

Fiscal Year 2017 Individuals with Disabilities Education Act (IDEA) Part B Section 611 and Section 619 Vendor Funding

INSTRUCTIONS FOR APPLICATION BUDGET AND NARRATIVE (ASEP 10 FORM)

DEADLINE: Monday, October 17, 2016 at 4pm

INTRODUCTION

Section 611 and Section 619 Part B funding¹ under IDEA assists Approved Special Education Programs (ASEPs) with the supplemental cost of providing special education and related services to students with Individualized Education Programs. The per capita allocation to ASEPs is calculated by the New York State Education Department (NYSED) pursuant to New York State Education Law §4410-b and is posted at: www.p12.nysed.gov/sedcar/federal.htm.

ASEPs are not sub-recipients of the New York City Department of Education's (the Department) IDEA grant funding. Rather, providers receive IDEA funding as **vendors** to the Department. As such, the Department can determine which supplemental goods and/or services it chooses to purchase on behalf of students with IEPs placed in ASEPs by the Department. These determinations are made within the guidelines issued by NYSED and the application year's Reimbursable Cost Manual (RCM).

If the ASEP enrolls students *in addition* to students with IEPs for whom the NYC DOE pays tuition, the ASEP must have a written allocation methodology that fairly apportions costs among the funding streams. The current RCM's guidance respecting cost allocation may be found at http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/RCM/OldYears/RCM201516FINAL.pdf.

SUBMISSION OF APPLICATION BUDGET AND NARRATIVE

The link to the FY2017 IDEA application can be found on the NYC DOE website:

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

¹ Section 611 entitlement funds are provided for students with disabilities, ages 3 to 21; section 619 entitlement funds are provided for students with disabilities, ages 3 to 5.

- If an ASEP is a recipient of funding under both Section 611 and 619, a separate narrative and budget must be prepared for each section, neither of which may exceed the allocation (including carry-over) for that section.
- The FY2017 IDEA allocation and ASEP-specific carry-over may be found on the Department's website: <http://schools.nyc.gov/Offices/EnterpriseOperations/ChiefFinancialOfficer/DFO/PayableOperations/KeyDocuments/ideagrant.htm>

The ASEP 10 form, comprising a completed budget and narrative, will be accepted until the deadline of Monday, October 17, 2016 at 4pm. All ASEP 10 forms should be submitted via email to ASEPSupplFund@schools.nyc.gov and should include the agency name and NYSED Basic Educational Data System (BEDS) code in the subject line of the email. Incomplete applications and/or applications not submitted on the Department's ASEP 10 form will not be accepted for review.

ASEPs may email ASEPSupplFund@schools.nyc.gov with any questions prior to completing an application.

ASEPs may be contacted by the Department if additional information or revision is needed. All requested revisions must be sent to the Department within fifteen (15) business days of the initial request from the Department.

Once the ASEP 10 form has been approved by the Department, it must be signed by the ASEP's chief executive officer, with a scanned copy of the signed application(s) emailed to ASEPSupplFund@schools.nyc.gov and a hard copy mailed to:

NYC Department of Education
65 Court Street, Room 1001
Brooklyn, NY 11201
Attention: IDEA Unit

APPLICATION STRUCTURE

For each ASEP 10 form, ASEPs must complete the budget and provide all information in the narrative as requested. The narrative comprises the following:

General description of the program: This should include the mission statement, philosophy of the program and the student population served.

Overall project/activity description: This should provide background information and a rationale for the projects/activities. It should establish the need and importance of the projects/activities and provide the context in which to evaluate the objectives, procedures, and methods of evaluation. This includes how the project/activity aligns to agency-wide goals and meets the needs of the student population.

Cost allocation overview: This should describe how ASEPs that enroll students who do not have IEPs or who are not paid for by the Department plan to allocate costs so that funding only supports students with IEPs for whom the Department pays tuition.

