

Adult Education and Family Literacy Guidelines for Program Year 2014-15

For services offered with the following funding:

**Pennsylvania Act 143 of 1986, Title 24, Chapter 31
Adult and Family Literacy Education Act**

**Workforce Investment Act of 1998, Title II
(Federal Adult Education and Family Literacy Act)**

March 2014



**COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF EDUCATION**

333 Market Street
Harrisburg, PA 17126-0333
www.education.state.pa.us



pennsylvania
DEPARTMENT OF EDUCATION

Commonwealth of Pennsylvania

Tom Corbett, Governor

Department of Education

Carolyn C. Dumaresq, Ed.D, Acting Secretary

Office of Postsecondary and Higher Education

L. Jill Hans, Deputy Secretary

Bureau of Postsecondary and Adult Education

Vacant, Director

Division of Adult Education

Amanda Harrison, Chief

The Pennsylvania Department of Education (PDE) does not discriminate in its educational programs, activities, or employment practices, based on race, color, national origin, sex, sexual orientation, disability, age, religion, ancestry, union membership, or any other legally protected category. Announcement of this policy is in accordance with State Law including the Pennsylvania Human Relations Act and with Federal law, including Title VI and Title VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination in Employment Act of 1967, and the Americans with Disabilities Act of 1990.

The following persons have been designated to handle inquiries regarding the Pennsylvania Department of Education's nondiscrimination policies:

For Inquiries Concerning Nondiscrimination in Employment:

Pennsylvania Department of Education
Equal Employment Opportunity Representative
Bureau of Human Resources
333 Market Street, 11th Floor
Harrisburg, PA 17126-0333
Voice Telephone: (717) 787-4417
Fax: (717) 783-9348
Text Telephone TTY: (717) 783-8445

For Inquiries Concerning Nondiscrimination in All Other Pennsylvania Department of Education Programs and Activities:

Pennsylvania Department of Education
School Services Unit Director
333 Market Street, 5th Floor
Harrisburg, PA 17126-0333
Voice Telephone: (717) 783-3750
Fax: (717) 783-6802
Text Telephone TTY: (717) 783-8445

If you have any questions about this publication or for additional copies, contact:

Pennsylvania Department of Education	Voice: (717) 772-3737
Bureau of Postsecondary and Adult Education	Fax: (717) 783-0583
333 Market Street, 12th Floor	TTY: (717) 783-8445
Harrisburg, PA 17126-0333	www.education.state.pa.us

All Media Requests/Inquiries: Contact the Office of Press & Communications at (717) 783-9802

Table of Contents

100 General Information.....	1
101 Purposes of Funding	1
102 Priorities for Funding.....	2
103 Priorities by Source.....	2
104 Standards-Based Instruction	3
105 Career Pathways.....	3
106 Application Procedures.....	3
107 Eligible Providers.....	4
108 Non-duplication of Services	4
109 Americans with Disabilities Act (ADA) Compliance	5
110 Health and Safety Standards	5
200 Program Operations	5
201 Board of Directors (Requirement of State Act 143).....	5
202 Adult Education Coalition	5
203 Program Service Settings.....	5
204 Funding Level for Tutor Training (State funding).....	5
205 Staff Roles.....	6
206 System Accountability	8
207 Student Services.....	9
208 Waiting List	10
209 Language of Instruction	10
210 Eligible Adults	10
211 Quality of Educational Services.....	11
212 Literacy Services.....	12
213 Instructional Plans.....	12
214 Instructional Models	12
215 Continuous Program Improvement and Professional Development.....	14
300 Fiscal Requirements.....	18
301 Program Year	18
302 Funding Equity.....	18
303 References.....	18
304 Financial Management System	19
305 Use of Funds – Specific Considerations	21
306 Use of Funds – Specific to Family Literacy	22
307 Ineligible Use of Funds	23
308 Program Budget	24
309 Encumbrance of Funds	24
310 Payment Schedule.....	24

311 Budget Flexibility	25
312 Budget Revisions	25
313 Fiscal Reports.....	26
314 Audits.....	28
315 Retention of Records.....	28
400 Preparing Applications.....	28
401 Multi-Year Contracts	29
402 Grant Applications	29
403 Grant Amounts.....	29
404 Application Components	29
405 Narrative	30
406 Budget.....	30
407 Budget: Local Match.....	31
408 Budget: Cost Functions.....	31
409 Budget: Object Codes	35
410 Local Matching Funds	41
411 Grant Agreement Signature Pages.....	42
412 Signature Authority for All Grant Applications	42
413 Execution of Contracts.....	44
414 Contract Compliance	44
415 Federal Funding Accountability and Transparent Act (FFATA) Provisions.....	44
416 Appeals	45
500 Submission Dates.....	46
Appendix A – English Literacy/Civics Education.....	46
Appendix B – Act 143 Family Literacy.....	49
Appendix C – State Leadership	52
Appendix D – Pennsylvania Literacy Corps.....	55
600 Glossary	57

100 General Information

101 Purposes of Funding

101.1 Federal

Title II of the [Workforce Investment Act \(WIA\) of 1998](#), also known as the Adult Education and Family Literacy Act (AEFLA), creates partnerships among the Federal Government, States, and localities to provide, on a voluntary basis, adult education and literacy services, in order to:

1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency;
2. Assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children; and
3. Assist adults in the completion of a secondary school education.

101.2 State

[Pennsylvania Adult and Family Literacy Education Act 143](#) aims to provide coordination and broaden the scope of educational activities to uneducated and undereducated adults in the Commonwealth and their families, including those who speak other languages, and to provide programs to those individuals who have previously been unserved. The Act aims for:

1. Increased and improved services to adult learners and their families through the coordination of funding streams and programs across State departments; and
2. Increased and expanded adult and family literacy education programs so that adults and their families will function more effectively in their personal lives and as citizens and be better prepared for workforce training and employment that they may become more responsible and productive members of society.

Under State Act 143, adult and family literacy education providers may apply to the Pennsylvania Department of Education (PDE) for grants to provide the following services:

1. Adult literacy education programs for eligible adults;
2. Family literacy education programs for eligible parents and their children;
3. Training for volunteer adult literacy education instructors;
4. Administration, support services for learners, and outreach activities.

102 Priorities for Funding

102.1 Federal

Factors that shall be considered for funding under the **Workforce Investment Act of 1998, Title II, Section 224 (b) (10)** include program strategies to serve, at a minimum, the following populations:

1. Low-income students;
2. Individuals with disabilities;
3. Single parents and displaced homemakers;
4. Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency.

102.2 State

The following factors shall be considered for funding under Section § 6404 of State Act 143:

1. Percentage of eligible adults expected to be enrolled for instruction who are receiving either state or federal public assistance, or who are unemployed workers or displaced homemakers;
2. Percentage of eligible adults in any local area who do not have certificates of graduation from a secondary school and who are not currently enrolled in adult or family literacy education programs;
3. Percentage of eligible adults expected to be enrolled who are members of minority groups;
4. Percentage of eligible adults with less than a fifth grade reading level.

103 Priorities by Source

103.1 Workforce Investment Act, Title II, Section 231 Adult Education

Applications will be accepted from agencies that have demonstrated an ability to produce results consistent with the objectives of the Adult Education and Family Literacy Act and the state performance targets.

103.2 Pennsylvania Adult Basic and Family Literacy Education Act 143 of 1986

Applications will be accepted from agencies that have demonstrated an ability to produce results consistent with the objectives of the Pennsylvania Adult Basic and Family Literacy Education Act 143 of 1986, as amended, and the state performance targets.

103.3 Workforce Investment Act, Title II, Section 223 “State Leadership” Applications

Applications will be accepted from agencies that have demonstrated an ability to produce results consistent with the objectives of the Adult Education and Family Literacy Act, Sec. 223 of the Workforce Investment Act 1998.

103.4 English Literacy/Civics Education

The Bureau will allocate funds to agencies based upon the needs of the Local Workforce Investment Area (LWIA), the experience and the ability to produce results consistent with the objectives of the Adult Education and Family Literacy Act and the state performance targets.

104 Standards-Based Instruction

Standards-based education provides a structured approach for state adult education agencies and local programs to create a system that explicitly links standards, assessments, and instructional delivery. Pennsylvania Department of Education's Standards Aligned System (SAS) is the comprehensive system to support student achievement across the Commonwealth. The Pennsylvania Core Standards, adopted in 2013, mirror the content and rigor of Common Core but reflect the organization and design of the Pennsylvania Academic Standards. Refer to www.pdesas.org.

The Division of Adult Education will implement the *College and Career Readiness Standards for Adult Education* that were released by the Office of Career, Technical, and Adult Education, (formerly the Office of Vocational and Adult Education). The *College and Career Readiness Standards for Adult Education* are a subset of the Common Core State Standards and align closely with the Pennsylvania Core Standards.

105 Career Pathways

As defined in the interagency letter from the US Departments of Education, Labor, and Health and Human Services dated April 4, 2012, a career pathway is "a series of connected education and training strategies and support services that enable individuals to secure industry relevant certification and obtain employment within an occupational area and to advance to higher levels of future education and training in that area."

The role of Division-funded agencies is to help students acquire the knowledge and basic skills, including critical thinking skills problem-solving skills, necessary to earn a secondary school credential and transition to and succeed in employment and/or postsecondary education or training.

106 Application Procedures

This document provides information on the application procedures and requirements to be considered by the Pennsylvania Department of Education, Bureau of Postsecondary and Adult Education, hereafter referred to as the "Bureau," for funding to provide adult basic and literacy education services. For the purpose of planning, writing, and submitting applications, this document should be used in conjunction with information presented by the Bureau in the bidders' conference delivered via webinar. Agencies should review this information in conjunction with the eGrants application to develop a complete understanding of the process, intent, and requirements of the application process.

The grant application process used by the Pennsylvania Department of Education requires electronic submission. To access eGrants, go to the following link: <http://www.egrants.pa.gov>. Subscription to various web-based protocols is required in this process to submit reports and review program data. Various submissions are required throughout the year via the Financial Accounting Information system, eGrants system, eData, email, and standard postal mail. Original signatures from those authorized to enter into contractual arrangements with Pennsylvania Department of Education are required on various riders. Each application has a corresponding submission deadline. Applicants should adhere to all specified deadlines. No grant applications will be accepted after published application due dates.

This document encompasses adult education services for all Bureau-funded programs. Additional requirements for Family Literacy, English Language/Civics, State Leadership, and Literacy Corps are listed as separate appendices.

Information concerning the availability of funds and the application procedures is published during the first quarter of each year. Dissemination of this information is through [The Pennsylvania Bulletin](#), electronic notices to local education agencies via PENN*LINK, and Pennsylvania Department of Education website www.education.state.pa.us.

107 Eligible Providers

Services will be delivered by eligible local provider agencies in public or other community facilities suitable for adult education. As defined in state and federal legislation, the following types of agencies are eligible to make an application to and contract with the Pennsylvania Department of Education to provide adult basic and literacy education and family literacy services:

1. Local Education Agency (LEA);
2. Community-based Organization (CBO) of demonstrated effectiveness;
3. Volunteer Literacy Organization of demonstrated effectiveness;
4. Institution of Higher Education;
5. Public or Private Nonprofit Agency;
6. Library;
7. Public Housing Authority;
8. Faith-based Organization (FBO) that meets all statutory and regulatory requirements of the program and does not discriminate against beneficiaries on the basis of religion;
9. Nonprofit institution that is not described above and has the ability to provide literacy services to adults and families;
10. Consortium of agencies, organizations, institutions, libraries, or authorities listed above.

108 Non-duplication of Services

Adult education and family literacy programs, services, or activities provided under this funding must be coordinated with, but not duplicate, programs, services, and activities made available to adults under other sources of federal, state, and local funding for education, training, corrections, public housing, and social service programs.

109 Americans with Disabilities Act (ADA) Compliance

Agencies must comply with the ADA in terms of making adult basic and literacy education activities; including registration and counseling, accessible to eligible adults who wish to enroll in the program.

110 Health and Safety Standards

All public and private sites used to provide adult literacy and early childhood education are required to meet the local health and safety standards as established by law.

Adult education and family literacy programs found in violation of these policies may be closed for investigation. The site may be closed permanently based upon the findings of the investigation.

200 Program Operations

201 Board of Directors (Requirement of State Act 143)

The agency must be governed by a policy-making board, with either appointed or elected representatives from the public and private sectors of the community. If the provider is a school district, intermediate unit, career and technical center, or institution of higher education, the board that governs the overall institution serves as the board for the purpose of this program.

202 Adult Education Coalition (Reference Policy G.100)

A coalition is a formal group of Pennsylvania Department of Education-funded adult basic education agencies previously mandated under Bureau policy to integrate educational services with other services supported by the LWIA. While no longer mandated to form coalitions, funded programs must meet informally to coordinate services in the LWIA and present an updated summary of services annually to the Local Workforce Investment Board (LWIB).

203 Program Service Settings

1. Community-Based Locations
2. Correctional Institutions
3. Other Institutions
4. Workplace Locations

204 Funding Level for Tutor Training

State Act 143 requires that 20 percent of the annual state allocation be used to train volunteer adult education instructors. As full service providers, all adult basic education programs are expected to provide tutoring services and budget and expend an appropriate amount of their state

funds for tutor training and coordination. In order to meet the legislated minimum, Division staff may contact agencies to increase their proposed amounts.

205 Staff Roles

It is essential that adult education and family literacy programs are able to comply with all the requirements of the state and federal grants. To this end, agencies are required to maintain certain staff positions to ensure the quality of supervision, data collection and entry, case management and instruction. All staff, paid and unpaid, must be properly qualified to fulfill the duties listed in their written job description through training, education, or experience.

Instructional and case management staff must have a four-year degree from an accredited postsecondary institution. Early childhood education instructional staff in family literacy programs must have a minimum of an associate's degree in a field related to early childhood, elementary, or secondary school.

The following roles do not necessarily imply full-time, dedicated positions.

205.1 Program Director

The program director is responsible for the overall coordination, administration, and instructional leadership of the adult and/or family literacy education program. The duties include, but are not limited to, ensuring compliance with Division policies, providing adequate staffing, providing new staff with agency-specific orientation, providing fiscal oversight, providing leadership in program improvement/professional development, coordinating adult education services in the LWIA, where required, and maintaining contact with institutions of postsecondary education and training, local businesses and community service organizations.

205.2 Intake/Assessment Specialist

The intake/assessment specialist will have training in assessment administration, be familiar with all approved standardized assessment instruments, and attend periodic refresher assessment training. Duties include, but are not limited to, conducting program orientation, conducting formal and informal assessments, collecting intake information, initiating participant goal setting, evaluating participant readiness, and coordinating with case manager and instructor.

