

Fiscal Year 2016 IDEA Vendor Funding

Instructions for Submitting the Application Budget and Narrative
for the Use of New York City Department of Education's
IDEA Vendor Funding
by New York State Approved Special Education Programs (ASEPs)

**Applications will be accepted and reviewed on a rolling basis
but must be received by NYC DOE no later than**

4:00 P.M. on October 15, 2015

**SUBMIT completed application via e-mail to
ASEPSupplFund@schools.nyc.gov**

* Incomplete applications or applications submitted not using the NYC DOE ASEP 10 form will not be accepted for review.

** Applications not received by 4:00 PM on October 15, 2015 will not be considered for funding.

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Section 1: Introduction

Section 611 and Section 619 Part B funding¹ under the Individuals with Disabilities Education Act (IDEA) assists Approved Special Education Programs (ASEPs) with the supplemental cost of providing special education and related services to students with IEPs. 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 (NYC DOE) IDEA grant funding. Rather, providers receive IDEA funding as **vendors** to the NYC DOE. As such, NYC DOE can determine which supplemental goods and/or services it chooses to purchase on behalf of students with IEPs placed in ASEPs by the NYC DOE. These determinations are made within the guidelines issued by NYSED and the application year's Reimbursable Cost Manual (RCM).²

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/CurrentYear/201415RCMFinal102814.pdf at page 52. ASEPs are encouraged to review that guidance and apply it when creating budgets.

In reviewing proposed applications, NYC DOE will consider whether:

1. The project(s) and/or activity(ies) represent supplemental costs of providing special education and related services.
2. The project(s) and/or activity(ies) are related to the NYC DOE's four key strands of school activity for the 2014-15 school year on page four of this document.
3. Items for which funding is requested are not prohibited under the RCM, other New York State guidance or the guidance contained in this application.
4. The application narrative and budget are aligned and that the narrative fully describes how the funds will be used.

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.

² The RCM can be found at http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/RCM/home.html. The NYSED website with guidance on this process is at <http://www.p12.nysed.gov/specialed/finance/>

The grant applications for Section 611 and Section 619 must address the intent of the IDEA and consider the four key strands of school activity that the NYC DOE Special Education Office has identified for FY2016:

- **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

Section 2: Submission of the Application

The link to the FY2016 IDEA application can be found on the NYC DOE website:

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

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 FY2016 IDEA allocation and ASEP-specific carry-over may be found on the NYC DOE website:

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

Deadline

Applications, comprising a completed budget and narrative, will be accepted for review on a rolling basis until the deadline of October 15, 2015. Incomplete applications and/or applications not submitted on the NYC DOE ASEP 10 form will not be accepted for review.

While final determinations can only be made based on completed applications, ASEPs may email ASEPSupplFund@schools.nyc.gov or may reach out directly to your assigned program specialist with any questions prior to completing an application in order to determine if the proposal falls within NYC DOE guidance.

Submission Process (new this year)

An initial application(s) should be submitted by email to ASEPSupplFund@schools.nyc.gov and should include **THE AGENCY NAME AND NYSED BEDS NUMBER** in the subject line of the email. Do not send a paper copy of the initial application. The ASEP may be contacted by a NYC DOE reviewer if additional information or revision is needed.

Once the reviewer has completed the initial application(s), the application(s) must be signed by the ASEP's chief executive officer, with a scanned copy of the signed application(s) emailed to the reviewer and a hardcopy mailed to:

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

When the approved, signed application has been received by the NYC DOE, the ASEP will be sent an approval notice. ASEP funds will be disbursed when the NYC DOE receives its grant funds from NYSED (typically, in early spring).

Lastly, ASEPs are expected to adhere to RCM expenditure and recordkeeping guidance in implementing the approved application. Upon audit, the ASEPs will be required to produce records that support expenditures. Unsupported costs or costs not in accordance with the approved application may be disallowed.

