Adult Education and Family Literacy Guidelines for Program Year 2017-18

For services offered with the following funding:

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

Workforce Innovation and Opportunity Act of 2014, Title II (Federal Adult Education and Family Literacy Act)

July 2017
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100  General Information

101  Purpose of Funding

101.1 Federal

The purpose of the funding in Title II of the Workforce Innovation and Opportunity Act (WIOA), also known as the Adult Education and Family Literacy Act (AEFLA), is to create a partnership among the federal government, states, and localities to provide, on a voluntary basis, adult education and literacy activities, in order to:

1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and economic self-sufficiency;
2. Assist adults who are parents or family members to obtain the education and skills that
   a. are necessary to becoming full partners in the educational development of their children; and
   b. lead to sustainable improvements in the economic opportunities for their family;
3. Assist adults in attaining a secondary school diploma and in the transition to postsecondary education and training, including through career pathways; and
4. Assist immigrants and other individuals who are English language learners in
   a. improving their
      i. reading, writing, speaking, and comprehension skills in English; and
      ii. mathematics skills; and
   b. acquiring an understanding of the American system of government, individual freedom, and the responsibilities of citizenship.

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 goals of the Act include:

1. Increased and improved services to adult learners and their families through the coordination of funding streams and programs across state agencies; 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; and
4. Administration, support services for learners, and outreach activities.
102  Statutory State-Level Requirements

102.1 Federal

1. No less than 82.5 percent of the total state allocation may be earmarked for direct service grants to eligible providers.
2. No more than 20 percent of the funds earmarked for direct service grants may be spent for services at correctional facilities; prison, jail, reformatory, work farm, detention center or, halfway house;
3. No more than five percent of the total state allocation may be used for state administrative expenses.
4. No more than 12.5 percent of the total state allocation may be used for state leadership activities.
5. At least 25 percent of a non-federal contribution (match funds) must be used for adult education and literacy activities.

102.2 State

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.

103  Non-duplication of Services

Adult education and family literacy programs, services, or activities provided under this federal and state 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. Furthermore, federal funds must be used to supplement, not supplant, other state or local public funds expended for adult education and literacy activities. [Reference WIOA Sec. 241 (a)]

104  Application Procedures

All grant applications for funding through the Division of Adult Education must be completed in eGrants. Specific application instructions are provided in the associated Request for Grant Applications for competitive grants or Renewal Application guidelines for renewal grants. Each application has a corresponding submission deadline. Applicants must adhere to all specified deadlines. No grant applications will be accepted after published application due dates.
200 Program Operations

201 Board of Directors

Pennsylvania law requires nonprofit entities to 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 Health, Safety, and Accessibility (Reference Policy C.900)

All public and private sites used to provide adult basic education, family literacy, and early childhood education are required to meet the health, safety, and accessibility standards as established by applicable federal, state, and local laws. Adult education and family literacy programs suspected of being in violation of these policies may be closed for investigation. The site may be closed permanently based upon the findings of the investigation.

203 Eligible Adults

203.1 Federal

Individuals who meet the following criteria in Sec. 203 (4) of the Workforce Innovation and Opportunity Act are eligible for federally-funded 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. Are basic skills deficient;
   b. Do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education; or
   c. Are English language learners.

Students who are enrolled in postsecondary education may participate in federally-funded adult basic education services, as long as those services do not exceed the pre-college level.

Section 225 of the Workforce Innovation and Opportunity Act notes that, when providing instruction in a correctional facility, a program should give priority to students likely to leave the correctional institution within five years of program participation.

**Note:** The focus of the federal funds is providing services to the higher functioning adult students (High Intermediate Adult Basic Education (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.

203.2 State
Individuals who meet the following criteria in section §6403 of the Pennsylvania Adult and Family Literacy Education Act 143 are eligible for state-funded adult basic and/or family literacy 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 in a state 064 grant for instruction at the adult secondary level cannot exceed 20 percent.

203.3 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 division-funded adult education or family literacy program. Programs must provide all prospective students with sufficient notice of this prohibition to allow affected individuals to self-report. The division strongly recommends that programs present the F-1 visa statement to all prospective students during orientation, include the statement in the student handbook, and post the statement in common areas.

204 Staff Positions

Adult education and family literacy programs must be able to comply with all of the requirements of the state and federal grants. Programs are required to maintain certain staff positions to ensure the quality of supervision, data collection and entry, student support, 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. All staff must complete required professional development activities as per Policies C.135, D.100, and F.100.

Program administrators and all tutor training/coordination, instructional, and student support staff must have a minimum of a four-year degree from an accredited postsecondary institution or equivalent foreign credential. Early childhood education instructional staff in family literacy programs must have a four-year degree in a field related to early childhood, elementary, or secondary education. Individuals without the required credentials who are in these positions in a program funded by the division in PY 2016-17 will be grandfathered for the same position for PY 2017-18.

The division does not require any of the following positions to be full-time, dedicated positions. Some programs may find it necessary to have a single staff person fulfill the duties of more than one position (e.g., tutor coordinator and instructor). However, the division strongly recommends that, whenever possible, programs have dedicated staff members for the individual positions.

204.1 Program Administrator

The program administrator is responsible for the overall coordination, administration, and instructional leadership of the adult and/or family literacy education program. These
responsibilities include, but are not limited to, ensuring compliance with division policies; providing adequate staffing; providing new staff with program-specific orientation; providing fiscal oversight; providing leadership in program improvement/professional development; maintaining contact with institutions of postsecondary education and training, local businesses, and community service organizations; and coordinating adult basic education services with local workforce development system partners. Reference Policy G.100.

204.2 Student Support Coordinator

The student support coordinator must be given sufficient dedicated time to fulfill the related responsibilities. The person must be available as needed to work with any student enrolled in the adult education or family literacy program. The duties include, but are not limited to, participating in program orientation; reviewing goals and analyzing assessments; coordinating with instructors and volunteer tutors; making referrals to other community resources/programs; 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 student support activities and hours.

204.3 Classroom Instructor

Classroom instructor responsibilities include lesson planning, instruction, professional development, and program improvement efforts. Other duties include, but are not limited to, periodically reviewing goals, adjusting student placement, if needed, and coordinating with the student support staff. The program must ensure that classroom instructors receive adequate time for lesson planning and professional development.

204.4 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 program to ensure accurate data entry. The duties include, but are not limited to, overseeing data entry for the program; ensuring timely, complete, and accurate entry of data; performing regular review of data for errors; and ensuring immediate corrections, when needed. Programs are encouraged to have several additional staff members trained in data entry.

204.5 In-House Professional Development Specialist

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

204.6 Distance Learning Liaison

Programs that refer students to the Distance Learning Project must have a distance learning liaison to serve as the point of contact between the program and the Distance Learning Project. Additional duties may include, but are not limited to, maintaining contact with the referred
student in case the student requires additional instructional or support services and coordinating student posttesting.

204.7 Tutor Coordinator

Tutor coordinators provide training and support to volunteer instructors/tutors and classroom aides. The duties include, but are not limited to, implementing effective processes for tutor screening, making referrals to the student support coordinator, 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. This position is not required for those programs that only provide family literacy services.

204.8 Volunteer Instructor/Tutor

Volunteer instructors provide one-on-one or small group instruction to students. Although they are not paid staff members, volunteer instructors are required to participate in professional development activities and to schedule time for lesson planning. Volunteer instructors should work with tutor coordinators to review goals and adjust student placement, if needed; and coordinate with the student support staff.

Volunteer instructors (tutors) must have a four-year degree, be participating in a Pennsylvania Literacy Corps or Americorps program, 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. All tutors must complete local program staff orientation and tutor training before being paired with students.

Tutors without a four-year degree are permitted if they show continuous tutoring since Program Year (PY) 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.

204.9 Volunteer Classroom Aide

A volunteer classroom aide provides supplemental instruction to a student or students who are enrolled in a class or group. The volunteer classroom aide does not have primary responsibility for instructional planning. In cases where a volunteer classroom aide prepares lessons, he or she must share the lesson(s) with the primary instructor to ensure the supplemental instruction aligns with the classroom instruction. Unlike the volunteer instructor position, the volunteer classroom aide position does not require a four-year degree and has no minimum hours per week.

Note: Pennsylvania Literacy Corps students, Americorps volunteers, classroom aides and non-instructional volunteers are exempt from the four-year degree requirement.
205  Program Accountability

205.1 Data Collection, Entry, and Reporting (Reference Policy C.130)

Collection: Programs must collect student intake information, appraisals/locators and assessments, and third-party release forms and retain the documentation in student files. Attendance hours may be kept in student files or in attendance binders by class.

Entry: Timely data entry will allow program staff and the Division of Adult Education to analyze data on a regular basis and use it for program planning and continuous program improvement. Programs are required to enter data in the eData v2 system. Division policy requires that data be entered monthly, at a minimum. The division strongly recommends that student attendance hours be entered by the week. Initial student data should be entered once the students have completed an intake form and at least one pretest. Programs must periodically review data checklists provided by e-Data Support and make corrections as needed. Data should be available for review at all times.

Reporting: The Data Quality Validation Form must be submitted to the division by the annual deadline.

205.2 Contracted Enrollment (Reference Policy C.100)

Programs contract for a specific number of enrolled students when they submit a grant application. Programs over or under enrolling students by significant numbers will be out of compliance with the grant agreement. Programs may negotiate with the division to increase or decrease 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 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) such students will be placed in will be the grant in which the student had the most contact hours. A student with multiple periods of participation will only count as one enrolled student.

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. Individuals who are not classroom ready or who are unable to enroll due to capacity constraints should be placed on a waiting list.

