

U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

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| **FS199 - Graduation Rate Indicator Status File Specifications** |
| **SY 2019-20** |

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DOCUMENT CONTROL

DOCUMENT INFORMATION

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| **Title:** | FS199 - Graduation Rate Indicator Status File Specifications |
| **Security Level:** | Unclassified – For Official Use Only |

DOCUMENT HISTORY

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| --- | --- | --- |
| **Version Number** | **Date** | **Summary of Change** |
| 1.0 – 15.0 | October 2017 | Versions 1.0 through 15.0 are used to build files for school years prior to SY 2019-20. |
| 16.0 | October 2019 | Updated for SY 2019-20:   * Table 2.2-1: Revised “Zero exceptions or not applicable” guidance regarding no students * Added new section 2.4, “Categories and Permitted Values”, listing categories and permitted values used in this file * Guidance section renumbered to 2.5   + Deleted duplicate information on categories and permitted values from Q & A section   + Question “What are the permitted values for Graduation Rate Indicator Status?”: Revised description for the NOSTUDENTS permitted value   + Added new question “How should the “NOSTUDENTS – No students in the subgroup” permitted value be used?” * Definitions section renumbered to 2.6 |
| 16.1 | January 2020 | Table 2.3-1: Adjustment to Comments for All Students and All Students 1 – changed Rate to Student Count. |
| 16.2 | February 2020 | * Table 2.3-1: Adjustment to Comments for the category sets – added “by” before category name. * Table 2.3-1 Adjustment to Comments for All Students and All Students 1 - Change “student count” to “Graduation rate indicator status.” |

PREFACE

This document provides technical instructions for building files that are submitted through the ED*Facts* Submission System (ESS). The ESS is an electronic system that facilitates the efficient and timely transmission of data from SEAs to the U.S. Department of Education.

This document is to be used in coordination with other documentation posted on the [ED*Facts* Initiative Home Page](http://www2.ed.gov/about/inits/ed/edfacts/index.html) under ED*Facts* System Documentation, including:

* ED*Facts* Workbook – a reference guide to using the ED*Facts*

Submission System (ESS); particularly useful to new users; contains multiple appendices, including one that explains how to use the file specifications

* ESS User Guide – provides assistance to new users of the ED*Facts* Submission System (ESS); it addresses the basic mechanics of system access and data submission
* ED*Facts* Business Rules Single Inventory (BRSI) - a single inventory containing business rules applied to ED*Facts* data throughout the pre- and post-submission lifecycle of that data. The inventory describes each business rule, including the error number, type, message, definition, edit logic, and the file specifications where the business rules are applied

Please contact the Partner Support Center (PSC) with questions about the documents. You will find contact information for PSC and each State ED*Facts* Coordinator on the [ED*Facts* Contact Page](http://www2.ed.gov/about/inits/ed/edfacts/eden/contacts.html).

Data submitted through the ESS are authorized by an Annual Mandatory Collection of Elementary and Secondary Education Data Through ED*Facts* (OMB 1850-0925, expires 8/31/2022). ED*Facts* 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 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.

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# PURPOSE

This document contains instructions for building files to submit ED*Facts* Data Group 834: Graduation rate indicator status table. The definition for this data group is:

A school's performance on the graduation rate indicator.

The data collected using this file specification are required by the Elementary and Secondary Education Act (ESEA), as amended. These data will be used in the Consolidated State Performance Report.

The ED data stewarding office/s for this file: OESE

# GUIDANCE FOR SUBMITTING THIS FILE

This section contains changes from the previous school year, core requirements for submitting this file, required categories and totals, and general guidance.

## Changes from the SY 2018-19 File Specifications

The guidance has been updated and other editorial changes have been made. These changes are listed in the document history on page ii. There have been no changes to the record layouts.

## Core Requirements for Submitting this File

The following table contains the reporting period, the education units included or excluded, the type of count, and zero count reporting.

