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ED*Facts* Workbook SY 2011-12

Version 8.4

October 2012

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Version Number	Date	Summary of Change
1.0 - 7.0		Versions 1.0 through 7.0 are used to build files for school years prior to SY 2011-12.
8.0	November 2011	Initial version for SY 2011-12: • 1.5.2 – Add PSC support page as a resource • 2.0 – Update data submission calendar by school year • 4.2 – Revise explanation for disability status categories • 4.3 – Revise explanation for LEP status categories • 4.5 – Update disability categories for Rosa's Law • 5.1 – Update major changes • 5.2 – Revise initial files for this school year based on the implementation schedule for ESS • 5.3 – Revise files used for IDEA table 6 Assessment • 5.3.1 – Add table of changes for IDEA child count and environment data • 5.4.1 – Add explanation of changes to accountability data • 5.4.2 – Add for changes to the assessment files • 5.4.4 – Add for changes to the AMAO data groups • 5.4.5 – Add for population in CSPR of homeless enrolled data • 5.5 – Revise tip on CTE files with data from a previous school year and add changes to the CTE files • 5.6 – Add information on new status file • 5.8 – Add change of removal of collection of data on other devices • 5.9 – Add new file for SFSF indicators • 5.12 – Update for changes in files • 8.0 – Revise for new combination file specification
8.1	March 2012	Updated version for SY 2011-2012: • Updated version number, dates (throughout) • Updated information on the ED*Facts* Calendar no longer containing due dates

Version Number	Date	Summary of Change
		• Deleted all references to Education Technology files. These will not be collected for SY 2011-12. • Updated information on SFSF and SIG reporting in Section 5
8.3	August 2012	Update version for SY 2011-12: • Updated changes for Assessment files – FAY Status removed from Science participation and achievement files.
8.4	October 2012	Updated section 5.5 for SY 2011-12 and removed references to SY 2010-11 updates.

Preface

ED*Facts* is a U.S. Department of Education (ED) initiative to govern, acquire, validate, and use high-quality, kindergarten through grade 12 (K–12) performance data for education planning, policymaking, and management and budget decision making to improve outcomes for students. ED*Facts* centralizes data provided by SEAs, LEAs and schools, and provides users with the ability to easily analyze and report data. This initiative has significantly reduced the reporting burden for state and local data producers, and has streamlined data collection, analysis and reporting functions at the federal, state and local levels.

The *EDFacts Workbook SY 2011-12* is a reference guide to using the ED*Facts* Submission System (ESS) to submit data for school year (SY) 2011-12. States report data to ED using ESS. Data submitted through the ESS is authorized by an Annual Mandatory Collection of Elementary and Secondary Education Data Through ED*Facts* (OMB 1875-0240, expires 9/30/2013).

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1.0 INTRODUCTION

1.1 Purpose

This document provides information on how to submit files through the ED*Facts* Submission System (ESS) into ED*Facts* for school year 2011-12. This document assumes a basic understanding of the ED*Facts* data framework. An explanation of the ED*Facts* data framework is found in appendix A, while a glossary of ED*Facts* 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. ED*Facts* System Documentation is described in detail in Section 1.5.1 of this document and can be found on the ED*Facts* Initiative page of ED.gov

1.2 EDFacts Collection

The Office of Management and Budget (OMB) approved the "Annual Mandatory Collection of Elementary and Secondary Education Data for ED*Facts*" for School Years 2010-11, 2011-12, and 2012-13. This data collection activity is approved until September 30, 2013, under OMB Control Number 1875-0240. The total data approved for collection by ED*Facts* includes:

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

ED*Facts* does not collect individual student- or staff-level information. All information provided to ED*Facts* 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 ED*Facts*, 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 ED*Facts* Coordinator and is the official SEA contact for the ED*Facts* team. ED recommends the following knowledge, skills, abilities and responsibilities for each state's ED*Facts* Coordinator.

Knowledge, Skills and Abilities

ED*Facts* Coordinators should be 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 ED*Facts* 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

ED*Facts* Coordinators are critical to the success of ED*Facts*. As reflected by the wide range of skills required for the assignment, the responsibilities of ED*Facts* 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 ED*Facts* 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 ED*Facts* 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 ED*Facts* 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 ED*Facts* users: ESS Submitters, ESS Reviewers and ED*Facts* Reporting System Users. Each SEA can have one or more users of the ESS, and generally only two users of the ED*Facts* 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 sub-application 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 sub-application. 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.

ED*Facts* Reporting System User—This user can access the ED*Facts* Reporting System. The ED*Facts* Reporting System contains reports on the status of submissions through ESS, data submitted through the CSPR tool and data submitted through ESS.

The ED*Facts* Coordinator approves users for the ESS and ED*Facts* Reporting systems. Additional ED*Facts* 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 ED*Facts* Web site

The following documents are available on the ED*Facts* Web site—http://www.ed.gov/edfacts.

ED*Facts* **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.

ED*Facts* **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.

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

ED*Facts* Calendar— This document provides an overview of important dates by month. The calendar is updated monthly.

SY 2011-12 File Due Dates – This Excel spreadsheet is a schedule of file submission due dates for the 2011-2012 school year. File due dates are no longer included in the ED*Facts* Calendar.

ED*Facts* 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). 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. PSC also distributes weekly broadcasts that include submission reminders and additional guidance support.

PSC Support Page - The PSC maintains a support page on the ED*Facts* Web site (http://www2.ed.gov/about/inits/ed/edfacts/support.html) that includes a self-service portal to access information on tickets opened with PSC, a support knowledgebase, and copies of PSC webinars.

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

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.

ED*Facts* Data Set Viewer—The ED*Facts* Data Set Viewer is a customized Access database that allows users to review data groups and categories for SY 2011-12. The ED*Facts* Data Set Viewer is also available through the ED*Facts* Reporting System and on the PSC Support Page.

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 ED*Facts* Coordinators to staff at SEAs. ED also maintains a listserv at edfacts@lyris.dundee.net.ED*Facts* 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 2011-12

The ED*Facts* Submission System will open in December 2011.
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 2010-11 to the SEA directory data.

A due dates list for SY 2011-12 is available with the ED*Facts* System Documentation resources on the ED*Facts* Web site.

By mid-January 2012, SEAs will need to complete their submission plan for SY 2011-12 in E*MAPS*, and update the plan as needed throughout the year.

2.2 ESS Files for SY 2010-11

The final reporting for SY 2010-11 overlaps with the start of reporting for SY 2011-12. SEAs should follow their SY 2010-11 submission plans to complete reporting for SY 2010-11.

The due date for N/X035 for SY 2010-11 will be June 1, 2013.

2.3 ESS Files for SY 2008-09 and SY 2009-10

The due date for N/X035 for SY 2009-10 is June 1, 2012. The due date for N/X035 for SY 2008-09 was June 1, 2011.

While the remaining due dates for SY 2008-09 and SY 2009-10 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 Submission Status Timeliness and Completeness Report (LEAD015) in the ED*Facts* Reporting System.

2.4 ESS Files for School Years prior to SY 2008-09

ESS is closed for school years prior to SY 2008-09. If a state needs to submit data for a school year prior to SY 2008-09, 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 ED*Facts* (1875-0240). The failure to submit ED*Facts* data constitutes a failure to comply substantially with the law applicable to the funds provided by the federal government.

3.2 Guidance—Reporting on Race and Ethnicity Data

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

The 7 RE permitted values are listed below:

- American Indian or Alaskan Native
- Asian
- Black or African American
- Hispanic/Latino
- Native Hawaiian or Other Pacific Islander
- White
- Two or more races

3.3 Guidance—Reporting on Data on Major Racial and Ethnic Groups

Under Title I of the ESEA, as amended by the No Child Left Behind (NCLB) Act, States determine through their Consolidated State Application Accountability Workbook (also

referred to as the State Accountability Plan) their major racial and ethnic groups for determining adequate yearly progress.

Below is the list of data groups that collect accountability and assessment data by major racial and ethnic groups:

- 552 AMO reading/language arts status table
- 553 Reading/language arts participation status table
- 554 AMO mathematics status table
- 555 Mathematics participation status table
- 557 High school graduation rate indicator status table
- 563 Graduation rate table
- 583 Academic achievement in mathematics table
- 584 Academic achievement in reading/language arts table
- 585 Academic achievement in science table
- 588 Assessment participation in mathematics table
- 589 Assessment participation in reading/language arts table
- 590 Assessment participation in science table
- 695 Graduation rate four year adjusted cohort table
- 696 Cohorts for graduation in four years table
- 697 Graduation rate extended year adjusted cohort table
- 698 Cohorts for graduation under extended time table

Below is the list of major racial and ethnic groups. States will use whichever permitted values best align with the major racial and ethnic groups used to determine adequate yearly progress as outlined in their State Accountability Plan.

- White (not Hispanic) or Caucasian
- Black (not Hispanic) or African American
- Hispanic / Latino
- Hispanic (not Puerto Rican)
- Puerto Rican
- Asian
- Asian / Pacific Islander
- American Indian / Alaska Native or Native American
- Multicultural or Multiethnic or Multiracial
- Filipino
- Native Hawaiian / Other Pacific Islander or Pacific Islander

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

SEAs are required to report data on the major racial and ethnic groups, as defined by the State. Some students in the State may not be included in a major racial and ethnic

group. Therefore, the data by major racial and ethnic groups in the assessment file will not necessarily equal the total number of students. For this reason, ESS will not include edit checks comparing the total to the aggregation of the number of students reported by the major racial and ethnic groups.

4.0 STANDARD DATA DEFINITIONS

As part of the drive to streamline data collections across the Department, ED*Facts* has standardized several definitions used through the ED*Facts* 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 ED*Facts.*

4.1 Career and Technical Education (CTE) Concentrators

Some files collect data on career and technical education (CTE) concentrators. When used in ED*Facts* 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 ED*Facts*, children with disabilities (*IDEA*) are generally defined as:

> *Children having intellectual disability; 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*

Program (IEP), Individualized Family Service Plan (IFSP), or a services plan. [1]

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.