205.3 Program Performance (Reference Policy C.100 and C.135)

Programs are expected to meet all division-imposed outcome performance targets. These targets have been established by the Division of Adult Education based on previous state performance results. Programs will receive annual performance data that should be used for program improvement initiatives. Consistently poor results in a majority of primary indicators of performance may result in the loss of funding.

205.4 Subcontracting

A program may subcontract a portion of its grant to another entity to provide adult education and/or family literacy services. In the grant application, the program must identify the entity(ies)
that will receive subcontracting funds, how much each will receive, and the services each will provide. A subcontracting agreement can only be added, reduced or terminated with division approval. A program will have to provide a rationale for the proposed addition, reduction, or termination of the subcontractor and, in the case of reduction or termination, a plan to replace the services provided by the subcontractor.

As the contractor for the grant:

1. The program must have a written agreement in place with the subcontracting program that includes a formal budget.
2. The program is responsible for providing its subcontractor(s) with all pertinent division information.
3. The program will notify the subcontracting program(s) that subcontractors are required to adhere to all state and federal funding policies and guidelines. This includes providing student support services and professional development for staff.
4. The program is responsible for periodic monitoring of subcontractors, including observation of classes, fiscal review, and examination of student files.
5. The program is responsible for the performance of, and any violations of guidelines and policies by, the subcontractor(s).

Programs with subcontractors must also abide by all requirements for subcontracting in the PDE Standard Terms and Conditions and the federal Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

205.5 Monitoring and Evaluation of Adult Education and Family Literacy Programs

The Division of Adult Education will regularly monitor programs for contractual, legal, fiscal, and programmatic compliance. Programs must notify the division of any changes to approved contracts made during the program year.

205.5.1 Desk Monitoring

Division advisors regularly review programs’ data in e-Data and division quarterly fiscal reports. Programs will be contacted if there are late reports, errors in the reports, or anomalies in the program data. Programs may be required to provide additional information to the division advisor.

205.5.2 Monitoring Visits

Division advisors will schedule monitoring visits based on annual program review using a risk rubric. Additional visits may be scheduled as a result of issues that come to the division’s attention. Prior to a monitoring visit, the program will receive a monitoring tool to guide preparation for the monitoring visit and will work with the division advisor on an agenda. The risk rubric and monitoring tool are available on the PDE website.

A team of advisors will conduct the monitoring visit, which includes, but is not limited to:
1. Review of fiscal records and student files;
2. Interviews with administrator, staff, and students;
3. Classroom instruction observations; and
4. Site visits – including subcontractor sites.
Any commendation, findings, and recommendations will be presented at a closing meeting. Programs will have 45 days from receipt of the official findings report to provide a corrective action plan. A follow-up visit by the advisor may be necessary to confirm that all findings have been addressed. Continued failure to make the necessary corrections will result in disciplinary action and may result in a loss of funding.

300 Program Services

301 Student Orientation

Programs must provide all students with an orientation session to explain program services, eligibility, and rules. Student orientation must include time for program overview, barrier screening, transition goal setting, intake, and assessment. Programs must include student orientation procedures as part of the intake policy. Programs are encouraged to provide program overview, barrier screening, and transition goal setting first and complete assessment and intake after these are completed. Student orientation activities do not count towards instructional hours.

301.1 Program Overview

Programs must ensure that all students, including limited English proficient students, understand the information provided at orientation. During orientation sessions the following should be covered:
1. Attendance policy and class participation;
2. Student handbook that provides information on fire drills, emergency evacuation procedures, grievance procedures, rights and responsibilities, and basic program rules and regulations;
3. Distance learning and tutoring options;
4. Class schedules; and
5. Other program-specific information.

301.2 Barrier Screening

Programs must include time during orientation to work with students to identify and develop a plan to address potential barriers to participation. Student success in the program is predicated on the recognition of and solutions to these barriers. Programs should provide students with information on local community and support service providers and help students access those services as needed.

301.3 Initial Transition Goal Setting

Students must have the opportunity to discuss their educational and career goals and develop a related plan during the orientation process. This information must then be shared with the student support coordinators and instructors, so they can plan services that align with and address the goals and plans. During the initial transition goal setting, programs should provide students with information on available employment and postsecondary/training opportunities, including Pennsylvania CareerLink® services.
301.4 Intake

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). The program must collect all of the information that is required on the eData form. Intake forms must be included in the student files.

1. For the purpose of conducting data matching for federal and state reporting, programs should ask adult students to provide their Social Security number on the intake form. However, individuals are not required to provide their Social Security number in order to participate in the program. Programs cannot require a Social Security number and cannot deny services to students who do not provide a Social Security number.

2. Students must sign the Release of Information statement at the end of the Adult Intake/Exit form. In order to share student information with other entities, programs must also have a signed third-party release of information form in the students’ files.

3. Students must be provided with emergency information forms, which they will have the option to fill out.

4. Orientation staff must present the F1 visa statement to all students.

5. Programs must enter student information into the eData v2 system once the student has completed the intake form and pretesting.

6. During intake, programs should try to find out if the individual previously participated in an adult education or family literacy program. This information can help with barrier screening and proper assessment.

301.5 Assessments (Reference Policy D.100)

Students must be assessed with one of the approved standardized assessments before entering instruction. Student files must include documentation of the approved standardized assessment used for division reporting purposes.

Diagnostic information from the assessment should be presented to the student, student support coordinator, and instructor. This information should be used to place students in the most appropriate instructional/class level and to inform instruction and student support services.

301.6 Distance Learning Referrals (Reference Policy D.130)

Programs must provide information on the Distance Learning Project during orientation. Students who express interest in those services must receive additional screening to determine if they are good candidates who will be able to succeed in distance learning. The distance learning screening can be provided by the program or the Distance Learning Project. Interested students should have achieved a high intermediate level score on an ABE reading/math assessment or a low intermediate ESL level assessment score. Students can be referred to the Distance Learning Project after they start attending classes if issues prevent their attendance in class or the student wants additional instructional hours.

302 Student Support Services

Programs are required to provide all students with barrier and transition support services, as needed. These may be provided individually and/or in a group setting. The program must have
the capacity to provide one-on-one confidential support to students when needed. Support services must be offered at flexible times to meet the needs of students; however, support staff should limit how often they pull students out of class, as this interrupts instruction. Programs must post a schedule indicating the days and times that support services are available to students.

### 302.1 Student Support Coordinator

The division strongly recommends that the student support services be provided by one or more dedicated staff positions. When this is not financially feasible, however, programs may have a staff member who serves in another position also be the student support coordinator. The student support coordinator must be given sufficient dedicated time to fulfill the related responsibilities. Requirements for student support services include, but are not limited to the following:

- Services must be made available in individual, small group, online, or classroom settings that meet the schedule demands of students;
- Services must be provided in a venue that is conducive to the type of support services being offered;
- Barrier and transition support services must be an integral part of the orientation process;
- Services must be provided in collaboration and consultation with classroom and volunteer instructors;
- Services must be provided in collaboration with local community and support service providers, including resources for dependents;
- Programs must collect information, including contact information, about postsecondary education and training opportunities and make the information available to students as appropriate;
- Student support coordinators must be aware of the local workforce board activities, the local plan, and High Priority Occupations and understand how they impact students;
- Programs must use appropriate barrier support and learning differences assessment tools;
- Program staff must follow up with students who have missed class, disclosed additional need for assistance, etc.; and
- Programs must maintain confidentiality of all written documentation and records of student support sessions.

### 302.2 Barrier Support

Barrier support is designed to help students proactively identify issues that could prevent regular class attendance or interfere with their educational progress and to provide upfront support to address those issues. Support staff should provide contact information to relevant community and support service agencies but allow the student to reach out for the support. (Staff time spent on barrier screening and support must be reported in Function Code 2160.

### 302.3 Transition Support

Transition support is designed to help students identify their goals for postsecondary education/training and/or employment, establish a plan to reach those goals, and complete the steps in the plan. Student should be actively engaged in learning about career pathways. (Staff time spent on transition goal setting and support must be reported in Function Code 2122.
400 Instruction

Federal and state funds permit instruction for:
- Adult education;
- Literacy;
- Workplace adult education and literacy;
- Family literacy (state funds only);
- English language acquisition activities;
- Corrections education;
- Integrated English literacy and civics education;
- Workforce preparation activities; and
- Integrated education and training (federal funds only).

401 Quality of Instruction

At a minimum, quality instruction will:

1. Be grounded in research;
2. Incorporate the College and Career Readiness Standards for Adult Education;
3. Be provided by qualified staff;
4. Be contextualized; and
5. Incorporate technology.

402 Instructional Requirements

402.1 Instructor Preparation Time

Classroom and volunteer instructors/tutors must be given adequate time for professional development and classroom preparation. This time must be protected and cannot be used for performing other duties. Classroom instructors must receive a minimum of 20 percent of their total instructional time for preparation. This can be calculated by multiplying the number of instructional hours a week by 25 percent.

402.2 Language of Instruction

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

402.3 Minimum Hours of Instruction

All classes must be scheduled for a minimum of five hours a week. Tutor pairs/small groups must be scheduled for a minimum of three hours a week. Supplemental classes, which provide additional instruction to students who are also attending regular classes, do not have a required minimum number of hours per week. Programs cannot offer supplemental classes in lieu of other classes, small groups, or tutoring pairs.
402.4 Occupational/Vocational Training
Programs cannot provide occupational/vocational training to students as part of regular, division-grant-funded classes, unless it is part of a division-approved integrated education and training program (see 403.1.5).

402.5 Student Attendance

Regular student attendance is essential to ensure that students persist in the program long enough to reach their goals. To accomplish this, programs must have a written, enforced attendance policy that includes:

1. Attendance requirements;
2. Consequences for students who fail to meet the attendance requirements;
3. A process to document and track actual student attendance hours;
4. Specific procedures to follow up on student absences; and
5. The provision of barrier support services.

