



Impartial Hearing Order Implementation Unit

# AUTHORIZATION AND PAYMENT GUIDE

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## 1. Background Information

This Authorization and Payment Guide provides guidelines for submitting documents to the Impartial Hearing Order Implementation Unit (IHOIU). The guide standardizes practices and documents for services and programs awarded at an impartial hearing that are provided by independent providers.

Once an order is issued by the impartial hearing officer and transmitted to the DOE, the Implementation Unit receives the order and starts the process of implementation.

The implementation process for prospective payment and/or reimbursement awards occurs through a 3-step process handled by the following teams:

1. COMPLIANCE TEAM: analyzes and unpacks orders identifying the actions required.
2. ACCOUNT MANAGEMENT TEAM: verifies vendor information and supporting documentation to set funding parameters for ordered services and programs. This administrative function is commonly referred to as the “authorization” process.
3. BILLING TEAM: receives vendor invoices and processes payments based on the funding parameters authorized above.

## 2. Review the Impartial Hearing Order

You should review the impartial hearing order and verify the details regarding reimbursement/prospective payments/direct payments, payment amounts, timelines, and any other requirements.

Please note that the language in an impartial hearing order may change the standards for documentation codified in this guide.

## 3. Overview of Direct Payment and Reimbursement Authorizations

Below you will find the information and/or documentation necessary for an IU account specialist to authorize funding or reimbursement in the most commonly awarded categories.

“Direct payment” means any payment made directly to a vendor, provider, or school.

“Reimbursement” means repayment to the parents or parent representatives for out-of-pocket costs associated with tuition, services, transportation, evaluations, and/or goods.

Entities seeking funding should be registered as a payee with the city and confirm that your address is current (see Section 5).

### 3.1. Direct Payment - Tuition Authorizations

“Tuition” means fees charged by an educational institution or specialized program for a student’s enrollment in a particular school year.

#### **Required Documents**

- A signed contract between school and parent and/or notarized affidavit from school on letterhead, including the following information:
  - Student’s Name
  - School Year
  - Tuition Amount
  - Enrollment Period
  - First Date of Attendance
  - Expected Final Date of Attendance for the School Year
  - Payments Made to Date (if any)
  - Balance Owed to the School

#### **Email Submission**

- Payee Name
- Business Address
- Email Address
- Secondary Email Address (if applicable)
- Tax Identification Number (TIN) (omitting hyphens)

### 3.2. Direct Payment - Services Authorizations

“Services” means related services/therapies (i.e., occupational therapy/physical therapy/speech language therapy, counseling), academic intervention services, applied behavioral analysis, compensatory awards, and other supports provided to students at a specific frequency and duration as required by an impartial hearing order.

#### **Required Documents**

- Provider Certification or Licensure (if applicable)

#### **Email Submission**

- Agency Name
- Provider Name
- Business Address
- Email Address
- Secondary Email Address (if applicable)
- Tax Identification Number (TIN) (omitting hyphens)
- Service Type
- Dollar Rate per Session

- One or Multiple Providers
  - If multiple providers, confirm the frequency or amount sessions to be provided.
- Service Initiation Date/Service Dates
- Mandate or Compensatory Services
  - For (Recurring) Mandated Service:
    - Sessions per Week/Month/Quarter/Year
    - Length of Session (e.g., 30/45/60 Minutes)
  - For Compensatory Services:
    - Total Sessions/Hours Awarded
    - Total Sessions to be Provided
    - Length of Session (e.g., 30/45/60 Minutes)

### 3.3. Direct Payment - Evaluations Authorizations

“Evaluations” mean assessments conducted by independent professionals to assess a student’s specific needs, abilities, and requirements as defined by an impartial hearing order.

#### **Email Submission**

- Agency Name
- Evaluator Name
- Business Address
- Email Address
- Secondary Email Address (if applicable):
- Tax Identification Number (TIN) (omitting hyphens)
- Evaluation Type (i.e., neuropsychological, speech, occupational therapy)
- Rate
- Service Dates (including date of report)

### 3.4. Direct Payment - Transportation Authorizations

“Transportation” means transportation provided by a private vendor transporting students to and from schools/evaluators/service locations as required by an impartial hearing order.