In addition, the files differ on how students are aggregated by disability status. The category name indicates how the students are aggregated:

- 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 category "disability status (accountability) includes students in the subgroup "children with disabilities (IDEA)" 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 ED*Facts*, 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

[1] Definition adapted from PL 108-446, Section 602(3), 34 C.F.R. Part 300.8(a)(1).

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

(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.[2]

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.

In addition, the files differ on how students are aggregated by LEP status. The category name indicates how the students are aggregated:

- 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.
- The category "LEP status (accountability) 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.
- The category "LEP status (RLA) includes students met the definition above and are not excluded because they have attended schools in the U.S. fewer than 12 months.

[2] Definition adapted from PL 107-110, Title IX, Part A(25).

4.4 Migrant

Some files collect data on migrant students. Below are the definitions used for the data collected in ED*Facts*.

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.* [3]

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.

[3] Definition adapted from PL 107-110, Title I, Part C and 34 C.F.R 200.31.

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.

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.

Intellectual disability—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., intellectual disability-blindness, intellectual disability -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 intellectual disability, 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 2011-12 FILES

The purpose of this section is to assist you in planning your submissions for SY 2011-12. This section provides overall guidance. It does not substitute for the more detailed guidance in the file specifications and business rule guide. It also does not substitute for the information on files required and due dates found in the calendar and the state submission plan.

This section explains changes from SY 2010-11 and highlights the major relationships among files. The first part of this section summarizes the major changes from last year. Subsequent sections cover specific sets of files organized as follows:

- Initial file submissions
- IDEA files
- Files used for the Consolidated State Performance Report
- Files used for Perkins and Career and Technical Education
- Status files
- Technology
- SIG and SFSF
- Graduates, completers and dropouts
- Other files

The final section is a list of all the files with an index to which section contains information about that file. The files covered in a section are also listed in the beginning of the section either in a bulleted list or a table.

Throughout this section, changes and submission tips are highlighted in boxes as follows:

New for SY 2011-12 – See file specification for details

File	Change
### - Name	Summary of the change from SY 2010-11

TIP! – These are suggestions about submitting the files.

To make this section easier to read, the file numbers are listed without the "N/X" that normally precedes the file number.

5.1 Updated! Major Changes

This subsection lists the major changes from SY 2010-11. It is not all inclusive. SEA submitters need to review section 2.1 of each file specification for specific information about the changes from last year.

Assessment files
For SY 2011-12, the ED*Facts* assessment files are consolidated, resulting in the following changes:

- Files 003 and 093 have been discontinued.
- Files 075, 078, and 079 are renumbered as 175, 178, and 179.
- File 081 (participation) is split into three files (one file per data group) and numbered as 185, 188, and 189.
- The category "Assessment Administered" is added to the following files for all category sets and subtotals: 175, 178, and 179.
- The category "Participation Status" has been changed to incorporate data on the assessment administered.
- The category "Full Academic Year Status" has been removed from the Science achievement and participation files (files 179 and 189).

Homeless students
A new status file (170) and data group (754) are added in order to identify LEAs that receive McKinney-Vento subgrants. This will allow the data from the file Homeless Student Enrolled (118) to populate the CSPR Part I.

IDEA
The transitional permitted value for the category "Educational Environment (IDEA) EC" is removed for 089 CWD (IDEA) Early Childhood, and the new permitted values must be used. In the categories "Disability Category (IDEA)" and "Disability Category (IDEA) Exiting," the permitted value "Mental retardation" is replaced with "Intellectual disability." (Note that the code used in the records for that permitted value does not change.)

Perkins
Secondary level data on placement for the Perkins indicators must be submitted through ED*Facts*.

Title III
The permitted value "too few students" is added to the AMAO data groups in file 103.

5.2 Initial file submissions

ESS opens in December for the submission of the following files:

File	File Name	Used primarily for
029	Directory	CCD and all collections
039	Grades offered	CCD
002	Children with disabilities (IDEA) – School age	CCD, IDEA legacy collections, and CRDC
089	Children with disabilities (IDEA) – Early Childhood	CCD and IDEA legacy collections
033	Free Reduced Price Lunch	CCD

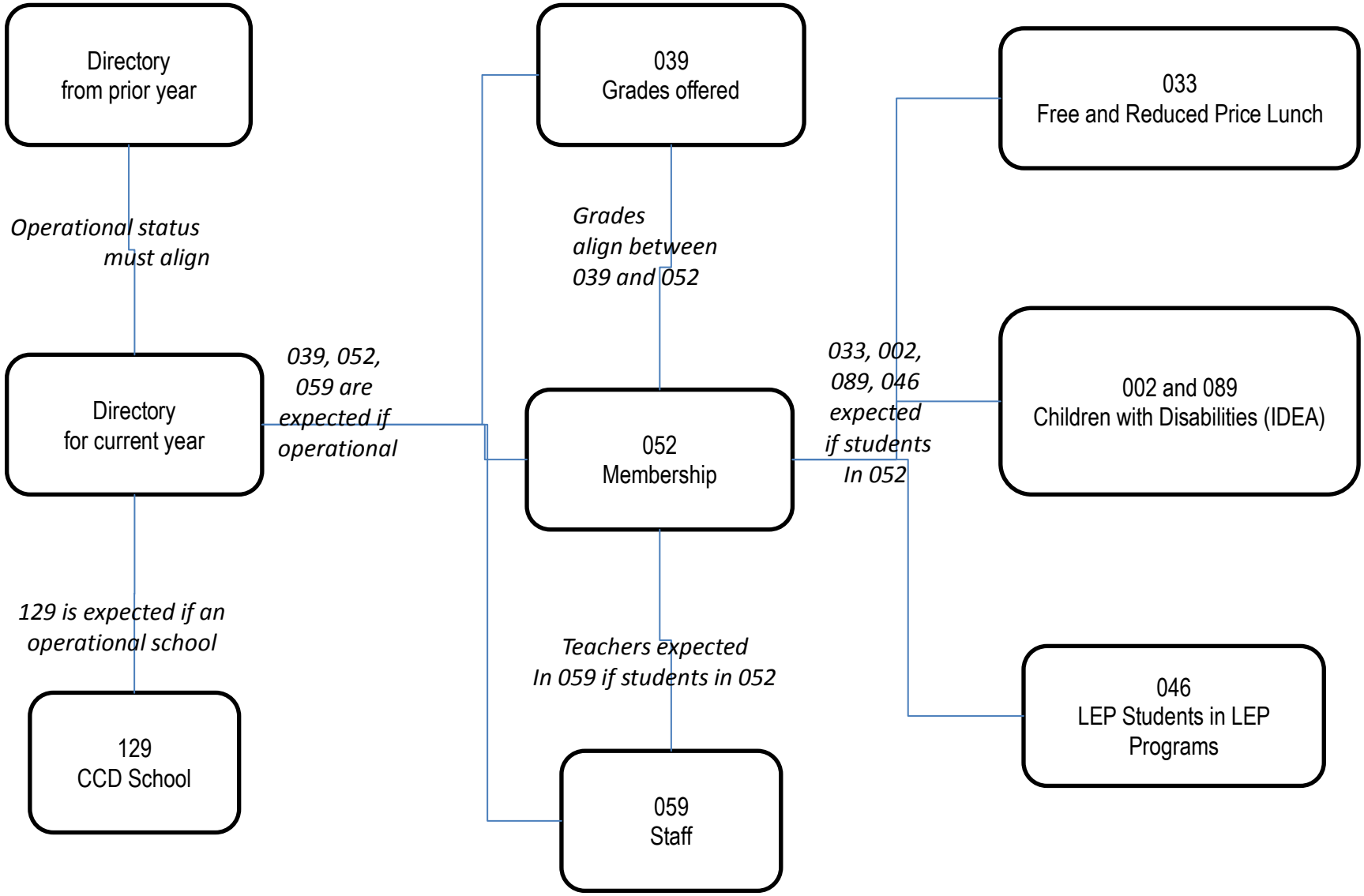
The directory file should be submitted first. Next, you may need to focus on 002 and 089 because of the February due date for the IDEA child count and education environment data.

In early March, ESS will be enabled to accept the following files:

File	File Name	Used primarily for
046	LEP Students in LEP programs	CCD and monitoring of programs for LEP students and CRDC
052	Membership	CCD
059	Staff	CCD
129	CCD School	CCD and Title I program monitoring
130	ESEA Status	Accountability monitoring

There are many business rules that impact these files. While not all inclusive, the diagram below illustrates important relationships among these files that are enforced through the business rules.

Figure – Relationships among initial files



First column in the diagram
As illustrated in the diagram, the operational status reported for LEAs and schools in the directory for the current year must align with the operational statuses in the directory from the prior year. Appendix C "Assigning Operational Status" in the Directory file specification explains how operational statuses align between years.

If a school is operational (operational status of open, new, added, reopened, or changed agency) then 129 CCD School is expected.

Second column in the diagram
If an LEA or a school is operational, then 039 Grades Offered, 052 Membership, and 059 Staff are expected. The grades reported in 039 Grades Offered need to align with the grades used in 052 Membership. If students are reported in 052, then teachers are expected to be reported in 059 Staff.

Third column in the diagram
If an LEA or school reports students in 052 Membership, then 033 Free and Reduced Price Lunch, 002 and 089 Children with Disabilities (IDEA) and 046 LEP Students in LEP Programs are expected.

TIP! Most of the files in the initial file submission are used for statistical purposes; therefore, in addition to requiring zeros at the SEA level, many of these files also have zero requirements at the LEA and school levels.

5.3 IDEA Files

The IDEA files provide data for the following six legacy Section 618 tables:

Table #	Table Name	Short name	OMB #
1	Report of Children with Disabilities Receiving Special Education Under Part B of the *Individuals with Disabilities Education Act*	Child Count	1820-0043
2	Personnel Employed to Provide Special Education and Related Services for Children with Disabilities	Personnel	1820-0518
3	*Individuals with Disabilities Education Act* Implementation of FAPE Requirements	FAPE	1820-0517
4	Report of Children with Disabilities Exiting Special Education During the School Year	Exiting	1820-0521
5	Report of Children with Disabilities Subject to Disciplinary Removal	Discipline	1820-0621
6	Report of the Participation and Performance of Students with Disabilities on State Assessments by Content Area, Grade and Type of Assessment	Assessment	1820-0659

SEAs that are "ED*Facts*-only" submit data for these tables exclusively through ED*Facts*. SEAs that are not "ED*Facts*-only" must submit data to both ED*Facts* and DANS until such time as these data are congruent.

