

Indiana Education Scholarship Account Program

# PROVIDER HANDBOOK

2022-23 School Year

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## Indiana ESA

### Provider Handbook

Dear Educational Service Providers,

We thank you for your interest in the Indiana Education Scholarship Account Program. Our office is thrilled to stand alongside other states across the nation who have launched education scholarship accounts. We value the opportunity to offer options for educational flexibility to Hoosier students living with disabilities through administration of this brand-new, state-wide school choice initiative.

Your participation in the Indiana Education Scholarship Account Program demonstrates your dedication to providing high quality service to Hoosier students. Offering a widespread array of Participating Entities will present Eligible Students with a variety of choices that will support their K-12 educational experience while strengthening their preparedness for the road ahead.

We strongly encourage you to consider the benefits of becoming a Participating Entity.

- The services you provide become more accessible for families;
- You encourage the process of helping families seek services that meet the unique needs of their children;
- You enhance your business's exposure to families across the state; and
- You promote an individualized educational experience for Eligible Students enrolled in ESA.

Our team is committed to offering information, guidance, and collaboration to all providers who are considering participating and all Participating Entities who have been approved to accept Education Scholarship Account funds. Our Outreach and Engagement Coordinator is dedicated to ensuring program awareness and understanding and can be contacted to inform, train, and assist your organizations and the families you support. Please let us know how the Education Scholarship Account Program team can support your community and the educational pathways you pave.

Kelly Mitchell


Treasurer of State

# CHAPTER 1: INTRODUCTION

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## Purpose of the Provider Handbook

The purpose of this handbook is to provide Participating Entities with information regarding policies, guidelines, and requirements of the Indiana Education Scholarship Account (ESA) Program. The resources included herein will help you understand: (1) how to apply to become a Participating Entity; (2) how you may provide up-to-date information regarding services you provide to Eligible Students and their families; (3) how to receive payments from and interact with established student accounts; (4) program expectations, requirements, and guidelines; and (5) how to access supports available to you.

*The vast majority of this handbook applies to all Participating Entities. However, sections indicated with the following symbol  will also provide information specifically for Qualified Schools.*

## Handbook Updates

This handbook is created by ESA staff with input from the Indiana Department of Education (“DOE”), the ESA Advisory Council, and other partners. This handbook will be reviewed regularly. Policies can and will be added and/or redacted in response to newly enacted legislation, court decisions, and/or suggestions for best practices, in which case ESA staff will notify Participating Entities of any change(s) and their effective date(s) via the ESA website and/or through email. **Always be sure to check the date located on the bottom of the first page of this Handbook to ensure that you have the most current version.**

## Indiana Education Scholarship Account Program

The Indiana ESA Program was established in 2021 to provide Eligible Students in Indiana with state education funding dollars that may be used for pre-approved expenses related to their education. Our mission is to provide Indiana’s students with disabilities tax-free scholarship money that may be used for pre-approved expenses related to their education. These additional funds will help families customize their child's education to meet their individual, unique learning needs.

By applying and becoming approved for an ESA, families of Eligible Students, or emancipated Eligible Students may use their deposited funds for pre-approved educational expenses, such as tuition and fees to Qualified Schools, public schools, or other participating entities, programs, therapies, services, and other expenses related to the student’s education at pre-approved service providers (Participating Entities). ESA funds and the accounts associated with them are administered by the Indiana Treasurer of State (TOS).



Click [here](#) or the video above to learn more!

## Provider vs Participating Entity

In this document and all other literature from the Indiana ESA Program, we have attempted to keep the information applicable to all entities no matter where they are in the process of signing up. Providers are individuals or entities who provide services to students. Participating Entities are providers who have signed up for and been approved to accept payment from ESA accounts for the provision of those services. To become a Participating Entity, a provider must comply with the statutory provisions<sup>1</sup> and by following the guidance of this Handbook.

## Stay Informed

The ESA team invites all providers to sign up for updates to the program, as well as other news and information by visiting the [provider page](#) of our website and clicking the link to join our [mailing list](#). Subscribers will receive newsletters containing program information, events, and more. We encourage all providers to follow our [Facebook](#) and/or [LinkedIn](#) page for additional program information and updates. Please encourage families of Eligible Students to visit our [Parent Page](#).

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<sup>1</sup> IC 20-51.4

# Resources and Support

Information regarding Participating Entities in Indiana ESA will be available within this handbook or on the Providers' Page of our [website](#). Should additional general questions or concerns about the program arise, you may contact Indiana ESA staff at (317) 232-0723 or email [esa@tos.in.gov](mailto:esa@tos.in.gov). If providers have specific concerns regarding their ESA account or ClassWallet account, they should issue a ticket through their dashboard portal for an Account Specialist to further look into and resolve the matter. Once you are registered in the portal, you will be able to submit tickets through our support tab. More information on this process can be found later in [Chapter 5](#).

Participating Entities should submit a support ticket if they encounter any difficulties with the following:

- ✓ Uploading a required document
- ✓ Adding a new Service or Qualifying Expense
- ✓ Updating their Marketing Profile logo or summary
- ✓ Submitting an updated Employed Provider List
- ✓ Questions regarding renewal
- ✓ Questions regarding required documentation

Participating Entities should contact the ESA team at [esa@tos.in.gov](mailto:esa@tos.in.gov) if they encounter an instance such as the following:

- ✓ Needing more information regarding the program
- ✓ Interest in hosting an information session for staff or families at their center
- ✓ Would like to receive brochures or flyers for families at their location
- ✓ Questions regarding student or provider eligibility
- ✓ All other questions not regarding applications, the application portal, or the account management portal



## CHAPTER 2: ELIGIBILITY

### Who is Eligible?

A “**Participating Entity**”<sup>2</sup> refers to an individual or entity authorized by the Indiana Treasurer of State to participate in the program.

The following individuals or entities may become a Participating Entity<sup>3</sup> by submitting an application to the Treasurer of State through our portal through the process described in Chapter 5:

- (1) A Qualified School.
- (2) An individual who or tutoring agency that provides private tutoring.
- (3) An individual who or entity that provides services to a student with a disability in accordance with an individualized education program developed under IC 20-35 or a service plan developed under 511 IAC 7-34 or generally accepted standards of care prescribed by the Eligible Student’s treating physician.
- (4) An individual who or entity that offers a course or program to an Eligible Student.
- (5) A licensed occupational therapist.
- (6) An entity that provides assessments.



Click [here](#) or the video above to learn more!

<sup>2</sup> IC 20-51.4-2-6

<sup>3</sup> IC 20-51.4-5-2



### Qualified Schools

A “Qualified School”<sup>4</sup> refers to a nonpublic school accredited by either the state board or a national or regional accreditation agency that is recognized by the state board:

- (1) to which an Eligible Student is required to pay tuition to attend; and
- (2) that agrees to enroll an Eligible Student.

Each Qualified School that becomes a Participating Entity, and accepts payments for tuition and fees from an Indiana ESA account **must administer the applicable statewide assessment** to Eligible Students, unless otherwise prescribed by the students IEP, Service Plan (developed under 511 IAC 7-34), or Choice Special Education Plan (developed under 511 IAC 7-49).<sup>5</sup>

Any nonpublic schools already participating in the Choice Scholarship Program will still need to apply to become a Participating Entity in the Indiana ESA Program. Qualified Schools will be required to provide their school number upon application. They will also need to designate a single person to act as a representative during the application process.

Tuition and fee payments for Eligible Students enrolled in a Qualified School will be paid prior to other Qualified Expenses being approved.

Freeway Schools – Will be required to provide the statewide assessment in order to be considered a Qualified School. If the school elects not to provide the statewide assessment, a Freeway School may still apply to be a Participating Entity as a Business Entity and collect payments subsequent to services rendered.

### Private Tutoring

An individual or tutoring agency that provides private tutoring may apply to become a Participating Entity. An individual or tutoring agency that provides private tutoring services to an Eligible Student must hold one of the following credentials: an Indiana State Teaching License or a Bachelor’s Degree in a related field, i.e., elementary education or related subject area such as math, science, reading etc.

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<sup>4</sup> IC 20-51.4-2-10

<sup>5</sup> IC 20-51.4-5-3

### **Service Providers**

An individual or entity that provides a service or therapy to a student with a disability as part of their individualized education program (IEP), service plan, or as prescribed by the Eligible Student's treating physician may apply to become a Participating Entity.

### **Course or Program Providers**

An individual who or entity that offers a course or program to an Eligible Student may apply to become a Participating Entity. A course is a unit of teaching that typically lasts one academic term, is led by one or more instructors (teachers or professors), and has a fixed roster of students. A course usually covers an individual subject. The term program means any curriculum or any combination of unit courses or subjects pursued at an educational institution which is generally accepted as necessary to fulfill the requirements for the attainment of a predetermined and identified educational objective. Some examples include Cambridge International courses and International Baccalaureate courses. Cambridge International AS & A Level courses and exams prepare US high school students with the knowledge and skills they need to succeed in college and university. More information can be found [here](#).

### **Occupational Therapists**

A licensed occupational therapist may apply to become a Participating Entity, and may offer occupational therapy services to a student with a disability. Occupational therapists are health care professionals specializing in occupational therapy and occupational science. Occupational Therapy involves the therapeutic use of everyday activities, or occupations, to treat the physical, mental, developmental, and emotional ailments that impact a patient's ability to perform day-to-day tasks. As such, an occupational therapist is a practitioner who uses therapeutic techniques to improve, rehabilitate, or maintain a patient's ability to perform everyday activities. Occupational therapists must have a valid license to practice in Indiana.

### **Assessment Providers**

Entities that provide assessments may apply to become a Participating Entity. Assessment providers may offer Eligible Students with assessments or examinations such as national norm referenced or criterion referenced examinations; advanced placement examinations, or College-Level Examination Program (CLEP) examinations; or statewide assessments associated with industry recognized credentials.

Norm-referenced tests are specifically designed to rank test takers on a "bell curve," or a distribution of scores that resembles, when graphed, the outline of a bell—i.e., a small percentage of students

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performing well, most performing average, and a small percentage performing poorly. Tests that measure performance against a fixed set of standards or criteria are called criterion-referenced tests. Criterion-referenced test results are often based on the number of correct answers provided by students, and scores might be expressed as a percentage of the total possible number of correct answers. Examples of norm-referenced tests include the SAT, IQ tests, and tests that are graded on a curve. Examples of criterion-referenced tests include Advanced Placement (AP) exams and the National Assessment of Educational Progress.

The College Level Examination Program (CLEP) is a credit-by-examination program that measures a student's level of comprehension of introductory college-level material and consecutively earn college credit. More information on CLEP may be found [here](#).

A list of statewide assessments can be found [here](#).

## Participating Entity Requirements

As will be described further in [Chapter 5](#) below, all Participating Entities will fall into one of three categories upon application: Individuals, Business Entities, or Qualified Schools, and each will have special requirements.

### **Individual Providers**

An individual provider is an individual who holds a license, certification, or accreditation who is not employed or acting in accordance with a business entity. An individual provider will be required to provide an active professional license and/or any other certifications they may hold to verify their ability to provide the services they have indicated on their application. An individual provider shall provide a business license, if applicable. Indiana does not have any one single, comprehensive business license. A business license can come in the form of Articles of Incorporation for a corporation, a non-profit charter, etc. A Tax Exemption Certificate alone is not acceptable. An individual provider shall also provide a fee schedule for any services they intend to provide as a Qualified Expense. An individual provider is one with no employees providing Qualified Expenses. **An individual provider cannot be related to the Eligible Student for whom the Qualified Expenses are provided.**

### **Business Entities**

A business entity means a corporation, association, partnership, limited liability company, limited liability partnership, or other legal entity. Business entities will be required to submit a business license and any proof of accreditation that they may hold upon application. Indiana does not have any one single, comprehensive business license. A business license can come in the form of Articles of

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Incorporation for a corporation, a non-profit charter, etc. A Tax Exemption Certificate alone is not acceptable. A business entity shall provide a fee schedule for any services they intend to provide as a Qualified Expense. They will also need to designate a single person to act as a representative during the application process. A Business Entity shall provide an employee provider list, including the names, license or certification number, and National Provider Identifier (NPI) number for all employees providing Qualified Expenses. For a business entity, the individual provider administering the Qualified Expenses cannot be related to the Eligible Student receiving the invoiced services.



