Annual IDEA Part B Assurances and 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.

Agencies that are not directly responsible for providing Free Appropriate Public Education (FAPE), but who contract with the ODE will no longer be required to submit the assurances nor the application for funds. The assurance language will be included in their contracts as amendments or will be included in any new contracts executed by the ODE. This language will be non-negotiable as it is a requirement of receiving funds from this federal grant.

# What’s New

With guidance and direction from the Office of Special Education Programs (OSEP) and the Center for IDEA Fiscal Reporting (CIFR), the Annual IDEA Assurance Application has substantial changes.

* Application Format:
	+ The application has moved from a word or pdf document to an Excel form.
	+ There are a total of 9 tabs, or sheets. These tabs are loosely based on the prior form and groups various sections of the assurances into related topics. Some sections have been moved as a result.
	+ Each tab is placed in order from left to right in the order to be filled out. Tabs may be reviewed prior to entering information, but some input fields may not have data entered until the Agency Information tab is filled out.
	+ All fields in Blue must be filled out. Some sections of the form will change depending on answers provided in prior sections.
	+ Every tab except for “Contacts Information” and “MOE” must be filled out completely for applications to be approved.
* Application for Funds:
	+ Districts must specify that they are actively applying for specific funds.
	+ In prior years, districts refused funds. This option was removed in the 2019-20 application after guidance from federal partners and technical assistance. After further review with those same partners, we present the option of *applying* for funds.
	+ For each bucket of funds, Section 611 (ages 3-21) and Section 619 (ages 3-5) the district must indicate on the form that they are applying for the specified funds.
	+ This is not the same as refusing funds. This form provides applicants a clear notice of the amount of funds they are entitled to up front. These funds will not automatically be reallocated, but will be earmarked for reallocation according to the reallocation process described in the Oregon IDEA Allocations Manual.
* Fiscal Assurances:
	+ Budget: Districts must assure that their general fund budget for special education will meet or exceed the last year they met Maintenance of Effort (MOE). The most recent information is provided on the Fiscal tab. Districts will **not** need to provide their actual or planned budget numbers.
	+ Fiscal Risk Assessment:
		- In November, 2019, the ODE sent out a Fiscal Risk Assessment intended for School Districts who received IDEA funds to help us determine their level of fiscal risk and to determine IDEA fiscal monitoring priorities.
		- We have moved this form to this application process so that it is a bit more streamlined and will automatically calculate certain aspects of Fiscal Risk.
	+ Maintenance of Effort:
		- The MOE tab shows the last five years of available MOE expenditure and MOE statuses broken out by District and ESD amounts.
		- This tab will be used to provide districts with their initial MOE status for the fiscal year identified in the MOE tab.

# 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 | James Foutch | James.foutch@state.or.us |
| IDEA or State Regulations and Statutes | Rae Ann Ray | Raeann.ray@state.or.us |
| Electronic Grants Management | Michelle Choate | Michelle.choate@state.or.us |
| IDEA Allocations | Richard Sherman | Richard.sherman@state.or.us |

# Instructions

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

## 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.
* LEA is applying for Section 611 (Age 3-21) funds – enter Yes or No.
* LEA is applying for Section 619 (Age 3-5) funds – enter Yes or No.
	+ If No is chosen, the Estimated Allocations table will show a strike through the amount shown for the LEA/District column for that section and the section amount will be reduced from the Total Allocation field.
* The LEA designates an external agency as its Fiscal Agent for the EGMS system: - enter Yes or No.
	+ If the district answers “Yes,” additional questions appear.
	+ Fiscal Agent is an ESD: - enter Yes or No
	+ Fiscal Agent – this is a drop-down list of ESD or District Names. Select the name of the Fiscal Agent from that list.

## Contact Information

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, the may provide the 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.

## MOE (Maintenance of Effort)

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 truly 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.

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.

### 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.
* 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

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 assure that they can budget at least the same amount as the amount in the Minimum Total Budget.

Budget Meets MOE field – The district may choose one of three options and additional instructions will be displayed depending on the option chosen:

* 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 assure to 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.

If the LEA was identified with Significant Disproportionality, the LEA will only have one option here.

* The LEA is required to reserve 15% of their Gross IDEA funds for Comprehensive CEIS

If the LEA was not identified with Significant Disproportionality, the LEA will have two options.

* No, the LEA will not use its funds for CEIS
* Yes, the LEA will reserve funds for CEIS

### 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 “Yes” to 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:

* No, 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.
* Yes, 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):

* No, the LEA elects to have IDEA fund portion of OSD services directly allocated to the OSD contract by the Oregon Department of Education.
* Yes, 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)

* N/A - The District does not have an approved LTCT site within its boundaries.
* No, the district management elects to have IDEA fund portion of LTCT services directly allocated to the contract managed by the Oregon Department of Education.
* Yes, the district management elects to retain IDEA fund allocations for the purposes of providing services to students who attend LTCT sites within their boundaries.

## Data Collections and Programs

### 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

### General IDEA Compliance

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.

Options for the General IDEA field:

* 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.

### 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 schools in 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, which are intended to be a completion of the statement “The LEA assures that it provides special education and related services to the public schools of the LEA (including current and future Charter 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 allocates IDEA Part B funds directly to the public schools of the LEA, including their public charter 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 to multiple aspects of providing equitable services to Parentally-placed private school students. LEAs may enter the appropriate child count numbers in the spaces provided in order to see an estimate of their Proportionate Share for each section of IDEA funds.

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

This tab is for providing the ODE with the LEA’s annual Fiscal Risk Self-Assessment. Of the 19 minimum questions, one is calculated for you based on Maintenance of Effort data the ODE has on hand at the time of the publication of the application. There are an additional seven that should not be answered unless prior questions are answered “Yes”. Points range from 0 to 38. A lower score is indicative of lower risk. Scores of 30 or higher are possible high risk. Scores between 14 and 30 are considered medium risk. Scores less than 14 are considered low risk. Each question is a Yes or No answer.

## 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. 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 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.

### Electronic Signatures

A LEA may use a 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.

#### 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**.

