

# MANUAL

2020

# Pre-Application

Developed by the ANA Regional T/TA Centers

Alaska Region • Eastern Region • Pacific Region • Western Region

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# What is in this manual

- Reading the ANA Funding Opportunity Announcement (FOA) and understanding eligibility requirements.
- Writing an application narrative in response to an ANA FOA which clearly describes the current community condition, project goal, and approach.
- Completing Federal forms and packaging the application.
- Applying through Grants.gov.

# About the Administration for Native Americans (ANA)

ANA is committed to helping build strong Native communities and believes a 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 enhance governance and programmatic management capacity for Alaska Native villages to empower them to promote social and economic self-sufficiency for Alaska Natives .

Under the SEDS program area, ANA also provides funding for Social and Economic Development Strategies – Growing Organizations (SEDS-GO) projects. SEDS-GO is designed to provide financial assistance to small Tribes and Native organizations that need to build internal capacity in order to better serve the communities where services are provided. Although it is not required to have a

three-year project, the funding opportunity will allow the flexibility for one year of planning and two years of project implementation.

### 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.

### 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.

### Community-Based Projects

ANA funds community-based projects. Historically, these are the most successful projects as well. This means that during the project planning and development phase, the community played a significant role in identifying the project focus and the solutions proposed. Projects that do not include community input often experience significant delays in start-up and implementation.



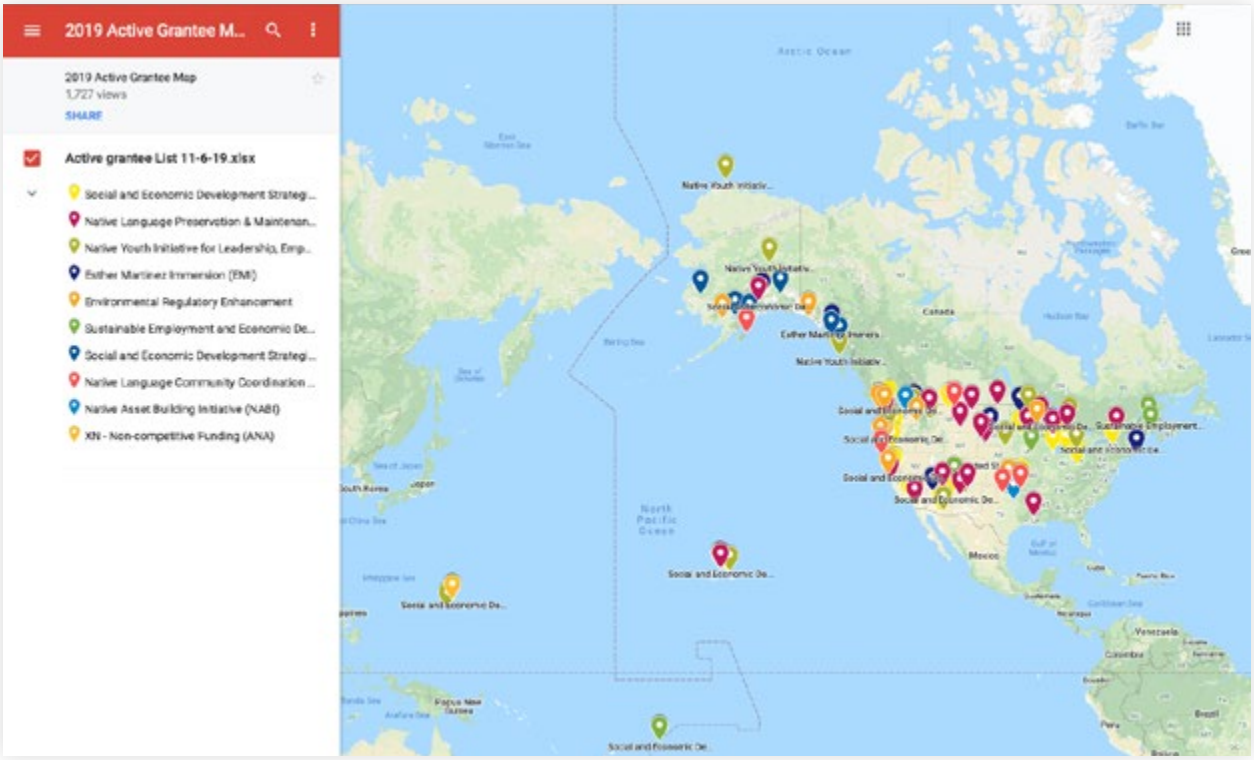
**Note:**

The term “community” may refer to

- A Tribe
- An Organization (non-profit)
- A Geographical Community
- A subset of a Tribe/Organization - such as projects focused on capacity building. In this case, the “community” may be primarily staff / tribal council members etc

Know how you are defining “community” before you begin.

# Current Grantees




**Note:**

**For examples of current and past projects go to:**
https://www.acf.hhs.gov/ana/current-grantees

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# Getting Started

# Grant – Project – Application

How many times have you heard someone say they are writing a grant?

- An application is the formal request to ANA for funding to complete a proposed project.
- A grant is the agreement between the grantee and the funding organization which finances the project.
- A project is a series of activities that will be completed in order to reach a specific outcome(s).

This manual will guide you through the process of putting together an ANA application. It will also guide you through the steps needed to submit the ANA application. After completing the activities in this manual applicants should have a solid outline of their narrative, data tracking strategy, workplan and budget to include in the ANA application. Additionally, this manual provides guidance on applying through Grants.gov using Workspace and the forms necessary for the formal submission of the application.

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**If further assistance is needed, please contact your regional T/TA Center:**

### Alaska Region
http://www.anaalaska.org
Toll free: 1.800.948.3158

### Eastern Region
http://www.anaeastern.org
Toll free: 1.888.221.9686

### Pacific Region
http://www.anapacificbasin.org
Toll free: 1.844.944.9544

### Western Region
http://www.anawestern.org
Toll free: 1.855.890.5299

# Navigating the Funding Opportunity Announcement (FOA)

A Funding Opportunity Announcement (FOA) is a document that is published by a Federal agency to announce a grant opportunity. FOAs can be found on Grants.gov, which is the Federal Government's official website for grant announcements. This document contains all the official information needed to submit an application (e.g., requirements, deadline, eligibility, reporting, etc.)

ANA issues six separate FOAs for the following program areas under three Catalog of Federal Domestic Assistance (CFDA) numbers:

### CFDA 93.612

- Social and Economic Development Strategies (SEDS)
- Social and Economic Development Strategies – Alaska (SEDS-AK)
- Social and Economic Development Strategies for Growing Organizations (SEDS-GO)

### CFDA 93.581

- Environmental Regulatory Enhancement (ERE)

### CFDA 93.587

- Language Preservation and Maintenance (P&M)
- Esther Martinez Immersion (EMI)

When putting together your ANA application, be sure to read the applicable FOA thoroughly and follow all instructions closely. Keep in mind that while applicants can submit multiple applications under each CFDA number, at this time, only one project can be funded under each of the CFDA numbers. It is important that the project be relevant to the FOA the application is submitted under. Lastly, ANA will not fund the same project more than once.



**Note:**
If anything in this manual conflicts with the FOA, always defer to the FOA.

## Overview of the Structure and Content of FOAs

The ANA FOAs are all structured as described below.

Executive Summary. This section provides information on the purpose of the funding.

**Section I. Program Description.** This section provides information on ANA's mission and goals, a description of the program area the FOA addresses, the purpose of the program area, ANA's areas of interest for the program area addressed by the individual FOA, the ANA project framework, project monitoring tools, key project features to be addressed in the application, and ANA administrative policies.

All applications must include a project idea that specifically addresses the purpose of the program area outlined in the FOA.

The Program Areas of Interest provides examples of the types of projects that could be implemented to address the purpose of the FOA. This list is only meant to help clarify the purpose of the FOA. Examples are limited and do not represent the only project ideas that you could implement. You are not required to use one of the areas of interest as the focus of your application.

The ANA project framework, project monitoring tools, OWP

and key project features are also explained in this section. These parts of the section form the foundation for your project and how you implement it. All parts discussed here will be evaluated by reviewers using ANA's scoring criteria.

Section I. concludes with the ANA administrative policies which defines specific policy requirements, limitations, conflict of interest standards, and federal evaluation.

**Section II. Federal Award Information.** This section details the type of funding instrument, estimated total funding, expected number of awards, the minimum and maximum amount of federal funds that can be requested each year of the project, the average projected award amount, the anticipated project start date, and the length of projects.

The information provided in section II helps in the planning of your project (e.g. determining start and end dates for activities, knowing the maximum federal funding that can be requested per year, and understanding how long a project can be). Some of this information also relates to disqualification factors listed in the next section.

**Section III. Eligibility Information.** This section contains information on who is eligible to apply for funding, the cost sharing or matching requirement, projects that are ineligible for funding, and application disqualification factors. Should you need clarification of any of this information, contact the ANA Help Desk or your Regional Training and Technical Assistance Center.

**Section IV. Application and Submission Information.** The information included in this section addresses how to request an application package (also available at www.Grants.gov), formatting the application and page limitations, required application elements and organization of files for uploading to

https:// www.Grants.gov, and required standard and Office of Management and Budget (OMB) approved forms. Key to this section is the structure of the application and the information to be contained in each component of the application.

The Project Description describes the content of the narrative. Information is provided on formatting the table of contents, the elements of the project summary, defining expected outcomes which includes the outcome tracker, writing the project approach which includes organizational capacity, how to complete the objective work plan (OWP), and preparing a project budget. There are a number of elements to each of the components, so it is important that you address each piece of information required. Also included is the application submission options, instructions for electronic submission, and the due date for applications.

**Section V. Application Review Information.** This section explains how the applications will be reviewed and provides the specific evaluation criteria and the points assigned to each criterion.

**Section VI. Federal Award Administration Information.** This section details specific conditions for those applicants that receive an award and the reporting requirements for the grant.

**Section VII. HHS Awarding Agency Contact(s).** This section lists the ANA Program Office and the Office of Grants Management contact information.

**Section VIII. Other Information.** The other information provides reference websites and the application checklist that can be used as a guide when preparing the application package.

**Appendices**

A. Contains information on budgeting for travel to the required ANA meetings.
B. Provides important definitions.
C. Supplies a sample format for the Outcome Tracker.
D. Provides an example of the Assurance of Community Representation on Board of Directors.



**NOTE: The official funding opportunity announcements take precedence over any material in this manual.**

Remember, it is important to carefully read, understand and closely follow the instructions provided in the entire FOA.

## Understanding FOA Section V.I Criteria

Each application will be evaluated and scored using the criteria in this section of the FOA, therefore it is important to understand this section and align your application with each part of the criteria. This manual will guide you through the criteria step-by-step.

**This section includes a set of three main criteria, its corresponding sub-criteria, and the elements (1-6 per sub-criteria) used for evaluation.**

### Three Main Criteria

| | |
|---|---|
| **Approach** | **– Max 76 points** |
| **Organizational Capacity** | **– Max 12 points** |
| **Budget & Budget Justification** | **– Max 12 points** |

Applications should fully address ALL sub-criteria and their corresponding elements in order to maximize points obtained during the review process.

**NOTE: Bonus Points will be given to SEDS projects that address one or more of the following priority areas: Native Elders, Veterans, First Responders, Murdered Missing and Indigenous Women (MMIW), or Anti-Human Trafficking.**




## Introduction

Start your application narrative with a brief description of your Tribe/Organization. This introduction should be a broad description which provides the Reviewer an overview of the applicant Tribe/Organization at the present time. Limit your introduction to one or two pages and try to refrain from describing the entire history of your Tribe/Organization.

Part of the description should include the geographic location of the Tribe/Organization and any project site(s) outside of the Tribe/Organization's location. Also include a summary of demographic information which can be enhanced in other sections.

It is helpful to include a description of any unique identifiers important for the reviewers to better understand your community, for example if the project will be in a rural farming community, urban setting, or a remote location with high travel and shipping costs. Other factors to describe might be a small/large population, the local economy, and expensive modes of transportation.

**EXAMPLE**

The Pine Creek Farmers' Market Co-op (PCFMC) is located in a small rural setting 150 miles from the nearest city in southeast Colorado. The Pine Creek Tribe has 1126 members spread across 30 square miles. The PCFMC was started ten years ago after obtaining an ANA grant to start 4 small farming businesses. It exists to generate revenue through sales of fresh fruits and produce. Due to our semi-remote location we have higher shipping costs in/out of our community, which are passed onto our Tribal members.

ACTIVITY

## Getting Started

**Write a Brief Project Introduction**
Describe the following: geographic location, project sites, demographic summary, unique Identifiers.




# Criterion 1

## Approach

### Max Pts: 76

## Approach | Max Pts: 76

The Approach section will contain the majority of your application narrative and should describe the following in detail:

1. **ANA Project Framework**
    a. Long-Term Community Goal
    b. Current Community Condition
    c. Project Goal
    d. Objectives
    e. Outputs
    f. Outcomes and Indicators
2. **Outcome Tracker and Outcome Tracking Strategy**
3. **Community-Based Strategy**
4. **Readiness and Implementation Strategy**
5. **Objective Work Plan**

## ANA Framework

**Long-term Community Goal (0-2 points)**

1. The application clearly justifies why the proposed project was selected to address the identified long-term community goal.

**Current Community Condition (0-3 points)**

2. The application clearly provides a statement with one specific current community condition that is limited to the scope of the proposed project.

3. The application effectively provides baseline information about the project's current community condition.

**Project Goal (0-3 points)**

4. The project goal for the proposed project clearly addresses the current community condition.

5. The application demonstrates that the project goal specifically relates to the purpose of the FOA as described in Section I. Program Description, SEDS Program Purpose.

**Objectives (0-6 points)**

6. The application identifies one to three clear objectives, each of which includes all components of TTIP (target, timeline, indicator, and population). No more than three objectives are included in the application.

7. The objectives effectively describe a measurable achievement.

8. The application describes how the objectives clearly address the current community condition.

9. All objectives lead to the achievement of the project goal.

**Outputs (0-4 points)**

10. The application describes each objective's resulting outputs (products and/or services) and their significance to the project.

11. The application demonstrates that outputs are achievable within the established timeframe.

**Outcomes and Indicators (0-6 points)**

12. The application states one primary outcome for each objective that clearly describes the expected change as a result of the project.

13. The application explains how each primary outcome aligns with the corresponding objective.

14. 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.

## Long-Term Community Goal (0-2 points)

Long-term community goals should capture an ideal state the community is moving toward. Projects are developed with the intent of bringing the community closer to these goals. Well defined projects demonstrate that the community or organization has a clear sense of direction and focus. Many tribes and organizations 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 strategic planning documents generated by members of that organization.

**Element**

**1. The application clearly justifies why the proposed project was selected to address the identified long-term community goal.**

To address this element, state the long-term community goal. Next, describe how the long-term community goal was defined and the role the community/Tribe/organization played in long-term goal development. Lastly, describe how the project was selected and how it will bring the community/Tribe/organization a step closer to reaching the long-term community goal.

**EXAMPLE**

**Long-term Community Goal:** Pine Creek tribal members are healthy, vibrant and self-sufficient. This long-term community goal was identified by the Tribe during the last strategic planning meeting two years ago. Surveys were sent out to the entire community to determine what priorities the community felt needed to be addressed over the next 5 years. The survey results showed 8 priorities and food sovereignty was number three on the list. The Tribal Council determined during the strategic planning meeting that the Tribal Farmers' Market Co-op was the department best suited to address this goal.

As a department we have met with local farmers and surveyed the community's needs and through those results it was determined that community members are unable to purchase the local fruits and vegetables currently being produced. To address this the Co-op reached out to local farmers and through many committee meetings the project plan was developed to introduce new technologies to increase production and reduce costs to the consumer.

ACTIVITY

# Long-Term Community Goal

**Write your long-term community goal statement identified for this project:**

**Briefly describe how the proposed project was selected and how it will bring the community closer to reaching the long-term community goal.**

**(Identify where this statement is found – for example:**
comprehensive plan documents, mission statements , vision statements, strategic planning documents, or other source)

## Current Community Condition (0-3 points)

***2. The application clearly provides a statement with one specific current community condition that is limited to the scope of the proposed project.***

***3. The application effectively provides baseline information about the project's current community condition.***

The current community condition is a gap or barrier that is preventing the community from achieving the long-term community goal. 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. The project should measurably reduce or eliminate the condition and bring the community closer to obtaining the long-term goal.

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.

**Element**

**2. The application clearly provides a statement with one specific current community condition that is limited to the scope of the proposed project.**

Your application should be focused and to the point. While many conditions may exist, your community should prioritize which one to address with this project. When addressing this

element the current community condition statement should:

- Be one sentence in length,
- Be compelling and urgent,
- Contain a measure of the current condition,
- Be bolded/italicized to call it out in the narrative, and
- Not include “lack of” or “need for”.

**For Language Projects - P&M and EMI:**

Language projects have an additional element under the Current Community Condition sub-criterion.

Element

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

To address this element the application must fully describe the current status of the language by explaining the following:

a. current number of fluent and emerging speakers with details to indicate fluency levels;

b. current language learning resources available for use within the community;

c. a description of the existing language program(s); and

d. participation in language preservation by current and emerging language speakers.

**EXAMPLE**

**Current Community Condition:** Fresh produce in our community costs 5 times the state average.

ACTIVITY

## Current Community Condition

| **Restate the Long-Term Community Goal.** |
| --- |
| |

| **Write the Current Community Condition Statement:** |
| --- |
| |

**Element**

**3. The application effectively provides baseline information about the project's current community condition.**



**NOTE:**
Baseline information refers to the statistics which provide the status of the current condition. This data is the basis for determining the change of the identified condition through the successful completion of the project.

Lay the groundwork for reviewers to understand the current community condition and to accurately determine if your approach is viable. By providing this baseline information, you are painting a picture to use as a comparison for future improvements and success. Make sure to support your claims with facts and evidence.

When addressing this element, it is important to only include information which is related to a baseline for the single identified condition. For example, if the project is about preserving a native language then baseline information about unemployment and poverty data may not be relevant .

Data for the baseline information can come from surveys, focus groups, research papers/studies, census, archives, etc. Use data that has been collected within the last 3 to 5 years. Provide local data first that speaks directly to your community to be served (community rates for:  unemployment, suicide, poverty etc.) and if local data is not available move progressively outward to regional and statewide sources.
It is often helpful to compare local statistics to regional and statewide statistics to show the severity of the condition.
For example, our community's unemployment is 5 times the statewide level.

**EXAMPLE**

**Baseline of the Current Community Condition**

Our department conducted a survey in 2018 and the results showed that our community members would like to purchase more fresh produce but cannot due to the high cost. Comparison studies reported in the 2019 statewide farming report cited that our community pays five times the cost for fresh fruits and produce. The report mentioned two main reasons for the increase in costs: outdated farming techniques used by local farmers resulting in low production; and high rates of spoilage due to warehousing and shipping from outside the community.

