POST AWARD MANUAL

A GUIDE TO REPORTING AND MANAGING YOUR NEW ANA GRANT

The pictures on the front cover are from ANA funded projects. Clockwise from the upper left:

Piegan Institute language project to increase the number of fluent, proficient Blackfeet speakers, and to build the capacity of Nizipuhwahsin immersion program staff to provide ongoing instruction using a Blackfeet language medium.

Partners in Development SEDS project to improve the math and science skills of pre-school age children living in Native Hawaiian communities falling below the poverty line through the creation of a culturally-sensitive, center-based curriculum titled "'Ike No'eau," using computer based technology.

Fond du Lac Band of Lake Superior Chippewa Language project to plan and conduct three canoe-building sessions held entirely in the Ojibwe language.

Knik Tribal Council Environmental project to establish a standard for tribal members to state their concerns about proposed development in a unified manner.

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

Welcome to the Administration for Native Americans (ANA) post award training. The goal of this training is to help you understand the federal requirements related to tracking and reporting your new ANA project. During this training, you will learn:

- The roles and responsibilities of ANA, the Office of Grants Management (OGM), and the Payment Management System (PMS)
- How to read your Notice of Grant Award documents
- How to complete and submit the Objective Progress Report and the Annual Data Report
- ow to use the Payment Management System to drawdown funds and submit the
- Federal Cash Transaction Report and the Federal Financial Report
- How to use GrantSolutions.gov
- How to submit a timely non-competing grant continuation application
- How to submit requests for non-routine grant actions

Techniques to enhance participation of youth and elders in project activities
How to build and document community support

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

GOOD LUCK on your ANA project and if you have any questions, do not hesitate to contact your regional training and technical assistance center and your ANA program specialist.

Yawʌkó. Miigwech. Gunalchéesh. Fa'afetai. Nia:wen†

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

†Thank you in Oneida, Anishinaabemowin, Tlingit, Samoan, Mohawk

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Abbreviations and Acronyms

Term	Definition
ACF	Administration for Children and Families
ADR	Annual Data Report
ANA	The Administration for Native Americans
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
COB	Carry Over Budget
DoP	ANA Division of Policy
DPEP	ANA Division of Program Evaluation and Planning
DPO	ANA Division of Program Operations
DUNS	Data Universal Numbering System
EMI	Esther Martinez Immersion
ERE	Environmental Regulatory Enhancement
FOA	Funding Opportunity Announcement
FFR	Federal Financial Reports
FCTR	Federal Cash Transaction Report
FSR	Federal Status Report
GPS	Grants Policy Statement
HHS	Department of Health and Human Services
I-LEAD	Native Youth Initiative for Leadership, Empowerment and Development
NAPA	Native American Programs Act of 1974, as amended

Term	Definition
NCC	Non-Competing Continuation
NCE	No Cost Extension
NFS	Non-Federal Share
NGA	Notice of Grant Award
NOA	Notice of Award Letter
OER	Objective Evaluation Report
OGM	ACF Office of Grants Management
OLDC	Online Data Collection System
OMB	Office of Management and Budget
OPR	Objective Progress Report
OWP	Objective Work Plan
PIP	Project Improvement Plan
P & M	Native American Language Preservation and Maintenance
PMS	Payment Management System
SEDS	Social and Economic Development Strategies
SEEDS	Sustainable Employment and Economic Development Strategies
SF	Standard Form
T/TA	Training and Technical Assistance

ANA Definitions

Annual Data Report (ADR): A form used by grantees to report project data annually, and at the end of the ANA project period.

Authorizing Official: The individual, named by the applicant/recipient organization, who is authorized to act for the applicant/recipient and to assume the obligations imposed by the federal laws, regulations, requirements and conditions that apply to grant applications or awards. Usually the Chairman, Chief, Governor, President or Executive Director of the Tribe or Organization.

Budget Period: The interval of time (usually 12 months) into which a project period is divided for budgetary and funding purposes. Funding of individual budget periods sometimes is referred to as "incremental funding." The budget period also is the "period of funding availability" as specified in 45 CFR Part 75.

Construction: Construction of a new building, including the installation of fixed equipment, but excluding the purchase of land and ancillary improvements, for example, parking lots or roads.

Contingency Plan: A set of specific actions to reduce anticipated negative impacts on a project in the event challenges arise.

Core Administration: Salaries and other expenses for those functions that support the applicant's organization as a whole or for purposes unrelated to the actual management or implementation of the ANA-funded project.

Federal Share: Financial assistance provided by ANA in the amount of 80 percent of the total approved costs of the project. The Commissioner may approve assistance in excess of such percentage if such action is in furtherance of the purposes of the Native American Programs Act of 1974 (NAPA), 42 U.S.C. 2991b.

Governing Body: A body: (1) consisting of duly elected or designated representatives, (2) appointed by duly elected official, or (3) selected in accordance with traditional tribal means. The body must have authority to enter into contracts, agreements, and grants on behalf of the organization or individuals who elected, designated, appointed, or selected them.

Equipment: An article of nonexpendable, tangible personal property, having a useful life of more than one year and an 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.

Indicators: Measurement descriptions used to verify the impact or the achievement of the project goal. Indicators must be quantifiable and documented.

Indicators include target numbers and tracking systems. ANA requires one indicator per project. Indicators are separate from the results and benefits section of the OWP.

Leveraged Resources: Any resource not including the Federal share, non-Federal contribution, and program income, expressed as a dollar figure, acquired or utilized during the project period that supports the project. Leveraged resources may include natural, financial, personnel, and physical resources provided to assist in the successful completion of the project.

Non-Federal Share (NFS): Financial amount provided by recipient in the amount of 20 percent of the total approved costs of the project. Non-Federal Share is the value of cash and non-cash contributions directly benefiting a grant-supported project or program not borne by the Federal Government. Recipient contributions may be derived from any non-Federal source; from Federal sources if received as fees, payments, or reimbursements for the provision of a specific service; or from other program income. Otherwise, unless there is specific statutory authority, Federal funds may not be used to match HHS grant funds. Other terms often utilized to identify NFS include matching, cost sharing and in-kind services.

Objective: A statement of the specific outcomes or results to be achieved within the project period which directly contribute to the achievement of the project goal(s) and support the community's long-range goals.

Objective Progress Report (OPR): The semi-annual form used by grantees to report project progress to ANA. The OPR includes several sections, including work plan status, activity completion dates, results and benefits, staffing, and financials.

Objective Work Plan (OWP): The plan for achieving the project objectives and producing the results and benefits expected for each objective. The OWP is the blueprint for the project and includes the project goal, objectives, and activities. The form can be found at: http://www.acf.hhs.gov/programs/ana/resource/objective-work-plan

Online Data Collection System (OLDC): An electronic reporting system that houses the Objective Progress Report and the ADR. Access to the OLDC is found through GrantSolutions.gov.

Partnerships: A collaborative effort between two or more parties that will support the development and implementation of the project.

Program Income: Means gross income earned by a non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in 45 CFR Part 75.307.

Project Goal: The specific result or purpose expected from the project and achieved through the project objectives and activities.

Project Period: The total time for which federal support has been programmatically approved as shown in the Notice of Award; however, it does not constitute a commitment by the federal government to fund the entire period.

Real Property: Land, including land improvements, structures, and added fixtures thereto, excluding movable machinery and equipment.

Renovation or Alteration: Work that changes the interior arrangements or other physical characteristics of an existing facility or installed equipment so that it may be more effectively used for its current designated purpose or adapted to an alternative use to meet a programmatic requirement. A minor renovation or alteration is distinguished from construction and major renovations; costs may not exceed $250,000 or 25 percent of the total approved budget for a budget period. May include changes to physical characteristics that would not involve expansion. New construction, development or repair of parking lots, or activities that would change the "footprint" of the facility (for example relocation of exiting exterior walls or roofs) would not be allowable.

Standard Form 425 (SF 425): A required Office of Management and Budget financial reporting form to track the status of financial data tied to a Federal grant award.

Section 1: About ANA

History of the Administration for Native Americans (ANA)

Housed under the Administration for Children and Families (ACF) within the Department of Health and Human Services (HHS), ANA has its roots in a collection of ideals that were officially brought together in January 1964 when President Lyndon B. Johnson declared "War on Poverty." In his call to action, President Johnson asked communities to prepare "long-range 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. However, in 1974, many of its "War on Poverty" concepts became the foundation for ANA. ANA was established in 1974 through the Native American Programs Act (NAPA). This new agency embraced the goal of Indian self- determination, which was endorsed by President Johnson in 1968 and later by President Nixon.

Today, ANA works to achieve its mission and goals and serves all Native Americans, including 567 federally recognized tribes, American Indian and Alaska Native organizations, Native Hawaiian organizations and native populations throughout the Pacific basin (including American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands).

Mission of ANA

ANA promotes the goal of self-sufficiency for Native Americans by providing funding through competitive discretionary grants for community based projects and for training and technical assistance to eligible tribes and native organizations. Those tribes and organizations represent nearly 4.3 million individuals. ANA's vision is to see that Native communities are thriving!

ANA Goals

The major goals of ANA are to:

1. Foster the development of stable, diversified local economies and economic activities that will provide jobs, promote economic well-being, and reduce dependency on public funds and social services;
2. Support local access to, control of, and coordination of services and programs that safeguard the health and well-being of people and are essential to a thriving and self- sufficient community.
3. Increase the number of projects involving youth and intergenerational activities in Native American communities.

Philosophy of ANA

ANA's philosophy of native self-sufficiency is based on the following core beliefs:

1. ANA believes 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.
2. ANA believes the responsibility for achieving self-sufficiency resides with the native governing bodies and local leadership.
3. ANA believes progress toward self-sufficiency is based on efforts to plan and direct resources in a comprehensive manner consistent with long-range goals.

Section 2: Roles and Responsibilities

The grantee, ANA, the ACF Office of Grants Management, and the Payment Management System have specific roles and responsibilities in the implementation and management of an ANA grant.

You (The Grantee)

The grant is an agreement between the awarded tribe or organization and the federal government. You are responsible for implementing the approved project on time and within budget. The grantee must comply with all federal regulations, including requesting approval for changes as outlined in this manual, 45 CFR Part 75, the HHS Grants Policy Statement (available at http://www.acf.hhs.gov/grants-forms) and by submitting correct reports on time.

> **Note**: The GPS contains good information and guidance. Keep in mind that minor discrepancies may exist between the current version of the Grants Policy Statement and the regulations. Where those discrepancies occur, the information in the new regulations will always take precedent.

ANA

ANA is organizationally comprised of three operational Divisions and management operations staff. The Division of Program Operations (DPO) is primarily responsible for the pre-award and post-award administration of discretionary grants to eligible Tribes and nonprofit Native American organizations. The Division of Program Evaluation and Planning (DPEP) is responsible for evaluations of grantee project effectiveness and impact. The Division of Policy (DoP) is responsible for providing support and guidance to define, establish, and disseminate policy affecting Native American communities, including, but not limited to current grantees. The Management Operations Staff provides administrative, budget, technical, and logistics support to ANA.

ANA Commissioner

The ANA Commissioner, appointed by the President of the United States and confirmed by the United States Senate, provides executive leadership for ANA. The Commissioner makes award decisions, implements special initiatives, and provides overall policy guidance to ANA.

In addition, the Commissioner is the Deputy Assistant Secretary for Native American Affairs and the Chair of the Intra-Departmental Council on Native American Affairs (IDCNAA). The council is composed of senior leadership from major agencies within HHS and is the departmental focal point for all initiatives affecting Native American people. Under its charter, the IDCNAA coordinates and encourages the cooperation of the department's and other federal agencies' resources for Native American people. IDCNAA also develops and implements a meaningful policy on Native American affairs for the entire department and ensures that this policy will be applied consistently throughout the department and, where possible, throughout the federal government.

Program Specialist

The primary purpose of a program specialist is to help you accomplish your project on time, within budget, and within compliance of federal regulations. Each program specialist in the ANA Division of Program Operations has a portfolio of grants and is responsible for monitoring the programmatic activities and the financial elements that may impact the grant's programmatic activities. Some examples of when grantees should contact their program specialist are:

To discuss making programmatic changes to a project such as key personnel changes, budget modifications, carry over budgets, and no-cost extensions;

1. To request technical assistance;
2. With questions on ANA policies;
3. With questions about the bi-annual objective progress reports (OPRs) and other reporting requirements; and
4. With questions regarding how to track and monitor the project's progress.

Training and Technical Assistance Providers (TA Providers)

ANA provides free training and technical assistance to potential applicants and current grantees through contractors in each ANA geographic region. The four ANA geographic regions are East, West, Alaska, and Pacific. A fifth TTA center has been established strictly to support Native Language Community Coordination projects, as well.

TA providers are experts in project management and development. They are knowledgeable of ANA policies and programs as well as other funding opportunities and partnerships. They can provide guidance electronically or at a grantee's site. TA providers conduct:

1. One-on-one assistance to grantees in the administration and implementation of an ANA funded project;
2. One-on-one assistance in preparing and submitting a grant application;
3. Training in project development, pre-application, and post award.

Impact Evaluators

NAPA, the authorizing legislation for ANA, calls for ANA to assess the impact and effectiveness of ANA funding in native communities no less than once every three years. To meet this mandate, impact evaluators in the ANA Division of Program Evaluation and Planning conduct impact visits. The purpose of the visit is to collect information on the overall impact and effectiveness of funded projects. The visit is a chance for grantees to share the benefits, best practices, and general challenges met during the life of the project. Specifically, the impact evaluators:

1. Assess the impact of ANA funding on native communities;
2. Increase ANA's knowledge about the grantees' successes and challenges and analyze data from the visits to improve ANA service delivery; and
3. Collect information from funded projects to increase transparency and collaboration by sharing the unique stories of ANA grantees with fellow native communities, Congress, and the American public.

Policy Team

The role of ANA's policy team is to define, establish, and disseminate policy affecting Native American communities, including, but not limited to current grantees. To the extent DoP serves as the authoritative source for developing policy as a guide for actions that support Native Americans and Native American communities, the policy team develops tools and provides information intended to promote and foster the well-being of Native American families and communities informed by grantees' experiences including successes, promising practices, and approaches to overcoming challenges.

Office of Grants Management (OGM)

OGM is an office within ACF and is responsible for awarding grants and monitoring the fiscal aspects of those grants. OGM provides guidance on the federal terms and conditions of award, issues the Notice of Grant Award (NGA), approves all grant amendments, assists in the setting up of financial accounts to receive federal grant awards, and maintains the official grant file with the original copies of the applications, reports, and close-out information.

Grants Management Specialist

The grants management specialist is responsible for overseeing and approving the financial management activities of the grant. Grants management specialists review the financial reports and work with the ANA program specialist on monitoring the ANA grant. Some examples of when grantees should contact their grants management specialist are:

To discuss making budget modifications to a grant, such as a revision of the indirect cost rate or a carry over budget;

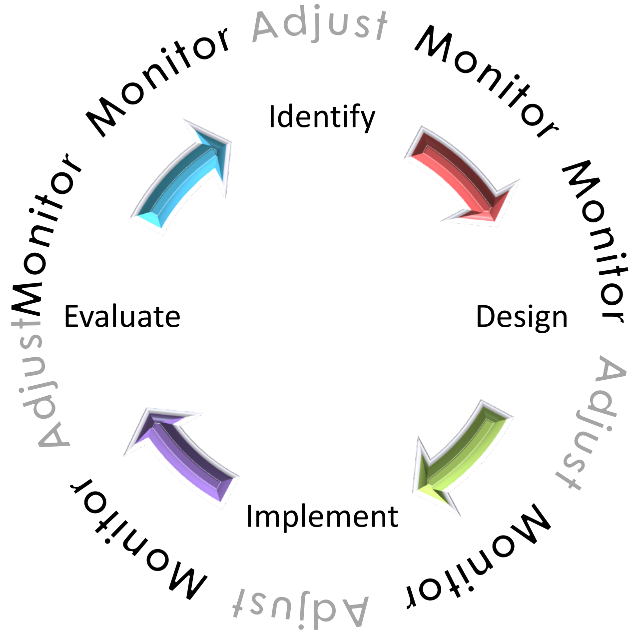
1. With questions regarding program income generation;
2. With questions about the financial report, the SF-425; and
3. With questions regarding the terms and conditions of award.

Payment Management System (PMS)

PMS is part of the Program Support Center for HHS and is responsible for all payment related activities from the time of award through the closeout of the ANA grant. PMS makes payments to grantees, manages cash flow, reports disbursement data to ANA and OGM, and coordinates the debt collection. PMS processes requests for payment and reviews the FFR-425 report to ensure the grantee does not have excess cash on hand.

Section 3: Planning and Organizing

FIGURE 1: PROJECT CYCLE



The Project Cycle

A project is different from a grant. The project is the goal, objectives, and activities a community works on to meet a defined set of results and benefits. The grant is the agreement between the grantee and the funding organization to fund the project. In other words, the project is the idea while the grant is the funding which makes that idea a reality. The process of planning and managing projects follows a logical, continuous cycle where each phase of the project leads to the next.

Grantees in the post award training have completed two steps of the project cycle, identify and design, and are now in the project implementation stage. Since project development is a continuous cycle, the implementation of one project may allow grantees to identify and design future project ideas.

Project monitoring occurs throughout all stages, allowing for small adjustments in the project's planning, design, and implementation to ensure success. There are certain monitoring activities the grantee must engage in to meet the funding requirements of the ANA grant, including submitting reports, documenting the match obligation, and tracking leveraged resources, partnerships, project specific indicators, and community support.

The Grant Year

During the course of the project period, grantees will engage in project and administrative activities, including start-up activities, on-going activities, and close-out. The following pages provide an outline of activities that are common to most projects.

Language Program Grant Year: P&M and EMI

TABLE 1: AWARD DOCUMENT

Activity	When?
Receive & review award document	End of June - July

TABLE 2: QUARTER ONE, JULY 1 TO SEPTEMBER 30

Activity	When?
Hire project staff, if necessary	First two months, or according to OWP
Orient staff on revised project documents	As staff are brought onto project
Establish GrantSolutions.gov account	July
Establish the PMS account	July
Establish the grant file	July
Start-up grant activities	July
Develop and implement data collection protocols	July
Attend post award training if in first year	October

TABLE 3: QUARTER TWO, OCTOBER 1 TO DECEMBER 31

Activity	When?
Submit 1st quarter PMS FFR/FCTR report no later than October 30th	October

Table 4: Quarter Three, January 1 to March 31

Activity	When?
Submit 1st programmatic report (OPR) no later than January 30th	January
Submit 2nd quarter PMS FFR/FCTR & FSR report no later than January 30th**	January
Watch for NCC application notification from ANA if a multi-year grantee	February or March, approximately

Table 5: Quarter Four, April 1 to June 30

Activity	When?
Submit 3rd quarter PMS FFR/FCTR report no later than April 30th**	April
Submit continuation application if a multi-year grantee	May or June, approximately
Possibly participate in an ANA impact visit if in final year	July through December
If in final year, complete grant activities and obligate all funds no later than July 31st	July
Submit 4th quarter PMS report (FFR/FCTR &FSR) no later than July 30th**	July
Submit 2nd programmatic report (OPR) no later than July 30th	July
Submit annual ADR, FFR/FSR	September
Liquidate all project financial obligations before submitting the Final reports.	July - September
If in final year, submit final reports no later than 90 days after end of project period	September

TABLE 6: THROUGHOUT PROJECT PERIOD, July 1 TO June 30

Activity	When?
Draw down funds from PMS	Throughout project period
Continue grant activities	Throughout project period
Collect project data	Throughout project period
Monitor expenses versus budget	Throughout project period

Note: Grantees are required to submit the SF 425 financial document through the Payment Management System (PMS). If you can't access the full SF 425 form in the PMS, then the form will need to be unlocked. Contact your OGM specialist and ask them to request that DPM unlock the report. If you are still having issues after four business days, please contact your program specialist. They will try and intervene to get the problem corrected.

Program Grant Year: SEDS, ERE & Special Initiative Grants

Table 7: Award Document

Activity	When?
Receive & review award document	End of September - Early October

Table 8: Quarter One, September 30 to December 31

Activity	When?
Hire project staff, if necessary	First two months, or according to OWP
Orient staff on revised project documents	As staff are brought onto project
Establish GrantSolutions.gov account	October
Establish PMS account	October
Submit PMS FCTR report for the period September 29 - September 30	October
Establish the grant file	October
Start up grant activities	October
Develop and implement data collection protocols	October
Attend post award training if in first year	November to January

TABLE 9: QUARTER TWO, JANUARY 1 TO MARCH 31

Quarter Two	January 1 to March 31
Submit 1st quarter PMS FFR/FCTR report no later than January 30th**	January
Watch for NCC application notification from ANA if a multi-year grantee	February or March, approximately

Table 10: Quarter Three, April 1 to June 30

Quarter Three	April 1 to June 30
Submit 1st programmatic report (OPR) no later than April 30th	April
Submit 2nd quarter PMS FFR/FCTR & FSR report no later than April 30th**	April
Submit continuation application if a multi-year grantee	May or June, approximately

Table 11: Quarter Four, July 1 to September 29

Quarter Four	July 1 to September 29
Submit 3rd quarter PMS report (FFR/FCTR) no later than July 30th**	July
Possibly participate in an ANA impact visit if in final year	July through December
If in final year, complete grant activities and obligate all funds no later than September 29th	September
Submit 4th quarter reports (OPR, PMS FFR/FCTR) no later than Oct 30th**	October
Submit annual ADR, FFR/FSR	December
Liquidate all project financial obligations before submitting the final reports	December
If in final year, submit final reports no later than 90 days after end of project period	December

TABLE 12: THROUGHOUT PROJECT PERIOD, SEPTEMBER 30TH TO SEPTEMBER 29TH

Throughout project period	September 30 – September 29
Draw down funds from PMS	Throughout project period
Continue grant activities	Throughout project period
Collect project data	Throughout project period
Monitor expenses versus budget	Throughout project period

****Note:** Grantees are required to submit the SF 425 financial document through the Payment Management System (PMS). If you can't access the full SF 425 form in the PMS, then the form will need to be unlocked. Contact your OGM specialist and ask them to request that DPM unlock the report. If you are still having issues after four business days, please contact your program specialist. They will try and intervene to get the problem corrected.

Start-Up Grant Activities

1. ***Review Grant Award Documents and Begin Creating the Grant File.*** Prior to starting the project, the project staff should review the NGA, the application and revisions, and the OWP and ensure this information is in the grant file.
2. ***Set up your GrantSolutions.gov account.*** All grantees must have a GrantSolutions.gov account in order to report, submit continuations, and request grant amendments.
3. ***Establish Payment System.*** Most grantees currently receive federal funds through PMS. If new to the federal grant process, the grantee will have to contact PMS to determine the method for payment and complete the appropriate forms. PMS may be contacted through their website at http://www.pms.psc.gov. (Grantees new to PMS will have a report due to PMS on October 30. For projects with a 9/30 start date, the period covered by the report is only one day so the report will most likely be all zeros.)
4. ***Hiring of Staff.*** Work with the human resources department to initiate the hiring process in accordance with the approved OWP and the procedures of the grantee's tribe or organization.
5. ***Develop and Implement a Data Tracking System for all aspects of the grant.*** This is especially important for the project activities, indicator and the OWP results and benefits.

Note: Data from ANA impact visits show that staff hiring is the single most important factor in the timely implementation of a new project. A review of projects that had difficulty in hiring project staff indicated that most of the projects that were unable to fill positions were unsuccessful in achieving the project goals. Late hiring and/or turnover can substantially slow down a project and prevent it from being successful.

6. ***Orientation of New ANA Project Staff.*** It is important to orient the new staff to the goals, objectives, and activities in the approved ANA application (including any revisions). The new staff will need to be familiar with the roles and responsibilities of the ANA program specialist and the OGM grants management specialist. In addition, the staff should be provided an orientation of the ANA project budget, the required non-federal share, the procedures for documentation of the non-federal share, and the required reports and the reporting schedule. A letter showing the staff was oriented to the project should be included in the grant file.
7. ***Post Award Grantee Training.*** The designated staff, typically the financial officer and the ANA project director, attends the post award grantee training.

Ongoing Grant Activities

1. ***Program Activities***. Performing the activities detailed in the approved OWP on time. Monitoring the progress towards successfully implementing the activities in order to achieve the expected results, benefits, and impact stated in the funded application is critical. Making approved adjustments to the project based on your monitoring will keep the project moving forward.
2. ***Collect data on program activities.***
3. ***Financial Management.*** Accounting for grant funds in accordance with the federal requirements and adhering to federal financial management regulations; this includes regular meetings between program staff and finance staff to review expenditures against the approved budget.
4. ***Cash Management***. Requesting and receiving federal funds from PMS.
5. **Securing Non-Federal Share Funds**. Securing and documenting the non-federal share of the grant.
6. ***Reporting***. Make sure you submit the required reports (OPR, SF-425 and required annual reports). More information on this is in Section 3: Reporting.
7. ***Implementing Planned Activities for Sustainability***. ANA's mission is to promote self-sufficiency in native communities. ANA does not fund on-going projects, so grantees are encouraged to determine and establish methods of sustainability to help ensure the project results, benefits, and impact continue past ANA funding.

Closeout Activities

Submit Closeout Reports. This includes the:

1. ***ANA Annual Data Report (ADR)***, a cumulative ADR of the entire project period.
2. **Final SF-425** a cumulative SF-425 of the entire project period.
3. ***SF-428 Tangible Personal Property Report and SF-428b*** are fully completed if equipment (unit cost of $5,000 or more) was purchased with ANA funding during the project. If the project has no property to report, the form still needs to be submitted. Complete the identifying information, write N/A on the form, and upload.
4. ***Participate in an ANA Impact Visi***t. The majority of ANA grants receive an impact evaluation visit. Review the impact visit outline in Section 7 of this manual and prepare data and reports accordingly.

What Is In the Grant File?

ANA recommends grantees maintain two grant files, the official grant file and the program grant file. The official grant file is generally maintained by the finance or tribal administrator office throughout the life of the project and for the required retention period. The official grant file is what is reviewed by auditors. The program grant file is created and maintained by the program staff and is designed to be a tool to assist in the successful monitoring and implementation of the project. Often, the official and program grant file contain the same information and there should be periodic comparisons of the two files, but the program file is designed to be a reference for the program staff and should be housed within the program office.

The information below is ANA's recommendation of what the program grant file should contain.

1. ***Notice of Grant Award Documents***
2. ***Current Notice of Award (NOA)***
3. ***Previous NOAs (if applicable)***

The NOA is official government correspondence to the tribe or organization. The NOA is sent to the authorizing official and announces the award of funding for the proposed project. The NOA provides key reference information to the grantee:

Contact information for the ANA program specialist and the OGM grants management specialist assigned to work with the grantee. Contact information includes the names, addresses, telephone numbers, email addresses, and fax numbers of the specialists;

- Terms and conditions for award; and
- Information on setting up a PMS account.

The Notice of Grant Award (NGA) document is the official award document establishing the agreement between the grantee and the government and is used by HHS for discretionary financial assistance programs such as ANA. The NGA states the Federal award, Non-Federal Share obligation, and approved budget category amounts. No costs can be incurred prior to start of the project period and the receipt of the NGA unless prior approval has been granted by ACF/ANA. The purpose of the NGA document is to:

- Notify the grantee and others of the ANA grant award;
- Incorporate by reference all terms and conditions of the award; and
- Record the obligation of ANA funds.

When Does a Grantee Receive an NGA?

- An NGA is prepared and sent to the grantee with the NOA to signify the grant award has been made;
- A grantee will receive a new NGA when OGM issues approval for a change to the grant that requires prior approval, such as a key personnel change, budget modification, carry over budget, or no cost extension; and
- When a non-competing continuation is approved for multi-year grants.

The NGA includes key reference information for the grantee, including:

Box 3: Award number. The award number is the grant number the grantee should reference in all correspondence with ANA and include on the program and financial reports.

Box 8: Budget Period. The budget period is the timeframe expenses can be incurred for grant activities. ANA's budget period is 12 months.

Box 9: Project Period. The project period is the timeframe grant activities can be performed.

Box 15: Principal Investigator or Program Director. The individual designated to be the contact person to ANA on issues relating to the grant.

Box 16: Approved Budget. The federal and non-federal dollar amounts for the object class categories approved for the grant.

Box 17: Award Computation. The dollar amount for the non-federal share provided by the grantee and the federal dollar amounts provided by ANA for the grant expressed as a percentage. The grantee must ensure it meets the non-federal share requirement as cited on line 17A. This amount must be contributed even if it exceeds the minimal amount required by law, regulation, or other ACF provision. Failure to provide this amount of non-federal share will result in a proportionate reduction of the federal share or other disallowance action.

Box 21: Authorized Treatment of Program Income. This authorizes the use of program income generated as a result of grant activities.

Box 26: Remarks. States how the grant is paid, regulations incorporated by reference, and other requirements of the grant. Examples of remarks include a link to the HHS grants policy statement and a statement that initial expenditure of funds by the grantee constitutes acceptance of the award. The grant is paid through the HHS centralized Payment Management System by PMS.

4. Project Documents

- Approved OWP
- Approved indicator
- Current 424a and budget
- Revised project application if applicable (for year 2, 3, 4 and 5, the revised continuation applications)
- Original project application (for year 2, 3, 4 and 5, the original continuation applications)
- Staff orientation letters

The approved OWP serves as a blueprint for project implementation and is an essential reference for reporting requirements. Progress on the project is reported semiannually in the

OPR. The approved indicator(s) are used to gauge progress in meeting the project goal. The current 424a and budget must match the current NGA. The revised project application and revised continuation application include the information submitted during negotiations with ANA and OGM. The original project application and continuation applications are what was initially submitted to ANA for funding consideration.

Staff orientation letters are a grantee’s internal management tool to track project staff orientation to the project, the grant, and the post award manual. Grantees do not need to submit these letters to ANA.

5. Reporting

- Objective Progress Report (OPR) (semi-annual) and Annual Data Report (end of budget year)
- SF-425s (semi-annual and budget year end final)
- Year 2, 3, 4 and 5 reports, if applicable
- Grantees must submit bi-annual reports to ANA and quarterly reports to PMS.

Detailed information can be found in Section 3 of this manual.

6. Community Involvement Documentation

- Meeting sign-in sheets and meeting minutes
- Publicity/marketing materials
- Testimonials
- Other

ANA seeks to fund community development projects that reflect the cultural values, collective vision, and long-range development goals of native communities. ANA supports this approach because community involvement in the project planning and project implementation phases is a key factor in achieving success. In addition, many funding agencies look favorably on applications that document community involvement in the planning and implementation of a project. Tracking community involvement through detailed sign-in sheets, minutes of meetings, testimonials, or publicity such as news articles are good tools to demonstrate to funding organizations and the public the extent of community involvement in the project.

7. Project Data Tracking

- Non-federal share documentation
- Leveraged resources tracking (recommended, but not required)
- Partnership tracking
- Project specific indicator tracking (Outcome Tracker)
- Photos
- Other tracking documents developed by the grantee
- SEEDS tracking documents--SEEDS grantees only

Grantees should collect quantitative data (e.g., the number of partnerships formed, the dollar amount of resources leveraged, etc.) as well as qualitative data (e.g., collecting the anecdotes and viewpoints that tell the story of the project) during the course of the project period. ANA asks for this data through semiannual OPRs and during impact visits. Templates for tracking this information can be found in the "Preparing for the Impact Visit" section of this manual.

8. Correspondence between Grantee and ANA

Official and unofficial correspondence between the grantee and ANA (such as the ANA program specialist monthly emails) should be included in the grant file for reference. ANA recommends the correspondence be organized as follows: official correspondence under one tab; a phone log broken down by quarter under another tab; and emails and letters broken down by importance, including any requests for grant actions under the third tab.

LIST THE RECORDS TO BE MAINTAINED IN THE GRANT FILE

List each of the documents for the grant file and check which section of the grant file it would be in.

	Notice of Awards	Project Documents	Reporting	Community Involvement	Project Data	Correspondence
i.e. Request from ANA to revise the dates on the OWP		X				X

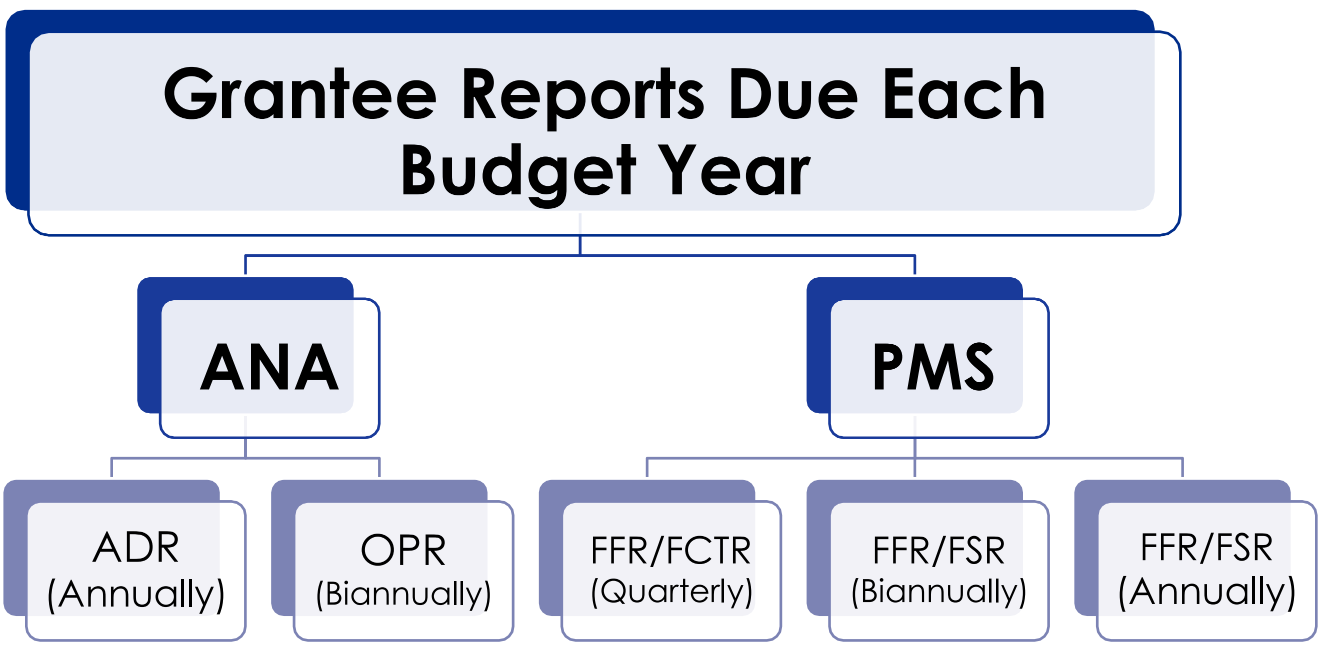
Activity 1 Continued

	Notice of Awards	Project Documents	Reporting	Community Involvement	Project Data	Correspondence

Section 4: Reporting

Upon receipt and acceptance of a grant award from ANA, the grantee is responsible for submitting reports to two separate divisions within HHS. The required budget year reports are the Objective Progress Report (OPR), the Annual Data Report, the Financial Status Report (SF- 425), and the Cash Management Reports (FFR SF-425). Closeout reports are also discussed in this section. The chart below illustrates the entities that receive the reports and indicates which reports they receive.

FIGURE 2: GRANTEE REPORTS WORKFLOW



ANA Required Reports

ANA's goal is for all grantees to get the needed support to fully implement their funded projects. ANA program specialists and TA providers closely review the biannual reports to monitor progress, provide technical assistance when necessary, and better understand the ANA funded projects.

Timely reporting is a requirement of the grant. Grantees are encouraged to submit reports as early as possible after the end of the reporting period to avoid any last-minute circumstances that might result in delinquent reports. Late reporting may result in steps that may include restricting funds, requiring monthly reports, or relinquishing the award. Grant amendments will not be approved if any reports are delinquent.

Biannual Reports

There are two biannual reports, the Ongoing Progress Report (OPR) and the SF-425 long form. These reports are due 30 days after the end of the reporting period.

Objective Progress Report (OPR)

The OPR is due twice a year. The form is contained in GrantSolutions and should be filled out and submitted online in the GrantSolutions Online Data Collection (OLDC) system. It is important that you print a copy of the submitted form for your grant file. All applicable fields of the report should be filled in. When you are filling out the description of project activities section please do not leave a box blank if the activity was supposed to take place during the reporting period. Instead explain why the activity did not occur as expected and how you are going to get back on track during the next reporting period.

What is Needed to Complete the OPR?

1. ***OWP and Budget***
2. ***Completed SF-425 and cash drawdowns for the grant***
3. ***Schedule of all activities completed during each quarter based on the OWP***
4. ***SF- 424A***
5. ***Documentation of Non-Federal Share secured during each quarter***

FEDERAL FINANCIAL REPORTS (FCTR & FSR) (SF-425)

This report is typically filled out by the person keeping the financial records for the grant. The program person will need to work with the financial person to assure that reporting is accurate each reporting period. Starting in Fiscal Year 2016 grantees will fill out both reports in the Payment Management System. All prior grantees must have the report signed by the authorizing official then uploaded into GrantSolutions Grants Notes. We will go into more detail on this report later in this section.

Review of Biannual Reports

When ANA reviews the biannual reports, the program specialists and TA providers check:

1. *Is the OPR filled out completely and correctly?*
2. *Does the OPR match the OWP?*
3. *Does the OPR financial section match the SF-425 and 424a Section D?*
4. *Are project staff hired?*
5. *Are activities being accomplished according to the approved timeline?*
6. *Are challenges being encountered and addressed by the grantee?*
7. *Is the grantee requesting technical assistance?*
8. *Are there any programmatic or budget modifications proposed or implemented?*
9. *Are PMS drawdowns occurring?*

Annual Reports

Annual reports are due 90 days after the end of the 4th quarter of each budget year. The annual reports due are the Annual Data Report (ADR) and an Annual SF-425,

Annual Data Report (ADR)

There are a number of data elements ANA needs to collect to provide information on various aspects of the success of its funding to grantees. This information assists ANA in reporting on the impact its funding has in Native communities. The ADR is due 90 days after the end of the 4th quarter of each budget year and is completed in the OLDC on GrantSolutions.gov.

Annual FFR/FSR (SF-425) Report

The Annual SF-425 like the second semi-annual SF-425 will report on the cumulative budget year. Differences may occur when a grantee has unliquidated obligations in the second semi- annual report. It is specifically to finalize all costs for the budget period. These reports will be filled out and submitted the same way the bi-annual reports were completed.

Closeout Reports

There are four reports required to closeout a project successfully. These reports are all cumulative for the entire project. Closeout reports are due 90 days after the end of the project period. You will receive closeout instructions a couple of months before your project ends.

Project Closeout Report

ANA provides instruction to all grantees who are completing their projects about this reporting requirement. If you have any questions, please contact your program specialist.

Final FFR/FSR (SF-425)

This report is cumulative for all budget periods and is uploaded into GrantSolutions. You will submit the report in the PMS.

Tangible Personal Property Report Final Report (SF-428)

This report is cumulative and uploaded into GrantSolutions. Follow instructions for this report to assure you are using the correct sub form for the final report.

Completing the OPR

Complete this report in the GrantSolutions OLDC system. It is important to fill this form out completely and with enough detail that your program specialist can see exactly how your project is progressing.

Administration for Native Americans
Ongoing Progress Report (OPR)

The Paperwork Reduction Act of 1995: Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB number.

<table>
<tr><td colspan="3"></td><td colspan="2"></td><td>Page:</td><td>of Pages</td></tr>
<tr><td colspan="3" rowspan="2">1.Grantee Name</td><td colspan="2" rowspan="2">2. Grant Number</td><td>3a. DUNS Number</td><td></td></tr>
<tr><td>3b. EIN</td><td></td></tr>
<tr><td colspan="5">4. Recipient Organization (Name and complete address including zip code)</td><td colspan="2">5. SF-425 Attached?
Yes
No</td></tr>
<tr><td colspan="4">6. Project Period</td><td>7. Reporting Period End Date</td><td colspan="2" rowspan="2">8.
1st semi-annual (mid-year)
2d semi-annual (end of budget period)
Final (OER) (end of project)
other (revisions, etc.)
(If other, describe: ___)</td></tr>
<tr><td>Budget Period Year Covered in the Report:</td><td>Start Date: (Month, Day, Year)</td><td colspan="2">End Date: (Month, Day, Year)</td><td>(Month, Day, Year)</td></tr>
<tr><td colspan="7">9. Performance Narrative (attach performance narrative as instructed by the awarding Federal Agency)

Project Title:

Report prepared by: Name: ___ Date: ___
Email Address: Telephone (area code, number and extension):</td></tr>
<tr><td colspan="7">10. Other Attachments:</td></tr>
<tr><td colspan="7">11. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for perfor-</td></tr>
<tr><td colspan="4">12a. Typed or Printed Name and Title of Authorized Certifying Official</td><td colspan="3">12c. Telephone (area code, number and extension)</td></tr>
<tr><td colspan="4"></td><td colspan="3">12d. Email Address</td></tr>
<tr><td colspan="4">12b. Signature of Authorized Certifying Official</td><td colspan="3">12e. Date Report Submitted (Month, Day, Year)</td></tr>
<tr><td colspan="4"></td><td colspan="3">13. Agency use only</td></tr>
</table>

OMB Control Number 0970-0452
Expires 06/30/2018

Administration for Native Americans Ongoing Progress Report (ANA-OPR)
(maintained and submitted in GrantSolutions)

ONGOING PROJECT PROGRESS

A. OBJECTIVE WORK PLAN (OWP) STATUS/UPDATE

Do you need to make any changes to your OWP? □ Yes □ No

Please describe any changes to your work plan and if you requested the change from the ANA office.

Please complete the tables below and include all objectives, results, benefits, activities and dates as they appear in your OWP. If you require more space, please add additional tables as necessary. In completing the 'Status of Activity' column please choose the status of the activity from the drop-down box below utilizing the following definitions:

1. **Completed** (check this box if activity is complete)
2. **On-going** (check this box only if activity is supposed to continue past this quarter according to the OWP)
3. **N/A this quarter** (check this box if activity is scheduled to start after this current quarter)
4. **Delayed** (check this box if activity is not completed by the originally anticipated end date and is still active)

Note: You report by budget year, so even if you are completing the same activity throughout the project period, in the report the activity ends at the end of each budget year and restarts in the next budget year. The end date for an activity is the date in your approved OWP. Activities cannot have a status of "Ongoing" if the End Date has passed. If you are still working on an activity after the end date you must use the status of "Delayed" and provide an estimated completion date.

Goal: Year:

Objective 1:				
Activities	**Describe how each activity was accomplished (or what prevented the activity from being completed). Include quantitative information (e.g. # of participants, workshops, etc.)**	**Begin Date**	**End Date**	**Status of Activity (see instructions above)**
				☐ Completed ☐ Ongoing ☐ N/A this Quarter ☐ Delayed If activity is Delayed beyond originally anticipated end date (from OWP), include expected completion date: mm/dd/yy
				☐ Completed ☐ Ongoing ☐ N/A this Quarter ☐ Delayed If activity is Delayed beyond originally anticipated end date (from OWP), include expected completion date: mm/dd/yy
				☐ Completed ☐ Ongoing ☐ N/A this Quarter ☐ Delayed If activity is Delayed beyond originally anticipated end date (from OWP), include expected completion date: mm/dd/yy
Expected Results and Benefits Current Status of Expected Results and Benefits:				

B. STAFFING AND HUMAN RESOURCES

Do you have any current vacancies that are associated with this project? Yes ☐ No ☐

If Yes, please list positions that are vacant or were vacant as of 30 days prior to the end of this reporting period. Include reasons for vacancies and actions taken or to be taken to fill vacant positions.

Did you have any changes or turnover in project staff, consultants or contractors during this reporting period? Yes ☐ No ☐

If Yes, please list affected positions, explain the reason for the change, how long the position has been open, and if the position has been filled:

Please list, in the following table, all positions required for the project and currently filled:

Position Title	Position Type (drop down menu)	Position Funding (drop down)	Name of Individual	Filled by Native?	Date Job Filled	Avg. # Hours Per Week	Date Job Ended (if applicable)	Did position exist before the project?	Will position continue after the project ends? (only for final reporting
				Yes No					
				Yes No					

C. CHALLENGES

1. Did your project face any challenges during this reporting period? Yes ☐ No ☐
2. If yes, please describe your challenges in the table below:

Provide a description of the challenge.	Did you overcome the challenge?	If Yes, please state how you overcame the challenge. If no, please identify your plan to address this challenge.
	Yes ☐ No ☐	
	Yes ☐ No ☐	
	Yes ☐ No ☐	

Would training or technical assistance benefit the project at this time? Yes ☐ No ☐

Please describe the services you would like to receive.

D. FINANCIAL

Did you have trouble accessing funds through the Payment Management System (PMS) during this reporting period? Yes ☐ No ☐

If Yes, please explain the problem and if it was resolved:

Have any changes requiring prior approval been made to your budget during this reporting period? Yes ☐ No ☐

If yes, please explain:

Provide the forecasted cash needs for this reporting period (from the SF-424A) and the actual expenditures (from the SF-425)? Please list in the table below:

	1st Quarter		2nd Quarter		3rd Quarter		4th Quarter	
	Forecasted	Actual	Forecasted	Actual	Forecasted	Actual	Forecasted	Actual
Federal	$	$	$	$	$	$	$	$
Non-Federal	$	$	$	$	$	$	$	$

5a. If forecasted and actual amounts for the quarter do not match, please explain why:
Q1:

Q2:

Q3:

Q4:

Do you anticipate obligating all of the Federal funds awarded for this budget period by the budget period's end? Yes ☐ No ☐

If No, please explain:

Do you have any pending amendments with ANA? Yes ☐ No ☐

Did your project generate any program income as a result of project activities?
Yes ☐ No ☐

If yes, how much was generated and from what source?

How will the program income be utilized to support the project?

E. OTHER

Please include any other information you would like to share with ANA regarding your project:

OPR Instructions

Detailed instructions on how to complete the OPR are below. Use these instructions when completing the activities below and when responding to the request for information contained in the OPR.

Page 1

Item 1: Enter legal name of the grantee.

Item 2: Enter the grant number assigned by DHHS/ACF/ANA. This number is found in Item 3 on the NOA.

Item 3.a: Enter the grantee DUNS number (received from Dun and Bradstreet). This number is found in Item 25 on the NOA.

Item 3.b: Enter the Employer Identification Number (EIN) assigned by the IRS. This number is found in Item 22 on the NOA.

Item 4: Enter grantee name and complete mailing address, including zip code.

Item 5: Select "yes" if the SF-425 is attached to the OPR. Select "no" if the SF-425 is not attached.

