



**U.S. DEPARTMENT OF EDUCATION**

***EDFacts* Workbook  
SY 2015-16**

**Version 12.0**

**December 2015**

This document was produced under U.S. Department of Education Contract No. ED-PEP-14-O-5013 with Applied Engineering Management Corporation. Brandon Scott served as the contracting officer's representative. No official endorsement by the U.S. Department of Education of any product, commodity, service or enterprise mentioned in this publication is intended or should be inferred.

**U.S. Department of Education**

Arne Duncan  
Secretary

**EDFacts**

Ross Santy  
System Owner

**December 2015**

This document is in the public domain. Authorization to reproduce it in whole or in part is granted. While permission to reprint this publication is not necessary, the citation should be: *EDFacts Workbook (SY 2015-16)*, U.S. Department of Education. Washington, D.C., EDFacts. Retrieved from <http://www.ed.gov/edfacts>

On request, this publication is available in alternate formats, such as Braille, large print, or CD Rom. For more information, please contact the Department's Alternate Format Center at (202) 260-0818.

---

## Document Control

### DOCUMENT INFORMATION

Title:	EDFacts Workbook SY 2015-16
Revision:	Version 12.0
Issue Date:	December 2015
Security Level:	Unclassified
Filename:	SY 2015-16 EDFacts Workbook V12.0

### DOCUMENT HISTORY

Version Number	Date	Summary of Change
1.0 –11.1		Versions in the 1.0 through 11.1 series are used to submit files for school years prior to SY 2014-15.
12.0	December 2015	Updates for the SY 2015-16 (ESS 12.0 series)

## Preface

EDFacts is a U.S. Department of Education (ED) initiative to govern, acquire, validate, and use high-quality, pre-kindergarten through grade 12 (pre-K–12) performance data. These data will be used for education planning, policymaking, management and budget decision making to improve academic outcomes for students. EDFacts 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 2015-16* is a reference guide to using the EDFacts Submission System (ESS) to submit data for school year (SY) 2015-16. 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 EDFacts (OMB 1875-0240, expires 2/29/2016).

## Table of Contents

Preface .....	iii
Table of Contents .....	iv
1. Introduction .....	6
Purpose.....	6
EDFacts Collection.....	6
2. Access to Systems .....	6
3. Technical Assistance.....	7
Partner Support Center (User Support).....	7
Other Resources .....	7
4. Reminders about Previous SYs .....	8
5. Overview of data to be submitted for SY 2015-16 .....	9
Accountability Data.....	9
Assessment Data .....	9
Teacher and Personnel Data .....	10
Elementary and Secondary Education Act (ESEA) Files .....	10
IDEA Files .....	11
Graduate / Completers and Dropouts.....	13
Limited English Proficient and Title III .....	14
Annual English Language Assessment .....	14
Perkins and Career and Technical Education .....	15
Public School Choice and Supplemental Education Services .....	15
SIG and RTT.....	15
Title I, Part A .....	16
Title I, Part C Migrant Education Program .....	16
Title I, Part D, Subparts 1 and 2 – Neglected and Delinquent.....	17
Title IX Education for Homeless Children and Youth Program.....	18
Appendix A: Relevant Department Regulation and Guidance .....	19
1. Regulation - Requiring the Electronic Reporting of Data to ED.....	19
2. Guidance - Reporting on Race and Ethnicity Data.....	19
3. Guidance - Reporting Data by Major Racial and Ethnic Groups.....	20
4. Guidance - States with Approved ESEA Flexibility Requests.....	20
Appendix B: Standard Data Definitions .....	22
1. Career and Technical Education (CTE) Concentrators.....	22
2. Children with Disabilities (IDEA).....	22
3. Limited English Proficient Students.....	23
4. Migrant .....	24
a. Eligible Migrant Children.....	24
b. Participating Migrant Children .....	24
5. Disability Categories Under IDEA.....	25

**Appendix C: Directory Files ..... 28**

- 1. Hierarchy ..... 28**
- 2. Directory Data ..... 31**
- 3. Directory Files ..... 33**

**Appendix D: State Abbreviations and State Codes..... 35**

**Appendix E: EDFacts Glossary..... 37**

## 1. Introduction

---

### Purpose

---

This document provides information on how to submit files through the *EDFacts* Submission System (ESS) for school year (SY) 2015-16. This document assumes a basic understanding of the *EDFacts* data framework. A glossary of *EDFacts* terminology appears in Appendix M.

