

# IDEA Funding Application: Grants Management and ESS



***ADE Team!***

Grants Management  
Exceptional Student Services

# Norms



*Silence all electronic devices*

*Respect everyone's voice*

*Allow everyone to have a voice*

*Create a trustworthy environment*

*Limit sidebar conversations*

*Be an active participant*

# Table of Contents



Introductions.....	09:00 am – 09:10 am
Agenda.....	09:10 am – 09:15 am
GME.....	09:15 am – 09:45 am
Break.....	09:45 am – 09:55 am
ESS.....	09:55 am – 10:55 am
Hands-on Workshop..	10:55 am – 12:30 pm

# Grants Management



**Katarina Pena, Grants Training Supervisor**



# Grants Management Access

ADE ▾
 PARENTS & STUDENTS ▾
 SCHOOLS & TEACHERS ▾
 ADE CALENDAR
 COMMON LOGON
 **ADECONNECT**

HOME
 ALL PROGRAMS
 SCHOOL REPORT CARDS

## Arizona Department of Education

1

### ADEConnect

[Home](#)
[News](#)

**Application 411:**  
 A-F CCRI Self Reporting is not open for data entry - For data contact Accountability Inbox: [Achieve@azed.gov](mailto:Achieve@azed.gov)  
 Phone: 602.542.5151

- [-] Arizona Department of Education - 79275
  - Event Management System (EMS)
  - Grants Management ?**
- [-] Independent Applications - 1

2

GME Home	<b>GME Home</b>
Administer	Benjamin Franklin Charter School (078754000) Charter District
Search	
Inbox	
Entity Information	

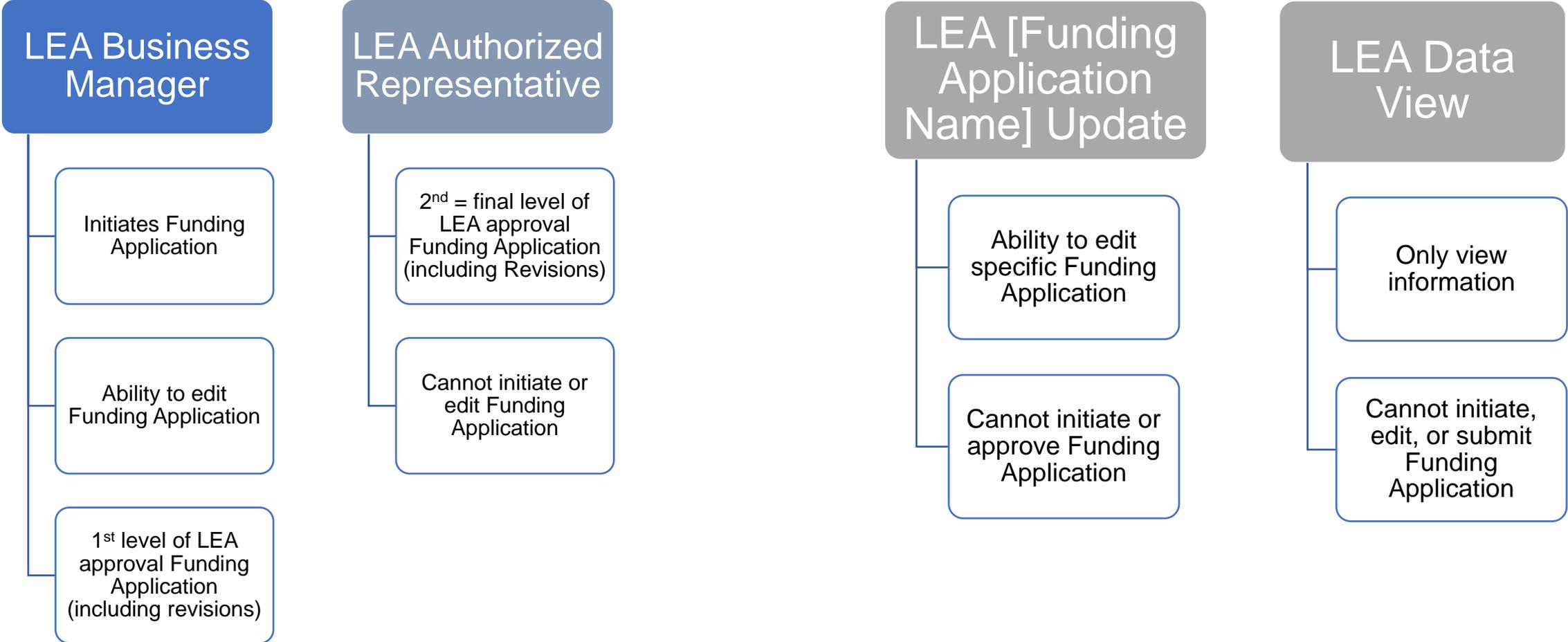
Associated Organizations

Organization Number	Organization Name
078754000	<b>Benjamin Franklin Charter School</b>