The table below crosswalks the ED*Facts* files to the legacy collection tables. Detailed crosswalks are included in the appendix to the file specifications.

Table	Table #	Files	Due dates
Child count	1	002 089	First Wed in Feb
Education environment	3	002 089	First Wed in Feb
Staffing	2	070 099 112	First Wed in Nov
Exiting	4	009	First Wed in Nov
Discipline	5	005 006 007 088 143 144	First Wed in Nov
Assessment	6	185 004 188 146	With CSPR Part I in Dec

In ED*Facts*, the data submitted for child counts and education environments are combined in the same files.

5.3.1 Child Count and Educational Environment

As noted under the section "initial file submissions," these files (002 and 089) are linked to 052 Membership.

In addition to the business rules that enforce relationships to 052, these files have business rules to ensure that the category set, subtotals and total of the education unit align. The data for each category (age, educational environment, etc) is aggregated for the category sets and compared to the data reported in the subtotal for that category.

> For example, category set A of 002 Children with disabilities (IDEA) school age is data by disability category (IDEA), racial ethnic, and sex (membership). The data submitted for category set A is aggregated by disability category (IDEA) and compared to subtotal 3 which are data by disability category (IDEA). Likewise, the data for category set A are aggregated by racial ethnic and compared to subtotal 4. Finally, the data for category set A are aggregated by sex (membership) and compared to subtotal 1.

TIP! The aggregation of the category sets equals the subtotals, for example:

- Category set A aggregated by disability category (IDEA) = Subtotal 3
- Category set A aggregated by racial ethnic = Subtotal 4
- Category set A aggregated by sex (membership) = Subtotal 1

In addition, the total number of students reported in each category, subtotal and for the total of the education unit should equal.

TIP! The aggregation of the category sets equals the subtotals and the total of the education unit.

Zeros are required at the SEA level. However, some permitted values are not applicable to every state. Before submitting the file, check which permitted values are applicable to your state.

TIP! Make sure that the permitted values used in 002 and 089 align with the responses to the E*MAPS* survey.

New for SY 2011-12 – See file specifications for details

File	Change
089	Educational environment (EC) data must be reported by the new permitted values.

5.3.2 Personnel

If an LEA reported students in 002 and 089, the LEA is expected to report data in the personnel files (070, 099, and 112).

TIP! Make sure that the permitted values used in 099 align with the responses to the E*MAPS* survey.

5.3.3 Exiting

If an LEA reported students in 002 and 089, the LEA is expected to report data in the exiting file (009).

This file has business rules similar to 002 and 089, that is, the data reported in the category sets, subtotals, and total of the education unit must align.

5.3.4 Discipline

These files interrelate. Some of the files collect counts of students while other files collect counts of removals

Files with counts of children with disabilities (IDEA)

File	Related files
088 – Disciplinary removals	• The students reported in this file are also reported in either 006 or 005 or both. • The removals of these students are reported in 143.
006 – Suspensions/Expulsions	• These students are also reported in 088. • If the expulsion meets the definition, these students are also reported in 144.
005 – Removal to interim alternative educational settings	• These students are also reported in 088. • The reasons for the removals are reported in 007.

Files with counts of removals

File	Related files
007 – Reasons for unilateral removals	These data are the reasons the students reported in 005 were removed to an interim alternative educational setting.
143 – Total disciplinary removals	These data are the total number of removals for the students reported in 088.

In addition, the following file contains data on students who were expelled. The data are aggregated by whether the students were children with disabilities (IDEA) or not and by whether the students received educational services during the expulsion:

- 144 Educational services during expulsion

These files have business rules similar to 002 and 089, that is, the data reported in the category sets, subtotals, and total of the education unit must align.

5.3.5 Assessment

The academic achievement and participation data for students with disabilities (IDEA) was merged into the file specifications used to report academic achievement and participation in assessments for all students. The IDEA specific assessment files are:

- 004 Children with disabilities (IDEA) not participating in assessments
- 146 Children with disabilities (IDEA) alternate assessment caps

5.4 Files used for the Consolidated State Performance Report

The CSPR is collected in two parts. Part I uses ED*Facts* files that contain data on:

Area	Changes	Section
Accountability data	There have been some changes, see below for details	5.4.1

Area	Changes	Section
Assessment data	Major changes, see below for details	5.4.2
Classes taught by highly qualified teachers	No changes, see below for reporting tips	5.4.3
Limited English proficiency and Title III	There have been some changes, see below for details	5.4.4
Public School Choice and Supplemental Educational Services	No changes, see below for reporting tips	5.4.5
Title X – Education for Homeless Children and Your Program	There have been changes, see below for details	5.4.6

Part II uses ED*Facts* files that contain data on:

Area	Changes	Section
Title I, Part A	No major changes, see below for reporting tips	5.4.7
Title I, Part C – Migrant Education Program (MEP)	No major changes, see below for reporting tips	5.4.8
Title I, Part D, Subpart 1 and 2 – Programs for Neglected or Delinquent	No major changes, see below for reporting tips	5.4.9

After the CSPR for SY 2011-12 is finalized, a crosswalk and detailed data key will be available.

5.4.1 Accountability

Accountability data are reported in the following files:

File #	File Name	Used to populate CSPR?
103	Accountability	Yes
106	Elementary/Middle Additional Indicator	Yes
107	High School Graduation Rate Indicator	Yes
108	Mathematics Participation Status	Yes
109	AMO Mathematics Status	Yes
110	Reading/Language Arts Participation Status	Yes
111	AMO Reading/Language Arts Status	Yes
130	ESEA Status	No
131	School End of SY Status – DG for School Improvement	Yes
152	Corrective Actions	Yes
153	Restructuring Actions	Yes

New for SY 2011-12
Data submitted for 106-111 will be used to populate data in 1.4.4.1 and 1.4.5.1 of the CSPR. The submission of data by categories sets in 107 High School Graduation Rate Indicator is mandatory.

5.4.2 Revised! Assessment

The following files are used to report the overall data on the statewide assessments:

175 Academic Achievement in Mathematics
178 Academic Achievement in Reading (Language Arts)
179 Academic Achievement in Science
185 Assessment Participation in Mathematics
188 Assessment Participation in Reading (Language Arts)
189 Assessment Participation in Science

The following files also include data from the statewide assessments:

File #	File Name	Used for
004	Children with Disabilities (IDEA) Not Participating in Assessments	IDEA Section 618 Table 6
126	Title III Former LEP Students	CSPR Title III
142	CTE Concentrators Academic Achievement	Perkins
146	Children with Disabilities (IDEA) Alternate Assessment Caps	IDEA Section 618 Table 6
159	Average Scale Scores	SIG

New for SY 2011-12 see file specifications for detail

File	Change
175	Changed from “075 – Academic Achievement in Mathematics” to “175 - Academic Achievement in Mathematics””
178	Changed from “078 – Academic Achievement in Reading/Language Arts” to “178 - Academic Achievement in Reading/Language Arts”
179	• Changed from “079 – Academic Achievement in Science” to “179 – Academic Achievement in Science” • Category set “Full Academic Year Status” removed
185	Changed from “081 – Participation in Assessments” to “185 – Participation in Mathematics Assessments”
188	Changed from “081 – Participation in Assessments” to “188 – Participation in Reading/Language Arts Assessments”
189	Changed from “081 – Participation in Assessments” to “189 – Participation in Science Assessments”; Category set “Full Academic Year Status”

	removed

5.4.3 Classes taught by highly qualified teachers

Data on classes taught by highly qualified teachers are reported in:

063 Teacher Quality in Elementary Classes
064 Teacher Quality in Core Secondary Classes

As explained in the file specifications, data on classes taught by highly qualified teachers are reported differently at the school level than at the SEA and LEA levels. Data at the SEA and LEA level are reported based on whether the class is designated as elementary or secondary. Data at the school level are reported based on whether the school where the class is held is designed as elementary or secondary. The sum of the classes reported at each level is expected to align.

- The sum of 063 plus 064 for all levels should align.
- The sum of 063 for SEA and LEA should align.
- The sum of 064 for SEA and LEA should align.

Because school level data are reported differently, the sum of either 063 or 064 at the school level will not align with the SEA and LEA levels.

5.4.4 Limited English Proficient and Title III

Data are collected on limited English proficient (LEP) students and Title III in the following areas:

Area	Files	Changes
Counts of LEP students	046 141	No major changes
Annual English language assessment	050 137 138 139	No major changes
Students served by Title III programs	116	No major changes
Title III monitored former LEP students	126	No major changes
Title III teachers	067	No major changes
Title III AMAO	103	Change to permitted values, see below for details
Immigrants	045	No major changes

Counts of LEP students
There are two counts of LEP students

File	LEP Students included	Timeframe

046	LEP students in LEP programs	Oct 1
141	LEP students enrolled in elementary or secondary schools	School year

Annual English language assessment
Data are collected on the number of students assessed and the results of the assessment. Data are collected on for all LEP students and for students served by Title III.

	Participation	Results
All LEP	137	139
Title III	138	050

New for SY 2011-12 see file specifications for detail

File	Change
103	Added the permitted value "too few students" to the AMAO I ELP making progress (DG569), AMAO I ELP attainment (DG518), and AMAO III AYP for LEP (DG688)

5.4.5 Public School Choice and Supplemental Education Services

The Public School Choice (PSC) and Supplemental Education Services (SES) data are collected using:

010 Public School Choice (PSC)
128 Supplemental Educational Services (SES)
164 Public School Choice/SES Data

5.4.6 Title IX Education for Homeless Children and Youth Program

Data on the Title IX Homeless are collected using:

043 Homeless Served (McKinney-Vento)
118 Homeless Students Enrolled
170 Homeless Status

File 043 contains data about students who are served by McKinney-Vento while 118 contains data about students who are identified as homeless.

