



U.S. DEPARTMENT OF EDUCATION

Education Data Exchange Network (EDEN)

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

September 2009

U.S. Department of Education

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September 2009

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

| Version Number | Date | Summary of Change |
|----------------|-----------|---|
| | | <p>5.0 – Added guidance about the submission edit when the 7 permitted values do not equal the total.</p> <p>6.0 – Revised opening sentence. Reformatted the tables.</p> <p>6.0 – Removed accountability and assessment data clusters</p> <p>7.0 – Added section on accountability and assessment data</p> <p>8.0 – Added text on <i>EMAPS</i></p> <p>9.0 – Clarified explanation of how data submitted as “two or more races” are handled for reporting.</p> |
| 5.1 | Jan 2009 | Added Appendix A: Instructions to Record Your Racial and Ethnic Data Reporting Plan in <i>EMAPS</i> |
| 5.2 | Feb 2009 | 4.0 – Added guidance when state has not implemented the 7 RE permitted values but has more than the 5 RE permitted values |
| 5.3 | Sept 2009 | <p>3.0 – Updated answer to question “when will the <i>EMAPS</i> tool be available to SEAs and when will it close”</p> <p>5.0 – Corrected names of 7 permitted values</p> <p>5.0 – Reworded paragraph to remove reference to number of files and instead direct reader to where the files are listed</p> <p>6.0 – Update names of files and data groups, Deleted column for submission period. Delete N/X47 LEP – Eligible. Add N/X148 and N/X149 to CTE cluster.</p> <p>7.0 – Update names of files and data groups. Deleted column for submission period. Add N/X107, N/X 150 and N/X151</p> |

RELEASE AUTHORIZATION

| Name | Signature / Date |
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PREFACE

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

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

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

CONTENTS

| | |
|---|----|
| DOCUMENT CONTROL..... | ii |
| PREFACE | iv |
| 1.0 Purpose..... | 1 |
| 2.0 Background | 2 |
| 3.0 Implementation in <i>EDFacts</i> | 3 |
| 4.0 Submitting using the 5 Permitted Values | 7 |
| 5.0 Submitting using the 7 Permitted Values | 8 |
| 6.0 List of Files Collecting Racial and Ethnic Data by Clusters | 10 |
| 7.0 Accountability and Assessment Data Groups and Files | 12 |
| 8.0 Overview of <i>EMAPS</i> for Racial and Ethnic Data Reporting Plans | 15 |
| 9.0 Public Reporting on Racial and Ethnic Data During the Transition | 16 |
| 10.0 APPENDIX A: Instructions for Recording Your Racial and Ethnic Data Plan in <i>EMAPS</i> | 17 |

1.0 PURPOSE

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

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

This document does not include a detailed explanation of the implementation of the racial and ethnic guidance. Information on the guidance is at <http://www.ed.gov/edfacts> under the heading "New Race and Ethnicity Guidance for the Collection of Federal Education Data."

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

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

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

Scope of this Document

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

2.0 BACKGROUND

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

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

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

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

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

3.0 IMPLEMENTATION IN EDFACTS

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

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

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

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

For SY 2008-09, each SEA must:

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

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

- Section 8 offers an introduction to *EMAPS*.
 - Appendix A of this document (forthcoming upon the release of the Racial and Ethnic Data Reporting Plan process in *EMAPS* in December) will detail how to record your Racial and Ethnic Data Reporting Plan in the *EMAPS* tool.
4. Submit the data to the EDEN Submission System (ESS) in accordance with the plan recorded in *EMAPS*.
- Section 4 explains how to submit using the 5 RE permitted values.
 - Section 5 explains how to submit using the 7 RE permitted values.

Key Things to Remember

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

What if we change our plan?

