Annual IDEA Part B Application for Funds

Submission Instructions

# Overview

IDEA Part B Formula Grants are awarded annually to assist states in providing a Free Appropriate Public Education (FAPE) in the least restrictive environment to children experiencing disabilities ages three through 21. Each year Oregon Local Education Agencies (LEA) submit applications for these funds to help support the provision of special education services.

The Oregon Department of Education (ODE) has revised the application document to ensure its IDEA funding processes are aligned with federal and state requirements, focusing on federal and state fiscal requirements for IDEA funds. All districts are required to sign and submit an Annual IDEA Assurance Application. Only **one** Application is required from **each** district.

# What’s New

* These primary changes are found in the following worksheets in the application:
* The addition of a budget amount and narrative request for eligibility purposes
* The addition of a new federal requirement to describe steps to ensure equitable access to and participation in programming
* The addition of an option for an LEA to accept the IDEA award
* The addition of an option for an LEA to waive its IDEA funds
* The addition of criteria an LEA must meet to receive reallocated funds
* Updated Program & Data assurances
* Updated Fiscal Risk Assessment
  + Annually, a fiscal risk assessment must also be completed for each LEA based on a variety of data elements. We have revised this fiscal risk assessment in order to more accurately capture risk levels. The risk assessment has the same format as the 2022-23 application. However, some questions have been updated.

# Contact Information

Please direct all questions or comments to the Office of Enhancing Student Opportunities’ IDEA Fiscal Team:

| Topic | Contact | Email |
| --- | --- | --- |
| IDEA or State Regulations and Statutes | Thea Donovan | [Thea.donovan@ode.oregon.gov](mailto:Thea.donovan@ode.oregon.gov) |
| IDEA or State Regulations and Statutes | Rae Ann Ray | [Raeann.Ray@ode.oregon.gov](mailto:Raeann.Ray@ode.oregon.gov) |
| Electronic Grants Management | Rae Ann Ray | [Raeann.Ray@ode.oregon.gov](mailto:Raeann.Ray@ode.oregon.gov) |
| IDEA Allocations, MOE, Excess Cost | Thea Donovan | [Thea.Donovan@ode.oregon.gov](mailto:Thea.Donovan@ode.oregon.gov) |
| Assurance Submissions | - | [ODE.IDEAAssurances@ode.oregon.gov](mailto:ODE.IDEAAssurances@ode.oregon.gov) |
| General Questions | - | [ODE.IDEAFinance@ode.oregon.gov](mailto:ODE.IDEAFinance@ode.oregon.gov) |

# Instructions

The workbook and all tabs are password protected to prevent editing the content outside of the blue fields.

## Updates

Please read this tab to review updates to the application and reallocation procedure.

## Agency Information

This tab is the starting point. It contains a place to enter details about the LEA/District, shows the estimated allocations for the selected district, by program, and begins to ask some questions. This is where districts will indicate what bucket of funds they are applying for.

All fields except for Person Completing the Application has specific field requirements or are limited to a list of choices.

### Fields:

* LEA (District) – this is a drop-down list of District names. Select the district the application is for from the list.
  + Once the district has been selected, additional information will be displayed such as the Estimated Gross Allocations and the current Contact Information we have for specific positions at the district.
* Person Completing the Application – Enter the name of the person preparing the application for the agency listed.
* Phone – Enter the phone number of the person preparing the application.
* Email – enter the email of the person preparing the application.
* The LEA is a member of an IDEA Consortium: - enter Yes or No.
  + If the district answers “Yes,” additional questions appear.
  + Consortium Manager is an ESD: - enter Yes or No
  + Consortium Manager: – this is a drop-down list of ESD or District Names. Select the name of the Fiscal Agent from that list.

## Contact Information

This tab is not required.

