

Directions for Completing and Submitting Requests for Waivers

Purpose

The *NC Policies Governing Services for Children with Disabilities* states:

“Whenever the pupil-teacher ratio for a class period/caseload exceeds the requirements of this section, the class size enrollment form and request for waiver must be submitted to the Exceptional Children Division.” [NC 1508-1(c)]

Request for Class Size/Caseload Waiver

For **Class Size Waiver-only**, LEAs should complete **all** the items on the *Request for Class Size/Caseload Waiver*.

For **Caseload Waiver-only**, LEAs should complete the following items on the *Request for Class Size/Caseload Waiver*.

- Class Profile
 - Level of Services/Supports
 - Instruction
 - Grade
 - Number of Assistants
- Staffing Profile
 - Teacher Name
 - Total Teacher Caseload

Directions for Data Entry

- LEA Name (this should be the full official name of the LEA)
 - *For charter schools, the LEA and School are the same.*
- School (full name)
 - *For charter schools, the LEA and School are the same.*
- District
 - Please list the District in which your LEA is located using the numbers 1-8 rather than the District name (Southeast, etc.).
 - District = Region
- Class Profile
 - Total Number of Students
 - This is the total, unduplicated, number of students for the class period.
 - Level of Services/Supports
 - The number of students should be listed for each level present in the class/class period. (General, Sustained, Targeted, Intensive)
 - Instruction
 - The number of students should be listed for each instructional level present in the class/class period.

- Standard CoS – Standard Course of Study
 - Occupational CoS – Occupational Course of Study
 - Extensions of SCoS – Extensions of the Standard Course of Study
- Eligibility Category
 - The number of students for each eligibility category should be counted – even if a student is counted multiple times.
- Grade
 - Count and record the students for each grade level present in the class/class period.
- Class Period
 - Record the start and end time for each class a waiver is requested. If a waiver is requested for a class that lasts all day, the start and end time should be recorded to reflect the school day.
- Unique Needs
 - Mobility Issues
 - Record the number of students that require walkers, wheelchairs, lifting, gait training and/or positioning equipment. Numbers may be duplicated for students that require multiple supports.
 - If other is selected, please name the support and the number of students requiring the support.
 - Behavior Plan
 - Record the number of students with behavior plans that address aggression, self-injurious behavior, elopement and/or CPI restraint. Numbers may be duplicated for students that require multiple supports.
 - If other is selected, please name the support and the number of students requiring the support.
 - Please note: *This section should reflect information for students with behaviors that impede personal learning or the learning of others and has been addressed formally through a behavior intervention plan.*
 - Health Care Plans
 - Record the number of students with health care plans that require catheters, ventilators, tube feeding, nursing, suctioning, oxygen, and/or procedures for seizures or apnea. Numbers may be duplicated for students that require multiple supports.
 - If other is selected, please name the support and the number of students requiring the support.
 - Please note: *This section should reflect information for students with unique health needs that have been addressed formally through a health care plan.*
 - Daily Care
 - Record the number of students that require 1:1 assistance and/or assistant.
 - Please note: *This section should reflect information for students with unique needs that have Personal Attendant documented on the IEP. This may include the assignment of a Personal Attendant, 1:1 assistance for participating in inclusion activities during the class period a waiver is requested, etc.*
 - Assistive Technology (AT)

- Please list all of the devices used by the students during the class period a waiver is requested. Emphasis should be placed on AT that require adult support.
- Staffing Profile
 - Teacher Name
 - Total Teacher Caseload
 - Please note: *This is cumulative information that should not be restricted to the number of students in the class for which a waiver is requested – unless the class reflects the teacher’s entire caseload.*
- Request for Approval
 - This section provides a statement acknowledging the LEA is out of compliance with class size/caseload policy. It must be signed by the Principal of the school in which the class is located or the service provider’s supervisor; the EC Director/Coordinator; and the Superintendent/Lead Administrator for the LEA.
- For DPI Use Only
 - This section is used to record whether or not the request for waiver has been approved. It will be signed by a EC Division consultant and dated with the date of the review. A copy of each waiver requested and reviewed will be returned to the LEA and maintained at DPI in the EC Division according to the records retention schedule.

