

SELF-ASSESSMENT

Purpose: The purpose of the Self-Assessment is to enable providers to conduct a self-review to determine the level of compliance in place for each of the grants administered by the Agency. The completion of a Self-Assessment may also be used as a monitoring strategy, thus, directed by the Bureau.

SELF-ASSESSMENT TOOL

The administration of the Self-Assessment tool is a monitoring strategy that may be used voluntarily or as directed by the Bureau. Providers may choose to apply the tool or parts of the tool on a regular basis to ensure continuous compliance with the applicable federal law, regulations and circulars, state statutes and rules. The Self-Assessment tool includes program and fiscal requirements.

Requirements The Bureau will require the completion of the Self-Assessment tool periodically depending on the level of risk indicated in the Risk Assessment process. The Bureau may require a Self-Assessment at any time; when directed by the Bureau, providers will be given a specific timeline to complete the Self-Assessment. All Self-Assessments must be signed by the Agency Head. Once completed, the results will be forwarded to the Bureau for review. Areas of non-compliance will be addressed in a System Improvement Plan for performance indicators or a Corrective Action Plan for compliance elements. Documentation verifying compliance may be requested of the provider by monitoring staff. Providers are expected to submit requested documents within the specified timelines.

Verification Verification activities to review the accuracy of the data submitted through a Self-Assessment may be completed at any time by the Bureau.

Self-Assessment Instructions
Adult Education and Family Literacy Act of 1998

Complete one Self-Assessment for each grant as directed. Each box expands to allow a complete reply. Follow these instructions:

1. **Provider Name:** Enter the name of the provider.
2. **Grant Name and Number:** Provide category of federal grant, such as "Adult Education and Family Literacy", and grant number provided by the FDOE from the approved grant.
3. **Date of Review:** Insert the date the Self-Assessment was completed.
4. **Reviewer:** Name, title and signatures of person(s) completing the form.
5. **Requirements:** Review all requirements.
6. In the interest of brevity, some sections of the law have been paraphrased. For the complete text of the Adult Education and Family Literacy Act of 1998, go to web site: <http://www.ed.gov/policy/adulted/leg/legis.html>
7. **Response:** Provide a written response that describes how the agency complies with each section of law (requirements).
8. **Evidence:** Indicate what documents/records the agency has to support a particular requirement. The evidence list may be used as a reference tool. Be prepared to submit the documentation upon request.
9. **Compliance:** In the Compliance column, under Provider, indicate in compliance (Y), non-compliance (N) or not applicable (N/A), as appropriate. During the review of the document, DOE will complete the last two columns.
10. Once completed, return the Self-Assessment to:
Eileen L. Amy
Florida Department of Education
Division of Workforce Education
Quality Assurance Section
325 West Gaines Street, Suite 720
Tallahassee, Florida 32399-0400

For assistance you may call 850-245-9031.

Grant Name and Number:								
Date of Review:								
Reviewer(s) (Name, Title, and Signature):								
A. Module: ELIGIBLE STUDENTS:								
Statutory Authority: Adult Education and Family Literacy §203(1)								
	Requirements:	Response:	Evidence:	Compliance:				
				Provider		DOE		
				Y	N	N/A	Y	N
1.	Students are at least 16 years of age (may be younger if co-enrolled).							
2.	Students are not enrolled in secondary school							
3.	Students do not have a secondary school diploma or its recognized equivalent (GED) and have not achieved an equivalent level of mastery							
4.	Students are unable to speak, read, or write the English language							
5.	Ensure federal funds are not being used for co-enrolled students.							

B.	Module: COORDINATION (Referrals):								
	Statutory Authority: Adult Education and Family Literacy Act §231(e)(9)								
	Requirements:	Response:	Evidence:	Provider Compliance:					
				DOE					
				Y	N	N/A	Y	N	
1.	The grantee coordinates with other available resources in the community, such as establishing strong links with elementary and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies.								
C.	Module: COORDINATION (Flexible Schedules and Support Services):								
	Statutory Authority: Adult Education and Family Literacy Act §231(e)(10)								
1.	The grantee offers flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including those with disabilities or other special needs, to attend and complete programs.								
D.	Module: COLLABORATION								
	Statutory Authority: Adult Education and Family Literacy Act §223(b)								
1.	In carrying out the activities in Section 223(a), the eligible agency collaborates where possible, and avoids duplicating efforts, in order to maximize the impact of these activities.								