There is space here for three positions: Superintendent, Business Official, and Special Education Director. The information at the top of the tab is collated from multiple sources including the IDEA Data Manager and Listserv lists. Superintendent does not have to be someone with the actual position of Superintendent but could be the next higher authority or their designee. For example, if a district does not have a Superintendent, then the next highest may be someone on the district’s board like the Chair. If you need assistance with filling this information out, please contact us.

The second section has input fields for any contact information that is no longer correct. Each line is clearly marked with the information necessary. If the contact information displayed in the top section is accurate, this information is not necessary. However, if the district is aware of any planned changes and has that information, they may provide it here.

### Fields

* The first section contains the most recent contact information the OESO has. The district should verify the contact information is correct.
  + If any of this information is not accurate for any contact position, they may provide updated information for that position in the second section.
* The second section provides space for the first section’s information to be updated. Districts should only fill out the information that needs to be changed. For example, if the Superintendent’s phone number has changed, the preparer should only enter information in the Phone 1 and Phone 1 Extension fields in the Superintendent column.

## Equity Assurances

This is a new tab in response to recently updated federal requirements under the General Education Provisions Act (GEPA) (20 U.S.C. 1228a) for subgrantees to describe the steps proposed to ensure equitable access to and participation in programming. All four questions must be answered individually or through a single narrative. If your district already has a GEPA statement prepared, you may use that.

## MOE (Maintenance of Effort)

This tab is not required. It is merely a preview of the data used for MOE determinations and letters that will be sent to districts later.

This tab is large, contains a lot of information, and some may find it overwhelming. Please reach out to us if you have any issues with this tab or need assistance. We look forward to partnering with you on this work. This tab is not required to be filled out it is merely here for your district’s information. Overall, this tab provides information on MOE by showing the last five available fiscal years of data and providing space for the district to enter allowable exceptions. This tab will be blank until a district is selected on the Agency Information tab.

There are three main sections to this tab: Maintenance of Effort, Maintenance of Effort Summary, and Exceptions to Maintenance of Effort.

* Maintenance of Effort - Provides an overview of MOE and the two required tests.
* Maintenance of Effort Summary – This table shows 16 columns ordered by Fiscal Year. Until a district is selected on the Agency Information tab, this section will be blank.
  + The table shows the Child Count (based on the count of children used for the 11% Cap Waiver)
  + A State and Local Amount expended broken out by District (LEA) and ESD contribution with a total, the shortfall (if any), and the MOE result for that fiscal year.
  + A State and Local Per Capita expended broken out by District (LEA) and ESD contribution with a total, the shortfall (if any), and the MOE result for that fiscal year.
  + Finally, a section that shows the IDEA Award, by section, for that fiscal year and the Repayment amount (if any)
* Exceptions to Maintenance of Effort – This section provides details on allowable exceptions on the left and the calculation for MOE for the fiscal year at the bottom of the summary table on the right.

The fields on this tab are entirely optional. If the district does fill out any of the fields, they will need to submit documentation supporting the exception. If the district has already provided such documentation prior to this application, you do not need to send it in again.

### Fields

#### Exception (a) – Departure of Special Education or related services personnel.

##### Departing Personnel:

* Position ID – this should be the ChkDigitStfID used in the Staff Position Collection.
* Reason for Leaving – should be a short description of why the person is no longer being charged to or paid under Fund 100, Area of Responsibility 320. Can be such things as Retired, Quit, Moved to another district, Fired for cause, Accepted another position, etc. If we need more details than that, we will reach out.
* Salary – the amount of Salary to be claimed. Preparers may enter the full amount here if they do not know of any Benefits or the position did not have Benefits.
* Benefits – optional field for districts to enter the position’s benefits paid.

##### Replacement Personnel

* Position ID – this should be the ChkDigitStfID used in the Staff Position Collection.
* Salary – the amount of Salary to be claimed. Preparers may enter the full amount here if they do not know of any Benefits or the position did not have Benefits.
* Benefits – optional field for districts to enter the position’s benefits paid.

