X/N081	Assessment Participation
589	Assessment participation in reading (language arts) table	X/N081	Assessment Participation
590	Assessment participation in science table	X/N081	Assessment Participation
695	Graduation rate four year adjusted cohort	N/X150	Graduation Rates for High School Adjusted Cohort
697	Graduation rate extended year adjusted cohort	N/X150	Graduation Rates for High School Adjusted Cohort
696	Cohorts for graduation in four years	N/X151	Graduation Counts for High School Adjusted Cohorts
698	Cohorts for graduation under extended time	N/X151	Graduation Counts for High School Adjusted Cohorts

Starting with SY 2008-09, instead of using either the 5 or 7 RE permitted values, States will report on their major racial and ethnic subgroups. Below is an initial list of major racial and ethnic groups.<sup>4</sup> States will use whichever permitted values best align with the major racial and ethnic groups used to determine adequate yearly progress as outlined in their State Accountability Plan.

Major Racial and Ethnic Subgroups Defined in State Accountability Plans
• White (not Hispanic) or Caucasian
• Black (not Hispanic) or African American
• Hispanic / Latino
• Hispanic (not Puerto Rican)
• Puerto Rican
• Asian
• Asian / Pacific Islander
• American Indian / Alaska Native or Native American
• Multicultural or Multiethnic or Multiracial
• Filipino
• Native Hawaiian / Other Pacific Islander or Pacific Islander

A few states included a group entitled “other” in their accountability plans. These states should determine if one of the permitted values above adequately describes the group entitled “other.” If one of the permitted values does not adequately describe the group

<sup>4</sup> The list was obtained from state accountability plans.

entitled “other,” the SEA should inform ED. SEAs should also inform ED if the list above does not include all the major racial and ethnic groups used by the state.

SEAs are required to report data on the major racial and ethnic groups, as defined by the State. Some students in the State may not be included in a major racial and ethnic group. Therefore, the data by major racial and ethnic groups in the assessment file will not necessarily equal the total number of students. For this reason, ESS will not include edit checks comparing the total to the aggregation of the number of students reported by the major racial and ethnic groups.

## 8.0 OVERVIEW OF E MAPS FOR RACIAL AND ETHNIC DATA REPORTING PLANS

The *EDFacts Metadata and Process System (EMAPS)* tool houses a variety of state-supplied information. The *EMAPS* tool provides an easy method for states to report and maintain metadata. The Racial and Ethnic Data Reporting Plan is the first process to be launched in *EMAPS*. It will be released in January 2009 - prior to ESS 5.0 opening for SY 2008-09 data collection.

Before you can submit any files to ESS with 7 RE permitted values, you must record this election in *EMAPS*. Each state's *EMAPS* Racial and Ethnic Data Reporting Plan is defaulted to expect 5 RE permitted values for all file clusters in SY 2008-09 and 2009-10 and 7 RE permitted values for all file clusters beginning in SY 2010-11. If your SEA's plan matches the default settings, you **do not** need to login to *EMAPS* prior to submitting data to ESS. If you plan to submit any data by 7 RE permitted values before SY 2010-11, then you must make that election in *EMAPS* prior to submitting the data to ESS. ESS will reject file submissions with RE permitted values that do not match the plan elected in *EMAPS*.

*Please refer to Appendix A for detailed instructions on how to record your Racial and Ethnic Data Reporting Plan in EMAPS*

## 9.0 PUBLIC REPORTING ON RACIAL AND ETHNIC DATA DURING THE TRANSITION

Within the U.S. Department of Education, during the transition school years, most reports using RE data will use 5 RE permitted values. Data submitted using the 7 RE permitted values will be translated back into the 5 RE permitted values. The translation will be:

- Combining the permitted value for “Native Hawaiian or Other Pacific Islanders” with the permitted value for “Asian” to create the permitted value for “Asian or Pacific Islander”
- Creating footnotes to explain that data reported under “two or more races” is included in the total but not included in the RE detail<sup>5</sup>

All publicly reported data during the transition period will utilize the 5 RE permitted values (reported or translated). Internally, the raw data reported to ESS will be available to program offices for internal use. For example:

- EDFacts will transfer data to NCES for use in the Common Core of Data with the same permitted values that were submitted to ESS. In other words, if the data are submitted as 7 RE permitted values, the data will be transferred to NCES as 7 RE permitted values.
- EDFacts will transfer to OSEP the permitted values that were submitted for storage and use in its DANS database. In other words, if the data are submitted as 7 RE permitted values, the data will be transferred to OSEP as 7 RE permitted values.

