

UIAS 2.0 :: Guidance for LEAs and Regional Information Center providers

False Transfer Report

- a. *Report Intention*: To alert LEAs to two transfer cases: Case A, a “true” false transfer, 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; and Case B₂, an overlapping transfer record, where the student *did* enroll in another location or program (as defined by the transfer codes below) but the new enrollment entry code is *prior to* the transfer exit date from the original LEA¹.
- b. *Definition of a “false transfer”*: LEA ‘X’ has entered an enrollment exit code for student S₁ indicating a transfer to another location or program (see list immediately below). However, the records in the Level 2 repository either indicate that student S₁ 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 S₁ 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 building² (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], or
 - 5938 - Leave a NYC community district under NCLB [victim of serious violent Incident]

False Transfer (FT) Use Cases

The application must look at both open and closed enrollment records. Open enrollment records are those having a code of ‘EOY’ in the enrollment *exit_date* field (as populated in the Level 2 extract only—this field must be empty in local/Level 1 extracts*).

If an enrollment record (ER_n) exists in LEA ‘X’ having one of the set of valid transfer exit codes (listed above), then the application will look for any other enrollment records (in LEA ‘X’ **OR** any LEA ‘Y’) for that same student ID (S₁ ID_x).

If the application detects any other S₁ ID_x enrollment record (ER_{n++}) with an **entry_date** that is **LESS THAN** (prior to) the **entry_date** of enrollment record ER_n, then the application will ignore such records (for the purpose of reporting FT violations to LEA ‘X’, these records are assumed to have occurred prior to the enrollment in LEA ‘X’). Otherwise:

Case A (a “true” False Transfer, to be noted in the “Case” column of the FT report with an ‘FT’ flag):

If the application detects any other enrollment record ER_{n++} for S₁ ID_x **AND** the **entry_date** of enrollment record ER_{n++} is **greater than OR equal to** (on or after) the

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exit_date of enrollment record ER_n , then all such records ER_{n++} will be displayed in the FT report and marked as 'FT' in the "Case" column³.

Cases B_{1,2} (including overlapped transfers, to be noted in the "Case" column of the FT report with an 'OL' flag):

(Recall that any record ER_{n++} with **entry_date less than** ER_n **entry_date** has already been ignored.)

If the application detects any other enrollment record ER_{n++} for S_1 ID_x **AND** the **entry_date** of enrollment record ER_{n++} is **less than** the **exit_date** of enrollment record ER_n , then:

- **B₁**: IF enrollment record ER_{n++} **exit_date** is ALSO **less than** the **exit_date** of enrollment record ER_n , then ignore record ER_{n++} . (Record ER_{n++} must be assumed to have been resolved prior to the current ER_n record being reviewed; if at a later date the ER_n record **exit_date** has been revised and is now earlier than the ER_{n++} record, this will be detected in a future FT report.);
- **B₂**: ELSE all such records ER_{n++} will be displayed in the FT report and marked as 'OL' in the "Case" column⁴.

- c. *Distribution of Reports*: These reports will be distributed only to an LEA required to take some action (and to the RIC serving that LEA). Reports will not be distributed to LEAs "for information purposes only". In the example above, LEA 'X' would get the report of student S_1 's activity. LEA 'Y' would not get a report of this transaction.

The LEA will receive a report through the IRS-Portal (using their SEDDAS account), and the RIC serving that LEA will receive a copy of the report via their NYSED secure FTP directory.

(Note: As of March 2011, non-public LEAs have no SEDDAS accounts or access to the IRS-Portal. Until non-public LEAs are granted access, RICs must securely deliver UIAS reports to their non-public customers.)

