



PRE-APPLICATION

A GUIDE TO DEVELOPING AND WRITING YOUR ANA APPLICATION



The pictures on the front cover are of ANA funded projects. From the left:

The Yukon River Inter-Tribal Watershed Council environmental project with a goal to gain a better understanding of Tribal sewage systems across the Yukon River Watershed in Alaska and build the capacity of Tribal members to monitor water quality.

Guam Community College language project to revive, promote, and preserve Fino' Håya, the indigenous language of Guam.

The American Indian Child Resource Center social development project to increase the sense of hope among Native youth for the future, expand opportunities, and promote an urban community in Oakland, California where young people are valued and are taught to value themselves.

The Lakota Funds economic development project to help the Oglala Lakota people regain economic sovereignty by broadening the financial knowledge and options available to Tribal members, Tribal youth, and Lakota businesses.

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

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

ANA offers two trainings to help you prepare your application:

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

In preparing a well-crafted application that will benefit a community, 90% of the work should go into project planning and development and only 10% into the writing of the application. This training provides information on how to complete the 10% focused on writing an application. Training on the critical, time-consuming work that precedes application development is the focus of ANA’s Project Planning and Development Training.

The table 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	Building an application around FOA criteria
How to document community problems and assets	Guidance on how to apply for funding through grants.gov
Community – based planning processes and tools	The process of reviewing applications for funding

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

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

The focus of this training is the development of a competitive application to submit to ANA. Because community-based planning is essential to an effective project, the first segment of this training is a brief review of planning and project design fundamentals. We will then look at ANA's 2015 Funding Opportunity Announcement (FOA) and move through a series of activities that focus on taking elements of a well-designed project and placing them into the format of an ANA application.

The exercises that are part of this training session are contained in a companion handbook. The goal of these exercises is to build understanding of the 2015 Funding Opportunity Announcement (FOA) and how to describe your project using the format provided in the FOA. This manual will prompt you to move to an exercise in the activity handbook.

Throughout this manual, "tribes" refers to federally recognized and non-federally recognized tribes, while "organizations" denotes native nonprofit organizations. Native Americans, as used in this manual, include American Indians, Alaska Natives, Native Hawaiians, 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 write a successful and sustainable community project application. If you come across anything you think we should revise during the training or in reading this manual, please let us know.

Yawʌkó. Miigwech. Gunalchéesh. Fa'afetai. Nia:wen^o

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

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About the Administration for Native Americans (ANA)

ANA is committed to helping local partners build strong communities and believes a community-building, community-based planning process should be used to develop projects that are submitted to ANA. The following story illustrates some of the reasons community-based planning is an essential component of project design and successful project implementation.

The Abiqua Artist Consortium, a Native non-profit organization, wanted to implement an economic development project in its community. The non-profit hired a grant writer with no connections to the community to develop and submit an application to ANA. The grant writer wrote an application to create a sales operation for Consortium members' product and marketing strategy using images of those products. Several months after submitting the application the non-profit organization was notified that their project was funded by ANA.

Staff was hired and began work on the project using the funded application as a guide. What they found was that the necessary community level ground work and planning had not been done prior to the submission of the project. Artists from the community had not formally agreed to allow the nonprofit to use their images for profit nor had they agreed to the marketing plan proposed in the application. The lack of community-based planning nearly caused the project to fail even before it started.

Insufficient community involvement in project planning caused a lot of extra work for the newly hired project staff. Negotiations with artists and crafts people who were not previously consulted needed to occur. These negotiations set the project back by several months. This story points out the critical role of community engagement and direction in project planning efforts and the problems that can occur when that involvement does not take place.

If a project is designed to meet a community need, when should the community become involved in the project?

The answer is from the very beginning! The project idea should be developed by the community. 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.

ANA History and Priorities

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

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

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

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

ANA promotes social and economic self-sufficiency in communities through SEDS grants. These competitive financial assistance grants support locally determined projects designed to reduce or eliminate community problems and achieve community goals.