**Table 2.2-1: Core Reporting Requirements**

|  | **SEA** | **LEA** | **School** |
| --- | --- | --- | --- |
| Reporting Period |  |  | School Year - Any 12-month period |
| Education units included |  |  | Report only for operational schools with a 12th grade. |
| Education units not reported |  |  | Schools that do not have a 12th grade.  Closed, inactive, or future schools |
| Type of count |  |  |  |
| Zero counts |  |  |  |
| Zero exceptions or not applicable |  |  | Exclude records for schools that are not required to meet this indicator (for example, schools that do not have a 12th grade).  For schools with no students, use the “NOSTUDENTS” permitted value for the all students status. The records for the category sets may be excluded. Missing records will be interpreted as having no students.  Exclude records for Major Racial and Ethnic Group permitted values not used by the state. See Section 2.5 for further guidance on Major Racial and Ethnic Group.  ***Revised!*** |
| Missing |  |  | Use the “MISSING” permitted value in the status field of the record layout when a status is not available for a school or student subgroup that is required to meet this indicator. This includes cases where a student group is present in the school but the status is not available.  Use the “MISSING” permitted value in the category field (e.g., Major Racial Ethnic Group field) when data on the status by that category is missing (e.g., statuses by major racial ethnic group is not available). |
| Related metadata survey |  |  |  |

## Required Categories and Totals

The table below lists the combinations of the categories and totals that are expected to be submitted for the state and each LEA or school that should be included in the file.

* An “X” in the column indicates that the category value must be submitted when reporting that aggregation.
* The total indicator must be either “Y” (Yes) or “N” (No).
  + If the record is for a category set, specify an “N” (No).
  + If the record is for a subtotal or education unit total, specify a “Y” (Yes).
* The abbreviations in the “Table Name” column represent the technical name of the data used in the file.

**Table 2.3–1: Required Categories and Totals**

| **Aggregation** | **Table Name** | **State Defined Status** | **Major Racial and Ethnic Groups** | **Disability Status (Only)** | **English Learner Status (Only)** | **Economically Disadvantaged Status** | **Total Indicator** | **Comments** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Category Set A** | **GRADRATESTATUS** |  | X |  |  |  | N | Graduation rate indicator status by Major Racial and Ethnic Groups  ***Revised!*** |
| **Category Set A1** | **GRADRATESTATUS** | X | X |  |  |  | N | Graduation rate indicator status by Major Racial and Ethnic Groups - when state defined status  ***Revised!*** |
| **Category Set B** | **GRADRATESTATUS** |  |  | X |  |  | N | Graduation rate indicator status by Disability Status (Only)  ***Revised!*** |
| **Category Set B1** | **GRADRATESTATUS** | X |  | X |  |  | N | Graduation rate indicator status by Disability Status (Only) - when state defined status  ***Revised!*** |
| **Category Set C** | **GRADRATESTATUS** |  |  |  | X |  | N | Graduation rate indicator status by English Learner Status (Only)  ***Revised!*** |
| **Category Set C1** | **GRADRATESTATUS** | X |  |  | X |  | N | Graduation rate indicator status by English Learner Status (Only) - when state defined status  ***Revised!*** |
| **Category Set D** | **GRADRATESTATUS** |  |  |  |  | X | N | Graduation rate indicator status by Economically Disadvantaged Status  ***Revised!*** |
| **Category Set D1** | **GRADRATESTATUS** | X |  |  |  | X | N | Graduation rate indicator status by Economically Disadvantaged Status - when state defined status  ***Revised!*** |
| **All Students** | **GRADRATESTATUS** |  |  |  |  |  | Y | Graduation rate indicator status for all students  ***Revised!*** |
| **All Students 1** | **GRADRATESTATUS** | X |  |  |  |  | Y | Graduation rate indicator status for All Students - when state defined status  ***Revised!*** |

## *New!* Categories and Permitted Values

This section contains the categories and permitted values used for submitting this file.

**DG834 - Graduation rate indicator status table:**

**Graduation Rate Status**

Statuses for graduation rate

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| STTDEF | State defined status | This can be any string value defined by the state. |
| TOOFEW | Too few students |  |
| NOSTUDENTS | No students in the subgroup |  |
| MISSING | Missing |  |

**Major Racial and Ethnic Groups**

The major racial and ethnic groups states use for accountability and assessment data.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| MAN | American Indian \ Alaska Native \ Native American |  |
| MA | Asian |  |
| MAP | Asian \ Pacific Islander |  |
| MB | Black (not Hispanic) African American |  |
| MF | Filipino |  |
| MHN | Hispanic (not Puerto Rican) |  |
| MHL | Hispanic \ Latino |  |
| MM | Multicultural \ Multiethnic \ Multiracial \ other |  |
| MNP | Native Hawaiian \ other Pacific Islander \ Pacific Islander |  |
| MPR | Puerto Rican |  |
| MW | White (not Hispanic) \ Caucasian |  |
| MISSING | Missing |  |

**Disability Status (Only)**

An indication that children (students) are children with disabilities (IDEA).