### Qualified Schools

Qualified Schools will be required to provide their school number upon application. They will also need to designate a single person to act as a representative during the application process.

## Eligible Students

### Student Eligibility



Resident of Indiana

Student with a disability, with IEP or Service Plan

Between the ages of 5 & 22

Meets income requirement

An “**Eligible Student**”<sup>6</sup> must be at least 5 years of age and less than 22 years of age as of August 1 for the school year they plan to participate in the Indiana ESA program; is an Indiana resident; is a student with a disability at the time the account is established and requires special education and for whom an individualized education program (IEP); a service plan; or a choice special education plan; has been developed; and who meets the annual income qualification requirement for a choice scholarship<sup>7</sup> student (please reference [Appendix A](#)).

<sup>6</sup> IC 20-51.4-2-4

<sup>7</sup> IC 20-51-1



Click [here](#) or the video above to learn more!

## CHAPTER 3: QUALIFIED EXPENSES

A Participating Entity may only accept payments from an Education Scholarship Account for “**Qualified Expenses**.”<sup>8</sup> Qualified Expenses are costs for education-related services, programs, and therapies provided by an Indiana ESA provider for which scholarship grants may be used. This includes tuition and fees at schools and other education providers; training programs and camps; fee-for-service transportation; supplemental services and therapies; costs associated with paraprofessionals; and fees for state assessments. Participating Entities will identify which qualifying expenses they can provide at the time of application. ESA funds may not be used for post-secondary expenses. A more detailed explanation of each category can be found below.

**All expenses must be paid after services are provided except for tuition and fees at a Qualified School.**



Click [here](#) or the video above to learn more!

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<sup>8</sup> IC 20-51.4-2-9

### Tuition and Fees

ESA funds may be used for tuition and fees at a Qualified School, public school, or other Participating Entity. ESA funds may also be used for tuition and fees at training programs and camps that have a focus on: vocational skills, academic skills, life skills, independence, or soft job skills that are character traits and interpersonal skills that characterize a person's relationships with other people.

Note: Any Participating Entity, *other than a Qualified School*, that is invoicing for tuition and fees must do so in arrears, or after the specified period on the invoice for which services have already been rendered. Also, any Participating Entity invoicing for tuition and fees must submit their tuition and fees policy into their account. See the chart below for some additional details on what is required in the policy.



The following provides guidance to Qualified Schools regarding which fees may be included and which discounts may be applied to the tuition and fees amount entered as a Qualified Expense. The amounts of fees and discounts are determined by your school's governing body.

The school's tuition and fees policy and rates must be included in the Qualified School application. All discount policies should be included. Any changes to the school's tuition and fees policy and rates must be submitted in your account portal.

A Qualified School may not charge Eligible Students tuition and fees that are in amounts that differ from what the Qualified School charges similarly situated non-ESA students. All fees and discounts must be applied uniformly to all students.

**The following chart is intended as guidance, addresses the most common discounts and fees, and is not all inclusive.**

Fees	
<b>Include:</b>	<b>Exclude:</b>
<ul style="list-style-type: none"><li>• Tuition</li><li>• Book Fees*</li><li>• Educational Field Trip Fees**</li><li>• Activity Fee**</li><li>• Technology Fees</li><li>• Registration/Application/Enrollment Fees</li></ul>	<ul style="list-style-type: none"><li>• Non-Educational Field Trip Fees</li><li>• Room and Board Fees</li><li>• Athletic Fees</li><li>• Optional Fees</li><li>• Extra-Curricular Fees***</li><li>• Other Non-Educational Fees</li><li>• Late Fees</li><li>• Early Withdrawal Fees</li><li>• Sports/Athletic Fees</li><li>• Uniform Fees</li><li>• Meal Fees</li></ul>

\*If book fees are included in the amount submitted on an Eligible Student's invoice, the school cannot submit a request to the IDOE for Curricular Materials Assistance.

\*\* Educational Field Trips and/or Activity Fees should have a focus in the academic areas of reading, grammar, mathematics, social studies, or science, OR should have a focus vocational skills, academic skills, life skills, independence, or soft job skills.

\*\*\* While extra-curricular fees are NOT eligible as part of tuition and fees, they would be eligible as a Qualified Expense under: "(5) Services contracted for and provided by a school corporation, charter school, magnet school, or qualified school," which would be paid in arrears.

Discounts	
<b>Include:</b>	<b>Exclude:</b>
<ul style="list-style-type: none"><li>• Parishioner/Denominational</li><li>• Sibling</li><li>• Employee</li></ul>	<ul style="list-style-type: none"><li>• Fundraising</li><li>• SGO Award Amount</li><li>• Internal Financial Assistance (Needs Based)</li><li>• Scholarships</li></ul>



### **Assessments or Examinations Fees**

ESA funds may be used for fees associated with the following assessments or examinations: national norm referenced or criterion referenced examinations, advanced placement examinations, or College-Level Examination Program (CLEP) examinations, or statewide assessments associated with industry recognized credentials.

### **Educational Services**

ESA funds may be used to pay Participating Entities providing educational services to Eligible Students with a disability. Educational services are classes, programs, activities or other services designed to provide education to a student. The services are provided by instructors or teachers, who teach, supervise, explain, demonstrate, and provide direct learning. This may include courses or programs, such as Cambridge International courses and International Baccalaureate courses.

### **Paraprofessional or Educational Aids**

ESA funds may be used to pay fees associated with the use of paraprofessional or educational aides when indicated in the student's IEP, service plan, or choice special education plan. There are no meaningful differences between the two titles, and, typically, it is an individual school district, or other educational setting, that will use one term or the other to describe the position. Both jobs provide classroom support for lead teachers. The qualifications and certifications are the same. An educational aide provides support to a lead teacher in an educational environment. Also known as teacher's aides, or paraprofessionals, these professionals may reinforce lessons by supplementing instruction provided by a lead educator to individual students or small groups. Paraprofessionals or educational aids must have: an associate's degree or higher (copy of degree or transcripts required); 60 or more college credit hours from an accredited school (transcript required); and pass a test (ACT WorkKeys, ParaEducator, Praxis ParaPro).

### **Services Provided by Schools**

ESA funds may be used to pay for services contracted for and provided by a school corporation, charter school, magnet school, freeway school, or Qualified School, including: (1) individual classes; (2) extracurricular activities or programs; or (3) any additional programs, resources, or staffing defined in the student's education plan. Public schools, charter schools, freeway school, and magnet schools that would like to offer individual courses, programs, or extracurricular activities will be required to provide their school number upon application.

**Note:** Students may not be enrolled in a public school, magnet school, or public charter school and also participate in the Indiana ESA Program.

### Occupational Therapy

ESA funds may be used to pay for occupational therapy for a student with a disability, provided by a licensed Occupational Therapist, in accordance with the Eligible Student's IEP<sup>9</sup> or service plan<sup>10</sup>.

### Transportation

ESA funds may be used to pay for fees for transportation paid to a fee-for-service transportation provider for the Eligible Student to travel to and/or from an approved special education service provider. The term "fee-for-service transportation provider" refers to a transportation agency or entity that provides transportation to and from a Participating Entity.

For billing purposes, a trip is defined as transporting an Eligible Student from the initial point of pick-up to the drop off point at the final destination. Transportation must be the least expensive type of transportation available that meets the needs of the Eligible Student. Trips must be billed according to the level of service rendered and not according to the vehicle type. Providers must bill for all transportation services provided to the same Eligible Student on the same date of service on one invoice. If the Participating Entity makes a round trip for the same Eligible Student, same date of service, and same level of service, both runs should be submitted on the same invoice with two line items to indicate a round trip.

**Note:** Transportation fees are capped at seven hundred fifty dollars (\$750) of the annual grant amount received unless the parent of an Eligible Student receives a waiver from this limit.<sup>11</sup>

### Additional Services and Therapies

ESA funds may be used to pay for any additional services and therapies in accordance with the Eligible Student's IEP, service plan, choice scholarship program, or as prescribed by the Eligible Student's treating physician in accordance with generally accepted standards of care to improve outcomes for the student, in addition to any services currently being provided by the school, insurance, or the Medicaid program.

The following is not an exhaustive list of potentially approvable services or therapies:

- Aquatic Therapy
- Music Therapy
- Applied Behavior Analysis

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<sup>9</sup> Developed under IC 20-35

<sup>10</sup> Developed under 511 IAC 7-34

<sup>11</sup> IC 20-51.4-4-7

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- Mental Health Therapy
- Physical Therapy

## Virtual Services

A Participating Entity may only accept payment from an Eligible Student's account for the following virtual services:

- Occupational Therapy for a student with a disability, provided in accordance with the Eligible Student's IEP or service plan, or as prescribed by a treating physician.
- Educational Services for an Eligible Student who is a student with a disability.
- Tuition and fees to attend training programs and camps that have a focus on vocational skills, academic skills, life skills, independence or soft job skills that are character traits and interpersonal skills that characterize a person's relationships with other people.

Eligible students must be present, in-person, to receive all other types of Qualified Expenses from Participating Entities.

## Medicaid or Other Insurance Payments

ESA funds may be used to supplement pay for expenses that are covered by insurance or the Medicaid program. **Payments through these methods must be used first, prior to use of ESA funds. Any remaining balance after the service has been processed through insurance or Medicaid may be paid for with ESA funds.** Participating entities may not charge both insurance and the Eligible Student for the same invoice line-items.

## Fee Structure

Participating Entities may not charge an Eligible Student participating in the ESA program an amount greater than a similarly situated student who is receiving the same or similar services.<sup>12</sup> All fees and discounts offered by a Participating Entity must be applied uniformly to all students and provided at the time of application. Grants received by an Eligible Student may not be considered for any purpose

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<sup>12</sup> IC 20-51.4-5-5

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regarding the calculation of tuition, fees, scholarships, or any other financial aid. Each Participating Entity must set their own charges and fees for services. The Indiana ESA Program does not determine or review fee structure for Participating Entities, except for the purpose of ensuring Eligible Students are not being charged more than a similarly situated student.

# CHAPTER 4: DUTIES AND OBLIGATIONS

## Information About Services Provided

Participating Entities will provide the Indiana ESA with information about the Qualified Services they seek to provide to Eligible Students. These services may include only those outlined and described in [Chapter 3](#). This information will be collected at the time of application and renewal. Each Participating Entity will report those services which are provided onsite and/or in-person to potential students and which ESA approved options are administered virtually. Participating Entities may also advise which languages they can provide services in. This information ensures ESA staff can approve payments and will help families make informed decisions on which Participating Entity will provide the best learning environment for their Eligible Student.

If, at any time, a Participating Entity is no longer capable of providing any services advertised, they are responsible to take immediate action to update their marketing profile to reflect said changes. Any changes made to the marketing profile will first be reviewed by an Account Specialist for approval prior to being published for view on the Participating Entity search portal. Failure to comply with these requirements may result in the Participating Entity being temporarily suspended from the Participating Entity search portal and/or could result in the revocation of its Participating Entity status. See [Chapter 8](#) for more information.

