ADMINISTRATION FOR NATIVE AMERICANS

PRE-APPLICATION MANUAL

A Guide to Developing and Writing Your ANA Application

January 2018

Boozhoo. Aloha. Bezon. Ta na á née see. Qaĝaasakung. Dagot'ee. Nayaafabaa. Mique wush. Khahowya. O-si-yo.1°

Welcome to the Administration for Native Americans (ANA) Pre-Application Training. The goal of this training is to help you develop and write an application that will assist you in securing funding for your project idea. This manual gives tips on writing your application and guidance on submitting your application on Grants.gov. It also provides information on how your application will be reviewed and scored. We hope this manual will be beneficial in helping you to better understand the ANA application process.

ANA offers two workshops prior to the ANA application deadline:

- The ANA Project Planning and Development Workshop
- The ANA Pre-Application: Application Development Workshop

The table below shows the difference between our Project Planning and Development and Pre-Application: Application Development trainings.

What you will learn in Project Planning and Development	What you will learn in Pre-Application: Application Development
Methods to describe long-term community goals	Building an application around FOA criteria
How to document community conditions that the project will address	Guidance on how to apply for funding through Grants.gov
Community-based planning processes and tools	The process of reviewing applications for funding

Eighty percent of the time spent preparing a well-crafted application that will benefit a community should go into project planning and development, while only 20% should go into the writing of the application. This training focuses on the latter, identifying what you should do with the 20% of time you dedicate to writing a successful application.

The community's involvement in project development is an essential component of designing a successful project. ANA supports community-based projects that reflect the cultural values, collective vision, and social and economic development goals of Native communities. We emphasize this theme of working with the community throughout this training.

[1°] Greetings in Ojibwe, Hawaiian, Shawnee, Plains Apache, Aleut, White Mountain Apache, Inupiaq, Ute, Chinook, Cherokee

The goal of this training is to help you develop a competitive application to submit to ANA. Always begin by looking at the most current ANA Funding Opportunity Announcement (FOA). This training will move through a series of activities that focus on taking elements of a well-designed project and placing them into the format of an ANA application. We will then cover, step-by-step, the application submission process through Grants.gov Workspace. And finally, the training concludes with an overview of the Application Review Process, highlighting the peer review process and ANA's internal review methodology.

Throughout this manual, "tribes" refers to federally recognized and non-federally recognized tribes, while "organizations" denotes Native nonprofit organizations. Native Americans, as used in this manual, include American Indians, Alaska Natives, Native Hawaiians, Natives of American Samoa, and the Native peoples of Guam and the Northern Mariana Islands.

Thank you for attending this training or downloading this manual. We think there is a lot of great information presented in the training and in this manual about how to write a successful and sustainable community project application. If you come across anything you think we should revise during the training or in reading this manual, please let us know.

Yawʌkó. Miigwech. Gunalchéesh. Fa'afetai. Nia:wen[2°]

[2°] Thank you in Oneida, Anishinaabemowin, Tlingit, Samoan, Mohawk

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Abbreviations and Acronyms

Term	Definition
ACF	Administration for Children and Families
AOR	Authorized Organizational Representative
CFDA	Catalog of Federal Domestic Assistance
DUNS	Data Universal Numbering System
EMI	Esther Martinez Immersion (Native Languages)
ERE	Environmental Regulatory Enhancement
FOA	Funding Opportunity Announcement
FTE	Full Time Equivalent
HHS	Department of Health and Human Services
IDC	Indirect Costs
I-LEAD	Initiative for Leadership, Empowerment, and Development
NAPA	Native American Programs Act of 1974, as amended
NFS	Non-Federal Share
OWP	Objective Work Plan
P & M	Preservation and Maintenance (Native Languages)
SAM	System for Award Management
SEDS	Social and Economic Development Strategies
SEDS AK	Social and Economic Development Strategies Alaska
T/TA	Training and Technical Assistance

About the Administration for Native Americans (ANA)

ANA is committed to helping local partners build strong communities and believes a community-building, community-based planning process should be used to develop projects. ANA's mission and history support community development as the path towards Native American communities achieving self-sufficiency and cultural and language preservation.

ANA History and Priorities

In January 1964, President Lyndon B. Johnson announced the War on Poverty, a series of legislative initiatives that included the foundation for ANA. President Johnson's War on Poverty called on communities to prepare "long-term plans for the attack on poverty." Eight months later, the Economic Opportunity Act was signed into law, and, shortly thereafter, the Office of Economic Opportunity (OEO) began awarding grants.

Early in the 1970s, the OEO was terminated, but several of its programs were continued. Established in 1974 through the Native American Programs Act (NAPA), the Administration for Native Americans embraced the goal of Native American self-determination, first endorsed by President Johnson in 1968 and later by President Richard Nixon.

Today, ANA is housed in the U.S. Department of Health and Human Services, Administration for Children and Families and serves all Native Americans, including federally recognized tribes, American Indian and Alaska Native organizations, Native Hawaiian organizations, and Native communities throughout the Pacific Basin. ANA's mission is to promote the self-sufficiency of Native Americans, and our philosophy of self-sufficiency is based on the following core beliefs.

- A Native community is self-sufficient when it can generate and control the resources necessary to meet its social and economic goals and the needs of its members.
- The responsibility for achieving self-sufficiency resides with Native governing bodies and local leadership.
- Progress towards self-sufficiency is based on efforts to plan and direct resources in a comprehensive manner consistent with long-term goals.

ANA promotes self-sufficiency for Native Americans by providing discretionary grant funding for community-based projects and training and technical assistance to eligible tribes and Native organizations in three program areas: Social and Economic Development Strategies, Native Languages, and Environmental Regulatory Enhancement.

Social and Economic Development Strategies (SEDS)

ANA promotes social and economic self-sufficiency in communities through SEDS grants. These competitive financial assistance grants support locally determined projects designed to reduce or eliminate community conditions that stand in the way of achieving community goals.

This approach to promoting self-sufficiency encourages communities to shift away from programs that create dependency on services and move towards projects that increase community and individual productivity through community development. SEDS grants fund social and economic development projects in both on- and off-reservation communities and provide federal support for self-determination and self-governance among Native American people.

SEDS also provides governance funding. The governance component under the SEDS program assists tribes with the development and implementation of projects that support and enhance tribal sovereignty and operational effectiveness.

Under the SEDS program area, ANA also provides funding for Social and Economic Development Strategies – Alaska (SEDS AK) projects. SEDS AK is designed to provide targeted support for Village-specific projects to improve and enhance the core capacity of Alaska Native Village governments, who are central to fulfilling social and economic self-sufficiency in Alaska.

Also, under the SEDS program area, ANA provides funding for the Native Youth Initiative for Leadership Empowerment and Development (I-LEAD). This initiative emphasizes a comprehensive, youth-driven, culturally appropriate approach to ensure all young Native people can thrive and reach their full potential by fostering Native youth resilience, capacity building, and leadership.

Funded SEDS Project
The Coquille Tribe is located in North Bend, Oregon. Their land base consists of 26 non-contiguous land parcels spread across a 6,063 square mile, three-county area. The goal of their project is to enhance the Tribe's Land Use Planning and GIS Management capabilities. This will also allow it to develop a comprehensive land use plan, institute location-specific plans that optimize resources while protecting cultural and environmental sites, and more strategically target their land acquisition efforts.

- Project Title: Land Use and GIS Capacity Building Project
- Award Amount: $341,675 in Year 1
- Project Period: Sept. 2016–Sept. 2019

Funded SEDS AK Project
The Knik Tribal Council is located in Palmer, Alaska. Their goal is to build organizational capacity, enabling the Knik Tribal government to provide financial education to promote financial self-sufficiency to Alaska Natives and tribal members living in the service area. Through the

improvement of individual financial literacy, they aim to promote family asset building and increased financial management skills.

- Project Title: Financial Literacy: Training and Outreach for the Knik Tribe
- Award Amount: $91,750.00 in Year 1
- Project Period: Sept. 2016–Sept. 2018

Funded I-LEAD Project
The Alaska Native Heritage Center has developed and implemented a multi-generational cultural identity project that reconnects Alaska Native youth to their ancestors' ways of living to address the "Cultural Identity Disconnect." The project addresses change in self-perceived identity, a result of the loss of ceremonial gatherings and limited educational exposure for youth to their cultural way of life. To alleviate this, the Center is launching a public campaign on positive cultural identity. Development of a cultural toolkit will be developed with youth at a Youth Suicide Prevention Summit.

- Project Title: Awake in Our Ancestors' Dreams
- Award Amount: $281,798.00 in Year 1
- Project Period: Sept. 2016–Sept. 2021

Native Languages

ANA believes language revitalization and continuation are essential to preserving and strengthening a community's culture. The use of Native language builds identity and encourages communities to move toward social unity, self-sufficiency, and cultural preservation.

Recognizing that the history of federal policies toward Indian and other Native people has resulted in a dramatic decrease in the number of Native American languages, Congress enacted the Native American Languages Act. This program is authorized under Section 803C of the Native American Programs Act of 1974, 42 U.S.C. 2991b. The intent of the Act is to assist Native communities to reverse this decline. Three decades later, Congress passed the Esther Martinez Native American Languages Preservation Act (P.L. 109-394) in 2006. This law amends the Native American Programs Act of 1974 to provide for the revitalization of Native American languages through Native language immersion and restoration programs.

ANA Native Language funding has two standing categories: (1) Preservation and Maintenance (P & M) funding, which provides opportunities to assess, plan, develop, and implement projects, including restoration projects, to ensure the survival and continuing vitality of Native languages and (2) the Esther Martinez Immersion (EMI), which supports language nests and survival schools.

Funded P & M Language Project
The Para I Probechu'n I Taotao-ta, Inc. (PIPIT) Language and Preservation and Maintenance project focuses on preserving the Chamorro language through the revitalization of the

traditional chanting of “Kantan Chamorrita.” This will be accomplished by apprenticing four Fafana’gues, leaders of organized Gumas (cultural houses) with elders to learn the use of “Kantan Chamorrita” and increase their ability to speak/use the Chamorro language on a daily basis through that process. The Fafana’gue will then train 210 cultural practitioners, members of organized Gumas, increasing their ability to speak/use the Chamorro language in community settings.

- Project Title: Chamorro Language through the Revitalization of the Traditional Chanting of "Kantan Chamorrita"
- Award Amount: $267,893 in Year 1
- Project Period: Aug. 2015–July 2018

Funded EMI Language Project

The Wôpanâak Language Reclamation Project (WLRP) immersion language nest will provide 1,365 hours of language immersion for children each year. The project started with Pre-Kindergarten and expands a grade level each year until, over the course of 36-months, they will have a Pre-K through 1st grade school. To support their curriculum, they are using the Montessori Method, following the teachings of famed educator Maria Montessori for their educational pedagogy.

- Project Title: Mukayuhsak Weekuw: The Children's House, a Wampanoag Language Montessori Immersion School
- Award Amount: $297,442 in Year 1
- Project Period: Aug 2016–July 2019

Environmental Regulatory Enhancement

Growing awareness of environmental concerns on Indian lands resulted in ANA dedicating funding to address those issues. ANA’s Environmental Regulatory Enhancement (ERE) grants provide tribes with resources to develop legal, technical, and organizational capacities for protecting their natural environments.

Environmental Regulatory Enhancement projects focus on environmental programs in a manner consistent with tribal culture and can include environmental issue identification, and the development, implementation and enforcement of regulations.

Funded Environmental Project

The Shoshone-Bannock Tribes project is to increase protection of culturally and economically valuable water resources of the Tribes by building additional capacity and an informational base within the Tribal Water Resources Department. The Tribal benefits developed under this project include more effective nutrient regulations on the Reservation and more active participation in regional water quality issues.

- Project Title: Water Quality Protection Plan
- Award Amount: $158,050
- Project Period: Sept 2015–Sept 2017

Projects, Applications, and Grants

A project is not the same thing as a grant. A project consists of a project goal, objectives, and milestone activities created through a community-based planning process to address a current condition that is preventing the community from achieving its long-term goals. A project also includes a budget that funds implementation of objectives and activities. A grant is the agreement between the grantee and the funding organization which finances the project. In other words, the project is the strategy for moving toward the achievement of the community/tribal long-range goal and the grant is the award which provides funds to implement that strategy. Think about this while you are writing your application – your application is what you are writing to convince the funding organization to invest in your project's strategy.

In order to write a strong application, you need a well-designed project. The first step in writing the application is effectively describing your project. Begin that process by seeing if you can describe your project idea in one sentence or phrase. Some examples of such abbreviated project descriptions, taken from the ANA website, are below:

ANA Funded Projects

"Stimulating creativity and complex problem-solving skills, as well as increasing student self-esteem and academic outcomes, by delivering quality language immersion for a Dakota/Ojibwe urban language nest." – Alliance of Early Childhood Professionals, Minnesota, Native Language project.

"Developing a scientifically defensible conceptual model of the hydrology of the upper Umatilla River Basin groundwater-flow system to ensure development does not harm water flows and existing uses." –Confederated Tribes of the Umatilla Indian Reservation, Oregon, Environmental Regulatory Enhancement project.

"Developing integrated agricultural and culinary programs to encourage healthy, sustainable lifestyles for Native Hawaiian students and their families." – Ho'oulu Lahui, Inc, Hawaii, SEDS project.

"Increasing processing and sales of locally caught salmon in order to expand tribal members' participation in the salmon industry as fishermen, processors, and marketers." – Sun'aq Tribe of Kodiak, Alaska, SEDS project.

Activity 1 ❖ Describe Your Project in One Sentence

Using the examples in the previous section as a model, describe your project in one sentence.

Working with the Funding Opportunity Announcement

The Administration for Native Americans issues Funding Opportunity Announcements (FOAs) of available discretionary grant funds which can be found at http://www.grants.gov. A separate announcement is issued for each program area. The FOA is the official document that details the requirements for submission of an application to ANA, including: a description of the format for applications to be submitted, eligibility criteria, information on the content required, and the evaluation criteria. The FOAs provide detailed information for each program area, so it is important that you read the entire FOA to ensure that you comply with and address all requirements.

Note: The official funding opportunity announcements take precedence over any material in this manual. This manual went to print prior to the FOAs being officially published.

Activity 2 ❖ Familiarize Yourself with the FOA

Directions: Review the Funding Opportunity Announcement, find the following information, and answer each question.

QUESTION	Answer or Page #
1. The Funding Opportunity Number is:	
2. What is the Catalog of Federal Domestic Assistance (CFDA) number?	
3. Where can you find the Program Areas of Interest?	
4. How many consecutive awards can you have within one CFDA number?	
5. What is the "Length of Project Periods"?	
6. What are the ceiling and floor dollar amounts?	
7. How much match is required?	
8. Where can you find the Application Disqualification Factors?	
9. Can a paper application be submitted?	
10. Where do you find information on the file formats supported by the Administration for Children and Families (ACF)?	

Continued on next page.

QUESTION (cont.)	Answer or Page #
11. Where does the Project Description start?	
12. Where do you find the directions on creating a Project Abstract?	
13. What is the maximum number of objectives an application can have?	
14. On what page do you find the required information to be provided on Organizational Capacity?	
15. On what page do you find information on the costs of required ANA travel?	
16. Where can you find the Submission Dates and Times?	
17. On what page do you find the evaluation criteria for Expected Outcomes?	
18. What is the maximum point value for the Objective Work Plan (OWP)?	
19. Where do you find information on the ANA Internal Review of Proposed Projects?	
20. On what page do you find ANA's reporting requirements?	
21. Will an application be reviewed if the total amount requested for the budget period or the project period is more than the ceiling amount for the category?	

Application Review Criterion

As you plan and prepare to submit an ANA application, knowing exactly how the application will be reviewed will help you in developing, writing, and finalizing the application. The evaluation criteria is located in Section V.1 of every FOA. Once community input is gathered and a project plan is developed, these criteria guide the development of your application. It is important to remember that the FOA includes a set of scoring criteria and lists issues and key elements to address under each criterion. The FOA assigns maximum point values for each criterion.

Note: There are differences between the FOAs, particularly in the review criteria. The manual notes differences where applicable, but you should still thoroughly review the FOA that addresses your project focus (i.e. SEDS, Language, ERE).

Scoring Guide

This year ANA has provided a scoring guide. When scoring criteria for each section of an application, reviewers will use the scales below. The project description of each application includes six scoring criteria which are: Expected Outcomes; Outcome Tracking Strategy; Approach; Organizational Capacity; Objective Work Plan; and, Budget and Budget Justification. Reviewers will assign a score within the range between the minimum and maximum possible points for each criterion.

All program areas use the same six scoring criteria; however, the sub-criteria may differ. Here is the scoring guidance that panel reviewers for ANA project applications will use.

Guidance	Expected Outcomes (25)	Outcome Tracking Strategy (10)	Approach (25)	Organizational Capacity (15)	OWP (15)	Budget (10)
No information provided. No strengths.	0	0	0	0	0	0
Limited or incomplete proposal lacking detail.	1-8	1-3	1-8	1-6	1-6	1-3
Some incomplete discussion or insufficient detail.	9-18	4-6	9-18	7-10	7-10	4-6
Strong overall discussion and detail.	19-24	7-9	19-24	11-14	11-14	7-9
Detailed and compelling proposal. No weaknesses.	25	10	25	15	15	10

Criterion One – Expected Outcomes, Maximum Points: 25

Expected Outcomes criterion will be used in evaluating such elements as: your application's presentation of a long-term goal to which the project relates and conditions standing in the way of reaching the long-term goal. Information on project beneficiaries, your project goal, and the measurable positive changes the project will create to reduce or eliminate conditions that stand between the community and long-term goal.

I. LONG-TERM COMMUNITY GOAL

1. The extent to which the application identifies a long-term goal that aligns with the outcomes and objectives proposed by the project and demonstrates the proposed project is relevant to the achievement of the long term-community goal.

II. CURRENT COMMUNITY CONDITION

1. The extent to which the application identifies a specific and current community condition that is related to the purpose of the [FOAs specific Program Area], and the extent to which the current community condition will be directly addressed by the project goal.

2. How effectively the current community condition identifies the target population and provides basic baseline information about the project beneficiaries, which can be used to show an enhanced condition upon successful completion of project goals and objectives.

3. The extent to which the current community condition demonstrates knowledge of targeted project participants and/or beneficiaries, is limited to the scope of the proposed project, and demonstrates a need for the proposed project.

Note: Both Native Language FOAs have a fourth sub-criterion under "Current Community Condition". See page 19 of this manual.

III. PROJECT GOAL

1. The project goal is effectively stated and addresses the current community condition and supports the long-term community goal. The project goal logically aligns to the expected outcome(s) and objective(s) identified for the proposed project.

2. The target population being served was appropriately included in the identification of the project goal as a means to address their needs.

IV. OBJECTIVES

1. The extent to which up to three objective(s) effectively describe a tangible achievement in a measurable manner that includes the indicator, target, population, and timeline.

V. OUTCOMES AND INDICATORS

1. The application identifies a primary outcome for each objective, which is directly related to making a change in the current community condition, and is a significant and logical result of successful accomplishment of the corresponding objective.

2. The application proposes viable indicator(s) that quantify what will be changed by each outcome in a way that can be effectively observed and measured.

Note: In both Native Language FOAs, sub-criterion 1 is worded very differently than other program area FOAs.

VI. OUTPUTS

1. The extent to which the application fully identifies all significant outputs resulting from carrying out project objectives, and the effectiveness of those outputs in marking progress towards accomplishing the objective.

VII. ALIGNMENT TO FOA'S PURPOSE

1. The extent to which the proposed project objective(s) and outcome(s) directly relate or meets the purpose of the [Insert specific Program Area here] FOA as described in Section I, Program Description, [Insert specific Program Area here] Program Purpose.

Note: The SEDS AK sub-criterion features different requirements than other program area FOAs.

Here are some things to consider in responding to Expected Outcomes:

- Think about starting this section of your application with a brief introduction of your community and/or your organization, including the geographic location. This is done to provide the reader with a brief understanding of your community setting and your community or organization.
- The Expected Outcomes section will evaluate the "framework" of your grant application. The remainder of the application relates to your organization's ability to address the current community condition you have identified in this section and the strategy that will be used to reduce or eliminate that condition.

I. Long-Term Community Goal

1. The extent to which the application identifies a **long-term goal** that aligns with the outcomes and objectives proposed by the project and demonstrates the proposed project is relevant to the achievement of the long term-community goal.

Long-term community goals are the vision of an ideal community and the foundation for all projects. They are established by community members and describe conditions in specific focus areas (cultural enhancement, education, housing, health care and household income, for example). This vision grows and changes over time as goals are achieved and new priorities are identified, as well as when community members participating in the process change. Long-term goals of organizational or geographic communities are often found in Community Comprehensive Plans. They also are components of organizational Strategic Plans.

Long-term community goals are an important component of the community development process and your ANA application. Projects developed with the intent of achieving a long-term goal demonstrate that your community has a clear sense of direction and focus. Many tribes have identified long-term goals through a community-based planning process, and include them on their websites or comprehensive plan documents. Similarly, non-profit organizations can often find their long-term goals in their mission statements and/or planning documents generated by members of that organization.

Once the long-term goal is identified, be sure to provide an explanation of how the proposed project is related to achieving that goal. Also, it is important to describe the role the community played in long-term goal development by detailing the planning processes used (for example, community meetings, surveys, focus groups) and information on the participants in the planning activities (general community, parents, community leader, elders, language advocates, youth, etc.)

Here as an example of a long-term community goal:

All members of our community will have access to locally-produced, healthy food.

We will use this long-term goal statement as the foundation for discussing and describing all following components of the application narrative.

Activity 3 ❖ Your Long-Term Community Goal

Write your long-term community goal:

In what document is this long-term community goal found?

II. Current Community Condition

1. Community Condition

1. The extent to which the application identifies a specific and **current** community **condition** that is related to the purpose of [Specific Program Area], and the extent to which the current condition will be directly impacted by the project goal.

The current condition is a measurable gap or barrier that is preventing the community from achieving the long-term goal(s) on which the project is focused. Ideally, the current condition is described in one or two sentences. This condition should be compelling and urgent. While there are probably many conditions the community can identify that stand in the way of reaching the long-term goal, your application should identify one specific condition that will be both addressed by your project and measurably reduced or eliminated by it.

Do not describe the specific condition that the project will address as a "lack of" or a "need for" something. For example, applications often will assert, "We need better nutrition for our elders," or "Our youth lack access to nutritious food." These statements do not describe a condition in the community, rather they describe a possible solution for addressing the condition of high food costs, distance from the community to fresh foods or loss of knowledge of how to prepare nutritious meals.

Here's an example of a "Current Community Condition" that is a barrier to reaching the long-term community goal of "All members of our community will have access to locally-produced, healthy food."

Fresh produce in our community costs 5 times the state average. This results in the purchase of cheaper processed food leading to health conditions such as diabetes, obesity and heart disease.

Note: Make sure the current condition statement: A. describes ONE current condition that exists in the community that can be addressed by your project B. does not describe a condition using "lack of" or "need for" terminology C. is no longer than two sentences D. is presented in URGENT, COMPELLING, AND UNDERSTANDABLE terms

Activity 4 ❖ Current Community Condition

Write down conditions that the community finds are preventing them from reaching their priority long-term goal.

Now, choose the prevailing condition that the community wants to address with this project and write a current community condition statement:

Who are the project's intended beneficiaries?

2. Target Population and Their Baseline Information

2. How effectively the current community condition identifies **the target population and provides basic baseline information** about the project beneficiaries, which can be used to show an enhanced condition upon successful completion of project goals and objectives.

The discussion of "the community" begins with a brief geographic and demographic description of the overall community. However, the discussion of community in a project narrative often moves past a description of the entire community and their areas of concern. Community members often will identify a specific group in the community who are impacted by the "community condition" and recommend that the project focus on alleviating the effects of that condition on that population. These individuals or groups are the targeted beneficiaries of the project.

In describing project beneficiaries, include information on:

- People to be served by the project
- Demographic data that describes social, economic, and other information regarding the project beneficiaries and how the condition the project addresses impacts that population
- Geographic location where the project will occur

Intended Beneficiaries: The intended beneficiaries of this project are the families of the Little Lake community, located in a rural area of the state. The Little Lake community has a membership of 1200 with 750 residing in or around Little Lake. The average earned income in this community is right above the low-income level and most work in or near the community. The average household has two adults and three school aged children. There is one local K-12 school as well as a senior center. According to data from the Little Lake Community Health Center, 73 youth and 97 elderly members of our community have rates of type 2 diabetes; 258 youth and adults test for high blood pressure and blood sugar levels and 249 youth and adults are overweight/obese.

When presenting data, it is important to limit the data provided to the single condition presented. For example, if the project is about native language then unemployment and poverty data would not be relevant in most cases.

Include data to corroborate the condition you have identified. Sources could be from surveys, local data, studies, regional census data, and historical data to reinforce community definitions of the condition to be addressed. Use recent data that has been collected within the past 3 to 5 years. Avoid using national and statewide secondary data information as the basis of information to support the extent of the community condition, because this data is too broad and general for this purpose.