<sup>5</sup> ED will not be allocating the numbers reported as “two or more races” to the 5 permitted values.

## APPENDIX A: INSTRUCTIONS FOR RECORDING YOUR RACIAL AND ETHNIC DATA PLAN IN *EMAPS*

The *EDFacts Metadata and Process System (EMAPS)* is a Web-based tool to provide State Education Agencies (SEAs) with an easy method to report and maintain information on state policies, plans, and metadata to aid in the analysis of data collected in *EDFacts*. SEAs will enter their Racial and Ethnic Data Reporting Plans in *EMAPS*.

### ***Before You Begin:***

We recommend using Internet Explorer version 6 or higher when accessing *EMAPS*.

The Racial and Ethnic Data Reporting Plan is defaulted to expect 5 RE permitted values for all file clusters in SY 2008-09 and 2009-10 and 7 RE permitted values for all file clusters beginning in SY 2010-11. If your SEA's plan matches the default settings, you **do not** need to log into *EMAPS* prior to submitting data to ESS. If you plan to submit any data by the seven RE permitted values before SY 2010-11, then you must make that election in *EMAPS* prior to submitting the data in that school year to ESS. *For example, if your state plans to submit by the seven permitted values beginning in SY 2009-10, then you do not need to enter your plan in EMAPS until SY 2009-10. The EDEN Submission System (ESS) will reject file submissions with racial and ethnic permitted values that do not match the plan elected in EMAPS.*

Prior to school year 2010-11, SEAs may elect to report some racial and ethnic data with 5 permitted values, and others with 7 permitted values during the same school year. This is allowable so long as all files within the same "cluster" are reported with only one permitted value set. For a more detailed explanation of clusters, please refer to Section 6 of this document.

You may notice that *EDFacts* collects racial and ethnic data on students for accountability and assessment purposes, but those files do not appear on the cluster list in Section 6. This is because accountability and assessment data are reported according to the "major racial and ethnic groups" approved in your SEA's Consolidated State Application Accountability Workbook. For more information about this, refer to Section 7 of this document.

**Instructions:**

To enter your state's Racial and Ethnic Data Reporting Plan in *EMAPS*, complete the following seven steps:

**1. Log into *EMAPS*.**

There are three ways to enter the *EMAPS* tool if you are an EDEN Submission System (ESS) user: through the *EMAPS* website directly, through ESS, or the *EDFacts* webpage. Contact the Partner Support Center for your *EMAPS* username and password and use one of the paths to *EMAPS* below.

When you have accessed the *EMAPS* log in screen, you will see the screen shown below in option A. **Enter your username and password, then click the “Log In” button.** *Note that your EMAPS username and password are case sensitive.*

