



Project Planning and Development



The photos on the front cover are pictures from funded ANA projects:

Clockwise from top: Whaling Building Area in Barrow, AK; Karuk Tribe project; Ho-Chunk Community Development project. Pueblo of Cochiti project; Library Friends project from the Commonwealth of Northern Mariana Islands and from Redwood Valley Rancheria project;,,

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

Welcome to the Administration for Native Americans (ANA) Project Planning and Development Training. We are glad you are here. ANA's mission, our driving force, is to fund community developed projects that are sustainable and successful. We do that through two principles: we fund projects that meet the community's long range goals and are therefore wanted by the community, and we try to fund projects that will have a positive impact on the community. ANA has found, through evaluating our projects and talking with our grantees and applicants, that projects are more likely to be successful and sustainable if they are developed and planned by the community as part of a long range community strategy. This training will provide you with tools to better define the problems your community is facing and methods to design community based solutions.

During this training, you will engage in a project planning and development process that:

- Is based on long-range community goals.
- Defines problems in the community that stand between the community and its long-range goals.
- Establishes a project goal that, when accomplished, will reduce or eliminate the defined problem and move the community toward long-range goal accomplishment.
- Creates a project strategy built around specific, measurable, achievable, result-oriented and time-framed objectives.
- Designs an evaluation process and sustainability strategy for measuring project outcomes and continuing those outcomes after the end of project funding.

When designing a project, 90% of the work should go into project planning and development and only 10% in the writing of the application. This training is focused on how to do that 90%. This training is different than application development training, as it does not focus on how to write an application or apply for funding. Instead, it focuses on the steps that need to occur before you ever start writing an application.

ANA also offers application development training. We recommend you take a project planning and development training first and then attend pre-application: application development training once you are ready to submit your project idea for funding consideration. The table

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

below shows the differences between our Pre-Application: Application Development and Project Planning and Development Trainings.

What you will learn in Project Planning and Development	What you will learn in Pre-Application: Application Development
Methods to describe long- range community goals	Tips on writing an ANA application in response to an ANA Funding Opportunity Announcement
How to document community problems and assets	Guidance on how to apply through grants.gov
Community – based planning processes and tools	The process of reviewing applications for funding

The development process that we cover in this training can be used in preparing projects that could be submitted to a variety of public or private funders, including ANA. We hope you will use the information from this training to engage in community-based planning that creates a well designed project. You will then be able to fit your project concept into an ANA or other funder specific application format knowing that your chances for funding will be enhanced because the project is well crafted.

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

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

Yawakó. Miigwech. Gunalchéesh. Fa’afetai. Nia:wen^o

^o Thank you in Oneida, Anishinaabemowin, Tlingit, Samoan, Mohawk

Table of Contents

THE IMPORTANCE OF COMMUNITY DEVELOPMENT	7
About the Administration for Native Americans (ANA)	7
PROJECT PLANNING	9
Activity: Focus Group	17
PROJECT DEVELOPMENT STEPS	18
Activity: Community Goals and Project Ideas	19
Activity: Community Problems Questionnaire	24
Activity: Problems List	25
Activity: Problem Tree	26
Activity: Write Your Problem Statement	29
Activity: Community Mapping	33
Activity: Community Resources Identification	37
Activity: Determine the Project Goal	41
Activity: Narrow Down Your Approach	44
Activity: Goal, Objective, or Activity?	49
Activity: S.M.A.R.T. Objective?	50
Activity: Establish Project Objectives and Activities	51
Activity: Assumptions	54
Activity: Identify Expected Outcomes	59
Activity: Monitoring and Evaluation Matrix	63
Activity: Develop an Objective Work Plan	64
Activity: Develop a General Sustainability Strategy	69
Activity: Gathering Ideas	70
Activity: Identify the Financial Needs	75
Activity: The Budget and the Work Plan	79
IN SUMMARY	80
Closing Activity: Next Steps	81
TOOLS TO HELP YOU IN THE COMMUNITY PLANNING AND PROJECT DEVELOPMENT PROCESS	82
Appendix A: Glossary of Terms	82
Appendix B: Some Additional Planning Processes to Consider	87
Appendix C: Crafting long range goals	94

Appendix D: Sample Forms for Community Involvement	97
Appendix E: Successful Project Strategies	100
Appendix E: Bibliography	118

The Importance of Community Development

Community Development is broadly defined as the practice of improving communities. Community development is often used when discussing community economic development, the process of bringing more business and investment into a community. But community development can also refer to any project or program that works to improve your community, from indigenous food production, to teaching native language classes to mapping out the cultural resources. ANA funds projects that result in community development.

ANA believes community members are at the heart of lasting and positive change and community involvement is central to designing and implementing a successful project. ANA's mission and history support community development as the path towards Native American communities achieving self-sufficiency and cultural and language preservation.

About the Administration for Native Americans (ANA)

In January 1964, President Lyndon B. Johnson declared the War on Poverty, a collection of ideals that ultimately laid the foundation for ANA. President Johnson made a call to action, asking 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 many of its War on Poverty concepts became the basis for ANA. Established in 1974 through the Native American Programs Act (NAPA), this new agency also 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.

Social and Economic Development Strategies (SEDS) grants support locally determined projects designed to reduce or eliminate community problems and achieve community goals. This approach to promoting self-sufficiency encourages communities to shift away from programs that result in dependency on services and move toward projects that increase community and individual productivity through community development. SEDS grants fund social and economic development projects in on- and off-reservation native communities and provide federal support for self-determination and self-governance among Native American people.

Native Language grants provide opportunities to assess, plan, develop and implement projects to ensure the survival and continuing vitality of native languages. ANA believes language revitalization and continuation are two of the first steps taken in preserving and strengthening a community's culture. Use of native language builds identity and encourages communities to move toward social unity and self-sufficiency.

Environmental Regulatory Enhancement grants provide tribes with resources to develop legal, technical and organizational capacities for protecting their natural environments. Environmental Regulatory Enhancement projects focus on environmental programs in a manner consistent with tribal culture for Native American communities. The links between tribal sovereignty, organizational capacity and protection of the environment are central components of the Environmental Regulatory Enhancement program.

The mission of ANA is large, but our resources are small. ANA does not have the budget to fund all deserving projects and funds short term projects rather than programs. Therefore, it is imperative for communities to think about and develop sustainability strategies for their projects when planning and developing their programs. Community developed projects are more likely to succeed and have a lasting impact when community members are determined to work on the project. The tools presented in this manual will help you develop a project for ANA funding, but we also hope you use the resources at this training to find other sources of funding.

Project Planning

A few years ago, a tribe located in the western United States went through a comprehensive planning process and set long-range goals that included infrastructure and development options for the tribe's natural, economic and human resources.

A tribal leader was asked to consult with the tribal community regarding a large project involving the tribe's resources and various development options. The tribal leader had several years experience prior to being elected as a tribal official and had come to realize the importance of consulting with influential community leaders in the community. He realized that these influential and functional leaders, which were primarily elders, had the respect and best interests of the community. The tribal leader realized that the functional leaders would not discuss the project idea until they knew that the project idea fit into long-range community goals and addressed a problem that stood between the community and the achievement of its long-range goals. Over the years this leader consulted with these functional leaders and was provided with input that reflected tribal cultural values and years of experience dealing with issues in the community.

First the tribal leader consulted with the functional leaders, and then, based on their advice, decided to put together a planning committee for the project. The planning committee represented a cross-section of community members who had expertise and skills necessary for providing advice on the project development process. The planning committee met with members of the community and discussed current community conditions that needed to be addressed and arrived at a specific problem facing the community that prevented them from achieving their long range goals. In order to address that problem, the community developed a project goal statement that would reduce or eliminate the problem and achieve the long range goal. Once the project design was agreed upon by the community the tribal leader had the support and input of the community in planning for the project. The planning committee provided advice and sought the input of the community on the proposed project. The project idea was successfully implemented, supported by the community and created positive impacts for the community.

This story reflects the importance of community involvement in planning for any project designed to benefit the community and reflects the tribal leader's recognition of the importance of involving not only functional leaders in the community but also the input of a planning committee that was representative of the community.

Before starting the project development process, your community should engage in a project planning process. Project planning involves a series of steps that determine how to achieve a particular community or organizational goal or set of related goals. This goal can be identified in a community plan or a strategic plan. Project plans can also be based on community goals or action strategies developed through community meetings and gatherings, tribal council or board meetings, or other planning processes. The planning process should occur before you write your application and submit it for funding.

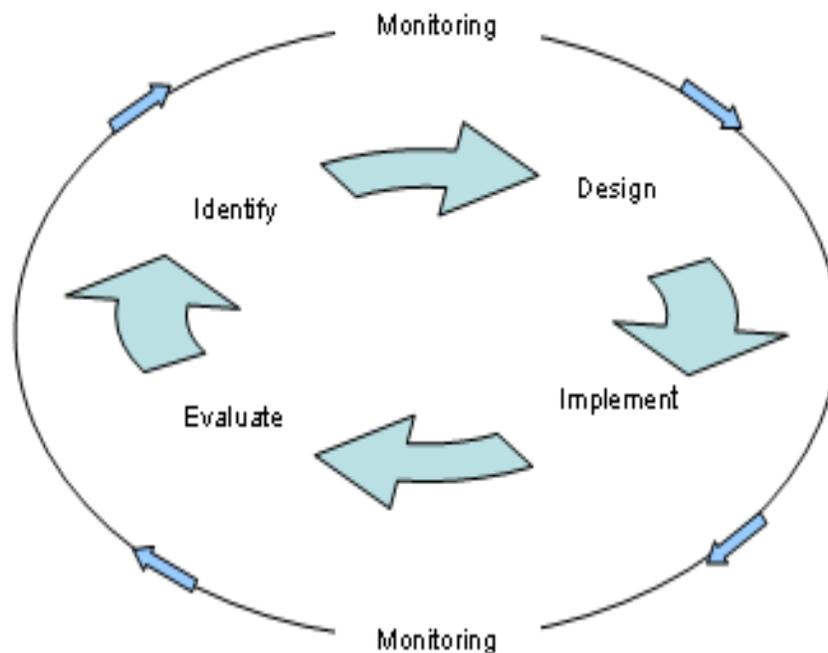
Community-based planning is used to:

- Identify specific community problems that stand in the way of meeting community goals.
- Understand the capacity of the community to implement a project.
- Describe measurable beneficial impacts to the community that result from the project’s implementation.
- Determine the level of resources or funding necessary to implement the project.

Project Planning helps us to:	Project Planning helps us to eliminate:
Think ahead and prepare for the future	Poor project design
Clarify goals and develop a vision	Overambitious projects
Identify issues that will need to be addressed	Unsustainable projects
Choose between options	Undefined problems
Consider whether a project is possible	Unstructured project work plans
Make the best use of resources	
Motivate staff and the community	
Assign resources and responsibilities	
Achieve the best results	

ANA promotes local decision making in achieving community self-sufficiency. Community involvement is central to both the strategic planning and project planning that occurs before the development of an ANA grant application.

The process of planning and managing projects follows a logical, continuous cycle. Each phase of the project leads to the next.



- The **identify** stage includes a community assessment process to determine the problems and identify assets in a community.
- The **design** phase includes the actual planning and design of a project.
- The **implement** stage refers to the implementation of the project, whether it is a single-year or multi-year implementation period.
- The **evaluation** of project results occurs at the end of a project and involves determining whether the project's goal and objectives were achieved. The evaluation stage then leads to the identification of additional or persisting problems, allowing the cycle to begin again.
- Project **monitoring** occurs throughout all stages allowing for small adjustments in the project's planning, design, and implementation in order to ensure the project's success.

Many communities develop a comprehensive plan in order to identify their long range goals. Comprehensive plans are often done by government agencies, whereas strategic plans are often used by non-profit organizations. Sometimes the terms are used interchangeability but the important thing

to remember is that both involve completing community needs assessments and identifying solutions to the problems. When planning your project, a comprehensive or strategic plan is a great place to start.

Comprehensive Planning

Comprehensive planning is often developed by government agencies and involves completing a community-wide needs assessment to engage the community in identifying and prioritizing all long-range goals and the community problems preventing the achievement of those goals. Comprehensive plans usually require at least a year to complete, and are long term, covering a five- to ten-year time span.

Strategic Planning

This is a process used when a community or organization already has a comprehensive plan or has established a set of long range goals and wants to move forward to achieve those goals. Strategic planning involves the participation of the community in identifying problems that stand between the community and its goals and moves the community toward realizing its long-range vision. The product of strategic planning, often simply called the “strategic plan,” builds on pre-established long-range goals by designing projects related to one or more of these goals. A strategic plan generally takes at least a year to complete and are generally more short-term in nature, covering a one to two year time span.

What if your tribe/organization does not have a comprehensive and strategic plan?

Comprehensive and strategic planning are time-consuming processes. They require the development of a community-wide needs assessment that collects community input and is then analyzed to prioritize problems and basic needs of the community. If your tribe/organization does not have a comprehensive or strategic plan that documents long-range goals and problem areas or your specific situation does not warrant having either document, there are alternative ways of engaging the community in goal setting and project planning that document community involvement.

Documentation

In addition to a detailed description of community involvement in the planning and implementation phases of the project, it helps to provide documentation to verify community involvement in and support for the proposed project. This documentation should explain and provide evidence of how the community was involved in determining problems faced by its members and in designing strategies for reducing or eliminating those problems.

Keep in mind that each of the documentation sources listed below provides information about different elements of the planning process.

Examples of documentation can include the following:

- summary of a community comprehensive plan
- summary of a community strategic plan
- summary of results from a community assessment
- Tribal Council or Board meeting minutes and/or sign-in sheets
- community meeting minutes and/or sign-in sheets

Minutes of past general council meetings or community meetings that document the community's perception of long-range goals and problems can be used to show that your project has a history of community focus and concern. This historical documentation of community problems and the project designed to address those problems should be supplemented through community assessments that determine current conditions and concerns. Methods for such assessments of current conditions could include focus groups, nominal group process and survey research.