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

If after submitting a file, a State needs to change its plans for a cluster, the State must contact the EDFacts Partner Support Center (PSC). PSC will need to delete the data in

ESS before you will be able to submit data for that cluster with different RE permitted values to ESS.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

4.0 SUBMITTING USING THE 5 PERMITTED VALUES

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

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

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

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

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

- Leave out of any category set or subtotals with racial ethnic as a category
- Include in the category sets and subtotals that do not have racial ethnic as a category
- Include in total of the education unit³

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

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

³ The “total of the education unit” record was formerly referred to as the “grand total” record.

5.0 SUBMITTING USING THE 7 PERMITTED VALUES

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

The data by 7 RE permitted values will be submitted in the exact same fields as the data submitted by the 5 RE permitted values. However, the permitted values used in those fields are different. The 7 RE permitted values and the codes for each are listed below:⁴

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

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

A submission edit has been added to ESS to check whether the sum of the 7 RE permitted values equals the total for the education unit.⁵ If the sum of the 7 RE permitted values does not equal the total for the education unit, the SEA should add an explanation to the file in the record for the total of the education unit that describes why the sum does not equal the total of the education unit. The submission edit for the sum not equaling the total will appear on the submission report regardless of whether the explanation is included in the file.

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

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

⁴ The words “(not Hispanic)” have been removed from the permitted values “Black” and “White” because all the permitted values except for “Hispanic” are “(not Hispanic)” including the permitted value “Two or more races.”

⁵ The “total of the education unit” record was formerly referred to as the “grand total” record.

you may receive questions from NCES about significant changes from the prior year numbers.

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

6.0 LIST OF FILES COLLECTING RACIAL AND ETHNIC DATA BY CLUSTERS

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

Common Core of Data (CCD) Cluster

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

Perkins / Career and Technical Education (CTE) Cluster

| File Specification Number | File Specification Name | Data Group ID | Data Group Name |
|---------------------------|--|---------------|--|
| X/N082 | CTE Concentrators Exiting | 521 | CTE concentrators exiting table |
| X/N142 | CTE Concentrators Academic achievement | 681 | CTE concentrators academic achievement table |
| X/N083 | CTE Concentrators - Graduates | 320 | CTE concentrators graduates table |
| N/X 148 | CTE Participants Non-Traditional Fields | 691 | CTE participants non-traditional fields table |
| N/X149 | CTE Concentrators Non-Traditional Fields | 692 | CTE concentrators non-traditional fields table |

Individuals with Disabilities Education Act (IDEA) Cluster

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

| File Specification Number | File Specification Name | Data Group ID | Data Group Name |
|---------------------------|---|---------------|---|
| X/N006 | Children with Disabilities (IDEA) Suspensions/Expulsions | 475 | Children with Disabilities (IDEA) suspensions/expulsions table |
| X/N088 | Children with Disabilities (IDEA) Disciplinary Removals | 598 | Children with Disabilities (IDEA) disciplinary removals table |
| X/N143 | Children with Disabilities (IDEA) Total Disciplinary Removals | 682 | Children with Disabilities (IDEA) total disciplinary removals table |
| X/N009 | Children with Disabilities (IDEA) Exiting Special Education | 85 | Children with Disabilities (IDEA) exiting special education table |

Limited English Proficient (LEP) Cluster

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

Migrant Cluster

| File Specification Number | File Specification Name | Data Group ID | Data Group Name |
|---------------------------|--------------------------------------|---------------|--|
| X/N121 | Migrant Students Eligible - 12 Month | 634 | Migrant students eligible - 12 Month table |

Neglected or Delinquent (N or D) Cluster

| File Specification Number | File Specification Name | Data Group ID | Data Group Name |
|---------------------------|-------------------------------------|---------------|--|
| X/N127 | N or D Participation - LEA | 657 | N or D participation table- LEAs |
| X/N119 | N or D Participation - State Agency | 656 | N or D participation table- state agencies |