A. To log in directly to *EMAPS*, go to this link:

<https://emaps.ed.gov/suite/>



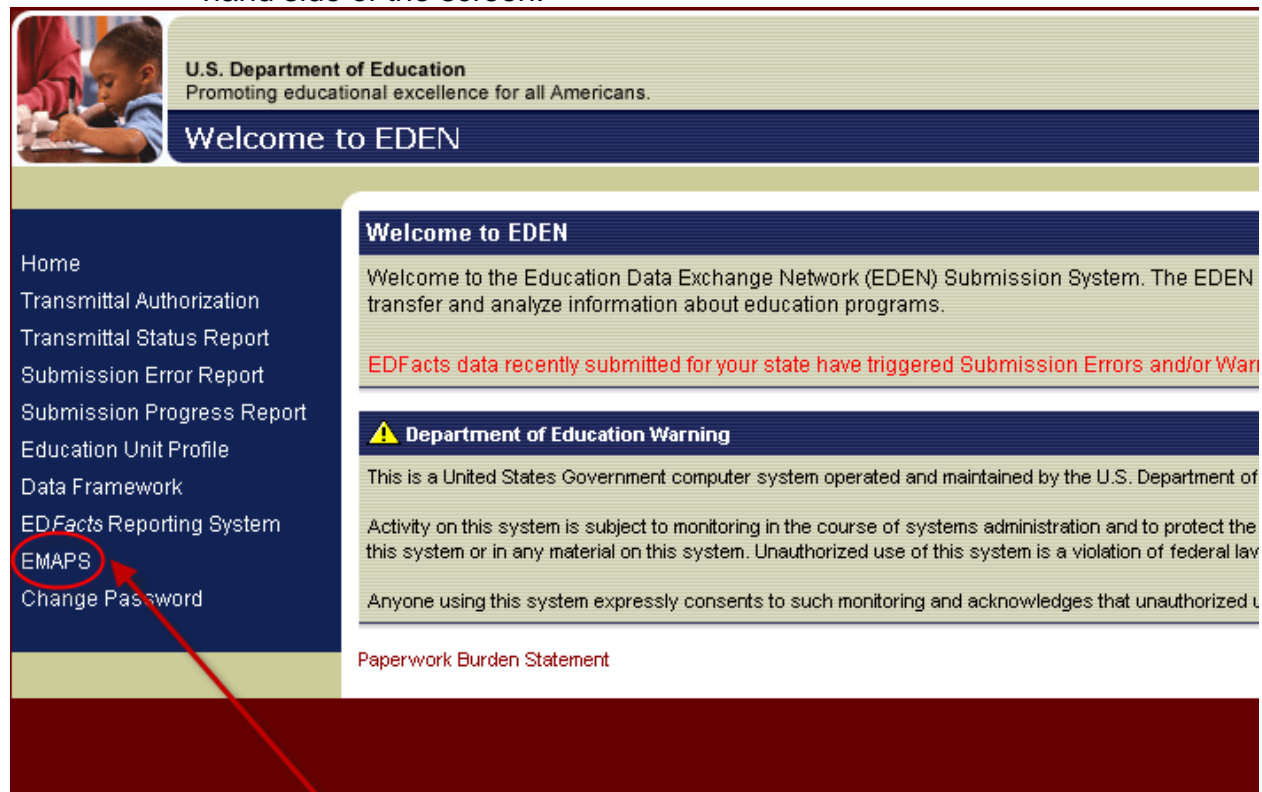


B. To log into EMAPS through ESS, go to this link:

<http://eden.ed.gov.EDENPortal>

*Enter your ESS username and password.*

After signing into ESS, select the EMAPS link which appears on the left-hand side of the screen.



Link to EMAPS

C. To log into EMAPS through the EDFacts website, go to this link:

<https://www.ed.gov/edfacts>

The screenshot shows the ED.gov website. The header includes the ED.gov logo, the U.S. Department of Education name, and a search bar. Below the header is a navigation bar with links for Students, Parents, Teachers, and Administrators. The main content area is titled 'About ED' and includes a sidebar with links to Overview, Contacts, Offices, Boards & Commissions, Initiatives (White House, ED Initiatives), Publications, ED Performance & Accountability, and Jobs. The main content area features a section titled 'INITIATIVES The EDFacts Initiative' with a quote from Margaret Spellings, Secretary of Education. To the right of this section is a 'MORE RESOURCES' box containing links to 'EDFacts Log-In (ED staff only)', 'EDEN Submission System Log-In (State users and ED staff) and EDFacts Log-In (State users with EDFacts access)', and 'EDFacts Metadata and Process System Log-In'. A red circle highlights the 'EDFacts Metadata and Process System Log-In' link, with a red arrow pointing to it and the text 'Link to EMAPS'.

**ED.gov** U. S. Department of Education  
Promoting educational excellence for all Americans

Search ED.gov »  GO  
Advanced Search

Students Parents Teachers Administrators How do I find...