#### Exception (b) – Decrease in the enrollment of children with disabilities

This section is automatically calculated and no additional information is needed.

#### Exception (c) – The termination of the obligation to provide an exceptionally costly program.

* SSID – this should be the student’s ChkDigitStdntID used in the December 1 Child Count in the school year that aligns with the fiscal year (fiscal year 2018-2019 is school year 2018-2019).
* Reason for Leaving – Enter either Moved, Aged out, or No longer needs the program.
* Expenditure – the cost of the program.

#### Exception (d) – The termination of costly expenditures for long-term purchases.

* Description of Purchase – a short description of the purchase.
* Expenditure – the amount expended in the final year of paying for the purchase.
  + For example, if a district built a facility and spread the cost out over three years. In year 1 they spent $75,000, in year 2 they spent $25,000, and in the 3rd and final year they spent $30,000, the district would enter $30,000 here.

## Fiscal Assurances

This tab is where specific fiscal assurances are held.

### Maintenance of Effort (MOE) Eligibility Standard

Once the district is chosen in the Agency Information tab, the amounts a district **must** budget from state and local funds are displayed here for the State and Local Total and State and Local Per Capita methods by District and ESD expenditures. When determining whether the district can meet the amounts shown, they must take into account **all State and Local funds**, including **Education Service District (ESD) Resolution Dollars**. Districts must then enter their 2023-2024 budget for Fund 100, Areas of Responsibility 320 and 251. The application will then auto populate the per capita amount. The cells will turn green or red based on whether the district meets the eligibility requirement. Districts must make a selection from the Significantly Disproportionate drop down and include the mandatory CCEIS budget if they have been identified. If a district is reserving funds for CEIS, they must enter that total in the “Optional CEIS Budget” cell. Additionally, districts are now required to provide a brief budget narrative in this section.

Districts must still provide an assurance in the Budget Meets MOE field – The district may choose one of three options:

* No, the LEA’s budget will not or does not currently meet the eligibility standard.
* Yes, the LEA’s budget will or does currently meet the eligibility standard.
* Yes, the LEA’s budget will or does currently meet the eligibility standard, but my LEA is using Local Funds only.

### Fiscal Controls

LEAs must ensure specific fiscal controls and whether the system they use accounts for these controls. Available answers are:

* No, the LEA’s fiscal controls cannot account for funds in a manner consistent with the above requirements.
* Yes, the LEA’s fiscal controls currently account for funds in a manner consistent with the above requirements.

If the LEA selects No, the application may be disapproved.

### Coordinated Early Intervening Services (CEIS)

This section is for both voluntary CEIS and Comprehensive (mandatory) CEIS. Until the LEA enters their name on the Agency Information tab, no option in this box may be selected.

The district must assure that they understand the CEIS cap is 15% of their IDEA award.

### Time and Effort Reporting

LEAs must use a system that complies with federal time and effort reporting requirements. Options available are:

* No, the LEA will not use a substitute system
* Yes, the LEA will use a substitute system and the LEA's management:

If yes is chosen, additional required actions are shown.

### Funding Elections

State statutes require the ODE to verify how LEAs will pay for certain programs operated by the state. Regional programs (ORS 343.236), Oregon School for the Deaf (ORS 343.236), and Long Term Care and Treatment Services (ORS 343.961). This section asks LEAs to specify how they will arrange payment for each program.

Note: If the LEA selects to retain funds for any of these elections, they will be required to provide additional actions and/or documentation prior to the first day of school in their LEA.

Regional Program Services Funding. The LEA has the option to retain IDEA fund allocations for the purposes of providing services to students with low incidence or high need disabilities served by Regional Inclusive Services Contracts.

* The LEA elects to have their IDEA fund portion of regional services directly allocated to the Regional Services contract by the Oregon Department of Education.
* The LEA elects to retain IDEA fund allocations for the purposes of providing services to students with low incidence or high need disabilities.