402.6 Standards-Based Instruction

Standards-based education provides a structured approach for state adult basic education and family literacy programs to create a system that explicitly links standards, assessments, and instructional delivery. PDE’s Standards Aligned System (SAS) is the comprehensive system to support student achievement across the commonwealth. The Pennsylvania Core Standards, adopted in 2013, reflect the organization and design of the Pennsylvania Academic Standards.

The Division of Adult Education has implemented the College and Career Readiness Standards for Adult Education (CCRS) that were released by the Office of Career, Technical, and Adult Education (OCTAE). The CCRS are fully aligned with the Pennsylvania Core Standards. These standards must guide lesson planning and instruction.

402.7 Career Pathways

The role of division-funded programs in career pathways is to support students’ access to and success in career pathways. Programs help students acquire the knowledge and basic skills, including critical thinking and problem solving, necessary to earn a secondary school credential and transition to and succeed in employment and/or postsecondary education or training.

As defined in the Workforce Innovation and Opportunity Act, the term career pathway means a combination of rigorous and high-quality education, training, and other services that:

1. Aligns with the skill needs of industries in the economy of the state or regional economy involved;
2. Prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including registered apprenticeships;
3. Includes counseling to support an individual in achieving the individual’s education and career goals;
4. Includes, as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
5. Organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable;
6. Enables an individual to attain a secondary school diploma or its recognized equivalent, and at least one recognized postsecondary credential; and
7. Helps an individual enter or advance within a specific occupation or occupational cluster.

402.8 Lesson Plans

Adult education and family literacy teachers and volunteer instructors/tutors must use documented lesson plans with CCRS-aligned learning objectives. The lesson plans must clearly articulate how the teacher will sequence lessons, use instructional materials, and present and conduct learning activities. Curriculum and instructional strategies should make career awareness and workforce skills a central context for learning.

402.9 Learning Difference Materials

Teachers must be able to adjust lesson plans in response to the needs of their students, including those with learning differences. Programs must have “classroom toolkits,” which contain the most commonly used adaptive materials, and must place these toolkits where the students can access the materials when they need them. Teachers and tutors must be familiar with additional adaptive materials to provide when students require resources that are not in the classroom toolkit.

403 Instructional Models

Three instructional models are recognized by the Division of Adult Education: Managed Enrollment, Open Entry/Open Exit, and Tutoring. Agencies should ensure that they use the model(s) that best meet 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.

403.1 Managed Enrollment

Managed classes have an established cycle with a start and end date. Students are only allowed to enter the class at the beginning of the cycle and are expected to remain until the end. This model is especially beneficial in preparing students for the structure and requirements of postsecondary education/training.

403.1.1 Fast Track High School Equivalency Preparation

Fast Track High School Equivalency Preparation is a managed class for students who need short-term instruction (at least 12 hours) in one or two content areas in order to successfully complete the high school equivalency tests. Eligible students must be functioning at an Adult Secondary Education (ASE) level.

403.1.2 Specialized (short term)

Specialized classes are created to address specific needs 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.

403.1.3 Workplace Adult Education and Literacy Activities

As defined in Title II, Workforce Innovation and Opportunity Act, workplace adult education and literacy activities are adult education and literacy activities offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce.

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.

403.1.4 Integrated Education and Training (federal funds only)

As defined by Title II, Workforce Innovation and Opportunity Act, integrated education and training is a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement. This is the only instructional model that can include occupational training, which is otherwise unallowable with division funds.

An integrated education and training program must meet all of the following criteria to be allowable under Title II:

1. It must include all three components: adult basic education, workforce preparation activities, and occupational training.
2. All three components must occur simultaneously, be of sufficient intensity and quality, be research based, and use occupationally relevant instructional materials.
3. The program must have a single set of learning objectives that identifies specific adult education content, workforce preparation activities, and workforce training competencies, and the program activities must be organized to function cooperatively.
4. The integrated education and training program must be part of a career pathway and help an individual enter or advance in an occupation or occupational cluster.
5. The adult basic education instruction must be aligned with the CCRS, provide skills that are transferable to other contexts and situations, and prepare participants to succeed in any employment and/or postsecondary education opportunities.
6. The occupational training component of the program must align with the skill needs of business in the area and existing, high-quality employment opportunities for participants.

An integrated education and training program must be approved by the division prior to the start of class.

403.2 Open Entry/Open Exit

Programs may provide classes that allow students to enroll and exit based on their needs. Programs are responsible for providing students with a sequence of contextualized lessons that
progress through increasing skill levels. Programs need to ensure that students receive orientation and are properly assessed before starting class. Students must adhere to the program's attendance policy. The use of classroom aides can be beneficial to an open entry/exit class.

403.3 Supplemental classes

Programs may offer supplemental class in specific content areas to provide additional instruction to students attending regular managed enrollment or open entry/open exit classes who want more intensive instruction. Supplemental classes cannot be offered in lieu of regular classes.

403.4 Tutoring

The Division of Adult Education supports stand-alone service to students with barriers to classroom participation through the use of trained and supported volunteer tutors. Instruction may be one-on-one or in small groups of two to six students. Tutoring instruction must be a sequence of contextualized lessons that progress through increasing skill levels.

403.4.1 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 program and a local postsecondary institution.

Agencies using this model must mark the volunteer instructor as a Pennsylvania Literacy Corps tutor in e-Data v2 and must adhere to all division policies pertaining to this model as outlined in Appendix AA3.3.

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

500.1 Purpose

The purpose of continuous program improvement and professional development is to ensure the highest-quality service to the adults who participate in division-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.

Programs providing services under division funding will:

1. Work closely with the professional development system through their lead consultant.
2. Maintain a program professional development team which consists of the program administrator and the in-house professional development specialist.
3. Maintain a program improvement team, with program-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 program’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 program should use quantitative and qualitative data to determine goals and activities.

5. File Program Improvement and Professional Development Worksheet on the program’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.

7. Create the organizational culture (e.g., openness to change, collegial support, provision of time and resources) necessary to support professional development and continuous learning as a means of program improvement.

500.2 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 program staff. They work with administrators as instructional leaders and with in-house professional development specialists as support for professional development planning. They can also work with agency professional learning communities or individual staff as requested.

500.3 Pennsylvania Adult Education and Family Literacy Indicators of Program Quality

The Pennsylvania Adult Education and Family Literacy Indicators of Program Quality (IPQ) provide guidance 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

500.4 Pennsylvania Adult Teacher and Administrator Competencies

The Pennsylvania Adult Teacher Competencies identify the skills and knowledge necessary for teachers to provide quality instruction to adults. Administrator Competencies identify skills and knowledge necessary to administer a high quality adult basic or family literacy program. Agencies should apply these competencies in conjunction with the IPQs to guide program planning and professional development activities.
501  Staff Responsibilities for Program Improvement and Professional Development

501.1 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; and
12. Ensure that instructional staff has adequate, paid preparation and professional development time (Refer to Section 204.3).

501.2 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 the 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 program’s professional development team;
8. Assist the staff in the use the PD Portal;
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.

501.3 Tutor Coordinator

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

### 501.4 Instructional Staff

Instructional staff will:

1. Work with the in-house professional development specialist (or tutor coordinator for tutors) to 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. Participation in the program’s professional learning communities;
   c. Identifying program improvement goals;
   d. Reviewing data related to program improvement goals;
   e. Providing feedback on impact of program improvement efforts; and/or
   f. Implementing program changes.

### 501.5 Non-instructional Staff

Non-instructional staff will:

1. Work with the in-house professional development specialist to 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., student support coordinators take student support 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; and
   e. Implementing program changes.

### 600 Fiscal Requirements

Grant funds for adult education and family literacy programs in Pennsylvania must be managed in accordance with sound financial management policies and practices and in conformity with all state and federal financial rules and regulations.

Applicable state and federal administrative requirements, cost principles, and audit requirements are incorporated into each grant award by reference. They include but are not limited to:

1. [Education Department General Administrative Regulations (EDGAR) 34 Code of Federal Regulation (CFR) Parts 75, 76, 77, 79, 81, 82, 84, 86, 97, 98, and 99 as amended on December 19, 2014](#)
2. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
3. PDE Standard Terms and Conditions

601 Program Year

The program year is defined as July 1, 2017, through June 30, 2018. 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.

602 Funding Equity

PDE reserves the right to determine the equitable distribution of funds throughout the commonwealth, thus ensuring that program funds are available to local workforce development areas. Funding priorities target areas with high unemployment and poverty rates, literacy needs, and employer demands.

603 Financial Management System

Programs must use funds for the intended purposes 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 each grant from expenditures not attributable to the 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.

603.1 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 and must be appropriately allocated. The information in the following sections provides a summary of the General Principles. Refer to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards for specific requirements.
603.1.1  Factors Affecting Allowability of Costs

Under the uniform grant guidance §200.403, costs must meet the following criteria to be allowable:

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; and
7. Be documented.

603.1.2  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 program. (Refer to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, §200.404)

603.1.3  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. (Refer to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, §200.405)

604  Use of Funds - Specific Considerations

604.1  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 program; rental of equipment not owned by the sponsoring program; 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.

Note: Unexpended grant funds carried over to the fourth quarter of the program year should not be used to purchase supplies or instructional materials for the next program year.

604.2  Limitations

604.2.1  Statutory Floors and Ceilings
Federal: Under the Title II, WIOA, Sec. 233, the following local administrative cost limit is in effect:

1. No more than five percent of a grant to a local provider may be used for administrative costs. See Section 608.7 for exception.

