



# Self Assessment

LEA Handbook

Grants Management  
July 2020



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## Table of Contents

Self-Assessment Overview .....	4
GME Roles Associated with Self-Assessment.....	4
Steps in the Process .....	4
Self-Assessment Submittal Process.....	5
Self-Assessment in GME .....	5
Locating Self-Assessment.....	5
Navigating to the Self-Assessment.....	7
Self-Assessment Sections.....	7
Validation Messages .....	9
Assessing Validation Messages .....	9
Submitting the Self-Assessment.....	10
Frequently Asked Questions.....	10
Helpful Tips .....	11
Need Assistance?.....	12



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## Self-Assessment Overview

The self-assessment is a tool for local education agencies (LEAs) to identify areas that need improvement related to federal compliance. It is also a pre-requisite for completing the general statement of assurances (GSA).

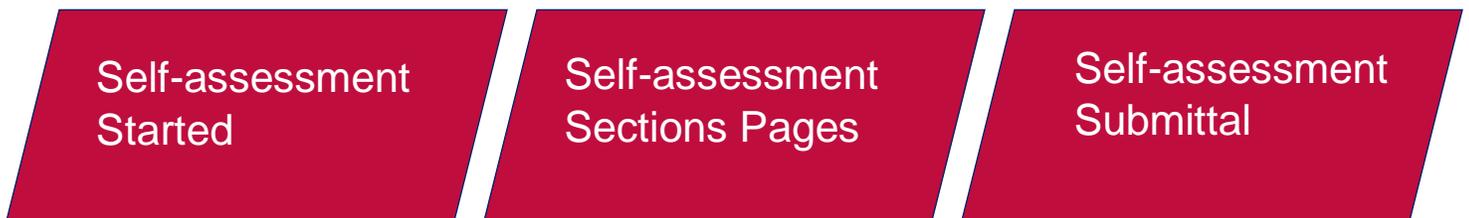
The self-assessment is **not** used by the Arizona Department of Education (ADE) for monitoring purposes. However, ADE may gather data about general trends to develop new training programs and targeted assistance. LEAs must complete both submission requirements (GSA and self-assessment) to apply for and draw down approved funds. Submission is completed through the Grants Management Enterprise (GME) system. Funds cannot be accessed without completing the aforementioned requirements.

### GME Roles Associated with Self-Assessment



### Steps in the Process

The self-assessment process is simple and includes starting the application, completing the listed pages within **Sections** and submitting it. The self-assessment does **not** have an approval process.



## Self-Assessment Submittal Process

Self-assessment can be submitted as soon as it is available in GME. This usually happens on January 2 every year. Before submitting the self-assessment, a discussion with your stakeholders should take place to not only identify the areas of improvement but also to develop a plan of action and determine who is responsible for those improvements.



As mentioned before, self-assessment's submittal is crucial for GSA submittal.

## Self-Assessment in GME

### Locating Self-Assessment

To access the self-assessment application, log into Grants Management Enterprise (GME) and select your organization (for more details on logging in, please review information in GME's Grants Management Resource Library - found in the main menu, under the GME User Resources/Training where you can locate the GME Navigation Basics folder). You will be directed to the Entity Information page.



1. On Entity Information page, click on the Self Assessment hyperlink.

**Entity Information**

Mesa Unified District (070204000) Public District

Entity Information	
Organization Name	
CTDS	
Entity ID	
Organization Type	Public District
Organization Status	OPEN
Indirect Cost Rate	
Authorized Representative(s)	
Legal Name	
Address	
City	
State	AZ
Zip Code	
Congressional District	
DUNS Number	
CCR Expiration Date	1/31/2019
Risk Designation	Medium
General Statement of Assurance Upload Date	3/2/2018
Funding Applications	<a href="#">Funding Applications</a>
Reimbursement Requests	<a href="#">Reimbursement Requests</a>
Entity History	<a href="#">Entity History</a>
Entity Hold Administration	<a href="#">Entity Hold Administration</a>
Interest Administration	<a href="#">Interest Administration</a>
General Statement of Assurances	<a href="#">General Statement of Assurances</a>
Indirect Cost	<a href="#">Indirect Cost</a>
Self-Assessment	<a href="#">Self-Assessment</a>
Project Summary	<a href="#">Project Summary</a>



2. You will be directed to the **LEA Application Supplements** page; check that your fiscal year filter is showing the correct year, the upcoming fiscal year. The self-assessment is to be completed based on how your organization is currently functioning (assessment of present state). Click on Self-Assessment under the **LEA Application Supplement** section.