Please note:

One Request for Class Size/Caseload Waiver must be requested for:

- *each individual class period that exceeds the requirement; and*
- *each individual class period that has a change in class composition (situations in which teachers are sharing students for instructional purposes).*

Request for Related Services Caseload Waiver

Using the *Request for Related Services Caseload Waiver* form, please enter the following information:

- LEA Name (this should be the full name of the LEA)
- School (full name of Base School)
- District
 - Please list the District in which your LEA is located using the numbers 1-8 rather than the District name.
 - District = Region
- Staffing Profile
 - Service Provider Name
 - Type of Service
 - Select SLP, OT, or PT
 - FTE Allotment for this provider
 - Hours available for IEP services per week refers to the total number of hours allocated for this provider to complete IEP-related duties (e.g., direct service, IEP related consultation, IEP meetings, EC evaluations, progress monitoring, documentation of services, travel between schools/sites, preparation of materials, etc.)

- For example, if the therapist works 37.5 hours per week (1 full-time equivalent [FTE] in this example LEA) and serves 2 days a week (15 hours) on a play-based assessment team, then the provider has 22.5 hours available for IEP services per week.
- Example II: a different LEA considers 40 hours the length of the work week (1 FTE) for its therapists. The therapist in question works 3 days per week (24 hours) and has no assigned non-IEP related duties. This provider has 24 hours available for IEP services per week.
- Example III: like the first example, this LEA deems 37.5 hours = 1 FTE. The therapist in question works full-time; he serves 1 day a week (7.5 hours) on an assistive technology team and provides 2 hours of MTSS interventions, 2 mornings a week (total 4 hours of MTSS time per week). This leaves 26 hours ($37.5 - 7.5 - 4 = 26$) available for IEP services per week.
- Special Factors
 - Number of IEP hours per week
 - Number of students on caseload
 - Number of therapy assistants supervised
 - Number of weekly hours for specialty team assignments/additional duties
 - Number of sites served (schools, work sites, daycare facilities, etc.)
 - Number of hours/week spent traveling
 - Average monthly mileage
- Request for Approval
 - This section provides a statement acknowledging the LEA is out of compliance with class size/caseload policy. It must be signed by the Principal of the school in which the class is located or the service provider's supervisor; the EC Director/Coordinator; and the Superintendent/Lead Administrator for the LEA.

Submitting Class Size/Caseload Waivers

Using the *Request for Class Size/Caseload Waiver Summary*, please enter the following information:

- LEA Name (this should be the full name of the LEA)
- School (full name)
- District
 - Please list the District in which your LEA is located using the numbers 1-8 rather than the District name.
 - District = Region
- Date
 - Date on which the waivers were submitted to the EC Division.
- School Name
 - List the school name for each class/caseload waiver requested.
- Name of Teacher/Service Provider
 - List the name of the Teacher/Service Provider for each class/caseload waiver requested.
- Class Period

- Record the start and end time for each class a waiver is requested. If a waiver is requested for a class that lasts all day, the start and end time should be recorded to reflect the school day.
- Please note: *This information may not be relevant to requests for related services caseload waivers.*
- Was a waiver requested for this class/caseload during the last reporting period?
 - For the Fall of 2016, this question should be answered based on waiver requests made for the 2015-2016 school year.
 - For the Spring of 2017, this question should be answered based on waiver requests made for the Fall of 2016.
 - For each following year, this question should be answered based on waiver requests made for the previous Spring or Fall reporting period respectively.
- Submitted by
 - A signature, with the date signed, is required from the EC Director/Coordinator or Designee.
- The packet of requests with the summary can be emailed to the assigned monitoring consultant for the LEA.
 - Please note: *This includes all class size/caseload requests (Related Services Caseload + Class/Caseload). An internal process will ensure the appropriate consultant reviews the request(s).*

Monitoring Consultant Assignments

(Vacant)

District 1: Northeast

District 2: Southeast

Karen Little (karen.little@dpi.nc.gov) & **Julie Whetzel** (julie.whetzel@dpi.nc.gov)