Requirements:		Response:	Evidence:	Compliance:				
				Provider	DOE			
				Y	N	N/A	Y	N
E.	Module: STUDENT/ AGENCY PERFORMANCE							
	Statutory Authority: Adult Education and Family Literacy Act §231(e)(1) and 212							
1.	Measurable goals for participant outcomes.							
2.	A system that measures student progress in meeting these goals.							
3.	Negotiated performance goals for the three primary federal core.							
4.	The grantee has an effective process for tracking the performance goals specified in the grantee's approved Adult Education and Family Literacy grants.							
F.	Module: QUALIFIED STAFF							
	Statutory Authority: Adult Education and Family Literacy Act §231(e)(8)							
1.	The program's activities are staffed by well-trained instructors, counselors and administrative staff.							
G.	Module: MANAGEMENT INFORMATION SERVICES							
	Statutory Authority: Adult Education and Family Literacy Act §231(e)(11) and 212							
1.	The grantee's activities maintain a high quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible grantee performance measures							

Requirements:		Response:	Evidence:	Compliance:				
				Provider		DOE		
				Y	N	N/A	Y	N
2.	Adult education students may only be reported as completing an Educational Functioning Level (EFL) as evidenced by pre-and post-test scores using only NRS approved assessment instruments.							
H.	Module: NON-DISCRIMINATION POLICY:							
	Statutory Authority: (Title VI of the Civil Rights Act of 1964 [P.L. 88-352] prohibits discrimination on the basis of race, color, or national origin. Title IX of the Education Amendments of 1972, as amended [20 U.S.C. 1681-1683 and 1685-1686], prohibits discrimination on the basis of sex. Section 504 of the Rehabilitative Act of 1973, as amended [29 U.S. C. 6101-6107], prohibits discrimination on the basis of age.)							
1.	The grantee complies with all federal statutes which prohibit discrimination on the basis of race, color, national origin, gender, disability, or age.							
I.	Module: USES OF FUNDS - Corrections							
	Statutory Authority: Adult Education and Family Literacy Act §225(b)							
1.	Which programs does your agency offer? (Adult Ed, Family Literacy, English literacy)							
2.	Which Adult Education programs are supported through the use of these funds?							
3.	Where are the Adult Education programs located?							

Requirements:		Response:	Evidence:	Compliance:				
				Provider	DOE			
				Y	N	N/A	Y	N
J.	Module: PRIORITY FOR PLACEMENT - Corrections							
	Statutory Authority: Adult Education and Family Literacy Act §225(c)							
1.	How do you ensure that priority for assignment to an academic education program is given to inmates who are likely to leave the institution within 5 years of participation in the program?							

	Provider Name:							
	Grant Name and Number:							
	Date of Review:							
	Reviewer (Name and Title):							
A.	Module: LOCAL USES OF FUNDS							
B.	Statutory Authority: Adult Education and Family Literacy Act §231(b) and § 223(a)(1) §233(a)(2) § 223(a)(4) §233(a)(5) §223(a)(6) §223(a)(7)§ 223(a)(8) §225(a)(9) §225(a)(9) §223(a)(10) §223(a)(11)							
C.	D. Requirements:	E. Response:	F. Evidence Code: (a, b, c,...)	G. Compliance:				
				Provider				
				DOE				
				Y	N	N/A	Y	N

Requirements:		Response:	Evidence:	Compliance:				
				Provider			DOE	
				Y	N	N/A	Y	N
1.	Establishment or operation of professional development programs to improve the quality of instruction provided in one of more of the following categories: adult education and literacy services, including workplace literacy services; family literacy services; and/or English literacy programs.							
2.	Provision of technical assistance to eligible providers of adult education and literacy activities.							
3.	Provision of technology assistance, including staff training, to eligible providers of adult education and literacy activities to enable these providers to improve the quality of such activities.							
4.	Support of State or regional literacy resource centers.							
5.	Monitoring and evaluation of the quality of, and improvement in, adult education and literacy activities.							
6.	Incentives for programs coordination and integration and performance awards.							
7.	Developing and disseminating curricula.							
8.	Other activities of statewide significance that promote the purpose of this title.							
9.	Coordination with existing support services, such as transportation, child care, and other assistance designed to increase rates of enrollment in, and successful completion of, adult education and literacy activities.							

Requirements:		Response:	Evidence:	Compliance:				
				Provider			DOE	
				Y	N	N/A	Y	N
10.	Integration of literacy instruction and occupational skill training, and promoting linkages with employers...							
11.	Linkages with postsecondary educational institutions.							

Adult Education and Family Literacy - Potential Evidence

This is a resource list; it may not be all-inclusive of potential evidence

§202 Adult Education and Family Literacy Act

- (a) Retention rate
- (b) Student Progress/data/completion rate results
- (c) Number of GED or high school diplomas awarded
- (d) Program(s) and placement for student with disabilities
- (e) Student Enrollment Packet
- (f) Policies regarding student attendance

§203-1 Adult Education and Family Literacy Act

- (a) Agency Board Policies and Procedures
- (b) Student folder
- (c) Assessment chart
- (d) Registration form
- (e) Lesson plan
- (f) Intake form
- (g) Student Completion rate
- (h) Number of GED or high school diploma awarded
- (i) Program(s) and placement for student with disabilities
- (j) Student enrollment packet
- (k) Assessment results
- (l) Parent(s) involvement with family literacy
- (m) Retention rate
- (n) Student Progress/data from NRS

§203 (7) Adult Education and Family Literacy Act

- (a) Assessment instruments
- (b) Performance deliverables for the grant
- (c) Individual learning plan
- (d) Parent and staff training materials/schedule/attendance/minutes