**About ED**

- Overview
- Contacts
- Offices
- Boards & Commissions
- Initiatives**
  - White House Initiatives
  - ED Initiatives
- Publications
- ED Performance & Accountability
- Jobs

**INITIATIVES**  
**The EDFacts Initiative**

*EDFacts will allow the Department to improve the use of data in policy-making and program management. It will enable us to highlight the areas that truly are improving and getting more kids to proficiency. Better, higher-quality data about all aspects of education have always been critical to No Child Left Behind, and will continue to help inform our actions as we help states achieve the commitment and promise of bringing all kids to proficiency.*  
--Margaret Spellings, Secretary of Education

EDFacts is a U. S. Department of Education initiative to put performance data at the center of policy, management and budget decisions for all K-12 educational programs. EDFacts centralizes performance data supplied by K-12 state education agencies (SEAs) with other data assets, such as financial grant information, within the Department to enable better analysis and use in policy development, planning and management. The purpose of EDFacts is to:

**MORE RESOURCES**

- EDFacts Log-In (ED staff only)
- EDEN Submission System Log-In (State users and ED staff) and EDFacts Log-In (State users with EDFacts access)
- EDFacts Metadata and Process System Log-In**

**SECRETARY'S CORNER**

- > No Child Left Behind
- > Higher Education
- > American Competitiveness
- > Meet the Secretary

**NoChild LeftBehind**

**Related Topics:**

- Mission

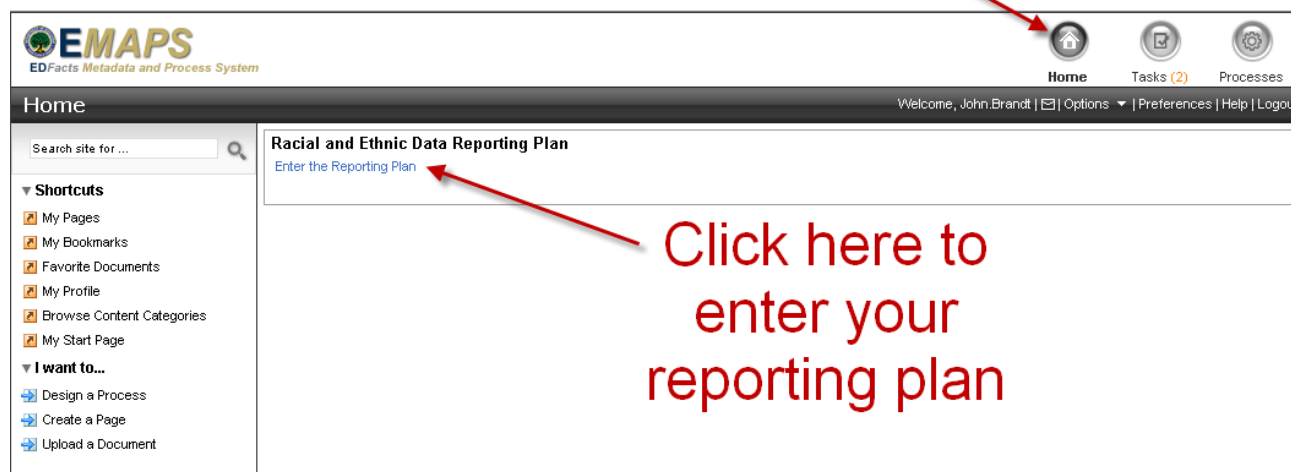
**Link to EMAPS**

## 2. Launch the Racial and Ethnic Data Reporting Plan process.

When you log into EMAPS, you are immediately taken to the EMAPS “homepage”. To return to the homepage at any time, click on the round “Home” button on the top of the screen.

The link to enter your Racial and Ethnic Data Reporting Plan appears as a blue hyperlink. When you **click on the “Enter the Reporting Plan” hyperlink**, a new screen will pop up. You will then be able to begin the Racial and Ethnic Data Reporting plan process.