#### **Required Documents**

- Proof of Attendance at School/Service Location

#### **Email Submission**

- Vendor/Provider Name
- Business Address
- Email Address
- Secondary Email Address (if applicable)
- Tax Identification Number (TIN) (omitting hyphens)
- Proof of Attendance at School/Service Location

- Service Dates
- Number of Trips Taken
- Rate per Trip

### 3.5. Reimbursement

#### **Required Documents for All Reimbursements**

- Proof of Payment (POP) – clearly identifying the school/provider/vendor and the amounts paid
- Required Documents for Each Sub-Category

#### **Proof of Payment (POP)**

- Cancelled Checks Payable to School/Provider (front and back)
- Credit Card Statements
- Bank Statements
- Payment by Loan
  - Loan Agreement
  - Notarized Statement from School or E-Service Provider/Vendor (Payee) Verifying that Tuition, Service, or Goods Were Paid for
- Payments by Cash
  - Notarized Statement from both the Parent (Payer) and Service Provider/Vendor (Payee) Acknowledging the Specific Case Payment(s) Made and Verify the Exact Cash Amount Received

#### **Required Documents for Each Sub-Category**

- Tuition Reimbursement
  - Updated Notarized Affidavit from School Indicating Amounts Paid/Owed
- Services Reimbursement
  - Provider Invoices and POP in Chronological Order
  - To the Extent Possible, a Notarized Affidavit from Provider or Parent Stating the Total Cost and Dates of Service
- Evaluation Reimbursement
  - Provider Invoices
- Transportation Reimbursement
  - Receipts Indicating Amounts and Dates of Service
  - To the Extent Possible, a Notarized Affidavit from Parent Stating Total Costs and Dates of Service/Travel
- Goods Reimbursement (e.g. Assistive Technology)
  - Receipts Indicating Amounts and Date of Purchase
- School Meal Reimbursement
  - Receipts Indicating Amounts and Dates of Purchase
  - Attendance Records

### **Additional Document Notes for Reimbursement**

- Arrange all reimbursement documents (i.e., proof of payment, services invoices, travel receipts, etc.) in chronological order (earliest date first)
- Group service reimbursement documents by service type
- Collate invoices with relevant POP documents for lengthy submissions
- Highlight the relevant payments in POP documents
- Do not submit bank statements with no relevant payments or blank statements
- Include all reimbursement documents in one PDF file with the following naming convention: Student Full Name, Case Number, Service Type or Tuition, Time Period at Issue
- Attach DRSS or W-9 Forms if needed as separate PDFs
- For tuition document submissions, the affidavit should be on the first page
- Subsequent Submissions:
  - Additional tuition payments should include updated school tuition affidavits and only the additional POP documents
  - Social Security Number

### **Email Submission for All Reimbursements**

- Payee Name
- Business Address
- Email Address
- Secondary Email Address (if applicable)
- Tax Identification Number (TIN) (Omitting Hyphens) for Attorneys Acting as Escrowees or Social Security Number (SSN) for Reimbursements Made to Parents
- Indicate Whether or not There Will be Subsequent Parental Payments

## 3.6. Document Submission for Direct Payment and Reimbursement Authorizations

- Email all required documents and information to **[IUAuthorization@schools.nyc.gov](mailto:IUAuthorization@schools.nyc.gov)**
  - If you have an assigned account specialist, include their email in the TO: line of the email
- All documents submitted should be legible
- The subject line of the email must include the student's full name, NYCID number (OSIS #), and impartial hearing case number
- Once all required information and documents have been received, payment authorization will be initiated. You will receive an email confirming the approved funding parameters and other important information.

## 4. Billing and Invoicing

- Submit the required information to **[IHServiceInvoices@schools.nyc.gov](mailto:IHServiceInvoices@schools.nyc.gov)**

- The subject line of the email must include the student’s name, NYCID number (OSIS), and impartial hearing case number
- All documents submitted should be legible
- Vendors must copy the parent and the parent representative (if applicable) on their invoice submission
- Tax Identification Number (TIN) must be included on all invoices. Vendors must have a registered Tax Identification Number (TIN) with the City of New York to receive payment.
- Vendors are required to use the Vendor Monthly Service Invoice for billing purposes. This form cannot be altered.
- Review all invoices for accuracy prior to submission
  - Verify rates, session times, and number of sessions billed.
  - Ensure all calculations are correct and that all numbers are legible.