When you have chosen a process that involves the community in planning and a method for documenting the planning, you are ready to begin project development.

Initiating the Planning Process

Project planning begins with the formation of a local project planning committee or group. Whenever possible, tribes and organizations should use a team approach to plan new projects which involves staff, community members, community or organizational leadership, and a grant writer or consultant if necessary. The committee members play an important role in keeping the project planning process on track while also ensuring everyone has the opportunity to participate. The committee can organize meetings, conduct surveys, gather and analyze information, and meet with other agencies and organizations. This team will develop the project plan and use it to write the different parts of the application. Generally, you want to spend approximately 90% of your time planning your project and 10% of your time writing and packaging the grant application.

Once your team is in place, the planning process generally begins with an assessment of community problems and issues involving various methods to gather community input. Based on information gathered, project developers can identify problems and issues or interests common to all members of the community to begin the process of setting community priorities.

Perhaps one of the most daunting aspects of project planning is ensuring community involvement, because it requires the knowledge and skills necessary to set up and conduct or facilitate effective planning sessions, large meetings, and presentations. Public meetings are essential to the development of a project with broad grassroots support. Meetings should be held regularly throughout the planning process. Properly facilitated meetings provide a great way to gather traditional, cultural, and local knowledge. They also serve as a means to receive input on goals, objectives, and activities in order to determine ways to best prioritize them.

Sometimes the community engaged in project planning is a subset of the overall community. The community subset might be the community elders, local school student population, Tribal Temporary Assistance for Needy Families (TANF) recipients, or any of the definable sub-populations found in your community. A school's parent association, for example, may develop a long range goal that describes a community where all children graduate from high school, where a large percentage of graduates go on to some form of higher education, and where funding is sufficient to provide assistance so that students can attend their postsecondary school of choice. There may be many other characteristics that could define the desired situation for this student community.

Using the Community Process

A large part of guaranteeing community involvement will depend on how you utilize and develop your community's community process, or the way in which a community or organization involves its members in the decision-making process. As stated above, the public process should include the many different perspectives that exist in the community, as this will help build unity around the project. **Appendix B** includes different methods for seeking community involvement in the project planning process. **Appendix D** includes some sample forms and ideas for meetings.

In addition, keep the following in mind:

- **Keep records.** It is important to document your public process, as these documents can be included in your application. See **Appendix D** for sample forms.

- **Use what already exists.** An easy way to get participation is to think of groups that already exist in the community, such as dance, school and parent, artisan, and youth groups. Many communities also have organized public meetings. Attending these already established meetings and informally collecting information saves time.
- **Choose “wisely.”** Meeting with people who are viewed as wise about the community, such as elders and community leaders, is an effective way to collect valuable information. These people are functional leaders and can also help in encouraging support from others. Additionally, do not discount including youth. Often, the youth will be excellent ambassadors to promote your project.

Focus Groups

Invite individuals and partnering organizations who will benefit from your project idea to a gathering. The individuals invited should, at a minimum, include beneficiaries of the project, tribal council or organizational board members, elders, and other interested partners who will benefit from or assist with the project. Establish three to five questions to help clarify what community problem your project will address and seek input on how to develop the project. These questions will also serve to jumpstart and guide the group’s discussion. Carefully record group and individual responses and ask follow-up questions that help clarify the problem area you are addressing. With permission of the group, tape-record the session and summarize key findings. Be sure to include discussion on what type of impacts this project will have on the community, if successful.

Getting the Word Out

Ensuring that a maximum number of people know about the meeting can be a challenge. Here are some approaches that might be helpful:

- Create colorful and interesting flyers and post them everywhere (post office, airport, tribal offices, stores, schools, clinics, laundromats, churches, etc.). The flyer should briefly and clearly state the purpose of the meeting and why it is important to attend. Indicate the times the meeting starts and ends.
- Ask all local media (radio, television, and newspapers) to run free notices or public service announcements.
- Post your meeting on any public calendars maintained in your community.
- Elicit the help of community organizations to notify their members. Inviting them to become active participants right from the start is a good way to initiate the collaborative process.

- Issue personal invitations to community leaders, elders, and any individuals you anticipate might oppose your ideas or project.

Boosting Attendance

It is often difficult to motivate people to leave home and attend a meeting, especially when the meeting is devoted to broad issues of visioning and planning. There are numerous ways to maximize attendance such as:

- Provide free childcare during the meeting.
- Offer door prizes that require the winner to be present.
- Offer free refreshments or organize a potluck supper.
- Make sure there are no scheduling conflicts with other community events. Or, conversely, hold your meeting in conjunction with other, relatively brief local events, such as an award ceremony, a groundbreaking, or the opening of a new facility.
- Choose the most convenient and appealing venue.
- Provide translation services if English is not the first language of all community members.
- Provide local entertainment at the conclusion of the meeting.

Additional tools on running a meeting and boosting attendance is in **Appendix B**.

Setting Group Priorities

Building consensus in a community planning meeting can be difficult, but there are techniques to help move the process forward:

- Many similar ideas can be consolidated. Work with meeting participants to cluster related thoughts into logical groupings (health, public safety, culture, etc.).
- A consensus can be formed by vote. One effective method is to write all the group's suggestions on flip chart pages, then give each participant three sticky dots. Participants place dots next to the ideas they consider most important, and the ideas that receive the most dots become the group's top priorities.
- An alternative to the dot voting method is a community survey, in which participants are asked to choose their priorities from a list of suggestions made at the meeting. This method is much more time consuming and labor intensive, but has the benefit of potentially increasing community awareness and involvement in the planning process.

Additional planning processes are in **Appendix B**.

Activity: Focus Group

Focus groups are a tool to discover the community concerns and recommended solutions. For this activity, get into groups of about five people, pretend you are all part of the same community, and discuss the following questions:

What are your community's long range goals?

What are the problems in your community that stand between the community and its long range goals?

How do you think the community should go about addressing those problems?

Project Development Steps

Developing a project follows a logical process, with the first step being to understand and identify what the community wants to accomplish. Once that is established, you can move towards identifying the problem you want to solve and what resources and assets are already available to address the problem. You can then begin working through the project and figuring out how much the project will cost. This development process does not involve reviewing funding opportunity announcements to determine the type of project for the community, rather, the project idea must come from the community and match the community's long range goal.

1. Identify the Long Range Community Goals

2. Conduct a Community Assessment to Identify the Problem

3. Assess Available Resources and Assets

4. Determine the Project Goal

5. Select a Project Approach

6. Develop Project Objectives and Activities

7. Identify Potential Challenges

8. Develop a Project Evaluation Plan

9. Develop an Objective Work Plan

10. Develop a Sustainability Strategy

11. Develop a Project Cost Estimate

1. Identify the Long Range Community Goals

If you could snap your fingers and create the perfect community what would it look like? What are its characteristics? What kinds of opportunities for achieving stability and self-sufficiency are available? What resources are available for the members of the community?

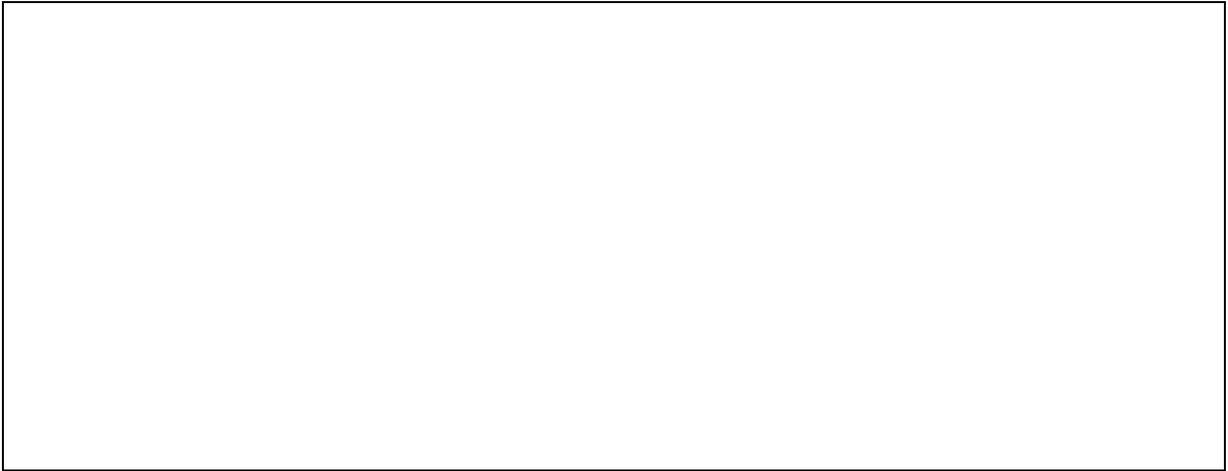
The first step in identifying long range community goals is to think about the conditions that would exist in your ideal community. These conditions are the community's long range goals, and are often in areas such as employment, education, cultural preservation, housing or family income. This activity provides a framework for constructing long-range community goals and designing a plan that moves in the direction of that "perfect" place.

Activity: Community Goals and Project Ideas

The community's long range goals are the foundation for all projects. This exercise will help you define long-term goals that relate to this project and the problem.

Describe your community's long range goals:

Where can statements of those goals be found? (e.g. Comprehensive Plan, Tribal strategic plan, etc.)



Describe the people of the community that developed the long range goals:



2. Conduct a Community Assessment to Identify the Problem

A successful project is one that is designed based on a good understanding of the community conditions. The project identifies the problems preventing the community from achieving its long range goals. A community assessment can be conducted to identify the problems and determine a specific problem to address through a project.

There are several methods of conducting a community assessment and different methods are appropriate for different situations. The method used should be selected based on the information you are collecting in order to produce a useful result. You can also use more than one method, and are encouraged to do so, as this will produce more comprehensive results and better describe current conditions in your community.

Before beginning a community assessment, it can be helpful to make a list of the pieces of information you are trying to find, the source of each piece of information, and the means of gathering each piece of information. The below table is an example of a list of information for an economic development project focused on identifying a potential market for tourist purchases in a Native Alaskan village.

Information Required	Source of Information	Means of Gathering Information	Comments
Identify types of items purchased by tourists in comparable settings in other regions of Alaska	Contact native businesses in heavily visited areas of Alaska	Survey and follow-up with phone calls	Interview village corporation and existing businesses in target village to identify reasons for not marketing those items .

All of the information you gather during a community assessment is valuable and can be used as a basis for defining a problem and determining the goal, objectives, and activities for your project.

Some questions to keep in mind when planning and conducting a community assessment:

- What conditions are being assessed?
- Who is assessing the conditions?
- Why are the conditions being assessed?
- Whose adverse conditions do the findings describe?

Once you have completed your community assessment, you can define and describe problems in your community. Problems, or the negative current conditions in the community, are those things that would have to change - or be overcome - in order to achieve the long range goals of a socially and economically healthy community.

The next step is to select the problem or problems you wish to address with your project through a community-based planning process. A project is generally more successful if it focuses on one well-defined problem, as this will help keep the scope of your project within achievable boundaries.

Once you have identified the problem(s), the community can design solutions to reduce or eliminate the identified problem. It is better to generate as many ideas as possible through focus groups and/or other community brainstorming methods, assisted by your project planning committee.

List as many ideas as you can think of-these could become the basis for your project. The ideas will directly address the list of problems to be overcome and will become the basis for your problem statement.

A problem statement describes a current critical condition or set of conditions affecting a defined group of people in a specific place at a specific time. The problem statement should include a clear, concise, and precise description of the nature, scope, and severity of the problem or problems the project will address. Typically, the statement identifies the specific physical, economic, social, financial, governmental, institutional, behavioral, native language, or cultural challenges of the community. The statement will include the information gathered from your community assessment.

Below is an example of a problem statement:

Nearly 40% of the 213 middle school/high school age youth on the Abiqua reservation drop out of high school, often in the transition to or during high school.

In developing your problem statement, there are some things to keep in mind:

- The problem to be addressed should have a clear relationship to your tribe or organization's mission, purpose, and long-term goals.
- Always document how the community defined the problem, but also include supporting information such as statistical facts or studies that support the community definition of the problem.
- The problem you identify should be within your tribe or organization's capacity to address using available resources.
- Be sure to include documentation of community involvement.
- Think about what the long-term impact will be of addressing the problem.

Additional tips for writing a problem statement:

- Accompanying information should be well-documented and should not be written as an assumption.
- Focus your problem statement on the geographic area your tribe or organization serves.
- Give a clear sense of the urgency of your request.
- Always provide a baseline population number if you reference percentages in the problem statement.

Activity: Community Problems Questionnaire

This exercise will help you clearly define the community condition(s)/problems your project will be addressing. Answer the questions below about your community.

Who? Where?	What? Why?	Evidence of the Problem	Impact if Problem is Resolved
Who is impacted by the problem?	What is the community condition/problem impacting the community?	What evidence do you have to show this is a problem?	What will happen if the problem is resolved?
Where is the problem occurring?	Why does this condition occur?		What role does your tribe or organization have in addressing the problem?

Activity: Problems List

List all of the problems identified by the community that are currently preventing the community from achieving its long range goals.

