



# Student Enrollment Audit Handbook for Pre-Kindergarten Incentive Programs

School Year 2014 - 2015

District of Columbia  
Office of the State Superintendent of Education

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## SECTION 1: INTRODUCTION

### Student Enrollment Audit

An annual pre-k enhancement student enrollment audit is required by the pre-k Enhancement Act of 2007. The audit takes place in the fall of each school year and consists of a physical head count of each student enrolled.

The audit also reviews student records to determine enrollment and residency status as of October 5 (or the next business day if this falls on a weekend or holiday) of the given school year. For the current school year SY2014-2015, the date will be October 6. For the purpose of this handbook, “enrollment” is defined as the process by which a student obtains admission to a public school in order to attend classes and participate fully in school activities. Upon completion of the audit, each community based organization (CBO) receives funding for every student officially enrolled at its school(s), along with any funding allowed for additional related services under the District of Columbia Uniform Per Student Funding Formula (UPSFF). DCPS receives funding based on projected enrollment according to historic audit counts. For SY14-15, this includes pre-kindergarten incentive programs.

### State Enrollment Roster

The Office of the State Superintendent of Education (OSSE) is responsible for generating a state enrollment roster. Each year, OSSE is charged with calculating public school enrollment counts for each pre-k incentive program as of October 6 and contracting an independent auditor to validate the enrollment roster by means of a census-style audit. The enrollment audit roster is generated from the Statewide Longitudinal Education Database (SLED), which will be populated by pre-k incentive programs via the SY14-15 Enrollment Audit QuickBase application. All programs will create and update a roster of their students in QuickBase that OSSE will view in finalized form in SLED.



## SECTION 2: ENROLLMENT AUDIT OVERVIEW

Below is an overview and timeline of the SY2014-2015 student Enrollment Audit.

Item/Action	Date
<b>Preparation for the October 6 deadline</b>	
OSSE collects and updates Point of Contact information for each program	Late July – Early August 2014
OSSE and the auditor conduct training sessions	August 2014 - Specific dates will be published in the LEA Look Forward
Programs update data in the OSSE Enrollment audit	Starting August 2014
<b>October 6 Data Certification</b>	
Data in the Enrollment Audit QuickBase application freezes	October 6, 2014, 5:00 PM
<ul style="list-style-type: none"> <li>Programs review frozen data in Quickbase for accuracy and completion</li> <li>Prior to submission of certification, programs submit requests for support to OSSE staff, via Quickbase, for any issues not previously identified</li> </ul>	October 7 – October 8, 2014
Certification submission is due to OSSE <ul style="list-style-type: none"> <li>Programs submit Enrollment Audit Certification form to OSSE via email</li> </ul>	October 8, 2014 by 5:00 PM
<b>Enrollment Audit and Residency Verification Audit</b>	
Enrollment Audit Head Counts <ul style="list-style-type: none"> <li>Auditor visits all LEAs and pre-k incentive programs to perform head counts based on certified October 6 roster. The auditors also verify residency.</li> </ul>	October 20, 2014- December 1, 2014
<b>Enrollment Audit Resolution Meetings</b>	
Audit Resolution Meetings – The auditor meets with the programs to share audit results; the program has the opportunity to dispute the findings <ul style="list-style-type: none"> <li>Program document retention for appeal (if applicable) – The program leader must retain documents presented to the auditor during the resolution meeting</li> <li>In some cases, this resolution meeting may take place on a conference call if no major issues are visible</li> </ul>	December 2, 2014- December 9, 2014
<b>Desktop Appeals Process</b>	
Audited data released to programs	December 17, 2014
Programs review the findings and submit appeals to OSSE via QuickBase Application <ul style="list-style-type: none"> <li>The auditor/OSSE reviews the appeals and makes determinations</li> </ul>	December 23, 2014 at 5:00 PM
<b>In-Person Appeals</b>	
Updated data released to LEAs and pre-k incentive programs	January 6, 2015
Programs review the findings and submit request for in-person appeals hearing to dispute findings <ul style="list-style-type: none"> <li>No new issues can be appealed during the in-person appeals</li> </ul>	January 9, 2015 at 5:00 PM
In-person appeals hearings are conducted at OSSE	January 13-14, 2015
<b>Final Enrollment Audit and Child Count Release</b>	
Final Enrollment audit data released.	January 2015
<b>Non-Resident Follow-Up</b>	
Non-resident tuition payment recoupment and follow-up with parents/legal guardian who have not provided sufficient proof of residency	Ongoing, 2015
OSSE sends follow-up letter to programs regarding non-resident students	February, 2015
Referrals to the Office of the Attorney General (OAG)	March-May, 2015



## SECTION 3: DATA COLLECTIONS AND QUALITY

### Pre-K Incentive Program Points of Contact

Each program is required to have a point of contact (POC) designated for the purposes of the Enrollment Audit. Since the Enrollment Audit requires the handling of student identifiable information, the point of contact must follow all applicable Family Education Rights and Privacy Act (FERPA) laws.

Programs with multiple staff working on the enrollment audit must have a plan in place for sharing enrollment audit information among their respective staff members. OSSE and the Auditor are not responsible for contacting staff members beyond the designated enrollment audit point of contact.

