

### **Discipline Data**

#### **Technical Assistance Manual**

Updated April 2022

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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 Special Education Data Dashboard (SEDD) application (coming soon) for public education agency (PEA) validation prior to submission to the US Department of Education/Office of Special Education Programs (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 considers the rate of removal for students with disabilities by race/ethnicity vs all other race/ethnicities to determine if a PEA must complete 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

#### District of Residence (DOR)

The PEA where a student resides, regardless of where he/she attends to receive educational and/or special education services. The DOR includes students attending sites within the PEA/LEA, tuitioned-out students, and students attending sites outside of the 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: Read
    - This is a read only role for data within the DDC application for your PEA.
  - ESS Discipline Data: Edit
    - This is a data entry role for a user to enter incidents but not to certify the data.
  - ESS Discipline Data: LEA Signer
    - This role should be assigned only to a Superintendent, SPED Director, or equivalent that has permissions to certify the incident data for the fiscal year. This role also is also able to perform all actions of an Edit role.
- These 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





Year End Data Certification Reports ADE Admin

#### ESS Discipline Data Collection is opening soon for incident submission within the 2021 - 2022 school year.

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 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

Discipline Data Manual

For assistance, please email ESSDataMgmt@azed.gov.

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#### **Application Menu**

Figure 3 **Application Menu** 

Home Incident-

Year End Data Certification

Reports

Legacy AzSafe

Help

Welcome, Writeuser, AzSAFE

- 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
- Year End Data Certification—Signature page to certify all entered incidents are accurate and all sites the PEA is identified as the DOR have accurate counts of incidents
- 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**

Incident submissions require the following information:

- 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
- 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



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

Figure 5
Offender Information



- Offender State Student ID—SSID should be entered here, then click search
- Information in the 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—The date when 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(s). Select at least one*								
Drugs	Weapons	Serious Bodily Injury	Other					
□Alcohol	☐ Pocket knife blade less than 2.5 inches	☐ Serious Bodily Injury	Other					
□ Tobacco	☐ Other							
Other								
Violation Comments: Comments								

- Violation—Drop-down list of what the student did that led to his or her removal from the educational environment
- Violation Comments—Notes for PEA use

Figure 8
Action Taken Information



- 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 equivalent of in-session days removed—The total number of days (including partial days) 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 (required for action 'Expulsion without Services'
  only)
- 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 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
  - o **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
  - o 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

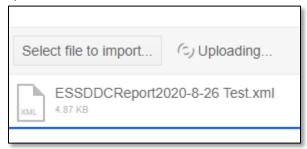
Figure 10 Upload XML File



- 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 updates

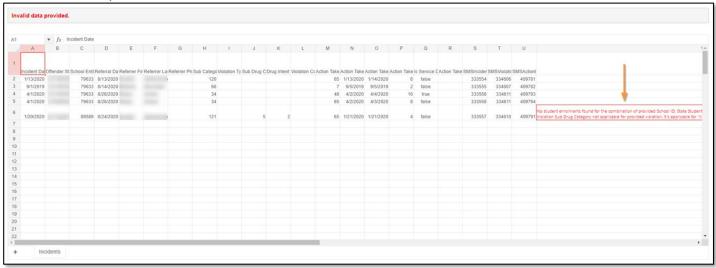
- Select the file you want to import (remember it should be a file with an XML extension exported from your SIS)
- Check the box to indicate your understanding of the disclaimer
- Click upload button

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



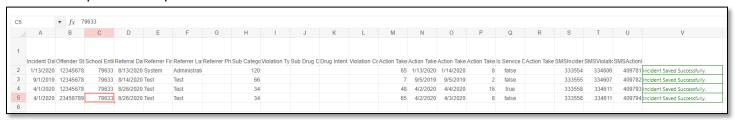
- Once the XML is done processing, the system will provide feedback in a spreadsheet. Figure 12 represents an XML file with errors
- If there are errors, the system will provide the errors in a column to the right and warn that invalid data was provided
- You can work through these errors as necessary 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