State: Under State Act 143, the following local program level limits are in effect:

1. No more than 10 percent of any grant may be used for support services necessary to enable individuals to participate in the program (Function Code 2160);
2. No more than 10 percent of the grant may be used for administrative costs incurred by the adult or family literacy provider (Function Code 2300).

604.2.2 Division-Imposed Floors and Ceilings

Federal direct service grants (federal 064 and 061): The Division of Adult Education requires that:

1. Twenty-five percent of program costs be provided by local match; and
2. No more than 20 percent of any grant be used to provide education to institutionalized adults, unless preapproved by the division.

State grants (state 064) the Division of Adult Education requires that:

1. A minimum of 20 percent of state 064 grant funds be used for volunteer instructor training. This does not apply to state-funded family literacy grants. (Reference Appendix AA4 and AA4.1)
2. No more than 20 percent of any state 064 grant be used to provide education to institutionalized adults, unless preapproved by the division.
3. No more than 20 percent of any state 064 grant be used for instruction to prepare students at the adult secondary level to take high school equivalency tests.

**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.

604.2.3 Budgeting an Employee’s Hours in One or More Grants

Programs may budget an employee’s hours in one or more grants awarded by the division; however, the total number of hours per each employee cannot exceed one full time equivalent (FTE) position, up to a maximum of 2080 hours per program year. Documentation of employees’ hours must be available for review by division staff.

604.2.4 Staff Activities

As part of reporting staff hours on time and effort sheets, programs must also report staff activities by function code and object code. This information assists program directors in creating future budgets and ensures that program expenditures are not exceeding legislative floors and ceilings.
604.2.5 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.”

604.3 State Act 143 Family Literacy 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.

605 Ineligible Use of Funds

Expenditures under grants from the Division of Adult Education are subject to the Uniform Administrative Requirements, Cost Principles, Audit Requirements for Federal Awards, Subpart E—Cost Principles. In addition, State Adult and Family Literacy Education (Act 143) and federal Adult Education and Family Literacy Act (Section 223 and 231) funds may not be used in the following cases: (This list is not comprehensive.)

1. To supplant other existing public or private funds currently used to provide adult basic 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. To pay high school equivalency testing fees; and
4. To cover the cost of instruction at the postsecondary level. Exception: the division may approve the use of federal grant funds for occupational training within a division-approved integrated education and training program.

606 Budget

All items entered into a budget must be entered by Function Code and Object Code. Function Codes describe the activities for which a service or material is acquired. Object Codes describe the object, which is the service or commodity obtained as the result of a specific expenditure. Amounts can either be rounded to the nearest dollar or as an exact amount. Exceptions are noted in the appropriate sections. When completing a grant budget, programs can reference the Budget Guide for additional assistance.
607  Function Codes

Function Codes describe the activities for which a service or material is acquired. For the purpose of preparing budgets for grants received from the Division of Adult Education, the Function Code categories detailed in Chart of Accounts have been redefined, within the parameters of the Manual of Accounting (click on Accounting Information), to reflect true costs associated with the operation of an adult education program.

607.1 Function Code 1691 - Instructional Services

Expenses associated with instructional services include the support and delivery of instruction, intake and assessment for adults (and children, if family literacy). Allowable expenses include salaries and benefits for instructors, support personnel and for the supervision of the activities. It also includes instructional and classroom materials, equipment, and travel.

607.2 Function Code 1692 - Tutor Training

Expenses associated with tutor training include all of the expenditures associated with the program’s tutoring component. Allowable expenses include salaries and benefits for the recruitment, coordination, management, evaluation, and supervision of the tutoring component. It also includes instructional materials, equipment, and travel.

607.3 Function Code 2122 - Counseling Services

Expenses associated with the support and delivery of activities associated with assisting learners with transitioning into postsecondary education, training, and employment. Allowable expenses include salaries and benefits for transition assistance and for the supervision of the activities. It also includes appropriate materials and travel.

607.4 Function Code 2160 - Social Work Services

Expenses associated with the support and delivery of activities to assist learners with barriers to participation. Allowable expenses include salaries and benefits for assistance activities and for the supervision of the activities. It also includes appropriate materials and travel. Also allowable, if not provided or available through other funding sources (federal, state, or local), are expenses associated with learner transportation and childcare.

Note: A maximum of ten percent of the state-funded direct service adult education or family literacy budget may be allocated and expended on this function code.

607.5 Function Code 2200 - Support Services for Instructional staff

For direct service grants: Expenses associated with the delivery of professional development support for program staff by the In-House Professional Development Specialist. Allowable expenses include salaries and benefits for the In-House Professional Development Specialist and for the supervision of the activities. It also includes appropriate materials and travel.

For state leadership grants: Expenses associated with assessing, supporting, advising and directing instructional staff with or on the content and process of providing learning experiences for learners. Included in this function code are staff development services designed to contribute
to the professional growth and competence of program staff, such as traditional professional development activities and consultant services. Allowable expenses include salaries, benefits, materials, travel, rent, and supervision of the leadership staff.

607.6 Function Code 2300 – Administration Support Services

Expenses associated with administration of the grant. Allowable expenses include salaries and benefits for grant writing, attendance at division meetings, PA CareerLink® responsibilities, daily administrative duties, performance accountability oversight, personnel recruitment, program strategic planning, appropriate materials and travel. It also includes PA CareerLink® infrastructure costs, human resources, payroll, accounting, audits and mandatory grantee trainings whether purchased or provided by program personnel. In addition, it includes expenses for purchased professional development activities.

**Note:** A maximum of five percent (or approved waiver amount) of the federal section 231 grant or ten percent of a state Act 143 grant may be budgeted and expended in this function code.

607.7 Waiver Request for Administration Support Services (federal 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 provider to determine an adequate level of funds to be used for non-instructional purposes. [Reference Title II, WIOA, section 233(b)] If the restricted indirect cost rate (Object Code 900) exceeds five percent, the agency must request a waiver.

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 Function Code (2300):

1. Requested percentage rate;
2. Salary and benefits costs assigned to Administration;
3. PA CareerLink® infrastructure costs;
4. Other Costs assigned to Administration (totaled by category); and
5. Indirect Costs (Object Code 900).

607.8 Function Code 2600 - Operation and Maintenance of Plant Services

Expenses associated with keeping the physical plant open, comfortable, and safe for use. Allowable expenses include salary and benefits for the building custodian, utilities, insurance, rent, and building equipment. A cost allocation system must be used for expenditures.

607.9 Function Code 2900 - Other Support Services

Expenses associated with learner recruitment and data entry for the grant. Allowable expenses include salaries and benefits for personnel and for the supervision of the activities. It also includes appropriate materials and travel.
608 Object Codes

Object Codes are used to describe the object, which is the service or commodity obtained as the result of a specific expenditure. For the purpose of preparing budgets for grants received from the Division of Adult Education, the object code categories detailed in the Chart of Accounts have been redefined, within the parameters of the Manual of Accounting, to reflect true costs associated with the operation of an adult education program. All object costs must be placed in the appropriate function code from which the benefit is derived. The Chart of Accounts was updated on August 1, 2016. Please refer to this link for the current version of this manual.

608.1 Object Code 100 Series - Personnel Salaries

Gross salaries paid to individuals to support and deliver activities in the grant, including travel time between sites, preparatory time and professional development activities. All salary costs must be pro-rated and charged across all appropriate function codes and object codes.

1. Object Code 101 - Supervisor/Coordinator
   Salaries paid to adult education or family literacy professionals who directly oversee all or a portion of the program.

2. Object Code 102 - Adult Education Instructor
   Salaries paid to individuals instructing a class or small group.

3. Object Code 103 - Counselor
   Salaries paid to individuals providing student support activities.

4. Object Code 104 - Tutor Trainers
   Salaries paid to individuals who support the tutoring component of the program.

5. Object Code 105 - Administrative Support Personnel
   Salaries paid to individuals who provide administrative support for the activities of the program.

6. Object Code 106 - Adult Education/Other (local match for federal budget only)
   The value of the time volunteer tutors spend planning for or instructing small groups, tutoring one-on-one, or serving as classroom aides.

7. Object Code 107 - Early Childhood Educator (family literacy grant only)
   Salaries paid to individuals instructing an early childhood class. Instruction must meet the requirements of reportable early childhood hours. Do not use this code for babysitting/childcare activities.

8. Object Code 108 - Parenting Educator (family literacy grant only)
   Salaries paid to individuals instructing parenting class.

9. Object Code 109 - ILA instructor (family literacy grant only)
   Salaries paid to individuals instructing ILA.

10. Object Code 110 - Official/Administrative
Salaries and benefits paid to individuals supporting the grant. Allowable expenses include activities performed by the grantee staff associated with human resources, fiscal/accounting, etc.

   Payments made to an employee opting out of inclusion in an insurance plan. These include payments to a health savings plan in lieu of cash payment.

12. Object Code 190 - Instructional Assistant
   Salaries and benefits for babysitting/childcare services in function code 2160.

608.2 Object Code 200 Series - Personnel Services/Employee Benefits

Fringe benefits paid for individuals working in the grant. Benefit costs must be pro-rated and charged across all appropriate function codes in a manner consistent with salaries.

1. Object Code 210 - Group Insurance (contracted provider)
   The employer’s share of group insurance (life, medical, dental, eye, and prescription) for employees in the grant.

2. Object Code 220 - Social Security Contributions (FICA)
   The employer’s share of Social Security and Medicare taxes paid to the IRS for employees in the grant.

   **Note:** For state 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.

3. Object Code 230 - Retirement Contributions
   The employer’s share of retirement contribution paid to the retirement fund.

4. Object Code 231 – Other Benefits
   The employer’s share of other benefits not covered in the other 200 series.

5. Object Code 250 - Unemployment Compensation
   The employer’s share of unemployment compensation purchased from the Pennsylvania Department of Labor and Industry.