3



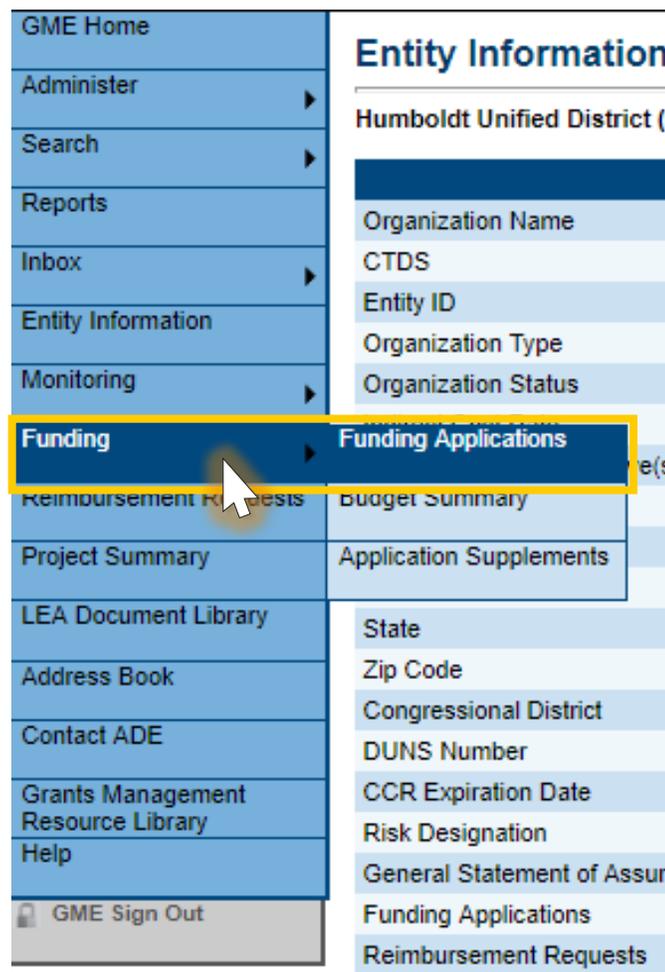
# GME Roles – Funding Application (FA)





# Finding Funding Applications

- Select Funding Application on Entity Information page *OR* hover over main menu's Funding tab and select Funding Applications from the submenu
- Funding Applications page has a fiscal year and application status filters – select the appropriate options





# Funding Application Types

<b>Stand-alone</b>	<b>Consolidated</b>
<ul style="list-style-type: none"><li>• FA that contains only one grant</li></ul>	<ul style="list-style-type: none"><li>• FA that contains 2 or more grants</li></ul>

<b>Entitlement Funding Application</b>	<b>Competitive Funding Application</b>
<ul style="list-style-type: none"><li>• Allocation exists at the time of application</li><li>• Allocation becomes available with Program Director approval of submitted FA</li></ul>	<ul style="list-style-type: none"><li>• No allocation exists at the time of application</li><li>• LEAs proposed budget becomes allocation with Program Director approval of submitted FA</li></ul>



# Funding Application Types

<b>District-Level Funding Application</b>	<b>Site-Based Funding Application</b>
<ul style="list-style-type: none"><li>• Contains one (district) Budget per grant</li></ul>	<ul style="list-style-type: none"><li>• Contains one Budget for each school/site included in the FA</li><li>• You must select Add Grant Application to add each site that will apply for funding</li><li>• <b>Do not</b> add the sites that won't be applying for funding</li></ul>



# Funding Application Sections

## Sections

Arizona School For The Arts (078722000) Charter

Application Status: **Not Started**

Change Status To: [Draft Started](#)

[View ADE History Log](#)

[View Change Log](#)

**Description** ( [View Sections Only](#) [View All Pages](#) )

All
<input type="checkbox"/> <b>History Log</b>
<a href="#">History Log</a>
<a href="#">Create Comment</a>

