

Discipline Data

Technical Assistance Manual

Updated June 2021

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Discipline Data Collection

The Exceptional Student Services (ESS) Discipline Data Collection (DDC) is an initiative to improve the collection, use, and reporting of disciplinary incident data for use in Individuals with Disabilities Education Act (IDEA) data reporting. Discipline data is extracted to pre-populate data within the ESS Annual Data application for public education agency (PEA) validation prior to submission to the U.S. Department of Education/Office of Special Education (USDOE/OSEP).

As outlined in IDEA Section 618, the information submitted by PEAs within DDC is used for reporting the number of disciplinary removals by different categorizations for students with disabilities. The information is also used in testing significant disproportionality and discrepancy, which look at the rate of removal for students with disabilities by race/ethnicity vs all other race/ethnicities to determine if a public education agency must do required actions with its IDEA Entitlement grant.

Terminology

Individualized Education Program (IEP) (A.R.S. § 15-761(11))

A written statement, as defined in 20 U.S. Code sections 1401 and 1412, for providing special education and related services to a child with a disability.

Public Education Agency (PEA) (A.R.S. § 15-761(26))

A school district, a charter school, an accommodation school, a state-supported institution, or any other political subdivision of this state that is responsible for providing education to children with disabilities.

Incident

An incident is an event that occurs on school grounds or at a school-sponsored event that disrupts the orderly functioning of a school or classroom.

Violation

A violation is a crime or infringement of the law or of the policy, right, or expectation of the PEA.

Action

An action can be taken in response to an incident for infringing upon the standards established by the PEA.

Arizona Education Data Standards (AzEDS)

Acts as the student accountability system for the Department of Education and the state of Arizona for all student-level data. Discipline data is currently not allowed to be submitted into AzEDS directly under ARS § 15-1042(J).

District of Residence (DOR)

The PEA where a student resides, regardless of where he/she attends to receive educational and/or special education services. This includes students attending sites within PEA/LEA, tuitioned-out students, and students attending sites outside of PEA/LEA.

DDC Application

- Accessed through the ESS Portal under ADEConnect
- Your PEA Entity Administrator for ADEConnect can assign the permission for what is needed
- ESS Discipline Data: Edit
- ESS Discipline Data: Read
- Both permissions also grant access to archived information in Legacy AzSAFE linked within the application
- Permissions can be assigned at the school level or district/parent level within a PEA

Figure 1
ESS Application Portal

Entity
Arizona Department of Education - 79275

Home Admin - ESS Portal - Data Visualization Help Welcome

Welcome to the Exceptional Student Services Application Portal

Attention: All PEAs need to submit a Statement of Assurance before submitting data to any of the ESS Data Collection & Reporting Applications. Please click on the link below to proceed.

[PEA Statement of Assurances](#)

All public education agencies, regardless of IDEA funding status, must submit the IDEA Statement of Assurances. The Statement of Assurances can be accessed in the ESS Portal and must be completed by the Superintendent, Charter Holder, or Special Education Director of your public education agency. The PEA must assign the role of ESS Special Education : Signer in the ESS Data Surveys application to the individual that will review, sign, and submit the statement of assurances.

Administrative Applications
Systems that facilitate administrative business processes such as Private Day School, RTC, Vouchers and Surrogate applications.

- 1% Threshold
- Dispute Resolution
- ESS Compensatory Services
- ESS High Cost
- ESS Special Education Program Approvals
- ESS Surrogate
- ESS Vouchers

Data Collection & Reporting
Applications that facilitate large scale data collection efforts to determine Federal IDEA Indicators and Student Alternate Assessments.

- Alternate Assessments
- ESS Annual Data
- ESS Discipline Data
- ESS October 1 Data Collection

Indicator Surveys
These include the Parent Involvement Survey, Teacher Attrition Survey, and the Post School Outcomes Survey.

- ESS Data Surveys
- Post School Outcomes Survey

Monitoring & Compliance
Monitoring activities that are based on risk analysis outcomes that are aligned to the SPPI/APR and reflect the importance of indicator data.