Item 6: Enter the budget period covered in the report (e.g. Year 1, Year 2 or Year 3)

Enter the project start date (month, day, and year)

Enter the project end date (month, day, and year)

Item 7: Enter the month, day, and year of the last day covered by the report (e.g. December 31, 20XX, March 31, 20XX, July 31, 20XX, or September 29, 20XX).

Item 8: Indicate the reporting term (e.g. Mid-Year, Annual, or Final (OER) report). A Final (OER) Report is a cumulative report for the entire project period of the grant award. Select "other" if the report does not cover a six-month period and provide information on the period covered by the report.

Item 9: Enter the title of the ANA project, the name of the individual that prepared the report, the date, his/her email address and phone number. Note that the performance narrative referenced here starts on page 2.

Item 10: If attachments are being included with the report, list each of the attachments.

Item 11: Self-explanatory.

Item 12.a: Enter the name and title of the authorized representative of the grantee. This individual will be the one certifying the accuracy of the report.

Item 12.b: Enter the signature of the authorized representative certifying the report.

Item 12.c: Enter the telephone number including the area code and extension number of the authorized representative certifying the report.

Item 12.d: Enter the email address of the authorized representative certifying the report.

Item 12.e: Enter the month, day, and year the report is being submitted.

Item 13: Leave blank.

ONGOING PROJECT PROGRESS

Objective Work Plan Status/Update

Item 1: Select "yes" if you need to make any changes to the Objective Work Plan (OWP). Select "no" if changes do not need to be made to the OWP.

Item 2: Provide an explanation of the changes you intend to make and if you have requested this change from the ANA office.

Item 3: The approved Objective Work Plan will pre-populate in this section when using GrantSolutions. This has been entered in by your Program Specialist.

In the second column, describe your progress towards fulfilling each of the project's objectives and activities accomplished during the reporting term of the budget period. Reporting on activities should be specific and include numbers and dates when possible. Quantitative and qualitative data is useful to help us understand your project's progress. The report should demonstrate how much progress has been made on the activity. If the activity has been delayed, identify the causes and what, if any, steps are being taken to address the challenge. The information on activities is cumulative for each year of the project and should be maintained for the duration of the project period (i.e. do not delete information from previous reporting periods for the current budget period).

In the last column, identify the status of the activity. This column should be updated accordingly. From the pull-down menu, select the correct status:

"***Completed***" if the activity was completed based on originally anticipated "end date".

"***Ongoing***" only if the activity is supposed to continue past the reporting period according to the OWP.

"***N/A***" if the activity is not scheduled to start until later in the project period.

"***Delayed***" if the activity was not completed based on the originally anticipated end date and is still active. If the activity is delayed, enter the expected day, month, and year that the activity is expected to be completed.

Describe the current status of the results and benefits for each objective, including quantitative tracking.

Staffing and Human Resources

Item 1: Select "yes" if you have any vacancies that are associated with this project. Select "no" if you do not have any vacancies that are associated with this project.

Item 2: If "yes" is selected, list the positions that are vacant or were vacant as of 30 days prior to the end of this reporting period. Also, indicate reasons for vacancies and actions taken or to be taken to fill vacant positions.

Item 3: Select "yes" if you had any changes or turnover in project staff, consultants or contractors during this reporting period. Select "no" if not.

Item 4: If "yes" is selected, list the affected positions, explain the reason for the change, how long the position had been open and if the position has been filled.

Item 5: Staffing table

Column one - enter the position title for each person working on the project.

Column two - enter the type of position (project position, consultant, stipend, intern, other). This will be a drop own menu.

Column three - enter the type of funding that pays for this position. This will be a drop down menu of Federal or non-federal share (NFS)

Column four - enter the name of the individual filling the position

Column five - select "yes" or "no, if this is a Native filled position.

Column six - enter the date the job was filled.

Column seven - enter the average # of hours per week by the

position. *Column eight* - enter the date the job ended, if applicable.

Column nine - enter if the position had existed before the project started.

Column ten - enter if the position will continue after the project end (only for final reporting period).

C: Challenges:

Challenges are any issues or events which have negatively impacted the implementation of your project. Challenges occur for nearly every project and can be overcome through careful planning and monitoring. In some cases, technical assistance can be provided to assist grantees in overcoming challenges.

Item 1: Select "yes" if your project encountered any challenges during the reporting period. Select "no" if you encountered no challenges.

Item 2: If you select "yes", please provide a description of each challenge in the first column in the table below. In the second column, select "yes" if you have overcome the challenge and select "no" if you are still encountering this challenge. In the third column, describe how you overcame the challenge, if you selected "yes" or identify your plan to address the challenge, if you selected "no".

Item 3: Select "yes" if the project could benefit from ANA-provided training or technical assistance at this time. Select "no" if not.

Item 4: If you select "yes", tell us the services you would like to receive.

Financial

Item 1: Select "yes" if the grantee had trouble accessing (drawing down) funds from the Payment Management System (PMS) during the reporting period. Select "no" if not.

Item 2: If "yes" is selected, explain the problem and if it was resolved.

Item 3: Select "yes" if any changes requiring prior approval have been made to your budget during this reporting period. Select "no" if you have not. For more information on prior approval, see 45 CFR 75.308. In general, prior approval is needed for grant modifications that request to do the following: change in scope; changes in salary greater than 25%; re-budgeting more than 25% of the federal funds awarded; adding new line items; sub-awards, transfers, or contracting of any work not approved in the original application; request for additional federal funds; moving funds from direct costs to indirect costs and vice versa; and transfer of funds allotted for training allowances to other budget categories.

Item 4: If "yes" is selected, explain the request that was made and if it was resolved.

> **Note**: This does not take the place of submitting a formal request. All standard procedures for requesting a budget modification must be followed.

Item 5: Financial table:

Your program specialist will enter the amounts of your federal and non-federal forecasted cash needs from the Standard Form 424A of the approved grant application for the reporting period. The program specialist will enter the actual cash needs (expenditures) for the reporting period, which should align with what is reported on the SF-425. This information is cumulative and should be maintained from the beginning of the grant to the last day of the budget period.

Item 5a: If forecasted and actual amounts are not the same, explain the reason for the difference for each quarter.

Item 6: Select "yes" if you anticipate obligating all of the Federal funds awarded for the project period by the project period's end. Select "no" if not.

Item 7: Select "yes" if you have any pending amendments with ANA. Select "no" if not.

Item 8: Select "yes" if your project has generated any program income as a result of project activities. Select "no" if not.

Item 9: If "yes" is selected, indicate how much was generated and from what source.

Item 10: Identify how your program income will be utilized to support the project.

Other:

Include any additional information your organization would like to share with ANA regarding your project.

Using the ANA Case Study which includes a sample OPR and expenditures do an assessment of the sample project. Fill out the below information

1. OWP

Based on the OWP and the OPR did the grantee complete the activities planned for this report period? Yes ☐ No ☐

Based on you analysis is the grantee on track to complete the project as designed? Yes ☐ No ☐

If no, please explan:

2. Financial

Do the financial amounts listed in section D.5 reconcile with the expenditures? Yes ☐ No ☐

Is there a variance between the forecasted and actual federal expenditures? Yes ☐ No ☐

If yes for either question, is there an explanation? Comments:

3. Staffing

Are all key staff positions in place? Yes ☐ No ☐

If no, what positions have not been filled and what is the impact to the project?

What follow up action is recommended for this grantee?

Annual Data Report (ADR)

The Annual Data Report is submitted annually and due 90 days after the end of the 4th quarter of each budget period. The data that is required for the report includes:

- Indicator. Changes that have occurred in your community over the year. Native
- Youth and Elder Engagement.
- Project Development. Information about the writer(s) of the grant application.
- Partnerships. Information about each of the partners.
- Community Involvement and Participation in the Project. Information about volunteers and community members that are supporting and/or participating in the project.
- Use of On-going Project Data. Information about the project data collected.
- Project Benefits.
- Lessons Learned.

Additional information specific to your award will also be collected.

After the final year of your project, the following information will be included in your ADR:

- Beneficiaries.
- Problem Statement and Project Goal.
- Community and External Data.
- Sustainability of Project Goals, Results, and Efforts.

Here is a sample of the first section of the ADR. The ADR continues in a similar fashion for all sections:

A. IMPACT INDICATOR(S)

Your approved project impact indicator or indicators are identified below, as well as your pre-grant status (baseline measure), end-of-project target, three year target, and means of measurement.

Impact indicator	Pre-Grant Status	End of Project Target	Three Year post Project Target	Means of Measurement

Add Row Delete Row

1. For each impact indicator, please report on the actual change that has occurred so far. For example, if your impact indicator is the unemployment rate, list the actual unemployment rate at the end of the reporting period.

Impact Indicator	Actual Change During Reporting Period

OMB Control No: 0970-0475 Page 1 of 8 Expiration date: 03/31/2019

Participant Activity 3 Tracking Project Data

Using your ANA project, describe your plan for tracking data.

Data To Be Collected	Method For Collecting Data	Position(s) Responsible for Data Collection	Frequency Of Data Collection	Frequency of Data Aggregation	Planned Use of Data	Data Relates To		
						Indicator	Outcomes	Outputs

Report Due Dates

The reporting due dates are as follows:

*Table 13: **Language Preservation & Maintenance and Esther Martinez Initiative Report Due Dates***

Report Quarter/ Report Type	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Year End Report
OPR Period End Date		December 31		June 30	
OPR Due Date		January 30		July 30	
SF 425/FSR Period End Date		December 31		June 30	June 30
SF 425 Due Dates		January 30		July 30	
PMS FFR/FCTR Period End Date	September 30	December 31	March 31	June 30	
PMS FFR Due Date	October 30	January 30	April 30	July 30	
ADR End Date					June 30
ADR Due Date					September 30

*Table 14: **SEDS, Environmental and Special Initiatives Report Due Dates***

Report Quarter/ Report Type	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Year End Report
OPR Period End Date		March 31		September 30	
OPR Due Date		April 30		October 30	
FSR/SF 425 Period End Date		March 31		September 30	September 30
SF 425 Due Date		April 30		October 30	December 30
PMS FFR/FCTR Period End Date	December 31	March 31	June 30	September 30	
PMS FFR Due Date	January 30	April 30	July 30	October 30	
ADR End Date					September 30
ADR Due Date					December 30

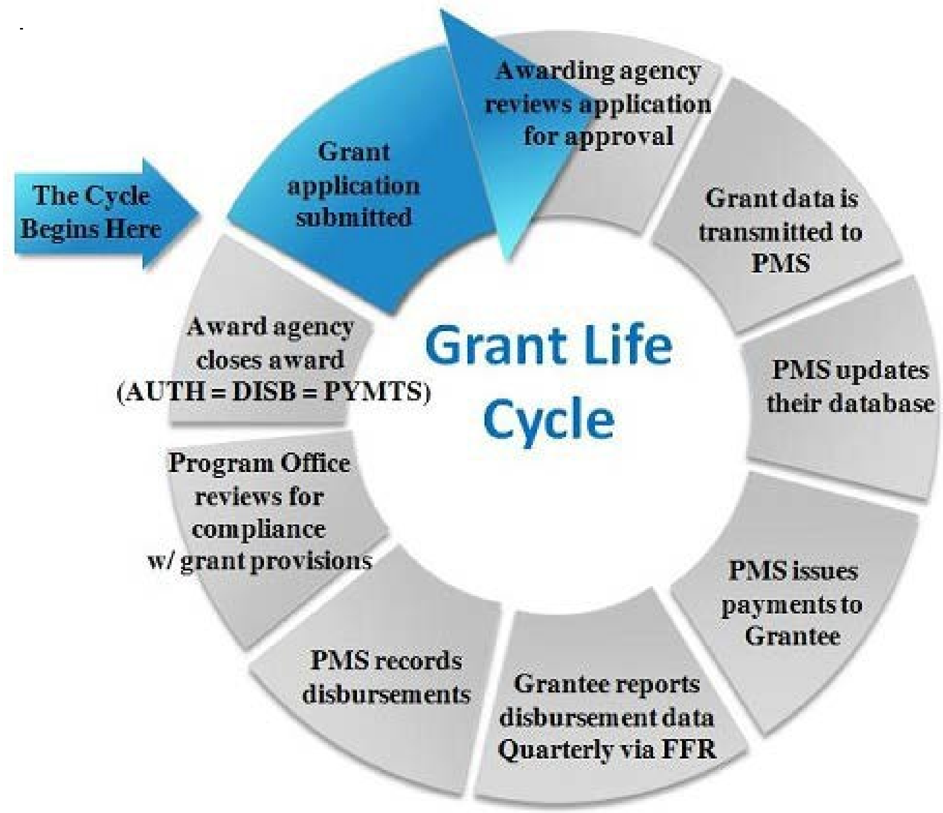
Payment Management System (PMS) Overview

Congress authorized the Grants Management Fund to facilitate the administration of payments to the HHS recipients of federal assistance awards. PMS operates this Grants Management Fund, also known as the Payment Management System (PMS). PMS was established to create a central point capable of paying most federal assistance grants and contracts. The main purpose of the system is to serve as the fiscal intermediary between awarding agencies and the recipients of grants and contracts, with emphasis on:

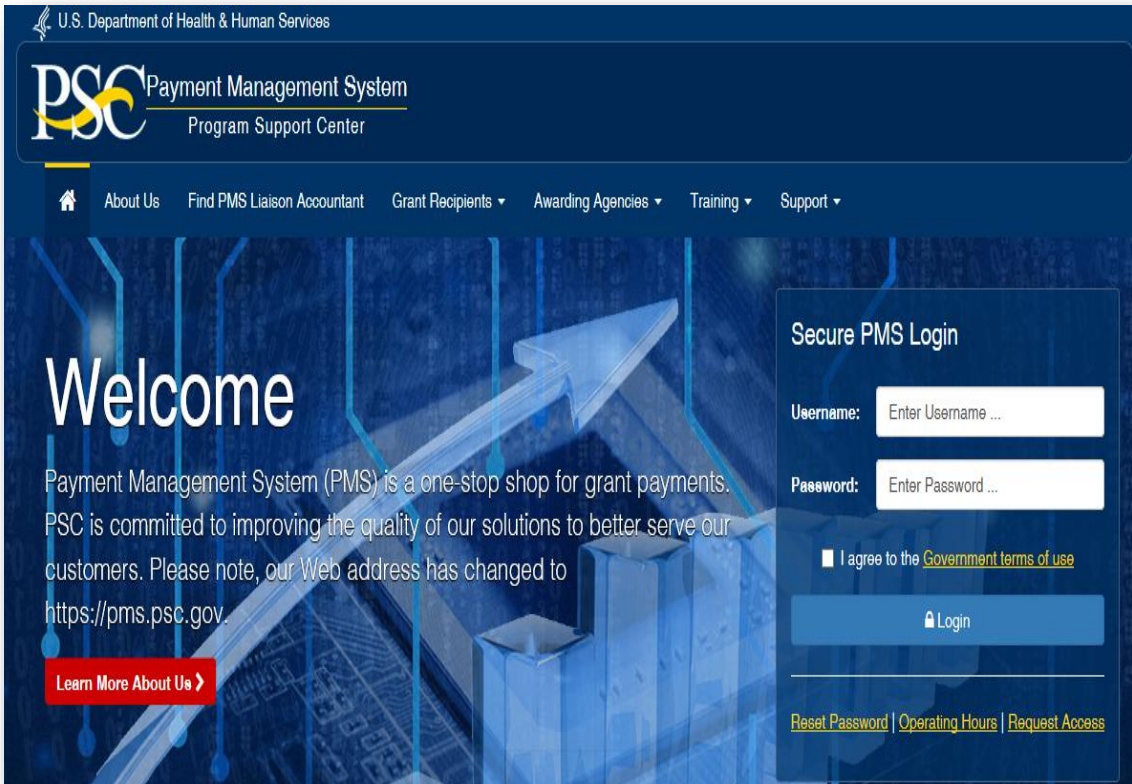
1. Expediting the flow of cash between the federal government and recipients;
2. Transmitting recipient disbursement data back to the awarding agencies; and
3. Managing cash advances to recipients.

The graphic below shows the life cycle of a grant through PMS:

FIGURE 3: PMS GRANT LIFE CYCLE



Accessing Payment Management System



Go to: https://pms.psc.gov

“Enter Username and Password

Select “I agree statement”

Select “Login

All individuals who need access to the Payment Management System must use our “new” Request Access Functionality. All other submissions are no longer valid as of April 9, 2018

Request Access

✖

Create a PMS New User Account
To create a new user in PMS you must fill out a New User Access Request form by completing all of the requested information, and submitting it.

Create New User ›

Retrieve an Existing PMS User Request
To retrieve an existing user request in PMS you must fill out a Retrieve Existing Access Request form by completing all of the requested information, and submitting it.

Retrieve Existing Request ›

Deactivate an Existing PMS User Account
To deactivate an existing PMS user account in PMS you must fill out a Deactivate User Access Request form by completing all of the requested information, and submitting it.

Deactivate User ›

Additional Information

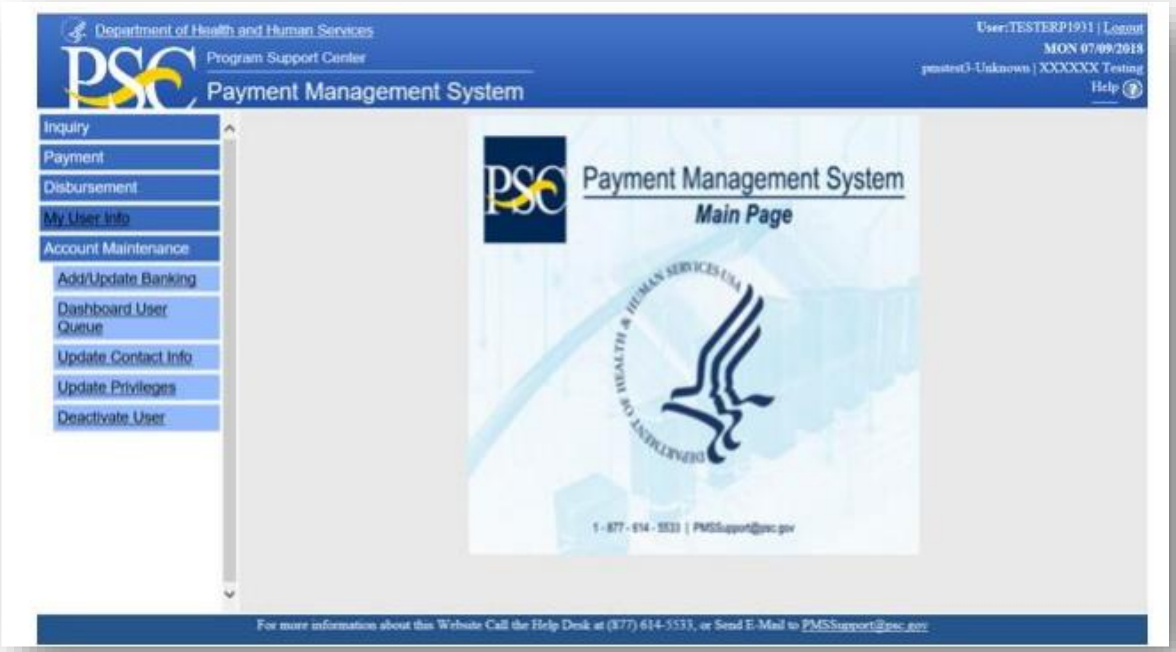
- For user access establishment, change, deactivation and contact information update actions, a supervisor at your organization must approve the request.
- If **you are the highest ranking person at your organization**, you would list yourself as the supervisor, and you will need to approve the request. The statement must be included in the comment section.
- The supervisor does not need access to PMS to approve the request.
- If you are locked out of the Payment Management System, and the email address in the system is incorrect, please contact your PMS Liaison Account for assistance.

Grant Recipient & Agency Specific Information

Instructions for processes can be found under this section

7/18/2018 - New Automated Banking Process

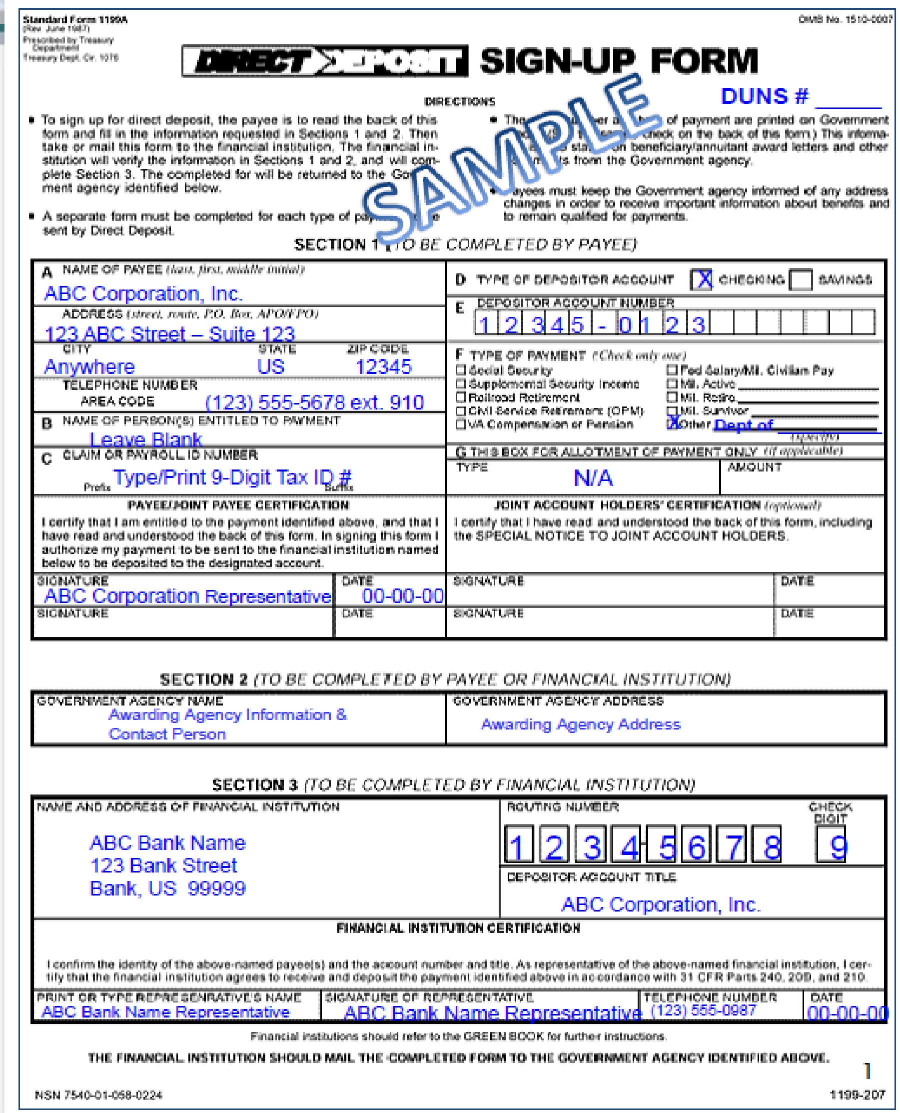
Effective July 23, 2018, Payment Management Services will automate the Payment Management System (PMS) process for establishing and changing banking information. You don't need to update existing banking if it is still current.



In order to submit a banking establishment or change request, you must have access to the Payment Management System Access that allows you to do so. You will submit the banking establishment or change request in the PMS. You will attach a completed SF-1199A Direct Deposit Form to the request. You will select the Account Maintenance menu node and then Add/Update Banking.

TO ENSURE ACCURACY WHEN COMPLETING DIRECT DEPOSIT FORM:

1) Box 1A: Name must match organization name on notice of grant award
2) Box 1B: Leave Blank [Note: **SF1199A form will be rejected if individual's name appears**]
3) Box 1C: Organization's taxpayer identification number must be included in this field
4) **Signatures must exist on form** (Section 1:Payee Certification)



Standard Form 1199A
(Rev. June 1987)
Prescribed by Treasury Department
Treasury Dept. Cir. 1076

OMB No. 1510-0007

DIRECT DEPOSIT SIGN-UP FORM

DUNS # ______

SAMPLE

DIRECTIONS

- To sign up for direct deposit, the payee is to read the back of this form and fill in the information requested in Sections 1 and 2. Then take or mail this form to the financial institution. The financial institution will verify the information in Sections 1 and 2, and will complete Section 3. The completed for will be returned to the Government agency identified below.
- A separate form must be completed for each type of payment to be sent by Direct Deposit.
- The ... of payment are printed on Government ... check on the back of this form.) This information ... on beneficiary/annuitant award letters and other ... from the Government agency.
- Payees must keep the Government agency informed of any address changes in order to receive important information about benefits and to remain qualified for payments.

SECTION 1 *(TO BE COMPLETED BY PAYEE)*

A NAME OF PAYEE *(last, first, middle initial)*
ABC Corporation, Inc.
ADDRESS *(street, route, P.O. Box, APO/FPO)*
123 ABC Street – Suite 123
CITY: Anywhere STATE: US ZIP CODE: 12345
TELEPHONE NUMBER AREA CODE: (123) 555-5678 ext. 910

B NAME OF PERSON(S) ENTITLED TO PAYMENT
Leave Blank

C CLAIM OR PAYROLL ID NUMBER
Prefix Type/Print 9-Digit Tax ID # Suffix

D TYPE OF DEPOSITOR ACCOUNT [X] CHECKING [ ] SAVINGS

E DEPOSITOR ACCOUNT NUMBER
12345-0123

F TYPE OF PAYMENT *(Check only one)*
☐ Social Security
☐ Supplemental Security Income
☐ Railroad Retirement
☐ Civil Service Retirement (OPM)
☐ VA Compensation or Pension
☐ Fed Salary/Mil. Civilian Pay
☐ Mil. Active
☐ Mil. Retire
☐ Mil. Survivor
[X] Other Dept of (specify)

G THIS BOX FOR ALLOTMENT OF PAYMENT ONLY *(if applicable)*
TYPE: N/A AMOUNT:

PAYEE/JOINT PAYEE CERTIFICATION
I certify that I am entitled to the payment identified above, and that I have read and understood the back of this form. In signing this form I authorize my payment to be sent to the financial institution named below to be deposited to the designated account.

SIGNATURE	DATE
ABC Corporation Representative	00-00-00
SIGNATURE	DATE

JOINT ACCOUNT HOLDERS' CERTIFICATION *(optional)*
I certify that I have read and understood the back of this form, including the SPECIAL NOTICE TO JOINT ACCOUNT HOLDERS.

SIGNATURE	DATE
SIGNATURE	DATE

SECTION 2 *(TO BE COMPLETED BY PAYEE OR FINANCIAL INSTITUTION)*

GOVERNMENT AGENCY NAME	GOVERNMENT AGENCY ADDRESS
Awarding Agency Information & Contact Person	Awarding Agency Address

SECTION 3 *(TO BE COMPLETED BY FINANCIAL INSTITUTION)*

NAME AND ADDRESS OF FINANCIAL INSTITUTION
ABC Bank Name
123 Bank Street
Bank, US 99999

ROUTING NUMBER: 1234-5678 CHECK DIGIT: 9

DEPOSITOR ACCOUNT TITLE: ABC Corporation, Inc.

FINANCIAL INSTITUTION CERTIFICATION
I confirm the identity of the above-named payee(s) and the account number and title. As representative of the above-named financial institution, I certify that the financial institution agrees to receive and deposit the payment identified above in accordance with 31 CFR Parts 240, 209, and 210.

PRINT OR TYPE REPRESENRATIVE'S NAME	SIGNATURE OF REPRESENTATIVE	TELEPHONE NUMBER	DATE
ABC Bank Name Representative	ABC Bank Name Representative	(123) 555-0987	00-00-00

Financial institutions should refer to the GREEN BOOK for further instructions.

THE FINANCIAL INSTITUTION SHOULD MAIL THE COMPLETED FORM TO THE GOVERNMENT AGENCY IDENTIFIED ABOVE.

1

NSN 7540-01-058-0224 1199-207

COMMON ERRORS

1) Corrections in Depositor Account Number and Bank Routing Number
2) Alternations that appear on original form are not acceptable (i.e. white out, strike overs, cross-outs, etc.)
3) Depositor Account Title not filled in
4) Depositor Account Title does not match Name of Payee
5) No signatures

Use this process for creating, running, and storing Grantee Inquiries in the Payment Management System

- **Account Balance Data**

  Authorized grant award information, payments made and funds available

- **Authorization Transactions**

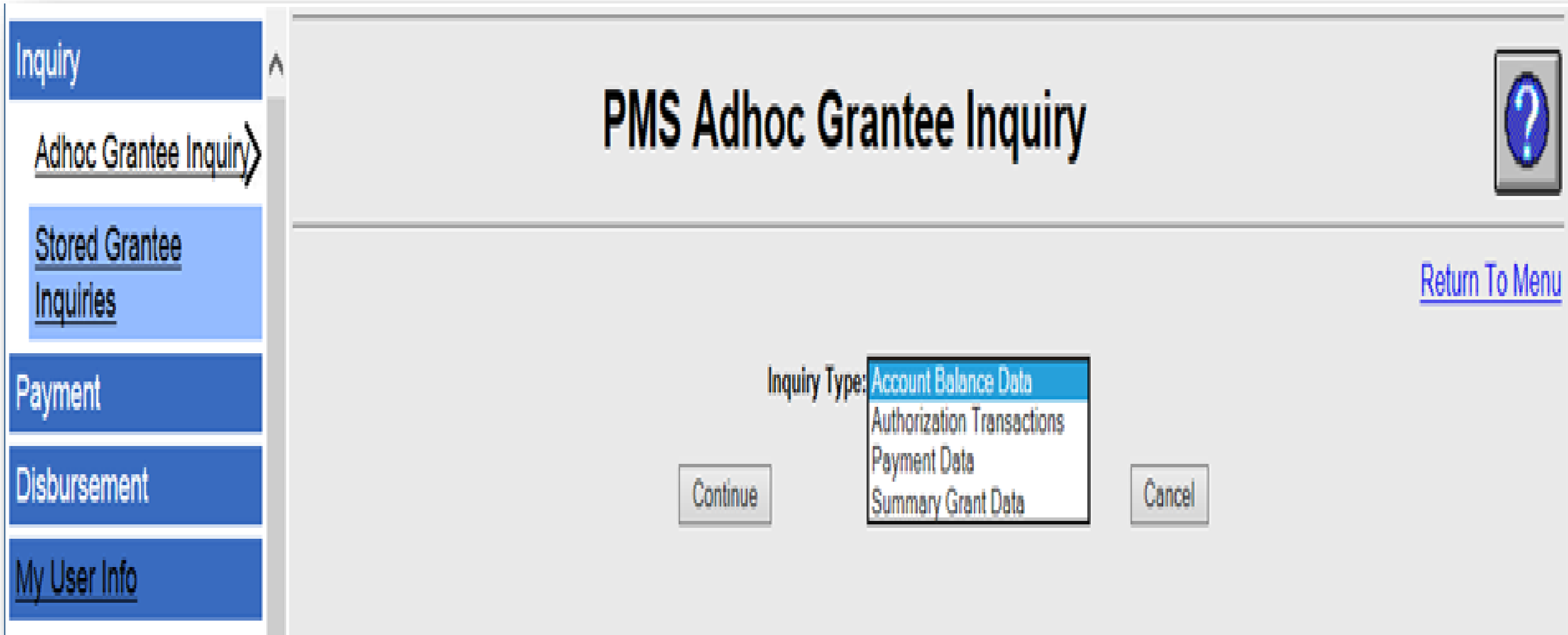
  Award amount, budget period and date posted in PMS

- **Payment Data**

  Payment History including payments deposited and rejected

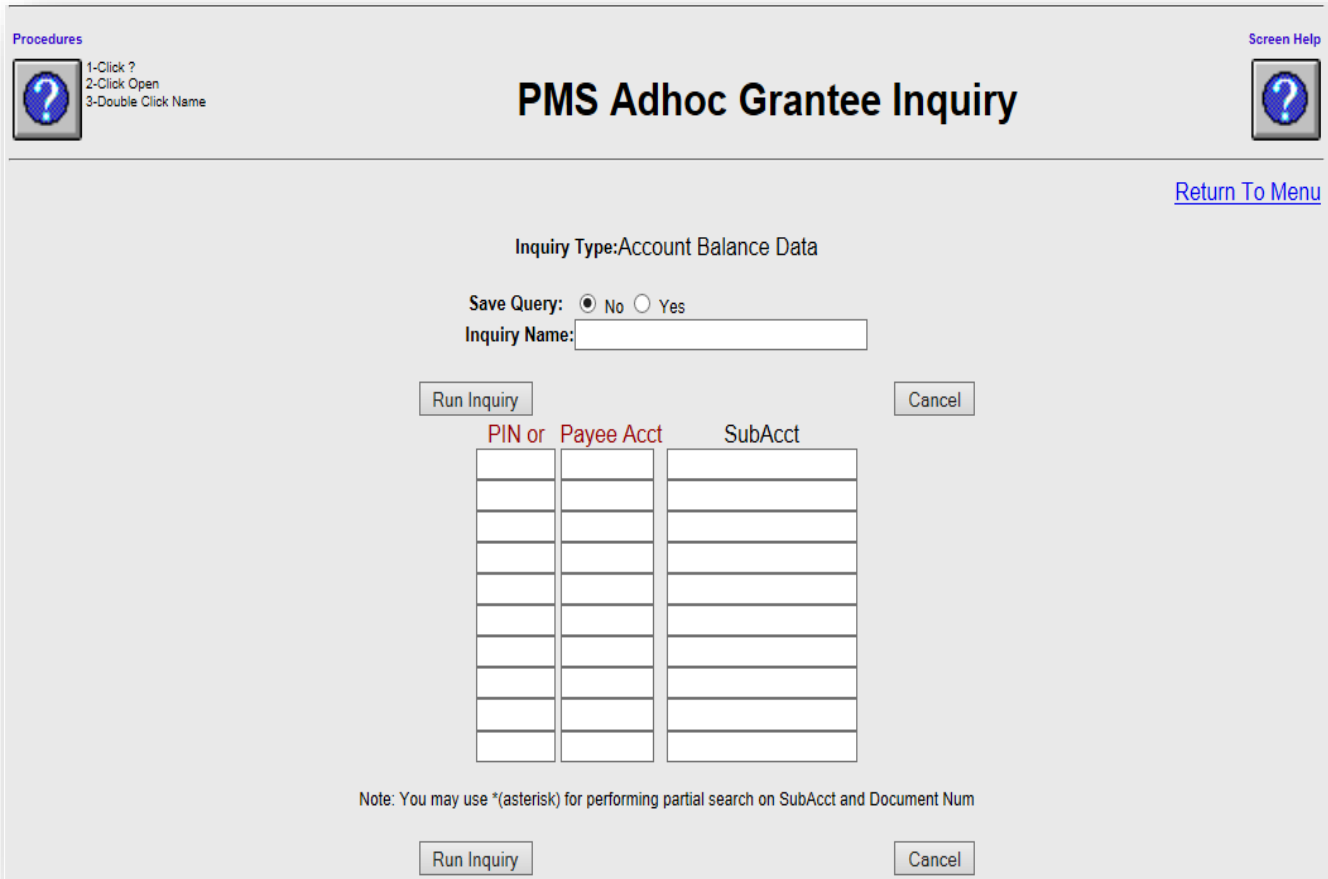
- **Summary Grant Data**

  Grant expenditures reported on the most recent FFR 425 Federal Cash Transaction Report (FCTR)



1) Click on "**Inquiry**"
2) Click on "**Adhoc Grantee Inquiry**"
3) Select desired Inquiry Type from the dropdown menu
5) Click on "**Continue**"

Account Balance Data



Entering an **Inquiry Name** is not necessary. Only use if you wish to save your query for a later date.

Enter the assigned PMS “**Payee Account Number (PAN)**” Note: You may also enter the PMS sub account number, if desired.

Click the “**Run Inquiry**” Button

Authorized grant award information, payments made and funds available

SUBACCOUNT	******AUTHORIZED******	******PAYMENTS*******	***FUNDS AVAILABLE***
10TI23144A	$9,835,840.00	$7,694,155.98	$2,141,684.02
			$2,141,684.02 AVAILABLE AMT > 90 DAYS (EXPIRED)
12SM60445A	$960,000.00	$50,976.61	$909,023.39
			$453,870.64 AVAILABLE AMT > 90 DAYS (EXPIRED)
ATR07	$14,425,835.00	$13,951,926.49	$473,908.51
	$9,660,000.00	$9,660,000.00	$.00 CANCELED AMT
	$4,765,835.00	$4,291,926.49	$473,908.51 NET OF CANCELED AMT
			$473,908.51 AVAILABLE AMT > 90 DAYS (EXPIRED)
CCD201	$112,354.00	$112,354.00	$.00
	$112,354.00	$112,354.00	$.00 CANCELED AMT
	$.00	$.00	$.00 NET OF CANCELED AMT

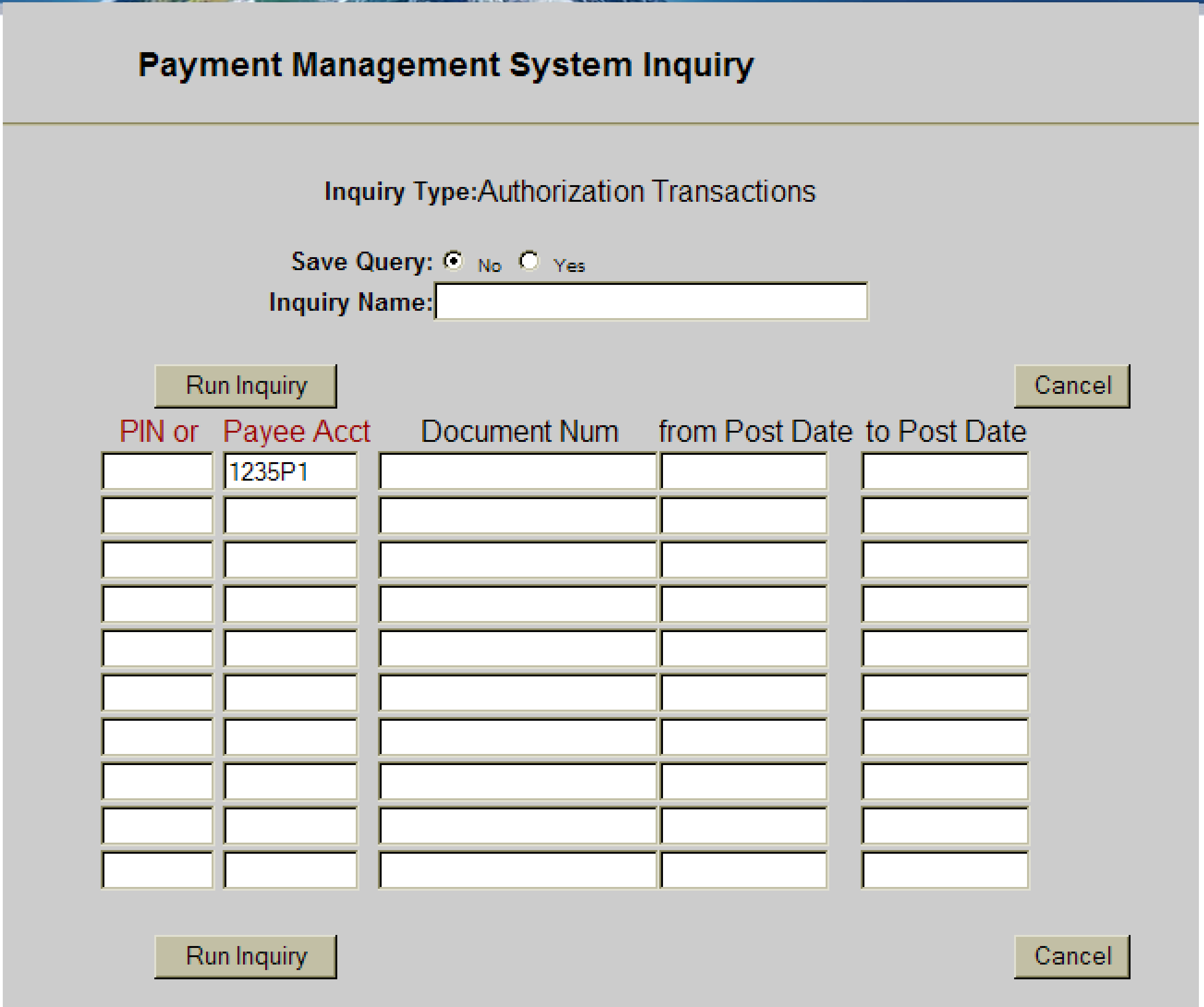
PMS must obtain approval from Awarding Agency if grantee request funds from an **"expired"** grant. An "**expired**" grant is one that is more than 90 days past the Budget End Date.

Payments requests will be rejected if approval is not received within three (3) business days of notification from DPM Liaison Staff.

Authorization Transactions

Entering an **Inquiry Name** is not necessary. Only use if you wish to save your query for a later date.

- Enter the assigned PMS "**Payee Account Number (PAN)**" Note: You may also enter the PMS sub account number, if desired.
- Click the "**Run Inquiry**" Button



PSC

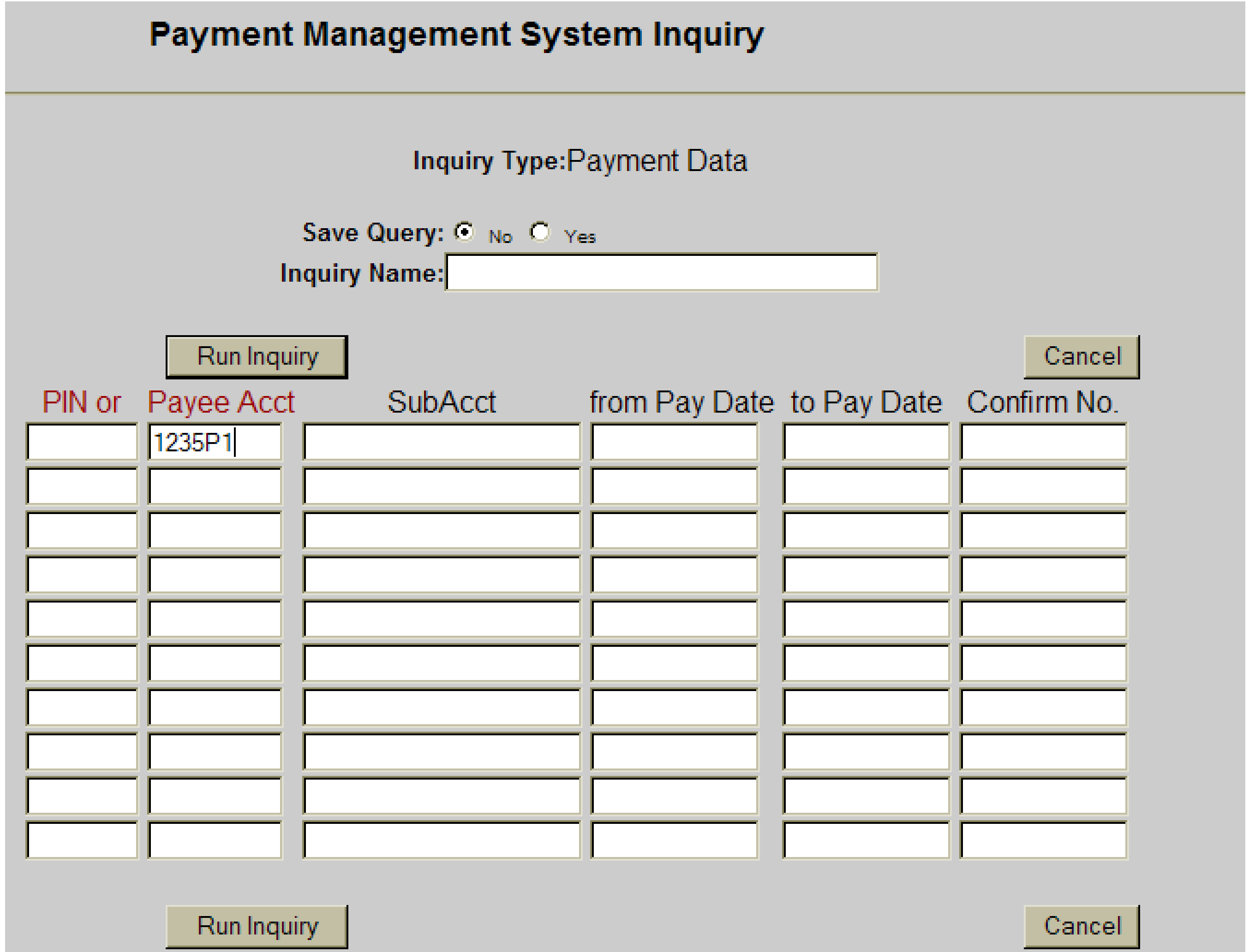
Award amount, budget period and date posted in PMS

```
PIN:      ACC:        DOC:90CI018720          AGY:FHHAG97 OLD AGY:G97 AUTH TC's Follow --
T/C* ******FCO******** *****INC-AUTH***** POST DATE  START DATE END DATE   ISSUE DATE
059  2013-G974122-4151                .00 10/25/2013 09/01/2013 08/31/2014 10/24/2013
050  2013-G974122-4151        -882,845.00 09/23/2013 09/01/2013 08/31/2014 09/05/2013
050  2013-G974120-4151         -13,783.00 09/23/2013 09/01/2013 08/31/2014 09/05/2013
050  2013-G974122-4151         882,845.00 09/23/2013 09/01/2013 08/31/2014 09/05/2013
050  2013-G974120-4151          13,783.00 09/23/2013 09/01/2013 08/31/2014 09/05/2013
050  2013-G974120-4151          13,783.00 09/13/2013 09/01/2013 08/31/2014 09/05/2013
050  2013-G974122-4151         882,845.00 09/13/2013 09/01/2013 08/31/2014 09/05/2013
050  2011-G974122-4151         -21,782.00 09/23/2013 09/01/2013 08/31/2014 09/05/2013
050  2011-G974122-4151          21,782.00 09/23/2013 09/01/2013 08/31/2014 09/05/2013
050  2011-G974122-4151          21,782.00 09/13/2013 09/01/2013 08/31/2014 09/05/2013
               NET TC:         918,410.00

PIN:      ACC:        DOC:90SE018701          AGY:FHHAG97 OLD AGY:G97 AUTH TC's Follow --
T/C* ******FCO******** *****INC-AUTH***** POST DATE  START DATE END DATE   ISSUE DATE
191  2009-G97R022-4151                .00 01/01/2012 07/01/2009 05/01/2011 12/22/2011
059  2009-G97R022-4151                .00 12/23/2011 07/01/2009 05/01/2011 12/22/2011
050  2009-G97R022-4151          16,631.00 07/17/2009 07/01/2009 05/01/2011 07/10/2009
               NET TC:          16,631.00

PIN:      ACC:        DOC:97BBCACCDF          AGY:FHHAG99 OLD AGY:G99 AUTH TC's Follow --
T/C* ******FCO******** *****INC-AUTH***** POST DATE  START DATE END DATE   ISSUE DATE
059  1997-G999006-4115                .00 08/13/1999 10/01/1996 09/30/1997 07/16/1999
050  1997-G995004-4115             829.00 09/25/1997 07/01/1997 09/30/1997 07/01/1997
050  1997-G999006-4115          48,816.00 02/20/1997 10/01/1996 09/30/1997 02/19/1997
               NET TC:          49,645.00
```

Payment Data

Entering an **Inquiry Name** is not necessary. Only use if you wish to save your query for a later date.