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

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

Under the SEDS program area, ANA also provides funding for Sustainable Employment and Economic Development Strategies (SEEDS) and the Native Asset Building Initiative (NABI) projects. Four priorities that ANA promotes through the SEEDS initiative are: 1) the creation of sustainable employment opportunities; 2) the provision of professional training and skill development to increase participants' employability and earning potential; 3) the creation and development of small businesses and entrepreneurial activities, and; 4) a demonstrated strategy for and commitment to keeping jobs and revenue generated by project activities within the Native communities being served.

The Native Asset Building Initiative (NABI), launched in fiscal year 2012, is another special funding initiative under ANA's SEDS grant competition. NABI is a partnership between the ANA and the ACF Office of Community Services Assets for Independence (AFI) program. The AFI focus of each project requires that eligible participants are given access to matched savings accounts, called Individual Development Accounts (IDA), in which participants save earned income for the purchase of a home, for business capitalization, or to attend higher education or training. Participants are also given access to other supportive services that enable them to become more financially secure. The IDA portion of the project is funded by the AFI program.

ANA funds may be used to pay for costs associated with the administration of the AFI-funded IDA project and the provision of other asset building activities, such as financial literacy education and coaching on money management and consumer issues.

Funded SEDS Project

The Inupiat Community of the Arctic Slope, representing 6,300 enrolled Inupiat Eskimos, serves eight Inupiat villages in Alaska's 89,000 square-mile North Slope Borough.

In 2009, during its annual strategy and planning meeting, ICAS staff and board members identified a number of problems that made it difficult for village staff to perform ordinary administrative and management duties. These included geographic remoteness, harsh weather, high living costs, difficulty retaining staff, and poor communication systems.

ICAS chose to focus on improving their communications systems, and in 2010, were awarded a Social and Economic Development Strategies (SEDS) grant to improve their management and governance operations. To do this, they planned to create a community-wide Internet portal and organizational intranet for their Barrow headquarters and four villages.

A design team, with advice from a region-wide focus group, compiled and organized tribal records, policies, and procedures; created new administration, accounting and computer usage policies; designed, built and deployed a web page and intranet; and uploaded all records and documents into the new intranet platform. ICAS' new web page reflects the interests of the North Slope community, using content, photos and Inupiat language terms recommended by the focus groups.

Once the new system was set up, design team members traveled to the villages, assessing and testing the system. They trained village staff in how to use it and software programs such as Quickbooks, Office 2007 and Skype. The project was developed to be sustainable, and ICAS did not need to purchase expensive servers, software, or network equipment.

Since the project ended, village staff members have vastly improved their capacity to perform their jobs. According to project team members, staff now more clearly understand their duties and improved their services to village members. Additionally, village staff is less isolated, more communicative with the ICAS main office and other villages, and more able to resolve the day-to-day problems arising in their communities.

- Project Title: **Inupiat Intranet Project**
- Award Amount: **\$149,676**

Project Period: **Sept. 2010 – Sept. 2011**

Funded SEEDS Project

After a conducting year-long survey of the Native farming community in Guam, Farm to Table-Guam Corporation developed and was awarded a 5-year Sustainable Employment and Economic Development Strategies (SEEDS) grant to address the gaps and opportunities identified in the assessment. The island of Guam is almost completely dependent on imported food, despite rich traditions and opportunity for a thriving agricultural industry.

To combat the problem of dependency on food imports, the project will develop and operate a Community-Supported Agricultural model farm, establish 30 joint ventures between farmers, product developers, and processing or distributing facilities, and establish a neighborhood farmers market to support the new network of farms.

Farm to Table's staff, board members, and advisors collaborated with Native Chamorro farmers and the local government to develop the project. Working closely with their partners and community members, project staff hope to transform Guam's agricultural economy, while providing sustainable employment for Native farmers.

- Project Title: **Project Tanom, Fatinas, Yan Sustansia (Plant, Prepare, and Sustain)**
- Project Period: **Sept. 2013 – Sept. 2018**

Native Languages

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

Recognizing that the history of federal policies toward Indian and other Native people has resulted in a dramatic decrease in the number of Native American languages that have survived over the past 500 years, Congress enacted the Native American Languages Act. This program is authorized under Section 803C of the Native American Programs Act of 1974, U.S.C. 2991b. The intent of the Act is to assist Native communities to reverse this decline. Three decades later, Congress passed the Esther Martinez Native American Languages Preservation Act (P.L. 109-394) in 2006. This law amends the Native American Programs Act of 1974 to provide for the revitalization of Native American languages through native language immersion and restoration programs.