205.3 Case Manager

The Division recommends that the case manager be a dedicated position. In cases where this is not possible, the staff assigned to case management duties must be given sufficient dedicated time to fulfill their duties. The case manager will have training in educational counseling and attend periodic case management professional development courses. Services should be made available at flexible times to meet participants' needs, including during class hours. Case management should be available, as needed, to any student enrolled in an adult education program. The duties include, but are not limited to, participating in program orientation, reviewing goals and analyzing assessments, coordinating with intake specialist and instructor,

making referrals to other community resources/agencies, assisting with addressing barriers to attendance, such as childcare and transportation; providing access to resources to assist with transition to workforce or postsecondary education/training; and documenting counseling activities and hours.

205.4 Classroom Instructor

Classroom instructors will spend no more than 80 percent of their paid time in instruction. The program must ensure that adequate time be allotted for lesson planning, professional development, leadership activities, and program improvement efforts. Other duties include, but are not limited to, participating in program orientation, when possible; periodically reviewing goals; adjusting student placement, if needed; and coordinating with intake specialist and case manager.

205.5 Data Quality Specialist

Data quality specialists will have data entry skills, knowledge of the assessments used by the program, training in use of the eData v2 system and a complete understanding of services offered by the agency to ensure accurate data entry. The duties include, but are not limited to, overseeing data entry for the agency; ensuring timely, complete, and accurate entry of data; performing regular review of data for errors; and ensuring immediate corrections, when needed.

205.6 In-House Professional Development Specialist

In-house professional development specialists should be a staff member with current or prior adult education teaching experience. This person works with other staff to develop and implement individual professional development plans in coordination with the agency program improvement and professional development worksheet. Duties include, but are not limited to, coordinating professional development activities within the agency, supporting staff in implementing new skills and knowledge, and working closely with the professional development system and the program director around instructional quality.

205.7 Tutor Coordinator

Tutor coordinators provide training and support to volunteer adult education instructors and their learners. The duties include, but are not limited to, implementing effective processes for tutor screening, making referrals to the case manager, participating in orientation, conducting training sessions, assigning and supporting tutor-student pairs/groups, providing ongoing supervision of tutoring staff and working with the in-house professional development specialist to coordinate tutor professional development.

205.8 Volunteer Instructor

Volunteer instructors provide one-on-one or small group instruction to students. Though they are not paid staff members, volunteer instructors are still required to participate in professional development activities and to schedule time for instruction preparation. Volunteer instructors

should work with tutor coordinators to periodically review goals; adjust student placement, if needed; and coordinate with intake specialist and case manager.

Volunteer instructors (tutors) must have a four-year degree or be currently enrolled in a four-year degree program. This includes community college if the student is enrolled in a transfer program that will lead to a four-year degree. If the person has stopped taking courses, they are not considered to be pursuing the degree.

Tutors without a four-year degree are permitted if they show continuous tutoring since Program Year (Program Year) 2006-07, have participated in one in-service activity in each of those years, and have been consistently providing a minimum of three hours of tutoring a week (with breaks of one/two weeks once or twice a year).

Note: Pennsylvania Literacy Corps students, teacher aides and non-instructional volunteers are exempt from the four-year degree requirement.

206 System Accountability

206.1 Monitoring and Evaluation of Adult Education and Family Literacy Programs

The Division of Adult Education will regularly monitor agencies for contractual, legal, fiscal, and policy compliance. Agency must notify the Division of any changes to approved contracts, including project narrative and budget.

206.2 Data Reporting (Reference Policy C.130)

Agencies are required to enter data in the eData v2 system. Data should be available for review at all times. Timely data entry will allow agency staff and the Division of Adult Education to analyze data on a regular basis and use it for program planning and continuous program improvement. Division policy requires that data be entered at least monthly. The Data Quality Validation Form must be submitted annually.

206.3 Contracted Enrollment (Reference Policy C.100)

Agencies contract for a specific number of enrolled students when they submit a grant application. Agencies over or under enrolling students by significant amounts will be out of compliance with the grant agreement. Agencies may negotiate with the Division to reduce the contracted number during the program year if circumstances warrant a change.

While the Division does not prohibit students from being served in more than one grant during a program year, these dual enrolled students will only be counted once when calculating total grant enrollments at the end of the program year. For performance purposes, the determining factor when selecting which grant (064, 054, or 061) a dual enrolled student will be placed in will be the grant in which the student had the most contact hours.

206.4 Contractor Responsibilities

An agency may subcontract a portion of its grant to provide adult education and/or family literacy services. In the grant application, the agency must indicate the entity(ies) that will receive subcontracting funds and how much it will receive. Should the agency decide to discontinue the subcontracting relationship during the course of the grant cycle, it must contact its Division advisor to explain how it plans to replace the services provided by the subcontractor.

As the contractor for the grant:

1. The agency must have a written agreement in place with the subcontracting agency that includes a formal budget.
2. The agency is responsible for providing its subcontractor(s) with all pertinent Division information.
3. The agency will notify the subcontracting agency(ies) that subcontractors are required to adhere to the all policies and guidelines that apply to state and federal funding. This includes providing case management services and professional development for staff.
4. The agency is responsible for the performance of, and any violations of guidelines and policies by, the subcontractor(s).

207 Student Services

207.1 Student Intake

Programs must have a formal written process in place for conducting student intake.

1. Programs must use the current year eData v2 forms for collecting student information in accordance with the National Reporting System (NRS) Implementation Guidelines (Chapter III. The NRS Data Collection Process) www.nrsweb.org. The program must collect all of the information that is required on the eData form. Intake forms must be included in the student files.
2. For the purpose of conducting NRS core outcome data matching, programs should ask the adult learner to provide their social security number on the intake form.
3. Students must sign the Release of Information statement at the end of the Adult Intake/Exit form. Programs must also have a signed release of information form in each student file in order to share student information with any other entities.
4. Students should be entered into the eData system when they have completed the intake form and pretesting.

207.2 Student Orientation

1. Programs must provide all students with an orientation to explain eligibility, program services - including the Distance Learning Project, the attendance policy, class participation,

student support services, fire drills, emergency evacuation procedures, grievance procedure, rights and responsibilities, and basic rules and regulations.

2. Programs must ensure that all students, including limited English proficient students, understand the information provided at orientation.
3. The program must provide each student with a student handbook that clarifies and explains program policies, such as policies regarding attendance, absenteeism, grievance procedures, educational counseling and other student support services, assessment policy, course offerings, severe weather policy, fire drill instructions, and drug and alcohol policies.
4. A maximum of 5 hours of orientation time may count towards student enrollment.

207.3 Student Placement

Programs must use effective assessment tools to place students in the most appropriate instructional/class level. Student files must include evidence of the approved standardized assessment used for NRS reporting. Programs referring students to the Distance Learning Project should provide appropriate screening to ensure student success.

207.4 Student Persistence

Programs must employ a variety of strategies to promote student persistence in order to ensure that students participate in the program long enough to reach their goals.

1. The program must have a written, enforced attendance policy.
2. The program must implement a process that follows up on student absences.
3. The program must provide access to support services.

208 Waiting List

Programs are expected to serve their contracted number of students. Over-enrollment can be avoided by appropriate pre-screening during the intake and orientation process and efficient class scheduling. Applicants who are not classroom ready or who are unable to enroll due to capacity constraints should be placed on a waiting list.

209 Language of Instruction

Instruction provided with funds from the Bureau must be delivered in the English language.

210 Eligible Adults

210.1 Federal

Individuals who meet the following criteria in SEC. 203 (1) of the Workforce Investment Act of 1998 are eligible for adult education services:

1. Have attained 16 years of age;
2. Are not enrolled or required to be enrolled in secondary school under state law; and

3. Who

- a. Lack sufficient mastery of basic educational skills to enable effective functioning in society;
- b. Do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
- c. Are unable to speak, read, or write the English language.

Section 225 of the Workforce Investment Act of 1998 notes that, if receiving instruction in a correctional facility, priority should be given to students likely to leave the correctional institution within 5 years of program participation.

Note: The focus of the federal funds is providing services to the higher functioning adult students (High Intermediate ABE, Low Adult Secondary, and High Adult Secondary). Agencies can provide services to lower functioning students with this funding, but the majority of enrolled students should be at the higher levels.

210.2 State

Individuals who meet the following criteria in section § 6403 of the Pennsylvania Adult and Family Literacy Education Act 143 are eligible for adult education services:

1. Is 17 years of age or older;
2. Is a resident of Pennsylvania; and
3. Is not currently enrolled in a public or private secondary or postsecondary school.

Note: The focus of the state funding is providing services to the lower functioning adult students (ABE Beginning Literacy, ABE Beginning, Low Intermediate ABE, and all levels of ESL). Agencies can provide services to higher level students with this funding, but the total funds expended statewide for GED[®] preparation cannot exceed 20 percent of the state allocation.

210.3 Serving Adults on Temporary Assistance for Needy Families (TANF)

Programs may serve welfare recipients with state and federal funding.

210.4 F-1 Visa (Reference Policy C.800)

In accordance with Section 625 of Public Law 104-208, foreign students with an F-1 visa are prohibited from enrolling in any Bureau-funded adult education or family literacy program.

211 Quality of Educational Services

At a minimum, quality adult education and family literacy programs will:

1. Provide instruction grounded in research using the Career Pathway framework.
2. Build on community resources.
3. Employ qualified staff.

4. Support ongoing, job-embedded, professional development of staff.
5. Pursue continuous program improvement.
6. Document outcomes for learners.

212 Literacy Services

Adult education services may be provided in both community-based and institutional settings. Eligible program categories are:

1. Adult Basic Education (ABE)
2. Adult Secondary Education (ASE)
3. English as a Second Language (ESL)
4. Family Literacy (FL)

Adult education services include reading, math, and English language skills below the postsecondary level. Agencies may provide services to students enrolled in postsecondary education as long as the instruction does not exceed the pre-college level.

Note: Agencies cannot provide vocational instruction to students. This includes specific work-related instruction (e.g. how to operate a machine or perform a specific task) and intensive, work specific vocabulary.

213 Instructional Plans

Adult education and family literacy teachers must have a thoughtful plan, with clearly articulated methods, as to how they will sequence lessons, use instructional materials, and design learning activities. Curriculum and instructional strategies should make career awareness and workforce skills a central context for learning. Teachers must be able to adjust the plan in response to the needs of their students, including those with learning differences. Staff must be familiar with the Learning Differences Toolkit and adaptive materials should be available to students who need them.

214 Instructional Models

Three instructional models are recognized by the Division of Adult Education: Managed, Open Entry/Open Exit, and Tutoring. Agencies should ensure that they use the model that best meets the needs of the targeted student population. Although agencies are free to select the models that will be used, the Division is committed to increasing the number of managed classes offered statewide.

214.1 Managed Enrollment

Managed classes have an established cycle with a start and end date. It is expected that student attendance policies will be in place, explained to students, and enforced; for example, students may miss no more than a specific number of classes and must re-enroll if they exceed the allowed number of absences.

Managed enrollment classes should provide instruction in the contexts of community, worker, and family. Learning is contextualized when instructional content, methods, and materials are related to the learner experiences and environment. Learning occurs best when context is embedded in instruction, when the skills or knowledge can be quickly applied in daily life, and when learners can construct personal meaning.

Note: All managed classes must meet for a minimum of 5 hours a week.

214.1.1 Fast Track GED[®]

Fast Track GED[®] is a managed class for students who are in need of short-term instruction (at least 12 hours) in one or two content areas in order to successfully complete the GED[®] Tests. Eligible students must be functioning at an ASE level.

214.1.2 Specialized (short term)

Specialized classes are created as determined by the need in the community including the demands of the local labor market and should be responsive to student needs. Specialized managed classes provide focused instruction in specific content areas, such as writing, math, health literacy, financial literacy, ESL conversation, postsecondary transition or workforce education. Specialized classes must be offered for a minimum of 12 hours. Programs must maintain an enrollment of a minimum of eight adult learners in these classes. Specialized classes must be cost-effective, based on the expenses necessary to support the class, and offered as needed.

214.1.3 Workplace Education

These managed classes are in cooperation with a local company or industry partnership and are for students who are employed or seeking entrance into employment and target special skill areas. Work-based learning is the prime focus of the instruction. Work-based learning is a form of contextualized instruction that builds skills within the context of common work-related situations and real workplace problems, or uses actual workplace materials. For example, instruction may incorporate reading an employee handbook or hazardous materials information to improve reading comprehension. Math instruction may involve calculations related to inventory control practices or laying carpet.

214.2 Open Entry/Open Exit

Agencies may provide classes that allow students to enroll and exit based on their needs. Agencies are responsible for providing students with a sequence of contextualized lessons that progress through increasing skill levels. Classes that are provided in the Pennsylvania CareerLink[®] may be open entry/open exit in order to meet the needs of the *students* and the one-stops.

Note: All open entry/open exit classes must meet for a minimum of 5 hours a week.

214.2.1 Drop-in Center

Agencies may create a drop-in center for students who cannot commit to a managed or open entry/open exit class due to scheduling or other barriers. The drop-in center may be at the Pennsylvania CareerLink[®] or another central location. Instruction must be offered year round. Services offered in drop-in centers may not provide the intensity to produce NRS outcomes.

Programs are encouraged to develop placement criteria to identify those students who would benefit from a drop-in service. Drop-in learning centers must use ABE/ESL content as the base for instruction.

214.3 Tutoring

The Division of Adult Education supports stand-alone service to students with barriers to classroom participation through the use of trained and supported volunteers. Instruction may be one-on-one or in small groups not to exceed six students. Tutors are responsible for providing students with a sequence of contextualized lessons that progress through increasing skill levels.

Volunteers who provide supplementary instruction in a managed or open entry/open exit class are considered classroom aides, not tutors.

Note: Tutor pairs/small groups must be scheduled for a minimum of three hours a week.
--

214.3.1 Pennsylvania Literacy Corps

The Pennsylvania Literacy Corps tutoring model features one-on-one tutoring or teacher-aide services provided by college students receiving specialized training through the agency and a local postsecondary institution.

Agencies using this model must mark the volunteer instructor as a Pennsylvania Literacy Corps tutor in eData v2 and must adhere to all Bureau policies pertaining to this model as outlined in Appendix D.

215 Continuous Program Improvement and Professional Development (Reference Policy F.100)

The purpose of continuous program improvement and professional development is to ensure the highest-quality service to the adults who participate in Bureau-funded programs in Pennsylvania. Program improvement efforts will focus on improving program operations and services to learners; professional development planning will focus on improving staff skills and knowledge based on identified learner needs. While not identical, program improvement and professional development efforts should be complementary.