- ESS Maintenance of Effort
- ESS Monitoring
- ESS PEA Determinations
- ESS Risk Analysis

● Application Closed
 ● Application Open
 ● Contact your Entity Administrator for permission to the application
 Dashboard Link

Figure 2
ESS Discipline Data Collection Application Home Screen

ESS Discipline Data Collection
Exceptional Student Services

Home Incident - No Data Certification Reports ADE Admin Legacy AzSafe Help Welcome

ESS Discipline Data Collection is now open to incident submission.

The ESS Discipline Data Collection (DDC) is an initiative to improve the collection, use, and reporting of safety and discipline incident data for use in IDEA data reporting. Discipline data is extracted to provide discipline data for the Exceptional Student Services (ESS) Annual Data application and for testing in significant disproportionality under the IDEA. ESS Data Management has taken over the facilitation of this application and can try to address any questions. Our scope is limited to functions that relate to the IDEA and we may have to research items not pertaining to the IDEA.

The application was delayed in opening this year due to COVID, it is slated to close on July 16, 2021.

ESS Discipline Data Collection Requirements

This application is not used to support general education discipline data; any questions related to that information should be forwarded to the Office of Civil Rights (OCR) as they now oversee that data collection.

Student information system (SIS) export schema is available via the link below for bulk incident upload:

- XML Schema

The only incidents which are required to be submitted at this time are incidents that led to disciplinary removal for a student on an IEP at the time of the incident.

Disciplinary Removal – Any instance in which a child is removed from his/her educational placement for disciplinary purposes, including in-school suspension, out-of-school suspension, expulsion, removal by school personnel to an interim alternative educational setting for drug or weapon offenses or serious bodily injury, and removal by a hearing officer for likely injury to self or others.

ESS Discipline Data Collection Technical Assistance Documentation

- Documentation coming soon for FY21

For assistance, please email ESSDataMgmt@azed.gov.

Application Menu

Figure 3

Application Menu



- Home—Takes user to the home page
- Incident—Allows users to search incidents to edit or to submit a new incident manually or through a file upload
- No Data Certification—Allows users to certify that there have not been any disciplinary incidents that led to a removal for the specific school site for students on an IEP at the time of incident
- Reports—Allows users to pull a listing of all incidents by Fiscal Year/PEA/School and to type in filters/sort by violation or action
- Legacy AzSAFE—Allows users to look up old incidents submitted into AzSAFE archives from prior fiscal years
- Help—Guides users to ADEConnect assistance webpages
- Welcome (username)—Allows users to go back to ADEConnect, ESS Portal, or to sign out

Submitting Incidents

- State Student ID (SSID)
- The location of the incident (which school)
 - Users can select multiple schools if the child attends multiple campuses.
- The date of the incident
- Who referred the incident and when the referral was provided
- Some data fields will prepopulate to provide existing information from AzEDS, such as the student's name and basic enrollment information about the student
- Violation applicable to the student
 - Has subcategories and drug violations with a tertiary field of how the drug was used in the violation (selling, uses, etc.)
- Action taken against the student as a response to the violation
 - Indicates the type of removal, date range of the removal, and the number of hours the student was removed
- User can submit an incident and any error displayed will inform the user to adjust information as needed
-

Figure 4

Incident Number/Date Information

A screenshot of a form with a light blue background. It contains two fields: 'Incident Number:' with the value '820' and 'Incident Date: *' with a text input field containing '10/30/2019'.

- Incident Number—randomly assigned ID number for incident, only used for troubleshooting technical errors
- Incident Date—the date the incident/violation occurred

Figure 5
Offender Information

Offender State Student ID: * 12345678 Note: Clicking search will validate Student SPED program by incident date.

Student Name: John Middle Doe Suffix:

DOR Name: Riverdale Unified - 1339 DOB: 05/15/2004 Gender: M

- Offender State Student ID—SSID should be entered here, then click search
- Information in yellow box will automatically pre-populate if the student has a SPED program in AzEDS over the incident date

Figure 6
Referral Information

Referral Date: * 11/13/2019

Referred By: * First Last 602-867-5309

- Referral Date—the date the referral was made to the administrative office
- Referred By—the person who referred the incident to the administrative office
 - First Name
 - Last Name
 - Phone Number

Figure 7
Violation Information

Violation: * Other Violations of School Policies ▼

Sub-Category Violation: * Defiance or Disrespect Towards Authority ▼

Violation Comments: Random comments here, not used by ESS and only for the PEA.