The current POCs provided from the Division of Early Learning are stored in OSSE's Enrollment Audit QuickBase Application, and are available for review by each program. Programs will review this information at the first enrollment audit training for all programs, held at OSSE in August 2014.

### Data Quality

Data quality is vital to a successful enrollment audit. All data must be valid, complete and accurate (see table below for definitions of each of these terms). CBOs must also ensure that they adhere to the Data Management Policy. The Data Management policy can be found at:

<https://sled.osse.dc.gov/Pages/SLED%20Pages/Documentation.aspx>

Community Based Organizations are responsible for maintaining records for data reporting. All CBOs signed assurances to this effect.

OSSE defines maintenance of records as: (a.) entering accurate data, (b.) updating data in a timely and accurate manner upon notification of any changes, and (c.) ensuring the accuracy of records such that the system of record is an accurate reflection of all students and their environments under the purview of the CBO. The data from the Enrollment Audit is used for annual federal reports.

Term	Definition
Accurate	The data correctly represent reality.
Complete	All required data elements contain values.
Valid	All values entered conform to OSSE permitted attributes.

Funding calculations are based on data that are successfully entered into QuickBase and communicated to SLED. Failure to input

valid, complete, and accurate data by October 6, 2014 will result in negative funding implications.

**SY2014-2015 Enrollment Audit and Child Count (EA/CC) QuickBase Application. The Enrollment Audit is the authoritative source for enrollment verification. All students must be included in the Enrollment Audit for the respective LEA before the student can be included on the Child Count Process.**

The EA/CC QuickBase application will be used by all pre-k incentive programs to upload an electronic roster to OSSE staff and the independent auditors. It will also be used throughout the audit for the upload of residency, resolution, and appeals. Access will be granted to Enrollment Audit POCs at each program. The POCs will receive email invitations from QuickBase to the email account listed in the OSSE Contact List by September 5, 2014 to register and login to the application.

In order for the student to be counted in the Enrollment Audit, the student must have an active enrollment in QuickBase at the claiming pre-k incentive program as of October 6, 2014 and the student's records must have valid and complete information for all of the following data fields:

- USI (Uniform Student Identifier)
- Local ID
- Last and First Name
- Date of Birth
- Gender
- Ethnicity
- Race
- Student Address (Street, City, State, Zip)
- Residency Indicator
- Tuition Indicator
- Tuition Payment Amount
- Homeless Indicator (default value is NO)
- LEP Indicator (default value is NO)

### Duplicative Enrollments

Because all pre-k incentive programs will use QuickBase, OSSE will be able to notify your program if a student on your roster is simultaneously enrolled at another pre-k incentive program, or simultaneously enrolled with a CBO. Only one program may claim a student for UPSFF funding in a given school year. It is the responsibility of your program to resolve any duplicative enrollments. That is:

- If a student is actively attending your program, but another program incorrectly enrolls that student via QuickBase, you must contact the other program to notify them of the error, and that they must exit the student from their roster.
- If you enrolled a student who moves to a different program or enrolls at a CBO, it is your responsibility to exit that student from your roster in a timely manner with an exit code and date so the new program can claim that student. You must use a valid exit code; these codes are listed in Appendix C.

While the program with the earlier entry date is responsible for initiating contact, any program may contact another program to start the resolution process. In fact, it is in the interest of both programs to initiate and work together to resolve the error quickly.

For the purposes of the Enrollment Audit, any duplicative enrollment that cannot be resolved by the programs by October 6, 2014 will be resolved by the Auditor. It is then the responsibility of the program where the student determined not to be enrolled to withdraw the student from the SY14-15 Enrollment Audit QuickBase application in a timely manner at the conclusion of the Audit.

Duplicative enrollments that are unresolved by October 6 at 5 PM may result in a loss of funding, as your roster must accurately reflect all students actively enrolled and attending your program.

## SECTION 4: OCTOBER 6 ENROLLMENT AUDIT DATA CERTIFICATION

Pre-k incentive programs must certify the validity, completeness and accuracy of the October 6 data for the Enrollment Audit. Enrollment Audit Data Certification forms must be submitted after October 6 with a final submission deadline of October 8 at 5:00 p.m.

OSSE will provide the Enrollment Audit Verification Form to pre-k incentive program Points-of-Contacts via email on October 7. This form will contain the total number of prek-3 and pre-k4 students, and total number of DC residents that your program has reported to OSSE via QuickBase.

Your program must review this form and ensure the totals are correct. The document must be signed by the program manager, scanned and provided to OSSE via email to [osse.enrollmentaudit@dc.gov](mailto:osse.enrollmentaudit@dc.gov) by October 8 at 5 PM. OSSE will acknowledge receipt of each certification document via email within 48 hours.

In the event that the frozen October 6 enrollment audit data are not accurate or complete by the certification deadline, take the following steps:

- If specific roster information is incorrect in Quickbase on October 7 (e.g. student address information, student date-of-birth information, etc), send an email from the QuickBase application to [sarah.sherman@dc.gov](mailto:sarah.sherman@dc.gov) and [Hannah.page@dc.gov](mailto:Hannah.page@dc.gov) detailing the issue.
- Determine if your total number of three-year olds, four-year olds, or DC residents is incorrect on your Data Verification Form. If any of this information is incorrect, respond directly via email to OSSE staff and detail the issue when you receive the form on October 7.

