

FY 2010 ODE EMIS MANUAL

Chapter 1: Introduction to EMIS



Version 1.0
September 2, 2009

CHAPTER 1 REVISION HISTORY

Version	Change	Description
1.0	677	Under section 1.3 EMIS Reporting Periods, October Reporting, added bullet to reporting instructions to clarify reporting requirements around the 6/30 timeframe.
1.0	681	Add reference to data retention and other issues per ORC
1.0	702	All footnotes have been removed and the removed language of the footnotes have been added within the reporting instructions to section 1.1 Overview of EMIS – Data Validation and Security and Section 1.3 EMIS Reporting Periods - October
1.0	718	Update language describing the EMIS submission process impacted by the EMIS redesign
1.0	735	Removed references to February reporting in section 1.3 and Table 1. EMIS Data Category, Related Data Records, and Chapter in Which the Records Can Be Found
1.0	746	Added “STEM school” in section 1.2 under Reporting Responsibilities.

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1.1 OVERVIEW OF EMIS

Established by law in 1989, the Education Management Information System (EMIS) provides the architecture and standards for reporting data to the Ohio Department of Education (ODE). School districts, data processing centers operated by Information Technology Centers (ITCs), formerly Data Acquisition Sites (DA-Sites), and other EMIS reporting entities are linked for the purposes of transferring data to ODE.

EMIS is the statewide data collection system for Ohio's primary and secondary education. Staff, student, district/building, and financial data are collected through this system. Staff data include demographic, attendance, and course information. Demographic, student attributes, attendance, program, course, and test data are submitted to ODE at the student level. General school district and school building data, including financial data, are also reported through EMIS.

The source data for Ohio's accountability and funding systems are the EMIS data files. In addition, these files are utilized for many other state and federal requirements. There are four major functions of EMIS:

1. **State and Federal Reporting**

Originally designed almost exclusively as a data collection mechanism, many of the system's functions and most of the required data elements are statutorily defined. The EMIS provision in law (Ohio Revised Code section 3301.0714) requires that certain student, staff, and financial data elements be collected and maintained by school districts and subsequently submitted to ODE. One of the primary functions of EMIS is to streamline state and federal reporting requirements for school districts.

2. **Funding and Distribution of Payments**

EMIS provides a streamlined system for districts to report information required to receive state funding and to determine eligibility for federal funding. EMIS automates the complexity of the funding formula calculations specified in Ohio law so that districts do not have to interpret the legislation to calculate and report total counts of students. Districts report specific information on each student, such as various student demographic attributes data, percent of time educated, attendance/absence days, disability condition, etc. EMIS aggregates and compiles the data to determine funding.

3. **Academic Accountability System**

EMIS is at the heart of Ohio's academic accountability system for students, schools, and districts. It allows ODE to collect, analyze, and report data to a variety of audiences, such as policymakers, educators, administrators, and the general public, who need data to gauge the performance of their students. EMIS also serves as the mechanism for school districts to report test results – these academic assessments are at the core of the state's accountability system and are the basis of the local report card. EMIS enables both ODE and school districts to comply with state law and federal *No Child Left Behind* (NCLB) requirements.

4. **Generates Statewide and District Reports**

ODE collects, analyzes, and reports data to a variety of audiences, such as policymakers, educators, administrators, and the general public via EMIS. EMIS does provide data for the generation of state reports. Examples of statewide reports include: accountability reports, the local report card, and the Teacher Supply and Demand Report. Other statewide reports are produced from EMIS data for the following: legislators, education organizations, and policy and research needs. School districts also receive data verification reports in order to validate data submitted to ODE.

EMIS PROCESS

School district personnel, student software vendors, ITC staff, SSID (Statewide Student Identifier) third party vendor, staff, and representatives from the Ohio Department of Education each participate in a significant part of the EMIS process. The roles of the above units will be further discussed in later portions of this chapter. Below is an overview of how each of these units functions together, in each aspect of the EMIS Process.

