Unique Identifier Audit Summary (UIAS) SIRS-701 Report Guide

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Albany, New York 12234

Overview and Background

The NYSED Office of Information and Reporting Services (IRS) provides a set of informational audits of student enrollment records called UIAS (Unique Identifier Audit Summary), now issued within the Level 2 Reports (L2RPT) system as report "SIRS-701."

The intent of the UIAS SIRS-701 report is to help Local Education Agencies (LEAs) promote data quality and integrity by running a series of tests on select business rules governing **proper use of enrollment and location codes in student records**. These tests are run against each student's set of enrollment records, based on her/his "unique identifier" – the NYSSIS ID (NYS Student Identification System ID) – and the UIAS SIRS-701 report then displays potential "business rule" violations.

SIRS Business Rules as UIAS Use Cases: Overview

Federal, State and Agency (New York State Education Department (NYSED)) policies determine business rules for data collection and reporting, and these rules apply to all LEAs – including public school districts, charter schools, participating nonpublic schools and others – who participate in the NYS Student Information Repository System (or SIRS, aka the statewide student data warehouse). Business rules and guidance are laid out in the SIRS Manual. The latest version of the SIRS Manual is always posted on the IRS Website here: http://www.p12.nysed.gov/irs/sirs/.

Within the scope of the UIAS SIRS-701 report only select SIRS business rules are tested. Each business rule has one or more **tests** that are considered UIAS "use cases". Business rule logic is translated into code that tests whether use case (business rule) criteria are being met.

- In some cases, the test is for a positive outcome. (The *presence* of a criterion is necessary. For example, to properly use a certain exit code, there MUST also be a corresponding entry code in a subsequent record.)
- In some cases, the test is for a negative outcome. (The *absence* of a criterion is necessary. For example, to properly use a certain exit code, a subsequent record must NOT include any member of a discrete subset of location types.)

The UIAS SIRS-701 report shows an LEA **only use cases that are NOT met** according to the expected SIRS business rule requirements. If a SIRS business rule is being implemented properly, it should not show in a UIAS SIRS-701 report.

Use Case Categories Overview

There are currently four broad categories of UIAS use cases:

- **Disappearing Students (DS)**: Students expected to be continuously enrolled in a given location (an "empty" exit code value in the prior year enrollment record), but with no re-enrollment *in that location* in the new school year (SY);
- **False Dropouts (FD)**: Students exited as dropouts but who may have subsequently re-enrolled (within a given time frame or in a qualifying location) that would then suggest the dropout code be replaced with a more appropriate exit code;
- **False Transfers (FT)**: Students who were coded as having transferred to a new location but appear not to have re-enrolled under the requirements for that particular type of transfer (or, rarely, were re-enrolled in the original location – i.e., did NOT transfer – but with no appropriate change in exit code); and
- **Simultaneous Enrollments (SE)**: Students who appear to be inappropriately enrolled in multiple locations.

Use Case Type/Subtype Overview

Within the broad category of UIAS use case categories are further detailed **types and subtypes**. Each type/subtype pairing represents a discrete example of how a unique combination of data values – enrollment codes, location codes and other data elements – potentially violates a given SIRS business rule.

Use case **types** are displayed in the UIAS SIRS-701 report "Use Case Type" column, with a specific alpha-numeric string of characters. For example:

- "FT.153" is one type of False Transfer use case, with further subtypes specifically based on the SIRS business rules for enrollment exit code 153;
- "FT.170" is another type of False Transfer use case, with further subtypes specifically based on the SIRS business rules for enrollment exit code 170;
- There are several other FT use case types based on distinct exit codes;
- "DS.EOY" is currently the only type of Disappearing Student use case, with subtypes specifically based on the SIRS business rules for "open enrollment" (where the exit code is blank, or has a "NULL" value);
- "FD" currently has only one "type" of False Dropout use case, with subtypes based on current year or past year instances;
- "SE" currently has only one "type" of Simultaneous Enrollment use case, with subtypes specifically based on the combination of factors present (or absent) with the two or more concurrent enrollments.