New for SY 2011-12 see file specifications for detail

File	Change
170	New status file to identify LEAs that receive McKinney-Vento subgrants. This will allow the data from the file Homeless Student Enrolled (118) to populate the CSPR Part I.

5.4.7 Title I, Part A

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)
- Services to Children in Private Schools (Private)

The matrix below illustrates the relationship between the ED*Facts* data groups and files and the data collected on participants and staff in Title I, Part A programs.

File #	File name	Public SWP	Public TAS	N or D	Private
134	Title I Participation	X	X	X	X
036	Title I TAS Services		X		
037	Title I SWP/TAS Participation	X	X		
065	Federally Funded Staff - Title I TAS Staff Funded (FTE)		X		

TIP! File 065 contains both Title I TAS staff funded (FTE) and Title I, Part C Migrant Education Program staff.

5.4.8 Title I, Part C Migrant Education Program

Data are collected on students eligible for funding from the Migrant Education Program (MEP) and students served under MEP. Unduplicated counts are also collected by timeframe: 12-months, regular school year and summer/intersession. The matrix below classifies the files by the students included and the reporting period.

	Reporting period		
Migrant student group	12 months unduplicated	Regular school year	Summer / intersession
Eligible enrolled in public schools		165	
Eligible for funding purposes	121 (also known as Count #1 on the Migrant Child Count Report)		
Eligible and served for funding purposes			122, (as known as Count #2 on the Migrant Child Count Report)
Served (including after period of eligibility expired)	054	123	124

Migrant student group	Reporting period		
	12 months unduplicated	Regular school year	Summer / intersession
Services to students		145	

In addition to the files in the matrix above, other data on MEP are collected using:

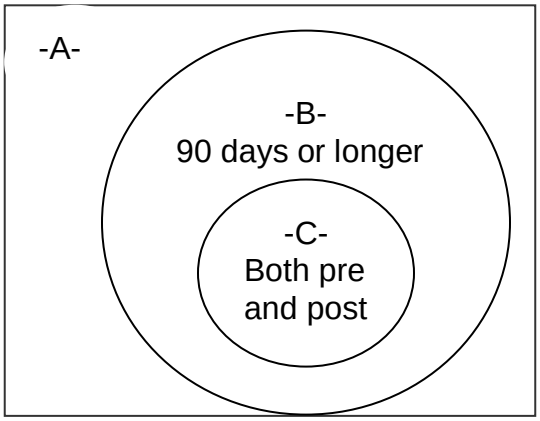
065 Federally Funded Staff
- MEP personnel (FTE)
- MEP personnel (Headcount)

165 Migrant Data
- Consolidated MEP funds status

TIP! File 065 contains both Title I TAS staff funded (FTE) and Title I, Part C Migrant Education Program staff.

5.4.9 Title I, Part D, Subparts 1 and 2 – Neglected and Delinquent

The diagram below illustrates the data collected. The table below the diagram explains the relationship of the diagram to ED*Facts* files and data groups:



Explanation of diagram		Subpart 1	Subpart 2
A	All N, D or at-risk youth participating in programs	119	127
B	N, D or at-risk youths who were in programs 90 days or longer	135	135
C	N, D or at-risk youths who were in programs 90 days or longer AND took both a pre- and post-test	113	125

5.5 Files used for Perkins and Career and Technical Education

The table below crosswalks the ED*Facts* files to the Perkins indicators. Each file specification contains a more detailed crosswalk.

File	File name	Indicator
142	CTE concentrators academic achievement	1S1 and 1S2 both numerator and denominator
157	CTE concentrators technical skills	2S1 both numerator and denominator
082	CTE concentrators exiting	3S1 denominator
083	CTE concentrators graduates	3S1 numerator
154	CTE concentrators in graduate rate	4S1 both numerator and denominator
158	CTE concentrators placement	5S1 both numerator and denominator
156	CTE concentrators in programs for non-traditional	6S2 both numerator and denominator
155	CTE participants in programs for non-traditional	6S1 both numerator and denominator

TIP! The CTE files 142, 154, and 158 are the only files where the data can be from a previous school year. For SY 2010-11, report the CTE data that the state has agreed to provide for the Perkins report due December 31, 2011. That data may be from a school year prior to SY 2010-11.

New for SY 2011-12

File	Change
158	**New file!** These data were not previously collected through ED*Facts.*

5.6 Revised! Status Files

A new status file, 170 LEA Subgrant Status, was added for SY2011-12 to collect, McKinney-Vento subgrant recipient flag (DG754) so that the homeless enrollment data can be populated into the CSPR.

5.7 Gun-Free Schools Report

Data for the Gun-Free Schools report is collected using:

086 Students Involved with Firearms
094 Firearm Incidents
163 Discipline Data
- GFSA Reporting Status

5.8 SFSF Indicators and SIG Metrics

Data related to the SFSF indicators and required for reporting on SIG metrics are collected using:

File	File Name	Used for	Scope
159	Average Scale Scores	SIG	Only SIG schools
160	High School Graduates Postsecondary Enrollment	SIG and SFSF	All LEAs and schools with graduates
166	Evaluation of Staff	SIG and SFSF	All LEAs and schools
167	School Improvement Grants	SIG	Only SIG schools

In addition, the school level used for SIG schools was added to the following files:

- 139 LEP English Language Proficiency Results
- 163 Discipline Data
    - Truants

The school level data collected in file 030, Discipline Incidents, is also used for SIG reporting.

5.9 Graduate / Completers and Dropouts

The following files collect graduate/completer and dropout data:

File	File Name	Data notes
032	Dropouts	This file is used for the Common Core of Data
040	Graduates/Completers	This file is used for the Common Core of Data
150	Regulatory Cohort Graduation Rate	This file collects the graduation rate based on the student counts in 151.
151	Cohorts for Regulatory Graduation	This file collects the student counts used in the graduation rate reported in 150.
009	Children with Disabilities (IDEA) Exiting Special Education	This file collects data on students who exit special education. Students can exit by graduating high school, completing high school or dropping out of school
082	CTE Concentrators Exiting	This file collects data on CTE concentrators who exited high school including those who graduated or dropped out.

File	File Name	Data notes
083	CTE Concentrators Graduates	This file collects data on CTE concentrators who graduated high school.
154	CTE Concentrators Graduation Rate	This file collects data for the CTE indicator on graduation rate.

5.10 Other files

The following files have not been discussed in other sections:

File	File Name	Reporting notes
030	Discipline	Must be submitted at all levels if the state expended Title IV funds in SY 2011-12; must be submitted for all Schools to meet SIG reporting
035	Federal programs	Submitted for GEPA reporting
136	Students disciplined	Must be submitted if the state expended Title IV funds in SY 2011-12

6.0 SUBMISSION PROCESS

This section summarizes the process for submitting files through ESS to ED*Facts*:

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.

6.1 Submitting the Directory

The directory is the cornerstone of ED*Facts* submissions. An accurate directory record must exist in ED*Facts* for every education unit (school, LEA, or SEA) prior to submitting any other data. If a directory record does not exist, all other ED*Facts* 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 9 “Directory Files” describes the directory.

6.2 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 8.0 “File Specifications.” The SEA submitter may need to review section 2.0 “Guidance for Submitting This File” in each file 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 the requirements and guidance sections of the file specifications (sections 1.2 and 2.0, respectively) to understand how to report zero and missing counts.

6.3 Create the File

After the SEA submitter gathers the data, he or she creates the file. Section 7.0 "ED*Facts* Files" contains detailed information about creating files in the file formats accepted by ED*Facts*.

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.

6.3.1 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 ED*Facts* 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.

6.3.2 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

6.4 Check the File

Before the file is submitted through the ESS, the file should be reviewed. Section 7.1 "ED*Facts* 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. 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 state codes and ZIP codes are string fields, not numeric fields. Therefore, states with FIPS state codes from 1 through 9 and ZIP codes that start with zero must include the leading zeros. Appendix E lists state codes used in ED*Facts* 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[4]—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.

6.4.1 Completeness of the File – All the data for an education unit

A specific file does not need to contain all schools or LEAs, but each file must contain all of the data records for the schools or LEAs being submitted. 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 just the Third Grade Membership counts for the same LEA in another transmittal file will result in the Grade Level counts in transmittal #1 being over-written by the Grade Level counts in transmittal #2 for that

[4] 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 seemed to refer to the total for the entire file submission. Rather it was meant to be the total for a specific education unit.

LEA. As a consequence, for that LEA the ED*Facts* database will only have third-grade membership data.

6.4.2 Completeness of the file—All the education units

When you re-submit a file to ED*Facts*, 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 ED*Facts* database.

The benefit of this is that you can make corrections to the data of individual schools or LEAs without having to resubmit 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 ED*Facts* 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 ED*Facts* 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.

6.5 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 ED*Facts* 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 ED*Facts* 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 that prevent the file from processing.

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

6.6 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.

6.7 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.[5] 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.

6.8 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 in the E*MAPS* State Submission Plan application to generally explain the data anomalies and what

[5] 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.

was done to verify that they are correct. Please note that even after explanations are provided, the warning will remain on the report.

Match errors that check an educational unit's state IDs, NCES IDs and operational statuses are considered critical in nature and, therefore, must be corrected to ensure that data are accurate.

Many submission edits replicate DANS edits to complete the transformation of the *IDEA* Section 618 tables into ED*Facts*.

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

6.9 Monitor Progress

ED*Facts* Coordinators can track their state's overall progress toward meeting their Submission Plans using the State Submission Status Reports (e.g., LEAD004, LEAD018) in the ED*Facts* Reporting System (ERS). ED*Facts* Coordinators should update their State Submission Plan in E*MAPS* 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. It shows both format and validation errors.
- **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 and current school years.
- **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 ED*Facts Submission System User Guide.*

7.0 ED*FACTS* FILES

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

7.1 EDFacts File Formats

The four file formats accepted by ESS are:

- Fixed
- Comma-delimited
- Tab-delimited
- eXtensible Markup Language or XML[6]

7.1.1 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.[7] 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.

7.1.2 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.**

[6] Appendix F provides a discussion of XML and the advantages of reporting using that format.
[7] 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 SQL Server.

7.1.3 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.

7.1.4 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.