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| WDIS | Children with one or more disabilities (IDEA) |  |
| MISSING | Missing |  |

**English Learner Status (Only)**

An indication that students met the definition of an English learner.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| LEP | English learner |  |
| MISSING | Missing |  |

**Economically Disadvantaged Status**

An indication that students meet the state criteria for classification as economically disadvantaged.

|  |  |  |
| --- | --- | --- |
| **Permitted Value Abbreviation** | **Permitted Value Description** | **Comments** |
| ECODIS | Economically Disadvantaged (ED) Students |  |
| MISSING | Missing |  |

## Guidance

This section contains guidance for submitting this file in the format of questions and answers.

**What schools must be reported in this file?**

States must report on all schools included within their accountability system. When reporting on the graduation rate indicator, states should only include high schools that have a 12th grade. To report on elementary and secondary schools, use FS201 Other Academic Indicator Status.

**What is the definition of a high school?**

Under Section 8101(28) of the Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA), the definition of a high school is as follows:

“(28) HIGH SCHOOL - The term ‘high school’ means a secondary school that—

(A) grants a diploma, as defined by the State; and

(B) includes, at least, grade 12.”

***Revised!* What are the permitted values for Graduation Rate Indicator Status?**

The graduation rate indicator has one of the following statuses for each student subgroup and for all students:

* **STTDEF:** A status defined by the state. The state defined status is provided in a separate field in the file.
* **TOOFEW:** The number of students in the school or for a student subgroup was less than the minimum group size necessary required to reliably calculate the indicator.
* **NOSTUDENTS:** There are no students in a student subgroup.
* **MISSING:** The status of the indicator for a specific school is not available at the time the file is prepared.

***New!* How should the “NOSTUDENTS – No students in the subgroup” permitted value be used?**

States must use this field for all schools that are included in the accountability system but have no students in the subgroup. Note that this is different from having ‘too few students’ in the subgroup. Do not leave schools with no students in the subgroup out of the file. See table 2.2-1 for the zero exception.

**What should be in the field ‘state defined status’?**

The field ‘state defined status’ is the status assigned by the state. ‘State defined status’ should be used for all schools that (1) are included in the state’s accountability system and have a grade 12, (2) have a status that is not missing, and (3) have an n-size that is equal to or greater than the state’s minimum group size for accountability. For these schools, the state would indicate that their graduation rate indicator status is “STTDEF” and, in the ‘state defined status’ field, the state will enter the state-specific values it uses within its accountability system.

For example, a state indicates in its consolidated state plan that, under the state’s accountability system for the graduation rate indicator, it assigns one of the following statuses to its schools: Green, Yellow or Blue. If the state determined that the performance of a school on the graduation rate indicator was “Blue” for all students, in the records for this school, the field ‘Status’ for the all students record would be “STTDEF.”In that same record, the field ‘state defined status’ would be “Blue.” See the example below of how the data will appear to ED in ESS.

**Table 2.5–1: Example of Data in ESS When State Uses Text Statuses**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **LEA Identifier (State)** | **School Identifier (State)** | **School Name** | **Graduation Rate Indicator Status** | **State Defined Status** |
| 12345 | 6789 | School A | STTDEF | Blue |

See table 4.2-2 for an additional example of the school-level data record for the above scenario.

Alternatively, a state may indicate in its consolidated state plan that, under the state’s accountability system for the graduation rate indicator, it assigns schools a value of 0 to 100. If the state determined that the performance of a school on the graduation rate indicator was 80 for category set C – English learner status (only), in the records for this school, the field ‘Status’ would be “STTDEF.” In that same record, the field ‘state defined status’ would be “80.” The field ‘state defined status’ is a string. Numeric values must be converted to text in order to be successfully submitted to ESS. See the example below of how the data will appear to ED in ESS.

**Table 2.5–2: Example of Data in ESS When State Uses Numeric Statuses**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **LEA Identifier (State)** | **School Identifier (State)** | **School Name** | **Graduation Rate Indicator Status** | **State Defined Status** |
| 12345 | 6789 | School A | STTDEF | 80 |

**Can a state include extended year adjusted-cohort graduation rates in its graduation rate indicator?**

States must base the graduation rate indicator on the four-year adjusted cohort graduation rate. At its discretion, a state may also include one or more extended year adjusted cohort graduation rates.