Oregon School for the Deaf (OSD). The LEA has the option to retain IDEA fund allocations for the purposes of providing services to students who attend the Oregon School for the Deaf (OSD).

* The LEA elects to have IDEA fund portion of OSD services directly allocated to the OSD contract by the Oregon Department of Education.
* The LEA elects to retain IDEA fund allocations for the purposes of providing services to students who attend OSD.

Long Term Care and Treatment Services (LTCT) Funding. The LEA has the option to retain IDEA fund allocations for the purposes of providing services to students who attend LTCT sites within their boundaries.

* N/A - The District does not have an approved LTCT site within its boundaries.
* The district management elects to have IDEA fund portion of LTCT services directly allocated to the contract managed by the Oregon Department of Education.
* The district management elects to retain IDEA fund allocations for the purposes of providing services to students who attend LTCT sites within their boundaries.

## FAPE Assurances

This tab contains IDEA FAPE assurances. This section outlines assurances to some general and specific sections of the IDEA including, but not limited to; a Free Appropriate Public Education (FAPE), the Individualized Education Program (IEP) form, placement, identification, and document retention.

These assurances were previously listed as one whole compliance measure, but the ODE has separated each component to ensure districts are able to provide assurance for the individual requirements.

Options for the IDEA FAPE Compliance fields:

* No, the LEA is unable to assure its compliance with the general IDEA compliance section.
* Yes, the LEA assures it will comply with the general IDEA compliance section.

## Program and Data Assurances

### Data Collection, Analysis, and Reporting

LEAs are required to collect and report data to the ODE. This section has the following options:

* No, the LEA is unable to assure its compliance with the data collection, analysis, and reporting section.
* Yes, the LEA assures it will comply with the data collection, analysis, and reporting section.

## Program Policies

### Use of Public Benefits or Insurance

This section provides details for the use of public benefits such as Medicaid.

Available options are:

* No, the LEA is unable to assure its compliance with the Use of Public Benefits section.
* Yes, the LEA assures it will comply with the Use of Public Benefits section.

### Other Policies

This section provides for additional assurances not included elsewhere such as, but not limited to; adequate training, assessments, education equity, and Americans with Disabilities Act.

Choices available:

* No, the LEA is unable to assure its compliance with the Other Policies section.
* Yes, the LEA assures it will comply with the Other Policies section.

### National Instructional Materials Accessibility Standards (NIMAS)

LEAs must assure they will adhere to the NIMAS standards for instructional materials. Available choices are:

* The LEA assures it will provide print instructional materials to blind persons or other persons with print disabilities in a timely manner without coordination with the National Instructional Materials Access Center (NIMAC).
* The LEA will coordinate with the National Instructional Materials Access Center (NIMAC) when purchasing print instructional materials.

## Charter Schools

This tab provides assurances related to Charter Schools. This section must be filled out even if the LEA does not currently have a charter school within its boundaries. This section essentially asks the LEA to assure that it will treat its public charter schools as it does any other public schools within its boundaries.

The Charter Schools field has the following options:

* The LEA assures it treats its charter schools the same as public schools and the LEA does not allocate IDEA Part B funds directly to the public schools of the LEA, including their Charter Schools.
* The LEA assures it treats its charter schools the same as public schools and the LEA does allocate IDEA Part B funds directly to the public schools of the LEA, including their public charter schools.
* The LEA cannot assure it treats its charter schools the same as public schools.

If the LEA does currently have a charter school operating within its boundaries, they will be shown in a table starting at row 16. For each Charter school in the LEA, they must assure NIMAS/NIMAC standards for each by selecting one of the following options for each Charter school:

1. The district assures the Charter School will provide print instructional materials to blind persons or other persons with print disabilities in a timely manner without coordination with the National Instructional Materials Access Center (NIMAC).
2. The district assures the Charter School will coordinate with the National Instructional Materials Access Center (NIMAC) when purchasing instructional materials.