ACTIVITY

# Current Community Condition

**Provide the status of the current community condition (baseline data):**

**What sources were used?**

## Project Goal (0-3 points)

***4. The project goal for the proposed project clearly addresses the current community condition.***

***5. The application demonstrates that the project goal specifically relates to the purpose of the FOA as described in Section I. Program Description, SEDS Program Purpose.***

The project goal is a statement describing what is to be achieved by the project's implementation and/or what role the project will play in addressing the current community condition. It can describe a reduction or resolution of a negative condition, or it can describe an expanded capacity to successfully address the current community condition.

**Element**

**4. The project goal for the proposed project clearly addresses the current community condition.**

The project goal should be written as a single statement which is to the point and reflects the scope of the project. There should be a direct correlation between the current community condition and the intended result of the project. Consider if the project goal will move the community closer to realizing the long-term community goal.

Additionally, while the long-term community goal represents an ideal that may be achieved years from now, the project goal should be achieved by the end of the project period. Be sure the goal is achievable within the timeframe allotted for the project.

The project goal statement should:

- Be one sentence in length
- Reduce/Improve/Eliminate the Current Community Condition
- Be realistic

**EXAMPLE**

**Project Goal:** Reduce fresh produce cost to the community by implementing farming innovations.

ACTIVITY

## Project Goal

| **Write your project goal statement in one sentence:** |
| --- |
| |

| **Describe how the project goal addresses the current community condition:** |
| --- |
| |

**Element**

**5. The application demonstrates that the project goal specifically relates to the purpose of the FOA as described in Section I. Program Description, SEDS (EMI, ERE, PM, SEDS-AK) Program Purpose.**

To address this element, go to Section I of the FOA under the sub-heading "SEDS Program Purpose" (each FOA will have a distinct program purpose for that program area). For SEDS, there are three main concepts: Social Development, Economic Development and Governance. Choose at least one concept, and clearly describe the relationship between the project goal and the chosen concept.



**EXAMPLE**

**Example of Relationship to SEDS Program Purpose**

Our project goal relates to two concepts within the SEDS Program Purpose: Social and Economic Development. The project will address economic development by improving farming techniques to expand the types of crops grown by local farmers. Additionally, it will address social development by providing a service to improve the health and well-being of our community members by providing fresh produce at a reduced cost.

ACTIVITY

# Project Goal

**Describe how the project goal relates to the purpose of the FOA:**

## Objectives (0-6 points)

***6. The application identifies one to three clear objectives, each of which includes all components of TTIP (target, timeline, indicator, and population). No more than three objectives are included in the application.***

***7. The objectives effectively describe a measurable achievement.***

***8. The application describes how the objectives clearly address the current community condition.***

***9. All objectives lead to the achievement of the project goal.***

Objectives are the larger building blocks that need to be achieved to reach the project goal and improve the current community condition. ANA permits a maximum of three project objectives for the entire project period. The format for ANA's objectives is TTIP: Timeline, Target, Indicator and Population.

**Element**

**6. The application identifies one to three clear objectives, each of which includes all components of TTIP (target, timeline, indicator, and population). No more than three objectives are included in the application.**

ANA limits the number of objectives to encourage projects that are manageable within the allotted project period. You may find that you only need one objective for your project while others may need all three. Objectives can operate sequentially, where the second objective is dependent upon completing the first. Or they can operate concurrently, where activities for one objective are started around the same time as another. Consider how your TTIP components will change depending on the situation that applies to you.

Each objective must include the following four TTIP components:

- Timeline: a time by which the objective will be achieved
- Target: a measurement for the intended amount of change
- Indicator: a measurable sign that something has been done or achieved
- Population: a specific group on which the program is intending to focus

Each objective should only include ONE of each of the TTIP components. If you find that your objective has multiple targets or addresses more than one population, then more than one objective should be developed.

The more concise, and specific your objectives are, the easier it will be for a reviewer to understand your project approach and the project team to implement the project. We highly recommend labeling each of the TTIP components of the objective as seen in the example below.

**EXAMPLE**

**Example TTIP Objective 1**
By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target).

ACTIVITY

## Objectives

**Write your TTIP Objective with each of the components labeled in parentheses.**

**TTIP Mad Lib:**

The following can be used to write the TTIP objective(s):

By _____(When=Timeline) _____(Who=Population) will increase/decrease/improve

_____(What=Indicator) by/to _____(How Much=Target).

**Timeline** – When the objective will be accomplished

**Population** – The specific group the objective will focus on

**Indicator** – The thing that will change/increase/decrease/improve after achieving the objective

**Target** – The amount of change (increase/decrease/improvement) that will be achieved

**Element**

**7. The objectives effectively describe a measurable achievement.**

To address this element, make sure the target is tied to the indicator and not the population. The target should be achievable within the timeframe and the indicator should clearly define what change will take place within the timeframe.

Targets can be defined in many ways: whole numbers, percentages, level changes, scales, and professionally- or self-identified targets. Whichever measure is chosen, be sure to describe exactly what that Target means within the narrative. Using the objective below notice the target is directly related to the indicator and provides a measure of how much the cost is expected to be reduced for a selection of produce by the end of the project.



**EXAMPLE**

Objective 1 has a measurable achievement of reducing the costs on a selection of 6 vegetables and 3 fruits (indicator) by 40% (target). Current costs of these items have been obtained (baseline). Once the objective has been achieved (36 months - end of the project) the cost of the same items will be presented to show the measurable reduction in cost.

**NOTE:**
When using a percentage for a target the baseline information must be provided so the reviewer will have a reference point for determining the amount of change that will occur. For example, in the objective above, if the objective will reduce the cost of 6 fruits and 3 vegetables by 40% - the reviewer needs to know the current cost of these items.

ACTIVITY

## Objectives

**Describe an objective's measurable achievement.**

**Element**

**8. The application describes how the objectives clearly address the current community condition.**

When addressing this element describe the relationship between the objective's achievement and the anticipated change (reduce, eliminate, improve) it will bring to the current condition. In some instances, this relationship may seem obvious with the intimate knowledge you possess about your community; however, you will want to specifically draw the correlation for the reviewer.



**EXAMPLE**

Using the current community condition and objective mentioned previously we will provide a sample description below.

**Current Community Condition:** Fresh produce in our community costs 5 times the state average.

**Objective 1**
By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target).

**Sample explanation:**
Based on our survey results lower income families are purchasing higher amounts of processed foods due to the high cost of fruits and vegetables. Achieving the objective of reducing the cost on a selection of fruits and vegetables by 40% should assist lower income families to purchase more fresh produce thereby preparing healthier meals for their household. This will bring an improvement in the community condition two-fold by 1) lowering cost and 2) increasing the availability of fresh produce needed to prepare healthier meals.

ACTIVITY

## Objectives

**Describe the anticipated change in the community condition as a result of achieving the objective.**

### Element

**9. All objectives lead to the achievement of the project goal.**

As previously mentioned, Objectives are the building blocks needed to reach the project goal. Objectives should be achieved by the end of the project period (12, 24 or 36 months – EMI can be up to 60 months). It should be clear to the reviewer that successful execution of each objective brings you one step closer to achieving the project goal.

When addressing this element describe the relationship between the objective's achievement and reaching the project goal.

**EXAMPLE**

Using the project goal and objective mentioned previously we will provide a sample description below.

**Project Goal**
Reduce fresh produce cost to the community by implementing farming innovations.

**Objective 1**
By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target).

**Sample explanation:**
The current methods of farming have high production costs with a lower volume of harvested crops. By assisting our farmers to use new technologies it is anticipated that fresh produce will have lower production costs and an increased volume of harvested crops going to market. This will allow our local farmers to pass the cost savings on to our community members.

ACTIVITY

## Objectives

| Describe how the objective(s) lead to the goal. |
| --- |
| |

# Outputs (0-4 points)

***10. The application describes each objective's resulting outputs (products and/or services) and their significance to the project.***

***11. The application demonstrates that outputs are achievable within the established timeframe.***

Outputs are the products and/or services that are directly tied to the accomplishment of milestone activities in the objective work plan (OWP). These might include curricula, training sessions, or number of participants, among other things. As you complete your narrative and your OWP, more outputs will become evident.

When addressing this element, it is important to maintain consistency with the outputs listed in the OWP. List each output from the OWP and describe why it is significant for achieving the objective and why the timeframe is appropriate for realizing the output.

A table might be helpful to draw the correlations:

| **Objective:** | | |
|---|---|---|
| **Outputs** | **Significance** | **Timeframe** |
| | | |

**NOTE:**
If an output is listed several times it is only necessary to describe it once.

**Example**

**Objective:**
By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target).

| Outputs | Significance | Timeframe |
|---|---|---|
| 4 MOUs | The farmers are agreeing to work with the co-op during the project period. | Within the first few months of the project. |
| 4 greenhouses<br>4 hydroponic systems<br>4 raised bed systems<br>Organic / Non GMO practices established | These are the new innovations that will allow increase in production and reduced costs to farmers which will be passed to consumer. | Installed in year one – implemented in years 2 and 3. |
| Data Collection Protocols<br>Data Collection Tools | Policies/Procedures.<br>Spreadsheets. | These will be developed near the end of year one and implemented in years 2 and 3. |
| 8 volunteers | Will assist the farmers and learn farming practices to maintain crops and prepare crops for market. | Recruited end of year 1 continue in years 2 and 3 with maintaining crops/market preparation. |
| 6 varieties of vegetables, 3 varieties of fruit | Pilot selection of crops. | Planted and harvested in years 2 and 3. |

ACTIVITY

# Outputs

| Objective 1: | | |
|---|---|---|
| **Outputs** | **Significance** | **Timeframe** |
| | | |

| Objective 2: | | |
|---|---|---|
| **Outputs** | **Significance** | **Timeframe** |
| | | |

| Objective 3: | | |
|---|---|---|
| **Outputs** | **Significance** | **Timeframe** |
| | | |

## Outcomes and Indicators (0-6 points)

***12. The application states one primary outcome for each objective that clearly describes the expected change as a result of the project.***

***13. The application explains how each primary outcome aligns with the corresponding objective.***

***14. The application proposes viable indicators that quantify what will be changed by each outcome in a way that can be effectively observed and measured.***

Outcome(s) are the expected change(s) that happen as a result of successfully completing the project's objective(s); typically, these changes are seen at the community/organizational level. Outcomes can include the change in the intended knowledge, awareness, attitudes, skills, behaviors, etc. **ANA requires one primary outcome per objective.** Outcomes are measured through the indicator(s).



**NOTE:**
Outcomes may be the same for all objectives – or they can be different. In either case,you must identify an outcome for each objective. Outcomes are **NOT** the same as the indicator, project goal, or long-term community goal.

Recall from the previous section that indicators are directly written into the objective. The indicator is what will change/increase/decrease/improve after achieving the objective; and the target tells how much change will occur. Use the indicator (what will change) and the target (quantifiable measure) from the corresponding objective to address the elements of this section.

**NOTE:**
It is highly suggested that you complete the Outcome Tracker prior to writing the narrative for this criterion. The Outcome Tracker will provide you with a visual layout of each item that needs to be described.

**Example**

| **Objective 1:**<br>By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the consumer cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target). | |
|---|---|
| **Outcome** | **Indicator** |
| Community members will have increased access to affordable fresh produce. | Reduce the consumer cost on a selection of 6 vegetables and 3 fruits. |

**Elements**

**12. The application states one primary outcome for each objective that clearly describes the expected change as a result of the project.**

**13. The application explains how each primary outcome aligns with the corresponding objective.**

**14. The application proposes viable indicators that quantify what will be changed by each outcome in a way that can be effectively observed and measured.**

As mentioned above each objective will have only one primary outcome seen at the community/organizational level. Although the objective, indicator + target and outcomes are all closely tied together, they are not the same. Achieving the objective

(indicator + target) results in change which is measured at the project level. The outcome is an anticipated change that can be observed/measured at the community level.

**To address these three elements, follow five steps:**

1. State your project goal.
2. State the outcome for each objective.
3. State the indicator and its associated target (found in the objective).
4. Describe how the indicator in the objective will lead to the corresponding outcome.
5. Describe how the outcome will result in accomplishing the goal.



**EXAMPLE**

**Project Goal**
Reduce fresh produce cost to the community by implementing farming innovations.

**Outcome 1**
*Community members will have increased access to affordable fresh produce.*

**Target + Indicator for Objective 1:**
Reduce the consumer cost on a selection of 6 vegetables and 3 fruits by 40%

**Sample explanation:**
Based on the results from the community survey conducted in 2018 our community members stated they would buy more fresh produce if it was affordable. The project goal is to reduce produce costs to the community. By reaching Objective 1 the cost to the consumer will be reduced on a selection of 6 vegetables and 3 fruits by 40%. Therefore, by completing this objective the expected outcome of increasing the availability of affordable produce to the community will be reached.

**For Language Projects - P&M and EMI:**

Language projects have an additional element under the Outcomes and Indicators sub-criterion

Element

Each outcome proposed aligns to one of the following categories: 1. Increased language fluency, 2. Increased community member use of language learning resources, 3. Language teachers certified, 4. Increased capacity to implement a language program.

Under the P&M or EMI FOA each objective in the application must include a primary outcome that aligns to one of four the categories required by ANA.

To address this element, state the Objective and specify which category the primary outcome aligns with. Do this for each objective.

**Categories:**

1. Increased language fluency,
2. Increased community member use of language learning resources,
3. Language teachers certified,
4. Increased capacity to implement a language program

| Objective | FOA Category for the Outcome |
|---|---|
| **Objective 1:** By the end of 36 months (timeline), there will be a 60 percent increase (target) in language fluency levels (indicator) for immersion language nest students (population). | Aligned with Outcome Category #1 Increased language fluency.<br><br>**Outcome for Objective 1:** Immersion language nest students will have improved fluency in their language. |

ACTIVITY

## Outcomes

| Project Goal: |
| --- |
| **Outcome for Objective 1:** |
| **Target + Indicator for Objective 1:** |
| **Narrative Explanation:** |
| **Outcome for Objective 2:** |
| **Target + Indicator for Objective 2:** |
| **Narrative Explanation:** |
| **Outcome for Objective 3:** |
| **Target + Indicator for Objective 3:** |
| **Narrative Explanation:** |

# Outcome Tracker & Outcome Tracking Strategy (0-7 points)

***15. The application includes an outcome tracker that is consistent and shows logical connections between the long-term community goal, current community condition, project goal, objectives, outcomes, indicators, and outputs.***

***16. The application fully identifies an accurate and viable means for measuring each indicator, which can be effectively and consistently used by the project team to show the progress a project is making toward achieving primary outcome(s).***

***17. The outcome tracker 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.***

***18. The application provides clear and detailed information describing the plan and staffing to collect, manage, and analyze the outcome tracking data.***

### Outcome Tracker

An outcome tracker must be developed for each project objective. The outcome tracker aligns information from the project framework with a means for measurement and annual targets for achievement. The outcome tracker is designed to support project staff in monitoring progress during project implementation. The outcome tracker should include information that is consistent with components of the ANA Project Framework that are logically connected.

Provide an outcome tracker which includes the following components for each project objective:

- Long-term community goal,
- Current community condition,
- Project goal,
- Objective,

- Primary outcome,
- Indicator,
- Means of measurement and
- Outputs.

The long-term goal, current condition, project goal and objectives should all be identically worded throughout the narrative. The copy and paste function is your new best friend. Similarly, the indicator should also be copied word-for-word from the objective. Being consistent is especially important if more than one person is helping you draft your application. It helps avoid confusion for reviewers as they score your application.

Each indicator must be measured using the same method throughout each project year and three-year post project timeframe.

The outcome tracker must also identify benchmarks for the indicator at the following points in time:

1. Baseline (beginning of project)
2. End of each project year
3. 3-year post project

The 3-year post project target is the anticipated data point for three years after the grant funding has ended. This will measure the intended growth or sustainability of the desired change.

We **HIGHLY** recommend using the table format on the following page to develop the Outcome Tracker. The table allows the reviewers to clearly see the logical connections of the ANA framework required for this section.

## (Project Name) Outcome Tracker

**Long-Term Community Goal:**

**Current Community Condition:**

**Project Goal:**

**Objective**:

| Outcome | Indicator | Means of Measurement | Baseline | Project Year 1 | Project Year 2 | End of Project | 3-Yr Post |
|---|---|---|---|---|---|---|---|
| | | | | | | | |

**Outputs**:

**Element**

**15. The application includes an outcome tracker that is consistent and shows logical connections between the long-term community goal, current community condition, project goal, objectives, outcomes, indicators, and outputs.**

The outcome tracker is a tool an applicant can utilize to to clearly demonstrate the logical connections between these components. For this reason, it is important that this tool reflect your narrative and stated project approach.

To address this part of the criteria be sure to use an outcome tracker that demonstrates the logical connections between each of the ANA Project Framework components previously identified: long-term community goal, current community condition, project goal, objectives, outcomes, indicators, and outputs.



**NOTE:**
The outcome tracker tool will be used to track data during implementation and can be easily explained in the Outcome Tracking Strategy section.

Using the examples provided previously, below is the initial layout for the outcome tracker for the objective:

| **Pine Creek Co-op Outcome Tracker** | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Long-Term Community Goal:**<br>Our community members are healthy, vibrant and self-sufficient. | | | | | | | |
| **Current Community Condition:**<br>Fresh produce in our community costs 5 times the state average. | | | | | | | |
| **Project Goal:**<br>Reduce fresh produce cost to the community by implementing farming innovations. | | | | | | | |
| **Objective**:<br>By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the consumer cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target). | | | | | | | |
| **Outcome** | **Indicator** | **Means of Measurement** | **Baseline** | **Project Year 1** | **Project Year 2** | **End of Project** | **3-Yr Post** |
| Community members will have increased access to affordable fresh produce | Reduce the consumer cost on a selection of 6 vegetables and 3 fruits | | | | | | |
| **Outputs**:<br>4 greenhouses, 8 volunteers, 6 varieties of vegetables, 3 varieties of fruit | | | | | | | |

Another example of the Outcome Tracker can be found in Appendix C of the FOA

**Element**

**16. The application fully identifies an accurate and viable means for measuring each indicator, which can be effectively and consistently used by the project team to show the progress a project is making toward achieving primary outcome(s).**

Many FOA elements require that you provide a method by which you can prove that you have done what you said you would do. This is true here, as well. The means of measurement, that is the tool or methodology used for collecting data, must be directly tied to the indicator you described above; and it will be used to collect the data necessary to track your stated target. You will need to consider the qualitative measures that address your objective.

Additionally, you'll want to consider what is possible for you to track given your current capacity and staffing. For example, if you know that your rural location has poor internet service, then online surveys may not be the most viable option as a means of measurement.

To address this element of the criterion be sure to state the indicator exactly as it is written in the objective. If you are using the recommended table format copy the wording directly from the objective and paste it into the indicator column.

Considering the indicator, define what you will use as a means of measurement to show the expected change in the indicator. If you are using the recommended table format, enter that means of measurement into the appropriate column.