This is your EMAPS homepage.  
To return to this screen at anytime click this button



*NOTE: When you log into EMAPS you are not immediately in the Racial and Ethnic Data Reporting Plan process. This is because the EMAPS tool will be used to collect a variety of metadata items from SEAs. As additional items are added, the options on the EMAPS homepage will grow.*

### 3. *Review the Purpose screen.*

This screen reminds you of the purpose of the Racial and Ethnic Data Reporting Plan and provides links to related materials such as this guidance document and the *Federal Register* final guidance. To continue, click “Begin Racial and Ethnic Data Reporting Plan”.

#### Racial and Ethnic Data Reporting Plan

SY 2008-09 and SY 2009-2010

##### Purpose

The purpose of the Racial and Ethnic Data Reporting Plan is for each state to identify when it will transition from reporting five to seven racial and ethnic permitted values, as established in final guidance issued in the *Federal Register* on October 19, 2007. This is part of the EDFacts collection under OMB #1875-0240.

All states must submit all data according to the seven racial and ethnic permitted values no later than school year (SY) 2010-11. States have two transition years, SY 2008-09 and SY 2009-10, to prepare to report racial and ethnic data with these new permitted values. The guidance in the federal register does not apply to the student accountability and assessment data for Title I of the Elementary and Secondary Education Act, which are reported according to the major racial and ethnic groups approved in each state's Consolidated State Application Accountability Workbook.

##### Additional Information

For additional information about how to record your state's racial and ethnic data reporting plan in the EDFacts Metadata and Process System (EMAPS) and report the seven permitted values to the EDEN Submission System (ESS), please review the EDFacts Guidance on Submitting Racial and Ethnic Data.

#### Related Links

- [EDFacts Guidance on Submitting Racial and Ethnic Data](#)
- [List of Clusters for Racial and Ethnic Data](#)
- [Federal Register - 10/19/07](#)
- [Assistant Secretary's Letter to States \(2008\)](#)

**Begin Racial and Ethnic Data Reporting Plan**

#### 4. *Review the Introduction screen.*

The introduction screen specifies that the Racial and Ethnic Data Reporting Plan will be entered by “clusters.” Click “Continue” when you are ready to review or revise your reporting plan.

Selecting “Cancel” will exit the process by closing the pop-up window. You will still be logged into EMAPS. The “Previous” button will return you to the previous page (Step 3).

### Racial and Ethnic Data Reporting Plan

SY 2008-09 and SY 2009-2010

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Kentucky

#### Introduction

All states must record the number of racial and ethnic permitted values they will report with for SY 2008-09. States may transition their data reporting for racial and ethnic related files from five to seven categories in file groupings called clusters. For the purpose of this collection, clusters are groups of files that are related and need to be reported with the same number of racial and ethnic permitted values.

To begin recording your Racial and Ethnic Data Reporting Plan, please select the "Continue" button.

## 5. Answer Two Part Question

The SY 2009-2010 Racial and Ethnic Reporting Plan asks if your state administers the two-part question when asking individuals to identify their race and ethnicity. Guidance for this question is included on the screen.

Question text: “Does your state ask the two part question when surveying students about their race and ethnicity?”

### Racial and Ethnic Data Reporting Plan

SY 2008-09 and SY 2009-2010

Kentucky

#### Two-Part Question

Does your state ask the two-part question when surveying students about their race and ethnicity? \*

☐ Yes

☒ No

#### Guidance

What does the two-part question to be used for collection look like?

There are two different parts to the question, requiring two distinct responses. The first part asks about ethnicity, and the second part asks about race. The first part asks the respondent to identify his or her ethnicity as a Hispanic or Latino or not Hispanic or Latino. The second part asks the respondent to identify his or her race or races. Provided below is an example of the questions.

**The ethnicity question is:** What is this person's ethnicity?

Hispanic or Latino

Not Hispanic or Latino

**The race question is:** What is this person's race?

Mark one or more races to indicate what this person considers himself/herself to be.

