

## **FY21-22 Audit Findings - Corrective Action Plan for CDE**

### **Finding: 2022-008 Independent Study**

Code 40000, 72000

#### **Criteria**

The District must maintain certain written agreements required by the State for pupils enrolled in an independent study program and make the contracts available during the annual State compliance audit.

#### **Condition**

The District did not provide all of the written agreements requested during the audit fieldwork.

#### **Questioned Costs**

Questioned costs are \$13,011, the derived value of one ADA for grades 9-12.

#### **Context**

We selected a sample of 40, and the condition applies to one.

#### **Effect**

One unit of inappropriately reported ADA in grades 9-12 was identified through the audit procedures.

#### **Cause and Recommendation**

We recommend that the District periodically revisit its procedures for compliance and remind site personnel of them.

#### **Views of Responsible Officials/Corrective Action Plan**

We will communicate with site personnel and provide training as necessary.

#### **Identification as a Repeat Finding**

This finding was not reported in the previous year's audit.

#### **Views of Responsible Officials/Corrective Action Plan**

Sojourner Truth has a new process in place that requires parents and potential students to review & complete the Independent Study Master Agreement and participate in an orientation, prior to students being provided a schedule of classes. This process was not in place in the beginning of the 2021-22 school year, but is in place for the 2022-23 school year and going forward.

The Pre-Attendance Audit Checklists are used to prepare for attendance audits. This process is to ensure that necessary attendance documents required for audit are available, documents align to attendance accounting data and that documents are organized.

## **Finding: 2022-009 ASES Early Release**

Code 40000, 72000

### **Criteria**

Per the State compliance audit guide: "If a pupil in any sample attended less than the full day, verify the reason for early release was consistent with the established early release policy."

### **Condition**

District policy is to document the reason for "early release" with a "code" corresponding to a permissible basis per the District's established early release policy. However, our audit procedures identified that all sites did not use early-release codes.

### **Questioned Costs**

There is no questioned cost associated with this condition.

### **Context**

We sampled ten ASES sites, and this condition applies to four of them.

### **Effect**

The attendance records may not capture all information expected by the District's policy to demonstrate compliance.

### **Cause and Recommendation**

We recommend that management responsible for compliance periodically remind site personnel of the District's policies and provide training as necessary. We suggest direction periodically monitor the attendance recording on a sample basis for timely identification of deviation from District policy.

### **Views of Responsible Officials/Corrective Action Plan**

We will communicate with site personnel and provide training as necessary.

### **Identification as a Repeat Finding**

This finding was not reported in the previous year's audit.

### **Views of Responsible Officials/Corrective Action Plan**

The Expanded Learning Office, hosts an Attendance Compliance training during the Expanded Learning August Institute. During this training participants are provided with information on CDE attendance requirements, early release policy, attendance tracking protocols, step-by-step instructions on how to track attendance and resources for additional support. All expanded learning staff are required to attend the training. In addition to the August attendance training, the Expanded Learning has conducted semi-monthly compliance meetings with all site coordinators and community based organizations agency directors to reinforce grant compliance requirements and review challenges that have been identified through onsite visits.

In the fall of 2023, The Expanded Learning Office will launch an online training module that will provide site coordinators and program staff with video tutorials on attendance

tracking, early release policy, and grant compliance requirements.

#### Resources Provided to Expanded Learning Programs

- [Early Release Policy](#) Definitions
- [Aeries Attendance Tracking](#) Protocol

### **Finding: 2022-010 ASES Attendance Reporting**

Code 40000, 72000

#### **Criteria**

The District evidences student participation in the after-school program by reporting attendance to the California Department of Education. The daily attendance is recorded for all the students attending the after- school program on each school day the program operates.

#### **Condition**

We identified errors in the attendance reported to the CDE

#### **Questioned Costs**

There is no questioned cost associated with this condition.

#### **Context**

The District operates an ASES after-school program at over 60 schools. We sampled 10 ASES sites, and this condition applies to one of them. At that site, the number of student days provided in the test month was 7,201, and the number reported to the CDE was 7,367. The difference is 166 or two percent.

#### **Effect**

Errors may exist in the after-school attendance reported to the CDE.

