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U.S. DEPARTMENT OF EDUCATION

ED*Facts* Submission System

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| **FS197 - Crosswalk of Charter Schools to Management Organizations File Specifications** |
| **SY 2020-21** |

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DOCUMENT CONTROL

DOCUMENT INFORMATION

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| --- | --- |
| **Title:** | FS197 - Crosswalk of Charter Schools to Management Organizations File Specifications |
| **Security Level:** | Unclassified – For Official Use Only |

DOCUMENT HISTORY

|  |  |  |
| --- | --- | --- |
| **Version Number** | **Date** | **Summary of Change** |
| 1.0 – 16.0 |  | Versions 1.0 through 16.0 are used to build files for school years prior to SY 2020-21. |
| 17.0 | December 2020 | Updated for SY 2020-21:   * Section 2.5 * Renamed heading "Guidance" to "Data Reporting Guidelines" * Streamlined questions and answers to align with the intent of “Executive Order on Promoting the Rule of Law Through Improved Agency Guidance Documents” (E.O. 13891). |
| 17.1 | January 2021 | * Section 2.1: Removed references and links related to Executive Order 13891 |

PREFACE

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

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

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

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

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

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

Data submitted through the ESS are authorized by an Annual Mandatory Collection of Elementary and Secondary Education Data Through ED*Facts* (OMB 1850-0925, expires 8/31/2022). ED*Facts* is a U.S. Department of Education (ED) initiative to govern, acquire, validate, and use high-quality, pre-kindergarten through grade 12 (pre-K–12) performance data for education planning, policymaking, and management and budget decision-making to improve outcomes for students. ED*Facts* centralizes data provided by SEAs, LEAs and schools, and provides users with the ability to easily analyze and report data. This initiative has significantly reduced the reporting burden for state and local data producers, and has streamlined data collection, analysis and reporting functions at the federal, state and local levels.

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# PURPOSE

This document contains instructions for building files to submit ED*Facts* Data Group 833: Management organization EIN. The definition for this data group is:

The identification number issued by the Internal Revenue Service (IRS) in order for the entity (charter management organization) to pay federal taxes to the U.S. Treasury and report wages to the IRS and Social Security Administration.

The data collected using this file specification are gathered to provide the Charter School Programs (CSP) Office of the Department 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 may be 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 non-profit CMOs directly through CSP Replication and Expansion grants. It is important that the Department be able to associate the management organizations to the charter schools to provide stronger oversight and accountability for federal funds.

The data collected using this file specification are collected under the authority of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA).

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

# GUIDANCE FOR SUBMITTING THIS FILE

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

## *Revised!* Changes from the SY 2019-20 File Specifications

As noted in the document history on page ii, Section 2.5 has been renamed to "Data Reporting Guidelines" and the questions and answers have been streamlined to ensure the file specification emphasizes technical guidance and includes references for any critical policy guidance (statutory, regulatory, or program priority). Our goal is to be transparent about the source of reporting guidance and requirements. We encourage grantees and survey respondents to use the references to build contextual understanding about the reporting requirements. There have been no other changes to this file specification.

## Core Requirements for Submitting this File

If the state submitted FS196 Management Organization for Charter Schools Roster, then the state must submit this file specification to connect the management organizations in the roster to the charter schools in the directory.

## Required Categories and Totals

This section is not used for this file specification.

## Categories and Permitted Values

This file specification does not use any categories and permitted values.

## *Revised!* Data Reporting Guidelines

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

All responses in this section are technical clarifications to assist data submitters and are not associated with statutory, regulatory, or policy guidance.

***Revised!*****In what order is this file submitted?**

To prevent submission system errors, files should be submitted in the following order.

1. School level directory file (FS029)
2. Management Organization Directory file (FS196)
3. Crosswalk of Charter Schools to Management Organizations file (FS197)

**Can a management organization be associated with more than one charter school?**

Yes

**Can a charter school be associated with more than one management organization?**

Yes, if the charter school changed management organizations during the school year.

**What is the format for Employer Identification Number (EIN) (DG833)?**

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

## Definitions

The following definitions support this file:

***New!*****Charter Management Organization**

The definition of a Charter Management Organization from [ESEA of 1965, as amended by ESSA, Section 4310(3):](https://www2.ed.gov/documents/essa-act-of-1965.pdf) *The term ‘‘charter management organization’’ means a nonprofit organization that operates or manages a network of charter schools linked by centralized support, operations, and oversight*.