Supporting information or data detailing the baseline condition of the project beneficiaries provides the reader with details related to the scope of the condition in your community and

creates a foundation for which to determine the change of these conditions through the successful completion of the project. This is extremely important, as ANA is looking for projects that are community-driven and lead to a stated community long-term goal.

Supporting Information and Data: The community health center conducted a community survey in 2016 to identify issues community members felt were the most significant problems impacting the community. The 350 out of 576 community members who participated in the 2016 survey identified the following conditions as top five priorities in the community: diabetes, obesity, few choices in fresh produce, expense of fresh produce, limited money in food benefits for food purchasing.

Activity 5 ❖ Supporting the Current Community Condition Statement

Use the space below to write information and data that supports the community condition identified for your project.

Describe the intended beneficiaries and the baseline data for this population:

What sources will you use to verify that this information is relevant to your community?

3. Knowledge of Your Target Beneficiaries

3. The extent to which the current community condition demonstrates **knowledge of targeted project participants and/or beneficiaries**, is limited to the scope of the proposed project, and demonstrates a need for the proposed project.

This sub-criterion asks that you describe the connection between the target population or beneficiaries and the scope of the project. Provide data that is specific to the community and avoid providing national or regional statistics. Stay focused on the community condition identified earlier so that the narrative supports the stated need for the project. Also note that each FOA requires specific information relevant to the type of funding for which you are applying.

For I-LEAD projects, provide recent data on the youth population in the community. With all I-LEAD applications, youth involvement in the development of the project is essential. Demonstrate how youth input was used to determine the baseline for the community condition and how the project will have an impact on that condition.

Note: Both Native Language FOAs have a fourth sub-criterion under "Current Community Condition".
4. The extent to which the current status of the Native language is fully described, including the current number of fluent and emerging speakers with details to indicate fluency levels; current language learning resources available for use within the community; a description of the existing language program(s); and participation in language preservation by current and emerging language speakers.

For Native Language projects, EMI and P&M, this is the section to provide a current (no more than 5-year-old) description of the current status of the language. Include the number of fluent speakers in the community, and general information on the breakdown of the remaining community by age and fluency or proficiency level, if applicable. List the language resources available to members such as classes, curriculum, schools, language apps, etc. Also, provide information on the community's willingness to participate in the proposed language project. Surveys are very useful to collecting this data, but be sure to have a good sampling of your community and target beneficiaries when presenting your results.

Activity 6 ❖ Knowledge of your Target Beneficiaries

Provide a brief description of your tribe, village, or target demographic (a paragraph or less).

Now provide additional FOA-specific supporting information. This may be on the current status of the language, the youth demographic you intend to serve, and/or how the scope of the project relates directly to your chosen target beneficiaries:

III. Project Goal

1. Goal

1. The **project goal** is effectively stated and addresses the current community condition and the long-term community goal. The project goal logically aligns to the expected outcome(s) and objective(s) identified for the proposed project.

The project goal statement describes the improved condition that will be in place as a result of the project's successful completion. The project goal statement can describe a reduction or resolution of the community condition that has been identified earlier or an increased capacity to resolve that condition. Your project goal describes an improved condition that moves the community closer to long-range goal achievement.

The project goal must relate to the community's long-term goal described earlier in the application. The statement should be brief and to the point, as well as realistic. The goal determines the scope of the project, so do not overstate what the project intends to accomplish.

Here is an example of a project goal:

Increase the availability and accessibility of fresh fruits and vegetables to community members.

Activity 7 ❖ Project Goal

Write your project goal:

2. Beneficiary Input

2. The target population being served was appropriately included in the identification of the project goal as a means to address [insert specific program area].

Note: Each FOA has different wording for this sub-criterion.

P & M Sub-criterion #2 - The target population being served was appropriately included in the identification of the project goal as a means to address native language preservation and maintenance.
EMI Sub-criterion #2 - The target population being served was appropriately included in the identification of the project goal as a means to address native language immersion.
I-LEAD Sub-criterion #2 - The targeted youth population being served was appropriately included in the development of the project goal as a means to address the goals of their peers and their community.
ERE Sub-criterion #2 - The target population being served was appropriately included in the identification of the project goal as a means to address the environmental needs of the community.

The next section of the narrative should describe how the target population or beneficiaries were involved in the process to determine the project goal, including the process that was used, who was involved in the decision making and any factors affecting the decision. This is a very important aspect to a well-developed project idea.

If you have not involved the community in your planning process, take a step back and request community input from your community members. Record their input as a means to collect supporting data, and then come back here to describe that process – as well as make any changes to your overall project to reflect their opinions.

Here is an example of beneficiary input into the project idea:

To get a better understanding of what elders thought the most serious health conditions they faced were, we held focus groups in our elders' congregate meal site. We chose focus groups rather than surveys, so we could get a sense of consensus among elders on their concerns and the conditions they would like to see addressed. Ninety-three elders participated in those focus groups. Here are the health conditions that they identified:

- High blood pressure
- Diabetes
- Balance and mobility difficulties
- Loss of stamina

We also chose to do focus groups with community youth to get their perspective on health issues. Seventy-six youth from our Boys and Girls Club prioritized health and nutrition problems as follows:

- Excess weight
- Dental issues
- Diabetes
- High blood sugar levels

Finally, we did phone surveys with 80 households to ask them what their primary concerns about food availability and nutritional issues were. The top issues identified in this phone survey were:

- Cost of food (especially fresh vegetables and meat)
- Seasonal nature of produce
- Distances to stores with a variety of fresh produce at an affordable price

Activity 8 ❖ Beneficiary Input

Describe the process you have used to include the input of beneficiaries in developing your project goal.

IV. Objectives

1. The extent to which the application includes up to three objective(s) that effectively describe a tangible achievement in a measurable manner that includes the indicator, target, population, and timeline.

Objectives describe your strategy for accomplishing the project goal. The objectives you develop to reach the project goal must:

- Clearly describe a tangible achievement in a measurable manner that includes the indicator, target, population, and timeline
- Align to the purpose of the FOA

An objective must describe a measurable positive change in the condition that you have identified and want to resolve. Those positive measurable changes are called **outcomes** and the component of the objective that describes what will be changed is called an **indicator**. Think of the outcome as a description of change that will occur in the targeted community condition because of the objective's implementation and the indicator as a clear statement of what will be changed. An objective also must include a projection of the time needed to complete the outcome. An application to ANA can contain no more than 3 objectives.

Below is an example of objectives for this project. The objectives focus on successful completion of the project goal to "increase the availability and accessibility of fresh fruits and vegetables to community members." The timeframes presented in the objectives below are based on SEDS projects having a start date of September 30. The objectives are presented in a format that includes the following four components, collectively known as TTIP:

- **T**imeline: a time by which the objective will be achieved
- **T**arget: a measurement for the intended amount of change. There may more than one target associated with an indicator
- **I**ndicator: a measurable sign that something has been done or been achieved
- **P**opulation: a specific group on which the program is intending to focus

Here are examples of objectives that tie into the project goal stated in the previous section:

Sample Objective 1: By the end of 12 months (timeline), the Center will train 25 community members (population) to be master gardeners and greenhouse growers with 85% (target) of those trained earning master gardener certification (indicator).

Sample Objective 2: By the end of 24 months (timeline), the Center will conduct a public education campaign hosting community workshops on the value of fresh produce and the

benefits of healthy diets for 100 community members (population) with at least 75% of adult participants (target) creating and using healthy diet menus in their homes (indicator).

Sample Objective 3: By the end of 36 months (timeline), the Center will establish hoop houses that will produce 80% (target) of the 48,000 pounds of fresh produce consumed from May to October (indicator) in community households and the senior center (population).

Activity 9 ❖ Project Objectives

Using the TTIP format draft your objective(s):

Objective 1:
What is your timeline?

What is your target?

What is your indicator?

Who is your population?

Use the above information to create an objective.

Objective 2:
What is your timeline?

What is your target?

What is your indicator?

Who is your population?

Use the above information to create an objective.

Objective 3:
What is your timeline?

What is your target?

What is your indicator?

Who is your population?

Use the above information to create an objective.

Do each of your objectives have:	Answer: Yes or No
A Timeline, describing when your objective will be achieved?	
A Target, measuring a specific change within the community?	
An Indicator, describing what that change is through an action?	
A Population, affected by the indicator and target?	

V. Outcomes and Indicators

1. Outcomes

1. The application **identifies a primary outcome** for each objective, which is directly related to making a change in the current community condition, and is a significant and logical result of successful accomplishment of the corresponding objective.

Each of the application objectives must include a primary outcome statement. That outcome statement describes a measurable positive change in the community condition created by successful accomplishment of the objective.

Note: In both Native Language FOAs, Sub-criterion 1 is worded very differently from the other program areas.

EMI Sub-criterion #1 - The application identifies a primary outcome for each objective, which is directly related to making a change in the community condition, and is a significant and logical result of successful accomplishment of the corresponding objective. The application demonstrates a connection between each primary outcome and one of the four categories (fluency, increased access to language resources, teachers certified, increased capacity to implement a language program) as described in Section I Program Description, EMI Program Purpose.

P & M Sub-criterion #1 - The application identifies a primary outcome for each objective, which is directly related to making a change in the community condition, and is a significant and logical result of successful accomplishment of the corresponding objective. The application demonstrates a connection between each primary outcome and one of the four categories (fluency, increased access to language resources, teachers certified, increased capacity to implement a language program) as described in Section I Program Description, Native Languages Preservation and Maintenance Program Purpose.

Outcomes are the positive measurable changes created by project objectives. Outcomes are short-term or long-term positive changes that reduce or eliminate the current community condition and move the community toward realizing the project goal. A project can generate several different outcomes; so, in designing the project, consider the ways in which the project can be structured to benefit a range of entities, from community members to partners, as well as staff.

For example, if the project goal is to address child literacy rates, then related outcomes might be that participants' reading levels increase, parents understand the importance of reading with children at home, and staff teachers have new and innovative teaching techniques. Note that each of these outcomes is related to a different definition of "community". **Your project's primary outcome is the positive measurable change experienced by the community described**

in the project goal. If the project goal is to "increase child literacy rates", the primary outcome will focus on measurable positive changes "in child literacy rates". If there are outcomes that have a positive measurable change on other "communities" (parents or teachers) present those outcomes as secondary outcomes.

And always provide detailed information of what the level of positive change described in the outcome statement is projected to be. Using the above example of the "primary outcome", a detailed project change could be expressed as follows:

- Child literacy rates will increase at least 2 levels on our reading and comprehension scale for each child's grade level.

Here are examples of outcomes in the sample objectives presented earlier in this manual:

Sample Objective 1: By the end of 12 months, the Center will train 25 community members to be master gardeners and greenhouse growers with 85% of those trained earning master gardener certifications.

Outcome: 85% of 25 community members trained will receive certification as master gardeners

Sample Objective 2: By the end of 24 months, the Center will conduct a public education campaign hosting community workshops on the value of fresh produce and the benefits of healthy diets for 100 community members with at least 75% of adult participants creating and using healthy diet menus in their homes.

Outcome: 75% of the 100 adults attending community workshops on healthy eating will create and use healthy diet menus

Sample Objective 3: By the end of 36 months, the Center will establish hoop houses that will produce 80% of the 48,000 pounds of fresh produce consumed from May to October in community households and the senior center.

Outcome: Newly built hoop houses will supply 80% of the 48,000 lbs. fresh produce consumed by community members from May through October

Activity 10 ❖ Outcomes

Based on your 1st Objective, determine the primary outcome associated with achieving this objective:

Based on your 2nd Objective, determine the primary outcome associated with achieving this objective:

Based on your 3rd Objective, determine the primary outcome associated with achieving this objective:

2. Indicators

2. The application proposes viable indicator(s) that quantify what will be changed by each outcome in a way that can be effectively observed and measured.

The indicator is a measurable sign that something has been done or been achieved. Indicators describe what the "target" is measuring. These two elements, the target and the indicator, are closely related. Here is a representation of the sample objectives with the indicator highlighted:

Sample Objective 1: By the end of 12 months, the Center will 25 train community members to be master gardeners and greenhouse growers with ***85% (target)*** of those trained earning ***master gardener certifications (indicator)***.

Sample Objective 2: By the end of 24 months, the Center will conduct a public education campaign hosting community workshops on the value of fresh produce and the benefits of healthy diets for 100 community members with at least ***75% (target)*** of adult participants ***creating and using healthy diet menus in their homes (indicator).***

Sample Objective 3: By the end of 36 months, the Center will establish hoop houses that will produce ***80% (target)*** of the 48,000 pounds of ***fresh produce consumed from May to October (indicator)*** in community households and the senior center.

Activity 11 ❖ Writing Project indicators

Based on your Objectives, what are your Indicators for each?
Objective 1 Indicator: Objective 2 Indicator: Objective 3 Indicator:

VI. Outputs

1. The extent to which the application fully **identifies all significant outputs** resulting from carrying out project objectives, and the effectiveness of those outputs in marking progress towards accomplishing the objective.

Outputs are tangible products or services that result from actions taken to achieve project objectives. Outputs are directly tied to the milestone activities in the objective work plan (OWP). Outputs are critical to identifying the means for achieving project objectives by pinpointing what products will be produced as each objective is reached. Outputs also help establish benchmarks, which can be used to monitor progress towards achieving project objectives. It will be helpful to write this section after completing the OWP.

Here are the outputs for the third sample objective, referenced above:

Sample Objective 3: Sample Objective 3: By the end of 36 months, the Center will establish ***hoop houses (output)*** that will produce ***80% of the 48,000 pounds of fresh produce consumed from May to October (output)*** in community households and the senior center.

Activity 12 ❖ Project Outputs

Identify outputs associated with your first objective:

Identify outputs associated with your second objective:

Activity continued on next page.

Identify outputs associated with your third objective:

VII. Alignment to FOA's Purpose

1. The extent to which the proposed project objective(s) and outcome(s) **directly relate or meets the purpose of the [Insert specific Program Area here] FOA** as described in Section I, Program Description, [Insert specific Program Area here] Program Purpose.

In essence, to gauge whether a project aligns with the FOA's purpose is to ask: what is the extent to which the proposed project objective(s) and outcome(s) directly relate to the purpose of the FOA the project is applying under?

Carefully consider how the project directly aligns with the FOA and provide a descriptive paragraph or two which will directly correlate the alignment. For this section think about the overall purpose of your project, look at the FOA Program Purpose in Section I of the FOA and write a direct correlation between the two.

For example:

The project's third objective and outcome to create access to healthy fresh affordable food for our community strongly relate to the SEDS FOA. Improving our community's health through "expanding access to healthy foods" provides a social and economic solution within our community. We will expand our economy by growing our own food and spending the money directly within the community rather than paying outside vendors. Additionally, community members will pay less for the food allowing them to buy more healthy foods than before. Additionally, we hope this will improve the health and well-being of our community members by providing healthier food options.

Activity 13 ❖ Relating Your Project to the FOA

Write a paragraph describing how your project relates to the FOA you are applying under:

Activity 14 ❖ Mock Panel Review

We indicated earlier that it's important to understand the application review process and address that process while preparing your applications. Now that you're familiar with the requirements of Criterion 1, participating in a mock panel review process will help you gain a clearer understanding of the evaluation criteria and the review process.

ANA applications are scored by non-federal reviewers in a panel review process. This activity allows you to conduct a mock panel review by reading, noting issues, and scoring the Outcomes Expected section of an application narrative. Please review the narrative in **Appendix A of the Manual,** note the issues and strengths, and provide a score based on the following criteria. Evaluate the section on pages 33 to 37 of the manual.

Maximum Points: 25

The extent to which the application identifies a long-term goal that aligns with the outcomes and objectives proposed by the project and demonstrates the proposed project is relevant to the achievement of the long term-community goal.

Activity continued on next page.

The extent to which the application identifies a specific and current community condition that is related to the purpose of the [FOAs specific Program Area], and the extent to which the current community condition will be directly addressed by the project goal.

How effectively the current community condition identifies the target population and provides basic baseline information about the project beneficiaries, which can be used to show an enhanced condition upon successful completion of project goals and objectives.

The extent to which the current community condition demonstrates knowledge of targeted project participants and/or beneficiaries, is limited to the scope of the proposed project, and demonstrates a need for the proposed project.

Activity continued on next page.

The project goal is effectively stated and addresses the current community condition and supports the long-term community goal. The project goal logically aligns to the expected outcome(s) and objective(s) identified for the proposed project.

The target population being served was appropriately included in the identification of the project goal as a means to address their needs.

The extent to which up to three objective(s) effectively describe a tangible achievement in a measurable manner that includes the indicator, target, population, and timeline.

The application identifies a primary outcome for each objective, which is directly related to making a change in the current community condition, and is a significant and logical result of successful accomplishment of the corresponding objective.

Activity continued on next page.

The application proposes viable indicator(s) that quantify what will be changed by each outcome in a way that can be effectively observed and measured.

The extent to which the application fully identifies all significant outputs resulting from carrying out project objectives, and the effectiveness of those outputs in marking progress towards accomplishing the objective.

The extent to which the proposed project objective(s) and outcome(s) directly relate or meets the purpose of the [Insert specific Program Area here] FOA as described in Section I, Program Description, [Insert specific Program Area here] Program Purpose.

Activity continued on next page.

Guidance	Expected Outcomes (25)
No information provided. No strengths.	0
Limited or incomplete proposal lacking detail.	1-8
Some incomplete discussion or insufficient detail.	9-18
Strong overall discussion and detail.	19-24
Detailed and compelling proposal. No weaknesses.	25

Using the scoring guide above, what score, out of 25, did you give the application narrative?

_____

Was it easy to assess the criterion? Why or why not?

Were you provided with sufficient information to score this section of the application?

What additional information do you wish was included?

Criterion Two – Outcome Tracking Strategy, Maximum Points: 10

1. The application fully identifies an accurate and viable means of measurement for each indicator, which can be effectively and consistently be used to show the progress a project is making toward achieving primary outcome(s). The application includes rational targets for the required points in time (baseline, end of each project year, end of project period, 3 years post project period) which are supported by the means for measurement, organizational capacity, approach, and OWP.

2. The applicant provides clear and detailed information describing the plan to collect and manage data/information. Data management tools/systems are indicated, or, if applicable, the need and approach to developing and/or improving a data/information management system is described. Details include available data collection capacity; description of where and how data is stored; plans for analysis of project data; and any technical assistance or staff supports that are or will be provided for data management.

3. The outcome tracker exhibits connections between the components included in Expected Outcomes (long-term goal, current community condition, project goal, outcomes, and objectives, outputs) in a way that demonstrates logic and validates the project framework as described in Section I Program Description and Section IV. 2. Content and Form of Application Submission, The Project Description for the [program area covered in the FOA].

This criterion brings together the components discussed in Criterion 1 (project goal, objectives, outcomes, indicators, and outputs) into one cohesive table, showing the logical connections between the components, annual benchmarks, the means of measurement and the data collection plan which will support the monitoring and assessment of the project.

There are 3 areas to address under this FOA scoring criterion:

- A clearly demonstrated connection between Expected Outcomes components (long-range goal, current community condition, project goal, objectives and outcomes and outputs)
- An effective process for measuring project indicators
- Details on data management

The 2018 SEDS FOA provides an example of one method to display the relationship between project elements and show the project relationship to the purpose of the SEDS program. That tool is labeled the Outcome Tracker in the FOA. Have an Outcome Tracker table on-hand as you develop your project. When you create your objective(s), highlight your outcomes and determine how you will measure them. Then provide a narrative description of the process and the tools you will use to demonstrate achievement of the projected outcomes.

An Outcome Tracker should be developed to identify benchmark targets for each objective and outcome, which can be used to assess planned progress in comparison to actual progress. The Outcome Tracker must identify benchmarks for the following points in time: baseline, end of project year, end of project period, and 3-year post project and list project outputs associated with each objective.

Project Outcome Tracker							
Project Goal: Increase the availability and accessibility of fresh fruits and vegetables to community members.							
Objective 1: By the end of 12 months, the Center will train community members to be master gardeners and greenhouse growers with ***85% (target)*** of those trained earning ***master gardener certifications (indicator).***							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-Year Post Project
85% of 25 community members trained in year 1 will receive certification as master gardeners	Receipt of master gardener certificate at the end of training program	Number of community members certified as master gardeners	0	20	0	20	45
Outputs: Community members trained as master gardeners; community gardens created in 1st year							

Note: It will be helpful to wait to fill out the outputs section of the tracker after you have filled out the OWP. The outputs are directly tied to the milestone activities created in the OWP.

Activity 15 ❖ Project Outcome Tracker

Create an Outcome Tracker for each of your Objectives:

Project Outcome Tracker							
Project Goal:							
Objective 1:							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-Year Post Project
Outputs:							

Trackers for Objective 2 and 3 continue on next page.

Project Outcome Tracker							
Project Goal:							
Objective 2:							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-year Post Project
Outputs:							

Project Outcome Tracker							
Project Goal:							
Objective 3:							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-Year Post Project
Outputs:							

Criterion Three – Approach, Maximum Points: 25

I. PLANNING AND IMPLEMENTATION

1. The application fully describes all tangible resources needed to implement the project including meeting space, equipment, supplies, curriculum, etc. This includes the extent to which the applicant provides details that demonstrate accessibility of existing resources, and a plan to secure and maintain any resource not currently held, which supports successful project implementation.

2. The extent to which the application provides a justification for why ANA funds are necessary for this project to operate, including an explanation of why other funding sources are not available and/or why ANA funds in particular are needed.

3. The extent to which the application effectively describes how milestones activities and outputs included on the OWP will be accomplished. Details reveal planning and preparation for milestone activities and account for all functions and supporting activities, thus demonstrating a fully developed project implementation plan.

4. If applicable, the applicant identifies the need and provides a realistic plan to obtain or has already secured required, licenses or permits to implement the project.

5. The application appropriately identifies the factors that could support or hinder project implementation and effectively explains how these factors will be managed by providing contingency plans designed to minimize interruptions to project progress.

II. COMMUNITY-BASED STRATEGY

1. The extent to which the applicant organization demonstrates a connection to the community being served including an understanding of the target community, and the ability to work with project participants at a level that is appropriate to the project implementation plan.

2. The extent to which the application includes the appropriate level of community awareness and readiness to accept and participate in the project to the extent necessary for successful implementation including feasible outreach and retention plans where applicable.

3. The application emphasizes the community strengths that will support project implementation, how weaknesses will be overcome and where applicable demonstrates how the project will take full advantage of opportunities to increase local and organizational capacity.

4. The application describes a feasible plan for sustaining positive project outcomes after the project has ended, including strategies to ensure such outcomes are accepted and agreed to by the community, and where applicable, strategies that support sustainability through the on-going involvement of community members.

5. The extent to which project outcomes will support long term benefits to the target population.

I-LEAD ONLY—One additional sub-criterion
6. The application describes a structure to ensure opportunities for Native youth to provide meaningful input and feedback regarding project achievement in relation to the goals of youth participants.

The Approach section provides information about how the project's milestone activities will be implemented with regard to each objective. It is important to provide a concise narrative that presents enough information, so anyone can clearly understand how the project will successfully be implemented from beginning to end consistent with the work plan. In addition, the approach narrative describes your overall community-based strategy, addressing community involvement, community strengths, and the sustainability plan for your project.

In scoring the Approach section, reviewers will consider the two major sub-criteria:

1. Planning and implementation
2. Community based strategy

Note: It is highly recommended that you fill out the OWP before writing out your Project Approach. It is much easier to write the explanation of the milestone activities, staffing and timelines for your Approach after the outline in the OWP has been created.

I. Planning and Implementation

1. Tangible Resources

1. The application fully **describes all tangible resources** needed to implement the project including meeting space, equipment, supplies, curriculum, etc. This includes the extent to which the applicant provides details that demonstrate accessibility of existing resources, and a plan to secure and maintain any resource not currently held, which supports successful project implementation.

In this sub-criterion, clearly explain the tangible resources necessary to carry out the project. "Tangible" resources are real property and moveable property. List such items as land that will be used in project implementation and facilities that will house project activities. Also list equipment—cars and trucks are examples of equipment. You should include computers, phones and fax machines. A rule of thumb to use in describing tangible resources is, "If you can touch it, it's tangible". Identifying all resources necessary to successfully implement a project is a key component of planning and implementing a successful project. Determining which resources, you currently have and those that are still needed helps in determining funding needs, as well.

When you reach out to community members and organizations to explore community conditions that are barriers to long range goals, use that opportunity to also identify assets and resources in the community. Use the community assessment tools for identifying conditions impacting the community to also inventory resources that could be used to reduce or eliminate those conditions. Existing resources and assets should be the foundation of project development. This analysis should include the resources found within the community and your organization, as well as resources available from surrounding communities and partner organizations. In your discussion of tangible resources, it is important that you demonstrate you have thought of everything that is necessary to successfully implement your project.