Activity: Problem Tree

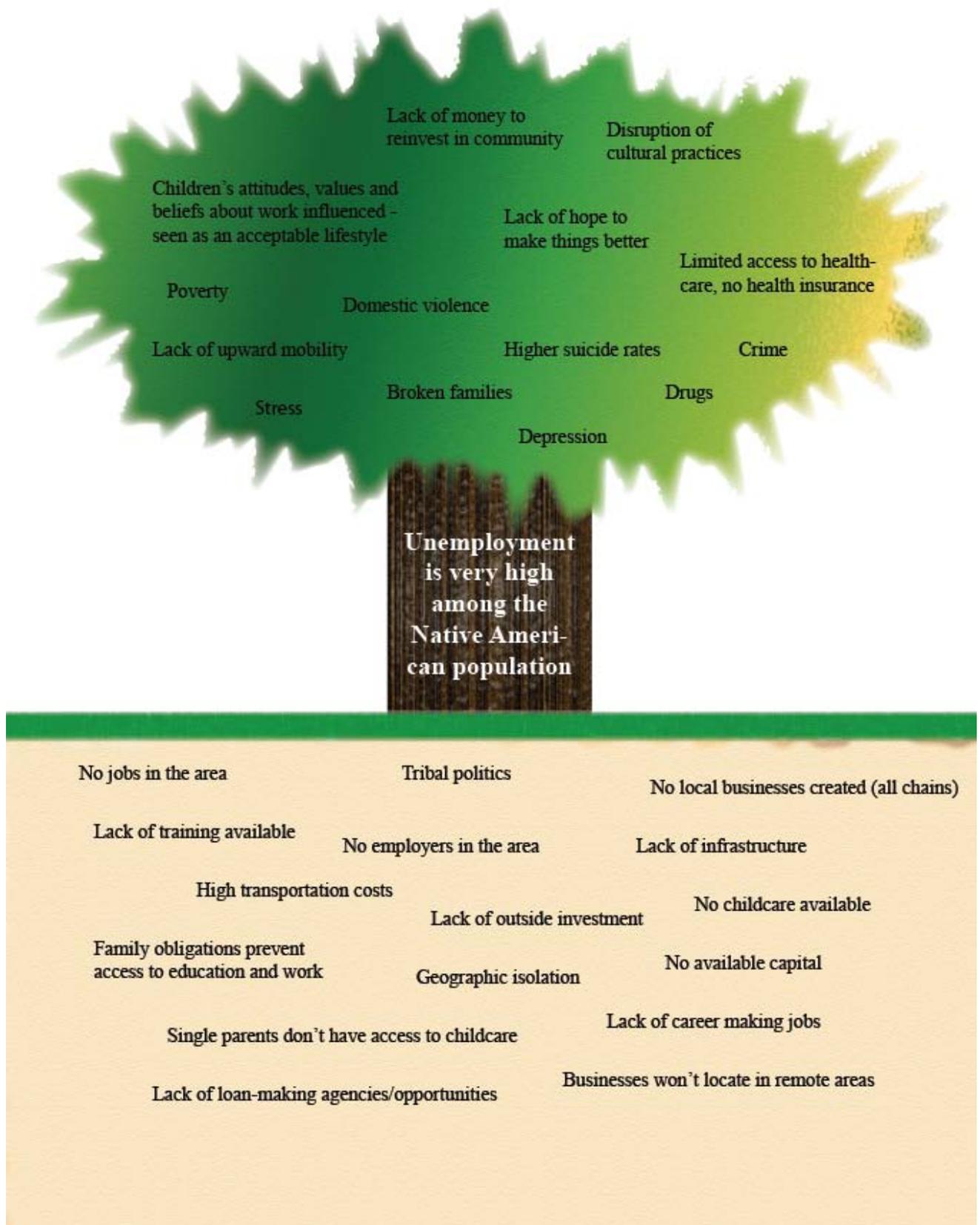
Problem tree analysis is useful in many forms of project planning. Problem tree analysis (also called situational analysis or just problem analysis) helps to find solutions to an identified problem by mapping out its causes and effects. A problem tree seeks to answer the question of “why” something is happening in a community, truly getting to the root cause of a problem and thereby making it easier to develop solutions.

Problem trees are useful because they:

- Break down a problem into manageable and definable chunks. This allows for a clearer prioritization of negative community conditions and can help shape and focus project objectives as a result.
- Provide more understanding of the problem and its causes. This is often the first step in finding win-win solutions.
- Help establish whether further information, evidence or resources are needed to make a strong case or build a convincing solution.
- Enable discussions and analysis that often help build a shared sense of understanding the problem, the project’s purpose, and action required to implement the project and address the problem.

In a problem tree, the trunk represents the problem, the roots are the causes of the problem, and the branches are the consequences of that problem.

Turn to the next page for a sample problem tree.



You can complete this activity in your community by following the steps below. Completing a problem tree analysis can help you find solutions to identified problems by mapping out causes and effects. Choose one of the problems you identified in the earlier activity and follow the steps below to complete this activity.

Discuss and agree on which problem to analyze based on those identified in the previous activity. Write the problem in the center of a flip chart. This becomes the “trunk” of the tree.

As a group, identify the causes of the problem. Place them on the flipchart as the “roots” of the tree.

Identify the consequences of the problem. These become the “branches” of the tree.

Next, cluster the causes and consequences into groups focusing on similar themes.

Next, review your problem tree and discuss its design within your group. The causes and consequences can be shifted and rearranged, including sub-branches and roots. The group may also choose to arrange these items according to priority or importance in the community. Record related ideas and points on a separate sheet of paper as they are brought up during the discussion. These ideas could include solutions, concerns, or decisions.

Some questions to consider during your problem tree discussion:²

Does this tree accurately describe and define all economic, political and socio-cultural dimensions to the problem?

Which causes and consequences of the problem are getting better, which are getting worse and which are staying the same?

What are the most serious consequences? Which are of most concern? What considerations are important to us in thinking about a way forward?

Which causes are easiest / most difficult to address? What possible solutions or options might there be? Where could a policy change help address a cause or consequence, or create a solution?

What decisions have we made and what actions have we agreed upon during our discussion?

²Daniel Start and Ingie Hovland, Tools for Policy Impact: A Handbook for Researchers (London: Overseas Development Institute) 25.

Activity: Write Your Problem Statement

Based on the activities above, we will develop your problem statement

What is the primary problem the project will address?

Write a problem statement (hint: refer to the example problem statement on page 22)

3. Assess Available Resources and Assets

Assessing your available resources will help determine the best strategy for implementing your project and should be part of your community assessment process. Begin this analysis with the resources that currently exist within the community. Every project and every strategy is different and requires a different set of resources, but a few hard-and-fast rules exist in the assessment of available resources. The answers to these five questions work well for project development.

Who always refers to people. Asking “Who?” helps to identify the human resources within the community with the knowledge, experience, credentials, and enthusiasm to implement the project strategy successfully. Consider all existing staff and volunteer positions. Answering these questions will help you understand the capacity of your tribe or organization to implement the project.

What refers to supplies, equipment, and materials required for the project. Are there resources available in the community to provide needed material, supplies, and equipment? If not, what external resources can be utilized?

Where refers to the location and facilities where most of the project activities will take place. Based on model projects elsewhere - or the community’s own vision of the project needed - where is it most likely to work? Does the project need an office, a garage, a library, a computer lab, a classroom, a gymnasium, or outdoor areas? Other questions arise from these basic questions: Will it be necessary to rent, refurbish, or remodel space? Will construction of a building or outdoor facility be required?

When will the resources be needed? This particular question sometimes speaks more to scheduling than to assessment of available resources, but it is an important consideration nonetheless. “When” is an important planning consideration if the proposed project involves the following:

- rehabilitation or remodeling of a structure, as this is a process requiring strict timeframes.
- acquisition of equipment, which will depend on the order of your activities.
- agricultural activities, as these revolve around the planting season, weather, etc.
- subsistence communities.

- projects involving academic institutions which are only in session during the academic year.
- receiving approval from Tribal Council.

Why are the resources needed? This question is an important double check to confirm that the identified resource requirements relate directly to the project plan. The purpose is not to create a wish list, but rather to determine what resources are absolutely essential to the activities in the plan - and then to determine whether they currently exist within the community.

The next step in this analysis looks beyond the immediate community for assistance. Who and where are potential partners with a shared interest in your community and its challenges? What mutual benefit collaborations can be developed with partners? What expertise and resources do the partners possess? What opportunities exist in the greater community to move you closer to your vision? It is important to note that by showing a large number of partners, you are also showing that your project has credibility outside of your tribe/organization. ANA stresses the importance of partnerships, as projects that utilize and develop partners are generally more successful.

In designing new projects and programs, strong partnerships and the resources you have leveraged from those partnerships and the community are two indicators that a project has resulted from a credible internal and external community-based planning process. Committed partnerships and commitment of funds are often critical components in determining project sustainability.

In addition to human resources, equipment, supplies, materials, and facility needs, the following questions should be answered:

- Who is addressing some identified problems or problem components now? How well are they doing? They might be potential partners in your project.
- What aspects of the problems remain to be addressed? This question identifies unaddressed conditions, or gaps in the situation so that you can formulate a strategy for addressing these continued unmet problem areas without duplicating existing services.
- What resources can be leveraged so that the project expands capabilities by adding resources that improve the chances for success?

ANA defines partnerships as: “agreements between two or more parties that will support the development and implementation of the proposed project. Partnerships include other community-based organizations or associations, tribes, federal and state agencies, and private or non-profit organizations.” Partnerships can be internal (with departments or programs within your organization) or external (with other organizations). Partners and your tribe or organization should have a mutual interest in project success.

Activity: Community Mapping

Community maps are used to identify locations, resources, and their importance within a specific area. The goal of creating a community map is to develop a visual document illustrating how groups potentially affected by or involved in a project are currently using the community and how the project will enhance their experience. There are many different types of maps, dealing with a variety of subject matter. Essentially, a community map can be used to locate, describe, and compare any aspect of the community, from social structure to environmental data.

Community Maps:

- provide a framework for discussing the location of resources.
- highlight resources of importance.
- analyze the status or condition of a location or resource.
- raise awareness of existing facilities or natural resources.
- identify which aspects of the community and which resources are important to specific groups.
- create a visual representation that can be understood by all (community members, agency representatives, funders).

The following is a list of different types of community maps:

- **Social Maps:** Include locating houses, services and infrastructure (roads, utilities etc.). The map could also include more detailed information, such as the occupants of the houses, their family make-up, etc. Social maps can identify other social issues, such as areas specifically used by men or women, cultural sites, and polluted areas.
- **Topical Social Maps:** These maps identify specific social aspects such as kinship make-up, skills of the population, education, and health.
- **Political Maps:** Show concentrations of political affiliations.
- **Resource Maps:** These maps cover a wide range of natural/physical resources and land use types. Identification of resources can include forests, swamps, rivers, grazing areas, hunting grounds, and bare land.
- **Topical Resource Maps:** Like topical social maps, this type of map focus on a specific issue such as agriculture, water, livestock, or forestry.
- **Futures Maps:** These maps can be used to illustrate changes the community would like to see.

Below is a guide for conducting a community mapping activity in your community.

Activity Goal - Understanding the connections between organizations, individuals and resources within the community.

Activity Objective - By the end of the exercise the participants will be able to identify two strong collaborations within the community and two possible partnerships that would provide skills, resources or other assets useful in effective project/program development.

Activity type - Community Assessment

Time - 60-90 minutes

Materials needed - Paper (2 sheets for each group), Markers (Black, Red, Yellow, Orange), Tables , Chairs, Masking tape

Introduction (5 minutes)

The facilitator begins the activity by introducing the idea of community mapping as one possible way to visualize the community and assess assets in the community and the connections between organizations, individuals and resources for collaborative partnerships that strengthen project development and operation.

Create Workgroups (5 minutes)

The facilitator breaks participants up into several smaller groups and asks each group to select one or more individual(s) from their group to report out at the end of the activity.

Step 1 (10 minutes)

Distribute the pieces of paper and markers (these can be pre-set on the tables if desired.)

Ask participants to use information from their community to identify possible gaps in the organization's project or program development and operation capacity and write them down on one of the sheets of paper.

Examples of gaps might be:

No expertise in specific functional areas (project evaluation or developing procurement policies for example).

No or limited experience in designing and operating a project that is supposed to generate revenue to sustain itself.

No or limited experience in designing and managing a project that addresses a major community problem.

Step 2 (10 minutes)

Instruct participants to:

Write down some organizations, individuals, and any resources that exist within the community that could/would assist in closing those gaps.

Identify their own organization in the middle of the paper.

Display the organizations, individuals, and other resources that they identified around their organization.

List the resources, expertise or other assets that each of those entities could provide.

Indicate if the potential partnership would focus on planning, operational, or other areas of collaborative assistance.

Step 3 (10 minutes)

After all the organizations, individuals and other resources have been identified, instruct the participants to:

Look at their paper and assess the connections all the organizations, individuals, and other resources have to the project and to each other.

Assess their own organization's probable current working relationships with those entities.

Visually show the connections by using the markers on the table:

Solid Black Line/ Thick Solid Line – Indicates a strong working relationship.

Dashed Red Line/ Dashed Line – Indicates a working relationship that is intermittent, and only occurs given certain situations, i.e. community events, meetings etc.

Dashed Yellow Line/ Thin Dashed Line – Indicates a very weak working relationship, i.e. have done projects previously but not worked with each other for some time.

Solid Orange Line/ Thin Solid Line – Indicates an organization, individual or resource that you think should do future collaborations.

No Line – Indicates no working relationship at all.

Step 4 (25-40 minutes):

After all the groups are done the facilitator asks them to report their findings to the larger group:

Begin the report by introducing group members and potential areas of collaboration they explored based on the community they mapped.

Explain the relationships between their organizations, even if there is none, and all the organizations, individuals and other resources included on their map.

Point out the two strongest collaborations or partnerships and describe how those collaborations would reduce or eliminate critical gaps in their organization's capacity and capability.

The facilitator asks the groups to display the map on the wall after the report out.

Step 5 Wrap-up (10 minutes):

The facilitator wraps up this activity by stating that sometimes it is necessary to have a visual representation of the community to understand the assets and gaps within the community organizations, individuals and resources. The facilitator then asks the large group for questions or observations.

Activity: Community Resources Identification

List the resources available <u>in</u> the community	Benefit to Potential Project
Human	
Programs	
Facility/Equipment	
Other	

List resources available <u>outside</u> the community	Benefit to Potential Project
Human	
Programs	
Facility/Equipment	
Other	

For each resource listed, provide a \$ value to calculate the monetary value of the resources you are leveraging for the project	Dollar Value

4. Determine the Project Goal

The project goal is a basic description of the purpose of the project, in other words, a reduction or resolution of the problem or problems you identified earlier. The project goal should reflect positive changes in the set of conditions desired by the community after the problem is addressed. The goal statement represents the result of the successful completion of the project.