608.3 Object Code 300 Series - Purchased Professional and Technical Services

Costs incurred for contracted services outside of the grantee program that require specialized skill and knowledge. These may include auditors, lawyers, consultants, instructors, case managers, accountants, etc.

A breakdown of contracted services must be completed under “Contracted Services” in eGrants.

1. Object Code 320 - Professional Educational Services
Expenditures for contracted education services not provided by program personnel. This includes all subcontracting expenses for educational services. This also includes instruction, tutor training, student support services, administrative support, data entry, in-house professional development specialist and student recruitment if not performed by program personnel. The recipient of grant funds may not act as a fiscal agent only and subcontract the entire program funded through the state and federal grants.

2. Object Code 324 - Professional Educational Services – Employee Training and Development
Expenditures for professional development for program personnel. This includes course registration fees, paid trainers, and other expenditures associated with training provided by third party vendors.

3. Object Code 330 - Other Professional Services
Purchased Professional Services other than educational in support of the grantee program’s operations including lawyers, auditors, accountants, fiscal management services, and legal services.

4. Object Code 340 - Technical Services
Costs associated with purchased technical services which include technology (computer services, system design and development, software development, and backup facilities).

5. Object Code 350 - Security/Safety Services
Costs associated with security personnel not employed by the program.

6. Object Code 390 – Other Purchased Professional and Technical Services
All infrastructure costs for the PA CareerLink® included in an MOU with the local workforce board.

**608.4 Object Code 400 Series - Purchased Property Services**

Costs associated with purchased property services not included in a rental agreement and not performed by program employees.

1. Object Code 410 - Cleaning Services
Expenditures for property services by an outside vendor. Allowable expenses include disposal, snow plowing, custodial, and lawn care services not performed by grantee personnel.

2. Object Code 420 - Utilities
Expenditures associated with utilities which include electric, gas, water, sewer, etc. Communication costs are unallowable in this object code.

3. Object Code 430 - Repairs and Maintenance Services
Expenditures associated with repairs and maintenance services to the building and equipment that are purchased rather than provided by the grantee program staff. This includes reoccurring maintenance contracts, one-time maintenance costs, part repair costs, laptop batteries, video cards, hard drives, memory chips, and power supplies with a useful life of one year or less.

4. Object Code 441 - Rental of Land and Buildings
Expenditures associated with space rental agreements for classrooms and offices from an independent third party (not an entity who is the lead applicant or partner in the grant). The rental costs must be comparable to other tenants (including custodial services, if applicable). Current rental agreements must be maintained and available for review at the site.

| Note: | Grant funds may not be used to pay for the rental of any property owned by the grantee or anyone affiliated with the grantee. However, the value of such space may be reported as part of the required 25 percent local match. The amount reported as local match must be determined in compliance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. |

5. Object Code 442 - Rental of Equipment
Expenditures associated with rental agreements for equipment for temporary or long-term use from an independent third party that support program activities. Rental agreements from a lead applicant or partner in the grant are unallowable.

6. Object Code 448 - Lease/Rental of Hardware and Related Technology Services
Expenditures include the lease/rental costs incurred for mainframe computers, mini-computers, micro/personal computers, electronic office equipment, 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 object 430.

7. Object Code 449 - Other Purchased Property Services
Expenditures for property services not provided by grantee personnel and unallowable elsewhere in purchased property services.

608.5 Object Code 500 Series - Other Purchased Services
Expenditures for services not provided by grantee program staff. Allowable expenditures for purchased services outside of the organization and unallowable under Professional and Technical Services and Purchased Property Services.

1. Object Code 520 – Insurance (General)
Expenditures for fire, property, and liability insurance.

2. Object Code 530 – Communications
Expenditures for telephone, Internet service, postage, and postage machine rental.

3. Object Code 540 - Advertising
Expenditures related to advertising for the program. Allowable expenses include ads in newspapers, periodicals, radio, and television for student outreach and personnel recruitment. Expenses for grantee program advertising or public relations are unallowable.

4. Object Code 550 - Printing and Binding
Expenditures for printing and binding of forms, brochures, pamphlets, and posters not performed by grantee program personnel.

5. Object Code 580 - Travel
Expenditures for employee transportation related to division required attendance at meetings, travel to and from professional development activities, travel to and from main office to class sites, and associated travel expenses including conferences incurred by program staff on behalf on the program.

Note: Travel rates will be at or below commonwealth rates in effect at the time of the application. Reimbursement for travel, lodging, and/or meals at a rate higher than current commonwealth rates may be allowed by PDE 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 Travel Procedures Manual 230.1.

608.6 Object Code 600 Series - Supplies

Expenditures for consumable items that do not need to be inventoried.

1. Object Code 610 - General Supplies
   Expenditures for all supplies that do not need to be inventoried. These include items that are consumed, worn out, or deteriorate in use. Includes paper-based assessments.

2. Object Code 640 - Books and Periodicals
   Expenditures for text and reference books for classroom use or tutoring.

3. Object Code 650 - Supplies and Fees (Technology Related)
   Expenditures for technology related supplies and fees including educational software, flash drives, and software licensing fees.

608.7 Object Code 700 Series – Property

Expenditures for the acquisition of fixed/capital assets, initial equipment; additional equipment and replacement of equipment.

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

1. Object Code 790 - Other Property

   Expenditures for the purchase of equipment having a useful life that extends beyond the current fiscal period and that require inventory management. These may include computers, audio/video equipment, projectors and telephone systems. A breakdown of property purchases must be completed under “equipment” in eGrants. PDE approval is mandatory for any item costing $5,000 or more.

   Grantees must comply with the Uniform Grant Guidance in the purchase, use, and accountability of the equipment when purchased with federal funds. Grantees must maintain annual inventories and usage logs for duplication charges against the grant, and additional reports when requested by PDE.

608.8 Object Code 800 Series – Other Objects

Amounts paid for expenditures not otherwise classified in object codes 100 through 700.
1. Object Code 810 – Dues and Fees
   Costs of educational membership fees for PAACE or COABE.

2. Object Code 891 – Other Miscellaneous Expenditures
   The program may use the unused portion of its approved restricted indirect cost rate (RICR) as local match. The program cannot use more than its approved RICR as local match.

608.9 Object Code 900 - Indirect Costs

Indirect costs are overhead expenditures/expenses incurred by one program or activity for the benefit of other programs or activities such as payroll preparation, accounting, publishing, etc. Because adult education funds under Title II of WIOA “shall supplement and not supplant” other state and local funds, indirect costs may only be charged using an approved RICR. PDE calculates annual RICRs for LEAs. Since applications are submitted prior to the computation and publication of a new RICR, the grantee will use the rate in effect on the date the application is submitted. If adjustments are necessary, the grantee will make them in the final expenditure report PDE-5040. Unrecovered indirect cost may not be counted as part of local match.

Non-LEAs, including community-based organizations, universities, and colleges, may compute indirect costs at a RICR of 8 percent.

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 to Function Code 2300, Administration, and Object Code 900, or listed as part of the local match for Federal Section 231 or 223 grants. Unrecovered indirect costs may not be counted as part of local match.

609 Local Matching Funds

The division requires a 25 percent local match for direct service grants under federal WIOA section 231 funding (064 federal) and section 243 IELCE (061), 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 § 200.306 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 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 high school equivalency 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. Indirect costs that are unrecovered as a result of the use of the restricted indirect cost rate (refer to 408.8) may not be used as local match.

610 Budget Reallocations

Grantees are permitted the flexibility to reallocate most costs within a budget provided that the resultant costs are within the approved grant. These reallocations may be between Object Codes or Function Codes to meet unanticipated expenses. The following restrictions apply:

1. The original approved total budget amount must remain unchanged.

2. State Act 143 funds:
   a. The 10 percent caps on Administrative Services and Support Services Function Codes must not be exceeded.
   b. Tutor training amount cannot be reduced without prior waiver approval by the division. See Appendix AA3.1
   c. Amount expended for high school equivalency test preparation and institutional instruction cannot be increased without prior written approval from the division.

3. Federal Workforce Innovation and Opportunity Act, Title II funds:
   a. The amount expended for institutional instruction cannot be increased without prior written approval from the division.
   b. If the reallocation of funds will cause the total in the Administrative Services Function Code to exceed five percent or the previously approved waiver amount, a waiver request must be submitted and written approval received from the division. (See §607.7).

610.1 Budget Revisions

Grantees that anticipate moving greater than 10 percent of the approved budget amount among Object Codes or Function Codes are required to submit a budget revision. Requests for budget revisions must be submitted to the advisor and approved prior to implementation. The request should include an explanation and justification of the budget revision. Programs will be notified by email of the approval or disapproval of the requested budget revision. Grantees requiring adjustments to budgets must submit a Budget Revision in the eGrants system. See Section 700 for due date for Budget Revisions.

611 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 indicated on the Grant Agreement and normally coincides with the fiscal year unless a different period has been negotiated with and approved by PDE.
**Funds not encumbered by the local program 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.

### 612 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, PDE 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. Questions regarding the payment schedule or the FAI system can be addressed to the resource account at ra-faiecs@pa.gov.

**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.

### 613 Fiscal Reports

**613.1 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 PDE website. For assistance using the FAI system, send an email to the FAI resource account at ra-faiecs@pa.gov.

The Reconciliation of Cash on Hand report must be submitted for each program (054, 061, 064, and 099). Only one report is required for the 064 program. The Reconciliation of Cash on Hand report for the 064 grants should include federal and state monies combined.