#### **Cause and Recommendation**

In response to prior audit findings, the District transitioned to a new attendance accounting

system for the after- school program during the year. Although management of the District expects the new system will ultimately increase the accuracy of attendance reporting, there were challenges as the system was new this year. We recommend that the District continue implementing its new attendance accounting system for the after-school program. Lessons learned from the year of implementation should be used to improve the process going forward.

**OUSD has implemented a new Expanded Learning Attendance improved tracking**

## **system and provided training to service providers.**

This new database allows for accurate and prompt attendance taking.

1. OUSD transitioned to a new attendance tracking system. Due to the multiple errors and consistent changes in attendance, OUSD began using Aeries Supplemental Attendance tracking instead of CitySpan in Fall 2021. This transition has allowed the Expanded Learning Office to support struggling sites with real-time accurate attendance data.
2. On July 29, OUSD held a mandatory Aeries training for all after-school staff and reviewed all CDE (ASES, 21st CCLC, and ASSETS) attendance requirements. Over 100 after-school staff attended.
3. All Attendance documents were revised to include Aeries attendance protocols.
4. OUSD Designed dashboards with real-time student and attendance data for all after-school providers

The CDE has accepted the District's CAP as of 8/29/2022, and we expect improved outcomes during the fiscal year 2023.

### **Identification as a Repeat Finding**

This finding was not reported in the previous year's audit.

### **Views of Responsible Officials/Corrective Action Plan**

The Expanded Learning Office, hosts an Attendance Compliance training during the Expanded Learning August Institute. During this training participants are provided with information on CDE attendance requirements, early release policy, attendance tracking protocols, step-by-step instructions on how to track attendance and resources for additional support. All expanded learning staff are required to attend the training. In addition to the August attendance training, the Expanded Learning has conducted semi-monthly compliance meetings with all site coordinators and community based organizations agency directors to reinforce grant compliance requirements and review challenges that have been identified through onsite visits.

In the Fall of 2023, The Expanded Learning Office will launch an online training module that will provide site coordinators and program staff with video tutorials on attendance tracking in Aeries, early release policy, and grant compliance requirements.

### **Resources Provided to Expanded Learning Programs**

- [Early Release Policy](#) Definitions
- [Aeries Attendance Tracking](#) Protocol

## **Audit Finding: 2022-011 Immunizations**

Code 40000, 72000

### **Criteria**

The LEA audit guide requires us to verify if the District has specific information on file regarding immunization records of pupils attending public school.

### **Condition**

The District could not provide all the information necessary to establish full compliance.

### **Questioned Costs**

Questioned costs are \$46,236, the derived value of four ADA for grades TK-3.

### **Context**

We sampled 96 pupils at nine sites. The non-compliance finding applies to four of the sampled pupils.

### **Effect**

The District may not be in full compliance with all immunization compliance requirements.

### **Cause and Recommendation**

We recommend that management responsible for compliance periodically remind site personnel of the District's policies and provide training as necessary. We also suggest that management periodically monitor immunization compliance on a sample basis for timely identification of deviation from District policy.

### **Views of Responsible Officials/Corrective Action Plan**

We will communicate with site personnel and provide training as necessary.

### **Identification as a Repeat Finding**

This finding was not reported in the previous year's audit.

### **Views of Responsible Officials/Corrective Action Plan**

The District has policies and procedures for managing immunization compliance and will continue to train staff to carry out the established procedures. Generally:

1. When a student is registering/enrolling then parents are to provide immunization records which are reviewed by clerical staff before inputting data into Aeries and archiving the supporting documents into the student's CUM folder.
2. Students that have an IEP, special education, are exempt and allowed to attend school if immunization records are not available.
3. For new students not yet enrolled, if they are missing immunization records then students are issued a letter detailing the immunization requirements and are not allowed to start attending school.
4. For current students who are already attending school but are not meeting the immunization requirement then families are issued a letter but are allowed to

attend schools for up to 10 days (grace period). If after 10 days the immunization records are still missing then students are issued a second letter and are informed that they are not to attend schools.

5. For state reporting, Health Services (Program Manager) runs the District-wide immunization report from Aeries which details immunization status for students.