Agencies providing services under this funding will:

1. Work closely with the Professional Development System through their lead consultant.
2. Maintain an agency professional development team which consists of the program administrator and the in-house professional development specialist.
3. Maintain a program improvement team, with agency-wide representation, that guides the program improvement process; the program improvement team must include the program administrator and the in-house professional development specialist. The program improvement team should include members who will be directly involved in the current year's program improvement and should meet at least quarterly to review progress on program improvement.
4. Work with the agency's lead consultant to create and maintain the *Program Improvement and Professional Development Worksheet* as a working document to be revised as needed. This plan will incorporate both program improvement and professional development. The agency should use quantitative and qualitative data to determine goals and activities.
5. File *Program Improvement and Professional Development Worksheet* on the agency's Continuous Program Improvement Hub.
6. Ensure that all staff, paid and unpaid, are participating in professional development and that the *Program Improvement and Professional Development Worksheet* reflects that participation.

215.1 Support for continuous program improvement and professional development

215.1.1 Professional Development System

Support for professional development and program improvement is provided through the Division of Adult Education's professional development system.

Professional development system staff work directly with agency staff. They work with administrators as instructional leaders and with in-house professional development specialists as support for professional development planning. Professional development system staff support professional development activities and observe instruction to support quality services. This support can be accessed by teachers, tutors, case managers, and other agency staff.

215.1.2 Pennsylvania Adult Education and Family Literacy Indicators of Program Quality (IPQs)

The *Pennsylvania Adult Education and Family Literacy IPQs* are the basis for continuous program improvement and professional development. These indicators apply to all adult education and family literacy programs in Pennsylvania. While there is no expectation that every program will demonstrate every indicator, every Indicator area should be discussed in each program, and the indicators should be used as a tool to prioritize and guide continuous program improvement and professional development.

The IPQs are organized into four areas:

1. Program Operations
2. Instructional Systems
3. Community Collaborations
4. Learner Outcomes

215.1.3 Pennsylvania Adult Teacher Competencies

The Pennsylvania Adult Teacher Competencies identify the skills and knowledge necessary for teachers to provide quality instruction to adults. Agencies should apply these competencies in conjunction with the IPQs to guide program planning and professional development activities.

215.2 Staff Responsibilities for continuous program improvement and professional development

215.2.1 Program Directors

Program Directors as instructional leaders will:

1. Oversee the program improvement team.
2. Participate with the in-house professional development specialist to create and maintain the program improvement/professional development worksheet.
3. Work with in-house professional development specialist to guide development of staff professional development.
4. Work closely with the lead consultant to support these efforts.
5. Keep current with best practices.
6. Be knowledgeable about adult learning theory.
7. Ensure that program improvement supports quality instruction.
8. Ensure coverage for classes while instructors attend training.
9. Ensure the organizational structure and support needed for staff to participate in and benefit from long-term, job-embedded professional development.
10. Provide teachers with access to their data to help inform instruction.
11. Approve staff to attend position-appropriate trainings and ensure that they complete those trainings.

215.2.2 In-House Professional Development Specialist

In-house professional development specialists will:

1. Participate with program director to create and maintain the program improvement/professional development worksheet.
2. Be an active member in the program improvement team.
3. Work with program director to guide development of staff professional development in support of agency program improvement/professional development worksheet.

4. Support staff to address individual professional development goals.
5. Coordinate and guide the job-embedded professional development process for staff.
6. Assist in the implementation of a variety of formats of professional development (e.g. study circles, coaching, online courses, lesson studies) that support the core features of high-quality job-embedded professional development.
7. Serve as the main contact between the program improvement team and the agency professional development team.
8. Assist the staff in the use of MyLearningPlan (MLP), the online professional development tracking system.
9. Document the impact of professional development activities on program improvement using the *Program Improvement/Professional Development Worksheet*, program improvement team minutes, and data collection tools.

215.2.3 Tutor Coordinator

Tutor Coordinators will:

1. Assist tutors to identify individual professional development needs.
2. Support tutors to develop knowledge and skills identified.
3. Document tutor professional development.

215.2.4 Instructional Staff

Instructional staff will:

1. Working with the in-house professional development specialist, plan for professional development based on identified needs with the goal of improving quality instruction.
2. Participate in professional development activities in support of their individual professional development.
3. Participate in program improvement efforts. This may include:
 - a. Participation in the program improvement team.
 - b. Identifying program improvement goals.
 - c. Reviewing data related to program improvement goals.
 - d. Providing feedback on impact of program improvement efforts.
 - e. Implementing program changes.

215.2.5 Non-instructional Staff

Non-instructional staff will:

1. Working with the in-house professional development specialist, plan for professional development based on identified needs with the goal of improving services to students.
2. Participate in position-appropriate professional development activities in support of their individual professional development (e.g., case managers take case management courses).
3. Participate in program improvement efforts. This may include:
 - a. Participation in the program improvement team.

- b. Identifying program improvement goals.
- c. Reviewing data related to program improvement goals.
- d. Providing feedback on impact of program improvement efforts.
- e. Implementing program changes.

300 Fiscal Requirements

301 Program Year

The program year is defined as July 1, 2014 through June 30, 2015. The contract period normally coincides with the program year. Under special circumstances, it may be for a period within the program year. Expenditures may not be made outside of the contract period.

302 Funding Equity

Pennsylvania Department of Education reserves the right to determine the equitable distribution of funds throughout the Commonwealth, thus ensuring that program funds are available to LWIAs. Funding priorities target areas with high unemployment and poverty rates, literacy needs, and employer demands.

303 References

Grants funding adult education and family literacy programs in Pennsylvania are managed in accordance with sound financial management policies and practices and in conformity with all state and federal financial rules and regulations. Section 304, Financial Management System, outlines the most important procedures, beginning with the application process and progressing through to the closeout of the grant.

Applicable state and federal administrative requirements, cost principles, and audit requirements are incorporated into each grant award by reference. For educational institutions, the following apply:

1. Education Department General Administrative Regulations (EDGAR) 34 Code of Federal Regulation (CFR) Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 as of December 2008, which can be found at: <http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>
2. Office of Management and Budget (OMB) Circular A-87, Cost Principles for State and Local Governments
3. OMB Circular A-133, Audits of State and Local Governments and Nonprofit Organizations
4. OMB Circular A-21 Cost Principles for Educational Institutions
5. OMB Circular A-122 Cost Principles for Non-Profit Organizations

The applicant must use funds for the intended purpose and must maintain a financial management system with written policies and procedures that provides for accurate, current, and complete disclosure of the financial results of each grant project. The financial management system records must adequately identify the source and application of funds and must contain information pertaining to grant awards, authorizations, obligations, unobligated balances, assets, expenditures, income, and interest. The system must employ standard accounting practices, sufficient internal controls/segregation of duties, a clear audit trail, and written cost allocation procedures as necessary.

Grant recipients must maintain adequate supporting documents for expenditures (federal and nonfederal) and in-kind contributions under the grant. Costs must be shown in reports and must be supported by a source document, such as a receipt, travel voucher, invoice, bill, in-kind voucher, or similar document.

The financial management system must be capable of distinguishing expenditures attributable to this grant from expenditures not attributable to this grant. The system must be able to identify costs by programmatic year and by budget category and to differentiate between direct and indirect costs or administrative costs.

304.1 Use of Funds - General Principles

Funds requested must be used only for those items that are reasonable and necessary for accomplishing the objectives of the program and for implementing activities as described in the application. All items requested must be allowable expenditures under the authorizing program statutes, regulations, and rules.

304.1.1 Reasonable and Necessary

Reasonable costs are consistent with prudent business practice and comparable to current market value. Necessary costs are essential to accomplish the objectives of the project. In general, the budget forms must demonstrate that:

1. Project costs are reasonable in relation to expected outcomes;
2. The amount requested might realistically be expected to have an impact on the stated needs;
3. The expected outcomes are sufficient to justify the amounts requested;
4. The program will identify and coordinate funding from several sources;
5. All expenditures are pertinent to and appropriate for the objectives and activities stated.
6. The cost is of a type generally recognized as ordinary and necessary for operation of the organization or grant performance;
7. Restrictions or requirements are imposed for generally accepted sound business practices, arms-length bargaining, federal/state laws and regulations, grant award terms, and conditions;
8. Individuals acted with prudence in the circumstances of responsibility to the organization, its members, employees, clients, the public, and federal government; and

9. There are no significant deviations from established practices of the organization that may unjustifiably increase grant costs.

Questions to ask in this section are:

1. Is the expense targeted to valid programmatic or administrative functions?
2. Does the program have the capacity to use what is purchased in the current program year?
3. Did the program pay a fair rate and can it be proven?
4. How would the program defend the purchase if questioned?
5. Does the program really need this?
6. What surplus property and/or existing resources does the program have at this point?
7. Lease vs. purchase?
8. Is the minimum amount required to meet the program needs?

<p>Note: Excessive monies carried over to the fourth quarter should not be used to purchase supplies for the next program year.</p>
--

304.1.2 Allowable

To be allowable, costs must meet the following criteria:

1. Be reasonable for the performance of the grant and be allocable under the applicable cost principles,
2. Conform to limitations or exclusions set forth in applicable cost principles or the grant agreement as to types or amount of costs,
3. Be consistent with policies and procedures that apply uniformly to federally-funded activities and activities funded from other sources,
4. Be accorded consistent treatment among all grant programs, regardless of funding source,
5. Be determined in accordance with generally accepted accounting principles (GAAP),
6. If federal, not be included as cost or used to meet cost-sharing or matching requirements of any other federally-funded program in the current or a prior period.

Questions to ask in this section are:

1. Is the cost reasonable for the performance of the grant?
2. Is the cost allocable and charged proportionally to the said grant?
3. Is the cost authorized and permitted by AEFLA, OMB circulars', EDGAR and other state or local laws?
4. Is the cost adequately documented?

304.1.3 Allocable Costs

A cost is allocable to a particular grant in accordance with the relative benefits received, if it is treated consistently with other costs incurred for the same purposes in like circumstances, and if it:

1. Is incurred specifically for the grant,
2. Benefits both the grant and other work and can be distributed in reasonable proportion to the benefits received,
3. Is not shifted to other federal awards to overcome funding deficiencies, or to avoid restrictions imposed by law or by the terms of the grant award,
4. Is allocated through direct or indirect cost,
5. Is permissible under state law.

305 Use of Funds - Specific Considerations

305.1 Expenditures

Eligible expenditures for actual program expenses may include wages, salaries, and fringe benefits; books, materials, and supplies; clerical services; rental of facilities that are not owned by the sponsoring agency; rental of equipment not owned by the sponsoring agency; training of volunteers and tutors; student support services; outreach and recruitment activities; membership dues for participation in organizations specifically focused on adult education; financing the costs of online services; and administrative costs.

305.2 Limitations

305.2.1 Legislative Floors and Ceilings

Federal: Under the Federal Title II Adult and Family Literacy Act of 1998 the following limitations are in effect;

1. No more than 10 percent of the funds earmarked for direct service grants (82.5 percent of total state allocation) may be spent for services at correctional facilities; prison, jail, reformatory, work farm, detention center or, halfway house;
2. No more than 5 percent of the grant funds may be used for administrative expenses (Cost Function 2300/5410). See **Section 408.7** for exception;
3. At least 25 percent of a non-federal contribution (match funds) must be used for adult education and literacy activities.
4. Title II Section 222 (a)(1), (b) (1)(B) (3) and Section 225(2),

State: Under State Act 143, the following limitations are in effect;

1. No more than 20 percent of the annual state appropriation shall be used to provide education to institutionalized adults;
2. No more than 20 percent of the annual state appropriation shall be used for programs of equivalency for certificate of graduation from a secondary school;
3. At least 20 percent of the annual state appropriation shall be used for training volunteer adult literacy education instructors;
4. At least 25 percent of the annual state appropriation shall be used for family literacy education programs;
5. No more than 10 percent of any grant may be used for support services (Cost Function 2100);

6. No more than 10 percent of the grant may be used for administrative costs incurred by the adult or family literacy provider (Cost Function 2300/5410).
7. State Act 143, Chapter 31. Adult and Family Literacy Act §6405 (b through f)

Note: Expenditures in these areas are authorized through the grant review and approval process. Any changes to the approved amounts must be preapproved by the Division. Approval is not guaranteed.

305.2.2 Budgeting an Employee's Hours in One or More Grants

Agencies may budget an employee's hours in one or more grants awarded by the Bureau; however, the total number of hours per each employee cannot exceed one full time equivalent (FTE). Documentation of employees' hours must be available for review by Division staff.

305.2.3 Using Funds to Pay the Cost of Substitute Teachers

Reasonable discretion should be exercised in the hiring of substitute teachers.

305.2.4 Creation of Publications (Disclaimer Statement)

Agencies must ensure that any publication that contains project materials, defined in EDGAR 75.622 as a copyrightable work developed with funds from a grant of the Department, also contains the following statements:

"The contents of this (insert type of publication: e.g. book, report, film) were developed under a grant from the U.S. Department of Education. However, those contents do not necessarily represent the policy of the U.S. Department of Education, and you should not assume endorsement by the Federal Government."

306 Use of Funds - Specific to Family Literacy

306.1 State Act 143 Family Literacy Program

The Pennsylvania program does not cite a specific local share percentage requirement to match the state funds but it does require that programs develop collaborative relationships with local partners that include a local share, or in-kind contribution. The State Family Literacy Education Act 143 funds must be primarily used to provide the adult education component of the program.

State Act 143 Family Literacy grant funds are to serve eligible adults not currently enrolled in another state or federally funded adult education program. Act 143 Family Literacy agencies are prohibited from sharing (duplicating) a program participant that receives adult education services from another Bureau-funded agency if that adult counts toward the other agency's contracted number of adults. On the other hand, agencies are encouraged to collaborate with local community partners that can provide the other components [early childhood education, parenting education, and Interactive Literacy Activity (ILA)] as an in-kind contribution.

All (or most) of the early childhood education component must be provided by the collaborative partner(s) (Head Start, licensed child care, Title I preschool, etc.) as local match to the program. Staff personnel, equipment, and operating costs used to defray the costs of Parenting and ILA components are considered an eligible use of Act 143 funds if these services are not available locally. These funds may be used for support services such as transportation, child care, counseling, healthcare and nutrition information, and crisis intervention when other sources are not available. Funds may also be used to purchase food or snacks for parent-child interaction activities, if not available locally. Since each locality is different when determining the availability of resources, exceptions will be made for special circumstances. Funds may not be used to supplant existing public and private funds currently used to provide similar services in the community.