District 3: North Central

Karen Little	Julie Whetzel
Chatham County Schools	Edgecombe County Public Schools
Chatham Charter School	NE Carolina Preparatory School
Willow Oak Montessori School	Crosscreek Charter School
Woods Charter School	Franklin County Schools
Durham Public Schools	Youngsville Academy
Carter Community Charter School	Johnston County Schools
The Central Park School for Children	Neuse Charter School
Excelsior Classical Academy	Nash-Rocky Mount Public Schools
Global Scholars Academy	Rocky Mount Preparatory
Healthy Start Academy	Cardinal Charter School
The Institute for the Development of Young Leaders	Casa Esperanza Montessori School
Kestrel Heights Charter Schools	East Wake Academy
KIPP Durham College Preparatory	Endeavor Charter School
Maureen Joy Charter School	Envision Science Academy
NC Connections Academy (Virtual)	Exploris School
NC Virtual Academy (Virtual)	The Franklin Academy
Reaching All Minds Academy	Hope Charter Leadership Academy
Research Triangle High School	Longleaf School of Arts
Research Triangle Charter Academy	Magellan Charter School
Voyager Academy	PAVE Southeast Raleigh
Falls Lake Academy	PreEminent Charter School
Granville County Schools	Quest Academy
Oxford Preparatory School	Raleigh Charter High School
Anderson Creek Club Charter School	Southern Wake Academy
Harnett County Schools	Sterling Montessori Academy
Lee County Schools	Torchlight Academy
Chapel Hill-Carrboro City Schools	Triangle Math & Science Academy
The Expedition School	Wake County Public School System
Orange Charter School	Wake Forest Charter Academy
Orange County Schools	Haliwa-Saponi Tribal School
Bethel Hill Charter School	Warren County Schools
Person County Schools	Sallie B Howard School
Roxboro Community School	Wilson County Schools
Henderson Collegiate School	Wilson Preparatory Academy
Vance Charter School	
Vance County Schools	

Glendora Hagins (glendora.hagins@dpi.nc.gov)

Statewide: Non-Public Schools and Psychiatric Residential Treatment Facilities (PRTFs)

District 4: Sandhills

Kristi Harris (kristi.harris@dpi.nc.gov), **Anne Monterosso** (anne.monterosso@dpi.nc.gov), and **Teresa Peterson** (teresa.peterson@dpi.nc.gov)

District 5: Piedmont-Triad

District 6: Southwest

Kristi Harris	Anne Monterosso	Teresa Peterson
Surry	Davie	Anson
Mt. Airy	Davidson	Cleveland
Elkin	Lexington	Pinnacle Academy
Millennium Charter Academy	Thomasville	Gaston
Stokes	Iredell	Piedmont Community Charter
Rockingham	Mooreville	Mountain Island Charter
Bethany Community Middle	American Renaissance School	Lincoln
Caswell	Success Institute Charter	Lincoln Charter
Yadkin	Pine Lake Prep	Stanly
Randolph	Langtree Charter Academy	Graystone Day
Asheboro City	Rowan	Mecklenburg
Uwharrie Charter Academy	Commonwealth High	Bradford Prep
Winston Salem - Forsyth	Stewart Creek High	Corvian Community
Quality Education Academy	Cabarrus	KIPP: Charlotte
Carter G. Woodson School	Kannapolis Charter	Charlotte Secondary
Forsyth Academy	Kannapolis	Charlotte Choice
The Arts Based School	Carolina International	Invest Collegiate - Transform
The NC Leadership Academy	Cabarrus Charter	Aristotle
Guilford	ACE Academy	Queens Grant Charter
Gateway Charter	Pioneer Springs	Socrates Academy
Greensboro Academy	Charlotte Learning Academy	Metrolina Charter
Guilford Prep Academy	Community School of Davidson	United Community
Phoenix Academy	Lake Norman Charter	Queen City STEM
Triad Math and Science Academy	Sugar Creek Charter	VERITAS Community
Cornerstone Academy	Thunderbird Prep	Charlotte Lab School
College Prep and Leadership	Crossroads Charter	Union
Summerfield Charter Academy	Kennedy Charter	Union Academy
Piedmont Classical High	Community Charter	Union Day
Alamance - Burlington	Mallard Creek STEM	Union Prep
Clover Garden	Mooreville Charter	Matthews Mint Hill
The Hawbridge School	Unity Classical	
River Mill Academy		

Patti Cox (patti.cox@dpi.nc.gov)

Statewide: State Operated Programs

District 7: Northwest

District 8: Western