- Violation—Drop-down list of what the student did that led to his or her removal from the educational environment
- Sub-Category Violation—A subcategory violation that goes into further detail of a specific violation
- Violation Comments – Notes for the PEA

Figure 8
Action Take Information

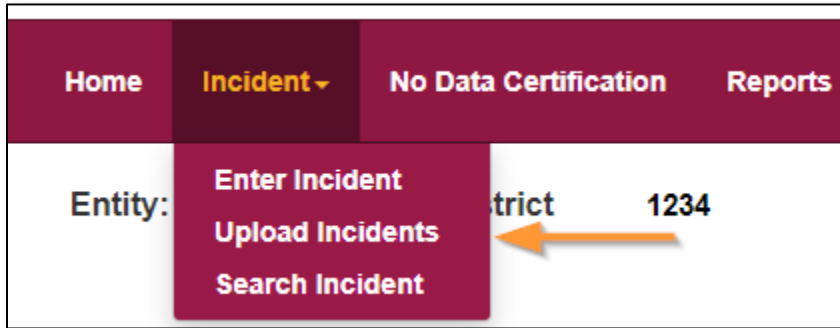
The screenshot shows a web form titled "Action Take Information". It contains several input fields and a checkbox. The "Action Taken" field is a dropdown menu with the selected option "In School Suspension - Short Term without Serv". The "Start Date" and "End Date" fields are date pickers, both showing "09/10/2019". The "Total Hours Removed" field is a text input with the value "6.00". The "Special Education Services Declined by Parent/Legal Guardian" field is a checkbox, which is currently unchecked. Below these fields is a large text area labeled "Action Taken Comments" with the placeholder text "Comments".

- Action Taken—The result of a violation committed by a student; can select from a drop down
- Start Date & End Date—Date range of the action taken
- Total Hours Removed—The total hours the student was removed from his or her normal educational environment through the action taken
- Special Education Services Declined by Parent/Legal Guardian—this box should be checked if special education services were declined during the removal
- Action Taken Comments—Comments for PEA use
- After all the required items with asterisks are provided, the user can click the submit button and the system will process the incident
- If there are any errors, the user will have to revise information as needed and resubmit the information

Submitting Incidents—XML File

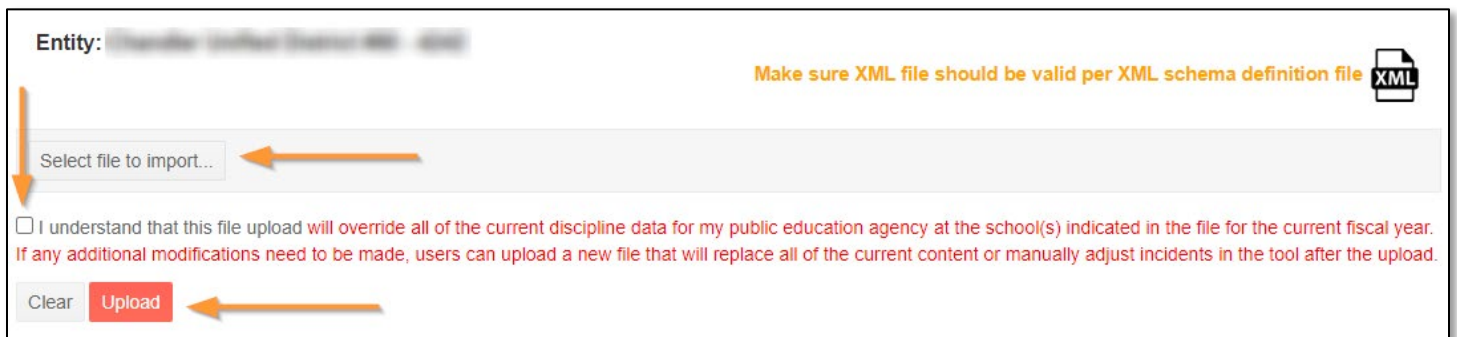
- Student Information Systems (SIS) can utilize an XML template to upload information in bulk into the ESS Discipline Data Collection application
- Users coordinate with vendors to have them implement extracts like AzSAFE into a format for the DDC tool to use
- Uploads all the data at one or multiple schools and puts new data into the system
- If a user has a PEA user permission, he or she can upload information at one site or multiple sites at a time
 - **Caution:** every site listed in the upload will remove all the current data at that site and upload only what is in the XML file
 - Example: if a PEA has three schools, but only two site IDs are provided in the XML, it will only delete the incidents currently in the application for the two sites on the list
 - The remaining site will keep any data already submitted into the application intact