- Enter the assigned PMS "**Payee Account Number (PAN)**" Note: You may also enter the PMS sub account number, if desired.
- Click the "**Run Inquiry**" Button



```
T/C* ***DEBIT** **POSTED** *******AMOUNT****** *DATE**SCHED* **CONFIRM*
927  02/10/2014 02/07/2014        $177,446.58 140207  23054 4035149382
  SINLEC12CA005-A003          $177,446.58
927  01/17/2014 01/16/2014          $1,616.86 140116  13981 4035121193
  SINLEC12CA005-A003            $1,616.86
927  01/10/2014 01/09/2014            $866.01 140109  13958 4035112098
  SINLEC12CA005-A003              $866.01
927  12/20/2013 12/19/2013            $577.04 131219 123894 4035091711
  SINLEC12CA005-A003              $577.04
927  12/09/2013 12/06/2013          $1,453.23 131206 123846 4035072820
  SINLEC12CA005-A003            $1,453.23
927  11/27/2013 11/26/2013          $1,431.53 131126 113815 4035062962
  SINLEC12CA005-A003            $1,431.53
Z27             11/18/2013          $1,077.38
  SINLEC12CA005-A003            $1,077.38
Z27             11/08/2013        $267,429.65
  SINLEC12CA005-A003          $267,429.65
927  10/11/2013 10/10/2013            $347.10 131010 103659 4034995779
  SINLEC12CA005-A003              $347.10
```

Payment History including payments deposited and rejected

T/C (Transaction Codes)

908 = Return of Funds

911 = Return of Interest

916 Fed Wire "Same" Day Payments

927 = ACH "Next" Day Payments

Z27 = Payment was rejected

PNT = Banking Updated

```
PNT              11/23/2011                $.00 111123 113282
PIN:       ACC:                  $6,949,438.05 Total Advances Listed Pay Hits: 60
                                 $6,949,438.05 Total Advances         Pay Count: 60
        SINLEC12CA005-A003       $2,449,498.83 Total Subacct Advances Listed
             SINLEC12CA005       $4,499,939.22 Total Subacct Advances Listed
-------------------------------------------------------
```

Summary Grant Data

Payment Management System Inquiry

Inquiry Type: Summary Grant Data

Save Query: (•) No ( ) Yes

Inquiry Name:

Run Inquiry   Cancel

PIN or	Payee Acct	Document Num	DS
	1235P1		

Run Inquiry   Cancel

DS (Document Status)

C = Closed

O = Opened

A   Active Grants

I = Inactive Grants

P = Closing Transaction Begun

Entering an **Inquiry Name** is not necessary. Only use if you wish to save your query for a later date.

- Enter the assigned PMS "**Payee Account Number (PAN)**" Note: You may also enter the PMS sub account number, if desired.
- Click the "**Run Inquiry**" Button

Grant expenditures reported on the most recent FFR 425 Federal Cash Transaction Report (FCTR)

INQUIRY: DOC-G   DATE: 03/16/2015   TIME: 03:18:07 PM

PIN *ACCT**

AGY	*******GRANT********	******AUTHORIZED****	*****DISBURSED*****	*RPT DISB*	DS
3	H47MC01930B0	$184,937.00	$184,937.00	06/30/2010	C
3	H5MMC20279A0	$985,497.68	$985,497.68	03/31/2013	C
G	90RX018801	$50,000.00	$49,622.50	12/31/2007	O
G	90RX018802	$50,000.00	$50,000.00	09/30/2008	C
3	X02MC23097A0	$1,782,007.00	$1,687,942.21	12/31/2014	O
3	H56CR25038A0	$595,366.73	$595,366.73	12/31/2014	P
C	UFSP08198B	$6,290,506.94	$6,290,506.94	06/30/2005	C
3	P12MC05015A0	$104,126.40	$104,126.40	06/30/2008	C
C	H9TI17397A	$1,200,000.00	$1,200,000.00	06/30/2009	C
3	H61MC00060A0	$592,169.00	$690,115.00	03/31/2008	P
G	90RX018804	$50,000.00	$49,251.85	12/31/2010	O
9	UPS004015A	$2,855,630.00	$919,022.75	12/31/2014	O
5	0000091421	$20,713,679.00	$20,713,679.00	12/31/2008	C
3	H18MC00009B0	$187,922.34	$187,922.34	03/31/2004	C
C	H9TI12578A	$1,292,880.00	$1,292,880.00	12/31/2006	C
3	H18MC00009C0	$277,350.00	$277,350.00	12/31/2009	C
3	H61MC00060C0	$449,096.98	$449,096.98	12/31/2012	C
3	H18MC00009D0	$490,030.00	$490,030.00	06/30/2012	C
C	H9SM59325A	$4,250,000.00	$3,916,839.20	12/31/2014	O

Awarding Agency Identifier

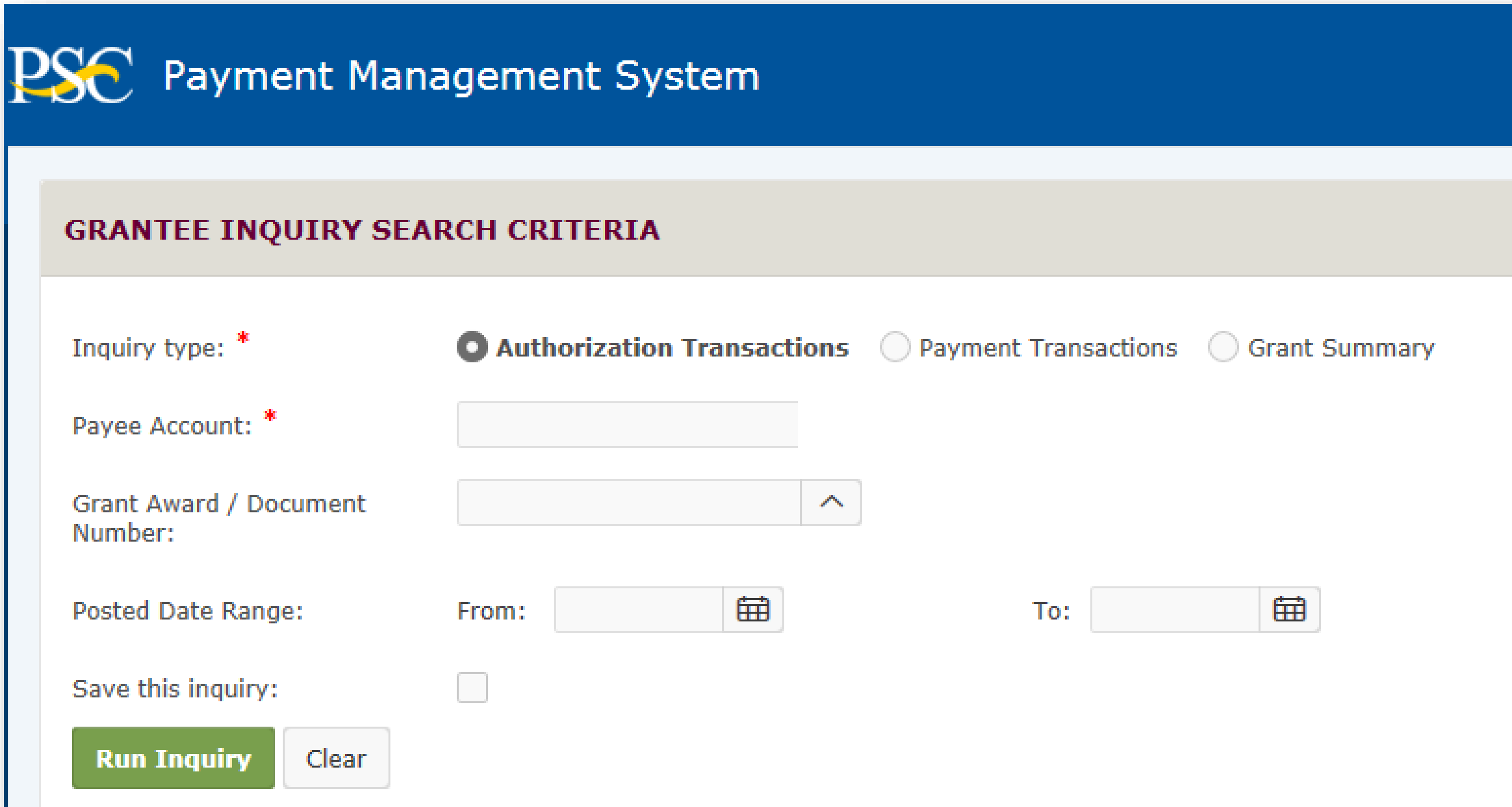
PMS Grant Award #

Grant Award Amount Authorized

Amount Reported on the FCTR

Date Disbursements were last reported

Adhoc Grantee Inquiry (APEX Report)



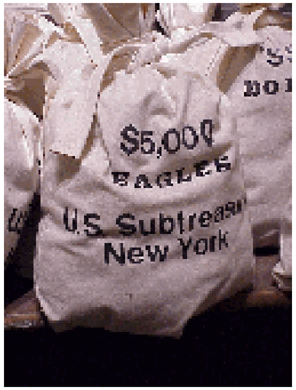
OPDIV "Agency" Codes

OPDIV CODE	HHS OPDIVS
1	Office of the Secretary (OS)
2	Administration for Community Living (ACL); formerly Administration on Aging (AOA)
3	Health Resources and Services Administration (HRSA)
4	Social Security Administration (SSA)
5	Centers for Medicare & Medicaid Services (CMS), legacy HCFA
6	Food and Drug Administration (FDA)
8	National Institutes of Health (NIH)
9	Centers for Disease Control and Prevention (CDC)
A	OASH (Office of the Assistant Secretary of Health)
C	Substance Abuse and Mental Health Services Administration (SAMHSA)
G	Administration for Children and Families (ACF)
J	Indian Health Service (IHS)
K	Agency for Healthcare Research and Quality (AHRQ)

OPDIV CODE	NON-HHS
B	Department of Homeland Security (DHS)
L	Small Business Administration (SBA)
M	Department of Veterans Affairs (VA)
N	Department of the Treasury (Treas.)
P	Executive Office of the President (EOP)
R	Department of State (DOS)
S	National Aeronautics and Space Administration (NASA)
T	Department of Labor (DOL)
U	Corporation for National & Community Service (CNCS)
W	DOI (Department of Interior)
X	Department of Agriculture (USDA)
Z	United States Agency for International Development (USAID)

Requesting Payment

Payment requests may be made as often as needed:



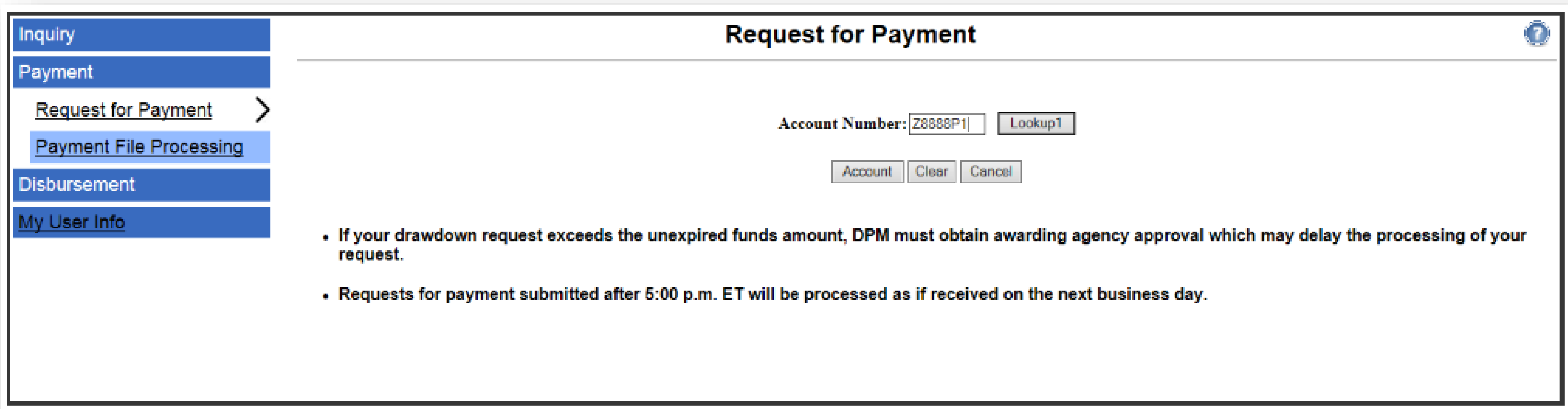
- ✓ Daily
- ✓ Weekly
- ✓ Monthly
- ✓ Bi-monthly

Funds <u>must</u> be spent within <u>three</u> business days!

In accordance with Department of Treasury regulations, federal cash **<u>MUST BE DRAWN SOLELY TO ACCOMMODATE YOUR IMMEDIATE NEEDS ON AN "AS NEEDED" BASIS ONLY</u>**, and **<u>must not be held in excess of three (3) working days</u>**. The Department of Treasury issued regulations governing the flow of federal cash to recipient organizations. These regulations are intended to ensure that federal cash is disbursed from U.S. Treasury coffers only when the recipient needs cash for payment purposes. The regulations minimize the negative impact of federal cash withdrawals on the public debt and related financing costs to the Federal Government. At no time, therefore, should cash be requested to cover unliquidated encumbrances, obligations, or accrued expenditures until actual program disbursements are anticipated. {Reference Circular 1075 & 1084}

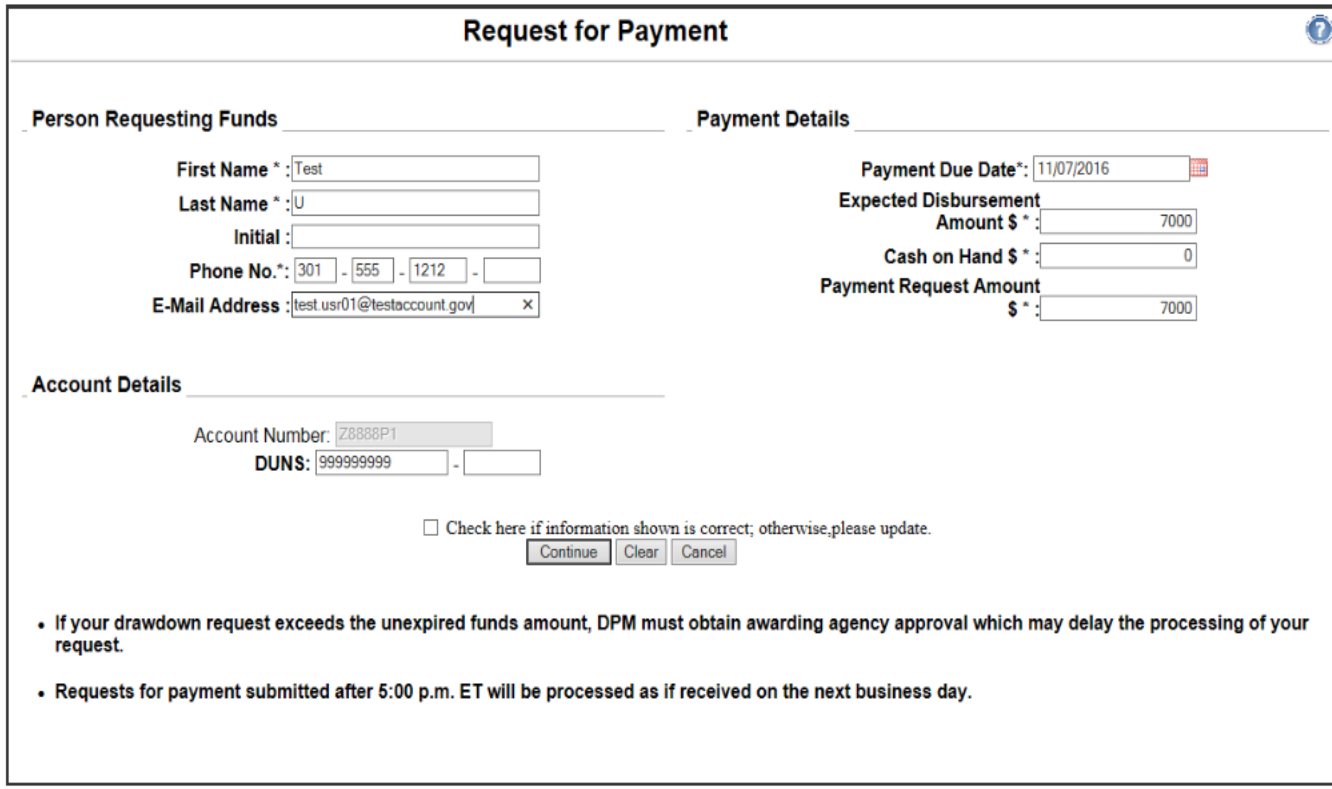
With certain exceptions as outlines in Section 22 (k) and (1) of OMB Circular A 110, Federal funds are required to be maintained in interest bearing bank accounts. Interest earned is to be remitted to DPM annually. Interest up to $250 may be retained to cover administrative expenses.

Requesting Funds {Sub-Accounts = B & P}



1. Enter PMS Account Number
2. Click on Account

1. Enter or Verify Name, Telephone # & E Mail Address
2. Enter Payment Due Date *
3. Enter Payment Information +
4. Click on Continue



Request for Payment

Person Requesting Funds

First Name * : Test
Last Name * : U
Initial :
Phone No.*: 301 - 555 - 1212 -
E-Mail Address : test.usr01@testaccount.gov

Payment Details

Payment Due Date*: 11/07/2016
Expected Disbursement Amount $ * : 7000
Cash on Hand $ * : 0
Payment Request Amount $ * : 7000

Account Details

Account Number: Z8888P1
DUNS: 999999999 -

☐ Check here if information shown is correct; otherwise,please update.

Continue | Clear | Cancel

- If your drawdown request exceeds the unexpired funds amount, DPM must obtain awarding agency approval which may delay the processing of your request.
- Requests for payment submitted after 5:00 p.m. ET will be processed as if received on the next business day.

***Payment Due Date** will be the **next business day** from the date you are entering the request in PMS; unless otherwise stated in your initial welcome letter.

+ **Expected Disbursement** means the amount needed to pay invoices, etc.

Cash On Hand means the amount remaining from a previous payment request

Payment Request Amount means the amount you are expected to receive in your bank account.

Request for Payment

Account Review

Account Number: Z8888P1
DUNS: 999999999 -
Name: Test U
Phone No: (301)555-1212 Ext:
E-Mail Address: test.usr01@testaccount.gov
Payment Due Date: 11/07/2016
Payment Request Amount $: $7,000.00

Sub Account(s)

- [ ] 90CITEST01
- [ ] REFSS16
- [x] SAVP16
- [x] TANF16
- [x] TCSE16

SubAmount   Cancel

- **If your drawdown request exceeds the unexpired funds amount, DPM must obtain awarding agency approval which may delay the processing of your request.**
- **Requests for payment submitted after 5:00 p.m. ET will be processed as if received on the next business day.**

1. Select the PMS Sub account you wish to request funds from. You may click on one, two, etc.
2. Click on Sub Amount

Request for Payment

Account Review

Account Number: Z8888P1
DUNS: 999999999 -
Name: Test U
Phone No: (301)555-1212 Ext:
E-Mail Address: test.usr01@testaccount.gov
Payment Due Date: 11/07/2016
Payment Request Amount $: $7,000.00

Subaccount	Bank Account	Unexpired Funds (A)	Expired Funds (B)	In-Transit Payments (C)	Total Funds (A+B-C)	Subacct Amt Requested $
SAVP16	################CCT01	$30,000.00	$0.00	$200.00	$29,800.00	500
TANF16	################CCT01	$20,000.00	$0.00	$300.00	$19,700.00	1500
TCSE16	################CCT01	$8,000,000.00	$0.00	$1,000.00	$7,999,000.00	5000

Request_Payment | GOTO Subacct | Cancel

- **If your drawdown request exceeds the unexpired funds amount, DPM must obtain awarding agency approval which may delay the processing of your request.**
- **Requests for payment submitted after 5:00 p.m. ET will be processed as if received on the next business day.**

1. For each sub-account, enter the amount you are requesting
2. Click on Request Payment

Return To

Request Payment
Completed Transaction Info

Account:		Payment Request Amount:	$5,600.00
Request Date:	11/06/2017	DUNS Number:	605799469-
Settlement Date	11/07/2017		

Subaccount	Amount
NNA08CN87A	$1,000.00
NNA13AA93A	$1,000.00
NNX12AC79G	$2,600.00
NNX12AJ92G	$1,000.00

Payment Request is in Holding file. The Transaction Number For Future Reference:2049570216

Done

1. Review Information on screen
2. Click Done

If you need a copy of the screen, please print before you click on the Request for Payment button. You will not be able to go back to a previous screen.

PSC

Screen Help

Request for Payment

Done

Transaction Complete

You may select another process from the menu.
OR

[Repeat Same Transaction Type]

Your payment request has now been submitted via the Payment Management System

Types of Payment Requests

Advanced Requests

Payment Details

Payment Due Date*: 4/14/2016

Expected Disbursement Amount $ * : 5000

Cash on Hand $ * : 0

Payment Request Amount $ * : 5000

Reimbursable Requests

Payment Details

Payment Due Date*: 4/14/2016

Expected Disbursement Amount $ * : 0

Cash on Hand $ * : -5000

Payment Request Amount $ * : 5000

Combination Requests

Payment Details

Payment Due Date*: 4/14/2016

Expected Disbursement Amount $ * : 5000

Cash on Hand $ * : -1000

Payment Request Amount $ * : 6000

Reason for Denied Payments / Manual Review Flags

- **Agency Restriction**
  - Awarding agency has the authority to restrict grant funding and payment requests
- **Expired Grants**
  - Grants that are 90 days or greater past the award budget ending period. Approval must be received from awarding agency within three (3) business days of receipt of E-Mail from PMS Staff.
- **Reasonableness**
  - Excessive payment requests may be rejected due to large payments in budget period
- **Late Federal Financial Report (FFR)**
  - If the Federal (FCTR) and/or the Financial Status Report (FSR) is not filed before the due date, temporary suspension of funding privileges will occur
- **Excess Cash on Hand - 3 day rule (FCTR)**
  - Funding requests will be denied if there is excessive cash on hand (FCTR)

Federal Financial Report (FFR – 425)

Component #1
Cash Transaction

(How Grantees Report Disbursements)

If your PMS account ends with a "B", you are not required to complete this report via the Payment Management System; unless instructed by your Awarding Agency

- The Federal Financial Report (FFR) consists of both the Federal Cash Transaction Report (FCTR) and the Financial Status Report (FSR).

- The FFR Federal Cash Transaction Report must be filed within **30 days** at the end of each of the following quarter end dates:

  - ✓ December 31 (1st Quarter of fiscal year)
  - ✓ March 31 (2nd Quarter of fiscal year)
  - ✓ June 30 (3rd Quarter of fiscal year)
  - ✓ September 30 (4th Quarter of fiscal year)

- Adjustments to cumulative disbursements may be *saved* (to be completed at a later time **BEFORE** the deadline date) or *certified* .

- **If the FCTR is not filed before or on the due date, funds will be frozen until the report as been submitted.**

This is an "DISBURSEMENT" report. It should be submitted each quarter regardless if you have requested funds via the Payment Management System.

PSC

MANAGING THE BUSINESS OF GOVERNMENT™

FCTR

Lines 10a thru 10c

FSR

Lines 10d thru 11f

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	Page 1	of pages

3. Recipient Organization (Name and complete address including Zip code)

4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type ☐ Quarterly ☐ Semi-Annual ☐ Annual ☐ Final	7. Basis of Accounting ☐ Cash ☐ Accrual

8. Project/Grant Period From: (Month, Day, Year)	To: (Month, Day, Year)	9. Reporting Period End Date (Month, Day, Year)

10. Transactions	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR Attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	
e. Federal share of expenditures	
f. Federal share of unliquidated obligations	
g. Total Federal share (sum of lines e and f)	
h. Unobligated balance of Federal funds (line d minus g)	
Recipient Share:	
i. Total recipient share required	
j. Recipient share of expenditures	
k. Remaining recipient share to be provided (line i minus j)	
Program Income:	
l. Total Federal program income earned	
m. Program income expended in accordance with the deduction alternative	
n. Program income expended in accordance with the addition alternative	
o. Unexpended program income (line l minus line m or line n)	

11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
				g. Totals:			

12. *Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:*

13. **Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures,**

PSC

After logging in to the Payment Management System with a PMS User ID and password:

Click the PMS menu heading entitled: “**Disbursement**”

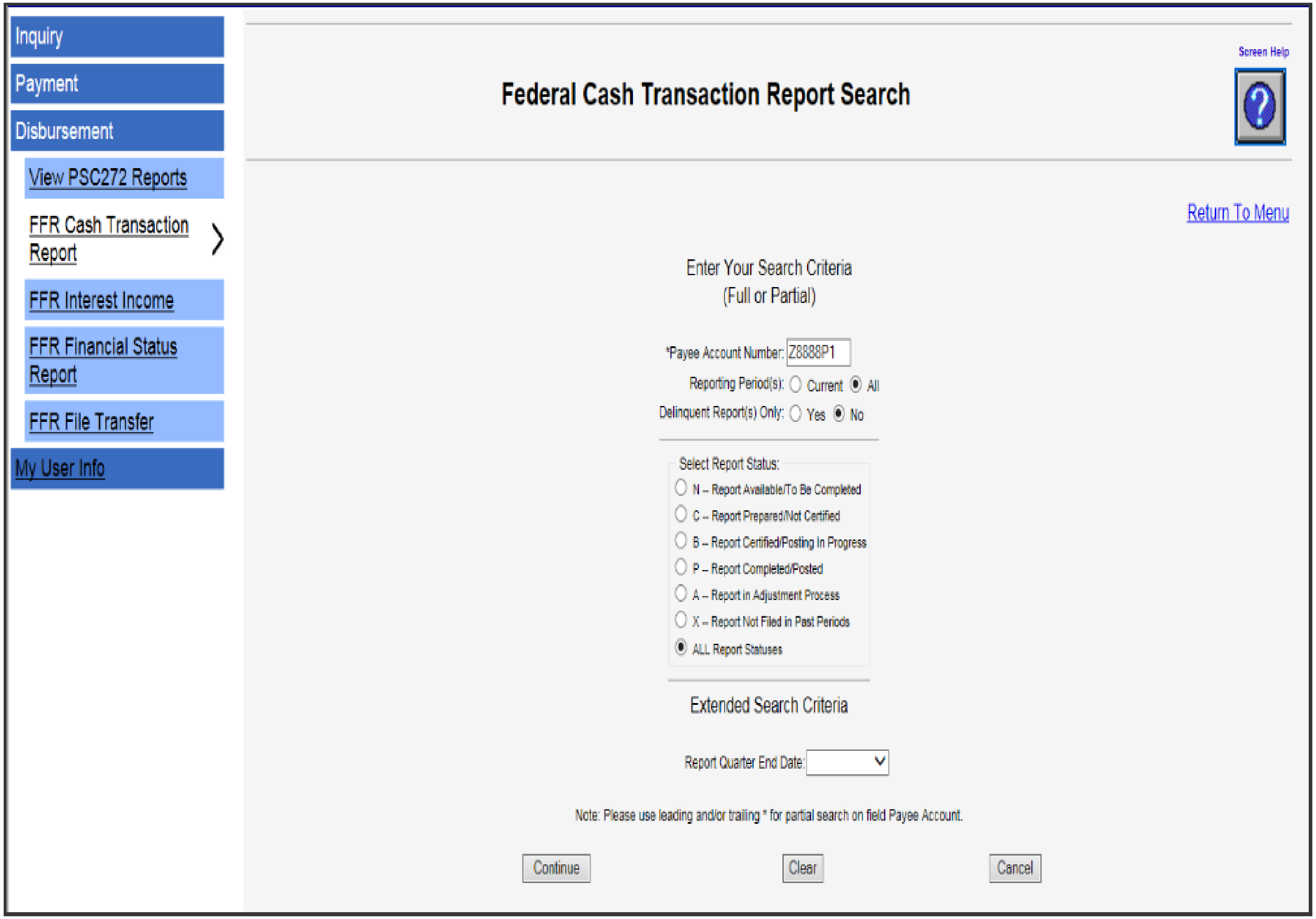
Click the sub heading entitled: **FFR Cash Transaction Report**

Enter your **PMS Account Number**

Select the Reporting Period **“All**

Leave everything else as it and at the default

Click Continue



Federal Cash Transaction Report
All Report Screen

All Report Listing
Payee Account Contains:C5016P1
Status:**ALL REPORT STATUSES**

Action	Payee	End Date	Due Date	Submit Date	Status
I want to...		31-MAR-2017	30-APR-2017	13-JUN-2017	B
I want to...		31-DEC-2016		16-FEB-2017	P
I want to...		30-SEP-2016			X
I want to...		30-JUN-2016		03-AUG-2016	P
I want to...		31-MAR-2016		17-JUN-2016	P
I want to...		31-DEC-2015		09-MAR-2016	P
I want to...		30-SEP-2015			X
I want to...		30-JUN-2015		22-JUL-2015	P
I want to...		31-MAR-2015		24-APR-2015	P
I want to...		31-DEC-2014		30-JAN-2015	P
I want to...		30-SEP-2014		29-OCT-2014	P

New Search

Report Status:
A -- Report in Adjustment Process
B -- Report Certified/Posting In Progress
C -- Report Prepared/Not Certified
N -- Report Available/To Be Completed

PSC

Under the **Action** column, from the drop down I want to...menu select your desired action

Prepare/Certify

Preparer

Certifier

Note: System will display desired selection information

Note: You can only complete the current quarters report.

If status is “X”, the report is no longer available for submission.

Federal Cash Transaction Report
All Report Screen

All Report Listing

Payee Account Contains:Z8888P1

Status:**ALL REPORT STATUSES**

Action	Payee	End Date	Due Date	Submit Date	Status
I want to... ... ... / Prepare/Certify / Subscribe / See Workflow	Z8888P1	30-SEP-2016	30-OCT-2016		N

New Search

Report Status:

A -- Report in Adjustment Process

B -- Report Certified/Posting In Progress

C -- Report Prepared/Not Certified

N -- Report Available/To Be Completed

P -- Report Completed/Posted

X -- Report Not Filed in Past Periods

PMS will automatically populate Agency, Grantee Information, DUNS, EIN as stated in the database.

Box 6, Box 7, & Box 9 are defaulted automatically by the system.

To report disbursements on the grant, click on the "**Report Disbursements**" button at the top of the page.

The Report Disbursement page must be completed first.

Federal Cash Transaction Report

Return

Save | Certify | Report Disbursements | Cancel

FEDERAL FINANCIAL REPORT					(Prescribed by OMB A-102 and A-110)
1. Federal Agency and Organizational Element to Which Report is Submitted				2. Federal Grant or Other Identifying Number	
3. Recipient Organization (Name and complete address including Zip code)					
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number	6a. Report Frequency	6b. Report Type	7. Basis of Accounting
			Quarterly	Interim Report	Cash
8. Project/Grant Period(month,day,year)			9. Reporting Period End Date(month,day,year)		
From:		To:	12/31/2016		
10. Transactions				Cumulative	
(Use lines a-c for single or multiple grant reporting)					
Federal Cash (To report multiple grants, also use Report Disbursements):					
a. Cash Receipts				567,594.41	
b. Cash Disbursements				0.00	
c. Cash on Hand (line a minus b)				0.00	

Grantees must check the "**Report Inactive Grant**" listing each quarter to ensure that all disbursements on these grants are up-to-date. These grants are still opened in PMS and will remain open to the Awarding Agency takes the necessary action to close them. They are in the list because the ending budget period has ended.

In Box 5, report "**CUMULATIVE**" expenditures for each grant listed.

Net Quarter Disbursements will automatically calculate at the bottom in the box titled **"TOTAL"**

Note: The **Rec Acct Num** column is optional. This is for your use only!

However, PMS will retain this information and it will populate on each quarters report.

Remember this is an expenditure report. You must report actual expenditures regardless if you have not requested funds.

Report Inactive Grants :

Grant Number-----Auth. Amount-----Disb. Amount

12SM60465A----- 199,201.00----- 199,201.00
14SM60465B----- 101,057.00----- 100,602.32
90IF006101----- 250,227.35----- 250,227.35
90IF008301----- 195,182.70----- 195,182.70
RHL121422A----- 261,822.22----- 261,836.00

5. List information below for each grant covered by this report. Use additio ... are denoted with an asterisk "*" and hig
Blue.

Sel One	Grant Num	Rec Acct Num		Cum. Disb. Amt	Cum Feder
○		PRJ77FN	398,388.37	394,631.78	398,388.37
○		PRJ89GC	1,479,722.00	1,074,875.24	1,074,875.24
○		PRJ85PD	399,631.00	317,974.74	399,631.00
○		MIL109517	1,197,578.00	735,509.00	735,509.00
○		PRJ86YM	428,096.00	342,172.47	342,172.47
○		PRJ86BB	562,816.00	467,588.51	467,588.51
○		PRJ84LR	417,516.00	255,974.56	417,516.00
○		AAA4984	163,804.00	128,138.15	163,804.00
○		PRJ92YB	224,250.00	209,275.42	224,250.00
○		AAA2545-2	196,477.00	25,454.89	25,454.89
○		AAA2537-2	200,000.00	79,999.36	79,999.36

TOTAL (Should correspond to the amount on Line 10b on Page 1) 2,105,240.58

Cash Receipts   the Ending Cash on Hand from the prior quarter s report + funds received and/or returned during the quarter.

You must calculate 10c “Cash On Hand   Line 10a minus Line 10b.

If 10c is a positive amount, you must provide an explanation on line 12.

Save | Certify | Report Disbursements | Cancel

FEDERAL FINANCIAL REPORT			(Prescribed by OMB A-102 and A-110)			
1. Federal Agency and Organizational Element to Which Report is Submitted				2. Federal Grant or Other Identifying Number		
3. Recipient Organization (Name and complete address including Zip code)						
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number	6a. Report Frequency	6b. Report Type	7. Basis of Accounting	
			Quarterly	Interim Report	Cash	
8. Project/Grant Period(month,day,year)			9. Reporting Period End Date(month,day,year)			
From:		To:	12/31/2016			
10. Transactions				Cumulative		
(Use lines a-c for single or multiple grant reporting)						
Federal Cash (To report multiple grants, also use Report Disbursements):						
a. Cash Receipts				567,594.41		
b. Cash Disbursements				2,105,240.58		
c. Cash on Hand (line a minus b)				-1,537,646.17		

PSC

Scroll to the bottom of the page to enter remarks, if applicable in box 12.

Enter Certifying Officer s name in Box 13b

Scroll to the top or bottom of the page and click the “Certify” button to attest to the accuracy and completeness of the report.

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:			
Funds drawn at the end of the month for payroll			
Prepared by :	User01,Testgrantee	Phone No. :	456-123-379
Email Address:	testusr01@email.com		

13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001).

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number and extension)
	d. Email Address
b. Signature of Authorized Certifying Official	
PMS Preparer Signature	e. Date Report Submitted
	14. Agency use only

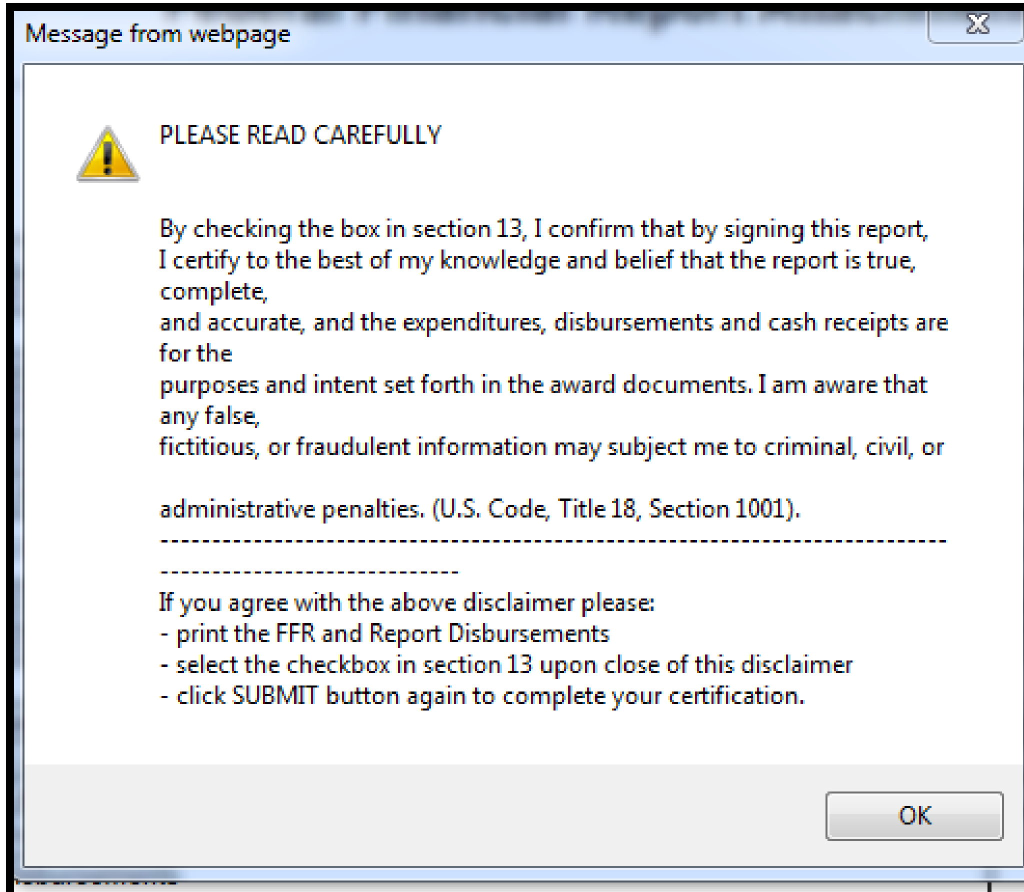
User Code	
Payee Account	Z8888P1
DPM Rep Name	
Phone Number	

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0060), Washington, DC 20503

Standard Form	425 - Revised 6/28/2010
OMB Approval Number	0348-0061
Expiration Date	10/31/2011

Save | Certify | Report Disbursements | Cancel

Read Windows message and click “OK” if you agree



Check the box under 13b

Click on the **"Submit"** button.

Once report is submitted, the message **"Certify Transaction Complete"** will appear

Updates to the report, can be made 24 hours after submission.

13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001).

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number and extension)
User01,Testgrantee	456-123-379
accountant	d. Email Address
b. Signature of Authorized Certifying Official	testusr01@email.com
PMS Preparer Signature	e. Date Report Submitted
☑ By checking this box, I certify that this report is true, complete and accurate to the best of my knowledge.	14. Agency use only

User Code	
Payee Account	Z8888P1
DPM Rep Name	
Phone Number	

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0060), Washington, DC 20503

Standard Form	425 - Revised 6/28/2010
OMB Approval Number	0348-0061
Expiration Date	10/31/2011

Save | Submit | Report Disbursements | Cancel

Your report has now been submitted.

You can click on the **"Return to List"** button to see the new status of your report.

If you missed a past report, you must complete the current quarters report in order to be compliant.

Federal Financial Report Attachment

Certify

Transaction Complete

The report will be available for recertification the next business day.

You may select another process from the menu.
OR
[Return to List]
OR
Repeat Same Transaction Type

Federal Financial Report (FFR – 425)

Component #2 Financial Status Report

Payment Management Services
General Information

Internet Access

Payment Management Services
Home Page
https://pms.psc.gov/

Hours of Operation

Monday through Friday:
5:00 a.m. until 11:00 p.m. EST*

Saturday and Sunday:
9:00 a.m. until 9:00 p.m. EST*

*Requests for payment submitted after 5:00 p.m. EST will be processed as if received on the next business day.

Help Desk Number

Telephone #: 877/614-5533
E-Mail: PMSSupport@psc.hhs.gov

PMS Federal Holidays

Payment Management Services is considered an Essential Government Office due to the nature of its business activities. This means as a general rule, PMS remains open for business year round except Federal Holidays and bank holidays.

Payment Management Services is closed on the following Federal holidays

New Year's Day
Martin Luther King, Jr. Day
President's Day
Memorial Day
Fourth of July
Labor Day
Columbus Day
Veteran's Day
Thanksgiving Day
Christmas Day

For issues regarding your PMS Account, please contact your Liaison Accountant

Returning Funds

- **<u>All</u>** funding requested via the Payment Management System, must be returned back to our office for proper credit.

- **<u>All</u>** returns should include (1) PMS Account Number(s), (2) Grant Number, (3) Amount, and (4) reason for return (excess cash, interest, etc). If you are not able to provide this information on the transmission, **<u>please send an E-Mail to your liaison accountant</u>** informing them of the return and include all information stated above.

- Remember to update your FCTR to reflect the funds return.

- Once the funds have been received and posted back to your PMS Account, you can check the payment data inquiry screen.

- On electronic returns there are fields in place for submitting information with the financial data. Please make use of these fields. Please include pertinent subaccount information if it applies.

The Payment Management Services prefers that you return funds using **ACH Direct Deposit (REX or Remittance Express)** or **FedWire**.

ACH RETURNS (DIRECT DEPOSIT)

Returning funds to DPM via ACH (Automated Clearing House) means you will most likely be returning funds to DPM in the manner in which they were received at your organization.

You will need the following information:

- The DPM ACH Routing Number is: **051036706**
- The DPM DFI Accounting Number: **303000**

Bank Name: Credit Gateway - ACH Receiver
Location: St. Paul, MN

FEDWIRE RETURNS

A FedWire return is a return via a WIRE. You will need the following information:

- The DPM FedWire Routing Number: **021030004**
- The DPM ALC (Agency Location Code): **75010501 – same as account number**

Bank Name: Federal Reserve Bank
Treas NYC/Funds Transfer Division
Location: New York, NY

Note: FedWire returns will not be posted to your account until the next business day.

CHECK RETURNS

If you choose to return funding via a check; please be sure to use the following information:

Check made payable to:	**The Department of Health and Human Services**
Include on the check:	**Payee Account Number (PAN)** **Grant Document Number / Sub-Account**
Mail the Check to:	**HHS Program Support Center** **PO Box 530231** **Atlanta, GA 30353-0231**

Please include a brief statement explaining the nature of the return, grant number, etc.

Also inform your DPM Liaison Accountant that you are returning funds.

Financial Status Report Standard Form 425 (SF-425)

Grantees awarded after 2016 complete this report in the Division of Payment Management System. The system contains the Federal Cash Transaction Report (sections 10a through 10c of the 425) and the Financial Status Report (sections 10d through 13e of the 425).

NOTE: For grantees awarded prior to FY2016, the SF-425 form is completed 30 days after each six-month period and 90 days after the end of the project period. The report form is submitted after signature through GrantSolutions by uploading the form into a Grant Note.

If the grantee has a multi-year grant, the grantee will only report on those funds provided for that budget period. Do not provide cumulative totals from previous years.

The form is on the next two pages. The layout of the form looks different in the DPM system but the data fields require the same information.

Financial Status Report Standard Form 425 (SF-425)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)			Page of 1 pages
3. Recipient Organization (Name and complete address including Zip code)				
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type o Quarterly oSemi- Annually oAnnual oFinal	7. Basis of Accounting o Cash o Accrual
8. Project/Grant Period (Month, Day, Year) From:	To:		9. Reporting Period End Date (Month, Day, Year)	

10. Transactions	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR Attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	
e. Federal share of expenditures	
f. Federal share of unliquidated obligations	
g. Total Federal share (sum of lines e and f)	
h. Unobligated balance of Federal funds (line d minus g)	
Recipient Share:	
i. Total recipient share required	
j. Recipient share of expenditures	
k. Remaining recipient share to be provided (line i minus j)	

Program Income:							
l. Total Federal program income earned							
m. Program income expended in accordance with the deduction alternative							
n. Program income expended in accordance with the addition alternative							
o. Unexpended program income (line l minus line m or line n)							
11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
				g. Totals:	0	0	0
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:							
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
a. Typed or Printed Name and Title of Authorized Certifying Official				c. Telephone (Area code, number, and extension)			
				d. Email Address			
b. Signature of Authorized Certifying Official				e. Date Report Submitted (Month, Day, Year)			
				14. Agency use only:			

Standard Form 425 - Revised 6/28/2010 OMB Approval Number: 0348-0061 Expiration Date: 10/31/2011

Paperwork Burden Statement According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348- 0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC20503.

Instructions for the SF-425

Detailed instruction on how to complete the Financial Status Report SF-425 is below.

Box 1: Enter HHS, Administration for Native Americans.

Box 2: Enter the grant number, which is on the Notice of Grant Award in Box 3.

Box 3: Enter the name and address of the tribe or native organization including zip code.

Box 4a: Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number.

Box 4b: Enter the tribe or native organization's employer identification number (EIN).

Box 5: Optional, enter an internal identification if that is the policy of the tribe or native organization.

Box 6: Check the type of report you are submitting; semi-annual, annual or final.

Box 7: Specify whether a cash or accrual basis was used for recording transactions related to the award(s) and for preparing this FFR. Accrual basis of accounting refers to the accounting method in which expenses are recorded when incurred. For cash basis accounting, expenses are recorded when they are paid.

Box 8: Enter the month, day, and year the grant began and the month, day, and year the grant ends.

Box 9: Enter the starting month, day, and year and the ending month, day, and year for the period that you are preparing.

Box 10.a: Enter the cumulative amount of actual cash received from the Federal agency as of the reporting period end date.

Box 10.b: Enter the cumulative amount of Federal fund disbursements (such as cash or checks) as of the reporting period end date. Disbursements are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expenses charged to the award, and the amount of cash advances and payments made to sub-recipients and contractors.

Box 10.c: Enter the amount of Line 10a minus Line 10b. This amount represents immediate cash needs. If more than three business days of cash are on hand, the Federal agency may require an explanation on Line 12, Remarks, explaining why the drawdown was made prematurely or other reasons for the excess cash.

