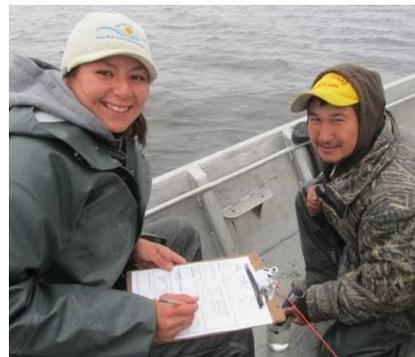




# PANEL REVIEW MANUAL

**A GUIDE TO EVALUATING ANA APPLICATIONS**



The pictures on the front cover are of ANA funded projects. Clockwise from the upper left are: a group of Hawaiian elders performing a hula as part of Kula no na Po'e Hawaii's SEDS project. Project staff monitoring sewage discharge as part of the Yukon Inter-Tribal Watershed Council Environmental project in Alaska. A group of men drumming from the Wesget Sipu, Inc SEDS project in Maine. A group of language learners and teachers from the Yurok Community Language project in California.

## **Boozhoo. Aloha. Bezon. Ta na á née see. Qâgaasakung. Dagot'ee. Nayaafabaa. Mique wush. Khahowya. O-si-yo.<sup>o</sup>**

Welcome to the Administration for Native Americans (ANA) Panel Review. We want to sincerely thank you for being a part of ANA Panel Review and we look forward to working with you during this application review season. This manual provides details on the panel review process, the roles and responsibilities of those involved in panel review, tools for efficient and effective reviewing and paneling, and information about ANA.

ANA projects have a positive impact on Native communities. In 2012, ANA visited 64 projects at or near completion. ANA's investment in those 64 projects resulted in:

- 273 full-time equivalent jobs
- 1,546 people employed
- 1,295 Native Americans employed
- 47 businesses created
- \$32,697 in income generated
- \$14.5 million in resources leveraged
- 10,272 individuals trained
- 1,264 partnerships formed
- 20,917 youth and 4,211 Elders involved in community-based projects
- 1,803 youth and 2,522 adults with increased ability to speak Native languages
- 4 Tribal governmental codes, ordinances, and regulations adopted, and
- 5 environmental regulatory enhancement codes, ordinances, and regulations adopted

ANA grant funding continues to be an effective vehicle for advancing the self-sufficiency and cultural preservation of Native American, Alaska Native, Native Hawaiian, and Native Pacific Islander communities.

Thank you for your willingness to assist with ANA's Panel Review Process. Your role is crucial to accomplishing our mission and can have a great impact on Native communities.

## **YawAkó. Miigwech. Gunalchéesh. Fa'afetai. Nia:wen<sup>◇</sup>**

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<sup>o</sup> Greetings in Ojibwe, Hawaiian, Shawnee, Plains Apache, Aleut, White Mountain Apache, Inupiaq, Ute, Chinook, Cherokee

<sup>◇</sup> Thank you in Oneida, Anishinaabemowin, Tlingit, Samoan, Mohawk

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## Section 1: Overview of ANA Panel Review Process

ANA applications receive a comprehensive objective review, conducted by a panel of independent subject matter experts who are selected from a group of qualified individuals to become grant reviewers or panel facilitators. Each panel is comprised of three reviewers and one facilitator.

Applications are assessed by reviewers, who separately score the application according to **evaluation criteria** found in *Section V.1* of the **Funding Opportunity Announcement (FOA)**. Each panel also has a facilitator (also referred to as a panel chairperson) who does not score applications, but facilitates the review process with reviewers and compiles comments for the **Panel Summary Report (PSR)**. This report describes the consensus of the panel reviewers' comments, panel discussions, and the overall average score for the application. The full panel reaches the summary based on individual reviews of each application according to the published evaluation criteria in the FOA.

The evaluation criteria for ANA FOAs are:

- Need for Assistance
- Outcomes Expected
- Approach
- Objective Work Plan
- Budget and Budget Justification

The FOA Evaluation Criteria for all the ANA FOAs are contained in the Helpful Resource 2 of this manual.

If there are marked differences of opinion about an application among reviewers, the facilitator and reviewers discuss the reasons for these differences and seek consensus. Once reviewers reach consensus, the facilitator will send the PSR report to the **Subject Area Manager (SAM)** overseeing the panel. The SAM reviews the PSR comments to ensure it is factually accurate, adheres to the FOA evaluation criteria, contains no contradictions, and is professionally written. Once approved by the SAM, the SAM sends the PSR to the **Program Area Manager (PAM)**. Once approved by the PAM, the final score for each application is sent to ANA for consideration in making the funding decisions.

All applicants, whether funded or unfunded, will receive a copy of the PSR. The PSR includes the average score and a compilation of the reviewers' strengths and weakness statements on all FOA Evaluation criteria.

The entire panel review process is conducted electronically, using virtual meeting software, conference calls, and the **Application Review Module (ARM)**.

There are six roles in the ANA panel review process, each with specific responsibilities. The reviewer analyzes and scores applications and the facilitator manages the panel and creates the Panel Summary Report (PSR). The SAM provides guidance to the panel and assists the facilitator in editing the PSR, and the PAM approves the PSR. The review director oversees the entire process and the logistics contractor handles general panel communications, payment, ARM support, and application processing.

### ***Reviewer***

Reviewers are the first and primary source of objective assessments. Reviewers are responsible for closely reading each assigned application and producing an evaluation of how well it meets the ANA FOA evaluation criteria. Reviewers do this by independently reading each application, participating in scheduled panel discussions to explain their evaluations, documenting their analyses of applications with detailed written evaluative comments, and recording scores that are justified by their comments.

### ***Facilitator***

A facilitator is also referred to as the panel chairperson. The facilitator's responsibility is to coordinate and guide the panel meetings, build reviewer consensus where possible, create the Panel Summary Report (PSR), and submit the PSR to the Subject Area Manager. The facilitator does not score applications. The facilitator may vote to break a tie.

### ***Subject Area Manager (SAM)***

The Subject Area Manager (SAM) monitors the progress of the panel, provides guidance to the facilitators, reviews and provides feedback on the PSR, and submits the PSR to the Program Area Manager (PAM).

### ***Program Area Manager (PAM)***

The Program Area Manager is an ANA staff member who provides guidance to the SAM and approves the PSR. The PAM reports to the Panel Review Director.

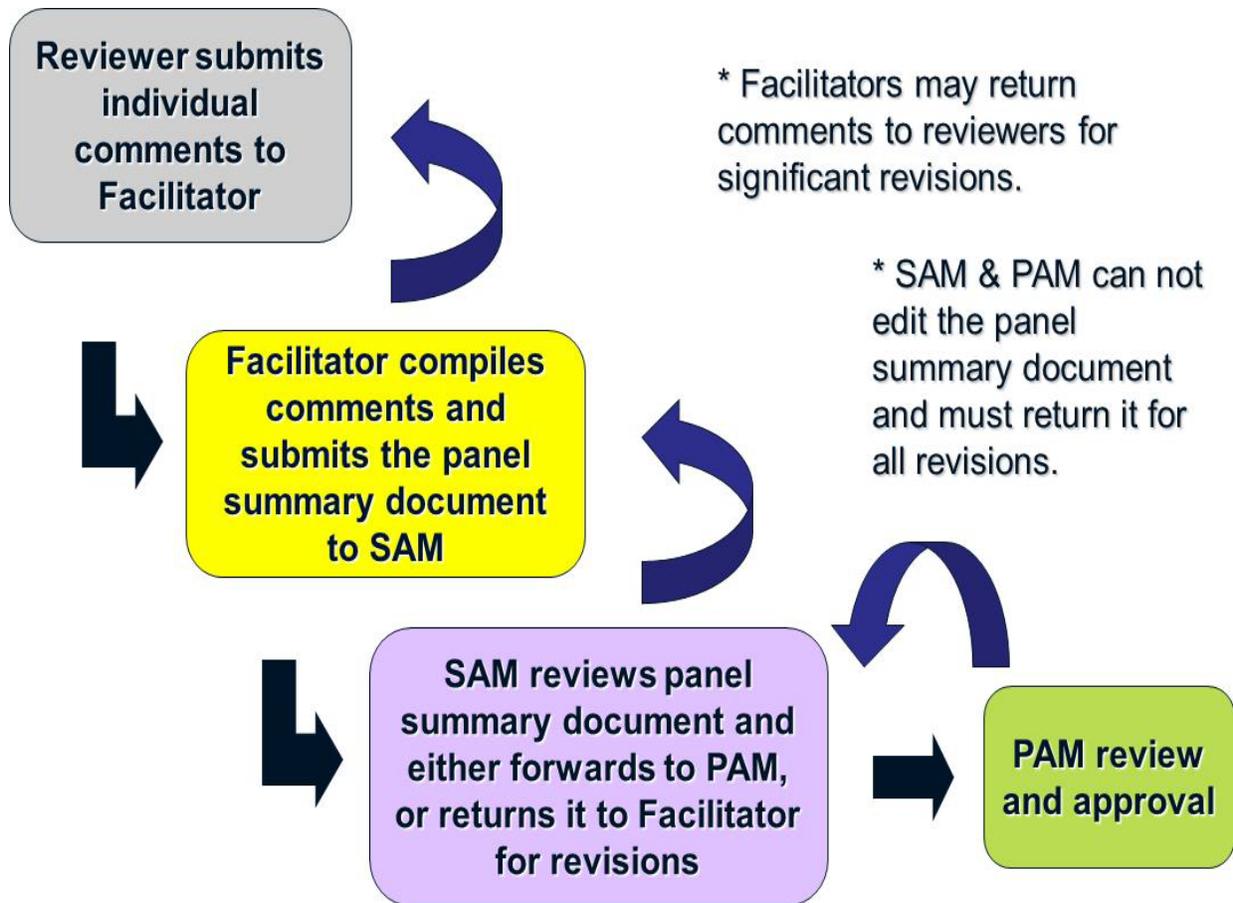
### ***Panel Review Director***

The panel review director is Carmelia (Mia) Strickland, the head of the ANA Division of Program Operations. Her responsibility is to oversee the entire panel review process, address concerns, and ensure an objective panel review process is conducted.

### *Logistics Contractor*

The logistics associated with ANA panel review are handled by Tribal Tech, LLC, ANA's onsite contractor. Tribal Tech handles all matters associated with application intake and processing, ARM technical assistance, and post panel review activities including facilitator/reviewer compensation and communication.