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

#### **Year End Data Certification**

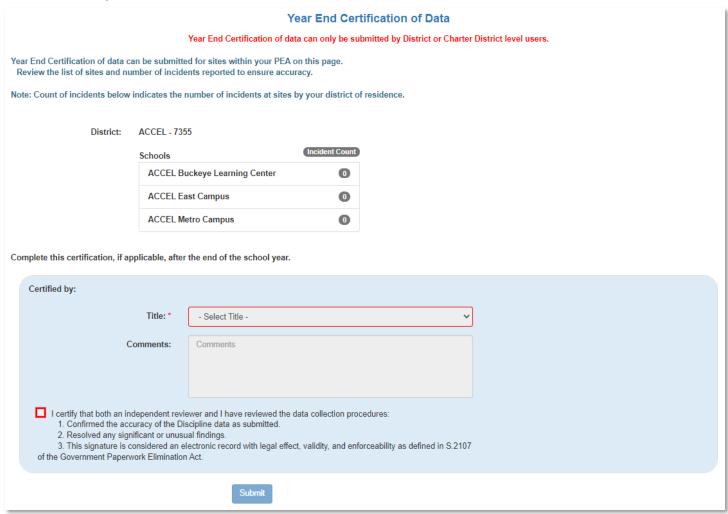
Upon completion of all incident entry, all PEAs will have to certify the reported data, including sites with zero (0) incident counts where the PEA is identified as the DOR. It is understood that the certification for tuition-out sites is for students under the DOR only.

Only users with the role *ESS Discipline Data Collection: Signer* assigned at the District or Charter District level may complete this page.

Review Incident counts for all School sites listed to ensure accuracy, including sites with zero (0) counts. Users will need to provide the following information on the certification page:

- Their Title (Select equivalent title from dropdown)
- Comments (not required)
- · Select checkbox certifying the following:
  - 1. Confirmed the accuracy of the Discipline data as submitted.
  - 2. Resolved any significant or unusual findings.

Figure 15 Year End Data Certification



Clicking Submit completes the ESS DDC requirements for the fiscal year. User Submit button is disabled until certification checkbox is selected.

Upon completion of Year End Data Certification, the submission screen will update within 5 seconds to a page indicating the process is complete.

Figure 16 Undo

#### Year End Certification of Data

Year End Certification of data can only be submitted by District or Charter District level users.

Data Certification is complete.

If you need to retract any information, please click on the Undo button. Doing this will reset your year end certification and allow you to make changes.

Please note: You may not make changes after the data certification period has ended.

Undo

Selecting 'Undo' on this page will allow further incident entry as long as the DDC application is open for the fiscal year.

Only a user with the role ESS Discipline Data: LEA Signer can select the 'Undo' button.

Once additional incidents are entered, the Year End Data Certification will have to be completed again by the LEA Signer.

#### **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

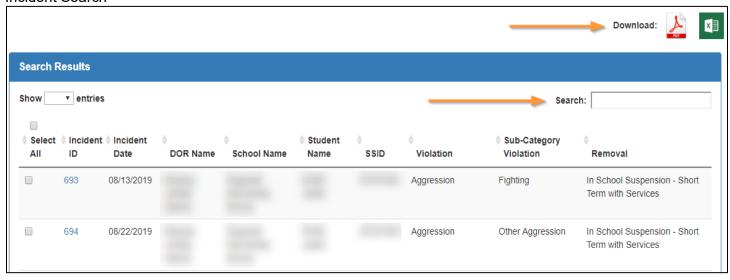
A user will need to type keywords in the search box for this feature to work.

Figure 17 Report Search

Report Search		
Fiscal Year: *	2020	•
DOR Name:	District of Residence -1234	•
School Name:	School - 1235	•
	Search	

- 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 18 Incident Search



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

Click on Download to download results or click in the search box to search for an incident.

#### **Category List of Violations**

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

- Drugs
  - Alcohol
  - Tobacco
  - Other
- Weapons

- Pocket knife blade less than 2.5 inches
- Other
- Serious Bodily Injury
  - Serious Bodily Injury
- Other
  - Other

#### **Definitions**

Below is a list of definitions provided by the Office of Special Education Programs (OSEP):

**Dangerous weapon**—A weapon, device, instrument, material, or substance, animate or inanimate, that is used for or is readily capable of causing death or serious bodily injury; such a term does **not** include a pocketknife with a blade of less than 2 ½ inches in length. (18 USC section 930(g)(2))

**Disciplinary removal**—**Any** instance in which a child with a disability 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 the child or others.