7.2 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.

7.2.1 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.

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.

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.

7.2.2 Creating XML files

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.

7.2.2.1 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>
```

7.2.2.2 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>
    <StateLeaIdNumber>1234567</StateLeaIdNumber>
    <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 use 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".

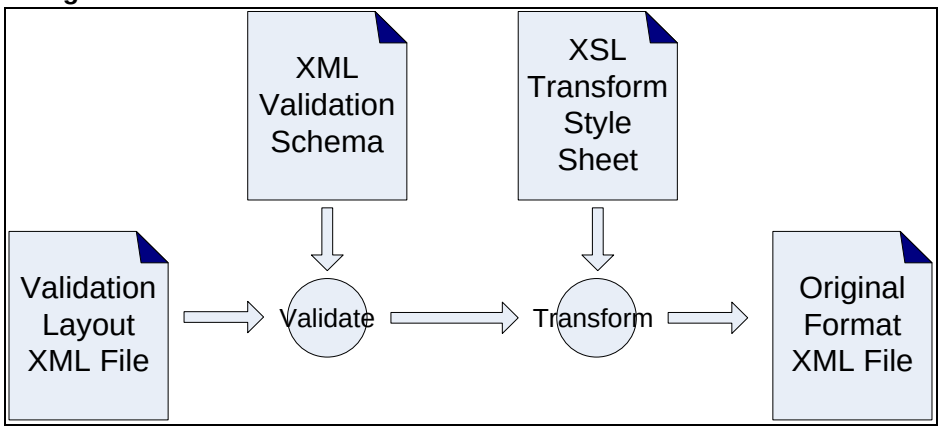
Another advantage of the validation schema format is that these formats were designed to make the XML file easier to generate from the common database applications.

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



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.

8.0 FILE 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 2011–12 file specifications. File specifications for previous years are organized differently. The Workbooks for those years explain how the file specifications were organized.

The file specifications for SY 2011-12 are version 8.x. Versions prior to 8.0 are for school years prior to SY 2010-11.

The file specifications were revised so that the information on XML and non-XML files are in the same document. The only exception is the Directory (N029 and X029) and the Grades Offered (N039) file specifications.

The most recent updates for each version of the file specifications are on the ED*Facts* Web site, www.ed.gov/edfacts.

8.1 Organization of the File Specifications

The file specifications[8] for SY 2011-12 are 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.
2.0	**Guidance for Submitting this File** The SEA submitter should review this section with the data steward.
2.1	**Changes from the SY 2010–11 File Specification** This section describes any changes made to the file specification from the prior year.
2.2	**Core Requirements for Submitting this File** This section contains summarizes the core reporting requirements: reporting period, the education units included or excluded, the type of count, and zero count reporting.

[8] Because of the nature of the data, the Directory and Grades Offered file specifications are organized slightly differently.

2.3 Required Categories and Totals[9]

The section indicates the valid combinations of categories and the subtotal and/or total needed for the file.

2.4 Guidance for Submitting File

This section provides guidance on any special considerations or clarifications necessary for the file to be submitted.

2.5 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.

4.0 Fixed or Delimited Files

Fixed and delimited files are composed of a header record and one or more data records. This section explains the header record and the data record. The section includes partial examples of comma-delimited files.

5.0 XML Specifications

XML files are composed of a hierarchy of XML objects. This section defines the XML objects beginning with the innermost object and working out to the root FILETRANSMIT object. The section includes examples of the XML objects.

Appendix

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

8.2 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.

[9] This section is not used for 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.

8.3 Required Categories and Totals

For the single data group files (the files that contain tables), Section 2.3 “Required Categories and Totals” contain a matrix that 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 required categories and total matrix from the Membership file (052) is shown below.

Example Table 3.3-1: Required Categories and 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)
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)

Category set	Table name	Grade level (membership)	Race / ethnicity	Sex (membership)	Total indicator	Comments
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 ED*Facts* will collect. A state may have summarized individual records to get this, but for ED*Facts* purposes, this is neither a subtotal nor a total of an education unit but a detail record.

The "Y" on row 2 indicates that ED*Facts* 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

8.4 Non-XML File Description

Section 4 describes the layout for non-XML files.

8.4.1 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 2011–12 school year would be either "2011-2012" or "2011 2012."
- **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.

8.4.2 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.	
ID 559 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.	For a list of valid FIPS state codes, refer to the ED*Facts* Workbook.
… (rows omitted)	**…**	**…**	**…**	**…**	**…**	**…**
Table Name	45	20	String	M	See section 1	**MEMBER**
… (rows omitted)	**…**	**…**	**…**	**…**	**…**	**…**

Data element name	Start position	Length	Type	Pop	Definition/comments	Permitted values
Sex (membership)	95	15	String	A	The concept describing the biological traits that distinguish the males and females of a species.	**M** = Male **F** = Female **MISSING**
… (rows omitted)	**…**	**…**	**…**	**…**	**…**	**…**
Explanation	111	200	String	O	Text field for state use.	
Student count	311	10	Number	M		
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 2.3-1.
  - O - Optional, data in this field are optional.
- **Definition/Comments—**The definition of the data 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.

8.5 XML File Descriptions

Section 5 described the XML objects.

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.

Section 5 has 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 8.5-1: ED*Facts* **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

8.5.1 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.

8.5.2 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.

8.5.3 Table type XML object

The TABLETYPE object stores the data from the data requirements matrix (table 2.3-1 in section 2.3) 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.

8.5.4 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.

9.0 DIRECTORY FILES

This section describes the directory used in ED*Facts* 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 ED*Facts* and does not substitute for reading the directory file/XML specification when building and submitting directory files.

9.1 Hierarchy

ED*Facts* 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 ED*Facts* 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.

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) are collected only at the SEA level.

9.1.1 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*.

9.1.2 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.

9.1.3 School

A school (for the purpose of ED*Facts*) 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.
   - *N*ote 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.

9.2 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.

9.2.1 Unique identifiers

Each education unit has two IDs: NCES and state identifiers. These IDs are used as the primary identifiers in ED*Facts*. 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. ED*Facts* 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. ED*Facts* 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 2010-11 (i.e., version 7.x) directory file will only affect data for SY 2010–11. To make the same change in a different SY requires that the change be submitted in a file specifically for that SY.

9.2.2 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.

9.2.3 Descriptive data

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

- **Operational status—**ED*Facts* 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.

9.2.4 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.

9.3 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.

9.3.1 School-year specific

Because the directory data are school-year specific, the directory data from SY 2010–11 will not roll over to SY 2011–12. 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.

9.3.2 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.

9.3.3 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 2011–12 as open closes permanently in February 2012. The state should submit a SY 2011–12 directory record for that school starting the school year as open and provide an updated status of closed 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.

9.3.4 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.

9.3.5 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.

10.0 METADATA

Metadata are items of information collected to explain other data and are essential for the analysis and reporting of certain data in ED*Facts*. ED uses the ED*Facts Metadata and Process System* (E*MAPS)* to collect metadata. Below is the tentative schedule for some of the E*MAPS* surveys. PSC will announce additional surveys and specific release dates as they are confirmed.

December/January Releases

- **SSP R5** - This survey collects metadata on your state's ED*Facts* file submission plans.

- **CCD Grades Offered** - This survey collects metadata on grades offered for school directory files.

February/March Releases

- **IDEA** - The purpose of this survey is to collect metadata related to the SY 2011-12 for students with disabilities (IDEA) under Part B of the Individuals with Disabilities Education Act (IDEA) data collection. The users will be answering questions about children with disabilities (IDEA) on exiting special education, school age, early childhood, special education personnel, disciplines and assessments.

- **GFSA** - This survey collects data regarding the number of instances in which a student has a firearm at school or at a school function and whether the LEAs and schools are complying with the Gun-Free Schools Act (GFSA). The E*MAPS* portion of the survey has States report the following:
    - Non-compliance of any LEA with the law
    - Explanations of any data quality issues with the submitted data (ESS data)
    - Changes in state law since the last GFSA report by the state
    - How state law deals with providing educational services to students expelled
    - Whether the state provides any funds for those educational services.

11.0 TRANSFORMATIONS OF LEGACY COLLECTIONS

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

11.1 Non-Fiscal Common Core of Data (CCD)

ED*Facts* collects the CCD non-fiscal data, generates new NCES IDs, and conducts automated match and edit checks for CCD data. ED*Facts* forwards all CCD data

submitted by the states to NCES to continue creating the public CCD files and other publications.

11.1.1 Process for Submitting CCD Non-Fiscal Files

The following is the process for SY 2011-12 and future school years.

- SEAs submit ED*Facts* files according to the submission calendar.
- SEAs begin by submitting the directory file. ED*Facts* will assign NCES IDs to new education units. ED*Facts* 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 ED*Facts* 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, ED*Facts* produces the edit reports. Edits that rely on prior-year data use the SY 2011-12 ED*Facts* data. If the final data for SY 2011-12 were changed by NCES at the state's request instead of the SEA resubmitting the data through ED*Facts*, 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 ED*Facts*.