#### Procedures/Responsibilities of the District for each School Site:

1. Clerical Staff:
  - a. Clerical staff receive annual training regarding the immunization process (K-12 Immunization Requirements, data entry and running of missing immunization report in Aeries, monitoring of conditional enrollment, exclusion process, and resources of vaccination clinics).
  - b. Clerical staff have access to CAIR (California Immunization Registry) to access student immunization records.
  - c. Clerical staff are to run the Missing Immunization report from Aeries to determine the status of student's immunization and where immunization requirements haven't been met then clerical staff are to issue a letter to the student's families informing them of the immunization requirements in order to attend school. Clerical staff works with families to ensure immunization requirements are met.
6. School Principal and Nurse:
  - a. Immunization requirement letters are to be signed by the Principal and Nurse then updated in Aeries.
  - b. Enforce immunization requirements. Students that have not met the immunization requirements are still showing up for school. The district will develop a clear procedure at the school site to stop students from attending school when they have not met immunization requirements (and have been notified that they did not meet the immunization requirements to attend school.)

#### Responsibilities of the Health Services Repo Immunization Department

1. The Health Services Program Manager communicates with sites for/during audits for TK, Kindergarten, 1st grade, 6th grade and 7th grade. For other grades, the process noted above should be followed.
2. Reviews the Immunization District-wide report and reports to the state.
3. The District will review and monitor the training program, attendance, and test for periodic review during the year to ensure compliance.

## ER (Early Release), Policy, Codes, and their Definitions

**EARLY RELEASE POLICY:** ER Codes (ERC) must be inputted on the Master Daily Sign-in/Sign Out sheet and ER Codes must be used if elementary or middle school students leave a program at any time up to 5:00 pm. ER Codes are **NOT** needed for any pick-ups after 5:00 pm. **ER Codes and policies are not applicable to High School students.** These are the nine (9) ER codes that authorized caregivers or students themselves must use (if they are authorized) to sign out and leave the OUSD expanded learning program up to 5:00 pm, Mon-Fri.

Per CDE: *The purpose of an early release policy is to identify why children are leaving before the end of the program. Thus, it is important for parents/guardians to identify the reason they are picking up their child before the end of the program. The requirement for parents and guardians to indicate the reason for early release should be determined by the local early release policy.*

**ERC #1 - Parallel Programs:** To participate in an outside activity or program that happens during program hours and is unrelated to the current program. (*i.e. girl scouts, piano practice, intern/job, etc...*)

**ERC #2 - Family Emergency:** Because a family member or participant has a serious health condition, there has been an accident or incident, or any other urgent/emergency situation (*not limited to a medical reason*) that warrants them leaving the program early.

**ERC #3 - Personal Family Circumstances:** The parameters of this ER code are left to the discretion of the authorized caregiver and signatory and do not warrant further disclosure.

**ERC #4 - Medical Emergency:** Because a family member or participant has a serious health condition, there has been an accident or incident, or any other medical-focused situation that warrants them leaving the program early.

**ERC #5 - Transportation:** Due to limited or lack of transportation access or options before the program's end time.



## **ER (Early Release), Policy, Codes, and their Definitions**

**ERC #6 - Community Safety:** Due to concerns about neighborhood safety, time change, weather, access to transportation, or other crises.

**ERC #7 - Child Accident:** Participant experiences an injury or incident, soiled or clothing repair-related incident, etc...

**ERC #8 - Other:** Only use this code for any other reason that is not covered in ER codes: 1-7 & 9

**ERC #9 - Schedule Session Complete:** The student only participates in specific program activities that end before the comprehensive schedule ends for the day. (*i.e. only participating in OAL Soccer practice 3:30 pm - 4:30 pm*)

# 2022-23 PRE-ATTENDANCE AUDIT CHECKLIST

## SECONDARY SITES – MARCH 6, 2023

Bring All Month 3 Attendance Documents Listed Below For:  
10/3/22-10/28/22

Specialists Name: \_\_\_\_\_

Name of Site: \_\_\_\_\_

We will complete checklist “together” in the computer lab,  
but use it as a guide in gathering documents