Following the October 8 data certification, OSSE will continue to work with programs through October 10 to try to resolve outstanding data issues. Continue to follow-up with OSSE staff until your data is corrected in QuickBase.

The chart below summarizes the data certification requirements for the Enrollment Audit and the Child Count.

Enrollment Audit Certification	
Data Verification	Verify all data in QuickBase
Signature	Form must be signed by Program Manager
Due Date	October 8, 2014 at 5:00PM
Data Discrepancies	List all open OSSE Support Tool (OST) ticket numbers relevant to the specific component
Method of Submission	Email to <a href="mailto:osse.enrollmentaudit@dc.gov">osse.enrollmentaudit@dc.gov</a>

**If your program does not submit the Enrollment Audit Verification Form by the deadline, OSSE considers the October 6 data to be accurate through passive approval for the purposes of the enrollment audit and will provide the enrollment roster, as is.**

Following the October 8 data certification, OSSE will continue to work with programs through October 10 to try to resolve outstanding data issues. OSSE does not make changes to pre-k incentive program data. The only corrections that will be accepted during

this time are those that are successfully received from QuickBase source system. LEAs must also work with the auditor to ensure that the changes made after October 8 are also captured for the Enrollment Audit.



## SECTION 5: UPSFF LEVELS

As discussed in the introduction, the student enrollment audit is the basis for paying the charter school Uniform Per Student Funding Formula (UPSFF) quarterly payments. It also serves an important role in justifying enrollment projections used to calculate the budget allocations for DCPS and the PCS account (Budget Code GC0) in the annual budget. Below is a brief explanation describing how student classification relates to the UPSFF.

Every student will be counted in only one of the categories in the general education portion of the UPSFF chart.

### Pre-K Incentive Program Grade Level Designations

For the SY14-15 enrollment audit, students enrolled in pre-k incentive programs will be placed in grade level classifications according to age. Age will be calculated by OSSE, based on student date of birth. Students who are age 3 by December 31, 2014 will receive a pre-kindergarten 3 UPSFF grade classification. Students who will be 4 by December 31, 2014 will receive a pre-kindergarten 4 UPSFF grade classification.

### GENERAL EDUCATION<sup>2</sup>

Grade/Classification	Weighting Factor*	Description of Classification
Pre-Kindergarten 3	1.34	Grade
Pre-Kindergarten 4	1.30	Grade
Kindergarten	1.30	Grade
Grades 1-3	1.00	Grade
Grades 4-5	1.00	Grade
Grades 6-8	1.03	Grade
Grades 9-12	1.16	Grade
Alternative School	1.17	School-level classification. Student may be classified in a particular grade or listed as ungraded in SLED/enrollment audit but is funded based on this category in the UPSFF calculation.
Special Education Schools	1.17	School-level classification. Student may be classified in a particular grade or listed as ungraded in SLED/enrollment audit but is funded based on this category in the UPSFF calculation.
Adult	0.75	Student-level classification based on program attributes
LEP/NEP	0.45	Limited English Proficient (LEP)/ Non-English Proficient (NEP) students
LEP/NEP Residential	0.68	Additional funding to support after-hours Limited and non-English proficiency needs of students living in a D.C. Public School or public charter school that provides students with room and board in a residential setting
*At Risk Students		Additional Funding to support <ul style="list-style-type: none"> <li>• Homeless students</li> <li>• Overage</li> <li>• Direct Certified</li> <li>• CFSA</li> </ul>

\*The weighting factor is applied to the foundation level per pupil amount to calculate the amount allocated/distributed for each student.

## Special Populations, Pre-K Incentive Programs

### Limited English Proficient Students

For SY14-15, OSSE is asking pre-k incentive programs to report if any enrolled students are Limited English Proficient (LEP). A LEP student's first language is not English and has difficulties in speaking, reading, writing, or understanding the English language. Programs will not receive additional funding for these students in SY14-15, but we request that any students be reported, when possible. This information will be used in state and federal reporting.

### Homeless Indicator

For SY14-15, OSSE is asking pre-k incentive programs to report if any enrolled students are homeless. Homeless students are defined as those lacking a fixed, nightly residence and include students living in any of the following circumstances:

- Living in emergency or transitional shelters
- Doubled up with other families

- Living in hotels or motels
- Students abandoned in hospitals
- Awaiting foster care placement
- Living in public or private places not designed for students to live
- Migratory children living in any of the preceding circumstances.

Information about the specific circumstances of the students will not be shared; homelessness is only indicated with a 'yes' or 'no'. This is not a reporting requirement. This information will be used in state and federal reporting.

Additionally, if a student is homeless and unable to provide residency, please notify OSSE staff. These instances will be resolved on a case-by-case basis. Programs will not receive additional funding for these students in SY14-15, but we request that any students be reported, when possible. Additional information on residency is available in section 6.

## SECTION 6: THE ENROLLMENT AUDIT PROCESS

The Enrollment Audit is conducted for all DC students including those who attend Non-Public institutions and Department of Youth Rehabilitation Services (DYRS) as well as students in the District's foster care system attending surrounding county schools.