Box 10.d: Enter the total Federal funds authorized as of the reporting period end date.

Box 10.e: Enter the amount of Federal fund expenditures. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense charged; and the amount of cash advance payments and payments made to sub-recipients. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; and the net increase or decrease in the amounts owed by the recipient for (1) goods and other property received; (2) services performed by employees, contractors, sub-recipients, and other payees; and (3) programs for which no current services or performance are required. Do not include program income expended in accordance with the deduction alternative, rebates, refunds, or other credits.

***Box 10.*f**: Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an expenditure has not yet been recorded. Enter the Federal portion of unliquidated obligations. Those obligations include direct and indirect expenses incurred but not yet paid or charged to the award, including amounts due to sub-recipients and contractors.

Box 10.g: Enter the sum of Lines 10e and 10f.

Box 10.h: Enter the amount of Line 10d minus Line 10g.

Box 10.i: Enter the total required recipient share for reporting period specified in line 9. The required recipient share should include all matching and cost sharing provided by recipients and third-party providers to meet the level required by the Federal agency.

Box 10.j: Enter the recipient share of actual cash disbursements or outlays (less any rebates, refunds, or other credits) including payments to sub-recipients and contractors. This amount may include the value of allowable third party in-kind contributions and recipient share of program income used to finance the non-Federal share of the project or program.

Box 10.k: Enter the amount of Line 10i minus Line 10j. If recipient share in Line 10j is greater than the required match amount in Line 10i, enter zero.

Box 10.l: Enter the amount of Federal program income earned. Do not report any program income here that is being allocated as part of the recipient's cost sharing amount included in Line10j.

Box 10.m: Enter the amount of program income that was used to reduce the Federal share of the total project costs. ANA typically does not use this method.

Box 10.n: Enter the amount of program income that was added to funds committed to the total project costs and expended to further eligible project or program activities.

Box 10.o: Enter the amount of Line 10l minus Line 10m or Line 10n. This amount equals the program income that has been earned but not expended, as of the reporting period end date.

Box 11.a: State whether indirect cost rate(s) is Provisional, Predetermined, Final, or Fixed.

Box 11.b: Enter the indirect cost rate in effect during the reporting period. Box 11.c: Enter the beginning and ending effective dates for the rate(s).

Box 11.d: Enter the amount of the base against which the rate(s) was applied.

Box 11.e: Enter the amount of indirect costs charged during the time period specified. (Multiply 11b. x 11d.)

Box 11.f: Enter the Federal share of the amount in 11e. Box 11.g: Enter the totals for columns 11d, 11e, and 11f.

Fill out the two-page form using the case study.

1. Federal Agency and Organizational Element to Which Report is Sub-mitted DHHS/ACF/ANA	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) 90NA0000			Page of 1 pages
3. Recipient Organization (Name and complete address including Zip code) Organization 123 School Drive, Phoenix, AZ 11111				
a. DUNS Number 111111111	4b. EIN 11-1111111	5. Recipient Account Number or Identify-ing Number (To report multiple grants, use FFR Attachment) 20	6. Report Type oQuarterly xSemi- Annual-ly o Annual oFinal	7. Basis of Accounting x Cash o Accrual
8. Project/Grant Period (Month, Day, Year) From: To:			9. Reporting Period End Date (Month, Day, Year)	

10. Transactions	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR Attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	
e. Federal share of expenditures	
f. Federal share of unliquidated obligations	
g. Total Federal share (sum of lines e and f)	
h. Unobligated balance of Federal funds (line d minus g)	
Recipient Share:	
i. Total recipient share required	
j. Recipient share of expenditures	
k. Remaining recipient share to be provided (line i minus j)	

Activity 3 continues on the next page

Activity 3 continued

Program Income:	
l. Total Federal program income earned	
m. Program income expended in accordance with the deduction alternative	
n. Program income expended in accordance with the addition alternative	
o. Unexpended program income (line l minus line m or line n)	

11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
				g. Totals:	0	0	0

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

a. Typed or Printed Name and Title of Authorized Certifying Official	c. Telephone (Area code, number, and extension)
	d. Email Address
b. Signature of Authorized Certifying Official	e. Date Report Submitted (Month, Day, Year)
	14. Agency use only:

Standard Form 425 - Revised 6/28/2010 OMB Approval Number: 0348-0061 Expiration Date: 10/31/2011

Paperwork Burden Statement According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.

Participant Activity 5 Cash Draw Down

Please use the case study for the information needed to complete the Federal Cash Transaction Report for the period ending December 31, 2018.

I.

10.a. Cash Receipts	$
10.b. Cash Disbursements	$
10.c. Cash on Hand	$

II.

The organization has made four cash drawdowns on the grant. The Finance Officer is getting ready to make the fifth draw down. Based on the expenditures through December 31 in the case study, as well as the funds already drawn down, how much should the Finance Officer draw down?	$

Standard Forms (SF-###) Submission Instructions

The SF-425 is completed in the Division of Payment Management System for all grantees awarded after 2016. If you were awarded prior to that date, you will submit a signed SF-425 form in GrantSolutions using the naming conventions below.

The SF-428, SF-428-B and SF-429 should be downloaded from http://www.acf.hhs.gov/grant-forms under the "Reporting" section. Fill them out and upload them into to the Grant Notes section of GrantSolutions using the naming conventions below as a part of the grant close out.

To upload completed and signed forms into the Grants Notes section in the GrantSolutions system:

- Select this icon (found on the right side of the page) once you have entered the system. 
- When the Grant Notes window appears, press the "Add" button.
- Complete the information at the top of the form using the instructions provided below or in Appendix 3.
- Click "Browse" to select the signed file from your computer.
- Once the file name is selected press the "Open" button. That should take you back to the Grant Notes – Add" page.
- Press the "Upload" button. The name of the file should appear in the table below the button.
- To complete the process, press the "Submit" button.

Subject	Grant Note Type	Grant Note Type
425-Q2 or Q4-YYYY	Programmatic Report	Correspondence
425-Annual-YYYY	Programmatic Report	Correspondence
425-Q2 or Q4-YYYY (Revised)	Programmatic Report	Correspondence
425-Final-YYYY	Programmatic Report	Correspondence
428-Final-YYYY	Programmatic Report	Correspondence
429-Final-YYYY	Programmatic Report	Correspondence

Section 5: Regulations and Cost Principles

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

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

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

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

The management of an Administration for Native Americans grant requires a working knowledge of the financial assistance rules and regulations and basic cost contained in 45 CFR Part 75.

Below is a summary of 45 CFR Part 75. It is important that the full regulations be referenced for information about each of the areas covered by the regulations.

The circular is organized as follows:

Part 75 – Subpart A: Acronyms and Definitions Part 75 – Subpart B: General Provisions

Part 75 – Subpart C: Pre-Federal Award Requirements and Contents of Federal

Awards

Part 75 – Subpart D: Post Federal Award Requirements Part 75 – Subpart E: Cost Principles

Part 75 – Subpart F: Audit Requirements

45 CFR Part 75 – Subpart A – Acronyms and Definitions

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

- *Fixed Amount Awards*. A type of grant agreement under which the Federal awarding agency or pass-through entity provides a specific level of support without regard to actuals costs incurred under the Federal award.
- *Micro-purchase*. A purchase of supplies or services using simplified acquisition procedures, the aggregate amount of which does not exceed the micro-purchase threshold.
- *Performance Goal*. A target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate.
- *Protected Personally Identifiable Information*. An individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts.

45 CFR Part 75 – Subpart B – General Provisions

Establishes the uniform administrative requirements, cost principles and audit requirements for Federal awards to non-Federal entities.

It explains that in circumstances where the provisions of Federal statutes or regulations differ the Federal statutes or regulations govern and specifically reference the Indian Self-Determination and Education and Assistance Act.

States the specific programs that the cost principles do not apply to.

It does allow for exceptions in 75.102 if recommended by the Federal agency and approved by OMB.

The effective date for full implementation will be awards issued after December 26, 2014 and audits of fiscal years beginning on or after December 26, 2014.

Non-Federal agencies must disclose in writing any potential conflicts of interest. Also all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

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

75.201 Use of Grant Agreements, Cooperative Agreements, and Contracts

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

75.202 Requirement to Provide Public Notice of Federal Financial Assistance Programs

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

75.203 Notices of Funding Opportunities

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

75.204 Federal Awarding Agency Review of Merit Proposals

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

75.205 Federal Awarding Agency Review of Risk Posed by Applicants

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

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

Participant Activity 6 Review of Risk

List the information you could collect for each grant to prepare for a federal risk review.

Documentation for Risk Review
1.
2.
3.
4.
5.

75.206 Standard Application Requirements

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

75.207 Specific Award Conditions

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

75.211 Public Access to Federal Award Information

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

75.212 Suspension and Debarment

75.217 Participation by Faith-Based Organizations

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

45 CFR Part 75 – Subpart D – Post Award Requirements

75.301 Performance Measurement

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

When applicable, recipients must also provide cost information to demonstrate cost effective practices.

The recipient's performance should be measured in a way that will help the Federal awarding agency and other non-Federal entities to improve program outcomes, share lessons learned, and spread the adoption of promising practices.

75.302 Financial Management

The financial management system must provide for:

Retention, methods of transfer, transmission and storage of information.

- Identification, in its accounts, of all Federal awards received and expended and the Federal programs under which they were received.
- Accurate, current, and complete disclosure of financial results of each Federal award or program.
- Records that identify adequately the source and application of funds.
- Effective control over, and accountability for, all funds, property, and other assets.
- Comparison of expenditures with budget amounts.
- Written procedures to implement the payment requirements.
- Written procedures for determining whether costs are allowable (allowability of costs) in accordance with the generally accepted cost principles.

Participant Activity 7 Financial Management Standards

A. How will you relate financial data to performance data for your program?

B. List the 8 financial management standards	
Financial Management Standard	List how you would monitor to ensure compliance with the standard

Activity continues on the next page

Activity 7 continued

C. List the source documentation for each of the following expenses	
Expense	Source documentation (Accountant)
Payroll	
Horticulture materials	
Travel	
Office rent	
Office supplies	
Health insurance	
Professional services (greenhouse operation consultant)	
Maintenance and repairs to farm equipment	
Printing of marketing materials	

75.303 Internal Controls

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

75.305 Payments

Payments must minimize the time elapsing between the transfer of funds from the Federal government and the disbursement of funds.

Payments must be paid in advance, provided the non-Federal entity maintains written procedures that minimize the time elapsing between the transfer of funds and disbursement and systems that meet the standards for fund control and accountability.

Reimbursement is the preferred method when the requirements cannot be met.

If the non-Federal entity does not meet standards but cannot operate without an advance a working capital advance may be made available.

Rebates, refunds, contract settlements, audit recoveries, and interest must be used first before requesting an advance.

All advances must be placed in an interest-bearing account unless the non-Federal entity receives less than $120,000 in Federal awards, interest earned would not exceed $500 per year, depository requires a high average or minimum balance, or a foreign government or banking system prohibits or precludes interest bearing accounts.

The first $500 of interest earned may be retained for administrative expenses.

75.306 Cost Sharing or Matching

Cost sharing or matching must meet the following requirements:

1. Verifiable from the non-Federal entity's records,
2. Not included as contributions for any other Federal award,
3. Necessary and reasonable for accomplishment of project objectives,
4. Allowable under the cost principles,
5. Not paid by the Federal government under another Federal award, except where the Federal statute authorizes use of funds for cost sharing or matching,
6. Provided for in the approved budget

The regulations contain additional information on the valuation of donated services, property, indirect costs, land, and equipment.

75.307 Program Income

Program income is defined as gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance.

Proceeds from the sale of real property or equipment are not program income; such proceeds will be handled in accordance with the post federal award requirements.

There are three methods for treatment of program income:

1. Deduction
2. Addition
3. Cost sharing or matching

The HHS Grants Policy Statement goes into further detail on the use of program income alternatives in Exhibit 7.

TABLE 15: USE OF PROGRAM INCOME ALTERNATIVES

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

If the Federal award does not specify in its regulations or terms and conditions of the Federal award, the program income will be deduction.

Note: ANA always uses the addition method for program income.

For Institutions of Higher Education or non-profit research institutions if not specified the program income will be addition.

If addition or cost sharing or matching methods are authorized, any program income in excess of any amounts specified must also be deducted from expenditures.

There are no Federal requirements governing the disposition of income earned after the end of the period of performance for the Federal award unless the Federal awarding agency regulations or the terms and conditions of the Federal award provide otherwise.

Participant Activity 8 ❖ Valuation and Classification of Non-Federal Expenses

List the documentation that would be used for each of the expenses or revenues and if it would be classified as non-federal share, leveraged resources, or program income.

Expense or Revenue	Documentation	Value	Nonfederal Share	Leveraged Resources	Program Income
Three project desks from local office supply store					
Department of Education $15,000 grant					
Volunteer time by the Project Director's sister 60 hours as an assistant					
Office space donated 1,000 sq. ft.					
Computer retails at $1,200 but the store gave the organization a 25% discount because they support the project so they only paid $900.					
100 hours of volunteer time from the local health clinic to do body measurements					
15 copies of the project curriculum sold to another community organization					

75.308 Revision of Budget and Program Plans

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

- Change in the scope or the objective of the project
- *Change in key personnel*
  - Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved project director or principal investigator
- *Costs requiring prior approval as defined in the cost principles*
- *Transfer of funds budgeted for participant support costs*. Participant support costs are defined as direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees in connection with conferences, or training projects
- *Transfer or contracting out of any work under the Federal award unless described in the application and funded in the approved Federal award.* This does not apply to acquisition of supplies, material, equipment or general support services
- *Changes in the amount of approved cost-sharing or matching*
- *A fixed amount sub-award as described in 75.353*
- The *recipient wishes to dispose of, replace, or encumber title to real property*, equipment, or intangible property that was acquired or improved with a Federal award
- *Federal awarding agencies may waive certain prior approvals*
- *Incurring costs 90 days prior to award*
- *Initiation of a one-time extension of the period of performance by up to 12 months*
- *Carry forward unobligated balances to subsequent periods of performance*
- The *HHS awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions and activities if the amount exceeds $150,000 or 10% of* the total budget amount (ACF uses 25% instead of 10% for the ceiling for transfers)
- *The need for additional funds*

75.309 Period of Performance.

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

75.310 Insurance.

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

75.316 Real Property.

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

75.319 Federally-owned and exempt property

75.320 Equipment.

Title will vest with the non-Federal entity.

- Equipment must be used by the non-Federal entity in the program or project for which it was acquired as long as needed.
- When no longer needed by project or program it can be used in the following ways:
  - Activities under Federal award from the Federal awarding agency which funded the original project,
  - Activities under Federal awards from other Federal awarding agencies
- The non-Federal entity must make the equipment available for use on other projects or programs provided that such use does not interfere with the work on the projects or program for which it was originally acquired
- Equipment cannot be used to provide services for a fee that is less than private companies charge for equivalent services
- When acquiring replacement equipment, the non-Federal entity may use the equipment to be replaced as a trade-in
- There must be written procedures for managing and maintenance equipment
- Property records must include the following:
  - Description of property
  - Serial number
  - Source of funding
  - Who holds title
  - Acquisition date
  - Acquisition cost
  - Percentage of Federal participation
  - Location
  - Use and condition
  - Ultimate disposition
- A control system must be developed to safeguard the equipment

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

75.321 Supplies

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

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

75.322 Intangible Property

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

Title to intangible property acquired under a Federal award vests upon acquisition in the non-Federal entity.

There are a number of conditions about use, please read the regulations if applicable.

PROCUREMENT STANDARDS

75.327 General Procurement Standards.

- Non-Federal entity must use its own documented procurement procedures
- Must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders
- Must maintain written standards of conduct covering conflicts of interest and governing the performance of its employees engaged in the selection, award and administration of contracts
- Must maintain written standards of conduct covering organizational conflicts of interest
- Procedures must avoid acquisition of unnecessary or duplicative items

- Non-Federal entity is encouraged to enter into state and local intergovernmental agreements or inter-entity agreements where applicable
- Encouraged to use Federal excess and surplus property
- Encouraged to use value engineering clauses in contracts for construction projects
- Must award contracts only to responsible contractors possessing the ability to perform successfully
- Must maintain records sufficient to detail the history of the procurement
- Can only use time and materials contracts if no other contract is suitable

75.326 Competition.

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

75.327 *Methods of Procurement* to be followed

- *Micro-Purchases*. Micro-purchase is the purchase of supplies which do not exceed $10,000 in the aggregate. They may be awarded without soliciting competitive quotations if the price is reasonable.
- *Small Purchase Procedures*. Small purchase procedures cannot exceed the Federal Simplified Acquisition Threshold. Price or rate quotations must be obtained from an adequate number of qualified sources. The Federal Simplified Acquisition Threshold is $250,000.
- *Sealed Bids*. The following conditions must exist for sealed bids to be feasible:
  - A complete, adequate, and realistic specification is available
  - Two or more responsible bidders are able to compete
  - The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price

  The following requirements apply:

  1. The invitation for bids (IFB) will be publicly advertised and solicited from an adequate number of suppliers
  2. The IFB will include any specifications and pertinent attachments
  3. All bids will be publicly opened
  4. A firm fixed price contract will be made in writing to the lowest responsive and responsible bidder
  5. Any or all bids may be rejected for documented reason
- *Competitive Proposals*. Competitive proposals are used when conditions are not appropriate for the use of sealed bids. The following conditions apply:
  - Must be publicized and identify all evaluation factors and their relative importance
  - Solicited from an adequate number of qualified sources

  - Must have a written method for conducting technical evaluations and selecting recipients
  - Awarded to the firm whose proposal is most advantageous to the program, with price and other factors considered
- *Non-Competitive Proposals*. Solicitation through only one source. May be used only when the following circumstances apply:
  - Item is available only from a single source
  - Public exigency or emergency will not permit a delay
  - Authorized by the funder
  - After solicitation of a number of sources, competition is determined inadequate

Participant Activity 9 Methods of Procurement

Give an example of something you purchase for each of the five methods of procurement:

Method of Procurement	Example
Micro Purchase:	
Small Purchase:	
Sealed Bid:	
Competitive Proposal:	
Non-Competitive Proposal:	

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

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

75.331 Procurement of Recovered Materials

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

75.332 Contract Cost and Price

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

75.333 Federal Awarding Agency or Pass-Through Entity Review

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

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

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

75.334 Bonding

75.341 Financial Reporting

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

75.342 Monitoring and Reporting Program Performance

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

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

75.363 Reporting on Real Property

75.352 Requirements for Pass-Through Entities

75.353 Fixed Amount Sub awards

75.361 Retention Requirements for Records

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

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

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

75.363 Methods for Collection, Transmission and Storage of Information

There are a number of requirements for records collection, transmission, and storage. Also refer to Access to Records in 75.364

75.371 Remedies for Noncompliance

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

75.339 Termination

75.343 Closeout

45 CFR Part 75 – Subpart E – Cost Principles

75.401 Application

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

75.402 Composition of Costs

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

75.403 Factors Affecting Allowability of Costs

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

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

Participant Activity 10 Factors Affecting Allowability of Cost

List the seven factors that affect the allowability of costs.
1.
2.
3.
4.
5.
6.
7.

OMB Cost Principles: Selected Items of Cost

The next two pages display 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 if you have questions about specific costs.

Table 16 - Selected Items of Cost

	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 (with restrictions)		
Bad Debts			X
Bonding Costs	X		
Collections of Improper Payments	X		
Commencement and Convocation Costs			X (with 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		
Entertainment Costs			X
Equipment and Other Capital Expenditures		X	
Exchange Rates		X	
Fines, Penalties, Damages and Other Settlements some exceptions			X

	Allowable	Prior Approval Required	Not Allowable
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		
Materials and Supplies Costs, including costs of Computing Devices	X		
Organization Costs		X	
Proposal Costs	X		
Publication and Printing Costs	X		
Rearrangement and Reconversion Costs read the regulations		X	
Recruiting Costs	X		
Relocation Costs of Employees	X - based on specific criteria		

	Allowable	Prior Approval Required	Not Allowable
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		

75.512 Report Submission

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

Appendix I: Full Text of Notice of Funding Opportunity

Appendix II: Required Contract Provisions

Appendix III: Indirect Cost Institutions of Higher Education

Appendix IV: Indirect Cost Nonprofit Organizations

Appendix V: Government Entities Cost Allocation Plans

Appendix VI: Public Assistance Cost Allocation Plans

Appendix VII: Indirect Cost for Government Entities

Appendix VIII: Nonprofit Organizations exempted from Cost Principles

Appendix IX: Hospital Cost Principles

Appendix X: Data Collection Form

Appendix XI: Compliance Supplement

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

Table of Required Forms and Documents

Amendment Type/Required Documents[1]	SF 424	SF 424A	SF 424B	SF 425	Cover Letter[2]	Project Narrative	Budget (Line item and Narrative)	OWP	Resume	Additional Info
Budget Revision	√	√			√	√	√			
Change in IDC Rate	√	√	√	√	√	√	√			New IDC agreement
Carry Over Budget (COB)	√	√			√	√	√	√		Update OWP timeline
Change in Address	√				√					
Change in PI/PD	√				√				√	Completed online PI/PD change form and GrantSolutions New User form are also required
Change in Grantee Authorizing Official Representative	√				√					Tribal Council Resolution or minutes. Completed GrantSolutions New User form are also required
Change in Scope	√	√		√	√	√	❖	√		
Name Change	√				√					
No Cost Extension (NCE)[3]	√	❖ Should reflect total year funding	❖ Should reflect most recent quarter		√	√	❖	√		Update OWP timeline
Non-competing Continuation (NCC)[4]	√	√	√		√	√	√	√		

[1] The grants management specialist may require other documents not listed on this chart.
[2] The cover letter should be description of what is being requested and must be signed by the AOR.
[3] You must contact your programs specialist to initiate a No Cost Extension and supplements.
[4] Non-competing Continuations are not initiated GrantSolutions under "Manage Amendments". Continuing grantees are informed by ANA when the NCC application is posted in GrantSolutions.
❖ You only need to include these documents if there is a change in the budget.

Continuations

Approved multi-year grantees must submit a continuation application to ANA for the next year's funding through the GrantSolutions.gov system. The following documents are required for a continuation:

1. Line item budget for Federal and Non-Federal Share (itemized by approved budget category)
2. Budget justification narrative
3. SF424, SF424A (signed by Authorized Official) and SF424B
4. The following Certificates and Assurances signed by the Authorizing Official
5. Certification Regarding Maintenance of Effort
6. Certification Regarding Debarment, Suspension and Other Responsibility Matters
7. Certification Regarding Lobbying (for awards over $100,000.00)
8. Certification Regarding Environmental Tobacco Smoke (no signature required)
9. Current Indirect Cost Rate Agreement (this should only be submitted if requesting indirect costs)
10. Program narrative covering project accomplishments to date, including the criteria used to measure and validate accomplishments, and any changes grantee is requesting be made to the continuation period

Note: Revisions to line items are allowed during continuations as long as a budget justification narrative for the new line items is submitted.

Note: Continuation applications may contain requests for budget revisions or OWP revisions for the continuation year. Any revisions for continuation periods should be discussed with the program specialist prior to submitting the continuation application. Revisions and reasons for revisions should be identified in the program narrative.

Supporting documentation for the requested revision should be included in the application.

ANA understands that grantees may need to modify their budget or other aspects of the approved grant in order to accomplish the project OWP. There are some cases where written prior approval from ACF/ANA is required before the grantee can implement the modification. The instances where prior approval is required are referred to as grant amendments. Grant amendments may include budget modifications, a change in key personnel, a no cost extension, and a carry over budget. The HHS Grants Policy Statement, Exhibit 5 provides a summary of actions that require prior approval from ACF/ANA (ACF/ANA is the OPDIV). For more information, the HHS Grants Policy Statement is available at: http://www.acf.hhs.gov/grants- forms.

> Note: The GPS is under revision due to changes in the regulations. The regulations will always take precedence over the GPS.

Table 17: Summary of Actions Requiring OPDIV Prior Approval

OPDIV prior approval Is required for the following circumstances:	
Alterations and Renovations (A&R)	Re-budgeting into A&R costs in a single budget period that would exceed the lesser of $250,000 (or amount specified by the OPDIV in Part IV of the HHS GPS) or 25 percent of the total approved budget (direct and indirect costs) for a budget period (also see “Allowable Costs and Activities”). Any single A&R project exceeding $250,000 (or amount specified by the OPDIV in Part IV of the HHS GPS). Aggregate costs that would exceed the lesser of $250,000 (or amount specified by the OPDIV in Part IV of the HHS GPS (or 25 percent of the total costs reasonably expected to be awarded by the awarding office for a project period (or competitive segment under programs that entertain competing continuation applications).
Carryover of unobligated balances	If not provided as an expanded authority. Also see “Carryover of Unobligated Balances” below for potential OPDIV actions if provided as an expanded authority.
Change of grantee organization	All instances. Recipients must notify the awarding office of other changes in organizational status. See “Change of Grantee Organization” below.
Change in scope	All instances. See “Change in Scope” below for a discussion of the post-award changes that may indicate a change in scope: transfer of substantive programmatic work to a third party; significant re- budgeting; incurrence of research patient care costs; purchase of a unit of general- or special-purpose equipment exceeding $25,000.
Changes in status of PI, PD, or other key personnel named in the NoA	For PIs/PDs, replacement; absence for any continuous period of 3 months or more; reduction of time devoted to project by 25 percent or more from level in approved application. For other key personnel, substitution for named personnel. See “Change in Status, including Absence, of PI/PD and Other Key Personnel” below.
Construction, land, or building acquisition	All instances when purchase proposed; any proposal to convey, transfer, assign, mortgage, lease, or in any other manner encumber real property acquired with OPDIV grant funds.

OPDIV prior approval Is required for the following circumstances:	
Cost principles prior-approval requirements	All instances unless provided as an expanded authority (not available for construction, land, or building acquisition or indemnification of third parties).
Deviation from award terms and conditions	All instances. Includes undertaking any activities disapproved or restricted as a condition of the award.
Foreign component added to a grant to a domestic organization	All instances.
Indemnification of third parties	All instances.
Need for additional OPDIV funding	All instances whether or not additional time is needed, including extension of a final budget period of a project period with additional funds. See "Need for Additional OPDIV Funding" below.
No-cost extension	All instances unless authority to approve a one-time extension of up to 12 months without a change in scope is provided as an expanded authority. See "Need for Additional Time to Complete Project- or Program-Related Activities ('No-Cost Extension')" below.
Pre-award costs	All instances before the effective date of the initial budget period of a new or competing continuation award unless the authority to approve pre-award costs up to (and including) 90 days before the beginning date is provided as an expanded authority. In either case, the costs are incurred at the applicant's/recipient's own risk.
Research patient care costs	For States, local governments, and tribal governments, all instances. For institutions of higher education, non-profit organizations, and commercial organizations, any instance in which such costs were not part of the approved budget shown in the NoA or a recipient wants to re-budget out of the approved research patient care category.

OPDIV prior approval Is required for the following circumstances:	
Retention of research grant funds when career award made	All instances.
Transfer of amounts for training allowances (stipends, tuition, and fees) to other budget categories	All instances unless provided as an expanded authority to States, local governments, or tribal governments. (The training allowance does not include trainee travel, which HHS does not consider to be a trainee cost, and other training-related expenses.)
Transfer of funds between construction and non-construction work	All instances.
Transfer of substantive programmatic work	All instances if the recipient is a governmental entity or, for recipients subject to 45 CFR part 74, the grant is a construction grant; otherwise considered an indicator of change in scope. See "Transfer of Substantive Programmatic Work" below.

Prior to submitting any grant amendment, or for questions on a change in scope or supplement, grantees should speak with their ANA program specialist. For additional reference, guidance on when and how to submit a formal request for budget modifications, carry over budgets and no cost extensions is below.

Budget Modifications

In general, grantees are allowed a certain degree of latitude to re-budget within and between budget categories (25% of the budget total) to meet unanticipated needs and to make other types of post-award changes. These budget modifications are allowed provided they are for activities detailed in the approved OWP for that budget period and do not meet one or more of the below prior approval requirements.

Note: To avoid disallowed expenditures and/or audit exceptions please email your OGM and ANA specialists to make sure prior approval is not needed for the internal budget revision you want to do. Tell them what funding is being moved, where it is being moved to and why this is necessary.

The 45 CFR Part 308 states that written approval is required from ACF/ANA prior to grantees implementing a budget modification that does one or more of the following:

- Transfer of funds budgeted for participant support costs. Participant support costs are defined as direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees in connection with conferences, or training projects.
- Transfer or contracting out of any work under the Federal award unless described in the application and funded in the approved Federal award. This does not apply to acquisition of supplies, material, equipment or general support services.
- Changes in the amount of approved cost-sharing or matching.
- A fixed amount sub-award as described in 75.353.
- The HHS awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions and activities if the amount exceeds $150,000 or 10% of the total budget amount.
- Changes the scope of the project. For ANA's purposes, a change in scope may result from a significant alteration of the approved project activities, change in the direction of the project, the type of services delivered, the number of beneficiaries to be served, or training provided.
- Adds new line items that fall under the prior approval cost principals according to 45 CFR Part 75.
- Results in a need for additional federal funding.
- Moves funds from direct costs to indirect costs and vice versa.

Please ensure your ANA program specialist has a copy of your current working budget. For further guidance and information, please contact your OGM grant specialist and ANA program specialist.

For requests requiring written prior approval, grantees must submit:

1. A letter written on letterhead and signed by the authorizing representative. The letter should request the budget revision and explain the reasons for the change.
2. A revised 424 and 424A with the new budget category amounts.
3. A revised line item budget showing the approved budget, what is requested to be revised, and the new amounts.
4. A new line item budget narrative that inserts the revised amounts and justifications into the approved budget narrative.
5. Any additional information the grantee believes is relevant to the request (e.g., price quotations).
6. Current indirect cost rate agreement if the budget is changed due to an increase or decrease in indirect costs.

Submit your request in GrantSolutions. Refer to the GrantSolutions Grantee Manual for detailed instructions.

Note: Modifications to the non-federal share budget should be sent to OGM and the ANA program specialist and requires a new line item budget and budget narrative for non-federal share only. Revisions to the non-federal share do not require prior approval provided the revisions abide by the OMB cost principles.

Carry Over Budget

Grantees with multi-year grants may request a carry over budget (COB) from one year to the next **if the funds are for project activities that were not accomplished** during the previous budget period. Prior to submitting a request, the grantee must ensure that the amount requested for the COB is still in their payment management account and that they are current in their financial and programmatic reporting. If unsure, they should contact their OGM grants management specialist.

To submit a carry over budget, grantees should provide the following to their ANA program specialist and OGM grants management specialist through GrantSolutions:

1. A letter signed by the authorizing official requesting the COB. Ensure the amount of the request is clearly identified in the official request letter and that it includes the following:
    a. A detailed description of approved grant activities from the prior budget period that were not completed.
    b. An explanation of why established activities were not completed.
    c. A plan for completing these activities in the current budget period including a timeline for their completion.
2. A detailed budget with the amount and title of each line item that has unobligated funds.
3. A budget narrative that explains how the grantee proposes to use these funds in the current budget period.

Note: Unobligated balances of funds cannot be carried forward into the next budget period to perform new objectives or activities.

4. SF-424 stating only the COB request amount and proportionate 20% applicant match (non-federal share). The 20% NFS should be included on the 424 even if it was met in the previous budget period.

> **Note**: If the NFS was met during the previous budget period, the budget narrative should state that the NFS was met in the previous budget period with reference to the
>
> 425. This statement can also be included in the request letter. Upon receiving the NGA, the grantee should ensure that the NGA also includes a statement that the NFS has been met.SF-424A which breaks down the COB. The 424A should include the actual amount of any NFS dollars that are being carried over.

An updated SF-425 long form that shows the unobligated balance is equal to the amount that is being requested. Example: submit the last quarter SF-425 (4th quarter).

> **Note**: The COB will not be processed if the SF-425 amounts do not align with the reports from PMS.

A revised OWP that includes incomplete activities from the previous budget period with new timeframes for completion of those activities and benchmarks.

Submit your request in GrantSolutions. Refer to the GrantSolutions Grantee Manual for detailed instructions.

No Cost Extension

ANA awards funding to a grantee with the intention that all objectives will be completed within the approved time frame; therefore, requests for a no cost extension (NCE) must be strongly justified by the grantee in order to be approved. If grantees are behind on project activities and spending, ANA can provide technical assistance during the project period that can help grantees overcome project challenges that are causing the delays. In exceptional cases, ANA can approve a NCE to allow grantees extra time to successfully complete the project objectives.

Prior to submitting a request for a NCE, grantees must speak with their ANA program specialist. A NCE request based solely on there being unobligated balances remaining at the end of the project period will not be approved. If the NCE is justified and allowable, the grantee should submit the request 45 days in advance.

The grantee should provide the following:

1. SF-424
2. SF-424A if you are requesting a change in your budget
3. A letter signed by the authorizing official requesting the NCE at no cost to ANA and identifying the length of the NCE and the new project period end date.
    a. The request letter should address the following questions:
        i. Why is the extension needed?
        ii. What objectives were not completed?
        iii. How do they plan to complete the incomplete activities?

iv. Will they be using un-obligated funds from the budget period in the NCE period? If so, how much?

An OWP which reflects the activities to be accomplished during the NCE. The OWP should include an additional column with the heading status. The status column should state either that the activity is completed or state the percentage of the activity that is completed and the expected completion date (assuming the NCE is approved). This must be done for the entire project period.

A budget and budget justification if you are requesting a change in your budget

Submit your request in GrantSolutions. Refer to the GrantSolutions Grantee Manual for detailed instructions.

Change in Key Personnel

If any of the key staff identified in the Notice of Award changes during the course of the project period, then grantees must notify their ANA program specialist. A change in key staff, such as the project director, will require a grant action. Written prior approval must be secured from ANA if key personnel will be absent for more than 25% of the project implementation period or more than three months.

The grantee should provide the following through GrantSolutions to request the change:

1. SF-424 signed by the Authorizing Official.
2. The request for approval must be on letterhead and signed by the Authorized Official. If the authorizing official has changed from what is noted on the NGA, the grantee should submit a resolution or some official documentation showing the change.
3. A resume of the new project director must be included.

Submit your request in GrantSolutions. Refer to the GrantSolutions Grantee Manual for detailed instructions.

> **Note:** If you need to change your Authorized Official for your organization you will need to include a governing body resolution in addition to a request letter and SF-424.

Section 7: Preparing for the Impact Visit

The purpose of the visit is to assess the impact of ANA funding, increase ANA knowledge about successes and challenges of ANA projects, and to share stories of ANA projects with fellow native communities, Congress and the American public. The impact visit serves as an opportunity for the grantee to explain how the project resulted in measurable reduction to, or elimination of, the problems and needs described in the original application. Prior to the impact visit, an ANA impact evaluator will contact the grantee. The visits generally occur between the last three months of a project to the three months after completion of the project.

Impact Visit Outline

The following outline will assist in your preparation for the upcoming ANA impact visit. Goals of the Impact Visit:

1. To assess the impact of ANA funding on Native American communities.
2. To learn more about the successes and challenges of ANA grantees to improve ANA service delivery.
3. To increase transparency and share the grantees' unique stories.

The visit is conducted by an ANA staff member. We will ask questions from a survey; most questions can be answered by the project manager. In addition to meeting with project staff, we want to see as much of the project as possible. This can include group meetings with participants, site visits, participating in classes, events, etc.

This document is a brief outline of a more extensive survey instrument, as well as information from the Objective Progress Report and the Annual Data Report, we use during the visit. We provide this outline in hopes that having this information ready prior to the visit will allow us more time to meet and speak with participants, staff, and the community. The survey is broken down into the following sections:

Objective Work Plan

We will discuss your OWP and your progress and accomplishments towards project objectives. We recommend that you be prepared to:

- Provide information on the extent to which you achieved project objectives.
- Share best practices.

Results (Outputs) and Benefits (Outcomes)

We will gather information on the results and benefits of project activities. We recommend that you be prepared to:

Discuss the extent to which your project addressed the original problem statement as given in your application.

- Provide information on volunteer contributions, including how many volunteers contributed to the project and the total number of hours they contributed.
- Provide information on trainings.
- The number of (unduplicated) elders and youth (ages 17-21) involved in project implementation.
- The number of children (ages 0-16) and families (at least 2 people) involved in project implementation
- The number of individuals that attended project events or activities throughout the project.
- The total number of unduplicated ongoing participants in the project, by year.
- Discuss your project specific indicator(s), the extent to which you were able to meet your end of project target, and what change you predict three years from now.
- Discuss who benefited from the project (including how many individuals directly benefited), and what impact the project had on each beneficiary you identified. We encourage you to invite project beneficiaries to the impact visit.

Project Development

We will ask about the application development process. We recommend you be prepared to discuss:

- How the project was developed?
- We also wish to learn about project marketing and outreach strategies.

Project Challenges

We will gather information on the challenges encountered during project planning and implementation.

Project Benefits

We will ask you to reflect on what steps you have taken to ensure your project continues after ANA funding ends, and share what your next steps will be to continue project services.

- Discuss, if applicable, business(es) created through the project; project activities that generated income and the amount generated; and any codes, ordinances, or regulations developed through the project.

Partnerships

Provide the number of partnerships; including how many partners were new and how many existed prior to the project.

Program-Area Specific Questions

ANA has developed specific questions for some of the program areas, to better understand the patterns and trends prevalent in each. Some questions you may want to prepare for ahead of time include, as applicable:

Environmental Regulatory Enhancement Projects

- What is the main focus of the project?
- Use of other federal funding?
- Did the project result in increased capacity for the Tribe to manage its physical resources and/or the environmental quality on tribal lands?

Native Language Projects

- How many surveys were developed, and how many were distributed and returned?
- How many language classes were held per year, at what level, and for how many hours?
- How many students participated in each level?
- Provide information on the current status of the language.
- How many youth (0-18 years) and adults (19+ years) increased their ability to speak the native language as a result of the project?
- How many youth (0-18 years) and adults (19+ years) have achieved fluency as a result of the project?
- Sustainable Employment and Economic Development Strategies
- Provide information on the financial behavior of participants.
- Provide information on number of participants are employed.
- Provide information on business creation, expansion or increased revenue.

Participant Activity 11 Preparing for an Impact Evaluation

List the standardized areas that apply to your ANA project and the appropriate documents and records that you will have available for the impact evaluation team.

I.D.	Standardized Areas
1	
2	
3	
4	
5	
6	
7	

Activity continues on the next page

Activity 11 continued

Describe the systems that you have developed to collect data to demonstrate project impact.

I.D.	System Description
1	
2	
3	

Conclusion

Congratulations on your ANA grant. We hope the information in this manual is helpful in the management and reporting of your ANA project. ANA has a variety of resources available to help you during the course of your project.

ANA believes community members are at the heart of lasting and positive change and community involvement is central to designing and implementing a successful project. The ANA website includes success stories, a growing resource library, and guides for new grantees.

Please review the ANA website at http://www.acf.hhs.gov/ana.

ANA also has regional training and technical assistance centers. These centers are staffed by training and technical assistance (TTA) providers with extensive experience managing and implementing community development projects. Contact information for the centers is on the ANA website.

WE ARE ONE

ANA REGIONAL T/TA CENTERS

Good luck on your new project and let your program specialist or t/ta provider know if you have any questions.

Appendix 1: Successful Project Strategies

ANA seeks to fund community development projects that reflect the cultural values, collective vision, and long-range development goals of native communities. ANA supports this approach because community involvement in both the planning and implementation phases is a key factor in achieving project success. In addition to strong community involvement in the planning and implementation of a project, successful projects share many common characteristics. During impact visits, grantees are provided an opportunity to share with ANA the best practices learned during the implementation of their project. No categories or lists are provided by ANA, rather grantees simply give open comments on what useful information and effective techniques were utilized that may be of use to other grantees implementing similar types of projects.

The seven most frequent best practice suggestions from 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 the impact visits, grantees are asked to list and discuss the challenges encountered during implementation. The eleven most common challenges reported by the grantees are:

- Staff turnover;
- Late start;
- Overambitious project scope;
- Geographic isolation and travel related issues;
- Lack of expertise;
- Challenges with ANA processes;
- Underestimated project cost;
- Underestimated personnel needs;
- Partnership fell through;
- Lack of community support during implementation; and
- Hiring delays.

To expand the best practices and challenges noted above, quotes from ANA grantees regarding their best practices and challenges are below, broken down by project stage and then by program area. The following information is not necessarily the views of ANA, but grantee- provided information.

Grantee's Best Practices by Project Stage

Project Design and Development

Proposal Writing

- Write your own grant with assistance from people who know your community well.
- When writing the grant, include the financial people as well!
- Have a clear idea of what you want to accomplish.

Proposal Planning

- Rely on the community for not only getting the project ideas, but developing the project idea - they're the best source for understanding what you want to get done and will lead to long-term sustainability of your project.
- Work with the community to identify the project need - then you won't have to deal with lack of volunteer commitment or community involvement during implementation.
- Conduct extensive and detailed planning/research in the development of your project.
- Ensure that there is a need for the project in the community.
- Ensure that there are committed individuals in community to assist you in project implementation.
- Find the right partners by doing research before your project begins.
- Involve stakeholders in the project design.
- Focus your project on a specific target population.
- Understand the skill sets of your current staff.
- Incorporate participant assets into the project design.
- Have a clear and realistic understanding of your budget and cost estimates prior to submitting the application.
- Request enough funds to successfully accomplish your project. If you are awarded less, work with ANA staff to reduce the number of project activities and objectives to fit the new budget.
- Project must be designed to be flexible and adaptable to partner needs.
- Ensure there is community involvement in your grant and follow their lead. Let them guide your project, which will mean that it is in line with what the community wants and needs.
- Make sure adequate hardware and software to implement the project proposal is available.

- If utilizing curriculum in your project, plan to use a culturally relevant curriculum and teaching method that respects and understands the differences in Indian communities.
- Identify potential staff prior to submitting your application.
- Conduct research prior to proposal submission to ensure all contingencies are covered and all project components are in place.

Proposal Scope

- Take care to create an OWP with realistic and achievable goals.
- Keep your objectives manageable and focused.
- Don't overestimate what you can achieve to look good in the application.
- Don't pack too much into one year.

Project Management

Partners

- Use resources from other tribes.
- Build partnerships early and learn the key players. Know who to invite to the process.
- Partner and collaborate with programs of a similar mission to learn best practices.
- Be willing to share your deliverables.
- Find resources that are already established and tap into them as much as possible.
- Manage partner relationships well and with care: you should recognize partners with letters and cards. You should go to lunch with them and visit them. Talk to them when you don't even want anything from them!

Staffing

- Work with/Hire a dedicated and motivated staff that will not waver in their commitment to the project goal.
- Find a project director that is dedicated to the administrative side of project implementation (i.e. time cards, scheduling, logistics, meetings, etc.) rather than only being focused on the programmatic side.
- In order to deal with staff turnover, make sure that all staff provides materials and training for transition so that if someone leaves, the new person will be prepared.
- Ensure stable staffing pattern by hiring qualified, passionate and culturally knowledgeable personnel.
- To ensure project activities are accomplished, write them into the responsible staff person's annual performance plan.

Community Support/Involvement

- Ensure you have community support, especially if you are a small tribe.
- Ensure you have face time with people, not just emails and phone calls.

- Create an atmosphere of communication and collaboration by including the community in the implementation process.
- Pursue outreach activities, such as informational community meetings.
- Conduct a preliminary survey in the community where you will implement the project to ensure there is not opposition.
- Market your project at social events like powwows.
- Provide incentives for project involvement and participation: gift certificates, hotel nights, free daycare for project events, etc.
- Maintain humility in conversations with community members and continue to strive to serve the community rather than impose ideas upon the community.

Administrative

- Review the OWP as much as possible during the project.
- The best idea is to follow the goals and objectives of the project and work hard to accomplish the OWP.
- Have a caring attitude toward your grant; be committed to the project.
- Realize that everything is a step-by-step process.
- Find ways of overcoming any obstacles. They will happen, so expect them.
- Make sure infrastructure is in place before undertaking your project.
- Take tribal elections into account and do not plan a project during an election year.
- Use tools for strategic planning that is accessible and understandable to staff, such as Gantt
- Manage volunteers as if they were paid staff (i.e. be organized with their schedules and planning their daily activities – make sure everyone stays busy). Be respectful of volunteers' time.
- Be flexible and adaptable as an agency; be able to reinvent yourself quickly.
- Work with your funding source (i.e. ANA) in a proactive manner.
- Record keeping and project documentation are very important.
- Be proactive in your project's evaluation.
- Form a spirit of cooperation. Don't hoard project work. Share and be inclusive. Sharing is a sign of strength.
- Be sustained by the nobility of the purpose.
- Treat elders as experts, and allow them their say to set the path for project implementation.
- Trainings should be adapted to suit native people's needs and should be culturally relevant.
- Be open to criticism to make your project better.
- Know your community and how it works.
- Focus on one thing, don't spread yourself too thin.
- Outreach through the media.

- Have a project staff communication plan in place and follow it.
- Record the progress and achievements of your project in a well-designed monograph. It will help you to educate others about your work and will serve as a marketing tool for future efforts.
- Develop an interactive website to share ideas.

Financial Management

- Track all financial activities and keep financial documents (i.e. leveraged resources and NFS) well-organized.
- Be as clear as possible at the outset of the project regarding the definitions of supplies and equipment.
- Keep track of your Non-Federal Share (NFS) on a monthly basis.
- When directly related to project activities, food is an allowable cost. Use it! (Note to grantees: Be sure to read HHS policy on when food is an allowable cost. Food costs are subject to a series of conditions.)
- Compact all contracting and subcontracting into one general contract, then let the contractor handle the details for each of the subcontracting jobs. This should save time and headaches.

Marketing Best Practices

During impact visits in 2008, ANA's Department of Policy, Planning, and Evaluation (DPPE) began gathering information on each grantee's three best marketing practices, ranked in order. DPPE looked at the type of marketing strategy used by each grantee and compared them to whether the grantee reported challenges with community support during implementation.

The top three marketing strategies for all projects that received impact visits are essentially the same:

- newspapers
- flier/brochures
- word of mouth

Grantee's Best Practices by ANA Program Area

Social and Economic Development Strategies (SEDS)

Social Development

Cultural Preservation

- Promote and celebrate the elders to make them proud. Be sure to thank and recognize everyone who participated.
- Develop a monthly newsletter to notify the public regarding the project.