**What records are required?**

Each school with a 12th grade must have an “all students” record and records for each subgroup. A state is required to report records only on the major racial and ethnic groups that are aligned with their ESSA state plan.

**Table 2.5-3: Number of Records**

| **Category set or all students** | **Number of records per school or district** |
| --- | --- |
| Category set A – Major Racial and Ethnic Groups | One or more |
| Category set B – Disability Status (Only) | One |
| Category set C – English Learner Status (Only) | One |
| Category set D – Economically Disadvantaged Status | One |
| All Students | One |

**Which permitted values should be used for the category Major Racial and Ethnic Groups?**

States should use whichever permitted values best align with the major racial and ethnic subgroups outlined in their ESSA consolidated state plan.

## Definitions

See the [ED*Facts* Workbook](https://www2.ed.gov/about/inits/ed/edfacts/eden-workbook.html) for the standard definitions. This file specification has no additional definitions.

# FILE NAMING CONVENTION

The following file naming convention is to help identify files to provide technical assistance.

A maximum of 25 characters (including the file extension) is allowed for the file name.

The following is the naming convention for file submissions:

sslev**filename**vvvvvvv.ext

**Table 3.0-1: File Naming Convention**

|  |  |  |
| --- | --- | --- |
| **Where** | **Means** | **Limit in characters** |
| ss | USPS State Abbreviation | 2 |
| lev | Abbreviation for level:   * SCH for a school level | 3 |
| filename | **GRADRSTAT** | 9 |
| vvvvvvv | Alphanumeric string designated by the SEA to uniquely identify the individual submission (*e.g.,* ver0001, v010803) | 7 |
| .ext | Extension identifying the file format:  .txt – fixed  .csv – comma delimited  .tab – tab delimited | 4 |

# FIXED OR DELIMITED FILES

This section describes the fixed file and delimited file specifications. The fixed file and delimited files contain a header record followed by data records. The file type is specified in the header record.

The “Pop” column in the header and data records is coded as follows:

M - Mandatory, this field must always be populated

A - This field is populated in accordance with table 2.3-1 “Required Categories and Totals”

O - Optional, data in this field may not be required, see guidance in section 2.5

## Header Record Definition

The header record is required and is the first record in every file submitted to the ESS. The purpose of the header record is to provide information as to the file type, number of data records in the file, file name, file identifier, and file reporting period.

**Table 4.1–1: Header Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values**  **Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Type | 1 | 50 | String | M | Identifies the type of file being submitted. | **SCH GRAD RATE STATUS** |
| Total Records in File | 51 | 10 | Number | M | The total number of data records contained in the file. The header record is NOT included in this count. |  |
| File Name | 61 | 25 | String | M | The file name including extension, the same as the external file name. | See section 3.0 |
| File Identifier | 86 | 32 | String | M | Any combination of standard characters to further identify the file as specified by the SEA (e.g., a date, person’s name, and version number). |  |
| File Reporting Period | 118 | 9 | String | M | The school year for which data are being reported. The required format is "CCYY–CCYY" or "CCYY CCYY", where either a hyphen or a space separates the beginning and ending years. | **2019-2020**  OR  **2019 2020** |
| Filler | 127 | 333 | String | M | Leave filler field blank. |  |
| Carriage Return / Line Feed (CRLF) | 460 | 1 |  | M |  |  |

Below is an example of a header record.

**Table 4.1–2: Header Record Example**

|  |  |
| --- | --- |
| Format | File Type,Total Records in File,File Name,File Identifier,File Reporting Period,Filler,Carriage Return / Line Feed (CRLF) |
| Example | SCH GRAD RATE STATUS,15,euschGRADRSTATv000001.csv,characters to identify file,2019-2020,¶ |

## Data Record Definition

Data records are required and immediately follow the header record in every file submitted to the ESS. Data records provide the statuses and other data for the education units.

For the data records, there is an additional code in the “Pop” column:

SDS – This field is required when the permitted value in the Status field is “STTDEF” for state defined status.