## Pine Creek Co-op Outcome Tracker

**Long-Term Community Goal:**
Our community members are healthy, vibrant and self-sufficient.

**Current Community Condition:**
Fresh produce in our community costs 5 times the state average.

**Project Goal:**
Reduce fresh produce cost to the community by implementing farming innovations.

**Objective**:
By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the consumer cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target).

| Outcome | Indicator | Means of Measurement | Baseline | Project Year 1 | Project Year 2 | End of Project | 3-Yr Post |
|---|---|---|---|---|---|---|---|
| Community members will have increased access to affordable fresh produce | **Reduce the consumer cost on a selection of 6 vegetables and 3 fruits** | **Consumer Cost of**:<br>Spinach<br>Kale<br>Tomatoes<br>Asparagus<br>Squash<br>Broccoli<br>Strawberries<br>Raspberries<br>Lemons | | | | | |

**Outputs**:
4 greenhouses, 8 volunteers, 6 varieties of vegetables, 3 varieties of fruit

**Element**

**17. The outcome tracker 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.**

In order to track project progress, it is important to establish the baseline data point. The baseline is the current status of the variable(s) you will be tracking in the established means of measure. Typically, this is determined pre-project or as one of the first activities of your project.

The Year 1, Year 2, and End of Project data points are the benchmarks demonstrating progress toward achieving the objective. The numbers provided for the benchmarks will be estimates determined at this time based on the completion of activities each year. Benchmarks indicate a change of the variable(s) being measured. They can be whole numbers or percentages, or they can be established standards of measure. For example, a language project might identify "Novice" or "Intermediate" as a benchmark. The same means of measurement should be used to measure each variable at different points in time. The data points will be analyzed each year to determine the success in meeting the benchmarks.

The 3-year post project measurement is a projection of the continued change of the indicator which leads to sustainability of the proposed outcome. The projection is based on the strategy stated in the sustainability section of the application. It is highly suggested to revisit the projection made here after the sustainability plan has been written to ensure the projection is still relevant to the proposed strategy and funding level.

In our example below, the consumer cost of the different variables, (kale, spinach, etc.) is the means of measurement. In this example, no cost reduction is expected in Years 1 and 2 because the activities will be focused on learning and implementing new farming technologies. In Year 3 of the project, the data point reflects the improved farming techniques which will reduce the costs.

**Pine Creek Co-op Outcome Tracker**

**Long-Term Community Goal:**
Our community members are healthy, vibrant and self-sufficient.

**Current Community Condition:**
Fresh produce in our community costs 5 times the state average.

**Project Goal:**
Reduce fresh produce cost to the community by implementing farming innovations.

**Objective**:
By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the consumer cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target).

| Outcome | Indicator | Means of Measurement | Baseline | Project Year 1 | Project Year 2 | End of Project | 3-Yr Post |
|---|---|---|---|---|---|---|---|
| Community members will have increased access to affordable fresh produce | Reduce the consumer cost on a selection of 6 vegetables and 3 fruits | **Consumer Cost of**:<br>Spinach<br>Kale<br>Tomatoes<br>Asparagus<br>Squash<br>Broccoli<br>Strawberries<br>Raspberries<br>Lemons | <br>$2.69 bn<br>$1.99 bn<br>$4.99 lb<br>$5.99 lb<br>$2.49 lb<br>$3.39 lb<br>$4.99 lb<br>$5.49 lb<br>$1.79 ea | **No Reduction** | **20% Reduced**<br>$2.15 bn<br>$1.59 bn<br>$3.99 lb<br>$4.79 lb<br>$1.99 lb<br>$2.71 lb<br>$3.99 lb<br>$4.39 lb<br>$1.43 ea | **40% Reduced**<br>$1.61 bn<br>$1.19 bn<br>$2.99 lb<br>$3.59 lb<br>$1.49 lb<br>$2.03 lb<br>$2.99 lb<br>$3.29 lb<br>$1.07 ea | **Maintain 40% Reduction** |

**Outputs**:
4 greenhouses, 8 volunteers, 6 varieties of vegetables, 3 varieties of fruit

ACTIVITY

# Outcome Tracking

| (Project Name) Outcome Tracker | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Long-Term Community Goal:** | | | | | | | |
| **Current Community Condition:** | | | | | | | |
| **Project Goal:** | | | | | | | |
| **Objective**: | | | | | | | |
| **Outcome** | **Indicator** | **Means of Measurement** | **Baseline** | **Project Year 1** | **Project Year 2** | **End of Project** | **3-Yr Post** |
| | | | | | | | |
| **Outputs**: | | | | | | | |

| Required Elements | Consider the Following |
|---|---|
| **Means of Measurement** | What method will be used to measure the change of the objective? |
| **Baseline** | What is the starting point for the variable being measured? |
| **Benchmark targets for the end of each project year**<br>• Project Year 1<br>• Project Year 2<br>• End of Project<br>• 3-year Post-Project | What is the estimated change in the variable each year? |

**Outcome Tracking Strategy**

The outcome tracking strategy is a narrative which describes the processes, tools and staff that will be used to collect, analyze and store project related data. The Outcome Tracking Strategy narrative should include the following information:

A. An explanation of how the means of measurement, baseline and benchmarks for each project year (Year 1, Year 2, End of Project) were determined for each objective's outcome tracker; as well as the 3-Year Post Project target.

B. Provide details to describe the following items:

- What data will be collected,
- How often data will be collected,
- Who will collect and analyze the data,
- What systems/tools will be used to capture and store data, and
- How data will be used during the project period and in the future.

**NOTE:**
If you are collecting sensitive information on project participants, describe the protocols that will be used to ensure that the information is securely maintained and not shared.

To begin this section of the narrative it is important to start with an introductory explanation of the Outcome Tracker and its contents.

1. Explain how the baseline was determined – or will be determined in the early activities of project implementation.
2. Explain how the means of measurement was chosen and how the collection of the data will lead to the successful

achievement of the targeted indicator in the objective.

3. Explain how the benchmarks for each Project Year were determined and how they are achievable within the given project timeframe.
4. Describe how the 3-Year Post project target ties to the sustainability and the reasonableness of the projected continuation. (Note: If there will be limited funding to continue post-project, do not overestimate here.)

**Element**

**18. The application provides clear and detailed information describing the plan and staffing to collect, manage, and analyze the outcome tracking data.**

To address this element, detail the outcome tracking strategy within your narrative by providing detailed responses to the following questions:

1. What types of data that will be collected?
   - increase in knowledge and skills through self-reporting surveys and pre- and post-tests, water/soil/air sample results, costs
2. How often will data be collected?
   - weekly, monthly, quarterly, or annually
3. Who will collect and analyze the data?
   - staff, volunteers, consultants, participants, partners
4. What systems/tools will be used to capture and store data?
   - spreadsheets, databases, file folders in locked cabinets, documents, computer servers, cloud servers
5. How will data be used now and, in the future?
   - to make improvements, to secure future funding, to provide updates to stakeholders, to create other projects

ACTIVITY

## Outcome Tracking Strategy

**Describe the details of the outcome tracking plan for the project using the previous 5 questions.**

## Objective Work Plan (0-15 pts)

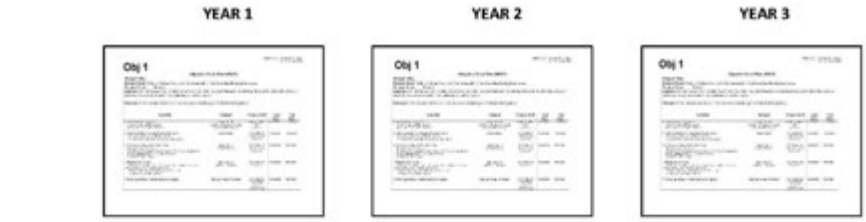
The OWP is a standalone document that mirrors the project's implementation plan and identifies all the key elements of the project description including the project goal, objectives, milestone activities, outputs and outcomes, staff responsible, and time-frame for the completion of each activity. Key project elements in the OWP should reflect those stated in the project narrative and support consistency throughout the application. The OWP identifies how (through key activities), when (by established timeframes for key activities), and by whom (staff responsible for activity completion) the project will be implemented.



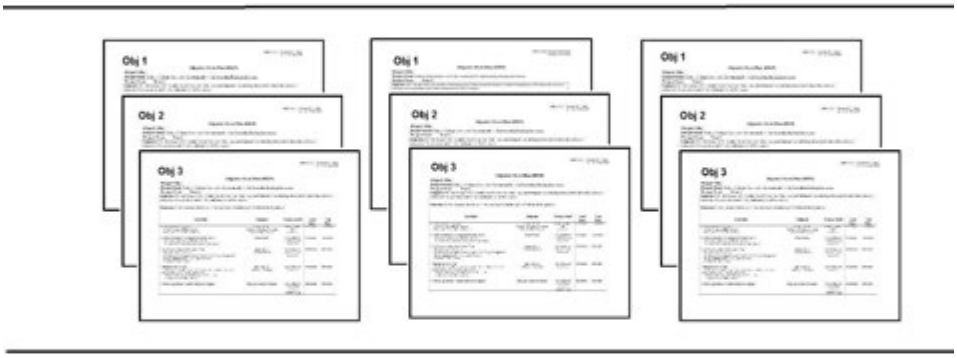
**TIP:**
At this point – it is suggested to switch to developing the Objective Work Plan. Then come back to the narrative to address the rest of the sub-criteria in the Approach criterion of the application.

An OWP should be provided for each objective and for each budget period needed to complete the objective.

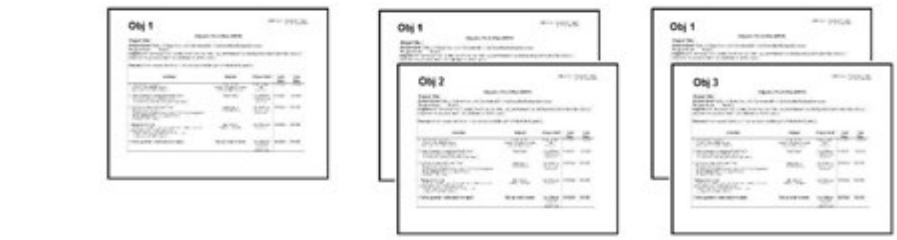
**Example 1**




**Example 2**



**Example 3**



This year there is the option to use the OMB approved forms found on the ANA website or the Grants.gov website. There is also an online version in the Grants.gov Workspace environment for each FOA.

- MS Word version of the OWP form can be downloaded from ANA's website at https://www.acf.hhs.gov/ana/resource/objective-work-plan
- Grants.gov PDF (fillable) version of the OWP form can be downloaded from the Grants.gov Forms/SF-424 Family page at https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1
- Workspace online version of the OWP found in Workspace will be a part of the application package.

You can upload either the MS Word or the approved fillable PDF versions into the Workspace environment instead of using the online version in Workspace. This is done using the Other



**NOTE:**
This method is suggested as the OWP can be completely filled in and the narrative can then be written to explain it. Additionally, the information from the MS Word or the Grants.gov PDF will not need to be copied and pasted into the online version which allows for less chance of errors.

Attachment Files(s) upload.

**How to fill in the OWP form:**

1. Copy and paste the Project Title, Project Goal and related Project Objective, and Outcome into the appropriate spaces at the top of the form.
2. Fill in the Project Year (budget year) for the OWP.
3. Each OWP should list the milestone activities needed to successfully achieve each objective and associated outputs. Each objective can have a maximum of 25 milestone activities for each budget period (12 months, exclusive of the ANA Administrative Activities described in 7 below).
4. Each milestone activity should have an associated timeframe in which the activity will be completed.
5. The OWP should include an output for each milestone activity. Outputs in the OWP should logically result from the successful completion of the associated milestone activity, within the given timeframe.
6. All milestone activities should be listed in chronological

order by start date and define who (lead and support) will ensure the activity is implemented.

7. ANA also requires that Administrative Activities listed below be included under one objective for each year of project implementation. These should be placed after all milestone activities, and do not count towards the 25 milestone activities.

8. The ANA Administrative Activities are as follows:

   - Project staff orientation
   - Establish federal system account access and official grant file
   - Post Award Training (1st year of project only)
   - Grantee Meeting
   - Data collection and evaluation
   - Reporting (OPR, ADR, SF-425, DPM)



**NOTE:**
It is suggested to label each of these "ADMINISTRATIVE" as done in the following example.

## Objective Work Plan (OWP) Example

**Project Title:** Pine Creek Farming Innovations

**Project Goal:** Reduce fresh produce cost to the community by implementing farming innovations.

**Project Year:** Year 1

| **Objective 1:** By the end of 36 months (Timeframe) the Tribal non-profit farmers' market (Population) will reduce the cost on a selection of 6 vegetables and 3 fruits (Indicator) by 40% (Target). | | | **Project Year:** 1 | |
|---|---|---|---|---|
| **Outcome:** Community members will have increased access to affordable fresh produce. | | | | |
| **Activities** | **Outputs** | **Project Staff** | **Start Date** | **End Date** |
| 1. Hire Agricultural Coordinator<br><br>Vet job description (HR), and post Screen, interview & select candidate | Signed Job offer<br>Staff file with hiring documents (W4, benefits form, etc.) | Project Director,HR Admin Asst | 9/30/2020 | 12/30/2020 |
| 2. Initiate Community Communication Plan for Year 1<br>• press release about award/introduce project<br>• recruitment of community participants on social media | Press Release | Project Director Communication Team | 9/30/2020 | 10/30/2020 |
| 3. Finalize MOUs with the 4 local farmers. | 4 MOUs | Project Director Agricultural Coordinator | 10/30/2020 | 11/30/2020 |
| 4. Farming Innovations Trainings<br>a. Install and set-up greenhouse<br>b. Install and set-up hydroponics<br>c. Organic/Non GMO methods<br>d. Raised bed methods<br>e. Track produce output<br>f. Track produce cost | Sign-in sheets<br>Meeting Minutes | Project Director Agricultural Coordinator Admin Asst | 11/30/2020 | 07/29/2021 |
| 5. Farming Innovations Implementation<br>a. Install and set-up greenhouse<br>b. Install and set-up hydroponics<br>c. Organic/Non GMO methods<br>d. Raised bed methods | 4 greenhouses<br>4 hydroponic systems<br>4 raised bed systems<br>Organic / Non GMO practices established | Project Director Agricultural Coordinator<br>4 Farmers | 12/30/2020 | 08/29/2021 |
| 6 Recruit Greenhouse Volunteers | Ads in:<br>Social Media<br>Newsletter<br>Website | Project Director Communication Team | 08/01/2021 | 9/29/2021 |
| ADMINISTRATIVE: Establish federal system account access and official grant file | Accounts are ready for project implementation | Project Director Financial Manager | 9/30/2020 | 10/30/2020 |
| ADMINISTRATIVE: Orientation<br>Onboard Administrative and Project Staff – review ANA workplan, policies and procedures<br>Meet with Partners | Signed Employee Handbooks<br>Signed Volunteer Handbooks<br>Handout Copies of Work Plan | All Staff | 9/30/2020 | 12/31/2020 |

| Activities | Outputs | Project Staff | Start Date | End Date |
|---|---|---|---|---|
| ADMINISTRATIVE: Implement Outcome Tracking Strategy<br>Design spreadsheets, databases, purchase software<br>Collect data at regularly scheduled intervals<br>Analyze data quarterly | Data Collection Protocols<br>Data Collection Tools<br>Data Analysis Quarterly Reports | Project Director<br>All Staff | 9/30/2020 | 9/29/2021 |
| ADMINISTRATIVE: Reporting (ANA Bi-annual and Annual, PMS Quarterly/Bi-annual/Annual) | OPR, ADR, FSR, etc. reports submitted | Project Director<br>Financial Manager | 9/30/2020 | 9/29/2021 |
| ADMINISTRATIVE: Attend ANA Post Award Training | Staff development<br>Travel expense documentation | Project Director<br>Financial Manager | 11/1/2020 | 01/30/2021 |
| ADMINISTRATIVE: Attend ANA Grantee Meeting | Staff development<br>Travel expense documentation | Project Director<br>Proj Coordinator | 02/01/2020 | 02/30/2021 |

See the table below for the start and end dates of the budget periods for each ANA program area.

| Funding Opportunity Announcements | Budget Period Start Date | Budget Period End Date |
|---|---|---|
| SEDS | 9/30 | 9/29 |
| SEDS AK | 9/30 | 9/29 |
| ERE | 9/30 | 9/29 |
| PM | 7/1 | 6/30 |
| EMI | 7/1 | 6/30 |

## Community-Based Strategy (0-10 points)

***19. The application documents how the community to be served and/or the target population was involved in developing the project (e.g. stakeholder meeting agenda, sign-in sheets, surveys, focus group notes, etc.).***

***20. The application demonstrates that the applicant organization has a connection to the community to be served including the ability to directly work with the project participants/beneficiaries.***

***21. The application clearly documents on-going outreach activities to maintain community awareness throughout the project's implementation.***

### Element

**19. The application documents how the community to be served and/or the target population was involved in developing the project (e.g. stakeholder meeting agenda, sign-in sheets, surveys, focus group notes, etc.).**

To address this element, summarize the section of the community that will be served by this project. Next, describe who was involved in the project's development, what processes were used to obtain feedback and the input received from the targeted population. Lastly, attach documentation in the appendix of the application so reviewers have a clear understanding of what took place and who was

involved in the planning process.
The table below provides a brief example of what might be included.

**Example**

| **Type of Project** | **Who was Involved** | **Process(es) used for Involvement** | **Documentation to attach to the application (suggested)** |
|---|---|---|---|
| Youth Leadership Camp | Youth ages 12-17 | Surveys at the junior and high school<br><br>Youth committee meetings | Blank survey<br>Summary of survey results<br>Minutes of the meetings<br>Sign-in sheets |
| Cultural Practitioner Training | 5 Elders<br>4 Current Practitioners<br>10 Potential Candidates | Initial community focus groups<br><br>Practitioner / Elder committee meetings | Summary from focus groups<br>Sign-in sheets<br>Committee meeting agendas |
| Water Quality Monitoring Program | iGap Worker<br>EPA Coordinator<br>Tribal Administrator<br>Council Member | Community Announcement of mine opening upstream<br><br>Council Meeting attendees' requests<br><br>WQ Planning Meetings | Flyer and Radio announcement script<br><br>Specific topic minutes from Council meetings<br><br>Minutes from planning meetings |

ACTIVITY

## Community-Based Strategy

**Use the table below to outline the narrative for this element.**

| Type of Project | Who was Involved | Process(es) used for Involvement | Documentation to attach to the application (suggested) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |

| Write the narrative to describe the table. |
|---|
| |

**Element**

**20. The application demonstrates that the applicant organization has a connection to the community to be served including the ability to directly work with the project participants/beneficiaries.**

To address this element, it is important to provide a clear understanding of why your tribe/organization is best suited to serve the identified community, beneficiaries and participants and perform the work of the proposed project – this is especially important for non-profits, urban centers and regional entities that may work with communities outside of their geographical location. Describe the working history your tribe/organization has with the community to be served.

Next, include a description of how your tribe/organization has worked with (similar) project participants and/or beneficiaries in the past, the success that was obtained, and how that translates to your ability to work with the project participants and/or beneficiaries of the proposed ANA project.

**EXAMPLE**

The Pine Creek Farmers' Co-op has been operating a weekly farmers' market in our community for more than 8 years. Our Co-op is made up of farmers, business owners, and volunteers who are members of the Pine Creek Tribe. This project proposes to work with 4 rural farmers who have already committed to implementing new farming technologies that will increase production. In the past, the Co-op has worked with these same farmers, Future Farmers of America, local 4-H and cultural practitioners to meld traditional growing practices with modern methodology.