**Figure 1: Approval Process for Panel Summary Reports (PSRs)**



## Calendar of Events for 2014 Panel Review

A planned calendar of what to expect during the 2014 panel review process is below:

<b>Pre-Panel (April 2<sup>nd</sup> – April 27<sup>th</sup>)</b>	
April 2 <sup>nd</sup> :	Initial pool of reviewers and facilitators are notified
April 11 <sup>th</sup> :	ANA Panel Review Orientation
April 17 <sup>th</sup> :	Eastern and Alaska region in-depth panel reviewer training
April 18 <sup>th</sup> :	Western region in-depth panel review training
April 21 <sup>st</sup> :	Pacific region in-depth panel review training
April 23 <sup>rd</sup> :	Panel Assignments are made and reviewers and facilitators find out who else is on their panel
April 24 <sup>th</sup> :	Initial application assignments are distributed. Reviewers and facilitators determine if there are any conflicts of interest

<b>Panel Review Session 1: PM, EMI, and ERE Applications (April 25<sup>th</sup> – May 9<sup>th</sup>)</b>	
April 25 <sup>th</sup> :	Logistics contractor, Tribal Tech, LLC, sends reviewers and facilitators ARM usernames and passwords and applications are available to start reviewing
April 28 <sup>th</sup> :	Session 1 Panel Review Opening Session
April 28 <sup>th</sup> – May 8 <sup>th</sup> :	Panels objectively evaluate and discuss applications
May 9 <sup>th</sup> :	PM, EMI, and ERE Panel Review Ends

<b>Panel Review Session 2: SEDS and SEEDS Applications (May 9<sup>th</sup> – May 23<sup>rd</sup>)</b>	
May 9 <sup>th</sup> :	Logistics contractor, Tribal Tech, LLC, sends reviewers and facilitators ARM usernames and passwords and applications are available to start reviewing
May 12 <sup>th</sup> :	SEDS and SEEDS Panel Review Opening Session
May 12 <sup>th</sup> – May 22 <sup>nd</sup> :	Panels objectively evaluate and discuss applications
May 23 <sup>rd</sup> :	SEDS and SEEDS Panel Review Ends

<b>Post Panel</b>	
May 23:	Logistics Contractor sends payment to reviewers and facilitators for Session 1
June 9:	Logistics Contractor sends payment to reviewers and facilitators for Session 2

## Section 2: The Application Review Module (ARM)

ANA uses the **Application Review Module (ARM)**, an online information management tool to conduct panel review. ARM provides a user-friendly environment to facilitate the grant review process while allowing reviewers to participate from remote locations.

All applications are stored in ARM. In addition, all activities—such as commenting, scoring, and approving/rejecting PSRs—are documented in ARM.

### Tips for using ARM

- **Do not use Google Chrome** with the ARM System. Instead, use Internet Explorer, Safari, Firefox Mozilla, or Opera
- **Use the ARM text box** to write and submit your comments. Although some reviewers prefer to use Microsoft Word to write their comments, minor copying errors exist when reviewers copy and paste from Word into the comment field in ARM
- **Spellcheck comments** before submission to the facilitator and SAM/PAM
- **Enter the score first.** Once a score for a criterion is entered, then the comment box will become underlined and the option to enter text is available
- **Save work every 20 - 30 minutes.** The ARM system has a time out feature which can erase any unsaved work from the system after 30 minutes
- **DO NOT click the ARM support email link** at the bottom of the login page. ANA staff can provide direct ARM assistance to reviewers. Please contact [anareviewer@acf.hhs.gov](mailto:anareviewer@acf.hhs.gov) with any support questions. When emailing, provide your full name, panel number, contact number, and a detailed description of the issue

### Additional ARM Tools & Resources

Demonstration videos for reviewers can be found at the following link:

<http://www.grantreviewinfo.net/ARM/Model5ReviewerDemos/index.html>

#### **ARM REVIEWER MANUAL:**

<http://www.armtraining.net/Downloads/20141311222480.ARM%20Reviewer%20Model%205%20Rev%20012014.pdf>

Demonstration videos for facilitator/chairs can be found at the following link:

<http://www.grantreviewinfo.net/ARM/Model5ChairDemos/index.html>

#### **ARM FACILITATOR/CHAIR MANUAL:**

<http://www.armtraining.net/Downloads/2014131122580.Model%205-%20ARM%20Chairperson%20Rev%20012014.pdf>

## Section 3: Evaluating the Application

A key function of the objective review process is the evaluation of the applications by panel reviewers. **Reviewers evaluate applications based on the extent to which the applications address the “Evaluation Criteria” section of the Funding Opportunity Announcement (FOA).** These criteria are located in Section V.1 of the FOA.

This chapter describes the specific tasks all reviewers and facilitators are expected to complete in evaluating applications. The next chapter, “Paneling the Application,” will describe the tasks and process of the panel review deliberations, also called “panel discussion” or “paneling.”

Reviewers are selected from a pool of candidates on the basis of their experience in ANA’s program areas. Reviewers draw upon this experience and expertise to evaluate applications according to the published FOA Evaluation Criteria. Reading and evaluating applications is a significant responsibility, and requires a concerted commitment on the part of reviewers and facilitators.

**WHAT’S MY ROLE?**

***Reviewers:** Read and evaluate the application thoroughly; comment and score*

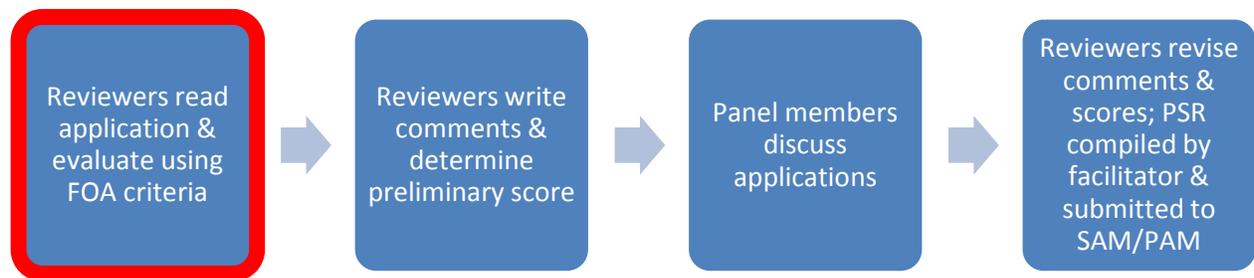
***Facilitators:** Read application thoroughly; facilitates discussion; writes PSR*

***SAM/PAM:** Read application; answer questions regarding process and the FOA during panel discussion; approve PSR*

Reviewers must use the same set of standards, or “measuring stick”, to evaluate applications. This consistency helps ensure that evaluations and scores are created through an impartial and objective process throughout the review session.

For these reasons, reviewers and facilitators must be *thoroughly familiar* with the FOA Evaluation Criteria. These criteria are what ANA has determined are relevant to the panel review. By evaluating applications on the same criteria—the ANA FOA—all applications can receive a fair and consistent review. The FOA Evaluation Criteria is found in Helpful Resource 2 of this manual.

**Figure 2: Panel Review Process for Reviewers**



## Reading Applications

Reviewers must develop an in-depth knowledge of the FOA evaluation criteria. They use that knowledge to determine if and how well the application addresses the criteria. Reviewers make that determination by independently reading, evaluating, and scoring each application. They explain their reasoning and justify their score by writing comments on the extent to which each application addressed the FOA evaluation criteria.

One common method of reading applications is to first read the application thoroughly *without* scoring; then read a second time, focusing on information in the application that relates to each of the specific evaluation criteria.

**Reviewers and facilitators may not access or review any materials that are not part of the application documents.** This includes websites that are referenced in the application. Although an application may include web links, reviewers may not review this information because such material is not considered part of the application documents. In addition, reviewers and facilitators may not rely on external knowledge of the applicant. Reviewers evaluate and score an application based only on the content of the application.

Early in the panel session, before the panel begins discussions of applications, panels should create a schedule that provides sufficient time to read and discuss each application. This will help ensure that all applications receive equal attention. Though it varies, reviewers should plan on taking 6-8 hours to evaluate each application. On average, each panel discussion takes about one hour per application.

## Evaluating applications

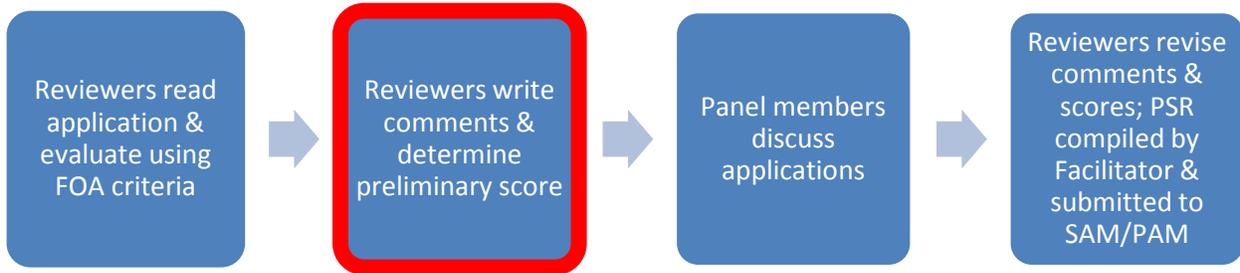
As stated earlier, an effective objective review process begins with understanding the FOA Evaluation Criteria followed by a thorough reading of the application. The next step in the process is to provide evaluative comments and scores.

The facilitator and PAM and SAM will make sure the

## Three principles for reviewing applications:

1. Focus on the extent to which the **application responds to the FOA's Evaluation Criteria**. For this reason, it's essential that each reviewer and facilitator understand each element of the evaluation criteria.
2. The **FOA Evaluation Criteria is the only measure** that may be used to review and score applications. Therefore, comments and scores must tie back directly—and only—to the applicable evaluation criteria.
3. Applications must not be compared with each other. Instead, each application **must be evaluated individually**, based on how it responds to the FOA Evaluation Criteria.

comments are factually accurate. This means reviewers should not make assumptions or fill-in-the-blanks; they must base their analyses only on what is presented in the application.



## Determining the Score

**Scores must be consistent with comments.** Reviewers must enter their score in ARM before the text box opens to allow for writing comments. Each criterion has a maximum number of points that can be awarded. If the reviewer identifies weaknesses in the application, he/she must deduct a corresponding amount of points from the maximum available.

The following table, found in the Funding Opportunity Announcement, must be used as a guide for reviewers evaluating each application:

**Table 1: Scoring guide for reviewers when assessing each application**

Narrative Descriptor	Score
Excellent	93-100
Very Good	86-92
Good	78-85
Fair	70-77
Needs Significant Improvement	0-69

This table is a general description to provide reviewers an idea of what ANA is looking for; this is not to say that an application which scores in the “Excellent” range will be guaranteed funding. The Objective Review scores are one element ANA takes into consideration in the selection process.

The quantity and the significance of weaknesses for each Evaluation Criterion must correspond directly to the score. “Significance” refers to the degree the identified weakness is minor, moderate, or major.

One way reviewers can determine the significance of a weakness is by creating standardized definitions that they apply to each application.

Reviewers evaluate applications to determine *to what extent* the application addresses each evaluation criterion. For example, in evaluating a proposed impact indicator, consider to what degree, to what level, or how far, the impact indicator addresses “how data will be effectively collected and tracked.”

In evaluating applications, each reviewer must be able to point to the application (citing page numbers, where possible) to explain to what degree, to what level, or how far the application

addressed the specific evaluation criterion under consideration. Reviewers are responsible for reviewing the entire application to determine the extent to which an application addresses the evaluation criteria.

Reviewers should always double-check their scores to assure they were entered correctly in the ARM system.

## Writing Comments

After reviewers independently read each application, they document their analyses with written evaluative comments. These comments (and scores) are preliminary; once reviewers have independently commented and scored each application, they'll discuss their views at the panel discussion. Based on that discussion, reviewers may decide to adjust their comments and scores. Once this is done, reviewers provide their final comments and scores to the facilitator for incorporation into the Panel Summary Report (PSR). More information on this process is in Section 4 of this manual.

If a reviewer deducts any points from the maximum points available for the criterion under consideration (for example, the budget criterion has a maximum of 10 points), the reviewer must identify one or more weaknesses to support that deduction. The number and significance of identified weaknesses must correspond to the reviewer's score and to the total point value of the criterion. Reviewers must provide detailed and complete sentences to describe any identified weakness for each criterion.

