



**U.S. DEPARTMENT OF EDUCATION**

# ***EDFacts* Workbook**

## **SY 2009–10**

**Version 6.2**

**August 2011**

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6.1	August 2010	<ul style="list-style-type: none"> <li>▪ 1.4 – Updated for availability of second licenses for EDFacts Reporting System</li> <li>▪ 2.2 and 2.3 – Updated for due dates of N/X035 Federal Programs</li> <li>▪ 5.3.6 – Updated because no states have approved regulatory adjusted-cohort graduation rates.</li> <li>▪ 5.3.19 – Filled in crosswalk from EDFacts files to performance indicators</li> <li>▪ 6.0 – Updated explanation of how SY 2009-10 submission plans are collected</li> <li>▪ 7.0 – Updated to reflect current process and documentation references</li> <li>▪ 9.1 – Updated closing data for SY 2006-07 files.</li> <li>▪ 10.1 – Updated to include info about outlying territories and freely associated states.</li> <li>▪ 12.1 - Updated to reflect current process and documentation references.</li> <li>▪ Appendix D – Updated to reflect additional data included in the CCD Extract and its source files.</li> </ul>
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## Preface

EDFacts is a collaborative effort of the U.S. Department of Education (ED), state education agencies (SEAs) and industry partners to centralize state-reported K through 12 educational performance data into one federally coordinated data repository located in ED. The purposes of EDFacts are to

- Place the use of robust, timely performance data at the core of educational decision making and policymaking
- Reduce state and district burden and streamline data practices
- Improve state data capabilities by providing resources and technical assistance
- Provide data for planning, policy and management and the federal, state and local levels

The *EDFacts Workbook SY 2009–10* is a reference guide to using the EDEN Submission System (ESS) to submit data for school year (SY) 2009–10. States report data to ED using ESS. States transmit data through ESS to meet data requirements of annual and final grant reporting, specific program mandates and the *Government Performance and Results Act*.

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## 1.0 Introduction

### 1.1 Purpose

This document provides information on how to submit files through the EDEN Submission System (ESS) into *EDFacts* for school year 2009-10. This document assumes a basic understanding of the *EDFacts* data framework. An explanation of the *EDFacts* data framework is found in appendix A, while a glossary of *EDFacts* terminology appears in appendix B.

The ESS shares an opening Web page with the Consolidated State Performance Report (CSPR) and other data submission tools; however, this document does not cover how to use these systems. Each of the submission systems has a Getting Started guide or a User Guide.

### 1.2 EDFacts Collection

The Office of Management and Budget (OMB) approved the “Annual Mandatory Collection of Elementary and Secondary Education Data for *EDFacts*” for SY 2009–10 on September 30, 2009. This data collection activity is approved until October 31, 2010, under OMB Control Number 1875-0240. The total data approved for collection by *EDFacts* includes:

- Data submitted by state education agencies (SEAs) through ESS to *EDFacts*
- Data collected from other sources (i.e., U.S. Bureau of the Census)
- Civil Rights Data Collection (CRDC)
- Metadata from SEAs and other sources
- Submission plans for data to be submitted by states to ESS

*EDFacts* does not collect individual student- or staff-level information. All information provided to *EDFacts* is aggregated—often by categories such as grade level. Although some of the data files may contain small numbers, none of the information is linked to specific students or staff members. In submitting data to *EDFacts*, states cannot suppress the data in small data cells except as specifically authorized by federal statute.

### 1.3 EDFacts Coordinator

Each SEA identifies a staff member who serves as the *EDFacts* Coordinator and is the official SEA contact for the *EDFacts* team. ED recommends the following knowledge, skills, abilities and responsibilities for each state’s *EDFacts* Coordinator.

## Knowledge, Skills and Abilities

EDFacts Coordinators should be completely committed to improving education practices by improving the use of timely, quality data in education and administration decisions. In addition, these Coordinators should possess the following knowledge, skills and abilities:

1. Knowledge about federal and state education programs, laws and regulations, including the ability to:
  - Identify and work with education program data stewards
  - Work with high-level state education policymakers
  - Understand education data sources, work processes and users' needs
  - Coordinate and manage data work flow processes with different programs
  - Perform data quality checks for completeness, accuracy and validity
  
2. Knowledge about information technology and data storage, transmission and use, including the ability to:
  - Translate technology terminology into education program language
  - Understand the difference between good information and good technology
  - Understand and use EDFacts and state technology tools
  - Understand the federal and state data-sharing processes
  - Understand the differences among multiple hardware tools
  - Understand the differences among multiple software tools
  - Compensate for the differences among hardware and software tools
  - Plot hardware and software development trends and plan upgrades
  - Work closely with database designers, builders and managers
  
3. Knowledge about statistics (the analysis, interpretation and presentation of data), including the ability to:
  - Translate statistical principles into useful education terminology
  - Bring additional analytic power to the available education data
  - Explain the analytical advantages of sharing quality data
  - Identify logical and statistical flaws in a data presentation
  - Present data in accurate and meaningful ways

4. Skills in program management, diplomacy and negotiation, including:
  - Ability to plan, organize and manage the data collection and reporting process
  - Ability to use project management tools
  - Ability to understand and accommodate the many different programs' needs
  - Ability to lead a data governance board and a data stewards group
  - Ability to negotiate win-win data-sharing solutions between/among programs
  
5. Skills in teaching and motivating, including:
  - Ability to articulate the “big picture” (ideal future state) to skeptics
  - Ability to help each “part” appreciate its place in the “whole” organization
  - Ability to translate between professional languages
  - Ability to keep communication open, active and professional

## **Responsibilities**

*EDFacts* Coordinators are critical to the success of *EDFacts*. As reflected by the wide range of skills required for the assignment, the responsibilities of *EDFacts* Coordinators are wide ranging. These responsibilities include the following tasks:

1. Work with education program experts to identify data requirements
2. Work with SEA leadership team to identify requirements
3. Understand education data sources, work processes and users' needs
4. Coordinate and manage acquisition of data from different state Program Offices
5. Perform quality checks on data for completeness, accuracy and validity
6. Translate technology requirements for education program leadership teams
7. Promote policies and practices to secure good information and good technology
8. Use the *EDFacts* and state technology tools to transmit data
9. Document the federal and state data-sharing processes
10. Compensate for the differences among multiple district and state hardware tools
11. Compensate for the differences among multiple district and state software tools
12. Forecast hardware and software development trends and plan upgrades
13. Work closely with state computer programmers and contractors

14. Work closely with database designers, builders and managers
15. Translate statistical principles into useful education terminology
16. Promote techniques for getting additional analysis from the available education data
17. Promote the analytical advantages of sharing quality data
18. Improve the logical and statistical presentation of data
19. Present data in accurate and meaningful ways
20. Plan, organize and manage the data collection and reporting process
21. Use project management tools to manage the data collection process
22. Accommodate the different education programs' (sometimes conflicting) needs
23. Lead a data governance board and a data stewards group
24. Negotiate win-win data-sharing solutions among programs
25. Articulate the "big picture" (ideal future state) to skeptics
26. Help each "part" appreciate its place in the "whole" organization
27. Translate between professional languages
28. Keep communication open, active and professional

The *EDFacts* Coordinator may designate additional persons to serve as SEA submitters. These are usually SEA staff or contractors who have the knowledge needed to extract the data from existing state systems, put the data into the *EDFacts* file formats, submit the data and answer questions or handle programming issues that arise in the submission of the data.

## 1.4 Access to Systems

For SEAs, there are three types of *EDFacts* users: ESS Submitters, ESS Reviewers and *EDFacts* Reporting System Users. Each SEA can have one or more users of the ESS, but has only one user of the *EDFacts* Reporting System. The differences between these user types are described below.

**ESS Submitter**—This type of ESS user can submit files, review transmittal, error reports and submission status reports as well as look up data via the Education Unit Profile subapplication within ESS.

**ESS Reviewer**—This type of ESS user has access to state submission and transmission reports but does not have access to the Transmittal Authorization subapplication. These are users who do not need the ability to submit files but need to review and analyze error reports and view data. These users may include the Common Core of Data (CCD) Coordinator and the *IDEA* Part B Data Manager.

**Updated! EDFacts Reporting System User**—At least one user per state is designated the *EDFacts* Reporting System User. This user can access the *EDFacts*

Reporting System. The EDFacts Reporting System contains reports on the status of submissions through ESS, data submitted through the CSPR tool and data submitted through ESS.

**Updated!** The EDFacts Coordinator approves users for the ESS and EDFacts Reporting systems. Additional EDFacts Reporting System (ERS) licenses may become available to states. If you are interested in obtaining an additional license for your state, contact the PSC.

ESS may be accessed at <https://eden.ed.gov/EDENPortal/>.

## 1.5 Technical Assistance

In addition to this workbook, a variety of documents are available to assist SEAs in submitting data through ESS.

### 1.5.1 Documents available on the EDFacts Web site

The following documents are available on the EDFacts Web site—  
<http://www.ed.gov/edfacts>.

**EDEN Submission System (ESS) Users Guide**—This guide addresses the basic mechanics of system access and file transmission. The figures in this document contain screen prints of the ESS to depict step-by-step instructions for ESS users. The guide is updated annually and when major system modifications affect user procedures.

**EDEN Submission System's Release Notes**—These documents provide a description of the technical enhancements to each version of ESS.

**File/XML Specifications**—These documents provide policy guidance and technical instructions for building the files that are submitted through ESS. File/XML specifications apply to a specific school year. XML validation schemas (.xsd) and style sheets (.xsl) are also available.

**EDFacts Guidance on Submitting Racial and Ethnic Data**—This document explains how SEAs report or submit racial and ethnic data to ED through ESS. It provides instructions on submitting racial and ethnic data, but does not include information on how SEAs collect racial and ethnic data. Note that in EDFacts, there are two data categories for reporting data about race and ethnicity. Be sure to use the correct data category when submitting data. The purpose of the two categories is explained in the guide.

**FAQs**—This document lists answers to frequently asked questions (FAQs), upcoming calendar events and mid-year technical and documentation changes/updates.

**EDFacts Calendar**—This document provides an overview of file submission due dates as well as other important dates by month. The calendar is updated on the 1st and 15th of each month.

**EDFacts Business Rules Guide (BRG)** — The BRG includes two documents: (1) a PDF document detailing the terminology used in the BRG spreadsheet and other

information helpful in using the BRG spreadsheet, and (2) an Excel spreadsheet describing each business rule.

### 1.5.2 Information available through PSC

To assist states with data submission, analysis and reporting, ED provides a dedicated Partner Support Center (PSC). The PSC can be reached via telephone (877-HLP-EDEN) or e-mail ([eden\\_ss@ed.gov](mailto:eden_ss@ed.gov)). PSC distributes e-mail announcements about system shut downs, reminders of due dates and technical hints. SEA staff members who use ESS automatically receive these e-mails.

In addition, PSC makes the following tools available upon request:

**EDFacts Data Set Viewer**—The EDFacts Data Set Viewer is a customized Access database that allows users to review data groups and categories for SY 2009-10.

**PSC File Format Checker (PSC Internal Tool)**—This tool can be installed locally, and states can use it to check for non-XML format errors prior to attempting to submit to ESS.

**Partner Support Center Broadcasting**—This tool provides informative due date reminders, additional guidance support, etc.

### 1.5.3 Other resources

**EDICs**—The Education Information Collection System provides access to the information collection document sets of all OMB-approved collection efforts. The Web site location is <http://edicsweb.ed.gov/>.

**Listserv**—ED encourages SEAs to share information among themselves. To facilitate this, the Department maintains and distributes upon request the list of EDFacts Coordinators to staff at SEAs. ED also maintains a listserv at [edfacts@lists.ccsso.org](mailto:edfacts@lists.ccsso.org). EDFacts Coordinators, submitters and other SEA staff members can initiate and participate in discussions on the email list server.

## 2.0 Data Submission Calendar

This section describes the submission calendar by school year.

### 2.1 ESS Files for SY 2009-10

The EDEN Submission System will open in January 2010. SEAs should submit as much SY 2008-09 data as possible before submitting data for SY 2009-10.

SEAs should begin submitting data by submitting a complete directory of LEAs and schools. SEAs only need to submit an SEA level directory if there were changes from SY 2008-09 to the SEA directory data.

The EDFacts Calendar contains by due date all the files that SEAs need to submit for SY 2009-10. Chapter 5 of this Workbook shows the relations of these files to each other.

By mid-February 2010, SEAs will need to complete their submission plan for SY 2009-10 in EMAPS.

### 2.2 ESS Files for SY 2008-09

The final reporting for SY 2008-09 overlaps with the start of reporting for SY 2009-10. SEAs should follow their SY 2008-09 submission plans to complete reporting for SY 2008-09.

**Revised!** The due date for N/X035 for SY 2008-09 will be June 1, 2011.

### 2.3 ESS Files for SY 2007-08 and SY 2006-07

**Revised!** . The due date for N/X035 for SY 2007-08 was June 1, 2010. .

While the remaining due dates for SY 2007-08 and SY 2006-07 files have passed, SEAs can update or complete submissions for these school years. SEAs can review their status for these school years using the State Plan Execution Report (LEAD004) in the EDFacts Reporting System.

### 2.4 ESS Files for School Years prior to SY 2006-07

ESS is closed for school years prior to SY 2006-07. If a state needs to submit data for a school year prior to SY 2006-07, please contact the Partner Support Center for instructions.

### 3.0 Department Regulation and Guidance

This section describes Department regulations and guidance affecting data submission through the ESS.

#### 3.1 Regulation—Requiring the Electronic Reporting of Data to ED

On February 25, 2007, Final Regulations were published to amend 34 CFR part 76 governing state reporting requirements. The revised regulations allow the Secretary and ED, through the *Paperwork Reduction Act* clearance process, to require states to report certain information electronically. The regulations also establish that the Department may take administrative action against a state for failure to submit reports in the manner prescribed by the Secretary. This is intended to significantly reduce reporting burden and to streamline data collections currently required by the Department by bringing elementary and secondary education data in through the Annual Mandatory Collection of Elementary and Secondary Education Data for EDFacts (1875-0240). The failure to submit EDFacts data constitutes a failure to comply substantially with the law applicable to the funds provided by the federal government. The immediate remedy for this failure is the development of a State Transition Agreement Plan as required in the regulation. The Transition Agreement should address the state's commitment to submit required data for the 2 transition years of data, school years 2006–07 and 2007–08. Full reporting through EDFacts is required for all states beginning in school year 2008–09.

#### 3.2 Guidance—Maintaining, Collecting and Reporting on Race and Ethnicity Data

The Secretary of Education published “Final Guidance on Maintaining, Collecting and Reporting Racial and Ethnic Data to the U.S. Department of Education” on October 19, 2007. This guidance implements OMB’s *1997 Standards for Maintaining, Collecting and Presenting Federal Data on Race and Ethnicity*.

This guidance directly addresses three sets of issues:

1. How educational institutions and other recipients will collect and maintain race and ethnicity data from students and staff.
2. How educational institutions and other recipients will aggregate race and ethnicity data when reporting those data to the Department.
3. How data on multiple races will be reported and aggregated under the *Elementary and Secondary Education Act of 1965 (ESEA)*, as amended.

More information about the guidance is available on ED’s Web site:

- The Federal guidance is U.S. Department of Education Web site under the heading “New Race and Ethnicity Guidance for the Collection of Federal Education Data.”  
<http://www2.ed.gov/policy/rschstat/guid/raceethnicity/index.html>

- The Forum Guide to Race/Ethnicity Data Implementation entitled *Managing an Identity Crisis: Forum Guide to Implementing New Federal Race and Ethnicity Categories* provides information to help states transition from five permitted values to seven permitted values.  
<http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2008802>
- The *EDFacts Guidance on Submitting Racial and Ethnic Data* explains how SEAs report or submit racial and ethnic data to ED through ESS during the transition period  
<http://www2.ed.gov/about/inits/ed/edfacts/file-specifications.html>

## 4.0 Standard Data Definitions

As part of the drive to streamline data collections across the Department, EDFacts has standardized several definitions used through the EDFacts data groups. Although some of the previous definitions were similar, they were not identical, and states following the reporting requirements for various Program Offices to the letter often were required to classify students differently for different programs. This standardization of data definitions will reduce recordkeeping and reporting burden on the states, ultimately increasing the level of data quality.

This section lists the standards definitions used for EDFacts.

### 4.1 Career and Technical Education (CTE) Concentrators

Some files collect data on career and technical education (CTE) concentrators. When used in EDFacts file specifications, a career and technical education (CTE) concentrator is:

*A student who enrolled in a threshold level of vocational education. The threshold level is defined by the state and includes a sequence of courses that provides individuals with the academic and technical knowledge and skills the individuals use to prepare for further education and for careers in current or emerging employment sectors. Most states define a CTE concentrator as a student who has completed three (3) CTE courses, or has completed half (50%) of a sequence of a CTE program.*

### 4.2 Children with Disabilities (IDEA)

Some files collect data on children or students with disabilities as defined by IDEA. In EDFacts, children with disabilities (IDEA) are generally defined as:

*Children having mental retardation; hearing impairment, including deafness; speech or language impairment; visual impairment, including blindness; serious emotional disturbance (hereafter referred to as emotional disturbance); orthopedic impairment; autism; traumatic brain injury; developmental delay; other health impairment; specific learning disability; deaf-blindness; or multiple disabilities and who, by reason thereof, receive special education and related services under the Individuals with Disabilities Education Act (IDEA) according to an Individualized Education*

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*Program (IEP), Individualized Family Service Plan (IFSP), or a services plan.*<sup>1</sup>

However, some files include only school-age children, and some files do not include parentally-placed children. The definition above is all inclusive. The file specification will indicate the specific group of students to be included.

The category “disability status (*IDEA*)” aggregates the counts by students who meet the definition above and those who do not.

The category “disability status (Only)” includes only students who meet the definition above.

The exception is in the Proficiency Target Status files (N/X109 AMAO Mathematics Status and N/X111 AMAO Reading/Language Arts Status), as explained in these two files, the category “disability status (only)” includes students in the subgroup “children with disabilities” for purposes of accountability determinations. For purposes of accountability determinations, students who were formerly children with disabilities (*IDEA*), but are not currently, can be included for up to 2 years.