Project/Activity breakdown: This provides specific details for each proposed project/activity. Information for each individual project/activity should be provided in a separate row in the table provided. All items in the table need to be completed, including outcomes, objectives, project/activity design and method of evaluation, budget line items and alignment to the Department's Special Education Office four key strands:

- **ACCESS:** Ensuring students' access to education and services in the appropriate least restrictive environment, Common Core aligned curriculum and highly effective instruction based on principals of Universal Design for Learning
- **QUALITY IEPs:** Getting to know students well; developing and implementing quality IEPs that set Common Core aligned goals based on assessment of student need; providing appropriate services and support; and guiding teachers in providing effective instruction based on assessed student need
- **POSITIVE BEHAVIORAL SUPPORTS:** Guiding schools in implementing systems of support that foster positive school culture; supporting teachers in becoming highly effective at building positive classroom culture and providing supports to individual students, enabling all students to achieve at high levels
- **TRANSITION PLANNING:** Assessing students' interests and needs and developing transition plans that prepare students for continuing their education, independent living, careers and college

COST CODE DESCRIPTIONS AND TABLE OF ALLOWABLE EXPENDITURES

The Department will determine whether expenditures are allowable by ensuring that the expenditure is not prohibited by:

- The most recent edition of the RCM (http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/RCM/home.html)
- The NYSED IDEA May 2016 grant application guidance memo (<http://www.p12.nysed.gov/specialed/finance/>), an excerpt of which is appended below
- The Department's supplemental table of allowable and non-allowable expenditures, integrated into the tables below

Salaries for Service Staff (Code 15S and 15H)

Identify all staff members that are employed by the ASEP, including teachers and licensed professionals, such as occupational therapist **supervisors**. The salaries of teachers and related service clinicians who are not functioning as supervisors cannot be funded through the grant.

- 1.0 FTE is used to designate a full-time, year-round employee. If an employee works less than full time, express her/his full time equivalence as a portion of 1.0. For example, an employee who works seven hours per week (out of a 35-hour week) is a 0.2 FTE.
- If an employee is assigned to projects in both the 611 and 619 programs, that employee's time should be allocated as applicable to each. The FTE cannot exceed 1.0.
- Code 15S is for staff on salary
- Code 15H is for staff paid hourly

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
Yes	ADAPTED PHYSICAL EDUCATION: Salary and fringe benefits.	The salary and fringe benefits of an adapted Physical Education teacher are allowed for the time the teacher provides instruction to a class of special education students.
Yes	CURRICULUM DEVELOPMENT: Costs associated with substitutes, release time, or extended contract.	Costs related to substitute teachers, release time, and extended contract for development of curriculum for special education students is allowed for both regular and special education staff.
No	EXTENDED SCHOOL YEAR (ESY): Personnel	ESY expenditures are covered in the rate of approved ESY programs established by SED's approval by the Division of the Budget. They are not allowable.
Yes	FOREIGN LANGUAGE AND SIGN LANGUAGE INTERPRETERS FOR PARENT MEETINGS: Salaries and fringe benefits.	Expenditures related to parent meetings are considered an excess cost of special education.
Yes	FOREIGN LANGUAGE INTERPRETERS FOR STUDENTS WITH DISABILITIES: Salaries and fringe benefits.	
Yes	GUIDANCE COUNSELORS: Salaries and fringe benefits.	Only the actual time spent supporting special education is allowed.
Yes	IEP TEAM COORDINATORS: Salaries and fringe benefits	Salaries and fringe benefits of staff that coordinate an IEP system, train staff, and review IEPs are allowed. Only the time spent coordinating IEPs is allowed.
Yes	JOB COACHES: A job coach works directly with a student with a disability in a work site to help the student learn the specific requirements of the job.	Job coaches may be provided through contract with an individual, agency, organization, or other entity pursuant to 4401 of the Education Law.
No	MEDICAID SCHOOL-BASED SERVICES PROGRAM: Costs for claiming Medicaid funds, including third-party administrators.	The costs for administering the Medicaid School Supportive Health Services Program (SSHSP) may not be charged to the IDEA grant.
Yes	PARAPROFESSIONALS: Salaries and fringe benefits	Only as supplemental additions to the regularly funded paraprofessionals.
Yes	PARENT LIAISONS: Salaries and fringe benefits.	Salary and fringe benefits are allowed ONLY to the extent the parent liaison provides support to parents of children with disabilities.
No	PRINCIPALS OR ASSISTANT PRINCIPALS: Salaries and fringe benefits	Salaries for principals and assistant principals may not be charged to the IDEA grant.
No	SUPERINTENDENTS (DISTRICT ADMINISTRATORS): Salaries and fringe benefits.	The salary and fringe benefits of superintendents cannot be charged to federal grants.