Reviewers are not expected to comment on information in the application that does not relate to the evaluation criteria. However, when analyzing an application, certain weaknesses and strengths will be evaluated as more significant than others, and the comments should reflect this.

Reviewers must make their comments as specific as possible by referencing specific information and details

## Examples of Good "Weakness" Comments

"The applicant did not provide staff time commitments, making it unclear how proper direction, management, and timely completion of the project activities would be ensured. (Page 13, Approach)"

"The applicant did not describe anywhere in its application how community input was used in the development of the project, making it unclear if the project proposal is truly community-driven. (Approach)"

"The applicant did not provide information indicating how the lives of community members would improve as a result of the project or how the impact of the project would be evaluated, raising significant questions about whether the conditions identified in the Need for Assistance will be addressed. (Outcomes Expected)"

in the application without simply re-stating what the applicant wrote. If possible, the reviewer should cite the page number and section of the application. Written comments must reflect that each reviewer has evaluated what is in the application. Reviewers can use words from the FOA evaluation criteria to help document that their comment adheres to the FOA Evaluation Criteria. Specific and well-documented comments that provide clear evidence to support and validate the reviewer's scores are essential to the panel facilitator's development of the PSR.

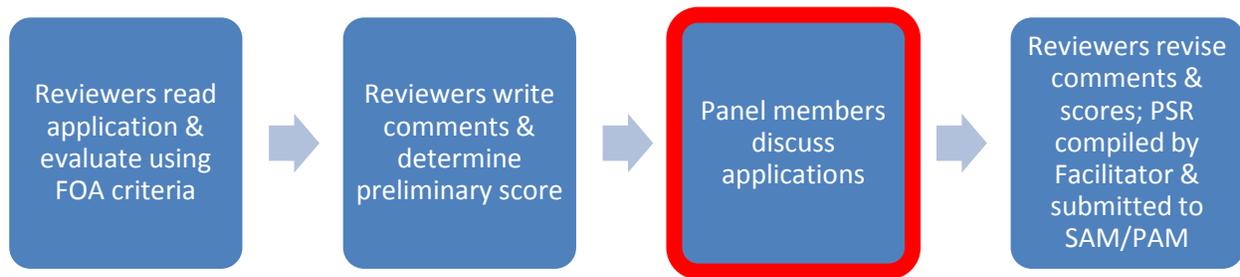
In addition to being used by ANA in the decision-making process, PSRs are sent to all applicants. Unfunded applicants often use these PSR to improve their future applications.

*Specific and well-documented comments that provide clear evidence to support and validate the reviewer's scores are essential to the panel facilitator's development of the Panel Summary Report.*

Reviewers must provide comments based on fact and not based on opinion, i.e., what is, or is not indicated and addressed in the application. Reviewers should clearly indicate when comments are based on inadequate information in the application. An individual reviewer's comments must demonstrate consistency under each evaluation criterion. However, it is possible that reviewers on the same panel may disagree on how well an application meets a certain criterion; these disagreements can be reflected in the PSR.

**Reviewers should not combine strengths and weaknesses in a single comment.** Reviewers must write separate comments for each criterion and for all points deducted from the maximum points available for individual Evaluation Criterion.

## Section 4: Paneling the Application



After the reviewers evaluate the application and document their evaluation through comments and scores, the reviewers participate in a panel discussion with the two other reviewers. This meeting is chaired by a facilitator.

The facilitator is responsible for conducting the panel meeting. The facilitator works with the three reviewers on the panel to establish panel meeting times, set panel group norms, and create a productive panel environment. This chapter contains an overview of how the meetings work and tips on how to effectively facilitate a panel discussion.

### Conducting the Panel Discussion

While it varies from panel to panel, we generally recommend that panels spend at least one hour discussing each application and exploring how each reviewer arrived at their comments and scores.

While every panel review team is different, there are some general characteristics of panel discussions:

- Not everyone agrees
- Initial scores often vary by as many as 20 points or more
- The discussions will prompt reviewers to re-examine their comments and scores; in most cases, reviewers will elect to change their comments and scores as a result of the panel discussion

While the discussion is driven by the reviewers' comments, the facilitator will work to orchestrate the agenda of the meeting. The facilitator will also help ensure that the comments and scores are based on the appropriate criteria and that reviewers are following the guidelines in the FOAs.

The Subject-Area Manager (SAM) and the Program-Area Manager (PAM) act as resources to the reviewers and facilitators throughout the panel review and will listen in on the panel discussion. Their role is to ensure that the comments and scores are based on the FOA, and to answer any questions on the panel review process, and provide feedback on the content of the FOA.

The facilitator, SAM, and PAM will not provide evaluative comments or suggest scores. Instead, their role in the panel discussion is to answer clarifying questions about the panel process and ensure that the guidelines of the FOA are being adhered to.

For more on the roles of each person, refer to Section 1 of this manual.

## **Facilitating the Meeting**

The facilitator provides the structure of the meeting, allowing the reviewers to focus on their application evaluation and discussion. It is also the role of the facilitator to help the reviewers learn how to work together as a panel.

One misconception about meetings is that putting a group of knowledgeable individuals in the same room will automatically produce good results. In actuality, getting the experts together is just the beginning. Learning to communicate effectively and work together does not necessarily come naturally, and is not always easy.

Facilitators can create a productive panel meeting environment by following the five steps below:

1. Set group norms
2. Focus the meeting
3. Ask probing questions
4. Share information
5. Document the discussion

### *Set Group Norms*

Establishing group norms can help reviewers create ways to interact with each other during the panel meeting. This is especially useful when the panel is meeting for the first time. This process is extremely important when conducting virtual meetings. Setting group norms is important in demonstrating to the panel reviewers how decisions will be made. Some examples of Panel Group Norms:

- Be Prepared
- Attend all meetings
- Listen and show respect for the opinions of others
- Stay on track (keep focused!)
- The only stupid question is the one that isn't asked
- Ensure that credit is given to those to whom it is due
- Don't call one another after 9 p.m. (unless previously scheduled or discussed and approved)

## *Focusing the Meeting*

By preparing for the meeting and having a meeting plan, the facilitator can avoid most meeting pitfalls. We recommended developing a meeting agenda in advance, with tasks and activities, timelines, and expected outcomes. It can be difficult to keep reviewers engaged in discussion and build rapport and trust in a conference call, so, as part of the meeting planning, the facilitator should identify what can be accomplished through email and what will require a discussion.

Before the meeting:

- Review reviewer comments, make notes on the differences, and be prepared to focus on those differences so that a resolution can be reached
- Create a meeting plan

During the meeting:

- Review the purpose and expected outcome of the meeting
- Review items for discussion and the meeting time line

The facilitator can reach out to the SAM for any questions or assistance in the facilitation of the meeting.

## *Ask Probing Questions*

Probing questions are different than clarifying questions. Clarifying questions are questions of fact while probing questions encourage a reviewer to think deeply about an issue. A clarifying question will have a brief, factual answer and won't require much thought. Probing questions do not have a quick answer; they require some thought.

By asking probing questions the facilitator can help the panel get to the root of a disagreement. There may be instances when the facilitator observes that the panel is missing key information in their discussions, misinterpreting key information, or engaging in "group think" processes that result in poor or inadequate evaluation. Sometimes, statements may be unclear, incomplete, inaccurate, or not even relevant to the FOA Evaluation Criteria.

Good probing questions stimulate discussion, help create a paradigm shift, avoid yes/no responses, move thinking from reaction to reflection, and encourage understanding of another person's perspective.

Some examples of probing questions a facilitator can use in the panel discussion:

### ***Example of Meeting Agenda***

1. General discussion on application: 5 minutes
2. Need for Assistance : 10 minutes
3. Outcomes Expected: 10 minutes
4. Approach: 10 minutes
5. Objective Work Plan: 10 minutes
6. Budget and Budget Justification: 10 minutes
7. Decisions: 5 minutes

- Why do you think that is the case?
- What criteria did you use in determining this was a major strength or weakness?
- What are the major strengths and weaknesses of the application?
- What documentation did the application provide that substantiates the approach?
- How did you determine this score?

### *Share Information*

One way to share information is to create an initial Panel Summary Report (PSR) and share it with all the reviewers prior to the panel meeting. This initial PSR is a compilation of all the scores and reviewer comments. By distributing the initial PSR, the panel can see where the panel agreed, where there were differences, and start to come to an agreement on a panel score and comments.

### *Documenting the Discussion*

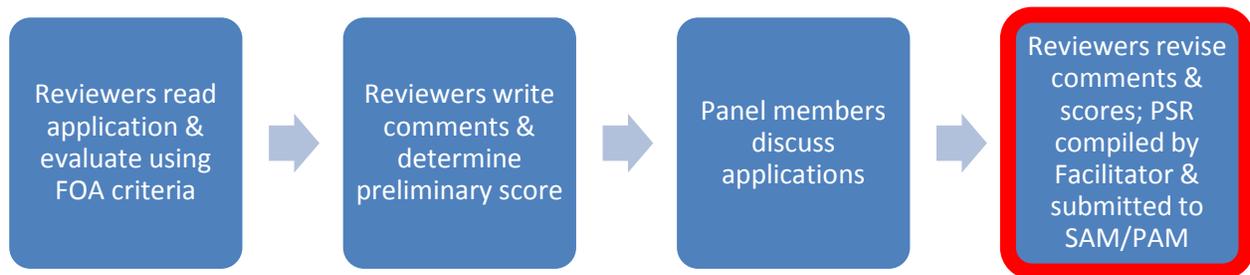
The panel discussion will often yield new insights about the application. By accurately documenting the discussion, the facilitator will have a record of the conversations that will help in the creation of the final PSR. Sometimes, reviewers will have differences of opinion that are reflected with varying scores. When this occurs, it is the facilitator's job to write a PSR with comments that match the average score listed in the PSR. For example, if the PSR lists an average score of 6 out of 10, and all the comments are strengths and no weaknesses are documented, then the facilitator did not accurately document the discussion in the PSR.

### *Facilitating a Virtual Meeting*

All panel review meetings will be held virtually. The panel can determine the best method for holding meetings, which might include conference calls, Skype calls, Google Hangouts, or working with their regional ANA training and technical assistance center to use the Blackboard system. ANA provides each panel a toll-free number to use for panel conference calls.

Virtual meetings have their own challenges, and the facilitator should prepare for the meeting in a way to make the virtual discussion as productive as possible. The same recommendations for holding a meeting in-person apply to a virtual meeting; however, the facilitator must do more to build trust amongst the reviewers. The facilitator should create an environment that allows everyone to speak, encourages discussions by asking probing questions, and stays focused on the task of providing an objective review of the application. Like in-person meetings, virtual meetings that exceed one hour can make it difficult for participants to maintain focus. If possible, the facilitator should spread out the meeting over the day, or provide breaks when appropriate.

## Section 5: Summarizing the Panel Discussion



The record of the reviewer’s evaluation, the panel discussion, and the panel score is captured in **the Panel Summary Report (PSR)**. The creation of the PSR is a joint effort by the reviewers and facilitators. **The PSR is the only record of the evaluation of the application.** It is used by ANA to develop the ranking list of applications that are determined to be in the funding range and is distributed to all applicants, including those that will be funded and those that are not. Therefore, the PSR must be factually accurate, adhere to the FOA evaluation criteria, be consistent with no contradictions in strengths and weaknesses, justify the scores, and be polished and well-written.