**Drug offenses**—The use, possession, sale, or solicitation of drugs as identified in 21 U.S.C. Section 812(c). These offenses do **not** include the use, possession, sale, or solicitation of alcohol or tobacco.

**Expulsion**—An action taken by the local educational agency removing a child from his/her regular school for disciplinary purposes for the remainder of the school year or longer in accordance with LEA policy. Include removals resulting from violations of the Gun-Free Schools Act that are modified to less than 365 days.

**In–school suspensions**—Instances in which a child is temporarily removed from his/her regular classroom(s) for disciplinary purposes but remains under the direct supervision of school personnel. Direct supervision means school personnel are physically in the same location as students under their supervision.

Interim alternative educational setting—An appropriate setting determined by the child's IEP team or a hearing officer in which the child is placed for no more than 45 school days. This setting enables the child to continue to receive educational services and participate in the general education curriculum (although in another setting) and to progress toward meeting the goals set out in the IEP. As appropriate, the setting includes a functional behavioral assessment, behavioral intervention services, and modifications to address the behavior violation so that it does not recur.

**Out-of-school suspensions**—Instances in which a child is temporarily removed from his/her regular school for disciplinary purposes to another setting (e.g., home, behavior center). This includes both removals in which no IEP services are provided because the removal is 10 days or less as well as removals in which the child continues to receive services according to his/her IEP.

Removal by a hearing officer—Those instances in which an impartial hearing officer (resulting from a special education due process hearing—not a disciplinary hearing) orders the removal of children with disabilities from their current educational placement to an appropriate alternative educational setting for not more than 45 school days based on the hearing officer's determination that maintaining the child's current placement is substantially likely to result in injury to the child or others. The IEP team is responsible for determining the interim alternative educational setting.

**Serious bodily injury**—A bodily injury that involves a substantial risk of death; extreme physical pain; protracted and obvious disfigurement; or protracted loss or impairment of the function of a bodily member, organ, or faculty. (18 USC Section 1365(h)(3))

**Unilateral removals**—Instances in which school personnel (not the IEP team) order the removal of the children with disabilities from their current educational placement to an appropriate interim alternative educational setting for not more than 45 school days. The IEP team is responsible for determining the interim alternative educational setting. Unilateral removals do **not** include decision by the child's IEP team to change a student's placement.

#### **Frequently Asked Questions**

#### Q1: What is the reporting period for Discipline Data?

A1: Discipline counts cover the entire school year, from July 1 to June 30 (all students in special education [SPED]).

#### Q2: What type of discipline incidents must be reported for SPED students?

A2: All discipline incidents that meet the criteria of disciplinary removal under definitions must be reported.

#### Q3: Is discipline data for preschool students included in this report?

A3: Yes, students of all ages should be reported. ADE will report students that are ages 3-21 on October 1 to the Office of Special Education Programs.

#### Q4: How are "Temporary Removal" and "Permanent Change in Placement" defined?

A4: A **temporary removal** occurs when a student is removed from his/her current placement in which special education and related services have been delivered, according to the active IEP, for a disciplinary offense. This kind of disciplinary removal is made for a limited period of time only. A **permanent change in placement** is not defined in the IDEA. However, in the context of the instructions for this data collection, it means that the IEP team determines that the student should be removed from the current placement and be permanently placed in a **less restrictive environment**. Permanent changes in placement are not reported as disciplinary removals for this data collection.

## Q5: If a student received an IEP in the middle of the school year and was suspended twice, once at the beginning of the year and once at the end, does the first suspension (prior to having an IEP) count?

A5: No, only disciplinary removals that took place during the time a student had an IEP will be reported.

#### Q6: What is the definition for educational?

A6: In the context of this data collection, the term "educational services" refers to those services that will enable the student to participate in the general education curriculum and to make progress toward meeting the goals in his/her IEP. See 34 CFR § 300.530(d).