<input type="checkbox"/> <b>Allocations</b>
<a href="#">Allocations</a>
<input type="checkbox"/> <b>Funding Disclaimer</b>
<a href="#">Funding Disclaimer</a>
<input type="checkbox"/> <b>IDEA - Basic</b>
<a href="#">Budget</a>
<a href="#">Budget Overview</a>
<a href="#">FFATA &amp; GSA Verification</a>
<a href="#">Program Information / Instruction</a>
<a href="#">Contact Information</a>
<a href="#">Program Narrative Questions</a>
<a href="#">Assurances</a>
<a href="#">Capital Outlay Worksheet</a>
<a href="#">Related Documents</a>

<input type="checkbox"/> <b>IDEA - Preschool Grant</b>
<a href="#">Budget</a>
<a href="#">Budget Overview</a>
<a href="#">FFATA &amp; GSA Verification</a>
<a href="#">Program Information / Instruction</a>
<a href="#">Contact Information</a>
<a href="#">Program Narrative Questions</a>
<a href="#">Capital Outlay Worksheet</a>
<a href="#">Related Documents</a>
<input type="checkbox"/> <b>Substantially Approved Dates</b>
<a href="#">Substantially Approved Dates</a>
<input type="checkbox"/> <b>IDEA Consolidated - Entitlement Checklist</b>
<a href="#">IDEA Consolidated - Entitlement Checklist</a>
All

**New in FY20**



# Capital Outlay Worksheet (COW) Enhancement

- IDEA - Basic
  - Budget
  - Budget Overview
  - FFATA & GSA Verification
  - Program Information / Instruction
  - Contact Information
  - Program Narrative Questions
  - Assurances
  - Capital Outlay Worksheet**
  - Related Documents

- If your Budget includes any capital items, you need to provide the information in Capital Outlay Worksheet page
- Instruction & information for districts and charters per USFR guidance is included
- Total per each Object Code on COW page needs to match the total for those Object Codes in Budget page
- No capital items in budget? Leave the page blank!

## Capital Outlay Worksheet

Mesa Unified District      Public District - FY 2020 -

Go To

### Capital Outlay Worksheet

Quantity	Cost per Unit	Tax, Shipping & Handling	Object Code	Item Description	Purpose	Total
<input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	Please select... ▼	<input type="text"/>	<input type="text"/>	\$ <input type="text"/> 0.00



# Before You Get SEA Director Approval...

## **Annual Requirements:**

### *Completion Report*

- Must be finalized for previous FY IDEA grants
- E.g. for FY20 FA approval, FY18 CR must be completed

### *Self Assessment*

- Must be submitted to allow for SEA Director Approval
- Deadline is May 15, 2019

### *General Statement of Assurances (GSA)*

- Must be accepted to allow for SEA Director Approval
- Deadline is May 15, 2019

### *Maintenance of Effort Eligibility Test*

## **Consider:**

### *Indirect Cost*

- FY20 Indirect Cost Rate has to be approved before it can be included in the funding applications
- If approved *before* FA is draft started, it can be included on the original FA! = No revision needed!
- If approved *after* FA is drafted, Revision to the original FA is needed to include the Indirect Cost



# Communication in GME

## Create Comments

### *Transparency*

- Viewable to ADE and LEA, becomes public view upon approval
- Not affected by staff turnover

### *Timely & Clear Communication*

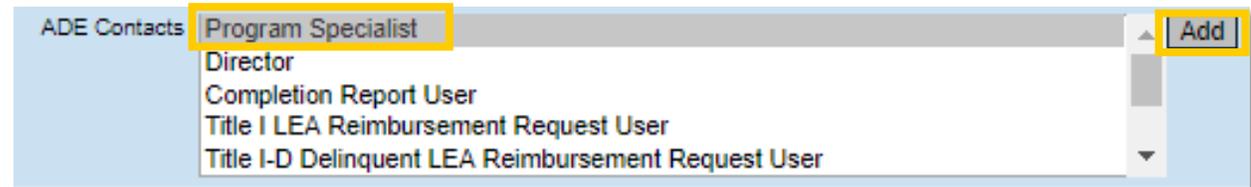
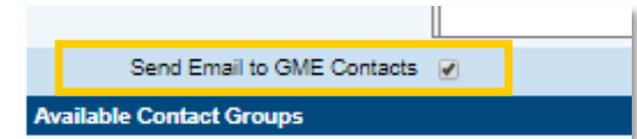
- No lost emails or hold time on the phone
- Clear expectations communicated by program areas & Grants Management

### *Must Be Emailed To Appropriate Users!*

- No lost emails, hold on the phone

## History Log

- Records all status changes and comments in that specific application
- Both applicant (LEA) and ADE (SEA) can enter comments
- Comments can not be edited or deleted and they become public when application is approved