The facilitator’s responsibility is to write a PSR that accurately reflects the panel comments, discussion, and score. While there are different ways to accomplish this, the facilitator should rely on reviewer comments, including comments made during the panel discussion. The PSR must reflect the discussion and opinion of the panel as a whole, and not the views of an individual reviewer or of the facilitator.

This chapter contains tips on creating a PSR that will be approved and useful to ANA and the applicants.

### Requirements of a Panel Summary Report

In order for a PSR to be approved, it must be all of the following:

1. Factually Accurate, which means it accurately represents the contents of the application
2. Adheres to the FOA evaluation criteria
3. Consistent with no contradictions between strengths and weaknesses
4. All comments justify the score
5. Polished and well-written

#### *Factually Accurate*

It is easy to create a factually accurate PSR. All the facilitator needs to do is ensure each PSR comment accurately reflects information found in the application. To do this, comments should

be well-documented (citing page numbers), and should include examples from the application where practical.

## Example of Inconsistency in a PSR

### *Strength Comment*

“The applicant clearly showed how the current staff will manage and complete the project on time. (Page 75, Objective Work Plan)”

### *Weakness Comment*

“The applicant did not provide staff time commitments, making it unclear how proper direction, management, and timely completion of the project activities would be ensured.” (Page 13, Approach)”

For example, if the application included an impact indicator, but a weakness in the PSR states there was no impact indicator, the PSR is not factually accurate. The SAM and PAM will check the PSR against the application to ensure the PSR is factually accurate.

### *Adheres to the FOA Evaluation Criteria*

The FOA Evaluation Criteria are the only elements reviewers consider when evaluating an application. Any comment (strength or weakness) that does not clearly address an evaluation criteria point is not appropriate. All the evaluation criteria must be addressed in the reviewers’ analysis. For example, the Need for Assistance criteria asks the reviewer to consider the extent to which the application addresses four elements. The reviewer needs to address all those elements when determining their score and writing their comments.

### *Consistent*

The PSR is distributed to all applicants and documents how the application was evaluated. The PSR can be a helpful tool in improving future application submissions, but only if it is consistent. It is the facilitator’s responsibility to create a PSR that contains strengths and weaknesses that do not contradict each other. A PSR with inconsistencies calls into question the integrity and competency of the panel.

### *All Comments Justify the Score*

The application’s score determines the ranking of the applications. ANA staff and applicants review the comments to understand how the score was determined. Therefore, all the comments must justify that score. For example, if an applicant receives 10 points in Need for Assistance, but has a weakness listed, the comment does not justify the score. Conversely, if an application section receives zero points and there are strengths listed, the comment does not justify the score.

## *Polished and Well-Written*

The PSR is distributed to applicants and must be grammatically correct, clearly written, free of spelling errors, and diplomatic. The facilitator is responsible for creating a polished and well-written PSR. The SAM and PAM will also review the PSR and provide edits where appropriate. The SAM and PAM do not edit the PSR in ARM; rather all edits must be done by the facilitator.

### **Guidance on Writing a PSR that Represents the View of the Panel**

The key to writing a good PSR is to create a document that represents the point of view of the panel. The PSR should be written with a single voice. It is the facilitator's responsibility to create a PSR that is factually accurate, adheres to the evaluation criteria, is consistent, includes comments that justify the score, and is well-written. How the facilitator accomplishes this can vary, but the easiest method is to follow a four-step process:

1. **Create an Initial PSR.** This initial PSR is a compilation of all the reviewer comments. Facilitators should put this PSR together and distribute to all reviewers before the first panel meeting where it will be used to guide the panel's discussion.
2. **Take notes during the panel discussion concerning areas where the reviewers agree.** By identifying points of agreement on the applicant's strengths and weakness, the facilitator can identify critical points to include in the final PSR.
3. **Write the final PSR.** The final PSR should be written with a single voice and reflect the consensus of the panel. The facilitator can use reviewer comments, or write their own using the reviewer comments and the panel discussion as a guide.
4. **Share the final PSR with the reviewers.** Ask the panel if the PSR reflects the consensus opinion of the panel. If it does not, then the facilitator should revise the PSR until it reflects the opinion of the panel.

### **Tips on Writing a PSR that Will Be Approved**

The SAM and PAM will check the PSR to ensure it is factually accurate, adheres to the evaluation criteria, is consistent, includes comments that justify the score, and is polished and well-written. The facilitator can make it clear that the PSR meets those five points by doing the following:

- **Reference application page numbers.** This helps the PAM and SAM determine whether the comment is factually accurate and helps the applicant understand how they could improve a future application.
- **Use the wording of the relevant FOA evaluation criterion.** By identifying which FOA evaluation criterion the comment is addressing, the PAM, SAM, and applicant can

better understand how the application was reviewed. This also helps the PAM and SAM determine whether the PSR adheres to the evaluation criteria.

- **Double check the PSR to make sure it is grammatically correct and includes no misspelled words.** The PSR is provided to applicants as a document of how their application is reviewed. The PSR is a representation of the panel and ANA.

## Example of a Good PSR

This comment uses the wording of the relevant FOA evaluation criteria, as shown by the bolded text below:

### Comment

*The applicant did not provide information indicating how the **lives of community members would improve** as a result of the project or how the **impact of the project would be measured**, raising significant questions about whether the conditions identified in the Need for Assistance will be addressed. (Outcomes Expected)*

### FOA Text in Outcomes Expected Evaluation Criteria

*To evaluate the projects intended impact, reviewers will consider the extent to which:*

- 1. The condition(s) identified in the problem statement will be addressed*
- 2. **The lives of community members and beneficiaries will improve***

*To evaluate the Impact Indicator(s), reviewers will consider the extent to which:*

***How impact will be measured** with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and three years post-project.*

## Section 6: The PSR Approval Process

The PSR is the official record of the ANA panel review process. It demonstrates to applicants how their application was evaluated and scored. Consequently, the PSR is reviewed by the Subject Area Manager (SAM) and Program Area Manager (PAM).

The SAM and the PAM review the PSR and determine whether it is ready for approval. The SAM and PAM are representatives of ANA, and may be federal staff, onsite contractors, and/or contracted training and technical assistance providers.

The SAM and the PAM will determine approval based on the five standards listed below:

1. Is the PSR factually accurate?
2. Does the PSR adhere to the FOA Evaluation Criteria?
3. Is the PSR consistent?
4. Do the comments justify the score?
5. Is the PSR polished and well-written?

The SAM and the PAM will read the application to determine whether the PSR is factually accurate.

If the SAM and PAM believe the PSR does not meet one or more of the five standards listed above, the PAM will send the PSR back to the SAM through the ARM system. The SAM will review the PAM comments and send it back to the facilitator to make revisions. At this point, the approval process begins again.

### WHAT'S MY ROLE?

**Reviewers:** Read and evaluate the application thoroughly; comment and score

**Facilitators:** Read application thoroughly; facilitates discussion; writes PSR

**SAM/PAM:** Read application; answer questions regarding process and the FOA during panel discussion; approve PSR

If the SAM and PAM determine the PSR is ready to be approved, the SAM forwards the PSR to the PAM through the ARM system. The PAM's responsibility is to approve the PSR.

Another way to look at the panel review process is through a step by step guide detailed in Figure 3.

**Figure 3: Roles & Responsibilities of the PSR Approval Process**

**Reviewer Responsibility**

1. Reviewer evaluates the application
2. Reviewer documents evaluation by scoring and justifying score with comments
3. Reviewer submits score and comments to facilitator through ARM

**Facilitator Responsibility**

4. Facilitator creates initial PSR by compiling all reviewer comments
5. Facilitator holds panel meeting with reviewers
  - a. If a reviewer needs to change comments and score based on the discussion, the reviewer will resubmit the comments to the facilitator through ARM
6. Facilitator revises PSR based on reviewer comments, discussion or SAM/PAM recommendations
7. Facilitator submits PSR to SAM through ARM

**SAM/PAM Responsibility**

8. SAM and PAM determine whether the PSR is factually accurate, adheres to the FOA Evaluation Criteria, is consistent, justifies the score, and is professionally written.
  - a. If the PSR fails any of those requirements, the SAM returns the PSR to the facilitator for revisions, and the facilitator repeats step 6.

**Facilitator Responsibility**

9. Facilitator shares PSR with reviewers to ensure it reflects panel opinion.

**SAM Responsibility**

10. SAM submits PSR to PAM for approval through ARM

**PAM Responsibility**

11. PAM approves the PSR

## Section 7: Conclusion

Panels are assigned between five and seven applications. The evaluation of each application follows the steps detailed in this manual. After the PSR is approved for each application, the work of the panel is nearly done. The PAM will notify each panel by email once all the PSRs are approved. The last step is filling out the performance survey, which will be emailed near the end of the review. The performance survey is used to improve the panel review process. Once the performance survey is complete, ANA's onsite logistics contractor, Tribal Tech, LLC, will mail all reviewers and facilitators a check based on the number of applications reviewed and their role in the panel review.

ANA serves all indigenous populations in the continental United States, Alaska, Hawaii, American Samoa, Guam and the Commonwealth of the Northern Mariana Islands. This includes federally recognized tribes, state recognized tribes, Alaska Native villages, Native Hawaiians, Native Samoans, Native Chamorro, and Native Carolinians. Eligible entities for ANA funding include sovereign tribal governments and nonprofits working with Native populations.

Because ANA serves indigenous populations across the US and Pacific territories, there is a great diversity in cultures, languages, people, and approaches. We include additional information on the populations ANA serves in the Helpful Resource 4.

If you have any questions, please reach out to your PAM and SAM. We hope you enjoy the panel review process. Your role is crucial in determining which communities receive the limited funding ANA has to distribute.

**Thank you** again from all of us at ANA.

**Yawłkó. Miigwech. Gunalchéesh. Fa'afetai. Nia:wen<sup>o</sup>**

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<sup>o</sup> Thank you in Oneida, Anishinaabemowin, Tlingit, Samoan, Mohawk

## Helpful Resource 1: Terms to Know

### **ANA: Administration for Native Americans**

ANA promotes self-sufficiency for Native Americans by providing discretionary grant funding for community based projects and training and technical assistance to eligible tribes and Native organizations.

### **ARM: Application Review Module**

The web-based system of record used to document ANA's panel review through the scores and PSR.

### **EMI: Esther Martinez Immersion**

Part of the ANA Native language program, EMI grants provide funding for language nests, survival schools, and language restoration programs.

### **ERE: Environmental Regulatory Enhancement**

The ANA program area focused on increasing the capacity of Tribal communities to create and enforce environmental regulations on their land.

### **Facilitator**

The non-voting/non-scoring chairperson of the panel who is charged with managing the panel discussions and writing the PSR.

### **FOA: Funding Opportunity Announcement**

The official description and guide to applicants and reviewers on writing and evaluating an application.

### **NL: Native Language**

The ANA program area focused on preserving and maintaining the use of Native languages in Native communities.

### **OWP: Objective Work Plan**

The project work plan that includes the project goal, problem statement, objectives, key activities, and key personnel.

**PAM: Program Area Manager**

The ANA representative with the responsibility to approve the PSR.

**PM: Preservation and Maintenance**

Part of the ANA Language Program, PM grants provide grant funding for community-developed approaches to preserve and maintain a Native language.

**PSR: Panel Summary Report**

The official record of the panel evaluation.

**Reviewer**

A member of the panel charged with evaluating the application and documenting their evaluation by scoring and commenting on the application strengths and weaknesses.

**SAM: Subject Area Manager**

An ANA representative charged with assisting the panel on process and writing the PSR.