Figure 9
Upload Incidents



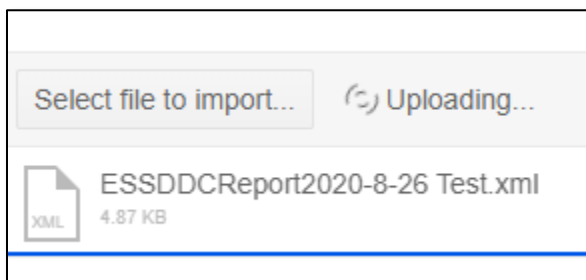
- Users should log in and select Upload Incidents under the Incident menu

Figure 10
Upload XML File



- Screen will provide a disclaimer message as cautioned earlier regarding the overwriting of data at a school site
- The XML schema is provided at the top right for vendors to know how the data should be formatted for upload
 - The XML Schema is also available on our website, and sent via our ESS DM Listserv if there are any changes
- Select the file you want to import (remember it should be a file with an XML extension exported from your SIS)
- Check the box to indicate your understanding of the disclaimer
- Click upload button

Figure 11
Upload Status



- The system will begin processing your file
- Results of the upload will populate in a spreadsheet format once it has finished processing
- The file name should not matter if it has an XML extension

Figure 12
Results of File Upload

Invalid data provided.

Incident Date	Offender St	School Entit	Referral Date	Referrer Fir	Referrer La	Referrer Ph	Sub	Category	Violation Ty	Sub	Drug	C	Drug	Intent	Violation	Cc	Action	Take Action	Take Action	Take Action	Take Action	Take Is	Service	C	Action	Take	SMS	Incider	SMS	Violatic	SMS	Action
1/13/2020		79633	8/13/2020					120									65	1/13/2020	1/14/2020			8	false			333554	334606	409781				
8/1/2019		79633	8/14/2020					66									7	9/5/2019	9/5/2019			2	false			333555	334607	409782				
4/1/2020		79633	8/26/2020					34									48	4/2/2020	4/4/2020			16	true			333558	334611	409793				
4/1/2020		79633	8/26/2020					34									65	4/2/2020	4/3/2020			8	false			333558	334611	409794				
1/20/2020		89589	8/24/2020					121									65	1/21/2020	1/21/2020			4	false			333557	334610	409791				

No student enrolments found for the combination of provided School ID, State Student ID, Incident Date and logged-in user's entity: 4242.
Violation Sub Drug Category not applicable for provided violation. It's applicable for 'Illicit Drug' Violations only.

- Once the XML is done processing, the system will provide feedback in a spreadsheet. Figure 12 represents an XML file with errors.
- If there are errors, the system will provide the errors in a column to the right and warn that invalid data was provided
- You can work through these errors as necessary or work with your vendor if it is a SIS translation issue
- No data will process until all the errors on the sheet are resolved to avoid inappropriately deleted data at sites

Figure 13
Example Error Message

No student enrolments found for the combination of provided School ID, State Student ID, Incident Date and logged-in user's entity: 4242.
Violation Sub Drug Category not applicable for provided violation. It's applicable for 'Illicit Drug' Violations only.