# Exceptional Student Services

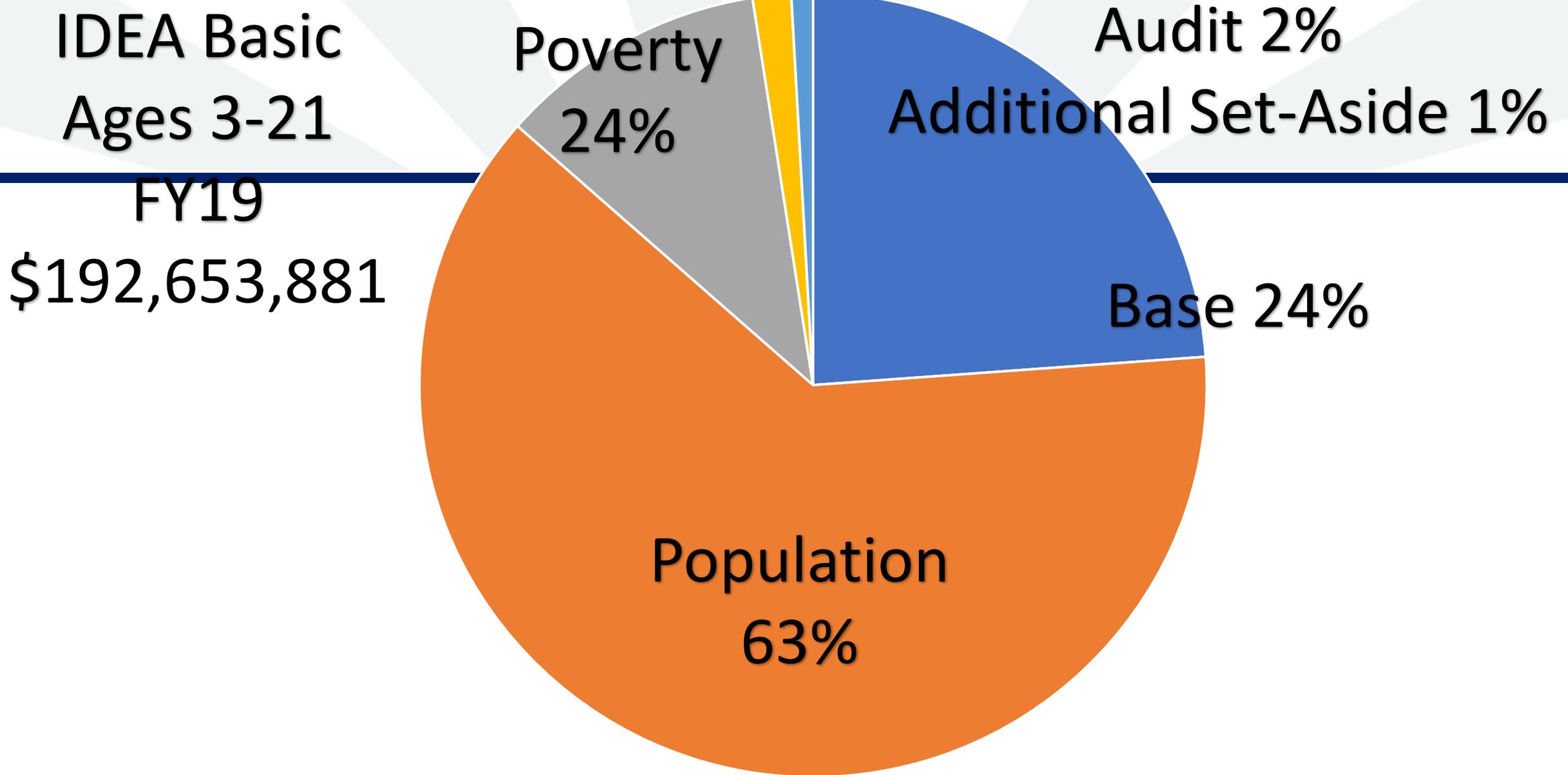


**Candice Trainor, Lead Program Management Specialist**

# IDEA Funding

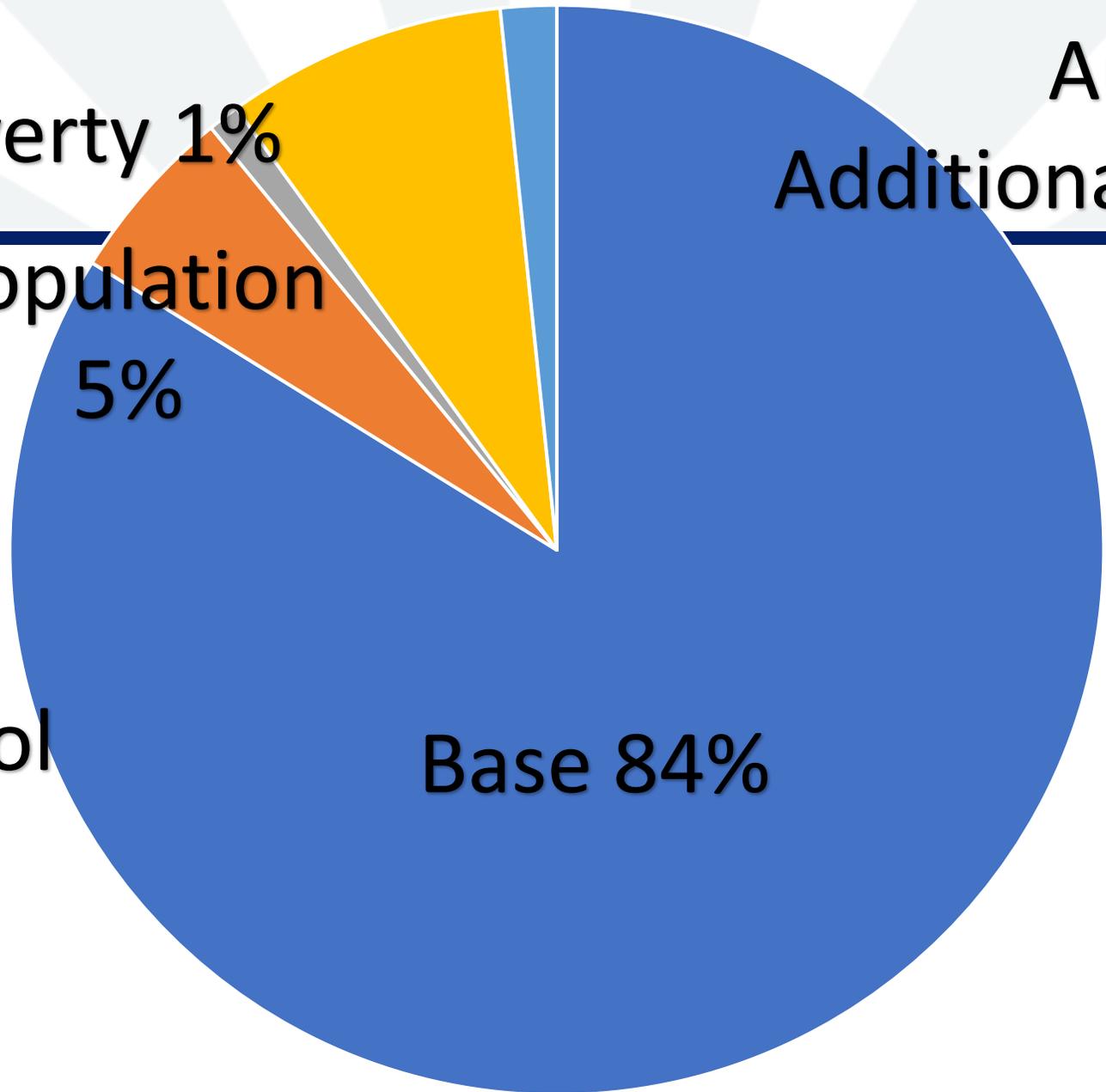


Grant	CFDA Number	FY19 Amount	FY19 Student Count
Basic – Section 611, ages 3-21	84.027	\$ 192,653,881	1,154,081
Preschool – Section 619, ages 3-5	84.173	\$ 4,480,945	1,004,330



■ Base ■ Population ■ Poverty ■ Audit Resolution ■ Additional Set-Aside

IDEA Preschool  
Ages 3-5  
FY19  
\$ 4,480,945



■ Base ■ Population ■ Poverty ■ Audit Resolution ■ Additional Set-Aside



# Purpose of IDEA Grants

To assist local and public education agencies in assuring that all children with disabilities (ages 3-21) have available to them a free appropriate public education which emphasizes special education and related services designed to meet their unique needs

IDEA Preschool is a grant dedicated to students who are receiving special education services and are ages 3-5

The funds under Part B may be used for the **excess cost** of providing special education and related services



# Excess Cost

The excess cost requirement means that the LEA/PEA must spend a certain minimum amount for the education of its children with disabilities before Part B funds are used.

Children served with Part B funds must have at least the same average amount spent on them from sources other than Part B as do children in the LEA/PEA as a whole.

As required by IDEA Part B regulations, IDEA funds are to be used for the excess cost of providing special education. Only allowed costs may be charged to the flow-through or preschool entitlement grants.