## Participating Entity Discretion

Participating Entities are not required to accept or provide services to any Eligible Student that does not meet their individual enrollment criteria, or if that entity is already at capacity. Nonpublic schools and/or public schools are not required to provide special education services to a student with a disability. Both parents and Participating Entities should thoroughly disclose their respective needs and abilities before mutually agreeing to contract with one another.



## Employees

All Participating Entities, including Qualified Schools, have a duty to protect and ensure the safety of all students. Each Participating Entity and Qualified School must conduct an expanded criminal history check and expanded child protection index check for all employees or contracted individuals who will

have "direct, ongoing contact with children."<sup>13</sup> Each Participating Entity and Qualified Schools must notify the Indiana Department of Education (DOE), the Indiana Treasurer of State (TOS), law enforcement, and/or the applicable licensing board if any employees are convicted of certain felony criminal offenses.<sup>14</sup>



### Statewide Assessment

Each Qualified School that accepts payments for tuition and fees made from an Eligible Student's account must administer the statewide assessment to its Eligible Students unless otherwise prescribed by the Eligible Student's:<sup>15</sup>

- (1) individualized education program;
- (2) service plan
- (3) choice special education plan
- (4) plan developed under Section 504 of the federal Rehabilitation Act of 1973



### Graduation/Certificate of Completion

A Qualified School has the duty to notify the TOS upon an enrolled, Eligible Student's graduation or when the Eligible Student obtains a certificate of completion. This will in effect terminate the student's account and prohibit future payments from this account. Any outstanding balances are the responsibility of the account holder by alternate means. A Qualified School must inform the Indiana Department of Education (DOE) within five (5) business days of an Eligible Student being withdrawn, expelled, or not in attendance for twenty (20) consecutive school days.

## Disputes About Services Provided to Students

Any questions and/or disputes regarding services rendered through the ESA Program are to be handled between the Participating Entity and the parents of an Eligible Student. Any questions and/or disputes

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<sup>13</sup> IC 20-26-5-10

<sup>14</sup> IC 20-28-5-8 and/or IC 20-26-5-11

<sup>15</sup> IC 20-51.4-5-3

## Indiana ESA

### *Provider Handbook*

between Participating Entity and its subcontractors, independent contractors, or other third parties are to be handled between the Participating Entity and the subcontractors, independent contractors, or other third parties. The Indiana ESA is not a party to said disputes nor will it intervene or interfere with the contractual obligations arising from said agreements.

## CHAPTER 5: APPLICATION PROCESS

### Application Process Overview

All providers seeking to become Participating Entities must submit all requested documentation and sign the Participating Entity Agreement in order for their application to be considered complete prior to submission. Qualified Schools will be required to sign a Qualified School Agreement (*please reference [Appendix B](#)*) while all other entities will be required to sign a Participating Entity Agreement (*please reference [Appendix C](#)*). Any material misrepresentations in the agreement could result in a denial and/or revocation from the ESA program.

The application process includes the following steps:

- (1) Visit the [ESA website](#) and select the type of Participating Entity
- (2) Register through the ESA portal
- (3) Complete an application (including required documentation and electronically signing the Participating Entity or Qualified School agreement using your unique PIN number)
- (4) Upon approval, the Participating Entity will receive an email link to activate a ClassWallet account in order to receive payment (Please add/save “info@classwallet.com” as a safe sender with your email service provider in order to ensure the email is received. Please double check your spam folder if you do not receive an email)
- (5) Update information as needed
- (6) Renew annually

Once approved, Participating Entities must provide banking information during the ClassWallet activation step in order to receive payments through the ESA Program. The only way payments will be made from ESA accounts is through the ClassWallet Portal which creates direct deposit payments from active student accounts to provider accounts.

If an applicant would like to register more than one business, they must be registered separately with different email addresses for each business. One applicant may not create more than one application under the same account if the businesses have different names and provide different services.

The terms and requirements of the ESA program are subject to change at the discretion of the TOS and/or as a result of changes in the law. An annual renewal of the Participating Entity agreement signed will provide entities with information regarding updates to program rules and requirements.



## Applying to Become a Participating Entity

This section applies to all potential providers for the ESA program, including those providers seeking to enroll as a Qualified School.

### Required Documents

During the application process, ESA staff will use documentation provided by the Participating Entity to verify eligibility. Please reference the list of required documentation below, based on the type of provider applying.



#### **Qualified School**

School ID Number

Accreditation

Tuition and Fee Schedule

Discount Policy

#### **Business Entity**

Each business entity must attest in the Participating Entity Agreement that all employees and any employees contracted with that entity will keep current and valid any and all licensure, certification, or accreditation necessary. Likewise, if there is a license, certification or accreditation applicable to the entity itself, that document must also remain current and valid. The entity must inform the TOS of any changes, revocations, and/or lapses in a timely manner.

Business Entity will be required to upload:

Business License (including Articles of Incorporation, non-profit charter, etc.)

Employee Provider List (including license/certification and National Provider Identifier NPI)

Accreditation (Optional)

Tuition and Fee Schedule & Policy (If applicable)

### Business PE

Service	Credentials Required
School applying as a business entity (Does not meet definition of a Qualified School)	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Tuition and Fee Policy</li> <li>3. Discount Policy (if applicable)</li> <li>4. Proof of any accreditations</li> </ol>
Psychology	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Speech Pathology	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Tutoring Agency	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> </ol>
Occupational Therapy	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Mental Health Therapy	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Applied Behavior Analysis	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Cognitive Behavioral Therapy	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Equine Therapy	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Music Therapy	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
Physical Therapy	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>
National Norm Referenced Exam	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of any employees that may require credential for administration of assessments or examinations)</li> </ol>
Fee for Service Transportation	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all employed drivers and their driver's license number, license type and expiration date)</li> </ol>
State Standardized Exams	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of any employees that may require credential for administration of assessments or examinations)</li> </ol>
National Criterion Referenced Exams	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of any employees that may require credential for administration of assessments or examinations)</li> </ol>
AP/CI/IB/CLEP Exams	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of any employees that may require credential for administration of assessments or examinations)</li> </ol>
Social Skills Therapy	<ol style="list-style-type: none"> <li>1. Business License (Articles of Incorporation, LLC, Non-profit Charter)</li> <li>2. Employed provider List (list of all license or certification holding employees with their corresponding license or certification number, and NPI if applicable)</li> </ol>

**Individual Entity**

Individual Entity will be required to upload:

Accreditation, certification, or licensure (please reference the sample list below)

Any documentation verifying specialized services

	Service	Credentials Preferred	Other Credentials Accepted
<b>Educational Service</b>	Interpretation	Proof of either active NIC or active IN Interpretation Certification	Proof of graduation from ITP Program
	Special Education	Active IN Teaching License	Bachelors or Masters Degree in Special Education
	Paraprofessionals/Educational Aids	Proof of registration with IDOE	Two years of college/ unofficial transcripts OR Passing State Test Scores
	Service	Credentials Required	Other Credentials Accepted
<b>Therapy</b>	Applied Behavior Analysis	Active BCBA Certification	Masters degree/Unofficial Transcript
	Aquatic Therapy	Active ATRI Certification	
	Art Therapy	Active IN LMHC License	Masters degree in Art Therapy/ Unofficial Transcript
	Audiology	Active IN Audiology Professional License	Doctoral Degree in Audiology/Unofficial Transcript
	Cognitive Behavioral Therapy	Licensed PhD, PsyD, MFT, LCSW or LMHC; and CBT Certification	
	Equine Therapy	Active IN LMHC License & EAGALA Certification - **Will also need information regarding Equine Specialist**	Masters Degree w/ unofficial transcripts
	Mental Health Therapy	Active IN LMHC/LSW/LCSW License	Masters Degree in Counseling
	Music Therapy	MT-BC (Music Therapist - Board Certified)	Masters Degree in Music Therapy
	Occupational Therapy	Occupational Therapy License	Masters Degree in Occupational Therapy
	Physical Therapy	Active IN Professional PT License	Doctoral Degree in Physical Therapy/ Unofficial Transcript
	Psychology	Active IN Psychologist License and HSPP Endorsement	PhD in Philosophy or Pys.D
	Social Skills Therapy	Active IN LMHC/LSW/LCSW license	
	Speech-Language Pathology	Active SLP Professional License	Masters Degree in SLP/Unofficial Transcript
	Service	Credentials Preferred	Other Credentials Accepted
<b>Tutoring</b>	Tutoring- Any subject matter or grade level	Active IN Teaching License or Certification in specialized practice	Bachelors Degree in Related Area/ Unofficial Transcript

## Step-by-Step Instructions



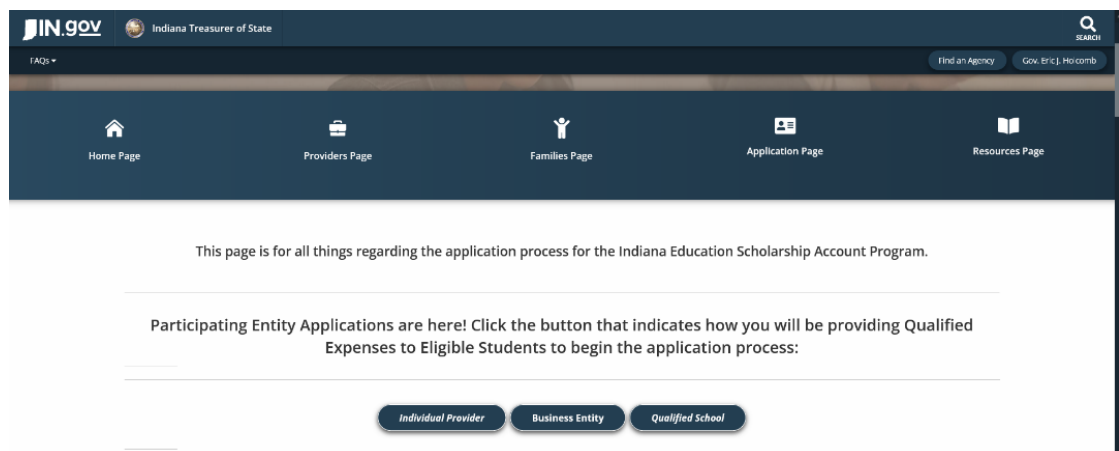
Click [here](#) or the video above to learn more!

The following is a breakdown of each step required in the application process.

### Step 1: Select your appropriate Portal.

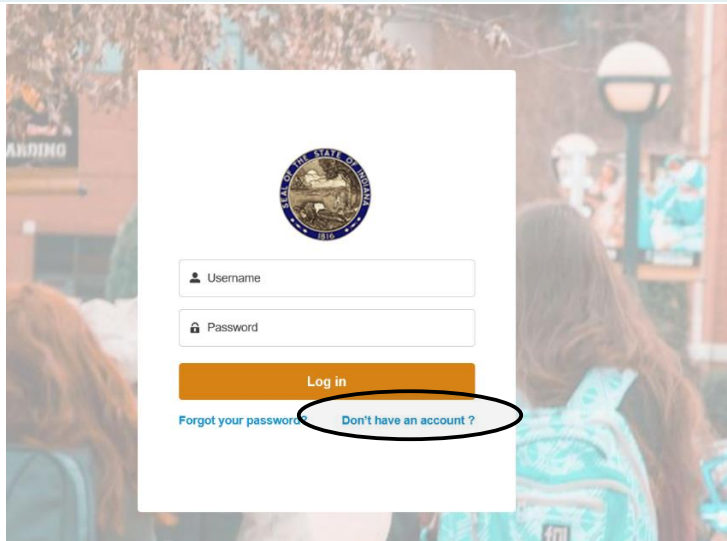
From our [website](#), a provider will choose their category of Participating Entity (listed below). The applicant will then be led to the registration screen.

- Individual Provider
- Business Entity
- Qualified School



# Indiana ESA

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### Step 2: Register for a User account.