Title I Cluster

| File Specification Number | File Specification Name | Data Group ID | Data Group Name |
|---------------------------|--------------------------------------|---------------|--|
| X/N037 | Title I Part A SWP/TAS Participation | 548 | Title I Part A SWP/TAS participation table |

7.0 ACCOUNTABILITY AND ASSESSMENT DATA GROUPS AND FILES

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

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

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

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

Accountability and Assessment Data Groups and Files

| Data Group ID | Data Group Name | File Specification Number | File Specification Name |
|---------------|---|---------------------------|---|
| 552 | AMO reading/language arts status table | X/N111 | –AMO Reading/Language Arts |
| 553 | Reading/language arts participation status table | X/N110 | Reading/Language Arts Participation Status |
| 554 | AMO mathematics table | X/N109 | –AMO Mathematics |
| 555 | Mathematics participation status table | X/N108 | Mathematics Participation Status |
| 556 | Elementary/middle additional indicator status table | X/N106 | Elementary/Middle Additional Indicator |
| 557 | High school graduation rate indicator status table | N/X107 | High School Graduation Rate Indicator |
| 563 | Graduation rate table ⁶ | X/N041 | Graduation Rate |
| 583 | Academic achievement in mathematics table | X/N075 | Academic Achievement in Mathematics |
| 584 | Academic achievement in reading (language arts) table | X/N078 | Academic Achievement in Reading/Language Arts |

⁶ The data group “graduation rate” is used to report graduation rates for purpose of Title I accountability.

| Data Group ID | Data Group Name | File Specification Number | File Specification Name |
|---------------|---|---------------------------|---------------------------------|
| 585 | Academic achievement in science table | X/N079 | Academic Achievement in Science |
| 588 | Assesment participation in mathematics table | X/N081 | Assessment Participation |
| 589 | Assessment participation in reading (language arts) table | X/N081 | Assessment Participation |
| 590 | Assessment participation in science table | X/N081 | Assessment Participation |
| 695 | Graduation rate four year adjusted cohort | X/N150 | Graduation Rate Adjusted Cohort |
| 697 | Graduation rate extended year adjusted cohort | X/N150 | Graduation Rate Adjusted Cohort |
| 696 | Cohorts for graduation in four years | X/N151 | Graduation Cohort |
| 698 | Cohorts for graduation under extended time | X.N151 | Graduation Cohort |

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

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

⁷ The list was obtained from state accountability plans.

A few states included a group entitled “other” in their accountability plans. These states should determine if one of the permitted values above adequately describes the group entitled “other.” If one of the permitted values does not adequately describe the group entitled “other,” the SEA should inform ED. SEAs should also inform ED if the list above does not include all the major racial and ethnic groups used by the state.

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

8.0 OVERVIEW OF EMAPS FOR RACIAL AND ETHNIC DATA REPORTING PLANS

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

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

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

9.0 PUBLIC REPORTING ON RACIAL AND ETHNIC DATA DURING THE TRANSITION

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

- Combining the permitted value for “Native Hawaiian or Other Pacific Islanders” with the permitted value for “Asian” to create the permitted value for “Asian or Pacific Islander”
- Creating footnotes to explain that data reported under “two or more races” is included in the total but not included in the RE detail⁸

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

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

⁸ ED will not be allocating the numbers reported as “two or more races” to the 5 permitted values.

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

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

Before You Begin:

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

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

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

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

Instructions:

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

1. Log into EMAPS.

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

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

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

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



EMAPS
EDFacts Metadata and Process System

→ English (United States)

Username:

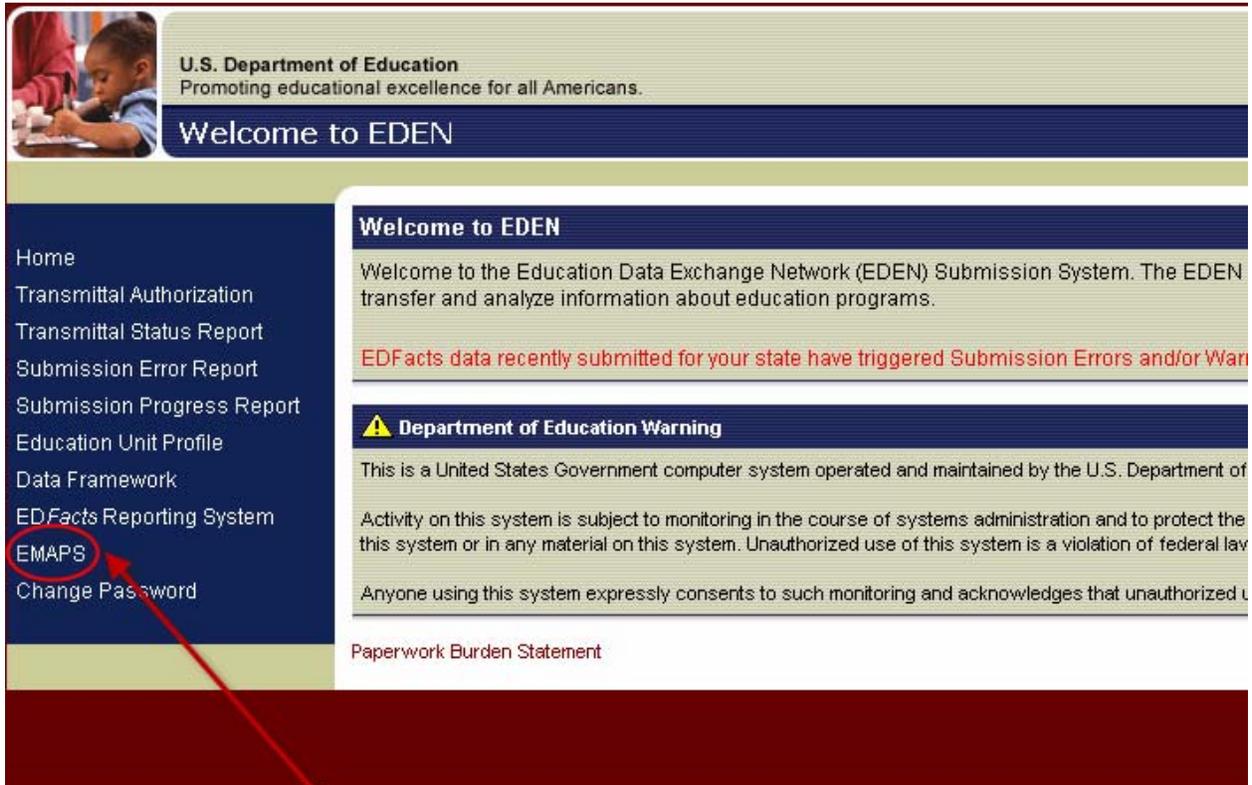
Password:

Optimize for slow connections.

 Log In

- B. To log into EMAPS through ESS, go to this link:
<http://eden.ed.gov.EDENPortal>
Enter your ESS username and password.

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



The screenshot shows the EDEN portal interface. At the top left, there is a small image of a child and the text "U.S. Department of Education Promoting educational excellence for all Americans." Below this is a "Welcome to EDEN" banner. On the left side, there is a navigation menu with the following items: Home, Transmittal Authorization, Transmittal Status Report, Submission Error Report, Submission Progress Report, Education Unit Profile, Data Framework, EDFacts Reporting System, **EMAPS** (circled in red), and Change Password. A red arrow points from the circled "EMAPS" link to the text "Link to EMAPS" below the screenshot. The main content area on the right contains a "Welcome to EDEN" message, a warning about submission errors, and a "Department of Education Warning" section.