In the absence of special education needs, would this cost exist?

Yes

The cost is not an excess cost

Not allowed

No

The cost is an excess cost

May be eligible

Is this cost also generated by students without disabilities?

Yes

The cost is not  
an excess cost

Not allowed

No

The cost is an  
excess cost

May be eligible

If it is a child specific service, is the service documented in the student's IEP?

No

The cost is not  
an excess cost

Not allowed

Yes

The cost is an  
excess cost

May be eligible

# Overview of Application and Approval Process



## PEA submits Application

Programmatic Review – completed by ESS and ECE specialists,  
funding applications are returned for edits as needed

MOE Eligibility testing window begins on 7/16/19

Pass

Fail

Returned to PEA for Budget

## SEA Director Approved

Reimbursement Requests and Revisions as needed

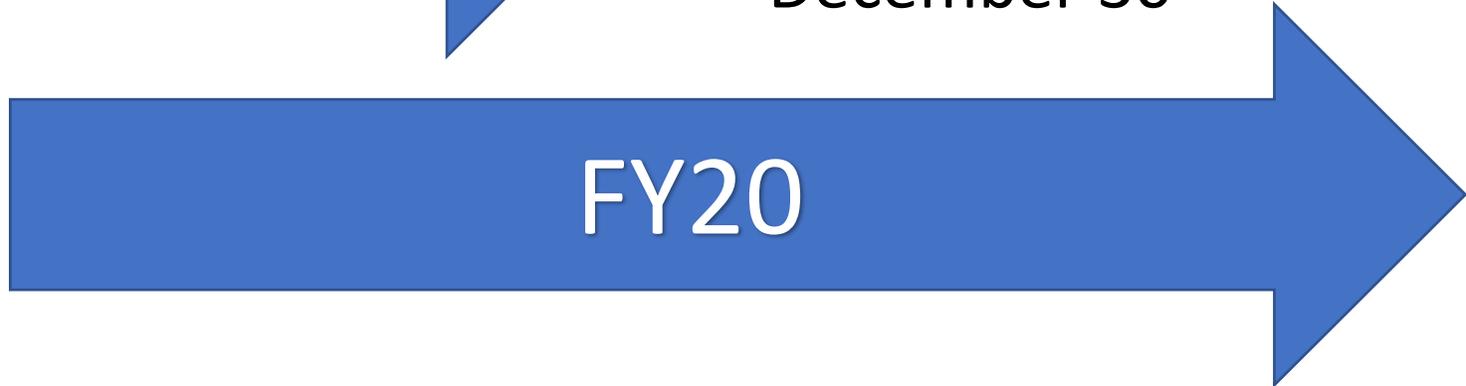


# Timeline of IDEA Grants

## 15 month project period



- March 1
- May 1
- July 1
- July 16
- September 30
- December 30





# Programmatic Review of IDEA Grants

Programmatic Review performed by ECE and ESS Specialists and Directors

Budgets are reviewed for allowable expenses under the IDEA

Proportionate Share and CEIS should be detailed in separate budget line items

Capital Outlay Worksheets are required for specific object codes



# Proportionate Share

For District Schools Only

October 1 Count from the prior school year and adds to overall population for all parentally placed private school students within district boundaries

Pays for equitable services for students 3-21 and 3-5 age groups

District can determine which services will be offered

Carryover = use it or lose it

# Coordinated Early Intervening Services



Determined by PEA's Significant Disproportionality test

Mandatory – 15% of Basic and Preschool Allocations must be used for students not included in the SD categories

Voluntary – Up to 15% of Basic and Preschool Allocations may be used for students without disabilities

Use of Voluntary CEIS funds may affect your PEA's ability to use Exception F in Maintenance of Effort



# Maintenance of Effort

- The local maintenance of effort (MOE) requirement obligates any local educational agency (LEA) receiving IDEA Part B funds to budget and spend at least the same amount of local — or state and local — funds for the education of children with disabilities on a year-to-year basis
- Spending must be maintained from year-to-year from non-federal sources
- State must also maintain spending from year-to-year on children with disabilities
- Ensures that supplanting over a period of time does not occur with federal funds replacing state funds
- Annual Financial Reports (AFR) system is used for budgets or expenditures