- Match reports and edits for the early files must be finished by May 2012. Edits for the remaining files must be finished by February 2013.
- SEAs (both ED*Facts* and CCD coordinators) should contact PSC with any questions or concerns about the directory process or with suggestions for improvements.

11.2 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 responses in the CSPR are populated using data from ESS, there are a number of narrative and a few numeric questions that will require manual input by the state.

11.3 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 ED*Facts.* ED is collecting metadata related to the *IDEA* collections that inform data reviewers about data that are not applicable to a specific state. *IDEA* data edits are included in the ESS to the maximum extent possible. 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 ED*Facts*.

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., educational environments for early childhood age (preschool)) and the CSPR. 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".

11.4 Gun-Free Schools Act Report

ED has also transitioned the *Gun-Free Schools Act (GFSA)* data collection to ED*Facts*. The *GFSA* collection collects statistical data about gun incidents and about *GFSA* reporting by LEAs and schools to the SEA on gun incidents that can be submitted through ED*Facts*. In addition, there are questions that require text responses, which are collected using E*MAPS*.

11.5 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. ED*Facts* 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 ED*Facts*. SEAs will need to reconcile any operational schools reported in the CSP Awards Database that were not traced to ED*Facts*.

11.6 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.

12.0 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 ED*Facts* mentioned in Section 11. Because ESS data are used by these data collections, ED*Facts* Coordinators are sometimes asked to explain ED*Facts* to LEAs. For more information about any of these collections, contact PSC.

12.1 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 ED*Facts* 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 ED*Facts* and then transferred to MSIX.

12.2 Electronic Application System for Indian Education (EASIE)

EASIE is an annual ancillary ED*Facts* 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 ED*Facts* due dates for the data because EASIE uses prior year data for the prepopulation (e.g., in SY 2009-10, EASIE collected applications for SY 2010-11 formula grants, using SY 2008-09 ESS data).

12.3 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 ED*Facts*. These CCD/ED*Facts* data are used to populate 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 ED*Facts* 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.

Appendix A: ED*Facts* Data Framework

This appendix provides an overview of the ED*Facts* data framework.

The data framework is a conceptual model that is used to define the data requirements for ED*Facts*. It is the means for describing the data to be collected through ED*Facts* during the paperwork clearance process. The data framework is also the means to describe data available in ED*Facts* 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."

A data group is a specific aggregation (i.e., group) of related data that are stored in ED*Facts* 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 ED*Facts* 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
- **File –** 052
- **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 ED*Facts*. 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:

	K	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Etc.
Females							
American Indian or Alaska Native							
Asian							
Etc.							

Males							
American Indian or Alaska Native							
Asian							
Etc.							

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 182 numbers (13 grade level permitted values * 7 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 subtotal 1 (Racial Ethnic, Grade Level (Membership)) is illustrated by the table below:

	K	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Etc.
American Indian or Alaska Native							
Asian							
Black or African American							
Hispanic/Latino							
Native Hawaiian or Other Pacific Islander							
Two or more races							
White							

Appendix B: ED*Facts* Glossary

Table B-1 ED*Facts* 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 ED*Facts* 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 staging database	Located in the ED*Facts* Submission System where files are received for reasonability edits and explanation review by ED.
ED*Facts*	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.
ED*Facts* Coordinator	Official SEA contact for ED*Facts* and ED*Facts* 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.
Edit	Often referred to as a business rule. An indication of a problem in the format or contents of a file. ED*Facts* 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.
E*MAPS*	ED*Facts* Metadata and Process System

Term	Description
Error type	Category of error (format or validation error) in the data file that prevents complete transmission of the file.
ESEA	Elementary and Secondary Education Act of 1965, as amended
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.
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
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 *Paperwork Reduction Act* of 1995.
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

Term	Description
	and PASSWORD from ED.
Schema	A format specification for an XML file. Some schemas may be used for multiple transmittal files.
SFSF	State Fiscal Stabilization Fund
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 ED*Facts* Submission 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 ED*Facts* 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: ED*Facts* Directory Data Groups

Table C-1 Directory Data Groups by Level and Content

	SEA		LEA		School	
	DG	Name	DG	Name	DG	Name
Unique Identifiers	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)
					529	School Identifier (NCES)
Contact information	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				
Descriptive information			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*	743	Reconstituted 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 ED*Facts* Data Groups

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

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

- N/X029—Directory – SEA only needs to be submitted if there are changes
- N/X052—Membership
- N/X059—Staff FTE
- N/X040—Graduates/Completers
- N/X032—Dropouts

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

CCD State Non-Fiscal File					
CCD field name	**CCD field number**	**CCD field description**	**ED*Facts* data group**	**ED*Facts* file specification**	**ED*Facts* file schedule**
SEANAME	1	Name of State Education Agency	7 - Education Entity Name (SEA)	029–Directory	1/31/2011
MSTREET	2	Mailing Address (3 lines)	8 - Address Mailing (SEA Street portion)	029 – Directory	1/31/2011
MCITY	3	City	8 - Address Mailing (SEA City portion)	029 – Directory	1/31/2011
MZIP	4	ZIP Code (5 Digit)	8 - Address Mailing (SEA Zip Code portion)	029 – Directory	1/31/2011
MZIP4	5	ZIP + 4 Code	8 - Address Mailing (SEA Zip Code Plus 4 portion)	029 – Directory	1/31/2011
LSTREET	6	Location Address (3 lines)	9 – Address Location (SEA Street portion)	029 – Directory	1/31/2011
LCITY	7	Location City	9 – Address Location (SEA City portion)	029 – Directory	1/31/2011
LZIP	8	Location ZIP Code (5 Digit)	9 – Address Location (SEA Zip Code portion)	029 – Directory	1/31/2011
LZIP4	9	Location ZIP +4 Code	9 – Address Location (SEA Zip Code Plus 4 portion)	029 – Directory	1/31/2011
PHONE	10	Telephone Number	10 - Telephone – Education Entity (SEA)	029 – Directory	1/31/2011
WEBSITE	11	SEA Web Site	11 – SEA Web Site Address	029 – Directory	1/31/2011
PKTCH - UGTCH	12	Teachers	528 - Staff FTE Table	059 – Staff FTE	5/31/2011
TOTTCH	13	Total FTE Teachers	Derived from 528 - Staff FTE Table	059 – Staff FTE	5/31/2011

CCD State Non-Fiscal File					
CCD field name	**CCD field number**	**CCD field description**	**ED*Facts* data group**	**ED*Facts* file specification**	**ED*Facts* file schedule**
AIDES - OTHSUP	14	Staff	528 - Staff FTE Table	059 – Staff FTE	5/31/2011
TOTGUI	15	Total Guidance Counselors	Derived from 528 - Staff FTE Table	059 – Staff FTE	5/31/2011
TOTPK - MRALF	16	Students by Grade, Race/Ethnicity, and Sex	39 - Membership Table	052 – Membership	3/31/2011
REGDIP-MRDIP	17	Diploma Recipients (Total and by Race/ Ethnicity)	Derived from 306 - Graduates/Completers Tables	040 – Graduates /Completers	1/31/2012
OTHCOM - WHOHC	18	Other High School Completers (Total and by Race/Ethnicity)	Derived from 306 - Graduates/Completers Tables	040 – Graduates /Completers	1/31/2012
TOTD07 - MRDUGF	19	Dropouts by Grade, Race/Ethnicity, and Sex	326 - Dropouts Tables	032 – Dropouts	1/31/2012

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

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

CCD Agency File					
CCD field name	**CCD field number**	**CCD field description**	**ED*Facts* data group**	**ED*Facts* file specification**	**ED*Facts* file schedule**
LEAID	1	NCES Education Agency ID	1 - LEA Identifier (NCES)	029 – Directory	1/31/2011
STID	2	State Education Agency ID	4 - LEA Identifier (State)	029 – Directory	1/31/2011
PRIORSTID	3	Prior State Education Agency ID	4 – Prior LEA Identifier (State)	029 – Directory	1/31/2011
NAME	4	Name of Education Agency	7 - Education Entity Name (LEA)	029 – Directory	1/31/2011

CCD Agency File					
CCD field name	**CCD field number**	**CCD field description**	**ED*Facts* data group**	**ED*Facts* file specification**	**ED*Facts* file schedule**
PHONE	5	Telephone Number (Area Code and Phone Number)	10 - Telephone – Education Entity (LEA)	029 – Directory	1/31/2011
MSTREE	6	Mailing Address – Street (3 lines)	8 - Address Mailing (LEA Street portion)	029 – Directory	1/31/2011
MCITY	7	Mailing Address – City	8 - Address Mailing (LEA City portion)	029 – Directory	1/31/2011
MSTATE	8	Mailing Address - State (P.O. Abbreviation)	8 - Address Mailing (LEA USPS State Abbreviation portion)	029 – Directory	1/31/2011
MZIP	9	Mailing Address - ZIP (digits 1 thru 5)	8 - Address Mailing (LEA Zip Code portion)	029 – Directory	1/31/2011
MZIP4	10	Mailing Address – ZIP4 (digits 6 thru 9)	8 - Address Mailing (LEA Zip Plus 4 portion)	029 – Directory	1/31/2011
LSTREE	11	Physical Location Address – Street (3 lines)	9 - Address Location (LEA Street Portion)	029 – Directory	1/31/2011
LCITY	12	Physical Location Address - City	9 - Address Location (LEA City Portion)	029 – Directory	1/31/2011
LSTATE	13	Physical Location Address - State (P.O. Abbreviation)	9 - Address Location (LEA USPS State Abbreviation portion)	029 – Directory	1/31/2011
LZIP	14	Physical Location Address - ZIP (digits 1 thru 5)	9 - Address Location (LEA ZIP code portion)	029 – Directory	1/31/2011