Provider will select “Don’t have an account?” and begin registration.

### Sample Individual Application

Individual providers seeking to apply to become a Participating Entity will be asked to provide certain information at the time of registration.

Please note that the PIN is being created in order to validate the electronic signature later in the application process. **Applicants should remember this number and keep it confidential, as it will be required again to complete the application.**

After entering the required information, provider will then click, “Register.”

Sample Business Entity Application

1816

Already have an Account ?

\* Business Name

\* Business License Number

\* Contact First Name

\* Contact Last Name

\* Contact Email Address

\* Contact Phone

Contact Job Title

\* Street

\* City

\* State

Indiana

\* Zip Code

Is your physical address same as service address?

Yes

No

Website

\* PIN

Register

Business Entities seeking to apply to become a Participating Entity will be asked to provide certain information at the time of registration.


Please note that the PIN is being created in order to validate the electronic signature later in the application process. **Applicants should remember this number and keep it confidential, as it will be required again to complete the application.**

After entering the required information, provider will then click, "Register."



### Sample Qualified School Application

Already have an account?



\* First Name

\* Last Name

\* Email

\* Cell Phone

Job Title

\* Street

\* City

\* State  
Indiana

\* Zip Code

\* School ID

\* PIN <sup>?</sup>

**Register**

Qualified Schools seeking to apply to become a Participating Entity will be asked to provide certain information at the time of application, including their unique school ID. Only valid school IDs will be accepted.

Please note that the PIN is being created in order to validate the electronic signature later in the application process.

**Applicants should remember this number and keep it confidential, as it will be required again to complete the application.**

## Indiana ESA

### Provider Handbook

## Step 3: Confirm registration through email.

### NOW, CHECK YOUR EMAIL

Check the email account associated with your user name for instructions on resetting your password.

Remember to look in your spam folder, where automated messages sometimes filter. If you still can't log in, contact your administrator.

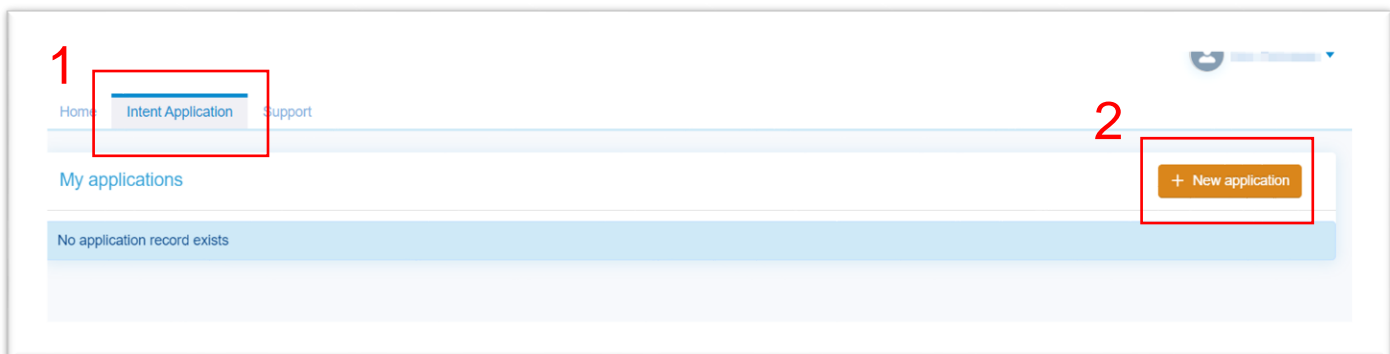
[Back to login](#)

The provider will receive an email to confirm registration. This email will be from [Info@esa.tos.in.gov](mailto:Info@esa.tos.in.gov). If you do not see it within a few minutes of registration, please check your spam filters and consult with your IT department. You will then click the link in the email as seen in the following image.

Hi Timothy,  
Welcome to Business Participating Entity! To get started, go to [https://uat-intos.cs133.force.com/business/login?c=Ms3y9gO7Ykm1\\_ekQNwGQakLVZYP2.mmoaPbAlHOM6bHKhXJWnSzxm0MMEmfSiu946CICTJ7mQs2VJK117d5HXxJtplEWk6nrCxIO0I9BaqnLcs\\_dgJ7B8UnEii0LFtzJwmua9QXazkMHXOZJzxPXfusVfHwiTZX4R7cFP9ff8cNu0OLVDXv1eS4RDDja12q\\_AOp3ng0q](https://uat-intos.cs133.force.com/business/login?c=Ms3y9gO7Ykm1_ekQNwGQakLVZYP2.mmoaPbAlHOM6bHKhXJWnSzxm0MMEmfSiu946CICTJ7mQs2VJK117d5HXxJtplEWk6nrCxIO0I9BaqnLcs_dgJ7B8UnEii0LFtzJwmua9QXazkMHXOZJzxPXfusVfHwiTZX4R7cFP9ff8cNu0OLVDXv1eS4RDDja12q_AOp3ng0q)  
Username: [rojag54229@hmel.com](mailto:rojag54229@hmel.com)  
Thanks,  
Indiana Treasurer of State - Scholarship Program

## Step 4: Begin Application to become a Participating Entity

Once logged into the Portal, the provider will: (1) select the “Intent Application” tab at the top of the screen, and then (2) click the orange button for “+ New Application.”





### Step 5: Selecting the Offered Services

At this step, the provider will select all of the services they have available to offer Eligible Students. Business entities will see a different list than Individual entities based on the requirements of the program.

#### Individuals

- Course or Program
- Private Tutoring
- Therapy

The screenshot shows a web interface for an individual provider. At the top right, the user is identified as 'Pat Provider'. The navigation menu includes 'Home', 'Intent Application', 'Support', and 'Termination Request'. The main heading reads: 'You are an individual who provides one or more of the following services to students with disabilities:'. Below this is a table with three rows, each with a checkbox and a category name:

<input type="checkbox"/>	CATEGORY
<input type="checkbox"/>	Course or Program
<input type="checkbox"/>	Private Tutoring
<input type="checkbox"/>	Therapy

At the bottom of the form are three buttons: 'Cancel', 'Save and Exit', and 'Next'.

#### Businesses

- Assessments
- Course or Programs
- Private Tutoring
- Therapy
- Transportation

The screenshot shows a web interface for a business provider. At the top right, the user is identified as 'Bpefirst Bpelast'. The navigation menu includes 'Home', 'Intent Application', 'Support', and 'Termination Request'. The main heading reads: 'You are a Business that provides one or more of the following services to students with disabilities:'. Below this is a table with five rows, each with a checkbox and a category name:

<input type="checkbox"/>	CATEGORY
<input type="checkbox"/>	Assessment
<input type="checkbox"/>	Course or Program
<input checked="" type="checkbox"/>	Private Tutoring
<input type="checkbox"/>	Therapy
<input type="checkbox"/>	Transportation

At the bottom of the form are three buttons: 'Cancel', 'Save and Exit', and 'Next'.

## Indiana ESA

### Provider Handbook

#### Step 6: Selecting Qualified Expenses

This step will require the provider to select the Qualified Expenses (as described in [Chapter 3](#)) that families may use ESA funds to purchase. Business entities will see a different list than Individual entities. In the samples below, you can find the specific Qualified Expenses available for each based on the requirements of the program

##### Individuals

- Educational Services
- Paraprofessional or Education Aid
- Therapy
- Training Programs



[Home](#) [Intent Application](#) [Support](#) [Termination Request](#)

Select applicable Qualifying Expense(s)

<input type="checkbox"/>	EXPENSE NAME
<input type="checkbox"/>	Educational Services
<input type="checkbox"/>	Paraprofessional or Educational Aid
<input type="checkbox"/>	Therapy
<input type="checkbox"/>	Training Programs

[Back](#)

[Save and Exit](#)

[Next](#)

##### Businesses

- Assessments or Examinations
- Educational Services
- Paraprofessional or Education Aid
- Therapy
- Training Programs or Camps
- Transportation

The screenshot shows a web application interface for selecting qualifying expenses. At the top, there is a navigation bar with 'Home', 'Intent Application', and 'Support' tabs. A user profile icon for 'Timothy Tutor' is visible in the top right. The main content area is titled 'Select applicable Qualifying Expense(s)'. It contains a table with a header 'EXPENSE NAME' and six rows of options, each with a checkbox. The 'Educational Services' option is selected. Below the table are three buttons: 'Back', 'Save and Exit', and 'Next'.

	EXPENSE NAME
<input type="checkbox"/>	Assessments or Examination
<input checked="" type="checkbox"/>	Educational Services
<input type="checkbox"/>	Paraprofessional or Educational aid
<input type="checkbox"/>	Therapy
<input type="checkbox"/>	Training Programs or Camps
<input type="checkbox"/>	Transportation

### Step 7: Information on in-person, virtual, and language

Based on their previous selection, a provider will indicate which services they provide in person, virtually and in which language(s):

The screenshot shows a web application interface for selecting services and languages. At the top, there is a navigation bar with 'Home', 'Intent Application', and 'Support' tabs. The main content area has three large blue buttons: 'Onsite Services', 'Virtual Services', and 'Languages'. Below these buttons are three orange buttons: 'Next', 'Save and Exit', and 'Back'.

### Step 8: Upload the required documents

Based on the Qualified Expenses intended to be offered, providers will need to upload certain required documents to verify their qualifications and ability to provide the services. Providers will upload each requested document individually, and enter the expiration date for the license/credential. If an uploaded document does not have an expiration date, the applicant may enter a date one (1) calendar year from the date of application, as the account will need to be renewed annually at that time.

Home **Intent Application** Support Termination Request

Please Upload the Documents

DOCUMENT NAME	EXPIRATION DATE	
Active IN Teaching License or Certification in specialized practice	<input type="text"/> *Date	Upload <a href="#">Upload Files</a> Or drop files
Bachelors Degree in Elementary Education or Math Education/Unofficial Transcript	<input type="text"/> *Date	Upload <a href="#">Upload Files</a> Or drop files

[Add Other Documents](#)

[Back](#) [Save and Exit](#) [Next](#)

### Step 9: Create your marketing profile

Providers will create a marketing profile which will be visible as families search the portal of approved Participating Entities. The marketing profile will include school, business or individual name, service address, logo, categories of services provided, contact name, phone number and/or email and website. It will also include a summary for Participating Entities to describe the specific services they offer, and any specialties associated with their services or programs. The marketing profile will be reviewed by the Participating Entity no less than annually, and any changes must be reviewed and approved by ESA team.

Home **Intent Application** Support Termination Request

Upload Logo  
[Upload Files](#) Or drop files

\*Business Name  
  
Complete this field.

\*Summary

[Back](#) [Save and Exit](#) [Next](#)

# Indiana ESA

## Provider Handbook

### Step 10: Sign the agreement

Prior to completing their application, and submitting for review, all providers must sign an agreement, attesting that they understand and will adhere to the rules and requirements of the ESA Program. Electronic signature will be collected when the provider types their first and last name, and a 4-digit PIN established at registration.

Home Intent Application Support

### Agreement

Office of the Treasurer of State  
Education Scholarship Account Program  
One North Capitol Avenue | Suite 900  
Indianapolis, IN 46204

**PARTICIPATING ENTITY AGREEMENT**  
2022 - 2023 School Year

**INTRODUCTION**

The Indiana Education Scholarship Account ("INESA") program is administered and overseen by the Indiana Treasurer of State ("TOS"). Through the use of dedicated scholarship money, parents of eligible students or emancipated eligible students who participate in the INESA program have the opportunity to choose the educational environment and services that help them best meet their unique learning needs. Scholarship money may be used to purchase approved educational programs, therapies, services, tuition and fees, and other expenses related to the student's education from approved participating entities.