307 Ineligible Use of Funds

State Adult and Family Literacy Education (Act 143) and Federal Adult Education and Family Literacy Act (Section 231 and 223) funds may not be used in the following cases:

1. To supplant other existing public or private funds currently used to provide Adult Education and/or Family Literacy services;
2. As funds that are commingled with other public or private funds, but may be used in conjunction with such funds;
3. For programs, activities, or services related to sectarian instruction or religious worship;
4. For awards to carry out programs by a for-profit agency, organization, or institution unless such agency, organization, or institution is part of a coalition that includes an local education agency or public or nonprofit agency;
5. To pay bad debts or any losses arising from uncollectible accounts and other claims and related costs;
6. For contributions or donations;
7. To pay staff time to attend non-adult education related board or community service meetings;
8. To contribute to a contingency reserve or any similar provision for unforeseen events;
9. To pay for entertainment, costs of amusement, social activities, and incidental costs relating thereto, such as meals, beverages, lodging, rental transportation and gratuities. This does not apply to health and welfare costs used for the improvement of working conditions, employer-employee relations, employee morale, and employer performance; and meals or snacks used in conjunction with Family Literacy services, such as interactive literacy activities;
10. To pay for alcoholic beverages;
11. To pay fines, penalties, and costs resulting from the violation of or failure to comply with federal, state, and local laws and regulations;
12. To pay for the excess of cost over federal contribution under one grant agreement as a cost under other grant agreements;
13. To pay interest on borrowing (however represented), bond discounts, cost of financing and refinancing operations, and legal and professional fees paid in connection therewith;
14. To pay rental of space owned by the sponsoring agency;
15. To pay GED testing fees;

16. To pay salaries and other expenses of local government bodies (such as boards of county commissioners, city councils, school boards, etc.) regardless of whether such expenses are incurred for purposes of legislation or executive direction;
17. To pay for costs associated with organized fundraising, including financial campaigns, solicitation of gifts and bequests and similar expenses incurred to raise capital;
18. Contributions to Individual Retirement Accounts (IRAs) except for Savings Incentive Match Plan for Employees (SIMPLE IRA). This savings option for employers of 100 or fewer employees involves a type of IRA and is the result of the Small Business Job Protection Act of 1996; and
19. To purchase customized personal items. Specifically, funds may not be used to purchase items such as clothing, customized office supplies, and briefcases/portfolios. This item applies to both direct service agencies and state leadership programs. An agency that purchases such items without the review and approval of the Division of Adult Education will be deemed out of compliance.

308 Program Budget

Separate applications must be submitted for adult basic education direct services, English Literacy/Civics services, family literacy direct services, and leadership activities.

309 Encumbrance of Funds

Funds are allotted according to a fiscal year that begins July 1 and ends June 30. The period available for encumbrance/obligation of funds is as indicated on the Grant Agreement and normally coincides with the fiscal year unless a different period has been negotiated with and approved by Pennsylvania Department of Education.

Funds not encumbered by the local agency by the last day of the contract period will be withdrawn. An obligation of funds will be considered to have been incurred if a recipient has documentary evidence of binding commitments for the acquisition of goods or materials for the performance of work. However, funds for personal services or for the rental of equipment and facilities shall be considered to have been obligated as of the time such services were rendered or such rental equipment and facilities were used.

310 Payment Schedule

The payment schedule is also reflected in the Payment Terms, Responsibilities and Contact Information, Appendix C of the Grant Agreement.

Upon full execution of the Grant Agreement, Pennsylvania Department of Education will make monthly payments for the duration of the period covered by the Agreement based on quarterly reports and cash needs. The Reconciliation of Cash on Hand Quarterly Report (PDE 2030) will be submitted through the FAI by the tenth business day of October, January, and April. If the Contractor/Eligible Recipient anticipates extraordinary cash needs in excess of regularly scheduled monthly payments, complete Part III of the report (Comments) or contact the IT Help Desk (888) 498-8129.

Note: Any Reconciliation of Cash on Hand Quarterly Report received after the due date will result in suspension of monthly contract payments until the report is submitted to the Comptroller.

Any questions regarding the FAI system can be directed to the IT Help Desk (888) 498-8129.

311 Budget Flexibility

Grantees are permitted to reallocate most costs within a budget without prior Pennsylvania Department of Education approval, provided that the resultant costs are within the approved grant. These reallocations may be between Object Codes or Cost Functions to meet unanticipated requirements. The following restrictions apply:

1. The sum of the cumulative Object Code and/or Cost Function increases must not exceed ten percent of the grant amount.
2. The original approved total budget amount must remain unchanged.
3. Act 143 funds:
 - a. 10 percent caps on Administrative Services and Support Services Cost Functions must not be exceeded.
 - b. Tutor training amount cannot be reduced.
 - c. Amount expended for GED[®] preparation and institutional instruction cannot be increased without prior written approval from the Division Chief.
4. WIA, Title II funds:
 - a. The amount expended for institutional instruction cannot be increased without prior written approval from the Division Chief.
 - b. If the reallocation of funds will cause the total in the Administrative Services Cost Function to exceed 5 percent or the previously approved waiver amount, a waiver request must be submitted and written approval received from the Division.

312 Budget Revisions

A budget revision is required if the grantee desires to re-budget funds between Object Codes or Cost Functions in the approved budget where the cumulative sum of the increases exceeds ten percent of the approved budget amount.

Requests for budget revisions must be submitted to the Division Chief and approved before budget adjustments are made. Programs will be notified by email of the approval or disapproval of the requested budget revision.

Grantees desiring to make such budget revisions must complete and submit a proposed revised budget to the Bureau by creating a Budget Revision (PDE 5036) in the eGrants system. When submitting the new budget, the agency must include all parts of the budget and justification for the proposed budget adjustment. **The original approved total budget amount must remain unchanged.**

313.1 PDE 2030 - Reconciliation of Cash on Hand Quarterly Report

The Reconciliation of Cash on Hand Quarterly Report is used to adjust monthly payments of grant funds. The report is submitted electronically via the Financial Accounting Information version 2 (FAI v2) System through the Pennsylvania Department of Education website at www.education.state.pa.us. For assistance using the system, contact the IT Help Desk at (888) 498-8129.

Note: Do not contact the advisors. They do not have access to the FAI system.

Instructions for Completing the Report

1. Access the site via the log in page at <http://www.education.state.pa.us>. This is the same site used to log into eData v2.
2. Log in using your “user name” and “password” as assigned. If you are not registered for FAI, contact your Local FAI Security Approver or the FAI Help Desk.
3. Once logged in, you will see at the bottom, “My PDE Applications”. Select FAI and click “GO”.
4. You will be directed to the FAI page where four (4) options are available. Select “Project Status”. This will tell you the status of your grants and when your quarterly reports are due.
5. To complete your Reconciliation Cash on Hand Quarterly Report, click on “Quarterly Report Due”.
6. A page will appear with four (4) parts.
 - a. Part 1 includes your organization’s name, the quarter for this report, the program (project number, approved project amount and month payment amount). These fields are automatically filled in for you.
 - b. Part 2 is the section of the report where you report the cash that you have dispersed.
 - Line 1 is the total cash received for this grant. This will be filled in automatically.
 - Line 2 is the amount you have spent. You will see \$0.00. You will need to fill in the amount of cash you have dispersed from the grant.
 - If you spent the full amount, your cash on hand (Line 3) will show \$0.00.
 - If not, you will see the amount you have not dispersed (Line 5).
 - You will then enter the estimated cash requirement for the next month (Line 6).
 - This could be greater than, less than or equal to your scheduled monthly payment (Line 4).
 - Line 7 (Status of Cash) will adjust based on your numbers in the above fields.
 - c. Part 3 is the section where you can explain if your program has extraordinary cash needs. Click “yes” or “no” and if “yes”, explain in area to right.
 - d. Part 4 will be filled in with the contact person (person who is responsible for completing quarterly report) and area code and telephone number. Date will fill in automatically. Click both boxes to right prior to hitting “Submit Complete”.

- At this point you can (1) save the draft report to complete or review later prior to submission, (2) submit the completed report, or (3) reset the form to clear all entries.
- e. After submitting your report you can print a copy of the report by returning to the FAI home page and (1) selecting “project status”, (2) selecting a “project code”, (3) selecting “previously submitted quarterly reports, and (4) selecting “print”.

Note: Any Reconciliation of Cash on Hand Quarterly Report received after the due date will result in suspension of monthly contract payments until the report is submitted to the Comptroller.

313.2 Division of Adult Education Quarterly Reports

State funding amounts have limits for allocations of tutor training, institutional, and GED® programs. Federal funding amounts used for institutional education are limited. Funding in these categories may not be changed without approval from the Bureau.

The Division of Adult Education Quarterly Report must be submitted to the Division by the tenth business day of October, January, and April. Access the report via <http://paadulted.org>, Grant Administration>ABLE Administrative Documents Library webpage. This form is in addition to the quarterly report that is required to be completed in the FAI System.

Note: Any Division of Adult Education Quarterly Report received after the due date may result in suspension of monthly contract payments until the report is submitted to the Division.

313.3 Final Expenditure Report (PDE 5040)

A final expenditure report for each federal and state contract must be submitted at the end of the contract period using form PDE-5040. The final expenditure report must be completed (in acceptable form) **electronically** using the eGrants system. In addition, the three-page final expenditure report must be printed, signed (**in blue ink**), and received in the Division of Adult Education by the due date. For assistance in using the eGrants system, please contact the Division Administrative Officer at (717) 783-4313.

Reports returned to agencies for correction must be resubmitted within ten working days from receipt in order to obtain credit for both timely and accurate submission.

Note: Failure to submit final expenditure reports on time and in acceptable form will result in “stop payment” orders for currently approved grants and, possibly, the disapproval of pending grant applications for renewal of grants in Program Year three.

Instructions for completing the final expenditure report are explained in the Help buttons in the final expenditure report section on the eGrants website at <http://www.egrants.pa.gov> to access the final expenditure report:

1. Login to eGrants system.
2. Select the recently completed program year.
3. Select final expenditure report link for the appropriate grant.

314 Audits

Entities expending \$500,000 or more in total federal awards during the fiscal year are required to have a Single Audit. Agencies should promptly assess anticipated levels of federal expenditures to determine their need to comply with this requirement. Auditors must use a risk-based approach.

Questions regarding Single Audit may be directed to: Office of Comptroller Operations, Bureau of Audits located at 555 Walnut Street, 9th Floor, Harrisburg, PA 17101, Phone (717) 783-9120, Fax (717) 703-3943.

Pennsylvania Department of Education reserves the right to audit the provision of services and the expenditure of funds under any contract or agreement. The contractor will provide the auditor selected by Pennsylvania Department of Education with full and complete access to all records related to the performance of this contract and all persons and employees involved in the performance of this contract.

315 Retention of Records

Each grantee shall keep accessible and intact records that support all claims for the project funds relating to the accountability and expenditure of funds for a period of **six years** after the submission of the final expenditure report or until all audits are complete and findings on all claims have been completely resolved, whichever is later. Such records include but are not limited to individual student files, attendance records, staff records, and fiscal records that document information reported to the Commonwealth through data and fiscal reporting systems.

400 Preparing Applications

400.1 Pre-Grant Meeting and Submission Dates

The Division of Adult Education will conduct a pre-grant meeting. The presentation will cover the following areas: Adult Education and Family Literacy Programs, Fiscal Guidelines and Policies for Program Year 2014-15, application guidelines, eGrants application procedures and changes, and application due dates as noted below.

Contract	Renewal	Due Dates
054-	Act 143 State Family Literacy	June 27, 2014
061-	EL/Civics	June 27, 2014
099-	Section 223 Federal State Leadership	June 27, 2014
064 -	Section 231 Federal and Act 143 State Adult Education	June 27, 2014

Submission dates are subject to change.

401 Multi-Year Contracts

Title II of the Workforce Investment Act of 1998 requires the Bureau to issue multi-year federal contracts. Multi-year contracts are awarded for three years, with years two and three optional based on sufficient progress. A reauthorization of the WIA will require a new state plan, which will result in a new grant competition.

402 Grant Applications

Grant applications must be submitted annually through the eGrants system at <http://www.egrants.pa.gov>. No paper applications will be accepted.

403 Grant Amounts

403.1 Adult Education and Family Literacy Programs

Grant amounts are based on priority of service, past performance, LWIA needs, and the availability of funds. Funding amounts vary from year to year based on Pennsylvania's Federal and state allocations. The minimum grant award for adult education grants will be \$75,000 and for family literacy grants, they will be \$100,000.

404 Application Components

In the eGrants process, there are four categories of grant applications. When submitting a grant, the applicant will be instructed to file either a New or Renewal grant application. Any alterations after grants are awarded will require the submission of a Budget Revision or an Amendment grant.

Grant categories are as follows:

1. **New.** When a competition occurs or when programs have been restructured to create an entirely new program.
2. **Renewal.** A provision for applicants who received funding for the same services in the previous program year without requiring competition. EGrants will automatically clone the previous year's grant and programs will adjust responses as needed.
3. **Budget Revision.** A revision among line items of the program budget that does not increase or decrease the grant amount with the terms of the rider or contract.
4. **Amendment.** A written modification, addition or deletion to an Agreement if an increase or decrease in the funding occurs after grant is awarded.

<p>Note: Program Year 2013-14 grantees that are invited to submit an application for Program Year 2014-15 must submit a "Renewal" grant application.</p>

All application components are produced by eGrants. Each will be accessed from e-Grant website, <http://www.egrants.pa.gov> and will consist of the following:

1. Grant Agreement Signature Page;
2. Appendix A – Special Program Terms;
3. Appendix B – Grantee’s Program Narrative(s) and Budget(s);
4. Appendix C – Payment Terms, Responsibilities and Contact Information

405 Narrative

The Program Narrative for Adult Education and Family Literacy programs provides analysis of need, details of the plan’s delivery, objectives, and other information relating to coordination, collaboration, and past performance. This Program Narrative is the basis for analysis of the agency’s ability to provide the required adult education services. Online contextual help is available for each question in the application narrative by clicking on the **Help link** in eGrants.

405.1 Agency Activity Summary

A list of the activities (ABE Community, ABE Institutional, ASE/GED[®] Community, ASE/GED[®] Institutional), planned enrollment level, number of volunteer instructors and the budgeted amount for each activity.

405.1.1 Subcontractor Activity Summary

All subcontracting agencies must be listed. Provide the total planned enrollment and federal and state dollar amounts. All subcontracting agencies that are going to enter data into the eData v2 system must have an Administrative Unit Number (AUN).

Note: The agency activity budget amounts are fixed once the Agreements are approved and executed; thus establishing the level of expenditure for each activity. It is necessary to fix funding amounts for individual agency activities in order for Pennsylvania Department of Education to meet the state restrictions and set-aside requirements for institutional and GED[®] funding as well as tutor training.

405.2 County Served

Those counties in which grant funds will be used.

405.3 Program Information

Enter the program contact information and the type of agency.

406 Budget

Budget details the actual breakdown of the budget by Cost Function (CF) and Object Codes (OC).