ACTIVITY

## Community-Based Strategy

**Describe the working history your organization has with the community to be served.**

**Describe past experience with (similar) project participants and/or beneficiaries and how it relates to the ANA project's participants/beneficiaries.**

**Element**

**21. The application clearly documents on-going outreach activities to maintain community awareness throughout the project's implementation.**

Maintaining community awareness beyond initial start-up of the grant award is essential to a project's success. Keep your stakeholders informed of project progress along with project participants and the community at large.

To address this element, describe a communication plan that will inform the community of the project's progress throughout each project year. The communication plan should include a description of what information will be shared; when information will be shared; and how the information will be disseminated, for example:

- Monthly updates to the Council
- Quarterly Newsletters
- Annual Public Radio Announcements – local stations, VHF
- Bi-Annual Flyers
- Monthly Community Calendars
- 2 Annual Community Gatherings / Events
- Project website
- Tribal newspaper

**Example**

| Pine Creek Co-op ANA Project Outreach Plan | | | | | |
|---|---|---|---|---|---|
| **Message or Purpose** | **Target Audience** | **Media** | **Responsible for Creation** | **Responsible for Dissemination** | **Timeframe** |
| Award Announcement | Community-wide | Press Release to Radio, Website and Newsletter | Project Director | Communication Team | October 1-14, 2020 |
| Volunteer Recruitment | Community-wide | Social Media Newsletter Website | Project Director Farmers | Communication Team | August 2021 |
| Quarterly Project Updates | Community-wide | Newsletter | Project Director | Communication Team | Quarterly – 2020-2022 |
| Announce new pricing | Community-wide | Press Release to Radio, Website and Newsletter | Project Director | Communication Team | Last year of project starting March 2022 |

ACTIVITY

# Community-Based Strategy

| Pine Creek Co-op ANA Project Outreach Plan | | | | | |
|---|---|---|---|---|---|
| **Message or Purpose** | **Target Audience** | **Media** | **Responsible for Creation** | **Responsible for Dissemination** | **Timeframe** |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

# Readiness and Implementation Strategy (0-20 points)

***22. The application fully describes existing, available, and tangible resources and services that are committed to the project such as meeting space, equipment, supplies, curriculum, licenses, permits, etc.***

***23. The application details a plan to obtain resources such as supplies, equipment, curriculum, licenses, permits, and contracted services needed to support successful project implementation.***

***24. The application narrative describes how milestone activities and the resulting outputs will be achieved to demonstrate a fully developed implementation plan.***

***25. The application provides a detailed recruitment, selection, and retention process for project participants.***

***26. The application addresses project sustainability, which should include identification of resources, staff, and/or partners that are necessary to ensure that positive outcomes are achieved by the project will be sustained.***

***27. The application appropriately cites potential obstacles and challenges to project implementation including staffing, partnerships, participant recruitment, or other issues that will impede progress. The application includes specific strategies that will be used to address these challenges.***

This section of your application will detail how the project will be implemented by identifying resources needed for your project, describing how each milestone activity will be completed, as well as how you plan to recruit and retain project participants. An implementation plan also identifies potential challenges that may occur during the project period and describes contingencies should these challenges become a reality.  Lastly, a sustainability plan is required to ensure the continuation of project outcomes.

**Element**

**22. The application fully describes existing, available, and tangible resources and services that are committed to the project such as meeting space, equipment, supplies, curriculum, licenses, permits, etc.**

**23. The application details a plan to obtain resources such as supplies, equipment, curriculum, licenses, permits, and contracted services needed to support successful project implementation.**

Strong, successful projects begin by identifying the assets available within the community and drawing upon them first. Next identify how you might acquire additional resources through partnership building and reciprocity..

When addressing these two elements follow these five steps:

1. Determine what resources and services are necessary for project implementation.
2. Establish which resources and services are available within the Tribe/Organization; the source they will be obtained from (departments); and the cost/value.
3. Describe the available resources and services, the benefit they bring to the project and why they are necessary.
4. Determine which resources and services are needed from outside the Tribe/Organization; the source they will be obtained from (partners, suppliers); and the cost/value.
5. Describe when and how the outside resources and services will be obtained; the benefit they bring to the project and why they are necessary.

Be specific in this section, don't leave anything out.

**NOTE:**
It is helpful to note what the value/cost of these items are as you are compiling this list as it will help when creating the project budget. All of these resources and services are needed for project implementation and are tied to the budget as either the Federal Share (grant funds will be used to purchase these) or as the Non-Federal Share/Match (the Tribe/Organization/Partner will contribute these).

**Example**

| Available | Obtain | Resource / Service | Source | Cost / Value ($) |
|---|---|---|---|---|
| X | | Office Space for Project Director | Co-op | $750/mo. |
| X | | 4 Farm Sites | 4 Farmers | $ 4,000/mo. |
| | X | 4 greenhouses | Factory Direct Greenhouses | $ 20,000/ea. |
| X | | Farming Supplies | 4 Farmers | $ 2,500 |
| X | | Farming Equipment | 4 Farmers | $ 5,000/yr. |
| | X | Farming Technology Supplies (Hydroponics equipment, Hierloom seeds, Organic farming supplies) | Various | $ 30,000 |
| | X | Signage Supplies for Market | Home Depot | $ 1,000 |

ACTIVITY

## Readiness & Implementation

**Determine the resources and services needed for the project.**

| Available | Obtain | Resource / Service | Source | Cost / Value ($) |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
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| | | | | |

**Element**

**24. The application narrative describes how milestone activities and the resulting outputs will be achieved to demonstrate a fully developed implementation plan.**

When addressing this element use the completed OWP to write the narrative since the two components must align. It's important to add details to what is in the OWP to provide clarity to the reader as to how each of the milestone activities will be carried out for each project year. DO NOT copy the OWP directly into the narrative to complete this section, rather write from a manager's perspective and explain the implementation processes which will lead to the resulting outputs.



**TIP:**
Spend time on this section so the reviewer will have all the details they need to understand exactly how your project will be implemented.

**Element**

**25. The application provides a detailed recruitment, selection, and retention process for project participants.**

The successful achievement of most projects is the ability to recruit and retain participants in the project.

To address this element, detail all recruitment activities, selection criteria, and retention activities for the project. Describe in your narrative what kind of participants you want to recruit, any outreach activities needed for recruitment, the selection/screening process used, and any unique activities or incentives to maintain participation during the entire project period.



**NOTE:**
If the project does not need to recruit participants or volunteers, it is suggested that you note it in this section of your narrative so reviewers do not think it was omitted.



**TIP:**
Be sure any recruitment and retention activities are included in the OWP as well.

**Element**

**26. The application addresses project sustainability, which should include identification of resources, staff, and/or partners that are necessary to ensure that positive outcomes are achieved by the project will be sustained.**

Sustainability is key to sustaining outcomes. ANA requires a sustainability plan. Consider the ways in which this sustainability can be achieved. Several methods include, but are not limited to:

- Routinization or Institutionalization: any or all project activities that will be incorporated into an organization's operation
- Partnerships: which partner(s) will take over any or all parts of the project after funding ends
- Generating Program Income: how the income will continue the project in part or in whole
- Grant Funds: which potential state, federal and philanthropic funders that will be targeted.

To address this element, describe how project outcomes will be sustained into the future. The first thing you will want to do is state each outcome. Next, describe which resources, staff and/or partnerships will be maintained/needed to continue.



**NOTE:**
When addressing this element keep in mind the entire project does not need to be sustained at the same level as the fully funded project.

**EXAMPLE**

**Outcome:** Community members will have increased availability to affordable fresh produce.

The Co-op will maintain the partnerships with the 4 farmers, and each of the farmers will continue to use and maintain the greenhouses and hydroponic systems put in place to maintain affordability and to increase the selection of fruits and vegetables available to the community. The profits from sales will allow the Co-op to keep the Agricultural Coordinator on staff at least part-time. Lastly, during the latter half of the project a funding plan will be developed with a focus on USDA grants and loan funding, which will allow for an expansion of staff, training and other new technologies.

ACTIVITY

## Readiness & Implementation

**Use the table below to outline your sustainability plan:**

| **Outcome:** | |
|---|---|
| **Identify:** | **Describe how outcome will be sustained:** |
| **Resources** | |
| **Staff** | |
| **Partnerships** | |
| **Other** | |

**Element**

**27. The application appropriately cites potential obstacles and challenges to project implementation including staffing, partnerships, participant recruitment, or other issues that will impede progress. The application includes specific strategies that will be used to address these challenges.**

ANA understands that all projects will experience challenges at some point during the life of the project. This criterion asks that you acknowledge those most likely to occur and provide a contingency or backup plan to address them. Be thorough enough in identifying your challenges to demonstrate that you have the knowledge and expertise to address any issue that might arise.

To address this element a table has been provided which lists the most common challenges encountered during project implementation. Create a contingency plan for each one that applies to your project and include any other challenges that may be specific to your project/community.
these benefits to the community.



**NOTE:**
These challenges are generally outside the control of project management and are not resolved by every day standard operating practices.

**Example**

| Challenge | Solution |
|---|---|
| **Late Hiring** | Describe how start-up activities will be implemented and by whom until project staff are in place. Be sure to include the acting individual's qualifications. |
| **Staff Turnover** | Describe who will step in to continue implementing project activities until new project staff is hired. Be sure to include the acting individual's qualifications. |
| **Partnership Falls Through** | Describe other partners that can be brought in to accomplish the same activities as the original partner and their availability. If the partnership is contributing to the Non-Federal Share (Match) describe how the match obligation will be met. |
| **Participant Recruitment/ Retention - Low** | Describe the plan to recruit more participants during the budget period (year) and/or what incentives will be used to increase retention. |
| **Other (weather-related delays, shipping delays, etc.)** | Describe alternate dates for conducting activities or how some activities can be shifted around to accommodate the delays. |

ACTIVITY

# Readiness & Implementation

| Challenge | Solution |
|---|---|
| Late Hiring | |
| Staff Turnover | |
| Partnership Falls Through | |
| Participant Recruitment/ Retention - Low | |
| Other (weather-related delays, shipping delays, etc.) | |

**For Language Projects - P&M and EMI:**

PM & EMI language projects have one additional element regarding replication and modification under the Readiness and Implementation sub-criterion. EMI has an additional three elements regarding a plan for 500 hours of instruction; parental/guardian engagement; and a Language Nest or Survival School Certification.

**PM & EMI**

**Element**

**If appropriate, the application identifies opportunities for the replication or modification of such projects for use by other Native Americans; and includes a plan for the preservation of the products of the Native American language project for the benefit of future generations of Native Americans and other interested persons.**

The ability to replicate or modify materials (or the structure of the language project) is important for language preservation whether it will be shared with other Tribes/ Organizations creating language projects or for continuous use and expansion from this project into a program. The ability to modify current materials (or program structure) for continuous improvement assists with preservation and potential growth of a language program.

To address this element, detail a plan for the materials being produced by the project.

First identify which materials and stories can be shared with others and which are exclusive for Tribal use only.

The plan should identify how the materials will be created and describe the following:

- the types of materials - all lesson plans, books, audio recordings, videos etc
- the software and/or equipment being used
- how the chosen method is best for modification or replication by this project and for use by others
- how the chosen method is best for modification or replication by this project and for use by the project for future use
- how materials will be shared with others – sold or free and digital or hardcopy

Lastly, another important item to consider in the plan is the storage of materials to preserve them for future use – such as having more than one digital copy in various locations to prevent loss from any type of disaster (fire, flood, etc).

**EMI Elements**

**The application narrative describes an implementation plan that includes a minimum of 500 hours of instruction in a Native American Language each year for each student.**

**The application narrative describes a plan for parental engagement, including classes in a Native American language for parents or guardians of enrolled students.**

**Below are the requirements for a Language Nest and Survival School:**

**Native American Language Nests** are site-based educational programs that provide child care and instruction in a Native American language for at least 5 children under the age of 7 for an average of at least 500 hours per year per child, provide classes in such languages for parents or legal guardians of children enrolled in such language nests, and must ensure that a Native American language is the medium of instruction in the Native American language nest.

**Native American Language Survival Schools** are site-based educational programs for school-age students that provide at least 500 hours per year per child of Native American language instruction to at least 10 students for whom a Native American language survival school is their principal place of instruction, and which develop instructional courses and materials, provide teacher training, and work toward achieving Native American language fluency and academic proficiency in mathematics, reading, and sciences, and are located in areas that have high numbers or percentages of Native American students.

**Element**

**The application narrative describes an implementation plan that includes a minimum of 500 hours of instruction in a Native American Language each year for each student.**

To address this element be sure to describe the recruitment and retention of students and instructors in order to provide 500 hours of instruction. Take into consideration school schedules (holidays, breaks, closures, etc.) when building the instruction schedule for a minimum of 500 hours. Additionally, consider challenges and how they will be overcome (for instance sickness, dropout, moving, etc). Lastly, consider how delays in securing a site may affect these timelines.

**Element**

**The application narrative describes a plan for parental engagement, including classes in a Native American language for parents or guardians of enrolled students.**

To address this element describes a plan for parental/guardian engagement and how they will learn language along with the students. Describe how the schedule will best accommodate parental/guardian learning (evenings, weekends, etc.) and how retention of the parents/guardians will be maintained (childcare, meals provided, etc).

**Elements**

**The application includes an official document signed by the authorized representative certifying that the applicant has at least three years of experience operating and administering a Native American language nest, Native American language survival school, or any other educational program in which instruction is conducted in a Native American language in accordance with Public Law 109-394 (42 USC 2991b-3(c)(7)).**

To address this element applicant organizations must submit a Language Survival School or Language Nest Certification as an attachment. The document should have contact information of the Tribe/Organization (letterhead) and must be signed by the authorized representative.

The applicant is self-certifying they have at least three years of experience operating and administering:

a. a Native American language nest,

b. a Native American language survival school, or

c. any other educational program in which instruction is conducted in a Native American language in accordance with Pub. **L. 109-394 (42 USC 2991b-3(c)(7)).**




# Criterion 2

## Organizational Capacity

### Max 12pts

## Organizational Capacity (0-12 points)

***34. The application clearly documents a staffing/organizational structure that will support full implementation upon receipt of award, including identification of a PI/PD, project staff, and timeframe and strategy for filling vacant positions.***

***35. Through resumes, curricula vitae, or other evidence, the application documents that the combined experience of the proposed PI/PD, key project staff, and key partners have sufficient knowledge, experience, and capabilities to carry out and manage the proposed project.***

***36. The application details a plan to ensure the effective management over and coordination of activities by any partners, contractors and subcontractors, and consultants, including third-party agreements or contracts where applicable.***

***37. 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.***

This section of the application narrative describes the organizational structure and the applicant's capacity to implement the proposed project. The narrative should focus on describing project positions and qualifications needed to fill those positions as well as who will manage consultants, sub-contracts and third-party agreements. This section should also describe any partners/consultants/sub-contractors that will assist with project implementation, the role they will play and their qualifications.  Lastly, the applicant's experience to properly manage Federal funds using policies and procedures that align with current Federal regulations (2 CFR Part 200/45 CFR Part 75) should be included.

**Element**

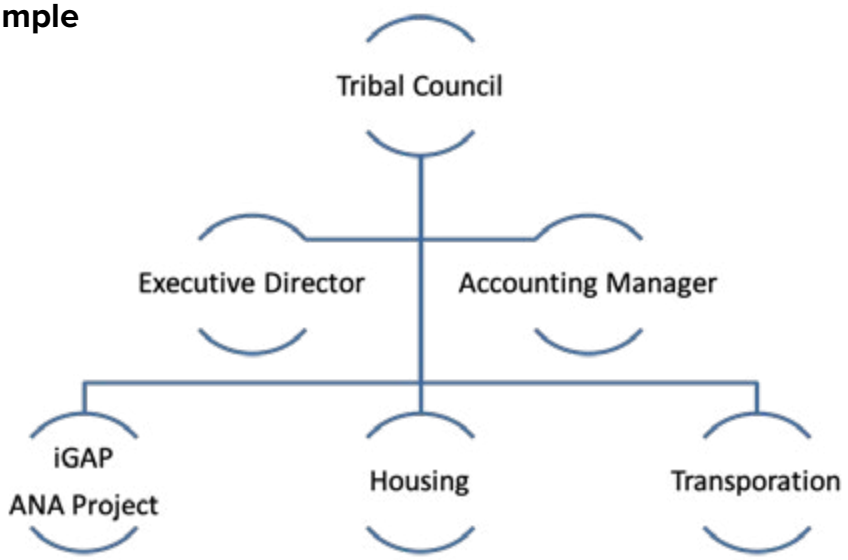
**34. The application clearly documents a staffing/ organizational structure that will support full implementation upon receipt of award, including identification of a PI/PD, project staff, and timeframe and strategy for filling vacant positions.**

**35. Through resumes, curricula vitae, or other evidence, the application documents that the combined experience of the proposed PI/PD, key project staff, and key partners have sufficient knowledge, experience, and capabilities to carry out and manage the proposed project.**

**36. The application details a plan to ensure the effective management over and coordination of activities by any partners, contractors and subcontractors, and consultants, including third-party agreements or contracts where applicable.**

To address these three elements, you can begin by providing an organizational chart that clearly identifies the project staff and where each position falls within the organization.

**Example**



Next, describe the responsibilities and qualifications needed for each staff position and include an overview of how the position will support the project. Be sure to include a job description for each position as an attachment. Identify which staff member(s) will manage any partners, contractors, subcontractors, consultants, Request for Proposals (RFPs) and third-party agreements (Contracts, MOUs, Statements of Work, Letters of Commitment, etc.). Remember to include the related responsibilities and qualifications in the job description.

If an individual has been identified to fill a position include their name, a brief bio in the narrative and a resume as an attachment – ensure the resume matches the qualifications identified in the job description. For any positions that will be vacant at the start of the project, outline a recruitment and hiring plan that aligns with the Tribe/Organization's current policies and procedures. Be sure to include the estimated timeframe needed for recruitment and hiring, using the corresponding activity found in the OWP. Lastly, if the PI/PD position needs to be filled identify who will be responsible for the implementation of activities until they are hired.

To address how key partners will support the project describe the experience and capabilities needed for their role in project implementation. Include any resumes or Statement of Qualifications (SOQs) which substantiate their capabilities, knowledge and expertise. Describe the process used to manage these entities and by whom.



**NOTE:**
It is suggested that the PI/PD position be full-time (1 FTE). This will provide sufficient time within the project period for project management and the required administrative reporting.

ACTIVITY

# Organizational Capacity

**Fill in the table below for all Key Staff positions:**

| Key Staff Position | List Person if Identified for the position | Qualifications | Roles/ Responsibilities | Attachment | Expected Hire Date (if vacant) |
|---|---|---|---|---|---|
| PI/PD | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

ACTIVITY

# Organizational Capacity

**Fill in the table below for all Key Partners positions:**

| Key Partners | Qualifications | Roles/ Responsibilities | Attachment |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |

**Element**

**37. 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.**

To address this element, describe the financial internal controls of the Tribe/Organization including the policies and procedures (aligned with current Federal regulations 2 CFR Part 200/45 CFR Part 75) which clearly define how the disbursement of funds, purchasing, cash drawdowns, and related authorizations are handled.