A participating entity is an individual, organization, agency, or other entity authorized by the Indiana Treasurer of State's Office to provide services to INESA students. All participating entities must meet the requirements of the INESA program at the time of application and throughout the duration of participation in the program. Scholarship funds will be deposited directly into each student's account which will be available to parents via a secure online portal. Parents can then make payments directly to participating entities from the student's account; no reimbursements or debit cards will be issued.

The following agreement is for those individuals or entities wishing to be considered as a "participating entity," as defined by IC 20-51.4-2-6, in the INESA program for the 2022-2023 school year. Before you complete the agreement, please do the following:

1. Read through the materials on the INESA website at <https://www.in.gov/tos/inesa>. These materials provide important background on the rules and requirements of the INESA program.
2. Read through IC 20-51.4 as it provides the complete list of rules and requirements for the INESA program.
3. Read and review the Participating Entity Handbook.

**ASSURANCES**

\*FULL LEGAL NAME

Sign and Save Back

### Step 11:

Once the application is submitted for review, applicants will see this screen.

Home Intent Application Support

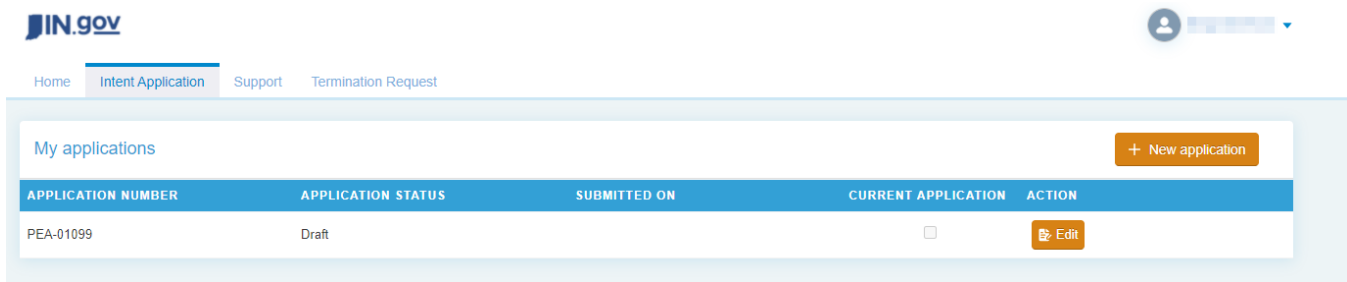
Your application has been successfully submitted. Your application number is

Exit

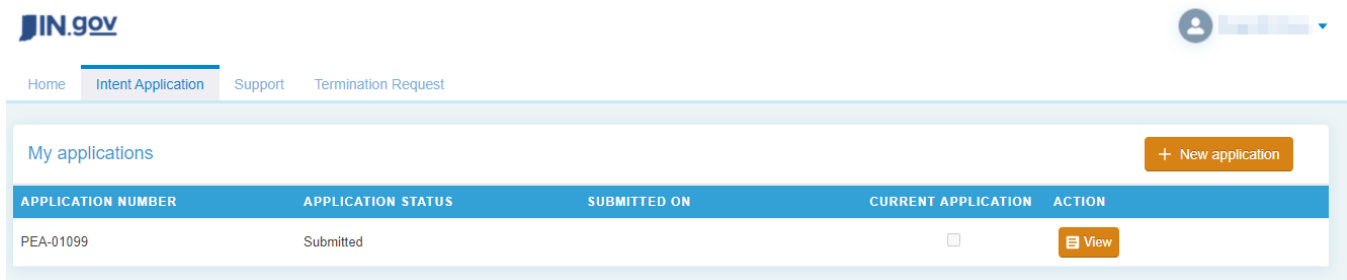
## Understanding Your Application's Status

Once you have started the process of filling out an application, the system will assign a status to your application to help remind you where you are in the process. Those statuses include:

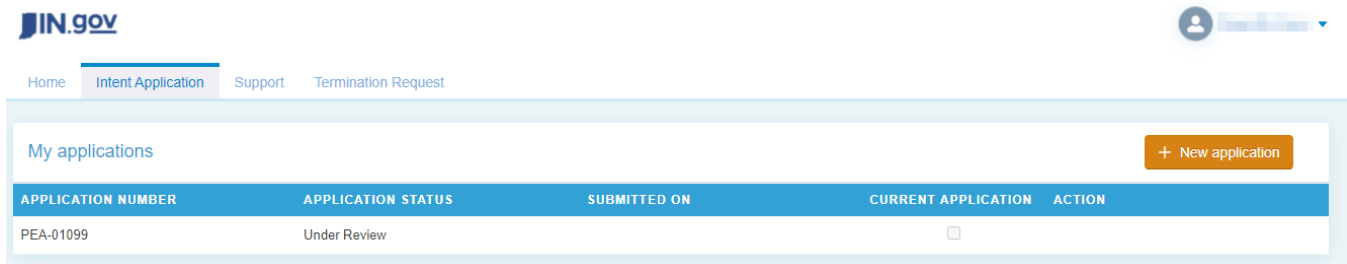
- **“Draft” status:** you have started your application but have not yet submitted it for review.



- **“Submitted” status:** you have finished the application, electronically signed the agreement, and clicked to submit your application for review. Submitted applications will have been assigned a unique application number.



- **“Under Review” status:** ESA staff has started reviewing the application.



- **“Information Requested” status:** ESA staff requires additional information or documentation to make a determination on your application. An email detailing the required documentation is sent to the email on file for the application.

The screenshot shows the Indiana ESA website interface. At the top left is the 'IN.gov' logo. Below it are navigation tabs: 'Home', 'Intent Application' (which is highlighted), 'Support', and 'Termination Request'. On the top right, there is a user profile icon and a dropdown arrow. Below the navigation is a section titled 'My applications' with a '+ New application' button. A table below this section displays application details:

APPLICATION NUMBER	APPLICATION STATUS	SUBMITTED ON	CURRENT APPLICATION	ACTION
PEA-01099	Information Requested		<input type="checkbox"/>	<a href="#">Edit</a>

- **“Approved” status:** ESA staff has reviewed the application and all the attached documentation and determined the provider meets the criteria for approval as a Participating Entity. At this time, the new Participating Entity will appear in the search portal and on the list of approved Participating Entities available to families on the ESA website.

The screenshot shows the Indiana ESA website interface, similar to the previous one. The navigation tabs are the same. The 'My applications' section now shows a table with the following data:

APPLICATION NUMBER	APPLICATION STATUS	SUBMITTED ON	CURRENT APPLICATION	ACTION
PEA-01099	Approved		<input type="checkbox"/>	<a href="#">View</a>

## Application FAQ

### What happens if I select the wrong type of entity?

Qualified Schools will be required to enter their unique school ID upon registration. Any school that does not have an Indiana Department of Education School ID should register as a business entity.

If at any point in the application process, a provider realizes they have selected the incorrect entity type, they should contact the ESA team via the support tab and submit a request for their current application to be deleted. Then, an entity may re-initiate the application process from the [ESA website](#) by selecting the correct entity type. If an entity fails to contact the ESA team regarding deletion of their incorrect application, they will not be able to use the same email address to initiate the new application, and a new, unique email address will need to be associated with the new application. If the ESA team is contacted and the previous application is deleted, the same email address may be used for the new application.

### **What if I am approved, then begin offering new qualified expenses? Can I add services to my existing application? Or do I need to create a new application?**


If you are an approved Participating Entity and begin offering new qualified expenses that were not included in your original application, you may contact the ESA team via the support tab to request that your application be placed in “Information Requested” status. This will allow you to make changes to your application by adding those qualified expenses, and the required supplemental documentation. In addition, you will have the opportunity to amend your marketing profile, then will be required to re-sign the Participating Entity Agreement. Once you have submitted the application, an Account Specialist will review your changes. Once approved, these changes will be visible in the search portal.

### **Can I create multiple accounts for different businesses?**

If an applicant would like to register more than one business, they must be registered separately with different email addresses for each business. One applicant may not create more than one application under the same account if the businesses have different names and provide different services.

## Annual Account Renewal Required

All Participating Entities will need to renew their participation in the Indiana Education Scholarship Account annually. This will entail a thorough review of the entity’s marketing profile. In addition, a Participating Entity Agreement or Qualified School Agreement will be distributed to all entities annually for review and signature. Failure to complete these items may result in the revocation of the provider or Qualified School’s status as a Participating Entity.

 In addition to this signed agreement, each **Qualified School** must also submit the following annually:

- a. Tuition and Fees Policy for the relevant school year
- b. Discount Policy for the relevant school year
- c. Proof of Accreditation (if not State accredited) for the relevant school year

In addition to this signed agreement, each **Business Participating Entity** must also submit the following annually:

- a. Fee Structure
- b. Business License (including Articles of Incorporation, non-profit charter, etc.)
- c. Employee Provider List (including the names, license or certification number, and NPI number for all employees providing Qualified Expenses)

In addition to this signed agreement, each **Individual Participating Entity** must also submit the following annually:



- a. Fee Structure
- b. Business License (if applicable) ((including Articles of Incorporation, non-profit charter, etc.)
- c. Appropriate license, certification, or accreditation

Note: If an uploaded document does not have an expiration date, the applicant may enter a date up to one (1) calendar year from the date of application, as the account will need to be renewed annually at that time.

## Customer Support

Providers who have registered with the ESA portal can submit a customer support ticket to resolve an issue or inquiry. Our tickets are responded to by Account Specialists on Mondays through Fridays excluding state holidays.

### Help Portal Ticket System


The screenshot shows the 'Support' section of the Indiana ESA Help Portal. At the top right, there is a user profile for 'Emma Vise'. Below the navigation tabs (Home, Intent Application, Support), the main content area is titled 'CONTACT CUSTOMER SUPPORT' with the subtitle 'TELL US HOW WE CAN HELP.' To the right, there is a section titled 'NEED ANSWERS FAST?' with the subtitle 'FIND WHAT YOU NEED HERE.' and a link to 'https://www.in.gov/tos/inesa/home/resources/'. The form contains several fields: 'CONTACT NAME' (Emma Vise), 'CASE REASON' (dropdown menu with '--None--'), 'OTHER REASON' (text input), 'CASE OWNER' (Emma Vise), 'SUBJECT' (text input), 'DESCRIPTION' (text input), 'STATUS' (New), and 'PRIORITY' (Medium). A blue 'SUBMIT' button is located at the bottom of the form.

## CHAPTER 6: ACCEPTING PAYMENT

### ESA Payments

All payments made from an Eligible Student's ESA account to Participating Entities must be through our secure, online payment platform. This platform will be provided through a partnership with ClassWallet. This Chapter will describe how payments will be accepted and the processes related to connecting to the ClassWallet Platform.

Participating Entities may also accept payment from the Eligible Students from a source other than an ESA account, but these payments will not be reimbursed to the Eligible Student. Payments for all Qualified Expenses must be made in arrears, following the provision of services. **The sole exception is payment of tuition and fees to a Qualified School.**

 If a Qualified School and a family agree that ESA funds will not be used for tuition and fees, the parties must request a waiver.

### ClassWallet

ClassWallet is the ESA account management partner. The ClassWallet platform is where ESA account holders will enter requests for payments to Participating Entities and where ESA staff will verify and approve all expenses. The ClassWallet platform processes all payments from Education Scholarship Accounts to Participating Entities as direct ACH payments upon ESA staff expense review and approval. Additional information and instructions regarding this section may be updated in the near future.

### Registration in the ClassWallet Platform

Shortly after being approved as a Participating Entity in the ESA Program, you will receive an email from ClassWallet to register your account in the payment platform.

Each Participating Entity must provide necessary banking information to ClassWallet in order to accept payments from an Eligible Student's Education Scholarship Account. ClassWallet does not save or share banking information.