### 4.3 Limited English Proficient Students

Some files collect data on limited English proficient (LEP) students (sometimes referred to as English language learners). In *EDFacts*, LEP students are generally defined as follows:

*In coordination with the state’s definition based on Title 9 of ESEA, students:*

*(A) who are ages 3 through 21;*

*(B) who are enrolled or preparing to enroll in an elementary school or a secondary school;*

*(C) (who are i, ii, or iii)*

*(i) who were not born in the United States or whose native languages are languages other than English;*

*(ii) (who are I and II)*

*(I) who are a Native American or Alaska Native, or a native resident of the outlying areas; and*

*(II) who come from an environment where languages other than English have a significant impact on their level of language proficiency; or*

<sup>1</sup> Definition adapted from PL 108-446, Section 602(3), 34 C.F.R. Part 300.8(a)(1).

- (iii) who are migratory, whose native languages are languages other than English, and who come from an environment where languages other than English are dominant; and*
- (D) whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individuals (who are denied i or ii or iii)*
- (i) the ability to meet the state’s proficient level of achievement on state assessments described in section 1111(b)(3);*
- (ii) the ability to successfully achieve in classrooms where the language of instruction is English; or*
- (iii) the opportunity to participate fully in society.<sup>2</sup>*

To be classified as LEP, an individual must meet the criteria of A, B, C and D in the definition above. To meet the criteria for C, an individual can meet the criteria of any of i, ii or iii. If the criterion to meet C is ii, then the individual must meet the criteria of both I and II. To meet the criteria for D, an individual must be denied one of the three listed, i or ii or iii.

The category “LEP status (both)” aggregates the counts by students who meet the definition above and those who do not.

The category “LEP status (only)” includes only students who meet the definition above.

There are two exceptions.

First, the definition above is modified for the file N/X078 Academic Achievement in Reading (Language Arts). In that file, “LEP status (only)” does not include recently arrived students who have attended schools in the U.S. fewer than 12 months.

Second, the exception is in the Proficiency Target Status files (N/X109 AMO Mathematics Status and N/X111 AMAO Reading/Language Arts Status). As explained in these two files, the category “LEP status (only)” includes students in the subgroup “limited English proficient students” for purposes of accountability determinations. For purposes of accountability determinations, students who were formerly limited English proficient students (MFELP), but are not currently, can be included.

## 4.4 Migrant

Some files collect data on migrant students.

<sup>2</sup> Definition adapted from PL 107-110, Title IX, Part A(25).

#### 4.4.1 Eligible migrant children

When the phrases “eligible migrant children” or “eligible migrant students” are used, the definition is:

*Children who are, or whose parents or spouses are, migratory agricultural workers, including migratory dairy workers, or migratory fishers, and who, in the preceding 36 months, in order to obtain, or accompany such parents or spouses, in order to obtain, temporary or seasonal employment in agricultural or fishing work (A) have moved from one local education agency (LEA) to another; (B) in a state that comprises a single LEA, have moved from one administrative area to another within such LEA; or (C) reside in an LEA of more than 15,000 square miles, and migrate a distance of 20 miles or more to a temporary residence to engage in a fishing activity.*<sup>3</sup>

#### 4.4.2 Participating migrant children

When the phrases “participating migrant children” or “participating migrant students” are used, the definition is:

*Children who participate in Migrant Education Programs (MEP) under Title I, Part C, including those served under continuation of services authority.*

### 4.5 Disability Categories Under IDEA

Some files collect data by disability categories under *IDEA*. Below are the definitions of the disability categories.

**Autism**—This refers to a development disability significantly affecting verbal and nonverbal communication and social interaction, generally evident before age 3, that adversely affects educational performance. Other characteristics often associated with autism are engagement in repetitive activities and stereotyped movements, resistance to environmental change or change in daily routines, and unusual responses to sensory experiences. Autism doesn't apply if a child's educational performance is adversely affected primarily because the child has an emotional disturbance.

**Deaf-blindness**—This refers to concomitant hearing and visual impairments, the combination of which causes such severe communication and other developmental and educational problems that they cannot be accommodated in special education programs solely for children with blindness or for children with deafness.

<sup>3</sup> Definition adapted from PL 107-110, Title I, Part C and 34 C.F.R 200.31.

**Developmental delay**—A child with a developmental delay, as defined by the *Individuals with Disabilities Education Act*, is a child who is experiencing developmental delays, as defined by your state, and as measured by appropriate diagnostic instruments and procedures in one or more of the following cognitive areas: physical development, cognitive development, communication development, social or emotional development, or adaptive development.

Note: A state may only use this disability category for children with disabilities (*IDEA*) ages 3 through 9.

**Emotional disturbance**—This refers to a condition exhibiting one or more of the following characteristics over a long *period* of time and to a marked degree, which adversely affects a child's educational performance: (1) an inability to learn, which cannot be explained by intellectual, sensory or health factors; (2) an inability to build or maintain satisfactory interpersonal relationships with peers and teachers; (3) inappropriate behavior or feelings under normal circumstances; (4) a general pervasive mood of unhappiness or depression; or (5) a tendency to develop physical symptoms or fears associated with personal or school problems. This term includes schizophrenia. The term does not apply to children who are socially maladjusted, unless it is determined they have an emotional disturbance.

**Hearing impairment** —This refers to an impairment in hearing, whether permanent or fluctuating, that adversely affects a child's educational performance. It also includes a hearing impairment that is so severe that the child is impaired in processing linguistic information through hearing, with or without amplification, that adversely affects a child's educational performance.

**Mental retardation**—This refers to significantly subaverage general intellectual functioning, existing concurrently with deficits in adaptive behavior and manifested during the developmental period, which adversely affects a child's educational performance.

**Multiple disabilities**—This refers to concomitant impairments (e.g., mental retardation-blindness, mental retardation-orthopedic impairments, etc.) the combination of which causes such severe educational problems that they cannot be accommodated in special education programs solely for one of the impairments. The term does not include deaf-blindness.

**Orthopedic impairment**—This refers to a severe orthopedic impairment that adversely affects a child's educational performance. The term includes impairments caused by congenital anomaly (e.g., clubfoot, absence of some member, etc.), impairments caused by disease (e.g., poliomyelitis, bone tuberculosis, etc.) and impairments from other causes (e.g., cerebral palsy, amputations and fractures or burns that cause contractures).

**Specific learning disability**—This refers to a disability in one or more of the basic psychological processes involved in understanding or using language, spoken or written, which may manifest itself in an imperfect ability to listen, think, speak, read, write, spell or do mathematical calculations. This term includes such conditions as perceptual disabilities, brain injury, minimal brain dysfunction, dyslexia and developmental aphasia. The term does not include learning problems that primarily result from visual, hearing or motor disabilities, of mental retardation, of emotional disturbance or of environmental, cultural or economic disadvantage.

**Speech or language impairment** —This refers to a communication disorder such as stuttering, impaired articulation, a language impairment, or a voice impairment that adversely affects a child's educational performance.

**Traumatic brain injury**—This refers to an acquired injury to the brain caused by an external physical force, resulting in total or partial functional disability or psychosocial impairment or both, that adversely affects a child's educational performance. The term applies to open or closed head injuries resulting in impairments in one or more areas, such as cognition; language; memory; attention; reasoning; abstract thinking; judgment; problem-solving; sensory, perceptual and motor abilities; psychosocial behavior; physical functions; information processing; and speech. The term does not apply to brain injuries that are congenital or degenerative or to brain injuries induced by birth trauma.

**Visual impairment**—This refers to a visual impairment that, even with correction, adversely affects a child's educational performance. The term includes both partial sight and blindness.

**Other health impairment**—This refers to having limited strength, vitality or alertness, due to chronic or acute health problems such as a heart condition, tuberculosis, rheumatic fever, nephritis, asthma, sickle cell anemia, hemophilia, epilepsy, lead poisoning, leukemia or diabetes, which adversely affects a child's educational performance.

## 5.0 School Year 2009-10 Files

This section summarizes the files to be submitted for SY 2009-10. A complete list of the files to be submitted for SY 2009-10 by due date can be found in the *EDFacts* Calendar.

### 5.1 Background

The files to be submitted are based on the data groups in the SY 2009-10 *EDFacts* Data Set. Data groups are assigned identification numbers between 1 and 999. Files are also assigned identification numbers between 1 and 999. To differentiate, “DG” is used without the leading zeros for data groups. “N” or “X” or both (“N/X”) is added for files and include the leading zeros. “N” is used for fixed and delimited (non-XML) files, and “X” is used for XML files.

### 5.2 Directory

The first step in submitting files to *EDFacts* is to submit the directory.<sup>4</sup> Each SEA is required to submit a complete directory file for LEAs and schools. For SY 2009-10, ED plans to obtain Locale (DG17), Congressional District Number (DG13), County Name (DG572), FIPS County Code (DG12), Geographic Location (DG14), DUNS Number (DG6) and Title 1 District Status (DG582) from other federal sources instead of SEAs. Appendix C lists all the directory data groups by the level in the hierarchy that reports it. Section 10 of this workbook provides more information on directory data and submitting directory files.

### 5.3 Relationships Among Files

In *EDFacts*, the data are organized differently from the organization used in the legacy collections. This subsection explains how certain files (data groups) relate to other files (data groups). This subsection also associates files with ED programs. This subsection is not intended to be a detailed crosswalk between *EDFacts* and legacy collections. This subsection does not supplant the file specification guidance. Data submitters will need to carefully review the guidance in the individual file specifications before submitting files.

#### 5.3.1 Non-fiscal Common Core of Data (CCD)

The CCD is collected for the National Center for Education Statistics (NCES). Appendix D contains a detailed crosswalk between CCD and *EDFacts*. Most data for the CCD are collected through the following files:

File	File Name
052	Membership
033	Free and Reduced Price Lunch
059	Staff FTE

<sup>4</sup> The directory and grades offered files in *EDFacts* are the same as the “Universe” in CCD.

File	File Name
129	CCD School
040	Graduates/Completers
032	Dropouts

CCD also uses some data from other files as explained in Appendix D.

### 5.3.2 Consolidated State Performance Report (CSPR)

A detailed crosswalk between EDFacts and the CSPR questions for SY 2009–10 will be included in the “Getting Started Guide for the CSPR tool.”

### 5.3.3 Accountability data

Under ESEA, states determine the Adequate Yearly Progress (AYP) status of each LEA and school. The matrix below illustrates the relationship between AYP status and the indicators used to calculate it and EDFacts data groups and files.

AYP status (alternative approach status)					
N/X103, DG32 (N/X103, DG617)					
Reading/Language arts		Mathematics		Other indicators	
Participation	Proficiency	Participation	Proficiency	Elementary/ secondary	High school graduation rate
N/X110, DG553	N/X111, DG552	N/X108, DG555	N/X109, DG554	N/X106, DG556	N/X107, DG557

Improvement Status for schools (DG34) and LEAs (DG662) are reported in N/X130 ESEA Status file.

Schools in certain stages of improvement are required to take corrective and restructuring actions. The number of schools in an LEA taking certain corrective actions is collected in N/X152 (DG686). The number of schools in an LEA taking certain restructuring actions is collected in N/X153 (DG687).

### 5.3.4 Public School Choice data

ED collects data on the implementation of public school choice. File N/X010 Public School Choice collects student counts related to public school choice:

Student count	DG
Eligible for choice	700
Applied for choice	574
Transferred	544

In addition to these student counts, ED collects the following financial and implementation data related to public school choice in N/X131 LEA End of SY Status:

Financial and implementation data	DG
Public school choice funds spent	652
Public school choice/SES 20 percent obligation	679
Public school choice – implementation	701

### 5.3.5 Supplemental Educational Services data

ED collects data on the implementation of supplemental education services (SES). File N/X128 Supplemental Educational Services collects students counts related to SES.

Student count	DG
Eligible for SES	578
Applied for SES	575
Received SES	546

In addition to these student counts, ED collects the following financial and implementation data related to SES in N/X131 LEA End of SY Status:

Financial data	DG
SES funds spent	651
SES per pupil expenditure	680

### 5.3.6 Graduation rate data

**Revised!** ED collects data on graduation rates using N/X041 Graduation Rates (DG563).

### 5.3.7 Assessment data

Under *ESEA*, states assess student performance annually. The matrix below illustrates the relationship between the state assessment data and the EDFacts data groups and files.

Student participation		
Reading/Language arts	Mathematics	Science
N/X081, DG589	N/X081, DG588	N/X081, DG590
Student achievement		
Reading/Language arts	Mathematics	Science
N/X078, DG584	N/X075, DG583	N/X079, DG585

### 5.3.8 Highly qualified teachers (HQT)

Under *ESEA*, core academic subjects must be taught by highly qualified teachers.

Elementary classes	N/X063, DG381
Secondary classes	N/X064, DG383

Data on core academic classes taught are reported by poverty quartile in the Consolidated State Performance Report. Each school's poverty quartile is reported in N/X103 as school poverty designation (DG699).

### 5.3.9 Title I, Part A of *ESEA*—Improving basic programs operated by LEAs

As part of the CSPR, ED collects data on participants and staff in Title I, Part A of *ESEA*. Title I, Part A programs can be classified into four types: Public Schoolwide Programs (Public SWP), Public Targeted Assistance Programs (Public TAS), Neglected or Delinquent Programs (N or D) and Services to Children in Private Schools (Private). The matrix below illustrates the relationship between the EDFacts data groups and files and the data collected on participants and staff in Title I, Part A programs.

File #	Data group ID	Data group name	Public SWP	Public TAS	N or D	Private
N/X134	670	Title I Participation Table	X	X	X	X
N/X036	549	Title I TAS Services Tables		X		
N/X037	548	Title I SWP/TAS Participation Tables	X	X		
N/X065	550	Title I TAS Staff Funded (FTE) Table		X		

In addition, the status of a school as Title I (DG22) is reported in N/X129 CCD file. The status of an LEA (school district) as a district that received Title I funds (DG582) is confirmed by the states for purposes of the CSPR.

### 5.3.10 Title I, Part C—Migrant students (children) and the Migrant Education Program

Data are collected on students eligible for funding and students served under the migrant student program. Unduplicated counts are also collected by timeframe: 12-months, regular school year and summer/intersession. The best way to understand the data on migrant students is the following matrix:

Migrant student group	Reporting period	
	12 months unduplicated	Regular school year Summer / intersession
Eligible enrolled in public schools		N/X132, DG110
Eligible for funding purposes	N/X121, DG634	

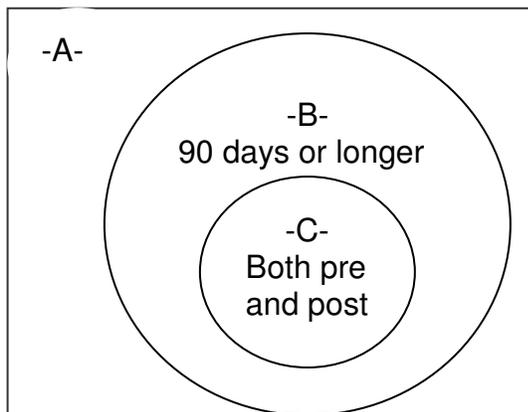
Migrant student group	Reporting period		
	12 months unduplicated	Regular school year	Summer / intersession
	(also known as Count #1 on the Migrant Child Count Report)		
Eligible and served for funding purposes			N/X122, DG635 (as known as Count #2 on the Migrant Child Count Report)
Served (including after period of eligibility expired)	N/X054, DG102	N/X123, DG636	N/X124, DG637
Services to students		N/X145, DG684	

In addition, N/X132 School End of SY Status file collects whether a school consolidated its MEP funds into a SWP (DG514).

MEP staff are collected by headcount (DG625) and FTE (DG515) in N/X065.

**5.3.11 Title I, Part D—Prevention and intervention programs for children and youth who are neglected, delinquent or at risk**

As part of the CSPR, ED collects data on Title I, Part D. The diagram below illustrates the data collected. The table below the diagram explains the relationship of the diagram to EDFacts files and data groups:



Explanation of diagram		Subpart 1		Subpart 2	
A	All N, D or at-risk youth participating in programs	N/X119	DG656	N/X127	DG657
B	N, D or at-risk youths who were in programs 90 days or longer	N/X135	DG672	N/X135	DG671
C	N, D or at-risk youths who were in programs 90 days or longer AND took both a pre- and post-test	N/X113	DG628	N/X125	DG629

### 5.3.12 Title II, Part D—Enhancing education through technology

The Department is required to report on the performance of Title II, Part D. The following data are used in the performance indicators:

Integrated Technology Status	N/X131	DG524
Personnel Skilled in Technology	N/X071	DG526
Computers	N/X028	DG525
8th-Grade Technology Literacy	N/X117	DG650

### 5.3.13 Title III—English language proficiency

Title III of *ESEA* provides grants for the education of limited English proficient (LEP) students. The best way to understand the data for students who are served by Title III and/or are limited English proficient is to focus on the universe included in each file.

Universe of students who are included	What data are collected about the universe of students included	Reporting period	File #	Data group ID
All students assessed and determined to be LEP	Enrolled in an elementary or secondary school	School year	N/X141	678
	Count of students for the annual assessment on English proficiency	Testing window	N/X137	674
LEP students who took the annual English language proficiency assessment	The results of the annual assessment on English language proficiency (This is the subset of students in N/X137 who were tested.)	Testing window	N/X139	676
LEP students enrolled in programs designed for LEP students	Count of LEP students enrolled in programs designed for limited English proficient students	October 1	N/X046	123
LEP students served by a Title III language instruction educational program	Count of LEP students served in Title III language instruction educational programs	School year	N/X116	648
	Count of students for the annual assessment on English language proficiency	Testing window	N/X138	675
	The results of the annual assessment on English language proficiency (This is the subset of students in N/X138 who were tested.)	Testing window	N/X050	151
Title III monitored former LEP students	Count of the Title III monitored former LEP students (students who no longer receive services) and the results of their content assessment	School year	N/X126	668
Immigrants	Count of immigrant students (whether LEP or not) who are enrolled in elementary or secondary schools	School year	N/X045	519

In addition to data collected on students, N/X067 collects data on teachers in Title III programs (DG422).