Data Collection and Extraction

Data originate at the school district or EMIS reporting entity. Each entity may choose to report data, for operational purposes, using any student information software of their preference. However, EMIS data is to be reported and submitted according to the data definitions, requirements, and rules as instructed in Chapters 2, 3, 4, and 5 of the EMIS Manual. Once the data have been reported into the software system, local software extracts EMIS files and transfers the records to the ITC.

EMIS Maintenance Screens have been developed by the SSDT (State Software Development Team). These screens allow school districts that have not yet adopted a local student software system and edit/update their EMIS data files at the ITCs.

Data Validation

Prior to submitting the EMIS data to ODE, reporting entities have the opportunity to review their data, which is checked for accuracy and completeness. Derived from the business rules at the Department of Education, a series of Level 1 checks will either allow data to be submitted to ODE, or disallow data from being submitted in the form of a fatal error. Data that receive an error other than a fatal are still accepted at ODE. However, the warning message may indicate a problem with how the data was reported. EMIS reporting entities have the opportunity to review validation and error reports.

Data Submission

Once software at the ITC has compiled and formatted the data, data files/records are submitted to ODE. Each file is submitted according to its file layout as described in Chapter 5 of the EMIS Manual. Calculations for state and federal requirements are applied at ODE. The data are then used for funding, accountability, and reporting.

Data Verification

After each EMIS processing, ODE releases data verification reports that are accessible to the school districts. The data verification reports are tools which the school districts, and ITCs, can use to ensure that data have been reported accurately and completely to the Department of Education. These reports may include one or more of the following in any particular reporting period:

- Level 2 data checks (between districts and across reporting periods) viewed in the Data Collector at the ITC
- CSV and TXT files created by ODE on a periodic basis and made available through the ITC

- Customizable reports that EMIS reporting entities run as-needed in ODE's Secure Data Center (SDC)

Operational Data Store and Data Warehouse

After each EMIS processing, the EMIS files are moved into an operational data store, within the department. At the end of each reporting period, accountability data such as local report card data are cleansed and then moved into the ODE data warehouse. Local report card and accountability data are both defined and retrieved from the data warehouse within the department.

SECURITY

ITC sites must have a security policy that specifies procedures for access to their computers and to their databases. Copies of this policy shall be provided to all EMIS reporting entities whose data are being processed by the ITC. Procedures for assigning new user accounts, rotating and security of user passwords, and maintaining accounts for employee turnover must be included in the security policy.

All personnel at the ITC are to be bonded against the unauthorized use or release of EMIS data. Pursuant to state legislation, the following is in effect: "Any person who removes data from the information system established under this section for the purpose of releasing it to any person not entitled under law to have access to such information is subject to section 2913.42 of the [Ohio] Revised Code prohibiting tampering with data." (ORC § 3301.0714(K)). The ITC site may not provide any EMIS data to any individual, company or agency without the expressed written consent of the EMIS reporting entity, other than data that the ITC submitted to the Department.

All policies specified within the Ohio Revised Code (ORC) pertaining to the protection of student privacy and the maintenance and retention of confidential records shall be followed by all district and ITC personnel.

1.2 REPORTING RESPONSIBILITIES

EMIS REPORTING ENTITIES

All city, local, and exempted village school districts, as well as vocational, educational service centers, community schools, STEM districts, and the Ohio Department of Youth Services, are required to report data through EMIS. In addition, the Ohio School for the Deaf and the Ohio School for the Blind also report data through EMIS. These entities are required to report data according to the file layouts described in Chapter 5.

The accuracy and correctness of the data is the sole responsibility of the EMIS reporting entity. Data validation and error reports are provided; however, the reporting entities are responsible for correcting such errors in a timely manner and resubmitting their data.

EMIS Coordinator

Each EMIS reporting entity must designate an individual to serve as their EMIS Coordinator. This person receives all EMIS mailings, disseminates information to the appropriate persons, and ensures EMIS data is collected and reported in accordance with the EMIS manual on behalf of the reporting entity.