Elementary District Public District - FY 2019

2020 Active 2

LEA Application Supplement	Revision	Status	Status Date
<a href="#">General Statement of Assurances</a>	0	General Statement of Assurance Not Started	12/14/2018
<a href="#">Indirect Cost</a>	1	SEA Indirect Cost Request Approved	1/29/2019
<a href="#">Self Assessment</a>	0	Self Assessment Not Started	12/14/2018



## Navigating to the Self-Assessment

### Self Assessment Sections

Charter Schools Charter District - FY 2020 - **Low Risk** - Self Assessment

Status: Self Assessment Not Started

Change Status To: Self Assessment Started 1

[View ADE History Log](#)  
[View Change Log](#)

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

All
<input type="checkbox"/> History Log
<a href="#">History Log</a>
<a href="#">Create Comment</a>
<input type="checkbox"/> Self Assessment
<a href="#">General Information and Instructions</a>
<a href="#">Section 1. General</a>
<a href="#">Section 2. Standards for Financial and Program Management (\$§ 200.300 - 200.309)</a>
<a href="#">Section 3. Cost Principles (\$§ 200.402 - 200.411 - \$§ 200.418 - 200.419 - \$§ 200.420 - 200.475)</a>
<a href="#">Section 4. Internal Controls and Time and Effort</a>
<a href="#">Section 5. Grants Management Compliance</a>

1. To start and fill out the self-assessment you as an **LEA Business Manager** or **LEA Self-Assessment Update** click on **Change Status To: [Self Assessment Started](#)**.

## Self-Assessment Sections

**Self-Assessment Sections** page has an informative page and five (5) additional pages to complete.

1. The [General Information and Instructions](#) page is informational only. It includes instructions, an explanation of the self-assessment and its scoring.
2. [Section 1](#) to [Section 5](#) pages need to be completed by selecting rating for each statement.

Status: Self Assessment Started

Change Status To: [Self Assessment Submitted](#)

[View ADE History Log](#)  
[View Change Log](#)

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

All
<input type="checkbox"/> History Log
<a href="#">History Log</a>
<a href="#">Create Comment</a>
<input type="checkbox"/> Self Assessment
<a href="#">General Information and Instructions</a> <span style="background-color: orange; border-radius: 50%; width: 20px; height: 20px; display: inline-block; text-align: center; vertical-align: middle;">1</span>
<a href="#">Section 1. General</a>
<a href="#">Section 2. Standards for Financial and Program Management (\$§ 200.300 - 200.309)</a>
<a href="#">Section 3. Cost Principles (\$§ 200.402 - 200.411 - \$§ 200.418 - 200.419 - \$§ 200.420 - 200.475)</a>
<a href="#">Section 4. Internal Controls and Time and Effort</a>
<a href="#">Section 5. Grants Management Compliance</a>
All

2



Example of the statements you will see on [Section 1](#) to [Section 5](#) pages and you will need to select a rating on can be found below. Each statement on each page needs to be provided with a rating, otherwise GME will prevent a submission of the self-assessment.

\* In the past year, the deadlines for timely submission (such as General Statement of Assurance, Completion Reports, and SAM.gov website registration) have been met.

Fair  
 Good  
 Very Good  
 Excellent

---

**There is a process in place to regularly audit and maintain GME user access including:**

\* A frequent review of users with access to the entity's data

Fair  
 Good  
 Very Good  
 Excellent

\* Ensuring at least two (2) valid GME User Access Administrators.

Fair  
 Good  
 Very Good  
 Excellent

### Section 1. General

Charter District - FY

**This is the TEST site. Please be sure to complete your**

**Save And Go To** ▶ Current Page  
 Next Page  
 Previous Page  
**Sections**  
 History Log ▶  
 Self Assessment ▶

**Instructions** 3

Using a rating on  
 referenced for review so  
 Ratings are as follows, p  
 Needs Improvement - Pr  
 Fair - Practices meet the minimum expectations but are no  
 Good - Practices meet expectations and are monitored fre  
 Very Good - Practices exceed expectations; quality and tin  
 Excellent - Practices serve as a model for other agencies &

3. Utilize the quick return **Save and Go To** menu to easily navigate through the self-assessment pages and more importantly, to save the information entered. Selecting **Sections** will bring you back to the “home base” of the self-assessment.