**SEEDS: Sustainable Employment and Economic Development Strategies**

A special initiative under the SEDS program, SEEDS grants encourage sustainable job creation and business development in Native communities.

**SEDS: Social and Economic Development Strategies**

The largest ANA program area, SEDS grants promote social, economic and governance development strategies in Native communities.

## Helpful Resource 2: FOA Evaluation Criteria

### Social and Economic Development Strategies (SEDS) FOA Evaluation Criteria

HHS-2014-ACF-ANA-NA-0776

**Please note:** Reviewers will not access, or review, any materials that are not part of the application documents. This includes information accessible on websites via hyperlinks that are referenced, or embedded, in the application. Though an application may include web links, or embedded hyperlinks, reviewers will not review this information as it is not considered to be part of the application documents. Nor will the information on websites be taken into consideration in scoring of evaluation criteria presented in this section. Reviewers will evaluate and score an application based on the documents that are presented in the application and **will not** refer to, or access, external links during the objective review.

Applications should be prepared based on the instructions identified in *FOA Section IV.2. Project Description*, however, please note that panel reviewers will score applications using the evaluation criteria outlined in this section. The following table is a guide for reviewers when assessing each application:

Description	Score Range
Excellent	93-100
Very Good	86-92
Good	78-85
Fair	70-77
Needs Significant Improvement	0-69

Funding is awarded based on availability of funds and in part by the rank order of applications based on the scores assigned by panel reviewers. A separate ranking will be made for each funding level (I and II) according to the relative merit of all proposals reviewed within that funding level (refer to *FOA Section II. Award Information* for details on funding levels). Objective review scores and rankings are not binding; they are one element ANA takes into consideration in the review and selection process (see *FOA Section V.2. Review and Selection Process*). Thus, an application that scores in the excellent range is not guaranteed funding.

Need for Assistance

Maximum Points: 10

*To evaluate the Need for Assistance, reviewers will consider the extent to which the application includes:*

1. A concise problem statement that identifies the current condition(s) to be addressed by the project
2. Supporting information or data detailing the scope and nature of the problem
3. Current challenges standing in the way of addressing the problem
4. A clear description of the community to be served and who the intended beneficiaries are

#### Outcomes Expected

Maximum Points: 25

Applicants: please note ANA requires outcome-oriented objectives, so although objectives are also mentioned in other sections of the project description, reviewers will evaluate them under this criterion.

*To evaluate project objectives, reviewers will consider the extent to which they are Specific, Measurable, Achievable, Relevant, and Time-Bound (S.M.A.R.T), as follows:*

- **Specific** in identifying the outcomes that will be achieved
- **Measurable** using quantifiable or objective terms in describing how progress and completion will be measured
- **Achievable** given the proposed time frame, approach, and resources
- **Relevant** to the problem statement, project goal, and the long term goals of the community to be served
- **Time-bound** with an end date reflecting completion within the project period

*To evaluate the projects intended impact, reviewers will consider the extent to which:*

1. The condition(s) identified in the problem statement will be addressed
2. The lives of community members and beneficiaries will improve
3. The intended impact is feasible given the projects objectives

*To evaluate the Impact Indicator(s), reviewers will consider the extent to which the applicant describes:*

1. How impact will be measured with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and three years post-project
2. Baseline information that was determined through accurate or verifiable methods (for example, surveys, census data, etc), OR if baseline data are not identified, the extent to which the applicant describes a relevant baseline measure that will be established as an initial project activity
3. An end of project target and three year post-project target that are realistic and adequately measure a change in the condition identified in the problem statement
4. How data will be effectively collected and tracked

To score the Approach, reviewers will consider the following components: Planning and Implementation, Community Involvement, and Organizational Capacity and Staffing Plan. These considerations will be made as follows:

*To evaluate Planning and Implementation, reviewers will consider the extent to which the applicant:*

1. Includes a comprehensive implementation plan for the full project period, including a detailed description of all key activities
2. Provides sufficient details explaining how specific tasks and activities will be completed (for example, how project participants will be selected, how surveys will be conducted, etc.)
3. Identifies contingency plans that describe adequate strategies to address potential obstacles and challenges
4. Has secured the non-federal resources (staff, materials, facilities, etc.) necessary to implement the project and provides sufficient plans describing how any other necessary resources will be leveraged
5. Describes how partnerships will be developed, maintained, and utilized to support the project
6. Describes sufficient measures that will be taken to ensure that project outcomes will be sustained and, if applicable, how programmatic sustainability will be achieved

*To evaluate Community Involvement, reviewers will consider the extent to which the applicant:*

1. Describes how community input was used in developing the project (for example from community meetings, surveys, community members participating in the planning process, etc.)
2. Demonstrates the ability to maintain community support and/or participation during project implementation, including how participants will be recruited if applicable
3. Includes specific outreach activities or other methods for building community awareness of the project and keeping community members informed of progress and outcomes

*To evaluate Organizational Capacity and Staffing Plan, reviewers will consider the extent to which the applicant:*

1. Provides details demonstrating the necessary capacity to implement activities and monitor project progress in order to ensure successful completion of objectives
2. Fully describes a project staffing plan that includes staff responsibilities and project personnel with sufficient qualifications to fulfill those responsibilities, e.g., required licensing, professional experience, subject matter expertise, etc.

3. Details a realistic plan for recruitment and hiring (only applicable if new hires are required)
4. Clearly describes how oversight and management of federal funds will be properly ensured, and identifies who will be responsible for maintaining oversight of program reporting, activities, staff, partners, and finances
5. Demonstrates that proposed partners or consultants have the expertise necessary to perform assigned project tasks

#### Objective Work Plan (OWP)

Maximum Points: 25

*To evaluate the OWP, reviewers will consider the extent to which it:*

1. Aligns with the information provided in the project narrative, serving as a stand-alone document to communicate the problem statement, project goal, objectives, activities, results, benefits, and criteria for evaluating results and benefits
2. Includes all key activities needed to implement the project in each project year, indicating start and end dates with sufficient time for completion and detailing how, when, and by whom each activity will be conducted
3. Includes results and benefits that mark milestone achievements in support of accomplishing objectives, and criteria for evaluating results and benefits that explain how these milestones will be measured
4. Demonstrates logical connections between the different project elements so that it is clear how implementing activities will lead to achieving the objectives, and how achieving the objectives will accomplish the project goal and directly address the problem statement

#### Budget and Budget Justification

Maximum Points: 10

*To evaluate the line-item budget and budget justification, reviewers will consider the extent to which the applicant:*

1. Provides a comprehensive line-item budget for each project year, accounting for all expenditures (federal and non-federal) necessary to implement the project
2. Includes a budget justification for each project year, detailing cost basis and calculations to demonstrate how each line-item expenditure was derived, with vendor estimates for larger expenditures where applicable
3. Sufficiently explains all costs to be programmatically justified in relation to the proposed activities and objectives

## Sustainable Employment and Economic Development Strategies (SEEDS) FOA Evaluation Criteria

HHS-2014-ACF-ANA-NE-0779

**Please note:** Reviewers will not access, or review, any materials that are not part of the application documents. This includes information accessible on websites via hyperlinks that are referenced, or embedded, in the application. Though an application may include web links, or embedded hyperlinks, reviewers will not review this information as it is not considered to be part of the application documents. Nor will the information on websites be taken into consideration in scoring of evaluation criteria presented in this section. Reviewers will evaluate and score an application based on the documents that are presented in the application and **will not** refer to, or access, external links during the objective review.

Applications should be prepared based on the instructions identified in *FOA Section IV.2. Project Description*, however, please note that panel reviewers will score applications using the evaluation criteria outlined in this section. The following table is a guide for reviewers when assessing each application:

Description	Score Range
Excellent	93-100
Very Good	86-92
Good	78-85
Fair	70-77
Needs Significant Improvement	0-69

Funding is awarded based on availability of funds and in part by the rank order of applications based on the scores assigned by panel reviewers. A separate ranking will be made for each funding level (I and II) according to the relative merit of all proposals reviewed within that funding level (refer to *FOA Section II. Award Information* for details on funding levels). Objective review scores and rankings are not binding; they are one element ANA takes into consideration in the review and selection process (see *FOA Section V.2. Review and Selection Process*). Thus, an application that scores in the excellent range is not guaranteed funding.

### Need for Assistance

Maximum Points: 10

*To evaluate the Need for Assistance, reviewers will consider the extent to which the application includes:*

1. A concise problem statement that identifies the current economic and/or employment condition(s) to be addressed by the project
2. Supporting information or data detailing the scope and nature of the problem

3. Current challenges standing in the way of addressing the problem
4. A clear description of the community to be served and who the intended beneficiaries are

#### Outcomes Expected

Maximum Points: 25

Applicants: please note ANA requires outcome-oriented objectives, so although objectives are also mentioned in other sections of the project description, reviewers will evaluate them under this criterion. All projected accomplishments will be evaluated based on the extent to which they are feasibly supported by the project's Approach. Additionally, all projected outcomes will be considered in relation to the requested budget amount and community to be served, including geographic considerations if applicable.

*To evaluate project objectives, reviewers will consider the extent to which they are Specific, Measurable, Achievable, Relevant, and Time-Bound (S.M.A.R.T), as follows:*

- **Specific** in identifying the outcomes that will be achieved
- **Measurable** using quantifiable or objective terms in describing how progress and completion will be measured
- **Achievable** given the proposed time frame, approach, and resources
- **Relevant** to the problem statement, project goal, and the long term goals of the community to be served
- **Time-bound** with an end date reflecting completion within the project period

*To evaluate the outcomes of all SEEDS applications, reviewers will consider:*

1. How many total FTE positions will be filled by the end of the project period, with each type of FTE (jobs created, jobs obtained, and project-funded positions) only being counted once
2. FTE types, prioritized in the following order: 1. jobs created, 2. jobs obtained, 3. project-funded positions
3. Whether employment will be full-time or part-time, with a priority on full-time jobs
4. Employment duration, with a priority on long-term, permanent positions
5. Employment compensation, with a priority on higher paying jobs
6. The total number of Native Americans employed by the end of the project period

*To evaluate the outcomes of SEEDS applications that will develop businesses and/or generate revenues (if applicable), reviewers will consider:*

1. How many total Native-owned businesses will be created or substantively expanded by the end of the project period; if expanded, reviewers will consider the extent of the intended expansion
2. The total projected dollar value of all revenues that will be generated by Native-owned businesses by the end of the project period

3. The estimated percent of projected revenues that will be retained in the community being served (for example, from profits to Native-owned businesses, wages paid to employees that live in the community, purchase of supplies or services from other local businesses, etc.)

