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U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

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| **FS196 - Management Organization for Charter Schools Roster File Specifications** |
| **SY 2018-19** |

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DOCUMENT CONTROL

DOCUMENT INFORMATION

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| --- | --- |
| **Title:** | FS196 - Management Organization for Charter Schools Roster File Specifications |
| **Security Level:** | Unclassified – For Official Use Only |

DOCUMENT HISTORY

|  |  |  |
| --- | --- | --- |
| **Version Number** | **Date** | **Summary of Change** |
| 1.0 – 14.0 |  | Versions 1.0 through 14.0 are used to build files for school years prior to SY 2018-19. |
| 15.0 | August 2018 | Updated for SY 2018-19:   * Added new Section 2.4.2 with guidance explaining Employer Identification Number (EIN) |
| 15.1 | January 2019 | * Section 2.1: Updated to reflect change in Employer Identification Number (EIN) format * Section 2.4.2: Corrected Employer Identification Number (EIN) data group number to DG826 * Section 4.2: Noted EIN definition and format as revised |

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 Guide – 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 6/30/2020). ED*Facts* is a U.S. Department of Education (ED) initiative to govern, acquire, validate, and use high-quality, kindergarten through grade 12 (K–12) performance data for education planning, policymaking, and management and budget decision-making to improve outcomes for students. ED*Facts* centralizes data provided by SEAs, LEAs and schools, and provides users with the ability to easily analyze and report data. This initiative has significantly reduced the reporting burden for state and local data producers, and has streamlined data collection, analysis and reporting functions at the federal, state and local levels.

**Contents**

[DOCUMENT CONTROL ii](#_Toc536178596)

[PREFACE iii](#_Toc536178597)

[1.0 PURPOSE 1](#_Toc536178598)

[2.0 GUIDANCE FOR SUBMITTING THIS FILE 2](#_Toc536178599)

[2.1 Changes from the SY 2017-18 File Specifications 2](#_Toc536178600)

[2.2 Core Requirements for Submitting this File 2](#_Toc536178601)

[2.3 Required Categories and Totals 2](#_Toc536178602)

[2.4 Guidance 2](#_Toc536178603)

[2.4.1 Management Organization Type (DG829) 2](#_Toc536178604)

[2.4.2 Employer Identification Number (EIN) (DG826) *NEW!* 4](#_Toc536178605)

[2.4.3 Organization Address Location (DG827) 4](#_Toc536178606)

[2.4.4 Organization Address Mailing (DG828) 4](#_Toc536178607)

[2.5 Definitions 5](#_Toc536178608)

[3.0 FILE NAMING CONVENTION 6](#_Toc536178609)

[4.0 FIXED OR DELIMITED FILES 7](#_Toc536178610)

[4.1 Header Record Definition 7](#_Toc536178611)

[4.2 Data Record Definition 8](#_Toc536178612)

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# PURPOSE

This document contains instructions for building files to submit the following ED*Facts* data groups:

**Table 1.0-1: ED*Facts* data groups**

|  |  |  |
| --- | --- | --- |
| **Data Group Name** | **DG** | **Definition** |
| Management organization name | 825 | The full legally accepted name of the management organization. |
| Employer identification number (EIN) | 826 | The identification number issued by the IRS in order for the entity to pay federal taxes to the U.S. Treasury and report wages to the IRS and Social Security Administration. |
| Organization address location | 827 | The set of elements that describes the physical location of the management organization, including the street address, city, state, ZIP Code and ZIP Code + 4. |
| Organization address mailing | 828 | The set of elements that describes the mailing address of the management organization, including the mailing address, city, state, ZIP Code and ZIP Code + 4. |
| Management organization type | 829 | The type of management organization. |

In the school level files for the Directory (FS029), states mark schools as charter schools. In this file, states submit the list of organizations that manage one or more charter school in the state. If a state has reported schools in the FS029 School Directory file that were managed by a Management Organization, then the state is expected to report the Management Organization in this file.

The data collected using this file specification are gathered to provide the Charter School Program Office of the U.S. Department of Education insight into the extent and scope of the relationships between Charter Management Organizations (CMOs) and Education Management Organizations (EMOs) with charter schools. The federal grant funds provided to states are allocated to schools that work with such non-profit and for-profit organizations which assist in directly managing and overseeing the charter schools, without always having accountability to a district or the state. Funds may be provided to the management organization directly through Replication and Expansion grants. It is important that the U.S. Department of Education begins to form a roster of these organizations to provide stronger oversight and accountability for federal funds.

The ED data stewarding office/s for this file: OII-Charter

# 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 2017-18 File Specifications

***Revised!*** There have been changes to this file specification that resulted in changes to the record layouts. The changes are:

* Changed format of Employer Identification Number (EIN) to XX-XXXXXXX

## Core Requirements for Submitting this File

The core requirements are to report data for all entities that managed operational, future or inactive charter schools during the current school year.