Partners are entities that are invested in the success of your project. Internal partners (from your organization) and external partners (from other organizations) are valuable resources in project planning and implementation. External partners can bring experience, expertise and resources to the project that fill gaps in your organization's project management capacity and/or in specific skills needed for the project. Effective partnerships benefit all parties—you and your project as well as the partners and their own program operations. Strong, sustained partnerships can be a valuable part of project planning, implementation, management, and sustainability. This support can be in the form of Non-Federal funding for the project or leveraged resources.

Leveraged resources often come from partners. These resources can support and expand project operation and be used to continue project benefits when start-up funding has ended. Leveraged resources are funds, goods and services that your organization and community or partner organizations provide to enhance and sustain project operation. Leveraged resources can be federal or non-federal. They are resources that are used to expand and sustain the project or key project elements. They are not part of the project budget.

In our Healthy Food Production project, the resources that could be used for project implementation include:

Resource	Benefit to Potential Project	Cost/Value ($)
Human		
Community gardeners	Mentors to trainee master gardeners and greenhouse growers	$20 per hour/100 hours each
Trainee master gardeners and greenhouse growers	Establish community and hothouse gardens and train community members in gardening techniques	$15 per hour/100 hours per year for 3 years

Resource	Benefit to Potential Project	Cost/Value ($)
Programs/services		
University Extension Service	Technical assistance and seeds/starter plants	$1200
Facility/Equipment/Goods		
Little Lake Community Health Center	6 acres for community garden use and water needed for irrigation (also used as a resource for Objective 3 implementation)	$100 per acre per year
Selby's Garden Supplies	Discount on 2 rear-tine cultivators	Cost value $499 (will provide 2 for the cost of 1)

Activity 16 ❖ Resources

List resources available inside/outside your organization, village or community that will be used in project implementation.

Resource	Benefit to Potential Project	Cost/Value ($)
Human		

Resource	Benefit to Potential Project	Cost/Value ($)
Programs/Services		
Facility/Equipment/Goods		
Other		

2. Justify the Use of ANA Funds

2. The extent to which the application provides a **justification for why ANA funds are necessary** for this project to operate, including an explanation of why other funding sources are not available and/or why ANA funds in particular are needed.

Describe what barriers have made it difficult to resolve the situation identified in the current condition statement. Do not engage in a discussion of why you need resources from a funding organization to implement the project. Your reasoning behind applying to ANA for funding should stem from the need to address other barriers. Describe the nature of your community condition and what prevents you from problem-solving on your own. These will inform you on where ANA funds should be applied.

Examples of barriers can include:

• Geographic isolation • Organizational capacity limitations • Unskilled workforce • Limited language use/knowledge	• Infrastructure limitations • Community indifference/resistance • Inter-generational gaps in knowledge • Limited funding for initial project start-up

Show how those barriers have made it difficult to address the current condition on which this project will focus. It is important to include data in the description of the challenges.

Once you have identified your community challenges outside of funding, you can then describe why ANA funds are needed and appropriate. To do so, consider the following:

- ANA provides funding for project start-up. Many other funders require that you have an operation in place with a proven track record before they will fund you.
- ANA provides funding for planning for such projects as comprehensive community plan development, facility development, site planning and marketing analysis that are part of an existing business or long-range development plan. Many funders expect these planning activities to be completed prior to their consideration of an application.
- ANA funding supports cultural preservation projects that are specific to Native communities. Few other funders provide those opportunities.

When justifying the use of ANA funds, you need to include a discussion of why other potential funding sources for the project aren't feasible and/or why ANA funds are needed for the project you are proposing.

Activity 17 ❖ Justify the Use of ANA Funds

List barriers you will need to address along with current data to support your claims:
Are there other funding sources suitable to be used for your project? If so, list reasons why you are unable to access those funds for the project.
List reasons ANA funds are needed for the project.

3. Milestone Activities and Outputs

3. The extent to which the application effectively describes how **milestones activities and outputs** included on the OWP will be accomplished. Details reveal planning and preparation for milestone activities and account for all functions and supporting activities, thus demonstrating a fully developed project implementation plan.

Fully describe how you will accomplish the milestone activities and outputs outlined in the OWP. This should be written from a management perspective for successful implementation. It will help to have a completed OWP handy when writing the Approach narrative since the two components should align closely. It's important to provide the details for carrying out the milestone activities. Include the decision-making process that went into choosing your approach and why this approach will work for your project and community as opposed to alternative approaches.

In this section, fully describe the milestone activities, who is responsible for completing each activity and the timeline. When writing the narrative, keep in mind it should complement the information in the OWP, not simply repeat it. The following is a brainstorming chart for the initial milestone activities and outputs of the Healthy Food Production project. Under each activity are tasks that must be addressed in the narrative discussion of milestone activities and their implementation.

Milestone Activity	Tasks	Outputs	Responsible Lead	Timeline
Secure and hire project positions using organization personnel procedures, i.e. advertise for and hire project coordinator, 4 community gardeners as mentors	• Meet with Human Resources to initiate hiring procedures using the position description, pay range, qualifications described in the application • The scope of advertisement and application review and interview process as set forth in current policies • Start dates and orientation scheduled	Project coordinator hired and provided with organizational/ project orientation	Health Center Director	Month 2
Create project steering committee to oversee project implementation and maintain community involvement	• Compose steering committee • Determine frequency of meetings, reviews, and reporting responsibilities	Steering committee created that represents community and partners	Health Center Director (membership may be altered in consultation with project coordinators and initial appointees)	Month 2
Set up project office and other project-related sites and begin purchasing equipment supplies and materials needed to implement the project	• Research what is needed • Research what can be obtained in house • Purchase/requisition office furniture and materials • Purchase farming materials supplies and equipment • Make sure all appropriate purchase documentation is on file in project office and in accounting files	Office fully operational; supplies purchased; greenhouse operational; materials and equipment purchased as needed	Project coordinator	Month 3

Note: ANA does not fund projects that require feasibility studies, business plans, marketing plans or written materials such as manuals that are not an essential part of the applicant's long-range development plan.

Note: If your project involves funding for operation of a business (start-up or existing), the FOA requires you to include a business plan. There is more information about the components of business plans in the appendix.

Activity 18 ❖ Milestone Activities

Brainstorm your milestone activities by beginning to list some here. Include the corresponding outputs, the person responsible for ensuring implementation, and the timelines for completion. In the first column, also include the tasks that must be carried out for each milestone activity. This will provide you with a summary of the information you will include in this section of the application narrative.

Milestone Activity	Tasks	Outputs	Responsible Lead	Timeline

Continued on next page.

Consider the narrative for these activities and their tasks. Don't just list them again. Using the three milestone activities you listed, and the tasks attached to each activity, provide more detailed information on the step-by-step process you will use along with the reasoning behind your decision to perform these activities.

4. Planning for Permits and Licenses

4. If applicable, the applicant identifies the need and provides a realistic plan to obtain or has already secured required **licenses or permits** to implement the project.

Not all applications will require these elements. Be sure to briefly summarize how you will obtain the licenses or permits needed along with their relevance to successful completion of the project.

Activity 19 ❖ Optional Licenses or Permits

Describe licenses and permits required for the successful completion of the project, if applicable.

Why are they needed for the project?

Explain whether you have them secured or describe your plan to obtain them during the project. Also explain any challenges that could delay getting the permits/licenses.

5. Contingency Plan

5. The application appropriately identifies the factors that could support or hinder project implementation and effectively explains how these factors will be managed by providing **contingency plans** designed to minimize interruptions to project progress.

Good project planning includes a discussion of potential project challenges and how they would be resolved if encountered. Unplanned events often get in the way of milestone activity implementation and create delays that could impact accomplishing the project on time and within budget. A well-planned project is one in which the organization has tried to anticipate and develop a plan to address potential challenges. These challenges are generally outside of the control of project management and are not resolved by every day standard business practices of the organization.

For each project challenge that has a significant risk of delaying or stopping project progress, you should develop an alternate, or go-to, plan that will minimize project disruption. These alternatives make up the project contingency plan. Identification of potential challenges and development of a contingency plan should be done by individuals closely working on the project's development in consultation with staff and partners who would be involved in plan implementation.

What possible challenges could impact your proposed project? How would you resolve them? Write your assumptions, anticipated challenges, and the proposed solutions below.

For example:

Critical Issue: Hiring Delays

Possible Problem: Issues hiring all personnel for the project as indicated in the OWP due to either lack of qualifications required and/or willingness to work for pay scale set for the position.

Contingency: Re-advertise using a larger recruitment area. Also advertise in trade-specific publications. Research County and State pay ranges for the positions while re-advertising and explore methods for adjusting the pay if necessary. The Project Director and Department Head will fill in while hiring if the process is delayed.

Activity 20 ❖ Identifying Essential Contingencies

Identify issues that are essential to your project's implementation and that require a contingency plan.

Critical Issue 1: Possible Problem: Contingency:
Critical Issue 2: Possible Problem: Contingency:
Critical Issue 3: Possible Problem: Contingency:
Critical Issue 4: Possible Problem: Contingency:

II. Community-Based Strategy

1. Community Connection

1. The extent to which the applicant organization demonstrates **a connection to the community being served**, including an understanding of the target community, and the ability to work with project participants at a level that is appropriate to the project implementation plan.

Connection to the community is essential for successfully implementing a project. It demonstrates to the funding agency that you have an established relationship with the community. That relationship is critical in alleviating issues during project implementation in areas such as participant recruitment, community investment in the project and overcoming implementation challenges.

Earlier, we talked about conducting a community assessment to identify conditions in the community that community members wanted to change and resources in the community that could be used to develop a project to carry out that change. The information gained through the assessment is used to build consensus regarding the community concern that will be addressed and who will benefit from the improved condition that will occur. It also is a process that you should use to build ties with the community and any subset of the community that will be the project beneficiaries. Design the project to engage the community and beneficiaries and to ensure that project participants are involved in project implementation.

Remember that community assessments can easily lose focus and effectiveness if the community and beneficiaries do not believe that their involvement will be used to develop and steer the project and that the project will not benefit them.

One of the most challenging aspects of project planning is building community involvement into that process. Use of a Steering Committee made up of representatives of project stakeholders (beneficiaries, partners, community leaders and community members) is a good strategy for reaching out to those groups and keeping them engaged in project development. Community review of and recommendations on project design issues should occur regularly throughout the planning process. That engagement provides a means to design a project that best addresses the condition that the community wants to see changed.

Sometimes the community most engaged in project planning is a subset of the overall community. The community subset might be the community elders, local school student population, Tribal Temporary Assistance for Needy Families (TANF) recipients, or any of the definable sub-populations found in your community. The population of an organization also can be described as a community. Employees working for a specific tribe or Native non-profit are a community. Community-based planning is a process for engaging members in effective project development in all these sets of communities.

Activity 21 ❖ Knowledge of and Plan to Work with Participants

Describe work you have done in the beneficiary community and your relationship with project beneficiaries prior to and as a result of working on this project. How will you build on that relationship in developing and implementing this project?

2. Community Awareness and Readiness

2. The extent to which the application includes the appropriate **awareness and readiness** to accept and participate in the project to the extent necessary for successful implementation including feasible outreach and retention plans where applicable.

Describe how you plan to maintain community involvement in the project's implementation phase. The project steering committee is a useful tool for engaging the community in reviewing project activities and assessing how effective those activities are in resolving conditions the community want to see reduced or eliminated. If a steering committee is a tool you use in that process, ensure that all project stakeholders are represented on the committee and that each stakeholder is supported in keeping connected with constituents and reporting constituent recommendations on project revisions/improvements to the full committee and staff.

To maximize results of the steering committee process, **keep and share records of committee discussions and recommendations.** It is important to document steering committee recommendations as well as recommendations from specific constituencies represented on the

steering committee (beneficiaries, partners, residential community, special interest community, community leaders) as these documents provide a record of concerns, positions, and decisions that can improve project operation and maintain project credibility with the community.

Another strategy for increasing the level of community participation is to build ongoing relations with groups that already exist and meet in the community, such as cultural, school and parent, artisan, elder and youth groups. Many communities also have organized public meetings that are part of their governance activities. Attending these pre-established meetings and informally collecting information from them or asking to be part of meeting agendas and gathering information through that approach can build community involvement in project implementation.

Build social capital (trust and communication networks) with community functional leaders to get their perspective on project operation and effectiveness. Meeting with people who are knowledgeable about the community, such as elders and community leaders, is an effective way to collect valuable information. These people are functional leaders and can also help in connecting with and encouraging the involvement of others.

Activity 22 ❖ Continued Community Involvement

Describe your planned community involvement during implementation and beyond.

Continued on the next page.

To what extent is community involvement necessary for successful completion of this project?

What is your recruitment and retention plan for participants?

3. Community Strengths and Increasing Capacity

3. The application emphasizes the **community strengths** that will support project implementation, how weaknesses will be overcome and where applicable demonstrates how the project will take full advantage of opportunities to **increase local and organizational capacity.**

One strategic planning tool that many communities use is called a SWOT analysis. The “S” and “W” stand for Strengths and Weaknesses (assets and vulnerabilities in your organization/community). The “O” and “T” stand for Opportunities and Threats (possible areas to take advantage of and possible areas of high risk outside your organization/community.) SWOT analysis looks at both the internal and external conditions that will have both a positive and negative impact on achieving the project’s objective(s) and ultimately the success of the

project. In your application, focus on exploring the strengths, weaknesses and opportunity dimensions of a SWOT analysis within the Approach section of the application that address the community strengths and increasing capacity. Address the Threats dimension of the SWOT analysis within the section of the application that addresses project challenges and contingency plans. It is very important to include this information in the application as it indicates the level of planning and consideration for the proposed project.

Below is an example of a Strengths, Weaknesses, Opportunities and Threats analysis based on the project described in the manual.

	Internal Assets	**External Assets**
Positive Dimensions	Strengths: (Assets of the Community and Organization that build a project foundation) Example: • Excellent accounts management system • 105 acres of agricultural land	Opportunities: (External assets that help build the project foundation) Example: • Partnership with Cooperative Extension Service • Membership with State Farming Association
Negative Attributes	Weaknesses: (Attributes of the Organization that hinder achieving the objective) Example: • Limited expertise in data collection • No heavy equipment for farming	Threats: (External conditions that could damage the project) Example: • Unexpected rise in material costs • Damage to crops from storms/pest infestation/drought

Here are some additional questions that can get you thinking about your own SWOT Analysis*.

Strengths:

- Does the organization have all the necessary talent in-house?
- Is the budget sufficient to complete all the tasks involved?
- What are the benefits of completing the project?
- Has the project manager handled similar projects in the past?
- How experienced are the team members?

Weaknesses:

- Does the organization have the resources to provide contingency funding?
- If the team doesn't have all the necessary skills, what areas need to be outsourced?
- Is the schedule realistic?
- What are the potential drawbacks of the project?

Opportunities

- Will this project take advantage of competitor weaknesses?
- What are the latest trends in the industry?

- Are there new technologies that the organization should be aware of?
- Can this project help in different areas of the business (tribe or organization)?

Threats:

- Are the team members difficult to replace?
- Has the new technology (if it will be applied) been tested?
- Could changing trends affect the project?
- Can the capability be copied by competitors?

*(https://project-management.com/why-you-should-do-a-swot-analysis-for-project-management/)

Activity 23 ❖ Strengths and Weaknesses

Complete your own SWOT analysis.

	Internal Assets	**External Assets**
Positive Dimension	Strengths: (Attributes of the Organization that help achieve the objectives) Your Analysis:	Opportunities: (External conditions that help achieve the objectives) Your Analysis:
	Internal Assets	**External Assets**
Negative Dimension	Weaknesses: (Attributes of the organization that hinder achieving the objectives) Your Analysis:	Threats: (External conditions that could damage the project) Your Analysis:

4. Sustainability Planning

4. The application describes a feasible **plan for sustaining positive project outcomes** after the project has ended, including strategies to ensure such outcomes are accepted and agreed to by the community, and where applicable, strategies that support sustainability through the on-going involvement of community members.

Sustainable, as used by ANA and other funders, is usually defined as:

- the continued benefits for individuals or the community after the initial program funding ends through capacities built during the project period; or,
- the continuation of program activities by incorporating those activities into an organization's operation (often termed "institutionalization" or "routinization"); or,
- the increased capacity of a community or organization to continue program activities and benefits through leveraged resources, or the continuation of those activities using revenues generated by the project.

Sustainability does not mean that a project will continue in its initial, start-up form. Project benefits/outcomes are usually the focus of a sustainability plan. An effective sustainability strategy should be built into the project design and create a set of outputs and outcomes that become a norm for the community or the organization.

The more a community is involved in identifying the concern that a project will address, is engaged in project design and is involved in project implementation and benefits from the project, the greater the sense of ownership the community will have in the project. Project ownership by the community and the support for sustainability that it creates may be the most effective method for ensuring longevity. We have emphasized the importance of community-based planning throughout this training. We are emphasizing it again—this time as an important element of a sustainability strategy.

Example: Capacity Building and Quality Control Sustainability
The mission of the local Cooperative Extension Service is to assist individuals aiming to maintain or exceed levels of agricultural yield. Once the project is completed we will actively continue our partnership with the local Cooperative Extension Service. The Service will allow current members working on the project to remain abreast of agricultural issues in the area, while helping to train new members in proven local strategies for successful growth of crops. Human capital is our most important resource for sustaining the benefits of the project.

Example: Community-based Sustainability
The Little Lake Healthy Foods project is built on and operated through the support and involvement of community members. The work that they carryout in our community gardens and green house operations directly benefits them through reduced dependence on high priced produce that often is not accessible locally. Surplus produce will be sold and programmatic income from the sale of the crops will be used to purchase supplies for the next season.

Activity 24 ❖ Sustainability Planning

Write your sustainability plan:

What methods did you choose to ensure sustainability?

Method	Write Yes or No, if it applies to your plan
Institutionalization/Routinization	
Leveraging Resources	
Developing Partnerships	
Foundation Funding	
Grant Funding	
Corporate Funding	
In kind contributions/donations	

5. Outcomes and Long-Term Benefits

5. The extent to which project **outcomes will support long-term benefits** to the target population.

In your response to this FOA sub-criterion, explain how the project impacts (long-term outcomes) will be sustained within the community after your ANA project funding ends. This can be through the continuation of activities in the form of a program, the continued use of the product(s) developed, or a combination of both. You have already addressed the question asked by this sub-criterion in your discussion of a sustainability plan and in your presentation of indicators.

Use an indicator from **Activity 15** to complete this activity. Project the indicator level 5 years and 10 years after the project completion date. Explain the strategy for sustaining the indicator through this post-project timeframe and the justifications for your projected indicator levels at the 5th and 10th year after the project's completion.

Activity 25 ❖ Long-Term Benefits

1. Review your outcome indicator and measurement in Activity 15, then describe how your project outcomes will enable long-term benefits to be achieved and sustained:

2. Provide your rationale for the levels of increase that you projected for the indicator:

Note: I-LEAD includes an additional sub-criterion under Community Based Strategy that requires meaningful input and feedback on the project in relation to the goals of the participants. The sub-criterion states:

3. The application describes a structure to ensure opportunities for Native youth to provide meaningful input and feedback regarding project achievement in relation to the goals of youth participants.

Criterion Four – Personnel, Partnerships, and Organizational Capacity, Maximum Points: 15

1. The application documents an organizational executive leadership and staffing structure that will support full program implementation at the start of the grant award, including indication of the (permanent or temporary) PI/PD, identification of project staff, and/or a realistic timeframe and strategy for filling any vacant positions, as well as feasible contingency plans to fill and maintain all critical positions.

2. The extent to which the application indicates that the combined experience of the proposed project director, key project staff, and key partnerships demonstrates sufficient relevant knowledge, experience, and capabilities (shown by resumes or curricula vitae) to carry out and manage a project of this topic, size, scope, and complexity.

3. Details a plan to ensure the effective management and coordination of activities by any partners, contractors and subcontractors, and consultants, including third party agreements or contracts where applicable, as well as contingency plans for key partnerships that are critical to the accomplishment of project activities (if applicable).

4. Describes a plan for proper oversight of federal award funds, including the identification of staff and internal controls for financial management, demonstrated knowledge or experience in following federal cost principles, proper and timely disbursement of funds, and accurate accounting practices.

5. The extent to which the application identifies adequate time, staff, and resources to conduct the Outcome Tracking Strategy. The strategy is feasible and will result in effective project monitoring and evaluation that accurately tracks progress toward achieving project outcomes.

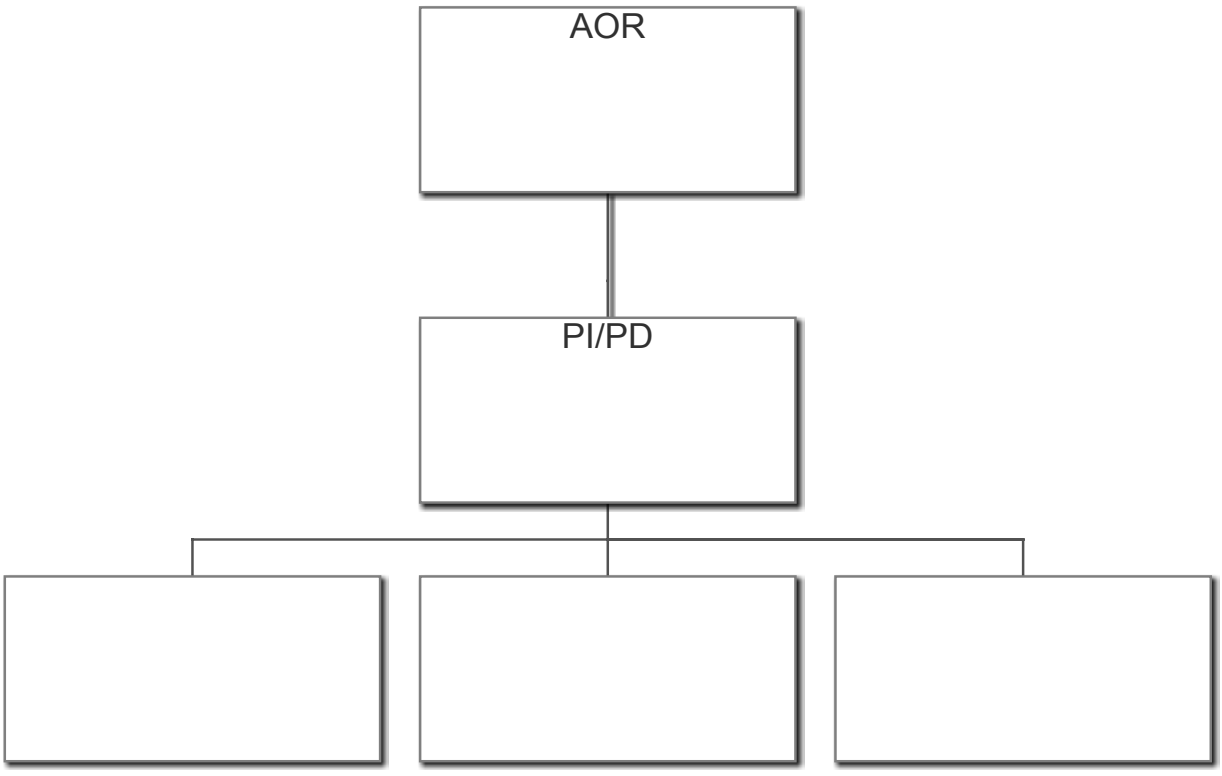
1. Leadership and Staffing

1. The application documents an **organizational executive leadership and staffing structure** that will support full program implementation at the start of the grant award, including indication of the (permanent or temporary) PI/PD, identification of project staff, and/or a realistic timeframe and strategy for filling any vacant positions, as well as feasible contingency plans to fill and maintain all critical positions.

Provide an overview of your organization's leadership, as well as your program, administrative, and financial staff. Indicate who the project director/manager will be and if they are an existing staff member, as well as any other project staff. For positions that will be new hires, describe your organization's hiring/recruitment process and the timeframe for filling the position. Include an organization chart in your attachments that displays the structure of the entire organization and shows where the project fits within that structure. Be sure to illustrate your organization starting at the executive level. Additionally, include a contingency plan for filling and retaining key positions.

Activity 26 ❖ Leadership and Staffing – Organizational Chart

Complete this organizational chart for your proposed project (modify as necessary or develop your own version):



Activity 27 ❖ Leadership and Staffing – Staffing Plan

Complete a staffing plan for your project that identifies all key positions, including both *programmatic* as well as key *administrative* and *financial* staff, their position titles, their primary responsibilities or functions on the project, the time they are committing to the project in terms of full-time equivalency, and the status of their positions.