Title III data also include the Annual Measurable Achievement Objectives (AMAOs):

AMAO 1 – English Language Proficiency Making Progress	N/X103 Accountability	DG569
AMAO 2 – English Language Proficiency Attainment	N/X103 Accountability	DG518
AMAO 3 – AYP for LEP subgroup (Academic Status)	N/X103 Accountability	DG688

### 5.3.14 Title IV, Part A—Safe and Drug-Free Schools and Communities Act

The Department is required to prepare an annual report to Congress on the *Safe and Drug-Free Schools and Communities Act*. Some of the data for that report come from the following files:

Persistently Dangerous Status	N/X130 School	DG36
Discipline – Incidents	N/X030	DG523
Discipline – Counts of Students	N/X136	DG673
Truants	N/X131 LEA	DG664

### 5.3.15 Gun-Free Schools Act report

The Department is required to prepare an annual report to Congress on the *Gun-Free Schools Act*. Some of the data for that report come from the following files:

Filing of <i>GFSA</i> report by LEAs and schools (DG603)	
N/X131 LEA End of SY Status	N/X132 School

Firearms incidents	
Students involved	Number of incidents
N/X086, DG596	N/X094, DG601

### 5.3.16 Title X, Part C – *McKinney-Vento*—Homeless children and youths

The Department is required to prepare an annual report to Congress on the *McKinney-Vento* grants. Some of the data for that report comes from the following files:

Homeless Students Enrolled	N/X118	DG655
Homeless Served ( <i>McKinney-Vento</i> ) (This is a subset of the students reported in N/X118.)	N/X043	DG560

### 5.3.17 Rural education

The Department will use the following data to monitor and allocate rural education grants:

REAP Alternative Funding Status	DG614 in N/X131 LEA
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### 5.3.18 Individuals with Disabilities Education Act (IDEA)—Section 618

In the past, *IDEA* Part B data were collected through a legacy collection and reported in tables. Most states have already been approved to submit the *IDEA* Part B data exclusively through *EDFacts*. Below is a crosswalk between the *EDFacts* files and the *IDEA* tables. After the crosswalk is a written description of the relationship between the *EDFacts* files and OSEP's legacy data collection tables. Detailed crosswalks for each legacy table data collection table are also included in the relevant file specifications.

<i>IDEA</i> data collection	Legacy collection	<i>EDFacts</i> file	Data group
Child count	Table 1/ Table 3	N/X002	74
Educational environment		N/X089	613
Staffing	Table 2	N/X070	486
		N/X099	609
		N/X112	647
Exiting	Table 4	N/X009	85
Discipline	Table 5	N/X005	512
		N/X006	475
		N/X007	476
		N/X088	598
		N/X143	682
		N/X144	683
Assessment	Table 6	N/X003	447
		N/X004	491
		N/X093	618
		N/X146	689

#### Table 1/Child Count

Report of Children with Disabilities Receiving Special Education Under Part B of the *Individuals with Disabilities Education Act* (OMB #1820-0043)

- N/X089 (DG613) is used to submit early childhood (ages 3 through 5) data.
- N/X002 (DG74) is used to submit school-age (ages 6 through 21) data.

#### Table 2/Personnel

Personnel Employed to Provide Special Education and Related Services for Children with Disabilities (OMB #1820-0518)

- N/X070 (DG486) is used to submit data on special education teachers employed or contracted to provide services to children with disabilities (*IDEA*).
- N/X112 (DG647) is used to submit data on paraprofessionals employed or contracted to provide services to children with disabilities (*IDEA*).
- N/X099 (DG609) is used to submit data on related-service personnel employed or contracted to provide services to children with disabilities (*IDEA*).

## Table 3/FAPE

Part B, *Individuals with Disabilities Education Act* Implementation of FAPE Requirements (OMB #1820-0517) —The data on educational environments are submitted in the same files as the Table 1/Child Count data.

## Table 4/Exiting

Report of Children with Disabilities Exiting Special Education During the School Year (OMB #1820-0521)

- N/X009 (DG85) is used to submit all the exiting data.

## Table 5/Discipline

Report of Children with Disabilities Subject to Disciplinary Removal (OMB #1820-0621).

- N/X088 (DG598) is used to submit number of children with any type of removals by total removal length.
- N/X006 (DG475) is used to submit number of children who had in- or out-of-school suspensions and expulsions.
- N/X005 (DG512) is used to submit number of children who had removals to interim alternative education settings.
- N/X007 (DG476) is used to submit the number of removals of students to interim alternative education settings by school personnel by the reason for the removal.
- N/X143 (DG682) is used to submit the total number of removals.
- N/X144 (DG683) is used to submit data on provision of educational services to students who were expelled.

## Table 6/Assessment

Report of the Participation and Performance of Students with Disabilities on State Assessments by Content Area, Grade and Type of Assessment (OMB #1820-0659).

- N/X093 (DG618) is used to submit the participation by assessment option.
- N/X004 (DG491) is used to submit the data on students not assessed by the reasons not assessed and students with invalid results.
- N/X003 (DG447) is used to submit the results of the assessments.
- N/X146 (DG689) is used to submit information about the caps on alternate assessments.

### 5.3.19 *Perkins*—Career and technical education (CTE)

The *Carl D. Perkins Career and Technical Education Act of 2006* has requirements for reporting performance indicators in the Consolidated Annual Report (CAR). The following table is a crosswalk of the performance indicators to the EDFacts files.

**Revised!**

Performance Indicator	Performance Indicator	Performance Indicator Measure	File	Numerator	Denominator
1S1	Academic Attainment in Reading/Language Arts	% CTE concentrators met proficiency or above on state-established academic standards – Reading	N/X142	Concentrators who scored proficient or above on reading assessment	Subtotal for all students
1S2	Academic Attainment in Mathematics	% CTE concentrators met proficiency or above on state-established academic standards – Mathematics	N/X142	Concentrators who scored proficient or above on mathematics assessment	Subtotal for all students
2S1	Technical Skill Attainment	% CTE concentrators passed technical skill assessments aligned with industry-recognized standards	N/X157	Concentrators who passed technical skill assessment	Subtotal for all students
3S1	Secondary School Completion	% CTE concentrators earned a regular high school diploma, earned a GED, or other state-recognized equivalent	N/X082 & 083	Grand total of N/X083	Grand total of N/X082
4S1	Graduation Rates	% CTE concentrators included as graduated in state's graduation rate	N/X154	Concentrators who graduated	Subtotal for all students
5S1	Secondary Placement	% CTE concentrators left secondary education and were placed in post-secondary education/advanced training, military, employment	NA	No collected in EDFacts for SY 2009-10	
6S1	Non-traditional Participation	% CTE participants from underrepresented gender groups in non-traditional fields of study	N/X155	Participant member of underrepresented group	Subtotal for all students
6S2	Non-traditional Completion	% CTE concentrators from underrepresented gender groups in non-traditional fields of study who completed	N/X156	Concentrator member of underrepresented group	Subtotal for all students

**5.3.20 Financial**

Under the *General Education Provisions Act*, Section 424 (*GEPA*), ED is required to prepare a biennial report for Congress on the distribution of funds by SEAs to LEAs and other agencies and institutions under any federal education program administered by the state. In addition, financial data collected will be used to monitor flexibility in *ESEA*

to transfer funds. Some of the data for these purposes come from the following *EDFacts* file:

Funding Allocations	N/X035	DG547
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The following two data groups collect financial data on the school improvement funds.

Schools Receiving School Improvement Funds	N/X132	DG693
Funding for School Improvement	N/X132	DG694

### 5.3.21 Other

The following data groups are also collected and used by all Program Offices.

- Economically disadvantaged students – N/X132, DG56
- School Poverty Percentage—N/X132, DG31
- School Totals—N/X131, DG454

## 5.4 Changes to *EDFacts* Data Set From SY 2008–09

From one year to the next, data groups may be added or dropped from the *EDFacts* data collection for numerous reasons, primarily due to changes in program reporting requirements. The following sections describe data groups that have been added or removed from the *EDFacts* data collection effort for SY 2009–10.

### 5.4.1 Data groups added for SY 2009–10

**Revised!** The table below lists the data groups added to the *EDFacts* collection for SY 2009–10:

Data groups added for SY 2009–10				
700	Public school choice – eligible	OII	SEA and LEA	010
701	Public school choice – implementation	OII	LEA	131
702	CTE concentrators in graduate rate table	OVAE	SEA and LEA	154
703	CTE participants in programs for non-traditional table	OVAE	SEA and LEA	155
704	CTE concentrators in programs for non-traditional table	OVAE	SEA and LEA	156
705	CTE concentrators technical skills table	OVAE	SEA and LEA	157

**5.4.2 Data groups dropped from SY 2008–09 to SY 2009–10**

The following is a list of data groups that were included in the SY 2008-09 EDFacts data set and were removed from the EDFacts collection for SY 2009-10:

Data groups added for SY 2009–10				
Data group #	Data group name	Steward	Reporting level	File spec number
542	Public school choice transfer used status	OII	School	132
543	Public school choice transfer received status	OII	School	132
545	SES provided status	OII	School	132

## 6.0 The SY 2009–10 Submission Plan

**Updated!** For SY 2009-10, state submission plans will be collected through *EMAPS*.

## 7.0 Submission Process

This section summarizes the process for submitting files through ESS to EDFacts:

1. Submit the directory.
2. Gather the data.
3. Create the files.
4. Check the files.
5. Submit the files.
6. Correct format, validation, and submission errors and address warnings.
7. Monitor progress.

This section also provides information on what to do with large files and what happens to files that have high error rates.

### 7.1 Submitting the Directory

The directory is the cornerstone of EDEN submissions. An accurate directory record must exist in EDEN for every education unit (school, LEA, or SEA) prior to submitting any other data. If a directory record does not exist, all other EDEN data submissions for that educational entity will fail. Therefore, the LEA and school directory files must be submitted for each school year prior to submitting other LEA and school level data. The SEA directory file must only be submitted if the SEA directory data changed. Section 10 “Directory Files” describes the directory.

### 7.2 Gather the Data

Based on the Submission Plan, the SEA submitter will be assigned one or more files to submit. The SEA submitter should read the file/XML specification for those files as outlined in section 9.0 “File/XML specifications.” The SEA submitter may need to review the “Guidance” and “Requirements for Submitting This Data Group” sections of each file/XML specification with the Program Office owner or steward of the data in the state.

After confirming the source of the data, the submitter should decide if a staging database is necessary. In some database systems, creating views or queries is sufficient to pull the data together for a file. In other cases, the data are pulled from the system and put into a staging database, file or area to organize the data and create the submission file. The best way to stage data is in a relational database. Excel or another spreadsheet application can be used to gather and stage the necessary data. However, the submitter should use caution when using Excel or other spreadsheet applications for the staging database. If the cell formats are not set to “Text,” Excel will remove the leading zeros when the files are saved. If the leading zeros are omitted in a field, the files may generate error messages when they are uploaded to ESS.

In the staging database, each row of data represents a record in the data section of a non-XML file or one TABLETYPE object for XML files. For example, when student membership is submitted, a row of data in the staging database is created for each

grade level, race/ethnicity and sex combination. Consequently, there is a row for first-grade Asian males, a row for first-grade Asian females, a row for first-grade American Indian males, a row for first-grade American Indian females, etc. These rows convert to records in the data section of the non-XML file and to TABLETYPE objects for XML files. The data in the staging database or staging view/query should have the layout described in the Data Record Definition section of the non-XML file specification document or objects for XML files.

While it is easier to review data when they are grouped by education unit, the ESS does not require a specific order to the records submitted, and subtotals and totals do not need to be contiguous to the detailed data. Once a file is transmitted, ESS sorts the file by the identifiers to match the total records with the education units. All data records for an education unit must be in the same file.

For some files, records for counts of zero are required. Submitting the count of zero allows the data to be distinguished from missing or not collected data. For example, in the membership file at the school level, if a school with seventh-grade enrollment has no seventh-grade American Indian male children, the school file must still include a row for this category with a count of zero. However, if the school does not have a seventh grade, then all the rows of data associated with the seventh grade can be omitted. Because the guidance varies by file, it is important to read sections 1.2 and 2.0 of the file specifications to understand how to report zero and missing counts.

## 7.3 Create the File

After the SEA submitter gathers the data, he or she creates the file. Section 8.0 “EDFacts Files” contains detailed information about creating files in the file formats accepted by EDEN.

While the ESS can handle very large files, bottlenecks in local internet bandwidth can cause problems for submitting large files. There are two solutions to these bottlenecks:

1. Compress large files.
2. Split large files.

### 7.3.1 Compress large files

File compression reduces the size of data in order to save space or transmission time. The ESS recognizes files compressed with the Zip data compression algorithm. The ESS will accept a Zip file and automatically extract (i.e., decompress) the file.

Plain text files, like EDFacts submission files, benefit most from Zip compression. File size reductions of 50 to 95% are common with text files. There are a variety of commercial or free file compression utilities that create Zip files.

Zip-compressed files must have the .zip extension when transmitted to the ESS. The file name in the Header Record (or FILETRANSMIT object if XML) must have the extension appropriate for the format of the uncompressed file.

### 7.3.2 Split large files

If compression is insufficient or not available, a second option for avoiding bottlenecks is to split large files into smaller files. A file must be split at an education unit boundary—the data records for a single education unit must not be split between files. For example, an SEA may submit two files with school-level membership data, perhaps one with one school to test the format and a second file with all the other schools. The system will combine the data from the two files. However, the system cannot combine a file that contains some of the membership data for a school and a second file that contains the rest of the membership data for that same school. The second file's data for the school will overwrite the data from the first file for that school. For example, if the first file submitted contains membership data of a school for grades K through three and a second file contains membership data for that same school for grades four through six, the data in the second file will replace the data in the first file. In this example, only the data on grades four through six from the second file will move to the database for that school.

Each of the split files must be properly formatted according to the file/XML specification.

- Each file must have a unique File ID and File Name.
- Each non-XML file must have a Header Record with the correct record count for the individual file.
- Each XML file must be a valid XML document with valid FILETRANSMISSION start and end tags.

We recommend splitting the file if it is larger than the following thresholds:

- XML files—120MB unzipped
- Non-XML files—250MB unzipped

## 7.4 Check the File

Before the file is submitted through the ESS, the file should be reviewed. Section 8.1 “EDFacts File Formats” contains specific rules for each type of file format. The file should also be checked for the following:

**Header Record**—The file name in the Header Record should be the same as the external file name. The Transmittal Status Report displays the file name from the Header Record, not the external file name. Using the same name in both locations ensures that the file can be readily and correctly identified when technical support is needed.

**FIPS/ZIP Codes**—FIPS and ZIP Codes are string fields, not numeric fields. Therefore, states with FIPS codes from 1 through 9 and ZIP Codes that start with zero must include the leading zeros. Appendix E lists FIPS codes for each state.

**SEA, LEA and school IDs**—SEA, LEA and School IDs, both NCES and state, are string fields, not numeric fields. Therefore, if leading zeros are part of the ID, they must be used. An error will occur if IDs do not match exactly, e.g., an NCES ID number submitted as 749 but the actual NCES ID is 00749. Where leading zeros are

meaningful, such as in NCES IDs, you must include the leading zeros. For fixed format files, you should also fill string fields with trailing blanks.

**Percentages**—Fields that contain percentages must be reported as decimals in the format 5,4; meaning there are five total digits with four of those digits after the decimal point. Ninety-five percent is then represented as “0.9500.”

**Subtotals and totals of education units**<sup>5</sup>—Subtotals and totals of education units must be equal to or greater than the sum of their parts. If the subtotal or total of the education unit is less than the sum of its parts, an error is identified.

**File type**—The contents of the file type field in the Header Record and in the File Transmit XML object must be in ALL CAPS. The ESS is set up for an exact match of file type that is case-sensitive. If a match isn't found, the file will receive a format error.

**Field length**—The field length cannot exceed the length specified in the non-XML file specification regardless of type of file (XML, comma-delimited, tab-delimited, or fixed). One method for checking the length of each field in a delimited file is to open the file in Excel and use the length function the application provides. Instructions on how to use this function are as follows:

1. Choose an empty field or create a new column to hold the result of the function.
2. Type “=LEN(CELL)” into the formula bar above the spreadsheet, where CELL is the target cell whose length you want to count. This cell should now contain the total number of characters in the target cell.
3. To have this formula work for every cell in the target cell's column, select the cell containing the LEN formula and copy it. Next, select the result cell's entire column and choose the paste command to have the formula apply to every cell in that column.
4. Each cell in the target cell's column should now have a corresponding cell that contains the target cell's number of characters. You can now sort the spreadsheet by this column to see if any of the counts exceed the maximum length of the field as defined in the file specification.

#### 7.4.1 Completeness of the File – All the data for an education unit

Files do not need to contain all the schools and LEAs, but each file must contain all of the data records for a specific education unit. Subsequent submissions for a specific education unit overwrite previous submissions of that file type for that same education unit. For example, submitting Grade Level Membership counts for an LEA in one transmittal file followed by the Third Grade Membership counts for the same LEA in another transmittal file will result in the Grade Level counts in transmittal #1 being overwritten by the Grade Level counts in transmittal #2 for that LEA. As a consequence, the EDFacts database will only have third-grade membership data.

<sup>5</sup> Beginning in SY 2008–09, the phrase “Total of the Education Unit” replaced the phrase “Grand Total.” The phrase “Grand Total” was misleading because it did not refer to the total for the entire file submission. Rather it referred to the submission total for a specific education unit.

### 7.4.2 Completeness of the file—All the education units

When you re-submit a file to EDEN, only the education units in that file are updated. For example, if your original submission contained 100 schools' worth of data, and your second submission contains data for 90 of those schools, only the data for those 90 schools are updated. The data for the remaining 10 schools are left unchanged in the EDEN database.

The benefit of this is that you can make corrections to the data of individual schools or LEAs without having to submit the data for all of them. For example, if after submitting your LEA membership file you discover that you forgot to include a district in your file, all you need to do is submit a file that contains just the data for that one district.

One consequence of this system behavior is that one file submission may not completely overwrite a previous submission. If you discover that you submitted data for a school that should not have been submitted at all, you cannot correct this by leaving that school out of your next submission. When you leave the school out, the system does not make any updates to the data for the school that is already in the database.