To further account for the multiple factors that combine to create unique use cases, use case "types" almost always have more than one **subtype**. Use case subtypes are identified in the UIAS/SIRS-701 report "Use Case Subtype" column, with an additional 2-digit numeric extension. For example:

- "153.01" is a subtype of the FT.153 use case type, where a violation is due to no subsequent enrollment being detected;

- "153.02" is a subtype of the FT.153 use case type, where a violation is due to the enrollment being detected in a *different* LEA (whereas the rule says this code is to be used within the SAME LEA);
- "153.03" is a subtype of the FT.153 use case type, where a violation is due to the enrollment being detected in the *same school* within the LEA (whereas the rule says this code is to be used within a *different* school within the same LEA);
- ...and many other subtype examples to be detailed later in this guide.

All use case subtype codes are presented in the UIAS/SIRS-701 report adjacent to the use case type code of which they are members. All use case types and subtypes are detailed later in this guide.

Identifying Reasons for Potential Violations

When a record appears in an LEA's UIAS/SIRS-701 report, the root cause *may* be due to an erroneous location code or enrollment code in that LEA's records. But it may *instead* be due to a conflicting or erroneously-coded record at *another* LEA. Where use cases have conflicting records across LEAs, **both** LEAs' records are displayed (and both LEAs will receive copies of this potential violation in their respective reports). LEAs may need to work with each other – at the very least, work with their own Level 1 Data Warehouse support teams – to troubleshoot, appropriately correct and resubmit records as warranted.

Scope of UIAS Use Case Testing

Most business rules are tested for the current school year (SY) data collection, but some require a comparison of records across school years. When UIAS tests include two SYs, reports compare the current and immediately preceding SYs. Regardless of the calendar date of a report run, the "current" SY is based on the SY whose *data collection* is current – i.e., not yet finalized for State school report card outcomes.

There is a brief "exception" period each year when the "current" SY and *actual* SY do not coincide: Because SYs technically end on June 30th, and data for that SY is still being collected through the subsequent months of July and August (into the next SY, which technically began on July 1st), reports run in July and August will display a "current" SY reflecting the SY that just passed (and not the actual SY, whose data collection will typically not begin until September).

To avoid uncertainty, UIAS SIRS-701 reports always display the SYs being assessed.

Potential UIAS Violations:
Underlying Rules and Use Case Specifications

Use Case Specifications

As noted earlier in this guide, UIAS audits currently include the following general types of use cases:

- **Disappearing Students (DS)**: Students expected to be continuously enrolled in a given location (an "empty" exit code value in the prior year enrollment record), but with no re-enrollment *in that location* in the new school year (SY);
- **False Dropouts (FD)**: Students exited as dropouts but who may have subsequently re-enrolled (within a given time frame or in a qualifying location) that would then suggest the dropout code be replaced with a more appropriate exit code;
- **False Transfers (FT)**: Students who were coded as having transferred to a new location but appear not to have re-enrolled under the requirements for that particular type of transfer (or, rarely, were re-enrolled in the original location – i.e., did NOT transfer – but with no appropriate change in exit code); and
- **Simultaneous Enrollments (SE)**: Students who appear to be inappropriately enrolled in multiple locations.

The *Disappearing Students* Use Case and Its Subcategories

Disappearing Students Overview:

"Disappearing Students" (DS) are specific cases of the "open enrollment" scenario, where students are not technically "exited" at the end of the SY. Instead, their enrollment record is left with NO exit code (also referred to as an "empty" or NULL exit code), anticipating re-enrollment in the exact same location the following SY. In general, all DS cases will have an open enrollment in the prior SY, but no record of that NYSSIS ID enrolled in the location in the current SY.

When an LEA submits an open enrollment records to SIRS, the Level 2 (L2) data warehouse transforms an empty exit code to a value of "EOY" (or "End-of-Year"). As the eScholar data model used by SIRS does not allow a NULL value in that field, this EOY code is used to help determine the validity of various conditions relative to SIRS business rules.

Disappearing Students Technical Definitions:

Student S_1 has a valid enrollment entry code in LEA 'X', building 'A', and the enrollment continues through June 30 of that school year (06/30/yyyy) with no enrollment exit code*. By rule, an empty exit code implies a continuous enrollment in that location for the following school year, and a subsequent enrollment record with a valid entry code is expected in the following school year (beginning 07/01/yyyy and ending 06/30/yyyy+1).