### A. Auditor Site Visits

During the site visit, the Auditor will verify the enrollment, residency and tuition status, and grade levels of all students listed on the October 6 Enrollment Audit Roster.

- Enrollment and Grade Level verification

The auditor will use the October 6 Enrollment Audit Roster as the basis for the enrollment count.

- Residency verification

The auditor will review each student's file to determine his or her residency status. Programs must provide the auditor with the DC Residency Verification Form for each enrolled student and must also have the supporting documentation proving residency available for review upon auditor request. The auditor will also review tuition agreements entered into on behalf of any non-resident student as well as the amount of tuition assessed and collected by the program for each non-resident student.

Students who are considered direct certified will be excluded from the population of students to be sampled for the residency verification audit. Students in the District of Columbia who have been certified as residents through other District programs (TANF and SNAP) are considered direct certified as residents for the purposes of the Enrollment Audit. The updated list of direct certified students in the District will be released on October 1, 2014. Programs enrolling students should have clear documentation that shows a student is direct certified if they plan to use this to verify residency. Programs should refer to the Residency Verification Form for more information on the expectation during the residency verification process.

The following information is for the purpose of residency verification for any student that attends a pre-k incentive program during SY14-15.

1. Each LEA will be required to provide the Residency Verification and Child Count Certification Form for every student, including those students that are direct certified, during the visit from the auditor. The program will also be required to provide backup residency verification documentation all students that are not classified as direct certified. Please note the list of direct certified students will be taken from the updated list that will be provided in late September to OSSE.
2. The program will be required to provide residency documentation for any student who has been classified as a non-resident, non-tuition paying student during the pre-

vious year's enrollment audit or residency investigation hotline as a residency exception. These students will be added to the random 10% sample. Notification will be provided on the enrollment audit head count day of the students that meet this criterion when given the information about the sample of students being verified.

If the program is unable to produce the backup residency documentation for any students not classified as direct certified, or students classified as non-resident or non-tuition pay from the previous year, the program will be required to produce additional, valid residency documentation for those students.

3. If the program cannot pass this second round of residency verification, the program will be informed that it will be eligible for a full school audit the following year.

### B. Resolution Meetings

Upon completion of the site visits, the auditor will schedule a resolution meeting to share the results with the program POC and to allow the program an opportunity to dispute the preliminary general enrollment count and non-residency findings.

If any findings are disputed, the program designee can produce documentation to prove enrollment and residency status of the student as of October 6. If the auditor accepts that proof, the auditor will adjust the program enrollment roster to reflect the outcomes of the resolution meeting. If the auditor does not accept the enrollment and/or residency evidence as acceptable proof during the resolution meeting, the auditor will not adjust the program enrollment roster and the program may choose to appeal to OSSE the auditor's decision during the audit appeals process.

**The program manager must retain documents presented to the auditor during the resolution meeting if it is decided to appeal the auditor's decision. These documents must be submitted along with the appeal to OSSE, as no new documentation can be submitted with a request for appeal.**

- Desktop Appeals

When the auditor has completed the site visits and resolution meetings, the auditor will release the data to OSSE who will publish the findings on or before December 17, 2014, for program review. The data will be provided to programs at both the student-level and program summary-level. Programs will have the opportunity to review the findings and submit appeals disputing the findings. All appeals must be submitted to OSSE through the EA/CC QuickBase application by close of business December 23, 2014 at 5PM.

It is essential that programs review their data to ensure accuracy. December 23, 2014 is the program's final opportunity to submit

discrepancies to the enrollment and residency statuses of students.

- **In-Person Appeals**

The auditors will review and make determinations for all appeals submitted by the deadline. The updated Enrollment Audit findings will be released on January 6, 2015 for programs to review. Programs will then have one final opportunity to dispute previously appealed data that was not accepted. No new documentation can be presented at this time.

### C. Special Circumstances

- **Absent Students during the Auditor Site Visit**

In the event that a student is enrolled as of October 6, but absent on the day of the auditor site visit, the student can and should be counted in the audit. Prior to October 6, the auditor and OSSE will develop a list of acceptable documentation to verify enrollment for absent students. The documentation required is outlined in the hierarchy below.