### Q7: Why does the definition of in-school suspension not include only students not benefiting from regular curriculum while in the in-school suspension?

A7: An in-school suspension represents a removal from the student's IEP-determined placement, regardless of whether a student has access to the regular curriculum during the in-school suspension. OSEP is interested in collecting data on the extent to which students are removed from their IEP placements for disciplinary reasons.

### Q8: Why does the definition of in-school suspension not specify that there is a cessation of services during disciplinary removal?

A8: An in-school suspension includes a removal from a student's IEP-determined placement, regardless of whether the student receives his/her IEP services during the in-school suspension.

## Q9: Why does OSEP not focus on whether a suspended student receives the regular curriculum, rather than focusing on whether the suspension is in-school or out-of-school?

A9: Both in- and out-of-school suspensions represent removals from a student's placement that were determined prior to a student's discipline removal, regardless of whether a student has access to the regular curriculum during the in-school suspension. OSEP is interested in collecting data on the extent to which students are removed from their IEP-determined placements for disciplinary reasons.

### Q10: Should in-school suspensions administered as part of a behavior intervention plan (BIP) be included in the discipline report?

A10: Yes, this recommendation is consistent with the reporting format. All in-school suspensions, including those administered as part of a BIP, will be reported.

## Q11: The Arizona Administrative Code's definition of suspension is different from the one provided by OSEP in this data collection. Which definition should be followed for purposes of collecting the required discipline data?

A11: When reporting IDEA data, states must use federal definitions for data elements. While OSEP recognizes that there is considerable variability across states with regard to practices and terminology, it is imperative that states adhere to the established reporting instructions and definitions that are provided in the data reporting guidelines, in order to ensure the interpretability of the data and the ability to aggregate the data across states. Therefore, states must adhere to the established guidelines for data reporting in all of the IDEA data collections, even when those guidelines are in conflict with the terminology and data reporting practices in place within the states.

### Q12: Does serious bodily injury include serious bodily injury to the offender, to him/herself, or to the victim only?

A12: Serious bodily injury includes only injuries to another person. Pursuant to 20 U.S.C. 615 (k)(1)(g), a student may be removed to an Interim Alternative Educational Setting (IAES) for not more than 45 days without regard to whether the student's behavior is determined to be a manifestation of the student's disability if "a student has inflicted serious bodily injury upon another person while at school, on school premises, or at a school function under the jurisdiction of the SEA (state educational agency) or PEA."

# Q13: If a parentally placed private school student who has an individual service plan is being provided special education services by the district, and the student is removed to an IAES or suspended or expelled, then should the student be included on the discipline report?

A13: No. The Part B IDEA regulations, at 34 CFR §§ 300.132(c) and 300.133(c), clarify the types of data that a PEA and SEA must report related to parentally placed private school students with disabilities. These regulations do not require the PEA or the SEA to provide data on a parentally placed private school student with disabilities who has a service plan if that student is removed to an IAES or suspended or expelled.

### Q14: Where should PEAs report placement changes made by an IEP team following a disciplinary incident?

A14: A permanent change in placement made by the IEP team is **not** a unilateral removal. A student in this situation should **not** be reported on the discipline report.

ADE will only report students with unilateral removals for drug and weapons offenses and serious bodily injury, if school personnel (not the IEP team) ordered the removal from the current educational placement to an IAES. However, once school personnel order the removal, the IEP team (not school personnel)

determines the appropriate IAES for the student. This is not a change in placement on the IEP, but an interim setting in which the student is placed for no more than 45 days.

## Q15: Is it important to confirm that a student went to an IAES, or can we assume that if the student was removed for over 10 days for a drug or weapons offense then he/she went to an IAES?

A15: You must confirm that a student went to an IAES. PEAs should not assume that a school or district used unilateral removal simply because the student committed a drug or weapons offense. Unilateral removal is only one option available to local personnel in cases of drug or weapons offenses. While students with disabilities may be unilaterally removed for up to 45 days following a drug or weapons offense, it is not a mandated approach for dealing with all drug and weapons offenses. Schools or districts may choose to remove the students through other means, such as hearing officer determinations regarding likely injury or suspension/expulsion.