If the LEA has any Charter schools in the district not listed in the table starting in row 16, they must enter the Charter school name and assurance option in the table starting in row 27. Any Charter schools listed in this table must also be on file with the Institution Database Advisory Team (IDAT) prior to or in conjunction with submission of the application.

## Private Schools

This tab details two aspects of Private School involvement: Children placed by the LEA or ESD and Children placed by Parents. This tab must be filled out even if the LEA does not place children in private schools or have private schools within its boundaries.

### Children Placed in Private Schools by a LEA or ESD

LEAs must assure that these children are treated the same as children in a public school. Available options are:

* No, the LEA is unable to assure its compliance with the LEA/ESD Placed Private Schools section.
* Yes, the LEA assures it will comply with the LEA/ESD Placed Private Schools section.

### Children Placed in Private Schools by Parents

LEAs must assure multiple aspects of providing equitable services to Parentally Placed private school students. If a LEA had such children and reported them in their December 1, Child Count, an estimate of their Proportionate Share amounts will be provided here.

The available options for the Parent-Placed Private Schools field are:

* No, the LEA is unable to assure its compliance with the Parent-Placed Private Schools section.
* Yes, the LEA assures it will comply with the Parent-Placed Private Schools section.

## Fiscal Risk Self-Assessment

This tab is for providing the ODE with the LEA’s annual Fiscal Risk Self-Assessment. Points range from 0 to 69. A higher score is indicative of lower risk. Scores of 56 or higher are possible low risk. Scores between 41 and 55 are considered medium risk. Scores less than 40 are considered high risk.

The questions are broken up into two sections, high risk indicators and monitoring. High risk indicators are areas that have a greater chance of affecting overall fiscal risk.

The first three items are high risk indicators and are scored at 0 points for option A,1 point for option B, 2 points for option C, or 3 points for option D. The next 10 items are monitoring indicators and are scored 0 points for option A, 2 points for option B, 4 points for option C, and 6 points for option D. The first three monitoring indicators do not have an option A.

Each indicator is listed on the left in column B, across columns C through F are the option statements and the score for each answer choice. When choosing your answer, select the option that best describes your district’s experience for the indicator listed. Once an answer choice is selected, the corresponding description is highlighted in orange. Please ensure that your choices are the most accurate for your district, and if you are unsure where your district falls on the scale, reach out to our IDEA fiscal team and we will work together to determine the best choice.

### High Risk Indicators

If any of the positions named are held by the same person or one position is responsible for more than one of these indicators, answer the same for all responses where the positions are held by a single person.

* Turnover in key fiscal personnel
* Turnover in Special Education Director
* Written Policies and Procedures in compliance with Uniform Grant Guidance and IDEA Part B Requirements (cost principles, procurement, time and effort, inventory management, cash management, record keeping, etc.) Written policy examples would be an electronic and/or physical document describing how your district implements and complies with Uniform Grant Guidance, EDGAR, and IDEA

### Monitoring Indicators

* Age K-21 Special Education Enrollment
* Timeliness of claims
* Size of the IDEA Part B 611 and 619 Award from recent fiscal years
* Maintenance of Effort data
  + Failed MOE means to fail by all methods.
  + Passed MOE means to pass by at least one method.
* Identified as Significant Disproportionate and budgeted for CEIS in the 2021-2022 and/or 2022-2023 school years.
* Budgeted Proportionate Share Costs for Parent-Placed Private School Students
* On time and accurate data reporting including Excess Cost
* Audits - Corrective Actions from most recent completed audit
  + Single audits or IDEA Finance team audits.
* Reverting IDEA funds AND/OR IDEA Carryover for all grants in the 2022-2023 fiscal year.
  + Reverted means the LEA did not spend some portion of the grant funds before the grant ended.
* Financial Management System
  + Substantially changed means large in amount, size, or number of changes.
  + Signatures

## Late Inaccurate

This tab is to be used as a reference for the fiscal risk assessment. The ODE collects publicly available data related to the timeliness and accuracy of data submissions, including Excess Cost. Please find your district on this chart and select your fiscal risk score based on this information.

