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MEMORANDUM

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

CC: ISC Executive Directors, ISC Deputy Executive Directors of Business Services, Attendance Content Experts and Senior Youth Development Directors, CFN Attendance Managers, CFN Network Leaders and the SSO CFN Liaisons

FROM: Office of Auditor General (OAG)

DATE: October 8, 2009

RE: School Self-Audit and OAG Audit Procedures for the Official October 31 Register for School Year 2009-10 (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 screens will be activated and available to every school to begin their review. School staff members responsible for attendance must research all students on the two lists and indicate the results of their research on both screens in ATS. The deadline for all entries on the ALOA screen is **Tuesday, November 10, 2009** and the deadline for entries on the ANDI screen is **Monday, November 30, 2009**. To insure that school budgets are delivered in a timely manner, it is important that schools comply with these deadlines.

Please be aware that students may appear on both the ALOA and the ANDI screen. If this occurs, school staff members must investigate the student(s) on 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](#).

ALOA

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

PROFILE 71-M-475	New York City Public Schools	10-28-07 15:09:34							
ALOA0130	Low October Attendance	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. 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.

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

- Daily scan sheet** (blue in color) for the date(s) in question, signed by the teacher. This should be the supporting documentation for all schools that do not use period attendance scan sheets.
- Period attendance scan sheet** (salmon in color) for the date(s) in question, signed by the teacher validating that the student did or did not attend class. This should be the supporting documentation provided by high schools that use period attendance scan sheets.

Guidance Counselor Verification

- 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.
- 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 **Tuesday, November 10, 2009**.

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, 2009, therefore, the admit date is wrong and should be corrected to a date after October 31, 2009.</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 who had 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 attendance records to confirm that the November discharge dates are correct. Supporting documentation to validate the date of discharge may include the following:

- **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.
- **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.
- **Documented confirmation of when the student left New York City (NYC).** This should include the date the family left NYC, who provided the information, their relationship to the student, their contact information, and name and title of school personnel who obtained the information. 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, 2009 should be submitted to validate the November discharge date.

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](#).

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 **Monday, November 30, 2009**.

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, 2009	No
5	November discharge date is correct. Documentation is necessary to prove that a discharge after October 31, 2009 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 within each borough for both Children First Network (CFN) and non-Children First Network schools. 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.

Training

OAG is partnering with the ISC and CFN staff to provide school staff with the opportunity to attend Register Verification training. To date the following training sessions have been scheduled:

Date	Location	Time	Coordinator
Tuesday, October 13, 2009	Brooklyn ISC - 5619 Flatlands Ave., Brooklyn, NY – Room 134	10:00AM	Kevin O'Hanlon (Staten Island ISC)
Wednesday, October 14, 2009	Queens ISC – 2811 Queens Plaza North, Queens, NY – Room 512	10:00AM	Vincent Dioguardi (Queens ISC)
Wednesday, October 14, 2009	65 Court St, 6th floor, Brooklyn, NY – Room 613	12:00PM	Elizabeth Shaw (CFN 1)
Friday, October 16, 2009	Bronx ISC - 1 Fordham Plaza, Bronx, NY – Room 838	2:00PM	Antonio Guerrero (Bronx ISC)
Monday, October 19, 2009	Staten Island ISC - 715 Ocean Terrace, Staten Island, NY – Room 118	11:00AM	Kevin O'Hanlon (Staten Island ISC)
Monday, October 19, 2009	30-48 Linden Pl, Flushing, NY 11354 – 6th Floor Computer Room	2:00PM	Annemarie Vardy (ICI – CFN 19)
Wednesday, October 20, 2009	The Bronx School of Science, Inquiry and Investigation – 40 West Tremont Ave., Bronx, NY 10453 – Room 522	2:00PM	Brad Velcoff, Karina Rodriguez, and Ken Lowenstein (Several CFNs)
Wednesday, October 28, 2009	Middle School 232 – 1700 Macombs Ave., Bronx, NY – Room 205	9:30AM	Rosemarie Caban (CFN 19)
Monday, November 02, 2009	Brooklyn ISC – 131 Livingston St, Brooklyn, NY – 2nd Floor Computer Lab	9:00AM	Simone McIntosh (CFN 3)
Monday, November 02, 2009	Manhattan ISC – 333 7th Ave., New York, NY – 8th Floor Computer Lab	1:00PM	Simone McIntosh (CFN 3)
Wednesday, November 04, 2009	Leadership and Public Service High School – 90 Trinity Place, New York, NY	2:00PM	Brad Velcoff, Karina Rodriguez, and Ken Lowenstein (Several CFNs)

Please contact your Attendance Content Expert or Attendance Manager for training details.

If you have any general questions, please contact Danya Labban, Director of Student Population Audits at (718) 935-2600.

Related Links

OAG Website – the Student Population Unit page

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

Transfer, Discharge, and Graduation Guidelines 2008-2009

<http://intranet.nycboe.net/DOEPortal/Principals/FamSvcs/Attendance/default.htm>



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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 High 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 must 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.***