When describing your project goal, clearly describe how the project relates to one or more of the community's long-range goals. The statement should be brief and to the point, as well as realistic. Your goal determines the scope of your project, so do not state your project will accomplish more than it possibly can.

An example project goal, based on a long range community goal and a problem statement is below:

Long-Range Community Goal: All youth will complete high school.

Problem Statement: Nearly 40% of the 213 middle school/high school age youth on the Abiqua reservation drop out of high school, often in the transition to or during high school.

Project Goal: Decrease the dropout rate for Abiqua high school students.

It is sometimes difficult to distinguish between goals, objectives, and activities. The exercises and information for development steps 4, 5, and 6 should clarify these three project components.

Activity: Determine the Project Goal

Write your project idea:

Write your intended target community:

Write the problem the project will address (hint: refer to the problem tree):

Enter the problem statement you developed in the earlier activity:

Write how the project fits within and addresses one or more of the community's long-range goals:

Considering the five previous responses, write a project goal statement:

When conducting this activity in your community, allow approximately 20 minutes to complete the activity. Have each work group present their goal to the whole room. A good exercise to do is to ask the following questions for each goal:

- Does it relate to the problem statement?
- Is it a solution to the identified problem?
- Is it realistic?

If a work group presents a goal that does not meet the above criteria, have the entire room make suggestions and work together to refine the goal as necessary.

5. Select a Project Approach

Once you have determined your project goal, you are ready to develop your project approach. Based on the information gathered in the previous steps, develop a list of possible strategies for addressing your problem and achieving your goal and then select an approach that represents the best method for implementing your project. This approach will be the basis for developing your objectives and activities.

Very few rules exist for ultimately selecting the most promising project approach in terms of both the problem to be solved and the opportunity to secure funding, because your approach will be unique to your community.

In selecting the most promising project approach for solving the problem identified by the community and achieving the project goal, consider the following issues:

- Use your tribe/organization's experience with past similar programs – what strategy worked then?
- Research similar projects that other tribes or organizations have completed and build off of them. Use their best practices to guide you in selecting an approach.
- Ensure your approach is in line with the resources you have available, including what you are asking for in your budget.
- Design the strategy so that its activities, tasks, and phases build incrementally to establish a clear path for achieving your goal.

Activity: Narrow Down Your Approach

Identify three approaches that could solve the problem identified in the previous activities:

Describe the community support and ownership for each of the alternatives:

What key individuals/decision makers in the community (e.g., governing board, elders, organization departments, functional leaders, Tribal Council) support each project idea?

- 1.
- 2.
- 3.
- 4.

Does your community have the expertise to undertake each project? If new staff is necessary, can the tribe/organization manage the new additions?

Project Idea	Current Expertise to Implement Project?	Capacity for New Staff?

Is there anyone else in or around the community implementing or planning similar projects? Can a partnership or collaboration be formed that will benefit all involved?

Project Idea	Tribe or Organization with similar project?	Possible Partner?

Based on the answers above, select the preferred approach and develop a set of bullets that provide an outline for carrying out the preferred approach. This is the start of the process to figure out how you will accomplish your project.

-

-

-

-

-

-

-

-

-

-

-

-

-

6. Develop Project Objectives and Activities

Now that you have begun to think about how you are going to implement your project, you can begin developing your objectives. Objectives are specific, measurable accomplishments designed to address the stated problems and attain your project goal. An objective is an endpoint, not a process, to be achieved within the proposed project period. Completion of objectives must result in specific, measurable outcomes that benefit the community and directly contribute to the achievement of the stated project goal.

Both the community and ANA want a clear picture of what will be accomplished by the project, how it will be accomplished, and how you will know when you have accomplished it. A project may only have one goal, but there can be several objectives to achieve that goal. Due to the limited project periods, an ANA project cannot have more than three objectives per project. For multi-year grants, this can mean having one objective each year or up to three objectives running throughout the project period.

The clearer, more concise, and more specific your objectives are, the easier it will be to implement your project and the easier it will be for a funder to understand your project approach. A good test for this is the S.M.A.R.T. objective strategy, outlined below:

S.M.A.R.T. objectives have the following characteristics:

Specific — Start with an action verb (strengthen, train, develop, teach, implement) and specify the outcome; state what you will do to achieve your goal and meet your identified need.

Measurable — The objective must include measurable outcomes and describe measurable changes in community conditions (including social, cultural, environmental, economic, and governance conditions).

Achievable — The objective must be realistic and attainable, something you can expect to achieve given your available resources and project strategy.

Relevant and Results-oriented— Your objective should address your project goal and therefore the long-term goals of your tribe/organization. The objective should also be results-oriented meaning it focuses on the outcomes of the project.

Time-bound — The objective should reflect a time period in which it will be accomplished.

When you develop your objectives, in order to keep them S.M.A.R.T., here are some questions you can ask yourself:

- What is/are the key areas your tribe/organization is seeking to change?
- What segment of the population will be involved in the change?
- What is the direction of the change (increase/improvement or decrease/reduction)?
- What is the degree or amount of change you want to obtain?
- What is the deadline for reaching that change within the project period?

An example of a S.M.A.R.T. objective:

By the 12th month of the project period, establish and operate a peer mentoring program for 45 middle school students that results in 40 students completing the school year with no unexcused absences or disciplinary actions in the final 6 months of the year.

Once the objectives have been developed, activities are written to provide a logical sequence of measurable milestones that move the project closer to attaining the objective. The activities are both building blocks that will lead to accomplishing an objective and yard sticks used to determine how efficiently and effectively the project is completing its objectives and achieving its goal.

Every project team must break down each specific objective into activities that will be performed in a logical progression, in a satisfactory time frame, and with the resources available. Activities describe the major tasks to be completed for each objective, but not everyday work tasks. Your project planning should provide detail of the major activities in a logical sequence that will lead to achieving each of your objectives. Your activities must also include benchmarks referring to quarterly results.

ANA uses a standard form for listing the project goal, objectives, and activities called the **Objective Work Plan (OWP)**. The OWP can be thought of as the blueprint for the entire project.

Activity: Goal, Objective, or Activity?

It can sometimes be difficult to distinguish between the project goal, objectives, and activities. The following examples will help you develop clear, concise, and S.M.A.R.T. project objectives to accompany your goal and activities. If a statement below is a Goal, write G next to the statement, if an Objective, write O, and if an Activity, write A.

Project 1: Language

- _____ Increase the tribal members proficiency of the Cree language.
- _____ Increase the teaching materials required for summer language camps by developing 24 workbooks by the end of year one.
- _____ By the 12th month, project staff will increase teacher effectiveness by providing 520 hours of teacher training in 12 specific areas.
- _____ Meet with elder consultants and elder's resource council to identify 20 key terms and 4 phrases.

Project 2: Economic Development

- _____ Expand the National Indian Business Development Fund's (NIBDF) service area outside of Phoenix into a five-state area to implement a culturally appropriate training model of business development services.
- _____ By the end of the 12th month, stabilize and expand at least 25 existing American Indian businesses in new areas.
- _____ Set up six 33-hour business development courses.
- _____ Train a minimum of 100 new American Indian entrepreneurs.

Project 3: Environment

- _____ Develop the organizational capacity of the Tribe to effectively and efficiently meet the environmental and biological monitoring and reporting requirements of the Shady Forest Act to ensure economically viable and environmentally responsible management of the Shady Forest.
- _____ By the end of project year one, develop and deploy a community outreach program targeting community members, other forest landowners, and partners.
- _____ Develop a site placement plan and data collection rotation schedule for all necessary sites in the Shady Forest.
- _____ Train staff on how to update the website with articles, graphics, and information.

Activity: S.M.A.R.T. Objective?

Which of the following are measurable objectives for a project? (Check those that apply.)

Two teachers will have been trained.

During the 12 month project period the Native American Center will train individuals to become data input operators through our new computer training center with 15 being certified each quarter for a total of 60 for the project year, with a minimum of 30 being hired at local data centers in our region.

By the 6th month of our language planning project, curriculum materials for K-3 will be developed in the areas of Reading and Math in the Ojibwe language as measured by the development of 20 new curriculum items in each category.

By the end of the project a Healthy Marriage Program will have been developed.

During the first project year, the Ojibwe Tribe will have trained a total of six elders on the proper classroom procedure requirements for state teaching certification with a minimum of four receiving certification and being placed in Tribal classrooms.

A training workshop will be held for 50 people.

Activity: Establish Project Objectives and Activities

Draft a project objective for your project (remember, for an ANA project you are restricted to a maximum of three objectives):

After you have drafted your objective, answer the following questions

Question	Yes	No
Is the objective Specific?		
Is the objective Measurable?		
Is the objective Achievable?		
Is the objective Relevant?		
Is the objective Results-Oriented?		
Is the objective Time-bound?		

If you answered “no” in any part of question 2, revise your objective accordingly.

7. Identify Potential Challenges and Develop a Contingency Plan

Every project has the potential to run into challenges that can impede progress and prevent or delay successful completion. Developing a contingency plan requires that you identify and prepare for potential challenges that may cause your project to be late in starting up or to fall behind schedule and/or over budget.

Developing a contingency plan as a fallback position, or “just in case”, will leave you better prepared to handle challenges. By identifying potential challenges and planning ahead, you will be more likely to overcome challenges with minimal disruption and cost to your project.

Identification of potential challenges and development of a contingency plan should be done by a team that includes project stakeholders.

Assumptions, Challenges and Risks

This section of project strategy planning requires that you are prepared for any issues that may cause your project to be late in starting up or to fall behind schedule. The first step in preparing a contingency plan is to develop a list of assumptions, the challenges that result if the assumption is not realized, and the risk that is associated with each challenge. Assumptions might include filling or retaining staff positions, contributions from project partners, licensing requirements, internal procedures, etc. Next identify the challenges that will be faced in the event that the assumed contribution, outcome, etc, is not accomplished as planned. Finally, factor in the potential risk the challenge will pose to the implementation of your project.

Develop a Contingency Plan

For each project challenge that has a significant risk of delaying or stopping project progress, you should develop an alternate, or go-to plan, that will minimize the disruption. This go-to is your contingency plan. A contingency plan is an alternate route just in case the route you planned is not available.

An example of a challenge is a project requires a linguist in a native language and expertise with a certain dialect to assist with the development of project materials. A job announcement was created and sent out by the personnel department right after the grant award. However, there were no responses even after both a regional and national search. The project strategy is based on the assumption that the linguist would complete specific deliverables each quarter beginning in quarter one. The risk is that the project would not be completed in a timely fashion or that it will fail completely.

ANA has compiled a list of the most common challenges faced by its grantees during project implementation. Review the challenges below and determine whether you are making any assumptions in your project strategy related to these challenges. If yes, be sure to include a contingency plan addressing the potential obstacle.

Challenges
<ul style="list-style-type: none">• Staff turnover• Late start• Overambitious project scope• Geographic isolation and travel related issues• Lack of expertise• Challenges with ANA processes• Underestimated project cost• Underestimated personnel needs• Partnership fell through• Lack of community support during implementation• Hiring delays

A contingency plan examines potential issues that could delay or prevent a project from being completed successfully then develops potential solutions that can be implemented to mitigate the problem. A contingency plan is not a discussion of what has already been put into place to prevent problems. The plan is what will happen if those controls fail.

For additional challenges, and some recommended best practices to address those challenges, please see **Appendix E**.

Activity: Assumptions

Listed below are examples of assumptions that could be made in an application. If the assumption is incorrect or if conditions change, what strategy would you utilize to keep the project on track?

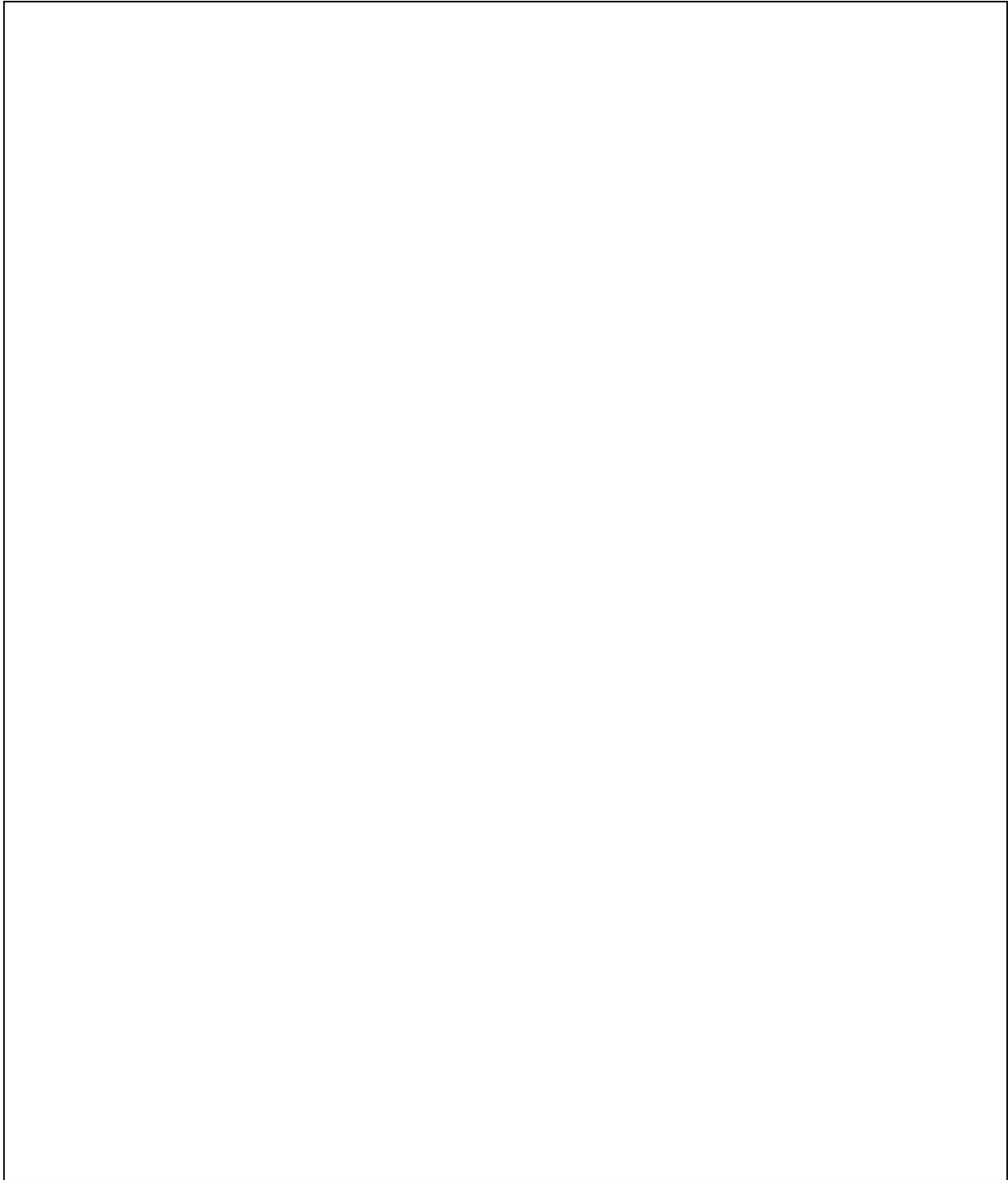
Your grant application states that a person with all the requisite qualifications to be the project director has, dependent on funding, accepted the job. After the project is funded, the person listed is unable to take this position. What contingency would you have in place to ensure that the project proceeds?