1. Section 100: Salary Breakdown details the positions, hours, and amounts paid for each activity performed in each cost function for every person receiving compensation from this grant.
2. Section 200: Benefits Breakdown details any benefits paid to agency staff in each cost function for individuals receiving compensation from this grant.
3. Section 300: Professional Services Breakdown details those services provided by an outside entity
4. Section 400: Contracted Services Breakdown details costs incurred for non-educational services contracted by an outside entity.
5. Section 500: Other Purchased Services Breakdown details costs incurred from an outside entity to provide services other than professional, technical and purchased property services.
6. Section 600: Supply breakdown details costs for material items of an expendable nature that are consumed, worn out, or deteriorate in use.
7. Section 700: Equipment Breakdown details any equipment that has a useful life that extends beyond the current fiscal period. Equipment valued at \$5000 or more must receive prior approval from the Division Chief.
8. Section 900: Indirect Costs are overhead expenses incurred by a lead agency for the benefit of other programs under their authority. These are limited to Administrative or Operations Cost Functions.

Note: All dollar amounts on each part of the budget will be rounded to the nearest whole dollar in the eGrants system.

407 Budget: Local Match

Enter local match by selecting “LM Local Match” in the Function list and then select the appropriate object code(s). Local match is required for direct service grants under federal WIA Section 231 funding (061 and 064 federal).

408 Budget: Cost Functions

Cost Functions describe the activities for which a service or material is acquired. The functions, according to the Pennsylvania Department of Education Manual of Accounting and Financial Reporting for Pennsylvania Public Schools – Chart of Accounts, are classified into five broad categories: Instruction; Support Services; Operation of Non-instructional Services; Facilities Acquisition, Construction and Improvement Services; and Other Financing Uses.

Note: For the purpose of the preparing budgets for grants received from the Division of Adult Education, the cost function categories have been redefined, within the parameters of the Manual of Accounting, to reflect true costs associated with the operation of an adult education program.

408.1 Cost Function 1691 – Instruction

This includes costs associated with the delivery of instruction to adult learners (and children, if Family Literacy). This includes salaries/wages and fringe benefits (**OC 220, 230, 231**) of personnel performing activities related to the following:

1. Supervising and directing instruction (**OC 101**),
2. Instructing a class or small group (**OC 102, 103**),
3. Preparing for instruction (**OC 102**),
4. Attending professional development activities (**OC 102**),
5. Participating in program improvement team meetings (**OC 102**),
6. Hours traveling between sites (**OC 102**),
7. Contracted and subcontracted instructional services (**OC 320**),

It also includes other costs associated with the support and delivery of instruction, such as the following:

1. Orientation, assessment/intake performed by instructor (**OC 102**), case manager (**OC 103**), support personnel (**OC 105**),
2. Delivery of Family Literacy components (**OC 107, 108, 109**),
3. Purchased Property services (**OC 400**),
4. Other Purchased services (**OC 500**),
5. Supplies (**OC 600**).

408.2 Cost Function 1692 – Tutor Training (State Adult Education and Family Literacy)

This includes costs associated with the training and coordination of volunteer adult education instructors, e.g., tutor trainers; clerical services, such as setting up tutor training sessions; books and other instructional materials used by tutor trainers and tutors in training; equipment and facility rental necessary to conduct tutor training; and ongoing evaluation of tutors. Examples of appropriate allocations include:

1. Salaries/wages and fringe benefits (**OC 200**) of tutor coordinators (**OC 101**), tutor trainers (**OC 104**), support (i.e. clerical) services (**OC 105**),
2. Hours for travel to and from training sites, prep time and professional development time (**OC 104**),
3. Contracted services for tutor training (**OC 320**),
4. Tutor supplies, texts and other materials (**OC 600**),
5. For all functions of the statewide tutor training and support grant.

408.3 Cost Function 2100 – Pupil Personnel Services (for use in direct service grants)

This includes costs associated with providing support services for the purpose of assisting adult learners to understand and address their educational and personal barriers to participation. Grant funds may be used only for support services that are not provided or available through other federal, state, or local funding sources. Examples under this CF are:

1. Salaries/wages and fringe benefits for personnel when performing support functions such as case management (**OC 103**), clerical services for students (**OC 105**), and technology services (**OC 340**),
2. Support services, such as transportation or child care, that are not provided or available through other federal, state, or local funding sources,
3. Contracted and subcontracted pupil personnel services (**OC 320**),

Note: A maximum of ten percent of the state-funded direct service adult education budget may be allocated and expended in this Cost Function.

408.4 Cost Function 2200 – Staff Support Services (for leadership projects only)

This includes costs associated with assisting, supporting, advising, and directing instructional staff with or on the content and process of providing learning experiences for learners. Included under this CF are staff development services designed to contribute to the professional growth and competence of education agency staff, such as traditional professional development activities and consultant services. Expenditures include, but are not limited to:

1. Coordinators/supervisors who provide above support services to the field (**OC 101**),
2. Support staff who provide above support services to the field (**OC 105**),
3. Contracted services outside of the agency (see **OC 320, 330, 340**).

408.5 Cost Function 2300/5410 – Administrative Support Services

This includes that portion of the grant which will be used to pay for general administrative costs of the program that are *not directly associated with instruction, tutor training, or outreach*. Activities include, but are not limited to:

1. Writing of the relevant grant, e.g. cost associated with writing the federal adult education grant may be charged to that grant (**OC 101**),
2. Attendance at Division mandated meetings (**OC 101**),
3. Daily administrative duties in support of grant administration (**OC 101**),
4. Public relations activities directly related to services of the grant (**OC 101**),
5. Strategic planning activities directly related to the services of the grant (**OC 101**),
6. Board meetings, only if related to the services of the grant (**OC 101**),
7. Clerical duties (**OC 105**) in support of grant administration,
8. Other professional services (**OC 330**),
9. Website development/management (**OC 340 or OC 900**),
10. Subcontractor administrative services (**OC 320**),
11. Travel (**OC 580**),
12. Conferences (**OC 581**).

Note: Agencies with an ICR must use **OC 900**.

Note: A maximum of five percent (5 percent) of the Federal Section 231 grant or ten percent (10 percent) of a State Act 143 grant may be budgeted and expended in this CF. **Special Rule for Federal 231 grants:** In cases where the cost limits for carrying out adult education and literacy activities are too restrictive to allow for adequate planning, administration, personnel development, and interagency coordination, the Division may negotiate a waiver with the eligible agency to determine an adequate level of funds to be used for non-instructional purposes. This request must be done annually prior to grant submission. Agencies interested in requesting an increased limit for administrative costs on Federal Section 231 grants should send, by email, to their adult education advisor, a breakdown of costs assigned to the Administrative CF (2300):

1. Salary and benefits costs assigned to Administration,
2. Other Costs assigned to Administration (can be totaled by category),
3. Indirect Costs (OC 900).

Note: If the indirect cost rate exceeds 5 percent, the agency must request a waiver.

408.6 Cost Function 2600 – Operation and Maintenance of Plant Services

The costs associated with keeping the physical plant open, comfortable and safe for use, and keeping the grounds, buildings and equipment in effective working condition and state of repair. Documentation will be required at time of monitoring. This includes, but is not limited to:

1. Activities of directing, managing and supervising the operation and maintenance plant facilities (OC 101),
2. Snow removal and grounds maintenance (OC 430),
3. Care of maintaining furniture, machines and movable equipment, includes service agreements (OC 430),
4. Building rental (OC 441),
5. Security services, electronic or personnel (OC 450),
6. Fire and liability insurance (OC 520).

408.7 Cost Function 2900 – Other Support Service/Outreach

For the purposes of this funding stream, this category is not for “pass-thru funds”. This portion of the grant includes those services not classified elsewhere in the 2000 series. Activities include, but are not limited to:

1. Supervision/direction of staff recruitment activities (OC 101),
2. Services provided by the in-house professional development specialist (OC 101 if position is assigned to a coordinator, OC 102 if position is assigned to instructor),
3. Career and transition planning and support services (OC 103),
4. Full- or part-time data entry personnel (OC 105),
5. All reasonable costs associated with recruiting program participants, including the preparation, printing, mailing, and distribution of recruitment materials and the necessary administrative support (OC 105),
6. Subcontractor performing above named services (OC 320).

409 Budget: Object Codes

Object Codes are used to describe the object, which is the service or commodity obtained as the result of a specific expenditure. The major object categories, according to the Pennsylvania Department of Education Manual of Accounting and Financial Reporting for Pennsylvania Public Schools – Chart of Accounts, are divided into subcategories for more detailed budgeting. The major categories used in the grants covered by these guidelines are Personnel Services-Salaries; Personnel Services-Employee Benefits; Purchased Professional and Technical Services; Purchased Property Services; Other Purchased Services; Supplies; Property; and Other Uses of Funds.

Note: For the purpose of preparing budgets for grants received from the Division of Adult Education, the object code categories have been redefined, within the parameters of the Manual of Accounting, to reflect true costs associated with the operation of the adult education program.

409.1 Object Code 100 Series – Salaries

The gross salary of any person while on the payroll of the grantee and who serves in different roles under the grant must be pro-rated and charged across all appropriate CFs.

1. “Supervisor/Coordinator” (**OC 101, CF amount must be listed in the appropriate CF from which the benefit is derived**) pertains to a part-time or full-time adult education or family literacy professional who oversees all or a portion of the program. Such duties may include supervising instruction (**CF 1691**), attendance at Division meetings, administrative duties related to everyday operation of the grant program (**CF 2300**), activities of directing, managing and supervising the operation and maintenance plant facilities (**CF 2600**), and data oversight, in- house professional development or outreach (**CF 2900**).
2. “Instructors” (**OC 102**) pertains to a paid, full-time or part-time individual who teaches a class or small group and is funded from the grant. This individual can also provide student orientation, intake and assessment (**CF 1691**). If instructor is the designated in-house professional development specialist, those hours are entered in **CF 2900**. Hours should include preparation, travel and professional development time (**CF 1691**).
3. “Counselor” (**OC 103**) pertains to a paid full-time or part-time individual who works with students in a pupil support (**CF 2100**) or career and transition planning and support (**CF 2900**) capacity and is funded from the grant. Additionally, the costs for a one-time class taught by this person are placed under Instruction (**CF 1691**). If this person does orientation, intake, or assessment for students, that cost is placed under **CF 1691**.
4. “Tutor Trainers” (**OC 104**) pertains to a paid, full-time or part-time individual who trains volunteers to teach students and is funded from the grant (**CF 1692**). If an instructor does tutor training, the hours and expenditure must be entered into this OC and CF, not **OC 102**.
5. “Admin Support Personnel” (**OC 105, CF amount must be listed in the appropriate CF from which the benefit is derived**) pertains to paraprofessional individuals whose duties include, but are not limited to office management (**CF 2300**), administrative clerical duties (**CF 2300**), data entry (**CF 2900**), or student intake/assessment, orientation (**CF 1691**). Any

staff (including in-house custodian) who receives payment for building responsibilities should be placed in this category (CF 2600).

6. “Adult Ed-Other” (OC 106) pertains to unpaid volunteers who work directly with students in an instructional capacity, perform office duties or work in any other area of the agency. Anticipated number of volunteer hours must be entered under “Hours”. Under the Federal 231 grant, the calculated value of the hours should be entered under “Local Match”.
7. “Early Childhood Educator” (OC 107) pertains to a paid full or part-time teacher or aide who teaches an early childhood class funded from the grant (CF 1691). Salary should be budgeted for any staff member who spends time administering early childhood assessments (CF 2900). Staff who teach in more than one component should have their time divided accordingly. Hours include preparation, travel and professional development time.
8. “Parenting Educator” (OC 108) pertains to a paid full or part-time teacher or aide who teaches a parent education class funded from the grant (CF 1691). Staffs who teach in more than one component should have their time divided accordingly. Hours include preparation, travel and professional development time.
9. “ILA” (OC 109) pertains to a paid full or part-time teacher or aide who teaches an ILA funded from the grant (CF 1691). Staff who teach in more than one component should have their time divided accordingly. Hours include preparation, travel and professional development time.

Note: Family Literacy staff that provides orientation, assessment and intake should have these services entered under CF 1691.

409.2 Object Code 200 Series –Benefits

Fringe benefits charged to the grant are placed in the appropriate CF from which the benefit derives. Computation of fringe benefits must be based on only that portion of individuals’ salaries that are to be charged against the grant.

1. “FICA” (OC 220, CF amount must be listed in the appropriate CF from which the benefit is derived) is calculated at the current rate at the time of grant submission. The amount must be rounded down to the nearest dollar.

Note: For Pennsylvania Adult Literacy Act 143 grants, LEAs (School Districts, Intermediate Units, Career and Technical Schools, Charter Schools, Community Colleges) that have one-half of their Social Security payments already funded by state subsidies shall use one-half of the current or projected FICA rate as the FICA rate, at the time of publication of these Guidelines, for computation of fringe benefits.

2. “Retirement” (OC 230, CF amount must be listed in the appropriate CF from which the benefit is derived) includes the CBO or LEA full share of retirement contributions funded from the grant.
3. “Other Benefits” (OC 231, CF amount must be listed in the appropriate CF from which the benefit is derived) includes group benefits such as medical and life insurance. This also includes unemployment insurance purchased from the Pennsylvania Department of Labor and Industry. This amount is charged against the first \$8,000 of each employee’s salary.

409.3 Object Code 300 Series – Professional and Technical Services

These are costs incurred for contracted services outside of the grantee agency that require persons or firms with specialized skills and knowledge.

1. “Professional Educational Services” (**OC 320**), for direct service grants (064, 054, 061), includes payment to subcontractors and other outside personnel who are supplementing current staffing (i.e. AmeriCorps, contracted instructors). This includes all subcontractors’ expenses used by the agency for educational services. (Note: The recipient of grant funds may not act as a fiscal agent only and subcontract the entire program funded through the state or federal grant.) Costs of professional and consultant services rendered by persons who are members of a particular profession or possess a special skill, and *who are not officers or employees of the governmental unit or non-profit organization*, are allowable (Office of Management and Budget (OMB) Circular A-122 C). **CF must be pro-rated over the appropriate cost functions.**
2. “Professional Education Services” (**OC 320**), for leadership grants includes payment to outside vendors for expenditures associated with professional development and technical assistance provided by a third party. Costs of professional and consultant services rendered by persons who are members of a particular profession or possess a special skill, and *who are not officers or employees of the governmental unit or non-profit organization*, are allowable (Office of Management and Budget (OMB) Circular A-122 C).
3. “Other Professional Services” (**OC 330**) includes payment to outside accountants, auditors, or payroll services for fiscal management services and payments to outside legal entities for legal services. Costs of professional and consultant services rendered by persons who are members of a particular profession or possess a special skill, and *who are not officers or employees of the governmental unit or non-profit organization*, are allowable (Office of Management and Budget (OMB) Circular A-122 C).
4. “Technical Services” (**OC 340**) includes payments for services in support of technology, such as computer services, systems design and development, software development and backup facilities. Web site development must be included in this OC if contracted to an outside entity. Costs of technical services rendered by persons who are members of a particular profession or possess a special skill, and *who are not officers or employees of the governmental unit or non-profit organization*, are allowable (Office of Management and Budget (OMB) Circular A-122 C.)
 - a. Includes contractual expenditures incurred for vendor-provided electronic information systems services such as: computer services, data entry services, feasibility studies, systems design and development, software development and backup facilities.