Economic Development

Business Development

- Be wary of working with multiple communities.
- Know your project well.
- Ensure good customer service.
- Be a person; don't be focused on the money.
- Have a long-term vision.
- Work with people who have real life business experience (i.e. they have owned their own business); they will already know many important business lessons that you can avoid learning the hard way.
- Network within the industry you're working in (i.e. fishing, technology).
- Work on the entrepreneurial level with partners, rather than government to government.
- Giving one-on-one technical assistance is more effective than technical assistance in a classroom setting.
- Hire someone with expertise in the business development field. Collaborate with partner who has done a similar project and base your project off of that.
- Design the project to keep the local money in the area and reach out to expertise available on the local reservation. Switch from debt financing to investment financing.
- Understand all the contracts and conditions.
- Develop an Advisory Council to keep partners and contractors on task.

General Small Business Recommendations

- Most businesses are seasonal and must diversify to stay afloat.
- Businesses need up-to-date marketing information to stay competitive.
- Tourism activities must be market-driven and carefully priced.
- For marketing: rely on strong social ties and word of mouth.
- There is a general need for small businessperson hospitality training.
- Partnerships with off-reservation businesses help expand marketing opportunities, potentially increasing income for reservation-based small-business owners.
- Don't duplicate services already available. Partner with them and fill a noticeable gap in services.

Agricultural Recommendations

- Don't spend too much money buying ready-made greenhouses. You can make a greenhouse cheaply with PVC piping and tarps.
- Staffing: select staff that already knows commerce, is familiar with the key lending institutions, knows Small Business Administration (SBA) groups; knows the banks and private foundations and has social and tribal connections.

If Your Organization Provides Trainings:

- Track the trainings you give efficiently enough to put the data into a useful database later.
- It is important for Native Americans to teach culturally-focused business curriculum.

Projects to set up real estate agency

- Make sure you have a real estate broker before implementing the project.
- Start financial literacy early with the youth. They will keep the lessons with them and learn to become self-sufficient.
- Keep it simple. Don't get elaborate.
- Focus on one thing, don't spread yourself too thin.

Organizational Capacity Building

- Collaboration between different organizations reduces competition for future grant money as all can submit one proposal.
- Charge fees to avoid training "no-shows". Charging a nominal fee to register for trainings will encourage participant attendance.
- Use native trainers whenever possible.
- Use local consultants for local work.
- Build the capacity of your project partners throughout your project.
- Boys and Girls Club of America has a guide with steps to follow for success.
- Find resources that are already established and tap into them as much as possible.
- Share your experiences and documentation to ensure an ongoing partnership.
- Develop an interactive website to share ideas.
- Develop an internship program or find existing organizations to work with underserved communities.
- Enhance transparency to ensure credibility.
- Use elders as a resource for teaching, and never compromise their trust.
- Electronic database systems (and IT in general) are underused by tribes: planning and developing a good system to warehouse project data is important.
- Visit with other tribes to learn their best practices.

Community Strategic Planning

- Make sure you have a good rapport with your tribal business committee throughout the life of the project.
- The Army Corps of Engineers is a good source for design and engineering assistance.
- Train community members to be your experts so you don't have to rely on (and pay) outside consultants once the project ends.
- Create an atmosphere of communication and collaboration by including the community in the implementation process.

- Maintain humility in conversations with community members and continue to strive to serve the community rather than impose ideas upon the community.

Job Training

- Job training sessions should focus on serving all types of customers, but the training delivery should be culturally appropriate for native people.
- Always track the project's progress.
- Celebrate successes!
- Develop partnerships with fellow service providers.
- Be willing to partner with non-native agencies in order to broaden scope of support services.
- Market your program by going to community meetings.
- Don't forget to emphasize "soft skills."

Emergency Response Activities

- Hire qualified staff.
- Form necessary partnerships prior to proposal submission.
- Attend ANA post-award training.
- Conduct research prior to proposal submission to ensure all contingencies are covered and all project components are in place.

Governance

Tribal Courts

- Ensure tribal support and stable leadership.
- Identify and collaborate with key partners in similar service area. Follow-up on the collaboration by positioning your entity as a critical player within your service area. Capitalize upon the services, knowledge and skills that your staff possesses and no other entity does.
- Develop your own capacity to eliminate the need to rely on others for assistance.

Codes and Ordinances

- Don't reinvent the wheel.
- Be creative to make legal issues more entertaining / accessible for participants. Use cartoons, stories, jokes, etc.
- Don't send out too much written material at a time to your committee members (they won't read it). Send out summaries instead, so they can focus on the main points of your upcoming meetings.
- If you are a lawyer or legal expert, be honest with code committee members when you don't know something – don't pretend you know everything.

- Have people with a clear understanding of tribal history and traditions take the lead on the project.
- Market your project to increase participation.
- Procure community feedback on project progress and respond to it.
- Determine staff responsibilities and develop an organizational chart.
- Educate your staff and involve them in grant proposal writing.
- Delegate responsibilities and get volunteers involved.

Youth Development

- Use structures from other programs, such as the Boys and Girls Clubs; don't reinvent the wheel.
- Design school programs to be flexible and adaptable.
- Ensure there is community involvement in your grant and follow their lead. Let them guide your project, which will mean that it is in line with what the community wants and needs.
- Encourage collaboration between tribal departments.
- Make use of strong adult advisors.
- Get refreshments, through donations, if possible.
- Record the process and achievements of your project in a well-designed monograph. It will help you to educate others about your work and will serve as a marketing tool for future efforts.
- Ensure that there is a place in the community for youth to meet.
- Maintain consistent communication with parents to keep them involved with their children. Form a bond of trust with the families of those involved in the program. Keep them involved and cognizant of program activities.

Education Development

- Know your community and how it works.
- Give credit where credit is due.
- Conduct outreach through the media.
- Provide computer access and learning skills on a full-time basis.
- Work with partners.
- The living classroom is a great idea and should be found everywhere.
- Rely on the community for not only getting the project ideas, but developing the project idea - they're the best source for understanding what you want to get done and will lead to long-term sustainability. Work together to identify the need - then you won't have to deal with lack of volunteer commitment or community involvement.
- Work with community partners to strengthen the student support network and broaden the impact.

Information Management

- Thoroughly understand your business and technological requirements prior to submitting an application.
- Understand your staff's technical skill sets.
- Hire a good technical project manager, rather than a manager with limited technical knowledge.
- You can get your tribal council to agree to IT projects if you use layman's terms, and explain pros and cons, and future benefits.

Tribal Government Program Enhancement

- Trainings should be adapted to suit native people's needs and should be culturally relevant.
- Include the financial staff in project planning.

Family Preservation

Strengthening Family Relationship Skills

- Don't create programs that isolate family members from one another. Design your activities to keep families together.
- Create programs around parents' time schedules. This reduces logistical challenges (i.e. parents finding baby-sitters when they have to attend an activity) and engenders positive family relationships.
- Don't "bribe" parents by giving them gifts to ensure their involvement. That is a short- term solution and is not sustainable for the program.

Organizations That Work with Domestic Violence Issues

- Enforce an abstinence policy (drug and alcohol use) with staff to engender trust from the community.
- Confidentiality is paramount.
- Use native culture and language in treatments because it helps clients reclaim their identity.
- Collaborate with other area service providers that complement the services you provide.
- Demonstrate how your portfolio of services fills a need in the community and shore up support from partners.
- Seek out personnel who have a passion for service work and have a history of devotion and experience in their field.
- The project trainings were included in the tribal incentives program for the first two project years, which formed a guaranteed audience.
- Train staff in case management skills.
- Provide cultural training for non-native staff.

- Leverage any available resources in your area to complement the pool of available family services.
- Provide incentives to project participants.
- Evaluate workshops and make adjustments based on the feedback.
- Utilize videoconferencing and Skype to overcome distances and to stay connected.
- Be sure to put aside some time to allow for trust to be built with the target communities.
- Offering childcare for participants really helped - otherwise they wouldn't have been able to attend classes.
- Manage partner relationships well and with care: you should recognize partners with letters and cards. You should go to lunch with them, visit them. Talk to them when you don't even want anything from them!
- Be inclusive - include all ages in the workshops.
- Hire qualified, passionate staff.
- Incorporate traditional native practices into the program. Native youth and couples respond well to a program geared specifically towards them.

Family Violence Prevention

- Incorporate cultural traditions into a treatment program.
- Concentrate on increasing the health of a community. Don’t be discouraged by a lack of immediate results. These types of programs are a long-term solution.

Foster Parenting

- Have procedures in a manual to improve quality and continuity of your foster parent training program.
- Must have a strong parenting behavioral program that is culturally appropriate.
- Have good incentives for foster parents (general level of remuneration and small money gifts).
- Hold trainings at casinos because they are nice places for foster parents to meet.
- Use evidence-based training programs (those with research supporting them) and tailor them to meet your cultural concepts.
- Have strict requirements for foster parent qualifications.
- Parenting program needs to focus on skill development – hands on (practices and roll playing): focus on doing rather than studying.
- Curriculum Development.
- Bring traditional teachings into modern life.

Language

Assessment

Data Collection

- Dialogue with the community is imperative.
- Use food and personal invitations to bring people to meetings.
- Utilize a community hiring process. Conduct meetings to inform the community about the project and the hiring process. Create a hiring committee similar to a jury, with enough members that committee members with close relations to a specific applicant can step aside during his/her interview process. Thus, a relative or friend will not interview each interviewee. This may help mitigate negative political fallout from hiring decisions.
- If you are using an incentive program to promote survey responses, involve the community in the process to decide the design of the incentive program. Hold community meetings to decide and take live surveys at the meetings. Then tally the results immediately at the meeting and discuss concerns about the decisions reached. This may help mitigate negative political fallout from the incentive program.
- Set immersion as the overall goal and make your survey and community education components in relation to that goal. Then help educate the community on the benefits of immersion education.
- Make conflict prevention the precursor to your implementation decisions.
- If your tribe has adult speakers, encourage them to speak with tribal youth.
- Work with educators to get them to believe in and support your language program.

Surveys

Make them simple and easy to understand.

Make them short: you will have better luck getting full responses if your survey is as short as possible.

Call the survey recipients to double-check they received the survey. This can add a personal touch to the survey process. This is best for small pools of survey recipients

Develop standard protocols for the survey (i.e. how to ask questions, how to compile and analyze the data).

Have an outside agency compile data to avoid political fallout (if the survey's results could potentially lead to negative backlash).

Plan to distribute surveys at large community events.

Planning

- Digitize materials.
- Use a method that you are already familiar with so you do not have to reinvent the wheel.
- Recommend that any tribe looking to do a project involving recording and other means of language preservation look into the newest technology; this will make their lives easier.
- When working with elders, don't meet one-on-one; meet as a group of five or more to make them feel at ease. Then ask simple prompting questions and let them go into a discussion as a group while you listen.
- Don't guide the elders; let them guide you (in your research).
- Use Notebook software for language CD creation.
- Use technology formats that will support longevity of language resources.
- Use a formal archival standard to ensure long-term use and to overcome future staff turnover.
- Pilot test with community members who will provide critical feedback.
- Make backup copies!
- Digital storytelling is a powerful medium, it's more direct (a person is telling the story), so the message hits the audience differently than a simple video recording. Digital storytelling creates both oral and audio products. - use freeware to keep things affordable.
- Develop printed materials.
- Re-teach things that young people do not know, no matter what field you are in.
- Teach cultural history along with the language.
- Host activities to draw in the community.
- Having an Advisory Committee was very helpful; they provided assurance for the community that the activities were performed in appropriate way.
- Use the curriculum for other projects.
- For tribes stuck in the "written language" question (i.e. should you write down your traditionally oral language): you need to become unstuck and start working to preserve your language before it is completely lost.
- Use the "Understanding by Design" curriculum framework by Wiggins and McTighe for language curriculum development because it uses effective communication strategies.
- Train Language Teachers.
- Teach the younger and older generation to know what the language and culture is about.
- Use traditional meals to draw people in.
- Work with people and staff. Make sure your supervisor listens to you.

- Total Physical Response (TPR) curriculum helps learners avoid translating while they learn.
- Create a standardized curriculum for every grade possible and make sure each new level builds on the level below it.
- Ensure that the language teachers learn about the culture as well.
- Since we had very few fluent speakers left, we used fluent speakers of a sister language to train us. This unique approach to language learning allowed participants to re- discover our language.
- Master-Apprentice training works well to grow speakers, but also be sure to get them into the classroom to strengthen teaching skills.
- Use of TPR as a beginning language methodology.

Implementation

- Establish an Intergenerational Program.
- Fluent speakers can become certified teachers, but non-fluent certified teachers rarely can be made into fluent speakers. Therefore, get your fluent speakers certified instead of vice versa!
- Emphasize person-to-person transmission of language skills.
- Use multi-media to support master/apprentice pairs.
- Have more than one master per team.
- Have a regional language advisory committee for the program.
- Share best practices with other tribes.
- Utilize Total Physical Response (TPR) methodology.
- Identify potential staff prior to submitting application.

Environment

Environmental Assessment

- Use a GIS system to manage spatial data. Tie a database in with a spatial component.
- If using GIS, it is very important that the staff take a GIS training.
- Could not get information from the EPA, so went to other tribes instead. (If you can't get info from one source, find another.)
- In order to deal with staff turnover, make sure that all staff are provided materials and trained for transition so that if someone leaves, the new person will be prepared.
- Consult the community first before implementing anything. Leave any preconceived notion of how you think things should be done at the door - allow the community to shape the project to ensure buy-in.
- Don't underestimate the time needed for communication - estimate 2 1/2 times more time than you actually think things will take, in order to take communication into account.

- Work with agencies that have done similar studies and learn from their mistakes.

Develop Regulations, Ordinances or Laws

- Garner support from tribal leaders by regularly informing them of the ordinances' progress and encourage them to attend pertinent events (make the decision-makers your project partners).
- Utilize surveys and needs assessments to direct your project.
- Ongoing community involvement is necessary to ensure support.
- The ordinances should be culturally sensitive and appropriate.

Develop a Technical Program

- Treat elders as experts, and allow them their say to set path for project implementation.
- Ensure stable staffing pattern by hiring qualified, passionate and culturally knowledgeable personnel.
- Open up Advisory Council to a cross-section of the community and community partners so that a variety of information and ideas are represented in project deliverables.

Fish pond projects

- Rubber-lined ponds are better than fabric liners.
- Constantly monitor the insect content of the water (this grantee feeds its ponds with local river water to ensure a stable insect content.)

Sustainability Strategies

What is Needed for Sustainability?

- Community communication.
- Awareness and marketing about the project.
- Highlight successes.
- Strong community ownership.
- Training local trainers.
- Incentives.
- Private funding.
- Partnerships.
- Have non-profit status.
- Local entrepreneurship.
- Have a Business plan.
- Focus on strengths.
- Think long-term.
- Volunteers.
- Good management.

- Valid Market.
- Outside revenue streams.
- Avoid over-reliance on one individual.
- Dedicated Staff.
- Long-term vision.
- A project that works.
- Committed constituency of participants, staff, community members, and Board/Tribal Council/Leadership.
- Have defined short term and long-term goals.
- Have an effective planning process.
- Passion.
- Politicking – networking.
- Financial Plan and Budget.
- Good financial systems and accountability.
- Contingency Plans.
- Policies, procedures, guidelines on operations, human resources, etc.
- Good communications with meetings, marketing, and outreach.
- Good management and leadership.
- Offer meals and food.
- Recognition and celebrations.
- Involve the community.
- Shared vision.
- Interoperability.
- Leadership buy-in (philosophical and/or financial)
- Selling/marketing program.
- Money.
- Visibility.
- Community assessment.
- Flexibility.
- Engaging outside resources and partnerships.
- Documentation of impact.
- Continued goals and objectives.
- Project evaluation.
- Political will.
- Wealthy friends.
- Promote interoperability.
- Adaptability.
- Demonstrate success.
- Long-term partnerships.
- Get the youth involved.

- Public education/marketing.
- Staff training.
- Community buy-in.
- Have volunteer mentors.
- Develop community partnerships with group that have similar goals.
- Find other funding sources.
- Accountability.
- Providing evidence of success to future funding sources.

How Do You Achieve Programmatic Sustainability?

- Do a community assessment.
- Write and use a strategic plan.
- Have powerful friends.
- Partner.
- Credential your teachers.
- Teach financial literacy.
- Look into doing Community Supported Agriculture (CSAs).
- Mentoring/training of personnel, community and youth.
- Valuing employees and volunteers.
- Promote positive thinking and doing.
- Long-term goals and benchmarks.
- Written curriculum for participants/trainers/and with DVDs, etc.
- Employee buy-in and community assurances.
- Ongoing incentives.
- Focus on limiting staff turn-over.
- Strong evaluation and data collection.
- Have political allies/support, and mobilize.
- Good facilities and have a backup plan if not.
- High expectations and standards.
- Having core values and vision.
- Have incentives and recognition.
- Culture-spirit driven.

How Do You Achieve Political Sustainability?

- Establish personal connections with partners and community.
- Have benchmarks and demonstrated results to gain credibility.
- Regular communication.
- Invite stakeholders to celebrations of success (keeps motivation high).
- Transparency.
- Use board and leadership to build connections.
- Recognize partner contributions.

- Bring community members and leadership to see the project at work.
- Being a reliable and valuable partner.
- Identifying stakeholders.
- Valuing diversity in partnerships.
- Clear communication.
- Building Relationships and Trust.
- Finding new partners – network constantly.
- Adaptable.
- Well planned agendas.
- Re-evaluating partnerships.

Financial Sustainability

- Identify and Prioritize Needs
- Multi-market appeal (i.e. non-native).
- Leverage funding resources.
- Innovative donor strategies (tech-based).
- Establish clear profit motive.
- Don't throw away your business plans.
- Take advantage of non-profit/tribal status if competing in the mainstream.
- Networking – be sensitive to funding opportunities even in non-fundraising situations.
- Developing relationships with corporations.
- Find sponsor that supports similar services.
- Look for ways to get items/services for free (internships, etc.), "welfare to work".
- Write for new grants.
- Apply to United Way.

Grantee Suggestions on Preventing and Overcoming Challenges

Staff Turnover

- Provide competitive salaries and benefits.
- Provide effective staff training.
- Provide culturally appropriate job training.
- Hire the right person for the job.
- Clearly define the roles and responsibilities of each position.
- Hire qualified people with expertise in the position.
- Provide cross training for staff in the event staff turnover occurs.
- If a staff person leaves, consider bringing on a consultant or contractor to temporarily fill the vacant position. Doing so will continue a project's progress and, if applicable, utilize allocated federal funds for the vacated position.

Late Start

- Research your tribes' hiring procedures during the project planning stage. Some tribes require a position to be open for at least 45 days before a hiring decision may be made.
- Familiarize yourself with the project and OWP so you can hit the ground running.
- Begin marketing the project as soon as possible to make people aware of it.
- Maintain communication with ANA to avoid or manage any delays in start-up processes.

Scope Too Ambitious

- Use the OWP as a guide and step-by-step means of implementing your project.
- Focus on accomplishing one thing at a time – break the project down into manageable pieces.
- Recruit volunteers to help out with the project's implementation.
- Delegate work evenly amongst project staff and according to areas of expertise.
- Collaborate with your partners to see if you can lessen your workload – sometimes a partner may already be implementing similar activities and you can simply work with them rather than reinventing the wheel – this will ensure there is no duplication of effort.
- Use all resources available to you.

Geographic Isolation / Travel

- Plan ahead – complete activities with the weather/seasons in mind.
- Use local resources (consultants, volunteers, etc.).
- Provide incentives such as gas cards if you are having difficulties with participation due to travel distances.
- Provide transportation to project participants.

Lack of Expertise

- Research other resources that may be able to provide staff training or volunteer to work on the project.
- Take the time to train your staff, it will save you time in the long run.
- Cross-train your staff with other departments or agencies.
- Utilize your partnerships for capacity-building.

Challenges with ANA Processes

- Maintain contact with your program specialist.
- Contact your program specialist as soon as you begin experiencing any difficulties.
- Be patient and anticipate that ANA processes can take a long time (the average grant action takes 3 months).
- Work on what you can while waiting for confirmation.

Underestimated Project Cost

- Leverage as many resources as you can through partnerships and available resources.
- See if there is another department, organization, or partner willing to share costs.
- Market your project as much as possible, which will help attract leveraged resources and project support – remember, word of mouth is free!

Underestimated Personnel Needs

- Find volunteers to work on your project.
- Use summer interns and students.
- Delegate project tasks as evenly as possible amongst your staff and maintain open communication to ensure your staff can handle the extra workload.
- Collaborate with your partners to see if you can lessen your workload – sometimes a partner may already be implementing similar activities and you can simply work with them rather than reinventing the wheel – this will ensure there is no duplication of effort.
- Build a partnership with the AmeriCorps, as they provide volunteers to fit an organization's needs.

Partnership Fell Through

- Immediately begin research for finding a replacement based on what that partner was bringing to the project.
- Use existing resources to make up for the loss.
- Look at alternative options for implementing your project without changing the project scope.
- Plan ahead and do not design a project that relies heavily on one specific partnership.

Lack of Community Support

- Rely on the community to help develop the project idea – involving people in the planning process will lead to their participation in the project's implementation.
- Provide incentives for meetings, trainings, and workshops.
- Create an atmosphere of communication and collaboration with the community.
- Market your project as much as possible, especially at social events.
- Conduct active marketing techniques such as face-to-face visits, phone calls, community meetings, etc.

Hiring Delays

- Provide competitive salaries and benefits.
- Begin marketing the project as soon and as much as possible to increase awareness.
- Have other staff fill in during the hiring process.

- If possible, work on other aspects of the project while waiting for new hires.
- Seek advice and support from your governing board or council.
- If you will be hiring project staff with very specific qualifications, research the local talent pool to see if candidates exist.
- Research your tribe's hiring procedures during the project planning stage. Some tribes require a position to be open for at least 45 days before a hiring decision may be made.

Appendix 2: GrantSolutions File Naming Conventions

Subject	Category	Grant Note Type
425-Q2 or Q4-YYYY	Programmatic Report	Correspondence
425-Annual-YYYY	Programmatic Report	Correspondence
425-Q2 or Q4-YYYY (Revised)	Programmatic Report	Correspondence
425-Final-YYYY	Programmatic Report	Correspondence
428-Final-YYYY	Programmatic Report	Correspondence
429-Final-YYYY	Programmatic Report	Correspondence

Note: Grantees awarded after 2016 do not upload their SF-425 into GrantSolutions. They fill out the form in the DPM system.

Appendix 3: Online Data Collection Grantee Guide

The following guide provides instructions on logging into the OLDC module of GrantSolutions. It also contains instructions for navigating to and completing the Ongoing Progress Report which is contained in the module.

Linking Services, Solutions, Communities

Online Data Collection Grantee Guide
Complete and Submit the Objective Progress Report (OPR)

Courseware

Date: 03/01/016

The Grants Center of Excellence

www.GrantSolutions.gov

Disclaimer: These user guides are intended for general purpose training. The GrantSolutions Center of Excellence is comprised of numerous Federal Partners who possess differing grant management policies and procedures**. As such these training guides may or may not incorporate Partner Specific policy related to application reviews and/or workflow procedures.** The intent of these user guides is: 1) to provide a training foundation on the GrantSolutions Software and 2) to engage users in understanding the system's flexibility for specific partner requirements.

THE GRANTS CENTER of EXCELLENCE

The Center of Excellence

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Table of Contents

Introduction

The GrantSolutions Grants Management Module (GMM) and Online Data Collection (OLDC) provide a convenient way for grantees to submit their Objective Progress Report (OPR).

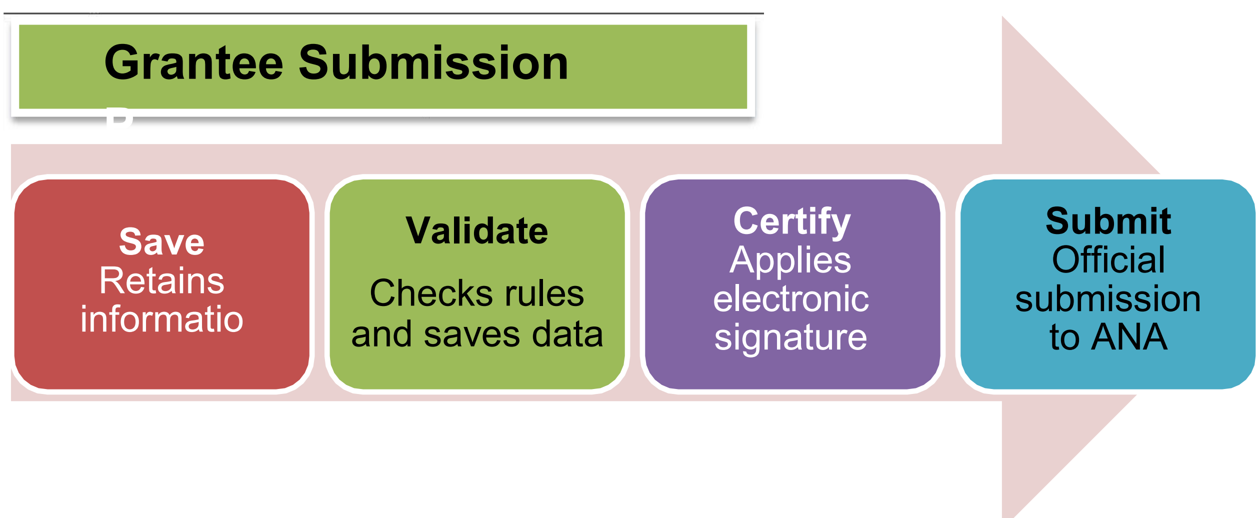
Grantees use the Internet to enter, certify, submit, and retrieve information pertinent to their OPR.

Note: In order to initiate the OPR, the Objective Work Plan (OWP) must first be available in the system. Please email or call your ANA point of contact with any questions.

Workflow

Grantees need to perform specific steps in order to submit the OPR. Those steps are listed below:

1. Login to the GMM, access Online Data Collection, and navigate to the OPR.
2. Enter and edit data, and save sections.
3. Validate the OPR to check against rules.
4. Certify the report to electronically sign.
5. Electronically submit the OPR.



Once the OPR is electronically submitted, the grantee's process is complete. The grantor then reviews the report and either accepts or returns for changes.

Login

Grantees may access the OPR from the GrantSolutions GMM or through Secure Sign-In.

For instructions on how to access the OPR directly through Secure Sign-in, please skip to the section Login through the Secure Sign-In on page 5.

Login through the GrantSolutions GMM

Grantees access the OPR directly from the GrantSolutions GMM.

Note: The first time OLDC is launched from the GMM, some grantees may need to link their accounts. This is a one-time action.

To log in, and if necessary, link the GMM and OLDC accounts:

1. From an Internet browser (such as Internet Explorer Mozilla Firefox, or Google Chrome), go to www.grantsolutions.gov.
2. The “Grants Center of Excellence” Home page appears. Click the button **Login to GrantSolutions**.

Figure 1: The Grants Center of Excellence

3. The GMM “Login” screen appears. Enter the username in the **Username** field and the password in the **Password** field. Click the **Login** button.

Figure 2: GrantSolutions Login

4. The “My Grants List” screen appears. From the menu bar, select **Online Data Collection.**

Figure 3: My Grants List - Online Data Collection

5. *****This step may appear for some grantees the first time they access OLDC*****

The “Sign-In to My Account” screen appears in a new window. Enter the OLDC **username** and **password** that was received via email, and then click the **Login** button.

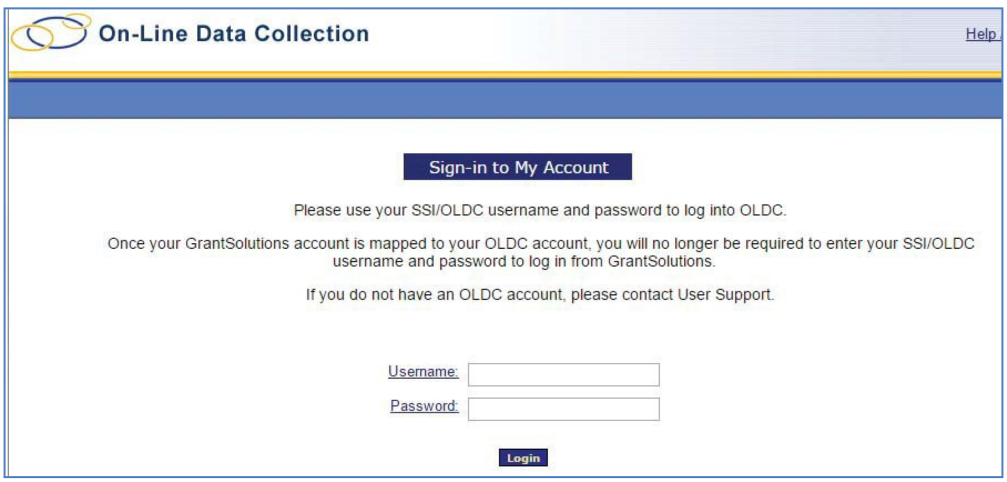


Figure 4: OLDC Sign-in to My Account

Note: Once the accounts are linked, the Sign-in to My Account screen does not appear again.

6. The OLDC “Home” screen

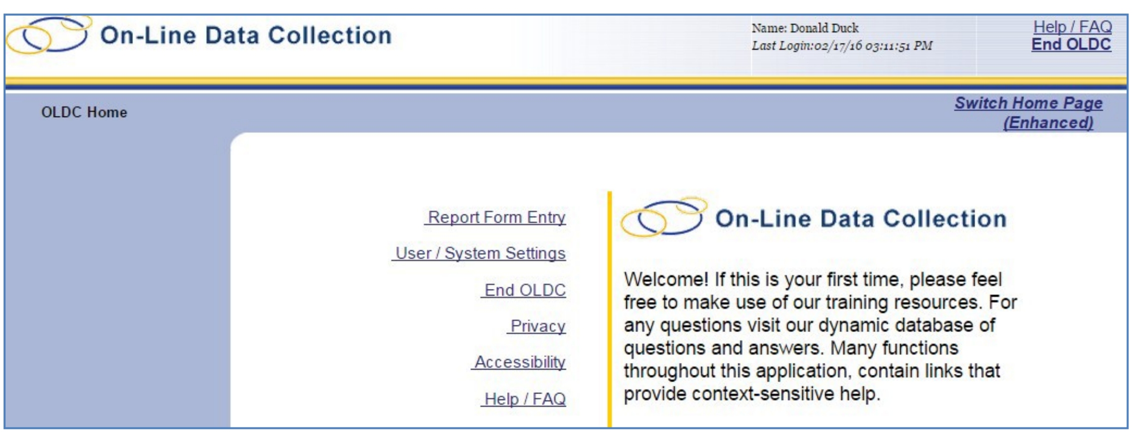


Figure 5: OLDC Home

Login through Secure Sign-In

To access the OPR through Secure Sign- In (the secure web portal for accessing Online Data Collection), follow the below steps:

1. Enter the following web address in your browser Address line: https://extranet.acf.hhs.gov/ssi/.

2. The Secure Sign-In (SSI) login screen displays. Enter your OLDC **user name** and **password**, and then click **Login**.

Figure 6: Secure Sign-In Login

Note: Passwords are case-sensitive.

3. The "Password Policy" pop-up message appears. The first time a user logs into the system, they are required to change their password for security purposes. Click **OK**.

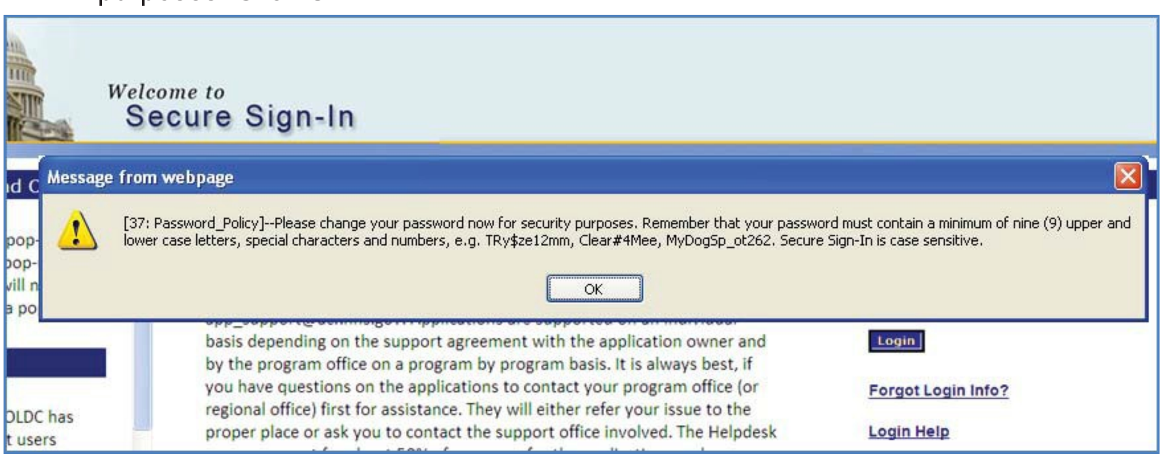


Figure 7: Password Policy

4. The “Change Password” screen appears. Enter the **current password**, a **new password**, and **confirm new password**.

5. Click the **Change Password** button.

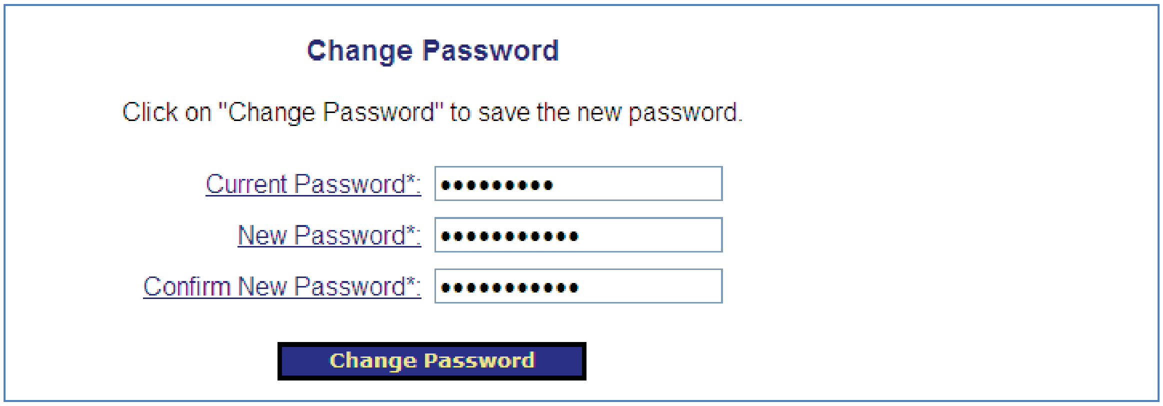


Figure 8: Change password

6. The “Change Challenge Question” screen displays. Set up a Challenge Question to reset a password from the Forgot Password? link on the login screen.

   Select a **Challenge Question** from the drop-down list, and then enter an **Answer**.

7. Click the **Save Q and A** button.

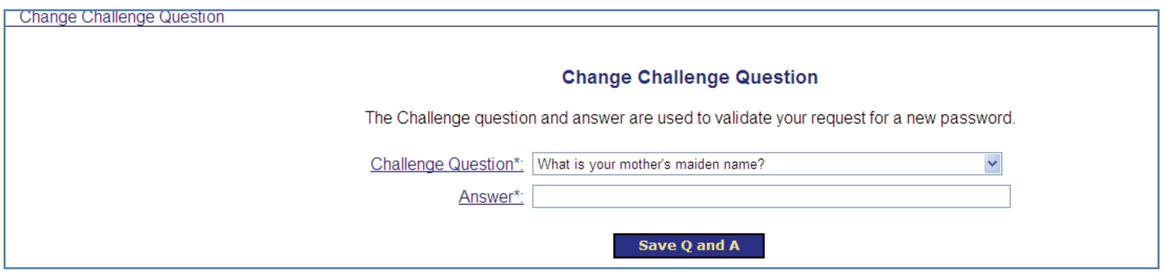


Figure 9: Change Challenge Question

8. The Secure Sign-In (SSI) “Home” screen displays. Under *Select Application*, click the OLDC button.

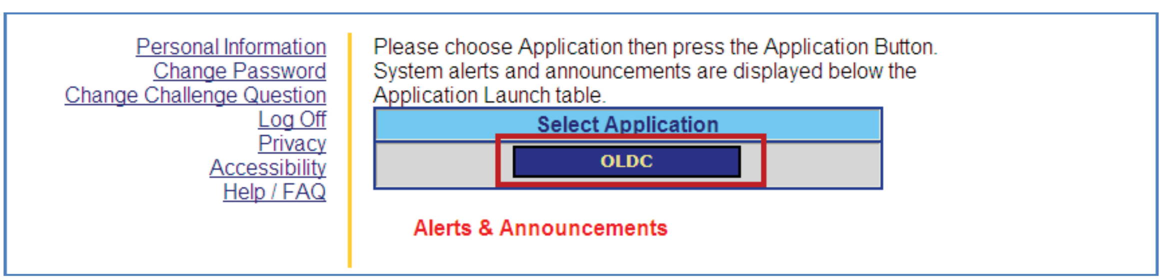


Figure 10: Secure Sign-In Home screen -

9. The OLDC "Home" screen opens in a new window.

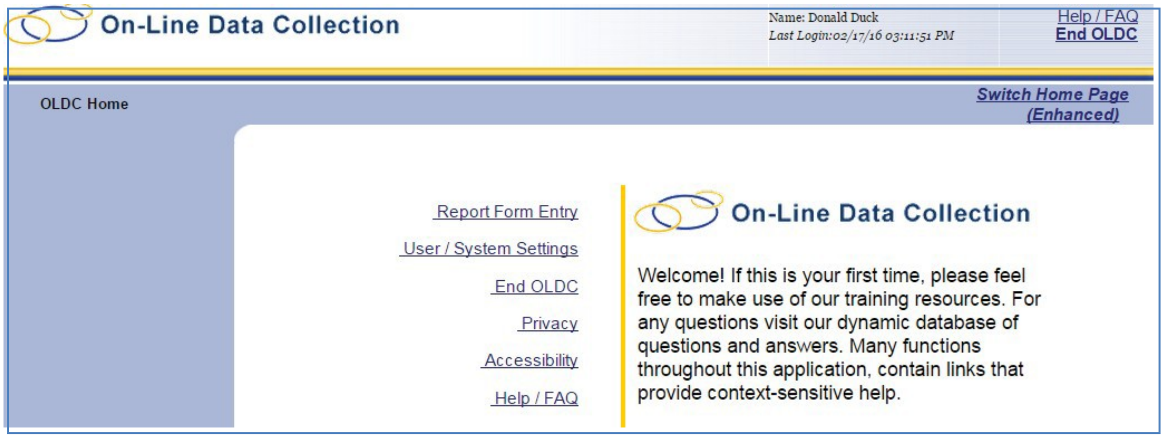


Figure 11: OLDC Home

Navigation

The main menu is available from the OLDC "Home" screen. From the main menu, users may *access forms*, view *News and Tips*, and *End OLDC*.

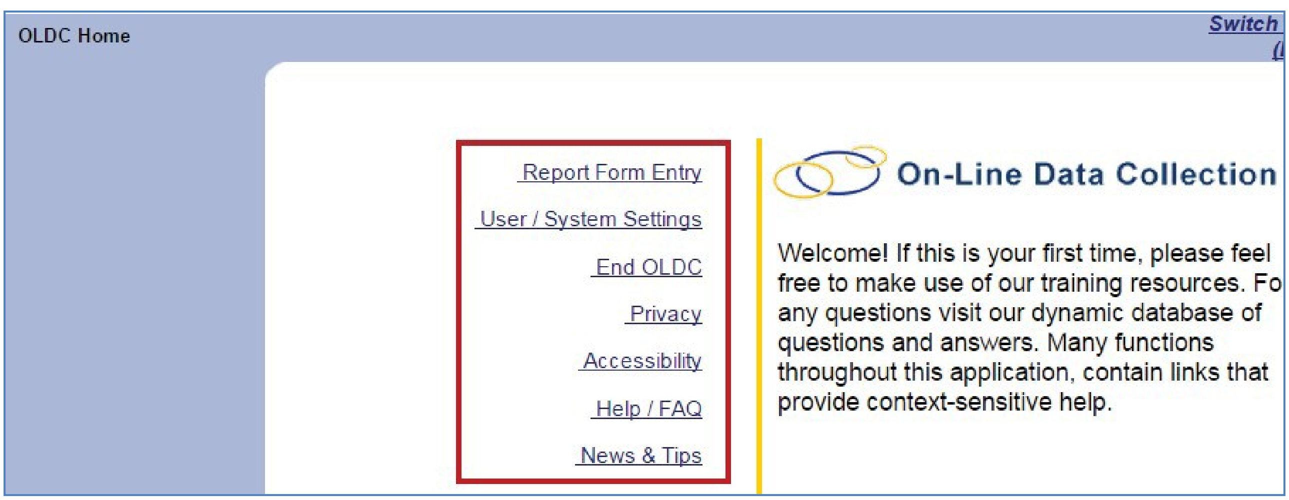


Figure 12: OLDC Home

Click any of the Navigation links (breadcrumbs) towards the top of the page to return to previously visited screens. Navigation links appear and disappear as different screens are accessed. For security purposes, do not use the back button.

Figure 13: Navigation

Enhanced Home Page

An enhanced tabular “Home” page option is available to grantees. This screen was created to improve navigation and ease of use while retaining access to the main menu. When grantees access the enhanced Home page, three tabs are available: My Recent Activity, Activity Report, and Report Due.

To activate the enhanced “Home” page view:

1. From the right side of the “OLDC Home” screen, click the link **Switch Home Page (Enhanced)**.

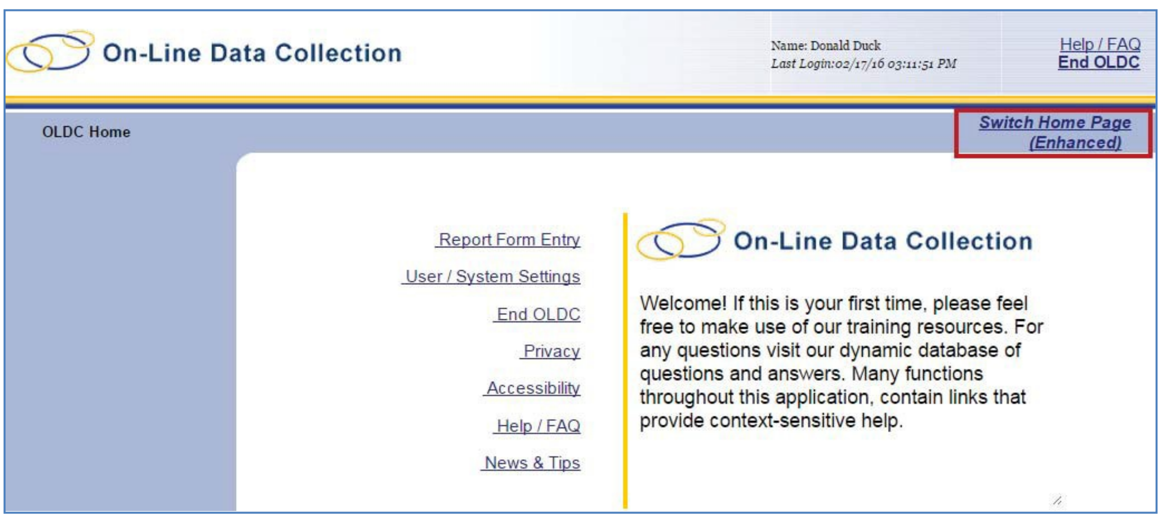


Figure 14: OLDC Home - Switch Home Page

2. A message appears asking “Do you want to keep the enhanced OLDC home page as your default home page?”

   - Click **Yes** to set the enhanced page as the new default each time OLDC is accessed.
   - Click **No** to enable the enhanced home page at this time. However, the next time OLDC is access, the regular home screen appears.

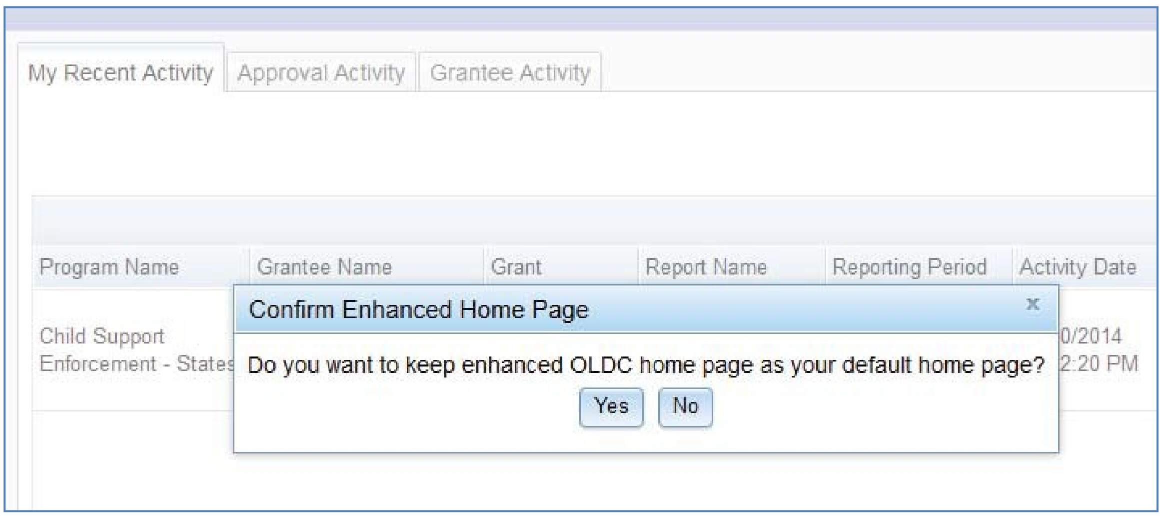


Figure 15: Confirmation Pop-up

3. The new “Home” screen appears. To return to the regular Home screen view, click the link **Switch Home Page (Regular)**.