Identify the relevant financial staff or the financial contractor (individual CPAs or Accounting Firms), their responsibilities, qualifications and experience. Include a resume and job description or Statement of Qualifications as an attachment. List 3 - 5 recently funded projects (preferably federally funded) that are similar in scope and award amount as evidence of the organization's financial and project management capabilities. If there have been internal or mandatory audits briefly describe the results and if there has been a recent Federal Audit provide the cover letter (not the entire document) as an attachment.

**EXAMPLE**

The Co-op's accounting is contracted out to the Pine Creek Tribe (PCT). The Tribe's accounting department handles all the Accounts Receivable and Payable transactions, credit card and bank statement reconciliations, cash drawdowns and federal financial reporting. The Co-op's Executive Director meets monthly with the Accounting Manager for updates on Profit and Loss, to verify expenses and resolve reconciliation questions. The PCT uses general accounting practices and has fund accounts set-up to differentiate the income and expenditures for all grant accounts. The Tribe's policies and procedures align with 2 CFR Part 200 and have been updated to the CFRs for the USDA and HHS funding received. The Co-op has also recently updated its financial policies and procedures to meet 2 CFR Part 200. We are in the process of ensuring we meet 45 CFR Part 75 to include any differences.

The Tribe's Accounting Manager has held the position for 10 years and is a CPA. She provides full oversight for the Accounting Department. Under her are 3 individuals: Accounts Payable Clerk, Accounts Receivable Clerk and an Administrative Assistant. Each of these individuals have been with the Tribe for over 4 years in their current positions. The job descriptions and resumes can be found in the attachments.

Over the last five years the Co-op has had 3 federal grant awards 1) USDA $450,000 for a three-year project, 2) MBDA $1.5 million for a four-year project and 3) EDA $250,000 for a one-year project. Each of these grants were successfully completed with no carryovers or extensions. The Co-op met all of the deliverables and exceeded our deliverables on the MBDA project by 4%. While the Co-op is not required to have Federal Audits, we have done independent audits with the Tribe annually to ensure we are complying with our policies and procedures and they are updated as needed to ensure the highest level of efficiency and effectiveness.

ACTIVITY

# Organizational Capacity

**Briefly describe the financial oversight of Federal awards for your Tribe/Organization.**




# Criterion 3

## Budget & Budget Justification

### Max 12pts

## Budget and Budget Justification

***Line Item Budget (0-4 points)***

***38. The application includes a line item budget with appropriate object class categories for every year of the project which fully details the costs allocated for federal and non-federal shares. Personnel should be delineated by full-time equivalent or percentage of time to the project.***

***39. The application includes funds for all required items for the project budget, including travel to one post-award training and annual grantee meetings, as described in Section IV.2. Content and Form of Application Submission, The Project Budget and Budget Justification.***

***Budget Justification (0-8 points)***

***40. The application includes budget justification for every year of the project which provides a narrative description of a breakdown of how all costs are calculated for each entry in the line item budget. The budget justification includes a rationale for estimating costs, vendor quotes for equipment, and supporting documentation to detail federal and non-federal share costs.***

***41. The budget justification only includes expenditures that align with the Approach and the OWP.***

***42. The application provides information to demonstrate the required commitment of non- federal share contributions.***

The budget consists of a line item budget and a narrative budget justification. The line item budget is a list of the resources and services required to complete the project and their associated costs which are organized by Object Class Categories. The budget justification narratively describes how each line item cost was calculated and includes a short explanation of why it is necessary to the project. Additionally, the line item budget clearly identifies the Federal Share (the amount being requested from ANA); the Non-Federal Share (match/in-kind – the amount being contributed to the project

by the applicant or applicant's partners); as well as program income and indirect costs, when applicable.

ANA has budget templates available in the Application Toolkit which can be found on the website at https://www.acf.hhs.gov/ana/application-toolkit . These templates are also available at the Regional TTA Centers (contact information is at the beginning of the manual and on the back cover). Use of these templates is not required; however, they are helpful.



**NOTE:**
It is highly recommended to work closely with your accounting department while developing the budget especially for items such as: employee salaries and wages, payroll tax rates, worker's compensation insurance rate/quote, and the indirect cost rate.

## Line Item Budget (0-4 points)

***38. The application includes a line item budget with appropriate object class categories for every year of the project which fully details the costs allocated for federal and non-federal shares. Personnel should be delineated by full-time equivalent or percentage of time to the project.***

***39. The application includes funds for all required items for the project budget, including travel to one post-award training and annual grantee meetings, as described in Section IV.2. Content and Form of Application Submission, The Project Budget and Budget Justification.***

A line item budget is required for each year of the project. For example, a 3-year project would have three individual line item budgets. In addition to the line item expenses (rows), the line-item budget should include the following (columns):

- Object Class Categories
- Federal share
- Non-Federal share
- Total

Expenses listed under each object class category should reflect the annual cost, for example the costs for personnel are the annual salaries based on the position's full-time equivalent and travel is the annual cost per trip. These costs should be identified as either a Federal request or as Non-Federal Share.

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 the organization's travel policy to determine the costs for airfare, lodging, per diem, ground transportation, etc. There are several things to keep in mind while determining these costs.

**Post Award Training:**

- Required two-day meeting in Year 1 only
- The PI/PD and the finance person responsible for financial reporting are required to attend
- Native Language awards attend a national training in the 1st quarter of the project
- SEDS and ERE awards attend regional trainings in the 2nd quarter of the project

**Grantee Meeting:**

- Mandatory three-day meeting each year of the project
- Two project staff must attend, usually PI/PD and another staff person (finance person is not required)
- Held in 3rd or 4th quarter of the project period
- Venue changes each year, so budget accordingly to allow for varying cost

## Descriptions of the Object Class Categories are as follows:

### Personnel

**Description:** Annual costs of employee salaries and wages. See 45 CFR § 75.430 for more information on allowable personnel costs. Do not include the personnel costs of consultants, contractors and subrecipients under this category.

### Fringe Benefits

**Description:** Costs of employee fringe benefits are allowances and services provided by employers to their employees in addition to regular salaries and wages. Break down the amount of each benefit (or percentage of total benefits) or note the negotiated fringe benefit rate. For more information on Fringe Benefits please refer to 45 CFR § 75.431. Do not include the fringe benefits of consultants, contractors, and subrecipients.

Typically, fringe benefit amounts are determined by applying a calculated rate for a particular class of employee (full-time or part-time) to the salary and wages requested. Fringe rates are often specified in the approved indirect cost rate agreement. Fringe benefits may be treated as a direct cost or indirect cost in accordance with the applicant's accounting practices. Only fringe benefits as a direct cost should be entered under this category.

**Travel**

**Description:** Costs of project-related travel (i.e., transportation, lodging, subsistence) by employees of the applicant organization who are in travel status on official business. Travel by non-employees such as consultants, contractors or subrecipients should be included under the Contractual line item. Local travel for employees in non-travel status should be listed on the Other line. Travel costs should be developed in accordance with the applicant's travel policies and 45 CFR § 75.474.

**Equipment**

**Description:** "Equipment" means an article of nonexpendable, tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) $5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in- transit insurance, freight, and installation, shall be included in, or excluded from, acquisition cost in accordance with the organization's regular written accounting practices.) See 45 CFR § 75.439 for more information.

### Supplies

**Description**: Costs of all tangible personal property, other than included under the Equipment category. This includes office and other consumable supplies with a per-unit cost of less than $5,000. See 45 CFR § 75.453 for more information.

### Contractual

**Description:** Cost of all contracts and subawards except for those that belong under other categories such as equipment, supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contract or subawards with secondary recipient organizations (with budget detail), including delegate agencies and specific project(s) and/or businesses to be financed by the applicant. Costs related to individual consultants should be listed on the Other line. Recipients are required to use 45 CFR §§ 75.326-.340 procurement procedures, and subawards are subject to the requirements at 45 CFR §§ 75.351-.353.

### Other

**Description:** Enter the total of all other costs. Such costs, where applicable and appropriate may include, but are not limited to: consultant costs, local travel, insurance, food (when allowable), medical and dental costs (non-personnel), professional service costs (including audit charges), space and equipment rentals, printing and publications, computer use, training costs (such as tuition and stipends), staff development costs, and administrative costs. Please note costs must be allowable per 45 CFR Part 75 Subpart E.

**Commitment of Non-Federal Resources**

**Description:** Each line-item for the Non-Federal Share should be listed by annual amount and equal the total object class category amounts in Section B of the SF-424A and the total amount provided in Block 18 of the SF-424. This line should be used to indicate required and/or voluntary committed cost sharing or matching, if applicable.

***For all federal awards***, any shared costs or matching funds and all contributions, including cash and third-party in-kind contributions, must be accepted as part of the recipient's cost sharing or matching when such contributions meet all of the criteria listed in 45 CFR § 75.306.

***For awards that require*** matching or cost sharing by statute, recipients will be held accountable for projected commitments of non-federal resources (at or above the statutory requirement) in their application budgets and budget justifications by budget period, or by project period for fully funded awards. A recipient's failure to provide the statutorily required matching or cost sharing amount (and any voluntary committed amount in excess) may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.

**Indirect Charges**

**Description:** Total amount of indirect costs. This category has one of two methods that an applicant can select. An applicant may only select one.

1. The applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant federal agency.

If Indirect Costs (IDC) are requested, include a current copy of the organization's federally negotiated IDC rate agreement in the "Other Attachments" section of the application. If the organization does not have an agreement for 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.

2. Per 45 CFR § 75.414(f) Indirect (F&A) costs, "any non-Federal entity [i.e., applicant] that has never received a negotiated indirect cost rate, … may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in Section 75.403, 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 once elected must be used consistently for all Federal awards until such time as the non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time."

**Program Income**

**Description:** The estimated amount of gross income, if any, expected to be directly generated by or earned from this project. Program income includes but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. See 45 CFR § 75.307 for more information.

**NOTE:**
ANA always uses the addition method for program income. Program income must be expended during the project prior to expending Federal funds. 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.

## Non-Federal Share

ANA has a Non-Federal Share requirement of 20% of the Total Project Cost. It is important to note that this is NOT the same as 20% of the Federal Share. See the following graphic for an example of how to calculate the Non-Federal Share.

| Calculating ANA Non-Federal Share (20% of Total Project Cost) | | | |
|---|---|---|---|
| **Method 1 (Find Total Cost First)** | | | **Method 2 (Find Match First)** |
| **Step 1:**<br>Federal Request<br>÷80 % | <br>$300,000<br>÷ .80 | | **Step 1:**<br>Federal Request<br>x25 % | <br>$300,000<br>x .25 |
| Total Project Cost | = $375,000 | | Non-Federal Share | = $75,000 |
| **Step 2:**<br>Total Project Cost<br>-Federal Request | <br>$375,000<br>-$300,000 | | **Step 2:**<br>Non-Federal Share<br>+Federal Request | <br>$75,000<br>+$300,000 |
| Non-Federal Share = | $75,000 | | Total Project Cost = | $375,000 |
| **Check Your Math:**<br>Total Project Cost<br>x20 % | <br>$375,000<br>x .20 | | **Check Your Math:**<br>Total Project Cost<br>x20 % | <br>$375,000<br>x .20 |
| Non-Federal Share = | $75,000 | | Non-Federal Share = | $75,000 |

The Non-Federal Share should be documented with a resolution from the Tribal Council; non-profit board resolution or letter on letterhead (signed by the AOR) stating the full amount of the commitment included in the attachments.

When creating the line item budget and budget justification ensure the Federal and Non-Federal Share are clearly delineated, that all costs necessary for project implementation are incorporated into the appropriate object class category, that the information is presented in an easy to read format and be sure to double check all calculations!

The following is an example of a detailed line-item budget. We highly recommend creating your budget using a spreadsheet to ensure cost calculations are correct.

## Example Line-item Budget

### Pine Creek Farmer's Market Co-op

### BUDGET | YEAR 1

| CATEGORY/ITEM DESCRIPTION | Federal Share | Non-Federal Share | Total |
|---|---|---|---|
| **PERSONNEL** | | | |
| PI/PD (1 FTE) | 55,000.00 | | |
| Agricultural Coordinator (1 FTE) | 43,000.00 | | |
| Administrative Asst. (1 FTE) | 25,000.00 | | |
| | | - - | |
| **TOTAL PERSONNEL** | **$123,000** | $ | |
| **FRINGE BENEFITS** | | | |
| FICA @ 7.65% | 9,409.50 | | |
| FUTA @ 6% | 7,380.00 | | |
| SUTA @ 3.17% | 3,899.10 | | |
| Medicare | 1,652.00 | | |
| Health Insurance @ 10% | 12,300.00 | | |
| | - | - | |
| **TOTAL FRINGE BENEFITS** | **$34,641** | $ | |
| **TRAVEL** | | | |
| Post Award Training - PI/PD & CFO | 2,886.00 | | |
| ANA Grantee Meeting - PI/PD & Agr. Coord | 3,308.00 | | |
| | | - - | |
| **TOTAL TRAVEL** | $ 6,194 | $ | |
| | | | |

| CATEGORY/ITEM DESCRIPTION | Federal Share | Non-Federal Share | Total |
|---|---|---|---|
| **EQUIPMENT** | | | |
| | - | - | - |
| | - | - | - |
| **TOTAL EQUIPMENT** | **$ -** | **$ -** | **$ -** |
| **SUPPLIES** | | | |
| Office Supplies | 1,500.00 | | 1,500.00 |
| Meeting Supplies | 2,000.00 | | 2,000.00 |
| **TOTAL SUPPLIES** | **$3,500** | **$ -** | **$3,500** |
| **CONTRACTUAL** | | | |
| | - | | - |
| | - | | - |
| **TOTAL CONTRACTUAL** | **$ -** | **$ -** | **$ -** |
| **OTHER** | | | |
| 4 Green Houses | 24,000.00 | | 24,000.00 |
| Stone Slabs – 4 greenhouse floors | 19,000.00 | | 19,000.00 |
| 4 Irrigation Systems | 18,000.00 | | 18,000.00 |
| 4 Hydroponic Systems | 15,000.00 | | 15,000.00 |
| 4 Raised Bed Systems | 8,000.00 | | 8,000.00 |
| Heirloom Seeds | 4,500.00 | | 4,500.00 |
| Planting Medium | 4,000.00 | | 4,000.00 |
| Lemon Trees | 2,400.00 | | 2,400.00 |

| CATEGORY/ITEM DESCRIPTION | Federal Share | Non-Federal Share | Total |
|---|---|---|---|
| Farming Supplies | 3,000.00 | | 3,000.00 |
| Video Conferencing Equip | | 3,000.00 | 3,000.00 |
| Land Lease – 4 sites | | 48,000.00 | 48,000.00 |
| Green Houses Consultant | 2,500.00 | | 2,500.00 |
| Hydroponic Consultant | 4,000.00 | | 4,000.00 |
| Raised Bed Consultant | 1,500.00 | | 1,500.00 |
| Training Facility | | 6,000.00 | 6,000.00 |
| Utilities @ Farms | | 2,380.00 | 2,380.00 |
| Tractor rental | | 2,500.00 | 2,500.00 |
| Grader rental | | 1,890.00 | 1,890.00 |
| Backhoe rental | | 1,500.00 | 1,500.00 |
| Commercial Refrigerator | 5,900.00 | | 5,900.00 |
| Farmers' Market materials | | 9,000.00 | 9,000.00 |
| Marketing | | 4,500.00 | 4,500.00 |
| | | | |
| **TOTAL OTHER** | $111,800.00 | $78,770.00 | $190,570.00 |
| **DIRECT COST TOTAL** | $279,134.60 | $78,770.00 | $357,904.60 |
| INDIRECT COST @ 12.86% (if applicable) | $35,896.71 | $ - | $35,896.71 |
| **TOTAL PROJECT COST YEAR 1** | $ 315,031.31 | $78,770.00 | $393,801.31 |

**NOTE:**
It is strongly recommended that you don't exceed the required match amount in any project year.

## Budget Justification (0-8 points)

***40. The application includes budget justification for every year of the project which provides a narrative description of a breakdown of how all costs are calculated for each entry in the line item budget. The budget justification includes a rationale for estimating costs, vendor quotes for equipment, and supporting documentation to detail federal and non-federal share costs.***

***41. The budget justification only includes expenditures that align with the Approach and the OWP.***

***42. The application provides information to demonstrate the required commitment of non- federal share contributions.***

As described above the budget justification is a narrative breakdown of the line item costs and a brief explanation why it is necessary to the project. Each line item cost is broken down to justify the annual expense. For example, for each personnel position provide their percentage of full-time equivalent, number of hours and the hourly rate assigned to that position for the year i.e. a .5 FTE position - $25/hr x 80 / hours per month x 12 months of the year. For travel costs, each trip should be broken down by airfare, hotel, per diem, parking, taxi, and mileage.

## Explanations for justifying each Object Class Category entry are as follows:

### Personnel

For each position, provide: the name of the individual (if known), their title; time commitment to the project in months; time commitment to the project as a percentage or full- time equivalent; annual salary; grant salary; wage rates; etc. Identify the project director or principal investigator, if known at the time of application.

### Fringe Benefits

Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, Federal Insurance Contributions Act (FICA) taxes, retirement, taxes, etc.

### Travel

For each trip show: the total number of travelers; travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used to travel out of town; and other transportation costs and subsistence allowances. If appropriate for this project, travel costs for key project staff to attend ACF-sponsored workshops/conferences/grantee orientations should be detailed in the budget justification.

**Equipment**

For each type of equipment requested provide: a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use on the project; as well as use and/or disposition of the equipment after the project ends.

**Supplies**

Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

**Contractual**

Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open, and free competition. Applicants must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold stated in Office of Management and Budget (OMB) Memorandum M-18-18: Implementing Statutory Change to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance and 48 CFR Subpart 2.1 (when amended accordingly). Recipients may be required to make pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc., available to ACF.

Indicate whether the proposed agreement qualified as a subaward or contract in accordance with 45 CFR § 75.351. Provide the name of the contractor/subrecipient (if known), a description of anticipated services, a justification for why they are necessary, a breakdown of estimated costs, and an explanation of the selection process. In addition, for subawards, the applicant must provide a detailed budget and budget narrative for each subaward, by entity name, along with the same justifications referred to in these budget and budget justification instructions.

**Other**

Provide a breakdown of costs, computations, a narrative description, and a justification for each cost under this category.

**Indirect Costs**

If you have an approved indirect cost rate indicate the percentage and include a copy of the agreement in the attachments. If you are using the de minimis rate of 10%, indicate that you are using 10% of modified total direct costs.

**Program Income**

Describe the nature, source and anticipated use of program income in the budget or refer to pages in the application that contain this information.

Leveraged Resources are resources that contribute to the project from a variety of sources. These are outside of or beyond the Non-Federal Share requirement.

Leveraged Resources are not required by ANA – however they are valuable to many projects for sustainability. These resources may be mentioned in the narrative and for ANA are **NEVER** listed in the line item budget.

The Non-Federal Share should not be confused with Leveraged Resources.