American Indian or Alaska Native

Asian

Black or African American

Native Hawaiian or Other Pacific Islander

White

Additional racial or ethnic categories that are sub-categories of the categories used in the two-part question may be used if the educational institution collecting the data deems such distinctions valuable. For example, if there is a large population of Asians and differentiation of the multiple subcategories is worthwhile to the State or other educational institution, data within those sub-categories may be collected. In this case the individual could choose among Asian subcategories (for example, Chinese, Japanese, Korean, Pakistani, and Indian). Similarly, if there is a diverse population of Hispanics and differentiation of the multiple subcategories is worthwhile to the State or educational institution, data within the Hispanic/Latino category may be collected. For example, individuals could choose among Hispanic subcategories such as Mexican, Cuban, or Puerto Rican. These subcategories would be for the use of the State or educational institution and would not be reported to the Department. There is no "multiracial" or "other race" category used when collecting data from individuals using this two-part question for ethnicity and race. However, a respondent may report having more than one race.

[Previous](#)

[Next >>](#)

**6. Enter your plan for transitioning from 5 to 7 racial and ethnic permitted values.**

This is the step where you enter your plan to transition from reporting 5 to 7 racial and ethnic permitted values. For each cluster, use the drop down menu boxes to indicate whether you will report with 5 or 7 racial and ethnic permitted values.

**Scroll down and make sure to review the reporting plan for each of the seven clusters.** Selecting “Cancel” will exit the process and will not save any of your changes. The “Back” button will return you to the previous page (Step 4). When you have finished entering your Racial and Ethnic Data Reporting Plan, click on “Continue” to proceed to the review screen.

Racial and Ethnic Data Reporting Plan			
SY 2008-09 and SY 2009-2010			
Kentucky			
Racial and Ethnic Permitted Values by Cluster			
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:			
<b>Common Core of Data (CCD) Cluster</b>			
2008-2009 5 ▼	2009-2010 7 ▼	2010-2011 7	<b>Cluster File List</b> - N/X052 - Membership - N/X032 - Dropouts - N/X040 - Graduates/Completers
CCD Notes:			
<b>Career and Technical Education (CTE) Cluster</b>			
2008-2009 7 ▼	2009-2010 7	2010-2011 7	<b>Cluster File List</b> - N/X082 - CTE Concentrators - N/X142 - CTE Concentrators Academic Achievement - N/X083 - CTE Concentrators Graduates - N/X148 - CTE Participants Non-Traditional Fields - N/X149 - CTE Concentrators Non-Traditional Fields
CTE Notes:			
<b>Individuals with Disabilities Education Act (IDEA) Cluster</b>			
2008-2009 5 ▼	2009-2010 5 ▼	2010-2011 7	<b>Cluster File List</b> - N/X002 - CWD School Age - N/X089 - CWD Early Childhood - N/X005 - CWD Removal to Interim Alternative Educational Setting - N/X007 - CWD Reasons for Unilateral Removal

## 7. *Review and confirm your elections.*

This screen displays your elections for the Racial and Ethnic Data Reporting Plan. Review your elections. If you need to make a change, click on the “Back” button to make your corrections. When you are ready to confirm your elections, click on the “Save and Finalize” button. Clicking this button saves your elections in EMAPS and sends your reporting plan to ESS.

When your reporting plan is stored in ESS, all relevant files submitted to ESS are accepted or rejected based on this EMAPS plan. You can change your EMAPS plan without consequence until you begin submitting data. Once you submit a file to ESS with one set of permitted values, EMAPS and ESS will “LOCK” for all files belonging to that data cluster. At that time, you will not be able to change your election in EMAPS or submit any data in that cluster to ESS with a different set of permitted values.

### Racial and Ethnic Data Reporting Plan

SY 2008-09 and SY 2009-2010

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Kentucky

**Review and Confirm**

Thank you for entering Kentucky's Racial and Ethnic Data Reporting Plan. The table below shows your racial and ethnic permitted value selections. If this information is correct, please click on the "Save and Finalize" button to proceed. If there is an error on this page, please select the "Back" button to return to the data entry form.

When you save and finalize this data reporting plan the values will be stored in ESS. Subsequently, only files submitted with permitted values matching this plan will be accepted into ESS.