Note that ANA requires that both the AOR (Authorized Organizational Representative) and PI/PD (Principal Investigator/Project Director) be identified, and they should not be the same individual. The following functions must be assigned to either the AOR or the PI/PD:

- Monitor overall project progress
- Maintain oversight of program reporting
- Maintain oversight of staff and partners

Title of Position	Who (First and Last Name)	Primary Responsibilities / Functions	Hours / FTE	Status (Available or Expected Date of Hire)
AOR		• Official signing responsibility • _____ • _____		
PI/PD		• _____ • _____ • _____ • _____		
		• _____ • _____ • _____ • _____		
		• _____ • _____ • _____ • _____		

Title of Position	Who (First and Last Name)	Primary Responsibilities / Functions	Hours / FTE	Status (Available or Expected Date of Hire)
		• _____ • _____ • _____ • _____		
		• _____ • _____ • _____ • _____		
		• _____ • _____ • _____ • _____		
		• _____ • _____ • _____ • _____		

Activity 28 ❖ Leadership and Staffing – Staffing Contingency Plans

The following is an example of the layout for a potential staffing contingency plan; your version should include specific information about the positions and personnel on your own project.

Provide an example of a staffing contingency plan—specific to your project—for one or more key personnel:

Staffing Contingency Plan for a Key Position
Activity:
Challenge:
Contingency Plan:

The next two exercises deal with contingency planning for critical project start-up issues related to key personnel. Addressing these in your application can demonstrate a well thought out approach to managing your project and demonstrate managerial capacity.

Staff that are hired to coordinate and implement new projects often are given an orientation on expected performance and organization policies as an employee of the organization. All too often they are not given an orientation on the framework, scope and operational details of the project on which they will be working. This can cause substantial delays in initiating project activities as new staff grapple with implementation and operational complexities that could have been dealt with much more effectively had new staff known more about the project's interface with internal and external partners and the project beneficiaries.

Activity 29 ❖ Ensuring Full Implementation at Start-Up

Describe how your management and existing staff will provide new staff with a comprehensive orientation on the project. If existing staff will be used in the project, describe the orientation they will receive to the responsibilities of their new position.

Also indicate how the permanent or temporary Principal Investigator/Project Director will be designated. That position will be the official contact point for ANA regarding the project.

Project start-up is one of the most critical, if not the most critical segment of a project's life-time. Delays in hiring key staff, loss of key partners and loss of resources that were planned for use in start-up are not uncommon factors in the start-up period. When those problems occur, project implementation can stop, often for an undetermined period of time. Those delays can create substantial problems in project implementation. Some projects never recover from the impact of those delays.

Continued on next page

In the space below, describe how people in leadership positions and staff that will have a close working relationship with the project will ensure the project activities are kept on schedule until any hiring issues that could potentially delay start-up are resolved.

2. Organizational Experience

2. The extent to which the application indicates that the **combined experience of the proposed project director, key project staff, and key partnerships** demonstrates sufficient relevant knowledge, experience, and capabilities (shown by resumes or curricula vitae) to carry out and manage a project of this topic, size, scope, and complexity.

You must be able to demonstrate that your agency and staff who will be hired to carry out the project workplan and participating partners have the capacity to successfully carry out the project. An assessment of those capabilities will include a review and discussion of:

- your organization's experience;
- reference to the staffing plan that will be used to manage the project;
- partner capabilities and any resources they are committing and;
- gaps in expertise where consultant(s) or third party specialized assistance may be necessary.

To begin the organizational assessment, analyze and evaluate the project and financial management structures you have in place. Review the overall administrative structure and the systems used by your organization to track project financial and programmatic components. Ensure your tribe or organization has the capacity to administer and implement a project of the scope and focus being developed. Determine where in the organizational structure the project would be located. Graphically map out the project location through an organizational chart (refer to Activity 26). Assess how it fits into the current organizational structure and its relationship(s) to existing programs and projects.

Activity 30❖ Assessing Current Capabilities

Program Administration Requirements	Current expertise to implement project?	Project Management Staffing Plan Outline a strategy for meeting this requirement: identify the personnel, partners, organizations, and/or consultants who will help your organization to comply

Activity continued on next page

Financial Administration Requirements	Current expertise to implement project?	Fiscal Management Staffing Plan Outline a strategy for meeting this requirement: identify the personnel, partners, organizations, and/or consultants who will help your organization to comply

Don't forget to provide a brief biography for each of the key personnel, partners and consultants. The biography should include: knowledge, experience, and capabilities to carry out the duties delegated to them in the project. Be sure to highlight instances where their individual experience is on projects of similar scope, size, and complexity. Be sure to include in the appendix one-page resumes and job descriptions, referencing both in the project narrative. Include job description(s) outlining the educational and experiential requirements necessary to carry out project positions in the appendix, as well.

Note: Resumes for personnel already selected for the project should be included, along with Letters of Commitment from them assuring their participation.

Activity 31❖ Principal Investigator/Project Director Biography

Example:

Name:	Joe Gardner
Areas of expertise including years of experience:	15 years as a commercial vegetable farm gardener, 5 years certified organic gardening, 10 years managing the harvesting, packing and sales of produce, 10 years negotiating direct sales with retail stores.
Education:	Bachelor of Science in Agricultural Business Management

With the information above, write a sample biography.

Activity 32 ❖ Organizational Experience – Past Performance

It is a good idea to demonstrate that your organization as a whole has had previous experience implementing similar projects. In the following activity, identify up to two (2) previous projects that demonstrate your organization's experience implementing similar projects.

Name of Project	
Brief Description	
Project Director	
Amount of Award	
Lead Funding Agency	
Year Awarded	
Project Status	
Other Comments	
Name of Project	
Brief Description	
Project Director	
Amount of Award	
Lead Funding Agency	
Year Awarded	
Project Status	
Other Comments	

3. Management and Coordination

3. The application details a plan to ensure the **effective management and coordination** of activities by any partners, contractors and subcontractors, and consultants, including third party agreements or contracts where applicable, as well as contingency plans for key partnerships that are critical to the accomplishment of project activities (if applicable).

Partners are entities that are invested in the success of your project. Internal partners (from your organization) and external partners (from other organizations) are valuable resources in project planning and implementation. External partners can bring experience, expertise and resources to the project that fill gaps in your organization's project management resource base. Effective partnerships benefit all parties—you and your project as well as the partners and their own program operations. Strong, sustained partnerships can be a valuable part of project planning, implementation, management, and sustainability.

Consultants can fill expertise gaps and help build organizational capacity. If a consultant is required, develop a Request for Qualifications (RFQ) statement that presents the specific performance expectations and assistance needed from a consultant. Use the RFQ to develop an inventory of potential consultants that you could use to solicit proposals for assisting with the project. Depending on the level of their organizational capacity, some tribes and organizations move directly into a Request for Proposals (RFP) process in selecting consultants. Engage in a selection process that ensures consultants can carry out the responsibilities that are detailed in an RFP. (An added benefit to the RFP process is obtaining a cost quote in the response to your RFP to help with budgeting.). Your project approach and organizational capacity discussion should clearly describe the consultant's responsibilities. It also should specify how and from whom consultants will receive direction and supervision.

Include statements of qualifications for proposed partners or consultants that document their expertise to perform their assigned project tasks. Ensure information from potential consultants and partners clearly indicate that they understand and commit to the responsibilities outlined for them in the planning and implementation sections of the application, as well as in the OWP. If consultants are to be selected through a competitive process, include information on qualifications that will be expected in the successful candidate. ANA encourages the use of Native and tribal preference in these selection processes.

Activity 33 ❖ Partnerships and Consultants Management Plan

List partners that will help with project implementation	What qualifications will partners have?	How will this partnership help support the project?	How will this partnership be maintained?

Continued on next page.

In what area will consultants be needed?	How will consultants be selected and what will be their qualifications?	What work will consultants do?	How will oversite on consultant work be maintained?

4. Financial Management

4. The application describes a plan for proper **oversight of federal award funds**, including the identification of staff and internal controls for financial management, demonstrated knowledge or experience in following federal cost principles, proper and timely disbursement of funds, and accurate accounting practices.

Provide details on how the project manager and project fiscal staff will coordinate to maintain programmatic and financial records. Describe how they will collaborate in preparing biannual Objective Progress Reports and SF 425 fiscal reports for ANA. Document your history of successful financial management activities. Attach documents, such as an auditor's letter, indicating that your organization's fiscal records are maintained in accordance with the Generally Accepted Accounting Practices standards, as part of that documentation.

Activity 34 ❖ Oversight of Federal Funds

In the space below, provide a detailed description of how your program and fiscal staff collaborate to ensure effective fiscal management of federal funds.

Continued on next page.

Provide a brief description of the organization's policies and procedures relevant to providing internal financial management of projects.

5. Monitoring and Evaluation

5. The extent to which the application identifies adequate time, staff, and resources to conduct the Outcome Tracking Strategy. The strategy is feasible and will result in effective **project monitoring and evaluation** that accurately tracks progress toward achieving project outcomes.

Example: By end of project, our community will have access to fresh healthy produce. Means for tracking this outcome are to collect data using an Excel spreadsheet related to annual yield of each crop, number of people trained to farm, marketing strategies, and sales to the general community, schools and elderly facility. Data will be compiled and analyzed monthly by the Project Coordinator to ensure the project is on track for success and to make any necessary adjustments due to delays in planting or training.

Additionally, any adjustments made in the types of crops planted due to harvesting times will be recorded, along with information on yields. Each of these data related activities has been allotted time in the OWP as well as personnel time in the budget. Additionally, a consultant

has been budgeted to enhance the skills of our personnel in this area and ensure the data is viable and accurate.

Lastly, 4 copies of MS Office Professional have been included in the budget to ensure everyone is using the same updated software, eliminating possible compatibility issues. Excel spreadsheets used for project data tracking will be provided to all staff. The information we intend to collect will be thoroughly reviewed during our project orientation and in our bi-monthly staff meetings.

Activity 35 ❖ Ongoing Process Improvement

In addition to evaluating the final project results (outputs) and benefits (outcomes), you should regularly monitor and evaluate the project's progress in carrying out work plan activities, completing project objectives, and staying within the approved project budget. This "process evaluation" determines if the project is being conducted in a manner consistent with the proposed work plan and whether or not the project activities will lead to the success of the project.

Activity 36 ❖ Monitoring and Evaluation

A primary tool to use in monitoring ANA projects is the "Outcome Project Tracker" you worked on earlier in Activity 15. Use the chart below to list project outcomes, indicators and measurement criteria. Provide information for how each project outcome will be tracked. In the second part of the exercise, describe how evaluation will be used to improve project implementation.

Outcome	Indicator(s)	Means of Measurement	Documentation Used for Evaluating Progress	Frequency of Collection	Time Required to Collect	Staff Responsible for Collecting

Describe how you will use the information you collect to revise and improve project operation.

Criterion Five – Objective Workplan, Maximum Points: 15

1. Directly reflects elements from the project narrative by consistently stating goals, objectives, outcomes, outputs.

2. Provides details and information about the how, when, and by whom, activities described in the project narrative will be completed, so that the implementation plan is completely described.

3. Includes a maximum of 25 Milestone Activities for project implementation, which demonstrate a logical progression from start to finish of key steps needed to accomplishing project objectives.

4. The timeframe for the completion of activities is realistic and relevant for effective project implementation.

5. The extent to which milestone activities are clearly and logically linked to the appropriate project output, and all significant project outputs are supported by milestone activities in the OWP.

What is an OWP?

ANA requires the use of the Objective Work Plan (OWP) and considers it a blueprint for the project approach which outlines how each objective and its outcome will be accomplished through the completion of Milestone Activities, the Outputs of those activities, the Start and End timeframes to complete the activities as well as the Lead and Support Staff who will conduct the activities.

You will have one OWP for each year and each objective of your project. ANA allows a maximum of three objectives. If you are planning a three-year project with the maximum allowable objectives, then you will have nine total OWP forms, assuming you work on each of the three objectives each year.

You must consider the logical sequencing of events based on your Milestone Activities. If you have a three-year project with three objectives, for instance, then it may make logical sense to complete Objective 1 in year one then start Objective 2 and 3 in year two. In which case, you will only have five OWP forms in your application. You will have one OWP form for Objective 1 Year 1, and two forms in both the second year (Objective 2 and Objective 3) and the third year (Objective 2 and Objective 3).

Note: The project period for the individual program areas is as follows:

- SEDS and SEDS AK: September 30 – September 29
- EMI and P & M: July 1 – June 30
- ERE: September 30 – September 29
- I-LEAD: September 30 – September 29

Sample Objective Work Plan (OWP)

Project Title: Fresh organic produce for healthy community

Project Goal: Increase the availability and accessibility of fresh fruits and vegetables to community members

Project Year: One

Objective #1: By the end of 12 months, the Center will 25 train community members to be master gardeners and greenhouse growers with 85% of those trained earning master gardener certifications.				
Outcome: 85% of 25 community members trained will receive certification as master gardeners.				
Milestone Activities	Output	Project Staff	Start Date	End Date
Advertise for and hire project coordinator and other project personnel	Project coordinator hired and provided with organizational/ project orientation	Health Center Director Partners	9/30/18	11/14/18
Create project steering committee to oversee project implementation and maintain community involvement	15-member steering committee that represents community and partners	Health Center Director (membership may be altered in consultation with project coordinators and initial appointees)	10/1/18	11/14/18
Identify and recruit 4 community gardeners to serve as mentors to Master Gardener trainees	Four members with gardening experience recruited	Project coordinator Assistance from Steering Committee	1/11/18	3/15/18
Create training for Master Gardeners in such areas as basic botany, entomology, and plant disease, climate considerations, soil types	8-week training program created	Lead Cooperative Extension Service Support Project Coordinator	1/1/19	2/1/19

1./2. Consistency with Other Elements

1. Directly reflects elements from the project narrative by **consistently** stating goals, objectives, outcomes, outputs.

2. Provides **details and information about** the how, when, and by whom, **activities described in the project narrative** will be completed, so that the implementation plan is completely described.

The narrative elements (goal, objectives, outputs and outcomes, staffing and timeline) should be stated in the same manner throughout the application. For example, do not paraphrase or reword your objectives in the OWP so that they differ from what you stated under Expected Outcomes. Consistency throughout every piece of the application is key.

A blueprint is a plan that shows how to accomplish a task. The OWP is the blueprint used to show the main components of your project in a condensed format. While the OWP provides the basic outline for implementation, the narrative should describe all activities, both the milestone activities and the steps in between, to allow the reader to understand how the project will be accomplished and what basic timelines will be followed. Think of the OWP like a resume that highlights key points about your project, while the narrative is more like a cover letter that should convey the reasoning and methodology behind your project of interest. Both are equally important, and both should be a reflection of the other.

The OWP also requires identifying the lead and support staff for each activity. The lead is the essential person conducting the activity. The lead is not always the project manager, for example, the lead may be the instructor teaching a course or a consultant facilitating a group. The support staff is the person(s) who will coordinate or participate in the milestone activities. An example of this would include a project manager who supports an activity by scheduling and coordinating workshops or a consultant who provides their expertise to project staff who are gathering and analyzing data.

3. Milestone Activities – In the OWP

3. Includes a maximum of **25 milestone activities** for project implementation, which demonstrate a logical progression from start to finish of key steps needed to accomplishing project objectives.

Milestone activities are the main activities needed to successfully achieve each objective. ANA has limited these to a maximum of 25 activities per objective, excluding administrative functions (see below). Each activity should build on the previous one leading to the projected outcome once the objective is achieved. The milestone activities are building blocks that will lead to accomplishing the objectives.

The administrative functions to include, in addition to the maximum 25 milestone activities are:

- Attendance to the Post Award Training (Year 1 only)
- Attendance to the Grantee Meeting (Each Year of the project)
- Quarterly PMS reporting
- Biannual ANA reporting
- Data collection and evaluation

Note: Administrative activities should be included under one objective for each year of project implementation. They should be placed after all milestone activities.

4. Timing

4. The **timeframe for the completion of activities** is realistic and relevant for effective project implementation.

You will be required to enter start and end times for each Milestone Activity into the OWP in the designated column. You will notice that the electronic form only allows hard dates with the mm/dd/yyyy format. The Milestone Activities should be in a logical, chronological order but be sure to give yourself adequate time to complete them.

5. Deliverables

5. The extent to which milestone **activities are clearly and logically linked to the appropriate project output**, and all significant project outputs are supported by milestone activities in the OWP.

When developing the outline of milestone activities include a description of outputs created by the completion of an activity or series of activities. Outputs are products of the project. As we noted earlier, outputs help build the foundation of project objectives. As you work on the exercise of Milestone Activities and outputs in the OWP identify outputs created through activities and list them immediately after describing the activity or series of activities that created the output.

Your outline of key activities and presentation of outputs will identify each major step in each objective's implementation: who will be responsible for and involved with the activity, and its schedule for starting and completion. Show how activities and outputs build upon one another toward achieving outcomes and accomplishing the corresponding objective.

Completing your OWP Form

A fillable, electronic OWP form is located in the Grants.gov application packet. Items included in an OWP are:

- Project title
- Project goal
- The current condition to be addressed by the project
- The project objectives
- Outputs
- Milestone and administrative activities with:
    - Positions responsible for the activity accomplishment (lead and other support) and
    - Begin and end dates (note that the mm/dd/yyyy format is used for dates).

Important Information on completing your OWP:

- ANA limits you to three objectives for the entire project period.
- An OWP form is needed for each year of the project and for each objective.
- The OWP form is expandable and objectives with the maximum number of activities will require more than the one page that is displayed when an electronic OWP form is opened. Add additional lines to the activities section as needed.

Note: In the Grants.gov OWP downloadable form, the gold boxes outlined in red are mandatory fields. These must be filled or the entire application will be rejected for errors. This will be explained in further detail in the Submitting the Application section. To add activities, you will click the "Add Activity" button on the left side of the form. If you miss an activity while filling in the form, you can click the "+" button in between two activities to insert a blank row. In the Grants.gov OWP web form, mandatory fields have a red asterisk (*).

Note: Fill out the SF-424 form first to get the project title to populate the same field on the OWP form.

Activity 37 ❖ Objective Work Plan

Complete a Sample Objective Work Plan (OWP).

Project Title:
Project Goal:
Project Year:

Objective # _:				
Outcome				
Milestone Activities	**Outputs**	**Project Staff**	**Start Date**	**End Date**
1		Lead Support		
2		Lead Support		
3		Lead Support		
4		Lead Support		
5				

Criterion Six – Budget and Budget Justification, Maximum Points: 10

1. The application includes both a detailed and easy to read line item budget and budget justification for every year of the project to fully describe how costs are calculated. The budget justification includes costs estimates and supporting documentation to fully detail costs if necessary.

2. The budget and justification include reasonable expenditures relative to project implementation, aligns with the information in the Approach and OWP describing project activities, and how they will be implemented.

3. The extent to which the requested budget is cost effective and adequately provides the necessary resources to implement the proposed project.

4. The application provides information to demonstrate the commitment for non-federal share contributions.

5. The application includes funds for all required items for the project budget, including travel to post-award and grantee meeting, as described in Section IV.2., The Project Budget and Budget Description (Post Award and Grantee Meeting costs).

1./2. What's in a Budget

1. The application includes both a **detailed and easy to read line-item budget** and **budget justification** for every year of the project to fully **describe how costs are calculated**. The budget justification **includes costs estimates and supporting documentation** to fully detail costs if necessary.

2. The **budget and justification include reasonable expenditures relative to project activities**, aligns with the information in the Approach and OWP describing project activities, and how they will be implemented.

The line-item budget provides detailed, line-item amounts of federal and non-federal resources that will be needed to carry out the project work plan for each budget period of the project. It documents the reasonableness and relevance of costs of the proposed project. A line-item budget is required for each year of your project. For example, a 3-year project would have three individual line-item budgets. The line-item budget should include the following:

- Budget expense using federal object cost categories
- Federal request
- Non-Federal share
- Total

The budget justification describes, in narrative form, the costs needed in relation to the project and provides the calculations used to obtain the dollar amounts noted in the line-item budget for the federal and non-federal resources. Ensure that your written explanations are easy to understand, are tied to activities in the OWP, and are well supported. Explain budget calculations and keep them basic. A line-item budget and a budget justification narrative are required for each year of the project.

It is best to work with your accounting office to gather budget data for your organization (e.g., employee salaries and wages, payroll tax rates, worker's compensation insurance rate/quote, and indirect cost (IDC) rate). If you are requesting an IDC, include a current copy of your organization's federally negotiated IDC rate agreement in the "Other Attachments" section of the application. If your organization does not have an agreement that covers the current period, the applicant can request from the cognizant agency a memorandum stating that the applicant is authorized to utilize the current IDC until the new one is negotiated, or the applicant must request IDC as direct costs. If the organization has not had an IDC, you have two options: (1) you could build in the IDCs (e.g., bookkeeping, office space, audit, and janitorial) as direct costs under the "Other" line item, or (2) you could implement the 10% de minimis rate mentioned in the note box below. It is important to note that if you do implement and apply the 10% de minimis rate it will have to be applied to all federal awards the organization receives.

The budget is closely aligned to the narrative and OWP. You want to avoid including budget items that are not fully explained in the narrative and/or not noted in the OWP. We suggest using your completed OWP to identify budget requirements to implement all the activities for each year to make sure you include all costs to successfully implement your project. Then, go back and make sure everything is fully explained in the narrative.

Note: De Minimis rate can be used if your organization has never had a negotiated IDC rate.

This is 10% of the Modified Total Direct Costs (MTDC) and covers services normally included under an IDC. As described in 45 CFR Part 75.403 Factors Affecting Allowability of Costs, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time. 45 CFR Part 75.414 (f) is the regulation authorizing use of the de minimis rate.

The items that compose the MTDC can be found in 45 CFR Part 75.2.

3. Cost Effectiveness

3. The extent to which the requested budget is **cost effective and adequately provides the necessary resources** to implement the proposed project.

Under this sub-criterion, you will need to explain how the budget request is reasonable for the type of project you will be implementing. Be sure your narrative indicates that the budget request is thoughtful and purposeful: offer explanations as to how you determined the values outlined represent the most cost-effective way to accomplish the activities. Also, convey that price comparisons were performed to ensure accurate projections are being proposed.

4. Non-Federal Share

4. The application provides information to demonstrate the commitment for non-federal share contributions.

ANA requires a 20% applicant match of the total costs per budget period (per project year). This is the amount the applicant needs to contribute to the project. These contributed funds will be directly related to implementing the project, for example, providing office space or supplies, contributing to travel costs, and/or providing salary for project personnel. The applicant match requirement may be in the form of cash or in-kind contributions and can be provided by the applicant or by third parties. These resources cannot include other federal funds unless the legislation authorizing the funds specifically states that they can be used as NFS for other federal awards.

In this section of the application narrative, you will identify each of your resources that will be used for the NFS. Describe the rationale used to assign a dollar value to the service or goods that will be counted towards the in-kind NFS. Provide a description of the documentation you will collect and maintain to verify receipt and use of the NFS.

Note: Be sure to commit only the required 20% NFS that is required. **Committing more than 20% is not beneficial to your application.**

See the following graphic for an example of how to calculate the match requirement.

Calculating ANA Non-Federal Share (20% of the Total Project Cost)	
Step 1	
Federal Request	$ 300,000
÷ 80%	÷ .80
Total Project Cost	$ 375,000
Step 2	
Total Project Cost	$375,000
Federal Request	-$300,000
Non-Federal Share	$ 75,000
Check NFS with 20% Rule	
Total Project Cost	$ 375,000
x 20%	X .20
Non-Federal Share	$ 75,000

Leveraged resources are any resource acquired or used during the course of the project period that supports the project (these are resources that supplement the budget's federal share, non-federal share, and program income). Leveraged resources are not included in the project line item budget or budget justification.

Leveraged resources can come from both federal and non-federal sources. They can include such items as materials, services, equipment, land, supplies, personnel, facility use, and cash. Keep in mind that a firm, long-term commitment of leveraged funds can be a very effective strategy on which to build a project sustainability plan.

Note: If activities are going to be implemented using funds from other sources and not in either your federal or non-federal share, you should explain that in the project narrative. Your score could be impacted if it appears that you have not planned for all costs to successfully implement your project.

Documentation is a key factor of your budget. Be sure to include a tribal or board resolution/letter citing the dollar amount or value from the source of your NFS. For example, if your tribe is contributing office space as part of your match, the accompanying resolution should include the fair market value they could charge for that space.

Note: When partnerships or other sources outside of the organizations are used for NFS it is important to provide letters of commitment that explain what is being provided and the value.

Documentation is also required for large ticket items over $5,000 (such as construction equipment or vehicles) or unique items (such as specialized technical equipment). And lastly, when consultants are required, include a scope of work or a price quote itemizing the work consultants are responsible for under the contract. Place all the supporting documents in the appendix section of your application.

5. Address All Required Funds

5. The application includes **funds for all required items for the project budget**, including travel to post-award and grantee meeting, as described in Section IV.2., The Project Budget and Budget Description (Post Award and Grantee Meeting costs).