Strategy to Keep Project on Track:

Your grant application contains a letter of commitment from an organization that promises to assist with the non-federal share of your project by providing space and personnel to assist you in completing the project. After notification of award, the organization finds out it cannot provide this space. What contingency plan would you have in place to ensure that the project proceeds?

Strategy to Keep Project on Track:

List three other assumptions or critical issues you can think of that could result in project delay for your project or in not achieving planned results and how you would overcome them.

A large, empty rectangular box with a thin black border, intended for the user to list three other assumptions or critical issues that could result in project delay and how they would be overcome.

8. Develop a Project Evaluation Plan

A project evaluation measures the effectiveness and efficiency of a project, and determines the level of achievement of the project objectives. Findings from an evaluation will also help a tribe or organization plan for the future, as it can identify additional or persistent problems that need to be solved. This is why the project cycle is a continuous process.

Outcomes and Impacts

There are different components involved in project evaluation. Outcomes are the measurable changes that can be observed as a result of the project's successful completion. In ANA terms, these are the measurable results and benefits that will be observable within the targeted population once the project is complete, determining the extent to which the identified problems were reduced, resolved, or eliminated. These outcomes are the short-term and medium-term effects of the project on the community. Examples of short term and medium term outcomes include new knowledge, increased skills, increased understanding, and increased participation in after-school activities.

Impacts are the long term outcomes that describe the lasting effects of the project, as seen years down the road from the project's completion. Impacts measure the change that can be specifically associated to a project's implementation and after project completion. In other words, they measure the extent to which the project achieved the long range community goals. Examples of impacts include increased quality of life, decreased incidence of disease or infection, and higher numbers of students completing post-secondary education. The relationship of outcomes and impacts to the project is:



An evaluation plan is the next key element for the successful implementation and management of a project. An evaluation plan describes the process and provides the tools to measure progress in implementing the project; it also assesses how effectively the project addressed problems and achieved its objectives.

It is important to develop an evaluation plan during the project planning process prior to implementing your project and to include it in your ANA application. This will show ANA application reviewers there is a system in place to measure the level to which the project addresses the identified problems, ultimately determining its cost-effectiveness.

There is no perfect or minimum number of measurements that must occur in order to properly and fully evaluate a project's success. Instead, each project component must be analyzed, and decisions must be made based upon the findings. The evaluation should be designed to track progress on each objective, completion of activities, and dates of completion.

In designing the evaluation plan, include the following three components:

1. Impact Indicators

The objectives and project goal provide the framework for project evaluation. Achievement of each objective is measured by its accompanying results and benefits (outcomes). Achievement of the project goal is measured by impact indicators. The evaluation of these indicators will measure the extent to which the desired change has occurred. The indicators must be quantifiable and documented, and should include target numbers and tracking systems. ANA requires one project specific impact indicators per project. The evaluation will consider the indicator, the mechanism for tracking the indicator and the target number or situation at the end of the project period. Reference to the pre-grant status of the indicator and final target for the indicator will greatly assist in project evaluation.

For example:

Prior to starting a language implementation project, a tribe had 10 fluent native language speakers. The project spent three years teaching daily language classes to 100 community members. By the end of the project, there were a total of 27 fluent speakers including the 10 original speakers. The project chose "number of fluent speakers" as their project specific indicator, as measured by pre- and post-tests based on the tribe's definitions of proficiency levels. The change in fluent speakers was therefore 17.

2. Methods/Procedures

The project is likely to have several objectives to evaluate, and several different methods of evaluation might be needed.

- What methods will be used to measure the results and benefits?
- What records will be maintained?

The evaluation plan must include the method(s) used to determine whether the objective was accomplished, and whether the desired change actually occurred.

Reporting methods are a crucial part of your evaluation plan and the frequency and responsible parties must be specified.

- How many total measurements will be taken?
- How frequently will the data be collected and by what means?
- What will be done with the data?
- How will the data be analyzed and what form will the report take?
- What is the dissemination plan for the report (i.e., to whom will it be distributed)?

For the impact indicator, data will be tracked by data point/targets for three places in time including a long term target.

- Pre-grant status: baseline information prior to grant implementation.
- End of the grant target: information on the impact indicator at the end of the grant project funding.
- Three-year target: a realistic target result three years after the grant project funding has ended.

3. Reporting

In addition to evaluating the final project results, you also should regularly monitor and evaluate the project's progress in carrying out work plan activities, completing project objectives and staying within the approved project budget. This "process evaluation" determines whether the project was conducted in a manner consistent with the plan and whether the project activities contributed to the success of the project. In other words, was the plan followed, and was the plan effective in achieving the objectives? This part of the evaluation plan is used to effectively manage the day-to-day and week-to-week activities and is the basis of regular progress reports prepared for the project's funder.

Activity: Identify Expected Outcomes

What are the Long Range Community Goals?

What is the Project Goal?

What is your Problem Statement?

What are your Objectives?

What do you think will happen because of this project?

Internal – in your organization	External – in your community

Look at the listing of the internal and external things that you expect will happen because of this project. Next, identify the outputs and the short and long term outcomes from your lists.

Outputs (Results in ANA FOA)

Short term Outcomes (Benefits in ANA FOA)

Long Term Outcomes (Impact in ANA FOA)

Activity: Monitoring and Evaluation Matrix

Based on your identified impact indicators and results and benefits complete the matrix below.

Performance/Result and Benefit	What records/data to collect	Who collects data	How often/when is the data collected	How will the data be used	Who uses the data	Value/importance of data (what decisions can be made from the results)
<i>Ex: Number of partnerships formed</i>	<i>MOU's</i>	<i>Project Director</i>	<i>Every quarter</i>	<i>Keep track of partners</i>	<i>Executive Director</i>	<i>Help on future projects/increased community impact</i>
Number of partnerships formed						
Number of resources leveraged						
Project specific indicators:						

9. Develop an Objective Work Plan

An Objective Work Plan (OWP) is ANA's format for applicants to use describing how (through what activities), when (within what time frames) and by whom (assignment of responsibility) the project will be implemented—as well as the expected results and benefits. Items included in an OWP are:

- Project Title and Goal
- The problem addressed
- The Results expected and criteria for evaluating success in achieving them
- The Benefits expected and criteria for evaluating success in achieving them
- The Project Objectives (an OWP form is needed for each objective)
 - Activities
 - Begin and End Dates
 - Positions Responsible for the activity accomplishment

Activity: Develop an Objective Work Plan

For this activity, fill out the Objective Work Plan using the information developed in the previous activities. Insert your objective into the Objective Work Plan (OWP) form included in your training materials

Develop activities to accompany your objectives. Sequence each objective's activities in the order in which they will be initiated by placing a number in front of each activity – 1, 2, 3, etc.

Assign a timeframe for each activity. Be sure to allow enough time for each activity. It is better to overestimate than underestimate!

Objective Work Plan (OWP)

Project Title:

Project Goal:

Project Year:

Objective #__:				
Problem Statement:				
Results Expected:			Criteria for Evaluating:	
Benefits Expected:			Criteria for Evaluating:	
Activities	Position(s) Performing the Activity		Time Period mm/dd/year	
	Lead	Other	Begin	End
1.				
2.				
3.				

10. Develop a Sustainability Strategy

A sustainable project is one that can and will continue without additional ANA funds, and will therefore contribute to long-term success and impacts within your tribe or organization. However, sustainability is not simply about generating new grant dollars, it also involves outlining a specific strategy and action plan for continuing your project. ANA places significant attention on sustainability because it does not want the project to fail once ANA support is complete. Some projects lend themselves more to sustainability strategies, however all projects include benefits to the community that can be continued after implementation is complete.

A sustainability plan is a narrative description of how you plan to continue your project after ANA funding is complete. Perhaps the first questions to ask are:

- How can we use available, existing resources to continue our project's benefits and achieve our long-term vision?
- Will other outside funding be needed or can the project processes be absorbed into the tribe's/organization's daily operation without placing a burden on the staff?

Consider if you already have a network of supporters and potential funders in your area. If your tribe/organization has had previous success in funding projects after their initial funding is complete, describe these accomplishments as a background for your sustainability plan. This shows you have a pre-established method for sustainability.

If outside resources are needed, list potential sources that should be considered. Some resources for finding potential funding sources are:

- ACF Tribal Resources Guide
- www.cfda.gov
- www.grants.gov
- ANA National Resource Directory
- Agency websites

Be sure to be specific in your sustainability plan. Do not simply state future funding will come from “a variety of sources, including other federal funds.” Your plan should indicate you have conducted research and have specific ideas in mind. The sustainability plan should also provide information on how your tribe or organization will incorporate the new project into their funding or fundraising plan and who will be responsible for its continuation.

Obviously, this future funding will not be in place during the writing of your proposal, but try to think of your sustainability plan as a “wish list” or a list of possibilities.

Below are some examples of sustainability strategies:

- **Incorporate project into Tribal/organization operations:** Your tribe or organization may wish or be able to provide continuation funding for your project. Be sure to discuss this possibility during your project planning process. Provide a letter of support or commitment from your governing body in your application.
- **Continuation grants from private foundations:** Funding from private foundations can be used to support ongoing projects and programs. Provide information on how your project fits into their grant programs.
- **Other federal funds:** There are numerous other federal agencies that provide continuation funding for community-initiated community development projects. Provide information on how your project fits into their grant programs.
- **State funds:** There are also state agencies that provide continuation funding. Provide information on how your project fits into their grant programs.
- **Unrestricted revenue:** If your project will generate revenue, either through sales of goods, fees for service, or some other means, you can use the revenue generated after the grant ends to sustain your project. Include a revenue plan or fee scale in your application outlining your methods.
- **Colleges/Universities:** Many colleges or universities provide funds for ongoing projects and programs, or will supply project staff in the form of degree candidates or research assistants. Include a description of the institution and other projects it has funded similar to yours, or if possible provide a letter of support or commitment in your application.
- **Partnerships:** Looking at local and regional partners to assist in continuing the project impacts in your community after funding has ended is a potential method for sustainability.

Finally, keep in mind that a firm, long-term commitment of leveraged funds can be a very effective strategy on which to build a project sustainability plan, even for projects that “will be completed” at the conclusion of ANA funding. For example, applications for projects that focus on drafting environmental codes often indicate that the project will be completed at the end of ANA funding and will not need to be sustained. Instead, the applicant could include a sustainability plan that describes how those codes will be used to further benefit the community through ongoing tribal court and natural resources staff operations. In other words, a long-term commitment of leveraged resources.

Activity: Develop a General Sustainability Strategy

Using the ideas you've developed throughout this training, think about and answer the following questions.

Future Planning and Sustainability Strategy (project and project benefits)	Sources of Financial Resources
Do you intend to continue the project activities?	What sources can you use?
Do you intend to continue the project's benefits to the community?	What sources can you use?
For how long?	What sources can you use?
What resources are needed?	What sources can you use?
How will these resources be available after the project's end?	What sources can you use?

Activity: Gathering Ideas

Brainstorm a list of possible ways for continuing the project and/or its benefits after the completion of the initial funding source.

Programmatic Sustainability	Financial Sustainability

11. Develop a Project Cost Estimate

The project budget is a program and fiscal document. The budget reflects the costs necessary to perform the activities of the project. The budget is the dollar expression of the project being proposed and must be reasonable and tied to the project objectives and work plan.

The budget should not be prepared until the tribe/organization's policies, priorities, and plans have been established. Without clearly stated goals and objectives financial projections cannot be made nor should budgeting substitute for planning. Approval of the budget should be regarded as a commitment on the part of the governing body and the administration to carry out the policies, respect the priorities, and support the plans that have been translated into dollars through the budget.

Budgeting is the method by which a tribe or organization translates the project goals and objectives into the resources necessary to accomplish the goals and objectives. Budgeting is not a hit-or-miss approach. Rather, it involves serious consideration of many factors. These factors include:

- Available Resources. Analysis of available resources involves an identification of what is available in terms of dollars and people. This includes an assessment of human resources, capital resources, and financial resources. If the budgeting process does not assess the three areas of resources available it lessens its ability to achieve the goals and objectives.
- Regulations. The regulations govern programs. The budgeting process must assess the impact that these regulations will have on the allocation of resources to the various line items. If this is not done the tribe or organization will spend excessive time forcing expenditures into inappropriate cost categories.
- Scope, Quality and Method of Service. One of the most important factors in determining expenditures is the range and quality of services to be provided. This must include the methods which will be used to provide the service. Rather than just basing the budget on past expenditures, the tribe or organization should look at

alternative ways of providing the services as part of the budgeting process.