INFORMATION TECHNOLOGY CENTERS

The Ohio Education Computer Network (OECN), comprised of the Information Technology Centers (ITCs), serves as the primary data acquisition vehicle. These sites host the software needed to collect and validate data prior to transfer to the Department.

Processing data is an important function of the ITC. This includes extracting, validating, formatting, and transferring data according to the requirements set forth by the Department of Education.

Some large city school districts function independently of an ITC and process all of their data locally. They do not use the services of an acquisition site in the OECN. These entities are responsible for processing, formatting, validating, and transferring EMIS data according to the business rules set forth in this manual. All data files/records must be submitted containing all data elements, as defined in the file layouts of Chapter 5.

SSID PROVIDER

Although the SSID provider does not report directly to EMIS, they are responsible for maintaining the unique State Student Identifier database. One unique SSID is required for each public school student in Ohio. EMIS reporting entities, when reporting student-level data, must report the SSID on all student-level records transferred to ODE. IBM is the third party vendor for assigning unique SSIDs. In addition, valid SSID files are provided for purposes of data verification.

OHIO DEPARTMENT OF EDUCATION

The EMIS staff at the Ohio Department of Education (ODE) document the EMIS data elements, definitions, and requirements in the form of the EMIS Manual. The appropriate file record layouts and data formats are also included in the manual. The manual provides EMIS data reporting instructions for EMIS reporting entities, EMIS Coordinators, ITC personnel, and educational software vendor staff.

ODE provides standard editing procedures to ITCs, educational software vendors, and EMIS reporting entities. These include specifications for the validations, errors, and options.

In addition, ODE is also responsible for the following:

- utilizing EMIS data to ensure appropriate funding for school districts
- compiling state and federal reports according to their respective requirements
- distributing local report cards
- informing decisions regarding policy and/or legislation

1.3 EMIS REPORTING PERIODS

Within a school year, there are several nonconsecutive reporting periods. Each period is open for a different length of time, during a different part of the year. Different data elements and records are reported during each reporting period, as each has a unique purpose. Below is a brief, high-level, description of each reporting period.

OCTOBER (K)

Reporting Period K is most often referred to as October (K) reporting period. Student, staff, program, and course data are the primary data elements collected during this reporting period. One of the main purposes of the October (K) reporting period is to capture school district enrollment during the first full week of October. Known as “October count week,” and based in law, Ohio school districts are funded based on the student ADM (average daily membership) as reported to EMIS during the October count week. Community schools are not funded based on October count week, but are instead funded monthly through the SOES. Exceptions do apply regarding the timing of count week, and waivers are available to move a count week prior to the first full week of October. This is addressed later in the ODE EMIS Manual.

Generally, the October (K) reporting period captures all students that were enrolled at any point from the day after the last day of the previous school year through the end of the district’s October Count Week. This includes students who were enrolled at the end of the previous school year who withdrew over the summer and students who were enrolled during the current school year but withdrew prior to the district’s October Count Week.

However, there are a couple of exceptions. The following are situations when the data collected in the October (K) reporting period does not necessarily reflect a student who was enrolled during the above mentioned time frame.

- Preschool students who have enrolled after the district’s October Count Week but on or before December 1.
- Students the district chooses to report who enrolled after the district’s October Count Week but prior the last submission for the October reporting period.

DECEMBER (M)

Reporting period M, also known as December (M) reporting period, captures all students who have a current IEP by the Federal Child Count date [usually December 1] of the current year. Student records are reported during this timeframe. Federal requirements require children with disabilities enrolled on or prior to the Federal Child Count date [usually December 1] of the current school year to be counted in the child count reported to them.

MARCH (D)

Also known as March reporting, CTE (career-technical education) Workforce Development Follow-Up data are reported during this reporting period. Additionally, the student CTE Industry Assessment may be reported for the same set of students. These two records are the only records reported.