LZIP4	15	Physical Location Address - ZIP4 (digits 6 thru 9)	9 - Address Location (LEA Zip Plus 4 portion)	029 – Directory	1/31/2011
WEBSITE	16	LEA Web Site	11 – LEA Web Site Address	029 – Directory	1/31/2011
AGTYP	17	Education Agency Type Code	453 - Educational Agency Type	029 – Directory	1/31/2011
SUPRUNION	18	Supervisory Union ID Number	551 - Supervisory Union Identification Number	029 – Directory	1/31/2011
BOUND	19	Operational Status Code	16 - LEA Operational Status	029 – Directory	1/31/2011
GSLO	20	Grade Span Offered - Lowest grade	Derived from 18 - Grades Offered	029 – Directory 039 – Grades Offered	1/31/2011
GSHI	21	Grade Span	Derived from 18 -	029 –	1/31/2011

CCD Agency File					
CCD field name	**CCD field number**	**CCD field description**	**ED*Facts* data group**	**ED*Facts* file specification**	**ED*Facts* file schedule**
		Offered - Highest Grade	Grades Offered	Directory 039 – Grades Offered	
FILLER	22	WAS Migrant Students Served in a Summer Program			12/31/2011
SPECED	23	Special Education - Individual Education Program (IEP)	Derived from 74 - Children with Disabilities (*IDEA*) School-Age Tables and 613 - Children with Disabilities (*IDEA*) Early Childhood Tables	002 – Children with Disabilities (*IDEA*) – School Age 089 – Children with Disabilities (*IDEA*) – Early Childhood	2/02/2011
ELL	24	English Language Learner	123 - LEP Students in LEP Program Table	046 – Students in LEP Program	4/30/2011
PKTCH-UGTCH	25	Teachers	528 - Staff FTE Table	059 – Staff FTE	5/31/2011
TOTTCH	26	Total FTE Teachers	Derived from 528 - Staff FTE Table	059 – Staff FTE	5/31/2011
AIDES-OTHSUP	27	Staff	528 - Staff FTE Table	059 – Staff FTE	5/31/2011
TOTPK - MRALF	28	All Student Counts – Detail and Subtotals	39 – Membership	052 – Membership	3/31/2011
TOTDPL	29	Total Diploma Recipients	Derived from 306 - Graduates/ Completers Tables	040 – Graduates/ Completers	1/31/2012
AMDPLM-WHDPLU	30	Diploma Recipients by Race/Ethnicity and Sex	306 - Graduates/ Completers Tables	040 – Graduates/ Completers	1/31/2012
TOTOHC	31	Total Other High School Completers	Derived from 306 - Graduates/ Completers Tables	040 – Graduates/ Completers	1/31/2012
AMOHCM-MROCHF	32	Other High School Completers by Race/ Ethnicity and Sex	306 - Graduates/ Completers Tables	040 – Graduates/ Completers	1/31/2012
TOTD07-MRDUGF	33	Dropouts by Grade, Race/ Ethnicity and Sex	326 - Dropouts Tables	032 – Dropouts	1/31/2012

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/X033 – Free and Reduced Price Lunch
- N/X052 – Membership
- N/X059 – Staff FTE
- N/X129 – CCD School

Table D-3 ED*Facts* Files for CCD School Non-Fiscal File

CCD School File					
CCD field name	**CCD field number**	**CCD field description**	**ED*Facts* data group**	**ED*Facts* file specification**	**ED*Facts* file schedule**
LEAID	1	NCES Education Agency ID	1 - LEA Identifier (LEA)	029 – Directory	1/31/2011
STID	2	State Education Agency ID	4 - LEA Identifier (State)	029 –Directory	1/31/2011
PRIORSTID	3	Prior State Education Agency ID	4 - LEA Identifier (State)	029 –Directory	1/31/2011
SCHNO	4	NCES School ID	529 - School Identifier (NCES)	029 –Directory	1/31/2011
SEASCH	5	State School ID	5 – School Identifier (State)	029 –Directory	1/31/2011
PRIORSEASCH	6	Prior State School ID	5 – School Identifier (State)	029 –Directory	1/31/2011
LEANM	7	Name of Education Agency	7 - Education Entity Name (LEA)	029 – Directory (LEA file)	1/31/2011
SCHNAM	8	Name of School	7 - Education Entity Name (School)	029 –Directory	1/31/2011
PHONE	9	Telephone Number (Area Code and Phone Number)	10 - Telephone – Education Entity (School)	029 –Directory	1/31/2011
MSTREE	10	Mailing Address - Street	8 - Address Mailing (School Street portion – 3 lines)	029 –Directory	1/31/2011
MCITY	11	Mailing Address - City	8 - Address Mailing (School City portion)	029 –Directory	1/31/2011
MSTATE	12	Mailing Address - State (P.O. Abbreviation)	8 - Address Mailing (School USPS State Abbreviation portion)	029 –Directory	1/31/2011
MZIP	13	Mailing Address - ZIP (digits 1 thru 5)	8 - Address Mailing (School ZIP Code portion)	029 –Directory	1/31/2011
MZIP4	14	Mailing Address - ZIP4 (digits 6 thru 9)	8 - Address Mailing (School ZIP Plus 4 portion)	029 – Directory	1/31/2011
LSTREE	15	Physical Location Address - Street	9 - Address Location (School Street portion)	029 – Directory	1/31/2011
LCITY	16	Physical Location Address - City	9 - Address Location (School City portion)	029 – Directory	1/31/2011
LSTATE	17	Physical Location Address - State (P.O. Abbreviation)	9 - Address Location (School USPS State Abbreviation portion)	029 – Directory	1/31/2011

CCD School File					
CCD field name	**CCD field number**	**CCD field description**	**ED*Facts* data group**	**ED*Facts* file specification**	**ED*Facts* file schedule**
LZIP	18	Physical Location Address - ZIP (digits 1 thru 5)	9 - Address Location (School ZIP Code portion)	029 – Directory	1/31/2011
LZIP4	19	Physical Location Address – ZIP4 (digits 6 thru 9)	9 – Address Location (School ZIP Plus 4 portion)	029 – Directory	1/31/2011
WEBSITE	20	School Web Site Address	11- School Web Site Address	029 – Directory	1/31/2011
SCHTYP	21	School Type Code	21 - School Type	029 – Directory	1/31/2011
STATUS	22	Operational Status Code	531 - School Operational Status	029 – Directory	1/31/2011
GSLO	23	Grade Span Offered - Lowest grade	Derived from 18 - Grades Offered	029 –Directory 039 – Grades Offered	1/31/2011
GSHI	24	Grade Span Offered - Highest grade	Derived from 18 - Grades Offered	029 –Directory 039 – Grades Offered	1/31/2011
TITLEISTAT	25	Title I School Status	22 - Title I School Status	129 – CCD School	3/31/2011
TITLEI	26	Title I Eligible School	22 - Title I School Status	129 – CCD School	3/31/2011
STITLI	27	School-wide Title I	22 - Title I School Status	129 – CCD School	3/31/2011
MAGNET	28	Magnet School	24 - Magnet Status	129 – CCD School	3/31/2011
CHARTR	29	Charter School	27 - Charter Status	029 –Directory	1/31/2011
SHARED	30	Shared Time	573 - Shared Time Status	129 – CCD School	3/31/2011
FTE	31	Classroom Teachers	644 - Teachers (FTE)	059 – Staff FTE	5/31/2011
FRELCH	32	Free Lunch Eligible Students	565 - Free and Reduced Price Lunch Table	033 – Free and Reduced Price Lunch	3/31/2011
REDLCH	33	Reduced-Price Lunch Eligible Students	565 - Free and Reduced Price Lunch Table	033 – Free and Reduced Price Lunch	3/31/2011
FLE	34	Total of Free and Reduced-Price Lunch Eligible	565 - Free and Reduced Price Lunch Table	033 – Free and Reduced Price Lunch	3/31/2011
FILLER	35	WAS Migrant Students Enrolled in Previous Year			
TOTPK-MRALF	36	Students by Grade, Race / Ethnicity, and by Sex	39 - Membership	052 – Membership	3/31/2011

Appendix E: State Abbreviations and State Codes

This appendix defines the state abbreviations and the State codes (01-78) used in ED*Facts*.

Table E-1: State Abbreviations and State Codes

State name	State code	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	State code	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[10]
DOD DOMESTIC	61	DD[10]
DOD OVERSEAS	58	DO[10]
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

[10] 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. *X*ML 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 *element*s, some of which have *attribute*s 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.

Appendix G: Zero Count Required Master List

If there are any differences between these tables and the file specifications for a given year, the file specifications should be followed.

Table G-1: SEA level files requiring zero counts sorted by Steward

File number	File name	DG ID	Data Group Name	Code set/ format	Steward	SEA Guidance
052	Membership	39	Membership table	Integer	NCES	Zeros required for all detail records, all categories.
040	Graduates /Completers	306	Graduates/completers table	Integer	NCES	Need zeros reported--at least in subtotals. Zeros will be backfilled from subtotals. Cross-file checks with membership will also be used.
032	Dropouts	326	Dropouts Table	Integer	NCES	Need zeros reported--at least in subtotals. Zeros will be backfilled from subtotals. Cross-file checks with membership will also be used.
059	Staff FTE	528	Staff FTE table	Decimal (to 2 places)	NCES	Zeros counts are required in every staff category that the state uses.
046	LEP Students in LEP Programs	123	LEP students in LEP program table	Integer	OELA	Zero counts are required and must be included for the category set, subtotal and Grand total.
050	Title III LEP English Language Proficiency Results	151	Title III LEP English language proficiency results table	Integer	OELA	Zero counts are required and must be included in the details for the category set.
067	Title III Teachers	422	Title III teacher table	Integer	OELA	Zero counts are required.
116	Title III LEP Students Served	648	Title III LEP students served table	Integer	OELA	Zero counts are required.
126	Title III Former LEP Students	668	Title III former LEP students table	Integer	OELA	Zero counts are required.

File number	File name	DG ID	Data Group Name	Code set/ format	Steward	SEA Guidance
137	LEP - English Language Proficiency Test	674	LEP English language proficiency test table	Integer	OELA	Zero counts are required and must be included in the details for the category set.
138	Title III LEP English Language Test	675	Title III LEP English language proficiency test table	Integer	OELA	Zero counts are required and must be included for PART and NPART.
139	LEP English Language Proficiency Results	676	LEP English language proficiency results table	Integer	OELA	Zero counts are required and must be included in the details for the category set.
175	Academic Achievement in Mathematics	583	Academic achievement in mathematics table	Integer	OESE	Zero counts are required.
178	Academic Achievement in Reading (Language Arts)	584	Academic achievement in reading (language arts) table	Integer	OESE	Zero counts are required.
179	Academic Achievement in Science	585	Academic achievement in science table	Integer	OESE	Zero counts are required.
185	Assessment Participation	588	Assessment participation in mathematics Table	Integer	OESE	Zero counts are required.
188	Assessment Participation	589	Assessment participation in reading (language arts) table	Integer	OESE	Zero counts are required.
189	Assessment Participation	590	Assessment participation in science table	Integer	OESE	Zero counts are required.
043	Homeless Served (McKinney-Vento)	560	Homeless served (McKinney-Vento) table	Integer	OESE/ Homeless	Zero counts are required.
118	Homeless Students Enrolled - School Year Count	655	Homeless Students Enrolled -- School Year Count Table	Integer	OESE/ Homeless	Zero counts are required.
113	N or D Academic Achievement - State Agency	628	N or D academic achievement table - state agencies	Integer	OESE/N&D	Zero counts are required.
119	N or D - Participation - State Agency	656	N or D participation table for state agencies	Integer	OESE/N&D	Zero counts are required.

File number	File name	DG ID	Data Group Name	Code set/ format	Steward	SEA Guidance
135	N or D Long Term	672	N or D long-term table (state agencies)	Integer	OESE/N&D	Zero counts are required.
054	MEP Students Served - 12 Months	102	MEP students served 12-month table	Integer	OESE/OME	Zero counts are required.