Yes	TEACHERS – SPECIAL EDUCATION: Salaries and fringe benefits.	Only as supplemental additions to the regularly funded teachers.
Yes	TECHNOLOGY STAFF: Salaries and fringe benefits for ASEP employees.	Expenses for programming or maintaining special education and related services databases and applications are allowed and may include coordination or administration of technology services.
Yes	TRANSITION STAFF: Staff associated with work experiences, job coaching and acquisition of employment skills.	Staff salaries for activities to facilitate the acquisition of employment skills for students with disabilities pursuant to Transition Services indicated on a student’s IEP.
Supplemental Guidance from the Department		
Allowable	Budget Item	Requirements/Additional Information
Yes	TRAINING STIPENDS FOR STAFF	Stipends for staff to attend trainings or workshops outside of their normal work schedule. This is not inclusive of the cost of the training.
Yes	ART AND MUSIC THERAPY	Art and music therapies by contract services under Code 40, Purchased Services.
Yes	SUBSTITUTE TEACHERS: Salaries and fringe benefits	Substitute teacher costs are allowed for special education teachers only as supplemental additions to regularly funded teachers and support staff.
Yes	LICENSED PROFESSIONAL STAFF: Including, Occupational Therapist, Speech Therapist, Social worker and School Psychologist	Only as supplemental additions to the funded mandated services on student IEPs.

Salaries for Support Staff (Code 16S and 16H)

This section is for program support staff, *e.g.*, teachers’ aides, secretarial and clerical assistance, and personnel in pupil transportation. “Salaries for Service Staff” guidance, above, applies to these Codes.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
Yes	CLERICAL SUPPORT: Salaries and fringe benefits.	Only the actual time spent supporting special education is allowed.
Yes	SECRETARIAL STAFF: Salaries and fringe benefits	Only the actual time spent supporting special education is allowed.

Equipment (Items the unit cost of which is \$5,000 or more) (Code 20)

A full description of proposed purchase and the quantity, unit cost and total cost must be included. If needed, an itemized list may be attached. Purchased equipment must be entered into an inventory log that identifies the model and serial number of the item, the funding source, cost and date of purchase and the location of the item.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
Yes	EQUIPMENT - CAPITAL: Equipment to support special education and related services.	Equipment with a useful life of more than one year that costs \$5,000 or more per unit. Detailed descriptions for equipment must include the equipment type and the number of units for the cost identified with that line item.

Purchased Services (Code 40)