YEAREND (N)

Yearend (N) reporting is a data collection reflecting the district’s entire school year, with the exception of the CTE record reported in reporting period D. Yearend is designed to capture what has occurred in each district throughout the school year. This includes data elements describing student discipline, gifted, and

attendance. Student testing records are also reported at yearend, which drive the local report card and district accountability reports.

GRADUATION (G)

The Graduation (G) reporting period captures data related to graduating students. This data will include diploma information and all data necessary to verify that the student has met credit and testing graduation requirements. In addition, the Graduation-Only Test Record is reported during this reporting period.

JULY (H)

Financial data elements are reported during the H reporting period.

FIVE YEAR FORECAST (P)

Five Year Forecast data are reported during the P reporting period.

EMIS REPORTING PERIODS

Each reporting period has a beginning and an ending EMIS data processing date. Because the calendar dates change from year to year, the EMIS processing schedule, indicating the beginning and end of each reporting period, may change. The EMIS processing schedule can be found on the EMIS website.

1.4 GETTING HELP

The Department recognizes the need to provide support for EMIS. ODE has worked extensively to improve its customer support system. A customer service process has been designed based on input and recommendations from both school districts and ITCs. The goal of the customer support system is to efficiently and effectively respond to inquiries by leveraging Department, ITC, and also reporting entity resources.

EMIS COORDINATORS

The first level of support is the designated EMIS Coordinator within each reporting entity. The EMIS coordinator is responsible for the accuracy, completeness, and transfer of the EMIS data to the ITC. EMIS Coordinators should be the first to be consulted with any EMIS questions.

INFORMATION TECHNOLOGY CENTERS

If an EMIS coordinator needs assistance, then he/she should contact his/her ITC as the second level of support for assistance. The ITCs' extensive EMIS expertise and close contact with districts enable them to provide rapid and reliable responses to 98 percent of districts' questions.

HELP DESK

As a third level of support, ITCs can direct questions to ODE and/or the SSDT through the EMIS Help Desk. Technical questions may be answered by the SSDT as well as ODE. ODE generally will address education program related questions. Some inquiries require in-depth research, policy guidance and/or legal interpretation from ODE. They often cannot be addressed by a single individual or office within ODE.

1.5 SYNOPSIS OF DATA RECORDS

Chapters 2, 3, and 4 each cover a particular set of data, as reported to EMIS. Each element has been precisely defined through a cooperative effort of school administrators, educational software vendors, the general public and representatives from ODE and OECN. EMIS is updated annually with data elements, definitions and reporting requirements in order to comply with changes in both State and Federal legislation, and also changes in educational programs/business rules. Therefore, data elements may be added and defined, removed, or adjusted annually according to such requirements.

Data for EMIS are reported in various formats. Data may be required to be submitted in the format of text, date, yes/no options, or numeric values. Valid options for various data elements are also defined in the subsequent chapters. When submitting a date value, the general format in which the date is submitted from school districts is in the format of Year, Month, Day: YYYYMMDD. Generally, student software programs will ensure that the correct format of the date is submitted even though the date may not be entered into the student software package as YYYYMMDD. Chapter 5 of the EMIS Manual lists the valid format for a year in the COBOL format: CCYY (century, year). A year in this century is considered 20XX even though we are in the 21st Century.

The table below summarizes EMIS data by means of category. The associated data records as reported to ODE are listed next to the corresponding category. A comprehensive list of all data records, elements within each record, field record numbers, and required data format per element can be found in Chapter 5 of the EMIS Manual. However, the specific reporting instructions and definitions for each data element, found on each data record, are located in the following chapters of this manual.