**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 PDE website and click on the hyperlink, “Access My PDE Suite.”
2. Log in using your “username” and “password” as assigned. If you are not registered for FAI, contact your Local FAI Security Approver or the FAI resource account at ra-faiecs@pa.gov.
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 options are available. Select “Project Status.” This will tell you the status of your grants and when your quarterly reports are due. (Note: If a program has not received any funds within a quarter, a quarterly report is not necessary.)

5. To complete your Reconciliation Cash on Hand Quarterly Report, click on “Quarterly Report Due.”

6. A page will appear with four 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 cumulative 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. (If line 7 is a negative amount, you will not be able to complete this section.)
   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 for at least one month until the report is processed by the Comptroller.

### 613.2 Division of Adult Education Quarterly Reports

State funding amounts have limits for allocations of tutor training, institutional, and high school equivalency test preparation programs. Federal funding amounts used for institutional education are limited. Funding in these categories may not be changed without approval from the division.

The Division of Adult Education Quarterly report must be submitted for each program (054, 061, 064, and 099). It is necessary to submit two reports for the 064 program – one for federal funds and one for state funds. The reports are due regardless of whether the program received cash within a quarter. This form is in addition to the Reconciliation of Cash on Hand report that is required to be completed in the FAI System.

The Division of Adult Education Quarterly Report must be submitted to the division by the tenth business day of October, January, and April.
The reports are to be completed electronically using the eGrants system. The instructions for completing the 054, 061, and 099 reports are as follows:

1. Go to the eGrants website.
2. Log in to the eGrants system using your username and password.
3. Click on “Grant Application.”
4. Select the grant.
5. Click the green checkmark.
6. Select “Reporting.”
7. Select “Interim Reporting.”
8. Click the “Create/Start” button.

The instructions for completing the 064 Federal and 064 State reports are as follows:

1. Go to the eGrants website.
2. Log in to the eGrants system using your username and password.
3. Click on “Grant Application.”
4. Select the 064 grant.
5. Click the green checkmark.
6. Scroll to the bottom of the screen and select either federal or state
7. Select “Reporting.”
8. Select “Interim Reporting.”
8. Click the “Create/Start” button.

Data is saved when using the “Next” button located at the bottom right corner of each page. However, data will not be saved when navigating from page to page using the tabs located at the top of each page.

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.

613.3 Final Expenditure Report (PDE 5040)

The final expenditure report (FER) for each federal and state contract must be submitted at the end of the contract period. The salary section requires that each staff member be entered individually by function code and object code. This report must be submitted for each program (054, 061, 064, and 099). It is necessary to submit two final expenditure reports for the 064 program – one for federal funds and one for state funds. Please submit both 064 reports at the same time.

The final expenditure report must be completed electronically using the eGrants system. Instructions for completing the final expenditure report for the 054, 061 and 099 grants are as follows:

1. Go to the eGrants website.
2. Log in to the eGrants system using your Username and Password.
3. Select the appropriate year.
4. Select “Grant Application” – the status must show as “Completed.”
5. Under “Grant Type,” select the applicable Grant and Folder on right.
6. At the right, click on “Supporting Grants.”
7. Under “Supporting Program Type”, select “Final Expenditure Report” as the “Supporting Program Type.”
8. When the window refreshes, under “Project Type”, select “Final Report”.
9. Click “Create.”

Instructions for completing the final expenditure report for the 064 grant are as follows:

1. Go to the eGrants website.
2. Log in to the eGrants system using your Username and Password.
3. Select the appropriate year.
4. Select “Grant Application” – the status must show as “Completed.”
5. At the bottom of the screen under “Grant Title,” select the applicable Grant (Federal or State) and Folder on right.
6. At the right, click on “Supporting Grants.”
7. Under “Supporting Program Type”, select “Final Expenditure Report”.
8. When the window refreshes, under “Project Type”, select “Final Report”.
9. Click “Create.”

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 the following program year.

### 614 Grant Termination and Closeout

Grants may be terminated due to poor program performance, non-compliance with guidelines and policies, lack of adequate federal or state funding, or a mutual agreement between the division and the program. In the event that a grant is terminated, the program must complete all close out procedures. For a detailed list of procedures, refer to EDGAR, 2 C.F.R. Part 200, sections 200.343-200.345.

### 615 Audits

Entities expending $750,000 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) 787-3376. Inquiries may also be sent to the resource account at ra-BOASingleAuditInquiries@pa.gov.

PDE 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 PDE 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.

616 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.
## 700 Submission Dates

<table>
<thead>
<tr>
<th>Report/Document</th>
<th>To</th>
<th>Due Date</th>
</tr>
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<tbody>
<tr>
<td>Manually Signed Signature Pages</td>
<td>Division</td>
<td>10 business days after grant is submitted or resubmitted</td>
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<tr>
<td>Updated Program Policies and Procedures</td>
<td>Division</td>
<td>October 1, 2017</td>
</tr>
<tr>
<td>2017-18 Program Improvement/Professional Development Worksheet</td>
<td>PDS Lead Consultant</td>
<td>October 1, 2017</td>
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<td>Quarterly Reports Section 223 (Leadership)</td>
<td>Division</td>
<td>October 16, 2017</td>
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<tr>
<td>Reconciliation of Cash on Hand Quarterly Report (PDE 2030)</td>
<td>FAI system</td>
<td>October 16, 2017</td>
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<td>Division of Adult Education Quarterly Report</td>
<td>Division</td>
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<tr>
<td>Budget Revisions (PDE 5036)</td>
<td>Division</td>
<td>June 15, 2018</td>
</tr>
<tr>
<td>FL - End of Year School Progress Reports</td>
<td>eData Support</td>
<td>July 31, 2018</td>
</tr>
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<td>Data Quality Validation Form</td>
<td>Division</td>
<td>August 7, 2018</td>
</tr>
<tr>
<td>EL/Civics Final Report</td>
<td>Division</td>
<td>August 15, 2018</td>
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<tr>
<td>Final Expenditure Report (PDE 5040)</td>
<td>Division</td>
<td>August 15, 2018</td>
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<tr>
<td>SID numbers for incarcerated students – to determine recidivism rates</td>
<td>Division</td>
<td>Fall 2018</td>
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<tr>
<td>Final Narrative Report Section 223 (Leadership)</td>
<td>Division</td>
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<td>Adult Postsecondary Enrollment Certification Form for Federal Reporting EFL gain</td>
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<td>Adult Postsecondary Enrollment Certification Form for State Reporting - Entered Postsecondary Education and Training</td>
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<td>Adult Postsecondary Enrollment Certification Form for Federal Reporting – HSE Completion</td>
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<td>Adult Postsecondary Completion Certification Form for Federal Reporting – Postsecondary Completion</td>
<td>Division</td>
<td>Exit dates: 7/1/17 to 12/31/17 by 1/31/19 Exit dates: 1/1/18 to 6/30/18 by 7/31/19</td>
</tr>
</tbody>
</table>
800  Glossary

801  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.

802  Adult Education

As defined in the Workforce Innovation and Opportunity Act, adult education is academic instruction and education services below the postsecondary level that increase an individual’s ability to:
1. read, write, and speak in English and perform mathematics or other activities necessary for the attainment of a secondary school diploma or its recognized equivalent;
2. transition to postsecondary education and training; and
3. obtain employment.

Pennsylvania Act 143 defines “adult literacy education” as “an educational program designed to provide basic skills training in mathematics, reading, and English, including English as a secondary language.

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

803  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.

804  Community-Based Organization (CBO)

A private nonprofit organization (which may include a faith-based organization) that is representative of a community or a significant segment of a community and provides educational or related services to individuals in the community.

805  Contextualized Instruction

Instruction designed to link the learning of foundational skills and academic content by providing concrete applications in a context that is of interest to the student.

806  Corrections Education Program

Adult education and literacy services 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.

807  Correctional Institution
As defined in the Workforce Innovation and Opportunity Act, 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.

808 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 Implementation Guidelines (Chapter II. NRS Measure Definitions)

809 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.

810 English Language Acquisition Program

As defined in the Workforce Innovation and Opportunity Act, an English language acquisition program is a program of instruction designed to help individuals who are English language learners achieve competence in reading, writing, speaking, and comprehension of the English language and that leads to attainment of a secondary school diploma or its recognized equivalent, and transition to postsecondary education and training or employment.

811 Integrated English Literacy and Civics Education

Education services provided to English language learners who are adults, including professionals with degrees and credentials in their native countries, that enable such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States. Such services include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training.

812 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.

813 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 Human Services.

814 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).

815 Financial Literacy

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

816 High School Equivalency Testing

High school equivalency tests enable individuals who have not graduated from high school to demonstrate the attainment of abilities normally associated with completion of a high school program of study.

817 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.

818 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, and other colleges and universities. For a complete listing go to PA Institutions of Postsecondary & Higher Education Map.

819 Integrated Education and Training

Integrated education and training is a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement.

820 Interactive Literacy Activities (ILA)

The ILA component of a Family Literacy program consists of regularly scheduled center-based 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.

821 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.
822 MyLearningPlan

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

823 Non-profit Agency

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

824 Other Institutional Program

Adult education and literacy services offered in institutions such as a community-based rehabilitation facility or halfway house, mental institution, rehabilitation facility, or hospital.

825 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.

826 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.

827 Primary Indicators of Performance Targets

WIOA establishes six common indicators of performance, which apply to all six core programs authorized under the law, including adult education. States are required to establish performance targets for each of these performance indicators. Failure to meet the targets can result in sanctions for the state. The six indicators of performance are Employment in the Second Quarter after Exit, Employment in the Fourth Quarter after Exit, Median Wages in the Second Quarter after Exit, Credential Attainment, Measurable Skill Gain, and Effectiveness in Service Employers. (Refer to Policy C.100 and Policy C.135 for more information.)