<b>For Grades PK 3 – Grade 12 and students in Alternative Education and Special Education Schools Hierarchy Order</b>	<b>If Only One LEA Claims Student As enrolled...</b>	<b>If Multiple LEAs Claim Student As Enrolled...</b>
1. Withdrawal Code	Does not apply. Skip to #2.	If the CBO claims a child is absent, the auditor will first check to ensure that the child has not been withdrawn from that CBO in the SLED system. If the student appears as withdrawn from the CBO on or before October 6 and there is no evidence in the system of re-enrolling in that same CBO on or before October 6, that CBO may NOT claim that student as enrolled.
2. Note from parent/legal guardian/doctor/etc.	If a student is absent on the day of the head count because of an illness, court-ordered appearance, out-of-school suspension, the CBO may provide a note explaining the absence signed by a parent, legal guardian or doctor or official documentation of the court-ordered appearance, suspension, etc.	If a student is absent on the day of the head count because of an illness, court-ordered appearance, out-of-school suspension, the CBO may provide a note explaining the absence signed by a parent, legal guardian or doctor or official documentation of the court-ordered appearance, suspension, etc. If, under some unusual circumstance, more than one CBO has a signed note or official documentation explaining a student's absence on the day of the head count, move to #3.
3. Attendance Records	Demonstrate at least one day of attendance during the September 22-October 20 time period. Attendance does not need to be demonstrated for each class during the day. The attendance cannot pre-date the first day of the current school year or post-date the day of the CBO's enrollment audit head count.	CBO must demonstrate attendance on October 6. If no CBO has recorded the student as attending on October 6, the auditor will choose LEA that demonstrates the most days of attendance during this time period: September 22- October 20. Attendance does not need to be demonstrated for each class during the day. If two or more CBOs have attendance records for the student in question for the same number of days, go to #4.
4. School Work	Two pieces of school work or exam documentation (including student's name and the date of the work) during the time period of September 22- October 20. Electronically submitted work or exams that have a date stamp and show the student's name or unique student identifier will also be accepted.	LEAs must demonstrate school work or exam documentation on October 6. If that is not available, choose the CBO that shows the most amount of school work or exam documentation (including student's name and the date of the work) during the time period of September 22- October 20. Electronically submitted work or exams that have a date stamp and show the student's name or unique student identifier will also be

The following hierarchy determines enrollment. However, it is possible for more than one LEA to have the same adult student enrolled. The rank order is also listed below.

Hierarchy Order	If Only One CBO Claims Student As enrolled...
1. Student-signed affidavit	The CBO should have the adult student sign an affidavit attesting that the student is enrolled in the CBO program (an example affidavit is attached to this document). If the CBO cannot get a signed student affidavit, the CBO must move to #2.
2. Attendance records	Demonstrate attendance at CBOs one day between September 22 and October 20. Attendance does not need to be demonstrated for each class during the day. The attendance cannot pre-date the first day of the current school year or post-date the day of the CBO's Enrollment Audit head count.
3. Schoolwork	Two pieces of schoolwork or exam documentation (including student's name and the date of the work) between September 22 and October 20. Electronically submitted work or exams that have a date stamp and show the student's name or unique student identifier will also be accepted.

- **Adding Students to Enrollment Roster**

It is critically important that CBOs ensure that all enrolled students are present on the enrollment audit roster by October 6 at 5 pm. In the event that a student who was enrolled on October 6 is missing from the roster, it is possible for the CBO to have a student added to the enrollment audit population. In order for a student to be added to the roster, the following conditions must be met:

1. The auditor must verify that the student was enrolled as of October 6,
2. The auditor must confirm the residency status, tuition status, and grade level of the student; and
3. The complete and active student record must be reflected in SLED.

In some cases, if no resolution is needed, the auditor will inform the CBO no other information is required to move forward.



## SECTION 7: RESIDENCY VERIFICATION

All students attending DCPS, PCS, Pre-K Incentive programs and Non-Public schools must be District of Columbia residents. Parents/guardians of students or adult students attending DCPS, PCS, or Non-Publics must provide proof of District residency on an annual basis. Parents/guardians or adult students who fail to do so must pay non-resident tuition equivalent to the UPSFF. Non-resident students are only admitted to DCPS or PCS if there are no resident students waitlisted. The student residency verification process requires documentary proof of residency and takes place during the enrollment period of each school year (April 1 through October 6). CBOs are required to review their residency documentation and verify that all documentation and verification forms are complete, legible, and in place prior to the audit.

### Residency Document Review

By October 6, or within 10 days of the initial enrollment, enrollment (whichever occurs later), a parent/guardian or adult student must prove residency by providing documentation as required under DC Code §38-309 subpart (b) or (c), which are also listed in the DC Residency Verification Form and are outlined in the OSSE Residency Verification Guidelines.

Schools are required to:

- Review these documents for legitimacy.
- Complete a Residency Verification Form certifying proof of residency.
- Retain CBO and legible copies of the residency verification documents and the OSSE Residency Verification Form.

If a parent/guardian or adult student does not provide proof of residency by October 7, or 10 days after enrollment (whichever is later)—or, if the student is confirmed as a non-resident student—the school must then assess and collect non-resident tuition for the school year equivalent to UPSFF. Tuition payments must be made out to “D.C. Treasurer” and must include the student’s name and USI. The school must retain CBO copies of all tuition payments and send all tuition payments to OSSE immediately upon receipt of such payments. Mail tuition payments to:

**Office of Student Enrollment and Residency**  
**810 First Street NE**  
**9th Floor**  
**Washington, DC 20002**

### Residency Proven through Home Visitation

There may be extenuating circumstances that prevent a parent/guardian or adult student from producing state-approved residency verification documents. In such cases, each school should conduct a home visit pursuant to DC Code §38-309(d) and complete and retain a copy of the Home Visitation Consent Form and the Home Visitation Residency Verification Form, to demonstrate due diligence in verifying District residency. If a person seeking to enroll a student cannot establish residency by providing the necessary documentation or through a home visit, the school must refer that student to the CBO’s residency office. DCPS and chartering authorities may establish procedures for proving residency in these exceptional cases and such procedures must be provided to OSSE no later than 30 calendar days before the first day of school for approval and must comply with DC Code §38-311(b) and all other applicable laws. Each school must be diligent in its efforts to confirm residency under these circumstances, and must retain such documents in their records.