Application Structure

For each application, ASEPs must complete the budget and provide all information in the narrative as requested. Incomplete applications will not be considered for final approval for funding. The narrative comprises the following:

- **A. General description of the program:** *This description should include the mission statement and philosophy of the program as well as the student population served by the program.*
- **B. Overall project/activity description:** *This section provides background information and a rationale for the project(s)/activity(ies). It should establish the need and importance of the project(s)/activity(ies) and provide the context in which to evaluate the objectives, procedures, and methods of evaluation. This includes how the project/activity aligns to school-wide goals and meets the needs of the program's student population.*
- **C. Cost allocation overview:** *This section should describe briefly how programs that enroll students who do not have IEPs or who are not paid for by the DOE plan to allocate costs so that funding only supports students with IEPs for whom the DOE pays tuition.*
- **D. Project/Activity breakdown:** *This section provides specific details for each project(s)/activity(ies) proposed in B above. Information for each individual project(s)/activity(ies) should be provided in a separate row in the table provided. All items in the table need to be completed, including outcomes, objectives, program design, method of evaluation, budget line items and alignment to NYC DOE Special Education Office goals.*

Section 3: Cost Code Descriptions

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

Following are examples of how the below tables would be completed:

- A) A physical therapist who works a 40-hour week from September to June is paid \$60,000, and will work 4 hours on the IDEA project (FTE = 10 months ÷ 12 = 0.8333)
- B) An occupational therapy supervisor is paid \$45 per hour and is expected to work a total of 500 hours, of which 50 hours will be spent on the IDEA project

Table for Code 15S					
Project/ Activity Number	Job Title	Salary (amount ASEP expects to pay this employee in 2014-15)	FTE at ASEP During Year	Salary Charged to Project	Percent of Salary Charged to Project
	Physical Therapy Supervisor	\$60,000	0.8333	\$6,000	10%
Total Salaries (service staff on salary):				\$6,000	

Table for Code 15H						
Project/ Activity Number	Job Title	Hourly Rate	Total Expected Hours at ASEP in Year	Hours Charged to Project	Salary Charged to Project	Percent of Hours Charged to Project
	Occupational Therapy Supervisor	\$45	500	50	\$2,250	10%
Total Salaries (service staff paid hourly):					\$2,250	

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.

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.

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.

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.

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. Note that staff commuting costs are not allowable.

Employee Benefits (Fringe Benefits) (Code 46)

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)

Section 4: Table of Allowable Expenditures by Cost Code

NYC DOE reviewers will determine whether expenditures are allowable by both assessing whether they conform to the criteria listed on page three of this application and 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 2015 grant application guidance memo (<http://www.p12.nysed.gov/specialed/finance/>), an excerpt of which is appended below
- The NYC DOE's supplemental table of allowable and non-allowable expenditures, integrated into the tables below

If you have additional questions regarding items not listed below, please reach out directly to your NYC DOE assigned reviewer; feel free to contact reviewers in advance of formally submitting your application.

Professional Salaries (Code 15)

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 IEP MEETINGS: Salaries and fringe benefits.	Expenditures related to IEP meetings are considered an excess cost of special education.
No	FOREIGN LANGUAGE INTERPRETERS FOR STUDENTS WITH DISABILITIES: Salaries and fringe benefits.	Providing interpreters for students who have limited English proficiency is not considered an excess cost of special education.
Yes	GUIDANCE COUNSELORS: Salaries and fringe benefits.	Only the actual time spent supporting special education is allowed.
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.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
Yes	TECHNOLOGY STAFF: Salaries and fringe benefits for LEA 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.

Supplemental Guidance from the NYC DOE		
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.

Support Staff Salaries (Code 16)

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 (Code 20)

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)

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.
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.
No	FOREIGN LANGUAGE INTERPRETERS FOR STUDENTS WITH DISABILITIES: contracted services	Providing interpreters for students who have limited English proficiency is not considered an excess cost of special education.
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	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	TECHNOLOGY STAFF: Contracted IT services.	Private contracts for special education database maintenance or programming are allowed.