If data submitted to EDEN need to be revised, you can make the revisions by simply re-submitting the data for that school or LEA. On the other hand, if you discover that data submitted to EDEN should not have been submitted in the first place, you will not be able to correct this through a file submission. Call PSC for assistance in deleting that data.

## 7.5 Submit the File

Once the SEA submitter has gathered the data and formatted the files to match the file/XML specifications, the SEA submitter logs in to the EDEN Portal to submit the data to ESS. SEA submitters will receive an acknowledgment for receipt of files and messages that request actions on the part of the SEA. The ESS User Guide explains in detail how to submit files to ESS.

Performance testing of the ESS demonstrated that the ESS successfully processes directory files as large as 300 megabytes. However, the EDEN Portal is a shared environment where processing resources are often used by more than one SEA. Resource sharing can result in slow system performance. SEAs can use several strategies to improve performance. Rather than creating many files and submitting them in batch, SEAs should submit files as soon as they are created. SEAs should also try submitting files outside the peak time of 8 AM to 5 PM Eastern Time. For example, files can be submitted during the weekend. Saturday is a better option than Sunday, because on most Sundays the system is down for some period of time for routine maintenance.

When a file is transmitted, the ESS generates an e-mail to the SEA submitter acknowledging receipt of the file. The SEA submitter also receives messages from the ESS when the file:

- has processed successfully
- is a duplicate of the most recent transmittal file or

- has errors

Specific error messages are not provided in the e-mail but are available in reports in ESS.

## 7.6 Correct Format Errors

Format edits are the first edits performed when the file is submitted to ESS. A format edit is a check that determines whether the data are in the correct file format. Format errors are the most serious error type and prevent any further processing of the file. File processing stops when the first format error is detected. This error must be corrected with a resubmission before the file will be processed further.

Conditions that cause format errors include, but are not limited to:

- Absence of a Header Record
- An improperly formatted Header Record
- An invalid file type specified in the Header Record
- Absence of a Carriage Return/Line Feed (CRLF) at the end of a record
- Invalid record length
- An invalid file format or extension (.txt, .csv or .tab) specified in the file name in the Header Record
- A comma- or tab-delimited file that is improperly delimited (i.e., absence of a comma or tab between fields)
- Improperly formatted XML
- Invalid XML tags
- XML tags in a different order than specified in the schema

An End-of-File (EOF) character causes the system to search for a new record/file and will result in a format error. Do not mark the end of the file with an EOF character. The last record on the file should end with CRLF, the same as every other record on file.

The format error that caused the system to stop processing the file is reported in the Format Error Report. The *Business Rules Guide* contains all of the format edits in ESS.

## 7.7 Correct Validation Errors

Validation edits are performed once there are no format errors. These edits take place while the file is still in ESS. A validation edit is a check that determines whether values in each field are valid. A value that fails the edit check is always incorrect. Unlike format errors, file processing continues after a validation error is identified. Unless the file contains more than 1,000 validation errors, all validation errors are identified when the

file is processed.<sup>6</sup> A file with validation errors will not be transferred to the staging database. The SEA must correct the validation errors and resubmit the entire file before processing will continue. When a file passes all validation edits, the file is transferred to the staging database.

Examples of conditions that will cause validation errors include, but are not limited to

- The file is missing one or more mandatory data groups (e.g., Agency Name or Address Line 1 in the Directory file).
- A post office box is specified in a Location Address line.
- A required count is blank or invalid.
- A numeric field contains non-numeric characters.
- An invalid Permitted Value is used.
- A required subtotal or total record is missing.
- A subtotal or total record is less than the sum of its parts.

The Validation Error Report identifies the edits that failed and prevented the file from being transferred to the staging database. The *Business Rules Guide* contains all of the validation edits in ESS.

## 7.8 Address Submission Errors

Submission edits take place in the staging database. A submission edit compares the values entered in a field with other values in the same file or across files to determine whether the value is reasonable. If a discrepancy is found (e.g., a value falls outside of the acceptable range), a submission error or warning is issued. As with validation edits, the system can detect up to 1,000 submission errors before file processing stops.

Submission discrepancies reported on the Submission Error Report are categorized as errors (urgent) or warnings (less urgent), depending on their level of significance and the level of urgency with which corrections need to be made.

Errors must be corrected with a resubmission. Once the error is corrected, it will no longer appear on the error report. If the data flagged as in error are actually correct, then the SEA submitter should contact the PSC to have the program office authorize a bypass for this edit for the submitting SEA.

Warnings occur when data appear to be unusual or unexpected. States should review the data to determine if the data are accurate. If the data are incorrect, they should be corrected with a resubmission. If the data are correct, ED recommends that states use the explanation field of the data record to explain the data and what was done to verify that they are correct. Please note that even after explanations are provided, the warning will remain on the report.

<sup>6</sup> File processing stops once the error threshold of 1,000 errors is reached for a transmittal. For example, if an inappropriate string is included in every record in a file, the processing will stop after 1,000 errors are identified. In this situation, not all errors are identified during processing.

Many of the submission edit checks in *EDFacts* are byproducts of the CCD-*EDFacts* merger project. These edits mimic match and edit checks formerly conducted by CCD. Submission errors that take the place of CCD's match edit checks are considered critical in nature and, therefore, must be corrected to ensure that data are accurate.

Other submission edits replicate DANS edits to complete the transformation of the *IDEA* Section 618 tables into *EDFacts*.

The Submission Error Report and the Match Error Report identify all submission errors and warnings generated by the file. The *Business Rules Guide* contains all the submission edits in ESS.

## 7.9 Monitor Progress

*EDFacts* Coordinators can track their state's overall progress toward meeting their Submission Plans using the State Submission Status Reports (e.g., LEAD004, LEAD015) in the *EDFacts* Reporting System (ERS). *EDFacts* Coordinators should update the Submission Plan if delays or other problems are identified.

In addition to the Submission Status Reports, ESS displays four reports that can be used to monitor progress:

- **Transmittal Status Report**—This report updates to reflect the “real time” status of every file submitted by the SEA.
- **Submission Error Report**—These reports reflect all submission discrepancies by education level identified by ESS when comparing submitted data within and across files.
- **Match Error Report**—This report reflects discrepancies identified by ESS when comparing state and NCES IDs and operational statuses submitted on the Directory file to the Directory data for the previous school year.
- **Submission Progress Report**—This report reflects the last action taken by the SEA or ED with regard to a specific submission type.

Detailed information about these reports is available in the *EDEN Submission System User Guide*.

## 8.0 EDFacts Files

This section describes the four file formats that are accepted by ESS and how these files are created.

### 8.1 EDFacts File Formats

The four file formats accepted by ESS are:

- Fixed
- Comma-delimited
- Tab-delimited
- eXtensible Markup Language or XML<sup>7</sup>

#### 8.1.1 Fixed format

In a fixed-format file, each data element in both the Header Record and Data Record has a predefined length (e.g., 15 characters) and a beginning position within the record. Thus, the software knows exactly where to find each individual data element/field (including filler fields) within the record.<sup>8</sup> When entering the specific data into the file, all fields must be filled, beginning in the Start position, even if most of the positions are blank. The suffix for fixed-format files is **.txt**.

The following rules apply to fixed-format files submitted to ESS.

- File extensions must be “.txt.”
- CRLF must immediately follow the last field in each record.
- Filler fields must be blank.
- Numeric fields must not contain commas.
- String fields must be left justified and filled with trailing blanks.
- Numeric fields (total records in file in the header record, file record number in the data record and the "count" in the data record) can be either right or left justified.

#### 8.1.2 Comma-delimited file format

The comma-delimited file format is similar to the fixed format for order, record definitions and comments; however, rather than being a fixed length of characters, each field is only as long as it needs to be to hold the data (no trailing blanks) and is separated from the next field by a comma. In instances where strings contain commas (,), there is the potential for causing incorrect processing, so use fixed or tab-delimited files when commas are included in the data. The suffix for the comma-separated file format is **.csv**.

<sup>7</sup> Appendix F provides a discussion of XML and the advantages of reporting using that format.

<sup>8</sup> In the file specifications, the term data element is used to refer to data fields. The use of the term field is more generic and can be interpreted to refer to data elements.

The following rules apply to comma-delimited files submitted to ESS.

- File extension must be “.csv.”
- Carriage Return/Line Feed (CRLF) must immediately follow the last field in each record.
- Filler fields must be blank.
- All fields, except for the last field in a record, must be followed by a comma. This includes filler fields and fields with no value,
- For valued fields, the comma should immediately follow the permitted value.
- For fields with no value, only the comma is entered. When the last field in a data record layout is filler, the data will look like the record ends in a comma, but that comma represents the blank filler field.
- A comma indicating the end of the last data field in the Header Record or Data Record should not be used.
- Data values (text or numeric) must not contain commas within the field.
- Fields cannot exceed the maximum length.

Because embedded commas in string fields are problematic, ED recommends states use the tab-delimited rather than comma-delimited file format. Note that using quotes/double quotes to imbed commas in a comma-delimited format does not work in MS SQLServer.

### 8.1.3 Tab-delimited file format

The tab-delimited file format is also similar to the fixed format for order, record definitions and comments; however, rather than being a fixed length of characters, each field is only as long as it needs to be to hold the data (no trailing blanks) and is separated by a tab character. The suffix for tab-delimited file formats is **.tab**.

The following rules apply to tab-delimited files submitted to ESS:

- File extension must be “.tab.”
- CRLF must immediately follow the last field in each record.
- Filler fields must be blank.
- All fields, except for the last field in a record, must be designated by a tab character. This includes filler fields and fields with no value.
- For fields that contain a value, the tab should immediately follow the data value.
- For fields with no value, only the tab is entered. When the last field in a data record layout is filler, the data will look like the record ends in a tab, but that tab represents the blank filler field.
- A tab indicating the end of the last data field in the Header Record or Data Record must not be used.

- Data values must NOT be enclosed in double quotes. Double quotes within a field will cause a Format Error.
- Numeric fields must not contain commas.
- Fields cannot exceed the maximum length.

#### 8.1.4 XML files

XML files are described in appendix F. In addition to the XML specifications, SEA submitters will need the XML schemas and the non-XML file specification for the allowable field length. XML style sheets are also available. The suffix for the XML file format is **.xml**.

The following rules apply to XML files submitted to ESS:

- File extension must be “.xml.”
- XML tags must comply with the XML schemas.
- XML tags must be in the order specified in the schema.
- Numeric data should not contain commas.

## 8.2 Creating Files

This section describes the processes for creating non-XML and XML files. There are two versions of each file specification. One specification provides the specifics on submitting the fixed, comma-delimited and tab-delimited files (non-XML files) and the other provides information about submitting XML files.

### 8.2.1 Creating non-XML files

Within each non-XML file (fixed, comma-delimited and tab-delimited formats), there is a header record and the data section. The header record is the first record in every file and provides information about the file type, file name, file identifier, file reporting period, and number of data records in the file. Because the header record includes a count of data records, it is often added to the file after the data section is compiled. In the header record, the field length of the total records in the file data element is 10. Within the data section, the field length of the file record number data element is also 10.<sup>9</sup>

The data section of the file immediately follows the header record and consists of lines of plain text. Data records provide counts for the specified categories as well as subtotals and grand totals. The only real difference between the data sections for the three non-XML file formats used by ESS is how the border between the data elements is defined. The delimited file formats (comma and tab) use a comma or tab to define the fields. The fixed format uses a fixed location to define the fields.

<sup>9</sup> Prior to SY 2007–08, the field length for the record number data element was 6.

To create a non-XML file, copy or export the data from the staging area to a text file. The process used to copy or export is dependent on the application used for staging and is beyond the scope of this workbook. The copy or export process will also determine which non-XML format to use.

The fields included in the data section and their order and structure should match the description in the relevant data record definition section of the file specification. Make sure all the “filler” fields are present.

Fields that are defined in the file specification as “Number” can contain values with leading zeros or without leading zeros. Additionally, when submitting fixed-format files, “Number” fields can be either right or left justified. The fields defined as “Number” fields are: “Total Records in File” in the Header, “File Record Number” in the Data Record, and the “Count” fields in the Data Record, e.g., Teacher Count, Student Count.

If the copy or export process included a row with the field names at the top of the file, delete that line.

Once the data section is created, add the Header Record to the top of the file. The Header Record must adhere to the description of the header record definition provided in the relevant file specification.

## 8.2.2 Creating XML files

XML files have the advantage over non-XML files of being both human and computer readable. It is the Department’s position that it may be easier for a person to spot an error in the XML file than it is to spot errors in a non-XML file. Most modern database systems have tools for generating XML.

There are two approaches to making XML submissions. The basic approach essentially duplicates the non-XML file format creating a TABLETYPE object to hold the data record. The modified approach takes advantage of the power of XML schemas for data validation. Currently, if you are using the validation schema approach, an additional file transformation step is required. Regardless of which approach is used, keep in mind that XML is case sensitive.

### 8.2.2.1 Using the basic approach

The basic approach is the file format defined in the XML specifications. The formats for files that are tables, that is, they have more than one record per education unit, all have a similar XML definition. There is an AGENCY element for each education unit—SEA, LEA or school. The table data for a row are contained in a <TABLETYPE> element. Each data category is defined by a <CATEGORY> element. The <TABLETYPE> and <CATEGORY> elements have attributes to clarify what they contain.

LEA	Grade level	Race/ethnicity	Sex (membership)	Amount
1234567	01	AS	M	26
1234567	01	AS	F	28

Example: If the table above contains a portion of the LEA membership data for a state, the comparable section of an original approach XML file looks like:

```
<AGENCY FIPSSTATECODE="99" STATEAGENCYIDNUMBER="01"
  STATELEAIDNUMBER="1234567">
  <TABLETYPE TYPEABBRV="MEMBER" TOTALINDICATOR="N">
    <CATEGORY TYPE="GRADELVMEM" VALUE="01"/>
    <CATEGORY TYPE="RACEETHNICITY" VALUE="AS"/>
    <CATEGORY TYPE="SEX" VALUE="M"/>
    <AMOUNT>26</AMOUNT>
  </TABLETYPE>
  <TABLETYPE TYPEABBRV="MEMBER" TOTALINDICATOR="N">
    <CATEGORY TYPE="GRADELVMEM" VALUE="01"/>
    <CATEGORY TYPE="RACEETHNICITY" VALUE="AS"/>
    <CATEGORY TYPE="SEX" VALUE="F "/>
    <AMOUNT>28</AMOUNT>
  </TABLETYPE>
  ...
</AGENCY>
```

### 8.2.2.2 Using the validation schemas approach

With the validation schemas approach, a special file, called an XML schema, defines the legal contents of an XML file. Each of the submission files has its own validation schema. A schema defines the valid structure for a file, the valid element names, order, format, legal code values, numeric value ranges, etc. Most format and validation errors can be identified by validating an XML file prior to submission.

Using the validation schema format, the section of the membership file shown above for the original approach will look like:

```
<Agency>
  <StateAgencyIdNumber>01</StateAgencyIdNumber>
  <StateLealdNumber>1234567</StateLealdNumber>
  <Membership>
    <Grade>01</Grade>
    <RaceEthnicity>AS</RaceEthnicity>
    <Sex>M</Sex>
    <TotalIndicator>N</TotalIndicator>
    <Amount>26</Amount>
  </Membership>
  <Membership>
    <Grade>01</Grade>
    <RaceEthnicity>AS</RaceEthnicity>
    <Sex>F</Sex>
    <TotalIndicator>N</TotalIndicator>
    <Amount>28</Amount>
  </Membership>
</Agency>
```

An advantage of using validation schemas is that the schema knows that a <Membership> element should contain <Grade>, <RaceEthnicity>, <Sex>, <TotalIndicator> and <Amount> elements. It validates that they are present and in that order. It validates that "01", "AS" and "M" are legal content for the respective elements.

It validates that TotalIndicator must be “N” for this combination of elements. It ensures that Amount is an integer.

An XML schema could be used with the original layout to verify that the <TABLETYPE> element contains some number of <CATEGORY> elements and an <AMOUNT> element. However, unlike the modified approach, such a schema cannot verify that the right combination of <TYPE>s are used or validate that the VALUE=”01” is valid when TYPE=”GRADELVMEM”.

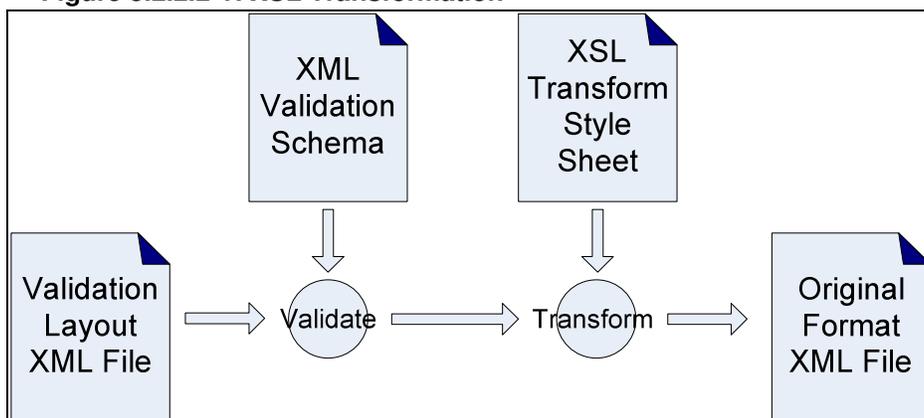
Another advantage of the validation schema format is that these formats were designed to make the XML file easier to generate from the common database applications.

Currently, in order for the data to be accepted by ESS, XML transform technology must be used to convert the validated XML file to the XML structure of the original approach—the data remain the same, but the tagging and structure of the file are modified to the format accepted by the ESS. The XML transform technology requires a style sheet (a special type of XML file) to do the transformation.

The XSL Transform process moves data from one XML representation into another XML representation. The transformation processor only needs a special XML file, called an XSL Transform Style Sheet, containing the transformation rules.

Thus, a full-featured XML schema can be defined specifically for each file submission. States can create files to be validated by the “validation schemas.” An XSL Transformation can convert the file into the format accepted by the ESS. This is shown diagrammatically below.

**Figure 8.2.2.2-1: XSL Transformation**



Eventually, the ESS will be modified to perform the Transform. At that time, the “validation format” files will be accepted directly by the ESS.