Pursuant to newly enacted DC Code §38-312.01(c), DC public schools, Pre-K Incentive CBOs and public charter schools are responsible for residency validation and investigations to confirm student residency. In instances where a parent/guardian or adult student has failed to provide sufficient or adequate residency documentation by the October 6 or within 10 days of the initial enrollment, the school is expected to investigate immediately the residency status of the student and provide OSSE with a record of the investigation.

Where a program believes that a student is a DC resident but is unable to prove residency through any of the means enumerated in DC Code §38-309, the CBO should retain all documentation that could support a finding of residency and contact OSSE for further guidance.

### Proof of Residency for Homeless Students

OSSE has established a FERPA-compliant data sharing agreement with The Community Partnership, and will provide the auditors with a list of students at your program who have been identified as homeless. This documentation from OSSE will serve as adequate proof of residency for a homeless student and will be made available for auditor review. If your program identifies a student who is homeless and cannot adequately provide residency documentation per guidelines provided, CBO contact OSSE staff directly via the Enrollment Audit QuickBase application. Proofs of residency in these instances will be handled on a case-by-case basis.

Non-Resident Student Enrollment and Tuition Assessment and Collection. Non-resident students may enroll in DCPS or PCS if no District resident is found on the school’s waiting list. The parent/guardian of a non-resident student or the adult non-resident stu-

dent must enter into a tuition payment plan or must pay the full non-resident tuition upon enrollment. CBOs are required to collect tuition payments, made payable to the “D.C. Treasurer”, and deliver these payments to OSSE. CBOs must collect tuition equal to the amount provided under UPSFF. CBOs, schools, and pre-k incentive programs may not grant discounts or waivers of any kind for tuition owed.

If a student is enrolled as a resident but is later deemed a non-resident before, during, or after the enrollment audit, the CBO must assess and collect non-resident tuition from the parent/guardian of the student or, in cases of adult students, directly from the student, or from some other source of private funding (such as a scholarship). A CBO or school may not waive or discount the tuition owed for the period of time a student is enrolled as a non-resident. The parent/guardian of the student or the adult student can choose to have the student withdrawn from the school and pay a prorated tuition for the period of non-resident enrollment. Upon completion of the enrollment audit, OSSE will issue a letter to CBOs listing those students who have been identified as non-residents not paying tuition. CBOs are required to put in place a tuition plan with the parents of such students or request that the parent withdraw their child(ren) and pay a prorated tuition amount. CBOs must send the names of all non-resident students who fail to pay tuition to OSSE for potential referral to the District of Columbia Office of the Attorney General (OAG) for legal action.

## Student Residency Fraud

Residency fraud has serious criminal implications and CBOs should take reasonable steps to deter and prevent residency fraud from occurring, as well as investigate allegations of residency fraud. Residency fraud consists of a parent, caregiver, adult student, or CBO staff member intentionally providing false residency information in an effort to enroll a non-resident student as a resident. Examples of residency fraud include forging documents, using a District of Columbia address that is not the parent/guardian or adult student’s residence, or a school official completing a Residency Verification form without actually reviewing the required state approved documents.

During the course of the enrollment audit, the auditor may uncover residency fraud. Also, at any point during a school year, someone may notify OSSE of residency fraud. In such cases, CBOs, schools, and pre-k incentive programs are expected to work with OSSE to conduct an investigation of the allegation and prepare a case for referral to the OAG for potential prosecution.

## Nonresident Investigations Process

DC law requires OSSE to investigate allegations of residency fraud. Once an allegation of residency fraud is received, a full investigation is conducted, which can include an examination of submitted residency verification documents and surveillance by a private investigator.

Allegations of residency fraud may be reported anonymously through the following methods:

- Call the Student Residency Fraud Prevention Hotline at 202.719.6500
- Submit Student Residency Fraud Tips Online <http://dcforms.dc.gov/webform/osse-residency-fraud-prevention-form>

Download the Residency Fraud Prevention flyer/poster for your school! Read the Residency Fraud Investigation Guidelines

### Appeals

An adult student or the parent/primary caregiver of a minor student who is found to be a non-resident of the District of Columbia has the right to request an administrative review of the finding. To exercise this right, you must contact OSSE by email at [osse.enrollmentaudit@dc.gov](mailto:enrollmentaudit@dc.gov) within 10 business days of the date of notification letter to request an administrative review.

## Penalty for False Information

Any person, including any District of Columbia public school or public charter school official, who knowingly supplies false information to a public official in connection with student residency verification shall be subject to charges of tuition retroactively, and payment of a fine of not more than \$2,000 or imprisonment for not more than 90 days, but not both fine and imprisonment, pursuant to the District of Columbia Nonresident Tuition Act, approved September 8, 1960 and amended by the District of Columbia Public Schools and Public Charter School Student Residency Fraud Prevention Amendment Act of 2012 (D.C. Code §38-312). The case of any such person may be referred by the Office of the State Superintendent of Education to the Office of the Attorney General.