*To evaluate the Impact Indicator(s), reviewers will consider the extent to which the applicant describes:*

1. How SEEDS-specific outcomes will be measured with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and three years post-project
2. Baseline information that was determined through accurate or verifiable methods (e.g., surveys, census data, etc.), OR if baseline data are not identified, the extent to which the applicant describes a relevant baseline measure that will be established as an initial project activity
3. An end of project target and three year post-project target that are realistic and adequately measure a change in economic and/or employment conditions in the community
4. How data will be effectively collected and tracked

#### Approach

Maximum Points: 30

To score the Approach, reviewers will consider the following components: Planning and Implementation, Community Involvement, and Organizational Capacity and Staffing Plan. These considerations will be made as follows:

*To evaluate Planning and Implementation, reviewers will consider the extent to which the applicant:*

1. Includes a comprehensive implementation plan for the full project period, including a detailed description of all key activities
2. Provides sufficient details explaining how specific tasks and activities will be completed (for example, how project participants will be selected, how surveys will be conducted, etc.)
3. Identifies contingency plans that describe adequate strategies to address potential obstacles and challenges
4. Has secured the non-federal resources (staff, materials, facilities, etc.) necessary to implement the project, and provides sufficient plans describing how any other necessary resources will be leveraged
5. Describes how partnerships will be developed, maintained, and utilized to support the project
6. Describes sufficient measures that will be taken to ensure that project outcomes will be sustained and, if applicable, how programmatic sustainability will be achieved

7. Demonstrates a local job market and employer demand for the types of jobs for which training will be provided, and/or describes feasible plans to connect trainees with specific employment opportunities upon completion of training (this item only applicable to projects that will include job training activities)

*To evaluate Community Involvement, reviewers will consider the extent to which the applicant:*

1. Describes how community input was used in developing the project (for example from community meetings, surveys, community members participating in the planning process, etc.)
2. Demonstrates the ability to maintain community support and/or participation during project implementation, including how participants will be recruited if applicable
3. Includes specific outreach activities or other methods for building community awareness of the project and keeping community members informed of progress and outcomes

*To evaluate Organizational Capacity and Staffing Plan, reviewers will consider the extent to which the applicant:*

1. Provides details demonstrating the necessary capacity to implement activities and monitor project progress in order to ensure successful completion of objectives
2. Fully describes a project staffing plan that includes staff responsibilities and project personnel with sufficient qualifications to fulfill those responsibilities, e.g., required licensing, professional experience, subject matter expertise, etc.
3. Details a realistic plan for recruitment and hiring (only applicable if new hires are required)
4. Clearly describes how oversight and management of federal funds will be properly ensured, and identifies who will be responsible for maintaining oversight of program reporting, activities, staff, partners, and finances
5. Demonstrates that proposed partners or consultants have the expertise necessary to perform assigned project tasks

#### Objective Work Plan (OWP)

Maximum Points: 25

*To evaluate the OWP, reviewers will consider the extent to which it:*

1. Aligns with the information provided in the project narrative, serving as a stand-alone document to communicate the problem statement, project goal, objectives, activities, results, benefits, and criteria for evaluating results and benefits
2. Includes all key activities needed to implement the project in each project year, indicating start and end dates with sufficient time for completion and detailing how, when, and by whom each activity will be conducted

3. Includes results and benefits that mark milestone achievements in support of accomplishing objectives, and criteria for evaluating results and benefits that explain how these milestones will be measured
4. Demonstrates logical connections between the different project elements so that it is clear how implementing activities will lead to achieving the objectives, and how achieving the objectives will accomplish the project goal and directly address the problem statement

#### Budget and Budget Justification

Maximum Points: 10

*To evaluate the line-item budget and budget justification, reviewers will consider the extent to which the applicant:*

1. Provides a comprehensive line-item budget for each project year, accounting for all expenditures (federal and non-federal) necessary to implement the project
2. Includes a budget justification for each project year, detailing cost basis and calculations to demonstrate how each line-item expenditure was derived, with vendor estimates for larger expenditures where applicable
3. Sufficiently explains all costs to be programmatically justified in relation to the proposed activities and objectives

## Native American Language Preservation and Maintenance FOA Evaluation Criteria

HHS-2014-ACF-ANA-NL-0778

**Please note:** Reviewers will not access, or review, any materials that are not part of the application documents. This includes information accessible on websites via hyperlinks that are referenced, or embedded, in the application. Though an application may include web links, or embedded hyperlinks, reviewers will not review this information as it is not considered to be part of the application documents. Nor will the information on websites be taken into consideration in scoring of evaluation criteria presented in this section. Reviewers will evaluate and score an application based on the documents that are presented in the application and **will not** refer to, or access, external links during the objective review.

Applications should be prepared based on the instructions identified in *FOA Section IV.2. Project Description*, however, please note that panel reviewers will score applications using the evaluation criteria outlined in this section. The following table is a guide for reviewers when assessing each application:

Description	Score Range
Excellent	93-100
Very Good	86-92
Good	78-85
Fair	70-77
Needs Significant Improvement	0-69

Funding is awarded based on availability of funds and in part by the rank order of applications based on the scores assigned by panel reviewers. Objective review scores and rankings are not binding; they are one element ANA takes into consideration in the review and selection process (see *FOA Section V.2. Review and Selection Process*). Thus, an application that scores in the excellent range is not guaranteed funding.

### Need for Assistance

Maximum Points: 10

*To evaluate the Need for Assistance, reviewers will consider the extent to which the application includes:*

1. A concise problem statement that identifies the current condition(s) to be addressed by the project
2. Supporting information or data detailing the scope and nature of the problem
3. Current challenges standing in the way of addressing the problem
4. A clear description of the community to be served and who the intended beneficiaries are

## Outcomes Expected

Maximum Points: 25

Applicants: please note ANA requires outcome-oriented objectives, so although objectives are also mentioned in other sections of the project description, reviewers will evaluate them under this criterion.

*To evaluate project objectives, reviewers will consider the extent to which they are Specific, Measurable, Achievable, Relevant, and Time-Bound (S.M.A.R.T), as follows:*

- **Specific** in identifying the outcomes that will be achieved
- **Measurable** using quantifiable or objective terms in describing how progress and completion will be measured
- **Achievable** given the proposed time frame, approach, and resources
- **Relevant** to the problem statement, project goal, and the long term goals of the community to be served
- **Time-bound** with an end date reflecting completion within the project period

*To evaluate the projects intended impact, reviewers will consider the extent to which:*

1. The condition(s) identified in the problem statement will be addressed
2. The lives of community members and beneficiaries will improve
3. The intended impact is feasible given the projects objectives

*To evaluate the Impact Indicator(s), reviewers will consider the extent to which the applicant describes:*

1. How impact will be measured with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and three years post-project
2. Baseline information that was determined through accurate or verifiable methods (e.g., surveys, census data, etc.), OR if baseline data are not identified, the extent to which the applicant describes a relevant baseline measure that will be established as an initial project activity
3. An end of project target and three year post-project target that are realistic and adequately measure an increase in language proficiency and/or community interest in the native language
4. How data will be effectively collected and tracked

## Approach

Maximum Points: 30

To score the Approach, reviewers will consider the following components: Planning and Implementation, Community Involvement, and Organizational Capacity and Staffing Plan. These considerations will be made as follows:

*To evaluate Planning and Implementation, reviewers will consider the extent to which the applicant:*

1. Includes a comprehensive implementation plan for the full project period, including a detailed description of all key activities
2. Provides sufficient details explaining how specific tasks and activities will be completed (for example, how project participants will be selected, how surveys will be conducted, etc.)
3. Identifies contingency plans that describe adequate strategies to address potential obstacles and challenges
4. Has secured the non-federal resources (staff, materials, facilities, etc.) necessary to implement the project and provides sufficient plans describing how any other necessary resources will be leveraged
5. Describes how partnerships will be developed, maintained, and utilized to support the project
6. Describes sufficient measures that will be taken to ensure that project outcomes will be sustained and, if applicable, how programmatic sustainability will be achieved
7. Identifies a feasible plan to preserve any curricula, recordings, or other materials produced by the project for the benefit of future generations, if applicable

*To evaluate Community Involvement, reviewers will consider the extent to which the applicant:*

1. Describes how community input was used in developing the project (for example from community meetings, surveys, community members participating in the planning process, etc.)
2. Demonstrates the ability to maintain community support and/or participation during project implementation, including how participants will be recruited if applicable
3. Includes specific outreach activities or other methods for building community awareness of the project and keeping community members informed of progress and outcomes

*To evaluate Organizational Capacity and Staffing Plan, reviewers will consider the extent to which the applicant:*

1. Provides details demonstrating the necessary capacity to implement activities and monitor project progress in order to ensure successful completion of objectives
2. Fully describes a project staffing plan that includes staff responsibilities and project personnel with sufficient qualifications to fulfill those responsibilities, e.g., required licensing, professional experience, subject matter expertise, etc.
3. Details a realistic plan for recruitment and hiring (only applicable if new hires are required)
4. Clearly describes how oversight and management of federal funds will be properly ensured, and identifies who will be responsible for maintaining oversight of program reporting, activities, staff, partners, and finances

5. Demonstrates that proposed partners or consultants have the expertise necessary to perform assigned project tasks

#### Objective Work Plan (OWP)

Maximum Points: 25

*To evaluate the OWP, reviewers will consider the extent to which it:*

1. Aligns with the information provided in the project narrative, serving as a stand-alone document to communicate the problem statement, project goal, objectives, activities, results, benefits, and criteria for evaluating results and benefits
2. Includes all key activities needed to implement the project in each project year, indicating start and end dates with sufficient time for completion and detailing how, when, and by whom each activity will be conducted
3. Includes results and benefits that mark milestone achievements in support of accomplishing objectives, and criteria for evaluating results and benefits that explain how these milestones will be measured
4. Demonstrates logical connections between the different project elements so that it is clear how implementing activities will lead to achieving the objectives, and how achieving the objectives will accomplish the project goal and directly address the problem statement

#### Budget and Budget Justification

Maximum Points: 10

*To evaluate the line-item budget and budget justification, reviewers will consider the extent to which the applicant:*

1. Provides a comprehensive line-item budget for each project year, accounting for all expenditures (federal and non-federal) necessary to implement the project
2. Includes a budget justification for each project year, detailing cost basis and calculations to demonstrate how each line-item expenditure was derived, with vendor estimates for larger expenditures where applicable
3. Sufficiently explains all costs to be programmatically justified in relation to the proposed activities and objectives.

## Native American Language Preservation and Maintenance – Esther Martinez Immersion FOA Evaluation Criteria

HHS-2014-ACF-ANA-NL-0780

**Please note:** Reviewers will not access, or review, any materials that are not part of the application documents. This includes information accessible on websites via hyperlinks that are referenced, or embedded, in the application. Though an application may include web links, or embedded hyperlinks, reviewers will not review this information as it is not considered to be part of the application documents. Nor will the information on websites be taken into consideration in scoring of evaluation criteria presented in this section. Reviewers will evaluate and score an application based on the documents that are presented in the application and **will not** refer to, or access, external links during the objective review.

Applications should be prepared based on the instructions identified in *FOA Section IV.2. Project Description*, however, please note that panel reviewers will score applications using the evaluation criteria outlined in this section. The following table is a guide for reviewers when assessing each application:

Description	Score Range
Excellent	93-100
Very Good	86-92
Good	78-85
Fair	70-77
Needs Significant Improvement	0-69

Funding is awarded based on availability of funds and in part by the rank order of applications based on the scores assigned by panel reviewers. Objective review scores and rankings are not binding; they are one element ANA takes into consideration in the review and selection process (see *FOA Section V.2. Review and Selection Process*). Thus, an application that scores in the excellent range is not guaranteed funding.

### Need for Assistance

Maximum Points: 10

*To evaluate the Need for Assistance, reviewers will consider the extent to which the application includes:*

1. A concise problem statement that identifies the current condition(s) to be addressed by the project
2. Supporting information or data detailing the scope and nature of the problem
3. Current challenges standing in the way of addressing the problem

4. A clear description of the community to be served and who the intended beneficiaries are

#### Outcomes Expected

Maximum Points: 25

Applicants: please note ANA requires outcome-oriented objectives, so although objectives are also mentioned in other sections of the project description, reviewers will evaluate them under this criterion.