- d. *Report Design*: The report shall select all school age students who meet the definition above (pre-school students should not be included). The following information will be included in the report:
- Name and BEDS code of LEA receiving the report
 - School year for which the report is being run
 - Date of latest data refresh prior to report run
 - Date of report run
 - Name of building (where enrolled in LEA 'X' at time of transfer exit code)⁵
 - Student Last Name, First Name
 - Student NYSSIS ID
 - Student Local ID
 - Student Grade Level
 - LEA enrollment record details: LEA/Building⁶, Entry Date⁷, Exit date, Exit code, Exit reason
 - Case type (Case A, "FT" – a "true" False Transfer; or Case B₂ "OL" – Overlapping transfer; as outlined in section (a) *Report Intention* above)¹

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There is a special consideration for this report that distinguishes it from some of the others. Because an enrollment exit code could be entered at any point in time, and because a subsequent enrollment entry may not take place in a predictable timeframe, the report must be run on a schedule that creates bounds for the report.

The report will be run on an October to September schedule. In October of year 20xx, the report will be run to identify transfer enrollment exit codes entered that same school year (on/after July 1, 20xx) and for which there are no subsequent enrollment entry records detected. All additional runs of the report through Sept. 20xx+1 will execute in the same manner, polling any valid transfer enrollment exit code, entered from July 20xx on, for which there is no subsequent enrollment entry code.

The cycle begins again in October 20xx+1 by identifying exit codes dating back to the previous July only.

Note: This means that any false transfer report run between July and September are actually polling data from not only the first three months of that school year (e.g., 20xx+1), but also all the way back to the start of the previous school year (July 1, 20xx). In cases where reports are generated during the months of July through September, these reports will be technically referred to as “False Transfer Across Years” reports (as opposed to “False Transfer” reports) to indicate that it is polling two school years’ worth of enrollment data rather than one.

- e. *Report Format.* The sort order for this report should be: LEA Name, Building Name⁸, Grade level, Student Name (Last then First), then local ID. The report format will be comparable to the following sample (In sample report header, variables appear in square brackets. No brackets appear in actual report.):

FALSE TRANSFER REPORT

LEA [Name]

BEDS CODE: [nnnnnnnnnnnn]

[2009-10] SCHOOL YEAR

Date of Data Refresh [mm/dd/yyyy]

Date of Report Execution [mm/dd/yyyy]

Building Of Enrollment [Name]⁵

LAST NAME	FIRST NAME	NYSSIS ID	Local ID	Grade Level	LEA / Building ^{5,6}	Entry Date ⁷	Exit Date	Exit Code	Exit Reason	Case ¹
Smith	John	124578939	000000765	07	LEA X, Bldg A	09/10/2010	04/01/2011	153	Transferred	FT
Jones	Mary	012457893	000000999	08	LEA X, Bldg A	07/01/2010	12/31/2010	170	Transferred	OL
Jones	Mary	012457893	154896237	10	LEA Y, Bldg B	12/27/2010	12/27/2010	(EOY)	Transferred	OL

Total 2

The following text is included in the report (as the first page of any PDF report; and as a separate “cover” sheet/tab at the front of any XLS report):

“The attached report includes a list of students reported by you (as of the last Level 2 repository refresh cycle prior to the date this report was run) as having transferred to another location.

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The data in the Level 2 repository indicate that the students contained in this report may not have transferred to a new location as recorded in the enrollment exit code , OR the student is enrolled in another location but the new enrollment entry code is prior to your recorded enrollment exit date. You should engage in due diligence to determine the actual status of this student.

If the result of your investigation produces written documentation (consistent with State requirements and district policy) that determines the appropriate status of this student, you are authorized to modify the record in your student management system consistent with your findings. You may also need to consider whether NYSSIS IDs are a possible source of discrepancies, in which case these may need to be corrected through the standard NYSSIS troubleshooting procedures.

You may then move the record to the Level 1 repository. Contact your Level 1 operator for more information on how to make this change if you are unsure, or if you are making this change after the school year in question is closed out.

Report guidance is available on NYSED's main UIAS resource page (<http://www.p12.nysed.gov/irs/uias/>). Each Big 5 City District and Regional Information Center has at least one designated UIAS Point of Contact to support UIAS reports.

