



July 15, 2015

TO: Directors of Approved Special Education Programs

FROM: Maria Robustelli

SUBJECT: Availability of FY 2015-2016 IDEA Section 611 and 619 Funding

Please read this memorandum carefully as it contains information and instructions pertinent to the distribution of 2015-2016 vendor funding and carryover funds from the Individuals with Disabilities Education Act. (IDEA) Part B, Section 611(a) (2) (A) (Public Law 108-446), ages 3 to 21 and Section 619(c) (Public Law 108-446), ages 3 to 5.

Federal IDEA funds are appropriated to New York State, which sub grants the funds to Local Education Agencies (LEA) for distribution to its vendors, *i.e.*, Approved Special Education Providers (ASEP). This memorandum addresses the New York City Department of Education's (Department) obligations and ASEPs' responsibilities with respect to distribution and use of the funds; it is not intended to supersede the terms of ASEPs' contracts or letter agreements. Further, ASEPs are reminded that the receipt and expenditure of IDEA funds must be accounted for separately from tuition and other revenue; that the Department has the right to direct an ASEP to submit documentation in support of its IDEA expenditures; and, that recoupment of funds will be sought where that support is deficient or inconsistent with the approved budget and narrative.

To facilitate the flow of payments, ASEPs should ensure that the budget and narrative complement each other and should adhere to the schedule on the appended calendar. ASEPs must use only the forms provided by the Department on its website: <http://schools.nyc.gov/Offices/EnterpriseOperations/ChiefFinancialOfficer/DFO/PayableOperations/KeyDocuments/ideagrant.htm>

A. IDEA Grant Allocation

An ASEP's available funding is based on the state's fixed per capita allocation multiplied by the verified number of eligible Section 611 and/or Section 619 New York City-placed pupils (as of October 2, 2014) plus any carryover computed by the Department.

IDEA vendor funding for Grant Year 2015–2016 is posted on the IDEA page of the Department's website: <http://schools.nyc.gov/Offices/EnterpriseOperations/ChiefFinancialOfficer/DFO/PayableOperations/KeyDocuments/ideagrant.htm>

B. Program Narrative and Budget (ASEP-10 Form)

To receive federal IDEA grant vendor funds, ASEPs are required to submit a budget and narrative (collectively, "application") on the forms provided by the Department by October 15, 2015. If the ASEP fails to meet the submission deadline, funds will not be released.

The Department will review the application submitted on or before the deadline. Upon that review, if questions arise, the ASEP will be asked to submit further information. ASEPs are encouraged to respond to those requests timely.

The Department reserves the right to reject proposed projects in whole or in part if it is determined that published criteria have not been met.

The form and instructions are posted on the IDEA page of the Department's website: <http://schools.nyc.gov/Offices/EnterpriseOperations/ChiefFinancialOfficer/DFO/PayableOperations/KeyDocuments/ideagrant.htm>

A separate ASEP 10 application must be submitted for Section 611 and Section 619 funding.

C. Amendment to the Approved Budget (ASEP 10A form)

Amendments to an approved budget MUST be submitted on the Department's ASEP 10A form for approval if any of the following applies:

- Number of personnel positions increased or decreased
- Type of personnel position changed, *e.g.*, a change from art to music instructor
- Addition of a new project, even if approved total costs are not impacted
- Addition/deletion of equipment items having a unit value of \$5,000 or more
- Increase/decrease in any budget category subtotal by 10 percent or more of the original approved budget or \$1,000, whichever is greater

The ASEP 10A form and instructions are posted on the IDEA page of the Department's website: <http://schools.nyc.gov/Offices/EnterpriseOperations/ChiefFinancialOfficer/DFO/PayableOperations/KeyDocuments/ideagrant.htm>

If an ASEP finds it necessary to amend its approved budget, the ASEP 10A form must be submitted by May 1, 2016. Only the ASEP 10A form provided by the Department can be used for this purpose. Funds should not be expended before the Department has notified the ASEP that the amendment has been approved.

A separate ASEP 10A form must be submitted for Section 611 and Section 619 funding.

The completed ASEP 10A form, signed by the ASEP's Executive Director/Officer, must be submitted, in the original, to the Department by return receipt mail to the address indicated on the last page of this memorandum.

D. Distribution of Funds

An ASEP's share of IDEA vendor grant funds from the Department is based on the number of Department students identified in its SEDCAR.

1. First Payment of the Grant Year

The first payment of the IDEA grant year will be issued upon approval of the written ASEP 10 application and upon the Department's receipt of IDEA grant funds from the State of New York. That initial payment will be 20% of the ASEP's current year request plus the full amount of the prior year's carryover.