This section is for costs associated with engaging consultants to provide supplemental services (*e.g.*, professional development, arts programs for students, parent engagement). The hourly rate cannot exceed \$300/hour; the per diem rate cannot exceed \$2000/day.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
No	ATTORNEY'S FEES-PARTY TO AN ACTION: Attorney fees for IDEA state complaints, due process hearings, representation at IEP team meetings, facilitated IEP team meetings, mediation sessions, or any student-specific consultation.	Funds may not be used to pay attorney's fees
Yes	CONSULTANT SERVICES: Costs associated with contracted services from a consultant	Individual/Agency providing services must have per diem/hourly or flat fee rates listed. Consultants/Training- maximum rate of \$2000/day (minimum of 6 hours per day) or \$300/hour, regardless of funding source.
No	CONTRACTED SPECIAL EDUCATION TEACHERS	ASEPs may NOT contract for special education teachers. Teachers must be employees, not contractors.
Yes	CONTRACTUAL MAINTENANCE OF SPECIAL EDUCATION EQUIPMENT:	If the equipment is used for special education only. Examples include assistive technology devices, copying machines, printers, elevators, etc.
Yes	CONTRACTUAL SERVICES: Costs associated with contractual services provided by licensed professionals.	Individual/Agency providing services must have per diem/hourly or flat fee rates listed. Contractual Services/Training- maximum rate of \$2000/day (minimum of 6 hours per day) or \$300/hour, regardless of funding source.
Yes	FOREIGN LANGUAGE AND SIGN LANGUAGE INTERPRETERS FOR IEP MEETINGS: Contracted services	See consultant services.
Yes	FOREIGN LANGUAGE INTERPRETERS FOR STUDENTS WITH DISABILITIES: contracted services	
Yes	NURSE: Contracted services	See consultant services- Only to provide related services required by IEPs or performing evaluations allowed.
Yes	OCCUPATIONAL THERAPISTS (OT) and OT ASSISTANTS: Contracted services	See contractual services
Yes	PHYSICAL THERAPISTS (PT) and PT ASSISTANTS: Contracted services	See contractual services.
Yes	PSYCHIATRIST AND OTHER PYHSICIANS (EVALUATIONS ONLY): Consultant services	See consultant services.
Yes	PSYCHOLOGIST: Contracted services	See consultant services.
Yes	SPEECH THERAPIST: Contracted services	See contractual services.
Yes	SOCIAL WORKERS: Contracted services	See contractual services.
Yes	STAFF TRAINING: Delivered within the organization (No travel required)	See consultant services- Costs related to in-house staff training on special education matters.
Yes	TRANSITION – EMPLOYMENT SKILLS: Costs associated with work experiences, job coaches and acquisition of employment skills.	ASEPs may contract with agencies, pursuant to the requirements of section 4401 of the Education Law, to facilitate the acquisition of employment skills for students with disabilities pursuant to Transition Services indicated on students' IEPs.

Yes	TRANSITION – INDEPENDENT LIVING SKILLS: Rental of property used for developing independent living skills.	ASEPs may lease property from individuals or agencies for teaching independent living skills required by students' IEPs.
Yes	TECHNOLOGY STAFF: Contracted IT services.	Private contracts for special education database maintenance or programming are allowed.
Supplemental Guidance from the Department		
Allowable	Budget Item	Requirements/Additional Information
Yes	STAFF RECRUITMENT	Activities to actively recruit new staff.
No	SPACE/FACILITIES RENTAL	Rental of outdoor or indoor space is not allowed.
No	INSURANCE	Liability insurance for specific projects, e.g., insurance for a mini-bike reward program.
No	BASIC OPERATING COSTS	Costs associated with basic operations of the program are not reimbursable. Examples of such costs are: <ul style="list-style-type: none"> • Utilities – electricity, gas, oil, water • Internet service • Databases
Yes	PROFESSIONAL DEVELOPMENT FOR STAFF	Professional development that focuses on improving outcomes for students with disabilities. Any proposed professional development should be provided on site whenever possible to avoid unnecessary travel expenses. Professional development that focuses on bilingual education or teaching a second language is <i>not</i> reimbursable.
No	Employees of the ASEP hired as CONSULTANTS	Paid consultants providing services to an ASEP cannot be employees of that ASEP.

Supplies and Materials (Items the unit cost of which is less than \$5,000) (Code 45)

This includes computer software, computers, tablets, library books and equipment items under \$5,000 per unit. A description of the proposed purchase(s), including quantity, unit cost, and total cost must be provided. The description must be specific, e.g., “small art supplies including crayons, glue and paper” as opposed to “art supplies.” If needed, an itemized list may be attached.