ITEM	DESCRIPTION	YES/NO
1.	Did you complete the <b>Month 3 Statistical Report</b> ?	
2.	Did <b>Principal sign &amp; date</b> all statistical reports in ink?	
3.	Have all teachers completed attendance for the school year? <b>Check Dashboard <a href="#">here</a></b> . Please ensure that ALL teachers complete attendance daily, going forward.	
4.	If some teachers have not completed attendance, did you receive a <b>spreadsheet of Missing Attendance</b> from Shelia White?	
5.	Are you working with teachers to complete the Missing Attendance spreadsheet by 3/6/23?	
6.	Will you <u>need</u> <b>support entering the data in Aeries</b> from the spreadsheet after teachers complete?	
7.	Do you have any completed <b>Paper Attendance Rosters</b> for Month 3?	
8.	Are the <b>Paper Rosters signed, dated &amp; input in Aeries</b> ? If not, ask principal to complete them.	
9.	Do you have <b>Single Period Verification</b> forms for Month 3?	
10.	Has ALL Single Period Verifications <b>data been entered in Aeries</b> ?	
11.	<b>Parent Notes</b> , Emails, and/or telephone messages available?	
12.	<b>Tardy Logs</b> - has info. been entered in Aeries?	
13.	Does site have <b>signed &amp; dated Independent Study agreements</b> for Month 3, signed & dated by parent, student, principal and teacher?	
14.	<b>Calls Logs</b> - Evidence/Aeries print out & calls made home of absent students?	
15.	<b>Permit to Leave</b> forms/logs - has data been entered in Aeries?	
16.	<b>Independent Study Agreement</b> - Does site have signed and dated docs for Month 3, signed by student, parent, principal and a teacher?	
17.	Is <b>student work</b> or a blank copy of the work that was given to students, attached to the Independent Study agreements?	
18.	Did teacher(s) complete I.S. form showing <b>credit for IS</b> and sign & date the form?	
19.	Did Specialist <b>remove student from Program</b> , place student in I.S. program and place student back in program, in Aeries for I.S..?	
20.	Did Specialist <b>change L Codes to F Codes</b> , according to # of days of I.S. Credit, per teacher?	
21.	Have you cleared “checked & current” <b>Concurrent Enrollments</b> ?	

# 2022-23 PRE-ATTENDANCE AUDIT CHECKLIST

**ELEMENTARY SITES – MARCH 3, 2023**

**Bring All Month 3 Attendance Documents Listed Below For:  
10/3/22-10/28/22**

**Specialists Name:** \_\_\_\_\_

**Name of Site:** \_\_\_\_\_

**We will complete checklist “together” in the computer lab,  
but use it as a guide in gathering documents**

ITEM	DESCRIPTION	YES/NO
1.	Did you complete the <b>Month 3 Statistical Report</b> ?	
2.	Did <b>Principal sign &amp; date</b> all statistical reports in ink?	
3.	Have all teachers completed attendance for the school year? <b>Check Dashboard <a href="#">here</a></b> . Please ensure that ALL teachers complete attendance daily, going forward.	
4.	If some teachers have not completed attendance, did you receive a <b>spreadsheet of Missing Attendance</b> ?	
5.	Are you working with teachers to complete the Missing Attendance spreadsheet by 3/6/23?	
6.	Will you <u>need</u> <b>support entering the data in Aeries</b> from the spreadsheet after teachers complete?	
7.	Do you have any completed <b>Paper Attendance Rosters</b> for Month 3?	
8.	Are the <b>Paper Rosters signed, dated &amp; input in Aeries</b> ? If not, ask principal to review & complete them.	
9.	<b>Parent Notes</b> , Emails, and/or telephone messages available?	
10.	<b>Tardy Logs</b> - has info. been entered in Aeries?	
11.	Does site have signed & dated Independent Study agreements for Month 3, signed & dated by parent, student, principal and teacher?	
12.	<b>Calls Logs</b> - Evidence/Aeries print out & calls made home of absent students?	
13.	<b>Independent Study Agreement</b> - Does site have signed and dated docs for Month 3, signed by student, parent, principal and a teacher?	
14.	<b>Permit to Leave</b> forms/logs - has data been entered in Aeries? ( <i>optional to enter</i> )	
15.	Is <b>student work</b> or a blank copy of the work that was given to students, attached to the Independent Study agreements?	
16.	Did teacher(s) complete I.S. form showing <b>credit for IS</b> and sign & date the form?	
17.	Did Specialist <b>remove student from Program</b> , place student in I.S. program and place student back in program, in Aeries for I.S..?	
18.	Did Specialist <b>change L Codes to F Codes</b> , according to # of days of I.S. Credit, per teacher?	
19.	Have you cleared “checked & current” <a href="#">Concurrent Enrollments</a> ?	