## Required Categories and Totals

This section is not used for this file specification.

## Guidance

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

### Management Organization Type (DG829)

**What are the permitted values for management organization type?**

* Charter Management Organization (CMO) – a non-profit organization that operates or manages multiple charter schools (i.e., either through a contract with the charter schools or as the charter holder) linked by centralized support, operations, and oversight.
* Education Management Organization (EMO) – a for-profit entity that contracts with new or existing public school districts, charter school districts, and charter schools to manage charter schools by centralizing support, operations, and oversight.
* Other – an organization that is not a CMO or EMO and that provides management services to one or more charter schools.

**What does the definition of an “Other” Management Organization cover? Are there specific examples that may be provided?**

The Department has identified two major types of Management Organizations: Charter Management Organizations and Education Management Organizations. We believe that these two categories will capture the vast majority of situations in which charter schools operate as part of a Management Organization. However, the “Other” option is available to enable states to identify those arrangements that do not clearly meet either definition.

**We do not have any Management Organizations operating in our state. Do we still need to report these data?**

Any charter school with a management organization would need to be identified for this data collection. The authorizer status does not impact that and is not relevant to the determination. However, if there are no management organizations operating charter schools in your state (due to the fact that each and every charter school is an independent, single, stand-alone entity that does not share management with any other charter school), then the state is not required to submit these data. Please refer to the definition of Management Organization in Section 2.5.

**What is the difference between an Authorized Public Chartering Agency, Local Education Agency and a Management Organization?**

An Authorized Public Chartering Agency (aka charter authorizer) is a state educational agency, local educational agency, a specialized charter granting entity or Independent Charter Board, Higher Education Institute, Non-profit entity, state, county or local governmental entity, or other entity that has the authority pursuant to state law to authorize or approve a charter school, and to decide to review, not review, or revoke charter contracts.

In contrast, a Management Organization is an entity that either 1) directly manages one or more charter school through a contract with the holder of the charter; or 2) directly manages more than one charter school as the holder of the contract itself or through a contract with the charter holder.

A Local Education Agency (LEA) is defined in the ESEA as a public board of education or other public authority legally constituted within a state for their administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a state, or of a combination of school districts or counties that are recognized in a state as an administrative agency for its public elementary schools or secondary schools. In some cases LEAs also serve as authorizers. In other rare cases, LEAs also provide management services to charter schools under its purview. Also, many state charter school laws designate charter holders themselves as LEAs.

To avoid confusion, states should ensure that they understand the public education governance structure within their state, the state charter school law, and the identity and scope of the charter holders within the state.

### Employer Identification Number (EIN) (DG826) *NEW!*

An Employer Identification Number (EIN) is a nine-digit number that the IRS assigns in the following format: XX-XXXXXXX.

### Organization Address Location (DG827)

In the file, the location address is divided into the following fields:

* Address Location 1
* Address Location 2
* Address Location 3
* City Location
* State Abbreviation Location
* ZIP Code Location
* ZIP Code Plus 4 Location

The field “Address Location 1” should only be left blank if 1) it is the same as the mailing address **AND** 2) the mailing address does not contain “PO Box” in it; otherwise the Location Address must also be reported.

When a Location Address is provided, it must be a complete address consisting of a minimum of the following fields:

* Address Location 1
* City Location
* State Abbreviation Location
* ZIP Code Location

If any of the fields listed above is provided, all four must be provided.

Location Address Lines 1, 2, and 3 cannot be a Post Office Box.  Any combination of “PO Box”, “P.O. Box” or “Post Office Box” is invalid.  However, a rural route number, with or without a box number (e.g., RR 3, Box 25), will be accepted.

### Organization Address Mailing (DG828)

In the file, the mailing address is divided into the following fields:

* Address Mailing 1
* Address Mailing 2
* Address Mailing 3
* City Mailing
* State Abbreviation Mailing
* ZIP Code Mailing
* ZIP Code plus 4 Mailing

The field “Address Mailing 1” is required. If a street address, Post Office box, or rural route is not available, the phrase “No Street Address” should be provided in the field Address Mailing 1 along with a valid city, state abbreviation and ZIP code.

## Definitions

The following definitions support this file:

**Management Organization**

A management organization is an organization that is a separate legal entity that 1) contracts with one or more charter schools to manage, operate, and oversee the charter schools; or 2) holds a charter, or charters, to operate multiple charter schools.

**Non-Profit Organization**

A non-profit organization is an organization that has:

1. Proof that the Internal Revenue Service currently recognized the applicants as an organization to which contributions are tax deductible under section 501(c)(3) of the Internal Revenue Code;
2. A statement from a State taxing body or the State attorney general certifying that:
3. The organization is a non-profit organization operating within the State; and
4. No part of its net earnings may lawfully benefit any private shareholder or individual;
5. A certified copy of the certificate of incorporation or similar document if it clearly establishes the non-profit status of the applicant; or
6. Any item described above if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the organization is a local non-profit affiliate.