The number of sessions should be aligned to the mandated number of sessions in an order and the authorization email issued by the Implementation Unit. Failure to invoice properly may result in underpayments.

Example

If an order and authorization email indicate the provision of thirty-minute sessions, then the invoice must be tallied to reflect the total number of thirty-minute sessions provided and the rate for thirty-minute sessions for a “total amount due”.

To the maximum extent possible, provide clean start and end times for each service date.

Example

Preferred Format 8:50 am - 9:50 am  
 Not Preferred 8:47 am - 9:54 am

## 5. Registration as a City Payee

Any party who receives reimbursement/funding pursuant to impartial hearing orders must register as a payee with the City of New York including parents, parent’s attorney or parent’s representative, vendors, and schools.

The Direct Reimbursement Social Security Form (DRSS FORM) and W-9 Form should be emailed to the assigned account specialist and cc: [IUAuthorization@schools.nyc.gov](mailto:IUAuthorization@schools.nyc.gov). The forms should be submitted as a single PDF with the following naming convention:

- DRSS Form - Case number - Student Name - Name of Payee
- W-9 Form - Provider Name - Case Number

Parents/Parent’s Attorney

- Parents who the City of New York has never reimbursed must submit a DRSS Form
- Parents may also submit a DRSS Form to update their payment information



- If the City of New York has previously paid you and you have not changed your address, you do not need to submit a DRSS Form
- Note: This step is not required if the attorneys accept reimbursement on behalf of their client via escrow accounts

### **Vendors/Schools**

- If you do not have a Tax Identification Number (TIN), you must submit a substitute W-9 Form
- Once registered, the request is validated by the New York City Comptroller's Office
- The vendor will receive a notification email from the Division of Contracts & Purchasing (Vendor Set-up/Vendor Resources) once the validation process is complete

### **Change of Address**

- W-9/DRSS Form, and Change Letter is required for any changes to a payee's account
- The Change Letter should be on company letterhead and must include the previous information, the new information, and a brief description of the modification.

## 6. NYC Payee Information Portal (PIP)

- All payees should create a PIP account to monitor payment approved in accordance with impartial hearing orders. <https://a127-pip.nyc.gov/webapp/PRDPCW/SelfService>
- Payees who want to direct payments to a single bank account may enroll in EFT/Direct Deposit using the PIP website
- To check the status of an anticipated payment, access the PIP website
- Technical questions pertaining to the PIP website should be directed to FISA via email [pip@fisa.nyc.gov](mailto:pip@fisa.nyc.gov).
  - Include your business name, phone number, and vendor code in your communication

## 7. DOE Provided Services

If you have questions regarding the status of services provided directly by NYCDOE pursuant to Impartial Hearing Orders, such as IEP meetings, class placements, issuance of Related Services Authorization (RSA), evaluations to be conducted by NYCDOE staff, you may submit your inquiries to [IHOIUManagers@schools.nyc.gov](mailto:IHOIUManagers@schools.nyc.gov).

The subject line of the email must include the student's name, NYCID number (OSIS), and impartial hearing case number.

## 8. Helpful Tips

### **Escrow Accounts**

To expedite payment reimbursements by up to 3 weeks, we highly recommend that attorneys accept reimbursement on behalf of their client via escrow accounts.

### **Provider Changes/Compensatory Bank Extensions**

When submitting a request to change providers or bank extensions, provide the previous provider's end date and hours used, and the new provider's information including Tax Identification Number (TIN), rate, and start date.

### **Avoid Submitting Unnecessary Documents**

Do not submit copies of the Impartial Hearing Orders. Our office already has access to all orders in our system.

### **Common Causes of Processing Delays**

- Including unnecessary recipients in emails. It causes confusion as to who the recipient is, and who should be responsive to the emails.
- Additional or follow-up emails should be sent on the same email thread as the initial email. Please do not start a new email for the same student, case, and issue as this may lead to confusion.

### **Direct Deposit**

For faster and more efficient payment processing, payees are strongly encouraged to enroll in direct deposit.