If no enrollment record with valid entry code is detected within LEA 'X' for the subsequent school year (06/30/yyyy+1), the student will be reported to LEA 'X' as a Disappearing Student. For the purposes of this report, the following are enrollment entry codes for which subsequent school year records will be checked:

- 0011 Enrollment in building or grade
- 0022 Foreign exchange student enrollment in building or grade
- 5544 Transfer under NCLB Title I "School in Improvement Status" option
- 5555 Student enrolled for the purpose of recording a test score (walk-in)
- 5654 Enrollment in a AHSEP or HSEP program
- 5905 CSE responsibility only
- 7000 Transfer under NCLB "Persistently Dangerous School" option
- 7011 Transfer under NCLB "Victim of Serious Violent Incident" option

The following enrollment entry codes are NOT checked for DS use cases:

- 0033 Part-time students pursuing a HS diploma
- 0055 Enrolled for instructional reporting only
- 4034 Preschool-age students enrolled solely for determining eligibility for special education services
- 8294 School-age children on the roster for census purposes only

Disappearing Students Use Case Types and Subtypes (Details):

- DS.EOY Errors
  - DS.01 – Enrolled in different LEA/district
    May change exit code to a transfer code, but requires documentation.
  - DS.02 – Disappearing student
    May need to change exit code to a dropout code if never re-enrolled anywhere in NYS (no documentation of transfer). If student enrolled elsewhere and was given new NYSSIS ID, may reconcile/merge to a single NYSSIS ID then change to transfer exit code, but must include documentation (and requires coordination between both locations and their Level 1 data warehouse support teams).

The *False Dropouts* Use Case and Its Subcategories

"False Dropouts" (FD) alert an LEA to the fact that a student has been reported by that LEA with an enrollment record having a dropout exit code, but that this student has possibly enrolled elsewhere during that same school year.

False Dropout Technical Definitions:

LEA 'X' has used a dropout exit code to report the ending of Student S_1's enrollment at Building 'A'. For the purposes of this report, records with the following enrollment exit codes will be considered dropouts from LEA 'X':

If no enrollment record with valid entry code is detected within LEA 'X' for the subsequent school year (06/30/yyyy+1), the student will be reported to LEA 'X' as a Disappearing Student. For the purposes of this report, the following are enrollment entry codes for which subsequent school year records will be checked:

- 136 Reached maximum legal age and has not earned a diploma or certificate
- 340 Left school: first-time dropout
- 391 Long-term absence (20 consecutive unexcused days)
- 408 Permanent expulsion (student must be over compulsory attendance age)
- 425 Left school, no documentation of transfer
  (*Note: Includes students who are not yet of compulsory school age and who have been withdrawn from school by a parent/guardian and students who are declassified by the CPSE*.)
- 306 Transferred to other high school equivalency (GED) preparation program
- 357 Left school: previously counted as a dropout

In addition to student S_1's reported dropout enrollment exit record from LEA 'X', but in the same school year, Student S_1 appears to have re-enrolled in a new building within LEA 'X' (e.g., Building 'B') OR another LEA 'Y'. For the purposes of this report, the following enrollment entry codes will be considered as possible false dropouts now enrolled at any new location:

- 0011 Enrollment in building or grade
- 0022 Foreign exchange student enrollment in building or grade
- 5544 Transfer under NCLB Title I "School in Improvement Status" option
- 5654 Enrollment in a AHSEP or HSEP program
- 7000 Transfer under NCLB "Persistently Dangerous School" option
- 7011 Transfer under NCLB "Victim of Serious Violent Incident" option

Any student S_1 with an exit code at LEA 'X' from the first series above also having an entry code at another location from the second series above will be considered a "false dropout" from LEA 'X', Building 'A', for the purpose of this report, according to the use cases outlined below.

False Dropout Use Case Types and Subtypes (Details):

- FD Errors
  - FD.01 – Current Year False Dropout
    May affect current year accountability and grad rate/cohort reports. May change

exit code to a transfer code, but requires documentation. May leave dropout code under certain circumstances according to specific rules governing particular code cases.

- o FD.02 – Cross-Year False Dropout
  May affect current year cohort reports. May change exit code to a transfer code, but requires documentation. May leave dropout code under certain circumstances according to specific rules governing particular code cases.

