



Joel I. Klein
Chancellor

MEMORANDUM

Brian Fleischer
Auditor General

TO: Principals, Assistant Principals, Attendance Coordinators and Pupil Accounting Secretaries

CC: Cluster Leaders, Network Leaders, CFN Attendance Managers, Cluster Audit Liaisons, Cluster Attendance Liaisons

FROM: Office of Auditor General (OAG)

DATE: October 12, 2010

RE: School Self-Audit and OAG Audit Procedures for the Official October 31 Register for School Year 2010-11 (ALOA/ANDI)

This memo details the necessary steps to be taken by school officials to perform the required annual self-audit, as well as outlines what documentation is required to be maintained at the school to support the self-audit findings.

Each November schools need to perform their self-audit using two attendance data screens – ATS' Low October Attendance (ALOA) and November Discharges (ANDI). ALOA is an ATS tool that lists students who have only one or two days of attendance in October. ANDI is an ATS tool that indicates students who were discharged after October 31 who possibly should have been discharged prior to that date.

On November 1, both the ALOA and ANDI reports are activated and available to every school to begin their self-audit. School staff members responsible for attendance must research all students on the two reports and indicate the results of their research on both screens in ATS utilizing action codes (detailed below). The deadline for all entries on the ALOA screen is **Wednesday, November 10, 2010** and the deadline for entries on the ANDI screen is **Tuesday, November 30, 2010**. To ensure that school budgets are delivered in a timely manner, it is important that schools comply with these deadlines.

Please be aware that the same student may appear on both the ALOA and the ANDI screen. If this occurs, school staff members must perform an investigation of the student(s) for each report. Research conducted for ALOA must confirm the October day(s) of presence. Research conducted for ANDI must validate the discharge code and date, in accordance with the [Transfer, Discharge, and Graduation Code Guidelines 2010-2011](#).

ALOA

On November 1, schools will be able to access their ALOA screen in ATS (sample screen shown below).

PROFILE 71-M-475 ALOA0130 ==>	New York City Public Schools Low October Attendance	10-28-07 15:09:34 01303-JMEGLIN PAGE 1 OF 1							
ID	NAME	CLS	ADM DATE	DISC DATE	DAY 1	#PDS	DAY 2	#PDS	ACTN
-----	-----	-----	-----	-----	-----	-----	-----	-----	-----
234567890	DOE, JOHN	5NN	07/02/00		10/03	1	10/16	1	
198765432	CAMBERS, SUE	7MM	07/02/99	11/01/02	10/04	3			
211111111	EBERTS, QUINN	7ZD	09/09/98		10/01	1	10/02	1	
222222222	SAMPLE, FRED	A33	07/02/00		10/08	2			
333333333	MARKS, DANIEL	A44	07/02/99		10/04	3			
F1/Help	F2/	F3/Quit-return	F4/		F5/Print		F6/		
F7/	F8/	F9/Refresh	F10/		F11/		F12/Exit		

School officials must gather documentation confirming the one or two days of October attendance displayed next to each student's name. Attendance must be confirmed by one of the following staff members:

- Classroom teacher
- Guidance Counselor
- Attendance teacher

For each student on the ALOA list, attendance staff must obtain a Register Verification Form (a copy is located at the end of this document) for the indicated dates of attendance, completed and signed by one of the three persons mentioned above. A separate form is required for each verifying staff member; no more than one staff member should complete a single form.

The attendance must also be supported by accompanying documentation maintained with the Register Verification Form. The accepted supporting documentation varies depending on which staff member verifies the student's absence or presence:

Teacher Verification

- a) **Daily scan sheet** (blue in color) for the date(s) in question, signed by the teacher of record. This should be the supporting documentation for all schools that do not use period attendance scan sheets.
- b) **Period attendance scan sheet** (salmon in color) for the date(s) in question, signed by the teacher of record. This should be the supporting documentation provided by schools that use period attendance scan sheets.

Guidance Counselor Verification

- a) **Guidance Counselor's Log**, which includes the name of the Guidance Counselor and student, the date of the guidance session, as well as the purpose of the meeting. The log needs to be a chronological listing of guidance activities. A completed ATS Intervention

Log (ILOG) is also acceptable.

- b) **Planning Interview Form (PIF)**, when applicable, completed, signed and dated by the counselor, student and parent/guardian.

Attendance Teacher Verification

- a) The **407 Form**, annotated with the Attendance Teacher’s signature, as well as the date and purpose of the meeting.
- b) A completed **ATS Intervention Log (ILOG)** is also acceptable.

Based on the school’s documented research of the students listed on the ALOA screen, and after the completion of the Register Verification Form, schools must enter the corresponding action code in the last column of the ALOA screen (column labeled “ACTN”) no later than **Wednesday, November 10, 2010**.