Supplemental Guidance from the NYC DOE		
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.

Supplemental Guidance from the NYC DOE		
Allowable	Budget Item	Requirements/Additional Information
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 (Code 45)

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 a LEA'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.
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.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
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 NYC DOE		
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

Travel Expenses (Code 46)

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 DEVELOPMENT: Costs associated with registration fees, travel, conference expenses, and providers.	Registration fees, travel and conference expenses associated with special education in-service training of special education staff are allowed. Airfares must be in economy and travel is limited to the continental United States and no travel to resort destinations and not to exceed more than two staff members for a given conference.
Yes	STAFF DEVELOPMENT: Costs associated with registration fees, travel, conference expenses, and providers	Registration fees, travel and conference expenses associated with special education in-service training of special education staff is allowed. In school-wide staff development activities, IDEA funds may be used for the total cost of professional development in the same proportion as the number of special education and related service personnel receiving professional development is to the total school personnel participating.
Yes	TRAVEL OF STAFF:	Any airfares must be in economy and travel is limited to the continental United States and no travel is allowed to resort destinations and generally should not exceed more than two staff members for a given conference
Yes	TRANSPORTATION COSTS - SPECIAL EDUCATION	Districts receive transportation aid for transportation to and from school. However, other transportation to and from special education services may be considered.

Supplemental Guidance from the NYC DOE		
Allowable	Budget Item	Requirements/Additional Information
Yes	PARENT TRAVEL	Transportation costs for parents to travel to/from trainings may be considered.

Fringe Benefits (Code 80)

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.
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.

Guidance from The NYSED IDEA Grant Application Guidance Memo		
Allowable	Budget Item	Requirements / Additional Information
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.

Section 5: Sample Completed Application

Fiscal Year 2016 Application Narrative for Vendor Funding

Please choose all programs/services that the agency currently provides:

Center Based

SEIT

Related Services

A. General Description: (Responses should not exceed 400 words.)

This description should include:

- The mission statement and overall philosophy of the agency
- School-wide goals for School Year 2015-2016
- The overall student population served

ABC School provides a continuum of services for preschool students, including self-contained, integrated and general education settings. The information identified in this application is designed to benefit our preschool students with IEPs, not the Universal Pre-Kindergarten students who comprise our general education population. Currently, we serve a total of 143 students across 11 classrooms (6 self-contained classrooms, 5 integrated classrooms). This includes 103 preschool students with an IEP, 25 UPK general education students and 15 private tuition general education students. The school also serves a large bilingual population. Currently, 85% are ELLs with 80% primarily Spanish-speaking.

ABC school focuses on educating the whole child. The classroom environment and daily lessons are sensitive to the individual needs of students and provide appropriate support so that children can succeed. This is based on an understanding of each child's needs, strengths and areas for growth in all areas of functioning, including physical, cognitive, motor, communication and social emotional through ongoing assessment and analysis of student work and data.

We believe in a balanced approach that provides both child-guided and teacher-guided experiences. Teachers thoughtfully provide intentional experiences and approaches that ensure successful outcomes. There is an emphasis on process and the child's active participation in project-oriented activities.

Parents are active participants in their child's learning. ABC school provides various opportunities for learning to extend into the home, including workshops, classroom and related service observations, small group meetings, conferences, orientations and individual conversations.

ABC school has a full sensory gym to help students develop the skills necessary to engage, change and impact with their environment. Therapists have been trained in DIR/Floortime that support emotionally meaningful learning interactions based on children's unique profiles as well as sensory integration.

B. Overall Funding Use Plan:

Please respond to the below question to demonstrate the need for the proposed project(s)/activity(ies) and to provide context for the agency's objectives, program/activity design, and methods of evaluation.

Was a needs assessment conducted? If so, what data was collected and how was it used as a basis for the project(s)/activity(ies)? (Response should not exceed 250 words.)