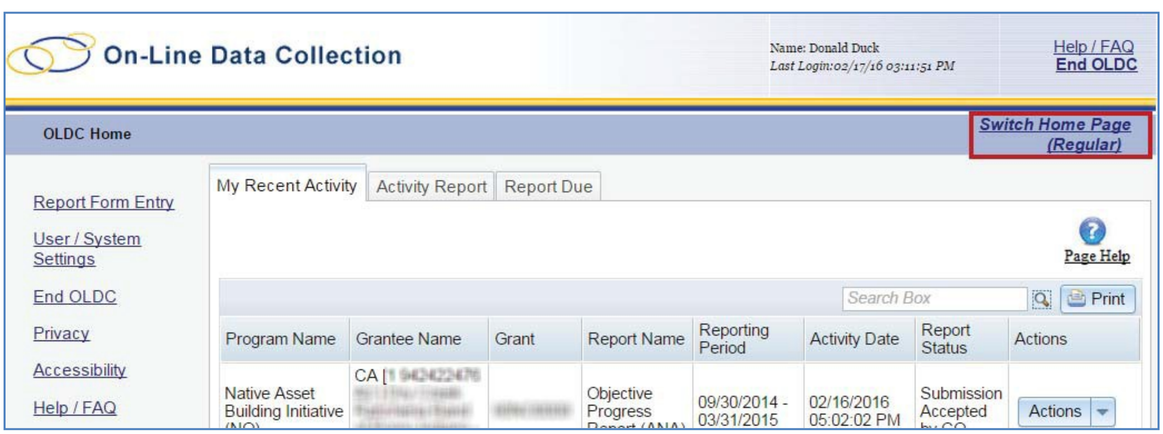


Figure 16: Enhanced OLDC Home screen - Switch Home Page

The “My Recent Activity” tab contains all reports recently accessed by the user. To perform an action for a report, click the **Actions** drop-down list and select one of the following options:

- **View**: View a report in read-only mode.
- **Edit**: Access the “Report” screen in edit mode.
- **Report Status**: Navigate to the “Report Form Status” page.

Please note that available actions depend on the user’s permissions and the status of the report.

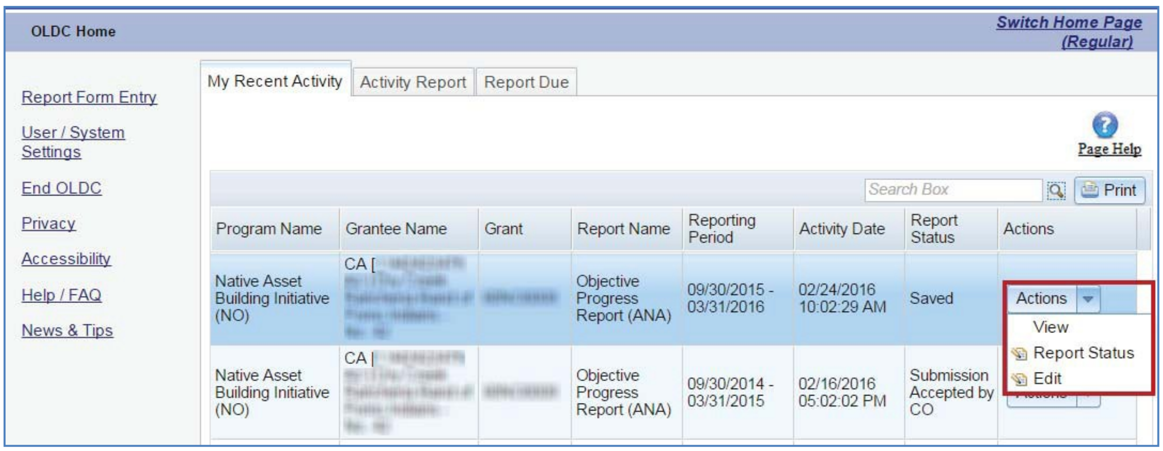


Figure 17: My Recent Activity

Use the "Activity Report" tab to search for reports in progress, submitted, or approved over the past two years. To access historical data, use the *Report Form Entry* link from the main menu.

To search for reports:

1. Select a **Program** from the *Program* drop-down list. If the user is only assigned to one program, it appears by default.
2. Select a **Grantee** from the *Grantee* drop-down list. If the user is only assigned to one grantee organization, it appears by default.
3. Click the **Enter** button.

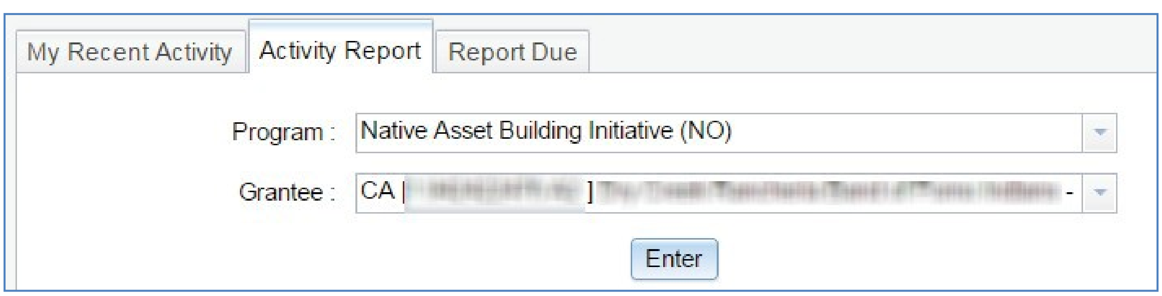


Figure 18: Activity Report

4. The *Results Table* appears. Click the **Actions** drop-down list and select one of the following options:

- **View**: View a report in read-only mode.
- **Edit**: Access the “Report” screen in edit mode.
- **Report Status**: Navigate to the “Report Form Status” page.

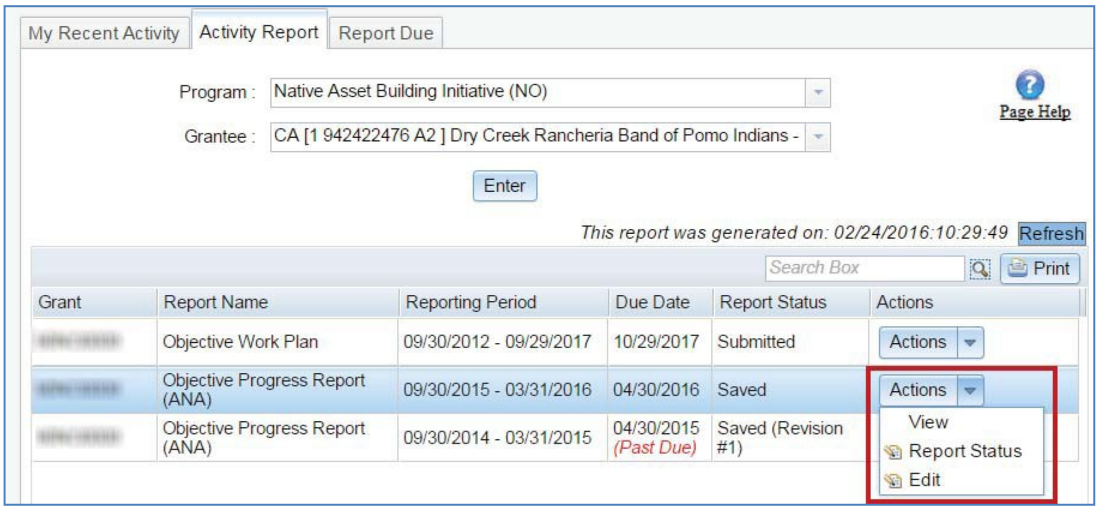


Figure 19: Activity Report

Use the "Report Due" tab to access reports that are currently available for submission. Once a report is submitted, it is removed from this tab but can still be accessed from My Recent Activity, Activity Report, and from the Report Form Entry menu.

Reports are available from this tab going back two years from the current date. To access reports that were due over two years ago, use the **Report Form Entry** link from the main menu.

To search for

1. Select a **Program** from the *Program* drop-down list. If the user is only assigned to one program, it appears by default.
2. Select a **Grantee** from the *Grantee* drop-down list. If the user is only assigned to one grantee organization, it appears by default.
3. Click the **Enter** button.

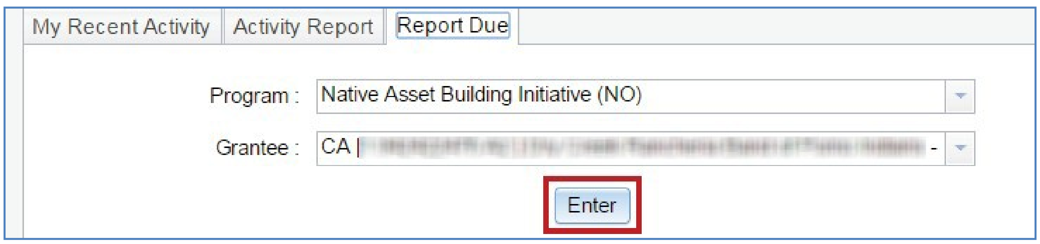


Figure 20: Report Due Search

4. The *Results Table* appears. Click the **Actions** drop-down list and select one of the following options:

- **View**: View a report in read-only mode.
- **Create**: Start a new report by navigating to the “Report” screen in edit mode.
- **Edit**: Access an existing report in edit mode.

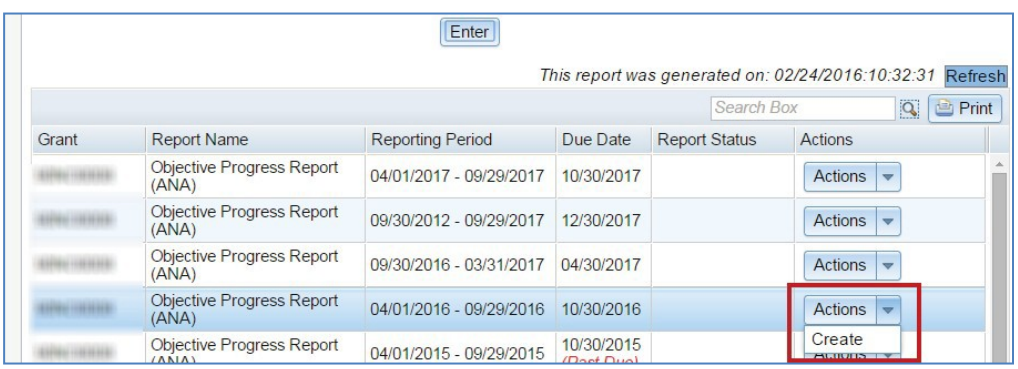


Figure 21: Report Due Results

Access the OPR from the Report Form Entry Menu

To access the OPR from the Report Form Entry menu:

1. From the OLDC "Home" screen, select **Report Form Entry**.

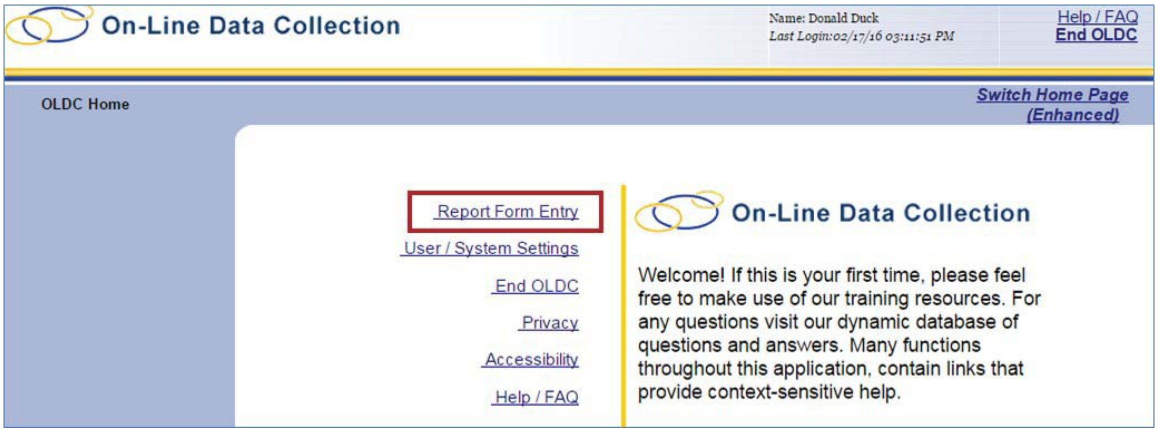


Figure 22: OLDC Home - Report

Note: Report Form Entry may be accessed from either the Regular or Enhanced Home page.

2. The "Form Selection" screen appears. From the Step 1: Program Name drop-down list, select the desired **program**.

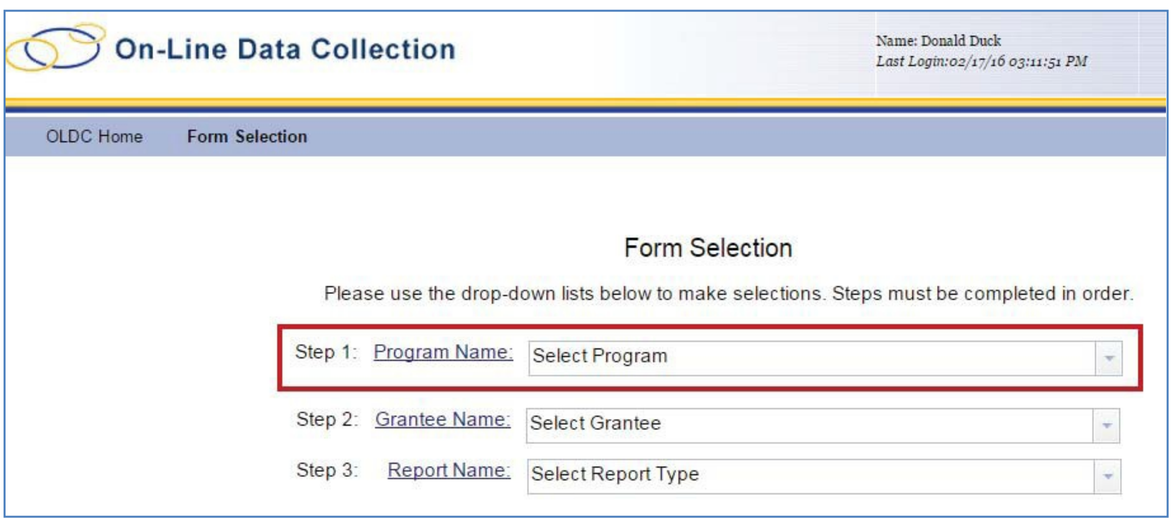


Figure 23: Form Selection screen -

3. The assigned **organization name** populates in the *Grantee Name* drop-down list.

In Step 3, select **Performance Progress Report (ANA OPR)** from the *Report Name* drop-down list.

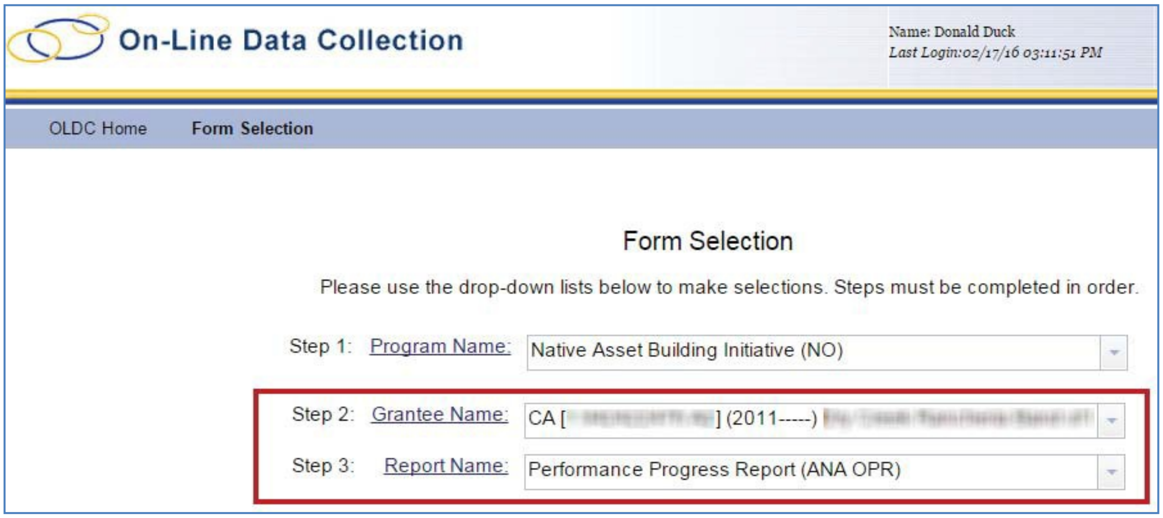


Figure 24: Form Selection screen - Steps

4. The screen refreshes and Steps 4 – 6 appear. From the Step 4 drop-down list, select the **Funding / Grant Period**.

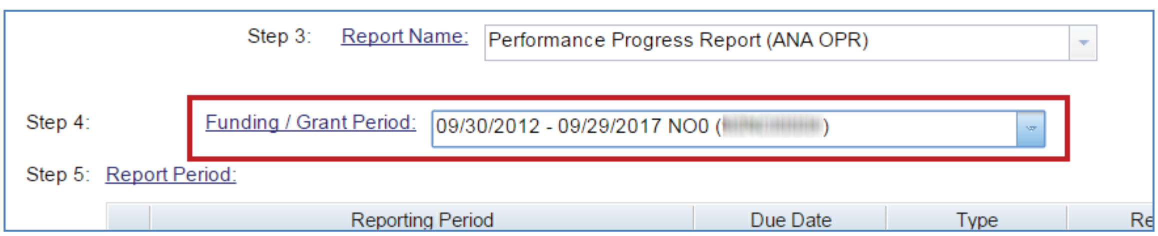


Figure 25: Selection screen - Step 4 Funding /

5. In Step 5, select the radio button to the left of the desired **Report Period**.

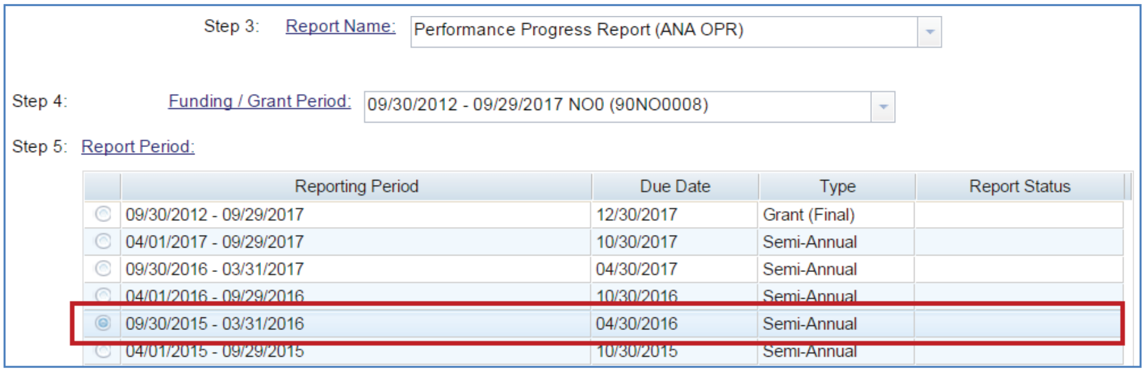


Figure 26: Form Selection screen - Step 5

6. From the Step 6 drop-down list, select the Action **New/Edit/Revise Report**. Click the **Enter** button.

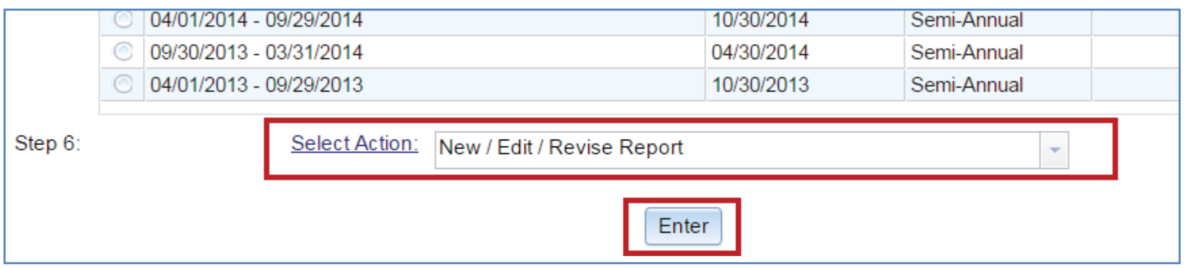


Figure 27: Form Selection screen - Step 6

Tip: Other selections from the Select Actions drop-down list are:

- **New/Edit/Revise**: Initialize a new report, edit an existing report, or create a revision for a completed report that is already approved by ANA.
- **View/Print/Status/Approve Report**: Navigate to the Report Form Status page where the report can be viewed, printed, and the report history is visible.
- **Print Latest Version (HTML)**: Open a printable version of the report in the browser window. Use the browser print option.
- **View Latest Report**: View the latest version of the report in read-only mode.

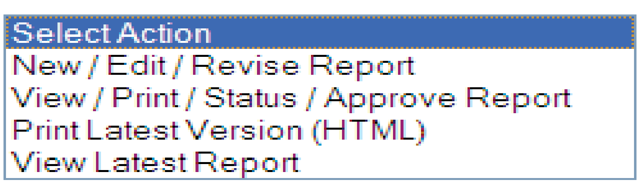
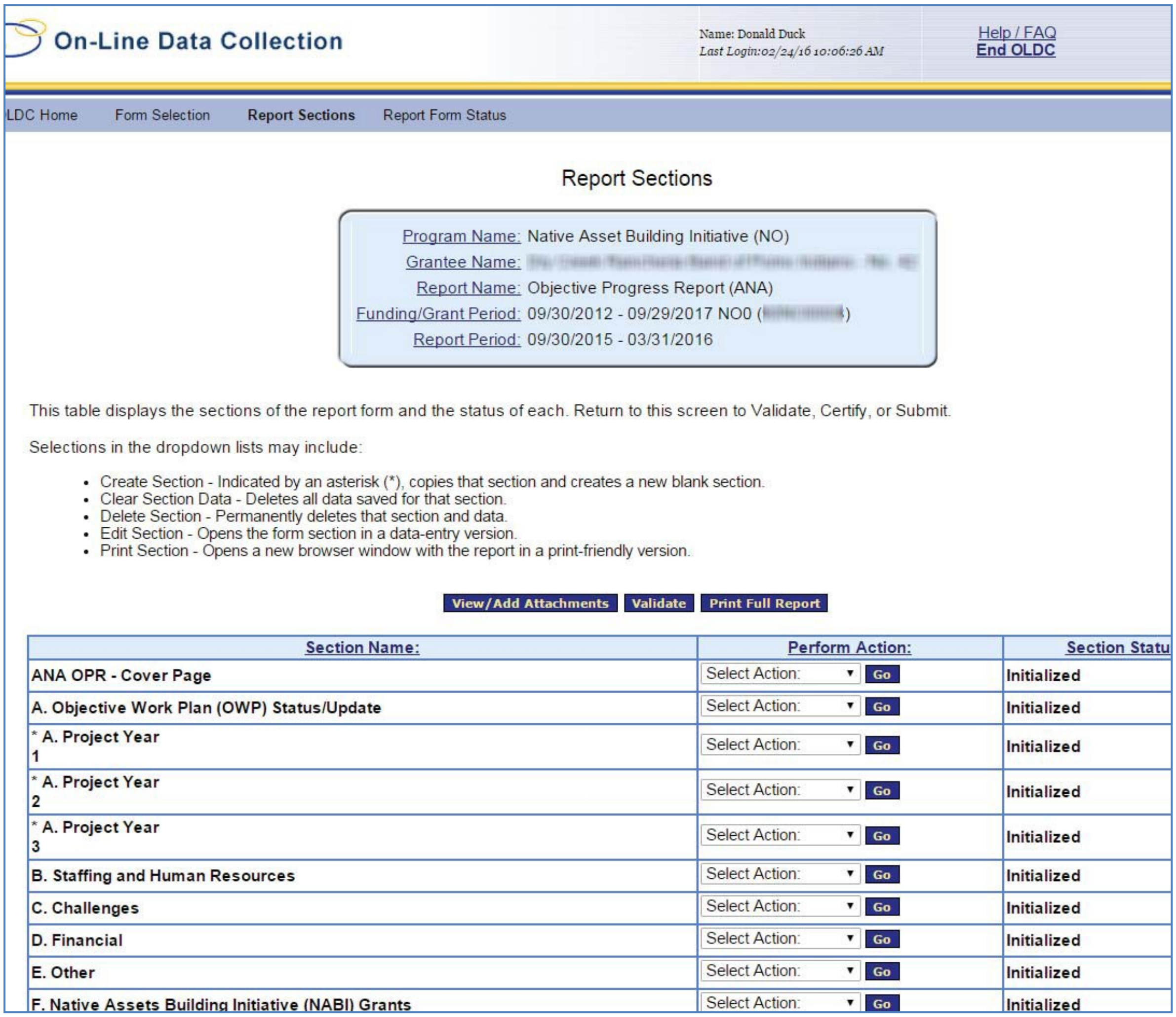


Figure 28: Available

7. The “Report Sections” screen appears.



On-Line Data Collection

Name: Donald Duck
Last Login:02/24/16 10:06:26 AM

Help / FAQ
End OLDC

LDC Home Form Selection **Report Sections** Report Form Status

Report Sections

Program Name: Native Asset Building Initiative (NO)
Grantee Name: [illegible]
Report Name: Objective Progress Report (ANA)
Funding/Grant Period: 09/30/2012 - 09/29/2017 NO0 ([illegible])
Report Period: 09/30/2015 - 03/31/2016

This table displays the sections of the report form and the status of each. Return to this screen to Validate, Certify, or Submit.

Selections in the dropdown lists may include:

- Create Section - Indicated by an asterisk (*), copies that section and creates a new blank section.
- Clear Section Data - Deletes all data saved for that section.
- Delete Section - Permanently deletes that section and data.
- Edit Section - Opens the form section in a data-entry version.
- Print Section - Opens a new browser window with the report in a print-friendly version.

View/Add Attachments | Validate | Print Full Report

Section Name:	Perform Action:	Section Statu
ANA OPR - Cover Page	Select Action: Go	Initialized
A. Objective Work Plan (OWP) Status/Update	Select Action: Go	Initialized
* A. Project Year 1	Select Action: Go	Initialized
* A. Project Year 2	Select Action: Go	Initialized
* A. Project Year 3	Select Action: Go	Initialized
B. Staffing and Human Resources	Select Action: Go	Initialized
C. Challenges	Select Action: Go	Initialized
D. Financial	Select Action: Go	Initialized
E. Other	Select Action: Go	Initialized
F. Native Assets Building Initiative (NABI) Grants	Select Action: Go	Initialized

Figure 29: Report Sections

Complete the OPR

Report Sections Screen

Several sections are listed on the “Report Sections” screen. Each section is edited and validated separately. Each section row also contains its own status in the *Status* column. Report and section statuses may be different until after the entire report is Saved—Validated.

Note: Only NABI grantees complete section F.

The “Report Sections” screen contains action buttons. The available buttons depend on a user’s permissions and the status of the OPR. Users with data entry capabilities have the ability to View/Add Attachments, Validate the report to ensure all report requirements are met, and Print Full Report as a PDF (not including attachments).

The *Perform Action* drop-down list is available for each row. The actions include the following:

- **Clear Section Data**: Delete all data previously saved in a section
- **Edit Section**: Enter data for a section
- **Print Section**: Open a nicely formatted printable version of the section. Use the browser menu bar or shortcut menu to print the page

***Note**: To print all sections as one complete report in PDF format, use the **Print Full Report** action button located on the Report Sections screen.*

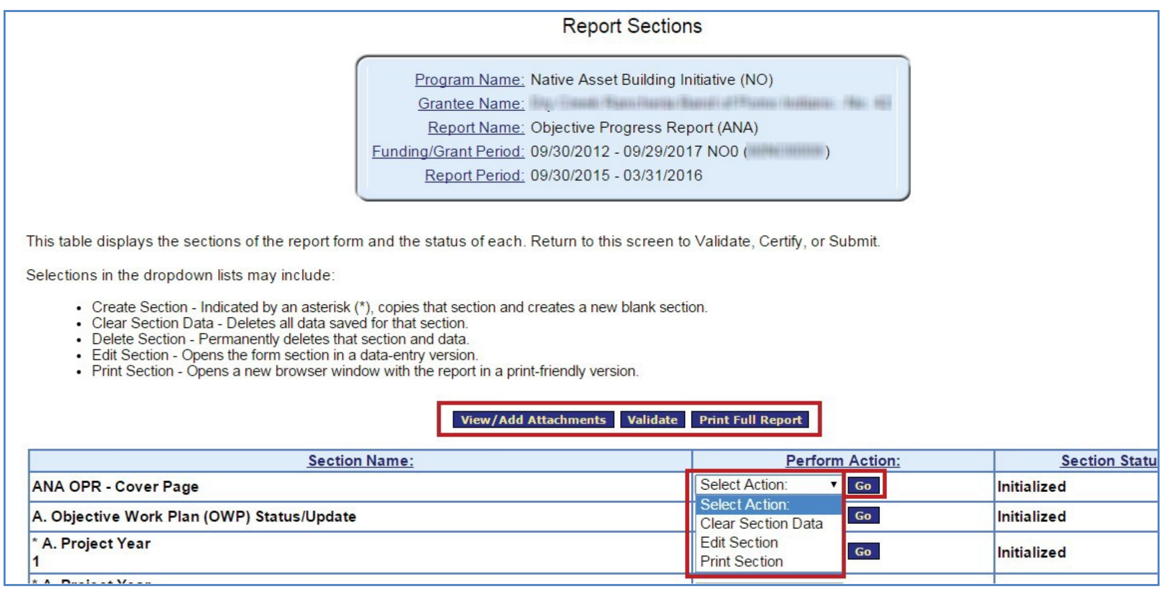


Figure 30: Report Sections screen – Action buttons and Perform Action

Note: The number of Section A. Project Year rows is dependent on the number of years entered on the OWP. For changes to the OWP, please contact ANA staff.

Enter Data, Save, and Validate

To begin entering OPR data:

1. Click the drop-down arrow next to a section (i.e. ANA OPR-Cover Page). From the *Perform Action* column, select **Edit Section** and then click the **Go** button.

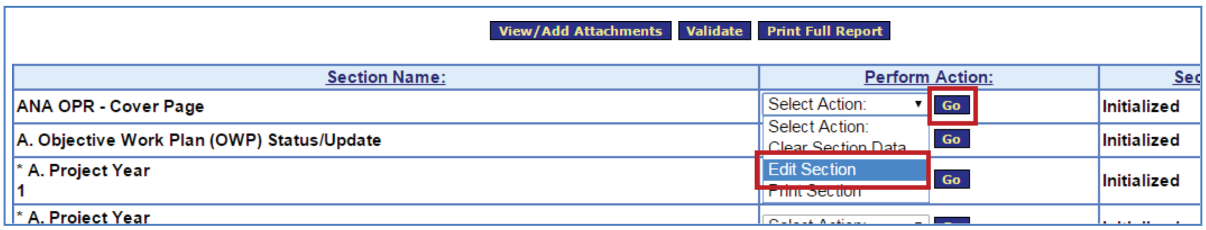


Figure 31: Perform Action drop-down list - Edit Section and

2. The New (Initialized) "Report" displays.

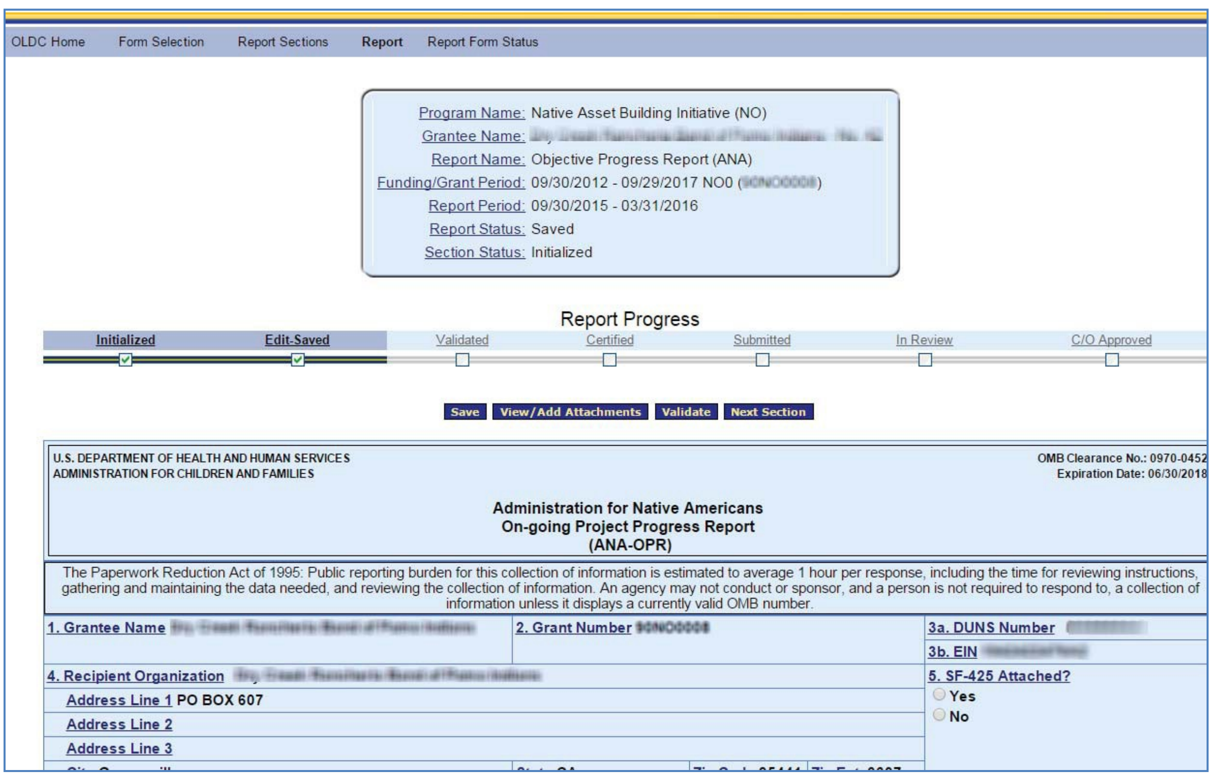


Figure 32: Report screen - Cover

Report Screen

The “Report” screen is divided into four parts: the Information box, Progress bar, Action buttons, and data entry.

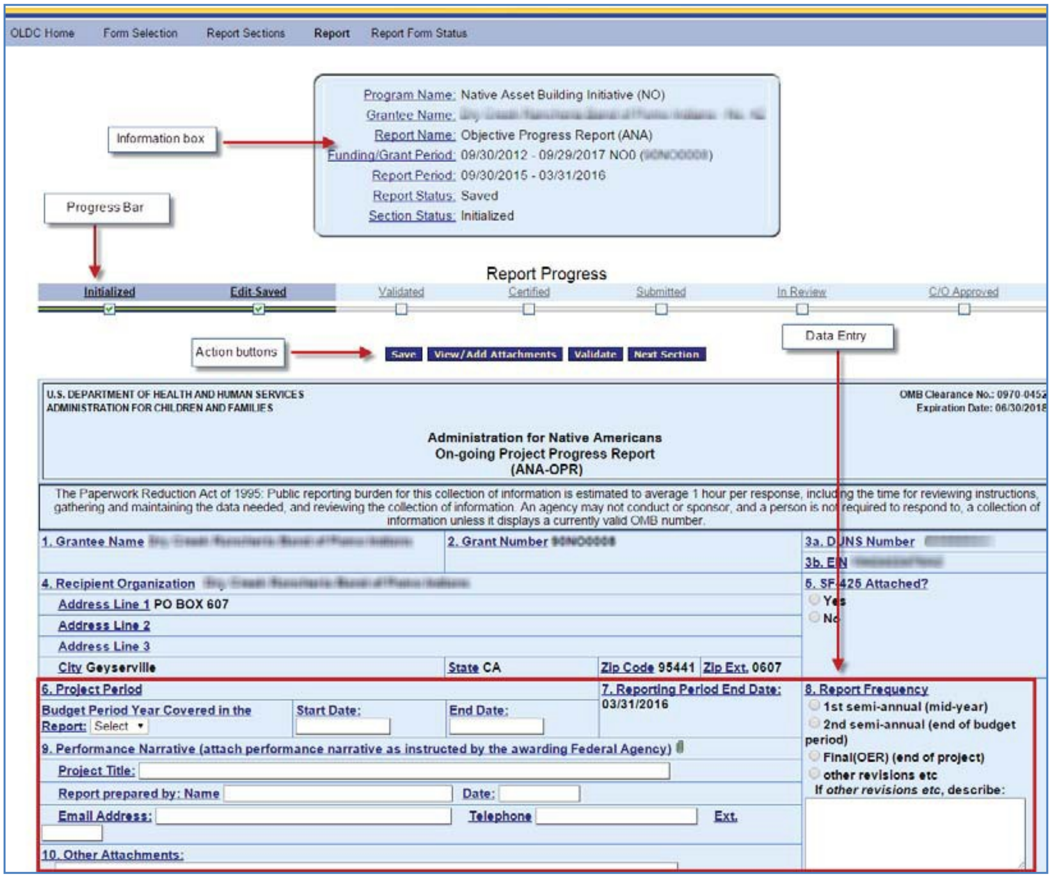


Figure 33: Report

The Information box includes all the selections used to create the Report. The status is Initialized.

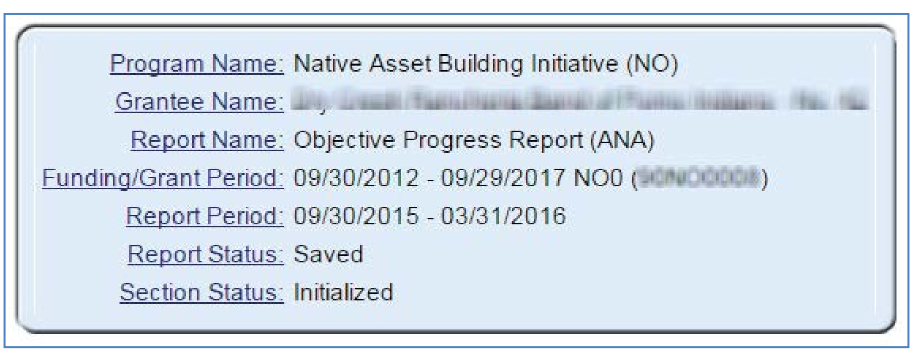


Figure 34: Information

The Progress bar is a useful tool for visually representing the current status of the Report. In addition, the Progress bar also displays the steps that are already finished as well as the steps that need to be taken in order to complete the process.

The grantee process includes the following statuses/actions:

- Initialized
- Edit-Saved
- Validated
- Certified
- Submitted

The Federal process includes the following statuses/actions:

- In Review
- C/O Approved

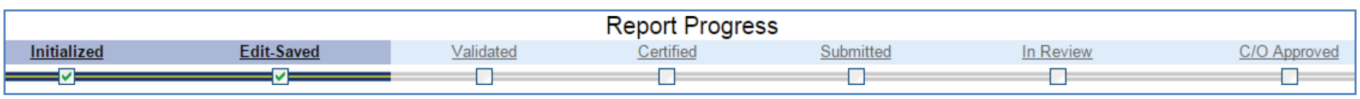


Figure 35: Report

Below the Information box and Report Progress bar are the Action buttons. Users with data entry capabilities are able to Save, View/Add Attachments, Validate, and navigate to the Previous/Next Section. Action buttons are also available towards the bottom of the screen.

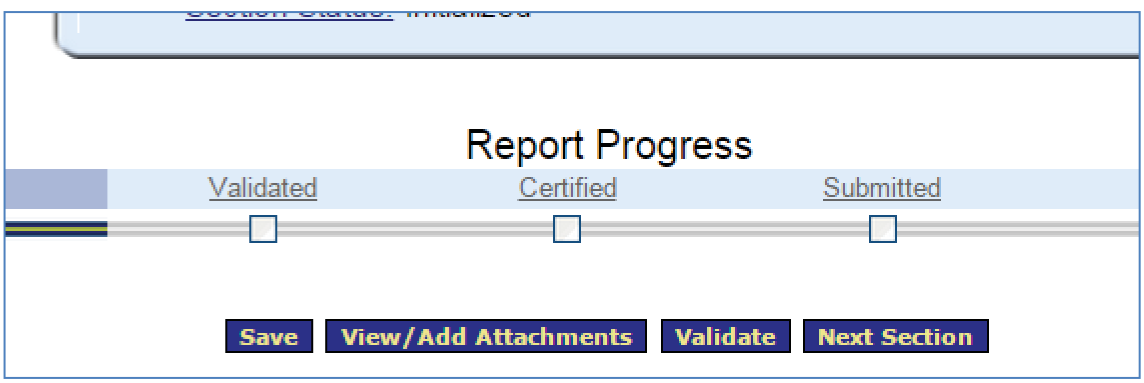


Figure 36: Action

Below the Action buttons is the report.

- Click the blue underlined help links to view form instructions in a pop-up window.
- Some fields are populated from the OWP and are read-only. Enter data in open fields.

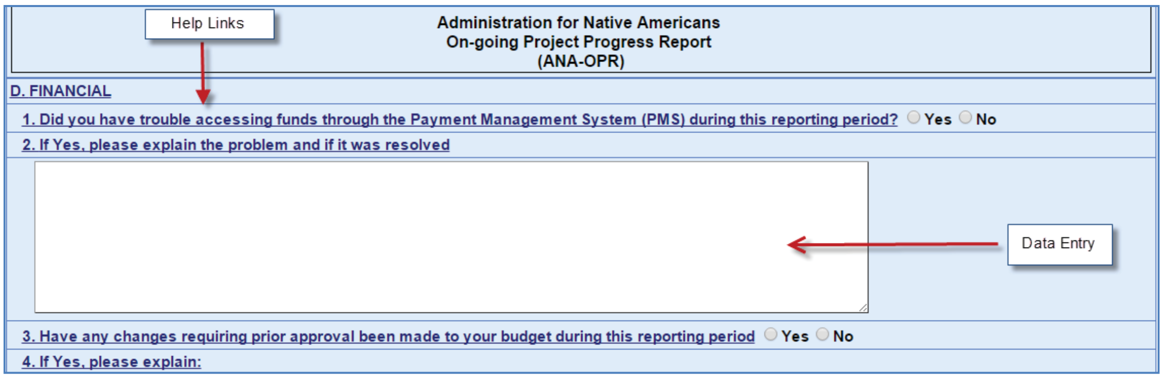


Figure 37: Report screen - help links and

Double-click an open number field to use the Calculator.

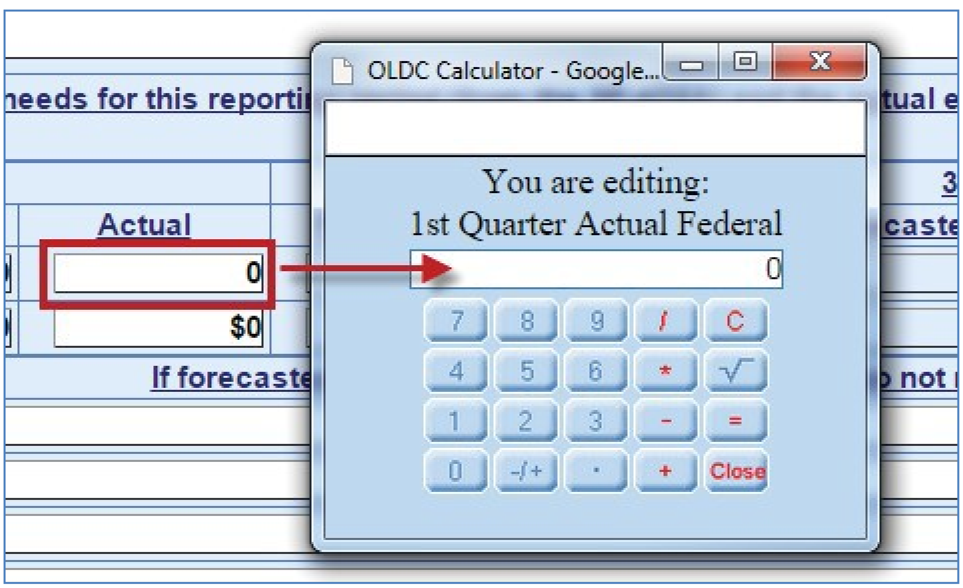


Figure 38: Calculator

Enter Data and Save

1. Complete each section to the best of your ability. Click the Save button frequently to avoid timing out (action buttons are located towards both the top and bottom of the screen).

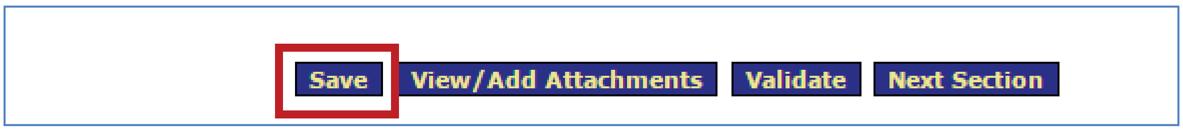


Figure 39: Save

Important! Save often. A timeout warning message appears after 25 minutes of inactivity. Activity includes clicking any of the actions buttons (e.g. Save, Validate, Certify, and Submit) or navigating to another screen. Entering data and clicking help links are not considered actions. When the timeout warning message appears, click the **OK** button to continue working and restart timeout the clock for another 25 minutes.

2. Once a section is completed and saved, click the **Next Section** button.

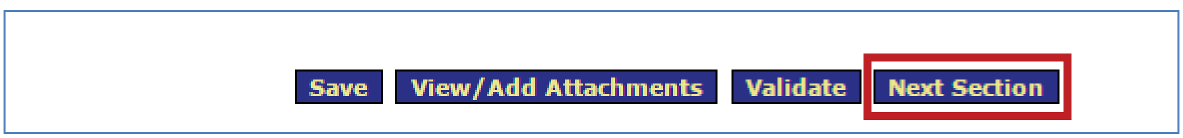


Figure 40: Next Section

3. A message appears stating any unsaved changes made on this screen will be lost. Click **OK**.

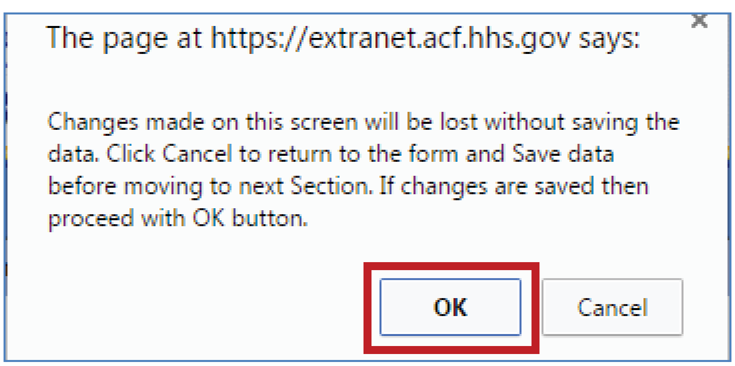


Figure 41: Pop-up

4. The next section appears (in this example, it is “A. Objective Work Plan (OWP) Status/Update”). Answer the questions and enter data in the text boxes.

Note: Questions with a Yes or No answer may require a description.