Although the ESS shares an opening Web page with other data submission tools, this document only provides guidance on the *EDFacts* Submission System.

### *EDFacts* Collection

---

The Office of Management and Budget (OMB) approved the “Annual Mandatory Collection of Elementary and Secondary Education Data for *EDFacts*” for School Years 2014-15, 2015-16, and 2016-17. This data collection activity is approved until February 29, 2016, under OMB Control Number 1875-0240. The total data approved for collection by *EDFacts* includes:

1. Data submitted by state education agencies (SEAs) through ESS to *EDFacts*
2. Metadata from SEAs and other sources
3. Submission plans for data to be submitted by states to ESS

*EDFacts* does not collect individual student- or staff-level information. All information provided to *EDFacts* is aggregated—often by categories such as grade level.

In submitting data to *EDFacts*, states cannot suppress the data in small data cells except as specifically authorized by federal statute.

## 2. Access to Systems

---

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

Role	User Permissions
ESS Submitter	Submit files, review transmittal error reports, review submission status reports, view Education Unit Profile sub-application
ESS Reviewer	These users cannot submit data but are able to view data submissions in the <i>EDFacts</i> Submission System. Common Core of Data (CCD) Submitters and IDEA Part <i>B</i> Data Managers typically have this role.
<i>EDFacts</i>	Access the <i>EDFacts</i> Reporting System and run reports created for

Role	User Permissions
Reporting System User	SEA use including submission status reports.
<i>EDFacts</i> Coordinator	Approves ESS and <i>EDFacts</i> Reporting System users.

### 3. Technical Assistance

In addition to data submission guidance this workbook provides, a variety of resources are available to assist SEAs in submitting data through ESS. Many reference documents are available on the *EDFacts* Initiative page on ed.gov. The documents provide general information about the *EDFacts*, Data Governance, Documentation files (specific to *EDFacts*, CSPR, and IDEA), White Papers, and contact information. The resources posted are updated as frequently as possible and as resources allow.

Additional information on accessing technical assistance can be found in the appendices.

#### Partner Support Center (User Support)

To assist states with data submission, analysis and reporting, ED provides a dedicated Partner Support Center (PSC). 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 a Weekly Support Update that include submission reminders, system upgrade announcements, upcoming webinars, and other helpful information.

PSC also provides technical assistance through the [EDFacts Community Site](#). The *EDFacts* Community (known as Communities360) promotes collaboration, knowledge sharing, and interaction among *EDFacts* coordinators and the larger *EDFacts* community.

Contact information for PSC:

PSC is open from 8 a.m. to 6 p.m. ET, Monday through Friday.

**Toll Free:** 877-457-3336 (877-HLP-EDEN)

**Fax:** 888-329-3336 (888-FAX-EDEN)

**TTY:** 888-403-3336 (888-403-EDEN)

**E-mail:** [EDEN\\_SS@ed.gov](mailto:EDEN_SS@ed.gov)

#### Other Resources

**Reginfo.gov/public** - This site provides access to the information collection document sets of all Office of Management and Budget (OMB)-approved collection efforts.

#### **4. Reminders about Previous SYs**

---

ESS is closed for SY 2011-12 and previous SYs. We expect to close ESS for all SY 2012-13 submissions in the summer of 2015. The due dates for SY 2012-13 have all passed.

File 035, Federal Programs, for SY 2013-14 is due June 1, 2016. While the remaining due dates for SY 2013-14 files have passed; SEAs can update or complete submissions for this school year. These updates may not be reflected in data files published by ED and may not be reflected in data products developed for program purposes (e.g., profiles or published reports).

The final reporting for SY 2014-15 overlaps with the start of reporting for SY 2015-16. SEAs should follow their SY 2014-15 submission plans to complete reporting for SY 2014-15.

## 5. Overview of data to be submitted for SY 2015-16

This section contains information to assist you in submitting the rest of the files. We recommend that you review this information and the related file specifications with the data stewards. Stewards are generally state program office contacts in your SEA.