*To evaluate project objectives, reviewers will consider the extent to which they are Specific, Measurable, Achievable, Relevant, and Time-Bound (S.M.A.R.T), as follows:*

- **Specific** in identifying the outcomes that will be achieved
- **Measurable** using quantifiable or objective terms in describing how progress and completion will be measured
- **Achievable** given the proposed time frame, approach, and resources
- **Relevant** to the problem statement, project goal, and the long term goals of the community to be served
- **Time-bound** with an end date reflecting completion within the project period

*To evaluate the projects intended impact, reviewers will consider the extent to which:*

1. The condition(s) identified in the problem statement will be addressed
2. The lives of community members and beneficiaries will improve
3. The intended impact is feasible given the project's objectives

*To evaluate the Impact Indicator(s), reviewers will consider the extent to which the applicant describes:*

1. How impact will be measured with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and three years post-project
2. Baseline information that was determined through accurate or verifiable methods (e.g., surveys, census data, etc.), OR if baseline data are not identified, the extent to which the applicant describes a relevant baseline measure that will be established as an initial project activity
3. An end of project target and three year post-project target that are realistic and adequately measure an increase in language proficiency
4. How data will be effectively collected and tracked

#### Approach

Maximum Points: 30

To score the Approach, reviewers will consider the following components: Planning and Implementation, Community Involvement, and Organizational Capacity and Staffing Plan. These considerations will be made as follows:

*To evaluate Planning and Implementation, reviewers will consider the extent to which the applicant:*

1. Includes a comprehensive implementation plan for the full project period, including a detailed description of all key activities
2. Provides sufficient details explaining how specific tasks and activities will be completed (for example, how project participants will be selected, how surveys will be conducted, etc.)
3. Identifies contingency plans that describe adequate strategies to address potential obstacles and challenges
4. Has secured the non-federal resources (staff, materials, facilities, etc.) necessary to implement the project and provides sufficient plans describing how any other necessary resources will be leveraged
5. Describes how partnerships will be developed, maintained, and utilized to support the project
6. Describes sufficient measures that will be taken to ensure that project outcomes will be sustained and, if applicable, how programmatic sustainability will be achieved
7. Identifies a feasible plan to preserve any curricula, recordings, or other materials produced by the project for the benefit of future generations, if applicable

*To evaluate Community Involvement, reviewers will consider the extent to which the applicant:*

1. Describes how community input was used in developing the project (for example from community meetings, surveys, community members participating in the planning process, etc.)
2. Demonstrates the ability to maintain community support and/or participation during project implementation, including how participants will be recruited if applicable
3. Includes specific outreach activities or other methods for building community awareness of the project and keeping community members informed of progress and outcomes

*To evaluate Organizational Capacity and Staffing Plan, reviewers will consider the extent to which the applicant:*

1. Provides details demonstrating the necessary capacity to implement activities and monitor project progress in order to ensure successful completion of objectives
2. Fully describes a project staffing plan that includes staff responsibilities and project personnel with sufficient qualifications to fulfill those responsibilities, e.g., required licensing, professional experience, subject matter expertise, etc.
3. Details a realistic plan for recruitment and hiring (only applicable if new hires are required)

4. Clearly describes how oversight and management of federal funds will be properly ensured, and identifies who will be responsible for maintaining oversight of program reporting, activities, staff, partners, and finances
5. Demonstrates that proposed partners or consultants have the expertise necessary to perform assigned project tasks

#### Objective Work Plan (OWP)

Maximum Points: 25

*To evaluate the OWP, reviewers will consider the extent to which it:*

1. Aligns with the information provided in the project narrative, serving as a stand-alone document to communicate the problem statement, project goal, objectives, activities, results, benefits, and criteria for evaluating results and benefits
2. Includes all key activities needed to implement the project in each project year, indicating start and end dates with sufficient time for completion and detailing how, when, and by whom each activity will be conducted
3. Includes results and benefits that mark milestone achievements in support of accomplishing objectives, and criteria for evaluating results and benefits that explain how these milestones will be measured
4. Demonstrates logical connections between the different project elements so that it is clear how implementing activities will lead to achieving the objectives, and how achieving the objectives will accomplish the project goal and directly address the problem statement

#### Budget and Budget Justification

Maximum Points: 10

*To evaluate the line-item budget and budget justification, reviewers will consider the extent to which the applicant:*

1. Provides a comprehensive line-item budget for each project year, accounting for all expenditures (federal and non-federal) necessary to implement the project
2. Includes a budget justification for each project year, detailing cost basis and calculations to demonstrate how each line-item expenditure was derived, with vendor estimates for larger expenditures where applicable
3. Sufficiently explains all costs to be programmatically justified in relation to the proposed activities and objectives

## Environmental Regulatory Enhancement FOA Evaluation Criteria

HHS-2014-ACF-ANA-NR-0777

**Please note:** Reviewers will not access, or review, any materials that are not part of the application documents. This includes information accessible on websites via hyperlinks that are referenced, or embedded, in the application. Though an application may include web links, or embedded hyperlinks, reviewers will not review this information as it is not considered to be part of the application documents. Nor will the information on websites be taken into consideration in scoring of evaluation criteria presented in this section. Reviewers will evaluate and score an application based on the documents that are presented in the application and **will not** refer to, or access, external links during the objective review.

Applications should be prepared based on the instructions identified in *FOA Section IV.2. Project Description*, however, please note that panel reviewers will score applications using the evaluation criteria outlined in this section. The following table is a guide for reviewers when assessing each application:

Description	Score Range
Excellent	93-100
Very Good	86-92
Good	78-85
Fair	70-77
Needs Significant Improvement	0-69

Funding is awarded based on availability of funds and in part by the rank order of applications based on the scores assigned by panel reviewers. Objective review scores and rankings are not binding; they are one element ANA takes into consideration in the review and selection process (see *FOA Section V.2. Review and Selection Process*). Thus, an application that scores in the excellent range is not guaranteed funding.

### Need for Assistance

Maximum Points: 10

*To evaluate the Need for Assistance, reviewers will consider the extent to which the application includes:*

1. A concise problem statement that identifies the current condition(s) to be addressed by the project

2. Supporting information or data detailing the scope and nature of the problem
3. Current challenges standing in the way of addressing the problem
4. A clear description of the community to be served and who the intended beneficiaries are

#### Outcomes Expected

Maximum Points: 25

Applicants: please note ANA requires outcome-oriented objectives, so although objectives are also mentioned in other sections of the project description, reviewers will evaluate them under this criterion.

*To evaluate project objectives, reviewers will consider the extent to which they are Specific, Measurable, Achievable, Relevant, and Time-Bound (S.M.A.R.T), as follows:*

- **Specific** in identifying the outcomes that will be achieved
- **Measurable** using quantifiable or objective terms in describing how progress and completion will be measured
- **Achievable** given the proposed time frame, approach, and resources
- **Relevant** to the problem statement, project goal, and the long term goals of the community to be served
- **Time-bound** with an end date reflecting completion within the project period

*To evaluate the projects intended impact, reviewers will consider the extent to which:*

1. The condition(s) identified in the problem statement will be addressed
2. The lives of community members and beneficiaries will improve, and the capability of the tribal governing body or bodies to regulate environmental quality will be enhanced
3. The intended impact is feasible given the project's objectives

*To evaluate the Impact Indicator(s), reviewers will consider the extent to which the applicant describes:*

1. How impact will be measured with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and three years post-project
2. Baseline information that was determined through accurate or verifiable methods (for example, tribal, state, or federal environmental data, survey results, etc.), OR if baseline data are not identified, the extent to which the applicant describes a relevant baseline measure that will be established as an initial project activity
3. An end of project target and three year post-project target that are realistic and adequately measure a change in the condition identified in the problem statement
4. How data will be effectively collected and tracked

To score the Approach, reviewers will consider the following components: Planning and Implementation, Community Involvement, and Organizational Capacity and Staffing Plan. These considerations will be made as follows:

*To evaluate Planning and Implementation, reviewers will consider the extent to which the applicant:*

1. Includes a comprehensive implementation plan for the full project period, including a detailed description of all key activities and, if applicable, the land or other resources the project will address
2. Provides sufficient details explaining how specific tasks and activities will be completed (for example, how community members will be informed of new regulations, what sampling design will be used, etc.)
3. Identifies contingency plans that describe adequate strategies to address potential obstacles and challenges
4. Has secured the non-federal resources (staff, materials, facilities, etc.) necessary to implement the project and provides sufficient plans describing how any other necessary resources will be leveraged
5. Describes how partnerships will be developed, maintained, and utilized to support the project
6. Describes sufficient measures that will be taken to ensure that project outcomes will be sustained and, if applicable, how programmatic sustainability will be achieved

*To evaluate Community Involvement, reviewers will consider the extent to which the applicant:*

1. Describes how community input was used in developing the project (for example from community meetings, surveys, community members participating in the planning process, etc.)
2. Demonstrates the ability to maintain community support and/or participation during project implementation, including how participants will be recruited if applicable
3. Includes specific outreach activities or other methods for building community awareness of the project and keeping community members informed of progress and outcomes

*To evaluate Organizational Capacity and Staffing Plan, reviewers will consider the extent to which the applicant:*

1. Provides details demonstrating the necessary capacity to implement activities and monitor project progress in order to ensure successful completion of objectives

2. Fully describes a project staffing plan that includes staff responsibilities and project personnel with sufficient qualifications to fulfill those responsibilities, e.g., required licensing, professional experience, subject matter expertise, etc.
3. Details a realistic plan for recruitment and hiring (only applicable if new hires are required)
4. Clearly describes how oversight and management of federal funds will be properly ensured, and identifies who will be responsible for maintaining oversight of program reporting, activities, staff, partners, and finances
5. Demonstrates that proposed partners or consultants have the expertise necessary to perform assigned project tasks

#### Objective Work Plan (OWP)

Maximum Points: 25

*To evaluate the OWP, reviewers will consider the extent to which it:*

1. Aligns with the information provided in the project narrative, serving as a stand-alone document to communicate the problem statement, project goal, objectives, activities, results, benefits, and criteria for evaluating results and benefits
2. Includes all key activities needed to implement the project in each project year, indicating start and end dates with sufficient time for completion and detailing how, when, and by whom each activity will be conducted
3. Includes results and benefits that mark milestone achievements in support of accomplishing objectives, and criteria for evaluating results and benefits that explain how these milestones will be measured
4. Demonstrates logical connections between the different project elements so that it is clear how implementing activities will lead to achieving the objectives, and how achieving the objectives will accomplish the project goal and directly address the problem statement

#### Budget and Budget Justification

Maximum Points: 10

*To evaluate the line-item budget and budget justification, reviewers will consider the extent to which the applicant:*

1. Provides a comprehensive line-item budget for each project year, accounting for all expenditures (federal and non-federal) necessary to implement the project
2. Includes a budget justification for each project year, detailing cost basis and calculations to demonstrate how each line-item expenditure was derived, with vendor estimates for larger expenditures where applicable
3. Sufficiently explains all costs to be programmatically justified in relation to the proposed activities and objectives



## Helpful Resource 3: About ANA

ANA's mission and history support community development as the path towards Native American communities achieving self-sufficiency and cultural and language preservation.

ANA was established by and is authorized under the Native American Programs Act of 1974. In January 1964, President Lyndon B. Johnson announced the War on Poverty, a series of legislative initiatives that included the foundation for ANA. President Johnson's War on Poverty called on communities to prepare "long-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, but several of its programs were continued. Established in 1974 through the Native American Programs Act (NAPA), the Administration for Native Americans (ANA) embraced the goal of Native American self-determination, first endorsed by President Johnson in 1968 and later by President Richard Nixon.