- Volume of Activity. The volume of activity must be analyzed to determine fixed costs and those that are impacted by an increase or decrease in the funding or level of activity. The tribe/organization must establish a base level at which the project can be operated. If this level of revenue is not secured, then the tribe or organization will have to either generate additional revenue or combine the project with another with similar goals.
- Cost elements. The tribe or organization will need to determine the types of labor, materials, equipment, and other cost elements required to perform the services and the cost for each.

When planning the budget, answer the following questions:

- What is the staff time required to complete the project?
- Will consultants be needed for the project?
- What travel is necessary to perform all activities?
- Will equipment be needed to perform the scope of work?
- What supplies will be needed by the project?
- What other costs will be incurred to complete all activities of the project?

Once the resources necessary to carry out your proposed project have been determined it is time to begin researching and gathering the cost estimates for these resources.

Tribes/organizations that have an accounting or purchasing department can work together to gather the required information. It is important that good documentation is kept during this process. This documentation will be needed when writing the budget justification. Some of it may be included in the proposal.

Although budget formats and requirements differ among funding agencies, the following ANA budget format is also standard for the development of most federal budgets.

Personnel

List all full- and part-time staff in the proposed project, the number of hours they will work on the project, and the hourly rate. Identify each position working on the project as a percentage of full time equivalent (FTE). The hours listed in the budget must be reasonable. The federal

government uses 2080 hours as the equivalent of one FTE, however if the tribe/organization uses a different definition, it must be identified in the budget justification section.

Fringe Benefits

List each of the fringe benefits the staff will receive and the dollar cost of each benefit. The fringe benefit category will include both mandatory payroll taxes and tribal/organizational employee benefits. Examples of mandatory payroll taxes include FICA or OASDI and Medicare. Examples of employee benefits include health and life insurance and retirement plans.

Travel

Only out-of-area travel is calculated in this budget category as local travel will be included in the “other” category (see below). In the budget identify each of the out-of-area trips planned and the cost of airfare, ground transportation, lodging, and meals for each planned trip.

The General Services Administration (GSA) website is a good reference for federal travel rates: <http://www.gsa.gov/portal/category/21287>

Equipment

List all the items of equipment to be purchased. ANA defines equipment as an item costing more than \$5,000 and with a useful lifetime of more than one year.

Supplies

List all supplies such as paper clips, paper, pens, and pencils. Do not simply use one line item, written as “Office Supplies: pens, paper, pencils, etc.” If there are unusual needs for project supplies such as training supplies use a separate line item for each category of supply and the amount.

Contractual

If the project plans to contract with a company or individual to perform work for the project, the cost of the contract should be included under the “contractual” category. The scope of work should be included as an attachment to the application.

Other

Additional costs of the project should be included in the “other” category. Examples of other costs include:

- **Facilities used:** In this section list all of the facilities that will be used during the project. Rent must be comparable to prevailing rents in the geographic area in which the facility is located. In addition to the actual rent, include the cost of utilities, maintenance services, and minor renovations if they are absolutely essential to your project.
- **Telephone:** Telephone should include the cost of basic services, if not provided through indirect costs (see explanation below), and all planned long distance usage.
- **Postage:** Include the projected mailings, purpose, and cost.
- **Copying and printing:** Provide information on the materials to be copied and/or printed and the projected cost by product.
- **Professional services:** List the professional services (consultants) that are anticipated during the project. It is important to include the projected number of days of use and the cost per day. Include a scope of work or RFP as an attachment to the application.
- **Local travel:** Provide information on the planned local travel, purpose of the travel, and cost. All travel that does not require per diem is considered local travel. The tribe or organization’s finance department can provide information on what travel qualifies for per diem.
- Any other items that do not logically fit elsewhere in the budget.

Indirect Costs

Indirect costs are costs an organization incurs for common or joint objectives that cannot be readily and specifically identified with a particular grant project or other institutional activity. If an indirect cost is to be charged, the tribe/organization must provide a copy of its current negotiated indirect cost rate agreement from the cognizant agency. A current copy is defined as one that encompasses the project period or a portion of the project period. A new indirect cost rate agreement will be required if the one submitted with the grant expires during the project period. If the organization has a provisional rate the indirect cost final rate will have to be submitted prior to close-out of the grant. The tribe or organization’s finance department can provide information on how the rate is to be applied and the costs paid with indirect funds.

Again, the budget is the financial expression of the project’s scope of work. It is important that all costs be associated with the activities required to meet the project objectives.

Activity: Identify the Financial Needs

Write down your project objectives

--

What staff will you need to accomplish the project as designed?

Position	Responsibilities	Percentage of Time dedicated to project (100%, 50%?)	Estimated Cost (base this on their current salary)

What travel do you anticipate needing for this project?

Travel destination	Purpose of the travel	Anticipated number of days	Estimated Cost (use the GSA travel rates or your organization travel rates)

Are there any special supplies that will be needed?

Supply	Purpose	Quantity Needed	Estimated Cost

What are some project specific needs for your project?

Need	Purpose	Quantity	Estimated Cost

Activity: The Budget and the Work Plan

Thinking about your project approach, Objective Work Plan, and the cost estimate, write a narrative explaining how each estimated cost relates to the project approach. This is a good exercise to determine if you are proposing costs that are not justified in the project approach or activities that are not supported by a cost.

In Summary

Congratulations! Now that you have learned some tools to identify your long range goals, conduct a community assessment to identify the problem, assess your available resources and assets, determine the project goal, select a project approach and strategy, develop project objectives, identify potential challenges and a plan to work through those challenges, and develop a project evaluation, OWP, sustainability strategy and a cost estimate, you are ready to go back to your community and plan and develop a project.

ANA seeks to fund projects that are community designed and implemented, and this process will help you document and assess your community problems and solutions. Also, keep in mind there are many funding sources within the federal, tribal, state, and local governments, as well as the private sector (foundations, non-profits, charitable organizations, etc.) that fund a myriad of issues faced by Native Americans. One of the most crucial planning decisions that must be made, once a specific project is identified, is which funding agency best suits your project's specific needs. While ANA funds Native specific projects and oftentimes an applicant makes this their first choice for funding requests, serious consideration must be utilized when determining the correct funding source. Other federal agencies may be a better source for the project you are proposing. Always base your decision on the specific problem you are addressing and write your grant application so that the problem can be eliminated or alleviated through the funding requested. Then determine whether ANA or some other agency would be the most viable source to request funding from. Many times, applicants develop a project that fits the funding agencies priorities and the project written does not truly address the problem in a way which will rectify that problem. Before making a decision on a funding source, write your application in such a way that it will truly address your needs and has the potential for success. Then you can determine which funding source best fits this specific application. Never write an application simply to request funds for a project that will potentially have no benefit to your organization, in other words, "don't chase the money just because it's there."

ANA has a National Resource Directory that lists a variety of federal and nonfederal funding sources. This is an excellent guide to help you identify a good match for your project. The resource guide is at <http://www.anaresourcedirectory.org>.

Closing Activity: Next Steps

Thank you for participating in this training and reading the manual. Before you apply these processes and tools in your community, spend a few minutes reflecting on what you've learned.

How will you use this information in your community?

Do you anticipate any resistance to moving through the project development steps?

What is the first thing you are going to do when you get back to your community?

Tools to Help You in the Community Planning and Project Development Process

Appendix A: Glossary of Terms

Activities: The smallest units of work in a project, also often called “tasks.” Associated with an objective, activities provide a logical sequence of measurable milestones that move the project closer to attaining that objective. Activities have a definite duration, are related to other activities in the project, involve resource consumption, and have an associated cost.

Budget Justification: A narrative that provides information to ANA which validates that each expense is necessary and reasonable. The budget justification will explain how the cost was calculated and provide additional information about each expense.

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

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

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

Comprehensive Plan: A document developed by the community that outlines a method to accomplish the community's long-range goals, including ways to overcome current problems. The plan should include a process to measure the progress towards achieving those goals. Comprehensive plans usually require at least a year to complete and cover a five- to ten-year time span.

Contingency Plan: A plan that identifies specific actions to be taken in the event a specific challenge arises. The contingency plan should ensure that the project will be successfully completed within the proposed funding timeframe. A contingency plan is not to pre-empt challenges, but rather to address challenges if they arise.

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

Evaluation Plan: Describes the process and provides the tools to measure progress in implementing the project and to assess how effectively the project addressed problems and achieved its objectives.

Goal: The specific result or purpose expected from the project. The project goal specifies what will be accomplished over the entire project period and should directly relate to the problem statement and community goal. The goal is achieved through the project objectives and activities.

Grant: A legally binding agreement between the government and the grantee authorizing the transfer of government funds to the grantee in order to facilitate the execution of a project.

Impact: The change in the physical, economic, social, financial, governmental, institutional, behavioral, native language or cultural conditions in a community as a result of the ANA-funded project.

Indirect Costs: Costs an organization incurs for common or joint objectives that cannot be readily and specifically identified with a particular grant project or other institutional activity.

Leveraged Resources: The non-ANA resources, as expressed as a dollar figure, acquired during the project period that support the project and exceed the 20 percent match required for ANA grants. Such resources may include any natural, financial, and physical resources available within the tribe, organization, or community to assist in the successful completion of the project. An example would be an organization that agrees to provide a supportive action, product, service, human, or financial contribution that will add to the potential success of the project.

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

Local Decision Making: Involves the active participation of the community in making decisions which have an effect on their well-being. It is to the community's benefit to collaborate in setting goals, in organizing themselves, and mobilizing the resources to achieve these goals. Local decision-making is important because it allows decisions to be made by people who know the areas, people, and groups the decisions will affect.

Objective Work Plan (OWP): The ANA form that documents the project plan the applicant will use to achieve the objectives and produce the results and benefits expected for each objective. The OWP provides a project goal statement, objectives, and detailed activities proposed for the project and how, when, where, and by whom the activities will be carried out. ANA will require separate OWPs per objective for each budget period of the project. The form is found at: <http://www.acf.hhs.gov/programs/ana/programs/forms.html>

Objectives: Specific outcomes or results to be achieved within the proposed project period. Completion of objectives must result in specific, measurable outcomes that would benefit the community and directly contribute to the achievement of the stated project goals.

Outcomes: Measurable, beneficial changes that can be observed as a result of the project's successful completion. Examples of outcomes could be:

- Increases in household income
- Increases in rates of home ownership
- Increases in rates of employment

Output: Outputs are the direct products of a program's activities. Outputs are usually measured in terms of the volume of work accomplished, such as:

- The number of low-income households served
- The number of workshops held
- The number of people completing classes

Problem Statement: A clear, concise, and precise description of the nature, scope, and severity of a problem. A problem statement typically identifies the specific physical, economic, social, financial, governmental, institutional, behavioral, native language or cultural challenges of the community. The problem statement describes the community condition that the proposed project will address.

Project: A large or major undertaking that has a start and end date, is designed to achieve a goal by completing objectives and activities, and includes a budget.

Project Approach or Strategy: The direction the project will take in order to successfully achieve its goal and objectives.

Project Goal Statement: Clearly describes how the project relates to one or more of the community's long-range goals. The statement should be brief and to the point, as well as realistic. The goal determines the scope of the project.

Project Planning: The process of developing a project from determining the needs and problems to creating activities and writing a budget. Project planning involves a series of steps that determine how to achieve a particular community or organizational goal or set of related goals.

Project Planning Committee: The team identified to develop a project plan and write the different parts of the application. Ideally, the committee should have a representative from all aspects of leadership in the community, and can also include people who are committed to a healthy future for the community. The committee may also include a grant writer or consultant.

Public Process: The way in which a community or organization involves its members in the decision-making process. This can include gatherings, interviews, public meetings, and surveys.

Results and Benefits: Measurement descriptions used to track the progress of accomplishing an individual objective. The results and benefits must directly relate to the objective and the activities outlined in the OWP and include target numbers used to track the project's quarterly progress.

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

Strategic Plan: Builds on pre-established long-range goals by designing projects related to one or more of these goals. These projects are viewed as "high priority" and will therefore be pursued within the next two to three years. A strategic plan generally takes at least a year to complete.

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

Sustainable Project: A sustainable project is an ongoing program or service that can be maintained without additional ANA funds.

Total Project Cost: In a project budget, the sum of the federal request amount and the applicant match.

Appendix B: Some Additional Planning Processes to Consider

Stakeholder Analysis

A stakeholder (or interest group) is someone who has something to lose or gain through the outcomes of a project. In project planning, it is very beneficial to not only involve all stakeholders, but to also identify and analyze their needs and concerns.

An easy way to conduct a stakeholder analysis involves first identifying all project stakeholders, be they tribal members, tribal departments, state or federal agencies, specific social groups, or a governing board. Again, stakeholders include anyone potentially influenced by the project.

Once you have identified all stakeholders, you can begin placing them in the following chart:

Keep Satisfied	Engage Closely and Influence Activity
Monitor (minimum effort)	Keep Informed

Stakeholders with high influence and high interest are those who you want to ensure you fully engage and bring on board. Stakeholders with high interest but low influence need to be kept informed of the project's progress and could be used for gaining interest from other groups to

support the project. Those with high influence but low interest should also be kept informed and could potentially serve as high-profile patrons and supporters for your project.

The final step of a stakeholder analysis involves developing a strategy for how best to involve different stakeholders or groups in your project. This can involve designing specific methods of presenting the project to each group that will spark their interest and lead to their support. The stakeholder process can also help you identify partnership opportunities for your project.

Community Scales

The development of a scale framework can help project stakeholders to analyze and describe different dimensions and conditions of their community. The development process can be utilized as a community assessment, planning, and/or evaluation tool. The framework helps to assess the current conditions in a defined community according to pre-defined “threshold levels” of functioning: thriving, safe, stable, vulnerable, and in-crisis. When completed, the framework will outline where the capacity currently lies and where it should ideally be.