ANA requires travel costs to the Post Award Training and the Grantee Meeting be included in the budget. ANA no longer provides a set amount to budget so use your organization's travel policy (including airfare, lodging, per diem, ground transportation, etc.) to determine cost.

Important things to remember:

- Post Award Training
  - Required in Year 1 only
  - The PI/PD and finance person that does your financial reporting are to attend
  - Native Language awards attend a national training in the 1st quarter of the project
  - SEDS, ERE, I-LEAD awards attend regional trainings in the 2nd quarter of the project
- Grantee Meeting:
  - Required for every year of your project
  - 2 Project staff are to attend, usually PI/PD and another staff person (finance person not required)
  - Held in 3rd or 4th quarter of project period
  - Venue changes each year, so budget accordingly to allow for varying cost

Activity 38 ❖ Identify the Financial Requirements

1. Using your staffing plan identified in the Organizational Capacity Criteria, identify the percentage of time necessary and estimated costs you need to accomplish the project as designed.

Position	Percent of time dedicated to project (e.g. 100%, 50%)	Estimated Cost (base this on their current salary)

2. What travel do you anticipate needing for this project?

Description of Travel/Conference	What benefit is the trip to the project?

3. Are there any special supplies or equipment needed for the project?

Need	Purpose	Quantity	Estimated Cost

4. What other project-specific supplies and services are needed for your project?

Need	Purpose	Quantity	Estimated Cost

Allowable Costs

45 CFR Part 75 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Department of Health and Human Services (HHS) Awards details the costs that are allowable, unallowable, and allowable with approval. The cost principles that provide specific information on each of the selected items of cost can be found in 45 CFR Parts 75.421 through 75.475. In addition, there are certain costs that ANA will not fund.

Those costs include:

- Organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions;
- Reimbursement of pre-award costs;

- Construction;
- Activities that qualify as major renovations and alterations;
- The purchase of real property; and
- Activities in support of any foreseeable litigation against the U.S. government that is unallowable under the Cost Principles in 45 CFR Part 75.

A chart summarizing Allowable Costs under 45 CFR Part 75 is provided in Appendix D of this manual. Appendix E contains a summary of 45 CFR Part 75.

Object Class Categories

Your budget should align with the Object Class Categories listed below (which also are on the SF-424A, Section B – Budget Category).

Line Item or Object Class Category	Description
Personnel	Employee salaries and wages – For each staff person identified, provide their title and time commitment (in months or percentage of time). Ensure that you list total hours per month times the number of months worked for each person listed under personnel and list the percentage of FTE each position will require. Indicate what your particular tribe or organization's definition of FTE is in your application.
Fringe Benefits	Payroll taxes (employer portion) and staff benefits – Break down the amount of each benefit (or percentage of total benefits) or note your negotiated fringe benefit rate.
Travel	Travel for project-related activities by staff (note: consultant and local travel goes under "Other") – Show the number of travelers and their destination, travel duration, per diem, ground transportation, airfare rates, and any other travel allowances for the trip (parking, etc.). This applies to the required ANA Post Award training and Grantee meeting, as well. Applicants should use their own travel policies to determine travel costs to the required training and meeting. ANA no longer specifies an amount.
Equipment	Defined as tangible, non-expendable personal property having a useful life of more than 1 year AND an acquisition cost of $5,000 or more PER UNIT.
Supplies	Items, such as personal property, excluding equipment and intangible property (copyrights, patents); e.g., office supplies, program supplies, etc.
Contractual	Cost of contracts with consulting firms, third-party contractors and/or secondary recipient organizations, including delegate agencies.
Other	Includes all other costs, including utilities, rent, liability, and property (not employee) insurance costs, machine rentals and maintenance, consultants, other non-employee travel, local travel, computers, and phone.

Line Item or Object Class Category	Description
Indirect	Only allowed if an applicant has a current negotiated federal indirect rate (that should be attached to the application) or is using the de minimis rate. Currently, the de minimis rate is defined as an indirect cost (IDC) that covers the period of your grant application or does not expire until after your grant has been funded. The de minimis rate can be used when an organization has never received a negotiated indirect rate.
Program Income	Includes any revenue that is generated as a result of an activity of an ANA-supported project. Such income should be explained as to its appropriate use.

Sample form for a line-item budget below.

Line Item Budget for Year ____ (create budget for each year)			
Category	Federal Share	20% Non-Federal Share	Total
Personnel:			
Project Director			
Admin. Asst.			
Personnel 1			
Personnel Total	0.00	0.00	0.00
Fringe Benefits:			
FICA			
Unemployment Insurance			
Social Security			
Medicare			
Worker's Comp – varies			
Benefits Total	0.00	0.00	0.00
Travel:			
Post Award Training – Mandatory Year 1 Only			
Grantee Meeting – Mandatory each year			

Line Item Budget for Year ____ (cont.)			
Category	Federal Share	20% Non-Federal Share	Total
Travel (cont.):			
Training Location 1			
Travel Total	0.00	0.00	0.00
Equipment:			
Equipment Total	0.00	0.00	0.00
Supplies:			
Supplies Total	0.00	0.00	0.00
Contractual:			
Contractual Total	0.00	0.00	0.00
Other:			
Office Space			
Local Travel			
Consultant			
Consultant Travel			
Other Total	0.00	0.00	0.00
Total Direct Costs:			
	$0.00	$0.00	$0.00
Indirect Costs/Indirect Rate:			
	$0.00	$0.00	$0.00
Budget Total:			

Sample Budget Justification

BUDGET JUSTIFICATION			
Category	Federal Share	Non-Federal Share	Justification Year 1
Personnel			
Project Director – .3 FTE @ $55,000	$0	$16,500	The Project Director is responsible for the supervision of all activities of the project. In addition, the Project Director will perform the first six activities in Year 1, Objective 1. The Project Director is also responsible for 12 other activities in both Objectives 1 and 2 during the first year of the project.
Project Coordinator – 1 FTE @ $45,000 for 10 months	$37,500	$0	The Project Coordinator has primary responsibility for the implementation of the project. She must assure that 21 of the 27 activities for the two objectives are implemented successfully. The rate of pay for the position is based on the organization's compensation policy and aligns with staff with similar responsibilities. The salary has been prorated for 10 months to account for time needed to hire someone for the position.
Agricultural Spec – 1 FTE @ $28,000 x 10 months	$23,333	$0	The Agricultural Specialist works directly with the project director to implement the project. The position provides support to the two other positions in implementing the project. The rate of pay for the position is based on the organization's compensation policy and aligns with other similar positions. The salary has been prorated for 10 months to account for the time needed to advertise, interview, and hire for the position.
Total Personnel	$60,833	$16,500	

Continued on next page.

BUDGET JUSTIFICATION (cont.)			
Category	Federal Share	Non-Federal Share	Justification Year 1
Fringe Benefits			
FICA @ 7.65%	$4,654	$1,262	The required contribution for Social Security and Medicare.
FUTA @ .08%	$112	$17	The required contribution for federal employment. The rate is only charged on the first $7,000 of earnings by each employee.
SUTA @ 5%	$1,350	$203	The required contribution for state unemployment. The rate is only charged on the first $13,500 of earnings by each employee.
Health Insurance	$8,500	$1,530	The organization provides all full-time employees with a health insurance policy that costs $425 per month. The policy is for the employee only.
Retirement	$2,433	$660	The organization provides all full-time employees with a 401(k) plan. The organization contributes 4% of gross salaries to the plan.
Workers Comp Insurance	$1,685	$457	The cost of workers' compensation insurance is 2.77% of gross salaries. All three employees of the project are in the same workers' compensation classification.
Total Fringe Benefits	$18,734	$4,129	
Travel			
ANA Post Award Training	$2,304	$0	The cost per trip includes $420 for airfare, $468 for 3 nights lodging @ $156 per night, $224 for M&IE @ $64 per day for 3.5 days, and $40 for ground transportation. The Project Director and the organization's Finance Officer will attend the Post Award Training.
ANA Grantee Meeting	$3,658	$0	The cost per trip includes $510 for airfare, $968 for 4 nights lodging @ $242 per night, $311 for M&IE @ $69 per day for 4.5 days, and $40 for ground transportation. The Project Director and the Project Coordinator will attend the ANA Grantee Meeting.
Total Travel	$5,962	$0	

Continued on next page.

BUDGET JUSTIFICATION (cont.)			
Category	Federal Share	Non-Federal Share	Justification Year 1
Equipment			
			There are no equipment costs.
Total Equipment	$0	$0	
Supplies			
Office Supplies	$1,200	$0	Office Supplies were budgeted at $100 per month for 12 months. The cost is based on past experience with similar projects. Office supplies include all consumable supplies, such as pens, paper, paper clips, etc.
Cultural Activity Supplies	$1,700	$0	The cultural activity supplies include the materials for the participants. Based on the planned materials, the cost will be $85 per participant. The number of planned participants in the first year is 20.
Total Supplies	$2,900	$0	
Contractual			
			There are no contractual costs.
Total Contractual	$0	$0	
Other Direct Costs			
Agricultural Support Workers	$6,000	$0	Four community members will serve as support for the project. The AS workers will provide instruction to the participants on language and traditional gardening/farming methods. The AS workers will receive $100 for each workshop, and the planned workshops are two per week for 30 weeks.
Telephone	$600	$0	The cost for a landline with unlimited long distance is $50 per month. The cost is based on the current rate being paid by the organization.
Internet	$360	$0	The cost for internet access for the staff is $30 per month. That is the rate paid based on the organization's cost allocation plan.

Continued on next page.

BUDGET JUSTIFICATION (cont.)			
Category	Federal Share	Non-Federal Share	Justification Year 1
Other Direct Costs (cont.)			
Community Volunteers	$0	$3,120	8 community members have committed to providing 312 hours of support services for the project, by planting, weeding, and harvesting. The value of the work is $10 per hour, which aligns with the current amount paid to other workers in the area.
Volunteer Appreciation Dinner		$891	The cost is for 20 volunteers and workers and aligns with Activity 17. The cost is based on quotes provided by local caterers for the event (please see attached).
Computers and Software	$3,172	$0	The cost for two computers with Microsoft Office is $1,586 each for a total of $3,172. Cost quotes are attached, along with the specifications for the computers. The computers will be used by staff during the project and will be available to the participants at any time.
Total Other Direct Costs	$10,132	$4,011	
TOTAL DIRECT COSTS	$98,561	$24,640	
Indirect Cost			
Indirect Cost @ 10%	$9,856	$2,464	The organization has applied a 10% de minimis rate to modified direct costs.
Total Indirect Cost	$9,856	$2,464	
TOTAL ALL COSTS	**$108,418**	**$27,104**	

Getting Your Application Package Together

A competitive proposal requires the applicant to be as organized and thorough as possible. A well-organized application will assist the panel reviewers in locating and evaluating key information during the review process. The ANA application has specific formatting requirements for both hard and electronic copy submission. ANA staff will review the application formatting prior to panel review for compliance purposes.

Application Content and Page Limitations

ANA has established a total page limit of 150 pages for applications submitted in response to the FOAs. That page limitation excludes the required forms (including the MS Word version of the OWP), one-page project abstract, assurances, and certifications listed under Section IV.2. Content and Form of Application Submission of the FOA. Business Plans are also excluded from the page limitation.

Section IV.2 also outlines the required formatting for your application. The FOAs specify that the narrative section of your application must be double spaced and in 12-point Times New Roman font with 1-inch margins around the page. Failure to adhere to the specific requirements will result in the removal of sections of your application and possible deduction of points. Please refer to this section for the list of documents that are exempt from the formatting requirement.

Use the following sequence of application elements to structure your proposal package:

- Table of Contents
- Project Description- Expected Outcomes, Outcome Tracking Strategy, Approach, Geographic Location, Organizational Capacity, Protection of Sensitive and/or Confidential Information, and the Plan for Oversight of Federal Award Funds
- Budget and Budget Justification, including travel to required ANA trainings and meetings
- Project Summary/Abstract (limited to one single-spaced page)
- Objective Work Plan (OWP)
- Required Governing Body Documentation
- Assurance of Community Representation on Board of Directors, if applicable
- Proof of Non-profit Status, if applicable
- Commitment of Non-federal Resources
- Job Descriptions
- Resumes
- Indirect Cost Rate Agreement, if applicable
- Letters of Support
- Third Party Agreements, if applicable
- Business Plan, if applicable
- Other attachments, if necessary

For paper format application submissions, the Standard Forms (SFs), other forms approved by the Office of Management and Budget (OMB), including the ANA OWP, and required certifications and assurances must be included in the application package.

Submitting a Paper Application

If you are considering a paper format application submission, a waiver is required. Some applicants may have limited or no internet access and/or limited computer capacity, which may prohibit them from uploading large files to the internet at Grants.gov. To accommodate such situations, you can request an exemption from the required electronic submission. The exemption will allow applicants to submit a paper application by hand-delivery, applicant courier, overnight/express mail couriers, or by other representatives of the applicant.

To receive this exemption, applicants must submit a written request to ACF stating that the applicant qualifies for the exemption for one of two reasons:

- Lack of internet access or internet connection, or
- Limited computer capacity that prevents the uploading of large documents (files) to the internet at Grants.gov.

Applicants may request and receive the exemption from the required electronic application submission by either:

- Submitting an email request to electronicappexemption@acf.hhs.gov, or
- Sending a written request to the Office of Grants Management contact listed in Section VII. Agency Contacts of the funding announcement.

An exemption is applicable to all applications submitted by the applicant organization during the Federal Fiscal Year (FFY) in which it is received. Applicants need only request an exemption once in a FFY. Applicants will need to request a new exemption from the required electronic submission for any succeeding FFY.

Note: electronicappexemption@acf.hhs.gov may be used only to request an exemption from required application submission. All other inquiries must be directed to the appropriate Agency contact listed in Section VII. of the funding announcement. Queries submitted to this email address that make requests for any reason other than a request for an exemption will not be acknowledged or answered.

Exemption requests by email to electronicappexemption@acf.hhs.gov and by postal mail must include all of the following information:

- Funding Opportunity Announcement Title;
- Funding Opportunity Number (FON);
- The listed Catalog of Federal Domestic Assistance (CFDA) number;
- The Name of the Applicant Organization and DUNS number;
- Authorized Organization Representative (AOR) name and contact information;

- Name and contact information of person to be contacted on matters involving the application; and
- The reason the applicant is requesting an exemption from electronic application submission – the reason must be either a lack of internet access or connection, or a lack of computer capacity that prevents uploading large documents (files) to the internet.

Exemption requests must be received by ACF no later than 2 weeks before the application due date. This is 14 calendar days prior to the application due date. If the 14th calendar day falls on a weekend or a federal holiday, the due date for receipt of an exemption request will move to the next federal business day following the weekend or federal holiday. However, it is suggested to submit this request 30 to 60 days prior to the due date.

Submitting an Electronic Application

Prior to writing your application, and at least 3 months before you need to submit your application, there are a number of steps you need to accomplish:

- Establish a Data Universal Numbering System (DUNS) number,
- Register in the System for Award Management (SAM), and
- Establish a Grants.gov account or submit a waiver from electronic submission.

This chapter will provide you with additional information on the steps you need to undertake in order to successfully apply to ANA. A helpful video collection for this section, titled "Introduction to Grants.gov Video Series," has been published and covers, DUNS, SAM, and Grants.gov registration; user roles; searching for grants; the application package; submitting the package; and verification emails.

The following link will take you to the video series in YouTube:
https://www.youtube.com/playlist?list=PLNSNGxQE7NWlPcYxVJsglJbRc6cPcfC8X

DUNS Number and SAM Registration

Your organization must have a DUNS number and a current SAM registration prior to applying for federal funding.

1. DUNS Number

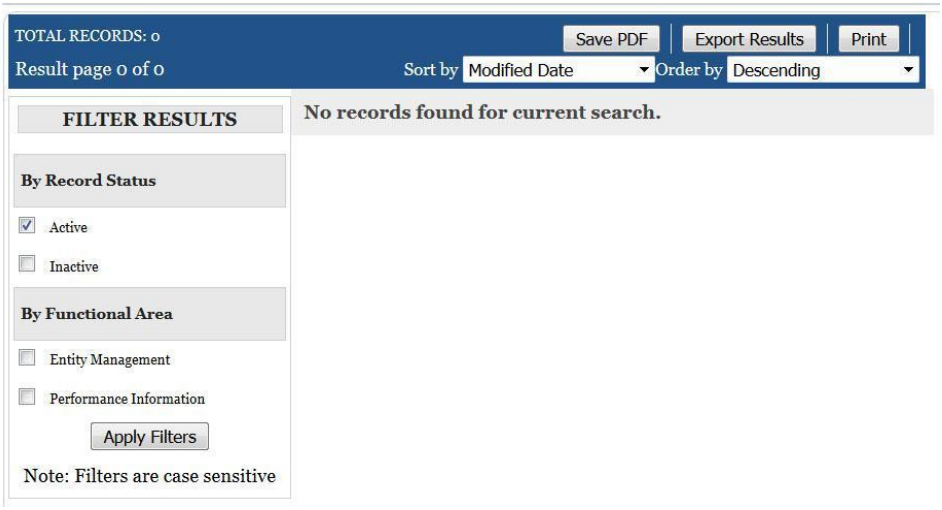
The DUNS number is a nine-digit number used to identify business entities on a location-specific basis. The DUNS number provides the government and other organizations a wealth of information about each registered business, including the business name, physical and mailing addresses, trade styles ("doing business as"), principal names, financials, payment experiences, industry classifications (SICs and NAICS), socio-economic status, government data, and more.

The DUNS number is a system copyrighted by Dun & Bradstreet (D&B).

A DUNS number is obtained at no cost by registering online or by phone. Whether you are submitting a paper or electronic application, a DUNS number is required for every application, for a new award, or the continuation of an award, including applications or plans under formula, entitlement, and block grant programs. For detailed instructions, visit the website at http://fedgov.dnb.com/webform.

It is suggested that, prior to completing a new registration, you do a search to ensure your organization is not already registered. The simplest way to complete a search is to go to http://www.sam.gov and select the "Search Records" button.

If your business does not appear in the search results, search for "active and inactive vendors" to see if your business has been registered before and if the registration needs to be renewed and revalidated.



If you do not have a DUNS number, you will need to obtain one. You will need to provide the following information to obtain a DUNS number for your organization:

- Legal name;
- Headquarters name and address for your organization;
- Doing business as (DBA) or other name by which your organization is commonly known or recognized;
- Physical address, city, state, and ZIP code;
- Mailing address (if separate from Headquarters and/or physical address);
- Telephone number; and
- Contact name and title.

After you have completed the registration, you will be issued a DUNS number in approximately 5 business days.

2. SAM

SAM is a free website that consolidates the federal procurement systems and the CFDA. You must register with SAM in order to apply for federal funding (including ANA).

If you previously registered for Central Contractor Registry (CCR), you are automatically registered with SAM. You will still need to create an account in SAM even if you had a Central Contractor Registry account. The Help Tab, which can be found at the following link, provides several videos to assist with SAM.gov:
https://www.sam.gov/portal/SAM/?navigationalstate=JBPNS_rO0ABXdcACJqYXZheC5mYWNlcy5wb3J0bGV0YnJpZGdlLlNUQVRFX0lEAAAAAQApdmlldzo2YzA0OWExOS1jMWVjLTQyNWMtYTliOC05YzBkYzQ3ZGQ0ZjIAB19fRU9GX18*&portal:componentId=7b9b1ff4-9b43-460c-9313-a2fabdc07366&interactionstate=JBPNS_rO0ABXc5ABBfanNmQnJpZGdlVmlld0lkAAAAAQAYL2pzZi9oZWxwL3NhbUhlbHBOYXYuanNwAAdfX0VPRl9f&portal:type=action#1

User Guides and FAQs can be found in the help section at the following link:
https://www.sam.gov/portal/SAM/?portal:componentId=9c7c412d-0e75-4bfd-8223-f425559b9408&interactionstate=JBPNS_rO0ABXc0ABBfanNmQnJpZGdlVmlld0lkAAAAAQATL2pzZi9uYXZpZ2F0aW9uLmpzcAAHX19FT0ZfXw**&portal:type=action##11

In order to create an account with SAM:

- Go to https://www.sam.gov,
- Click the "Create User Account" button,
- Click the "Create Individual Account" button,
- Provide the requested information and submit,
- Receive the email from "notifications" and click through the Sam.gov link to validate your account, and
- Log in at https://www.sam.gov with the username and password you created.

Once you have created an account, you can now register with SAM:

- Access the SAM online registration at https://www.sam.gov;
- Click on "Register/Update Entity" button;
- Log in with your account information and complete and submit the online registration – the SAM user guides above can assist you in completing the registration and answering questions you may have;
- The registration process will take approximately 30 minutes, depending upon the size and complexity of your entity; and
- The SAM help tab has FAQs, quick user guides, and videos that you may find useful, as well.

You must renew and revalidate your entity's registration at least every 12 months from the date you last certified and submitted the registration in SAM, and sooner if your entity's information changes. To renew, simply log into your SAM account, select "Register/Update

Entity," and then "Complete Registrations." If you have an inactive profile, log into your SAM profile and click "Inactive Registration."

Note: Your SAM E-Business Point of Contact (E-Biz POC) must update your SAM profile at least once a year. Failure to update the profile can prevent you from being able to submit your application.

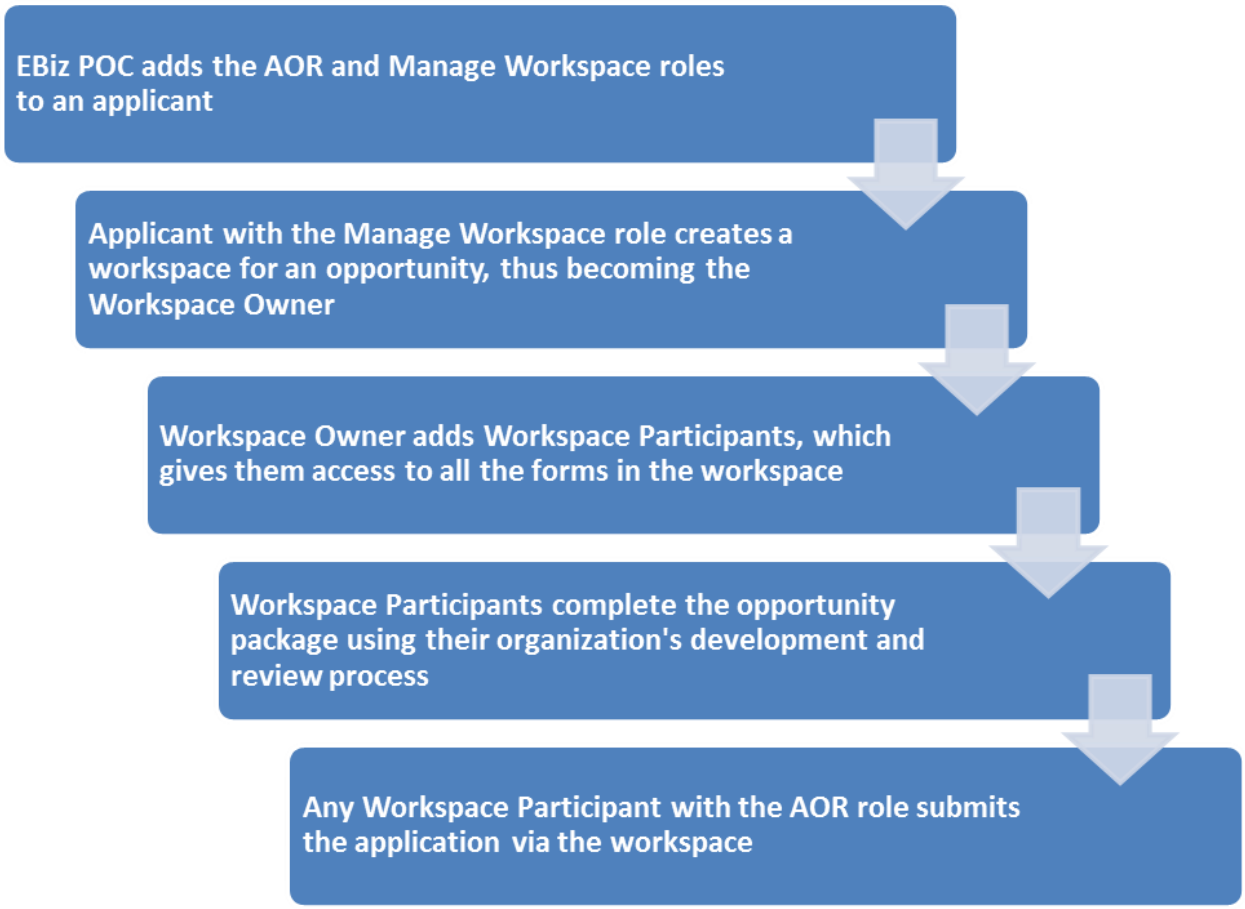
3. Grants.gov

Once you have completed the previous two registration steps (DUNS and SAM), you are ready to register with Grants.gov at http://www.grants.gov/web/grants/register.html. There are three types of registrations possible in Grants.gov: Individual Applicant, Organization Applicant and Grantor. When registering, choose the Organization Applicant. This applies to a company; state, local, or tribal government; academia or research institution; and not-for-profit or any other institution. Help for registering as an Organization Applicant can be found at: https://www.grants.gov/web/grants/applicants/organization-registration.html.