§212 Adult Education and Family Literacy Act

- (a) List of program completers
- (b) Attendance record
- (c) Class schedule
- (d) Information regarding continuous improvement
- (e) Procedure for collecting student data from instructors
- (f) Survey result
- (g) Grant(s) application
- (h) Student folder

§223 Adult Education and Family Literacy Act

- (a) Staff development plan/training schedule
- (c) Records pertinent to Advisory Committee
- (d) Self assessment instrument
- (e) Cooperative agreement
- (f) Unduplicated program and services
- (g) Agency Policies and Procedures

§225(b) Corrections - Adult Education and Family Literacy Act

- (a) Local approved budget
- (b) Invoices, purchase orders and travel vouchers
- (c) Payroll records and timesheets
- (d) Job descriptions
- (e) Brochures/fliers advertising services

- (f) Class schedules

§225 (c) Corrections - Adult Education and Family Literacy Act

- (a) Local approved budget
- (b) Financial Info: Invoices, purchase orders, travel vouchers, payroll records and timesheets
- (c) Job descriptions
- (d) Brochures/fliers advertising services
- (e) Class schedules/rosters with names, ID number, tentative release dates
- (f) Procedure manuals for Inmate Risk and Needs Assessment
- (g) Management Information System

§231 Adult Education and Family Literacy Act

- (a) Student folder/NRS data/accommodations
- (b) Grant deliverables
- (c) Assessment results
- (d) Policy and procedure and use of data collection
- (e) Student progress data
- (f) Marketing plan
- (g) Distance learning
- (h) Staff development-related documentation
- (i) Cooperative agreements/Articulation agreements/Memoranda of understanding/Collaboration agreement
- (j) Identification of community needs
- (k) Compliance with ADA (Adults with Disabilities Act)
- (l) Availability of transportation and/or child care services on marketing outreach materials
- (m) Accommodation policies/assistive technology
- (n) Referral and eligibility policies and procedures
- (o) Policies regarding eligible students
- (p) Retention rate
- (q) Student progress
- (r) Grant deliverables
- (s) Number and types of staff members (e.g., part time, degree levels, and administrative, instructional, tutors)
- (t) Job descriptions, staff diplomas and professional certificates
- (u) Goal setting – outcomes
- (v) Student progress

Non-Discrimination

- (a) Provider policies and procedures
- (b) Registration manual
- (c) Forms/printed material (posters and brochures)
- (d) NRS report/posted notices complaint/resolutions document

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Tallahassee, Florida 32399-0400
11. For assistance you may call 850-245-9031.

	Provider Name:								
	Grant Name(s) and Number(s):								
	Date of Review:								
	Reviewer (Name and Title):								
A.	Module: FISCAL – Adult Education and Family Literacy								
	Statutory Authority: Adult Education and Family Literacy Act (AEFLA); OMB Circular A-87, Attachment B								
	Requirements:	Response:	Evidence:	Compliance:					
				Provider			DOE		
				Y	N	N/A	Y	N	
1.	Funds are used to establish or operate 1 or more programs that provide services or instruction in 1 or more of the following categories: (1) adult education and literacy services, including workplace literacy services, (2) family literacy services, and/or (3) English literacy programs. § 231(b)(1-3) Adult Education and Family Literacy Act (AEFLA);								

Requirements:		Response:	Evidence:	Compliance:				
				Provider		DOE		
				Y	N	N/A	Y	N
2.	Each eligible recipient receiving funds under this part shall not use more than 5 percent of the funds for administrative costs (planning, administration, personnel development, and interagency coordination) associated with the administration of activities assisted under this section. § 233(a)(2) AEFLA							
3.	Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy services. § 241(a)							
4..	Salaries and wages of employees charged 100% to Adult Education and Family Literacy grant funds work solely on that program and are supported by periodic certifications. These certifications will be prepared at least semi-annually and will be signed by the employee or supervisory official having first hand knowledge of the work performed by the employee. OMB Circular A-87, Attachment B, 11(h)(3)							

Requirements:		Response:	Evidence:	Compliance:				
				Provider			DOE	
				Y	N	N/A	Y	N
5.	Salaries or wages of employees charged less than 100% to Adult Ed and Family Literacy funds maintain personnel activity reports or equivalent documentation related to employee distribution of time in support of grant-related activities. OMB Circular A-87, Attachment B, 11h(4)							
<p>Potential Evidence:</p> <ul style="list-style-type: none"> (a) Class directory and/or schedules (b) Brochures/fliers advertising services (c) Local approved budget (d) Invoices, purchase orders and travel vouchers (e) Payroll records and timesheets (f) Job descriptions (g) Signed personnel activity reports (h) Final FA399 (i) Budget amendments (j) DOE 101 (Budget Narrative Form) for both the fiscal year being monitored and the previous year (k) Copies of approved grants for both the fiscal year being monitored and the previous year 								
<p>Promising Practices:</p>								