Note: A breakdown of the above Contracted Services must be completed under “Contracted Services” in eGrants.

409.4 Object Code 400 – Purchased Property Services

This Object Code includes the costs for services not included in a rental and *NOT an entity as the lead applicant or partner in the grant* such as:

1. Custodial services (**OC 413, CF 2600**)
 - a. Custodial services contracted with an outside vendor,
2. Utilities (**OC 420, CF 2600**)
 - a. Electricity, gas, water, sewer, etc. Does not include communications costs,
3. Repairs & Maintenance (**OC 430**)
 - a. Includes payments for repairs and maintenance not provided in-house or as part of a rental arrangement,
 - b. Includes service maintenance agreements,
 - c. Includes expenditures incurred for costs, which are directly related to maintaining existing hardware / software and other components of a district's Information and Community Technology operation. Repairs to a component are considered maintenance; when a component is replaced, it should not be recorded as a maintenance cost. Examples include: all reoccurring maintenance contracts and one-time maintenance contracts. Also, include the cost of repair parts, laptop batteries, tool kits, video cards, hard drives, cleaning kits, memory chips and power supplies with a useful life of one year or less,
4. Space rental (**OC 441, CF 2600**)
 - a. Cost of renting building, classroom and/or office space from an independent third party, *NOT an entity who is the lead applicant or partner in the grant*,
 - b. The rental charges must be comparable to charges made to other tenants (including custodial services, if applicable). Copies of rental agreements must be maintained at the site to verify the particular rental fee. An executed agreement that reflects the projected costs for the facilities must be available, but should not be submitted with the application,
5. Cost of renting space in the local Pennsylvania CareerLink® (**OC 441, CF 2600**)
6. Equipment rental (**OC 442**)
 - a. Cost of office or other equipment rental for either temporary or long term use for direct support of program activities, as long as rental is from an independent third party and **NOT** an entity as the lead applicant or partner in the grant,
7. Lease/Rental of Hardware and Related Technology Services (**OC 448**)
 - a. Include the lease/rental costs incurred for mainframe computers, mini-computers, micro/personal computers, electronic office machines, multi-use copiers, printers, dial-up and dedicated leased communication lines and modems and other communication devices such as: front-end processors, terminals, concentrators, tape cleaners, tape drives, multi-plexors, cable television and all auxiliary and peripheral equipment. **Do Not** include maintenance on these items in this category. Maintenance costs on these items should be recorded to OC 430,
8. Equipment usage (**OC 449, CF amount must be listed in the appropriate CF from which the benefit is derived**)
 - a. Usage log must be maintained,
9. Security services, electronic or personnel (**OC 450, CF 2600**)

Note: Agencies with an ICR must enter costs in OC 900 .

The value of public space for classrooms and counseling rooms may not be charged to Pennsylvania Department of Education funds, but program sponsors are encouraged to utilize these costs as part of the required 25 percent local match for the program in Section 231 grant application. If it becomes necessary for the public agencies to rent nonpublic space for class, nonpublic sponsoring agency space may be utilized as part of the local match as space usage. Administrative office space must be identified in accordance with the applicable OMB Circular.

409.5 Object Code 500 –Purchased Services

Amounts paid for services not provided by agency personnel but by outside organizations or personnel, other than Professional and Technical Services and Purchased Property Services.

1. Insurance (**OC 520, CF 2600**)
 - a. Coverage for property and liability, does not pertain to employee coverage,
2. Communications (**OC 530, CF amount must be listed in the appropriate CF from which the benefit is derived**)
 - a. Includes telephone, internet service, postage and postage machine rental,
3. Advertising (**OC 540, CF 2900**)
 - a. Expenses related to ads in newspapers, periodicals, radio, television for outreach or personnel recruitment,
4. Printing and binding (**OC 550, CF 2900**)
 - a. Expenses related to out of house design and printing of brochures, pamphlets, posters, etc.,
5. Tuition (**OC 560, CF amount must be listed in the appropriate Cost Function from which the benefit is derived**)
 - a. Expenses related to enrollment in courses directly related to the participant’s job duties,
6. Travel (**OC 580, CF amount must be listed in the appropriate CF from which the benefit is derived**)
 - a. *Reimbursed* travel expenses related to transportation, meals, lodging for Division required attendance at meetings, travel to and from professional development activities, travel to and from main office to class site, and associated travel expenses incurred by staff on behalf of program (conferences included),
7. Conferences/Memberships (**OC 581 Other, CF amount must be listed in the appropriate CF from which the benefit is derived**)
 - a. Can be used for payment for professional memberships to organizations by agency,
 - b. Can be used for expense incurred for conference expenses including hotels, meals, and registration.

Travel rates will be at or below Commonwealth rates in effect at the time of the application. The agency is encouraged to maintain, as part of the agency’s fiscal records, documentation to include receipts for all travel expenses; however, receipts for travel expenses of \$35 and above are required to be maintained as part of the fiscal records. Reimbursement for travel, lodging, and/or meals at a rate higher than current Commonwealth rates may be approved by Pennsylvania Department of Education if these rates were approved by the agency’s officials and

were published prior to the date of the application submission. If higher rates are requested, a copy of the minutes or other official documentation demonstrating that the agency's officials have approved a higher rate must be attached to the budget. Commonwealth travel rates are specified in the Commonwealth of Pennsylvania Management Directive 230.10 Amended, located at www.education.state.pa.us.

Note: Lodging and subsistence rates are not flat allowances. Employees are reimbursed for actual expenses.

409.6 Object Code 600 – Supplies

These include material items of an expendable nature that are consumed, worn out or deteriorate in use.

1. “General supplies” (**OC 610, The costs should be listed in the appropriate Cost Function from which the benefit is derived**)
 - a. Related to consumable teaching and office items. **The costs should be listed in the appropriate Cost Function from which the benefit is derived.**
 - b. This includes early childhood supplies for Family Literacy Programs (**OC 610, CF 2900**).
2. “Texts” (**OC 640, CF 1691, 1692**)
 - a. Expenditures for books, textbooks and workbooks available for general use.
3. “Educational software” (**OC 648, CF amount must be listed in the appropriate CF from which the benefit is derived**)
 - a. Expenditures for technology related supplies such as educational software, flash drives, software licensing fees.

409.7 Object Code 790 – Property

This includes equipment expenditures that have a useful life that extends beyond the current fiscal period.

Equipment (**OC 790, CF amount should be listed in the appropriate CF from which the benefit is derived**)

1. An item costing \$5,000 or more is subject to Pennsylvania Department of Education approval.
2. Equipment (original, additional and replacement) should be listed in **OC 790**. Computers, including all peripheral equipment, audio/video equipment, projection systems and telephone equipment should be listed here also.

Note: A breakdown of property purchases must be completed under “Equipment” in eGrants.

Agencies must comply with the Title 34 (Education) CFR in the purchase, use and accountability of the equipment when purchased with federal funds. Agencies must provide PDE with annual

inventories, a usage log when duplication charges are made against a grant, and other such reports as requested.

Generally, equipment is not purchased with Section 223, State Leadership funds. Purchase of automation equipment with Section 223 funds must be approved by Pennsylvania Department of Education. All other regulations for Object Code 700 apply to Section 223 funds.

409.8 Object Code 900 – Indirect Costs

Indirect costs are broadly defined as central administrative costs and certain other agency-wide costs that are incurred in connection with a project but that cannot readily be identified with the project (e.g. payroll preparation, central publishing). Indirect cost may be included by LEAs if the agency is authorized to use ICR and if ICR has been approved by and is on file with the Comptroller's Office. Universities and colleges authorized an ICR may compute indirect costs at eight percent of the direct costs charged to the grant up to a state-imposed maximum of \$7,000. Since applications are submitted prior to the computation and publication of a new ICR, an agency authorized to use an ICR will use the rate in effect on the date the application is submitted. If the rate changes for the program year, after the application is submitted, adjustments will be made by the agency in the final expenditure report, PDE-5040.

Indirect costs may be recovered only to the extent that direct costs against the grant were incurred. Thus when the final expenditure report PDE- 5040, is submitted, the indirect cost must be recalculated based on actual expenditures from the grant. Indirect cost may only be charged against CF 2300/5410, Administration, and Object Code 900, or listed as part of the local match for Federal Section 231 or 223 grants.

410 Local Matching Funds

The Bureau requires a 25 percent local match for Federal WIA Section 231 funding, which is reported to the federal government as part of the match required of the state in AEFLA Sec. 222 (b). Local match is the portion of a grant-supported project or program not borne by the Federal Government. To calculate the amount of the local match for a known grant amount, divide the grant amount by three. For example, the grant amount is \$75,000; $75,000 / 3 = 25,000$. So, a \$75,000 grant requires a local match of \$25,000 which results in a total overall program cost of \$100,000. Thus, the \$25,000 in local match is 25 percent of the cost to run the program.

All non-federal contributions, including cash and third party in-kind, that support activities provided under either federal or state funds are accepted as part of the local match, also referred to as cost sharing, provided they meet the requirements identified in EDGAR § 74.23 and § 80.24. These requirements include, but are not limited to, the following:

1. They must be allowable costs under applicable cost principles. This requirement includes third-party in-kind donations. If the cost of an expense is unallowable (e.g., payment of GED testing fees), the value of donations to cover that expense CANNOT be used as local match.

2. They must be documented and verifiable from your records. These records must show how the value placed on third party in-kind contributions was derived. The value of donated items (supplies, equipment, space, etc.) cannot exceed fair market value.
3. They must be necessary and reasonable for proper and efficient accomplishment of the purpose of the grant. The value of third party in-kind contributions must be applicable to the program year.
4. They cannot be included as local match for any other federally-assisted project or program nor can they be paid for by another federally-funded award.
5. For agencies with an approved restricted indirect cost rate, any indirect costs that are unrecovered may not be used to satisfy the local match requirement.

411 Grant Agreement Signature Pages: Electronic and Manual

Agencies will have to sign the grant on original submission and again each time the grant is returned and resubmitted.

Agencies that elect to use electronic signatures must have their governing body (school board, board of directors or board of trustees) adopt resolutions identifying and authorizing an individual to electronically sign agreements with PDE. The resolution must then be submitted and approved by PDE. The authorized signatory must be in the eGrants system in order to electronically sign contracts. Contracts will be electronically signed each time the grant is submitted and resubmitted.

Agencies not approved for electronic signatures must print the first page of the signature page from eGrants, have it signed by the authorized representative(s) and mail it to the Division of Adult Education to arrive no later than ten business days after grant is submitted. If the grant is returned to the agency for corrections and resubmitted, a new grant agreement must be submitted. Each time, only one copy of the original grant agreement signature page with signatures and signing dates in blue ink is required. The signature date must be the same date as signed by the authorized representative.

All manually signed grant agreement signature pages should be mailed to:

Pennsylvania Department of Education
Bureau of Postsecondary and Adult Education
Division of Adult Education
333 Market Street, 12th Floor
Harrisburg, PA 17126-0333

412 Signature Authority for All Grant Applications

There must be an electronic signature (for agencies with approval) or an original signature, in blue ink, on the original copy of the Grant Agreement. Stamped signatures are **not** acceptable on the original copy. **The signature date must be the date the contract is signed.** The signer(s) must be (an) authorized representative(s) of the agency.

412.1 Authorized Representatives for School Districts, Intermediate Units, Career and Technical Schools, Charter Schools, Universities, Colleges, Community Colleges, and Public Libraries

Agencies in this category require one signatory as described below:

School District:	Superintendent
Intermediate Unit:	Executive Director
Career & Technical School:	Director
Charter School:	Chief Executive Officer
University, College, or Community College:	President
Public Library:	Director

412.2 Authorized Representatives for Community-Based Organizations and Corporations

Agencies in this category require two signatories as described below:

1. President or Vice-President
AND
2. Secretary or Treasurer

412.3 Authorized Representatives for Libraries Owned/Operated by a Local Political Subdivision

If the library is owned/operated by a local political subdivision, then whoever is authorized to sign for the entity should sign the library grant. If the library is owned/operated by a parent agency, such as a historical society or a hospital, then the grant must be signed by the president or vice president **and** the secretary or treasurer of the organization.

412.4 Signature Authority if representative of agency does not comply with above subparagraphs

If the person signing on behalf of the agency does not fit **exactly** within the categories listed in §412.1, §412.2, §412.3 then clear proof of signature authority by **position** and **the individual's name** must be provided with the signed contracts. In order to process an agency's grant without delay, the signature authority should be included when the Grant Agreement signature page is mailed to the Division of Adult Education.

For example, if the applicant is a community-based organization and the contract is signed by anyone other than the specific titles shown above, then the contract must be accompanied by a Board resolution, Board By-Laws, Board minutes, or a letter signed by appropriate Board officers clearly establishing that the signer, by **name** and **title**, has the authority to sign the contract for the organization.

Similarly, if the organization does not fit within, §412.1, §412.2, §412.3 (for example, a correctional institution), documentation or a citation to the law that is used to prove that the person signing the contract for the organization has the authority to sign on behalf of the organization must be forwarded with the signed contract. **Management Directive 305.20**

413 Execution of Contracts

Applications recommended for approval are reviewed by the Division's fiscal staff. The application is then forwarded to the Office of Chief Counsel for legal review. After review and approval, the application are forwarded to the Comptroller's Office for a final review. **Upon approval from the Comptroller's Office, the contract is considered fully executed.** A letter notifying the agency that the contract is approved and a copy of the fully executed contract is scanned and sent via email to the provider at this time. As projects move through the approval process, agencies may check their status in the eGrants system.

414 Contract Compliance

State grants over \$100,000 will be sent Form STD-21. This form will be generated by the Division of Adult Education and forwarded to the program contact after the fully executed contract is approved.

The purpose of the Contract Compliance (CC) program is to ensure that Commonwealth contracts and grants are non-discriminating in intent and effect.

The three aspects are:

1. Non-discrimination in the award of contracts and grants;
2. Non-discrimination by those awarded contracts/grants in their award of subcontracts/supply contracts; and
3. Non-discrimination by those awarded contracts and grants in their hiring and employment practices.

415 Federal Funding Accountability and Transparent Act (FFATA) Provisions

1. Registration and Identification Information

Grantee must maintain current registration in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded pursuant to this agreement. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.

Grantee must provide its assigned DUNS number, and DUNS + 4 number if applicable, to the Commonwealth along with Grantee's return of the signed grant agreement. The Commonwealth will not process this grant until such time that Grantee provides this information.

2. Primary Location

Grantee must provide to the Commonwealth the primary location of performance under the award, including the city, State, and zip+4. If performance is to occur in multiple locations, then Grantee must list the location where the most amount of the grant award is to be expended pursuant to this grant agreement.