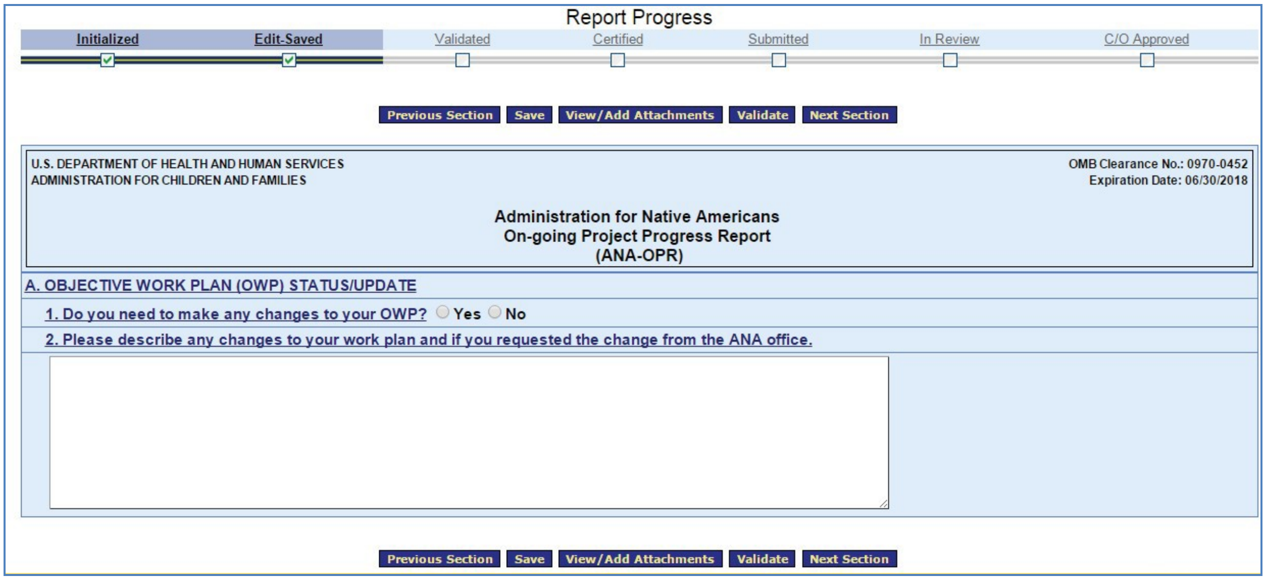


Figure 42: Report screen - Section A. Objective Work Plan

5. In some sections, additional rows may be added by selecting a **number** from the *Add* drop-down list and then clicking the **Add** button.

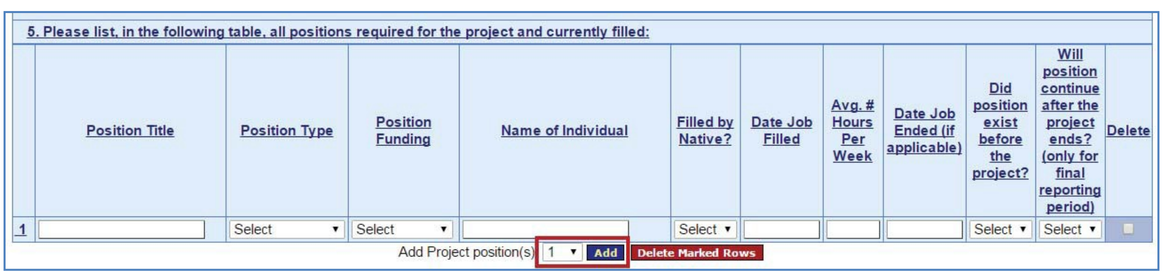


Figure 43: Report screen - Add row

6. Once a row is added, it may be deleted by selecting the **Delete** checkbox to the right of the row, and then clicking the **Delete Marked Rows** button.

Figure 44: Report screen -

7. A pop-up message appears stating “This will permanently delete the selected rows. Do you wish to proceed?” Click **OK**.

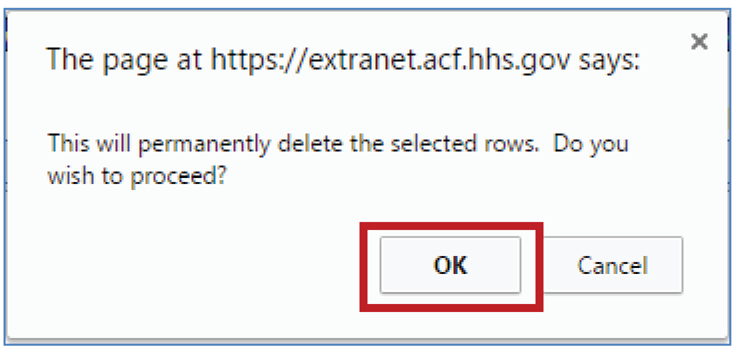


Figure 45: Pop-up message: This will permanently delete the selected rows. Do you

Note: The original row may not be deleted.

8. Click the paper clip icon within a cell to attach one or more files to that location.

*Note: File may also be attached to the report by using the **View/Add Attachments** button located towards the top and bottom of each section as well as on the Report Sections screen.*

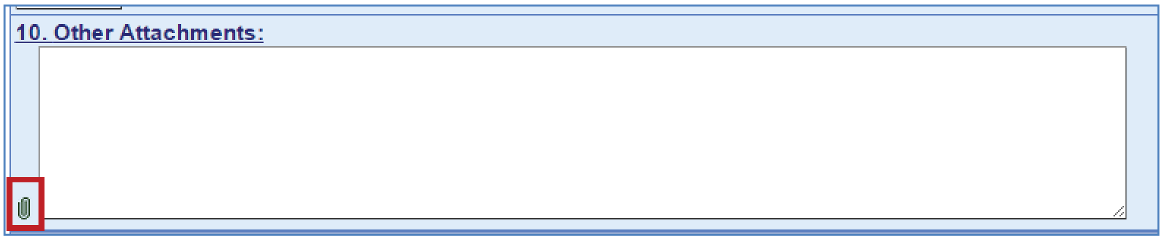


Figure 46: Paperclip - cell

Tip*: To avoid losing data, save the section before attaching documents.*

9. A warning message appears stating any changes not saved will be lost. Click **OK**.

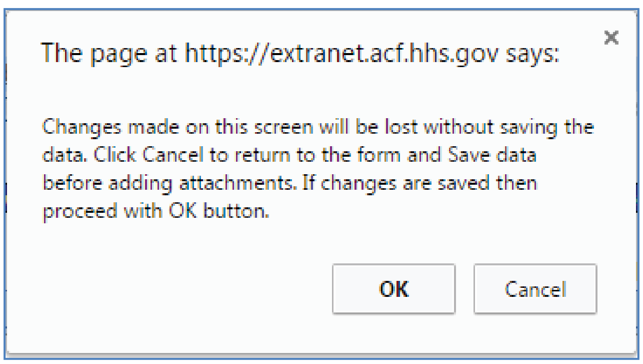


Figure 47: Warning message - any changes not saved

10. The “File Attachment” screen appears. Click **Choose File** to locate the file to attach (the file must be on your local machine or network).

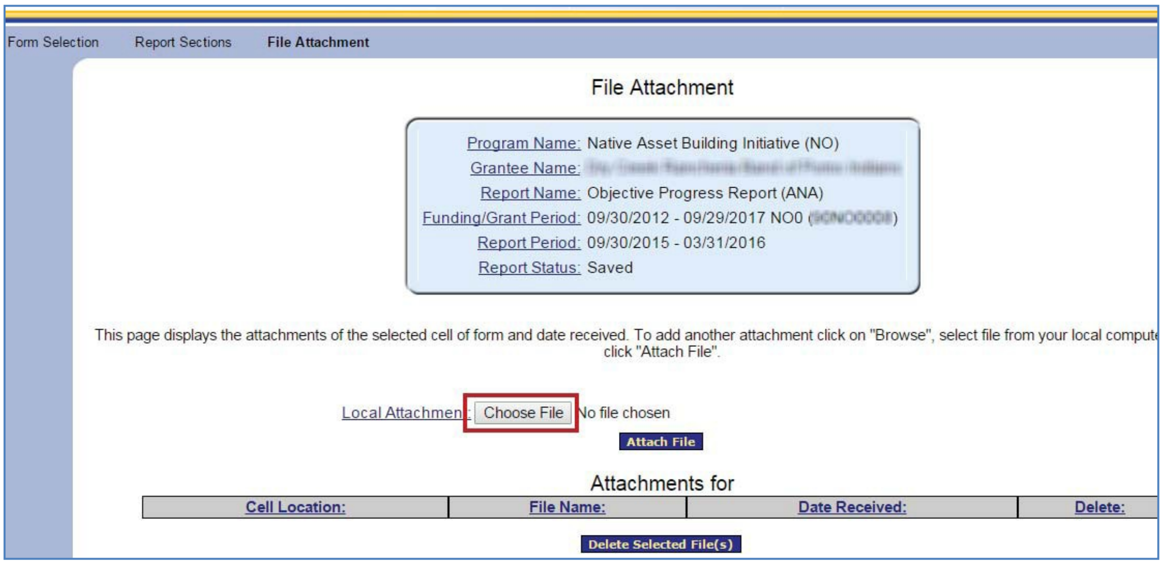


Figure 48: File Attachment

11. Select the desired file and then click the **Open** button.

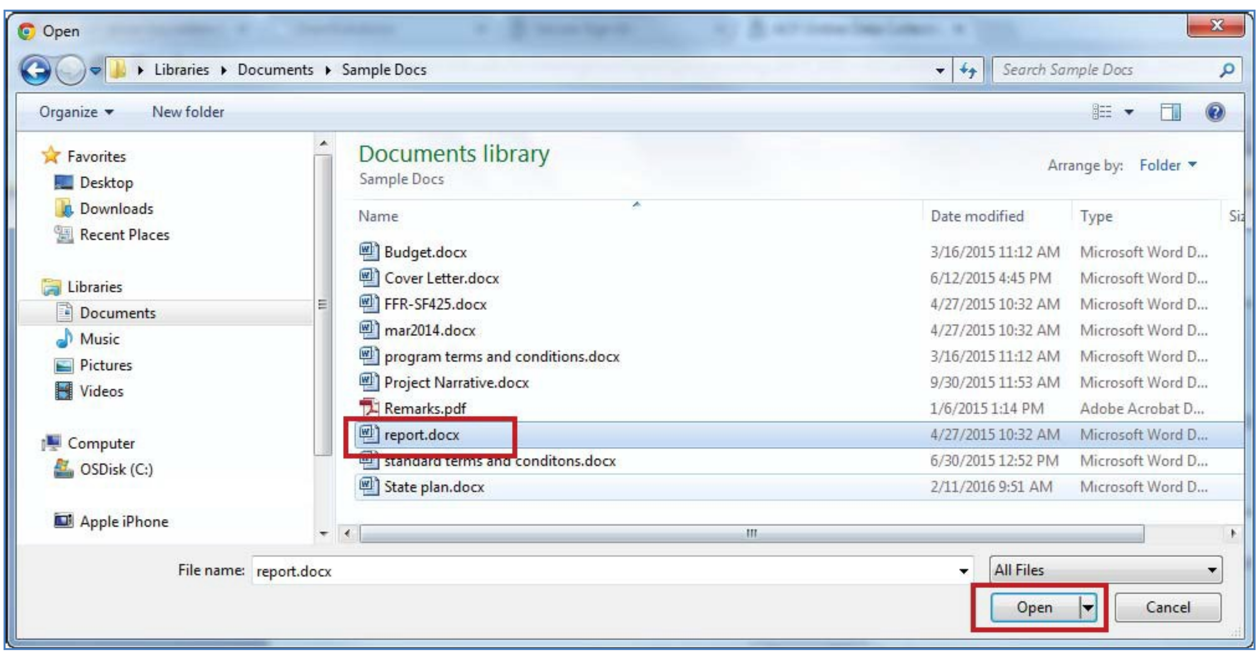


Figure 49: Open file

12. From the “File Attachment” screen click the **Attach File** button.

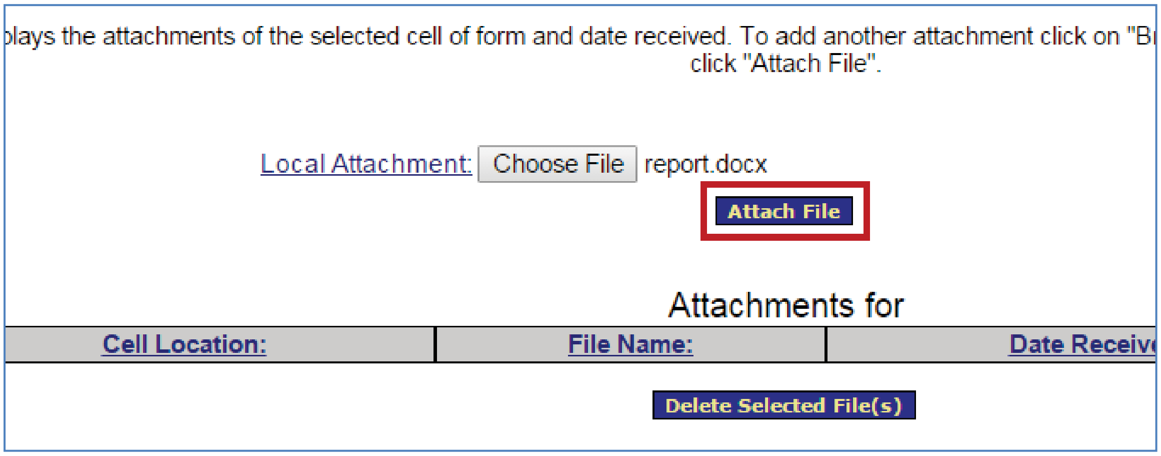


Figure 50: File Attachments screen - Attach File

13. The file is now attached to the report. Add additional files as desired.
14. To view the file, click the **file name** link from *the File Name* column.
15. To delete the attached file, click the **checkbox** from the *Delete* column and click the **Delete Selected Files** button.

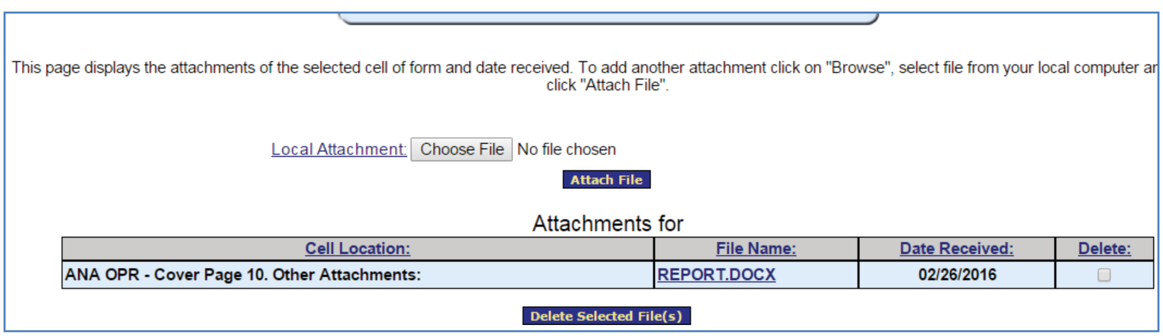


Figure 51: File Attachments

16. Return to the *Report Sections* screen to select a section to edit. Click the **Report Sections** link towards the top of the screen.

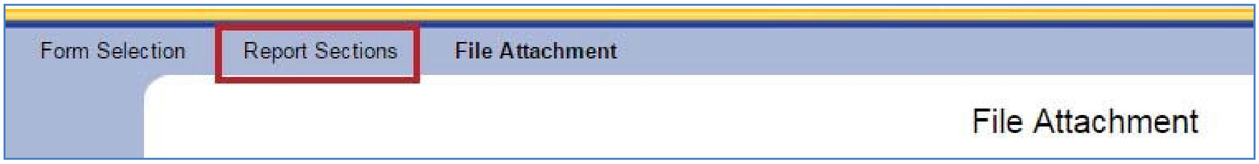


Figure 52: Report Sections

Validate

17. Once data is entered and saved for each section, the entire form must be validated. Validate checks the form for errors and missing data. Click **Validate** from a section or from the "Report Sections" screen.

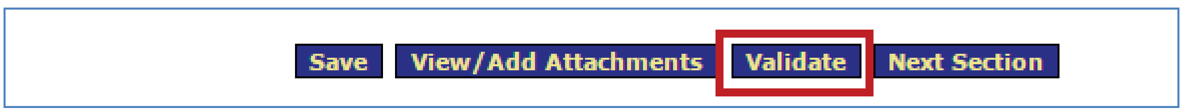


Figure 53: Validate

18. The screen refreshes and the status updates. If the report status is **Saved with Errors**, an error message appears at the top of the Report screen. The errors must be corrected and the report revalidated. Click the *Go to Error* link to go directly to the field in need of corrections. Click the *Long Description* link to view a description of the error.

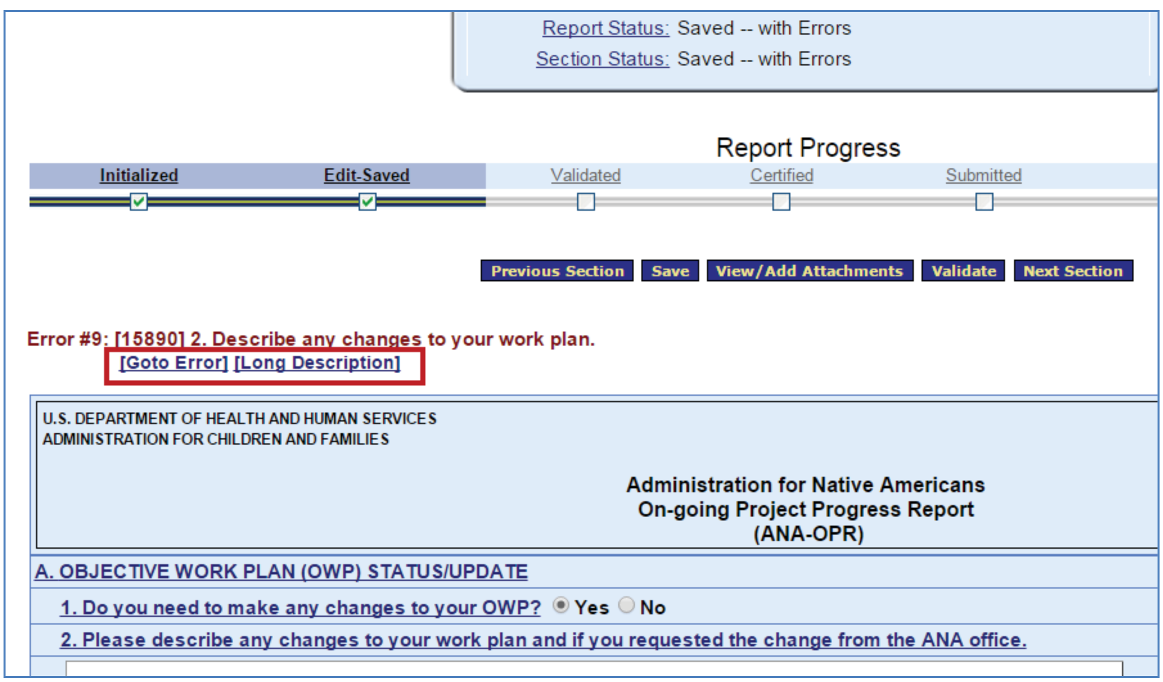


Figure 54: Validation error message - Go to Error and Long

19. If the status is Saved with Warnings, the warnings can either be corrected or the report can still proceed through the approval process.

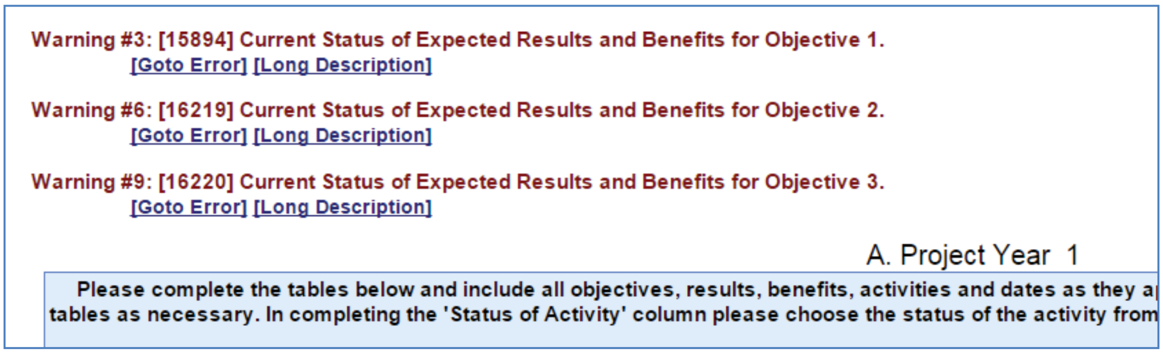


Figure 55: Report

Certify

20. After the entire report is successfully saved and validated (no errors), the Grantee Authorizing Official electronically signs the report. Click the **Certify** button from the "Report Sections" screen.

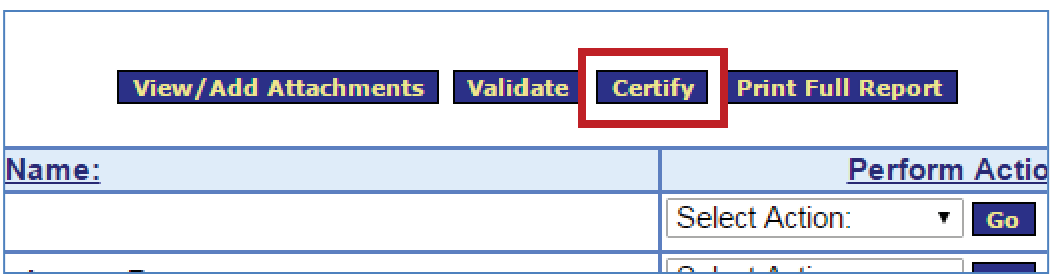


Figure 56: Report Sections screen - Certify

21. A pop-up message appears stating "Changes made after saving and validating this form will be lost. You have the ability to sign in the signature area by pressing the Click to Sign button. This will complete your Certify process and officially sign this form." Click **OK**.

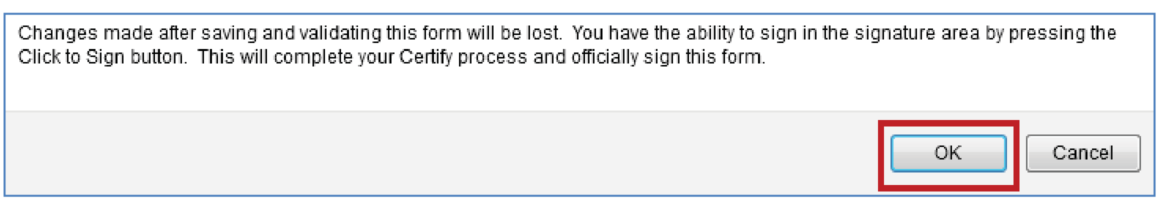


Figure 57: Pop-up

22. The “Cover Page” sections opens. In field 12b, select the **Click to Sign** button.

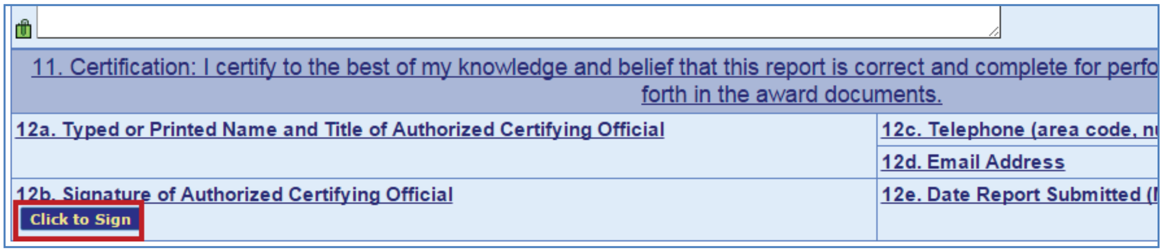


Figure 58: Cover Page - Click to Sign

23. The screen refreshes and the status is Certified. Click the **Report Sections** navigation link

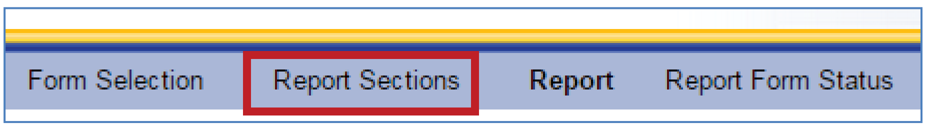


Figure 59: Report Sections

24. The “Report Sections” screen appears. Although the OPR is now locked down for changes, it can be UnCertified to open fields for modifications.

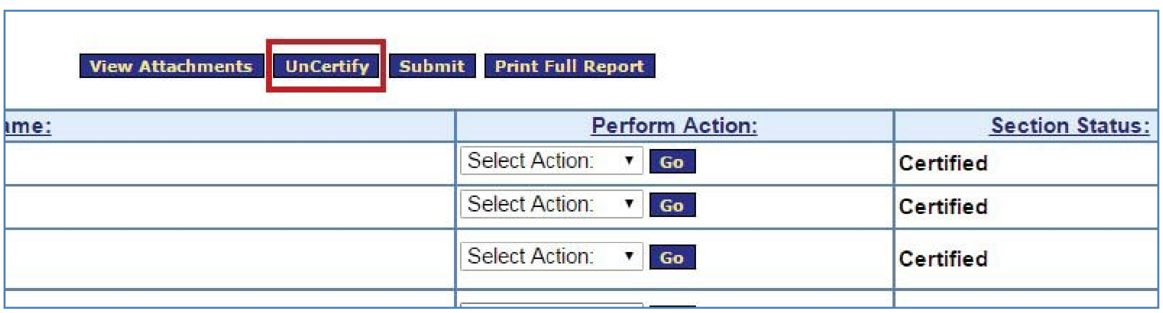


Figure 60: Report Sections screen - UnCertify

Submit

25. The last step is to electronically send the OPR to ANA. From the “Report Sections” screen, click the **Submit** button.

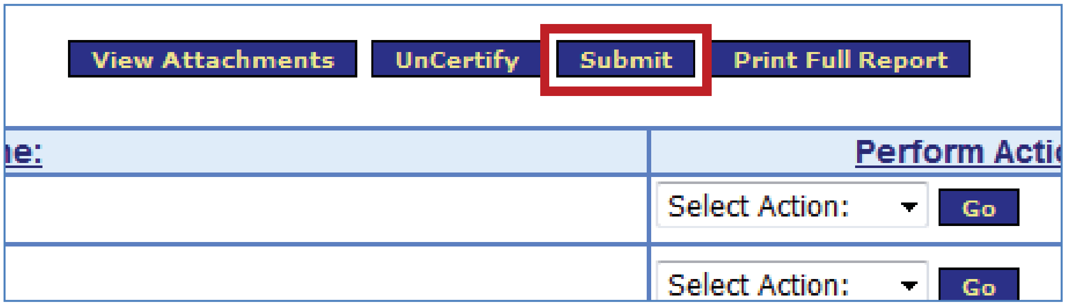


Figure 61: Report Sections screen - Submit

26. A pop-up message appears stating “This will officially submit your report. Do you wish to continue?” Click **OK**.

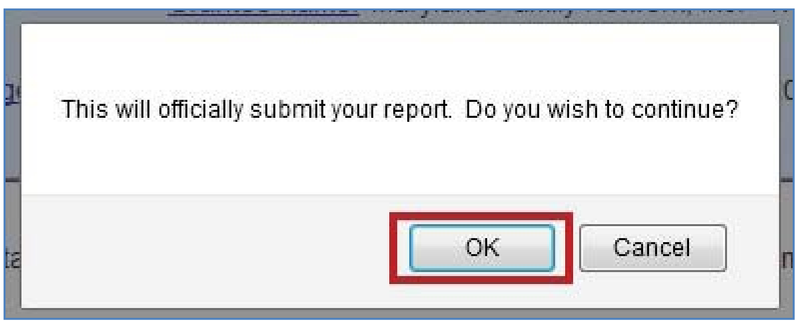


Figure 62: Pop-up

27. A confirmation message appears stating “We have received your report. This page shows all reports we have received along with attachments.” Click **OK**.

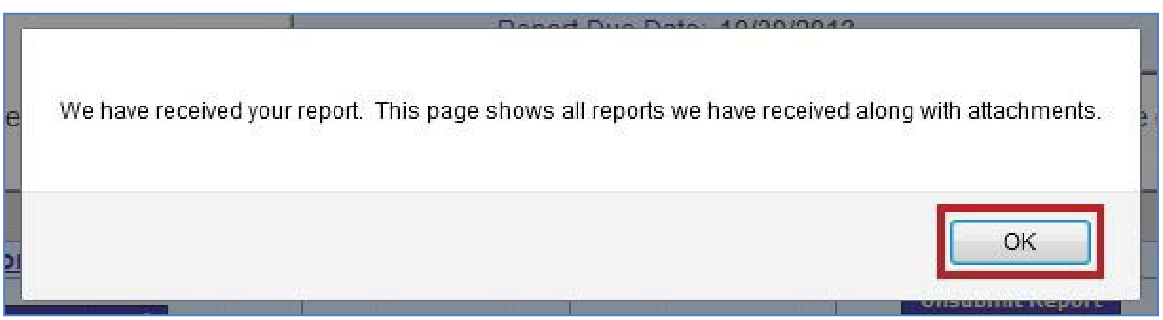
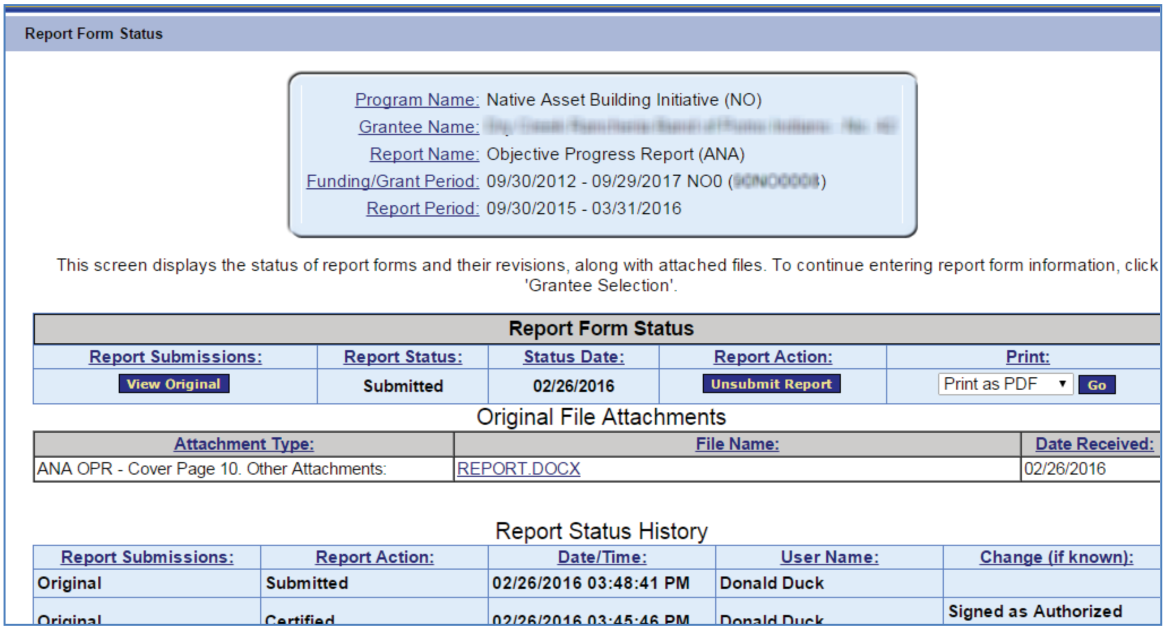


Figure 63: Confirmation

28. The “Report Form Status” page appears and the report is in the Submitted status.



Report Form Status

Program Name: Native Asset Building Initiative (NO)
Grantee Name: [redacted]
Report Name: Objective Progress Report (ANA)
Funding/Grant Period: 09/30/2012 - 09/29/2017 NO0 ([redacted])
Report Period: 09/30/2015 - 03/31/2016

This screen displays the status of report forms and their revisions, along with attached files. To continue entering report form information, click 'Grantee Selection'.

Report Form Status

Report Submissions:	Report Status:	Status Date:	Report Action:	Print:
View Original	Submitted	02/26/2016	Unsubmit Report	Print as PDF Go

Original File Attachments

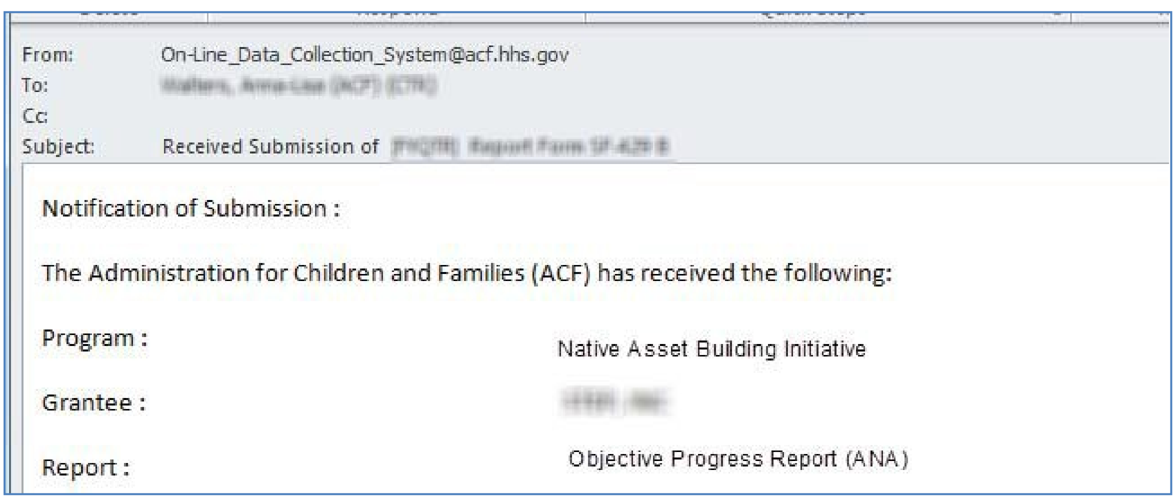
Attachment Type:	File Name:	Date Received:
ANA OPR - Cover Page 10. Other Attachments:	REPORT.DOCX	02/26/2016

Report Status History

Report Submissions:	Report Action:	Date/Time:	User Name:	Change (if known):
Original	Submitted	02/26/2016 03:48:41 PM	Donald Duck	
Original	Certified	02/26/2016 03:45:46 PM	Donald Duck	Signed as Authorized

Figure 64: Report Form Status

29. An email confirmation of the report submission is sent to designated grantors and grantees.



From: On-Line_Data_Collection_System@acf.hhs.gov
To: [redacted]
Cc:
Subject: Received Submission of [redacted]

Notification of Submission :

The Administration for Children and Families (ACF) has received the following:

Program : Native Asset Building Initiative

Grantee : [redacted]

Report : Objective Progress Report (ANA)

Figure 65: Email Notification of

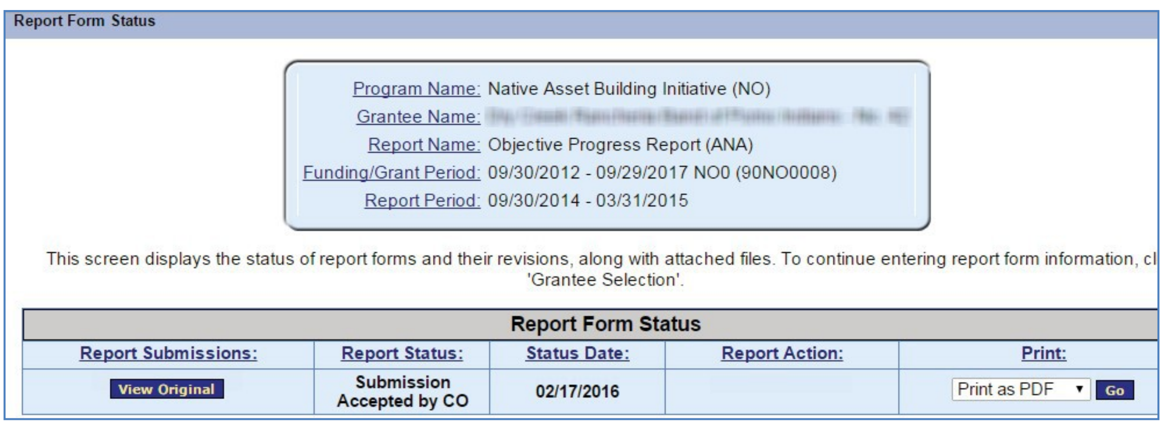
Report Form Status Page

The “Report Form Status” page is an excellent resource for following a report’s progress. From the Status page, easily check the OPR’s Status, Attachments, History, and Contact information.

Report Form Status Table

The *Report Form Status* table contains the following columns:

- **Report Submissions:** Depending on a report’s status, *Report Submissions* allows a user to either view submitted reports or edit reports in progress.
- **Report Status:** Tracks the steps a report has taken within OLDC. For example, a new report form displays an "Initialized" status. After a report is saved, the status changes to "Saved".
- **Status Date:** The last time a change was made to the report.
- **Action:** The *Action* a user can perform depends on the status of the report. For example, a Certified report can be Submitted from the Status page, and a Submitted report can be Unsubmitted as long as it is not yet under Review by Federal Staff.
- **Print:** Allows the user to view or print the report as a PDF.


Report Form Status

Program Name: Native Asset Building Initiative (NO)
Grantee Name: [illegible]
Report Name: Objective Progress Report (ANA)
Funding/Grant Period: 09/30/2012 - 09/29/2017 NO0 (90NO0008)
Report Period: 09/30/2014 - 03/31/2015

This screen displays the status of report forms and their revisions, along with attached files. To continue entering report form information, cl 'Grantee Selection'.

Report Form Status				
Report Submissions:	Report Status:	Status Date:	Report Action:	Print:
View Original	Submission Accepted by CO	02/17/2016		Print as PDF Go

Figure 66: Report Form Status Page - Report Form

File Attachments

All files attached to the OPR are available from the File Attachments sections.

Report Form Status				
Report Submissions:	Report Status:	Status Date:	Report Action:	Print:
View Original	Submitted	02/26/2016	Unsubmit Report	Print as PDF Go

Original File Attachments

Attachment Type:	File Name:	Date Received:
ANA OPR - Cover Page 10. Other Attachments:	REPORT.DOCX	02/26/2016

Figure 67: File Attachments

History

The Status page contains information about a report's History, such as the name of the person who validated the report and the date and time the action was taken.

Report Status History

Report Submissions:	Report Action:	Date/Time:	User Name:	Change (if known):
Original	Submitted	04/18/2013 04:30:24 PM	Anna-Lisa Walters	
Original	Certified	04/18/2013 04:25:59 PM	Anna-Lisa Walters	Signed as Authorized Official
Original	Saved -- Validated	04/18/2013 04:09:57 PM	Anna-Lisa Walters	
Original	Saved -- with Errors	04/18/2013 04:09:37 PM	Anna-Lisa Walters	
Original	Saved -- with Errors	04/18/2013 03:59:23 PM	Anna-Lisa Walters	
Original	Saved	04/18/2013 03:20:31 PM	Anna-Lisa Walters	
Original	Saved -- with Errors	04/15/2013 03:58:28 PM	Anna-Lisa Walters	
Original	Saved	04/15/2013 03:57:27 PM	Anna-Lisa Walters	

Figure 68: Report Form Status Page -

Contacts

A list of primary contact names, phone numbers, and e-mail addresses are listed under *Contacts* on the Status page.

Contacts

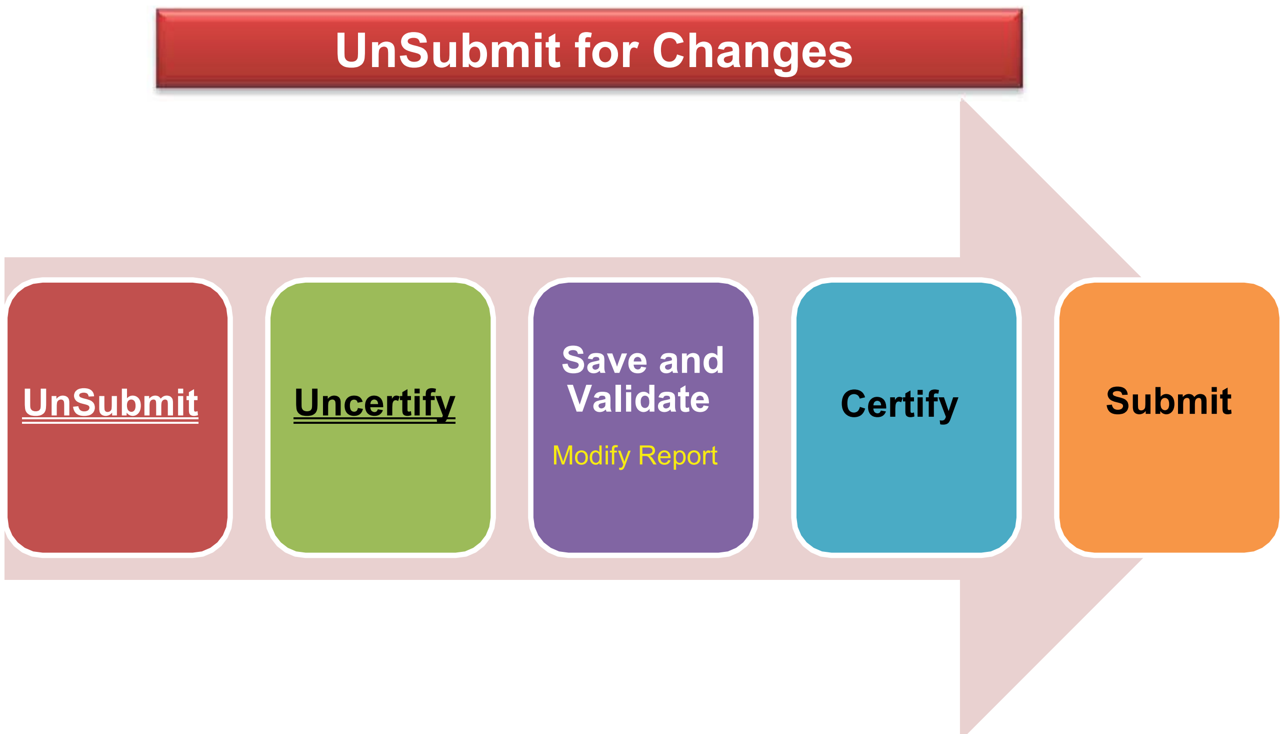
Contact Name:	Telephone #:	E-mail:
John Smith	(202) 555-1212	jsmith@email.com
Mary Jones	Not Available	mjones@email.com
Mike Dough	(202) 555-1212	mdough@email.com

Figure 69: Report Form Status Page -

Change a Submitted Report

When a report is submitted by the grantee but is not yet *In Review* by ANA, the grantee may take the report back to make changes. Contact ANA if the report is already in the Review status.

When a report is edited, it must be re-Validated, Certified, and Submitted to complete the process. Previous due dates apply.



Revisions

Once the OPR is approved, the process is complete. However, if a grantee needs to make a change, they have the option of creating a Revision.

A Revision is an exact duplicate of the Accepted OPR, only the data fields are open and modifications can be made. The original report does not change and can be accessed by clicking "View Original" from the Report Form Status page.

There is no limit to the number of Revisions for a single report. However, if a Revision is made after the OPR's due date, the Grantee is not able to submit the Revision and must instead contact the ANA for assistance.

Note: Revisions may only be created for the OPR. To request changes to the OWP, please contact ANA staff.

To create a revision:

1. Log into the GrantSolutions Grants Management Module (GMM) (www.grantsolutions.gov).
2. Click the menu Online Data Collection.

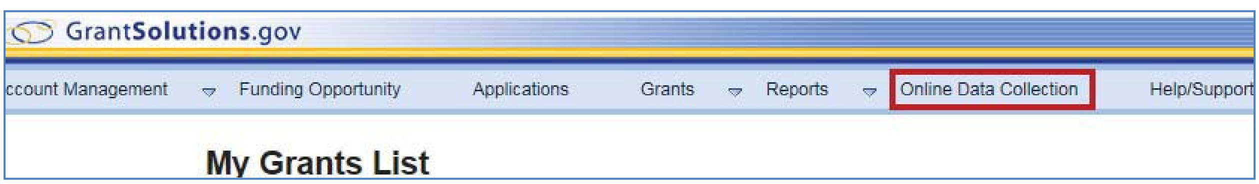


Figure 70: My Grants List - Online Data

3. The OLDC "Home" screen appears. Click **Report Form Entry**.

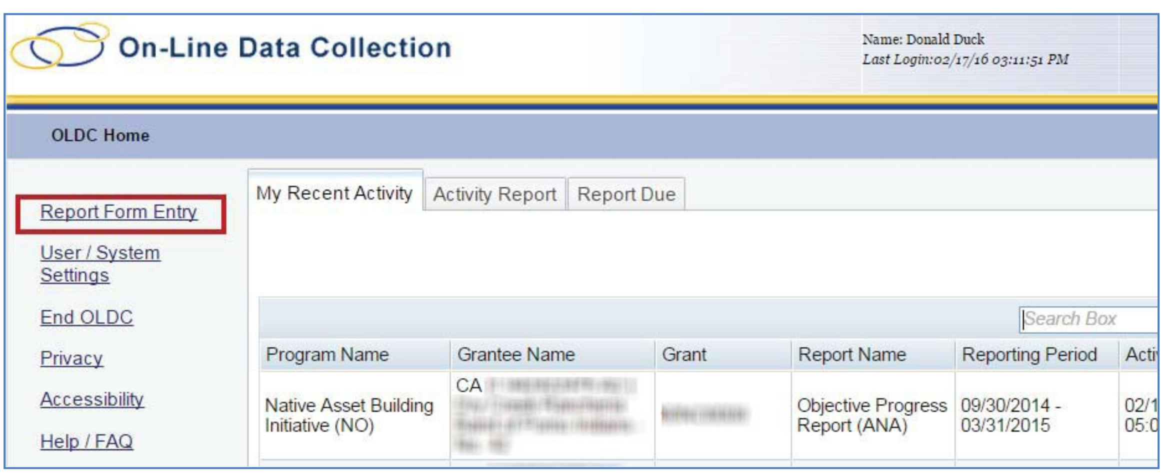


Figure 71: OLDC Home - Report

4. The “Form Selection” screen displays. Select the **Program Name**, **Grantee Name**, and **Report Name** (in that order).