To use the community scale process, follow these basic steps:

1. Pre-fill each row heading with the threshold levels along the left side of the framework table.
2. Have stakeholders identify the analysis dimensions. Place these along the top of the framework columns.
3. Through discussions, public meetings, focus groups, and other preferred methods of feedback procurement, community stakeholders will define each specific threshold on the scale.
4. Once the community stakeholders have an outline of the levels of each dimension, members will discuss and identify where on the scale each dimension lies.
5. The completed framework can then be used to develop strategies for improving struggling dimensions or to focus on and use the strengths of successful dimensions.

Below is an example of a scale framework for a language project. From this framework the community can then determine where each dimension currently falls on the scale. As an example, the current level of each dimension is underlined:

Status	Language endangerment	Learning opportunities	Inter-departmental communication and support for language program	Partnerships
Thriving	Daily usage by over 80% of tribal community	Many varied opportunities available to all tribal members	Proactive and comprehensive	Proactive
Safe	Growing community with speakers of all generations	Limited type of opportunities available to all tribal members	Comprehensive	Cooperative
Stable	Small but semi-stable speaking community	Numerous types of opportunities available to select tribal members	Consistent and useful	Willing
Vulnerable	Youngest speakers all over 60, no children speak language	Limited opportunities only available to select tribal members	Sporadic and insufficient	Disinterested
In-Crisis	No speakers	No opportunities available	Nonproductive	Hostile

Nominal Group Process

For large group settings, form groups of five to eight participants, encouraging the participants to form groups with people they do not know well. Assign a facilitator and a recorder for each group. The facilitator gives the participants a written statement of the problem the intended project will be addressing, such as, “The most important problems faced by our community in the past three years are...” Participants silently write down their ideas about problem areas addressed above on index cards without discussion with others in the group. Give the group about five to ten minutes to complete the exercise.

Each group then discusses their own ideas. The recorder writes down all comments on a flip chart for the entire group to see. After all ideas have been recorded, encourage each group to

discuss the ideas listed on the flip charts. The group clarifies, compares, discusses, and approves all ideas. Agreement or disagreement with ideas may be encouraged but should be controlled by the facilitator to ensure that a heated debate does not develop. Each group then needs to choose its top five priority areas through a group voting process. Next, each group facilitator reports the group's priorities to the entire meeting. The entire population votes to determine the top five problem priorities that could or should be addressed. Discussion continues on methods to reduce or eliminate these problems and becomes the basis for the tribe/organization's project. Solutions are suggested and community impacts discussed.

Advantages of nominal group process include:

- Interaction
- Low cost
- Identifies key stakeholder groups
- Engages a cross section of interests
- Clarifies needs
- Suggests solutions
- Introduces possible impacts

Disadvantages of nominal group process include:

- Not a random sampling
- Not easily replicated
- Difficulty in guiding conversations
- Difficult to record all comments accurately
- May not represent the interests of all members of a group

Survey Research

Surveys provide a strategy and process for developing a uniform set of questions to be asked of a group of people. Answers to these questions help community leaders understand the range of opinions on topics central to the future of the community. Surveys can be either open-ended questions ("Choose the three most serious problems facing our community today") or closed-ended questions ("Choose the three most serious problems facing our community today from the following list of problems"). It is recommended that surveys include both open- and closed-ended questions to the individuals taking the surveys so individual input is considered.

Advantages of survey research are:

- Can be distributed to a random sampling of the community
- Results are statistically more reliable than other processes
- Areas of high and low community support can be easily determined
- Relatively low costs for implementation
- Gives guidance to best action to take

Disadvantages of survey research are:

- Difficulty in getting returns of surveys
- Community members may resent surveys
- Wording of questions need to be carefully reviewed to ensure clarity

Strength, Weakness, Opportunities, and Threats (SWOT) Analysis

One strategic planning tool that many communities use is called a SWOT analysis. Internal conditions that stand in the way of reaching the community's vision may be seen as weaknesses in community conditions. External factors that negatively impact the community are defined as threats to the community's ability to achieve that vision. Strengths are the internal resources available to the community that can be used to move toward vision accomplishment.

Opportunities are the external resources and partnerships that the community could access in strategies to resolve the problem.

In conducting a SWOT analysis, a facilitator can lead participants through four brainstorming exercises. For example, for a particular project your organization may brainstorm to determine:

- What are the strengths of your organization that may help you to address the challenge(s) at hand?
- What are the weaknesses of your organization that may prevent you from addressing the challenge or may increase the level of challenge facing you?
- What are the opportunities your organization may have available that may contribute to addressing the challenge?
- What are the threats facing your organization that could prevent you from addressing the challenge at hand or threaten the stability of your organization?

Your identified weaknesses and threats help you to “identify the challenges.” Your identified strengths and opportunities help you to “assess available resources,” both internal and external to your organization.

Depending on the participants in a SWOT analysis, the process could involve a focus group or nominal group process planning initiative. It might evolve into a steering committee, as well. The community members and staff who are supporting the community in their planning efforts should be thinking about how to broaden community involvement in the planning process. Staff may be tasked with designing a survey to secure information from a wider sampling of the community on problems impacting students. Students themselves could be part of that process.

Staff will want to pull together information from existing community plans, policy documents and other, earlier statements from the community on problems impacting tribal youth and community concerns in that area. These statements will document the issues identified as current priority problems that have been impacting the community and a particular component of the community such as tribal youth for an extended period of time.

To identify problems, think analytically about the current situation and the vision for the future—what stands between where the community is now and where it wants to be? Your community development “projects” ultimately will describe an approach or strategy for overcoming the identified problems—projects are the plans or proposals for eliminating the problems that are preventing a community from moving toward achieving its identified need and ultimately, its vision. Thus, a well-developed project begins with a thorough analysis of the problems.

Tips on Conducting a Meeting

Preparing the Meeting Room

There are several important logistical considerations when organizing a community planning meeting:

- **Room Arrangement:** What is the best use of the available space and what arrangement will encourage the most community participation?

- Acoustics: How well does sound travel in the meeting space? What impact will participant noise have on the ability to hear? Is a sound system necessary or desirable? Be sure to take into consideration the fact that even the most soft-spoken participant needs to be heard by everyone present.
- Visual Aids: If visual aids are to be used during the meeting, it is important to write large and with colored markers, so that your materials are visible from all parts of the room.

Facilitation Skills

An effective meeting facilitator:

- leads in a determined but respectful manner.
- focuses by not losing sight of the group's purposes and goals.
- stimulates by encouraging constructive dialogue between group members.
- supports by eliciting opinions from quiet members of the group and encouraging the suggestion of new ideas.
- participates by promoting new discussion when the group is interacting poorly or off-task.
- builds a team by encouraging collaboration among participants and with potential community partners.
- regulates by maintaining order and setting ground rules (i.e. only one person may speak at a time, no one will be allowed to dominate the meeting, etc.) that discourage unproductive behavior.
- protects by ensuring that no one is denigrated for his/her comments.
- solves problems by controlling difficult people and diffusing tension promptly.
- encourages feedback by promoting fair evaluation of each point raised.
- has at least one support person to handle clerical chores (taking notes, ensuring that the sign-in sheet is completed) and help with any audio-visual equipment.
- gets the job done by adhering to meeting schedules that ensure completion of the agenda.
- keeps the momentum going by announcing the date and time of the next meeting prior to adjournment and by regularly distributing progress reports throughout the community.

Appendix C: Crafting long range goals

Version 1: Detailed Statement

Urban Indian Center Example:

We envision our center as the metropolitan area's central resource for comprehensive culturally appropriate services and preservation of Native American traditions for urban American Indians that provides a welcoming environment.

A Connection...

- We work to assist families to adjust to metropolitan living
- We work to assist families in maintaining their cultural ties to their home communities
- We strive to build bonds of understanding and communication between Indians and non-Indians in the metropolitan area

Keeping Our Heritage Alive...

- We provide comprehensive culturally appropriate services (health, education, and social services) to our community members to promote and maintain general welfare
- We provide programs that foster the economic and educational advancement of Indian people
- We provide adult and youth programs to sustain cultural, artistic, and vocational pursuits and to perpetuate Indian cultural values

Version 2: Simple Statement

Another type of long range goal statement can be quite short; almost simplistic in its view of the future. It answers the question, "What would a perfect world look like, where our organization was no longer needed?"

For example:

- All our Hawaiian keiki (kids) grow up speaking the Hawaiian language fluently in every home, workplace, and community event
- Every home in American Samoa will be energy efficient

Neither of these types is particularly better or worse than the other; merely different approaches to envisioning the difference that your organization or your efforts can make leaving the world a better place because you were here. Your organization must determine which approach is better suited to your organization and the people you serve.

Below is a listing of some more sample goal statements:

GOAL: Healthcare

To continue the development of a Health Care Program, while considering all factors involved, that will ensure each tribal member proper and high quality health care

GOAL: Community Facilities

To provide the improvement of existing, or development of future, community facilities.

GOAL: Education

To provide lifelong learning opportunities, formal and informal for tribal members

GOAL: Heritage

To retrieve, maintain, and preserve the history, heritage, cultural and spiritual beliefs of the Abiqua Tribe and to pass them on to the future generations

GOAL: Housing

To ensure standard housing for tribal members

GOAL: Natural Resources

To protect, acquire, and develop, Tribal natural resources

GOAL: Recreation

To further develop recreational activities for tribal members

GOAL: Service Expansion

To expand services to all tribal members, regardless of residency

GOAL: Communications

To constantly seek methods to improve communications

GOAL: Individual Business Development

To provide assistance to individual tribal members in their pursuit of business development, including, start-up, expansion, retention, and recruitment

GOAL: Employability

To increase the employment levels, as well as the employability of tribal members

GOAL: Drug and Alcohol

To develop a drug and alcohol facility and program focusing on both rehabilitation and prevention for the Abiqua Tribe

GOAL: Economic

To improve the overall economic viability of the Abiqua Tribe

GOAL: Land

To increase and develop the Abiqua Tribal Land Base

Appendix D: Sample Forms for Community Involvement

Sample meeting invitation form, adapted from Selkregg’s Community Strategic Plan Guide and Form (p. 13):

Invitation to Plan Our Future

We are making a plan for our community. Come and help. The plan will be based on our common values.

This meeting is an opportunity to help create a picture of what you would like to see when you look out the window of your home, and what kind of a place you want our community to be many years down the road.

Please come, share your thoughts, listen. Help make our future.

Date: _____

Time: _____

Place: _____

Sample public process recording form, adapted from Selkregg’s Community Strategic Plan Guide and Form, (Form #22):

Provide a record of your public process below. Use one of these forms for every meeting, interview or survey you complete.

Type of public process (circle one):

meeting interview survey other _____

Date: _____

Location: _____

Topic: _____

People in attendance:

For meetings, attach a sheet with the names of all people attending.

For interviews, record the name of the person below.

For surveys, write the number of people surveyed below.

Summary:

Include a brief summary of the key outcomes below.

Blank Chart for Community Assessment

Information Required	Source of Information	Means of Gathering Information	Comments

Appendix E: Successful Project Strategies

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

- Form Partnerships and Collaborations
- Ensure Community Support Throughout
- Market / Share Project Successes with Community
- Project Activities Should Be Culturally Appropriate
- Project / Staff Flexibility is Key
- Hire Motivated and Competent Staff
- Have Organized / Standardized Record-keeping

All projects encounter challenges. During the impact visits, grantees are asked to list and discuss the challenges encountered during implementation. The eleven most common challenges reported by the grantees are:

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

Grantee's Best Practices by Project Stage

Project Design and Development

Proposal Writing

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

Proposal Planning

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

Proposal Scope

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

Project Management

Partners

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

Staffing

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

Community Support/Involvement

- Ensure you have community support, especially if you are a small tribe.
- Ensure you have face time with people, not just emails and phone calls.
- Create an atmosphere of communication and collaboration by including the community in the implementation process.
- Pursue outreach activities, such as informational community meetings.
- Conduct a preliminary survey in the community where you will implement the project to ensure there is not opposition.
- Market your project at social events like powwows.

- Provide incentives for project involvement and participation: gift certificates, hotel nights, free daycare for project events, etc.
- Maintain humility in conversations with community members and continue to strive to serve the community rather than impose ideas upon the community.

Administrative

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

Financial Management

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

Marketing Best Practices

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

- The top three marketing strategies for all projects that received impact visits are essentially the same:
 - newspapers
 - flier/brochures
 - word of mouth

Grantee's Best Practices by ANA Program Area

Social and Economic Development Strategies (SEDS)

Social Development

- Cultural Preservation
 - Promote and celebrate the elders to make them proud. Be sure to thank and recognize everyone who participated
 - Develop a monthly newsletter to notify the public regarding the project
 - Have people with a clear understanding of tribal history and traditions take the lead on the project
 - Market your project to increase participation

- Procure community feedback on project progress and respond to it.
 - Determine staff responsibilities and develop an organizational chart.
 - Educate your staff and involve them in grant proposal writing.
 - Delegate responsibilities and get volunteers involved.
- Youth Development
 - Use structures from other programs, such as the Boys and Girls Clubs; don't reinvent the wheel.
 - Design school programs to be flexible and adaptable.
 - Ensure there is community involvement in your grant and follow. their lead. Let them guide your project, which will mean that it is in line with what the community wants and needs.
 - Encourage collaboration between tribal departments.
 - Make use of strong adult advisors.
 - Get refreshments, through donations, if possible.
 - Record the process and achievements of your project in a well-designed monograph. It will help you to educate others about your work and will serve as a marketing tool for future efforts.
 - Ensure that there is a place in the community for youth to meet.
 - Maintain consistent communication with parents to keep them involved with their children. Form a bond of trust with the families of those involved in the program. Keep them involved and cognizant of program activities.
- Education Development
 - Know your community and how it works.
 - Give credit where credit is due.
 - Conduct outreach through the media
 - Provide Computer access and learning skills on a full-time basis
 - Work with partners.
 - The living classroom is a great idea and should be found everywhere.
 - Rely on the community for not only getting the project ideas, but developing the project idea - they're the best source for understanding what you want to get done and will lead to long-term sustainability. Work together to identify the need - then you won't have to deal with lack of volunteer commitment or community involvement.
 - Work with community partners to strengthen the student support network and broaden the impact.