ALOA Action Code	Description	Included on the Official October 31 Register
1	<p>October presence is incorrect; Student is a Long Term Absentee (LTA).</p> <ul style="list-style-type: none"> ▪ LTA-A - Student was absent all of September and October. ▪ LTA-B - Student was absent all of October but was present at least one day in September. 	No
2	<p>Admit date is incorrect. Student did not attend the school prior to November 1, 2010, therefore, the admit date is wrong and should be corrected to a date after October 31, 2010.</p>	No
3	<p>October presence is correct. The school has verified the days of attendance and has gathered the necessary evidence to prove attendance in October.</p>	Yes

Documentation must be maintained to support a school’s action code assignment. For action codes one (1) or two (2), the school’s attendance staff must also correct the attendance data in ATS by changing the date(s) of presence to an absence. Once the ATS records are appropriately modified, those students with action codes one (1) and two (2) will drop off the ALOA screen.

ANDI

Once the school staff has completed the ALOA portion of the attendance self-audit, they should turn their attention to the information displayed on the ANDI screen (sample screen shown below).

PROFILE 77-Q-455		New York City Public Schools				11-07-07 09:21:50				
ANDI0140		Selected November Discharges				00999-LSTOLL				
==>						PAGE 1 OF 1				
ID	NAME	CLS	GRD	ADMIT DATE	DISCHARGE DATE	CD	407	OCT PRES	LAST ATTD	ACTN
123456789	JOHN, SCOTT	456	200	07/02/00	11/04	11	N	19	10/28	-
987654321	RAMIREZ, DIANA	350	190	07/02/01	11/04	11	Y		09/12	-
012345678	LOPEZ, CHAYNIA	350	200	07/02/01	11/06	11	N	19	10/29	-
098765432	MILLER, MICHEAL	780	220	09/09/98	11/06	35	Y	2	10/31	-
987654320	MARINAS, MARCUS	100	190	07/02/02	11/04	11	N	16	10/31	-
111111123	DOE, JOHN	100	190	07/02/02	11/04	11	N	12	10/30	-
Update Action code										
F1/Help	F2/Save	F3/Quit-return	F4/Lookup	F5/Print	F6/					
F7/	F8/	F9/Refresh	F10/	F11/	F12/Exit					

Schools must research their discharge records to confirm that the November discharge dates are correct. Supporting documentation to validate the date of discharge may include the following:

- **Letter from the student's new school requesting the student's records.** The student's start/enrollment date at the new school should be on this form. If not, further research must be conducted by the school to verify this date.
- **Written confirmation of when the student left New York City (NYC) and moved within the United States.** The confirmation should include:
 - The date the student left NYC,
 - A forwarding address,
 - The name and contact information of the parent/guardian providing the information, and
 - The names and titles of school personnel who obtained the information.

Note: Documented confirmation that a student has been enrolled in a school is required within twenty (20) days of the discharge having been entered into ATS.

- **Written confirmation of when the student left New York City (NYC) and moved outside the United States.** This confirmation should include:
 - The date the student left NYC,
 - The new city and country of residence,
 - The name and contact information of the parent/guardian providing the information, and
 - The names and titles of school personnel who obtained the information.

Note: Copies of airline, train or bus tickets, as well as a travel itinerary are also acceptable.

- **Planning Interview Form (PIF),** when applicable, completed, signed and dated by the guidance counselor/school official, student and parent/guardian.
- **Confirmation of Graduation.** A diploma or proof that the student received a diploma post-November 1, 2010 should be submitted to validate the November discharge date.
- **Discharge forms** signed and dated by the parent/guardian, school official, and student, if applicable. All forms should include the date the student was discharged and updated contact

information for the student and family.

These are the most common types of documentation provided to support discharges. A more comprehensive list can be found in the [Transfer, Discharge, and Graduation Code Guidelines 2010-2011](#). There have been significant changes to the guidelines this year so please review them carefully.

Based on the school's documented research of the discharge dates for the students listed on the ANDI screen, school attendance staff must enter the corresponding action code in the last column of the ANDI screen (column labeled "ACTN") by no later than **Tuesday, November 30, 2010**.

ANDI Action Code	Description	Included on the Official October 31 Register
4	Discharge date is incorrect. Documentation does not support a November discharge date. Student should have been discharged prior to November 1, 2010	No
5	November discharge date is correct. Documentation is necessary to prove that a discharge after October 31, 2010 is valid.	Yes

Supporting documentation must be maintained for both action codes. For action code four (4), the school's attendance staff must also correct the inaccurate discharge date in ATS. If the school staff cannot update ATS themselves, they must maintain documentation supporting their request for assistance from ATS (*i.e.*, a copy of an e-mail requesting assistance and/or an ATS incident number). Once the ATS records are appropriately modified, those students with action code four (4) will drop off the ANDI screen.