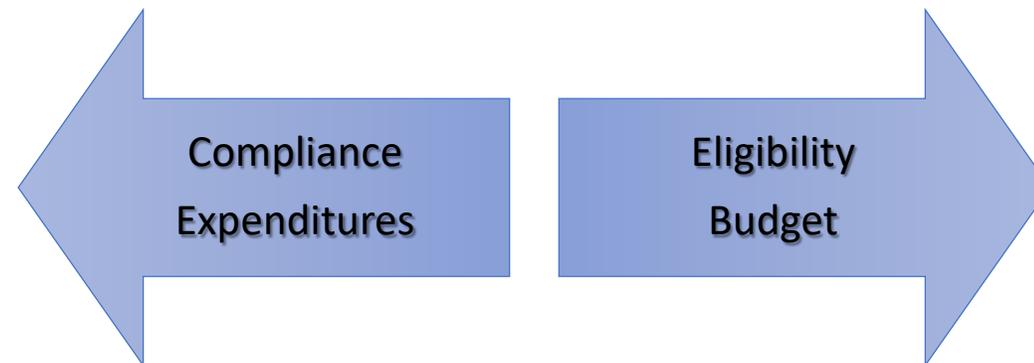


# Maintenance of Effort

Eligibility & Compliance are nearly identical in testing except one is a pre-test and one is a post-test

Eligibility (pre-test) - the LEA budgets for the education of children with disabilities in the same amount as it expended in comparison years

Compliance (post-test) – the LEA did not reduce the level of expenditures for the education of children with disabilities





# Maintenance of Effort

## IDEA Fund Eligibility Test

Fiscal Year: 2019

Entity ID:

LEA (CTDS):

Status: Pending

Exception Year: 2019

Calculate with allowed exceptions/reductions?

	Overall	Method 1 Local Cost	Method 2 2016 State and Local Cost	Method 3 Local Per Capita Cost	Method 4 2017 State and Local Per Capita Cost
2019 Amount		N/A	\$181,274.00	N/A	\$3,687.43
Comparison Year Amount		N/A	\$182,361.00	N/A	\$4,832.94
Difference		N/A	(\$1,087.00)	N/A	(\$1,145.51)
2019 SPED Count				N/A	49.1600
Total Difference		N/A	(\$1,087.00)	N/A	(\$56,313.49)
Status	<b>Not Met</b>	N/A	<b>Not Met</b>	N/A	<b>Not Met</b>





# Maintenance of Effort

## IDEA Fund Eligibility Test

Fiscal Year: 2019

Entity ID: [REDACTED]

LEA (CTDS): [REDACTED]

Status: Closed (Met)

Exception Year: 2019

	Overall	Method 1 Local Cost	Method 2 2017 State and Local Cost	Method 3 Local Per Capita Cost	Method 4 2017 State and Local Per Capita Cost
2019 Amount		N/A	\$43,631,285.00	N/A	\$9,837.47
Comparison Year Amount		N/A	\$40,280,712.00	N/A	\$9,141.14
Difference		N/A	\$3,350,573.00	N/A	\$696.33
2019 SPED Count				N/A	x 4,435.2142
Total Difference		N/A	\$3,350,573.00	N/A	\$3,088,371.28
Status	Met	N/A	Met	N/A	Met



# Allowable Costs Under the IDEA

<http://bit.ly/IDEAallowables>

ESS guide for allowable budget requests for IDEA Basic and IDEA Preschool grants

Located on CMS, updated annually



## Allowable Costs for IDEA Entitlement Grants

Expenditure Guidelines for IDEA Basic Funds



# Personnel and Contracted Vendors

- Certified Special Education Teachers / Certified Early Childhood Special Education Teachers
- Instructional Assistants working under Certified Special Education Teachers
- Behavior Specialists
- Job Coaches
- Related Service Providers (Speech, Occupational and Physical Therapies)
- School Psychologists



# Personnel and Contracted Vendors

- Substitute Teachers to cover for Special Education Teachers during professional development or other training activities
- Audiologists
- Bus driver and/or monitors
- Educational Interpreters
- IEP Team Coordinators
- Consultant Services – may require note about certification or licensure



# Supplies and Equipment

- Assessments and Evaluations to be administered by PEA staff or contracted vendors (tablets/devices are also permissible)
- Assistive Technology Devices
- APPs (Applications for devices such as tablets and laptops that are assistive technology)
- Maintenance of Special Education Equipment
- Office Equipment – allowed if the equipment is exclusively used by special education staff

Don't forget about Capital Outlay Worksheet!