Table 1. EMIS Data Category, Related Data Records, and Chapter in Which the Records Can Be Found

Data Category	Data Records	Reporting Instructions
Student	Demographic, Student Standing, Student Attribute Effective Date, Student Attribute No Date, Testing, CTE Testing, Course, Program, Discipline, Gifted, OTELA (English Language Development Assessment), Kindergarten Readiness-Literacy, Preschool Assessment, Preschool ASQ, Preschool ECO, Special Education, CTE Follow-Up, CTE Industry Assessment, CORE Graduation	Chapter 2
Staff	Demographic, Employment (Job), Contractor, Contractor Only, Summer Employment Separation, Course, Correlated Class Schedule for CTE, Mapped Local Classroom Code	Chapter 3
District & Building	Fall/October, Yearend, Financial, Testing	Chapter 4
Financial	Cash, Expenditure, Receipt, Operational Unit, Exhibit 1, Statement R, Federal Assistance Detail, Schedule of Capital Assets, Spending Plan, Five Year Forecast	Chapter 4

1.6 LEGISLATION

Amended Substitute House Bill 140, passed by the 118th Ohio General Assembly in June of 1989, became effective August 2, 1990.

[Section 3301.0714](#) of the Ohio Revised Code required the State Board of Education to “adopt rules for a statewide Education Management Information System.” These rules, formulated by the EMIS Standards and Reporting Committee appointed by the state Superintendent of Public Instruction were proposed to the State Board of Education and became effective in April 1991. The adopted rules provide the organizational structure for the Ohio Education Management Information System (EMIS).

Amended Substitute House Bill 215, passed in June 1997, includes data accountability requirements to EMIS.

Amended Substitute House Bill 282, passed in July 1998, authorized the reporting of personally unidentifiable student level data through EMIS.

Through the use of a third-party administrator, the Statewide Student Identification System was implemented in 2002. Unique data verification codes are assigned to students in public school districts and community schools.

In 2003, HB 95 replaced the uniform software language in §3301.0714 (HB 215 of 1997) with the language mandating software be certified as EMIS compliant.

Complete versions of the above Revised Code sections can be found at Lawriter Ohio Laws and Rules <http://codes.ohio.gov/>.

In addition, analyses and summaries of the above acts, along with the complete text of each act can be found on the Ohio General Assembly’s website: <http://www.legislature.state.oh.us/search.cfm>.

1.7 TERMS OF USE

The Ohio Department of Education assumes no responsibility for any user's interpretation of an ODE EMIS Manual that has been downloaded, manipulated/alterd, and/or disseminated through a means other than the ODE website.

1.8 NAVIGATING THE EMIS MANUAL

FORMAT

The EMIS Manual is created in Microsoft Word 2003. However, it is available on the ODE EMIS website in both Microsoft Word and also Adobe PDF formats.

A separate Word/PDF document is created for each of Chapters 1-5 and also for all appendices. Every chapter has its own cover and table of contents pertaining only to the content in that particular chapter. Appendices may or may not have a table of contents, depending upon the nature/content of the appendix itself.

DOCUMENT MAP

Microsoft Word provides a tool called a Document Map to assist readers in navigating larger documents electronically. The Document Map is a separate pane that displays a list of headings in the document. Use the Document Map to quickly navigate through the document while keeping track of your location.

When you click on a heading in the Document Map, Microsoft Word jumps to the corresponding heading in the document, displays it at the top of the window, and highlights the heading in the Document Map.

You can choose the level of detail to display in the Document Map. For example, you can display all headings or only top-level headings, or show or hide detail for individual headings. You can also set the font and size of the headings in the Document Map and change the highlight color of the active heading.

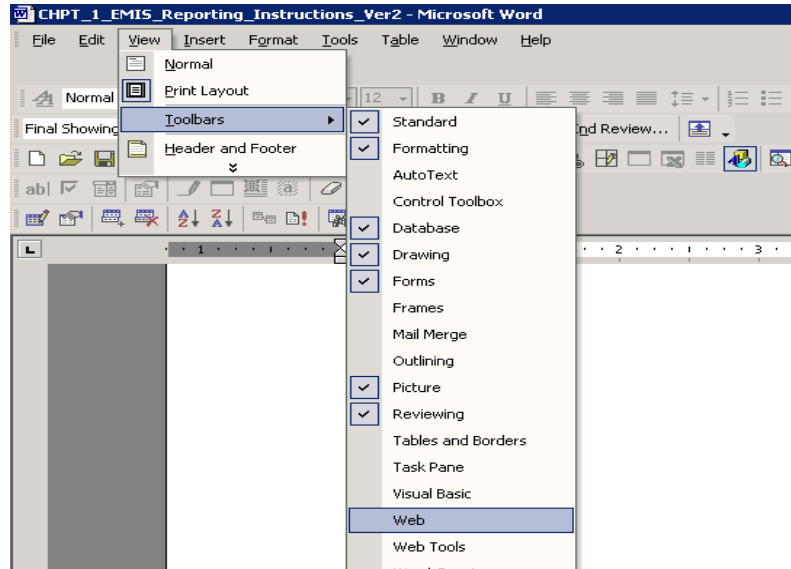
To get to the Document Map, click on “View”, and then select Document Map. For more information on the Document Map, click on Help, and search on Document Map.