## Program Change in Aeries.NET

This document will walk you through the process of changing a program for a student in Aeries Web Version.

Lookup the student and go to their [Student Data] / [Demographics] page

The screenshot shows the Aeries.NET interface for a student's profile. The left sidebar has a 'Pages' menu with 'Student Data' and 'Demographics' highlighted. The main content area displays various student information fields, including 'Residence and Mailing Address', 'Parent/Guardian', 'Name', 'Ed Lvl', 'Email', 'Program', and 'Next ResSchl'. At the bottom of the page, there is a 'Change' button highlighted with a red box and a red arrow pointing to it. Other buttons like 'Delete', 'Update Attendance', 'Reports', 'Take Student Picture', 'Upload Student Picture', and 'Quick Print' are also visible.

Scroll to the bottom of the page and click on the [Change] button to enable changes to be made to the data fields.



## Program Change in Aeries.NET

Once you click on the [Change] button, the data fields will change to boxes that can now be changed.

- 1) Click on the [Prog] field to open the dropdown selection.
  - a. Click on the new program. For example, click on the "I" for Independent Study
- 2) A Pop-Up will appear asking if you want the next program to match program. Click on [Ok]
- 3) Finally, click on the [Update] button at the bottom to save your changes.

The screenshot displays the Aeries.NET student record interface. The 'Prog' dropdown menu is open, showing options: Regular Program, A Advanced Path, C Continuation, E Electronic Learning Program, H Home and Hospital, I Independent Study, J Independent Study - Trans Kin, N Special Services - No-ADA, and O Opportunity. The 'I' option is highlighted with a red box and a red arrow. A pop-up dialog box titled 'aeriesnetqa.ousd.k12.ca.us says:' is open, asking 'Do you want to update this student's next program to match program?' with 'OK' and 'Cancel' buttons. The 'Update' button at the bottom of the form is also highlighted with a red box. The form includes fields for Email, Prog, Att Prg 1, Att Prg 2, Locker, Records Release, SM, (Ethnicity), CorrLng, RptgLng, LangFlu, Birth City, Chtr, SpEd, ELC, User6, Prgm, User8, CPA, User10, Path, Next Schl, Next Grd, Next Tchr, Next Grid Code, Next Prog, Next Prg 1, Next ResSchl, and Next IntDist.



## Program Change in Aeries.NET

Click on the [Update Attendance] button to activate your changes. (This is the same button as the [UpdATT] button that was inactivated in Aeries CS)

Parent/Guardian				Telephone	Extn					
<b>Name:</b>	Kawkab Ahmed / Ahmed Al Sharabi			<b>Primary:</b>	(510) 688-7542					
<b>Ed Lvl:</b>	Not a high school graduate (14)			<b>Father's Work:</b>						
<b>Email:</b>				<b>Mother's Work:</b>						
Prog	Att Prg 1	Att Prg 2	Dist Enter Dt	Schl Enter Dt						
I			3/3/2014	8/24/2015						
Teacher	Locker	Records Release	SM	DM						
224 - Chu, C		Release to all agencies	K	K						
Ethnicity	Race	(Ethnicity)	CorrLng	RptgLng	LangFlu					
N	White	White (not Hispanic)		Arabic	English Learner (3)					
Chtr	CDC	ASAM	SpEd	ELC	User6	Prgm	User8	CPA	User10	F
			I							
<b>Program code does not match current enrollment record</b>										
Next Schl	Next Grd	Next Tchr								
Bella Vista (102)	3	Unassigned (0)								
Next Grid Code	Next Prg	Next Prg 1								
	I									
Next ResSchl	Next IntDist									
Fremont High (302)	Not applicable									
<input type="button" value="Add"/> <input type="button" value="Change"/> <input type="button" value="Delete"/> <input style="border: 2px solid red;" type="button" value="Update Attendance"/>										

Once you click on the [Update Attendance] button it will open up the next page.