**Table 4.2–1: Data Records**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values**  **Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Record Number | 1 | 10 | Number | M | A sequential number assigned by the State that is unique to each row entry within the file. |  |
| **DG559** State Code | 11 | 2 | String | M | The two-digit American National Standards Institute (ANSI) code for the state, District of Columbia, and the outlying areas and freely associated areas of the United States. | For a list of valid State Codes, refer to the ED*Facts* Workbook. |
| **DG570** State Agency Number | 13 | 2 | String | M | A number used to uniquely identify state agencies. This ID cannot be updated through this file. | **01** – State Education Agency |
| **DG4** LEA Identifier (State) | 15 | 14 | String | M | The identifier assigned to a local education agency (LEA) by the state education agency (SEA). Also known as State LEA Identification Number (ID). This data element cannot be updated through this file. |  |
| **DG5** School Identifier (State) | 29 | 20 | String | M | The identifier assigned to a school by the state education agency (SEA).  Also known as the State School Identification Number (ID).  This ID cannot be updated through this file. |  |
| Table Name | 49 | 20 | String | M | See table 2.3-1 Required Categories and Totals | **GRADRATESTATUS** |
| Major Racial and Ethnic Groups | 69 | 15 | String | A | The major racial and ethnic groups states use for accountability and assessment data. | **MAN** – American Indian \ Alaska Native \ Native American  **MA** – Asian  **MAP** – Asian \ Pacific Islander  **MB** – Black (not Hispanic) African American  **MF** – Filipino  **MHN** – Hispanic (not Puerto Rican)  **MHL** – Hispanic \ Latino  **MM** – Multicultural \ Multiethnic \ Multiracial \ other  **MNP** – Native Hawaiian \ other Pacific Islander \ Pacific Islander  **MPR** – Puerto Rican  **MW** – White (not Hispanic) \ Caucasian  **MISSING** |
| Disability Status (Only) | 84 | 15 | String | A | An indication that children (students) are children with disabilities (IDEA). | **WDIS** – Children with one or more disabilities (IDEA)  **MISSING** |
| English Learner Status (Only) | 99 | 15 | String | A | An indication that students met the definition of an English learner. | **LEP** – English learner  **MISSING** |
| Economically Disadvantaged Status | 114 | 15 | String | A | An indication that students meet the state criteria for classification as economically disadvantaged. | **ECODIS** – Economically Disadvantaged (ED) Students  **MISSING** |
| Filler | 129 | 15 | String | M | Leave filler field blank. |  |
| Filler | 144 | 15 | String | M | Leave filler field blank. |  |
| Filler | 159 | 15 | String | M | Leave filler field blank. |  |
| Filler | 174 | 15 | String | M | Leave filler field blank. |  |
| Total Indicator | 189 | 1 | String | M | An indicator that defines the count level – see table 2.3-1 Required Categories and Totals | **N** – Specifies category set  **Y** – Specifies subtotal or total of the education unit |
| Explanation | 190 | 200 | String | O | Text field for state use. |  |
| Graduation Rate Indicator Status | 390 | 15 | String | M | A school’s performance on the graduation rate indicator. | **STTDEF** – State defined status  **TOOFEW** – Too few students  **NOSTUDENTS** – No students in the subgroup  **MISSING** – Missing |
| State Defined Status | 405 | 200 | String | SDS | The state defined status assigned. |  |
| Carriage Return / Line Feed (CRLF) | 605 | 1 |  | M |  |  |

Below is an example of a data record, this is the set of data that should be submitted for each education unit. See table 2.3-1.

**Table 4.2–2: Data Record Example – School level**

For this example, the state defined statuses are yellow, green and blue. Each state uses its own state defined statuses.

|  |  |
| --- | --- |
| **Aggregation** | **Example** |
| Format | File Record Number,State Code,State Agency Number,LEA Identifier (State),School Identifier (State),Table Name,Major Racial And Ethnic Groups,Disability Status (Only),English Learner Status (Only),Economically Disadvantaged Status,Filler,Filler,Filler,Filler,Total Indicator,Explanation,Graduation Rate Indicator Status,State Defined Status,Carriage Return / Line Feed (CRLF) |
| Category Set A | 1,99,01,00614FEDERAL,0001SCH,GRADRATESTATUS,MA,,,,,,,,N,,STTDEF,Yellow¶ |
| Category Set B | 4,99,01,00614FEDERAL,0001SCH,GRADRATESTATUS,,WDIS,,,,,,,N,,STTDEF,Green¶ |
| Category Set C | 5,99,01,00614FEDERAL,0001SCH,GRADRATESTATUS,,,LEP,,,,,,N,,TOOFEW,¶ |
| Category Set D | 6,99,01,00614FEDERAL,0001SCH,GRADRATESTATUS,,,,ECODIS,,,,,N,,MISSING,¶ |
| All Students | 7,99,01,00614FEDERAL,0001SCH,GRADRATESTATUS,,,,,,,,,Y,,STTDEF,Blue¶ |



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