Payments from student accounts to Participating Entities may only be made through ClassWallet's secure, online platform.

## ClassWallet Customer Support

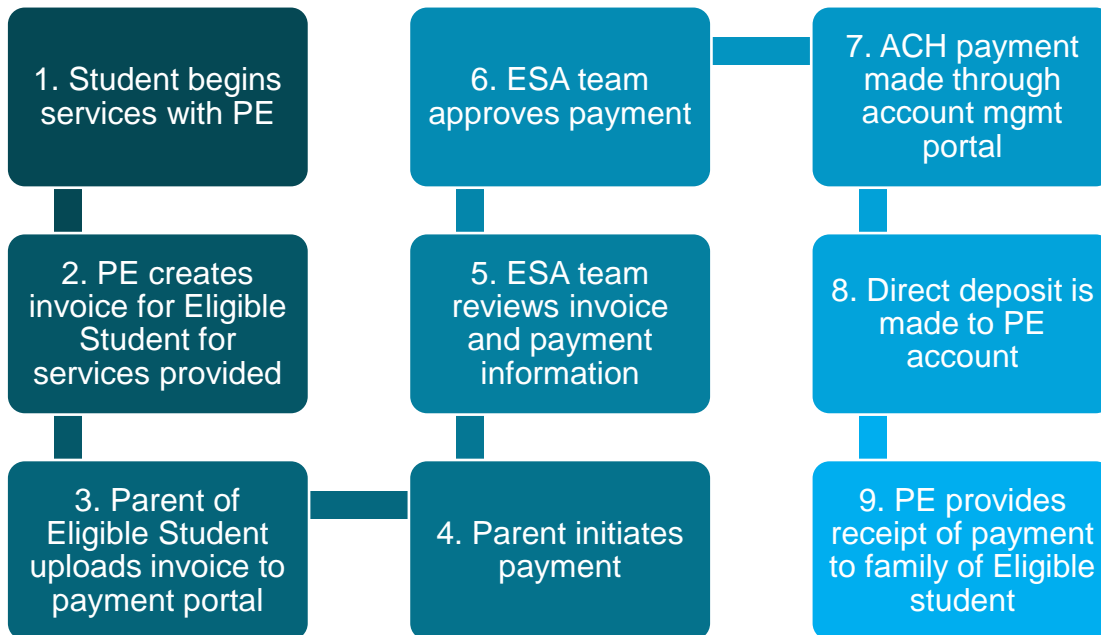
ClassWallet provides virtual training and ongoing remote support for Participating Entities to effectively access and use the platform.

All of ClassWallet’s customer service representatives are bilingual in English and Spanish and are available from 8:00am – 8:00pm (Eastern Time) Monday – Friday and 10:00am – 4:00pm (Eastern Time) Saturday for one-to-one interaction via email, chat and phone.

ClassWallet has a robust and dynamic online help center with FAQs and help videos servicing online problem resolution. The ClassWallet customer support team is constantly updating the help center as it responds to inquiries and customer service questions.

## Payment Process

All payments for Qualified Expenses must be made after services have been rendered. Following each service, an invoice must be provided to the Eligible Student by the Participating Entity. The invoice must contain all of the components found below. The parent of an Eligible Student is responsible for uploading any invoices into the ClassWallet platform to initiate the payment process. Payments are then reviewed by Account Specialists; once approved, payments are processed via ClassWallet.



# Invoicing: Participating Entity Requirements

Each Participating Entity shall provide an itemized and detailed invoice to a parent of an Eligible Student for each Qualified Expense charged for education or related services provided to the Eligible Student. A Participating Entity may use their own current invoice template or utilize the ESA template invoice structure attached to this Handbook as Appendix D. The invoice provided to Eligible Students who use ESA funds for payment must include the following components:

- ✓ Eligible student full, legal first and last name AND STN
- ✓ Date(s) of service
- ✓ Invoice date
- ✓ Itemized list of Qualified Expenses with description
  - Businesses must provide the full legal name of the provider(s)
- ✓ Total amount due
- ✓ Payment due date

Following payment of each invoice, a Participating Entity must provide receipt of payment to a parent of an Eligible Student.<sup>16</sup>

ESA funds cannot be used to pay for any expenses that are not deemed Qualified Expenses by ESA staff. Any service or item for which an ESA student is responsible to pay that does not fall under a Qualified Expense category may not be listed on the invoice and must be paid by a source other than the student's Education Scholarship Account.

**A Participating Entity may not receive duplicate payments from any other source for the same services paid for using ESA funds.** A violation may result in civil and/or criminal penalties. Note: Upon review from an Account Specialist, any invoice found to contain ineligible line-items or containing insufficient details will be returned to the parent in order for them to follow up with the Participating Entity in order to correct or clarify the invoice. Parents will be informed that we are unable to process the invoice as submitted, and they will need to contact the provider to remedy the issue. Once the information has been included/updated, the parent may resubmit the invoice for review.

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<sup>16</sup> IC 20-51.4-5-5

## Transportation Invoices

In addition to the invoice requirements above, Participating Entities providing transportation services must also include the following components:

- ✓ Time and location of any pickup and drop-off
- ✓ Total mileage
- ✓ Driver's Name
- ✓ Description of the vehicle used

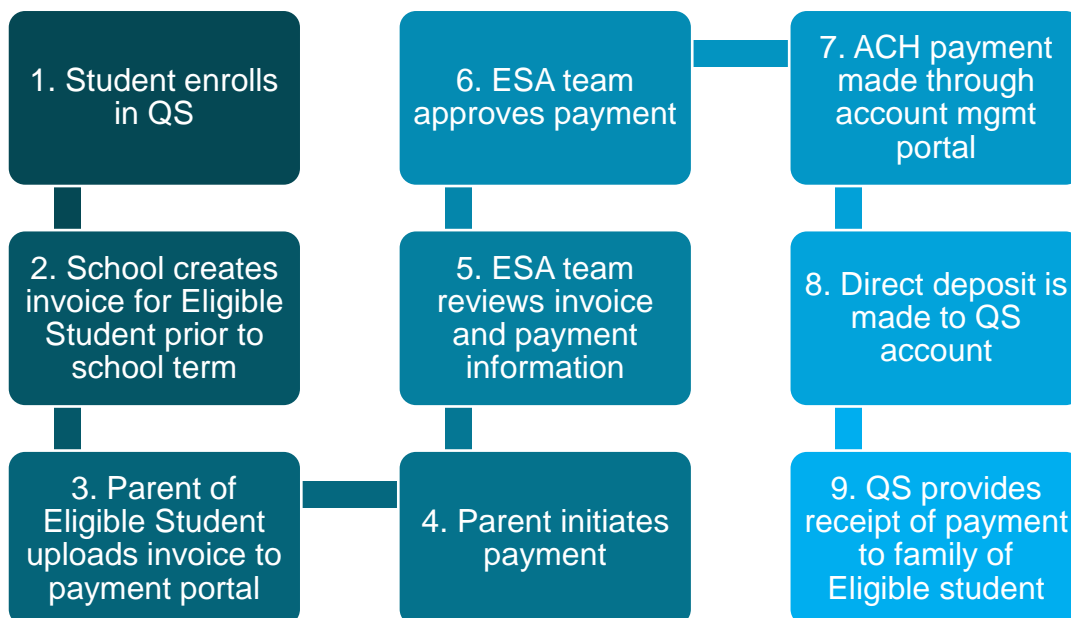
## Tuition and Fees at a Business Entity

Any Participating Entity, *other than a Qualified School*, that is invoicing for tuition and fees must do so in arrears, or after the specified period on the invoice for which services have already been rendered. Also, any Participating Entity invoicing for tuition and fees must submit their tuition and fees policy into their account. See the [chart above](#) for some additional details on what is required in the policy.



## Tuition and Fees at a Qualified School

Qualified Schools will accept payments through an Eligible Student's account with quarterly disbursements from the Eligible Student's account for the duration of time that the Eligible Student maintains enrollment in the Qualified School.



## Quarterly Payment Procedure

Qualified Schools must accept quarterly payments from an Eligible Student's account. Qualified Schools should provide an invoice containing both the quarterly and annual tuition amounts, including any applicable fees and discounts.

Date	Amount billed
August 18, 2022	25% + any applicable fees
October 1, 2022	25% + any applicable fees
January 1, 2023	25% + any applicable fees
April 1, 2023	25% + any applicable fees

## Waiver of Tuition and Fees

If a Qualified School and a family agree that ESA funds will not be prioritized for tuition and fees, the parties must request a waiver via Customer Support Ticket Portal.

## Requesting Payment

There is no way for a Participating Entity to initiate a request for payment with the ESA Platform. If an invoice has been provided to an Eligible Student by a Participating Entity, but payment has not been made, the Participating Entity should contact the parent of the Eligible Student directly to request payment for services rendered. This communication will be conducted outside of the ESA payment platform.

## Student Account Freezes

There may be circumstances that require the ESA staff to freeze a student account, at which time families of Eligible Students will not be able to initiate any payments. Account holders will still be able to review their current balance, outstanding invoices, and receipts of payments made. If Qualified Expenses are rendered prior to an account freeze and remain unpaid, an Eligible Student whose account has been frozen must contact ESA staff via a support ticket for instructions on how to upload an invoice for said services which may be paid using ESA funds if approved. If any other payments are

## Indiana ESA

### *Provider Handbook*

due for services rendered during the time of the account freeze, the account holder remains responsible to make payments for any services rendered and may have to use another source of funds other than their ESA. If the determination is made to unfreeze and reinstate the account, parents of Eligible Students may resume payment through the platform.

## Refunds

In instances where a Participating Entity must refund money that was paid from an Education Scholarship Account the refund must be made back to the account through the process below.

There may be circumstances where funds need to be returned to an Eligible Student's account. If this circumstance should arise, the ESA team will notify the Participating Entity via email of the reason for the refund, the exact refund amount, and the student account that should receive the refund, along with any necessary supporting documentation.

Refunds may only be made directly to an Eligible Student's Education Scholarship Account, and not by any other method.



## Prorated Refund of Tuition and Fees at a Qualified School

In the event that an Eligible Student disenrolls from a Qualified School mid-semester and tuition payment has been made for educational services not yet provided, it may be requested that the Qualified School refund the remaining prorated tuition payment back to an Eligible Student's account. In this circumstance, the prorated amount will be calculated by the Department of Education based on the student's disenrollment verification.

# CHAPTER 7: ESA FUNDING

## Annual Grant Calculation

Annual grants are the total amount of funds distributed to Eligible Students per year. They have sole control over how and when these funds will be spent for their education. The annual grant award amounts will be calculated individually for each student upon review and approval of their student application. This calculation is based on two components:

1. 90% of the state tuition support amount allotted to the Eligible Student’s local school corporation  
+
2. The calculation of APC (Additional Pupil Count) dollars based on the special education category(ies) of the student (*Please reference [Appendix E](#)*)

School Year 2022-2023		
APC Level I: Severe Disability	APC Level II: Mild and Moderate Disability	APC Level III: Communication Disorders
\$10,575	\$2,657	\$500

If the family of an Eligible Student decides to receive special education services from a Qualified School, or that school’s local public-school corporation, the APC funds will be prioritized to that provider. However, if a family chooses to obtain special education services elsewhere, the APC dollar amount will be added to the annual grant award and disbursed within the quarterly payments made to Eligible Student accounts.