## Signatures

This tab is the signature section where signatories may elect to use an electronic signature or print, sign and date, scan, and attach to the submission emailed to [ODE.IDEAAssurances@state.or.us](mailto:ODE.IDEAAssurances@state.or.us). This tab is also where a district will indicate whether it will accept or waive its IDEA funds and which of the criteria, they meet to accept reallocated funds.

There are three sections for signing.

* Preparer – Only fill in this information if the person who filled out the other tabs of the form is different than the Superintendent/Authorized Representative. A preparer is not an authorized representative.
* Superintendent/Authorized Representative – A space for the Superintendent or their authorized representative to sign. An authorized representative must have “one up” signature authority meaning someone above the Superintendent level if no Superintendent exists.
* Business Official – this space is for the LEA’s business official who is able to attest to the financial aspects of the form.

### Acceptance of Funds

Here a district will select whether they will accept their IDEA funds, accept their IDEA funds *and* request additional reallocated funds, or waive their IDEA award.

If a district would like to accept its IDEA award and request additional reallocated funds, it must meet one of the reallocation criteria. These criteria do not indicate fiscal risk but do establish a need for additional funding.

If a district would like to waive its IDEA award, the IDEA fiscal team with confer with the IDEA program team to ensure that all FAPE and program requirements are being met. If a district is unable to ensure compliance with all FAPE and program requirements, it may not waive its IDEA funds.

### Reallocation of Funds Criteria

If an LEA chooses to request additional reallocated IDEA funds, it must meet one of the reallocation criteria. These criteria are used to establish a need for additional funds and do not affect fiscal risk.

### Electronic Signatures

An LEA may use an e-ink signature for signing this form. The following steps are taken from the Microsoft Office Support “[Insert a Signature](https://support.office.com/en-us/article/insert-a-signature-f3b3f74c-2355-4d53-be89-ae9c50022730)” website. The signatory must select “Yes, I consent” in the Consent to Electronic Signature field.

Alternatively, the LEA may print this page, sign, date, and then scan back to an electronic PDF to submit along with the application.

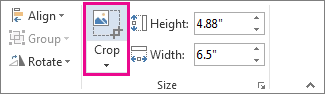
#### Create and insert a handwritten signature

You need a scanner to do this.

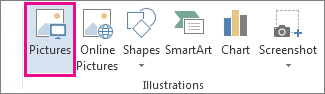
1. Write your signature on a piece of paper.
2. Scan the page and save it on your computer in a common file format: .bmp, .gif, .jpg, or .png.

For information on how to use your scanner, use the manufacturer’s manual or Web site.

1. Open the image file.
2. To crop the image, click it to open the Picture Tools **Format** tab, click **Crop**, and then crop the image.



1. Right-click the image, and then click **Save as Picture** to save the picture as a separate file.
2. To add the signature to a document, click **Insert** > **Pictures**.



## Special Education Director Questions

This is a one-time only tab for the IDEA program staff to collect information without creating an additional form for districts and inducing a greater burden. These questions do not affect the fiscal risk score. If you have any questions regarding this tab, please contact Jennifer Eklund-Smith at [Jennifer.eklund-smith@ode.oregon.gov](mailto:Jennifer.eklund-smith@ode.oregon.gov).

# Submission to ODE

Send the Excel version of the application and any additional documents the application identifies as attachments to [ODE.IDEAAssurances@ode.oregon.gov](mailto:ODE.IDEAAssurances@ode.oregon.gov). Please include your district name as chosen in the application in the subject line and append “IDEA Application 2023-24” to the end. For example: “Beaver Falls SD 14 IDEA Application 2023-24”

Updated May 2023