### Accountability Data

Accountability data are reported in the following files:

File #	File Name
103	Accountability
106	Elementary/Middle Additional Indicator
107	High School Graduation Rate Indicator
108	Mathematics Participation Status
109	AMO Mathematics Status
110	Reading/Language Arts Participation Status
111	AMO Reading/Language Arts Status
130	ESEA Status
132	School End of SY Status – School Improvement Funds 1003 (a) and (g)
150	Regulatory Adjusted-Cohort Graduation Rate
151	Cohorts for Regulatory Adjusted-Cohort Graduation Rate
152	Corrective Actions
153	Restructuring Actions

### Assessment Data

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

File #	File Name
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 Section 1.6 (Title III)
142	CTE Concentrators Academic Achievement	Perkins
159	Average Scale Scores	SIG

In addition to the files above, metadata related to Assessment Files are collected in the *EDFacts* Metadata and Process System (EMAPS) Assessment Metadata Survey. Detailed information about the survey is available in the EMAPS User Guide on the [EDFacts Initiative](#) page.

### Teacher and Personnel Data

---

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

File #	File Name
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 local education agency (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 for that file.

Data on the ***number of special education teachers (in FTEs)***, by highly qualified status that are hired to provide special education supports and services is reported in:

File #	File Name
070	Special Education Teachers (FTE)

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!** Permitted values reported in 099 must align with the responses to the IDEA EMAPS State Supplemental Survey.

### Elementary and Secondary Education Act (ESEA) Files

---

Many of the *EDFacts* files collected for ESEA are used to populate the Consolidated State Performance Report (CSPR). Once the SY 2015-16 CSPR is finalized, a crosswalk and data key will be posted to the *EDFacts* website. The *EDFacts* CSPR Crosswalk gives a high-level overview of which *EDFacts* files populate each CSPR

question. The data key gives more detailed information on how the data are populated into each CSPR question.

### ESEA Flexibility Waiver Data

If your state has an approved ESEA flexibility request, you may need to submit additional files. See Appendix A.4 for guidance to states with approved ESEA flexibility requests; when in doubt, please contact PSC with your questions and a ticket will be generated for the program office to respond.

File #	File Name
171	Academic Achievement – Flexibility Subgroups
172	Assessment Participation – Flexibility Subgroups
173	Status – Flexibility Subgroups
174	Graduation Rates – Flexibility Subgroups
176	State Interventions – Flexibility
177	Cohorts for Graduation Rates – Flexibility Subgroups
183	Title I Allocations – Flexibility

### IDEA Files

The IDEA files were formerly collected under separate OMB Information Collection packages. The IDEA Part B (ages 3 through 21) data are now included in the ED*Facts* Information Collection package. You may hear references to “IDEA Section 618” data because the statute identifies data collection requirements in Part B, Section 618 of the statute.

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

Table	Legacy Table #	File Numbers
Child count	1	002, 089
Education environment	3	002, 089
Personnel/Staffing	2	070, 099, 112
Exiting	4	009
Discipline	5	005, 006, 007, 088, 143, 144
Assessment	6	004, 175, 185, 178, 188

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

In addition to the files above, the following IDEA Part B and Part C (ages birth through 2 years) data are reported via EMAPS; the IDEA EMAPS data are generally submitted by the State IDEA Data Manager.

<b>EMAPS Survey Name</b>
EMAPS IDEA Part B Dispute Resolution
EMAPS IDEA Part B Maintenance of Effort (MOE) & Coordinated Early Intervening Services (CEIS)
EMAPS IDEA Part C Dispute Resolution
EMAPS IDEA Part C Exiting Collection
EMAPS IDEA Part C Child Count and Setting
EMAPS State Supplemental Survey
EMAPS Assessment Survey (co-managed with OESE)

### Child Count and Educational Environment Data

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 are 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 summary, 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. See Table 2.2-1 in each file specification for guidance, as well as section 2.4 for clarification in the form of questions and answers. 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 EMAPS IDEA State Supplemental Survey.

### IDEA Exiting Data

If an LEA reported students in 002 for students between the ages of 14 and 21 who exited special education during the year, 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.

### Discipline Data

These files are interrelated. 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	<ul style="list-style-type: none"> <li>The students reported in this file are also reported in either 006 or 005 or both.</li> <li>The removals of these students are reported in 143.</li> </ul>
006 – Suspensions/Expulsions	<ul style="list-style-type: none"> <li>These students are also reported in 088.</li> <li>If the expulsion meets the definition, these students are also reported in 144.</li> </ul>
005 – Removal to interim alternative educational settings	<ul style="list-style-type: none"> <li>These students are also reported in 088.</li> <li>The reasons for the removals are reported in 007.</li> </ul>

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 files 002 and 089, that is, the data reported in the category sets, subtotals, and total of the education unit must align.