Link to EMAPS

C. To log into EMAPS through the EDFacts website, go to this link:
<https://www.ed.gov/edfacts>

The screenshot shows the ED.gov website interface. At the top, there is the ED.gov logo and the U.S. Department of Education name. Below the logo is a navigation menu with tabs for Students, Parents, Teachers, and Administrators. A search bar is located in the top right corner. The main content area is titled 'INITIATIVES The EDFacts Initiative' and contains a quote from Margaret Spellings, Secretary of Education, about the initiative's goal to improve data use in policy-making. To the right of the main content is a 'MORE RESOURCES' section with three links: 'EDFacts Log-In (ED staff only)', 'EDEN Submission System Log-In (State users and ED staff) and EDFacts Log-In (State users with EDFacts access)', and 'EDFacts Metadata and Process System Log-In'. The last link is circled in red, and a red arrow points from it to the text 'Link to EMAPS' written in large red letters. On the far right, there is a 'SECRETARY'S CORNER' section with a photo of Margaret Spellings and a 'No Child Left Behind' logo.

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

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

The link to enter your Racial and Ethnic Data Reporting Plan appears as a blue hyperlink. When you **click on the “Enter the Reporting Plan”** http://lily.clark/Local Settings/Temporary Internet Files/OLK16/State training Materials 12.9.08.mht - msocom_1 **hyperlink**, a new screen will pop up. You will then be able to begin the Racial and Ethnic Data Reporting plan process.

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

The screenshot shows the EMAPS homepage. At the top left is the EMAPS logo with the tagline "EDFacts Metadata and Process System". On the top right, there are three circular icons: "Home", "Tasks (2)", and "Processes". Below these icons is a navigation bar with the text "Home" and "Welcome, John.Brandt | Options | Preferences | Help | Logout". On the left side, there is a search bar and a list of shortcuts under "Shortcuts" and "I want to...". The main content area has a heading "Racial and Ethnic Data Reporting Plan" and a blue hyperlink "Enter the Reporting Plan". Two red arrows point to the "Home" button and the "Enter the Reporting Plan" link.

Click here to
enter your
reporting plan

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

3. Review the Purpose screen.

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

ED Facts EMAPS

Racial and Ethnic Data Reporting Plan

Purpose

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

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

Additional Information

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

Related Links

- EDFacts Guidance on Submitting Racial and Ethnic Data
- List of Clusters for Racial and Ethnic Data
- Federal Register - 10/19/07
- Assistant Secretary Bill Evers' Letter to States

Begin Racial and Ethnic Data Reporting Plan

Click here to move
to the next screen

4. Review the Introduction screen.

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

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

User Input Task

John.Brandt assigned this task to you on Jan 5, 2009 at 5:27 PM EST.

Show task info ▾ 📎 Attachments and Notes (0)

 **Racial and Ethnic Data Reporting Plan**
Utah

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

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

"Previous"
returns
you to the
previous
page

"Cancel"
exits the
process

Click here to
view & edit your
reporting plan

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

This is the step where you enter your plan to transition from reporting 5 to 7 racial and ethnic permitted values. For each cluster, use the drop down menu boxes to indicate whether you will report with 5 or 7 racial and ethnic permitted values. *You are entering your reporting plan for SY 2008-09 only. A future release of the Racial and Ethnic Data Reporting Plan in EMAPS will cover SYs 2009-10 and 2010-11.*

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

User Input Task

John Brandt assigned this task to you on Jan 5, 2009 at 2:13 PM EST.

Show task info Attachments Notes

EDFacts EMAPS

Racial and Ethnic Data Reporting Plan
Utah

Racial and Ethnic Permitted Values by Cluster
Please enter Utah's reporting plan for SY 2008-09.