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

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

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

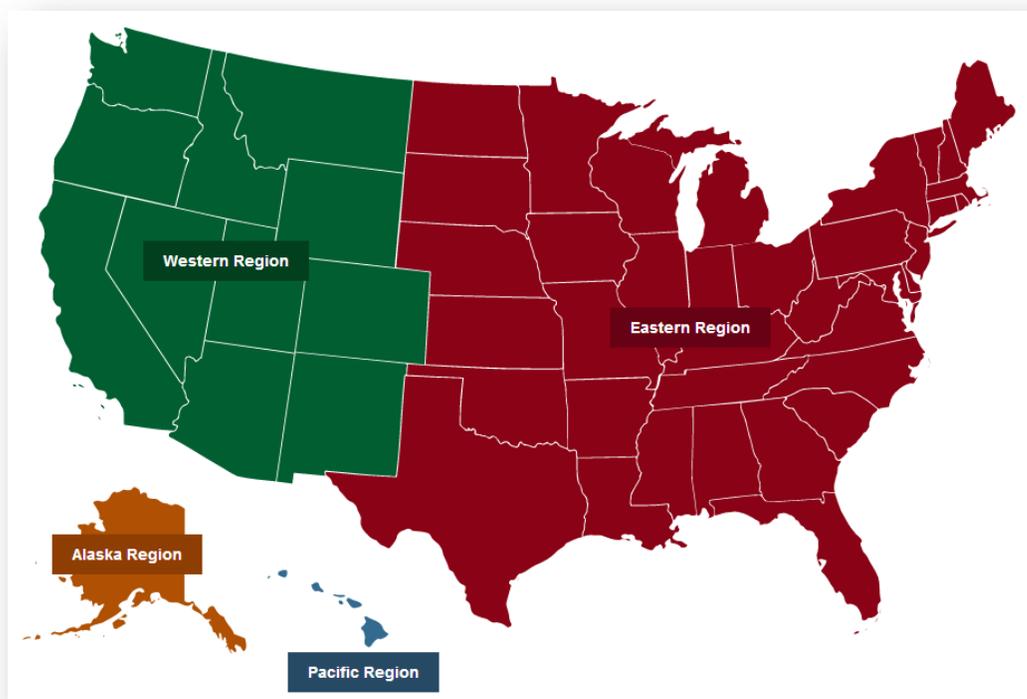
## Helpful Resource 4: About ANA’s Service Population

ANA serves indigenous populations of the continental United States, Alaska, Hawaii, American Samoa, Guam and the Commonwealth of the Northern Mariana Islands. This includes federally recognized tribes, state recognized tribes, Alaska Native villages, Native Hawaiians, Native Samoans, and Native Chamorro, and Native Carolinians. Eligible entities for ANA funding include sovereign tribal governments and nonprofits working with Native populations.

Because ANA serves indigenous populations across the US and Pacific territories, there is a great diversity in cultures, languages, people, and approaches. This resource contains basic information about these populations and links if you are interested in increasing your knowledge of the Native populations ANA serves.

For information on Federally Recognized Tribes and their relationship to the Federal Government please review the Office of Personal Management Training “Working Effectively with Tribal Governments” at [www.tribal.golearnportal.org](http://www.tribal.golearnportal.org)

ANA provides training and technical assistance through four regional centers, covering the country as shown below



## Eastern Region

The Eastern Region serves federally recognized tribes, state recognized tribes, non-federally recognized tribes and an extremely large number of Native non-profits serving the needs of urban and reservation based Native Americans. It is home to 59.3% of American Indians/Alaska Natives in the United States per the 2010 census. The region is diverse and represents hundreds of unique cultures and languages. Geographic terrain varies with communities located in extremely isolated locations to urban areas. Some brief information about the region includes:

- Of 566 federally recognized tribes, only 123, or less than 25% are located in the 37 state area comprising the Eastern Region
- Oklahoma has the most federally recognized tribes with 38, followed by Michigan with 12, and Minnesota and Wisconsin with 11
- Tribes with the largest land bases are located in the states of North and South Dakota, Minnesota, Wisconsin and Michigan
- 6 of the federally recognized tribes in the Eastern Region have service regions that encompass communities that cover a 2-4 state area
- Oklahoma has the 3rd highest number of Native American's of any state and has the largest population of Native Americans in the Eastern Region. Oklahoma has only 1 reservation. The rest of the Tribes in Oklahoma have jurisdictional boundaries that are extremely small and cover only a few acres
- The Eastern Region has at least 62 State Recognized Tribes
- 9 of the 16 active petitions for federal acknowledgement are in the Eastern Region
- State recognized tribes, non-federally recognized tribes, and Native non-profits for the most part have very small infrastructures and expendable funds and rely heavily on volunteerism, small corporate and state grants and federal discretionary grants to stay in operation. Staffing for a large percentage of these organizations can be as little as 1-3 individuals.
- Because so many of these organizations are small, very few if any have indirect cost rate agreements and do not meet the threshold of \$750,000.00 in federal expenditures for mandatory audits so in most cases you will not see IDC agreements or any discussion about audits in the organization capacity section.
- Communities in rural and isolated areas can experience unstable connection to cell phone and internet, higher costs for transporting goods and services, less expertise available locally, higher costs for travel and to bring in needed expertise.
- 6 of the top 10 cities with large American Indian and Alaska Native populations are in the Eastern Region, therefore it serves some of the largest Urban Indian Centers. 78% of all Native Americans live off reservation and do not have access to the same services as those living on the reservation (IHS health care, BIA services, Tribal housing, Tribal services, etc.)

## Western Region

The Western Region serves 11 states: Arizona, California, Colorado, Idaho, Washington, Montana, Nevada, New Mexico, Oregon, Washington, and Wyoming. The Western Region is diverse in languages, cultures, locations, and issues. Geographic terrain in the Western Region comprises urban, rural and frontier. Addition information about this region includes the following:

- For fiscal year 2014, the Western Region serves 68 current ANA grantees. In fiscal year 2013, the Western Region served 81 continuing and new ANA grantees.
- Out of the 566 federally recognized tribes, 41% (230) of them reside in this region.
- Three state-recognized tribes reside within the Western Region in the states of California, Montana, and Washington.
- Prominent frontier designations that include tribal lands include the four corners region in New Mexico, Arizona, Colorado, and Utah as well as Montana and Washington. Frontier areas may not have access or limited access to information technology such as Internet or cell phone.
- The 11 states in the region total population of American Indian and Alaska Natives alone or in combination with other races is 1,951,767 or 37% of the total United States population of American Indian and Alaska Natives alone or in combination with other races.
- California, Arizona, and New Mexico rank first, third, and sixth, respectively, of the states with the highest populations of American Indian and Alaska Natives alone or in combination with other races, which is 25% of the total United States population.
- The annual National Reservation Economic Summit (RES) is held in Las Vegas, NV each year that provides opportunities for tribes, state, and federal organizations to network and discuss economic development strategies.
- Six of the 10 Area Indian Health Boards are located in the Western Region
- Twenty-four of the 34 urban Indian health organizations are located in nine of the 11 states in the Western Region.

## Alaskan Region

The Alaska Region encompasses a vast land mass covering 571,951 square miles, with more than 33,000 miles of coastline. The State is 2,700 miles wide, and 1,400 miles from north to south, with an estimated (2010 Census) 138,312 Alaska Natives/American Indians comprising ca. 19% of the total State population of 735,000 residents. Anchorage, Alaska has the highest proportion of Alaska Natives/American Indians, at 12% of that city's total population. The major tribal groupings in the State, in order of size, are: Yup'ik (34,000), Inupiat (33,000), Tlinget-Haida (26,000), Alaskan Athabascan (22,000), Aleut (19,000), and Tsimshian (3,800). This does not include the Alutiiq/Sugpiak population, estimated at 3,000 in 1990. There are also ca. 11,000 Native Pacific Islanders in Alaska, primarily living in Anchorage, Alaska, which has the 5<sup>th</sup> highest proportion of Native Pacific Islanders of any county in the U.S. There are 229 federally recognized tribes in Alaska, or 40% of the Tribes in the U.S. In addition, there are 12 major regional Tribal non-profit organizations that serve the State, and numerous other Native non-profits. Roughly 2/3rds of Alaska Native lives in the over 200 remote, small villages scattered across the State, ranging in size from 50 residents to 1,200 or more. Most villages are typically only accessible by air, or boat, and suffer from extremely high energy, airfare, transportation, and food costs. The State is ranked 52<sup>nd</sup> nationally in terms of broadband Internet access. Subsistence hunting and gathering remain a predominant aspect of rural culture and livelihood in the State.

*Alaska Native Regions, Alaska Federation of Natives & Current Policy Priorities:*

<http://www.nativefederation.org/resources/regional-organizations/>

*Alaska Native Community Challenges, Contemporary Issues, & Essential Reading:*

<https://sites.google.com/a/anaalaska.org/anaalaska/home/about-us/about-3star>

*Federal Indian Law, Sovereignty & Alaska Natives:*

<http://tm112.community.uaf.edu/>

*Alaska Native Language Center (UAF):*

<http://www.uaf.edu/anlc/>

*Alaska Community Database Online:*

<http://commerce.alaska.gov/cra/DCRAExternal/>

## **Pacific Region**

The Pacific Region spans the Pacific Ocean, covering 4,000 miles – wider than the continental United States. The region does not contain any federally recognized tribes. While Pacific cultures share many commonalities, including traditions of trans-Pacific seafaring, stewardship of island resources, and a contentious history with Western colonizers, each island culture and community is individually unique. Visit this page for more info:

<http://anapacificbasin.org/about-pacific-communities/>

### **Hawai‘i**

The Native Hawaiian community is vast and global. According to the 2010 U.S. Census, only 289,970 of the 527,077 total Hawaiians in the U.S. actually live in Hawaii. The “Hawaiian cultural renaissance” of the 1970s launched the start of a slow but steady cultural resurgence. Still, there is more work to be done; only about 5% know their native language. Today, Hawaiians suffer from high costs of living, homelessness, highly disproportionate representation in prisons, and poor health. However, communities are generally optimistic about future possibilities.

### **American Sāmoa**

American Samoa, an unincorporated U.S. territory, has a population of about 55,000. Almost 90% of the population is Native Samoan. Samoans continue to live in their traditional village community social constructs, with recognized village chiefs and leadership, and the Samoan language is the nation’s primary language with 91% of the population using the Samoan language in daily life. American Samoa has a per capita GDP of \$8,000; most individuals work in the food export business, and American Samoa minimum wage workers make, on average, 35% less than U.S. minimum wage. Because of its isolation and poor government/public infrastructure, American Samoa experiences high costs because of limited supply from outside service providers.

### **Guam/CNMI**

Guam, the largest island in Micronesia, is at the tip of the island archipelago that also includes the Commonwealth of the Northern Mariana Islands (CNMI). The Native Chamorro people of Guam have a long history with colonialism and war, starting with Magellan’s arrival in 1521, which led to Spanish control until the Spanish-American War, when the island was surrendered to U.S. control. During WWII, the island was occupied by Japanese forces for a rough two years before returning to American control. Today, military remnants remain, with much of the economy revolving around military base activity, supplemented by tourism. Costs of living are high. The peoples of the CNMI are spread out among various islands, mainly the capital Saipan (pop. 48,220), Tinian (pop. 3,136) and Rota (pop. 2,527).