# Supplies and Equipment

- Accessible Playground Equipment – additional costs of making a playground accessible to children with disabilities are allowed.
- Instructional Supplies or Software to supplement general education curriculum that aligns with students' IEP goals
- Software for IEP Development
- Child Find public awareness, notices, screening

# Professional Development and Other Costs



- Registration fees, travel, and conference expenses associated with special education
- Crisis Prevention Training
- Memberships, dues, and fees
- Magazines, Books, or Online Subscription for Professional Development
- Tuition paid to Approved Private Day Schools

# IDEA Funds May NOT Be Used To Purchase:



- Classroom space rental
- District administrator salaries/benefits
- Seclusion rooms
- Medicaid school-based services program
- Summer school that is not ESY
- Food, unless aligned to IEP for life skills training



# USFR and USFRCS

**<http://bit.ly/AZUSFR>**

**This is the Uniform System of Financial Records for Arizona School Districts (updated 2/19) in Adobe Acrobat. The USFR is the accounting and financial reporting manual for Arizona school districts.**

**<http://bit.ly/AZUSFRCS>**

**This is the Uniform System of Financial Records for Arizona Charter Schools (updated 1/19). The USFRCS is the accounting and financial reporting manual for Arizona charter schools.**

# Budget Narratives



Specificity is Important

Remember requirements of coding according to  
USFR/USFRCS

Revise as your Scope of Work changes

# Table Talk



On the next few slides, you'll discuss with your table what part of the budget narratives would be considered questionable by an ESS or ECE Program Specialists.

Can you determine what the feedback would be in a history log comment?



# Common Coding or Budget Errors

“To fund contracted highly qualified special education teachers and special education classroom paraprofessional and special education instruction aides working under the direct supervision of a highly qualified special education teacher to provide instruction to our special education population”



# Common Coding or Budget Errors

“Fees for professional development for special education teachers  
Substitutes for HQ special education teachers in the special education  
classroom

Costs for proportionate share services for private school students qualifying  
with a disabilities.

Substitutes for HQ special education paraprofessional under the supervision  
of HQ special education teachers

Contract Services to provide individual education evaluations (IEE) per IDEA”

# Common Coding or Budget Errors



“Funds used to pay for paper, binders, dividers, highlighters, folders etc. used in the Special Education and Speech rooms.”

# Common Coding or Budget Errors



“Funds used to pay for paper, binders, dividers, highlighters, folders etc. used in the Special Education and Speech rooms.”

# Common Coding or Budget Errors



“Student supplies to include computer program subscriptions”



# Common Coding or Budget Errors

## Coding

### **1000 vs. 2100 vs. 2300**

- Know which role is being fulfilled at each of these function codes

### **6737 vs. 6739 vs. 0190**

- Charter Schools meeting equipment threshold may use 0190
- Districts must use USFR designations

### **6300 vs. 6500**

- Conference Registration Fees vs. Conference Travel Costs

# Which of these LEA employees can be funded through IDEA Entitlement funds?



Certified  
Special  
Education  
Teacher



Principal



Federal  
Programs  
Director



Superintendent

Job Coaches



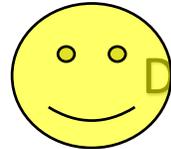
Speech-  
Language  
Pathologist



# Which of these costs could be paid through IDEA Entitlement Funds?



Child Find  
public  
awareness,  
notices,  
screening



Automatic  
Door Openers



Contracted  
OT and PT  
services



Due Process  
Hearings



Software for IEP  
Development



Accessible  
playground  
equipment

# Which of these costs can be proportionately funded through IDEA?



Crisis  
Prevention  
Training



PE Teachers



School Bus  
Drivers



Site-Based  
Councils



Adapted  
Furniture in  
General  
Education  
Classrooms



School-wide  
Staff  
Development  
Activities

# Questions for ECE and ESS Program Specialists



**[eceinbox@azed.gov](mailto:eceinbox@azed.gov) – Early Childhood**

**[essprogmgmt@azed.gov](mailto:essprogmgmt@azed.gov) – ESS Program Management**

**[grants@azed.gov](mailto:grants@azed.gov) – Grants Management**



# What Does Your Work Look Like?

## **Log into GME**

- ADEConnect -> GME
- Select your organization

## **Select an IDEA funding application**

- Work on information input in GME
- Ask for feedback (select the areas challenging for you)

## **Want more time? Another set of eyes?**

- Keep the FA in “Draft Started” status

## **Ready to submit?**

- LEA Business Manager Approved -> LEA Authorized Representative Approved

# Conclusion



## Follow the structure

- Information input in GME

## Grants

- Draft them the best you can
- Consult with your Program Area – History Log

## Submit for Approval

- Before May 1, 2019

# Resources



***We look forward to serving your LEA grant & programmatic needs!***

**<https://gme.azed.gov/>**

**<https://www.azed.gov/grants-management/>**

**<http://www.azed.gov/specialeducation/operations>**