Schools Selected for Audit by OAG

As schools complete each phase of their self-audit, OAG will receive a data file from the Division of Instructional and Information Technology and conduct an analysis of the updated attendance data. From this analysis, OAG will select the schools to be audited for ALOA and ANDI and schedule audit meetings through a school's Attendance Manager. If your school is selected by OAG for review, OAG will provide a list of students selected for audit. You must bring all supporting documentation for the students under review. Commonly, the students selected for audit fall within the following categories:

- a) Students on ALOA or ANDI screens for whom no action code was entered;
- b) Students whose attendance was verified by the school (action code 3); and
- c) Students whose November discharge date was verified by the school (action code 5).

At that meeting, OAG auditors will review each school's documentation and make initial determinations of whether the provided documentation is sufficient to support either the date of attendance (ALOA) or discharge date (ANDI) of each student. Before leaving the review, school officials will receive preliminary audit results that summarize OAG's initial determinations. **If**

additional documentation is needed, schools will be provided 48 hours from the audit meeting to provide OAG with the additional supporting documentation via fax.

After fieldwork is completed, and any additional supporting documentation has been provided to OAG by the school, the audit work papers are then reviewed by OAG supervisors. If no additional information is required from the school, the final audit results will be conveyed to the principal via e-mail notification. However, in some cases, OAG may require additional documentation. **Should that occur, schools will be notified and are provided with 24 hours to reply to OAG's request.** Upon review of those documents, the school will be notified of the final audit results via e-mail. **To ensure that school budgets are delivered in a timely manner, no extensions to these timeframes will be granted.**

Please be aware that OAG's review may lead to the disallowance of a student on the official October 31 register. If OAG disagrees with the school's original determination, school personnel will need to return to the ALOA and/or the ANDI screens to enter revised action codes, as well as correct the attendance or discharge dates in ATS.

Related Links

OAG Website – the Student Population Unit page

<http://schools.nyc.gov/Offices/GeneralCounsel/OAG/StudentPopulationUnit/default.htm>

Transfer, Discharge, and Graduation Guidelines 2010-2011

<http://intranet.nycboe.net/NR/rdonlyres/57192E64-EEA0-4D7E-A7F9-D975148FF007/0/TDGGuidelines201011.pdf>

Register Verification Form (ALOA)

For Guidelines on completing the Register Verification Form please see the instruction sheet.

School (DBN): _____ Student's Name: _____

Student's ID# (OSIS): _____ Class: _____

Teacher: *Did you provide instruction to the above named student during the month of October?*

Teacher confirms he/she provided instruction to the student during the month of October			
Yes	Date instruction was provided	No	Comments <small>(Attach a separate page if space provided is not sufficient)</small>
<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>	

Teacher Print Name: _____

Teacher Signature: _____ **Date:** _____

Guidance Counselor/Attendance Teacher: *Do you remember meeting with the above named student during the month of October?*

Guidance Counselor or Attendance Teacher confirms meeting with the student during the month of October			
Yes	Date the meeting took place	No	Comments <small>(Attach a separate page if space provided is not sufficient)</small>
<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>	

Title: _____

Print Name: _____

Signature: _____ **Date:** _____

Please check off the box below indicating the supporting documentation you are maintaining for the ALOA Review.

Academic Teacher Verification		Guidance Counselor Verification		Attendance Teacher Verification	
Period Attendance Scan Sheets (High Schools Only)	Daily Scan Sheets (Elementary, Middle or Junior High Schools Only)	Guidance Log/ILOG	Planning Interview Form (PIF) (Where applicable)	407 (Annotated)	ILOG
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Guidelines for completing the Register Verification Form

For each student on the ALOA list, attendance staff must complete and retain a **Register Verification Form** for each of the indicated dates of attendance.

Attendance must be verified by one of the following staff members and the Register Verification Form must be accompanied by the necessary supporting documentation:

1. Classroom Teacher

For schools that use period attendance scan sheets:

- A period attendance scan sheet (salmon in color) for the date(s) in question, signed by the teacher of record.

For all schools that do not use period attendance scan sheets:

- A daily scan sheet (blue in color) for the date(s) in question, signed by the teacher of record.

2. Guidance Counselor

- Guidance Counselor's Log, which includes the date of the guidance session, the names of the Guidance Counselor and student, as well as the purpose of the meeting. The log needs to be a chronological listing of guidance activities.
- A completed ATS Intervention Log (ILOG) is also acceptable.
- If a Planning Interview was conducted, the Planning Interview Form (PIF) *must* accompany the Guidance Counselor's Log. The PIF should be signed and dated by the counselor, student and parent/guardian.

3. Attendance Teacher

- An annotated 407 Form with the Attendance Teacher's signature, as well as the date and purpose of the meeting.
- A completed ATS Intervention Log (ILOG) is also acceptable.

If verification by more than one staff member is necessary, a separate form is required for each additional staff member completing the form. ***No more than one staff member should complete a single form.***