As per NYSED guidance, for technology-based equipment that is not required by an IEP, a statement of the benefit of use in an educational setting specifically with students with disabilities must be provided in the narrative. This includes personal listening devices with instructional applications, e.g., SMART Boards. If items to be purchased are not exclusively for use by students with disabilities, such as technology used in an integrated classroom, then only a prorated portion of IDEA funds can be utilized towards the cost of those items. This portion is based on the percentage of students with disabilities, e.g., five students with disabilities in an integrated class of 20 students would allow 25 percent of the cost of a purchased item to be funded via the IDEA Grant.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
Yes	ASSISTIVE TECHNOLOGY DEVICES: as detailed on the IEP.	
No	COMMUNICATION DEVICES FOR STAFF	Communication devices are allowed ONLY for students with disabilities.
Yes	COMPUTERS FOR STUDENTS	Related to the unique needs of a specific child with a disability as specified on their IEP. It may be provided in a regular education class or other education-related setting, even if one or more nondisabled children benefit.

Yes	COMPUTERS FOR STAFF	Computer equipment for special education staff is allowed if the individual works solely in special education.
No	COMPUTER NETWORKS: Costs associated with an ASEP's computer networks.	
Yes	EQUIPMENT - SECURITY: Cameras and other devices.	When related to the needs of a child with a disability in accordance with the IEP of the child. It may be provided in a regular education environment or other education-related setting.
Yes	EQUIPMENT - NON-CAPITAL: Equipment to support special education and related services.	Equipment that does not meet the definition of capital equipment may be included in the budget.
Yes	EVALUATIONS: supplies for same	
Yes	FURNITURE: Desks, tables, chairs, file cabinets.	Only adaptive furniture will be allowed. File cabinets for IEP files are allowable. Examples of such furniture are wheelchair accessible desks and adjustable tables or workstations. File cabinets for IEP files are allowable.
Yes	OFFICE EQUIPMENT: Equipment used by special education staff	Only allowable if the equipment is exclusively used by special education staff.
Yes	SMART BOARDS	If this is in a self-contained class due to the specific needs of the students and is not part of a school-based initiative to purchase Smart Boards, then this is allowable. If students with disabilities in integrated settings require Smart Boards and is not part of a school-based initiative to purchase Smart Boards, only a prorated amount of the cost is allowable.
Yes	SUPPLIES & MATERIALS	Proposed expenditures for equipment with a unit cost of less than \$5,000 must contain a description, unit cost, quantity and individual proposed expenditure. A maximum of \$50 expenditure per student per year of IDEA funds can be allocated for rewards for students with disabilities participating in Positive Behavioral Interventions and Supports. Non allowable items include, but are not limited to: furniture, rugs, air conditioners, etc.
Supplemental Guidance from the Department		
Allowable	Budget Item	Requirements/Additional Information
Yes	COMPUTERS FOR STUDENTS	Vendors may only request reimbursement for fewer computers than there are NYC DOE students in the ASEP. Supplies, installation, insurance, external hardware (including increasing RAM), and shipping of computers are reimbursable costs.
Yes	PRINTERS	Printers and ink for IEP recordkeeping and classroom functions.
Yes	Safety Precautions for Elopement Behaviors	As per the April 2014 Field Advisory from NYSED regarding safety precautions for students with disabilities with elopement behaviors, systems to prevent and address instances of students with disabilities identified with elopement/wandering behavior must be in place. Security measures to support this plan may include: <ul style="list-style-type: none"> • Staff training on awareness and response • Installment of door alarms • Basic identification cards for identified students • School-wide alert systems
Yes	ASSISTIVE TECHNOLOGY (that is not required on a student's IEP)	Assistive technology (both hardware and software) and training in their use to enhance students with disabilities access to the general curriculum. Examples are: <ul style="list-style-type: none"> • Computers and software programs • Telecommunications, sensory and other technological aids and devices • Alternative/Augmentative Communication Devices • Specialized furniture and equipment, including adaptive physical education equipment
No	FOOD AND BEVERAGES	Food or beverages for any meetings or trainings are <i>not</i> reimbursable.