828 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.

829 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, 231, and 243 applications, unless otherwise noted in the contract.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>830</td>
<td>Public Housing Authority</td>
</tr>
<tr>
<td></td>
<td>A public agency created by a state or local government to finance or operate low-income housing.</td>
</tr>
<tr>
<td>831</td>
<td>Special Needs Services</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td>832</td>
<td>Support Services</td>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td>833</td>
<td>State Leadership</td>
</tr>
<tr>
<td></td>
<td>Projects funded under Section 223 of the Workforce Innovation and Opportunity Act, including professional development activities.</td>
</tr>
<tr>
<td>834</td>
<td>Student Persistence</td>
</tr>
<tr>
<td></td>
<td>Refers to a student’s ability to continue to pursue educational or career goals despite obstacles.</td>
</tr>
<tr>
<td>835</td>
<td>Tutor/Volunteer Instructor</td>
</tr>
<tr>
<td></td>
<td>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, WIOA Section 231, or any other service that is not considered direct instruction.</td>
</tr>
<tr>
<td>836</td>
<td>Volunteer Literacy Organization</td>
</tr>
<tr>
<td></td>
<td>Program that provides literacy education through the use of unpaid volunteer instructors.</td>
</tr>
<tr>
<td>837</td>
<td>Workforce Preparation Activities</td>
</tr>
<tr>
<td></td>
<td>Activities, programs, or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training, or employment.</td>
</tr>
<tr>
<td>838</td>
<td>Workplace Adult Education and Literacy Activities</td>
</tr>
</tbody>
</table>
Adult education and literacy activities offered by an eligible provider in collaboration with an employer or employee organization at a workplace or an off-site location that is designed to improve the productivity of the workforce. Instruction may be for incumbent workers or for those preparing for employment with a company. On-site analysis of job tasks is used to select which skills instruction addresses.

Appendices

Appendix A
Adult Basic and Literacy Education (State and Federal 064)

The information in this section is specific to agencies using federal and state funds to provide adult basic and literacy education. This appendix is to be used in conjunction with the Adult Education and Family Literacy Guidelines issued by the Division of Adult Education.

AA1 Full Service Program

Programs receiving federal and state 064 grants through the Division of Adult Education must provide a full range of service during the course of a program year.

AA1.1 Services

Programs must provide the following services to be considered full service:

1. Instruction for adult basic education students at all educational functioning levels from Beginning Literacy ABE to High ASE;
2. Instruction for English-as-a-Second Language (ESL) students (based on area needs)
3. Support services to help students address barriers to participation;
4. Support services to help students identify educational and career goals, develop employability skills, and successfully transition to postsecondary education/training and/or employment, as appropriate;
5. Trained tutors; and
6. Distance learning support.

AA1.2 Transitioning ESL Students

Programs must have a process to transition ESL students who reach the exit level criteria on their ESL assessment into ABE/ASE classes. This can be done by placing ESL students in classes with native speaking students or by offering ABE/ASE classes specifically for transitioning ESL students. Transitioning ESL students must take an assessment approved for ABE/ASE prior to entry into an ABE/ASE classroom.

AA1.3 Year-Round Services

At a minimum, programs must provide services for a standard school year. Programs are strongly encouraged to also provide services during the summer months to allow those students who are able to continue with their instruction.
AA1.4 One-Stop Partner Roles and Responsibilities

WIOA requires local workforce areas to have a one-stop delivery system, branded nationally as the American Job Center Network. Adult basic education funded under Title II, WIOA is a mandated partner in the one-stop delivery system. In Pennsylvania, all programs receiving federal adult education funds through an Adult Basic Education Direct Service (064) grant are required to fulfill the roles and responsibilities of the one-stop partner and must enter into an MOU with the local board, including contributing to infrastructure costs at the one-stop center. Division-funded programs are not required to be co-located at the one-stop center (PA CareerLink® site); however, all division-funded programs must provide direct access to their services at the center. Local programs must display the American Job Center branding by adding the statement “a proud partner of the American Job Center network” on materials related to work as part of the one-stop delivery system. (Reference Policy G.100)

AA2 Corrections Education

Programs may use up to 20 percent of federal and state funds for corrections education and education for other institutionalized individuals. Programs planning to increase the amount of grant funds spent on corrections education over the previous year’s amount must notify their advisor prior to submitting a grant renewal application or adding new classes during the program year.

AA2.1 Use of Funds

The funds shall be used for the cost of educational programs for criminal offenders in correctional institutions and for other institutionalized individuals, including academic programs for:
1. Adult education and literacy activities;
2. Special education, as determined by the eligible program;
3. Secondary school credit;
4. Integrated education and training;
5. Career pathways;
6. Concurrent enrollment;
7. Peer tutoring; and
8. Transition to re-entry initiatives and other post-release services with the goal of reducing recidivism.

AA2.2 Priority

Each eligible program that is using assistance provided under this section to carry out a program for criminal offenders within a correctional institution shall give priority to serving individuals who are likely to leave the correctional institution within 5 years of participation in the program.

AA2.3 Additional State-Required Data Collection

Sec. 225 of WIOA requires states to report of the relative rate of recidivism for individuals who participate in corrections education programs while incarcerated. The Division of Adult Education will use the State Identification Number (SID) to support a data match to meet the
federal reporting requirement. Programs intending to serve institutionalized students must enter into a memorandum of understanding (MOU) with the correctional facility that ensures that SID information is provided for adult education students served in the facility. Programs cannot provide services in a correctional facility unless they have a signed MOU. (Reference Section 700)

**AA3 Tutor Training**

Pennsylvania Act 143 requires that at least 20 percent of the annual state appropriation used for adult basic education programs be used to train volunteer adult education instructors/tutors. 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. Each program must use at least 20 percent of its state grant allocation for tutor recruitment, training, coordination, and support.

**AA3.1 Tutor Training Waiver**

If the demand for tutoring services or the availability of qualified volunteer instructors is low, a program may request a waiver from the division to the 20 percent requirement for the actual amount anticipated to provide the needed tutoring services. This request must be submitted and approved annually prior to grant submission. To request a waiver, programs must send an email to their adult education advisor that includes the following:

1. Requested percentage rate;
2. Salary and benefits assigned to Function Code 1692;
3. All other costs assigned to tutor Training (totaled by object code category);
4. Number of anticipated volunteer instructors; and
5. Justification for waiver request, including a description of the prior steps taken to meet the 20 percent requirement.

**AA3.2 Tutor Training**

Before pairing new volunteer instructors/tutors with students or assigning them to a class as volunteer aides, programs must train them and provide them with an orientation that contains:

- Minimum number of tutoring hours expected from a tutoring pair/small group;
- Procedures for reporting student attendance hours;
- Importance of student goals;
- Information on available program support services;
- Introduction to learning difference materials;
- Instruction on creating basic lesson plans; and
- Professional development opportunities.

**AA3.3 Pennsylvania Literacy Corps**

Pennsylvania Literacy Corps is a highly effective tutoring model in which programs collaborate with institutions of higher education to train and support college students to tutor adult basic education students. Programs that choose to use this tutoring model must describe the activities in the grant application.
AA3.3.1 Intent of Pennsylvania Literacy Corps

The Pennsylvania Literacy Corps is a partnership between adult basic and literacy education programs and institutions of higher education 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.

AA3.3.2 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 program. 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.

Programs must have a tutor coordinator or other staff member whose duties entail the overseeing of this tutoring model. The tutor coordinator should be involved in the development of course content, attend designated classes to introduce themselves and their program’s adult literacy services to college students, and provide any specialized tutor training that is needed beyond the course content.

Adult education agencies are not allowed to pay college professors’ salaries, but minimal funds are allowed to be subcontracted to the college for outreach. Under no circumstances may the course involve adult learners as subjects of research.

College students are required to perform a minimum of 40 hours of direct service to the adult education program. Due to the limited amount of time available in a college semester, Literacy Corps volunteers must be paired with a student in a timely fashion in order to achieve the mandated 40 hours of tutoring instruction before the end of the semester. Because of this time constraint, programs that do not traditionally have a large number of students seeking one-on-one tutoring are advised against starting a Literacy Corps program.

College students should be placed in service opportunities that are appropriate for their training and service requirement and provide the best opportunities to make a significant contribution toward improving the basic skills of adult basic education students 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.
AA3.3.3 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 program.

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.

AA3.3.4 Responsibilities

In order to achieve maximum results, program 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.

Appendix B
Integrated English Literacy and Civics Education (IELCE) Program

The information in this section is specific to agencies applying for adult education funds to provide Integrated English Literacy and Civics Education (IELCE) programs (061 grants). This appendix is to be used in conjunction with the Adult Education and Family Literacy Guidelines issued by the Division of Adult Education.

AB1 Requirements for IELCE (Reference: Title II, WIOA, section 243)

AB1.1 Program Requirements

The purpose of section 243 IELCE programs is to provide instruction that is designed to prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency and integrate with the local workforce development system.
For Program Year 2017-18, the division will renew current 061 grantees. At a minimum, programs must implement integrated English literacy and civics education activities as defined in section 203 of WIOA to help English language learners 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, workers, and community members. Instruction must be aligned with the CCRS and integrate workforce preparation activities. In addition to providing integrated English literacy and civics education, programs with section 243 IELCE funds must participate in activities required by the division to begin implementation of section 243 IELCE as codified in WIOA and 34 CFR 463.70-463.75. The 2017-18 grant application includes a question to address this last item.

In 2017-18, all programs receiving funding under section 243 of WIOA must offer programs that provide integrated English literacy and civics education services as defined in section 203 of WIOA and 34 CFR 463.33.