Validation Schemas and XSL Transform documents are available for each of the File Submissions. These are specific to both the file type and level. That is, there is a validation schema and XSL transform for the SEA-level membership file and a separate set for the LEA-level membership file.

A variety of commercial and free tools are available for editing, validating and transforming XML files. Both the validation schemas and the transformation style sheets are posted with the file/XML specifications.

A basic discussion of XML can be found in appendix F.

## 9.0 File/XML Specifications

The purpose of this section is to explain how the file/XML specifications are organized so that the user can interpret the information correctly. This guidance applies specifically to the SY 2009–10 file specifications. File specifications for previous years are organized slightly differently. The Workbooks for those years explain how the file specifications were organized.

For each file, two specification documents are available—one for XML files and the other for non-XML (fixed-format, comma-delimited and tab-delimited) files. File/XML-specification documents contain descriptions of the relevant data groups, permitted values and record layouts that must be used to submit the files. XML specification names begin with an “X” prefix and a three-digit number. Non-XML specification names begin with an “N” prefix and the same three-digit number as their XML counterpart. The only exception to this is N039 Grades Offered, which does not have an XML counterpart. For XML files, the grades offered data are combined with the directory data and are described in the X029 Directory XML specifications.

### 9.1 Organization of the File/XML Specifications

Separate versions of each file specification are created for each version of ESS. In some cases, updated versions are also created to correct errors in the file specifications.

School year	Version	Status
2003-04 and 2004-05	1.0	Closed
2005-06	2.0	Closed
2006-07	3.0	<b>Updated!</b> Scheduled for 2010
2007-08	4.0	Active
2008-09	5.0	Active
2009-10	6.2	Active

The most recent updates for each version of the file specifications are on the EDFacts Web site, [www.ed.gov/edfacts](http://www.ed.gov/edfacts).

Each file/XML specification document for SY 2009–10 is organized as follows:

#### Section Title and Description

##### 1.0

#### Purpose

This section gives the name(s) and identification number(s) of the data groups included in this submission file. It also contains a short explanation of why the data are collected.

##### 1.1

#### Changes From the SY 2008–09 File/XML Specification

This section describes any changes made to this file/XML specification from the prior year.

**1.2 Requirements for Submitting Data Groups**

This section contains two tables. The first table summarizes the core reporting requirements. The second table indicates the valid combinations of categories and the subtotal and/or total needed for the file. The SEA submitter should review this section with the Program Office data steward.

**2.0 Guidance for Submitting File**

This section provides guidance on any special considerations or clarifications necessary for the file to be submitted. The SEA submitter should review this section with the Program Office data steward.

**2.1 Definitions**

If applicable, a subsection of definitions is provided.

**3.0 File Naming Convention**

This section describes the convention for naming the files to be uploaded to ESS. For each file/XML specification document, this section is customized for the portion of the name that varies according to the file being submitted.

**3.1 Population Status/XML Specification Headings**

In the non-XML specifications, this section is labeled Population Status and explains how to read the column in sections 4.0, 5.0, and 6.2. The “Pop” column is used to clarify when a field is mandatory, optional or is required in accordance with table 1.2-1.

In the XML specifications, this section is labeled Specification Headings and includes a headings and codes table. This section details the Char (characteristics) column of the EDEN XML Format Codes.

**4.0, 5.0, 6.2 SEA, LEA and/or School File Descriptions**

These section(s) each describe one level of a file—SEA, LEA or school—as appropriate for the file being described. The organization of these chapters is identical.

For the non-XML specifications, these chapters document the Header Record, then the Data Record and end with partial examples of fixed-, comma- and tab-delimited layouts.

XML files are composed of a hierarchy of XML objects. The sections of the File Description chapters in the XML specifications define the XML objects beginning with the innermost object and working out to the root FILETRANSMIT object.

**Appendix**

A few file/XML specification documents have an appendix when additional clarifying information is necessary.

## 9.2 Single vs. Multiple Data Group Files

The structure of the files can be generalized into two types based on whether they report multiple data groups or a single data group.

Many of the data groups consist of a single item, count, flag or characteristic per education unit. Examples of these are Address Mailing (DG8), Title I School Status (DG 22), and School Poverty Percentage (DG31). These are often gathered with similar data groups in a file that has a single record per education unit but multiple data groups per record. Files of this type are mostly confined to the directory and status files.

The majority of the files collect a single data group, but that data group consists of a table or tables of multiple records per education unit. These data groups may contain multiple levels of aggregation and categorical reporting. For example, the LEA level membership file collects for each LEA

- Membership counts by each grade level by racial ethnic group by sex
- Subtotal counts of membership by grade level by racial ethnic group
- Subtotal counts of membership by grade level by sex.
- Subtotal counts of membership by racial ethnic group by sex
- Subtotal counts of membership by grade level
- A membership count total of the education unit

The LEA Membership file (N/X052) collects just this one data group, but that consists of 18 records per grade level per LEA (10 detail and 8 subtotal records) plus an additional 11 records per LEA (10 subtotal and 1 record for the total of the education unit).

Section 1.0 “Purpose” in the file/XML specification identifies the number and type of data groups collected in each file.

## 9.3 Data Requirement Matrix

For the single data group files (the files that contain tables), Section 1.2 “Requirements for submitting this data group” of the file/XML specification contains the data requirements matrix. This matrix describes which data categories are being collected and how the counts are to be aggregated. It also indicates which records are considered subtotals of others in the submission and whether the submission should have a grand total for each education unit.

The data requirements matrix from the Membership file (file/XML specification 52) is shown below.

**Example Table 1.2-1: Membership Table, Required Categories and Applicable Totals**

Category set	Table name	Grade level (membership)	Race / ethnicity	Sex (membership)	Total indicator	Comments
Category Set A	MEMBER	X	X	X	N	Enrollment by Grade Level (Membership), Racial Ethnic and Sex (Membership)

Category set	Table name	Grade level (membership)	Race / ethnicity	Sex (membership)	Total indicator	Comments
Subtotal 1	MEMBER	X	X		Y	Subtotal by Grade Level (Membership) and Racial Ethnic
Subtotal 2	MEMBER	X		X	Y	Subtotal by Grade Level (Membership) and Sex (Membership)
Subtotal 3	MEMBER		X	X	Y	Subtotal by Racial Ethnic and Sex (Membership)
Subtotal 4	MEMBER	X			Y	Subtotal by Grade Level (Membership)
Total of the Education Unit	MEMBER				Y	Total of the Education Unit

Each row in the matrix defines a set of rows to be submitted in the file. The first row in the example indicates membership must be reported by grade level, racial ethnic group and sex (i.e., fifth-grade Asian males). The second row indicates a membership subtotal reported by grade level and race/ethnicity (i.e., fifth-grade Asians).

The “N” under Total Indicator on row one of the data requirements matrix indicates that this is the lowest level of detail EDFacts will collect. A state may have summarized individual records to get this, but for EDFacts purposes, this is neither a subtotal nor a total of an education unit but a detail record.

The “Y” on row 2 indicates that EDFacts considers this record to be a subtotal or total of an education unit of the detail records that are reported in the line 1 data records in this example. While processing the file, ESS will sum the detail data by grade level and racial ethnic. Any amount reported in the second set of data records must be greater than or equal to the calculated detail total. That is, the reported total third-grade Hispanics from the second data set must be greater than or equal to the sum of all the third-grade Hispanics (male and female) reported in the detail data.

The data requirements matrix shows which records are considered detail (total indicator = N) and which records are considered subtotals or totals of education units of those details (total indicator = Y). Subtotal records contain one or more categories. Records that show the total of an education unit never contain categories.

## 9.4 File Naming Convention

States submit many files. Using a standard naming convention simplifies the process of identifying

- The contents of the file
- The file type
- The level of the file (i.e., SEA, LEA, or school)

- The submitting state

Each file name is limited to 25 characters (including the file extension). The format is:

**ss/levFILETYPESvvvvvvv.ext**

The elements of the file name are as follows:

<b>ss</b>	=	the 2-character USPS State Code value (see appendix E)
<b>lev</b>	=	the 3-character file level as follows: <ul style="list-style-type: none"> <li>• For SEA files, specify <b>SEA</b></li> <li>• For LEA files, specify <b>LEA</b></li> <li>• For school files, specify <b>SCH</b></li> </ul>
<b>FILETYPES</b>	=	the 9-character file name abbreviation. (For example, the file name abbreviation for directory Files is DIRECTORY.) See the <i>EDEN Submission System User Guide</i> for a complete list of file name abbreviations. The file name abbreviation is also noted in each file/XML specification in section 3.0
<b>vvvvvvv</b>	=	any combination of up to 7 characters as specified by the SEA (when a file is split into multiple files as discussed in workbook section 7.3.2, this portion of the file name should differentiate among the multiple files)
<b>.ext</b>	=	the file extension as follows: <ul style="list-style-type: none"> <li>• For fixed-format files, specify <b>.txt</b></li> <li>• For comma-delimited files, specify <b>.csv</b></li> <li>• For tab-delimited files, specify <b>.tab</b></li> <li>• For eXtensible Markup Language (XML) files, specify <b>.xml</b></li> </ul>

## Examples

Example of fixed-format SEA directory information file name for the state of Euphoria (EU) using version numbering as the final seven characters:

EUSEADIRECTORYVer0001.txt

Example of comma-delimited LEA directory information file name for the state of Euphoria (EU) using a full date/version combination as the final seven characters:

EULEADIRECTORY110305A.csv

Example of tab-delimited school directory information file name for the state of Euphoria (EU) using a month/day/version combination as the final seven characters:

EUSCHDIRECTORY1213V01.tab

Example of an XML school directory information file name for the state of Euphoria (EU) using the file creator's initials, date and version as the final seven characters:

EUSCHDIRECTORYsk0214a.xml

## 9.5 Non-XML File Description

Sections 4, 5 and/or 6 of the file/XML specifications each describe the layout for a specific file reporting level—SEA, LEA and/or school. All three sections are present when all three file levels are to be reported. Only sections 4 and 5 are present if data are only to be reported for SEA and LEA or for only LEA and school.

For non-XML files, sections 4.1, 5.1 and/or 6.2 define the Header Record layout. Sections 4.2, 6.2 and/or 6.2 define the contents and layout of the data records. Sections 4.3, 5.3 and/or 6.3 show partial example files for their respective file levels.

### 9.5.1 Header Record description

The Header Record is the first record in every non-XML file. The Header Record provides information as to the file type, number of data records in the file, file name, file identifier and file reporting period.

The structure of the Header Record is essentially the same for all files. It is made up of

- **File Type**—Defines the type of file being submitted. This is a text string up to 50 characters long and must match the permitted value specified in the file specification.
- **Record Count**—The total number of records in the data section. Do not count the header record. Because the number of data records must be known to complete this portion of the header record, the header record is often created and added after the data section is created.
- **File Name**—The name of the file uploaded to the ESS, including the file extension. If the file was zipped prior to submission, this should be the uncompressed file name and extension. The file name should follow the file-naming convention defined above. The Transmittal Status Report displays the name contained in the header record, not the external file name. For this reason, it is important that the name stored in the header record match the actual name of the file. Using the same file name in both locations ensures that the file can be readily and correctly identified when technical support is needed. Multiple transmittal files of the same type of file should each have a unique file name.
- **File Identifier**—This is a text string up to 32 characters long that uniquely identifies or describes the file. It can be simply a repeat of the file name, or it can further identify the file for SEA purposes. Additional information might include the creation date, file creator, version number, a brief description of the data on the file, etc. The file identifier is also shown on the Transmittal Status Report page of the ESS. Since this column can be sorted, starting the file identifier with a creator

User ID can make it easy for multiple submitters to locate and track the status of their submissions.

- **File Reporting Period**—This is the academic school year for which the data are being reported. The required format is either “CCYY-CCYY” or CCYY CCYY.” The proper format for the 2009–10 school year would be either “2009-2010” or “2009 2010.”
- **Filler**—The filler field is blank. The purpose of the filler field at the end of the header record is to make it the same overall length as the detail record.

### 9.5.2 Data records description

The data records immediately follow the header records and provide detail data as well as subtotals and totals of education units. Each record appears on its own line in the file, and each ends with a CRLF.

The data section of the file is described in a table. An example is shown below.

Data element name	Start position	Length	Type	Pop	Definition/comments	Permitted values
File record number	1	10	Number	M	A sequential number assigned by the state that is unique to each row entry within the file.	
<b>ID 559</b> FIPS state code	7	2	String	M	The 2-digit Federal Information Processing Standards (FIPS) for the state, District of Columbia and the possessions and freely associated areas of the United States (i.e., Puerto Rico).	For a list of valid FIPS state codes, refer to the EDFacts Workbook.
... (rows omitted)	...	...	...	...	...	...
Table Name	45	20	String	M	The official student enrollment, including students both present and absent, excluding duplicate counts of students within a specific school or students whose membership is reported by another school or LEA.	<b>MEMBER</b>
... (rows omitted)	...	...	...	...	...	...
Sex (membership)	95	15	String	A	The concept describing the biological traits that distinguish the males and	<b>M</b> = Male <b>F</b> = Female <b>MISSING</b>

Data element name	Start position	Length	Type	Pop	Definition/comments	Permitted values
					females of a species.	
... (rows omitted)	...	...	...	...	...	...
Explanation	111	200	String	O	Submitted files will be processed....	
Student count	311	10	Number	M	If the count provided is either a subtotal or a total of an education unit, it must be equal to or greater than the sum of its parts.	
Carriage return/line feed (CRLF)	321	1		M		

The columns in this table are:

- **Data Element Name**—The name of the data in each field
- **Start Position**—For a fixed-format file, the text character position in which the data should begin. In this sample, the file record number starts in character position 1 and ends in character position 6. The FIPS state code must be in character positions 7 and 8. This information is not used for comma- or tab-delimited files.
- **Length**—The maximum number of characters allowed for this field. Many fields will be shorter than the maximum, but the maximum length of a field applies to all files regardless of the type (.txt, .csv, .tab, or .xml).
- **Type**—The type of data, text string or numbers, that will be entered in the field
- **Pop (Population status)**—The population status indicates when the field must be populated. The following population statuses are used:
  - M - Mandatory, this field must always be populated.
  - A - This field is populated in accordance with file specification table 1.2-1.
  - O - Optional, data in this field are optional.
- **Definition/Comments**—The definition of the data group in each field. This information should be used in concert with section 2.0 (Guidance) in the file specification.
- **Permitted values**—The range of values that are allowed for the field. In the example, for this file the Table Name must be the text string “MEMBER.” The category Sex (Membership) can have one of three values: “M,” “F,” “MISSING.”

For every non-XML file except the directory files, the first five fields in the data records are the same. They are:

- **File Record Number**—A number that uniquely identifies each data row in the file submission. Typically these are simply the sequential row number.
- **FIPS State Code**—The two-digit FIPS for the state, District of Columbia and the possessions and freely associated areas of the United States (i.e., Puerto Rico)
- **State Education Agency Number**—The state agency number for all SEAs is “01.”
- **State LEA Identifier**—The identifier assigned to an LEA by the SEA. Also known as State LEA ID. This ID is a required field in LEA- and school-level files. For SEA-level files, a blank filler field is located in this position. An LEA directory record must exist with a matching state LEA ID.
- **State School Identifier**—The identifier assigned to a school by the SEA. Also known as state school identification number. This ID is a required field in school-level files. For SEA- and LEA-level files, a blank filler field is located in this position. A school directory record must exist with a matching SEA, LEA and school ID.

The remaining fields of the data record contain the data specific to the file.

### 9.5.3 Example layouts

Following the data record definition section for each level, the file specifications include partial sample layouts for that level. The fixed format is shown first followed by sample comma-delimited and tab-delimited files.

## 9.6 XML File Descriptions

Sections 4, 5 and/or 6 of the XML specifications each describe the layout for a specific file reporting level—SEA, LEA and/or school.

Each XML document has a FILETRANSMISSION at its root. The FILETRANSMISSION object contains an AGENCY object for each of the education units in the file. For the single data group files, multiple TABLETYPE objects hold each of the data records within the AGENCY object. A CATEGORY object defines each of the category sets for the data record.

Sections 4, 5 and/or 6 have subsections that describe these XML objects, starting with the most internal object and ending with the FILETRANSMISSION object.

Included for each XML object are the following XML characteristics:

- **Element**—name of the XML element tag
- **Attribute**—name of the XML attribute tag
- **Category value**—name of the category
- **Char**—the XML element or attribute characteristic
- **Definition/comments**—definition and additional comments related to formats or other business rules

- Permitted values—the range of values allowed for the field

The Char (characteristics) column in the XML format matrices accepts the following codes:

**Table 9.6-1: EDEN XML Format Codes**

Code	Characteristic
M	Mandatory Element/Attribute
O	Optional
C	Conditionally Required
MR	Mandatory and Repeatable Element
OR	Optional and Repeatable Element
CR	Conditional and Repeatable Element

### 9.6.1 File transmission XML object

Each XML file has a FILETRANSMISSION object at its root. The FILETRANSMISSION object has attributes holding the file type, file ID and school year. These are the same as those in the non-XML header record.

The FILETRANSMISSION object contains AGENCY elements that hold the data for each of the education units in the submission.

### 9.6.2 Agency XML object

The AGENCY objects contain the data for all the education units in the submission. An AGENCY object has attributes for the FIPS state code and state agency number ('01' for all SEAs). For an LEA-level file, the AGENCY object has an attribute for the state LEA ID. For a school-level file, the AGENCY object has an attribute for the state LEA ID and one for the state school ID.

All of the data for an education unit are in elements within the AGENCY object. There is one AGENCY object for each education unit in the file.

If the file is a single data group file, the individual records are stored in TABLETYPE objects. If the file is a multiple data group file, the data are contained in a series of elements and attributes defined specifically for the data groups.

### 9.6.3 Table type XML object

The TABLETYPE object stores the data from the data requirements matrix (table 1.2-1 in section 1.2) for single data group files. It has attributes for the table type and the total indicator flag. The category information is stored in a series of CATEGORY tags with the respective count in an AMOUNT element.

### 9.6.4 Category XML object

The CATEGORY object has two attributes: a TYPE attribute that names the category set and a VALUE attribute to store the category set code value.

