



THE NEW YORK CITY DEPARTMENT OF EDUCATION

JOEL I. KLEIN, *Chancellor*

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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

FROM: Office of Auditor General (OAG)

DATE: October 19, 2007

RE: Self-Audit and OAG Audit Procedures for the Official October 31 Register for School Year 2007-08 (ALOA/ANDI)

With the recent implementation of the Department of Education's Accountability and Fair Student Funding initiatives, it is important for each school to ensure the accuracy of its attendance data. This memo details the necessary steps to be taken by school officials to perform the required annual self-audit, as well as outlining what supporting documentation is required to be maintained at the school to support attendance.

Each November, schools 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 another ATS tool that indicates students who were discharged after October 31, but that possibly should have been discharged prior to the official register 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 listed on the two lists and indicate the results of their research in ATS. The deadline for all entries on the ALOA screen is **Friday, November 9, 2007** and the deadline for entries on the ANDI screen is **Friday, November 30, 2007**. Due to the need to deliver school budgets earlier than in prior years, 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 (sample screen shown below) in ATS.

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 completed 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, please utilize a separate form for each person. More than one staff member should not be completing a single form.

The attendance must also be supported by attaching the additional documentation to the Register Verification Form, as follows:

Teacher Verification

- a) **Daily scan sheet** (blue in color) for the date(s) in question, signed by the teacher, validating that the student attended his/her class. 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 validating that the student attended his/her class. This should be the supporting documentation provided by high schools that use period attendance scan sheets.

Guidance Counselor Verification

- a) **Guidance Counselor’s Log**, which includes the date of the guidance session, the name 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.
- 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.

Once the school staff have completed the forms and provided the required documentation, the attendance staff person at the school must enter the appropriate action code into ATS no later than **Friday, November 9, 2007**.

Based on the school’s documented research of the students listed on the ALOA screen, schools must enter the corresponding action code in the last column of the ALOA screen (column labeled ACTN).

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, 2007, therefore, the admit date is wrong and should be corrected to a date after October 31, 2007.</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

The above mentioned documentation must be maintained for all three action codes. For action code one (1) or two (2), the school’s attendance staff must also correct the attendance data in ATS by changing the date 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 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. 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, 2007 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 on the following DoE website: [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 **Friday, November 30, 2007**.

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, 2007	No
5	November discharge date is correct. Documentation is necessary to prove that a discharge after October 31, 2007 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.*, copy of e-mail requesting assistance and/or an ATS incident numbers). 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 ATS 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 at each borough ISC. 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 whose attendance was verified by the school (Action Code 3);
- b) Students whose November discharge date was verified by the school (Action Code 5); and
- c) Students on ALOA or ANDI for whom no Action Code was entered.

At that meeting, OAG auditors will review each school's documentation and make initial determinations 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 support 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 provided 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. **Again, due to the need to deliver school budgets earlier than in prior years, no extensions to these timeframes will be granted.**

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

Training

OAG is partnering with the ISCs to provide school staff with the opportunity to attend Register Verification training. Several boroughs have already had training this year. In addition, the following training sessions have been scheduled:

Brooklyn East	October 24, 2007
Brooklyn West and Staten Island	October 30, 2007
Manhattan	November 1, 2007
Bronx	November 2, 2007
Queens	November 7, 2007

Attendance Content Experts have been contacting their schools with the training details. Course descriptions for OAG trainings have been provided to the ISC for inclusion on ProTraxx. Additionally, OAG's website will be updated with additional training dates as they are made available.

If you have any questions, please contact Rick Hederman at (718) 935-2600.

Related Links

OAG Website

<http://schools.nyc.gov/Administration/Offices/GeneralCounsel/AuditorGeneral/default.htm>

Clearance of Register Procedures

http://nycboe.net/schools/principals/weekly/20070905/clearance_of_register_procedures_07.doc

Mandated Attendance Guidelines

http://nycboe.net/schools/principals/weekly/20070905/attendance_memo_090307.doc

Transfer, Discharge, and Graduation Guidelines 2007-2008

http://nycboe.net/schools/principals/weekly/20070905/transfer_discharge_grad_guidelines_07.pdf

REGISTER VERIFICATION FORM

Name of Verifying School Staff: _____

Teacher

Guidance Counselor

Attendance Teacher

Student's Name: _____

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		Date	Comments (Attach a separate page if space provided is not sufficient)
Yes	No		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

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		Date	Comments (Attach a separate page if space provided is not sufficient)
Yes	No		
<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>	<input type="checkbox"/>		

Guidance Counselor/
Attendance Teacher Signature: _____ Date: _____

Check off all documentation which is on file to support the statements above:

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"/>