### Q16: If a student is suspended and subsequently placed in an alternative school, should this student be counted on this report?

A16: Yes, report the student as suspended.

### Q17: Should we include disciplinary incident data on students that are vouchered to ASDB?

A17: Yes, although it is dependent on the DOR that will determine who reports the disciplinary action:

- Campus or shared space (through an agreement) program students
  - o ASDB is the DOR and is responsible for reporting these students' disciplinary actions.
- Regional cooperative students
  - o The DOR (not ASDB) is responsible for reporting the students' disciplinary actions
- Fee-for-Service students
  - o The DOR (not ASDB) is responsible for reporting the students' disciplinary actions

For more information regarding ASDB reporting, please refer to the <u>ASDB Student Reporting</u> document.

#### Q18: Who is required to submit data via DDC?

A18: All PEAs serving special education students are required to participate in the submission of discipline-related incidents via DDC except for secure care facilities. Secure care facilities are **not** required to submit their special education discipline incident data via DDC and will be contacted separately for the data collection.

#### Q19: How is a student who has more than one disability reported?

A19: Based on the state student ID provided in DDC, the student will be reported under the disability that is identified as the federal primary need indicator (FPNI) in AZEDS at the time of the disciplinary incident.

#### Q20: Does an after-school program constitute an IAES?

A20: If the after-school program is like a detention and the student is still attending school, then do not report the removal in DDC. If the after-school program is the setting determined by the IEP team after a removal by school personnel for drugs or weapons, then it is an IAES.

### Q21: Are "for profit" charter schools or Arizona Online Instruction (AOI) schools required to submit discipline data for special education students?

A21: Yes, for-profit charter schools and AOIs are required to submit discipline data for special education students.

### Q22: Are County Accommodation Districts required to submit discipline data for special education students?

- A22: County accommodation districts that serve traditional schools are required to submit discipline data for special education students. However, the following exclusions apply:
  - County accommodation districts that serve secure care facilities only will report discipline data manually and will be contacted separately with instructions
  - County detention centers (i.e., jail and juvenile facilities) will report discipline data manually and will be contacted separately with instructions

Note that county accommodation districts that serve both traditional schools and secure care facilities must report discipline data for students in traditional schools via DDC and secure care facilities manually and will be contacted with instructions for reporting data manually.

#### Q23: What are the IncidentID and SMSIncidentID data elements?

A23: IncidentID is the unique number that identifies a particular removal in DDC. All incidents have an IncidentID. SMSIncidentID is relevant only if your PEA compiled and uploaded DDC data from a commercial Student Information System (SIS). The SMSIncidentID is the unique incident number in your SIS. This number will help to identify the incidents in your SIS that are listed in the report.

#### Q24: What is the PersonID?

A24: The PersonID can come from one of two places, either from AZEDS or from your local Student Information System (SIS) if your PEA uses one for reporting disciplinary incident data.

If your data is submitted through DDC Online, the PersonID shows the student's state student ID. If you uploaded data from an SIS and your upload includes a state student ID, the PersonID column shows the student's state student ID.

### Q25: How should an action be reported for an expulsion where the parent or the student (if 18 years of age or older), declines SPED services?

A25: When the action "Expulsion without Services" is selected, the option to indicate "Special Education Services Declined by Parent/Legal Guardian" will be made available.

### Q26: Should disciplinary incidents be reported in DDC for students with disabilities participating in extended school year (ESY)?

A26: Yes. The reporting year for DDC is July 1-June 30.

#### Q27: What does the term "tuitioned-out" refer to?

A27: The term "tuitioned-out" refers to students who due to an IEP team or state-placing agency decision regarding least restrictive environment LRE, are placed in approved private day schools, residential treatment centers, head start programs, or another PEA.

### Q28: As the district of residence (DOR), how do I obtain disciplinary incident data for tuitioned-out students that reside in my PEA?

A28: PEAs that have tuitioned-out students will need to contact the individual agency where the students attend and request the federally reported discipline data. Once obtained, this data would be entered into the DDC application.