Grantee must provide this information to the Commonwealth along with Grantee's return of the signed grant agreement. The Commonwealth will not process this grant until such time that Grantee provides this information.

3. Compensation of Officers

Grantee must provide to the Commonwealth the names and total compensation of the five most highly compensated officers of the entity **if**—

(i) the entity in the preceding fiscal year received—

- (I) 80 percent or more of its annual gross revenues in Federal awards; and
- (II) \$25,000,000 or more in annual gross revenues from Federal awards: and

(ii) the public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

If the Grantee does not meet the conditions listed above, then it must specifically affirm to the Commonwealth that the requirements of this clause are inapplicable to the Grantee.

Grantee must provide information responding to this question along with Grantee's return of the signed grant agreement. The Commonwealth will not process this grant until such time that Grantee provides such information responding to this question.

416 Appeals

In the event that any applicant for, or recipient of a grant from the Bureau is aggrieved by the Bureau by virtue of action taken that is contrary to state and federal law, rules, regulations, or guidelines, such applicant or recipient may, within 30 days, appeal the Bureau's action by written notification, including supporting evidence, to Pennsylvania's Department of Education's Affirmative Action Officer at the following address:

Affirmative Action Officer
Pennsylvania Department of Education
333 Market Street
Harrisburg, PA 17126-0333

500 Submission Dates

Report/Document	To	Due Date
Manually Signed Signature Pages	Division	10 business days after grant is submitted or resubmitted
Quarterly Reports Section 223 (Leadership)	Division	October 15, 2014 January 15, 2015 April 15, 2015
Reconciliation of Cash on Hand Quarterly Report (PDE 2030)	FAI system	October 15, 2014 January 15, 2015 April 15, 2015

Report/Document	To	Due Date
Division of Adult Education Quarterly Report	Division	October 15, 2014 January 15, 2015 April 15, 2015
Budget Revisions (PDE 5036)	Division	June 15, 2015
FL - End of Year School Progress Reports	eData Support	July 31, 2015
Data Quality Validation Form	Division	August 7, 2015
EL/Civics Final Report	Division	August 15, 2015
Final Expenditure Report (PDE 5040)	Division	August 15, 2015
Final Narrative Report Section 223 (Leadership)	Division	September 15, 2015
Adult Postsecondary Enrollment Certification Form	Division	November 16, 2015 July 29, 2016

Appendix A

English Literacy/Civics Education (EL/Civics)

The information in this section is specific to agencies applying for Adult Education funds to provide **English Literacy/Civics Education** programs. The Bureau will allocate funds to the Workforce Investment Areas based upon need and experience. This appendix is to be used in conjunction with the *Adult Education and Family Literacy Guidelines* issued by the Division of Adult Education.

AA1 Requirements for EL/Civics (Reference FY 2010 Labor, Health and Human Services, Education, and Related Agencies Omnibus Bill)

AA1.1 Federal Requirements

The Contractors will ensure that Subcontractors will implement integrated English literacy, United States history, and civics education programs that provide a program of instruction designed to help an English language learner achieve competence in English through contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation, and United States history and government to help such learner acquire the skills and knowledge to become an active and informed parent, worker, and community member.

AA1.2 Additional State Requirements

AA1.2.1 Student Criteria

Recipients of EL/Civics funding must serve learners with English literacy needs:

1. Who have been placed into one of the six National Reporting System ESL Educational Functioning Levels;
2. Who are citizens or eligible for citizenship;
3. With the following secondary outcomes tracked in the eData v2 system:
 - a. Will achieve U.S. citizenship skills;
 - b. Will register to vote;
 - c. Will vote for the first time; and
 - d. Will increase involvement in the community.

AA1.2.2 Annual and Ongoing Program Reporting

Contractors that receive EL/Civics grants will submit a final report that contains EL/Civics secondary outcome measures and qualitative data related to learner outcomes to the EL/Civics advisor.

AA2 Guidance for Setting and Documenting EL/Civics Secondary Outcomes (Reference NRS Implementation Guidelines, May 2012)

AA2.1 Definitions of Secondary Outcome Measures

The NRS Implementation Guidelines define each measure as follows:

1. Achieve citizenship skills: learner attains the skills needed to pass the U.S. citizenship exam. This measure should document the learning gains for students who are enrolled in classes designed to give them literacy skills and substantive knowledge to pass the citizenship exam.
2. Register to vote: learner registers to vote during the program year.
3. Vote for the first time: learner votes for the first time during the program year.
4. General involvement in community activities: learner increases involvement in the following community activities:
 - a. Attending or organizing meetings of neighborhood, community or political organizations
 - b. Volunteering to work for such organizations

- c. Contributing to the support of such organizations
- d. Volunteering to work on community improvement activities

The State further defines this outcome as activities that occur outside of regular classroom hours, although these activities may be facilitated by the teacher as a group activity. This measure does **not** include demonstrating life skills, e.g. using the ATM, speaking with a child's teacher, making doctor's appointments, completing a job application, etc.

AA2.2 Goal Setting Criteria

1. Achieve citizenship skills: should be set for all learners in an EL/Civics class.
2. Register to vote: should be set for all learners who, at time of enrollment, are not registered to vote and have this as their goal.
3. Vote for the first time: should be set for all learners who, at time of enrollment, have never voted and have this as their goal.
4. General involvement in community activities: should be set for all learners in an EL/Civics class who have this as their goal.

AA2.3 Reporting

1. Achieve citizenship skills: total number of enrolled learners who obtain skills to pass the citizenship exam
2. Register to vote: total number of enrolled learners who have this as a goal who register to vote.
3. Vote for the first time: total number of enrolled learners who have this as a goal who vote for the first time.
4. General involvement in community activities: total number of enrolled learners who have this as a goal who increase community involvement in **any** measure. (a, b, c, or d above)

AA2.4 State Required Documentation

1. Achieve citizenship skills:
 - a. learner passes the citizenship exam OR
 - b. there is documentation in the form of an end-of-course assessment or any independently completed assignment in the student file in which the student shows independent knowledge of a minimum of 3 items from the following list:
 - U.S. history and/or geography
 - U.S. governmental structure and function
 - Naturalization process
 - Rights and responsibilities of citizenship
 - U.S. workplace culture and basics of employment laws
 - U.S. legal system
2. Register to vote: learner shows the instructor his/her voter registration card and the instructor documents this in the student file.
3. Vote for the first time: learner self-report, documented by the instructor in the student file.

4. General involvement in community activities: learner self-report. Activity must be documented in the student file.

Appendix B

Act 143 Family Literacy

The information in this section is specific to agencies applying for funds to provide **Family Literacy** programs. This appendix is to be used in conjunction with the *Adult Education and Family Literacy Guidelines* issued by the Division of Adult Education.

AB1 Additional Requirements for Family Literacy Programs

AB1.1 Focus

Family literacy programs include four instructional components. Each agency must use instructional programs for children and adults that are based on reading research and best practice to increase the probability that adults will improve their literacy skills, children will enter school prepared to learn to read, and parents will be able to help their children succeed in school.

AB1.2 Adult Education

Adult Education within Family Literacy takes place in center and/or home-based settings. The curriculum should be delivered in the context of the family. The adult education component is designed to extend basic education skills. Adult Education must be scheduled for a minimum of 5 hours per week in state funded family literacy programs.

AB1.2.1 Non-duplication of Services

State Act 143 Family Literacy grants are to serve eligible adults not currently enrolled in another state or federally funded adult education program.

AB1.3 Early Childhood Education (ECE)

The early childhood component consists of both preschool and school-based curricula for children from birth to third grade. It should be based on a sound, proven early childhood curriculum such as the High/Scope preschool curriculum and focus on the broad developmental skills that emerge during the child's preschool years. In the program, the child's cognitive, physical, social, and emotional skills are developed through active exploration and investigation, personal discovery, reorganization of his/her physical environment, and verbal interaction with peers and adults.

The most effective approaches include creating classroom environments rich in age-appropriate print (from sources such as books, labeling, the alphabet, and children's pre-writing work); teachers who deliver intentional, contextualized, and explicit instruction that supports children's

age-appropriate development of oral language, phonological awareness, print awareness, and alphabet knowledge; monitoring progress to determine which skills children are learning; and intensive, ongoing professional development that includes mentoring and coaching in the classroom.

For the early childhood component, state funded family literacy programs should collaborate whenever possible with a local early childhood provider and children should attend classes as scheduled by the collaborating partner. If no local partnership exists, early childhood classes provided by the family literacy program should be scheduled while the parents are attending classes for a minimum of 7 hours per week.

AB1.4 Parenting Education (PE)

Parenting Education occurs primarily in a center-based setting within a group, but it may be conducted by Family Literacy staff on an individual basis during home visits (principally applicable to Even Start programs). The overall goal of Parenting Education is to strengthen parents' support of their young children's literacy development and early school success. Parenting Education blends the practices of parent support groups and parent education groups to meet the needs of the families in the program. This segment provides a safe place to educate and inform parents, to provide opportunities for mutual support, to offer advocacy services to families, and to study particular subjects related to being a parent. This encourages mutual growth and allows parents to develop friendships and interpersonal skills. Parent education should be scheduled for a minimum of 2 hours per week in state funded programs.

AB1.5 Interactive Literacy Activities (ILA)

The ILA component consists of regularly scheduled sessions for parent-child interaction when parents and children learn and play together as a family unit. At the end of the center-based session, a large group activity provides ideas for transferring learning to the home. The reciprocal learning that takes place during ILA offers parents and children a chance to become true partners in their education. ILA and PE are closely connected so that the knowledge gained by the parents during PT can be applied during the ILA time.

The ILA component occurs primarily in a center-based setting within a group, but it may be conducted in other settings such as during home visits. This is usually done as part of an Even Start program. The parents may conduct ILA with their child in the home without the presence of Family Literacy staff. This "Home ILA" would normally occur between center-based and/or home-based structured activities and is meant to supplement, not supplant, regular ILA in the center and/or home. ILA conducted by parent(s) without staff facilitation/supervision must be "documented" (e.g., use of home packets, workbooks) and be discussed during another scheduled Parent Time session. ILA should be scheduled for a minimum of 3 hours per week in state funded programs.

AB1.6 Target

A Family Literacy project is required to target at risk families who have educational needs. Projects must give priority to families living in areas containing high concentrations of poverty and focus services to address the needs of individuals receiving welfare benefits.

AB1.6.1 Family Risk Index

The Family Risk Index (based on the Annie E. Casey Foundation's *KIDS COUNT* Data Book) is provided to assist Family Literacy Programs in determining if they are serving families most in need. A high-risk family is one that has **four or more** of the following risk factors:

1. Child is not living with two parents;
2. Household head is high school dropout;
3. Family income is below the poverty line;
4. Child is living with parent(s) who is underemployed;
5. Family is receiving welfare benefits;
6. Child does not have health insurance; or
7. Family has limited English proficiency.

AB1.7 Eligible Family Literacy Children and Parent Participants

At least one eligible parent and at least one eligible child must participate in the program. Although a child or parent may be temporarily absent from the program area, the other eligible family members may continue to receive services.

Rather than serving eligible children of all ages, a family literacy program may target children at certain age levels, such as pre-school (four years old) through third grade, but it must provide services for at least a three-year age range.

The early childhood component of all family literacy programs must contain a preschool program, preferably in collaboration with an existing provider such as Head Start, Title I, and /or licensed child care.

Other family members, such as grandparents, stepparents, older siblings, etc., may participate in activities and services when such participation would serve family literacy purposes.

AB1.8 Collaboration

Given the size of the grant and the large number of other local, state, and federal programs focused on adult literacy or early childhood education, it is critical that applicants use these funds as the link to provide a comprehensive family literacy program created from these various sources of support. Local programs must build on existing community resources of high quality – local education agencies and community-based organizations – to build community partnerships. This collaboration should include both program planning and service delivery. Key partners providing services in the four components of the family literacy program include providers such as Head Start, Pennsylvania Pre-K Counts, Family Centers, school district(s) including Title I and K-4 programs, Department of Public Welfare-licensed child care agencies,

libraries, county assistance offices, Migrant Education, and 21st Century Community Learning Centers.

AB1.9 Reporting

Programs are required to submit End of Year School Progress Reports to the eData Tech Support Center by July 31 of each year.

AB1.10 Performance Targets

All family literacy programs are held accountable for all the Adult Education and Family Literacy Performance Standards.

Appendix C

State Leadership

The information in this section is specific to agencies applying for funds to provide State Leadership projects. This appendix is to be used in conjunction with the *Adult Education and Family Literacy Guidelines* issued by the Division of Adult Education. In this document, the term “State Leadership” refers to projects funded under Section 223 of the Workforce Investment Act (WIA) and projects funded under State Act 143 of 1986 for purposes of state leadership and professional development.

AC1 Legislation

AC1.1 Workforce Investment Act

The Workforce Investment Act of 1998, Title II, Section 223, authorizes funding of up to 12.5 percent of the federal allocation for Statewide Leadership activities, including one or more of the following adult education and literacy activities:

1. The establishment or operation of professional development programs to improve the quality of instruction provided pursuant to local activities required under Section 231 (b) of Title II of the Workforce Investment Act;
2. The provision of technical assistance to eligible providers of adult education and literacy activities;
3. The provision of technology assistance, including staff training, to eligible providers of adult education and literacy activities in order to improve the quality of such activities;
4. The support of State or regional networks of literacy resource centers;
5. The monitoring and evaluation of the quality and improvement of adult education and literacy activities;
6. Incentives for program coordination and integration, as well as performance awards;
7. Developing and disseminating curricula, including curricula incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension;
8. Other activities of statewide significance that promote the purpose of Title II;

9. Coordination with existing support services, such as transportation, childcare, and other assistance designed to increase rates of enrollment and successful completion of adult education and literacy activities, for adults enrolled in such activities;
10. Integration of literacy instruction and occupational skills training and promotion of linkages with employers; and
11. Linkages with postsecondary educational institutions.

AC1.2 State Act 143 of 1986

At least 20 percent of the annual appropriation shall be used for training volunteer adult literacy education instructors.

AC2 Requirements for all professional development entities

AC2.1 Requirements of professional development system staff

Full-time facilitators of professional development should complete an annual professional development plan for their own professional development. Professional developers should be funded to stay grounded in the field, such as spending between 2-10 percent of their time each year participating in direct service activities, when possible, as recommended in the Association of Adult Literacy Professional Developers (AALPD) policy matrix.

AC2.2 Annual and Ongoing Program Reporting

Recipients of funds administered under Section 223 of WIA, State Act 143 for professional development or any other project deemed as part of the Adult Education Professional Development System, shall submit, as a condition of funding, three quarterly reports, and one final narrative report.

1. Quarterly reports must be submitted to the Division of Adult Education by the tenth business day following the end of each of the first three fiscal quarters.
2. Final narrative reports must be submitted to the Division by the last business day of August.