ABC school conducted an analysis of student work and data three times last year. The data collected at the end of last year demonstrated a need to work on self-regulation skills and appropriate language skills. Although the data was helpful, teacher submission of data into the online system was not always timely as approximately 15% of data was not submitted by the three collection period due dates resulting in a delay in the use of information. ABC school also reviewed staff surveys. Teachers and therapists reported the need for a structured time weekly to collaborate with colleagues to review student work and support parents at home. In regards to PD opportunities, only 75% of staff felt that the PD provided meaningful information to support progress toward IEP goals. Parents reported on the yearly school survey that they would like increased opportunities to communicate with staff and learn how to support their children at home.

How do the projects/activities align to the agency's school-wide goals? (Response should not exceed 250 words.)

Based on this analysis, ABC school created five school-wide goals for this year as follows:

By the end of 2016,

- There will be a 10% increase in parent participation in workshops, classroom and related service observations, small group meetings, conferences, orientations and individual conversations.
- There will be a 10 point increase on the parent survey regarding "works to achieve the goals on my child's IEP" and a 15 point increase in "communicates to me on an ongoing basis regarding ways to help support learning at home."
- 85% of staff will report that PD opportunities provide useful content and strategies to support student IEP goals.
- 100% of teachers will collect ongoing assessment data for students, including a sample of student work for each domain of learning and completed checklist across three collection periods throughout the school year.
- The school will create structures so that all related service staff to participate in weekly team meetings, to support the analysis of data in order to monitor progress, inform instruction, increase collaboration and communicate with families.

Based on these identified needs and our overall goals for the FY16 school year, ABC school would use IDEA

funds to enhance parent communication, support the implementation of weekly team meetings, and implement a technological database to collect and analyze student and school wide data to support achievement of IEP goals.

**Describe how each project/activity is supplemental and will meet the needs of the student population?
(Response should not exceed 500 words.)**

The parent communication project would include targeted, monthly workshops based on identified parent needs. Based on the analysis of student data from last year, at least two workshops would be dedicated to self-regulation skills and appropriate language skills. A social worker would be included in this project for outreach, conducting workshops and providing follow-up, individualized support to parents. This supplemental project will assist in generalization of skills across different settings. Parents will be supported in understanding their child's learning styles, strengths and areas for growth.

The staff collaboration project would include scheduling and monitoring of weekly meetings with therapists and teachers as well as parents (as needed), purchasing of iPads so that teachers can collect and submit student data in a timely manner and professional development in protocols to analyze student work as well as resources to support strategies in the classroom and therapy sessions to meet identified needs. This supplemental project will provide additional time for staff to work collaboratively to address the individual needs of students and support student success.

The technology project will include the creation and implementation of a database to collect school wide data. This data will include attendance records, related service records, data related to self-regulation skills and data related to appropriate language skills. This supplemental project will allow for easier collection of student data as well as to measure the impact of the professional development related to self-regulation and language skills in students' classroom behavior. This data will also be used to inform future planning of teacher workshops in these areas.

C. Cost Allocation Method: (Responses should not exceed 600 words.)

If the agency enrolls only students with IEPs for whom the NYC DOE pays tuition, simply indicate that in this section and go on to the next question.

If the agency enrolls students *in addition* to students with IEPs for whom the NYC DOE pays tuition, explain how the expenditures proposed in this application have been allocated. For example, a SMART board is purchased for a Special Class in an Integrated Setting (SCIS) comprised of 20 students with a breakdown of 10 general education students and 10 special education students. Out of the ten special education students, there are 5 NYC DOE funded students. In this case, 25% of the costs are allocated to IDEA.

NOTE: Written allocation methodology(ies) must be maintained by the agency and reviewed annually. As with all expenditures, supporting documentation as required in the RCM must be maintained.