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## 10.0 Directory Files

This section describes the directory used in *EDFacts* and the file used to submit directory records. It also discusses changes to the directory. This section is intended to provide a basic outline of the directory in *EDFacts* and does not substitute for reading the directory file/XML specification when building and submitting directory files.

### 10.1 Hierarchy

**Revised!** *EDFacts* maintains a three-tier directory of education units in each of the 50 states, the District of Columbia, Puerto Rico, and the Bureau of Indian Education. The three tiers are, from highest to lowest:

- (1) State Education Agency (SEA)
- (2) Local Education Agency (LEA), referred to as “agency” in NCES’ CCD
- (3) School

In this simplified, three-tier hierarchy, one or more schools are under the jurisdiction of an LEA, and all LEAs in the state are under the jurisdiction of the SEA. In some states, there are schools that do not fit into the EDEN three-tier system because they are not under the jurisdiction of a regular school district. For example, these include state-operated schools, youth facilities and correctional institutions. States can accommodate this by creating a virtual LEA that contains some or all of these additional schools. States should contact the PSC to determine if this solution is appropriate for the state’s specific situation. All uses of virtual LEAs should be documented in the explanation field of the Directory record for the LEA. **New!** Directory data for the outlying areas (i.e., American Samoa, Guam, Northern Marianas and the Virgin Islands, the Freely Associated States (i.e., Republic of Marshall Islands, Federation of Micronesia, Republic of Palau), and Department of Defense schools are collected only at the SEA level.

#### 10.1.1 State education agency (SEA)

An SEA is the agency of the state charged with primary responsibility for coordinating and supervising public elementary and secondary instruction, including the setting of standards for instructional programs. The SEA is the state agency that administers federal grant programs under the *Elementary and Secondary Education Act*.

#### 10.1.2 Local education agency (LEA)

Most LEAs are governmental administrative units at the local level that operate schools or contract for educational services. These units may or may not be coterminous with county, city or town boundaries. In addition to these traditional school districts, LEAs include:

- a) State-operated agencies that provide instruction or educational support services for students in any of grades prekindergarten through 12 or ungraded. This may include, but is not limited to, the SEA; state departments of corrections, health

and human services, juvenile justice and other state agencies; the governor's office; and the State Board of Education. SEAs should not report agencies operated by the Department of Defense Education Authority or the Bureau of Indian Education.

- b) County or city governments that operate schools when these agencies perform the function of an LEA.
- c) Agencies operating schools that provide instruction to grades in addition to prekindergarten through 12 or ungraded. For example, a local authority administering both community colleges and vocational-technical schools that serve students in grades 10 through 12 or a board responsible for laboratory schools in universities.
- d) Agencies administering charter schools—Charter schools under the authority of the school district in which they are situated are reported with that school district. Charter schools administered by some agency other than a school district are reported with that administering agency; for example, State Board of Charter Schools, State Charter School Licensing Authority, Board of Regents, etc.
- e) Separate charter schools—Charter schools that are not under the authority of any agency are reported as their own education agencies because every school in the CCD universe must have an associated education agency. In these instances, the charter school is included in the hierarchy twice: once as an LEA and once as a school.
- f) Agencies that do not operate schools—Report supervisory unions and education service agencies that provide services but do not operate schools. For example, supervisory unions (typically found in New England) provide administrative services for multiple school districts. Education service agencies usually provide administrative, professional development, research and evaluation or data processing services to multiple districts or may employ instructional staff that provides services in multiple districts. An example of this type of agency would be an education service agency that contracts to provide special education teachers and student support staff to several districts. In addition to supervisory unions, Regional Education Service Agencies (RESA) and Boards of Cooperative Education Services (BOCES) fall into this category.
- g) LEAs that “tuition out” their students—Report agencies that are responsible for providing education to students residing within their boundaries, even if the agency sends all of its students to other agencies or to private schools for their education. For example, a small township that finds it more feasible to send its students to a neighboring LEA than to operate schools itself.

- h) Intermediate levels of public agencies that provide education but are not school districts, such as county juvenile detention centers, sheriff's offices, or university lab schools.
- i) Nongovernmental organizations that provide education such as hospitals, residential treatment centers, YMCA, or Easter Seals Society.

The inclusion of LEAs that are not traditional school districts results in directory records for some LEAs that do not report students (e.g., have no membership).

An appendix to the Directory file specification contains a chart that can be used to determine the type of LEA.

### 10.1.3 School

A school (for the purpose of EDFacts) is an institution that provides educational services and:

- Has one or more grade groups (prekindergarten through 12) or is ungraded
- Has one or more teachers
- Is located in one or more buildings
- Has assigned administrator(s)
- Receives public funds as its primary support, and
- Is operated by an education agency

For purposes of this definition, "public funds" include federal, state and local public funds. "Located in a building" does not preclude virtual schools since the administrators and teachers are located in a building somewhere. An "education agency" is not limited to the SEA or LEA, but can include other agencies (e.g., corrections or health and human services) charged with providing public education services. In addition to what is traditionally considered a public school, schools include:

- a) Schools that have grades in addition to prekindergarten through 12 and ungraded, if one or more of grades kindergarten through 12 are included.  
*Example:* Report a Vocational-Technical Center that offers grades 11, 12 and a postsecondary Associate's Degree (sometimes considered grades 13 and 14).  
*Exception:* Do not report postsecondary schools that offer prekindergarten services only. For example, a community college that includes a daycare center should not be reported.
- b) Schools that do not have students and staff because they are temporarily not in operation (but are expected to be in operation within 2 years). *Example:* Report schools that are closed for renovations and future schools. Report schools that have no students simply because there are no students that year (e.g., a "one-room schoolhouse" without students that year).

- 
- c) Schools that do not report students and/or staff because these are included in the data for some other school of record. *Example:* Report a Vocational-Technical Center that serves multiple high schools even if students attending the Vocational-Technical Center are included in the membership counts for these other high schools.
- d) Charter schools. These operate under a public charter with public funds and are public schools. Report charter schools regardless of what agency administers them.
- e) Schools operated by agencies other than an LEA. Schools that fall within the definition of a school should be reported regardless of the agency responsible for them. This includes, but is not limited to, state-operated schools such as those operated by the SEA, corrections, health and human services, juvenile justice, other state agencies, the governor's office or the State Board of Education. *Exception:* Schools under the administration of the Bureau of Indian Education and the U.S. Department of Defense Education Authority (DoDEA) are reported by these agencies. These schools are not reported by the SEA of the state in which the school is located.
- f) Schools that share the same campus or building, if they have separate administrators. *Example:* a single building with a principal for grades prekindergarten through 7 and a principal for grades 8 through 12 would be reported as two schools. Note that cases in which programs are spread across several buildings or campuses are reported as a single school if they are under the direction of a single administrator (principal or equivalent).
- g) Virtual schools. Although students are not physically present, there is a physical facility associated with the transmission of courses and these schools must be reported.

## 10.2 Directory Data

For each education unit, a directory record is maintained that includes:

- Unique identifiers (i.e., name, identification numbers, location),
- Contact information (i.e., addresses, phone number, Web site) and
- Descriptive information (i.e., education type, operational status).

States must submit a complete LEA and school directory each school year. State agency (SEA) information does not need to be submitted each school year. Updates to the state agency directory file can be processed on an as-needed basis.

Appendix C includes a chart showing all the directory data by the level in the hierarchy that reports it. While not a part of the directory, the grades-offered data should be maintained in conjunction with the directory data.

### 10.2.1 Unique identifiers

Each education unit has two IDs: NCES and state identifiers. These IDs are used as the primary identifiers in *EDFacts*. A state ID is always required for an LEA or school. If an NCES ID was assigned in a previous year, that ID is also required or the file will be in error. IDs are string-type and not number-type data elements. *EDFacts* considers “01” and “1” to be different IDs. Therefore, SEA submitters must be careful to maintain leading zeros in IDs.

In addition, the identification numbers are used to link the education units to each other in the hierarchy. For example, the record for a school includes the identification number of the LEA to which the school belongs.

The primary identifiers are used in combination with the education unit name and addresses to identify duplicates. It is imperative that each education unit be included only once in the database.

The directory allows changes to a state ID through the use of a new state identifier and a prior state identifier. *EDFacts* associates the institution to the new state identifier as of the supplied effective date.

Each version of the directory specification identifies the SY to be included in the header. The SY specified in the header of the file will be used to determine which SY the changes and additions are processed against. Regardless of any effective dates specified in the submitted file, a directory file will only affect data for the SY specified in the header. For example, submitting a change using a SY 2007–08 (i.e., version 4.x) directory file will only affect data for SY 2007–08. To make the same change in a different SY requires that the change be submitted in a file specifically for that SY.

### 10.2.2 Contact information

Basic contact information (address, telephone number and Web site) is also included in the directory for each education unit. Both mailing and location addresses are requested. As noted above, addresses are used to identify duplicates. Addresses are also used to obtain locale codes from the U.S. Bureau of the Census.

### 10.2.3 Descriptive data

The directory also includes descriptive data. The most important descriptive data are operational statuses.

- **Operational status**—*EDFacts* provides data for the CCD, including the LEA and school universes for the pertinent school year. A critical field in each universe is the operational status of the schools or districts. There are different permitted values for schools and LEAs.

When states add a school or district, they must report the operational status as “NEW,” “ADDED” or “FUTURE” as appropriate.

Note that inactive, closed, future and shared-time schools are not expected to report students or AYP status.

### 10.2.4 Grades offered

Grades offered is considered part of the directory. For XML files, grades-offered data are submitted with directory data. For non-XML files, grades-offered data are submitted as a separate file (N039). Grades-offered data must exist for any LEA or school that has students enrolled. While it is expected that membership counts will be provided for any grade offered, it is understood that an exact match may not occur in all instances. In some instances, a grade offered may not have membership counts. However, if membership data are submitted for a grade, that grade is expected to exist in the grades offered for that education unit. If an LEA has no students in any grade, only the applicable directory data and a single record for grades offered needs to be submitted to indicate there are no grades offered. Indicate no grades offered using the permitted value "NoGrades." No membership or other student-related data should be submitted for an education unit that has no students.

## 10.3 Directory Files

The directory file/XML specification contains detailed information on submitting directory records. This section summarizes the overall policies for directory files; however, because it is only a summary, consult the Directory file specification for complete instructions on how to submit directory files.

### 10.3.1 School-year specific

Because the directory data are school-year specific, the directory data from SY 2008–09 will not roll over to SY 2009–10. SEAs need to submit all LEAs and schools at the beginning of each school year. To assist you, PSC can provide an extract of your previous school year directory on request.

### 10.3.2 Requirement for directory records

Directory files for LEAs and schools must be submitted before any other file groups are submitted for districts and schools. In addition:

- A school (SCH) directory record will not be accepted until the LEA directory record associated with that school is in the system.
- A membership record (or any other non-directory file) for a school will not be accepted unless a record for that school (SCH) exists in the directory file.
- When supervisory unions are reported, a new supervisory union must be submitted and processed in one file, and the institutions that are part of that supervisory union must be submitted in a subsequent file.

Since acceptance of all other files is dependent upon having complete directory data for every education unit, the SEA should confirm that all directory data are complete and accurate before continuing with other types of file submissions.

### 10.3.3 Closing of LEAs and schools

LEAs and schools are not deleted from the SY directory when they close. Instead, the operational status changes from OPEN to CLOSED through the directory file. LEAs and

schools that close need to be submitted as CLOSED only once either during or at the beginning of a school year. The LEA or school may be closed mid-year by a directory submission, and no additional record needs to be submitted for that school or LEA in subsequent school years.

For example, a school that starts SY 2009–10 as open closes permanently in February 2010. The state should submit a SY 2009–10 directory record for that school with an updated status and effective date. If the LEA or school is not closing permanently, but is expected to reopen in the future, the status should be Inactive.

#### **10.3.4 Changing the directory for a prior year**

Each year NCES “locks” the directory for the CCD collection. While SEAs can make changes to the directory in ESS after the directory is “locked” for CCD, those changes will not affect CCD and could have unanticipated consequences. As a result, SEAs need to inform PSC in advance of making changes to a prior year directory. If you want to better understand the impact of your prior year submission update, contact PSC.

#### **10.3.5 Duplicate LEAs and schools**

The following are leading causes of duplicate LEAs and schools:

- Adding or removing leading zeros in state IDs and NCES IDs—Please be careful when you submit IDs with leading zeros.
- Submitting an incorrect NCES ID with an updated state ID—Please validate IDs.

## 11.0 Metadata

Metadata are items of information collected to explain other data and are essential for the analysis and reporting of certain data in *EDFacts*. ED uses the *EDFacts Metadata and Process System (EMAPS)* to collect metadata. For example, to report state assessment data accurately, ED needs metadata to crosswalk how state performance levels map to the proficiency levels used for accountability.

The *EMAPS* metadata collections in production as of January 1, 2010 are:

- GFSA Supplemental Questions
- Racial/Ethnic Data Reporting
- State Submission Plans
- Academic Achievement Levels
- State Supplemental Survey

## 12.0 Transformations of Legacy Collections

This section describes current status of the of legacy collections transformations into *EDFacts*.

### 12.1 Non-Fiscal Common Core of Data (CCD)

*EDFacts* collects the CCD non-fiscal data, generates new NCES IDs, and conducts automated match and edit checks for CCD data. *EDFacts* forwards all CCD data submitted by the states to NCES to continue creating the public CCD files and other publications.

#### 12.1.1 Process for Submitting CCD Non-Fiscal Files

The following is the process for SY 2009–10 and future school years.

- SEAs submit *EDFacts* files according to the submission calendar.
- SEAs begin by submitting the directory file. *EDFacts* will assign NCES IDs to new education units. *EDFacts* will also apply the edits related to the directory data. The results of these edits are displayed on the match report. SEAs must fix all errors on these reports before *EDFacts* produces the State, Agency, and School Edit report, which include the results of the edits on non-directory data.
- Once the match reports are cleared, *EDFacts* produces the edit reports. Edits that rely on prior-year data use the SY 2008–09 *EDFacts* data. If the final data for SY 2008–09 were changed by NCES at the state’s request instead of the SEA resubmitting the data through *EDFacts*, the data used in the year-to-year comparison will not be the CCD’s final data. Data are not “pushed” back from NCES into *EDFacts*.
- Match reports and edits for the early files must be finished by May 2010. Edits for the remaining files must be finished by February 2011.
- SEAs (both *EDFacts* and CCD coordinators) should contact the *EDFacts* PSC with any questions or concerns about the directory process or with suggestions for improvements.

### 12.2 Consolidated State Performance Report (CSPR)

ED collects the CSPR through a Web-based submission tool that shares an opening Web page with ESS. While most of the CSPR is answered using data from ESS, there are a number of narrative and a few numeric questions that will require manual input by the state.

### 12.3 *Individuals with Disabilities Education Act (IDEA) Section 618 Reporting*

ED is continuing the transformation of the Section 618 data collection from the previous legacy system (DANS) to *EDFacts*. ED is collecting metadata related to the *IDEA*

collections that inform data reviewers about data that are not applicable to a specific state. The data in ESS are transferred to DANS for the Office of Special Education Programs (OSEP) analyses and monitoring purposes. OSEP may contact your state for clarification of data accuracy even after your data have been successfully submitted through ESS.

A majority of states are already approved to submit *IDEA* data exclusively through *EDFacts*. See section 5.3.18 for the list of data groups and files submitted for this legacy collection.

The SY 2009–10 SEA and LEA data reporting deadlines are:

February 1, 2010—Child count (Table 1) & Educational environments (Table 3)

November 1, 2010—Exiting (Table 4)  
—Staffing (Table 2)  
—Discipline (Table 5)

February 1, 2011—Assessment (Table 6)

States unable to submit all required data elements (e.g., LEP status) cannot participate in the congruency analyses process and will be unable to become *EDFacts*-only for the particular *IDEA* submission.

States are also required to submit Annual Performance Report (APR) data to OSEP, under Section 616 of *IDEA*. A few of the performance indicators required to be reported in the APR are also contained in the Section 618 collections (i.e., participation and performance of children with disabilities (*IDEA*) on statewide assessments, educational environments for early childhood age (preschool)). The analyses of APR data are used by OSEP in determining a state's implementation of *IDEA*. Of particular relevance is Performance Indicator 20 which requires "state reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate".

*IDEA* data edits are included in the ESS to the maximum extent possible.

## 12.4 *Gun-Free Schools Act Report*

ED has also transitioned the *Gun Free Schools Act (GFSA)* data collection to *EDFacts*. The *GFSA* collection collects statistical data about gun incidents and about reporting by LEAs and schools to the SEA on gun incidents that can be submitted through *EDFacts*. See section 5.3.15 for a list of the data groups and files submitted for this legacy collection.

In addition, there are questions that require text responses, which are collected using *EMAPS*.

## 12.5 Charter School Program Reporting

SEAs can receive grants from the Department to establish charter schools. SEAs report to the Department through the CSP Awards Database the name, state and NCES identification numbers and addresses of charter schools that receive subgrants under this program. EDFacts is then used by the Program Office to obtain the demographic and reporting data for those schools for reports to Congress and others.

To ensure accurate data, SEAs will be sent a report on the tracing of the schools from the CSP Awards Database to EDFacts. SEAs will need to reconcile any operational schools reported in the CSP Awards Database that were not traced to EDFacts.

## 12.6 Career and Technical Education (CTE)

ED is also in the process of transitioning the secondary portion of the CTE data required to be reported in the CAR under the *Carl D. Perkins Act*. Under the *Perkins Act*, SEAs are required to submit data on both secondary students engaged in CTE and postsecondary students. See section 5.3.19 for the list of data groups and files submitted for this legacy collection.

## 13.0 Data Usage

This section describes several data collections that use data submitted by SEAs through the ESS in addition to the legacy collections transitioned to *EDFacts* mentioned in Section 12. Because ESS data are used by these data collections, *EDFacts* Coordinators are sometimes asked to explain *EDFacts* to LEAs. For more information about any of these collections, contact PSC.