Documentation is a key factor in the budget. Be sure to include the required tribal or board resolution/letter citing the dollar amount or value from the source of the NFS. For example, if the tribe is contributing supplies and travel funds, the accompanying resolution should include the fair market value they will pay for those items – or the dollar value they will contribute for them.

Documentation is also required for large ticket items over $5,000 (such as farming 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 the application.

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

When addressing these three elements ensure the cost breakdowns are clearly calculated for each entry in the line item budget; all vendor quotes, contracts and agreements are attached; and all the Non-Federal share commitment documents are attached (resolutions, letters of commitment etc.)

The following is an example of a detailed budget (narrative) justification. We highly suggest using a spreadsheet.

## Example Budget Justification

**Pine Creek Farmer's Market Co-op**

**BUDGET JUSTIFICATION | YEAR 1**

| CATEGORY/ITEM DESCRIPTION | Federal Share | Non-Federal Share | CALCULATION AND JUSTIFICATION |
|---|---|---|---|
| PERSONNEL | **$123,000** | **$ -** | |
| PI/PD (1 FTE) | salary @ $55K/year, 2080 hrs is 1 FTE $26.44/hr responsible for oversight of staff, project reporting, compliance, data collection | | |
| Agricultural Coordinator (1 FTE) | salary @ 43K/year, 2080 hrs is 1 FTE $20.67/ hr responsible for coordination of Farmers' Coop, installation of greenhouses, implementation of new farming technologies | | |
| Administrative Asst. (1 FTE) | salary @ $25K/year, 2080 hrs is 1 FTE $12.02/hr responsible for administrative tasks, assisting the PI/PD and Agricultural Coordinator | | |
| | | | |
| FRINGE BENEFITS | **$34,641** | **$ -** | |
| FICA @ 7.65% | | | |
| FUTA @ 6% | | | |
| SUTA @ 3.17% | | | |
| Medicare | | | |
| Health Insurance @ 10% | | | |
| | | | |
| TRAVEL | **$6,194** | **$ -** | |
| Post Award Training - PI/PD & CFO | Required travel for PI/PD & CFO for training in Phoenix: airfare ($546 X 2=$1,092); lodging ($146/night X 4 nights X 2 people= $1,168); per diem ($196 X 2=$392); airport parking ($15/day X 5 days=$75); taxi/uber, airport/hotel ($45 X 2= $90); mileage to airport ($.575/mile X 120 miles= $69) | | |

| CATEGORY/ITEM DESCRIPTION | Federal Share | Non-Federal Share | CALCULATION AND JUSTIFICATION |
|---|---|---|---|
| ANA Grantee Meeting - PI/PD & Agr. Coord | Required travel for PI/PD & Agricultural Coord for training in DC: airfare ($580 X 2=$1,160); lodging ($184/night X 4 nights X 2 people= $1,472); per diem ($266 X 2=$532); airport parking ($15/day X 5 days=$75); mileage to airport ($.575/mile X 120 miles= $69) | | |
| | | | |
| **EQUIPMENT** | **$ -** | **$ -** | |
| | | | |
| | | | |
| **SUPPLIES** | **$3,500** | **$ -** | |
| Office Supplies | General office supplies at $200/month x 12 months for 3 project staff | | |
| Meeting Supplies | Manuals and general workshop supplies at $110/month x 10 months | | |
| | | | |
| **CONTRACTUAL** | **$ -** | **$ -** | |
| | | | |
| | | | |
| **OTHER** | **$111,800** | **$78,770** | |
| Green Houses | 4 Greenhouses @ $6,000/each (see quote in attachments) needed for each farm site. | | |
| Stone Slabs | Stone needed for each greenhouse base (see quote in attachments) | | |
| Irrigation Systems | 4 systems for each greenhouse (see quote in attachments), including: drip irrigation fixtures, hoses, sprinklers. | | |
| Hydroponic Systems | 4 systems for each greenhouse, (see quote in attachments) including: controller unit, microgreen racks, bato buckets, light systems | | |
| Raised Bed Systems | lumber and materials to make systems at the 4 sites | | |
| Seeds | Organic Non-GMO Heirloom seeds (see quote in attachments) | | |

| CATEGORY/ITEM DESCRIPTION | Federal Share | Non-Federal Share | CALCULATION AND JUSTIFICATION |
|---|---|---|---|
| Planting Medium | general purpose planting medium for the 4 sites | | |
| Lemon Trees | 60 trees @ $40 each to be planted at the 4 sites | | |
| Farming Supplies | Starter trays, dibble tubes, soil amendments, small hand tools | | |
| Video Conferencing Equip | Monthly video conference training | | |
| Land Lease | Cost to lease 4 sites for greenhouses and raised beds at fair market value, see attached assessment | | |
| Green Houses Consultant | Consultant to oversee and train staff on installation, set up and maintenance of the 4 greenhouses. – see attached statement of work and quote | | |
| Hydroponic Consultant | Consultant to oversee and train staff on installation, set up and maintenance of the 4 greenhouses. – see attached statement of work and quote | | |
| Raised Bed Consultant | Consultant to train staff on construction of raised beds and growing techniques. – see attached statement of work and quote | | |
| Training Facility | Cost to lease facility for project activities at fair market cost. See attached rental agreement | | |
| Utilities | Average cost of utilities at 4 farm sites – see attached utility estimates | | |
| Tractor | Cost to rent tractor, includes: operator, fuel, oil, repairs for 1 year at fair market value – see attached rental agreement for cost breakdown | | |
| Grader | Cost to rent grader, includes: operator, fuel, oil, repairs for 1 year at fair market value – see attached rental agreement for cost breakdown | | |
| Backhoe | Cost to rent backhoe, includes: operator, fuel, oil, repairs for 1 year at fair market value – see attached rental agreement for cost breakdown | | |

| CATEGORY/ITEM DESCRIPTION | Federal Share | Non-Federal Share | CALCULATION AND JUSTIFICATION |
|---|---|---|---|
| Commercial Refrigerator | Storage for seeds & produce @ the Co-op building | | |
| Farmers' Market materials | Scales, cash registers, eco-friendly containers, bags, signage | | |
| Marketing | Costs for radio spots, newspaper ads, printing for brochures, flyers, mailings | | |
| TOTAL OTHER | | | |
| INDIRECT COST @ 12.86% (if applicable) | $35,897 | $ - | Most recent negotiated rate 9/2019, see attachments |
| **TOTAL PROJECT COST YEAR 1** | $ 315,031.31 | $ 78,770.00 | $ 393,801.31 |

**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.

# Submitting Your Application

## Putting Together Your Application

### Project Summary/Abstract

Now that the application has been developed and all the criteria addressed, a Project Summary/Abstract needs to be composed. Though the project abstract is not reviewed and scored, it is a required element per the FOA.

The Project Summary/Abstract is the introduction to the application. It provides a succinct description of the project along with contact information.

Provide a summary of the application's project description. The summary must be clear, accurate, concise, and without reference to other parts of the application. The abstract must include a brief description of the proposed grant project including the needs to be addressed, the proposed services, and the population group(s) to be served.

The project abstract must be **single-spaced**, in **Times New Roman 12-point font**, and **limited to one page in length**. Additional pages will be removed and will not be reviewed.

**Please place the following at the top of the Project Summary:**

- **Project Title**
- **Applicant Name**
- **Address**
- **Contact Phone Numbers (Voice, Fax, Cell)**
- **Email Address**
- **Website Address, if applicable**

**The guidelines below are for the body of the Abstract:**

- **It must be clear, accurate, concise**
- **Without cross-references to other parts of the application**
- **Include a brief description of the proposed project including**
    - **the needs to be addressed,**
    - **the proposed services, and**
    - **the population group(s) to be served.**

Remember, the Project Summary Abstract is limited to one page.

### 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 or PFD version of the OWP), one-page project summary, 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.

**There is no longer a two-file requirement by ANA.** However, it is still highly suggested that you upload only two files whenever possible. This will assist in maintaining the order and structure of your application for the Reviewer.

**Use the following sequence of application elements to structure your proposal package: Required Application Elements to be included (in File One) are as follows:**

- Table of Contents
- Project Summary/Abstract (limited to one single-spaced page)
- Project Description
    - Approach
        - Long-Term Community Goal
        - Current Community Condition
        - Project Goal
        - Objective(s)
        - Outputs
        - Outcome(s)
        - Indicator(s)
        - Outcome Tracker and Outcome Tracking Strategy
        - Community-Based Strategy
        - Readiness and Implementation Strategy
        - Geographic Location
        - Protection of Sensitive and Confidential Information
    - Organizational Capacity
    - Project Budget and Budget Justification
        - Line Item Budget
        - Narrative Budget Justification

**Required documents to be included (in File Two) as Appendices are as follows:**

- Governing Body Documentation
- Assurance of Community Representation on Board of Directors (Applicants other than tribes or Alaska Native villages - see policy for clarification.
- Maintenance of Effort Certification (MOE)

- Legal Status of Applicant Entity, if applicable
- Commitment of Non-Federal Share (resolution or letter)
- Job Descriptions
- Resumes
- Indirect Cost Rate Agreement, if applicable
- Letters of Commitment
- Third Party Agreements, if applicable
- Business Plan, if applicable
- Other attachments, if necessary

The Objective Work Plan is a separate file. The OWP does not count toward the page limit for the application. The OWP can be filled out in Grants.Gov Workspace or by using the OMB approved MS Word version or PDF version. The MS Word or PDF version is uploaded separately. Remember there should be an OWP for each objective, for each project year.

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.

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.
- 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 section 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.

If you copy and paste the following link it will take you to the video series on 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

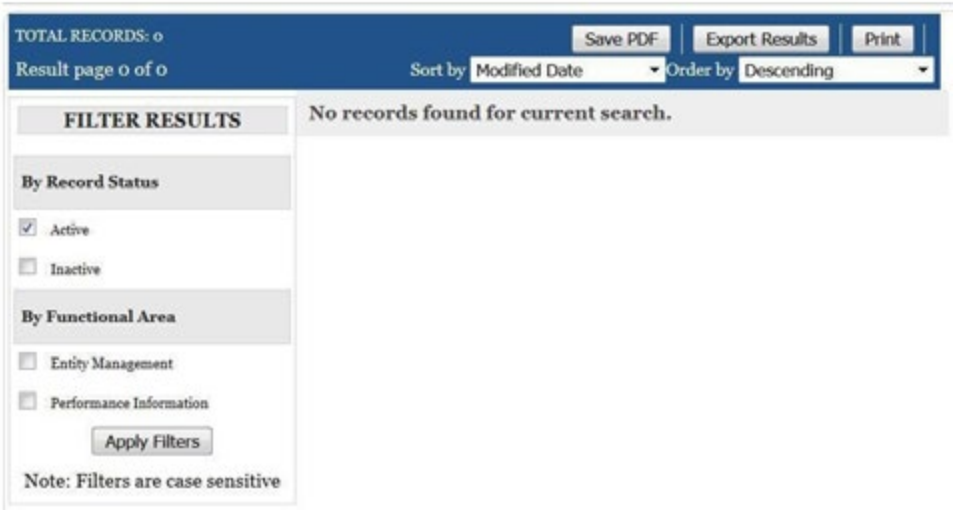
The DUNS number is a nine-digit number used to identify business entities on a location-specific basis. The DUNS number provides the government and other organizations a wealth of information about each registered business, including the business name, physical and mailing addresses, trade styles ("doing 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 https://www.sam.gov/SAM/ 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.
Copy and paste the following link: https://sam.gov/SAM/pages/public/help/samDemonstrationVideos.jsf

User Guides and FAQs can be found in the help section at the following link:
https://sam.gov/SAM/pages/public/help/samQUserGuides.jsf

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.

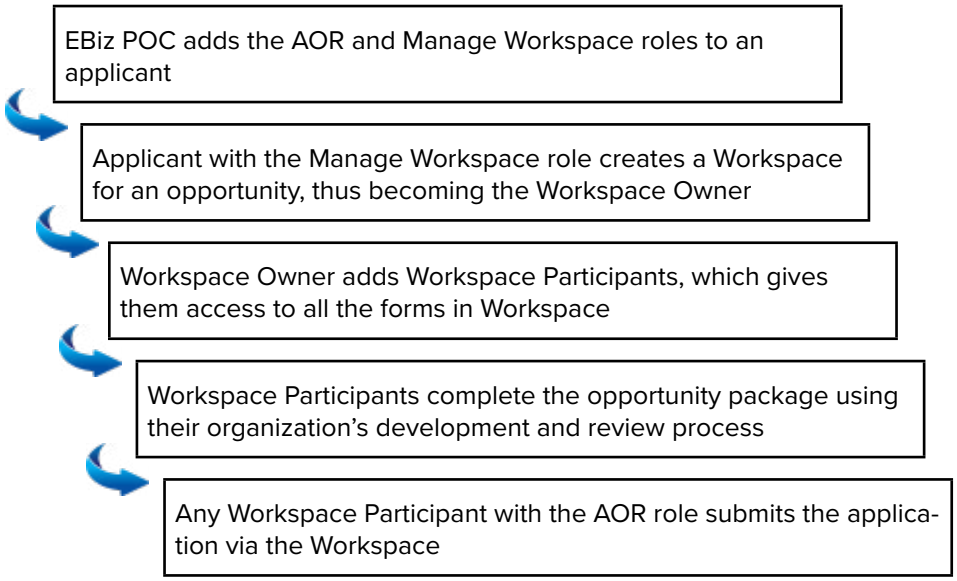
A brief video explaining these user roles can be found at the following link on YouTube: https:/ www.youtube.com/watch?v=zWSjXLfmc



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.

## 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, Application Workflow for Organizations, which can be found at: https://www.youtube.com/playlist?list=PLNSNGxQE7NWlibdjPYGOsZaG-ol0pBsx3

The titles include:

- Application Workflow for Organizations
- User Roles & Workspace Actions
- How to Create a Grants.gov Workspace
- How to Add Participants to a Grants.gov Workspace
- Completing Forms in a Grants.gov Workspace
- Submitting an 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/apply-for-grants.html

**NOTE:**
As of January 2018, using the Grants.gov Workspace is 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. https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html

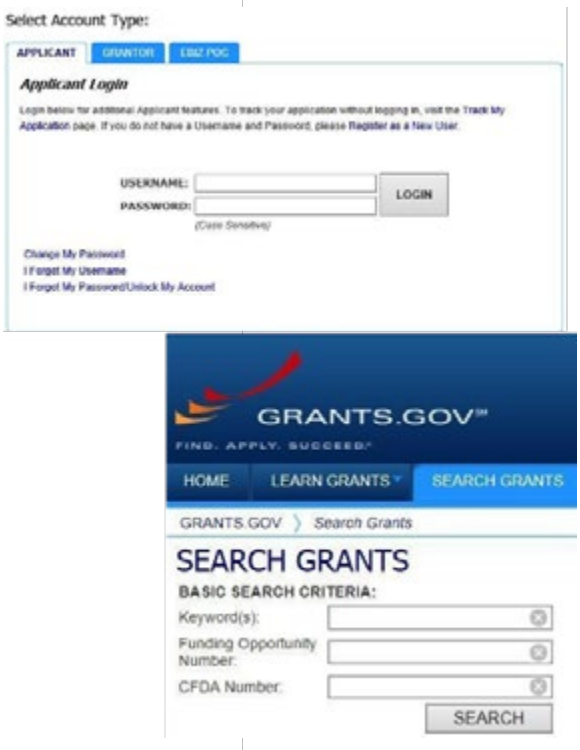
This page provides information regarding the compatible versions for Windows and Mac OS users. To verify the version of Adobe Reader or Adobe Acrobat installed on your computer is compatible with the forms in Workspace you can also click on the following test application package link: https://www.grants.gov/documents/19/18243/Adobe-Versioning-Test-Workspace-PDF-Form.pdf

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 opening 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. 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.




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 or a-z | Comma<br>, | Hyphen<br>- | Plus Sign<br>+ | Underscore<br>_ |
| Tilde<br>~ | Curly Brackets<br>{ } | Number Sign<br># | Semicolon<br>; | At Sign<br>@ |
| Ampersand<br>& | Dollar Sign<br>$ | Parentheses<br>( ) | Space | Exclamation Point<br>! |
| Apostrophe<br>‘ | Equal Sign<br>= | Percent Sign<br>% | Square Brackets<br>[ ] | Period<br>. |

*Ampersand in XML must use the & format.

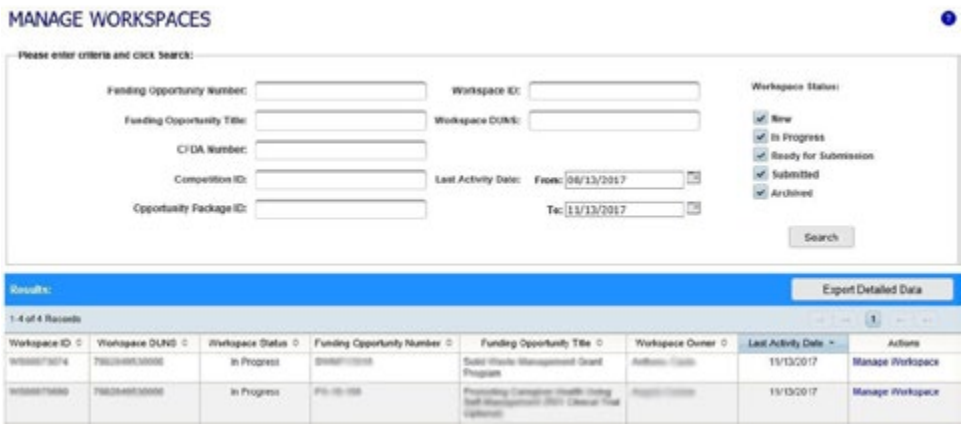
**NOTE:**
Do not use native languages to label files as this could cause a validation error impacting the application submission. Native language diacritical markings may not be read by the system and could cause an error.

**NOTE:**
ANA has developed an Application Toolkit for applicants to use. It can be found at https://www.acf.hhs.gov/ana/resource/ana-application-toolkit-2020

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

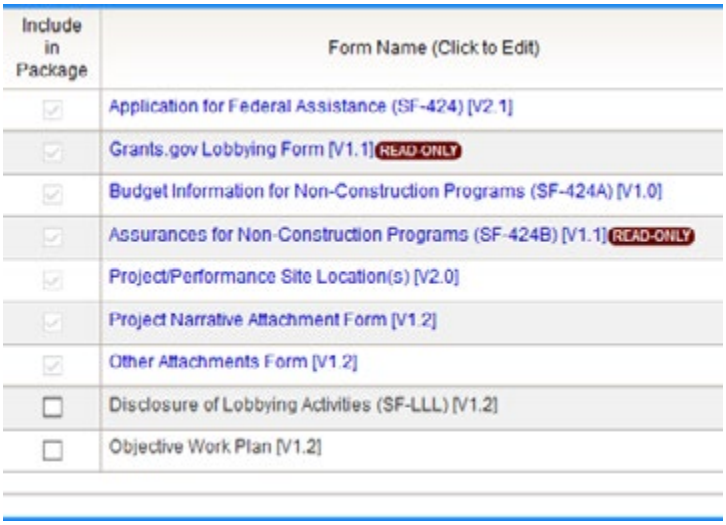
## Managing Workspaces

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 Project Narrative and Other Attachments.