143

Total number of all students (including the total # of NYC DOE funded students with IEPs) as of the application submission date

103

Total number of NYC DOE funded students with IEPs as of the application submission date

Parent Communication Project:

The social worker will work a total of 17.5 hours/week providing support for NYC DOE funded students with IEPs for the parent communication project. The total budgeted agency salary for the social worker is 40,000/year with 50% allocated to IDEA for an amount of \$20,000. The total cost for the ten parent workshops is allocated to IDEA as all trainings will provide direct support to NYC DOE funded students with IEPs and their families.

Staff Collaboration Project:

There is one teacher substitute that will work a total of 17.5 hours/week to provide coverage for teachers, administrators and therapists to meet to discuss student work and data for NYC DOE funded students with IEPs. This will be supplemental to any funding provided by NYS for substitutes. The total budgeted amount for the teacher substitute is \$20,000/year with 50% allocated to IDEA for an amount of \$10,000. In addition, 10% of the physical therapist's salary will be funded so that the physical therapist can attend collaborative meetings. The data entry clerk works a total of 5 hours/week providing support for NYC DOE funded students with IEPs. The total budgeted agency salary for the data entry clerk is \$21,000/year with 20% allocated to IDEA for an amount of \$4,200.

The total cost for the Facilitative Leadership seminar is allocated to IDEA as all 5 individuals attending the seminar provide direct support to NYC DOE funded students with IEPs. The iPad training will be provided to all 11 classroom teachers. The cost of this training has been allocated 100% for the self-contained classrooms containing only NYC DOE funded students with IEPs. The cost for the 5 integrated classrooms has been split based on the number of NYC DOE funded students with IEPs. As a result, 45% of the cost of these items for the integrated classrooms has been allocated to IDEA.

IPads and two resource books will be provided across all 11 classrooms. The cost of these items has been allocated 100% for the self-contained classrooms containing only NYC DOE funded students with IEPs. The cost for the 5 integrated classrooms has been split based on the number of NYC DOE funded students with IEPs. As a result, 45% of the cost of these items for the integrated classrooms has been allocated to IDEA.

Database Project:

50% of the database, \$50,000, will be funded through IDEA funds, as data collection on self-regulation skills and language skills. This supplemental project will help determine the effectiveness of staff professional development and determine any additional needs or supports for the school year.

D. Project/Activity Breakdown:

This section provides specific details for each proposed project/activity. Information for each project/activity should be provided in a separate row in the chart below. The project/activity numbers in the left column should tie to the expenditure tables in the budget section of this application

Project/Activity #	Project/Activity Name and Design <i>Describe in detail what will take place in order to achieve desired results.</i>	Intended Overall Outcomes <i>Indicate the overall, expected outcomes of the project/activity.</i>	Evaluation <i>Describe the evaluation criteria to assess the intended overall outcomes. This section may specify the kinds of data to be collected and the methods by which it will be analyzed and utilized.</i>	Alignment to NYC DOE Special Education Office goals <i>Choose the key strand that aligns to your project/activity from the drop down menu and write a brief description of how your project/activity addresses that goal.</i>
1	<p>Parent Communication Project</p> <p>There would be a total of 10 parent workshops provided through the school year. A survey would be conducted with parents to identify topics of interest as well as optimal times and dates for participation. A social worker would be responsible for ongoing support and outreach as well as development of the workshops. S/he will also facilitate opportunities for classroom and related service observations, small group meetings, conferences, orientations and individual conversations. Materials for workshops would include handouts, resource books, children's books and materials for hands on opportunities to create items to support students in the home, such as picture schedules.</p>	<p>By the end of the school year, there will be a 10% increase in parent participation in workshops, classroom and related service observations, small group meetings, conferences, orientations and individual conversations.</p> <p>By the end of the school year, there will be a 10 point increase on the parent survey regarding "works to achieve the goals on my child's IEP" and a 15 point increase in "communicates to me on an ongoing basis regarding ways to help support learning at home."</p>	<p>The data we will be collecting and reviewing for this project includes:</p> <ul style="list-style-type: none"> • Beginning of year and end of year parent survey • Parent feedback forms from workshops • Quarterly progress reports on student progress • Analysis of parent participation at each workshop • Informal feedback from parents <p>Information will be analyzed and collected over three collection periods throughout the school year to determine progress toward the overall, intended outcomes for the school year.</p>	<p>Quality IEPs: The project will guide parents in extending strategies into the home to support IEP goals and individual student needs. It will also support collaboration between parents and school staff to ensure effective instruction and appropriate supports and services.</p>