The *False Transfers* Use Case and Its Subcategories

"False Transfers" (FT) alert LEAs to cases where a student is reported by an LEA as having transferred to another location or program (as defined by the transfer codes below), but appears to have not subsequently enrolled anywhere.

An *overlapping* transfer record will FIRST be detected as a Simultaneous Enrollment violation (see section below). This can happen when the student was enrolled in another location or program but the new enrollment entry code is prior to the transfer exit date from the original LEA. In these cases, if the LEAs correct the Simultaneous Enrollment dates but do NOT notice the transfer code error, the NYSSIS ID will be flagged as a FT in the next SIRS-701 report.

False Transfer Technical Definitions:

LEA 'X' has entered an enrollment exit code for student S_1 indicating a transfer to another location or program (see list immediately below). However, the records in the Level 2 repository either indicate that student S_1 has no entry record at another location, or that the entry at another location has preceded the exit (transfer) from LEA 'X'. For the purpose of this report, student S_1 will be considered for possible "false transfer" violations if any of the following have been entered as an enrollment exit code:

- 153 - Transfer within the district OR to an out-of-district placement, where responsibility for the student remains with the originating district
- 170 - Transfer to another NYS public school outside this district with documentation (documentation not required for pre-school students with disabilities (PS SwD))
- 238 - Transfer to homebound Instruction provided by this district
- 289 - Transfer to approved AHSEP or HSEP program
- 323 - Transfer outside district by court order
- 782 - Entry into a different grade in same school building (also used for PS SwD who remain in same building but transition from PS to school-age status)
- 5927 - Leave a school under NCLB [victim of serious violent Incident]
- 5938 - Leave a NYC community district under NCLB [victim of serious violent Incident]

False Transfer Use Case Types and Subtypes (Details):

- FT.153 Errors

- o   153.01 – No subsequent enrollment
- o   153.02 – Enrolled in different district
- o   153.03 – Enrolled in same school in district
- FT.170 Errors
  - o   170.01 – No subsequent enrollment
  - o   170.02 – Enrolled in same district
- FT.238 Errors
  - o   238.01 – No subsequent enrollment
  - o   238.02 – No subsequent homebound enrollment
- FT.289 Errors
  - o   289.01 – No subsequent enrollment
  - o   289.02 – No subsequent AHSEP enrollment
- FT.323 Errors
  - o   323.01 – No subsequent enrollment
  - o   323.02 – Enrolled in same district
- FT.782 Errors
  - o   782.01 – No subsequent enrollment
  - o   782.02 – Enrolled in different school
  - o   782.03 – Enrolled in same grade and school
- FT.5927 Errors
  - o   5927.01 – 7011 enrollment in same LEA/district
- FT.5938 Errors
  - o   5938.01 – No 7011 enrollment in NYC CSD

The *Simultaneous Enrollments* Use Case and Its Subcategories

"Simultaneous Enrollments" (SE) alert an LEA that a student recorded as enrolled in that LEA is also recorded as enrolled at the same time in another location (either in another LEA or elsewhere in the same LEA).

Simultaneous Enrollments Technical Definitions:
A student is considered simultaneously enrolled if the student has more than one "open" enrollment record (a record with an enrollment entry code but no enrollment exit code*) in more than one location. This report will ignore any 'closed' enrollment records (records that have enrollment exit codes*). For the purposes of this report, the following entry codes will be considered valid.

- 0011 Enrollment in building or grade
- 0022 Foreign exchange student enrollment in building or grade
- 5544 Transfer under NCLB Title I "School in Improvement Status" option
- 5555 Student enrolled for the purpose of recording a test score (walk-in)
- 5654 Enrollment in a AHSEP or HSEP program

- 5905 CSE responsibility only
- 7000 Transfer under NCLB "Persistently Dangerous School" option
- 7011 Transfer under NCLB "Victim of Serious Violent Incident" option
- 8294 School-age children on the roster for census purposes only

Simultaneous Enrollments Use Case Types and Subtypes (Details):

- SE Errors
  - SE.01 – Concurrent open enrollment
  - SE.02 – Concurrent (other) enrollment
    This may include False Dropouts or False Transfers that, once the overlapping enrollment dates are resolved, may still need to have entry/exit code changes to prevent them from showing up on a subsequent UIAS SIRS-701 report for those categories.