# **APPENDIX A:**

## **PRE-K INCENTIVE PROGRAM ENROLLMENT AUDIT DATA CERTIFICATION**



## Pre-K Incentive Program Enrollment Audit Data Certification

SY 2014-2015

**This form must be completed by ALL Pre-k Incentive Programs**

**Please submit completed application electronically and with the original signatures.**

Program Name: \_\_\_\_\_ Date: \_\_\_\_\_ License Number: \_\_\_\_\_

### Certification Information

Please specify the number of students your CBO is certifying for each category based on October 6, 2014 enrollment. In the case in which the Enrollment Audit section in the SY2014-2015 Enrollment Audit QuickBase Tool does not accurately reflect your program's enrollment in any category, reference the correspondence that is open with OSSE staff to address the issue. Do NOT return this form until you have notified OSSE staff of errors with your QuickBase counts.

***This form must be returned by October 8, 2014 at 5 PM. Failure to return this form by 5 PM on October 8, 2014 indicates passive approval that all data in the SY2014-2015 Quickbase Enrollment Audit Application is correct.***

Category	QuickBase Student Count	CBO Totals (if different from Quickbase)	If the QuickBase student count provided is incorrect, provide date, time, and OSSE staff members contacted for support.
PK3			
PK4			
Total Students			
Residents			
Non-Residents			
Total Students			

I certify by my signature below that the information provided reflects the above identified pre-k incentive program's current enrollment as of October 6, 2014. Further, I commit to resolving any discrepancies that exist between our actual enrollment and the SY2014-2015 Enrollment Audit QuickBase application system in a timely manner.

\_\_\_\_\_  
CBO Manager

\_\_\_\_\_  
Date

# **APPENDIX B:**

**SY2014-2015 ENROLLMENT AUDIT DATA ELEMENTS,  
PRE-K INCENTIVE PROGRAMS**



Category	Data Element	Definition	Permitted Values	Sample Data	Does my program need to provide this data via QuickBase?
Student Demographic	<b>USI</b>	The official state identifier for all students attending a District of Columbia LEA; automatically assigned by OSSE	10 digit numeric	1234567890	No; this will be provided for each student
Student Demographic	<b>Last Name</b>	The legal last name of the student.	alpha	Doe	Yes
Student Demographic	<b>Middle Name</b>	The legal middle name of the student.	alpha	Janelle	Yes, if available
Student Demographic	<b>First Name</b>	The legal first name of the student.	alpha	Jane	Yes
Student Demographic	<b>Date of Birth</b>	The day, month and year on which the student was born.	mm/dd/yyyy	01/01/2011	Yes
Student Demographic	<b>Gender</b>	A coded value representing the student's gender; Gender is a person's actual sex or perceived sex	F - female; M - male	F	Yes
Student Demographic	<b>Ethnicity</b>	An indication that a student identifies as Hispanic or Latino	H - student is Hispanic/ Latino; N - student is not Hispanic/ Latino	N	Yes
Student Demographic	<b>Race</b>	LEAs are required to categorize students in one or more of the five permitted race categories; If the student is multiracial, provide values separated by semicolon	A = Asian; B = Black/ African American; I = American Indian / Alaskan Native; P = Pacific Islander / Native Hawaiian; W = White/Caucasian	B; P	Yes
Student Demographic	<b>Student Street Address</b>	The number and name of the unit and street (and apartment, if applicable) where the student resides	alpha numeric	1314 Columbia Road NE	Yes
Student Demographic	<b>Student City</b>	The city where the student resides	alpha	Washington	Yes
Student Demographic	<b>Student State</b>	The abbreviation for the state (within the United States) or outlying area in which the student resides	Two letter standard state abbreviation	DC	Yes



Category	Data Element	Definition	Permitted Values	Sample Data	Does my program need to provide this data via QuickBase?
Student Demographic	<b>Student Zip Code</b>	The number that identifies the postal delivery area in the United States in which the student resides	5-digit value	20013	Yes
Student Demographic	<b>Age as of Oct 6 2014</b>	Student's age as of October 6, 2014; this is automatically calculated	Numeric	3	No, this will be calculated based on student date of birth
Program information	<b>LEP Indicator</b>	An indication that the student's first language is not English and the student has difficulties in speaking, reading, writing, or understanding the English language	Y - The student is Limited English Proficient; N - The student is not LEP	N	Yes, if available
Program information	<b>Direct Certification Indicator</b>	An indication that the student's family was eligible for TANF or SNAP at any point within the given school year; automatically populated by OSSE	Y - the student qualifies for SNAP or TANF during SY 2014-2015 N - the student does not qualify for SNAP or TANF during SY 2014-2015	Y	No, this will be provided by OSSE
Program information	<b>Homeless Indicator</b>	An indication that the student is homeless	Y - the student has been identified as homeless; N - the student has not been identified as homeless	N	Yes, if the student is homeless and unable to prove residency
Count Information	<b>Count Location</b>	The building and room number/location where each student can be found during the auditor site visit; the auditor must be able to locate the room based on the name provided	alpha numeric	Butterflies, Room 100	Yes