### 13.1 Migrant Student Exchange System (MSIX)

MSIX is the technology that allows states to share educational and health information about migrant children who travel from state to state and who, as a result, have student records in multiple states' information systems. Because the directory data in *EDFacts* is the Department's master reference of LEAs and schools, these data are used in MSIX. The directory data cannot be updated through MSIX. Updates to the directory data on LEAs and schools must be updated in *EDFacts* and then transferred to MSIX.

### 13.2 Electronic Application System for Indian Education (EASIE)

EASIE is an annual ancillary *EDFacts* data collection that allows LEAs, tribes, and Bureau of Indian Education schools to apply for funds under the Title VII Indian Education Formula Grant Program. LEA enrollment is prepopulated with data submitted through the ESS. In addition, when available, proficiency data for Indian students and for all students on state assessments and graduation rate data are also prepopulated from ESS data. Applicants can revise the prepopulated data in EASIE, but these revisions do not affect ESS data. To be useful in EASIE, state enrollment (membership) data need to be in ESS by mid-December, and proficiency data need to be in ESS by mid-March. Note, these EASIE usage dates are past the *EDFacts* due dates for the data because EASIE uses prior year data for the prepopulation (e.g., in SY 2009-10, EASIE collects applications for SY 2010-11 formula grants, using SY 2008-09 ESS data).

### 13.3 Civil Rights Data Collection (CRDC)

The Civil Rights Data Collection (CRDC) is a biennial survey of a sample of LEAs that gathers data on key education and civil rights issues in our nation's public schools. This survey is usually completed by LEAs, but states can elect to submit the data for their LEAs. The sample is drawn from the CCD data, which were collected via *EDFacts*. These CCD/*EDFacts* data are used to prepopulate the school and district directory data in the CRDC. Through an Advance Web Site (AWS), LEAs are allowed to make updates/corrections to the directory data in the CRDC (necessary because CRDC uses directory data that are about 18 months old). These changes do **NOT** roll back into *EDFacts* or CCD. Following the AWS directory update, the survey is conducted in two parts; Part 1 focuses on enrollment and placement data and Part 2 focuses on results and cumulative school year data.

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## Appendix A: EDFacts Data Framework

This appendix provides an overview of the EDFacts data framework.

The data framework is a conceptual model that is used to define the data requirements for EDFacts. It is the means for describing the data to be collected through EDFacts during the paperwork clearance process. The data framework is also the means to describe data available in EDFacts for analysis and reporting. To help you understand the data framework, this document illustrates the structure, categorization and data exchange of the data group “Membership Table.”

### Structure

A data group is a specific aggregation (i.e., group) of related data that are stored in EDFacts to satisfy the specific information need of one or more ED Program Offices. Information on the structures of data groups is available in the data framework in ESS and in the EDFacts Data Set Viewer.

Every data group has a name, identification number, definition, permitted value or format, reporting period and reporting levels. The basic components of an example data group are

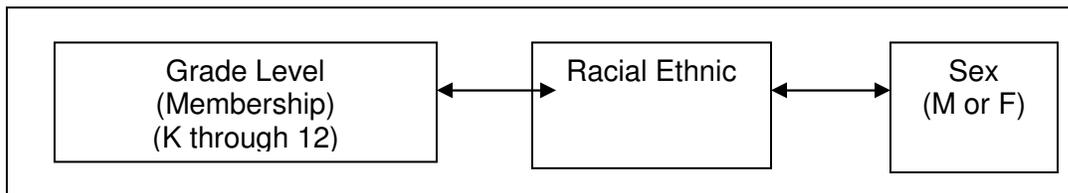
- **Name**—Membership Table
- **ID**—#39
- **Definition**—The official unduplicated student enrollment, including students both present and absent, excluding duplicate counts of students within a specific school or local education agency or students whose membership is reported by another school or LEA
- **Permitted Value or Format**—Integer
- **Reporting Period**—October 1
- **Levels**—State, LEA and school

Some data groups, like the example above, also have category sets. A category set is the grouping that an SEA or other data supplier uses to aggregate data before sending the data to EDFacts. The example data group includes a category set consisting of racial ethnic, sex (membership) and grade level (membership). The category set is illustrated by the following table:

### Membership by Racial Ethnic, by Sex (Membership), and by Grade Level (Membership)

Grade Levels	American Indian/Alaskan Native - Male	American Indian/Alaskan Native - Female	Asian or Pacific Islander - Male	Asian or Pacific Islander - Female	Black (not Hispanic) - Male	Black (not Hispanic) - Female	Hispanic - Male	Hispanic - Female	White (not Hispanic) - Male	White (not Hispanic) - Female
K	XXXX	XXXX	XXXX	XXXX	XXXX	XXXX	XXXX	XXXX	XXXX	XXXX
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										

The category set concept can also be illustrated by the following diagram.



Each grade level (K through 12) is reported by each racial ethnic group at the same time by each sex (male and female). The result if all grade levels are used is 130 numbers (13 grade level permitted values \* 5 racial ethnic permitted values \* 2 sex permitted values).

The Membership Table also includes the following subtotals:

- Subtotal 1— Racial Ethnic, Grade Level (Membership)
- Subtotal 2— Sex (Membership), Grade Level (Membership)
- Subtotal 3—Racial Ethnic, Sex (Membership)
- Subtotal 4—Grade Level (Membership)

The following tables illustrate the concept behind subtotal 1 by “Racial Ethnic. Grade Level (Membership)”. Subtotal 1 combines the columns indicated in the diagram below:

**Subtotal 1 by Racial Ethnic, Grade Level  
(Membership)**

Grade Levels	American Indian/Alaskan Native - Male	American Indian/Alaskan Native - Female	Asian or Pacific Islander - Male	Asian or Pacific Islander - Female	Black (not Hispanic) - Male	Black (not Hispanic) - Female	Hispanic - Male	Hispanic - Female	White (not Hispanic) - Male	White (not Hispanic) - Female
K	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										

The combined columns create the gray columns below. The gray columns below are subtotal 1. (AM = American Indian/Alaska Native, AS = Asian or Pacific Islander, M = Male, and F = Female).

**Subtotal – Grade Level (Membership), Racial Ethnic**

Grade Level	AM M	AM F	Total AM	AS M	AS F	Total AS	
K							
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							

The Membership Table Data Group also includes a total of an education unit. The total of an education unit is the gray box illustrated by the following diagram.

**Grand Total - Membership**

Grade Level	Racial/Ethnic By Sex								Total
Total									<b>Grand Total</b>

### Categorization

Data categorization is done by sorting or grouping the data groups by similarities in content. Each data group is classified in three different ways: subject, scope and type. The data group Membership Table is categorized as

- Subject—Student Groups
- Scope—All Students
- Type—Background

The data framework includes all three different categorizations. The EDFacts Data Set Viewer includes only the subject categorization. The subject categorizations are directory, education unit, finance, program, staff, student, survey and online collection.

### Data Exchange

Data are transmitted from the data supplier to ED using either the EDEN Submission System (ESS) or the EDFacts Metadata and Process System (EMAPS). The ESS is used by SEAs to submit data. The data for the Membership Table is available in all SEAs; therefore, this data group is collected using the ESS. Since the Membership Table is a table structure data group, it has its own file: Membership, X/N052. The file specifications are available through the ESS or through the EDFacts Web site—[www.ed.gov/edfacts](http://www.ed.gov/edfacts).

## Summary

Below is how the Membership Table appears in the OMB package for clearance. This presentation is similar to how it appears in the data framework and the EDFacts Data Set Viewer.

---

### Data Group Membership Table

**ID:** 39

**Section:** Student

**Reporting period:** October 1

**Definition** The official unduplicated student enrollment, including students both present and absent, excluding duplicate counts of students within a specific school or local education agency or students whose membership is reported by another school or LEA.

**Permitted Value or format:** Integer

**Category A** Race/Ethnicity, Sex (Membership), Grade Level (Membership)

**Category B**

**Category C**

**Category D**

**Category E**

**Category F**

**Subtotal 1** Racial Ethnic, Grade Level (Membership)

**Subtotal 2** Sex (Membership), Grade Level (Membership)

**Subtotal 3** Racial Ethnic, Sex (Membership)

**Subtotal 4** Grade Level (Membership)

**Steward:** NCES

**Comment:**

**Grand Total:**

**Privacy:**

**State Defined:**

[Reporting Level](#)

**School:**

**District/LEA:**

**State/SEA:**

---

The box “privacy” is checked when data are collected about students or staff that could result in small cell sizes, requiring suppression to maintain individual privacy when EDFacts reports the data. The box “state defined” is checked when the data definition is dependent on a state definition.

## Appendix B: EDFacts Glossary

**Table B-1 EDFacts Glossary of Terms and Acronyms**

Term	Description
AMAO	Annual Measurable Achievement Objective
AYP	Adequate Yearly Progress
Category	In the Data Framework and file/XML specifications, the breakouts or dimensions in data group tables (i.e., Sex, Grade Level).
Category set	A valid combination of Categories that can be reported for a Table. The Category Set defines the lowest level value of a table (a cell). For example, in the Membership Table, the category set is race/ethnicity, sex and grade level. The lowest level value for the Membership Table is the number of students for an education unit belonging to one racial/ethnic group, of male or female sex and in a specific grade (i.e., the number of third-grade Asian females).
CCD	Common Core of Data collected by the National Center for Education Statistics (NCES)
DANS	Office of Special Education Program's Data Analysis System
Data collection	Process used by the U.S. Department of Education for collecting data from state education agencies (SEAs).
Data element	One specific piece of data to be included in the submission (otherwise known as a variable or field in other types of data collections).
Data group	A specific aggregation (i.e., a group) of related data that are stored in EDFacts to satisfy the specific information need of one or more ED Program Offices. A data group can be a single data element such as AYP status or a table of data such as the children with disabilities exiting special education tables. Both represent a conceptual piece of information.
Data record	Detailed information, in a specified order and format, for an education unit.
Data topic	In the Data Framework, a categorization of data groups that describes what type of data are represented (i.e., student, staff, program, directory).
Data staging database	Located in the EDEN Submission System where files are received for reasonability edits and explanation review by ED.
EDFacts	A collaborative effort among the U.S. Department of Education, state education agencies and industry partners to centralize state-reported K-12 educational performance data into one federally coordinated, data repository located in the U.S. Department of Education.
EDFacts Coordinator	Official SEA contact for EDFacts and EDEN Submission System. This person is responsible for ensuring that the files are submitted, that errors are corrected and that files are approved for submission to the Data Repository; serves as the SEA contact person for completing the state Submission Plan.
EDEN	Education Data Exchange Network, a centralized, coordinated repository of state-reported, K-12, educational data residing at the U.S. Department of Education
ESEA	Elementary and Secondary Education Act of 1965, as amended

Term	Description
Edit	Often referred to as a business rule. An indication of a problem in the format or contents of a file. EDFacts includes Format, Validation and Reasonability edits.
Education unit	Education entity such as SEA, LEA, or school.
Education unit level	Tier in the education hierarchy—school, LEA, or SEA level.
Error type	Category of error (format or validation error) in the data file that prevents complete transmission of the file.
File	See Transmittal (file).
File extension	Ending portion of a file name that denotes the format used for this file (.txt, .tab, .csv, or .xml). Although .zip files may be submitted, when the file is unzipped it must create a file with one of the four permitted file extensions.
File format	One of four acceptable formats for submission of files. They include fixed length, comma-delimited, tab-delimited and XML.
File identifier	A 32-character string, including any combination of standard characters that is used to further identify a transmittal file.
File level	state = SEA, local education agency (including school districts and supervisory unions) = LEA, school = SCH
File/XML specification	A document that outlines the files, record layout and data elements in the record layouts.
FIPS	Federal Information Processing Standards; standards and guidelines developed by the National Institute of Standards and Technology (NIST) for federal computer systems. The list of FIPS State Codes is provided in Appendix C.
Format error	A significant error in the format of the file requiring correction and resubmission by the SEA before the data are processed.
GFSA	Gun-Free Schools Act
Header record	Required for every file, the first record in every file. A header record provides file type, file name, file identifier and file reporting period.
IDEA	Individuals with Disabilities Education Act
LEA	Local education agency
LEP	Limited English proficient, also known as English language learner
MEP	Migrant Education Program
NCES	National Center for Education Statistics
NCLB	<i>No Child Left Behind Act</i> of 2001. The name given to the <i>Elementary and Secondary Education Act</i> of 1965, as amended ( <i>ESEA</i> when it was reauthorized in 2001).
NIST	National Institute of Standards and Technology, a non-regulatory federal agency within the U.S. Commerce Department's Technology Administration. NIST's mission is to develop and promote measurement, standards and technology to enhance productivity, facilitate trade and improve the quality of life.
OMB	U.S. Office of Management and Budget—the approval authority for all data collections; administers and enforces the <i>Paperwork Reduction Act</i> of 1995.

Term	Description
Permitted values	The valid values for a data element.
REAP	Rural Education Achievement Program
Record	Row within a fixed, comma-delimited, or tab-delimited file. This term does not relate to XML files.
Record layout	Description of the specific data elements and the order of elements per row within a flat file.
Reporting period	The specific date or period of time for which data are reported.
SEA	State education agency
SEA submitter(s)	Person(s) the SEA has approved to submit files and access the secure part of the EDEN Portal. Each submitter receives a personal USER ID and PASSWORD from ED.
Schema	A format specification for an XML file. Some schemas may be used for multiple transmittal files.
Start position	For the fixed-file format only, the starting position within the row of the element.
Steward	The Principal Office within ED that has the primary responsibility for the data group.
Submission	A set of related data belonging to only one education unit (i.e., one school or one LEA), for one school year and for one file. For example, Membership data for a single school for the school year 2007–08, or current year status data for an LEA for the school year 2008–09.
SWP	School-wide program for Title I
TAS	Targeted Assistance Schools for Title I
Transmission	The process of transferring a file from the SEA to the EDEN System.
Transmittal (file)	A physical file of data to be transferred. A transmittal file may consist of one or many submissions for a given Education Unit Level (i.e., more than one school). Large files may be broken into subparts for transmittal, if preferred by the submitter.
Transmittal status report	“Real time” display of the status of every file sent to the EDEN Submission System from the Data Receipt and Processing System through to the Data Repository.
Validation error	Significant error in the data quality of the file requiring correction and resubmission by the SEA before the data are processed.
Warning	Possible error in data quality requiring an explanation and/or correction by the SEA before further processing.
XML	Extensible Markup Language, a universal format for preparing and posting documents and data to the Web. Allows users to be more flexible and accurate in describing information. Also used for passing information between computing systems, which are otherwise unable to communicate.

## Appendix C: EDFacts Directory Data Groups

Table C-1 Directory Data Groups by Level and Content

	SEA		LEA		School	
	DG Name		DG Name		DG Name	
<b>Unique Identifiers</b>	559	FIPS State Code	559	FIPS State Code	559	FIPS State Code
	7	Education Entity Name	7	Education Entity Name	7	Education Entity Name
	6	DUNS Number*	6	DUNS Number*		
	570	State Agency Number				
			551	Supervisory Union Identifier		
			4	LEA Identifier (State)	4	LEA Identifier (State)
					5	School Identifier (State)
			1	LEA Identifier (NCES)	1	LEA Identifier (NCES)
<b>Contact information</b>					529	School Identifier (NCES)
	9	Address Location	9	Address Location	9	Address Location
	8	Address Mailing	8	Address Mailing	8	Address Mailing
	10	Telephone - Education Entity	10	Telephone - Education Entity	10	Telephone - Education Entity
	11	Web Site Address	11	Web Site Address	11	Web Site Address
	458	Chief State School Officer Contact Information				
<b>Descriptive information</b>			12	FIPS County Code*	12	FIPS County Code*
			572	County Name*	572	County Name*
			16	LEA Operational Status	531	School Operational Status
			453	Education Agency Type	21	School Type
			17	Locale*	17	Locale*
			18	Grades Offered	18	Grades Offered
			14	Geographic Location*	14	Geographic Location*
			13	Congressional District Number*	13	Congressional District Number*
			27	Charter Status	27	Charter Status
			582	Title 1 District Status*		
		669	Out of State Indicator	669	Out of State Indicator	

\* ED plans to obtain these data groups from sources other than the SEA.

## Appendix D: Crosswalk of CCD Data Items to EDFacts Data Groups

Below is a list of the specific files that need to be submitted to EDFacts for CCD.