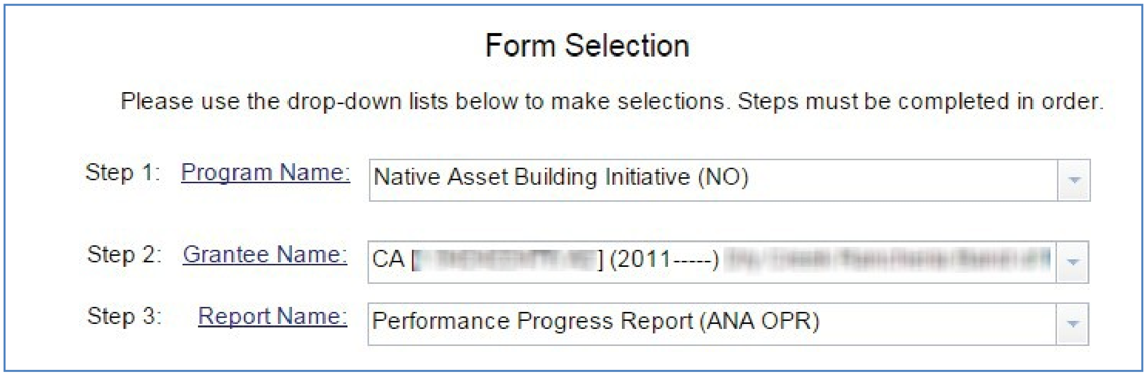


Figure 72: Form Selection screen -

5. The screen refreshes. Select the **Funding/Grant Period** from the drop-down list.
6. Select the **Report Period** radio button.

Important: Ensure the Report Status is *Submission Accepted by CO*.

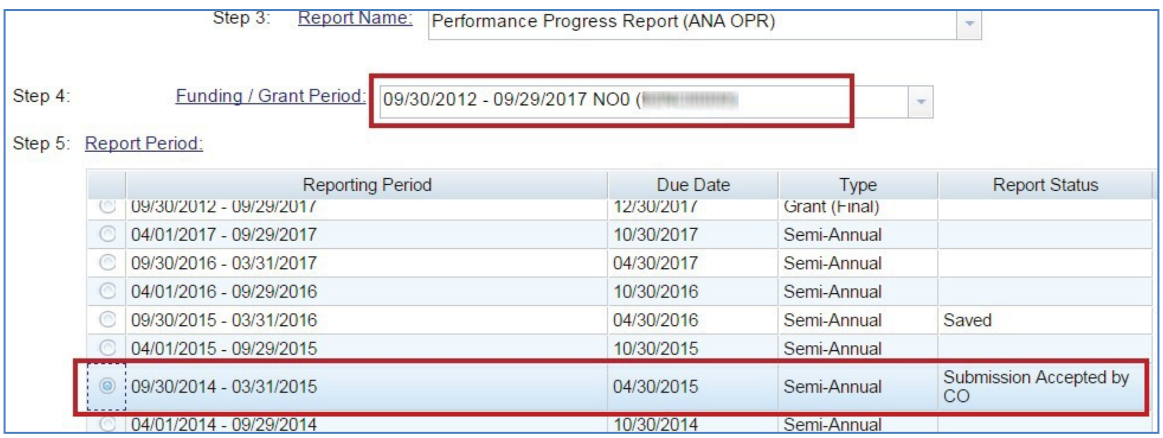


Figure 73: Form Selection screen -

7. Select the Action **New/Edit/Revise Report**, and then click the **Enter** button.

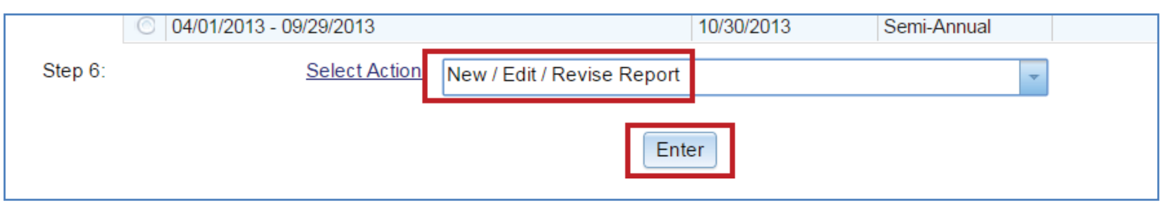


Figure 74: Action - New/Edit/Revise Report and Enter

8. The "Report Sections” screen opens. The screen appears exactly like the original report. However, the report name now also includes the **Revision number**.

Figure 75: Report Sections screen -

The submission of a Revision follows the exact same process as the submission of the original OPR: Initialize, Save, Validate, Certify, and Submit. If a Revision needs to be made after the due date is passed, the Federal Office may need to submit on behalf of the grantee.

When a Revision is submitted, the “Report Form Status” page appears. The most recent Revision is listed first in the Status table, followed by earlier Revisions, and ending with the original Accepted Report.

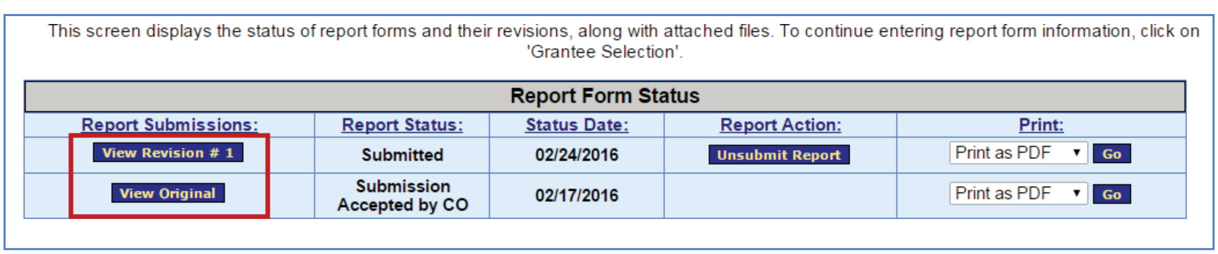


Figure 76: Report Form Status

Help Resources

The Center of Excellence Support Center provides assistance for GMM and OLDC customers.

Email: help@grantsolutions.gov

Phone: 866-577-0771

Appendix 4: Annual Data Report Instructions and Blank Form

This Annual Data Report form is also completed in the OLDC on GrantSolutions.gov. A copy is on the thumb drive provided at the Post Award Training for your reference; however, you will complete the actual report in the OLDC. The following pages contain the instructions for filling out the form.

Annual Data Report (ADR) Instructions

Detailed instructions on how to complete the ADR are below. Use these instructions when completing the activities below and when responding to the request for information contained in the ADR.

Impact Indicators

Item 1: Fill out the actual change during this reporting period that has occurred on the indicator as listed from your original application.

Native Youth and Elder Engagement

Item 1: Select "yes" if the project provided any activities involving Native Youth or Elders during this reporting period. Select "no" if there were no activities involving Native youth or Elders during this reporting period. Select "not applicable" if you did not intend to have Native youth or Elder activities as a part of your project.

Item 1a: If "yes" is selected, list the title and a brief description of the activity. Also indicate the total number of youth participating, the total number of new youth participating, total number of Elders participating and total number of new Elders participating in the activities listed.

Item 2: Select "yes" if any of the activities involving Elders and/or youth promoted cultural preservation during this reporting period. Select "no" if not.

Item 2a: If "yes" is selected, please provide a description of how the activities promoted cultural preservation during this reporting period.

Item 3: Select "yes" if the project engaged in youth leadership or leadership development during this reporting period. Select "no" if not.

Item 3a: If "yes" is selected, please provide a description of how the activities promoted youth leadership or leadership development during this reporting period.

Project Development

List the name of the writer(s) of the grant application, with their title. Indicate if they are program staff or not, a consultant to the project, Native American, and/or a tribal member.

Partnerships

Item 1: Enter any partnerships formed during this reporting period. Select whether they are New from the start date of the project; or if they are Pre-existing from before the start date of the project. Select the type of partner from the drop-down menu and indicate the resources the partner(s) contributed to the project. Lastly, update the number of partners since the beginning of the project.

Item 2: Enter the name of any potential organizations or individuals whose partnership would benefit the project. Indicate their potential role in support of the project.

Community Involvement and Participation in the Project

Item 1: Select "yes" if any volunteers were utilized in the implementation of the project. Select "no" if not.

Item 1a: If "yes" is selected in Item 1, please indicate the number of unduplicated volunteers who contributed to the project. Update this number each reporting period so that by project's end all unduplicated volunteers are reflected.

Item 1b: If "yes" is selected in Item 1, please indicate the contribution that the volunteers made to the project.

Item 1c: Indicate how many hours the volunteers contributed to the project during this reporting period. Update this number each reporting period so that by project's end any unduplicated volunteers are reflected.

Item 2: If community participation is an intended part of the project, select the estimated level of actual community participation compared with desired participation. Select "not applicable" if there was no active community participation intended for the project.

Use of On-going Project Data

Item 1: Indicate how the project used project information (data), if any, to improve or extend the implementation of the project.

Item 2: Indicate how the project measured results and benefits as a direct result of the project.

Item 3: Select "yes" if the project obtained feedback from community members about the project's progress. Select "no" if not.

Item 3a: If "yes" is selected, indicate how the project used the feedback.

Project Benefits

Item 1: Indicate what changed in the service community as a result of the project. Please list both intended and unintended changes, either positive or negative.

Item 2: Select "yes" if any businesses were created due to the project. Select "no" if not.

Item 2a: If “yes” is selected, indicate how many businesses were created.

Item 2b: If “yes” was selected, identify what type(s) of businesses were created.

Item 3: Select “yes” if any members of your community, including project staff, completed training sponsored or arranged by the project in order to learn a new skill, gain knowledge, developed expertise, earned a credential, or otherwise obtained beneficial experience during this reporting period. Select “no” if not.

Item 3a: If “yes” is selected, indicate the name of the training or workshop, a description of skills or knowledge developed, number of people who completed the training, number of those who completed the training were project staff, number of new people who completed the training and total number of hours to complete the trainings.

Item 4: Select “yes” if any ordinances, codes, regulations, or other governmental documents developed during this reporting period. Select “no” if not.

Item 4a: If “yes” is selected, indicate the type of ordinance, code or regulation developed from the drop-down menu, give a brief description of the ordinance, code or regulation, indicate whether the ordinance, code or regulation was passed, and indicate if the ordinance, code or regulation was implemented. If implemented, briefly explain how it was implemented.

Item 5: Select “yes” if any materials or resources were created during this reporting period. Select “no” if not.

Item 5a: If “yes” is selected, list the material or resource created. Select the type of resource from the drop-down menu. Indicate if this was electronic or technology based and give a brief explanation on how the material or resource supported the project’s goals.

Item 6: Select “yes” if the project has a plan in place to secure post-project funding to continue or extend project benefits. Select “no” if not.

Item 6a: If “no” is selected, please indicate whether the project would like ANA’s assistance in establishing a sustainability plan.

Item 7: Describe any collaboration with partners, including federal, tribal, or state partnership to continue or extend project outcomes, services, and activities in order to achieve your community’s desired long-term goals after this ANA project ends. Select “not applicable” if partnerships are not needed to continue the long-term goals after this ANA project ends.

LESSONS LEARNED AND ADDITIONAL SUPPORT

Item 1: Describe any lessons learned, promising practices, innovations, etc. you think could help similar projects overcome or resolve obstacles for other projects.

Item 2: Describe any additional support or resources that ANA could provide or arrange to help your project overcome or resolve obstacles you have encountered in the reporting period.

PROJECT SPECIFIC

SUSTAINABLE EMPLOYMENT AND ECONOMIC DEVELOPMENT (SEEDS) PROJECTS ONLY

Item 1: Attach a completed copy of your most current SEEDS Data Collection Sheet with each ADR submission.

Item 2: Please describe any added benefits that have been realized due to participants' new employment or business growth, such as less reliance on public subsidies, home ownership/rental, increased access to health care, etc.

ALL LANGUAGE PROJECTS ONLY

Item 1: Identify the language or language family addressed by your project.

Item 2: Select the options that best complete the sentence "My language project uses ANA grant funds to ." Select any that apply and only update if there are any changes from the previous reporting period. If "other" is selected, describe how the project will best use its funds to accomplish the stated goals.

Item 3: Select "yes" if any language surveys or assessments developed. Select "no" if not. If "yes" is selected, provide blank copies with the ADR submission for this reporting period.

Item 3a: If "yes" is selected in Item 3, indicate how many different surveys or assessments were developed.

Item 3b: If "yes" is selected in Item 3, indicate how many different surveys or assessments were distributed and how many returned.

Item 3c: If "yes" is selected in Item 3, describe the overall purpose of any surveys or assessments.

Item 4: Select "yes" if any language classes conducted during this reporting period. Select "no" if not.

Item 4a: If "yes" is selected, select the proficiency level from the drop-down menu. Indicate the total number of classes, total number of class hours, and total number of students.

Select whether the classes were immersion. Indicate the average age of the students.

Item 4b: If the average age of language learners was between 0-6 years of age, select "yes" if the project has an on-going relationship with one or more Head Start or Early Head Start programs. Select "no" if not. Select "not applicable" if the project does not serve children ages 0-6 years of age.

Item 5: If instruction is part of your language project, describe any methods, materials, and strategies used, during the reporting period, to measure progress in language proficiency or fluency.

Item 6: If applicable, indicate how many new youth increased their ability to speak a Native language (language proficiency) during this reporting period. Update this number each reporting period so that by project's end any unduplicated youth who increased proficiency are reflected.

Item 7: If applicable, indicate how many new adults increased their ability to speak a Native language (language proficiency) during this reporting period. Update this number each reporting period so that by project's end any unduplicated adults who increased proficiency are reflected.

Item 8: If applicable, select "yes" if any youth achieved fluency in a Native language. If "yes" is selected, indicate how many. Update this number each reporting period so that by project's end any unduplicated youth who achieved fluency in a Native language are reflected. Select "no" if not applicable, or none achieved fluency.

Item 9: If applicable, select "yes" if any adults achieved fluency in a Native language. If "yes" is selected, indicate how many. Update this number each reporting period so that by project's end any unduplicated adults who achieved fluency in a Native language are reflected. Select "no" if not applicable, or none achieved fluency.

Item 10: If applicable, select "yes" if any language teachers were trained during this reporting period. Select "no" if not applicable, or no teachers were trained.

Item 10a: If "yes" is selected, indicate how many of these teachers received training in language instruction. Update this number each reporting period so that by project's end any unduplicated teachers trained are reflected.

Item 10b: Indicate the type of training that these teachers received related to language instruction. Select both if applicable.

Item 10c: Indicate the number of teachers who received training in an area other than instruction. Describe the trainings received.

Item 10d: Select "yes" if any of the teachers received a certification or credential as a result of training. Select "no" if not.

Item 10e: If "yes" was selected in Item 12d, indicate which organization issued the certification or credential.

Item 10f: If "yes" was selected in Item 12d, indicate the number of teachers who received a certification or credential.

Item 11: Describe any additional support or resources that ANA could provide or arrange to help your Language project overcome or resolve obstacles you have encountered in the reporting period.

Item 12: Describe any lessons learned, promising practices, innovations, etc. you think could help similar projects overcome or resolve obstacles for other projects.

ESTHER MARTINEZ IMMERSION (EMI) PROJECTS ONLY

Item 1: Select whether this project serves a Language Nest, Survival School or is a Restoration Program.

Item 2: Describe what, if any, obstacles or delays in meeting the requirements for the specific EMI language project. Select "not applicable" if there were no obstacles or delays.

ENVIRONMENTAL REGULATORY ENHANCEMENT (ERE) PROJECTS ONLY

Item 1: Select "yes" if the project collected environmental baseline data. Select "no" if not.

Item 1a: If "yes" is selected, describe what was learned from the data and how it will be used.

Item 2: Select "yes" if the project collected data to monitor environmental conditions. Select "no" if not.

Item 2a: If "yes" is selected, briefly describe what was learned from the data and how it will be used.

Item 3: If applicable, briefly describe how the project resulted in increased capacity for the Tribe to manage its physical resources and/or the environmental quality on tribal lands during this reporting period.

Item 4: Select "yes" if there were any improvements in the environmental quality on tribal lands as a result of this project. Select "no" if not. Select "not applicable" if actual improvement in environmental quality is not a part of this project. Select "to be determined" if the improvement in environmental quality is part of a later phase of the project.

End-of-Project Addendum – BENEFITS, RESULTS, AND OUTCOMES

This section should be completed only in the final reporting period of the project and reflect the entire project period.

Beneficiaries

Identify any individuals or groups of individuals who benefited as a direct result of this project. In order to protect privacy of individuals, it is acceptable to use only the first name. Select the beneficiary type from the drop-down menu. Describe in as much detail as possible the positive change that occurred as a direct result of this project overall.

Problem Statement and Project Goal

Item 1: Describe the extent to which the overall goal of the project was achieved at the end of the project period.

Item 2: Describe the extent to which the condition identified or environment described in the problem statement was addressed by the end of the project period.

Community and External Data

Item 1: Describe any changes in your organization/community as a direct result of this project.

Item 2: Indicate any information, feedback, observation(s), input, or other data collected from your community.

Continuation/sustainability of Project Goals, Results, and Efforts

Item 1: Describe any promising practices from your project.

Item 2: If you could do this project over again, describe in as much detail what you would do differently, if applicable.

Item 3: Select "yes" if your project disseminated your project's accomplishments and successes, internally and externally. Select "no" if not.

Item 3a: If "yes" is selected, describe how your project disseminated your project's accomplishments and successes, internally and externally.

Item 4: Describe in as much detail as possible what outcomes, services, and activities you want to continue or extend after the project has ended, including any new activities intended to achieve your community's desired long-term goals.

Item 5: Indicate how the project intends to financially continue or extend desired project outcomes, services, and activities after this ANA-funded project ends. Check all that apply.

Item 6: Indicate what level of funding the project currently has in place to continue or extend project benefits beyond the project period. If either "Some, but not all needed funding has been secured to continue or extend project benefits" or "Still seeking needed funding, none currently in place" is selected, describe any plans or efforts being made to secure additional resources to sustain desired project outcomes, services, and activities.

Annual Data Report (ADR)

Program Name: Grant Languages Program (NL)
Grantee Name:
Report Name: Annual Data Report (ADR)
Funding/Grant Period:
Report Period: 08/01/2018 to 10/31/2018
Report Status: Saved

Report Sections>

Annual Data Report (ADR) - Cover Page

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13): Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Please Note: Many of the questions in this form ask for a "total number" of people as well as a "new number." The total number refers to all of the people that participated in a particular activity, whereas the new number refers to the individuals that were participating in the project for the first time and had not been counted before. For example, if a total of six individuals completed training X, but two of those individuals had already completed previous training(s) during the project, then the number of new people that completed training X would be four.

1. Grantee Name	**2. Grant Number**	**3. Grant Type** Grant Languages Program (NL)

Address Line 1:				
Address Line 2:				
Address Line 3:				
City	**State**	**Zip Code**	**Zip Ext.**	**4. Reporting Period End Date:** 10/31/2018

A. INDICATOR(S)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans

Annual Data Report (ADR)

A. INDICATOR(S)

Your approved project indicator or indicators are identified below, as well as your pre-grant status (baseline measure), end-of-project target, three year target, and means of measurement.

Indicator	Pre-Grant Status	End of Project Target	Three Year post Project Target	Means of Measurement

1. For each indicator, please report on the actual change that has occurred so far. For example, if your indicator is the unemployment rate, list the actual unemployment rate at the end of the reporting period.

Indicator	Actual Change During Reporting Period

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

B. NATIVE YOUTH AND ELDER ENGAGEMENT

For each reporting period, please update the table below if any project activities occurred in which Native youth or Elders participated. This table should reflect only those activities occurring within the reporting period so that, by project's end, all activities that took place are reflected.

1. During this reporting period, did this project provide any opportunities or activities for Native youth or Elders?	Yes No Not Applicable

1a. If yes, please complete the following table:

Title/Description of Activity	Total Number of Youth Participating	Number of New Youth Participating	Total Number of Elders Participating	Number of New Elders Participating

2. During this reporting period, did any of the above activities involving Elders and/or youth promote cultural preservation?	Yes No
2a. If yes, please describe:	
3. During this reporting period, has the project engaged youth in leadership development activities?	Yes No
3a. If yes, please describe:	

C. PROJECT DEVELOPMENT

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

C. PROJECT DEVELOPMENT

Please identify who wrote the grant application in the table below:

Name	Title				
		☐ Program Staff	☐ Consultant	☐ Native	☐ Tribal Member

D. PARTNERSHIPS

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

D. PARTNERSHIPS

1. For each reporting period, please add those partnerships relevant to the reporting period.

Name of Partner	New = Partnership Formed During the Project Pre-Existing = Partnership Existed Prior to the Project	Type of Partner	Resources Contributed to the project by the Partner

2. If there are any potential organizations or individuals that your project would like to partner with, but have not yet been able to, please indicate below:

Name of Potential Partner	Potential Role in Support of the Project

E. COMMUNITY INVOLVEMENT AND PARTICIPATION IN THE PROJECT

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

E. COMMUNITY INVOLVEMENT AND PARTICIPATION IN THE PROJECT

1. During this reporting period, have any volunteers (unpaid individuals providing service or resources to the project) been utilized in the implementation of your project?	○ Yes ○ No
1a. How many individual (unduplicated) volunteers?	
1b. What contribution(s) did volunteers make to the project?	
1c. How many total hours did volunteers work during this reporting period?	

2. During this reporting period, if community participation is intended as part of your project, what is your estimate of the level of actual community participation compared with desired participation? This may include, but is not limited to, the intended beneficiaries of the project.

○ No Community Participation
○ 50% or Less Community Participation
○ More Than 50% Community Participation
○ Desired Community Participation Achieved
○ Not Applicable

F. USE OF OF ON-GOING PROJECT DATA

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

F. USE OF OF ON-GOING PROJECT DATA

1. During the reporting period, how did your project use project information (data) to improve implementation of the project?	
2. During the reporting period, how did you measure results or benefits occurring as a result of the project?	
3. During the reporting period, did you obtain feedback from community members to get their viewpoints on project progress?	○ Yes ○ No
3a. If yes, how did you use such feedback?	

G. PROJECT BENEFITS

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

G. PROJECT BENEFITS

1. During the reporting period, what changed in your community as a result of the project? These may include expected and unexpected and intended and unintended changes as well as positive and negative changes.

2. During this reporting period, were any businesses created due to the project?	○ Yes ○ No
2a. If yes, how many businesses?	

2b. If applicable, please identify what type(s) of businesses were created (e.g. suppliers of materials, food processing firms, etc.):

3. During this reporting period, did any members of your community, including project staff, complete training sponsored or arranged by the project in order to learn a new skill, gain knowledge, develop expertise, earn a credential, or otherwise obtain beneficial experience during this reporting period?	○ Yes ○ No

3a. If yes, please update the following table during each reporting period, as applicable. The table should reflect only those trainings occurring in the reporting period.

Name of Training or Workshop	Description of Skills or Knowledge Developed	Total # of People Who Completed Training	# of People Who Were Project Staff	# of New People Who Completed Training	Total Number of Hours to Complete Training

4. Were any ordinances, codes, regulations, or other governmental documents developed during this reporting period?	○ Yes ○ No ○ Not Applicable

4a. If yes, please update the following table, reflecting just this reporting period, as applicable.

Type of Ordinance, Code, or Regulation	Brief Description of the Ordinance, Code, or Regulation	Was the Ordinance, Code or Regulation adopted/passed?	Was the Ordinance, Code or Regulation implimented?	If implemented, please explain how. If not, please explain why?
		○ Yes ○ No	○ Yes ○ No	

5. During the reporting period, did the project create any materials or resources (e.g., curricula, training materials, translated written materials,	○ Yes ○ No

5a. If yes, please update this table, reflecting just the current reporting period, as applicable. Once a particular resource is entered, it should not be entered again in subsequent reporting periods unless a new resource was created.

Material or Resource Created Due to the Project	Type of Resource	Electronic/Technology Based	How does this material or resource support the project's goals?
		○ Yes ○ No	

6. Does your project currently have a plan in place to secure post-project funding to continue or extend project benefits?	○ Yes ○ No
6a. If no, would you like ANA's help with establishing such a plan?	○ Yes ○ No

7. Please describe any collaboration with partners, including federal, tribal, or state partnership to continue or extend project outcomes, services, and activities in order to achieve your community's desired long-term goals after this ANA project ends.

H. LESSONS LEARNED AND ADDITIONAL SUPPORT

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION FOR CHILDREN AND FAMILIES	OMB Clearance No.: 0970-0475 Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

H. LESSONS LEARNED AND ADDITIONAL SUPPORT
1. Please describe any lessons learned, promising practices, innovations, etc. you think could help similar projects overcome or resolve obstacles you have encountered in the reporting period related to the success of the project.
2. Please identify support or resources that ANA could provide or arrange to help your project overcome or resolve obstacles you have encountered in the reporting period.

I. LANGUAGE PROJECTS

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

I. LANGUAGE PROJECTS

1. Please identify the language or language family addressed by your project

2. Please complete the following sentence by checking all that apply from the following list:

My language project uses ANA grant funds to: (Select all that apply and only update if there are any changes from the previous reporting period)

- ☐ **Assess or measure langauge fluency or proficiency**
- ☐ **Provide classroom language instruction**
- ☐ **Provide language instruction via language immersion classes**
- ☐ **Provide language instruction in the home**
- ☐ **Train language instructors**
- ☐ **Develop language materials**
- ☐ **Compile, transcribe or analyze oral testimony or records**
- ☐ **Other**

Please explain

3. During this reporting period, were any language surveys or assessments developed ○ Yes ○ No

If yes, please include blank copies with the ADC submission

3a. If yes to Question 3, how many different surveys or assessments were developed ?

3b. If yes to Question 3, how many total surveys or assessments were distributed, and how many were returned ?

Distributed: **Returned:**

3c. If yes to Question 3, please describe the overall purpose of any surveys or assessments that were developed (for example, to assess the current number of proficient speakers, to gauge community members interest in taking language classes, to measure progress, etc.) :

4. Were language classes conducted during this reporting period ○ Yes ○ No

4a. If yes, please complete the following reflecting classes conducted during this reporting period:

Proficiency Level	Total # of Classes	Total # of Class Hours	Total # of Students	Immersion	Average Age of Students?
	0	0	0	○ Yes ○ No	0

4b. If the average age of language learners was between 0-6, does the project have an on-going relationship with one or more Head Start or Early Head Start programs? ○ Yes ○ No ○ Not Applicable

5. If instruction is part of your language project, please describe, in as much detail as possible, methods, materials, and strategies used, during the reporting period, to measure progress in language proficiency or fluency

6. If applicable to your project, how many new youth increased their ability to speak a Native language (language proficiency) during this reporting period?	
7. If applicable to your project, how many new adults increased their ability to speak a Native language (language proficiency) during this reporting period?	
8. If applicable to your project, did any youth achieve fluency in a Native language?	○ Yes ○ No ○ Not Applicable
If yes, how many (new)?	
9. If applicable to your project, did any adults achieve fluency in a Native language?	○ Yes ○ No ○ Not Applicable
If yes, how many (new)?	
10. If applicable to your project, during the reporting period, have any language teachers been trained?	○ Yes ○ No ○ Not Applicable
If yes, please complete the following	
10a. How many of these teachers received training in language instruction?	
10b. Please check the type of training that these teachers received related to language instruction (check both if applicable):	
☐ **Teacher training/professional development for language instruction**	
☐ **Language acquisition for teachers**	
10c. How many of these teachers received training in an area other than instruction	
Please describe	
10d. Did any of these language teachers receive a certification or credential as a result of training?	○ Yes ○ No
10e. If yes, what organization issued the certification or credential?	
10f. How many language teachers received certification or a credential?	

BENEFITS, RESULTS, AND OUTCOMES

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans

Annual Data Report (ADR)

BENEFITS, RESULTS, AND OUTCOMES

PLEASE NOTE: This section should be completed only in the final reporting period of the project and reflect the entire project period.

A. BENEFICIARIES

In the table below, please describe positive changes that have occurred in people's lives as a result of this project. In the 'Beneficiaries' column, identify whose lives have changed. These can be individuals (e.g. Jane Doe' or groups of people (e.g. tribal youth), as appropriate. If one or more of the beneficiaries listed is an individual person, please feel free to safeguard that person's identity by not listing his or her full name. In the 'Realized Benefit' column, please describe, in as much detail as possible, the positive changes that have occurred for the identified individual or group.

Beneficiary	Beneficiary Type	Realized Benefit(s)

B. PROBLEM STATEMENT AND PROJECT GOAL

The overall goal of this project was stated as:

Additionally, the problem statement in the 'Objectives and Need for Assistance' section of the grant application was identified as follows:

Please describe the extent to which the overall goal of the project was achieved:

Please describe the extent to which the condition identified or environment described in the problem statement was addressed:

C. COMMUNITY AND EXTERNAL DATA

1. What has changed in your organization and community as a result of this project?

2. Did you collect data from your community that was valuable to realizing project benefits, results, and outcomes?

D. CONTINUATION/SUSTAINABILITY OF PROJECT GOALS, RESULTS, AND EFFORTS

1. If you could share any promising practices from your project with other ANA grantees, what would they be?

2. If you could do this project over again, what would you do differently? Please describe in as much detail as possible.

3. Have you shared your project's accomplishments and successes, internally and externally? ○ Yes ○ No

3a. If yes, please describe how:

4. Please provide a detailed description of what outcomes, services, and activities you want to continue or extend after the project has ended, including any new activities intended to achieve your community's desired long-term goals.

5. How do you intend to financially continue or extend desired project outcomes, services, and activities after this ANA-funded project ends?

Please check all that apply.

- ☐ **State/Territory funds**
- ☐ **Corporate Donations**
- ☐ **Colleges/Universities**
- ☐ **Other grant federal funds**
- ☐ **Program income**
- ☐ **Fundraising campaigns**

☐ N/A (additional funds not required)
☐ Private foundation grants
☐ Tribal funds
☐ Other:
6. If applicable, what level of funding do you currently have in place to continue or extend project benefits?
☐ Desired funding levels sufficient to continue or extend project benefits are in place
☐ Some, but not all needed funding has been secured to continue or extend project benefits
Please describe any plans or efforts being made to secure additional resources to sustain desired project outcomes, services, and activities:
☐ Still seeking needed funding, none currently in place
Please describe any plans or efforts being made to secure additional resources to sustain desired project outcomes, services, and activities:
☐ No funding secured to continue or extend project benefits and no plan in place through which to obtain funds
☐ Not applicable because there are no current plans to continue or extend project benefits

Annual Data Report (ADR)

Program Name: NB - Native Languages Esther Martinez Initiative
Grantee Name:
Report Name: Annual Data Report (ADR)
Funding/Grant Period:
Report Period: 08/01/2017 to 07/31/2018
Report Status: Saved

Report Sections>

Annual Data Report (ADR) - Cover Page

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

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Please Note: Many of the questions in this form ask for a "total number" of people as well as a "new number." The total number refers to all of the people that participated in a particular activity, whereas the new number refers to the individuals that were participating in the project for the first time and had not been counted before. For example, if a total of six individuals completed training X, but two of those individuals had already completed previous training(s) during the project, then the number of new people that completed training X would be four.

1. Grantee Name		**2. Grant Number**	**3. Grant Type** NB - Native Languages Esther Martinez Initiative	
Address Line 1:				
Address Line 2:				
Address Line 3:				
City	**State**	**Zip Code**	**Zip Ext.**	**4. Reporting Period End Date:** 07/31/2018

A. INDICATOR(S)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

A. INDICATOR(S)

Your approved project indicator or indicators are identified below, as well as your pre-grant status (baseline measure), end-of-project target, three year target, and means of measurement.

Indicator	Pre-Grant Status	End of Project Target	Three Year post Project Target	Means of Measurement

1. For each indicator, please report on the actual change that has occurred so far. For example, if your indicator is the unemployment rate, list the actual unemployment rate at the end of the reporting period.

Indicator	Actual Change During Reporting Period

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

B. NATIVE YOUTH AND ELDER ENGAGEMENT

For each reporting period, please update the table below if any project activities occurred in which Native youth or Elders participated. This table should reflect only those activities occurring within the reporting period so that, by project's end, all activities that took place are reflected.

1. During this reporting period, did this project provide any opportunities or activities for Native youth or Elders? ○ Yes ○ No ○ Not Applicable

1a. If yes, please complete the following table:

Title/Description of Activity	Total Number of Youth Participating	Number of New Youth Participating	Total Number of Elders Participating	Number of New Elders Participating

2. During this reporting period, did any of the above activities involving Elders and/or youth promote cultural preservation? ○ Yes ○ No

2a. If yes, please describe:

3. During this reporting period, has the project engaged youth in leadership development activities? ○ Yes ○ No

3a. If yes, please describe:

C. PROJECT DEVELOPMENT

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

C. PROJECT DEVELOPMENT

Please identify who wrote the grant application in the table below:

Name	Title				
		☐ Program Staff	☐ Consultant	☐ Native	☐ Tribal Member

D. PARTNERSHIPS

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

D. PARTNERSHIPS

1. For each reporting period, please add those partnerships relevant to the reporting period.

Name of Partner	New = Partnership Formed During the Project Pre-Existing = Partnership Existed Prior to the Project	Type of Partner	Resources Contributed to the project by the Partner

Cumulative Total Reporting This Period	1

2. If there are any potential organizations or individuals that your project would like to partner with, but have not yet been able to, please indicate below:

Name of Potential Partner	Potential Role in Support of the Project

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION FOR CHILDREN AND FAMILIES	OMB Clearance No.: 0970-0475 Expiration Date: 03/31/2019

Administration for Native Americans

Annual Data Report (ADR)

E. COMMUNITY INVOLVEMENT AND PARTICIPATION IN THE PROJECT

1. During this reporting period, have any volunteers (unpaid individuals providing service or resources to the project) been utilized in the implementation of your project?	○ Yes ○ No
1a. How many individual (unduplicated) volunteers?	
1b. What contribution(s) did volunteers make to the project?	
1c. How many total hours did volunteers work during this reporting period?	

2. During this reporting period, if community participation is intended as part of your project, what is your estimate of the level of actual community participation compared with desired participation? This may include, but is not limited to, the intended beneficiaries of the project.

○ No Community Participation
○ 50% or Less Community Participation
○ More Than 50% Community Participation
○ Desired Community Participation Achieved
○ Not Applicable

F. USE OF OF ON-GOING PROJECT DATA

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

F. USE OF OF ON-GOING PROJECT DATA

1. During the reporting period, how did your project use project information (data) to improve implementation of the project?	
2. During the reporting period, how did you measure results or benefits occurring as a result of the project?	
3. During the reporting period, did you obtain feedback from community members to get their viewpoints on project progress?	○ Yes ○ No
3a. If yes, how did you use such feedback?	

G. PROJECT BENEFITS

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

G. PROJECT BENEFITS

1. During the reporting period, what changed in your community as a result of the project? These may include expected and unexpected and intended and unintended changes as well as positive and negative changes.

2. During this reporting period, were any businesses created due to the project?	Yes No
2a. If yes, how many businesses?	

2b. If applicable, please identify what type(s) of businesses were created (e.g. suppliers of materials, food processing firms, etc.):

3. During this reporting period, did any members of your community, including project staff, complete training sponsored or arranged by the project in order to learn a new skill, gain knowledge, develop expertise, earn a credential, or otherwise obtain beneficial experience during this reporting period?	Yes No

3a. If yes, please update the following table during each reporting period, as applicable. The table should reflect only those trainings occurring in the reporting period.

Name of Training or Workshop	Description of Skills or Knowledge Developed	Total # of People Who Completed Training	# of People Who Were Project Staff	# of New People Who Completed Training	Total Number of Hours to Complete Training

4. Were any ordinances, codes, regulations, or other governmental documents developed during this reporting period?	Yes No Not Applicable

4a. If yes, please update the following table, reflecting just this reporting period, as applicable.

Type of Ordinance, Code, or Regulation	Brief Description of the Ordinance, Code, or Regulation	Was the Ordinance, Code or Regulation adopted/passed?	Was the Ordinance, Code or Regulation implimented?	If implemented, please explain how. If not, please explain why?
		Yes No	Yes No	

5. During the reporting period, did the project create any materials or resources (e.g., curricula, training materials, translated written materials,	Yes No

5a. If yes, please update this table, reflecting just the current reporting period, as applicable. Once a particular resource is entered, it should not be entered again in subsequent reporting periods unless a new resource was created.

Material or Resource Created Due to the Project	Type of Resource	Electronic/Technology Based	How does this material or resource support the project's goals?
		Yes No	

6. Does your project currently have a plan in place to secure post-project funding to continue or extend project benefits?	Yes No
6a. If no, would you like ANA's help with establishing such a plan?	Yes No

7. Please describe any collaboration with partners, including federal, tribal, or state partnership to continue or extend project outcomes, services, and activities in order to achieve your community's desired long-term goals after this ANA project ends.

H. LESSONS LEARNED AND ADDITIONAL SUPPORT

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION FOR CHILDREN AND FAMILIES	OMB Clearance No.: 0970-0475 Expiration Date: 03/31/2019

Administration for Native Americans

Annual Data Report (ADR)

1. Please describe any lessons learned, promising practices, innovations, etc. you think could help similar projects overcome or resolve obstacles you have encountered in the reporting period related to the success of the project.
2. Please identify support or resources that ANA could provide or arrange to help your project overcome or resolve obstacles you have encountered in the reporting period.

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

I. LANGUAGE PROJECTS

1. Please identify the language or language family addressed by your project

2. Please complete the following sentence by checking all that apply from the following list:

My language project uses ANA grant funds to: (Select all that apply and only update if there are any changes from the previous reporting period)

- ☐ **Assess or measure langauge fluency or proficiency**
- ☐ **Provide classroom language instruction**
- ☐ **Provide language instruction via language immersion classes**
- ☐ **Provide language instruction in the home**
- ☐ **Train language instructors**
- ☐ **Develop language materials**
- ☐ **Compile, transcribe or analyze oral testimony or records**
- ☐ **Other**

Please explain

3. During this reporting period, were any language surveys or assessments developed ○ Yes ○ No

If yes, please include blank copies with the ADC submission

3a. If yes to Question 3, how many different surveys or assessments were developed ?

3b. If yes to Question 3, how many total surveys or assessments were distributed, and how many were returned ?

Distributed: **Returned:**

3c. If yes to Question 3, please describe the overall purpose of any surveys or assessments that were developed (for example, to assess the current number of proficient speakers, to gauge community members interest in taking language classes, to measure progress, etc.) :

4. Were language classes conducted during this reporting period ○ Yes ○ No

4a. If yes, please complete the following reflecting classes conducted during this reporting period:

Proficiency Level	Total # of Classes	Total # of Class Hours	Total # of Students	Immersion	Average Age of Students?
	0	0	0	○ Yes ○ No	0

4b. If the average age of language learners was between 0-6, does the project have an on-going relationship with one or more Head Start or Early Head Start programs? ○ Yes ○ No ○ Not Applicable

5. If instruction is part of your language project, please describe, in as much detail as possible, methods, materials, and strategies used, during the reporting period, to measure progress in language proficiency or fluency

6. If applicable to your project, how many new youth increased their ability to speak a Native language (language proficiency) during this reporting period?	
7. If applicable to your project, how many new adults increased their ability to speak a Native language (language proficiency) during this reporting period?	
8. If applicable to your project, did any youth achieve fluency in a Native language?	○ Yes ○ No ○ Not Applicable
If yes, how many (new)?	
9. If applicable to your project, did any adults achieve fluency in a Native language?	○ Yes ○ No ○ Not Applicable
If yes, how many (new)?	
10. If applicable to your project, during the reporting period, have any language teachers been trained?	○ Yes ○ No ○ Not Applicable
If yes, please complete the following	
10a. How many of these teachers received training in language instruction?	
10b. Please check the type of training that these teachers received related to language instruction (check both if applicable):	
☐ **Teacher training/professional development for language instruction**	
☐ **Language acquisition for teachers**	
10c. How many of these teachers received training in an area other than instruction	
Please describe	
10d. Did any of these language teachers receive a certification or credential as a result of training?	○ Yes ○ No
10e. If yes, what organization issued the certification or credential?	
10f. How many language teachers received certification or a credential?	

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

OMB Clearance No.: 0970-0475
Expiration Date: 03/31/2019

Administration for Native Americans
Annual Data Report (ADR)

BENEFITS, RESULTS, AND OUTCOMES

PLEASE NOTE: This section should be completed only in the final reporting period of the project and reflect the entire project period.

A. BENEFICIARIES

In the table below, please describe positive changes that have occurred in people's lives as a result of this project. In the 'Beneficiaries' column, identify whose lives have changed. These can be individuals (e.g. Jane Doe' or groups of people (e.g. tribal youth), as appropriate. If one or more of the beneficiaries listed is an individual person, please feel free to safeguard that person's identity by not listing his or her full name. In the 'Realized Benefit' column, please describe, in as much detail as possible, the positive changes that have occurred for the identified individual or group.

Beneficiary	Beneficiary Type	Realized Benefit(s)

B. PROBLEM STATEMENT AND PROJECT GOAL

The overall goal of this project was stated as:

To maintain the Crow (ApsÃ¡alooke) language by opening a Crow Immersion School in Crow Agency, Montana, on the Crow Indian Reservation

Additionally, the problem statement in the 'Objectives and Need for Assistance' section of the grant application was identified as follows:

The Chickadee Lodge ApsÃ¡alooke Language Immersion School responds to the urgent social need of the Crow Nation to curtail the rate of language loss and establish a means of Crow language fluency restoration among Kindergarten to second-grade aged children and their families, who currently have no options for ApsÃ¡alooke language

Please describe the extent to which the overall goal of the project was achieved:

Please describe the extent to which the condition identified or environment described in the problem statement was addressed:

C. COMMUNITY AND EXTERNAL DATA

1. What has changed in your organization and community as a result of this project?

2. Did you collect data from your community that was valuable to realizing project benefits, results, and outcomes?

D. CONTINUATION/SUSTAINABILITY OF PROJECT GOALS, RESULTS, AND EFFORTS

1. If you could share any promising practices from your project with other ANA grantees, what would they be?

2. If you could do this project over again, what would you do differently? Please describe in as much detail as possible.

3. Have you shared your project's accomplishments and successes, internally and externally? ○ Yes ○ No

3a. If yes, please describe how:

4. Please provide a detailed description of what outcomes, services, and activities you want to continue or extend after the project has ended, including any new activities intended to achieve your community's desired long-term goals.

5. How do you intend to financially continue or extend desired project outcomes, services, and activities after this ANA-funded project ends?

Please check all that apply.

- ☐ **State/Territory funds**
- ☐ **Corporate Donations**
- ☐ **Colleges/Universities**
- ☐ **Other grant federal funds**
- ☐ **Program income**

☐ Fundraising campaigns
☐ N/A (additional funds not required)
☐ Private foundation grants
☐ Tribal funds
☐ Other:
6. If applicable, what level of funding do you currently have in place to continue or extend project benefits?
☐ Desired funding levels sufficient to continue or extend project benefits are in place
☐ Some, but not all needed funding has been secured to continue or extend project benefits
Please describe any plans or efforts being made to secure additional resources to sustain desired project outcomes, services, and activities:
☐ Still seeking needed funding, none currently in place
Please describe any plans or efforts being made to secure additional resources to sustain desired project outcomes, services, and activities:
☐ No funding secured to continue or extend project benefits and no plan in place through which to obtain funds
☐ Not applicable because there are no current plans to continue or extend project benefits

Appendix 5: Instructions - Filing the SF 425 in the PMS System

(for Awards Made in FY16 and Later)

ACF and the Program Support Center are conducting a pilot project to assess the benefits of having grantees submit all reports to a single site. This will be less burdensome on grantees and assist with the reconciliation of expenditures/disbursements and allow for timely closeout of grants. This pilot is applicable to grant recipients receiving new grant awards in FY 2016 and includes new awards issued after that date.

Grant recipients receiving new awards will be required to submit their SF-425, Federal Financial Reports into a single reporting system, the HHS Payment Management System (PMS). Cash transactions are reported quarterly with online reporting to the HHS PMS on lines 1 Oa, b and c of Form SF-425. Expenditures, obligations and liquidations are reported either quarterly, semiannually or annually to ACF (refer to the Funding Opportunity Announcement for frequency) on lines 10d through 10o of Form SF-425 to the HHS PMS.

Table 14 on page 49 provides the reporting period end date and report due dates for SF-425 submissions for PMS and ACF, using a semi-annual frequency for

ACF, for grantees that have a budget period of 9/30- 9/29.

Grants with 9/30 start dates, the SF-425 reports due dates cover the following reporting periods: 9/30-12/31 (due 1/30), 1/1-3/30 (due 4/30), 4/1-6/31 (due 7 /30), 7/1-9/29 (due 10/30), 9/30-9/29 (due 12/30 (Annual or Final)).

Table 13 on page 49 provides the reporting period end dates and report due dates for SF-425 submissions for PMS and ACF, using a semi-annual frequency for ACF, for grantees that have a budget period of 8/1 - 7 /31.

Grants with 8/1 start dates, the SF-425 reports due dates cover the following reporting periods: 8/1-9/30 (due 10/30), 10/1-12/31 (due 1/30), 1/31-3/31 (due 4/30, 4/1-6/30 (due 7/30), 7/1-7/30 (due 10/30 (Annual or Final)).

The Administration for Children and Families, Office of Grants Management (OGM) requires grantees to submit an Annual Federal Financial Report (SF-425) within 90 days after the end of each budget period. The Annual SF-425 report must reflect final accounting for the budget period and ensure that any cost share has been met in proportion to the amount of Federal funds expended. The Annual SF-425 report must reflect $-0- unliquidated obligations on line 1 O(F). The SF-425 report and the Payment Management System (PMS) expenditures report for the reporting period must reconcile. Final reports must reflect cumulative totals for the entire project period, reflect $-0- unliquidated obligations on line 1 O(F) and ensure the cost share has been met proportionally.

Every grantee should already have a PMS account to allow access to complete Form SF-425. If your office needs additional user access, please contact your PMS Liaison Accountant.

Questions related to fiscal reporting and other administrative requirements should be directed to the assigned Grants Management Specialist identified in your Notice of Award.

ANA

ADMINISTRATION FOR NATIVE AMERICANS

Help Desk

www.acf.hhs.gov/ana

Toll free: 1.877.922.9262

WE ARE ONE

ANA REGIONAL T/TA CENTERS

http://www.anawestern.org

Toll free: 1.855.890.5299

http://www.anaeastern.org

Toll free: 1.888.221.9686

http://www.anapacificbasin.org

Toll free: 1.844.944.9544

http://www.anaalaska.org

Toll free: 1.800.948.3158

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