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

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 06:56:06 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.

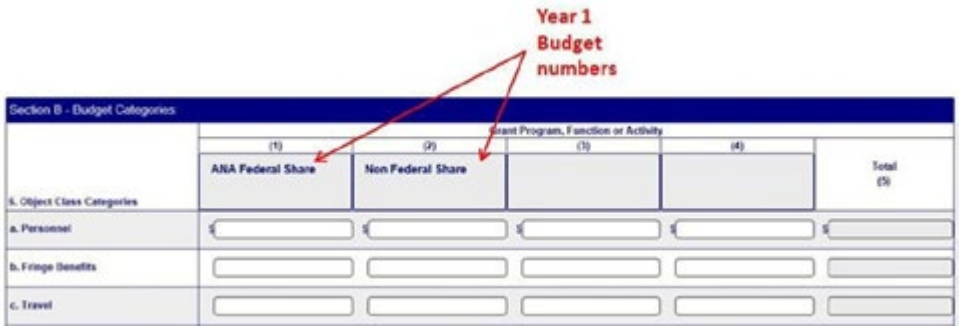


**NOTE:**
In this form, some of the fields will pre-populate similar areas and some will not, take care to be sure each section is filled out clearly.

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.



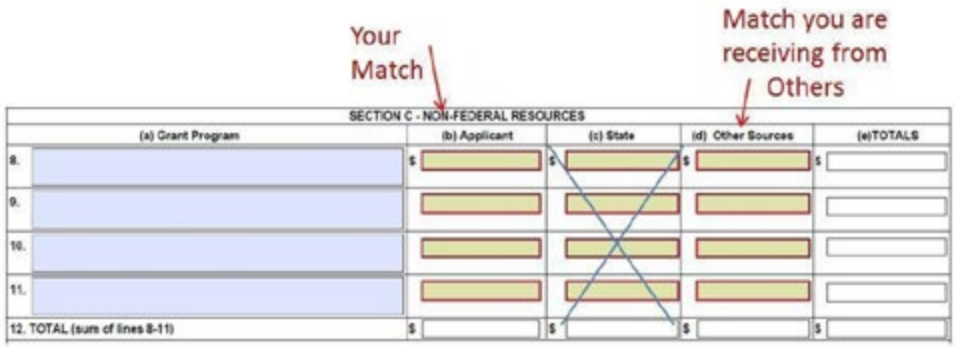

**NOTE:**
Column 2 will not allow you to label it as Non-Federal Share.

**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.

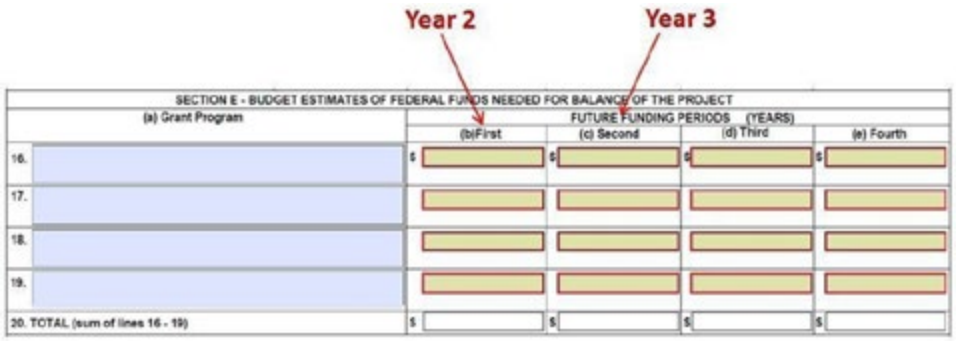
In SECTION C – NON-FEDERAL RESOURCES, most applicants need only fill out line 8 columns (b) Applicant and (d) Other Sources. The Applicant column is where you, the applicant, will list your match contribution. The Other Sources column is where you list match (cash or in-kind) that you are receiving from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

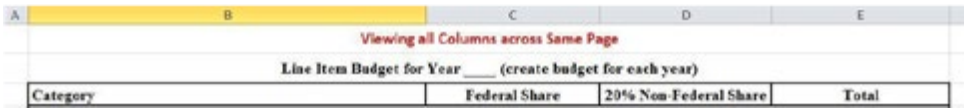


### Line-Item Budget and Budget Narrative

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.



Viewing all Columns across Same Page

Line Item Budget for Year ____ (create budget for each year)

| Category | Federal Share | 20% Non-Federal Share | Total |
|---|---|---|---|

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 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.

**There is no longer a two-file requirement by ANA.** However, it is still highly suggested that you upload only two files whenever possible. This will assist in maintaining the order and structure of your application for the Reviewer.

The Objective Work Plan is an additional file. The OWP does not count toward the page limit for the application.

Follow the steps in the next several pages to submit with two main 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 are not considered 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

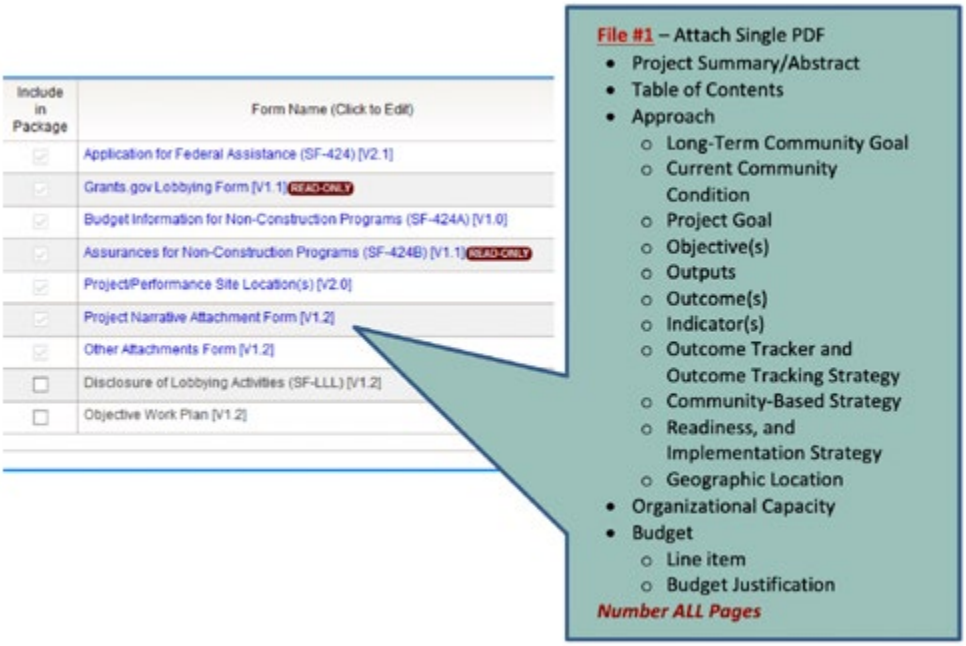


**NOTE:**
If you are using Adobe ***Reader*** you will not be able to apply page numbers to the application file. Please number your pages when you create your documents prior to making a PDF of your multiple documents.

### 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 Summary, Table of Contents, Project Narrative, Line-Item Budget and Budget Justification. Please remember your Project Narrative contains the Approach and Organizational Capacity sections of the scoring criteria.

The Project Summary/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.

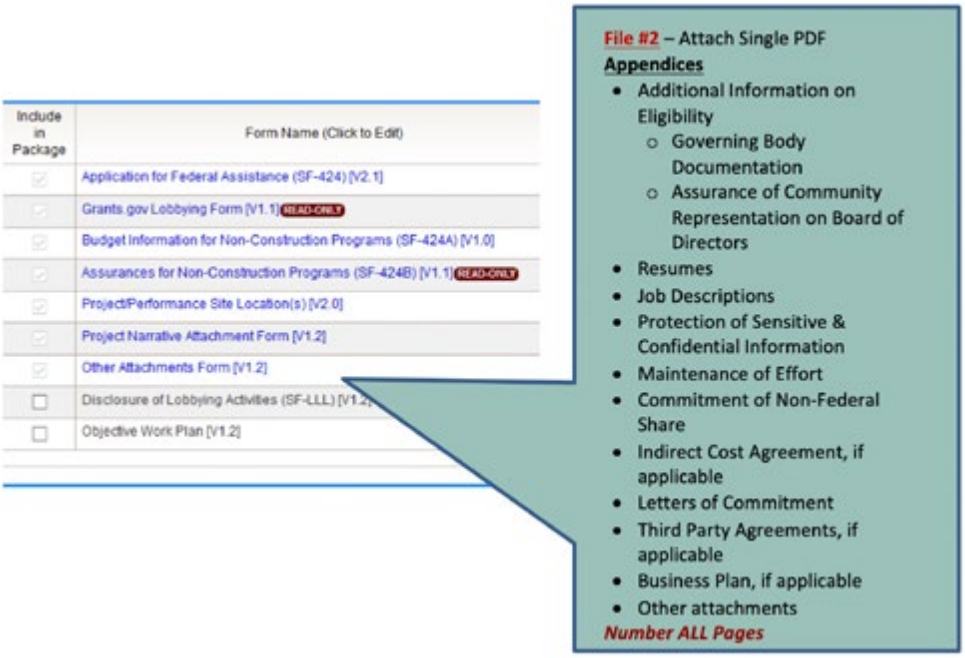



When you have completed the actions for this form, click the Save button. You should see a notice that the form has successfully saved, click OK. You will see a notice box asking if you want to unlock this form, select No. This will take you back to the Workspace page for the application. The Form Status 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.



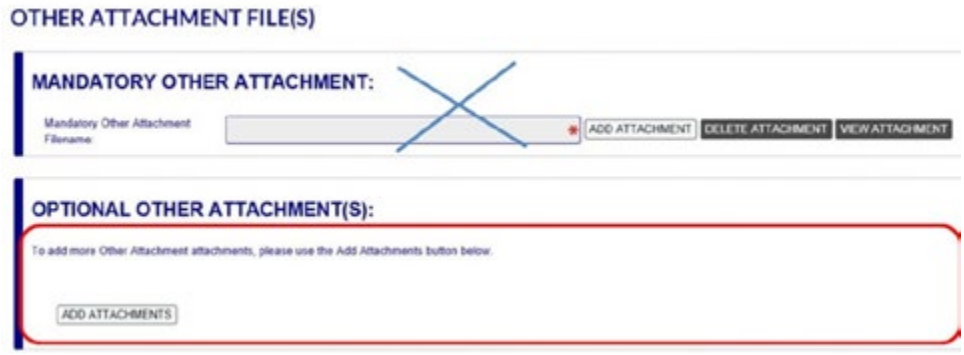
To attach your combined files, select the Webform link in the Actions column for the Other Attachments Form. Click the Add Attachment button. This will allow you to search your computer for the new single file you created from the multiple documents listed above. Select the file and click the Open button. 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.




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%3FrhhIterm%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.



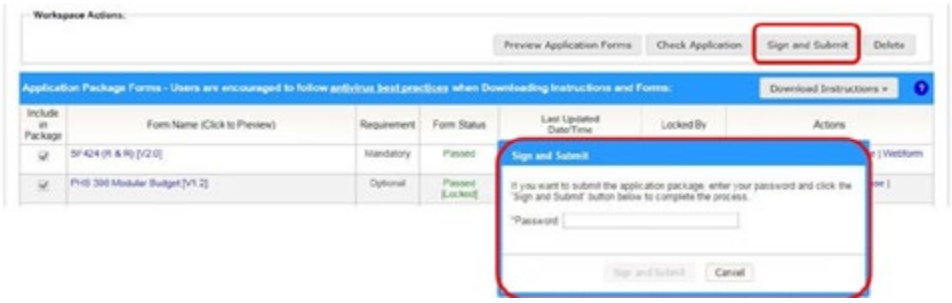

Once there are no errors, the Sign & Submit button will be activated. Notify the AOR the application is ready to be submitted.

### 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.html

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

### Analysis Score and Comments

Panel reviewers and chairpersons 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 chairperson 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 offers technical assistance to unsuccessful applicants provided by regional technical assistance providers. 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. Re-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

The Pre-Application Manual provides the essential information for developing, writing, and submitting an ANA application. The manual utilizes explanations, training activities, and project examples to demonstrate how to build an application around the FOA criteria. In addition, it provides useful information for developing a competitive application by explaining the grant review, proposal scoring and award processes. The manual also includes a guide to navigating the Grants.gov website when submitting the application.

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: Calendar for Planning the Writing of Your Application

| Required Grant Component | Person Responsible | WK1 | WK2 | WK3 | WK4 | WK5 | WK6 | WK7 | WK8 | Due |
|---|---|---|---|---|---|---|---|---|---|---|
| **Program Components**<br>1. Approach<br>2. Organizational Capacity<br>3. Objective Work Plan | | | | | | | | | | |
| **Financial Components**<br>1. Line Item Budget<br>2. Budget Justification | | | | | | | | | | |
| **Other Information**<br>1. Project Abstract<br>2. Resumes and/or Job Descriptions<br>3. Letters of Commitment<br>4. Tribal/Board Resolution<br>5. Other Documents<br>6. Table of Contents | | | | | | | | | | |
| **Forms and Certifications**<br>1. SF 424, 424A, and 424B<br>2. Project/Performance Site Location<br>3. Maintenance of Effort<br>4. Disclosure of Lobbying<br>5. Grant Disclosure<br>6. Proof of Non-Profit Status, if applicable<br>7. Commitment of Non-Federal Funds<br>8. Third Party Agreements, if applicable<br>9. Business Plan, if applicable | | | | | | | | | | |
| **Other**<br>1. Edit and Spell Check<br>2. Internal and External Review<br>3. Format<br>4. Submit in Grants.gov | | | | | | | | | | |

# 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 needs;
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.

| | Allowable | Prior Approval Required | Not Allowable |
|---|---|---|---|
| **Advertising and Public Relations - read the regulations** | | | |
| **Advisory Councils - read the regulations** | | | |
| **Alcoholic Beverages** | | | **X** |
| **Alumni/ae Activities** | | | **X** |
| **Audit Services** | **X** (w/ restrictions) | | |
| **Bad Debts** | | | **X** |
| **Bonding Costs** | **X** | | |
| **Collections of Improper Payments** | **X** | | |
| **Commencement and Convocation Costs** | | | **X** (w/ exception) |
| **Compensation - Personal Services - read the 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** | | |

| | Allowable | Prior Approval Required | Not Allowable |
|---|---|---|---|
| **Entertainment Costs** | | | **X** |
| **Equipment and Other Capital Expenditures** | | **X** | |
| **Exchange Rates** | | **X** | |
| **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 the 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 the regulations** | | | |
| **Lobbying** | | | **X** |
| **Losses on Other Awards or Contracts** | | | **X** |
| **Maintenance and Repair Costs** | **X** (read the regulations) | | |
| **Materials and Supplies Costs, including costs of Computing Devices** | **X** | | |
| **Organization Costs** | | **X** | |
| **Proposal Costs** | **X** | | |
| **Publication and Printing Costs** | **X** | | |

| | Allowable | Prior Approval Required | Not Allowable |
|---|---|---|---|
| **Rearrangement and Reconversion Costs - read the regulations** | | X | |
| **Recruiting Costs** | X | | |
| **Relocation Costs of Employees** | X (based on specific criteria) | | |
| **Rental Costs of Real Property and Equipment - read the regulations** | X | | |
| **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 the 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



**NOTE:**
The management of an ANA grant requires a working knowledge of the HHS rules and regulations contained in Title 45 of the Code of Federal Regulations (45 CFR).

# Appendix F: Environmental Regulatory Enhancement (ERE) Examples

## Sample ERE Project Outcome Tracker

| Project Outcome Tracker | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Project Goal:** Improve the long-term environmental governance capacity. | | | | | | | |
| **Objective 1**:<br>By the end of year 1 (timeline), the Boyzauhnt Tribal Sanitation Department (population) will increase capacity to regulate community safety and sanitation (indicator) by developing one set of regulations and standards for trash collection service (target). | | | | | | | |
| **Outcome** | **Indicator** | **Means of Measurement** | **Baseline** | **Project Year 1** | **Project Year 2** | **End of Project** | **3-Yr Post** |
| Community will have a garbage pick-up service plan. | Increase capacity to regulate community safety and sanitation | Number of regulations and/ or standards established and implemented | 0 | 4 new regulations | 1 new regulation for a total of 5. | 1 new regulation for a total of 6. | 3 new or revised regs |
| **Outputs**:<br>Approved regulations and operation procedures will be developed, regular sanitation service will be provided, operation of services (trash removal and landfill) according to regulations, oversight of and compliance of sanitation services | | | | | | | |

## Sample ERE Project Objective Work Plan (OWP)

| **Project Title:** There Is No Away (TINA) Wooeshongawatz Project | | | **Project Year:** 1 | |
|---|---|---|---|---|
| **Project Goal:** Improve the long-term environmental governance capacity. | | | | |
| **Objective:** By the end of year 1 (timeline), the Boyzauhnt Tribal Sanitation Department (population) will increase capacity to regulate community safety and sanitation (indicator) by developing one set of regulations and standards for trash collection service (target). | | | | |
| **Milestone Activities** | **Outputs** | **Project Staff** | **Start Date** | **End Date** |
| 1. Advertise, hire, and orient new Project Director per tribal personnel policies and procedures. | Accurate records completed and maintained by HR Department regarding Project Director hiring process and orientation. | Tribal Administrator<br>Administrative staff<br><br>HR Director and staff | 9/30/2019 | 10/31/2019 |
| 2. Establish TINA office space and appropriate materials and supplies. | NFS documentation of donated office space. Accounts payable | Tribal Administrator | 9/30/2019 | 10/31/2019 |
| 3. Meet with tribal, IHS and BIA Realty Office representatives to discuss project goal and OWP. | Sign-in sheets, minutes of meetings and related correspondence. | Project Director | 9/30/2019 | 10/31/2019 |
| 4. Conduct community meeting within reservation to explain the project goal and OWP. | Sign-in sheets, media coverage distributed throughout the community. | Project Director | 9/30/2019 | 10/31/2019 |
| 5. Meet with BHA to develop action plan for regular trash collection throughout tribal villages. Containers, routes, schedules, disposal/recycle plans, etc. addressed. | Maps, meeting correspondence, schedules. | Project Director | 9/30/2019 | 10/31/2019 |
| 6. Update tribal media sources including newsletter and website with project goal introduction. | Media publications, website documentation. | Project Director | 10/31/2019 | 11/30/2019 |
| 7. Work with Tribal Legal Dept. to develop contract to secure Environmental Regulation and Standards writer. | Meeting minutes, correspondence, draft contract. | Project Director | 10/31/2019 | 11/31/2019 |
| 8. Solicit bids for Environmental Regulation contractor to write regulations and standards. | Bid advertisement maintained in project records. | Project Director | 10/31/2019 | 11/31/2019 |
| 9. Secure Environmental Regulation contractor maintained to write regulations and standards. | Signed, dated contract in project records. | Project Director | 10/31/2019 | 11/31/2019 |
| 10. Meet with IHS, BIA and tribal authorities to identify potential landfill sites. | Meeting minutes maintained in project records. | Project Director,<br><br>Tribal Administrator | 11/31/2019 | 12/31/2019 |

| | | | | |
|---|---|---|---|---|
| 11. Conduct quarterly community meetings to update stakeholders of project progress. | Meeting correspondence, feedback and input maintained in project records. | Project Director | 11/31/2019 | 9/1/2020 |
| 12. Meet with county representatives to update off-Reservation population of project status. | Meeting correspondence, minutes maintained in project records. | Project Director | 12/1/2019 | 1/1/2020 |
| 13. Monitor contracts, progress of regulations and standards and land-fill site development. | Ongoing progress reports to community via website and newspaper. | Project Director | 12/1/2019 | 7/1/2020 |
| 14. Establish recordkeeping system for tracking project progress including non-federal share. | Hard copy documentation with original signatures of NFS contributions.<br><br>Outcome Tracking Form. | Project Director | 9/30/2019 | 10/31/2019 |
| 15. Attend Post-Award Training. | Skills, knowledge, and reference materials obtain to ensure proper project oversight. | Project Director<br><br>Accountant | 12/30/2019 | 11/1/2019 |
| 16. Complete all required ANA reports. | All financial and programmatic reports completed and on file. | Project Director<br><br>Accountant | 1/30/2020 | 9/29/2020 |
| 17. Attend ANA annual grantee meeting. | Knowledge and insight into best practices of existing ANA grantees. Networking with other native communities across the country. | Project Director and one other project staff member | 11/1/2019 | 1/30/2019 |