Economic Development

- Business Development
 - Be wary of working with multiple communities.
 - Know your project well.

- Ensure good customer service.
- Be a person; don't be focused on the money.
- Have a long-term vision.
- Work with people who have real life business experience (i.e. they have owned their own business); they will already know many important business lessons that you can avoid learning the hard way.
- Network within the industry you're working in (i.e. fishing, technology).
- Work on the entrepreneurial level with partners, rather than government to government.
- Giving one-on-one technical assistance is more effective than technical assistance in a classroom setting.
- Hire someone with expertise in the business development field. Collaborate with partner who has done a similar project and base your project off of that.
- Design the project to keep the local money in the area and reach out to expertise available on the local reservation. Switch from debt financing to investment financing.
- Understand all the contracts and conditions.
- Develop an Advisory Council to keep partners and contractors on task.
- General Small Business Recommendations:
 - Most businesses are seasonal and must diversify to stay afloat.
 - Businesses need up-to-date marketing information to stay competitive.
 - Tourism activities must be market-driven and carefully priced.
 - For marketing: rely on strong social ties and word of mouth.
 - There is a general need for small businessperson hospitality training.
 - Partnerships with off-reservation businesses help expand marketing opportunities, potentially increasing income for reservation-based small-business owners.
 - Don't duplicate services already available. Partner with them and fill a noticeable gap in services.
- Agricultural Recommendations:
 - Don't spend too much money buying ready-made greenhouses. You can make a greenhouse cheaply with PVC piping and tarps
- Staffing: select staff that already knows commerce, is familiar with the key lending institutions, knows Small Business Administration (SBA) groups; knows the banks and private foundations and has social and tribal connections
- If your organization provides trainings:
 - Track the trainings you give efficiently enough to put the data into a useful database later.
 - It is important for Native Americans to teach culturally-focused business curriculum.
- Projects to set up real estate agency:
 - Make sure you have a real estate broker before implementing the project.

- Start financial literacy early with the youth. They will keep the lessons with them and learn to become self-sufficient.
- Keep it simple. Don't get elaborate.
- Focus on one thing, don't spread yourself too thin.

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

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

- Job Training
 - Job training sessions should focus on serving all types of customers, but the training delivery should be culturally appropriate for native people.

- Always track the project's progress.
 - Celebrate successes!
 - Develop partnerships with fellow service providers.
 - Be willing to partner with non-native agencies in order to broaden scope of support services.
 - Market your program by going to community meetings.
 - Don't forget to emphasize "soft skills."
- Emergency Response Activities
 - Hire qualified staff.
 - Form necessary partnerships prior to proposal submission.
 - Attend ANA post-award training.
 - Conduct research prior to proposal submission to ensure all contingencies are covered and all project components are in place.

Governance

- Tribal Courts
 - Ensure tribal support and stable leadership.
 - Identify and collaborate with key partners in similar service area. Follow-up on the collaboration by positioning your entity as a critical player within your service area. Capitalize upon the services, knowledge and skills that your staff possesses and no other entity does.
 - Develop your own capacity to eliminate the need to rely on others for assistance.
- Codes and Ordinances
 - Don't reinvent the wheel.
 - Be creative to make legal issues more entertaining / accessible for participants. Use cartoons, stories, jokes, etc.
 - Don't send out too much written material at a time to your committee members (they won't read it). Send out summaries instead, so they can focus on the main points of your upcoming meetings.
 - If you are a lawyer or legal expert, be honest with code committee members when you don't know something – don't pretend you know everything.
- Information Management
 - Thoroughly understand your business and technological requirements prior to submitting an application.
 - Understand your staff's technical skill sets.
 - Hire a good technical project manager, rather than a manager with limited technical knowledge.

- You can get your tribal council to agree to IT projects if you use layman's terms, and explain pros and cons, and future benefits.
- Tribal Government Program Enhancement
 - Trainings should be adapted to suit native people's needs and should be culturally relevant.
 - Include the financial staff in project planning.

Family Preservation

- Strengthening Family Relationship Skills
 - Don't create programs that isolate family members from one another. Design your activities to keep families together.
 - Create programs around parents' time schedules. This reduces logistical challenges (i.e. parents finding baby-sitters when they have to attend an activity) and engenders positive family relationships.
 - Don't "bribe" parents by giving them gifts to ensure their involvement. That is a short-term solution and is not sustainable for the program.
 - Organizations that work with domestic violence issues:
 - Enforce an abstinence policy (drug and alcohol use) with staff to engender trust from the community.
 - Confidentiality is paramount.
 - Use native culture and language in treatments because it helps clients reclaim their identity.
 - Collaborate with other area service providers that complement the services you provide.
 - Demonstrate how your portfolio of services fills a need in the community and shore up support from partners.
 - Seek out personnel who have a passion for service work and have a history of devotion and experience in their field.
 - The project trainings were included in the tribal incentives program for the first two project years, which formed a guaranteed audience.
 - Train staff in case management skills.
 - Provide cultural training for non-native staff.
 - Leverage any available resources in your area to complement the pool of available family services.
 - Provide incentives to project participants.
 - Evaluate workshops and make adjustments based on the feedback.
 - Utilize videoconferencing and Skype to overcome distances and to stay connected.
 - Be sure to put aside some time to allow for trust to be built with the target communities.

- Offering childcare for participants really helped - otherwise they wouldn't have been able to attend classes.
 - Manage partner relationships well and with care: you should recognize partners with letters and cards. You should go to lunch with them, visit them. Talk to them when you don't even want anything from them!
 - Be inclusive - include all ages in the workshops.
 - Hire qualified, passionate staff.
 - Incorporate traditional native practices into the program. Native youth and couples respond well to a program geared specifically towards them.
- Family Violence Prevention
 - Incorporate cultural traditions into a treatment program.
 - Concentrate on increasing the health of a community. Don't be discouraged by a lack of immediate results. These types of programs are a long-term solution.
- Foster Parenting
 - Have procedures in a manual to improve quality and continuity of your foster parent training program.
 - Must have a strong parenting behavioral program that is culturally appropriate.
 - Have good incentives for foster parents (general level of remuneration and small money gifts).
 - Hold trainings at casinos because they are nice places for foster parents to meet.
 - Use evidence-based training programs (those with research supporting them) and tailor them to meet your cultural concepts.
 - Have strict requirements for foster parent qualifications.
 - Parenting program needs to focus on skill development – hands on (practices and role playing): focus on doing rather than studying.
- Curriculum Development
 - Bring traditional teachings into modern life.

Language

Assessment

- Data Collection
 - Dialogue with the community is imperative
 - Use food and personal invitations to bring people to meetings
 - Utilize a community hiring process. Conduct meetings to inform the community about the project and the hiring process. Create a hiring committee similar to a jury, with enough members that committee members with close relations to a specific applicant can step aside during his/her interview process. Thus, a

relative or friend will not interview each interviewee. This may help mitigate negative political fallout from hiring decisions.

- If you are using an incentive program to promote survey responses, involve the community in the process to decide the design of the incentive program. Hold community meetings to decide and take live surveys at the meetings. Then tally the results immediately at the meeting and discuss concerns about the decisions reached. This may help mitigate negative political fallout from the incentive program
- Set immersion as the overall goal and make your survey and community education components in relation to that goal. Then help educate the community on the benefits of immersion education.
- Make conflict prevention the precursor to your implementation decisions.
- If your tribe has adult speakers, encourage them to speak with tribal youth.
- Work with educators to get them to believe in and support your language program.
- Surveys:
 - Make them simple & easy to understand.
 - Make them short: you will have better luck getting full responses if your survey is as short as possible.
 - Call the survey recipients to double-check they received the survey. This can add a personal touch to the survey. process. This is best for small pools of survey recipients
 - Develop standard protocols for the survey (i.e. how to ask questions, how to compile and analyze the data).
 - Have an outside agency compile data to avoid political fallout (if the survey's results could potentially lead to negative backlash).
 - Plan to distribute surveys at large community events.

Planning

- Digitize Materials
 - Use a method that you are already familiar with so did not have to reinvent the wheel.
 - Recommend that any tribe looking to do a project involving recording and other means of language preservation look into the newest technology; this will make their lives easier.
 - When working with elders, don't meet one-on-one; meet as a group of five or more to make them feel at ease. Then ask simple prompting questions and let them go into a discussion as a group while you listen.
 - Don't guide the elders; let them guide you (in your research).
 - Use Notebook software for language CD creation.
 - Use technology formats that will support longevity of language resources.

- Use a formal archival standard to ensure long-term use and to overcome future staff turnover.
- Pilot test with community members who will provide critical feedback.
- Make backup copies!
- Digital storytelling is a powerful medium, it's more direct (a person is telling the story), so the message hits the audience differently than a simple video recording. Digital storytelling creates both oral and audio products. - use freeware to keep things affordable.
- Develop Printed Materials
 - Re-teach things that young people do not know, no matter what field you are in.
 - Teach cultural history along with the language.
 - Host activities to draw in the community.
 - Having an Advisory Committee was very helpful; they provided assurance for the community that the activities were performed in appropriate way.
 - Use the curriculum for other projects.
 - For tribes stuck in the “written language” question (i.e. should you write down your traditionally oral language): you need to become unstuck and start working to preserve your language before it is completely lost.
 - Use the “Understanding by Design” curriculum framework by Wiggins and McTighe for language curriculum development because it uses effective communication strategies.
- Train Language Teachers
 - Teach the younger and older generation to know what the language and culture is about.
 - Use traditional meals to draw people in.
 - Work with people and staff. Make sure your supervisor listens to you.
 - Total Physical Response (TPR) curriculum helps learners avoid translating while they learn.
 - Create a standardized curriculum for every grade possible and make sure each new level builds on the level below it.
 - Ensure that the language teachers learn about the culture as well.
 - Since we had very few fluent speakers left, we used fluent speakers of a sister language to train us. This unique approach to language learning allowed participants to re-discover our language.
 - Master-Apprentice training works well to grow speakers, but also be sure to get them into the classroom to strengthen teaching skills.
 - Use of TPR as a beginning language methodology.

Implementation

- Establish Intergenerational Program.

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

Environment

- Environmental Assessment
 - Use a GIS system to manage spatial data. Tie a database in with a spatial component.
 - If using GIS, it is very important that the staff take a GIS training.
 - Could not get information from the EPA, so went to other tribes instead. (If you can't get info from one source, find another.)
 - In order to deal with staff turnover, make sure that all staff are provided materials and trained for transition so that if someone leaves, the new person will be prepared.
 - Consult the community first before implementing anything. Leave any preconceived notion of how you think things should be done at the door - allow the community to shape the project to ensure buy-in.
 - Don't underestimate the time needed for communication - estimate 2 1/2 times more time than you actually think things will take, in order to take communication into account.
 - Work with agencies that have done similar studies and learn from their mistakes.
- Develop Regulations, Ordinances or Laws
 - Garner support from tribal leaders by regularly informing them of the ordinances' progress and encourage them to attend pertinent events (make the decision-makers your project partners).
 - Utilize surveys and needs assessments to direct your project.
 - Ongoing community involvement is necessary to ensure support.
 - The ordinances should be culturally sensitive and appropriate.
- Develop a Technical Program
 - Treat elders as experts, and allow them their say to set path for project implementation.
 - Ensure stable staffing pattern by hiring qualified, passionate and culturally knowledgeable personnel.

- Open up Advisory Council to a cross-section of the community and community partners so that a variety of information and ideas are represented in project deliverables.
- Fish pond projects:
 - Rubber-lined ponds are better than fabric liners
 - Constantly monitor the insect content of the water (this grantee feeds its ponds with local river water to ensure a stable insect content)

Grantee Suggestions on Preventing and Overcoming Challenges

Staff Turnover

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

Late start

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

Scope Too Ambitious

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

Geographic Isolation / Travel

- Plan ahead – complete activities with the weather/seasons in mind.

- Use local resources (consultants, volunteers, etc.).
- Provide incentives such as gas cards if you are having difficulties with participation due to travel distances.
- Provide transportation to project participants.

Lack of Expertise

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

Challenges with ANA Processes

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

Underestimated Project Cost

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

Underestimated Personnel Needs

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

Partnership Fell Through

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

Lack of Community Support

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

Hiring Delays

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

Appendix E: Bibliography

Browning, B. (2001). *Grantwriting for Dummies*. New York: Hungry Minds.

Burns, M. (1993). *The Proposal Writer's Guide*. New Haven, CT: D.A.T.A.

Carlson, M. (2008). *Winning Grants Step by Step*. San Francisco: Jossey-Bass.

The Centre for Development and Population Activities. (1994) *Project Design for Program Managers*. Washington, DC: The Centre for Development and Population Activities.

The Foundation Center. (2000). *Guide to Proposal Writing*. New York: The Foundation Center.

Golden, S. (1997). *Successful Grantsmanship*. San Francisco: Jossey-Bass.

Hall, M. (1986). *Getting Funded: A Complete Guide to Proposal Writing*. Portland, OR: Continuing Education Publications.

Kiritz, N. (1980). *Program Planning and Proposal Writing*. Los Angeles: The Grantsmanship Center.

Kiritz, N. (1980). *Proposal Checklist and Evaluation Form*. Los Angeles: The Grantsmanship Center.

New, C.C. and Quick, J.A. (2001). *Grantseeker's Toolkit*. New York: John Wiley & Sons.

Selkregg, Sheila A. (2001). *Community Strategic Plan Guide and Form*. Palmer, AK: U.S. Department of Agriculture – Rural Development.

Start, Daniel and Hovland, Ingie. (2007) *Tools for Policy Impact: A Handbook for Researchers*. London: Overseas Development Institute.