1. Does your state ask the two-part question when surveying students about their race and ethnicity? No

2. Racial and Ethnic Permitted Value Reporting Plan

Cluster	SY 2008-09	SY 2009-10	SY 2010-11
CCD	5	7	7
CTE	7	7	7
IDEA	5	5	7
LEP	5	7	7
Migrant	7	7	7
N or D	7	7	7
Title I	7	5	7

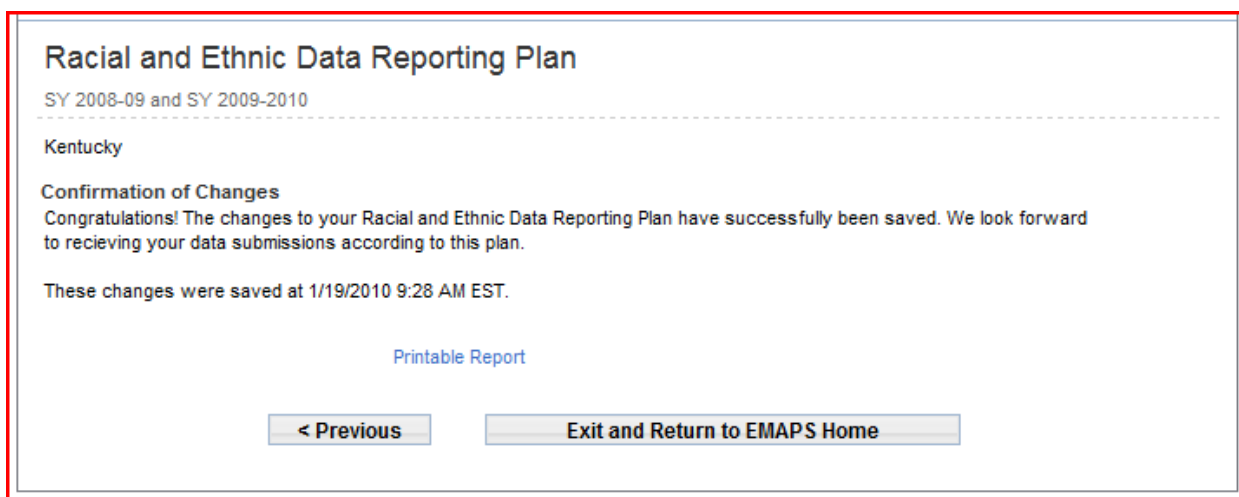
Previous
Cancel
Save and Finalize



**If you have changed any of the permitted values in your plan, you must wait until the next day to submit the related data to ESS.** The ESS system uploads the *EMAPS* changes nightly. Because ESS rejects files that do not match the Racial and Ethnic Data Reporting Plan, you will not be able to successfully submit files with the new permitted values until the following day. You will be able to submit data immediately for files in clusters where the planned permitted values were not altered.

## 7. View the Review page.

When you hit “Save and Finalize” in Step 6, you are directed to this page that confirms your Racial and Ethnic Data Reporting Plan has been saved. The confirmation screen also offers an optional link to download a time-stamped copy of your reporting plan.



The screenshot shows a web page titled "Racial and Ethnic Data Reporting Plan" for the school years "SY 2008-09 and SY 2009-2010". The state "Kentucky" is listed. Under the heading "Confirmation of Changes", a message states: "Congratulations! The changes to your Racial and Ethnic Data Reporting Plan have successfully been saved. We look forward to receiving your data submissions according to this plan." Below this, it says "These changes were saved at 1/19/2010 9:28 AM EST." There is a blue link for "Printable Report". At the bottom, there are two buttons: "< Previous" and "Exit and Return to EMAPS Home".

**Note:** You can log into EMAPS and alter your plan at any time. The system will lock your elections cluster-by-cluster as you submit related files to ESS. You will be notified when you can enter your Racial and Ethnic Data Reporting Plans for SYs 2009-10 and 2010-11 in EMAPS. If you have any issues with the EMAPS system, please contact the Partner Support Center at [EDEN\\_SS@ed.gov](mailto:EDEN_SS@ed.gov).



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