Reports will include a fiscal section and a narrative section. The fiscal section will include a listing of expenditures by cost function and object code with a description of the expenditures. The narrative section will address specific questions to be provided. More specific guidance will be provided to individual projects.

AC3 Professional Development Policy (Reference to Adult Education Policy F.100)

AC3.1 Requirement of professional development entities

Each professional development entity within the Adult Education Professional Development System will have a professional development plan outlining the anticipated activities for the contracted year. The plan will be based on agency and individual professional development

plans, agency program improvement needs, needs assessments, current research, evidence-based practice to reflect priorities of the Division of Adult Education.

AC3.2 Support for agencies

Professional development is offered in support of Adult Education Policy F.100. Documents used to guide professional development include Pennsylvania's Adult Teacher Competencies, Administrator Competencies and Indicators of Program Quality.

While the agencies are ultimately responsible for fulfilling the requirement of the professional development policy, the Professional Development System will provide support for the following activities:

1. Work with the agencies to create and maintain the program improvement/professional development worksheet as a working document to be revised as needed. This plan will incorporate both program improvement and professional development.
2. Orientation of all staff new to the field of adult and family literacy education.
3. Development of individual professional development plans that represent a coordinated process of individual reflection and agency-wide planning.

AC4 Budgetary Requirements

The following items are specific to **State Leadership** entities. However, all budgetary guidance must be reviewed and complied with in full. Refer to fiscal guidelines for complete information.

AC4.1 Purchasing of customized items

Funds may not be used to purchase items such as clothing, customized office supplies, and briefcases/portfolios. This item applies to both direct service agencies and state leadership programs. An agency that purchases such items without the review and approval of the Division of Adult Education will be deemed out of compliance.

AC4.2 Cost Function 2200 – Staff Support Services (For Statewide Activities Only)

This Cost Function supports activities associated with assisting, supporting, advising, and directing instructional staff with or on the content and process of providing learning experiences for learners. **Amounts must be listed in the appropriate OC from which the benefit is derived.**

Included under this Cost Function are staff development services designed to contribute to the professional growth and competence of education agency staff, such as traditional professional development activities and consultant services.

AC4.3 Object Code 790 – Property

Generally, equipment is not purchased with Section 223, State Leadership funds. Purchase of automation equipment with Section 223 funds must be approved by Pennsylvania Department of Education during application review. All other regulations for Object Code 790 apply to Section 223 funds.

Appendix D

Pennsylvania Literacy Corps

Pennsylvania Literacy Corps was formerly a separate grant offered to select agencies in the State of Pennsylvania. Pennsylvania Literacy Corps agencies worked with higher education institutions to develop highly effective college student tutors. In Program Year 2011-12, this project became an official tutoring model in which agencies used existing state and federal monies to create and/or continue the relationships with higher education institutions.

Agencies that are committing resources to this tutoring model must indicate this in the Collaboration section of the grant renewal application. This appendix is to be used in conjunction with The Adult Education and Family Literacy Guidelines issued by the Division of Adult Education.

AD1 Pennsylvania Literacy Corps

AD1.1 Intent of Pennsylvania Literacy Corps

The Pennsylvania Literacy Corps is a partnership between adult basic and literacy education agencies and higher education institutions designed to produce two major outcomes:

1. Improved basic skills of individual adult learners through the effective placement and use of Pennsylvania Literacy Corps tutors in adult basic and literacy education services; and
2. Long-term commitment to serving community literacy needs on the part of Pennsylvania Literacy Corps college student volunteers.

AD1.2 Requirements of Pennsylvania Literacy Corps

Higher education institutions are required to develop a new course or adapt an existing course to meet the requirements and intent of a Literacy Corps college-credit course. The Division strongly suggests that courses be part of an academic major to ensure college student participation. The course may be an undergraduate or graduate course and may be offered through any higher education department, as long as the content of the course is directly related to adult literacy. Course content may vary, but should include the fundamentals of adult learning theory, an examination of research on adult basic and literacy education, background information on adult literacy issues, and in-depth study of basic skills instruction; some of this content may be provided by the adult education agency.

Under no circumstances may the course involve adult learners as subjects of research. In addition to their course work, college students should receive any hands-on tutor training considered

necessary to provide them with the knowledge and skills they need to maximize adult learning gains. College students are required to perform a minimum of 40 hours of direct service.

Adult education agencies are not allowed to pay college professors' salaries, but minimal funds are allowed to be subcontracted to the college for outreach. Agencies must have a tutor coordinator or other staff member whose duties entail the overseeing of this tutoring model.

Adult educators should be involved in the development of course content, attend designated classes to introduce themselves and their agency's adult literacy services to college students, and provide any specialized tutor training that is needed beyond the course content.

AD1.3 Standards and Performance

Higher education instructors are required to develop criteria to evaluate and grade college students' performance as volunteer tutors. The college student evaluation must be developed and conducted in partnership with the adult education agency.

College students should be placed in service situations that are appropriate, given their training and service requirement, and provide the best opportunities to make a significant contribution toward improving the basic skills of adult learners in relation to their postsecondary education and/or employment goals. Priority should be given to pairing the college students with adult education students at lower educational functioning levels. Alternative service activities for tutors should be readily available to cover situations when adult learners are unable to attend tutoring sessions. These alternative services should engage college students in meaningful tasks that are related to or support direct services provided to adult learners. The use of Literacy Corps students as teacher aides is only allowable in this limited situation.

It is the responsibility of the adult educator to provide the college student tutors with an understanding of the learning needs of their adult learners, including specific learning objectives stated in relation to learners' postsecondary education and/or employment goals. The supervision, monitoring, and evaluation of tutoring activities must be ongoing and should be the shared responsibility of both the higher education and adult education partners.

In order to measure college students' long-term commitment to voluntarism, higher education institutions and literacy providers are expected to maintain records of tutoring hours and other adult literacy service activities contributed by Literacy Corps college students.

AD1.4 Responsibilities

In order to achieve maximum results, agency responsibilities (administration, coordination, etc.) and budget allocations must fully support all aspects of the Pennsylvania Literacy Corps program. These include:

1. Development, marketing, and offering of the Pennsylvania Literacy Corps course;
2. Recruitment of college students;
3. Specialized tutor training required by the literacy provider;

4. Recruitment and assessment of adult learners to be matched with Literacy Corps tutors;
5. Placement of tutors and supervision of tutoring activities;
6. Adherence to all guidelines pertaining to this model;
7. Entering data per Pennsylvania Literacy Corps and eData v2 requirements; and
8. Providing data and fiscal information to the Division of Adult Education when requested.

600 Glossary

601 Adult Basic Education (ABE)

ABE is a program of instruction designed for adults who lack competence in reading, writing, speaking, problem solving, or computation at a level necessary to function in society, on a job, or in the family.

602 Adult Education

As defined in the [Workforce Investment Act of 1998](#): services and instruction below the postsecondary level for individuals who have attained 16 years of age, are not enrolled or required to be enrolled in secondary school under state law, and who either lack sufficient mastery of basic educational skills; do not have a secondary school diploma or its equivalent; or are unable to speak, read, or write the English language.

In state legislation, Act 143 uses a similar definition but adults are defined as 17 years of age or older. This usage *excludes* Family Literacy because its services are directed toward families rather than individuals. In its secondary usage, Adult Education may denote all programs administered by the Division of Adult Education. As such, adult education includes Family Literacy. Given these different usages, it is necessary to refer to the context within which the term is used to determine which meaning is implied.

In Family Literacy, the adult education component is designed to extend basic education skills using a curriculum whose context is the family.

603 Adult Secondary Education (ASE)

Instruction designed for adults who have some literacy skills and can function in everyday life but who are not proficient or do not have a certificate of graduation or its equivalent from a secondary school.

604 Community-based Organization (CBO)

A private nonprofit organization that is representative of a community or significant segments of a community and provides educational or related services to individuals in the community.

605 Corrections Education Program

ABE, ASE/GED[®], or ESL instruction designed for the adult who is an inmate, patient, or resident of a correctional institution (see definition) . Priority must be given to serving individuals who are likely to leave the correctional institution within five years of participation in the program.

606 Correctional Institution

As defined in the [Workforce Investment Act of 1998](#), any prison, jail, reformatory, work farm, detention center, halfway house, community-based rehabilitation center, or any other similar institution designed for the confinement or rehabilitation of criminal offenders.

607 Educational Functioning Level (EFL)

The National Reporting System (NRS) places educational skill sets into 12 functioning levels. Upon assessment, students are entered into a level based on their demonstrated abilities and complete a level when their post assessment shows mastery of all skills at that educational functioning level.

For details on the skills assigned to each functioning level, refer to the NRS website: www.nrsweb.org

608 Early Childhood Education

The early childhood component of family literacy consists of both preschool and school-age instruction based on sound, proven curricula for children from birth to third grade and focused on the broad developmental skills.

609 English as a Second Language (ESL)

ESL is a subset of ABE instruction designed for the adult whose reading, writing, speaking, or listening proficiency in English is limited enough to deny the individual the opportunity to learn successfully in classrooms where the language of instruction is English or to participate fully in our society. This includes individuals whose first language is a language other than English, who come from an environment where a language other than English is dominant, who were not born in the United States, or who are Native American or Alaskan Native and come from an environment where a language other than English has had a significant impact on their level of English language proficiency.

610 English Literacy/Civics Education (EL/Civics)

An educational program that emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation, and United States history and government to help learners acquire the skills and knowledge to become active and informed parents, workers, and community members.

611 Faith-based Organization

A nonprofit organization founded by a religious congregation or religiously motivated incorporators and board members that clearly states in its name, incorporation, or mission statement that it is a religiously motivated institution.

612 Family Center

A State-supported family service system reform initiative that seeks to improve outcomes for families by way of parental involvement that is funded by the Department of Public Welfare.

613 Family Literacy

Family Literacy addresses the intergenerational nature of illiteracy, by promoting adult literacy, empowering parents to support the educational growth of their children, providing developmentally appropriate early childhood services, and preparing children for school success. Family literacy consists of the following four components: adult education, parent education, early childhood education, and interactive literacy activities (ILA).

614 Financial Literacy

The ability to read, analyze, manage, and communicate about the personal financial conditions that affect material well-being.

615 GED[®]

The Official GED[®] Tests are developed by the American Council on Education to enable persons who have not graduated from high school to demonstrate the attainment of abilities normally associated with completion of a high school program of study.

616 Health Literacy

The ability to read, understand and use healthcare information to make decisions and follow instructions for treatment and for living a healthy lifestyle.

617 Institution of Higher Education

Operating institutions of higher education in Pennsylvania that are legally authorized to grant degrees. This includes state universities, state-related Commonwealth universities, community colleges, private state-aided institutions, private colleges and universities, theological seminaries, private two-year colleges, specialized associate degree granting, other colleges and universities. For a complete listing go to:

www.education.state.pa.us/portal/server.pt/community/higher_and_adult_education/8711/authorized_degree_granting_institutions/522361

618 Interactive Literacy Activities (ILA)

The ILA component of a Family Literacy program consists of regularly scheduled sessions for parent-child interaction in which parents and children learn and play together as a family unit and acquire ideas for transferring learning to the home.

619 Local Education Agency (LEA)

A board of education or other legally constituted local school authority having administrative control and direction of public elementary or secondary schools in a city, county, township, school district, or political subdivision in a state, or any other public educational institution or agency having administrative control and direction of a career and technical education program.

620 MyLearningPlan

Refers to the Professional Development Management and Evaluation System that tracks professional development activities and Act 48 hours for agency staff and volunteers.

621 Non-profit Agency

An incorporated organization that exists for educational or charitable reasons and from which its shareholders or trustees do not benefit financially.

622 Other Institutional Program

ABE, ASE, GED[®], or ESL instruction where services are offered in institutions such as a community-based rehabilitation facility or halfway house, mental institution, rehabilitation facility, or hospital.

623 Parenting Education

Parenting Education is a component of Family Literacy that focuses on strengthening parents' support of their children's literacy development and early school success.

A parent may be a biological or adoptive parent, or legal guardian or other person standing *in loco parentis*. The Latin phrase *in loco parentis* refers to a person acting in place of a parent or legal guardian, either with whom the child lives or who has been designated by a parent, legal guardian, or court to act in place of the parent, legal guardian, or court.

624 Pennsylvania Literacy Corps

The Pennsylvania Literacy Corps is an adult basic and literacy education-higher education partnership that provides community adult basic and literacy education programs with a corps of well-trained college student volunteers.

625 Performance Targets

National Reporting System (NRS) targets include 11 educational functioning levels and four additional core goal outcomes – obtaining a GED[®], obtaining employment, retaining employment, and entering postsecondary education/training. These are negotiated annually between the Division of Adult Education and the US Department of Education Office of Career, Technical, and Adult Education (OCTAE) based upon a review of past statewide performance.

626 Priority of Service

Services provided based on needs of Workforce Investment Areas in terms of employment skills, high-priority occupations, density of population, special needs (such as English language learners), or incarceration.

627 Program Year

The Program Year shall be designated the same as the Commonwealth's fiscal year – July 1 through June 30 – for Pennsylvania Adult and Family Literacy Education Act 143 and Federal Adult Education and Family Literacy Act, Sections 223 and 231 applications.

628 Public Housing Authority

A public agency created by a state or local government to finance or operate low-income housing.

629 Special Needs Services

Instruction designed for adult learners who demonstrate characteristics of one or more of the following classifications: mental retardation, severe emotional illness, brain injury, severe visual impairment, severe hearing impairment, or specific learning disabilities.

630 Support Services

Support services enable eligible adult learners and children to participate in and benefit from an adult and family literacy education program. Support services include but are not limited to, transportation, child care, non-educational personal counseling, and referral to other services available in the community.

631 State Leadership

Projects funded under Section 223 of the Workforce Investment Act of 1998, as well as projects funded under State Act 143 for purposes of state leadership, including professional development activities.

632 Student Persistence

Refers to a student's ability to continue to pursue educational or career goals despite obstacles.

633 Tutor/Volunteer Instructor

An unpaid, trained individual who has, is currently, or will provide direct instruction to learners in a one-on-one or small-group setting. This category does not include volunteers who provide general clerical or office support, transportation, or child care under funds granted through State Act 143, WIA Section 231, or any other service that is not considered direct instruction.

634 Volunteer Literacy Organization

Agency that provides literacy education through the use of unpaid volunteer instructors.

635 Workforce Education

Instruction that prepares students for the workforce but is not tied directly to a specific company or industry partnership. Examples include: résumé writing, interviewing skills, communication skills, and high-priority occupation preparation classes.

636 Workplace Education

Literacy services that are offered at the workplace for the purpose of improving the productivity of the workforce through the improvement of literacy skills. Instruction may be for incumbent workers or for those preparing for employment with a company. On-site analysis of job tasks are used to select which skills instruction addresses.