065	Federally Funded Staff	515	MEP personnel (FTE) table	Decimal (to 2 places)	OESE/OME	Zero counts are required.
065	Federally Funded Staff	625	MEP personnel (headcount) table	Integer	OESE/OME	Zero counts are required.
121	Migrant Students Eligible - 12 Months	634	Migrant students eligible 12-month table	Integer	OESE/OME	Zeros required for subtotals.
122	MEP Students Eligible and Served - Summer / Intersession	635	MEP students eligible and served summer/intersession table	Integer	OESE/OME	Zero counts are required.
123	MEP Students Served - Regular School Year	636	MEP students served regular school year table	Integer	OESE/OME	Zero counts required for Category Set A.
124	MEP Students - Served Summer / Intersession	637	MEP students served summer/intersession table	Integer	OESE/OME	Zero counts required for Category Set A.
117	8th Grade Technology Literacy	650	8th grade technology literacy table	Integer	OESE/SST	Zero counts are required.
037	Title I Part A SWP/TAS Participation	548	Title I SWP/TAS participation table	Integer	OESE/Title I	Zero counts are required.
036	Title I Part A TAS Services	549	Title I TAS services table	Integer	OESE/Title I	Zero counts are required.
065	Federally Funded Staff	550	Title I TAS staff funded (FTE) table	Decimal (to 2 places)	OESE/Title I	Zero counts are required.
134	Title I Part A Participation	670	Title I participation table	Integer	OESE/Title I	Zero counts are required.
010	Public School Choice	544	Public school choice - transferred	Integer	OII/SES-Choice	Zero counts are required.

File number	File name	DG ID	Data Group Name	Code set/ format	Steward	SEA Guidance
128	Supplemental Education Services	546	SES - received services	Integer	OII/SES-Choice	Zero counts are required.
010	Public School Choice	574	Public school choice - applied for transfer	Integer	OII/SES-Choice	Zero counts are required.
128	Supplemental Education Services	575	SES - applied to receive services	Integer	OII/SES-Choice	Zero counts are required.
128	Supplemental Education Services	578	SES - eligible to receive services	Integer	OII/SES-Choice	Zero counts are required.
030	Discipline Incidents	523	Discipline incidents table	Integer	OSDFS	Zero counts are required.
086	Students Involved with Firearms	596	Students involved with firearms table	Integer	OSDFS	Zero counts are required.
094	Firearm Incidents	601	Firearm incidents table	Integer	OSDFS	Zero counts are required.
136	Students Disciplined	673	Students disciplined table	Integer	OSDFS	Zero counts are required.
002	Children with Disabilities (IDEA) School-Age	74	Children with disabilities (IDEA) school age table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
009	Children with Disabilities (IDEA) Exiting Special Education	85	Children with disabilities (IDEA) exiting special education table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
006	Children with Disabilities (IDEA) Suspensions/ Expulsions	475	Children with disabilities (IDEA) suspensions/ expulsions table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
007	Children with Disabilities (IDEA) Reasons for Unilateral Removal	476	Children with disabilities (IDEA) reasons for unilateral removal table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
070	Special Education Teachers	486	Special education teachers (FTE) Table	Decimal (to 2 places)	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).

File number	File name	DG ID	Data Group Name	Code set/ format	Steward	SEA Guidance
005	Children with Disabilities (IDEA) Removal to Interim Alternative Educational Setting	512	Children with disabilities (IDEA) removal to interim alternative educational setting table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
088	Children with Disabilities (IDEA) Disciplinary Removals	598	Children with disabilities (IDEA) disciplinary removals table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
093	Children with Disabilities (IDEA) Participation in Assessments	618	Children with Disabilities (IDEA) Participation in Assessments Table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
099	Special Education Related Services Personnel	609	Special education related services personnel (FTE) table	Decimal (to 2 places)	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
089	Children with Disabilities (IDEA) Early Childhood	613	Children with disabilities (IDEA) early childhood Table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
112	Special Education Paraprofessionals	647	Special education paraprofessionals (FTE) table	Decimal (to 2 places)	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
143	Children with Disabilities (IDEA) Total Disciplinary Removals	682	Children with disabilities (IDEA) total disciplinary removals table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
144	Educational Services During Expulsion	683	Educational services during expulsion table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).
146	Children with Disabilities (IDEA) Alternate Assessment Caps	689	Children with disabilities (IDEA) Alternate Assessment caps table	Integer	OSERS/ OSEP	Zero counts are required. Blanks are allowed for missing or not applicable (n/a).

Table G-2: LEA level files requiring zero counts sorted by Steward

File number	File name	DG ID	Data Group Name	Code set or format	Steward	LEA Guidance
052	Membership	39	Membership table	Integer	NCES	If there are no students for an operational LEA, submit only a total of the education unit as zero. You will not be required to submit any other additional information; we will derive zero counts for the details and subtotal data. If there are no students for a grade that is offered, the Education Unit may report that grade level as zero in subtotal 4. The detail data and Category Set A for that grade do not need to be sent and will be provided to CCD as zeros. Missing data can temporarily be reported as "-1". Eventually, all the data will need to be reported.
040	Graduates /Completers	306	Graduates/completers table	Integer	NCES	Need zeros reported--at least in subtotals. Zeros will be backfilled from subtotals. Cross-file checks with membership will also be used.
032	Dropouts	326	Dropouts table	Integer	NCES	Need zeros reported--at least in subtotals. Zeros will be backfilled from subtotals. Cross-file checks with membership will also be used.
059	Staff FTE	528	Staff FTE table	Decimal (to 2 places)	NCES	Need zeros reported in every staff category that the state uses.
046	LEP Students in LEP Program	123	LEP students in LEP program table	Integer	OELA	If the count for an entire LEA is zero, submit only Grand Total as zero.
175	Academic Achievement in Mathematics	583	Academic achievement in mathematics table	Integer	OESE	Zero counts required for performance levels.
178	Academic Achievement in Reading (Language Arts)	584	Academic achievement in reading (language arts) table	Integer	OESE	Zero counts required for performance levels.

File number	File name	DG ID	Data Group Name	Code set or format	Steward	LEA Guidance
179	Academic Achievement in Science	585	Academic achievement in science table	Integer	OESE	Zero counts required for performance levels.
010	Public School Choice	544	Public school choice - transferred	Integer	OII/SES-Choice	If no students in an LEA actually transferred, that LEA does not have to include “TRANFSTUDCH” in the file. If it is included, report the student count as zero.
128	Supplemental Education Services	546	SES - received services	Integer	OII/SES-Choice	If no students in an LEA actually transferred, that LEA does not have to include “TRANFSTUDCH” in the file. If it is included, report the student count as zero.
010	Public School Choice	574	Public school choice - applied for transfer	Integer	OII/SES-Choice	If no students in an LEA actually transferred, that LEA does not have to include “TRANFSTUDCH” in the file. If it is included, report the student count as zero.
128	Supplemental Education Services	575	SES - applied to receive services	Integer	OII/SES-Choice	If no students in an LEA actually transferred, that LEA does not have to include “TRANFSTUDCH” in the file. If it is included, report the student count as zero.
128	Supplemental Education Services	578	SES - eligible to receive services	Integer	OII/SES-Choice	If no students in an LEA actually transferred, that LEA does not have to include “TRANFSTUDCH” in the file. If it is included, report the student count as zero.
163	Discipline Data	664	Truants	Integer	OSDFS	If an LEA has zero truants, report zero. This is a mandatory field and cannot be left blank. If an LEA has no students, report zero. Use “-1” to represent missing. This is a mandatory field that must be populated.

Table G-3: School level files requiring zero counts sorted by Steward

File number	File name	DG ID	Data Group Name	Format	Steward	SCH Guidance
052	Membership	39	Membership table	Integer	NCES	If there are no students for an operational school, submit only a total of the education unit as zero. If there are no students for a grade that is offered, the education unit may report that grade level as zero in subtotal 4. The detail data and Category Set A for that grade do not need to be sent and will be provided to CCD as zeros. Missing data can temporarily be reported as “-1”. Eventually, all the data will need to be reported.
033	Free and Reduced Price Lunch	565	Free and reduced price lunch table	Integer	NCES	If there are no students reported in N/X052 Membership, no Free and Reduced Price Lunch will need to be submitted. When data is extracted and sent to CCD, the data will be reported as Not Applicable. If there are no students eligible for Free and Reduced Price Lunch for an LEA/School, the total of the education unit should be reported as zero. No other records will need to be submitted. When data is extracted and sent to CCD, both free and reduced will be reported as zero. Missing data can temporarily be reported as “-1”. Eventually, all the data will need to be reported.
059	Staff FTE	644	Teachers (FTE)	Decimal (to 2 places)	NCES	If a school has no teachers, report zero. This field is mandatory and cannot be left blank. If missing, temporarily use "-1" to represent missing. The file should be resubmitted once the missing data are available.
046	LEP Students in LEP Program	123	LEP students in LEP program table	Integer	OELA	If the count for an entire School is zero, submit only Grand Total as zero.
175	Academic Achievement in Mathematics	583	Academic achievement in mathematics Table	Integer	OESE	Zero counts required for performance levels.

File number	File name	DG ID	Data Group Name	Format	Steward	SCH Guidance
178	Academic Achievement in Reading (Language Arts)	584	Academic achievement in reading (language arts) table	Integer	OESE	Zero counts required for performance levels.
179	Academic Achievement in Science	585	Academic achievement in science table	Integer	OESE	Zero counts required for performance levels.
165	Migrant Data	110	Migrant students eligible regular school year	Integer	OESE/OME	If a school has no students, report zero. This field is mandatory and cannot be left blank. If missing, use "-1" to temporarily represent missing. The file should be resubmitted once the missing data are available.

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