## Disbursements

Disbursements will be made from the state to an Eligible Student’s account in quarterly payments according to the following schedule:

Disbursement Date	Amount
August 18, 2022	25% of total grant award
October 1, 2022	25% of total grant award
January 1, 2023	25% of total grant award
April 1, 2023	25% of total grant award



### Roll Over

An Eligible Student may roll over up to \$1,000 per year of unused funds to the following year. Any subsequent roll overs can be saved in addition to any previous rollovers that have been made. The roll over will occur just prior to the first school year disbursement in August and will not impact the amount of the total grant award, or the amount of any disbursement.<sup>17</sup>

### Other Financial Aid / SGO

An Eligible Student may receive an ESA and other financial aid, including Scholarship Granting Organization (SGO) funding, for the same school year. Parents should contact their school for any questions regarding financial aid and/or SGO.

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<sup>17</sup> IC 20-51.4-4-2

# CHAPTER 8: STATUS REVOCATION & REINSTATEMENT

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## Revocation of Status as Participating Entity

An approved Participating Entity may have its status revoked<sup>18</sup> if it:

- 1) Fails to provide any educational service required by state or federal law to an Eligible Student receiving instruction from the Participating Entity; or
- 2) has routinely failed to meet the requirements of a Participating Entity under the program.

## Notification to Parent

Within thirty (30) days of the revocation, each parent of an Eligible Student receiving instruction from the Participating Entity who has paid the Participating Entity from the Eligible Student's account will receive notice of the revocation.<sup>19</sup>

## Payment Post Revocation

A Participating Entity may only receive ESA funds for services rendered prior to the account revocation. Upon revocation, a Participating Entity will no longer be able to receive payments from the Eligible Student's ESA account. Should the family and Participating Entity decide to continue their contractual relationship, the Participating Entity would have to accept payment from the Eligible Student from a source other than an ESA account, but these payments will not be reimbursed to the Eligible Student.

## Reapplication

A former Participating Entity whose account was previously revoked may reapply to be a Participating Entity not earlier than one (1) year after the date on which the former Participating Entity's status as a Participating Entity was revoked. The TOS may establish reasonable criteria or requirements that the

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<sup>18</sup> IC 20-51.4-5-4(a)

<sup>19</sup> IC 20-51.4-5-4(b)

former Participating Entity must meet before being reapproved by the TOS as a Participating Entity.<sup>20</sup> These criteria or requirements for reapproval will be based upon the nature and severity of the offense.

## Publicly Available Information

By participating in the Indiana ESA Program, a Participating Entity agrees that the Indiana ESA and any of its contractual partners may advertise, market, and/or publish general information about Participating Entities and the services offered by the Participating Entities on any of its online platforms.

Our ESA website will include a comprehensive list of all Participating Entities and will be updated no less than once per week to ensure all approved Participating Entities are included on this publicly available resource in a timely manner.

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<sup>20</sup> IC 20-51.4-5-4(c)

# APPENDIX A: Income Guidelines



Indiana Department of Education

Dr. Katie Jenner, Secretary of Education

## Choice Scholarship Program Income Guidelines 2022-2023 School Year

Choice Scholarship Program Income Limits by Household Size	
Household Size	300% of Reduced Lunch Eligibility
	Annual Household Income Limit <sup>1</sup>
1	\$75,424.50
2	\$101,620.50
3	\$127,816.50
4	\$154,012.50
5	\$180,208.50
6	\$206,404.50
7	\$232,600.50
8	\$258,796.50
9	\$284,992.50
10	\$311,188.50

Note: Income levels are determined in accordance with the Income Verification Rules document available at <https://www.in.gov/doe/students/indiana-choice-scholarship-program/>.

<sup>1</sup>Add \$26,196 for each additional family member.



## APPENDIX B: Qualified School Agreement

### PARTICIPATING ENTITY AGREEMENT - QUALIFIED SCHOOL 2022 – 2023 School Year

#### INTRODUCTION

The Indiana Education Scholarship Account (“INESA”) program is administered and overseen by the Indiana Treasurer of State (“TOS”). Through the use of dedicated scholarship money, parents of Eligible Students or emancipated Eligible Students who participate in the INESA program have the opportunity to choose the educational environment and services that help them best meet their unique learning needs. Scholarship money may be used to purchase approved educational programs, therapies, services, tuition and fees, and other expenses related to the student’s education from approved Participating Entities.

A Participating Entity is an individual, organization, agency, or other entity authorized by the Indiana Treasurer of State's Office to provide services to INESA students. All Participating Entities must meet the requirements of the INESA program at the time of application and throughout the duration of participation in the program. Scholarship funds will be deposited directly into each student’s account which will be available to parents via a secure online portal. Parents can then make payments directly to Participating Entities from the student’s account; no reimbursements or debit cards will be issued.

The following agreement is for those “Qualified Schools”, as defined by IC 20-51.4-2-10, wishing to be considered as a “Participating Entity,” as defined by IC 20-51.4-2-6, in the INESA program for the 2022-2023 school year. Before you complete the agreement, please do the following:

1. Read through the materials on the INESA website at <https://www.in.gov/tos/inesa>. These materials provide important background on the rules and requirements of the INESA program.
2. Read through IC 20-51.4 as it provides the complete list of rules and requirements for the INESA program.
3. Read and Review the Participating Entity Handbook.
4. If your school is not currently accredited by the Indiana State Board of Education (SBOE) or an SBOE recognized accrediting agency, you must complete the appropriate process for accreditation (IC 20-51-1-4.7). For accreditation related questions, please contact the Office of Accountability and Accreditation.

#### ASSURANCES

As a condition of becoming a Participating Entity in the INESA program, the Qualified School (“School”) makes the following assurances by the authorized representative's signature:

1. I am an authorized representative of School described at the end of this agreement with the authority and capacity to act on behalf of School.
2. The information provided in this agreement is true and accurate. Any misrepresentation could result in denial and/or revocation from the INESA program.

3. School is a nonpublic school accredited by either the state board or a national or regional accreditation agency that is recognized by the state board: (1) to which an Eligible Student is required to pay tuition to attend; and (2) that agrees to enroll an Eligible Student. (IC 20-51.4-2-10)
4. School shall to inform the Indiana Department of Education (“DOE”) via the Enrollment and Mobility (“EM”) Report within five (5) business days of an Eligible Student being withdrawn, expelled, or not in attendance for twenty (20) consecutive school days, in accordance with the DOE rule. (512 IAC 4-1-5)
5. School acknowledges that retroactive reimbursement to the TOS and/or to the Eligible Student’s account may be required, and/or future payments may be adjusted as a result of the withdrawal or expulsion of a student or changes in the law.
6. School shall notify the TOS if an Eligible Student participating in the INESA program graduates or receives a certificate of completion under the Eligible Student’s individualized education program. (IC 20-51.4-4-1(d))
7. School shall participate in any data collections required by the DOE pursuant to IC 20-51-1-4.7, IC 20-51-4-6, IC 20-51-4-7, IC 20-51-4-10, or 512 IAC 3 and 4.
8. If School accepts payments for tuition and fees made from an account under the INESA program, School shall administer to its Eligible Students, for the applicable grade levels as provided under IC 20-32-5.1, the statewide assessment unless otherwise prescribed by the Eligible Student’s: (1) individualized education program; (2) service plan developed under 511 IAC 7-34; (3) choice special education plan developed under 511 IAC 7-49; or (4) plan developed under Section 504 of the federal Rehabilitation Act of 1973, 29 U.S.C. 794. (IC 20-51.4-5-3)
9. School shall not charge an Eligible Student participating in the program an amount greater than a similarly situated student who is receiving the same or similar services; all fees and discounts must be applied uniformly to all students.
10. School understands, acknowledges, and agrees that an Eligible Student with an INESA account shall not conflict with or alter any other applicable scholarships or aid the student is eligible to receive.
11. School shall only accept INESA payments for “Qualified Expenses” as defined by IC 20-51.4-2-9.
12. School shall provide an itemized and detailed invoice to a parent of an Eligible Student or an emancipated Eligible Student for each Qualified Expense charged for education or related services provided to the Eligible Student, and School shall provide a receipt to a parent of an Eligible Student or an emancipated Eligible Student for each Qualified Expense charged for education or related services provided to the Eligible Student. (IC 20-51.4-5-5)
13. School shall accept INESA payments with quarterly disbursements from the Eligible Student’s account for the duration of time that the Eligible Student maintains enrollment in School.
14. School shall also accept payments for any Qualified Expense from a source other than the Eligible Student’s INESA account. (IC 20-51.4-4-8)
15. School shall provide necessary banking information upon approval as a Participating Entity in the INESA program in order to accept payments from an Eligible Student’s INESA account.
16. School shall provide the TOS with information about the special education services, materials, staff, curriculum, and/or other programs available from the School, including any other providers associated with the School providing said services in order for parents of Eligible Students or

- emancipated Eligible Students to make informed decisions on which School will provide the best learning environment for the Eligible Student.
17. School shall not receive duplicate payments from any other source for the same services paid for using INESA funds. A violation may result in civil and/or criminal penalties.
  18. School shall not refund any part of the payment directly to the parent of the Eligible Student or the emancipated Eligible Student. Any refund provided by School shall be deposited into the Eligible Student's account. (IC 20-51.4-4-9)
  19. School attests that all School employees shall keep current and valid any and all licensure, certification, or accreditation necessary; School shall inform INESA of any changes, revocations, and/or lapses.
  20. School attests that School shall keep current and valid any and all licensure, certification or accreditation associated with the Qualified Expenses provided; School shall inform INESA of any changes, revocations, and/or lapses.
  21. School shall notify the DOE, the TOS, and/or the applicable licensing board if an employee is convicted of certain felonies. (IC 20-28-5-8)
  22. School shall conduct an expanded criminal history check and expanded child protection index check for all employees or contracted individuals who will have "direct, ongoing contact with children." (IC 20-26-5-10)
  23. School shall identify which qualifying expenses School can provide at the time of application. School shall identify if School can offer said qualifying expenses in any other languages. School shall identify if School can offer said qualifying expenses virtually.
  24. School shall notify the TOS if at any time they are no longer capable of providing any Qualified Expenses advertised.
  25. School understands, acknowledges, and agrees that the TOS and any of its contractual partners may advertise, market, and/or publish general information about School and the Qualified Services offered by School on any of its online platforms.
  26. School understands, acknowledges, and agrees that parents of Eligible Students or emancipated Eligible Students shall be able to rate the parent's experience with School, and other parents of Eligible Students will be able to see the rating. (20-51.4-3-5(5))
  27. School understands, acknowledges, and agrees that the TOS may refuse to allow School to continue participation in the program and revoke School's status as a Participating Entity if the TOS determines that School accepts payments made from an account under this article and: (1) has failed to provide any educational service required by state or federal law to an Eligible Student receiving instruction from the Participating Entity; or (2) has routinely failed to meet the requirements of a Participating Entity under the program. (IC 20-51.4-5-4(a))
  28. School understands, acknowledges, and agrees that the TOS may permit School to reapply with the TOS for authorization to be a Participating Entity on a date established by the TOS, which may not be earlier than one (1) year after the date on which School's status as a Participating Entity was revoked. The TOS may establish reasonable criteria or requirements that School must meet before being reapproved by the TOS as a Participating Entity. (IC 20-51.4-5-4(c))
  29. School understands, acknowledges, and agrees that the terms of this agreement are subject to change at the sole discretion of the TOS and/or as a result of changes in the law.
  30. School understands, acknowledges, and agrees that any questions and/or disputes regarding Qualified Services rendered under the INESA program are to be handled between School and the parents of Eligible Student or the emancipated Eligible Student; the TOS is not a party to said

disputes nor will the TOS intervene or interfere with the contractual obligations arising from said agreements.