Additionally, you will need to understand and know what your user role will be: EBiz POC or Authorized Organization Representative (AOR). The EBiz POC manages all of the individuals in their organization who can submit grant applications. The AOR has the ability to submit grant applications on behalf of their organization. A brief video explaining these user roles can be found at the following link in YouTube: https://www.youtube.com/watch?v=zWSjXLfmc

Each individual that will be using Grants.gov Workspace will need to register, creating a username and password. These individuals may be associated with the organization and can complete their individual registration by associating themselves to the organization. They may also be outside the organization and can be associated to individual Workspaces with this or any other organization. The Workspace owner will add the appropriate participants to the various Workspaces based on the need to participate in submitting each particular application.

Once all of the registrations are complete, you can start using Workspace where you can fill out downloadable or web-based forms, attach files, and submit your application packet. Below are the steps for submitting.



Note: Have your E-Biz POC check their email (junk email, too) for requests from Grants.gov to update or approve the AOR's grants submission privileges. If they don't approve you as requested, you will not be able to submit your application.

4. Find and Fill Out the Application Package

Grants.gov Workspace

Grants.gov Workspace is the mandatory process for individuals or organizations applying for funding opportunities. Workspace is a shared, online environment where members with permission to a particular Workspace (internal or external to the organization) may simultaneously access and edit different forms within an application. For each funding opportunity announcement (FOA), you will create individual Workspaces.

Workspace is the space where you work on your grant application. Workspace allows a team of registered Grants.gov applicants to use a shared online space for completing individual forms and submitting the final application. These forms can be filled out by different users in the application, alleviating the need to distribute a single PDF package file via email or a flash drive to numerous individuals. Only one form can be worked on at a time, while multiple users can work simultaneously in the application's Workspace.

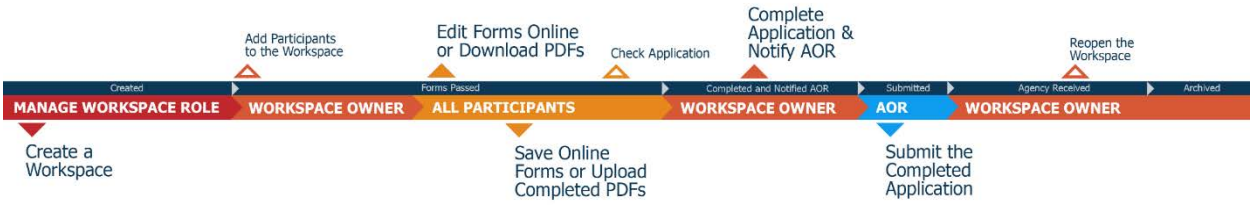
One of the primary benefits of Workspace is the ability to separate individual PDF forms that make up the traditional application package. This allows multiple team members within an organization to access and edit forms at the same time. Upon completion of individual sections and forms, applicants have the ability to upload completed forms to the Workspace so other team members may view and edit the forms. Additionally, each form can be checked for errors immediately.

Applicants can also reuse saved Workspace forms when applying for new funding opportunities. To be uploaded successfully to a new Workspace, the saved form must share the exact name and version of the form in the new funding opportunity.

How Does Workspace Work?

Workspace utilizes varying account types, access levels, and roles to allow for flexible use across the spectrum of potential grant applicants. Upon creating an organizational space within Workspace, users with the Authorized Applicant (AOR) or Manage Workspace roles may add Workspace Participants to a Workspace. Each Workspace Participant (i.e., a team member with access to the workspace), has access to all the forms and the ability to contribute to the application.

Below is a basic process chart to illustrate how Workspace works. This does not capture all of the functionality or processes; it provides a basic framework for understanding Workspace.



Grants.gov Workspace has a video series for organization applicants that can be found at: https://www.youtube.com/playlist?list=PLNSNGxQE7NWlibdjPYGOsZaG-ol0pBsx3

The titles include:

- Introducing Workspace Functionality on Grants.gov
- User Roles & Access Levels in Workspace

- How to Create a Workspace on Grants.gov
- How to Add Participants to a Workspace
- Completing Forms in a Workspace on Grants.gov
- How to Submit a Federal Grant Application in Workspace

A general overview of how to apply for grants using Workspace can be found on the Grants.gov website: https://www.grants.gov/web/grants/applicants/workspace-overview.htm

Note: Beginning January 2018 using the Grants.gov Workspace will be the required method for submission of grants.

Adobe Software Tip Sheet

You should verify that you are using a version of Adobe that is compatible with Grants.gov. To do this, from the Grants.gov homepage select the Applicants tab. Next click the Adobe Software Compatibility link. This page provides information regarding the compatible versions for Windows and Mac OS users. To verify the version of Adobe Reader or Adobe Acrobat installed on your computer is compatible with the forms in Workspace you can also click on the following test application package link: http://www.grants.gov/documents/19/18249/Adobe+Versioning+Test+Application+Package.pdf/61ba3e00-b4b6-494e-b510-1a8b43c2bc03

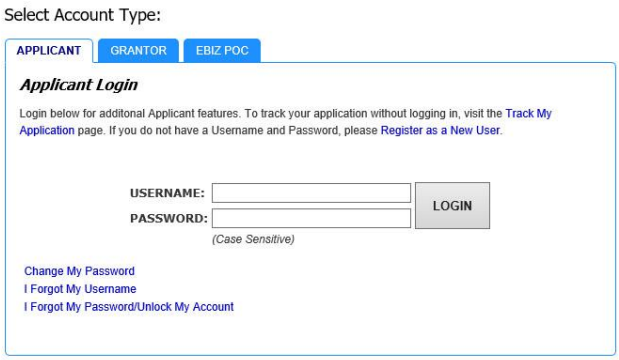
If you can see the application package, you are able to complete and submit grant applications on Grants.gov. If you cannot see the package several things may be happening:

- Your browser settings may be keeping you from opening the test package. A quick solution is to save the test application package to your desktop (by right-clicking on the link) and open it separately.
- You may not have the correct version of Adobe Reader. Go to https://get.adobe.com/reader/ and install a FREE Adobe Reader to work with your application package. Be aware that sometimes there is other software selected to load with the Adobe Reader, if you do not want this you must deselect it.

Note: If you do not complete this step, then your application could receive errors that may cause it to be rejected by Grants.gov. This can include errors from free PDF software. While a list of software to create PDFs is available, Grants.gov does not endorse any of them.

Note: If more than one person is working on the same application EVERYONE must be using the same software version.

You will need to locate the application package on Grants.gov. To do this, you will want to be signed into your Grants.gov account. This can be done from the LOGIN link at the top right-hand corner of any webpage on the Grants.gov website.

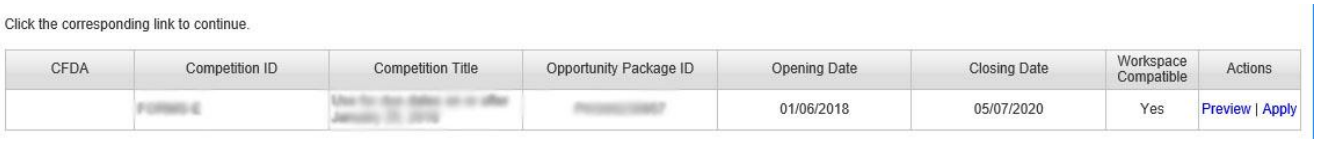


Next, select the Search Grants tab near the top of the webpage. From this page conduct a Basic Search, this is the simplest way to locate the application. Use the CFDA number located in the Funding Opportunity Announcement (FOA) to search for the application package. This information is generally located on the first page after the Table of Contents near the top of the page.

1 - 3 OF 3 MATCHING RESULTS:

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date ↓	Close Date
HHS-2018-ACF-ANA-NA-1339	Social and Economic Development Strategies -SEDS	HHS-ACF-ANA	Forecasted	10/17/2017	

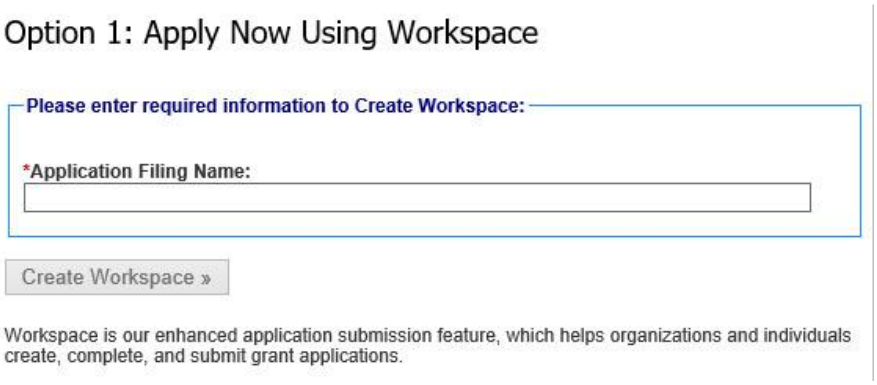
1. Click the funding opportunity number link in the Funding Opportunity Number column.
2. Click the Package tab on the View Grant Opportunity page.
3. Click the Apply link in the Actions column for an opportunity that has "Yes" in the Workspace Compatible column.



Click the corresponding link to continue.

CFDA	Competition ID	Competition Title	Opportunity Package ID	Opening Date	Closing Date	Workspace Compatible	Actions
	[redacted]	[redacted]	[redacted]	01/06/2018	05/07/2020	Yes	Preview | Apply

Either enter your email address to subscribe to change notifications for the package, or select the "No, I do not wish to provide my email address" option. Next, click the Submit button.



Look for the Application Filing Name field above the Create Workspace button and assign your Workspace a name. Then, click the Create Workspace button.

Note: The Application Filing Name is required for creating a Workspace. The maximum length is 240 characters. Review the special character information below before creating a file name for the application or filenames for attachments.

File Naming Conventions

Carefully read and observe electronic file naming conventions. Improperly named files will not pass validation at Grants.gov. Such applications will not be received by ACF and are disqualified from competitive review.

- For files that will be attached to forms limit the filename to 50 or fewer characters.
- Do not attach any documents with the same name. All attachments should have a unique name.
- Attachments that do not satisfy the following rules regarding the use of special characters may cause the entire application to be rejected or cause issues during processing.

The table below lists allowable special characters that can be used in file names:

A—Z	Comma ,	Hyphen –	Plus sign +	Underscore _
a—z	Curly Braces {}	Number Sign #	Semicolon ;	
Ampersand &	Dollar Sign $	Parentheses ( )	Space	
Apostrophe ‘	Equal Sign =	Percent Sign %	Square Brackets [ ]	
At sign @	Exclamation Point !	Period .	Tilde ~	

*Ampersand in XML must use the & format

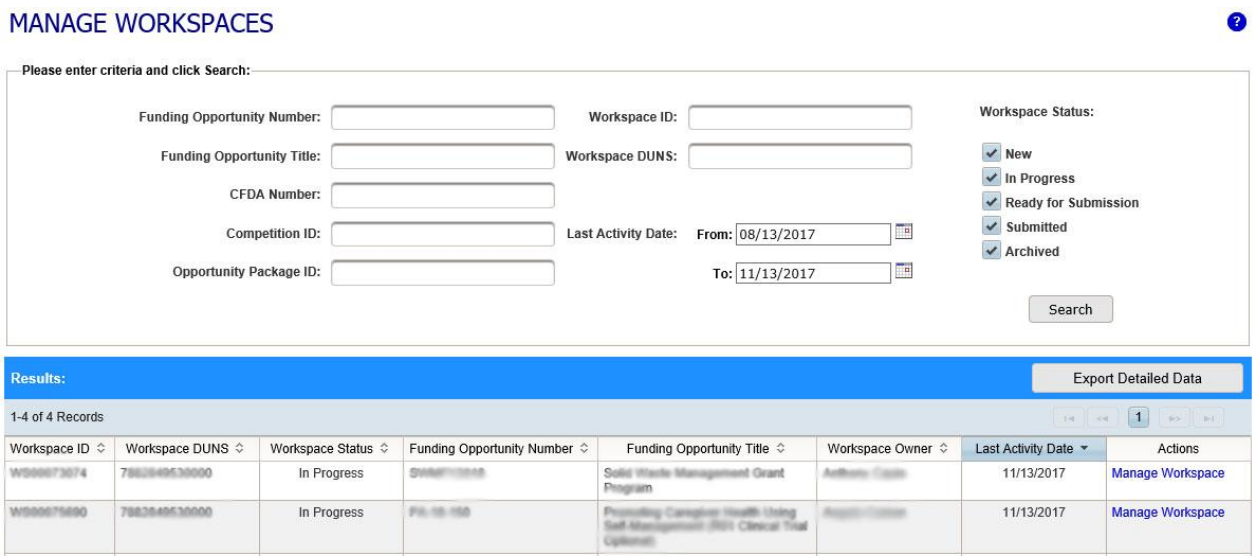
Note: Do not use native languages to label files as this could cause a validation error impacting the application submission. Native language diacritical markings may not be read by the system and could cause an error.

Note: ANA has developed an Application Toolkit for applicants to use. It can be found at https://www.acf.hhs.gov/ana/application-toolkit

The instructions provided below offer a quick overview of Workspace and clarification for forms and other areas that can be confusing. For a full understanding of the process, visit the Grants.gov website, where you will find detailed instructions and you can watch short instructional videos. In addition, you can visit Grants.gov's YouTube channel at: https://www.youtube.com/user/GrantsGovUS

Managing Workspaces

From the Applicants tab select the Manage Workspaces link. On this page, you will find numerous options to search for the applications you have access to. One way to find them all is to simply click the Search button and see the list available below. Choose the application you would like to work on and click on the Manage Workspace link in the Actions column.



Documents

Open and complete all of the documents listed in Mandatory and Optional Documents list. The documents listed in the Mandatory Documents list may be predefined forms, such as the SF-424 and SF-424A, or documents that need to be attached, such as the Budget Narrative and Project Narrative.

Include in Package	Form Name (Click to Preview)	Requirement	Form Status
☑	Application for Federal Assistance (SF-424) [V2.1]	Mandatory	In Progress [Locked]
☑	Grants.gov Lobbying Form [V1.1]	Mandatory	---
☑	Other Attachments Form [V1.2]	Mandatory	---
☑	Budget Narrative Attachment Form [V1.2]	Mandatory	In Progress
☑	Budget Information for Non-Construction Programs (SF-424A) [V1.0]	Mandatory	In Progress
☑	Assurances for Non-Construction Programs (SF-424B) [V1.1]	Mandatory	---
☑	Project/Performance Site Location(s) [V2.0]	Mandatory	---
☑	Project Narrative Attachment Form [V1.2]	Mandatory	In Progress
☑	Objective Work Plan [V1.1]	Mandatory	In Progress
☐	Disclosure of Lobbying Activities (SF-LLL) [V1.2]	Optional	---

To complete a form, you will have the option to download the form to your desktop and upload it once complete, or use the webform version.

Include in Package	Form Name (Click to Preview)	Requirement	Form Status	Last Updated Date/Time	Locked By	Actions
☑	SF424 (R & R) [V2.0]	Mandatory	---	---	---	Lock | Download | Upload | Reuse | Webform

Fill in the requested information for each form. Workspace does save automatically in the background approximately every 5 minutes for the webforms. It is suggested that you save regularly so that you don't lose your work.

It does not matter what order you select the Mandatory and Optional documents. They will appear in a predetermined order set within the application package.

When you open a Form, the fields which must be completed are noted by a red asterisk or are highlighted (in gray or yellow) with a red border. Optional fields and completed fields are displayed in white.

Note: When you are tabbing out of a required field without completing it, a message will display informing you that it is required to be filled out.

Forms, such as the SF-424, which are predefined, will require you to enter information into the required fields. When the form is checked for errors it will not pass the validation process, but rather will show as In-Progress.

The SF-424A will only require one or two fields to be populated and will still pass validation. It is very important to ensure this form is completely and accurately filled out in order for the government to correctly process your application and award budget.

Include in Package	Form Name (Click to Preview)	Requirement	Form Status	Last Updated Date/Time	Locked By	Actions
☑	Application for Federal Assistance (SF-424) [V2.1]	Mandatory	In Progress	Nov 13, 2017 06:56:09 PM EST	---	Lock | Download | Upload | Reuse | Webform
☑	Assurances for Non-Construction Programs (SF-424B) [V1.1]	Mandatory	---	---	---	Lock | Download | Upload | Reuse | Webform
☑	Budget Information for Non-Construction Programs (SF-424A) [V1.0]	Mandatory	Passed	Oct 25, 2017 02:01:47 PM EDT	---	Lock | Download | Upload | Reuse | Webform

Note: If you complete the SF-424 first, it will automatically populate the other forms with similar fields with the information you entered.

For each of the forms, we will cover those items on the form that are not intuitive when filling them out. For detailed assistance we suggest you download the instructions for the forms at http://www.grants.gov/web/grants/form-instructions.html, review the instructions you downloaded with the application package, contact your ANA Regional T/TA Center or contact the ANA Help Desk at Toll Free Phone: 1-877-922-9262 or E-mail: anacomments@acf.hhs.gov

SF 424

When filling in #18, "Estimated Funding", for the SF-424 it is important that you only use the numbers for budget year one. Enter the amounts requested, or to be contributed during the first funding/budget period by each contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

SF 424A

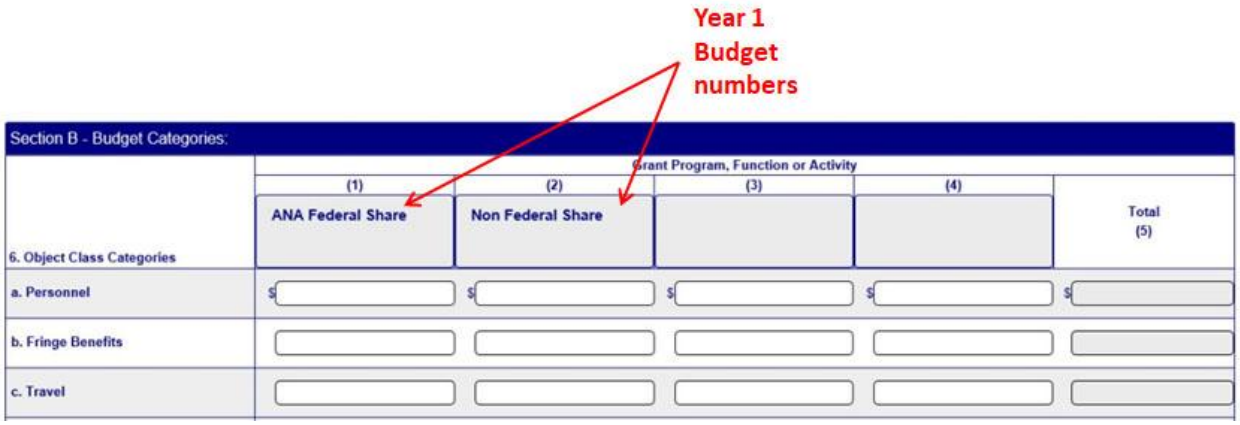
There are several sections of this form that applicants have found a bit confusing. The SF-424A is covered in more detail in this manual. However, we suggest you download the instructions for details of each section.

Note: In this form, some of the fields will pre-populate similar areas and some will not, take care to be sure each section is filled out clearly.

In SECTION A – BUDGET SUMMARY only the budget for year one will be used to complete the form. Fill out Line 1 for the Federal Share and Line 2 for the Non-Federal Share. Under the Grant Program Function or Activity (a) you will type in the grant program under which you are applying, for example SEDS. Under the Catalog of Federal Domestic Assistance (b) you will type the CFDA number you found in the FOA to search for and download the application package. If this is a new application, you will leave Columns C and D blank. Under the New or Revised Budget heading Federal 1(e), you will enter the amount of federal funding being requested for year one, and for Non-Federal 2(f) you will enter the NFS amount identified in your budget for year one.

In SECTION B – BUDGET CATEGORIES, #6 Object Class Categories, Column 1 you will complete this column entering the total amount of the Federal Share and in Column 2 Non-Federal Share

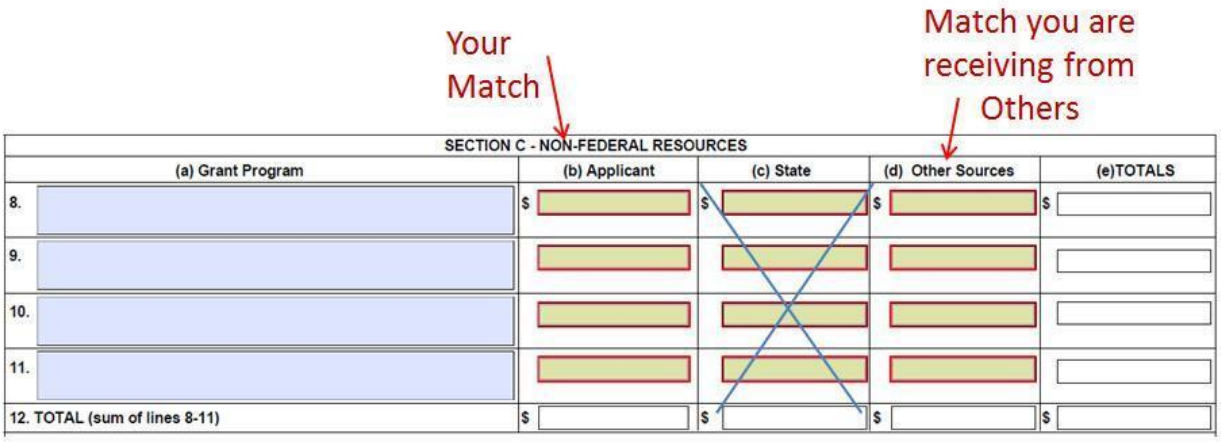
funding for budget year one for each of the categories listed. This is seen in the image below using the webform.



Note: Column 2 will not allow you to label it as Non-Federal Share.

Note: ACF prefers that this section be filled out using the following directions: In column 1 enter the Federal amounts for each of the categories listed for the first budget year which should total the amount entered in 1(e) above. In column 2 enter the Non-Federal amounts for budget year one for each of the categories listed which should total the amount indicated in 2(f) above.

In SECTION C – NON-FEDERAL RESOURCES, most applicants need only fill out line 8 columns (b) Applicant and (d) Other Sources. The Applicant column is where you, the applicant, will list your match contribution. The Other Sources column is where you list match (cash or in-kind) that you are receiving from others. This is seen in the image below using the downloaded form view.

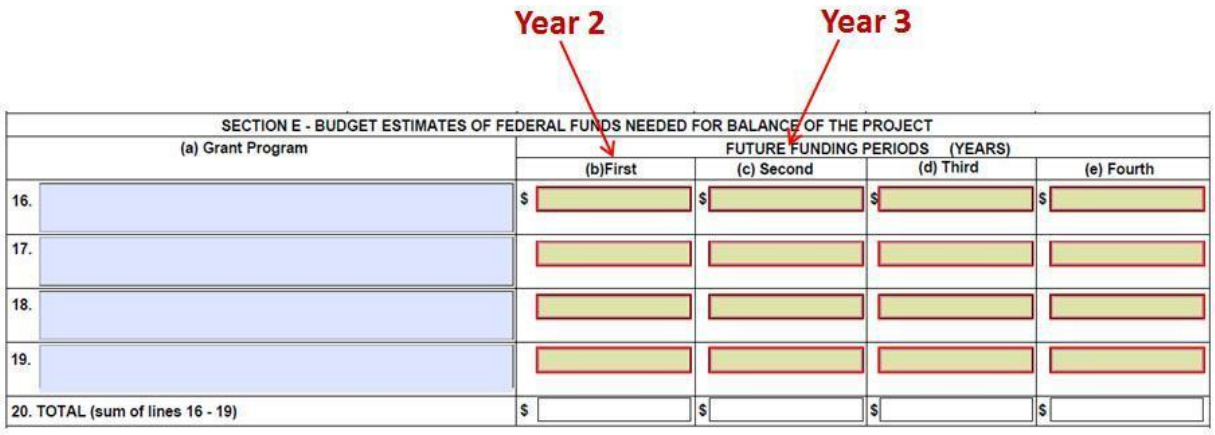


In SECTION D – FORECASTED CASH NEEDS, this is the first year budget broken down by quarters for both the Federal and Non-Federal share. Here you will estimate how you will spend out the first year budget each quarter. Be realistic in this section rather than just dividing by 4. If you

have a large number of supplies or equipment to purchase in a particular quarter be sure to estimate the spending accordingly.