### 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, etc.
082	CTE Concentrators Exiting	This file collects data on CTE concentrators who exited high school including those who graduated or dropped out.
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.

### Limited English Proficient and Title III

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

Area	File Numbers
Counts of LEP students	046, 141
Annual English language assessment	050, 137, 138, 139
Students served by Title III programs	116
Title III monitored former LEP students	126
Title III teachers	067
Title III AMAO	103
Immigrants	045

### 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. The following table shows the files containing the participation and assessment results counts for both all LEP students and for those served by Title III.

	Participation	Results
All LEP	137	139
Title III	138	050

### 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!** For SY 2015-16, report the CTE data that the state provided in the Perkins report in files 142, 154, 158. The Perkins report is due at the end of the calendar year. That data may be from a school year prior to SY 2015-16.

### 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

### SIG and RTT

Data required for reporting on School Improvement Grant (SIG) metrics are listed below, as well as data required for reporting by states with Race to the Top grants.

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

The following files are used to pre-populate the RTT Annual Performance Report:

File #	File Name	Used for	Scope
150	Regulatory Adjusted-Cohort Graduation Rate	RTT APR	Only RTT states
151	Cohorts for Regulatory Adjusted-Cohort Graduation Rate		
160	High School Graduates Postsecondary Enrollment		
161	High School Graduates Postsecondary Credits Earned		
175	Academic Achievement in Mathematics		
178	Academic Achievement in Reading/Language Arts		

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.

#### Title I, Part A

Title I, Part A programs can be classified into four types:

1. Public Schoolwide Programs (Public SWP)
2. Public Targeted Assistance Programs (Public TAS)
3. Neglected or Delinquent Programs (N or D)
4. 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.

#### 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: performance period (12-months), regular school year and summer/intersession. The matrix below classifies the files by the students included and the reporting period.

Migrant student group	Reporting period		
	12 months unduplicated	Regular school year	Summer / intersession
Eligible enrolled in public schools	N/A	165	N/A
Eligible for funding purposes	121 <i>Count 1 Migrant Child Count Report</i>	N/A	N/A
Eligible and served for funding purposes	N/A	N/A	122 <i>Count 2 on Migrant Child Count Report</i>
Served (including after period of eligibility expired)	054	N/A	N/A
Services to students	N/A	145	N/A
Priority for services	N/A	192	N/A

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

- 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.

The table below illustrates the relationship between the Neglect or Delinquent *EDFacts* files:

Student Population	Data Collected	Subpart 1 File Specification	Subpart 2 File Specification
All N or D youth	Program participation	119	127
	Academic and vocational outcomes attained while in program	180	180
	Academic and vocational outcomes attained after exiting program	181	181
	Transition services received	182	182
Long-term N or D youth	Assessment data (pre-post/test indicator and pre-test results)	135	135
	Assessment data (progress level)	113	125

Title IX Education for Homeless Children and Youth Program

Data on the Title IX Homeless are collected using:

File #	File name
043	Homeless Served (McKinney-Vento)
118	Homeless Students Enrolled
170	McKinney-Vento Subgrant Recipient Status

## Appendix A: Relevant Department Regulation and Guidance

---

This appendix describes major Department regulations and guidance affecting data submission through the ESS. While we strive to keep ED*Facts* Coordinators informed and documentation up-to-date, ED program offices may issue program specific regulation and guidance that are not listed below; we recommend that ED*Facts* Coordinators fully participate in state data governance initiatives to ensure awareness of new policies impacting ESS submissions and EMAPS responses.

### 1. Regulation - Requiring the Electronic Reporting of Data to ED

---

On February 25, 2007, Final Regulations were published to amend 34 Code of Federal Regulations (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* (OMB 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.

### 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 seven permitted values. The seven 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. Guidance - Reporting Data by Major Racial and Ethnic Groups

Under Title I of the ESEA, as amended, 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.