- 31. School shall review and renew this agreement annually.
- 32. In addition to this signed agreement, School shall also submit the following annually:
  - a. Tuition and Fees Policy for the relevant school year
  - b. Discount Policy for the relevant school year
  - c. Proof of Accreditation (if not State accredited) for the relevant school year

\_\_\_\_\_  
**Printed Name of Authorized Representative**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Signature of Authorized Representative**

\_\_\_\_\_  
**Title of Authorized Representative**

**QUALIFIED SCHOOL INFORMATION**

\_\_\_\_\_  
Name of School

\_\_\_\_\_  
School Number

\_\_\_\_\_  
Grades Served

\_\_\_\_\_  
Address of school (Number and Street, City, State, and ZIP Code)

\_\_\_\_\_  
Internet / Website Address

\_\_\_\_\_  
Name and Title of School Leader

\_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
E-mail Address

\_\_\_\_\_  
Name of Accrediting Body

\_\_\_\_\_  
Accreditation Expiration Date (Month, Day, Year)



# APPENDIX C: Participating Entity Agreement

## PARTICIPATING ENTITY AGREEMENT

2022 – 2023 School Year

### INTRODUCTION

The Indiana Education Scholarship Account (“INESA”) program is administered and overseen by the Indiana Treasurer of State (“TOS”). Through the use of dedicated scholarship money, parents of Eligible Students or emancipated Eligible Students who participate in the INESA program have the opportunity to choose the educational environment and services that help them best meet their unique learning needs. Scholarship money may be used to purchase approved educational programs, therapies, services, tuition and fees, and other expenses related to the student’s education from approved Participating Entities.

A Participating Entity is an individual, organization, agency, or other entity authorized by the Indiana Treasurer of State's Office to provide services to INESA students. All Participating Entities must meet the requirements of the INESA program at the time of application and throughout the duration of participation in the program. Scholarship funds will be deposited directly into each student’s account which will be available to parents via a secure online portal. Parents can then make payments directly to Participating Entities from the student’s account; no reimbursements or debit cards will be issued.

The following agreement is for those individuals or entities wishing to be considered as a “Participating Entity,” as defined by IC 20-51.4-2-6, in the INESA program for the 2022-2023 school year. Before you complete the agreement, please do the following:

1. Read through the materials on the INESA website at <https://www.in.gov/tos/inesa>. These materials provide important background on the rules and requirements of the INESA program.
2. Read through IC 20-51.4 as it provides the complete list of rules and requirements for the INESA program.
3. Read and review the Participating Entity Handbook.

### ASSURANCES

As a condition of becoming a Participating Entity in the INESA program, the individual or entity (“Entity”) makes the following assurances by the authorized representative's signature:

1. I am an authorized representative of the Entity described at the end of this agreement with the authority and capacity to act on behalf of the Entity.
2. The information provided in this agreement is true and accurate. Any misrepresentation could result in denial and/or revocation from the INESA program.
3. Entity is one of the following: (1) An individual who or tutoring agency that provides private tutoring; (2) An individual who or entity that provides services to a student with a disability in

accordance with an individualized education program developed under IC 20-35 or a service plan developed under 511 IAC 7-34 or generally accepted standards of care prescribed by the Eligible Student's treating physician; (3) An individual who or entity that offers a course or program to an Eligible Student; (4) A licensed occupational therapist; or (5) Entity that provides assessments. (IC 20-51.4-5-2)

4. Entity shall not charge an Eligible Student participating in the INESA program an amount greater than a similarly situated student who is receiving the same or similar services; all fees and discounts must be applied uniformly to all students. Entity may not count a grant received by an Eligible Student for any purpose regarding the calculation of tuition, fees, scholarships, or any other financial aid. (IC 20-51.4-5-5)
5. Entity acknowledges that retroactive reimbursement to the State of Indiana and/or to the Eligible Student's account may be required, and/or future payments may be adjusted as a result of a student's withdrawal from the program and/or changes in the law.
6. Entity shall only accept INESA payments for "Qualified Expenses" as defined by IC 20-51.4-2-9.
7. Entity shall notify the TOS if an Eligible Student participating in the INESA program graduates or receives a certificate of completion under the Eligible Student's individualized education program. (IC 20-51.4-4-1(d))
8. Entity shall provide an itemized and detailed invoice, as described in the Participating Entity Handbook, to a parent of an Eligible Student or an emancipated Eligible Student for each Qualified Expense charged for education or related services provided to the Eligible Student, and Entity shall provide a receipt to a parent of an Eligible Student or an emancipated Eligible Student for each Qualified Expense charged for education or related services provided to the Eligible Student. (IC 20-51.4-5-5)
9. Any service or item for which an INESA student is responsible to pay that does not fall under a Qualified Expense category may not be listed on the invoice and must be paid by a source other than the student's INESA account.
10. Entity understands that payments will be made in arrears from the Eligible Student's account for the duration of time that the Eligible Student maintains enrollment in the Entity.
11. Entity shall also accept payments for any Qualified Expense from a source other than the Eligible Student's INESA account. (IC 20-51.4-4-8)
12. Entity shall provide necessary banking information upon approval as a Participating Entity in the INESA program in order to accept payments from an Eligible Student's INESA account.
13. Entity shall provide the TOS with information about the special education services, materials, staff, curriculum, and/or other programs available from the Entity, including any other providers associated with the Entity providing said services in order for parents of Eligible Students or emancipated Eligible Students to make informed decisions on which Entity will provide the best learning environment for the Eligible Student.
14. Entity shall not receive duplicate payments from any other source for the same services paid for using INESA funds. A violation may result in civil and/or criminal penalties.
15. Entity shall not refund any part of the payment directly to the parent of the Eligible Student or the emancipated Eligible Student. Any refund provided by a Participating Entity shall be deposited into the Eligible Student's account. (IC 20-51.4-4-9)
16. Entity attests that all Entity employees and any employees contracted with Entity shall keep current and valid any and all licensure, certification, or accreditation necessary; Entity shall inform INESA of any changes, revocations, and/or lapses.

17. Entity attests that Entity shall keep current and valid any and all licensure, certification or accreditation associated with the Qualified Expenses provided; Entity shall inform INESA of any changes, revocations, and/or lapses.
18. Entity shall notify the TOS if at any time they are no longer capable of providing any Qualified Expenses advertised and shall update their marketing profile to reflect said changes. Should the Entity no longer be able to provide the Qualified Expenses advertised, this agreement and the obligations thereof remain in place.
19. Entity shall notify the DOE, the TOS, and/or the applicable licensing board if an employee is convicted of certain felonies. (IC 20-28-5-8)
20. Entity shall conduct an expanded criminal history check and expanded child protection index check for all employees or contracted individuals who will have "direct, ongoing contact with children." (IC 20-26-5-10)
21. Entity shall identify which Qualified Expenses Entity can provide at the time of application. Entity shall identify if Entity can offer said Qualified Expenses in any other languages. Entity shall identify if Entity can offer said qualifying expenses virtually.
22. Entity understands, acknowledges, and agrees that the TOS and any of its contractual partners may advertise, market, and/or publish general information about Entity and the services offered by Entity on any of its online platforms.
23. Entity understands, acknowledges, and agrees that parents of Eligible Students or emancipated Eligible Students shall be able to rate the parent's experience with the Entity, and other parents of Eligible Students will be able to see the rating. (IC 20-51.4-3-5(5))
24. Entity understands, acknowledges, and agrees that the TOS may refuse to allow Entity to continue participation in the program and revoke the Entity's status as a Participating Entity if the TOS determines that the Entity accepts payments made from an account under this article and: (1) has failed to provide any educational service required by state or federal law to an Eligible Student receiving instruction from the Participating Entity; or (2) has routinely failed to meet the requirements of a Participating Entity under the program. (IC 20-51.4-5-4(a))
25. Entity understands, acknowledges, and agrees that the TOS may permit the Entity to reapply with the TOS for authorization to be a Participating Entity on a date established by the TOS, which may not be earlier than one (1) year after the date on which the Entity's status as a Participating Entity was revoked. The TOS may establish reasonable criteria or requirements that Entity must meet before being reapproved by the TOS as a Participating Entity. (IC 20-51.4-5-4(c))
26. Entity understands, acknowledges, and agrees that the terms of this agreement are subject to change at the sole discretion of the TOS and/or as a result of changes in the law. In order to continue participating in the INESA program, Entity agrees to sign an updated agreement upon request should there be changes and/or alterations made.
27. Entity understands, acknowledges, and agrees that any questions and/or disputes regarding services rendered under the INESA program are to be handled between the Entity and the parents of an Eligible Student or the emancipated Eligible Student; the TOS is not a party to said disputes nor will the TOS intervene or interfere with the contractual obligations arising from said agreements.
28. Entity understands, acknowledges, and agrees that any questions and/or disputes between Entity and its subcontractors, independent contractors, or other third parties are to be handled between the Entity and the subcontractors, independent contractors, or other third parties; the TOS is not a party to said disputes nor will the TOS intervene or interfere with the contractual obligations arising from said agreements.

## Indiana ESA

### Provider Handbook

29. Entity shall review and renew the Provider Agreement annually.

30. In addition to this signed agreement, Entity shall also submit the following annually if applicable:

- a. Tuition and Fees Policy for the relevant school year
- b. Discount Policy for the relevant school year
- c. Proof of Accreditation (if not State accredited) for the relevant school year

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**Printed Name of Authorized Representative**

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**Date**

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**Signature of Authorized Representative**

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**Title of Authorized Representative**

#### PARTICIPATING ENTITY INFORMATION

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**Business Name**

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**Business ID**

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**Business Address (Street, City, State, and ZIP)**

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**Website Address**

## APPENDIX D: Sample Invoice

**Dunder Mifflin Education & Therapy Center**

123 Anywhere St.,  
Any City, IN 12345  
123-456-7890

# Invoice

Invoice Date: May 15, 2022

Due Date: May 25, 2022

**Invoice To:**

DWIGHT SCHRUTE

Date of Service	Item Description	Price per hour	Qty	Subtotal
5/13/22	Two hours of ABA Therapy - Provider: Pamela Halpert	\$50.00	2	\$100.00
5/13/22	3 hours of Math Tutoring - Algebra	\$40.00	3	\$120.00
5/13/22	3 hours of Science Tutoring - Biology	\$40.00	3	\$120.00
<b>Subtotal</b>				<b>\$340.00</b>
<b>Tax</b>				<b>\$0.00</b>
<b>Total</b>				<b>\$340.00</b>

Thank you for your purchase!

DUNDER MIFFLIN  
EDUCATION & THERAPY  
CENTER

# APPENDIX E: APC Funding



## Indiana Department of Education

Dr. Katie Jenner, Secretary of Education

### Per Pupil Allocation for Special Education (State Funds only)

State of Indiana; School Year 2022-2023 (December 1, 2022); IC 20-43-7-6

ADJUSTED PUPIL COUNT (AGES 5B-22)*		
APC Level I: Severe Disabilities \$10,575	APC Level II: Mild and Moderate Disabilities \$2,657	APC Level III: Communication Disorders \$500
Multiple Disabilities Orthopedic Impairment Blind or Low Vision Deaf or Hard of Hearing Emotional Disability/Full Time Placement Severe Intellectual Disability Deaf-Blind Autism Spectrum Disorder Traumatic Brain Injury	Emotional Disability/All Other Placements Specific Learning Disability Developmental Delay (Ages 5B-8 only) Mild Intellectual Disability Moderate Intellectual Disability Other Health Impairment	Language or Speech Impairment
* Students aged 5B turned five between December 2, 2021 up to and including August 1, 2022 (kindergarten eligible). Per pupil allocation is based on the primary disability and an additional count of students with a secondary disability of Language or Speech Impairment. Amounts are conditional on state budgetary availability.		

PRESCHOOL COUNT (AGES 3-5A)†
All Disabilities \$3,465
† Students aged 5A turned five between August 2, 2022 up to and including December 1, 2022. Amount is conditional on state budgetary availability.