Project/Activity #	Project/Activity Name and Design <i>Describe in detail what will take place in order to achieve desired results.</i>	Intended Overall Outcomes <i>Indicate the overall, expected outcomes of the project/activity.</i>	Evaluation <i>Describe the evaluation criteria to assess the intended overall outcomes. This section may specify the kinds of data to be collected and the methods by which it will be analyzed and utilized.</i>	Alignment to NYC DOE Special Education Office goals <i>Choose the key strand that aligns to your project/activity from the drop down menu and write a brief description of how your project/activity addresses that goal.</i>
2	<p>Staff Collaboration Project</p> <p>The staff collaboration project would include scheduling and monitoring of weekly meetings with therapists and teachers as well as parents. The Assistant Education director would be responsible for scheduling and monitoring team meetings. The five lead teachers will be working directly with a consultant from Apple University who will provide training and support on protocols and facilitating meetings, including how to analyze student data. All teachers will receive 3 resource books to support this work. The school will purchase 11 iPads and provide training so that teachers can collect and submit student data in a timely manner. A data entry clerk will collect and aggregate data to facilitate analysis for teachers, therapists and administration. Teacher substitutes will help provide additional time for teachers to support this work.</p>	<p>By the end of the school year, 85% of staff will report that PD opportunities provide useful content and strategies to support student IEP goals.</p> <p>By the end of the school year, 100% of teachers will collect ongoing assessment data for students, including a sample of student work for each domain of learning and completed checklists across three collection periods throughout the school year.</p> <p>By the end of the school year, administration will create structures, including weekly team meetings, to support the analysis of data in order to monitor progress, inform instruction, increase collaboration and communicate with families.</p>	<p>The data we will be collecting and reviewing for this project includes:</p> <ul style="list-style-type: none"> • Beginning of year and end of year staff survey • Staff feedback forms from PD opportunities • Quarterly progress reports on student progress • Informal feedback from staff • Team meeting sign in sheets, agendas and notes • Student portfolios <p>Information will be analyzed and collected over three collection periods throughout the school year to determine progress toward the overall, intended outcomes for the school year.</p>	<p>QUALITY IEPs: The project will build capacity to support strategies in the classroom and therapy sessions to meet identified student needs and address IEP goals.</p>

Project/Activity #	Project/Activity Name and Design <i>Describe in detail what will take place in order to achieve desired results.</i>	Intended Overall Outcomes <i>Indicate the overall, expected outcomes of the project/activity.</i>	Evaluation <i>Describe the evaluation criteria to assess the intended overall outcomes. This section may specify the kinds of data to be collected and the methods by which it will be analyzed and utilized.</i>	Alignment to NYC DOE Special Education Office goals <i>Choose the key strand that aligns to your project/activity from the drop down menu and write a brief description of how your project/activity addresses that goal.</i>
3	<p>Database Creation and Implementation: ABC will enlist the services of a vendor to create, implement, and maintain a database using a secure server. Approved school staff and personnel will be able to access the database through a website and/or a mobile application.</p> <p>The data base will be collecting the following data points:</p> <ul style="list-style-type: none"> - Attendance Records - Related service records - Self-regulation data - Language development 	<p>By the end of the school year, 100% of teachers will collect ongoing assessment data for students, including a sample of student work for each domain of learning and completed checklists across three collection periods throughout the school year.</p> <p>By the end of the school year, there will be a school wide increase in student self-regulation skills and in appropriate language skills.</p>	<p>The data we will be collecting and reviewing for this project includes:</p> <ul style="list-style-type: none"> • Beginning of year and end of year staff survey • Staff feedback forms • Quarterly progress reports on student progress • Informal feedback from staff • Student anecdotal observations <p>Information will be analyzed and collected over three collection periods throughout the school year to determine progress toward the overall, intended outcomes for the school year.</p>	<p>QUALITY IEPs: The project will build capacity to support strategies in the classroom and therapy sessions to meet identified student needs and address IEP goals.</p>