Category	Data Element	Definition	Permitted Values	Sample Data	Does my program need to provide this data via QuickBase?
Count Information	<b>Count Location Date/Time of Site Visit</b>	Date and time of the auditor site visit; this will be provided automatically by OSSE	MM/DD/YYYY HH:MM am/pm	11/1/2014; 9:00 AM	No; OSSE will automatically provide this information in QuickBase
Student Enrollment	<b>UPSFF Grade Level/ Special Program</b>	The translation of the student's LEA-identified grade level to the UPSFF weighting. For CBOs in SY14-15, students who are 3 by December 31, 2014 will be designated PK3. Students who are 4 by December 31, 2014 will be designated PK4. This will be calculated by OSSE based on student date of birth.	PK3; PK4	PK3	No; OSSE will automatically calculate this based on student age
Student Enrollment	<b>School ID</b>	A unique code assigned to each school by the School and LEA Information Management System (SLIMS). For CBOs, this is the program license number.	alphanumeric	CDC-999999	No; OSSE will automatically provide this
Student Enrollment	<b>School Name</b>	The official name of the school per the School and LEA Information Management System (SLIMS).	Alpha	Anacostia Day	No; OSSE will automatically provide this
Student Enrollment	<b>Residency Indicator</b>	The LEA's determination that the student is or is not a resident of the District of Columbia.	Y - the student is a resident of DC; N - the student is not a resident of DC	Y	Yes



Category	Data Element	Definition	Permitted Values	Sample Data	Does my program need to provide this data via QuickBase?
Student Enrollment	<b>Tuition Indicator</b>	An indication that a student is or should be tuition paying	Y - the student pays/ should pay tuition;  N - the student does not need to pay tuition	N	Yes
Student Enrollment	<b>Tuition Paid as of October 6, 2014</b>	The amount of money that the student has paid in tuition for the 2014-2015 school year as of October 6, 2014 (only applicable to nonresidents)	numeric (no \$ sign)	0	Yes (if the student does not pay tuition, enter 0)
Student Enrollment	<b>Enrollment Date</b>	The month, day, and year on which the student enters and begins to receive instructional services in a school or an institution during a given session (school year).	MM/DD/YYYY	9/1/2014	Yes
Student Enrollment	<b>Entry Code</b>	The process by which a student enters a school during a given academic session (school year), mapped to the permitted enrollment code values.	Four digit entry code; see Appendix C for complete list	1850	Yes
Student Enrollment	<b>Exit Date</b>	The month, day, and year of the first day after the date of an individual's last attendance in school (if known), the day on which an individual graduated, or the date on which it becomes known officially that an individual left school.	MM/DD/YYYY		Only if a student leaves your program before October 6
Student Enrollment	<b>Exit Code</b>	The circumstances under which the student exited from membership in an educational institution, mapped to the permitted exit/withdrawal type code values.	Four digit exit code; see Appendix C for complete list		Only if a student leaves your program before October 6



Category	Data Element	Definition	Permitted Values	Sample Data	Does my program need to provide this data via QuickBase?
Student Enrollment	<b>Duplicative Enrollment Indicator</b>	An indication that the student is enrolled at more than one school and/or LEA. This is populated by OSSE if the student is enrolled at another school besides your program.	Y - the student is currently enrolled at multiple schools;  N - enrolled at only one school	N	No; OSSE will provide this automatically

# **APPENDIX C:**

## **ENTRY AND EXIT CODES**



The following entry and exit codes are applicable to pre-k incentive programs for the SY14-15 enrollment audit.

All students need an entry code and date to be entered into the official enrollment audit roster. Use the four-digit codes bolded below. If a student exits your program, provide a four-digit exit code and the date the student last attended to exit the student from your roster.

If your program requires guidance or assistance in using any of these codes, please contact OSSE staff via the Enrollment Audit Quick-Base application.

### Entry Codes

Pre-k incentive programs should use an entry code for every student to indicate how the student enrolled in the program:

- **1810:** Continuing education in the same school with no interruption in schooling (this student has consistently attended your program)
- **1812:** Transfer from a public school in a different LEA in the same state (this student attended another public education program in DC before attending your program)
- **1850:** Original entry into a US school; previously living in the US (this student has never been to school before)
- **1851:** Original entry into a US school from a foreign country; prior schooling in a foreign country (this student has never been to a US school before, but has been to school in a foreign country)
- **1852:** Original entry into a US school from a foreign country; no prior schooling in a foreign country (this student has never been to a US school before, and is new to the US)
- **1872:** Entry from a private school in DC

### Exit Codes

Pre-k incentive programs should use an exit code for every student to indicate, if the student exited the program, how the student left:

- **2041:** Transferred to a different public school in a different LEA in the same state (this student has exited to attend a DC public or public charter school)
- **1940:** Exited state
- **1941:** Exited to a school outside of the United States
- **1943:** Exited to attend a private school in DC
- **1944:** Died or is permanently incapacitated
- **1960:** Withdrawn from school, under the age for compulsory attendance (age 5); eligible to seek reenrollment (this student was withdrawn by his/her parent, but the student is eligible to return to your program)
- **1961:** Withdrawn from school due to documented severe physical or mental illness; eligible to seek re-enrollment
- **1963:** Withdrawn for ineligibility reasons (e.g. residency, immunizations); eligible to seek reenrollment
- **1964:** Withdrawn due to program policy related to absenteeism or truancy