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. Guidance - States with Approved ESEA Flexibility Requests

On September 23, 2011, ED offered all states to request more flexible ESEA accountability standards at the SEA, LEA and school levels. This voluntary opportunity provided educators and State and local leaders flexibility regarding specific requirements of the No Child Left Behind Act of 2001 (NCLB) in exchange for rigorous and comprehensive State-developed plans designed to improve educational outcomes for all students, close achievement gaps, increase equity, and improve the quality of instruction. Over the 13 years since NCLB was enacted, SEAs and school districts have initiated education reforms and innovations to support improvements in instruction and student achievement. At this time many states have chosen to adopt Common Core State Standards (CCSS) which would establish continuity in educational content across participating states. These CCSS including the adoption of a common set of State-developed college- and career-ready standards in 44 States, and the District of Columbia; the development of next-generation accountability and support systems in more than 40 States; and the planning and implementation of reforms in teacher and principal evaluation and support in many States.

SEAs were invited to request flexibility pursuant to the authority in section 9401 of the Elementary and Secondary Education Act of 1965 (ESEA), which allows the Secretary of Education to waive, with certain exceptions, any statutory or regulatory requirement of the ESEA for an SEA that receives funds under a program authorized by the ESEA and requests a waiver. The waivers were effective through SY 2013–14. SEAs that began implementing ESEA flexibility in the 2012-13 school year have an opportunity to seek a one-year extension (i.e., through the 2014-15 school year). Since the opportunity for flexibility was announced, over 45 SEAs submitted flexibility requests; over 40 have been approved.

In order to ensure that SEAs receiving ESEA flexibility are continuing to meet the intent and purpose of Title I of ESEA, including meeting the educational needs of low-

achieving students, closing achievement gaps, and holding schools, LEAs, and SEAs accountable for improving the academic achievement of all students, ED will continue to collect all data related to student proficiency rates as well as performance against the annual measurable objectives (AMOs). In addition, in order to provide transparency around SEA implementation of new reforms and accountability measures, as well as to increase our understanding of the impact of selected interventions employed by the SEAs, certain additional *EDFacts* files may be required for states with approved ESEA flexibility requests. Each state with an approved flexibility request as of August 2013 received information from ED concerning the data that were expected to be reported.

For more information on ESEA flexibility, please visit <http://www2.ed.gov/policy/elsec/guid/esea-flexibility/index.html>.

## Appendix B: Standard Data Definitions

---

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

### 1. Career and Technical Education (CTE) Concentrators

---

Some files collect data on career and technical education (CTE) concentrators. When used in *EDFacts* file specifications, a career and technical education (CTE) concentrator is: A student who enrolled in a threshold level of vocational education.

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

### 2. Children with Disabilities (IDEA)

---

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

Children having 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.<sup>1</sup>

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

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

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.

### 3. Limited English Proficient Students

---

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

(A) who are ages 3 through 21;

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

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

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

(ii) (who are I and II)

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

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

(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

(i) the ability to meet the state’s proficient level of achievement on state assessments described in section 1111(b)(3);

(ii) the ability to successfully achieve in classrooms where the language of instruction is English; or

(iii) the opportunity to participate fully in society.<sup>2</sup>

To be classified as LEP, an individual must meet the criteria of A, B, C and D in the definition above. To meet the criteria for C, an individual can meet the criteria of any of i,

<sup>2</sup> Definition adapted from ESEA section 9101(25).

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 (MFLEP), but are not currently, can be included.
- The category “LEP status (RLA)” includes students who met the definition above and are not excluded because they have attended schools in the U.S. fewer than 12 months.

#### 4. Migrant

---

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

##### a. Eligible Migrant Children

---

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

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

##### b. Participating Migrant Children

---

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

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

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

## 5. Disability Categories Under IDEA

---

Some files collect data by disability categories under *IDEA*. Not all states use all disability categories allowed by *IDEA* (e.g., other health impairment; developmental delay for a subset of the allowable ages). Below are the definitions of the disability categories.

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

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

**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.

## Appendix C: Directory Files

---

This section describes the directory used in ED*Facts* and the file used to submit directory records. This section is intended to provide a basic outline of the directory in ED*Facts* and does not substitute for reading the directory file or XML specification when building and submitting directory files.

### 1. Hierarchy

---

ED*Facts* maintains a three-tier directory of education units in each of the 50 states, the District of Columbia, Puerto Rico, Department of Defense, 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 (SCH)

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.