- Errors may be conceptual or logical errors you can resolve
- Some errors may be technical, and you may have to work with your vendor on the values that were exported from your system
- Contact ESS Data Management, and we can try to work through them with you if you are stuck; we may have to investigate as in the example above

Figure 14
Successful Upload Example

Incident Date	Offender St	School Entit	Referral Date	Referrer Fir	Referrer La	Referrer Ph	Sub	Category	Violation Ty	Sub	Drug	C	Drug	Intent	Violation	Cc	Action	Take Action	Take Action	Take Action	Take Action	Take Is	Service	C	Action	Take	SMS	Incider	SMS	Violatic	SMS	Action	
1/13/2020	12345678	79633	8/13/2020	System	Administrati			120									65	1/13/2020	1/14/2020			8	false			333554	334606	409781					Incident Saved Successfully.
9/1/2019	12345678	79633	8/14/2020	Test	Test			66									7	9/5/2019	9/5/2019			2	false			333555	334607	409782					Incident Saved Successfully.
4/1/2020	12345678	79633	8/26/2020	Test	Test			34									48	4/2/2020	4/4/2020			16	true			333558	334611	409793					Incident Saved Successfully.
4/1/2020	23456789	79633	8/26/2020	Test	Test			34									65	4/2/2020	4/3/2020			8	false			333558	334611	409794					Incident Saved Successfully.

Users may download the XML success or error report into an Excel spreadsheet:

- If the file submissions processed correctly, each incident will show green text indicating a successful save

- Users can search incidents and do manual modifications in the DDC application, as necessary, after a file upload
 - Incidents show up on reports with the values successfully processed
 - If a user does another XML upload with School IDs on the file, it will delete what has already been submitted for those schools and refresh only with what is on the file
 - Note: any manual revisions done after one file upload will be completely erased when a new file upload for a specific school is provided
-

No Data Certification

Even if there is no discipline data to input for students with disabilities at a school site, ESS will not assume there are no incidents. Campuses that had no disciplinary incidents for students with disabilities for a given fiscal year will have to certify that they had no applicable incidents that were required to be reported. Users will need to provide the following information on the No Data Certification page:

- School
- Their Name
- Their Title

Any site that does not have an incident in the application will be listed and available to select in the school dropdown list. The dropdown will include tuition-out sites and any site with a student attending with the logged in user's PEA as the District of Residence. If the site is outside of the PEA, it is understood that the No Data Certification is submitted for those students only.

The list is separated into two sections:

- Certification of No Incidents: Missing
- Certification of No Incidents: Provided

Selecting sites under the heading of Certification of No Incidents: Missing will allow users to submit a No Data Certification for those sites.

Selecting sites under the heading of Certification of No Incidents: Provided will allow users to retract a No Data Certification for those sites.

Select only sites under one of the headings for submission.

If a user submits a No Data Certification for a site and later needs to submit an incident for that site, the user can select the site under Certification of No Incidents: Provided, select redact to remove the No Data Certification for that site only, and may then enter incidents into the application.

Figure 15
No Data Certification

Year End Certification of No Reportable Data for FY21

Certification of No Reportable Data can only be submitted by District or Charter District level users.

Year End Certification of No Reportable Data can be submitted or retracted for sites within your PEA on this page.
Please do ONE of the following:
- Select sites under "Certification of No Incidents: Missing" to submit a No Data Certification for the selected sites.
- Select sites under "Certification of No Incidents: Provided" to retract a No Data Certification for the selected sites.

➔ **Please Note:** Schools that have reported incidents are not eligible for certification of No Reportable Data and will not be displayed in the dropdown field below.

District: Arizona Department of Education - 79275

➔ School: *

Complete this certification, if applicable, after the end of the school year.

This is to certify that this school had no incidents as required to be reported to ESS through the Discipline Data Collection.

Certified by:

Name: * ➔

Title: * ➔

Date: 04/11/2021

Reports

Allows users to search incidents and filter the results that filters the following columns:

- Student Name
- State Student ID (SSID)
- Violation
- Sub-Category Violation
- Removal

A user will need to type keywords in the search box for this feature to work.

Figure 16
Report Search

Report Search

Fiscal Year: * ▼

DOR Name: ▼

School Name: ▼

- Users can pull the results by fiscal year, DOR Name, and school name.
- DOR Name will only populate from the parent entity that the user is logged into within ADEConnect.