# 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:   * SEA for the list of organizations in the state | 3 |
| filename | **CHARMAORG** | 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 - If one field marked with ‘A’ is provided, all other fields marked with ‘A’ must be provided

O - Optional, data in this field are optional

## 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. | **CHARTER MANAGE ORG** |
| 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. | **2018-2019**  OR  **2018 2019** |
| 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 | CHARTER MANAGE ORG,15,EUSEACHARMAORGver0007.CSV,characters to identify file,2018-2019,¶ |

## Data Record Definition

Data records are required and immediately follow the header record in every file submitted to the ESS. Data records provide information for the management organizations.

**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 |
| Filler | 15 | 14 | String | M | Leave filler field blank. |  |
| Filler | 29 | 20 | String | M | Leave filler field blank. |  |
| **DG825**  Management Organization Name | 49 | 60 | String | M | The full legally accepted name of the management organization. |  |
| **DG826**  Employer Identification Number (EIN) | 109 | 20 | String | M | The identification number issued by the IRS in order for the entity to pay federal taxes to the U.S. Treasury and report wages to the IRS and Social Security Administration.  ***Revised!*** | Format: XX-XXXXXXX  ***Revised!*** |
| **DG827**  Address Location 1 | 129 | 60 | String | A | The street address that describes the physical location. |  |
| **DG827**  Address Location 2 | 189 | 60 | String | O | Additional address information that describes the physical location. |  |
| **DG827**  Address Location 3 | 249 | 60 | String | O | Additional address information that describes the physical location. |  |
| **DG827**  City Location | 309 | 30 | String | A | The name of the city that describes the physical location. |  |
| **DG827**  State Abbreviation Location | 339 | 2 | String | A | The state abbreviation for the location address. | Two-character USPS standard state abbreviation  (See FS029 Appendix A for list of state abbreviations) |
| **DG827**  ZIP Code Location | 341 | 5 | String | A | The five–digit ZIP Code for the location address. | All 5 digits (cannot be 00000 or 99999 or less than 00600) |
| **DG827**  ZIP Code Plus 4 Location | 346 | 4 | String | O | The four–digit extension of the ZIP Code for the location address. | All 4 digits (cannot be 0000) |
| **DG828**  Address Mailing 1 | 350 | 60 | String | M | The mailing street name and number or Post Office Box. |  |
| **DG828**  Address Mailing 2 | 410 | 60 | String | O | Additional mailing street address information. |  |
| **DG828**  Address Mailing 3 | 470 | 60 | String | O | Additional mailing street address information. |  |
| **DG828**  City Mailing | 530 | 30 | String | M | The mailing address city. |  |
| **DG828**  State Abbreviation Mailing | 560 | 2 | String | M | The state abbreviation for the mailing address. | Two-character USPS standard state abbreviation  (See FS029 Appendix A for list of state abbreviations) |
| **DG828**  ZIP Code Mailing | 562 | 5 | String | M | The five–digit ZIP Code for the mailing address. | All 5 digits (cannot be 00000 or 99999 or less than 00600) |
| **DG828**  ZIP Code Plus 4 Mailing | 567 | 4 | String | O | The four–digit extension of the ZIP Code for the mailing address. | All 4 digits (cannot be 0000) |
| **DG829**  Management Organization Type | 571 | 20 | String | M | The type of management organization. | **CHARCMO** - Charter Management Organization (CMO)  **CHAREMO** - Education Management Organization (EMO)  **CHAROTH** – Other |
| Explanation | 591 | 200 | String | O | Text field for state use. |  |
| Carriage Return / Line Feed (CRLF) | 791 | 1 |  | M |  |  |

Below is an example of a data record, this is the set of data that should be submitted for each education unit

**Table 4.2–2: Data Record Example – Management Organizations**

|  |  |
| --- | --- |
| Format | File Record Number,State Code,State Agency Number,Filter,Filler,Management Organization Name, Employer Identification Number (EIN),Address Location 1,Address Location 2,Address Location 3,City Location,State Abbreviation Location,ZIP Code Location,ZIP Code Plus 4 Location,Address Mailing 1,Address Mailing 2,Address Mailing 3,City Mailing,State Abbreviation Mailing,ZIP Code Mailing,ZIP Code Plus 4 Mailing,Management Organization Type,Explanation,Carriage Return / Line Feed (CRLF) |
| Example - Mailing address is the same as location address | 1,27,01,,,Heritage Academies,75-0040987,,,,,,,,3850 Broadmoor Ave SE,Suite 201,,Grand Rapids,MI,49512,,CHAREMO,¶ |
| Example - Mailing address is different than location address | 1,27,01,,,Heritage Academies,75-0040987,3850 Broadmoor Ave SE,Suite 201,,Grand Rapids,MI,49512,,3850 Broadmoor Ave SE,Suite 201,,Grand Rapids,MI,49512,,CHAREMO,¶ |



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