#### 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*.

#### 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) Independent charter districts – Agencies administering only charter schools and/or charter schools that act as their own local education agency.
- e) Agencies that do not operate schools—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.
- f) 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.
- g) 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.
- h) 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). These LEAs report “no grades offered” in the grades offered file (or directory file for XML).

### 1.3. School

---

A school (for the purposes of CCD and ED*Facts*) is a site that provides elementary and secondary 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 (does not exclude virtual schools, see below)
- Has an assigned administrator(s)
- Receives public funds as its primary support, and
- Is operated by an education agency.

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

- a) Schools that have grades in addition to prekindergarten through 12 and ungraded, if one or more of grades kindergarten through 12 are included.
  - *Example:* Report a Vocational-Technical Center that offers grades 11, 12 and a postsecondary Associate’s Degree (sometimes considered grades 13 and 14).
  - *Exception:* Do not report postsecondary schools that offer prekindergarten services only. For example, a community college that includes a daycare center should not be reported.
- b) Schools that do not have students and staff because they are temporarily not in operation (but are expected to be in operation within 2 years).
  - *Example:* Report schools that are closed for renovations and future schools. Report schools that have no students simply because there are no students that year (e.g., a “one-room schoolhouse” without students that year).
- c) Schools that do not report students and/or staff because these are included in the data for some other school of record.
  - *Example:* Report a Vocational-Technical Center that serves multiple high schools even if students attending the Vocational-Technical Center are included in the membership counts for these other high schools.
- d) Charter schools. These operate under a public charter with public funds and are public schools. Report charter schools regardless of what agency administers them.
- e) Schools operated by agencies other than an LEA. Schools that fall within the definition of a school should be reported regardless of the agency responsible for

them. This includes, but is not limited to, state-operated schools such as those operated by the SEA, corrections, health and human services, juvenile justice, other state agencies, the governor's office or the State Board of Education.

- *Exception:* Schools under the administration of the Bureau of Indian Education and the U.S. Department of Defense Education Authority (DoDEA) are reported by these agencies. These schools are not reported by the SEA of the state in which the school is located.
- f) Schools that share the same campus or building, if they have separate administrators.
- *Example:* a single building with a principal for grades prekindergarten through 7 and a principal for grades 8 through 12 would be reported as two schools.
  - Note that cases in which programs are spread across several buildings or campuses are reported as a single school if they are under the direction of a single administrator (principal or equivalent).
- g) Virtual schools. Although students are not physically present, there is a physical facility associated with the transmission of courses and these schools must be reported.

## 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.

The grades-offered data should be maintained in conjunction with the directory data.

### 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 assigned 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. *EDFacts* associates the institution to the new state identifier as of the supplied effective date.

Each version of the directory specification identifies the SY to be included in the header. The SY specified in the header of the file will be used to determine which SY the changes and additions are processed against. Regardless of any effective dates specified in the submitted file, a directory file will only affect data for the SY specified in the header. For example, submitting a change using a SY 2015-16 (i.e., version 12.x) directory file will only affect data for SY 2015-16. To make the same change in a different SY requires that the change be submitted in a file specifically for that SY.

## 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.

## 2.3. Descriptive Data

---

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

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

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

## 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 be submitted for all LEAs and schools.

Some value(s) of grades 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.

### 3. Directory Files

---

The directory non-XML and XML file specifications contain 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 specifications for complete instructions on how to submit directory files.

#### 3.1. School-Year Specific

---

Because the directory data are school-year specific, the LEA and school directory data from SY 2015-16 will not roll over to SY 2016-17. SEAs need to submit all LEAs and schools at the beginning of each school year. To assist you, ED*Facts* reports EDEN017, School Directory Extract, and EDEN028, LEA Directory and Grades Offered Extract, provide your previous school year directory data.

#### 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.

#### 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 2015-16 as open, closes permanently in November 2015. The state should submit a SY 2015-16 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.