2. Second and Third Payments (ASEP-25 form)

The second and third payments will be processed upon approval of a request for funds, submitted on an ASEP-25 form which enables ASEPs and the Department to track the progress in the disbursement of IDEA grant funds. The request for funds should reflect anticipated costs for the next period in an amount not to exceed 25% of the budget exclusive of carryover.

A separate ASEP-25 form is required for section 611 and 619 funding.

Only the ASEP-25 form provided by the Department on its website will be accepted. The ASEP-25 form and instructions are posted on the IDEA page of the Department's website:

<http://schools.nyc.gov/Offices/EnterpriseOperations/ChiefFinancialOfficer/DFO/PayableOperations/KeyDocuments/ideagrant.htm>

The completed ASEP-25 form, signed by the ASEP's Executive Director/Officer, must be submitted, in the original, to the Department by hand or return receipt mailing to the address indicated on the last page of this memorandum.

3. Final Expenditure Report and Final Payment (ASEP 10F form)

At the close of the grant year, ASEPs are required to report on the ASEP 10F form all **accrued** expenditures incurred in the categories identified in the approved application/amended application. Final payment will be made only upon receipt, review and approval of the ASEP 10F form by the Department. All reported expenses must be supported in a manner that is consistent with the requirements of the New York State Education Department Reimbursable Cost Manual.¹

Only the ASEP 10F form provided by the Department on its website will be accepted. The ASEP-10F form and instructions are posted on the IDEA page of the Department's website:

<http://schools.nyc.gov/Offices/EnterpriseOperations/ChiefFinancialOfficer/DFO/PayableOperations/KeyDocuments/ideagrant.htm>

A separate ASEP 10F form must be submitted for Section 611 and Section 619 funding.

The completed ASEP 10F form, signed by the ASEP's Executive Director/Officer, must be submitted, in the original, to the Department return receipt mailing to the address indicated on the last page of this memorandum by the close of business on **August 14, 2016**. The failure to submit the ASEP 10F form by August 14, 2016, may cause the funds not to be released; and, the failure to submit an ASEP 10F form at all may result in recoupment of funds that had already been released.

If the ASEP submitted a proposed budget/narrative by October 15, 2015 these funds will be included in the next grant year allocation as carryover funds.

¹ http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/RCM/home.html

If the ASEP 10F form is approved, the Department will calculate the final payment, if any, and the amount of carry-over funds as applicable. Assuming that the ASEP has not exceeded the total approved budget, the ASEP will be paid the difference between the total disbursements and total accrued expenditures. However, if the ASEP received total disbursements in excess of its accrued expenditures, the ASEP must return the difference in the form of a check made payable to the NYC Department of Education and delivered by return receipt mail to the address indicated below.

Unspent grant year funds (exclusive of carryover) that were not disbursed by Department will be carried over to the next grant year only if the ASEP 10 form, the ASEP 10A form (if applicable) and the ASEP-10F report were approved.

Grant Year 2016 funds including carryover will not be released to the ASEP until any IDEA vendor grant monies owed to the Department are returned.

Questions regarding the procedures described above or concerns relating to the submission of any of the required documentation should be addressed to ASEPSupplFund@schools.nyc.gov .

Forms must be delivered by return receipt mail to:

New York City Department of Education
Division of Financial Operations
Bureau of Non Public School Payables
65 Court Street, Room 1001
Brooklyn, NY 11201
Attention: IDEA Unit

CC: Frank Lanore Angel Lopez Katherine Quinones Louise Kanian
Ling Tan Cynthia Wong Marlene Malamy Robert Sosa

KEY 2015-2016 IDEA GRANT DATES

PAYMENT	Required Form	Deadline	Description	Spending Period	Payment Amount
None	ASEP 10	October 15, 2015	Narrative and Budget	July 1, 2015 to June 30, 2016	None
1 (+ carryover)	Approved ASEP10	N/A	Initial funding (when DOE is funded by NYS)	July 1, 2015 to June 30, 2016	20% of FY2016 Funding 100% of Carryover
2	ASEP-25	N/A	Request for Additional Funds	Expenses to Date	Not to exceed 25% of Allocation Amount
3	ASEP-25	N/A	Request for Additional Funds	Expenses to Date	Not to exceed 25% of Allocation Amount
N/A	ASEP 10A (if applicable)	May 1, 2016	Amendment to Approved ASEP 10 form	N/A	N/A
Final Payment	ASEP 10F	August 14, 2016	Final Expenditure Report	July 1, 2015 to June 30, 2016	Balance of Allocation Amount