Fiscal Year 2016 Application Budget for Vendor Funding

For each expenditure in the following codes, list the associated project/activity number from the narrative. ASEPs must carefully compare the budget to the total allocation for the year. The budget cannot exceed the total allocation, including carryover.

Code 15S: Pedagogical, Therapeutic and Other Direct Service Staff on Salary

- If more space for budget line items is needed, use the continuation sheets at the end of the application.

Project/Activity Number	Job Title	Salary (amount ASEP expects to pay this employee in FY2016)	FTE at ASEP During Year	Salary Charged to Project	Percent of Salary Charged to Project
1	Social Worker	40,000	1.0	20,000	50%
2	Teacher Substitute	20,000	.5	10,000	50%
2	Physical Therapist	60,000	1.0	6,000	10%
Total Salaries (service staff paid hourly):				36,000	

Code 15H: Pedagogical, Therapeutic and Other Direct Service Staff Paid Hourly

- If more space for budget line items is needed, use the continuation sheets at the end of the application.

Project/Activity Number	Job Title	Hourly Rate	Total Expected Hours at ASEP in FY2016	Hours Charged to Project	Salary Charged to Project	Percent of Hours Charged to Project
Total Salaries (service staff paid hourly):						

Code 16S: Support Staff on Salary

- If more space for budget line items is needed, use the continuation sheets at the end of the application.

Project/ Activity Number	Job Title	Salary (amount ASEP expects to pay this employee in FY2016)	FTE at ASEP During Year	Salary Charged to Project	Percent of Salary Charged to Project
1	Data Entry Clerk	21,000	1.0	4,200	20%
Total Salaries (support staff on salary):				4,200	

Code 16H: Support Staff Paid Hourly

- If more space for budget line items is needed, use the continuation sheets at the end of the application.

Project/ Activity Number	Job Title	Hourly Rate	Total Expected Hours at ASEP in FY2016	Hours Charged to Project	Salary Charged to Project	Percent of Hours Charged to Project
Total Salaries (support staff paid hourly):						

Code 20: Equipment

Project/ Activity Number	Item	Quantity	Unit cost	Total Cost	Amount Charged to Project	Percent of Total Cost Charged to Project
3	Database	1	38,000	38,000	19,000	50%
Total Equipment:					19,000	

Code 40: Purchased Services

Project/ Activity Number	Description of Item	Provider of Service	Describe How Cost Assigned to IDEA Was Calculated (e.g. 5 sessions@\$800/day)	Amount Charged to Project
2	Facilitative Leadership Protocol consultant	Apple University	5 sessions @ 1,350/day	6,750
2	IPad training	Tech Solutions	2,000/day	1,440
Total Purchased Services:				8,190

Code 45: Supplies and Materials

- 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”.
- If more space for budget line items is needed, use the continuation sheets at the end of the application.

Project/ Activity Number	Description of Item	Quantity	Unit Cost	Total Cost	Amount Charged to Project	Percent of Total Cost Charged to Project
1	Parent workshops	10	200	2,000	2,000	100%
2	iPads	11	699	7,689	5,536	72%
2	Protocols book 1	11	24.95	274.45	197	72%
2	Protocol book 2	11	20.00	220	158	72%
2	Observation book	11	25.00	275.00	198	72%
Total Supplies and Materials:					8,023	

Code 46: Travel

- This section includes pupil transportation for field trips and staff conference costs.