### 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.

### 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.

**Appendix D: 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
NEW YORK	36	NY

State name	State code	State abbreviation
NORTH CAROLINA	37	NC
NORTH DAKOTA	38	ND
OHIO	39	OH
OKLAHOMA	40	OK
OREGON	41	OR
PENNSYLVANIA	42	PA
RHODE ISLAND	44	RI
SOUTH CAROLINA	45	SC
SOUTH DAKOTA	46	SD
TENNESSEE	47	TN
TEXAS	48	TX
UTAH	49	UT
VERMONT	50	VT
VIRGINIA	51	VA
WASHINGTON	53	WA
WEST VIRGINIA	54	WV
WISCONSIN	55	WI
WYOMING	56	WY
AMERICAN SAMOA	60	AS
BUREAU OF INDIAN AFFAIRS	59	BI <sup>4</sup>
DEPARTMENT OF DEFENSE	63	DoD <sup>10</sup>
GUAM	66	GU
MARSHALL ISLANDS	68	MH
MICRONESIA	64	FM
NORTHERN MARIANAS	69	MP
PUERTO RICO	72	PR
REPUBLIC OF PALAU	70	PW
VIRGIN ISLANDS	78	VI

<sup>4</sup> Not official U.S. Postal State Abbreviations. The state abbreviations for the Department of Defense (overseas) schools are AA, AE, and AP to indicate schools located in Asia, Europe, and the Pacific, respectively. For Department of Defense (domestic) schools and Bureau of Indian Education schools, state abbreviations correspond to the state in which the school is located.

Appendix E: ED*Facts* Glossary

Term	Topic	See	Description
AMAO	ED		Annual Measurable Achievement Objective
AYP	ED		Adequate Yearly Progress
Category	ED <i>Facts</i>		A data category (category) characterizes a count, dollar value, or percentage rate in an ED <i>Facts</i> data group. A data category is a grouping that an SEA uses to aggregate data before the SEA sends the data to ED.
Category set	ED <i>Facts</i>		A data category set (category set) is a combination of data categories (e.g., racial ethnic by grade level).
CCD	ED		Common Core of Data collected by the National Center for Education Statistics (NCES)
CPS	ED		Census Processing System
CTE	ED		Career and Technical Education
CWD	ED	Appendix B	Children with disabilities (IDEA)
Data group	ED <i>Facts</i>		An ED <i>Facts</i> data group is a specific aggregation (i.e., group) of related data that are stored in ED <i>Facts</i> to satisfy the specific information need of one or more ED program offices. Thus, an ED <i>Facts</i> data group does not represent a single data entry but rather a set of related data entries. Each ED <i>Facts</i> data group is intended to be discrete, concise, universally understood, and non-redundant.
Data record	ED <i>Facts</i>		Detailed information, in a specified order and format, for an education unit.
ED <i>Facts</i>	ED <i>Facts</i>		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 <i>Facts</i> Coordinator	ED <i>Facts</i>		Official SEA contact for ED <i>Facts</i> and ED <i>Facts</i> Submission System.
Education unit	ED <i>Facts</i>		An individual education entity such as a SEA, LEA, or school.
Education unit level	ED <i>Facts</i>		Tier in the education hierarchy—school, LEA, or SEA level.
EMAPS	ED <i>Facts</i>		ED <i>Facts</i> Metadata and Process System.
ESEA	ED		Elementary and Secondary Education Act of 1965, as amended

Term	Topic	See	Description
ERS	EDFacts	Section 2	EDFacts Reporting System
ESS	EDFacts		EDFacts Submission System
File specification	EDFacts		A document that outlines the files, record layout and data elements in the record layouts.
IDEA	ED	Appendix B	Individuals with Disabilities Education Act
LEA	ED	Appendix C	Local education agency
LEP	ED	Appendix B	Limited English proficient (also known as English language learner)
MEP			Migrant Education Program
NCES	ED		National Center for Education Statistics
OMB	Federal		U.S. Office of Management and Budget—the approval authority for all data collections; administers and enforces the <i>Paperwork Reduction Act</i> of 1995.
PSC	EDFacts		Partner Support Center
Reporting period	EDFacts		The specific date or period of time for which data are reported.
SCH	EDFacts	Appendix C	School
SEA	ED	Appendix C	State education agency
SEA submitter(s)	EDFacts		Person(s) the SEA has approved to submit files and access the secure part of the EDEN Portal. Each submitter receives a personal USER ID and PASSWORD from ED.
SSP	EDFacts		State Submission Plan
Steward	ED		Office or person with the primary responsibility for a data group.
Submission	EDFacts		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 SY 2014–15, or current year status data for an LEA for the SY 2014–15.
SWP	ED		School-wide program for Title I
SY	ED		School Year
TAS	ED		Targeted Assistance Schools for Title I



The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

[www.ed.gov](http://www.ed.gov)