Note: If section D automatically divides your Federal and Non-Federal amounts by 4 you should calculate spending needs by quarter and highlight and overwrite with the correct amounts.

In SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT, most applicants will only be using line 16 for their project. In the proper columns list the amounts of only the Federal funds which will be needed to complete the project over the succeeding funding periods (usually in years). For example, if you have a three year project you will use the first two columns to input the Federal funds requested for years two and three of your project.

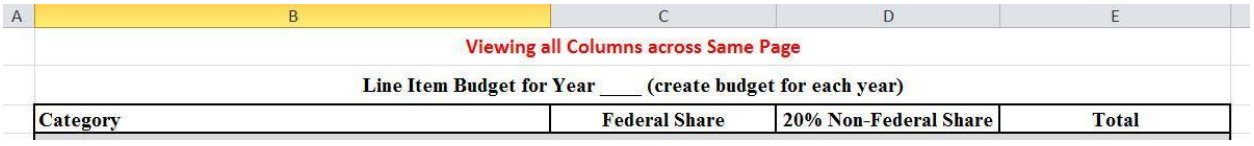


Line-Item Budget and Budget Narrative

This application requires both detailed Line Item Budgets and Budget Justification Narratives for each year of your project. In order to attach them as part of the two-file requirement you will need to combine them into a single PDF file. Be sure to check all of your formulas before you begin this process.

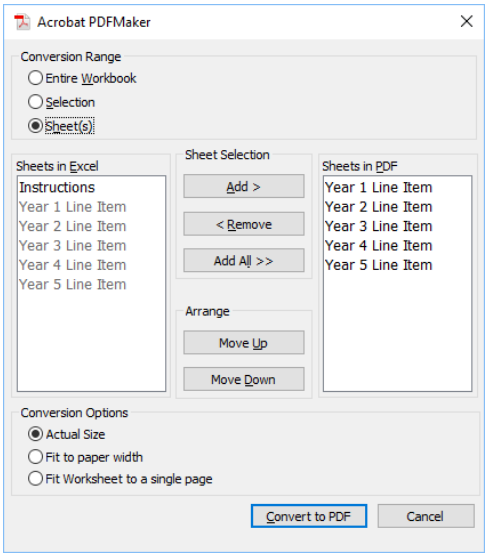
Note: The SF-424A is not considered a detailed line item budget.

When saving an Excel worksheet as a PDF it is important to set the print area in a way that all of the columns will appear on the same page with rows continuing on sequentially. This will allow the reviewer to have a complete view of each budget category. To do this go to the Page Layout tab - highlight what should be printed - and select the Print Area dropdown arrow and select Set Print Area. Preview the document to be sure each of the columns will print on a single page.



When you have multiple worksheets you can save them all as a PDF within Excel. Highlight all Worksheet tabs by clicking the first tab labeled "Year 1 Line Item" hold the shift key and select the very last Worksheet tab you are using. Next select - File - Save as PDF. Make sure all of the sheets you would like to print are listed in the box on the right-hand side labeled "Sheets in PDF".

Next click the button "Convert to PDF".



Submitting the Required Two Files

In addition to forms, application packages also require you to submit specific documentation, such as a project narrative, budgets, resolutions, letters of commitment, and resumes. Specific instructions for your additional documentation will be included in the funding announcement and application package.

No more than two files will be accepted for review. Applications with additional files will be amended and files will be removed from the review. SF and OMB-approved forms will not be considered additional files.

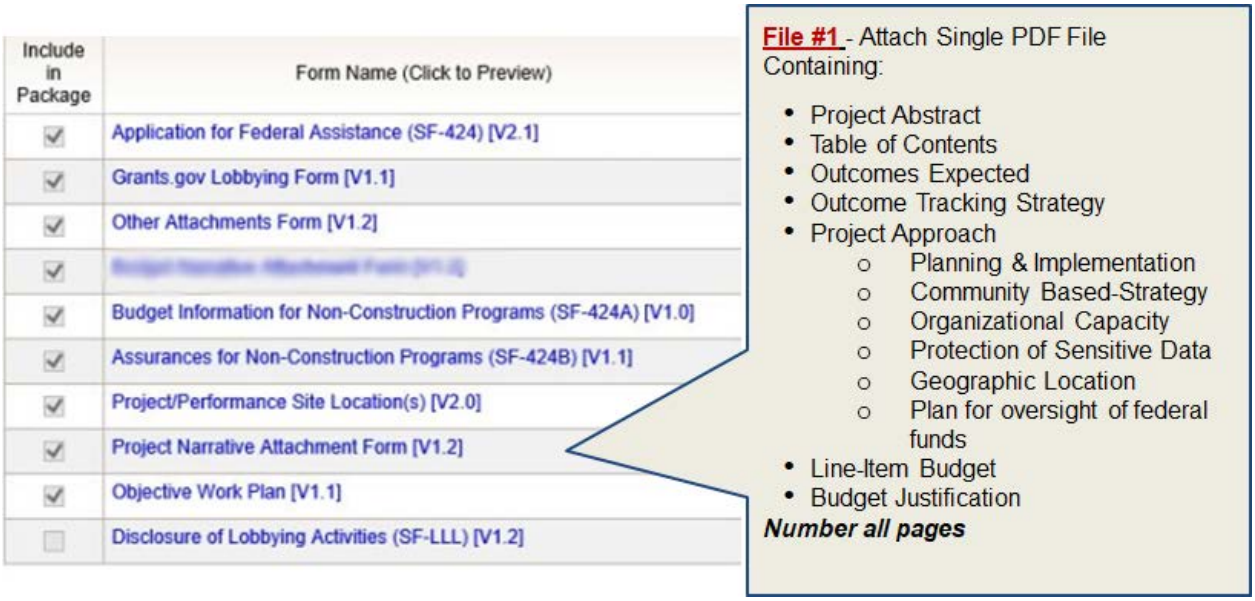
Follow the steps below to submit the required two file attachments in the application package. Each of these file attachments, the Project Narrative Attachment and the Other Attachment Form will contain a single file made up of several of your documents and spreadsheets. Standard Forms will not be considered as additional files. The main point to keep in mind is that you will have numerous documents that will make up each of these attachments. You can find additional certification forms that may pertain to your project at the following link on the ACF website: http://www.acf.hhs.gov/grants/certifications

Note: If you are using Adobe Reader you will not be able to apply page numbers to the application file. Please number your pages when you create your documents prior to making a PDF of your multiple documents.

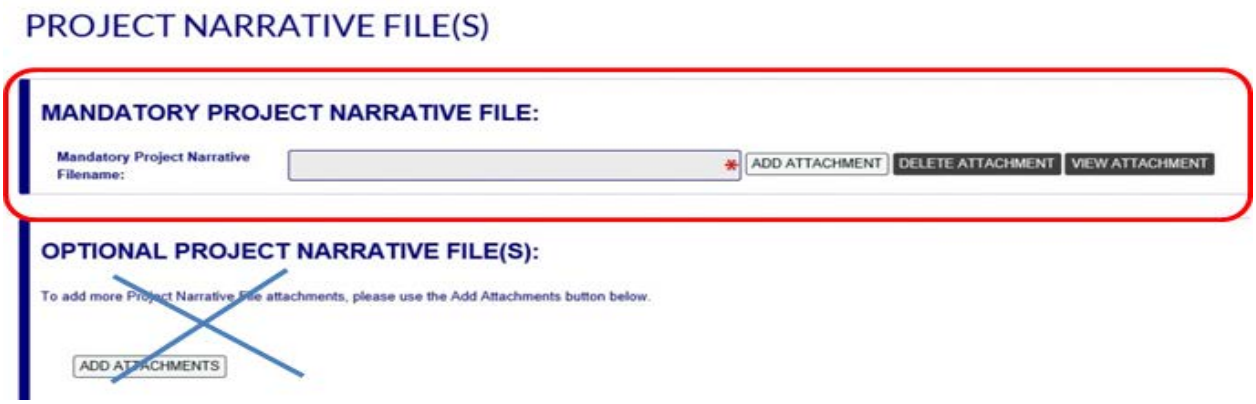
Project Narrative Attachment Form

The first of the two-file attachments is the Project Narrative Attachment Form. This form is a placeholder for you to attach a single file from your computer that is made up of multiple documents: Project Abstract, Table of Contents, Project Narrative, Line-Item Budget and Budget Justification. Please remember your Project Narrative contains the Expected Outcomes, Outcome Tracking Strategy and the Approach and Organization Capacity sections of the scoring criteria.

The Project Abstract is no longer a form. You will need to create your own one-page form. This will be in Times New Roman 12pt font and single spaced. The top of the page should include the Project Title, Applicant Name, Address, Contact Phone Numbers, Email Address and Website if applicable. The rest of this one-page document should be a brief well-defined description of the project.



To attach your combined files, select the Webform link in the Actions column for the Project Narrative Attachment Form. Click the Add Attachment button. This will allow you to search your computer for the new single file you created from the multiple documents listed above. Select the file and click the Open button. You will see the name of your file in the highlighted field. Do NOT use the Optional Project Narrative File section for these files.

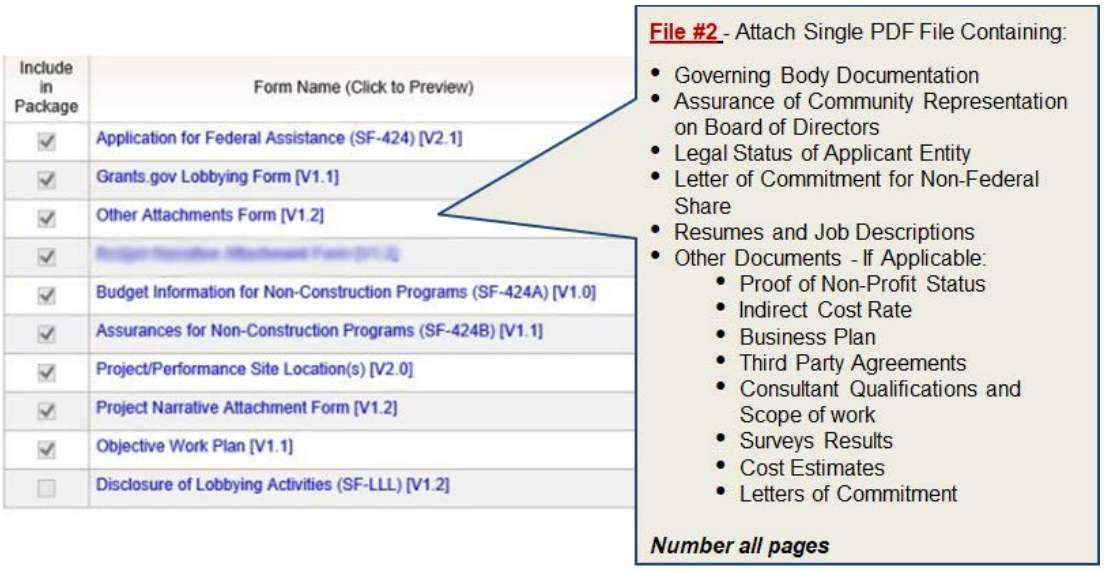


When you have completed the actions for this form, click the Save button. You should see a notice that the form has successfully saved, click OK. You will see a notice box asking if you want to unlock this form, select No. This will take you back to the Workspace page for the application. The Form Status column should now state this item Passed (as it automatically checks the document for errors) and is Locked, so no changes can occur.

Other Attachments Form File

The Other Attachments Form includes all of the files required in the Appendices. These are files not included elsewhere in the application such as: the Governing Body Documentation (i.e., Tribal Resolution, Board Approval) and Assurance of Community Representation on Board of Directors, Legal Status of Applicant Entity, Letter of Commitment of NFS, Proof of Non-Profit Status (if applicable), Indirect Cost Rate Agreement (if applicable), Business Plan (if applicable), Third Party Agreements (if applicable), Resumes, and Job Descriptions.

Additionally, this file may contain other attachments which may be necessary based on the project, for example: community meeting minutes, survey results, cost estimates, consultant scope of work and letters of commitment. Combine your multiple documents in the order you believe the material is best understood into a single PDF file; it is suggested to create an index page for the Appendix section. Once you have saved the file attach it to the application package.

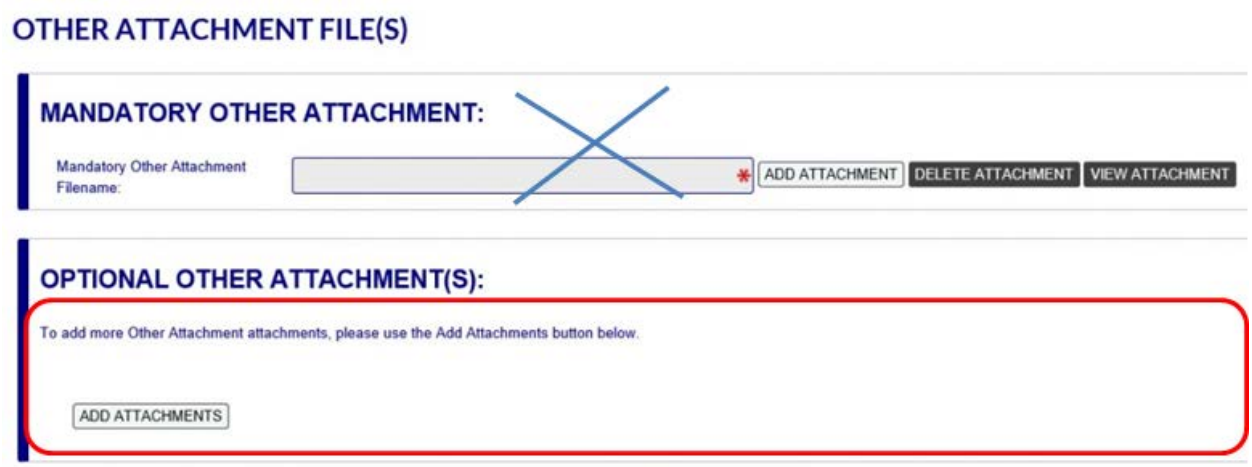


To attach your combined files, select the Webform link in the Actions column for the Other Attachments Form. Click the Add Attachment button. This will allow you to search your computer for the new single file you created from the multiple documents listed above. Select the file and click the Open button. You will see the name of your file in the highlighted field. Do NOT use the Optional Other Attachment(s) section for these files.

Objective Work Plan Form

Lastly, we will cover the Objective Work Plan Form. The OWP form (electronic or MS Word version) is not counted in the 150-page limit or as a separate file as it is an ANA mandatory OMB approved form.

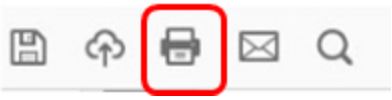
We highly encourage you to use the OWP webform or the downloadable form. However, if you are using the MS Word version of the OWP, be sure you check that it has a current OMB date stamp. Save your completed form as a PDF and upload it as a separate file using the Optional Other Attachment section from the Other Attachments Form link. Select the Add Attachments button. This will allow you to search your computer for the new single file you created from the multiple documents listed above. Select the file and click the Open button. You will see the name of your file in a new highlighted field which appears after the file is attached.



Note: ANA prefers that all applicants completely fill out the objective work plan webform in the application package. ANA does not recommend that applicants upload the MS Word version of the objective work plan as a part of their application; attach a PDF.

If you choose to upload the MS Word version of the OWP you still must fill out the mandatory fields in the electronic OWP webform that is a part of the package. If you don't fill out those fields your application package will contain errors and will be rejected.

For a complete Application Checklist of the required documents and forms be sure to consult section VIII of the current FOA. If you have submitted to a funding agency before, then be sure to download the most recent funding announcement as many agencies make changes from year to year. Because changes to the funding announcements can occur even after the funding announcement has been released it is always a good practice prior to submitting your application to check Grants.gov for any modifications that have been made. Additionally, setting your email up to receive change notifications when downloading the application will assist you in becoming aware of any modifications the funding agency may apply. Further instructions can be found on the Grants.gov website: http://www.grants.gov/help/html/help/index.htm#t=Applicants%2FDownload_an_Application_Package_Single-_or_Multi-project.htm%3Frhhlterm%3Dnotifications%26rhsyns%3D%2520



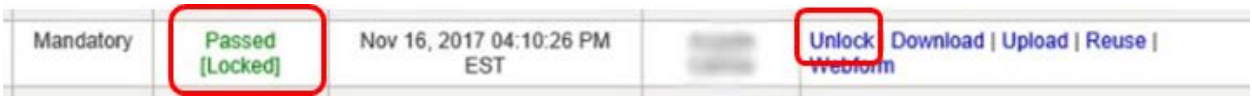
Printing Your Application

To print your application forms, select the filename link on the Form Name column. This will bring up a PDF view of the form. Next select the Print icon. Choose the appropriate orientation for printing - landscape or portrait. Select the Print button. The print function will not print the attachments within an application package, such as the narrative, budget and other attachments at this time.

> **Note:** The option to print attachments with the forms is scheduled for a future Workspace update, watch for changes.

Finalizing Your Application

Once you have completed all required documents and attached any required or optional documentation, select Save to save your package. If errors are found, select the Check Package button which will identify each error. Then correct each error. Be sure the status of all the forms for the application appear only as Passed. If there are forms which appear as Passed [Locked] contact those users to be sure they have finished the forms, and have them Unlock the form before notifying the AOR the application is ready to submit.



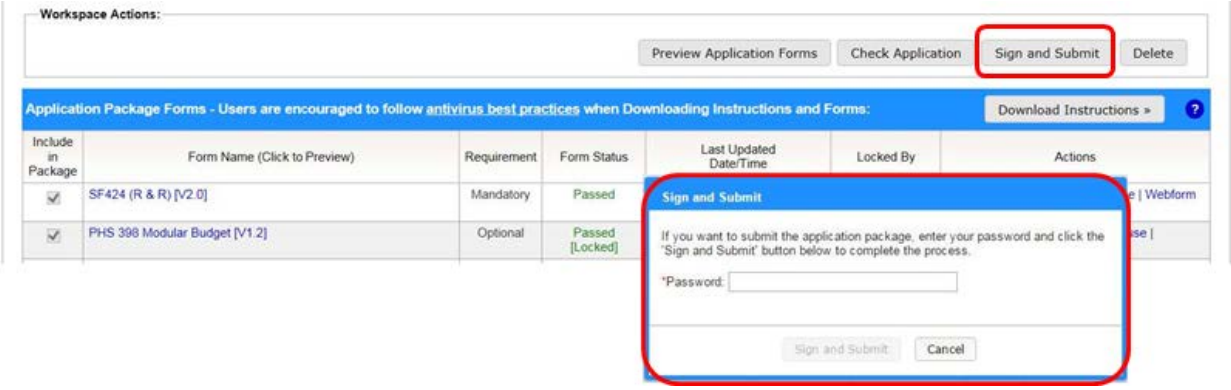
Once there are no errors, the Sign & Submit button will be activated. Notify the AOR the application is ready to be submitted.

Sign and Submit

An application may be submitted through Workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. This action will submit your application to the federal grant-making agency if completed successfully.

The Sign and Submit button can be found in the Workspace Actions box. The button will be visible and activated for Workspace participants with the AOR role. The AOR will need to sign in and go to the Forms tab of the Workspace for the application. The AOR should check that all the forms for the application in the Form Status column have Passed the verification. If any of the forms have a status of Passed [Locked] the AOR will be asked to confirm the action. By clicking the Continue button the AOR will unlock all the forms previously locked by others. Once all the forms are unlocked a Sign and Submit pop-up window will appear. The AOR will then

reenter their password and select the Sign and Submit button which signs the application as an official representative of the organization.



The following link contains a video with greater details for signing and submitting an application: https://www.youtube.com/watch?v=szSyO5AEQ4c&feature=youtu.be

Confirmation for Completing and Submitting an Application

After submitting the application, a PDF confirmation page will appear. This screen will contain a Grants.gov tracking number and other information. Save this page to your computer. The Workspace Status will change to submitted.

You can track a Workspace Package application several ways:

- When logged in, click the Check Application Status link under the Applicants drop-down menu and search for the submitted package.
- When logged in, click the Check Application Status link on the Applicant Center page under the Applicant Actions heading on the left menu, and search for the submitted package.
- When not logged in, click on the Track My Application link under the Applicant drop-down menu and enter the Grants.gov Tracking Number. Then click the Submit Tracking Number(s) button. The results page will appear with a listing of the valid tracking numbers entered. The information listed includes the CFDA Number, Opportunity Number, Competition ID, Grants.gov Tracking Number, Date/Time Received, Status, and Status Date.

Note: All official emails are sent to the Authorized Organization Representative. Please ensure that the Authorized Organization Representative sends you all Grants.gov emails they receive.

Emails from Grants.gov may have questions regarding errors or other items. If you do not respond in a timely manner to questions regarding your application, it may be rejected.

Grants.gov Contact Center
Support available 24/7 (closed on federal holidays)
Website http://www.grants.gov/web/grants/support.html
Email: support@grants.gov
Toll-Free Phone Number: 1-800-518-4726

Additional Resources
Online User Guide https://www.grants.gov/help/html/help/GetStarted/Get_Started.htm
Check the Calendar for Enhancements and Maintenance Outages
https://www.grants.gov/web/grants/outreach/calendar.html
Application Review Process

Once you've submitted your application through Grants.gov, it will be reviewed by ANA for eligibility as per Section III.3 of the FOA. Applications passing these requirements will then be moved onto the Competitive Review Process.

Competitive Review Process

Each year ANA convenes panel review sessions in an effort to objectively review, score, and rank eligible applications. Applications competing for financial assistance from ANA are reviewed and evaluated by objective review panels using the criteria described in the ANA FOA Section V.1. Evaluation Criteria.

ANA describes an Objective Review as follows:

- A process involving the thorough and consistent examination of applications based on an unbiased evaluation on the merit of the application;
- An advisory review of applications conducted by a minimum of three unbiased reviewers;
- Essential to ensure the selection of applications that best meet the needs of the program consistent with established criteria; and
- Assurance to the public of an impartial and fair evaluation and selection process.

Panel of Reviewers

ANA recruits professionals (peer panel reviewers and subject matter experts) who possess experience and qualifications relevant to ANA program areas to serve as panel reviewers and facilitators. Panel reviewers analyze, score and comment on ANA grant applications.

Panel facilitators work with a team of panel reviewers to facilitate discussion and consolidate comments. The facilitator does not score applications. Generally, review panels are composed of three panel reviewers and one facilitator. The panels are made up of experts with knowledge and experience in the area under review.

Analysis Score and Comments

Panel reviewers and facilitators are assigned five to ten applications per review session. For two weeks during the panel review session, panel members read the applications, take notes, score and comment on them. Panel reviewers are only able to score on the FOA Review Criteria. During the panel review session, they participate in analytical discussions, critical thinking, and writing while working with the other panel reviewers and the facilitator to develop a comprehensive panel summary report that summarizes the scores and comments of the panel.

ANA Internal Review

In addition to the scores and ranking that the panel review process generates, your application will be further scrutinized by ACF and ANA based on eligibility requirements, funding considerations, availability of funds, and, sometimes, even if you pass all of that, your project might be approved but not funded. The scores provided by the panel reviewers determine where your application ranks in the funding range but the application score alone does not determine if you will be funded.

There are several disqualification factors that will result in your application being deemed non-responsive and ineligible for competitive review or funding. Please make sure to review these disqualification factors, as well as a listing of activities which are ineligible for funding under Section III.3 Other of the current Funding Opportunity Announcement.

ANA also has Administrative Policies that inform applicants on what it will consider, in addition to the evaluation criteria, when making funding decisions. These are listed in the FOA under Administrative Policies in Section I. Please refer to Section I of the current FOA prior to submitting your application.

Availability of Funds

Grant awards are made based on the availability of appropriated funds, and may be awarded in amounts in excess of or less than the amount requested or under such circumstances as may be deemed to be in the best interest of the Federal Government. Applicants may be required to reduce or modify the scope of projects based on the amount of the approved award.

Unsuccessful Applicants

ANA provides unsuccessful applicants in the form of information and assistance. ANA wants to help those who did not receive funding to improve their application so that they may be more successful in subsequent years.

Review Comments

A summary report of application strengths and weaknesses is provided to unsuccessful applicants so that they can understand the basis of their score and how to strengthen the application for possible re-submittal during the next competition.

Unfunded Application Technical Assistance

ANA Training and Technical Assistance Providers reach out to unsuccessful applicants and are able to provide a comprehensive review of the application and reviewer comments and guidance in strengthening the application.

Submitting the Application, the Following Year

Applicants are encouraged to re-apply for ANA funding during the next funding cycle after making appropriate revisions to the application. Many applicants who have taken advantage of technical assistance and made revisions to the applications have succeeded in obtaining higher scores, some in the funding range, in the following year's competition.

Requests for Information

ANA staff cannot respond to requests for information regarding funding decisions prior to the official applicant notification. Once official notification is provided, ANA will post information on the funded grantees on the ANA website.

Conclusion

ANA's mission is to help create healthy and economically self-sufficient communities that preserve their culture and native languages and protect natural resources and the environment.