Common Core of Data (CCD) Cluster

Instructions
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:

SY 2008-09

CCD Cluster File List

| File Name |
|------------------------------|
| NX052 - Membership |
| NX032 - Dropouts |
| NX040 - Graduates/Completers |

Career and Technical Education (CTE) Cluster

Instructions
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:

SY 2008-09

CTE Cluster File List

| File Name |
|---------------------------------|
| NX082 - CTE Concentrators |
| NX142 - CTE Academic Attainment |
| NX083 - CTE Graduates |

Individuals with Disabilities Education Act (IDEA) Cluster

Instructions
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:

SY 2008-09

IDEA Cluster File List

| File Name |
|---|
| NX002 - CWD School Age |
| NX089 - CWD Early Childhood |
| NX005 - CWD Removal |
| NX007 - CWD Unilateral Removed Reasons |
| NX006 - CWD Suspensions/Expulsions |
| NX088 - CWD Disciplinary Removals |
| NX143 - CWD Total Disciplinary Removals |
| NX009 - CWD Exiting Special Education |

Limited English Proficiency (LEP) Cluster

Instructions
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:

SY 2008-09

LEP Cluster File List

| File Name |
|----------------------|
| NX046 - LEP Program |
| NX047 - LEP Eligible |

Migrant Cluster

Instructions
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:

SY 2008-09

Migrant Cluster File List

| File Name |
|--|
| NX121 - Migrant Students Eligible 12 Month |

Neglected or Delinquent (N or D)

Instructions
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:

SY 2008-09

N or D Cluster File List

| File Name |
|------------------------------------|
| NX127 - N or D Participation (LEA) |
| NX119 - N or D Participation (SEA) |

Title I Cluster

Instructions
Please use the pull-down menu below to enter the planned number of racial and ethnic permitted values for:

SY 2008-09

Title I Cluster File List

| File Name |
|-------------------------------|
| NX037 - Title I Participation |

Cancel <Back Continue >>

The list of files included within each cluster appears on the far right

Use the drop down menus to change the reporting plan to 5 or 7 for each cluster

"Cancel" exits the process and will not save your changes

Click here when done to review your plan

6. *Review and confirm your elections.*

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

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

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

 **User Input Task**

John.Brandt assigned this task to you on Dec 31, 2008 at 3:27 PM EST.

Show task info  Attachments  Notes



Racial and Ethnic Data Reporting Plan
Utah

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

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

Racial and Ethnic Permitted Value Reporting Plan

| Cluster | SY 2008-09 |
|---------|------------|
| CCD | 5 |
| CTE | 5 |
| IDEA | 5 |
| LEP | 5 |
| Migrant | 5 |
| N or D | 5 |
| Title I | 5 |


Click here to save your reporting plan in ESS

7. *View the confirmation page.*

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

User Input Task

John.Brandt assigned this task to you on Jan 5, 2009 at 5:52 PM EST.

Show task info ▾ 📎 Attachments and Notes (0)

EDFacts EMAPS

Racial and Ethnic Data Reporting Plan
Utah

Confirmation of Changes
Congratulations! The changes to your Racial and Ethnic Data Reporting Plan have successfully been saved. We look forward to receiving your data submissions according to this plan.

These changes were saved at 1/5/2009 5:52 PM EST.

Click on this link to download a copy of your Racial and Ethnic Data Reporting Plan:
[Utah Racial and Ethnic Data Reporting Plan](#)

When you are done click here

Click on the blue text to view your plan in a separate window

EDFacts EMAPS
EDFacts Metadata and Process System

Utah

Racial and Ethnic Data Reporting Plan

This report documents how the state will report racial and ethnic data in SY 2008-09. All states are required to report with 7 permitted values for all applicable files no later than school year (SY) 2010-11.

| Cluster | SY 2008-09 |
|---------|------------|
| CCD | 5 |
| CTE | 5 |
| IDEA | 5 |
| LEP | 5 |
| N or D | 5 |
| Migrant | 5 |
| Title I | 5 |

This Racial and Ethnic Data Reporting Plan was last updated on 1/5/2009 5:53 PM EST.

Congratulations!
You have now completed your Racial and Ethnic Data
Reporting Plan for school year 2008-09.

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



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