Yes	The creation, implementation, and/or maintenance of technological databases	Reimbursement for databases will be considered. However, programs need to provide information on the following: <ul style="list-style-type: none"> • Purpose of the technology, e.g., what data points will the database be collecting? • How will the data collected within the database be used to better serve students with IEPs? • Three competing vendor bids associated with the cost of the database (as requested) • Dates for the implementation of the database project
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Travel Expenses (Code 46)

This section includes pupil transportation for field trips and staff conference costs. ASEPs must specify agency approved mileage for travel by personal car or school-owned vehicles. A description of the proposed travel, including the staff, the destination, purpose of the proposed travel and calculation of costs including conference fees, travel and overnight expenses (when applicable) should be included.

All travel must be arranged in the most cost efficient manner possible and accommodations should be reasonable. Staff commuting costs are not allowable.

- Proposed conferences must be identified by conference name and/or type. Generic conference travel descriptions, such as “Conference TBD” are not acceptable.
- Travel expenditures for conferences must be broken down into registration fees and travel costs.
- Staff must be identified by name and title.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
No	NON-EDUCATIONAL EXPENDITURES	Including, but not limited to: dinners, shows, movies, bowling, out-of-state trips, etc. are not a permissible use of IDEA.
Yes	PROFESSIONAL AND STAFF DEVELOPMENT: Costs associated with registration fees, travel, conference expenses, and providers.	Registration fees for off-location training, travel and conference expenses associated with special education training of regular education and special education staff are allowed. Airfares must be in economy and travel is limited to the continental United States.
Yes	TRANSPORTATION COSTS - SPECIAL EDUCATION	Transportation for field trips is also allowable provided the trips enhance the educational program of the students.
Supplemental Guidance from the Department		
Yes	PARENT TRAVEL	Transportation costs for parents to travel to/from trainings may be considered.

Employee Benefits (Fringe Benefits) (Code 80)

This includes benefits related to salaries included in this grant. Benefit rates used for project personnel must be the same as those used for other agency personnel.

- The amount of employee benefits cannot exceed the amount of funds allocated to salaries (code 15 and 16 combined)

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
Yes	GRADUATE CREDITS FOR SPECIAL EDUCATION INSTRUCTIONAL STAFF	Graduate School tuition is allowed as a fringe benefit for special education instructional staff.
Yes	DISABILITY	Employer expenses for disability as fringe benefits are allowable.

Yes	RETIREMENT: NYS TEACHERS	Employer expenses for teachers retirement benefits granted as fringe benefits are allowable.
Yes	RETIREMENT: Other	Employer expenses for retirement as fringe benefits granted as fringe benefits are allowable.
Yes	SOCIAL SECURITY	Employer expenses for unemployment insurance granted as fringe benefits are allowable.
Yes	UNEMPLOYMENT INSURANCE	Employer expenses for unemployment insurance granted as fringe benefits are allowable.
Yes	VISION	Employer expenses for vision coverage granted as fringe benefits are allowable.
Yes	WORKER'S COMPENSATION	Employer expenses for worker's compensation granted as fringe benefits are allowable.
Supplemental Guidance from the Department		
Allowable	Budget Item	Requirements/Additional Information
Yes	MERIT/RETENTION AWARDS	Merit awards for direct care employees are reimbursable, but must be based on merit as measured and supported by employee performance evaluations.
No	MERIT/RETENTION FOR ADMINISTRATORS	Merit awards are restricted to direct care titles/employees as defined by the RCM. Program or site directors and/or assistant directors will not be reimbursed.
Maybe	EDUCATIONAL ASSISTANCE COSTS	Employer-provided educational assistance costs are reimbursable as compensation only when the course or degree pursued is relevant to the field in which the employee is working. The employee must complete and receive a passing grade for the course(s). Costs of education or training necessary for an employee to meet minimum qualifications for the position for which he/she was hired are not reimbursable.