## Program Change in Aeries.NET

The [Leave Date] will be the last day of their old program. For example, if a student is beginning Independent Study on 9/13/17, the student's last day in regular program would be 9/12/17.

(Please note the 440 reason on the Leave Date line. The 440 exit reason is for a program or grade change).

Leave Date	Grade	Program	Pgm1	Pgm2	Track	Teacher	Rptg	Intr	District of	Reason
9/12/2017						24 - Chu, C				440
Enter Date	Grade	Program	Pgm1	Pgm2	Track	Teacher	Rptg	Intr	District of	Reason
9/13/2017						22 - Chu, C				

OK Cancel

The [Enter Date] will be the first day of their new program. For example, if a student is beginning Independent Study on 9/13/17, the student's first day in the IS program would be 9/13/17.

Click [Ok] to save your changes.

The student is now entered into the new program. Repeat the steps to place them back into the student's "Regular Program" which could be T-Transitional Kinder, S-SDC, etc. (If you have any question about what their previous program was then open up the [Attendance Enrollment] screen. This screen will show you their program changes for the whole school year).

### Steps to repeat in order to change the program back to original program:

- 1) Search/Lookup the Student and go to their [Student Data] / [Demographics] page
- 2) Click on [Change]
- 3) Click on [Prog] and select program
- 4) Click [OK] in pop-up
- 5) Click [Update]
- 6) Click [Update Attendance]
- 7) Verify/Change the [Leave Date] and [Enter Date] for when the program changes
- 8) Click [OK]



## Program Change in Aeries.NET

Open up the [Student Data] / [Attendance Enrollment] page to verify your work.

The page should look similar to below with either 'E' or 'L' codes to signify the date breaks for changes in program. The screen below shows a student who entered the Independent Study program on 9/1/17 and left on 9/12/17.

Current Attendance Enrollment												
Date	Ent/Lv	Grd	Prg	Trk	Teacher	Reason	NextSchl	AttPgm1	AttPgm2	RptgSchl	IntDist	District of Residence
9/13/2017	E	2			224 - Chu, C		0					
9/12/2017	L	2	I		224 - Chu, C	440	0					
9/1/2017	E	2	I		224 - Chu, C		0					
8/31/2017	L	2			224 - Chu, C	440	0					
8/21/2017	E	2			224 - Chu, C		0					

+ Add New Record





## Program Change in Aeries.NET

### Complete the whole process by entering the Attendance Codes for each day out on Independent Study.

Go to the [Attendance] page, and enter the 'L' code into each day out on Independent Study.

AbsLtr: 0 Date: TdyLtr: 0 Date:

Monday	Tuesday	Wednesday	Thursday	Friday
08/21	08/22	08/23	08/24	08/25
08/28 T TARDY	08/29	08/30	08/31	09/01 L LEFT ON IS
09/04 # HOLIDAY	09/05 L LEFT ON IS	09/06 L LEFT ON IS	09/07 L LEFT ON IS	09/08 L LEFT ON IS
09/11 L LEFT ON IS	09/12 L LEFT ON IS	09/13	09/14	09/15
09/18	09/19	09/20	09/21	09/22
09/25	09/26	09/27	09/28	09/29
10/02	10/03	10/04	10/05	10/06
10/09	10/10	10/11	10/12	10/13 \$ STAFF DEV
10/16	10/17	10/18	10/19	10/20
10/23	10/24	10/25	10/26	10/27

Legend Update ATT Data Quick Print Print Attendance Notes Refresh Totals Print Readmit Slip

After the student has returned from his leave, and the teacher has graded the work, then you can change the 'L' codes to an 'F' code according to how many days were signed off as completed by the teacher(s). (For complete instructions on what codes to use and how to manage Independent Study, please refer to the documentation on Independent Study available in the Knowledge Center)