# Appendix G: Native Language Esther Martinez Immersion (EMI) Examples

## Sample EMI Project Outcome Tracker

| Project Outcome Tracker | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Project Goal:** Develop Potawatomi language resources specific to Deer Creek and a cadre of language speakers who are interested in becoming language instructors and leaders for the Deer Creek Potawatomi Community. | | | | | | | |
| **Objective 1**:<br>By the end of the 36th project month (timeline), 14 project participants between the ages of 18 to 60 years of age (population) will have attended 1800 hours of immersion language instruction with a minimum of 7 participants (50%) (target) increasing their language skills to a medium/ high level proficiency (indicator). | | | | | | | |
| **Outcome** | **Indicator** | **Means of Measurement** | **Baseline** | **Project Year 1** | **Project Year 2** | **End of Project** | **3-Yr Post** |
| Seven (50%) of the Deer Creek members who participate in the project will have reached medium to high levels of Potawatomi proficiency and become certificated advanced 2nd language speakers of the Deer Creek Potawatomi | Increased language skills to a medium/ high level of proficiency. | Individual language assessments of project participants will be completed twice a year. | Zero to minimal language skills | Low Medium Level | Medium Level | High Medium to High Level | High Level |
| **Outputs**:<br>14 Deer Creek member project participants will receive a minimum of 600 hours of immersion language instruction per year from a first speaker. 14 Deer Creek member project participants will complete yearly bi-annual language assessments and receive modified immersion classes to address language deficiencies and strengthen their language skills. | | | | | | | |

## Sample EMI Language Project Objective Work Plan (OWP)

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|---|---|
| **Project Title:** Our Language Is Who We Are | **Project Year:** 1 |
| **Project Goal:** Develop Potawatomi language resources specific to Deer Creek and a cadre of language speakers who are interested in becoming language instructors and leaders for the Deer Creek Potawatomi Community. | |
| **Objective:** By the end of the 36th project month (timeline), 14 project participants between the ages of 18 to 60 years of age (population) will have attended 1800 hours of immersion language instruction with a minimum of 7 participants (50%) (target) increasing their language skills to a medium/ high level proficiency (indicator). | |
| **Outcome:** Seven (50%) of the Deer Creek members who participate in the Project will have reached medium to high levels of Potawatomi proficiency and become certificated advanced 2nd language speakers of the Deer Creek Potawatomi community. | |

| Milestone Activities | Outputs | Project Staff | Start Date | End Date |
|---|---|---|---|---|
| 1. Advertise for and hire project director | Project director hired and provided with organizational/ project orientation | Deer Creek Band of Potawatomi Tribal Council | 7/01/2019 | 8/15/2019 |
| 2. Create project steering committee comprised of: First Speaker Instructors, Deer Creek Community Members and Partners to oversee implementation and maintain community involvement | 15-member steering committee that represents community and partners | Project director | 8/30/2019 | 9/30/2019 |
| 3.Identify and recruit First Speaker Instructors | 3 First Language Instructors recruited | Project Director<br><br>Com. Members | 9/01/2019 | 10/15/2019 |
| 4. Develop Potawatomi Language resources for oral and written communications such as a dictionary, recorded audio tapes and videos | 3 language resources developed and created:<br>1. Dictionary<br>2. Audio tapes<br>3. Videos | Project director and Steering Committee | 10/30/2019 | 2/30/2020 |
| 5. Meet with speakers to develop language assessment tools | Language assessment tools and plan developed | Project Director and Language instructors | 11/1/2019 | 12/30/2019 |
| 6. Identify and recruit 14 Deer Creek members to be project participants | 14 members of the community recruited | Project Director Assistance from Steering Com. | 12/1/2019 | 1/30/2020 |
| 7. Meet with Prairie Band of Potawatomi and Hannahville Potawatomi language programs to review language structure, protocols, and materials developed by them | Review of language protocols and materials for instructional and resource development reference. | Project Director<br><br>Language Instructors | 1/15/2020 | 2/30/2020 |
| 8. Complete primary language assessment of 14 project participants | Primary assessment of participants completed and on file for baseline comparisons. | Language Instructors | 3/1/2020 | 3/30/2020 |

| | | | | |
|---|---|---|---|---|
| 9. Attend 600 hours of immersion language instruction | Increase in language skills | Language instructors, 14 participants | 3/1/2020 | 5/15/2020 |
| 10. Conduct final language assessment and evaluate the 14 project participants | Final scores documented for certification | Project Director and Language Instructors | 5/30/2020 | 6/15/2020 |
| 11. Plan for a recognition ceremony for project participants who complete the immersion language courses | 14 certificated Potawatomi 2nd Language Speakers | Project Director and 1st Language Instructors | 09/1/2020 | 6/30/2020 |
| 12. Attend Post Award Training | Skills, knowledge, and reference materials obtained for proper oversight | Project Director<br><br>Accountant | 10/1/2019 | 10/30/2019 |
| 13. Complete all required ANA reports | All financial and programmatic reports completed on time and on file | Project Director Accountant | 1/30/2020 | 6/30/2020 |
| 14. Attend Grantee Meeting | Knowledge of Best Practices, Networking. | Project Director and one staff member | 11/1/2019 | 11/30/2019 |

# Appendix H: Glossary of Terms

**Beneficiaries:** individuals within the community that benefit from the project

**Budget Justification:** A narrative that provides information to ANA which validates that each expense is necessary and reasonable. The budget justification should align with the line item budget and should explain how the costs in the line item budget were calculated while also providing additional information about each expense.

**Community Assessment:** A systematic process to acquire an accurate, thorough picture of the strengths and weaknesses of a community. This process is utilized to help identify and prioritize goals, develop a plan for achieving those goals, and allocate funds and resources for undertaking the plan. A community assessment can be conducted to identify community condition(s), define which condition a project will address, and identify resources that can be used in the project to reduce or eliminate the community condition.

**Community-Based Projects:** Projects designed and developed in the community, by the community. Community-based projects involve tapping into local needs, understanding and building on the strengths of existing institutions and resources, and defining the changes needed to support community action. They reflect the cultural values; collective vision; and long-term governance, social, and economic development goals of Native communities.

**Community-Based Strategy:** A strategy which relates the proposed project to a long-term community goal, justifies why the proposed project is important to the long-term community goal, and describes how the community was involved in

identifying the project as a means to achieve the long-term community goal.

**Community Condition:** A specific and current community condition that is related to the purpose of the project. Should include enough detail to describe a baseline condition for the project, so that the achievement of project goals and outcomes can be used to show an enhancement in the condition described.

**Community Involvement:** How the community participated in the development of the proposed project and how the community will be involved during the project implementation and after the project is completed. Evidence of community involvement can include, but is not limited to, certified petitions, public meeting minutes, surveys, needs assessments, newsletters, special meetings, public council meetings, public committee meetings, public hearings, and annual meetings with representatives from the community.

**Community to be served:** Geographical/organizational community that benefits from the project.

**Comprehensive Plan:** A document developed by the community that lists the community's long- term goals. The plan should include benchmarks that measure progress towards achieving those goals. Comprehensive plans usually require at least a year to complete and cover a five- to ten-year time span.

**Contingency Plan:** A plan that identifies detailed actions to be taken in the event a specific challenge arises. The contingency plan should ensure that the project will be successfully completed within the proposed funding time frame. A contingency plan is not designed to prevent challenges from occurring, but rather to address challenges if they arise.

**Evaluation:** Involves assessing the strengths and weaknesses of programs, policies, personnel, products, and organizations to improve their efficiency and effectiveness. Project evaluation measures the efficiency and effectiveness of a project and determines the level of achievement of the project objectives.

**Line Item Budget:** The detailed cost presentation for the project being proposed. The line item budget must be reasonable and tied to the project objectives and work plan. It is an estimate of anticipated project expenses.

**Long-Term Community Goal:** A goal that has been identified by a community through surveys, community meetings, or a strategic plan.

**Milestone Activities:** The main activities ordered in a sequential manner which become the building blocks to accomplish the objectives. These activities have a definite start and end date. ANA has limited these to a maximum of 25 activities per Objective (per budget period), excluding administrative functions such as attending ANA mandatory meetings and reporting.

**Non-Federal Share:** The applicant's resources used to support the project and can include cash, donated goods, or donated services. These resources cannot include other federal funds unless the legislation authorizing the funds specifically states that it can be used as NFS for other federally funded awards.

**Objectives:** Quantify tangible achievements within the proposed project period. Relate to a primary outcome that enhances the current community condition. To fully quantify the deliverable, each objective should include the following 4 components (in no particular order):

- Timeline: a time by which the objective will be achieved
- Target: a measurement for the intended amount of change

- Indicator: a measurable sign that something has been done or been achieved
- Population: a specific group on which the project is intending to focus

**Objective Work Plan (OWP):** The OWP is a standalone document that identifies all the key elements of the application including the project goal, objectives, milestone activities, outputs, outcomes, project staff, and start and end dates for each activity. The OWP should mirror the approach stated in the project narrative, and support consistency throughout the application.

**Outcome(s):** The expected change that will result from the achievement of the objectives at the community/organizational level. ANA requires at least one outcome per objective. Outcomes can be the same or different for each of the project objectives.

**Outcome Tracker:** A tool used to identify the outcomes and indicators of each objective and which provides benchmarks for 4 points in time: baseline, end of project year, end of project period, and 3-year post project; also lists project outputs.

**Outcome Tracking Strategy:** A narrative which explains when and how the project will collect and manage data, and if the applicant organization will use, develop and/or improve a data management system to collect and assess project data.

**Outputs:** Outputs are tangible products or services that result from actions taken to achieve project objectives.

**Project:** A set of activities with a start and end date that will accomplish measurable objectives, achieve a project goal and are funded by a budget.

**Project Approach or Strategy:** The plan of action the project will take to successfully achieve its goal and objectives.

**Project Goal:** A statement describing what role the project will play in the changing the current community condition. It can be described in the reduction or resolution of a negative condition, or it can describe an expanded capacity to successfully address the condition.

**Project Participants:** Those individuals directly taking part in project activities (i.e. unemployed single parents that are taking financial literacy classes, youth interns, fluent elders selected to be the master in the master-apprentice, teacher candidates, newly elected council members to be trained, etc.)

**Project Planning:** The process used to create a plan of action that will reduce or eliminate a condition that stands between the community and a long-term goal and determine the costs associated with implementation of that plan.

**Project Steering Committee:** Consultant committee that includes a cross-section of people, such as: community members, potential beneficiaries, agency leadership, staff and partner organizations that coordinate project planning, oversee project implementation and assist with project evaluation.

**Stakeholder:** A stakeholder (or interest group) is someone who has something to lose or gain through the outcomes of a project.

**Strategic Plan:** A plan to realize a priority long-term goal through development and implementation of two or three strategic initiatives in a three to five-year period.

**Sustainability Plan:** A narrative description of how a project and its benefits will continue after grant funding is complete.

**Sustainable Project:** Ongoing project operation through such strategies as routinization, revenue generation or leveraged resources.

**Target Population:** A group that shares similar characteristics within the community that will be identified for recruitment as project participants (i.e. unemployed single parents, youth leaders ages 14-18, fluent elders, newly elected council members, etc.)

**Total Project Cost:** In a project budget, the sum of the federal request amount and the Non-federal share.

# Appendix I: Abbreviations and Acronyms

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|---|---|
| **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 |
| **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 |

# Appendix J: Mock Panel Review Activity

It is important to understand the application review process and address the review criteria while preparing your applications. Now that you're familiar with the requirements of the ANA Framework, 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 parts of the Approach section of an application narrative. Please review the narrative, note the issues and strengths, and provide a score based on the following criteria.  Complete your review by entering your scores and comments, and responding to the questions, on the following pages.

## APPROACH

### Background

The XYZ Tribe has a membership of 1200, with 300 (175 are adults, over 18 years) members living on or near the XYZ reservation. We are located in a rural area and must travel an hour or more for shopping, jobs and other services. In a labor market survey conducted last year, the top three employers in our area are:

- Jones Manufacturing-A midsized manufacturing company with 500 employees, native and non-native
- Tribal Government- employs 60 to provide services to tribal members but 75% of positions are filled by non-members.
- Local Farms/Ranches

Both the manufacturing and Tribal government jobs provide a pay rate above minimum wage with benefits. While the agricultural jobs provide a few full-time, permanent positions (that have little turnover), most jobs pay at or below minimum wage with no benefits.

**Long-Term Community Goal:** The long-term community goal for this project is:

> "Every member in our community earns 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 lead by an experienced consultant where all community members were invited to participate. Out of a community of 300 members, 25 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% (70 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. We want more of our community members to be qualified for stable, living wage jobs available in our area.

**Project Goal:** The goal of our project: "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"

Our project focuses on the economic well-being and self-sufficiency of our Tribal members by providing job readiness and training. By increasing the skills and qualifications of individual members, they are more likely to secure jobs in our limited job market and reducing reliance on social assistance. The project's purpose completely aligns with ANA's SEDS program areas of Social and Economic Development.

**Objective:** 25% of the unemployed members in our community will complete a post-secondary or trade apprentice program by the end of year three.

The measurable achievement of the objective is to have 25% of the unemployed members (n=36) certified as an apprentice in a trades program or enrolled in some other post-secondary program. Participants' progress will be tracked by following the certifications completed and conducting exit and follow-up interviews that will be required as part of the participation agreement.

This objective will address the current community condition of few members with any post-secondary certifications by designing a trades training and providing informational and resource assistance to those seeking other post-secondary goals.

The completion of the objective will lead to the achievement of the project goal by preparing members with the skills and certifications needed to secure the job opportunities available in our area. The members that complete the training certificates will be able to work in jobs offered at the local manufacturer or have the trade skills to be self-employed. The members that take advantage of the post-secondary assistance will receive support to achieve Community College or University degrees and return to the community.

**Outcomes and Indicators:**

Primary Outcome: More community members will be qualified for jobs with a living wage and benefits.

This aligns with the objective in that the training of individual members will result in the overall increase in community members' ability to secure desirable, stable jobs that can provide for their families.

**Indicator:** Increase in number of Community members' job-related certifications

> This indicator quantifies the certifications achieved by the project participants and can be easily observed and measured by following the certifications that were awarded.

**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.

**Project Outcome Tracker**

**Long-Term Community Goal:** Every member in our community earns a living wage that would enable them to be self-sufficient and live a comfortable life

**Current Community Condition:** Our project will be focusing on the low numbers who have completed some kind of post-secondary education

**Project Goal:** Increase the number of self-sufficient community members

**Objective 1**: 25% of the unemployed members in our community will complete a post-secondary or trade apprentice program by the end of year three.

| Outcome | Indicator | Means of Measurement | Baseline | Project Year 1 | Project Year 2 | End of Project | 3-Yr Post |
|---|---|---|---|---|---|---|---|
| More community members will be qualified for jobs with a living wage and benefits. | Increase in number of Community members' job-related certifications | Certificate Completion | 0 | 0 | 20 | 36 | 25 |

**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.

# Maximum Points: 31

| Long-Term Community Goal (0 – 2 points) | | |
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| **Score** | | |

| 1. The application clearly justifies why the proposed project was selected to address the identified long-term community goal. |
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| Current Community Condition (0 – 3 points) | | |
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| **Score** | | |

| 2. The application clearly provides a statement with one specific current community condition that is limited to the scope of the proposed project. |
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| 3. The application effectively provides baseline information about the project's current community condition. |
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| Project Goal (0 - 3 points) | | |
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| Score | | |

| 4. The project goal for the proposed project clearly addresses the current community condition. |
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| 5. The application demonstrates that the project goal specifically relates to the purpose of the FOA as described in Section I. Program Description, SEDS Program Purpose. |
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| Objectives (0 - 6 points) | | |
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| Score | | |

| 6. The application identifies one to three clear objectives, each of which includes all components of TTIP (target, timeline, indicator, and population). No more than three objectives are included in the application. |
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| 7. The objectives effectively describe a measurable achievement. |
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| 8. The application describes how the objectives clearly address the current community condition. |
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| 9. All objectives lead to the achievement of the project goal. |
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| Outputs (0 – 4 points) | | |
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| **Score** | | |

| 10. The application describes each objective's resulting outputs (products and/or services) and their significance to the project. |
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| 11. The application demonstrates that outputs are achievable within the established timeframe. |
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| Outcomes and Indicators (0 – 6 points) | | |
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| **Score** | | |

| 12. The application states one primary outcome for each objective that clearly describes the expected change as a result of the project. |
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| 13. The application explains how each primary outcome aligns with the corresponding objective. |
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| 14. The application proposes viable indicator(s) that quantifies what will be changed by each outcome in a way that can be effectively observed and measured. |
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| Outcome Tracker and Outcome Tracking Strategy (0 – 7 points) | | |
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| **Score** | | |

| 15.The application includes an outcome tracker that is consistent and shows logical connections between the long-term community goal, current community condition, project goal, objectives, outcomes, indicators, and outputs. |
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| 16. The application fully identifies an accurate and viable means for measuring each indicator, which can be effectively and consistently used by the project team to show the progress a project is making toward achieving primary outcome(s). |
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| 17. The outcome tracker 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. |
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| 18. The application provides clear and detailed information describing the plan and staffing to collect, manage, and analyze the outcome tracking data. |
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| Total Score | |
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| Was it easy to assess the criterion? Why or why not? |
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| Were you provided with sufficient information to score this section of the application? |
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| What additional information do you wish was included? |
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## ANA Help Desk

http://www.acf.hhs.gov/ana
Toll free: 1.877.922.9262

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## Alaska Region

http://www.anaalaska.org
Toll free: 1.800.948.3158

## Eastern Region

http://www.anaeastern.org
Toll free: 1.888.221.9686

## Pacific Region

http://www.anapacificbasin.org
Toll free: 1.844.944.9544

## Western Region

http://www.anawestern.org
Toll free: 1.855.890.5299