Project/ Activity Number	Title of Traveler (e.g. parent, teacher, speech therapist)	Destination and Purpose	Total cost	Amount Charged to Project	Percent of Total Cost Charged to Project
Total Travel:					

Code 80: Employee Benefits

	Amount Allocated to IDEA
Retirement	1,948
Health Insurance	6,574
Social Security	3,409
Workers’ Compensation/Disability Insurance	487
Unemployment Insurance	1,948
Tuition Reimbursement	
Merit/Retention Award	
Total Employee Benefits	14,366
Total Cost of Salaries: Code 15S + 15H + 16S + 16H	40,200
Fringe as a Percent of Project Salaries	35.7%

Fiscal Year 2016 Proposed Budget Summary for IDEA Vendor Funding

Category	Code	Sub-Total Staff Costs	Total
Service Staff on Salary	15S	36,000	
Service Staff Paid Hourly	15H	0	36,000
Support Staff on Salary	16S	4,200	
Support Staff Paid Hourly	16H	0	4,200
Equipment	20		19,000
Purchased Services	40		8,190
Supplies and Materials	45		8,023
Travel Expenses	46		0
Employee Benefits	80		14,366
Grand Total*			89,779

***Prior to submission, ASEPs should carefully compare the budget total to the total allocation for the year. The budget cannot exceed the total allocation, including carryover.**

CHIEF ADMINISTRATOR’S CERTIFICATION

I certify that I have reviewed this proposed budget and narrative, that the proposed expenditures are for the benefit of NYC DOE’s students with disabilities, and that, if approved, the incurred costs will not be reported in any other requests for funding, including as reimbursement through program tuition.

Signature: _____ Date: _____

Name (typed): _____ Title (typed): _____

Continuation Forms for Staff Salaries

Code 15S: Pedagogical, Therapeutic and Other Direct Service Staff on Salary

Project/ Activity Number	Job Title	Salary (amount ASEP expects to pay this employee in FY2016	FTE at ASEP During Year	Salary Charged to Project	Percent of Salary Charged to Project
Total Salaries (service staff on salary):					

Code 15H: Pedagogical, Therapeutic and Other Direct Service Staff Paid Hourly

Project/ Activity Number	Job Title	Hourly Rate	Total Expected Hours at ASEP in FY2016	Hours Charged to Project	Salary Charged to Project	Percent of Hours Charged to Project
Total Salaries (service staff paid hourly):						

Code 16S: Support Staff on Salary

Project/ Activity Number	Job Title	Salary (amount ASEP expects to pay this employee in FY2016	FTE at ASEP During Year	Salary Charged to Project	Percent of Salary Charged to Project
Total Salaries (support staff on salary):					

Code 16H: Support Staff Paid Hourly

Project/ Activity Number	Job Title	Hourly Rate	Total Expected Hours at ASEP in FY2016	Hours Charged to Project	Salary Charged to Project	Percent of Hours Charged to Project
Total Salaries (support staff paid hourly):						

Section 6: NYC DOE Contact Information

WRITTEN NARRATIVE OR BUDGET:

For information or support in completing the written narrative or budget, contact your assigned reviewer listed below.

Elizabeth Carpenter	718.758.7685	ecarpenter@schools.nyc.gov
Melissa Glasser	718.758.7728	mglasser@schools.nyc.gov
Shavon Paul	718.758.7659	spaul@schools.nyc.gov
Martha Toth	718.758.7643	mtoth@schools.nyc.gov

PAYMENT:

For payment inquiries, please contact Katherine Quinones at kquinon@schools.nyc.gov.

ADDITIONAL INQUIRIES:

If you need additional information or do not have an assigned reviewer, please contact Maria Robustelli.

Maria Robustelli	718.758.7644	mrobust@schools.nyc.gov
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