**Note:** If your organization is **not receiving** any federal funding and therefore [Section 2](#) does not apply to you, check the checkbox on the top of the page and proceed via **Save and Go To** quick return menu. Do not provide any rating on this page.

## Section 2. Standards for Financial and Program Management (§§ 200.300 - 200.309)

Charter District - FY 2020	Self Assessment -
<p style="color: red;">This is the <b>TEST</b> site. Please be sure to complete your work on the <b>LIVE</b> site.</p>	
<div style="border: 1px solid blue; padding: 2px; display: inline-block;">Save And Go To ▶</div>	
<input checked="" type="checkbox"/> I attest that this organization does not receive Federal funding and therefore this section is not applicable.	
<b>Instructions</b> Using a rating scale from Needs Improvement to Excellent, review the statement and identify which is the most appropriate rating du referenced for review so that they can be measured against practices in place.	

## Validation Messages

Validation messages should be reviewed prior to changing the self-assessment’s status. There are two types of messages:

1. **Error:** prevents submission and must be corrected if you would like to proceed.
2. **Warning:** does not prevent submission but points out potential issues that should be reviewed prior to submission.

### Assessing Validation Messages

1. On the **Self Assessment Sections** page, select Messages under the **Validation** column. Do so on the **All** row to see all validation messages rather than individual ones.

Description ( View Sections Only View All Pages )	Validation
All	Messages
[-] History Log	
History Log	
Create Comment	
[-] Self Assessment	Messages
General Information and Instructions	
Section 1. General	
Section 2. Standards for Financial and Program Management (§§ 200.300 - 200.309)	
Section 3. Cost Principles (§§ 200.402 - 200.411 - §§ 200.418 - 200.419 - §§ 200.420 - 200.475)	
Section 4. Internal Controls and Time and Effort	Messages
Section 5. Grants Management Compliance	
All	Messages





On the next page, you will see your validation messages grouped up by their location. On the far right, you can see if the message is an error or a warning.

### Validation Messages

Charter District - FY 2020

This is the TEST site. Please be sure to complete your work on the LIVE site.

[Return To Sections Page](#)

**Self Assessment**

Section 4. Internal Controls and Time and Effort

Review 2 Questions marked with an asterisk (\*) require a response. Error

2. Select the specific [Review](#) link next to the message you want to review (and correct). You will be directed to the page where the error or warning has occurred, so the review (and correction) can be done.
- 3.

## Submitting the Self-Assessment

- On the sections page, click on **Change Status To: [Self Assessment Submitted](#)**.

### Self Assessment Sections

Elementary District	Public District - FY 2020
Status:	Self Assessment Started
Change Status To:	<a href="#">Self Assessment Submitted</a>

## Frequently Asked Questions

1. What is new from FY20 on?

The General Statement of Assurance (GSA) cannot be submitted to ADE for approval (acceptance) without a completed self-assessment. Submit self-assessment first.

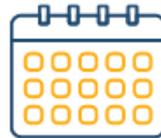
2. How will it affect the approval of my funding application if I do not submit a self-assessment and GSA?

Without assurances on file, ADE cannot approve grant funding. A global hold is placed on all funding applications for the fiscal year until the self-assessment is submitted and GSA for that fiscal year is accepted. Funding applications can be submitted to ADE’s program areas, but they cannot be approved at the SEA Director level until Grants Management confirms that both self-assessment and GSA requirement for that fiscal year has been satisfied.

## Helpful Tips

### Self-Assessment Responses

Should be Based on Current Data



Fiscal Year  
2022  
and beyond

**Deadline  
March 1**

### Must be Submitted Prior To

General Statement of Assurance  
(GSA)





## Need Assistance?

### **Grants Management Enterprise system (GME)**

Phone: 602.542.3901

<https://HelpDeskExternal.azed.gov>



### **ADEConnect Support for Passwords**

Phone: 602.542.7378

<https://HelpDeskExternal.azed.gov>