See the [ED*Facts* Workbook](https://www2.ed.gov/about/inits/ed/edfacts/eden-workbook.html) for the standard definitions.

# FILE NAMING CONVENTION

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

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

The following is the naming convention for file submissions:

sslev**filename**vvvvvvv.ext

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

|  |  |  |
| --- | --- | --- |
| **Where** | **Means** | **Limit in characters** |
| ss | USPS State Abbreviation | 2 |
| lev | Abbreviation for level:   * SCH for a school level | 3 |
| filename | **CHARMOCWK** | 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

O - Optional

C - Used when charter management organization changes

## Header Record Definition

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

**Table 4.1–1: Header Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values**  **Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Type | 1 | 50 | String | M | Identifies the type of file being submitted. | **SCH CHAR ORG CROSSWALK** |
| 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. | **2020-2021**  OR  **2020 2021** |
| Filler | 127 | 333 | String | M | Leave filler field blank. |  |
| Carriage Return / Line Feed (CRLF) | 460 | 1 |  | M |  |  |

Below is an example of a header record.

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

|  |  |
| --- | --- |
| Format | File Type,Total Records in File,File Name,File Identifier,File Reporting Period,Filler,Carriage Return / Line Feed (CRLF) |
| Example | SCH CHAR ORG CROSSWALK,15,euschCHARMOCWKv000001.csv,characters to identify file,2020-2021,¶ |

## Data Record Definition

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

**Table 4.2–1: Data Record**

| **Data Element Name** | **Start Position** | **Length** | **Type** | **Pop** | **Definition / Comments** | **Permitted Values**  **Abbreviations** |
| --- | --- | --- | --- | --- | --- | --- |
| File Record Number | 1 | 10 | Number | M | A sequential number assigned by the State that is unique to each row entry within the file. |  |
| **DG559** State Code | 11 | 2 | String | M | The two-digit American National Standards Institute (ANSI) code for the state, District of Columbia, and the outlying areas and freely associated areas of the United States. | For a list of valid State Codes, refer to the ED*Facts* Workbook. |
| **DG570** State Agency Number | 13 | 2 | String | M | A number used to uniquely identify state agencies. This ID cannot be updated through this file. | **01** – State Education Agency |
| **DG4** LEA Identifier (State) | 15 | 14 | String | M | The identifier assigned to a local education agency (LEA) by the state education agency (SEA). Also known as State LEA Identification Number (ID). This data element cannot be updated through this file. |  |
| **DG1** LEA Identifier (NCES) | 29 | 7 | String | M | The seven-digit unique identifier assigned to the LEA by NCES. Also known as NCES LEA ID.  This ID cannot be updated through this file. | Two–digit state code followed by a five–digit local education agency (LEA) code. |
| **DG5** School Identifier (State) | 36 | 20 | String | M | The identifier assigned to a school by the state education agency (SEA).  Also known as the State School Identification Number (ID).  This ID cannot be updated through this file. |  |
| **DG529** School Identifier (NCES) | 56 | 5 | String | M | Include only the unique 5 digits assigned by NCES  This ID cannot be updated through this file. |  |
| **DG833**  Management Organization EIN | 61 | 20 | String | M | The identification number issued by the IRS in order for the entity (charter management organization) to pay federal taxes to the U.S. Treasury and report wages to the IRS and Social Security Administration. | Format: XX-XXXXXXX |
| **DG833**  Management Organization EIN | 81 | 20 | String | C | The identification number issued by the IRS in order for the entity (charter management organization) to pay federal taxes to the U.S. Treasury and report wages to the IRS and Social Security Administration. | Format: XX-XXXXXXX  If the management organization for the charter school has not changed since the beginning of the school year, leave this field blank. |
| Explanation | 101 | 200 | String | O | Text field for state use. |  |
| Carriage Return / Line Feed (CRLF) | 301 | 1 |  | M |  |  |

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

**Table 4.2–2: Data Record Example**

|  |  |
| --- | --- |
| Format | File Record Number,State Code,State Agency Number,LEA Identifier (State),LEA Identifier (NCES), School Identifier (State),School Identifier (NCES),Management organization EIN,Management organization EIN updated,Explanation,Carriage Return / Line Feed (CRLF) |
| Example | 1,80,01,3400024,8000142,278A,32405,84-1270214,,¶ |



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