While ANA funding is competitive, ANA offers a variety of training and technical assistance to help your community achieve its goals. Once you have identified a project that will help you address the current community condition, ANA Training and Technical Assistance Providers can help you develop an application for ANA funding consideration. In addition to the training provided in this workshop, ANA Training and Technical Assistance Providers are available to review the application and provide guidance and recommendations prior to submitting the application. After you have developed at least 75% of your application, you can contact your technical assistance provider for a review of the proposal. Information for the regional training and technical assistance centers can be found on the ANA website at: http://acf.hhs.gov/ana.

Thank you for your interest in ANA. This training and manual are meant to reflect ANA's commitment to assisting Native communities in their endeavor to achieve self-sufficiency. We hope the content of this manual has you given the confidence to develop and submit a sound proposal that benefits your community.

Appendices

Appendix A: Sample Narrative for Mock Panel Review Activity

EXPECTED OUTCOMES

Our community is comprised of 300 citizens. We are located in a rural area and have to travel great distances for shopping, jobs and other services.

Long-term Community Goal: The one long-term community goal that we wanted to focus on reaching for this project was to have every member in our community earn a living wage that would enable them to be self-sufficient and live a comfortable life.
Our long-term community goal was identified by a strategic planning process where all community members were invited to participate. Out of a community of 400 members, 15 adults, 5 elders and 3 youth representatives participated. The participants decided that the top priority is getting members into living wage jobs and reducing reliance on social assistance.
Current Community Condition: Currently, there are several barriers standing in the way of reaching our long-term goal. Those barriers include:
High Unemployment - 43% (117 individuals ages 18-57);
32 Single parent families being supported by one income or no income;
Substance abuse among the adults and youth;
Low numbers (8 individuals) who have completed some kind of post high school education.

Our project will be focusing on the low numbers who have completed some kind of post-secondary education.
Project Goal: The goal of our project is to increase the number of community members who are armed with skills and the education to acquire a living wage job that will allow them to be self-sufficient.
Objectives: 20% of the unemployed members in our community will complete a post-secondary or trade apprentice program by the end of year three.
Outcomes and Indicators: 20% of our community members will be certified as an apprentice in construction, plumbing, electrical or welding or enrolled in a post-secondary program on their way to earning a degree.
Outputs: Each participant will successfully fill out an application for admission into a vocational training program or college, apply for financial aid, and access support services that will help strengthen study skills and increase the success rate of completing the certification or degree earning program chosen.

Appendix B: Requirements for a Business Plan (If Necessary)

BUSINESS PLAN

When federal grant funds will be used to support a business operation, provide a business plan. The business plan at a minimum shall include:

- An executive summary
- A description of the industry
- A description of the products or services to be produced, sold, or marketed
- Market research
- A marketing plan
- An operational plan
- An assessment of risks and assumptions
- Financial statements (if already in operation)
- Projected operational costs

Appendix C: Successful Project Strategies and Common Challenges

The information below was gathered by ANA from former grantees in an effort to provide applicants with first-hand accounts of how best to manage and implement community projects. The following list is a collection of the most commonly shared suggestions regarding Best Practices and Challenges.

THE SEVEN BEST PRACTICES MOST FREQUENTLY CITED BY GRANTEES ARE:

1. Form partnerships and collaborations;
2. Ensure community support throughout;
3. Market/share project successes with community;
4. Project activities should be culturally appropriate;
5. Project/staff flexibility is key;
6. Hire motivated and competent staff; and
7. Have organized/standardized record-keeping.

All projects encounter challenges. During impact visits, grantees are asked to list and discuss the challenges encountered during implementation.

THE ELEVEN CHALLENGES MOST COMMONLY REPORTED BY GRANTEES ARE:

1. Staff turnover;
2. Late start;
3. Overambitious project scope;
4. Geographic isolation and travel related issues;
5. Lack of expertise;
6. Challenges with ANA processes;
7. Underestimated project cost;
8. Underestimated personnel need;
9. Partnership fell through;
10. Lack of community support during implementation; and
11. Hiring delays.

Appendix D: Cost Principles: Selected Items of Cost

The next two pages provide a graphic of the allowability of selected elements of cost detailed in the regulations. It is important to read the specific requirements located in sections 75.421 through 75.475 of CFR 45 if you have questions about specific costs.

Cost Description	Allowable	Prior Approval Required	Not Allowable
Advertising and Public Relations - read regulations			
Advisory Councils - read regulations			
Alcoholic Beverages			X
Alumni/ae Activities			X
Audit Services	X (with restrictions)		
Bad Debts			X
Bonding Costs	X		
Collections of Improper Payments	X		
Commencement and Convocation Costs			X (with exception)
Compensation - Personal Services - read regulations	X		
Compensation - Fringe Benefits	X		
Conferences	X		
Contributions and Donations - read allowability of contributions to the Tribe or organization			X
Defense and Prosecution of Criminal and Civil Proceedings, Claims, Appeals and Patent Infringements - some exceptions			X
Depreciation	X		
Employee Health and Welfare Costs	X		
Entertainment Costs			X
Equipment and Other Capital Expenditures		X	
Exchange Rates		X	

Cost Description	Allowable	Prior Approval Required	Not Allowable
Fines, Penalties, Damages and Other Settlements - some exceptions			X
Fund Raising and Investment Management Costs		X - If to meet Federal program objectives	
Gains and Losses on Disposition of Depreciable Assets - read regulations			
General Costs of Government			X
Goods or Services for Personal Use			X
Idle Facilities and Idle Capacity			X - two exceptions
Insurance and Indemnification	X		
Intellectual Property	X		
Interest - read regulations			
Lobbying			X
Losses on Other Awards or Contracts			X
Maintenance and Repair Costs	X		
Materials and Supplies Costs, including Costs of Computing Devices	X		
Organization Costs		X	
Proposal Costs	X		
Publication and Printing Costs	X		
Rearrangement and Reconversion Costs – read regulations		X	
Recruiting Costs	X		
Relocation Costs of Employees	X - based on specific criteria		
Rental Costs of Real Property and Equipment – read regulations	X		

Cost Description	Allowable	Prior Approval Required	Not Allowable
Selling and Marketing - direct costs only		X	
Specialized Service Facilities	X -specific conditions		
Student Activity Costs			X
Taxes	X		
Termination Costs	X		
Training and Education Costs	X		
Transportation Costs	X		
Travel Costs – read regulations	X		
Trustees Travel and Subsistence Costs	X		

Appendix E: Summary of CFR 45 Part 75

The Department of Health and Human Services adoption of the Office of Management and Budget Guidance in 2 CFR Part 200 has been codified into 45 CFR Part 75. The objective of the 2 CFR Part 200 reform is to reduce both administrative burden and risk of waste, fraud and abuse.

The purpose of the Federal financial management regulations is to ensure that government funds are used by governments and organizations efficiently and effectively to provide the services and/or goods authorized by the Federal agency that awarded the funds. They also ensure that the governments and organizations financial management systems provide accurate, reliable, and timely financial information to the Federal government.

On December 26, 2013 the Office of Management and Budget (OMB) issued 2 CFR Part 200 which consolidates eight OMB Circulars. On December 19, 2014 the Department of Health and Human Services has codified the regulations into 45 CFR Part 75.

The management of an Administration for Native Americans grant requires a working knowledge of the financial assistance rules and regulations and basic cost contained in 45 CFR Part 75. Below is a summary of 45 CFR Part 75. It is important that the full regulations be referenced for information about each of the areas covered by the regulations.

The circular is organized as follows:

Part 75 – Subpart A: Acronyms and Definitions
Part 75 – Subpart B: General Provisions
Part 75 – Subpart C: Pre-Federal Award Requirements and Contents of Federal Awards
Part 75 – Subpart D: Post Federal Award Requirements
Part 75 – Subpart E: Cost Principles
Part 75 – Subpart F: Audit Requirements

45 CFR Part 75 – Subpart A – Acronyms and Definitions

Combines the definitions from the administrative requirements and cost principles circulars into a single list. In addition to the definitions detailed in 2 CFR Part 200, HHS has added definitions for awardee, commercial organization, departmental appeals board, excess property, expenditure report, grantee, HHS awarding agency, and principal investigator/program director. Several of the key terms include:

FIXED AMOUNT AWARDS. Is a type of grant agreement under which the Federal awarding agency or pass-through entity provides a specific level of support without regard to actuals costs incurred under the Federal award.
MICRO-PURCHASE. A purchase of supplies or services using simplified acquisition procedures, the aggregate amount of which does not exceed the micro-purchase threshold.

Performance Goal. A target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate.

PROTECTED PERSONALLY IDENTIFIABLE INFORMATION. An individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts.

45 CFR Part 75 – Subpart B – General Provisions

Establishes the uniform administrative requirements, cost principles and audit requirements for Federal awards to non-Federal entities. It explains that in circumstances where the provisions of Federal statutes or regulations differ the Federal statutes or regulations govern and specifically references the Indian Self-Determination and Education and Assistance Act. States the specific programs that the cost principles do not apply to. It does allow for exceptions in 75.102 if recommended by the Federal agency and approved by OMB. The effective date for full implementation will be awards issued after December 26, 2014 and audits of fiscal years beginning on or after December 26, 2014. Non-Federal agencies must disclose in writing any potential conflicts of interest. Also all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

45 CFR Part 75 – Subpart C - Pre-Federal Award Requirements and Contents of Federal Awards

75.201 Use of Grant Agreements, Cooperative Agreements, and Contracts

Information on the award instrument which includes grant agreements, cooperative agreement, or contracts. It also allows for fixed amount awards. The Federal agency will determine the appropriate instrument.

75.202 Requirement to Provide Public Notice of Federal Financial Assistance Programs

Requires the Federal awarding agency to notify the public of Federal programs in the Catalog of Federal Domestic Assistance. Specific information must be provided to GSA about the Federal program.

75.203 Notices of Funding Opportunities

Requires a public notice of funding opportunities for competitive grants and cooperative agreements.

75.204 Federal Awarding Agency Review of Merit Proposals

Requires the Federal awarding agency to design and execute a merit review process for applications for competitive grants or cooperative agreements.

75.205 Federal Awarding Agency Review of Risk Posed by Applicants

Requires the Federal awarding agency to conduct a review of risk posed by applicants. The Federal agency may use a risk-based approach and may consider any items such as:

Financial stability; Quality of management systems and ability to meet the management standards; History of performance; Reports and findings from audits; and Applicant's ability to effectively implement statutory, regulatory, or other requirements.

75.206 Standard Application Requirements

Including forms for applying for HHS financial assistance, and state plans.

75.207 Specific Award Conditions

Provides authorization to impose specific award conditions as needed for applicants with a history of failure to comply with terms and conditions of a Federal award, fails to meet expected performance goals, or otherwise not responsible.

75.211: Public Access to Federal Award Information

Implements the statutory requirement for Federal spending transparency which requires the Federal awarding agency to announce all Federal awards publicly and publish on the OMB designated website. Currently www.USAspending.gov

75.212 Suspension and Debarment

75.217 Participation by Faith-Based Organizations

The funds must be administered in compliance with the standards in 45 CFR Part 87.

45 CFR Part 75 – Subpart D – Post Award Requirements

75.301: Performance Measurement

The Federal awarding agency must require the recipient to relate financial data to performance accomplishments of the Federal award.

When applicable, recipients must also provide cost information to demonstrate cost effective practices. The recipient's performance should be measured in a way that will help the Federal awarding agency and other non-Federal entities to improve program outcomes, share lessons learned, and spread the adoption of promising practices.

75.302: Financial Management

The financial management system must provide for: Retention, methods of transfer, transmission and storage of information. Identification, in its accounts, of all Federal awards received and expended and the Federal programs under which they were received. Accurate, current, and complete disclosure of financial results of each Federal award or program. Records that identify adequately the source and application of funds. Effective control over, and accountability for, all funds, property, and other assets. Comparison of expenditures with

budget amounts. Written procedures to implement the payment requirements. Written procedures for determining the allowability of costs in accordance with the cost principles.

75.303: Internal Controls

The non-Federal entity must establish and maintain effective internal control over the Federal award which is in compliance with guidance in "Standards for Internal Control in the Federal Government".

75.305: Payments

Payments must minimize the time elapsing between the transfer of funds from the Federal government and the disbursement of funds. Payments must be paid in advance, provided the non-Federal entity maintains written procedures that minimize the time elapsing between the transfer of funds and disbursement and systems that meet the standards for fund control and accountability. Reimbursement is the preferred method when the requirements cannot be met.

If the non-Federal entity does not meet standards but cannot operate without an advance a working capital advance may be made available. Rebates, refunds, contract settlements, audit recoveries, and interest must be used first before requesting an advance. All advances must be placed in an interest bearing account unless the non-Federal entity receives less than $120,000 in Federal awards, interest earned would not exceed $500 per year, depository requires a high average or minimum balance, or a foreign government or banking system prohibits or precludes interest bearing accounts. The first $500 of interest earned may be retained for administrative expenses.

75.306 Cost Sharing or Matching

Cost sharing or matching must meet the following requirements: Verifiable from the non-Federal entity's records, Not included as contributions for any other Federal award, Necessary and reasonable for accomplishment of project objectives, Allowable under the cost principles,

Not paid by the Federal government under another Federal award, except where the Federal statute authorizes use of funds for cost sharing or matching, Provided for in the approved budget. The regulations contain additional information on the valuation of donated services, property, indirect costs, land, and equipment.

75.307 Program Income

Program income is defined as gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance. Proceeds from the sale of real property or equipment are not program income; such proceeds will be handled in accordance with the post federal award requirements.

There are three methods for treatment of program income:

- Deduction
- Addition
- Cost sharing or matching

The HHS Grants Policy Statement goes into further detail on the use of program income alternatives in the table below.

Table 1: Use of Program Income Alternatives

Alternative	Use of Program Income
Additive	Added to funds committed to the project or program and used to further eligible project or program objectives
Deductive	Deducted from total allowable costs of the project or program to determine the net allowable costs on which the Federal share of costs will be based
Matching	Used to satisfy all or part of the non-Federal share of a project or program
Combination	Uses all program income up to (and including) $25,000 as specified under the additive alternative and any amount of program income exceeding $25,000 under the deductive alternative

Note: ANA always uses the addition method for program income. If the Federal award does not specify in its regulations or terms and conditions of the Federal award, the program income will be deduction. For Institutions of Higher Education or non-profit research institutions if not specified the program income will be addition. If addition or cost sharing or matching methods are authorized any program income in excess of any amounts specified must also be deducted from expenditures. There are no Federal requirements governing the disposition of income earned after the end of the period of performance for the Federal award unless the Federal awarding agency regulations or the terms and conditions of the Federal award provide otherwise.

75.308 Revision of Budget and Program Plans

The budget must be related to performance for program evaluation purposes when appropriate. For non-construction Federal awards, recipients must request prior approvals for the following:

1. Change in the scope or the objective of the project
2. Change in key personnel
3. Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved project director or principal investigator
4. Costs requiring prior approval as defined in the cost principles
5. Transfer of funds budgeted for participant support costs. Participant support costs are defined as direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees in connection with conferences, or training projects. Transfer or contracting out of any work under the Federal award unless described in the application and funded in the

approved Federal award. This does not apply to acquisition of supplies, material, equipment or general support services
6. Changes in the amount of approved cost-sharing or matching
7. A fixed amount sub-award as described in 75.353
8. The recipient wishes to dispose of, replace, or encumber title to real property, equipment, or intangible property that was acquired or improved with a Federal award
9. Federal awarding agencies may waive certain prior approvals
10. Incur costs 90 days prior to award
11. Initiate a one-time extension of the period of performance by up to 12 months
12. Carry forward unobligated balances to subsequent periods of performance
13. The HHS awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions and activities if the amount exceeds $150,000 or 10% of the total budget amount (ACF uses 25% instead of 10% for the ceiling for transfers)
14. The need for additional funds

75.309 Period of Performance

Costs may be charged only during the period of performance or 90 days prior to the period of performance if authorized by the Federal awarding agency.

75.310 Insurance

Must be the equivalent of coverage as provided to property owned by the non-Federal entity.

75.316 Real Property

Will be used for the originally authorized purpose. When no longer needed must secure disposition instructions from the Federal awarding agency.

75.319 Federally-owned and exempt property

75.320 Equipment

Title will vest with the non-Federal entity.

Equipment must be used by the non-Federal entity in the program or project for which it was acquired as long as needed. When no longer needed by project or program it can be used in the following ways: Activities under Federal award from the Federal awarding agency which funded the original project, Activities under Federal awards from other Federal awarding agencies

The non-Federal entity must make the equipment available for use on other projects or programs provided that such use does not interfere with the work on the projects or program for which it was originally acquired. Equipment cannot be used to provide services for a fee that is less than private companies charge for equivalent services. When acquiring replacement equipment, the non-Federal entity may use the equipment to be replaced as a trade-in

There must be written procedures for managing and maintenance equipment.

Property records must include the following:

- Description of property
- Serial number
- Source of funding
- Who holds title
- Acquisition date
- Acquisition cost
- Percentage of Federal participation
- Location
- Use and condition
- Ultimate disposition

A control system must be developed to safeguard the equipment

Disposition of equipment:

- Equipment with a current fair market value of $5,000 or less may be retained, sold or otherwise disposed of with no further obligations to the Federal awarding agency
- Equipment with a fair market value of $5,000 or more the non-Federal agency must secure disposition instructions. If instructions are not received in 120 days the regulations detail how to handle the disposition

75.321 Supplies

Title to supplies upon acquisition vest with the non-Federal entity upon acquisition. If the residual inventory of unused supplies exceeds $5,000 upon completion or termination of project and not needed for other Federal awards, the non-Federal entity must compensate the Federal government for its share.

If the Federal government retains an interest in the supplies, they cannot be used to provide services for a fee that is less than private companies charge for equivalent services.

75.322 Intangible Property

Intangible property is defined as property having no physical existence, such as trademarks, copyrights, patents and patent applications and property, such as loans, notes and other debt instruments, lease agreements, stock and other instruments of property ownership.

Title to intangible property acquired under a Federal award vests upon acquisition in the non-Federal entity. There are a number of conditions about use, please read the regulations if applicable.

PROCUREMENT STANDARDS

75.327 General Procurement Standards

- Non-Federal entity must use its own documented procurement procedures

- Must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders
- Must maintain written standards of conduct covering conflicts of interest and governing the performance of its employees engaged in the selection, award and administration of contracts
- Must maintain written standards of conduct covering organizational conflicts of interest
- Procedures must avoid acquisition of unnecessary or duplicative items
- Non-Federal entity is encouraged to enter into state and local intergovernmental agreements or inter-entity agreements where applicable
- Encouraged to use Federal excess and surplus property
- Encouraged to use value engineering clauses in contracts for construction projects
- Must award contracts only to responsible contractors possessing the ability to perform successfully
- Must maintain records sufficient to detail the history of the procurement
- Can only use time and materials contracts if no other contract is suitable

75.328 Competition

All procurement transactions must be conducted in a manner providing full and open competition.

75.329 Methods of Procurement to be followed

MICRO-PURCHASES. Micro-purchase is the purchase of supplies which do not exceed $3,500 in the aggregate. They may be awarded without soliciting competitive quotations if the price is reasonable. Small Purchase Procedures. Small purchase procedures cannot exceed the Federal **SIMPLIFIED ACQUISITION THRESHOLD**. Price or rate quotations must be obtained from an adequate number of qualified sources. The Federal Simplified Acquisition Threshold is $150,000.

SEALED BIDS. The following conditions must exist for sealed bids to be feasible:

- A complete, adequate, and realistic specification is available
- Two or more responsible bidders are able to compete
- The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price
- The following requirements apply:
- The invitation for bids (IFB) will be publicly advertised and solicited from an adequate number of suppliers
- The IFB will include any specifications and pertinent attachments
- All bids will be publicly opened
- A firm fixed price contract will be made in writing to the lowest responsive and responsible bidder
- Any or all bids may be rejected for documented reason

COMPETITIVE PROPOSALS. Competitive proposals are used when conditions are not appropriate for the use of sealed bids. The following conditions apply:

- Must be publicized and identify all evaluation factors and their relative importance
- Solicited from an adequate number of qualified sources
- Must have a written method for conducting technical evaluations and selecting recipients
- Awarded to the firm whose proposal is most advantageous to the program, with price and other factors considered

NON-COMPETITIVE PROPOSALS. Solicitation through only one source. May be used only when the following circumstances apply:

- Item is available only from a single source
- Public exigency or emergency will not permit a delay
- Authorized by the funder
- After solicitation of a number of sources, competition is determined inadequate

75.330 Contracting with Small and Minority Businesses, Women's Business Enterprises, and Labor Surplus Area Firms.

The non-Federal entity must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible.

75.331 Procurement of Recovered Materials

Procuring only items designated in guidelines of the Environmental Protection Act that contain the highest percentage of recovered materials practicable.

75.332 Contract Cost and Price

The non-Federal entity must perform a cost or price analysis in connection with every procurement action in excess of the Simplified Acquisition Threshold.

75.333 Federal Awarding Agency or Pass-Through Entity Review

The non-Federal entity must make available upon request procurement documents when requested or when:

- The procurement procedures or operations fails to comply with procurement standards
- Is to be awarded without competition
- Specifies a "brand name"
- Is awarded to other than the apparent low bidder under a sealed bid procurement
- A proposed modification changes the scope of the contract amount

The non-Federal entity may request that its procurement system be reviewed by the Federal awarding agency or the non-Federal entity may self-certify its procurement system.

75.334 Bonding

75.341 Financial Reporting.

The current OMB financial report is the Federal Financial Report or the SF-425. The report can be required no less frequently than annually and no more frequently than quarterly without OMB approval.

75.342 Monitoring and Reporting Program Performance

The non-Federal entity is responsible for oversight of the operations of the Federal award supported activities to assure compliance with requirements and performance expectations are being achieved. This must cover each activity.

The performance reports must have OMB approval. Performance reports will be required no less frequently than annually and no more frequently than quarterly without OMB approval. Annual reports will be due 90 calendar days after the reporting period and quarterly or semiannual reports will be due 30 calendar days after the reporting period.

75.343 Reporting on Real Property

75.352 Requirements for Pass-Through Entities

75.353 Fixed Amount Sub awards

75.361 Retention Requirements for Records

All records and supporting documents must be retained for three years from the date of submission of the final expenditure report or for awards that are renewed quarterly or annually from the date of the submission of the quarterly or annual financial report.

If any litigation, claim, or audit is started before the expiration of the 3-year period the records must be retained until resolved. Also if the awarding agency notifies the non-Federal entity in writing to retain records.

Property and equipment records must be retained for three years after final disposition.

75.363 There are a number of requirements for records collection, transmission, and storage. Also access to records in 75.364.

75.371 Remedies for Noncompliance

A non-Federal entity that fails to comply with Federal statutes, regulations, or the terms and conditions, the HHS awarding agency or pass-through entity may impose additional conditions.

75.339 Termination

75.343 Closeout

45 CFR Part 75 – Subpart E – Cost Principles

75.401 Application

The principles must be used in determining the allowable costs of work performed by the non-Federal entity under Federal awards.

75.402 Composition of Costs

The total cost of a Federal award is the sum of the allowable direct and indirect costs.

75.403 Factors Affecting Allowability of Costs

- Must be necessary and reasonable
- Conform to any limitations or exclusions in the cost principles or the federal award
- Be consistent with policies and procedures
- Be accorded consistent treatment
- Be determined in accordance with generally accepted accounting principles
- Not included as a cost or used to meet cost sharing or matching requirements of any other federally-financed program
- Be adequately documented

The regulations also address direct and indirect costs and cost allocation plans. 75.416 speaks to special considerations for States, Local Governments and Indian Tribes and discusses cost allocation plans and indirect cost proposals.

45 CFR Part 75 – Subpart F – Audit Requirements

75.501 Audit Requirements

A non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program specific audit conducted for that year.

75.504 Frequency of Audits

Audits required by this part must be conducted annually with the following exceptions:

An Indian tribe that is required by constitution or statute, in effect on January 1, 1987, to undergo its audits less frequently than annually, is permitted to undergo its audits pursuant to this Part biennially.

Any nonprofit organization that had biennial audits for all biennial periods ending between July 1, 1992 and January 1, 1995 is permitted to undergo its audits pursuant to this Part biennially.

75.512 Report Submission

The audit must be completed and the required data collection form and reporting package must be submitted within the earlier of 30 calendar days after receipt of the auditor's report or nine months after the end of the audit period.

Note: The management of an ANA grant requires a working knowledge of the financial assistance rules and regulations and basic cost principles of HHS. HHS rules and regulations are contained in Title 45 of the Code of Federal Regulations (45 CFR). More detailed information on how HHS implements the CFRs is in the Grants Policy Statement (currently under revision), available at: http://www.acf.hhs.gov/grants-forms in the middle of the page under Certifications.

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