Figure 17
Incident Search

The screenshot shows a web application interface for incident search. At the top right, there is a 'Download' button with icons for PDF and Excel. Below this is a blue header bar labeled 'Search Results'. Under the header, there is a 'Show' dropdown menu set to 'entries' and a search input field with an orange arrow pointing to it. Below the search bar is a table with the following columns: Select, Incident ID, Incident Date, DOR Name, School Name, Student Name, SSID, Violation, Sub-Category Violation, and Removal. Two rows of data are visible:

Select	Incident ID	Incident Date	DOR Name	School Name	Student Name	SSID	Violation	Sub-Category Violation	Removal
<input type="checkbox"/>	693	08/13/2019	[blurred]	[blurred]	[blurred]	[blurred]	Aggression	Fighting	In School Suspension - Short Term with Services
<input type="checkbox"/>	694	08/22/2019	[blurred]	[blurred]	[blurred]	[blurred]	Aggression	Other Aggression	In School Suspension - Short Term with Services

- Users can extract the results in PDF and/or Excel
- Users can search to filter results from most of the columns

Category List of Violations

Below is a master list of all the categorized violations and their sub-categories for reference:

- Arson
 - Arson of an Occupied Structure
 - Arson of Structure or Property
- Attendance Policy Violation
 - Leaving School Grounds Without Permission
 - Other Attendance Violation
 - Tardy
 - Truancy
 - Unexcused Absence
- Theft
 - Armed Robbery
 - Burglary (First Degree)
 - Burglary or Breaking and Entering (Second or Third Degree)
 - Extortion
 - Petty Theft
 - Robbery
 - Theft - Non-School Property
 - Theft - School Property
- Harassment, Threat and Intimidation
 - Bullying
 - Harassment, nonsexual
 - Hazing
 - Threat or Intimidation
- Aggression
 - Aggravated Assault
 - Assault
 - Disorderly Conduct
 - Endangerment

- Fighting
- Minor Aggressive Act
- Other Aggression
- Recklessness
- Verbal Provocation
- School Threat
 - Bomb Threat
 - Chemical or Biological Threat
 - Fire Alarm Misuse
 - Other School Threat
- Sexual Offenses
 - Harassment, Sexual
 - Harassment, Sexual with Contact
 - Indecent Exposure or Public Sexual Indecency
 - Pornography
 - Sexual Abuse or Sexual Conduct with a Minor or Child Molestation
 - Sexual Assault or Rape
- Vandalism or Criminal Damage
 - Graffiti or tagging
 - Vandalism of personal property
 - Vandalism of school property
- Trespassing
 - Trespassing
- Weapons and Dangerous Items
 - Air Soft Gun
 - B.B. Gun
 - Billy Club
 - Brass Knuckles
 - Knife with a blade at least 2.5 inches
 - Laser Pointer
 - Letter Opener
 - Mace/Pepper Spray
 - Nunchakus
 - Paintball Gun
 - Pellet Gun
 - Razorblade/box cutter
 - Simulated Knife
 - Taser or Stun Gun
 - Tear Gas
- Lying, Cheating, Forgery or Plagiarism
 - Cheating
 - Forgery
 - Lying
 - Plagiarism
- Technology, Improper Use Of
 - Computer
 - Network Infraction
 - Other Technology
 - Telecommunication Device
- Other Violations of School Policies

- Combustible
- Defiance or Disrespect Towards Authority
- Disruption
- Dress Code Violation
- Gambling
- Language, Inappropriate
- Negative Group Affiliation
- Other Violation of School Policies
- Parking Lot Violation
- Possession of Contraband
- Public Display of Affection
- Kidnapping
 - Kidnapping
- Homicide
 - Homicide
- Other Items
 - Knife with a blade length of fewer than 2.5 inches
 - Simulated Firearm
- Drug Violation*
 - Alcohol
 - Drug Paraphernalia
 - Illicit Drug
 - Inhalants
 - Over the Counter Drugs (Inappropriate Use of)
 - Prescription Drugs (Inappropriate use of)
 - Smoking/Tobacco
 - A substance represented as illicit drug
 - Unknown Drug
- Firearms/Bomb
 - Destructive Devices e.g. Bomb or Grenade
 - Handgun or Pistol
 - Other Firearm or Destructive Device
 - Shotgun or Rifle
 - Starter Gun or Pistol
- Serious Bodily Injury
 - Serious Bodily Injury

*Drug Violation also requires the user to indicate more specificity to how the drug was used which is categorized for a user to select one or more options:

- Sale, Distribution, or Intent to Sell or Distribute
- Use
- Possession
- Share