Similar to the Document Map, Adobe Acrobat (PDF) allows the user to navigate through the document by utilizing the “bookmark” tab on the left side of the page. Scroll to the section of the document you are interested to read and click on the heading.

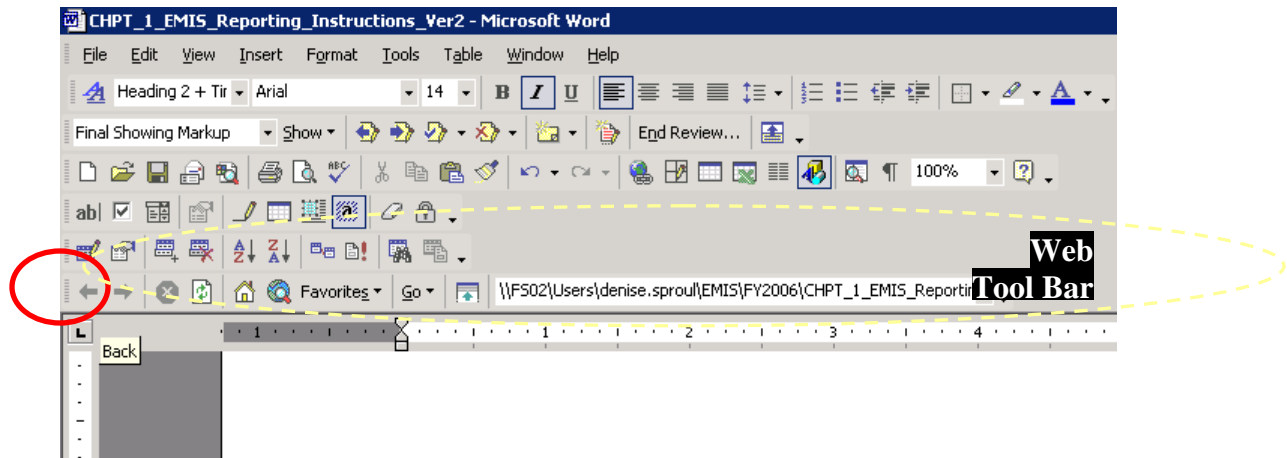
TABLE OF CONTENTS

When viewing electronically, the Table of Contents acts as hyperlinks to the pages in the document, as identified in the table. Hover over a particular item in the Table of Contents with your cursor, press the Ctrl button on the key board and click the mouse. Microsoft Word takes you directly to that section of the document.

In a sense, Microsoft Word has the capability of acting like a web browser; the user can return or go back to the Table of Contents, or to the page he/she was reading after clicking a link that took him/her to a different page in the document. This functionality is similar to that of the back button in a web browser, and can be done with the appropriate tool bar showing in MS Word: the Web toolbar. In order to have the web toolbar appear in MS Word, go to View > Toolbars > Web toolbar. Below is a picture.



Below is a picture of what the Web tool bar looks like in Microsoft Word 2003. The back button is circled. When hovering over it with the cursor, the back caption will appear.



The Table of Contents in the Adobe (PDF) version provides similar functionality. The only exception that the user only has to point and click on the heading and **not** hold down the control button as with Microsoft Word.