For the SEA level, the following files need to be submitted:

- N/X029—Directory
- N/X052—Membership
- N/X059—Staff FTE
- N/X040—Graduates/Completers
- N/X032—Dropouts

**Table D-1 EDFacts Files for CCD State Non-Fiscal File**

CCD State Non-Fiscal File					
CCD field name	CCD field position	CCD field description	EDFacts data group	EDFacts file specification	EDFacts file schedule
SEANAME	001 - 060	Name of State Education Agency	7 - Education Entity Name (SEA)	N/X029—Directory	Early
MSTREET	061 - 120	Mailing Address (3 lines)	8 - Address Mailing (SEA Street portion)	N/X029 – Directory	Early
MCITY	121 - 150	City	8 - Address Mailing (SEA City portion)	N/X029 – Directory	Early
MZIP	151 - 155	ZIP Code (5 Digit)	8 - Address Mailing (SEA Zip Code portion)	N/X029 – Directory	Early
MZIP4	156 - 159	ZIP + 4 Code	8 - Address Mailing (SEA Zip Code Plus 4 portion)	N/X029 – Directory	Early
LSTREET	160 - 250	Location Address (3 lines)	9 – Address Location (SEA Street portion)	N/X029 – Directory	Early
LCITY	251 - 280	Location City	9 – Address Location (SEA City portion)	N/X029 – Directory	Early
LZIP	281 – 285	Location ZIP Code (5 Digit)	9 – Address Location (SEA Zip Code portion)	N/X029 – Directory	Early
LZIP4	286 - 289	Location ZIP +4 Code	9 – Address Location (SEA Zip Code Plus 4 portion)	N/X029 – Directory	Early
PHONE	290 - 299	Telephone Number	10 - Telephone – Education Entity (SEA)	N/X029 – Directory	Early
WEBSITE	300 - 379	SEA Web Site	11 – SEA Web Site Address	N/X029 – Directory	Early
PKTCH - UGTCH	380 - 409	Teachers	528 - Staff FTE Table	N/X059 – Staff FTE	Early
TOTTCH	410 - 415	Total FTE Teachers	Derived from 528 - Staff FTE Table	N/X059 – Staff FTE	Early

CCD State Non-Fiscal File					
CCD field name	CCD field position	CCD field description	EDFacts data group	EDFacts file specification	EDFacts file schedule
AIDES - OTHSUP	416 - 493	Staff	528 - Staff FTE Table	N/X059 – Staff FTE	Early
TOTGUI	(440 - 445)	Total Guidance Counselors	Derived from 528 - Staff FTE Table	N/X059 – Staff FTE	Early
TOTPK - MRALF	494 - 2413	Students by Grade, Race/Ethnicity, and Sex	39 - Membership Table	N/X052 – Membership	Early
REGDIP - MRDIP	2414 - 2479	Diploma Recipients (Total and by Race/Ethnicity)	Derived from 306 - Graduates/Completers Tables	N/X040 – Graduates/Completers	Close-out
OTHCOM - WHOHC	2480 - 2543	Other High School Completers (Total and by Race/Ethnicity)	Derived from 306 - Graduates/Completers Tables	N/X040 – Graduates/Completers	Close-out
TOTD07 - MRDUGF	2544 - 3383	Dropouts by Grade, Race/Ethnicity, and Sex	326 - Dropouts Tables	N/X032 – Dropouts	Close-out

For the LEA level, the following files need to be submitted:

- N/X029 – Directory
- N039 – Grades Offered (these data are in X029 for XML submitters)
- N/X002 – Children with Disabilities (*IDEA*) - School Age
- N/X089 – Children with Disabilities (*IDEA*) - Early Childhood
- N/X052 – Membership
- N/X059 – Staff FTE
- N/X046 – LEP Students in LEP Program
- N/X032 – Dropouts
- N/X040 – Graduates/Completers
- N/X122 – MEP Students - Eligible and Served Summer / Intersession

**Table D-2 EDFacts Files for CCD Agency Non-Fiscal File**

CCD field name	CCD field position	CCD field description	EDFacts data group	EDFacts file specification	EDFacts file schedule
LEAID	001 - 007	NCES Education Agency ID	1 - LEA Identifier (NCES)	N/X029 – Directory	Early
STID	008 - 021	State Education Agency ID	4 - LEA Identifier (State)	N/X029 – Directory	Early
PRIORSTID	022 – 035	Prior State Education Agency ID	4 – Prior LEA Identifier (State)	N/X029 – Directory	Early
NAME	036 - 095	Name of Education Agency	7 - Education Entity Name (LEA)	N/X029 – Directory	Early

PHONE	096 - 105	Telephone Number (Area Code and Phone Number)	10 - Telephone – Education Entity (LEA)	N/X029 – Directory	Early
MSTREE	106 - 195	Mailing Address – Street (3 lines)	8 - Address Mailing (LEA Street portion)	N/X029 – Directory	Early
MCITY	196 - 225	Mailing Address – City	8 - Address Mailing (LEA City portion)	N/X029 – Directory	Early
MSTATE	226 - 227	Mailing Address - State (P.O. Abbreviation)	8 - Address Mailing (LEA USPS State Abbreviation portion)	N/X029 – Directory	Early
MZIP	228 - 232	Mailing Address - ZIP (digits 1 thru 5)	8 - Address Mailing (LEA Zip Code portion)	N/X029 – Directory	Early
MZIP4	233 - 236	Mailing Address – ZIP4 (digits 6 thru 9)	8 - Address Mailing (LEA Zip Plus 4 portion)	N/X029 – Directory	Early
LSTREE	237 - 326	Physical Location Address – Street (3 lines)	9 - Address Location (LEA Street Portion)	N/X029 – Directory	Early
LCITY	327 - 356	Physical Location Address - City	9 - Address Location (LEA City Portion)	N/X029 – Directory	Early
LSTATE	357 - 358	Physical Location Address - State (P.O. Abbreviation)	9 - Address Location (LEA USPS State Abbreviation portion)	N/X029 – Directory	Early
LZIP	359 - 363	Physical Location Address - ZIP (digits 1 thru 5)	9 - Address Location (LEA ZIP code portion)	N/X029 – Directory	Early
LZIP4	364 - 367	Physical Location Address - ZIP4 (digits 6 thru 9)	9 - Address Location (LEA Zip Plus 4 portion)	N/X029 – Directory	Early
WEBSITE	368 - 447	LEA Web Site	11 – LEA Web Site Address	N/X029 – Directory	Early
AGTYP	448 - 448	Education Agency Type Code	453 - Educational Agency Type	N/X029 – Directory	Early
SUPRUNION	449 - 451	Supervisory Union ID Number	551 - Supervisory Union Identification Number	N/X029 – Directory	Early
BOUND	452 - 452	Operational Status Code	16 - LEA Operational Status	N/X029 – Directory	Early
GSLO	453 - 454	Grade Span Offered - Lowest grade	Derived from 18 - Grades Offered	X029 – Directory N039 – Grades Offered	Early
GSHI	455 - 456	Grade Span Offered - Highest Grade	Derived from 18 - Grades Offered	X029 – Directory N039 – Grades Offered	Early
UG	457 - 463	Ungraded Students	39 - Membership Table	N/X052 – Membership	Early
PK12	464 - 470	PK-12 Students	Derived from 39 - Membership Table	N/X052 – Membership	Early

MIGRNT	471 - 477	Migrant Students Served in a Summer Program	635 - MEP Students Eligible and Served Summer/Intersession Table	N/X122 – MEP Students – Eligible and Served Summer / Intersession	Close-out
SPECED	478 - 484	Special Education - Individual Education Program (IEP)	Derived from 74 - Children with Disabilities ( <i>IDEA</i> ) School-Age Tables and 613 - Children with Disabilities ( <i>IDEA</i> ) Early Childhood Tables	N/X002 – Children with Disabilities ( <i>IDEA</i> ) – School Age N/X089 – Children with Disabilities ( <i>IDEA</i> ) – Early Childhood	Early
ELL	485 - 491	English Language Learner	123 - LEP Students in LEP Program Table	N/X046 – Students in LEP Program	Middle
PKTCH-UGTCH	492 - 531	Teachers	528 - Staff FTE Table	N/X059 – Staff FTE	Early
TOTTCH	532 - 539	Total FTE Teachers	Derived from 528 - Staff FTE Table	N/X059 – Staff FTE	Early
AIDES-OTHSUP	540 - 643	Staff	528 - Staff FTE Table	N/X059 – Staff FTE	Early
TOTDPL	644 - 649	Total Diploma Recipients	Derived from 306 - Graduates/ Completers Tables	N/X040 – Graduates/ Completers	Close-out
AMDPLM-WHDPLU	650 - 733	Diploma Recipients by Race/Ethnicity and Sex	306 - Graduates/ Completers Tables	N/X040 – Graduates/ Completers	Close-out
TOTOHC	734 - 739	Total Other High School Completers	Derived from 306 - Graduates/ Completers Tables	N/X040 – Graduates/ Completers	Close-out
AMOHCM-MROCHF	740 - 823	Other High School Completers by Race/ Ethnicity and Sex	306 - Graduates/ Completers Tables	N/X040 – Graduates/ Completers	Close-out
TOTD07-MRDUGF	824 - 1453	Dropouts by Grade, Race/Ethnicity, and Sex	326 - Dropouts Tables	N/X032 – Dropouts	Close-out

For the school level, the following files need to be submitted:

- N/X029 – Directory
- N039 – Grades Offered (these data are in X029 for XML submitters)
- N/X129 – CCD School
- N/X052 – Membership
- N/X033 – Free and Reduced Price Lunch

- N/X132 – School End of SY Status

Table D-3 EDFacts Files for CCD School Non-Fiscal File

CCD field name	CCD field position	CCD field description	EDFacts data group	EDFacts file specification	EDFacts file schedule
LEAID	0001 - 0007	NCES Education Agency ID	1 - LEA Identifier (LEA)	N/X029 – Directory	Early
STID	0008 - 0021	State Education Agency ID	4 - LEA Identifier (State)	N/X029 – Directory	Early
PRIORSTID	0022 -	Prior State Education Agency ID	4 - LEA Identifier (State)	N/X029 – Directory	Early
SCHNO	0022 - 0035	NCES School ID	529 - School Identifier (NCES)	N/X029 – Directory	Early
SEASCH	0036 – 0049	State School ID	5 – School Identifier (State)	N/X029 – Directory	Early
PRIORSEASCH	0050 – 0063	Prior State School ID	5 – School Identifier (State)	N/X029 – Directory	Early
LEANM	0064 - 0123	Name of Education Agency	7 - Education Entity Name (LEA)	N/X029 – Directory (LEA file)	Early
SCHNAM	0124 - 0173	Name of School	7 - Education Entity Name (School)	N/X029 – Directory	Early
PHONE	0174 - 0183	Telephone Number (Area Code and Phone Number)	10 - Telephone – Education Entity (School)	N/X029 – Directory	Early
MSTREE	0184 - 0273	Mailing Address - Street	8 - Address Mailing (School Street portion – 3 lines)	N/X029 – Directory	Early
MCITY	0274 - 0303	Mailing Address - City	8 - Address Mailing (School City portion)	N/X029 – Directory	Early
MSTATE	0304 - 0305	Mailing Address - State (P.O. Abbreviation)	8 - Address Mailing (School USPS State Abbreviation portion)	N/X029 – Directory	Early
MZIP	0306 - 0310	Mailing Address - ZIP (digits 1 thru 5)	8 - Address Mailing (School ZIP Code portion)	N/X029 – Directory	Early
MZIP4	0311 - 0314	Mailing Address - ZIP4 (digits 6 thru 9)	8 - Address Mailing (School ZIP Plus 4 portion)	N/X029 – Directory	Early
LSTREE	0315 - 0404	Physical Location Address - Street	9 - Address Location (School Street portion – 3 lines)	N/X029 – Directory	Early
LCITY	0405 - 0434	Physical Location Address - City	9 - Address Location (School City portion)	N/X029 – Directory	Early
LSTATE	0435 - 0436	Physical Location Address - State (P.O. Abbreviation)	9 - Address Location (School USPS State Abbreviation portion)	N/X029 – Directory	Early
LZIP	0437 - 0441	Physical Location Address - ZIP (digits 1 thru 5)	9 - Address Location (School ZIP Code portion)	N/X029 – Directory	Early

LZIP4	0442 – 0445	Physical Location Address – ZIP4 (digits 6 thru 9)	9 – Address Location (School ZIP Plus 4 portion)	N/X029 – Directory	Early
WEBSITE	0446 - 0525	School Web Site Address	11- School Web Site Address	N/X029 – Directory	Early
SCHTYP	0526 – 0526	School Type Code	21 - School Type	N/X029 – Directory	Early
STATUS	0527 - 0527	Operational Status Code	531 - School Operational Status	N/X029 – Directory	Early
GSLO	0528 - 0529	Grade Span Offered - Lowest grade	Derived from 18 - Grades Offered	X029 – Directory N039 – Grades Offered	Early
GSHI	0530 - 0531	Grade Span Offered - Highest grade	Derived from 18 - Grades Offered	X029 – Directory N039 – Grades Offered	Early
TITLEISTAT	0532 - 0546	Title I School Status	22 - Title I School Status	N/X129 – CCD School	Early
TITLEI	0547 - 0547	Title I Eligible School	22 - Title I School Status	N/X129 – CCD School	Early
STITLI	0548 - 0548	School-wide Title I	22 - Title I School Status	N/X129 – CCD School	Early
MAGNET	0549 - 0549	Magnet School	24 - Magnet Status	N/X129 – CCD School	Early
CHARTR	0550 - 0550	Charter School	27 - Charter Status	N/X029 – Directory	Early
SHARED	0551 - 0551	Shared Time	573 - Shared Time Status	N/X129 – CCD School	Early
FTE	0552 - 0558	Classroom Teachers	644 - Teachers (FTE)	N/X129 – CCD School	Early
FRELCH	0559 - 0562	Free Lunch Eligible Students	565 - Free and Reduced Price Lunch Table	N/X033 – Free and Reduced Price Lunch	Early
REDLCH	0563 - 0566	Reduced-Price Lunch Eligible Students	565 - Free and Reduced Price Lunch Table	N/X033 – Free and Reduced Price Lunch	Early
FLE	0567 - 0570	Total of Free and Reduced-Price Lunch Eligible	565 - Free and Reduced Price Lunch Table	N/X033 – Free and Reduced Price Lunch	Early
MIGRNT	0571 - 0574	Migrant Students Enrolled in Previous Year	110 - Migrant Students Eligible Regular School Year	N/X132 – School End of SY Status	End
TOTPK- MRALF	0575 – 1774	Students by Grade, Race / Ethnicity, and by Sex	39 - Membership	N/X052 – Membership	Early

## Appendix E: State Abbreviations and FIPS Codes

This appendix defines the state abbreviations and the Federal Information Processing Standard (FIPS) codes (01-78).

**Table E-1: State Abbreviations and FIPS Codes**

State name	FIPS	State abbreviation
ALABAMA	01	AL
ALASKA	02	AK
ARIZONA	04	AZ
ARKANSAS	05	AR
CALIFORNIA	06	CA
COLORADO	08	CO
CONNECTICUT	09	CT
DELAWARE	10	DE
DISTRICT OF COLUMBIA	11	DC
FLORIDA	12	FL
GEORGIA	13	GA
HAWAII	15	HI
IDAHO	16	ID
ILLINOIS	17	IL
INDIANA	18	IN
IOWA	19	IA
KANSAS	20	KS
KENTUCKY	21	KY
LOUISIANA	22	LA
MAINE	23	ME
MARYLAND	24	MD
MASSACHUSETTS	25	MA
MICHIGAN	26	MI
MINNESOTA	27	MN
MISSISSIPPI	28	MS
MISSOURI	29	MO
MONTANA	30	MT
NEBRASKA	31	NE
NEVADA	32	NV
NEW HAMPSHIRE	33	NH
NEW JERSEY	34	NJ
NEW MEXICO	35	NM

State name	FIPS	State abbreviation
NEW YORK	36	NY
NORTH CAROLINA	37	NC
NORTH DAKOTA	38	ND
OHIO	39	OH
OKLAHOMA	40	OK
OREGON	41	OR
PENNSYLVANIA	42	PA
RHODE ISLAND	44	RI
SOUTH CAROLINA	45	SC
SOUTH DAKOTA	46	SD
TENNESSEE	47	TN
TEXAS	48	TX
UTAH	49	UT
VERMONT	50	VT
VIRGINIA	51	VA
WASHINGTON	53	WA
WEST VIRGINIA	54	WV
WISCONSIN	55	WI
WYOMING	56	WY
AMERICAN SAMOA	60	AS
BUREAU OF INDIAN AFFAIRS	59	BI <sup>10</sup>
DOD DOMESTIC	61	DD <sup>10</sup>
DOD OVERSEAS	58	DO <sup>10</sup>
GUAM	66	GU
MARSHALL ISLANDS	68	MH
MICRONESIA	64	FM
NORTHERN MARIANAS	69	MP
PUERTO RICO	72	PR
REPUBLIC OF PALAU	70	PW
VIRGIN ISLANDS	78	VI

<sup>10</sup> Not official U.S. Postal State Abbreviations. The state abbreviations for the Department of Defense (overseas) schools are AA, AE, and AP to indicate schools located in Asia, Europe, and the Pacific, respectively. For Department of Defense (domestic) schools and Bureau of Indian Education schools, state abbreviations correspond to the state in which the school is located.

## Appendix F: Introduction to XML

XML stands for eXtensible Markup Language and is becoming the preferred format for exchanging data between disparate data systems.

XML documents look similar to HTML documents—the HyperText Markup Language upon which the World Wide Web is constructed. Both documents consist of data that have been “tagged.”

Unlike HTML, XML is designed to describe the structure and semantics of the data, not its formatting. While HTML has predefined tags, XML does not.

Listed below is a sample of XML:

```
<?xml version="1.0" ?>
<note>
  <to>Jane</to>
  <from>Doug</from>
  <topic status="hot">Reminder</topic>
  <message>Don't forget the Membership files are
  due next week</message>
</note>
```

The first line is the **XML declaration**. It is an optional line stating what version of XML is in use (normally version 1.0) and may also contain information about character encoding and external dependencies.

The remainder of the sample consists of nested *elements*, some of which have *attributes* and *content*. An **element** typically consists of two tags, a *start tag* and an *end tag*, possibly surrounding text and other elements. The **start tag** consists of a name surrounded by angle brackets, like "<from>"; the **end tag** consists of the same name surrounded by angle brackets, but with a forward slash preceding the name, like "</from>". Element names are case-sensitive.

In addition to content, an element can contain **attributes**—name-value pairs included in the start tag after the element name. Attribute values must always be quoted, using single or double quotes, and each attribute name should appear only once in any element. In the example, the *topic* element has one attribute *status*, which has a value of “hot.”

The element's **content** is everything that appears between the start tag and the end tag. The content of the *to* element is just the text “Jane” while the contents of the *note* element are the four elements *to*, *from*, *topic* and *message*.

XML requires that elements be properly nested—both the start and ending tags for an element must be between the start and ending tags of its containing element. It is an error to start one element, start a second element, and then end the first before ending the second.

XML provides special syntax for representing an element with empty content. Such an element may only have attributes. Instead of writing a start tag followed immediately by an end tag, a document may contain the **empty element tag** where a slash *follows* the element name. The following two examples are functionally equivalent:

```
<CATEGORY TYPE="SEX" VALUE="M"></CATEGORY>
<CATEGORY TYPE="SEX" VALUE="M" />
```

Every XML document must have exactly one top-level root element. In the example, *note* is the root element.

There are two levels of "Correctness" for XML documents: the document is well-formed, and it is valid.

An XML document is **well-formed** if it follows the rules listed above.

An XML document can, in addition, be **valid** if it has data that conform to a particular set of user-defined content rules. These rules are defined in an XML schema document.

An XML schema for our example could specify that a *note* element must contain a *to* element, a *from* element, a *topic* element and a *message* element in that order.

Rearranging the order or deleting one of the elements would be an error.

The XML schema can define what the options are for the status attribute, maybe only "hot," "warm," "cool" or "cold." A *status* value of anything else would be an error.



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