Required program components of integrated English literacy and civics education services are as follows:
1. English Language Acquisition AND
2. literacy AND
3. civics education (instruction on the rights and responsibilities of citizenship and civic participation)

In addition to integrated English literacy and civics education activities, all programs receiving section 243 IELCE funds must ensure that students in their section 243 services have access to an integrated education and training program (Reference 403.1.5 of these guidelines). In 2017-18, programs will meet this requirement by aligning instruction with the CCRS and integrating workforce preparation activities AND doing one or more of the following:
1. Providing access to an integrated education and training program offered by the agency itself;
2. Supporting access to an integrated education and training program offered by another agency; and/or
3. Participating in state leadership activities provided by the division and the professional development system to build capacity to provide access to an integrated education and training program.

“Access to an integrated education and training program” means that students who are in section 243 funded services are also able to attend an integrated education and training program, if interested; however, students enrolled in the IELCE program are not required to participate in such services.

AB1.2 Additional State Requirements

AB1.2.1 Student Criteria

Recipients of section 243 IELCE 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. 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.

AB1.2.2 Annual and Ongoing Program Reporting

Contractors that receive section 243 IELCE grants will submit a final report to the division that contains EL/Civics secondary outcome measures and qualitative data related to learner outcomes.

AB2 Setting and Documenting EL/Civics Secondary Outcomes

AB2.1 Definitions of Secondary Outcome Measures

The NRS Implementation Guidelines (February 2016) 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. Voting Behavior: Learner registers to vote or votes for the first time anytime during the program year.
3. 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.

AB2.2 Goal Setting Criteria

1. Achieve citizenship skills: should be set for all learners in a section 243 IELCE 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 a section 243 IELCE class who have this as their goal.

AB2.3 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)

**AB2.4 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.

**Appendix C**

**Act 143 Family Literacy**

The information in this section is specific to agencies applying for funds to provide four-component 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.

**AC1 Additional Requirements for Family Literacy Programs**

**AC1.1 Focus**

Family literacy programs include four instructional components. Each program 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.

**AC1.2 Adult Education**

Adult education within family literacy programs takes place in a public or other community facility suitable for use by adults. The curriculum should be delivered in the context of the family. The adult education component is designed to:

1. Assist adults to become literate and obtain the knowledge and skills necessary or lead to employment and economic self-sufficiency; and
2. Lead to sustainable improvements in the economic opportunities for their family.

Adult education must be scheduled for a minimum of 5 hours per week in state funded family literacy programs.

**AC1.2.1 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.

**AC1.3 Early Childhood Education (ECE)**

The early childhood education component for family literacy programs must contain high-quality preschool programming, preferably in collaboration with an existing provider such as Head Start, Title I, and/or state approved child care facilities and school-based curricula for children from birth to third grade. It should be based on a sound early childhood 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.

For the early childhood component, 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, the early childhood education component may be provided by the family literacy program.

Early childhood education classes provided by the family literacy program itself must offer high-quality curriculum-based instruction led by a qualified instructor and be scheduled while the parents are attending classes for a minimum of seven hours per week. 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.

**AC1.4 Parenting Education**

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 or via the use of division-approved distance learning curricula. 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. Programs must provide a minimum of five hours per week of a combination of parenting education and ILA. The proportion of the parenting education and ILA components may vary from week to week based on the needs of the program participants; however, over the course of the year, parenting education should be provided an average of two hours per week, and families should participate
in an average of at least three hours per week of ILA. Programs must expect families to participate in all scheduled hours.

**AC1.5 Interactive Literacy Activities (ILA)**

The ILA component consists of regularly scheduled center-based sessions for parent-child interaction when parents and children learn and interact 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 parenting education are closely connected so that the knowledge gained by the parents during parenting education can be applied during the ILA time. Programs must provide a minimum of five hours per week of a combination of parenting education and ILA. The proportion of the parenting education and ILA components may vary from week to week based on the needs of the program participants; however, over the course of the year, parenting education should be provided an average of two hours per week, and families should participate in an average of at least three hours per week of ILA. Programs must expect families to participate in all scheduled hours.

ILA must occur primarily in a center-based setting within a group; however, additional ILA may be conducted in other settings such as via division approved non-classroom based ILA or take home ILA. Non-classroom based ILA conducted by parents without staff facilitation/supervision and reported in eData must be planned and reviewed with program staff during parenting education class time, linked to an activity covered in class, and fully documented. Non-classroom based ILA structured activities (e.g., use of home packets, workbooks) are meant to supplement, not supplant, regular ILA in the center. Parents should have the opportunity to discuss the activities during the next scheduled parenting education session.

**AC1.6 Eligible Family Literacy Children and Parent Participants**

Family literacy programs are required to target at risk families who have educational needs and who are able to fully participate in all aspects of the family literacy program. Programs must give priority to families living in areas containing high concentrations of poverty and focus services to address the needs of individuals receiving Temporary Assistance to Needy Families (TANF) benefits.

An eligible adult is a person who meets the following criteria:
1. Is at least 17 years of age;
2. Is a Pennsylvania resident; and
3. Is not currently enrolled in a public or private secondary or postsecondary school.

An eligible parent is an eligible adult who has one or more children ages birth through third grade. The term includes a legal guardian, grandparent, stepparent, aunt, uncle, sibling or other person with whom the child lives or who has been designated by a parent, legal guardian or court to act in place of the parent.

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, family literacy programs may target service 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.

AC1.7 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.

AC1.8 Reporting

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

AC1.9 Performance Targets (Reference Policy C.100)

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

Appendix D
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 Innovation and Opportunity Act (WIOA).

AD1 Workforce Innovation and Opportunity Act

The Workforce Innovation and Opportunity Act of 2014, Title II, Section 222(a)(2), authorizes funding of up to 12.5 percent of the federal allocation for Statewide Leadership activities.
Per Sec 223(a)(1), funds must be used for the following adult education and literacy activities to develop or enhance the adult education system in Pennsylvania:

(A) The alignment of adult education and literacy activities with other core programs and one-stop partners, including eligible providers, to implement the strategy identified in the unified or combined State plan, including the development of career pathways to provide access to employment and training services for individuals in adult education and literacy activities.

(B) The establishment or operation of high quality professional development programs to improve the instruction provided pursuant to local activities required under the law, including instruction incorporating the essential components of reading instruction as such components relate to adults, instruction related to specific needs of adult learners, instruction provided by volunteers or by personnel of a State, and dissemination of information about models and promising practices related to such programs.

(C) The provision of technical assistance to provide eligible providers of adult education and literacy activities receiving funds under this title, including—
   (i) the development and dissemination of instructional and programmatic practices based on the most rigorous or scientifically valid research available and appropriate, in reading, writing, speaking, mathematics, English language acquisition programs, distance education, and staff training;
   (ii) the role of eligible providers as a one-stop partner to provide access to employment, education, and training services; and
   (iii) assistance in the use of technology, including for staff training, to eligible providers, especially the use of technology to improve system efficiencies.

(D) The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities and dissemination of information about models and proven or promising practices within the State.

Per Sec 223(a)(2), funds may also be used for one or more of the following adult education and literacy activities:

(A) The support of State or regional networks of literacy resource centers.

(B) The development and implementation of technology applications, translation technology, or distance education, including professional development to support the use of instructional technology.

(C) Developing and disseminating curricula, including curricula incorporating the essential components of reading instruction as such components relate to adults.

(D) Developing content and models for integrated education and training and career pathways.

(E) The provision of assistance to eligible providers in developing and implementing programs that achieve the objectives of this title and in measuring the progress of those programs in achieving such objectives, including meeting the State adjusted levels of performance.
(F) The development and implementation of a system to assist in the transition from adult education to postsecondary education, including linkages with postsecondary educational institutions or institutions of higher education.

(G) Integration of literacy and English language instruction with occupational skill training, including promoting linkages with employers.

(H) Activities to promote workplace adult education and literacy activities.

(I) Identifying curriculum frameworks and aligning rigorous content standards that--
   (i) specify what adult learners should know and be able to do in the areas of reading and language arts, mathematics, and English language acquisition; and
   (ii) take into consideration the following:
      (I) State adopted academic standards.
      (II) The current adult skills and literacy assessments used in the State or outlying area.
      (III) The primary indicators of performance.
      (IV) Standards and academic requirements for enrollment in non-remedial, for-credit courses in postsecondary educational institutions or institutions of higher education supported by the State.
      (V) Where appropriate, the content of occupational and industry skill standards widely used by business and industry in the State.

(J) Developing and piloting of strategies for improving teacher quality and retention.

(K) The development and implementation of programs and services to meet the needs of adult learners with learning disabilities or English language learners, which may include new and promising assessment tools and strategies that are based on scientifically valid research, where appropriate, and identify the needs and capture the gains of such students at the lowest achievement levels.

(L) Outreach to instructors, students, and employers.

(M) Other activities of statewide significance that promote the purpose of this title.

**AD2 Requirements for all 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 program and individual professional development plans, program improvement needs, needs assessments, current research, evidence-based practice to reflect priorities of the Division of Adult Education.

**AD2.1 Requirements of professional development system staff**

Project staff 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 two to five 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.
AD2.2 Annual and Ongoing Program Reporting

Recipients of funds administered under Section 223 of WIOA, 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 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 function code 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.

These reports are in addition to the reports required in section 613.

AD3 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.

AD3.1 Object Code 580 – Travel

In the budget section of the grant, create two separate items under Object Code 580:

- Everyday travel, which includes travel to division or PDS meetings, travel to program sites, and associated travel expenses.
- Conference travel, which includes conference fees, travel to conferences, and associated travel expenses.

AD3.2 Object Code 790 – Property

Generally, equipment is not purchased with Section 223, State Leadership funds. Purchase of 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.