To look up core information (BEDS codes, location names, etc.) for locations providing educational services:

SEDREF ([http://portal.nysed.gov/pls/pref/SED.sed_inst_qry_vw\\$.startup](http://portal.nysed.gov/pls/pref/SED.sed_inst_qry_vw$.startup)) may be used to look up LEA/school location codes and other education institution-related information. SEDREF is publicly available on the NYSED Business Portal (<http://portal.nysed.gov/>).

Helpful tips about the main SEDREF query page:

- ~ When querying the "Name (Popular or Legal)" field, place a percent sign ('%') before AND after the query text (examples: %syracuse%, %syracuse acad%, etc.).
- ~ Please note that BEDS Code is listed as "SED Code".
- ~ See "Public Help" (top of page) for additional usage and tips."

f. *Known issues and future enhancements*: The following are known issues or enhancements, with estimated dates for resolution or implementation (when known), and any applicable guidance on how to best use these reports (for example, using available workarounds) while issues remain unresolved:

¹ Enhancement. Current reports were not specified to note the distinction between the two Use Cases (A and B₂, as outlined in section (a) *Report Intention* and detailed in (b) *Definition...* above). In UIAS release version 3.0 (to be released Fall/Winter 2010-11) the report will include a "Case" column, which will display the applicable flag ("FT" to indicate Case A, a "true" False Transfer; or "OL" to indicate Case B₂, an Overlapping transfer). In the interim, LEAs must rely on empirical comparisons between entry and exit dates reported in FT reports and those reported in local student management systems.

² Known issue. Current reports do not pick up students if they have a 782 grade change "transfer" AND have moved *within the same building*. Students will be picked up only if they

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have changed grades AND locations. This will be corrected for UIAS release version 3.0 (to be released Fall/Winter 2010-11).

³ Known issue. Current reports detect only the absence of an entry date *greater than* (or, “after”) the exit/transfer date as a “true” False Transfer violation, rather than *greater than OR equal to* (or, “**on OR** after”). This will be corrected In UIAS release version 3.0 (to be released Fall/Winter 2010-11).

⁴ Known issue. Current reports detect records as Overlaps if the second record (ER_{n++}) entry date is less than *OR equal to* (or, “prior to **OR on**”) the ER_n record in LEA ‘X’, rather than only when *less than* (“prior to”). This will be corrected In UIAS release version 3.0 (to be released Fall/Winter 2010-11).

⁵ Known issue. Current reports display *BEDS code* in the header information rather than building *name*. Names will replace BEDS codes beginning with the release of UIAS 3.0 (Fall/Winter 2010-11). In the interim, users unfamiliar with the BEDS codes should use NYSED’s Web-based SEDREF application (Web addresses are referenced in the textual guidance provided with each report) to look up codes for any location in question.

⁶ Enhancement. Current reports do not include an ‘LEA/Building’ column. This will be included In UIAS release version 3.0 (to be released Fall/Winter 2010-11).

⁷ Enhancement. Current reports do not include an ‘Entry Date’ column. This will be included In UIAS release version 3.0 (to be released Fall/Winter 2010-11).

⁸ Known issue. Current reports are sorted in *BEDS code* order rather than alphabetically by building *name*. Sort by name will replace sort by BEDS beginning with the release of UIAS 3.0 (Fall 2011). Users unfamiliar with the BEDS codes should use NYSED’s Web-based SEDREF application (Web addresses referenced in the textual guidance provided with each report) to look up codes for any location in question.

* (Technical note: Once enrollment records with empty exit code fields have passed edit checks and have been staged in the Level 1 Container, they are passed to the Level 2 Statewide data warehouse where the exit code field is populated with a “flag” of ‘EOY’ indicating an End of Year rollover. While ‘EOY’ is not “valid” in student management systems or Level 1 datamarts (i.e., it is not listed amongst valid exit codes in the SIRS Manual), it is a “valid code” in the sense that it is used in Level 2 and in the UIAS application to detect a student who has not exited, but whose enrollment in the recorded location is current, or, at the close of a school-year, is expected to continue in that location in the subsequent school year.)