ANA funding provides opportunities to assess, plan, develop and implement projects to ensure the survival and continuing vitality of native languages. We encourage language applicants to involve elders and other community members in determining proposed language project goals and implementing project activities.

Funded Language Project

Since 1993, the Wampanoag Tribes of Mashpee, Aquinnah, and Herring Pond have been working together to develop the Wôpanâak Language Reclamation Project (WLRP) to reintroduce use of the Wôpanâak language.

However, despite their previous language efforts—which included Wôpanâak dictionaries, a grammatical framework, and language classes—the problem of language loss still persisted. The main challenge to solving this problem, according to the Tribes, was the lack of fluent qualified teachers. To address this, the Tribes developed a master-apprentice (MA) teacher-training project, implemented by the nonprofit organization Wopanaak Language and Cultural Weetyoo, Inc.

Each week, the apprentices worked with a master speaker on planned activities, completing a total of 10,166 MA hours throughout the project. Apprentices also conducted independent study, non-immersion instruction, and sharing amongst themselves. To measure the apprentices' language acquisition, independent evaluators utilized the American Council on the Teaching of Foreign Languages scale of proficiency. All apprentices started on the Novice scale, and ended the project with fluency ranges from Intermediate Low to Advanced Middle.

In addition, three apprentices learned pre-K to kindergarten curriculum development and created a curriculum that includes terminology, activities, grammar lessons, and teaching methodologies, all of which followed the state curriculum guidelines. WLRP also developed and implemented a teacher certification process, with a written and oral exam, that determines the level at which language teachers can teach Wôpanâak.

Through this project, WLRP developed three fluent speakers, improved the language speaking abilities of over 100 people, and went from having a few moderately qualified teachers to 10 certified teachers, with more in training. WLRP staff is hopeful this project has laid the foundation for establishing an immersion school that will instill confidence and pride in Native youth, and create a comfortable and encouraging environment to further support language and cultural learning.

- Project Title: **Nuwôpanâôt8âm, I Speak Wampanoag**
- Award Amount: **\$541,607**
- Project Period: **Sept. 2010-Sept. 2012**

Environmental Regulatory Enhancement

Growing awareness of environmental issues on Indian lands resulted in ANA dedicating funding to address those issues. ANA's 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. They build tribal capacity, allowing involvement in all aspects of each project, including:

- Environmental issue identification
- Planning
- Development
- Implementation

The links between tribal sovereignty, organizational capacity and protection of the environment are central components of the Environmental Regulatory Enhancement program. Applicants are required to describe a land base or other resources (a river or body of water, for example) over which they exercise jurisdiction as part of their application.

Funded Environmental Project

In 2007, the Hopland Band of Pomo Indians were awarded a 3-year ANA Environmental Regulatory Enhancement project to improve the Tribe's capacity to analyze the impact of future land development projects on the Hopland reservation's environment.

A five-person team conducted plant and animal inventories, studied the health of streams, and mapped vegetation and habitat, producing detailed species lists, maps, and a photographic guide for mammals and other wildlife, a plant herbarium with over 950 plants, and comprehensive wildlife and botanical resources reports. Using aerial photography, on-the-ground field mapping, and geographic information systems (GIS) software, they also created maps to identify vegetation patterns, sensitive vegetation and wildlife areas, and 17 illegal solid waste dumpsite areas on the reservation.

During the last two years of the project, project staff and local partners conducted eight Master Naturalist workshops to educate 32 tribal members on traditional ecological knowledge, reservation ecology, and sustainable environmental practices, and trained three tribal members in data collection and environmental monitoring activities.

In the final year of the project, team members worked with tribal leaders to develop a new environmental review process, enabling the Tribe to more efficiently conduct impact assessments, improve its permitting process, and monitor future development and zoning.

Team members feel that the project enhanced the Tribe's ability to prevent land, air, and water pollution; restore and protect fish and wildlife habitat; and ensure the survival of native plants. The project also helped motivate tribal members to take an active role in protecting the environment, in part by preserving tribal culture and seasonal connections to the land.

- Project Title: **Improving the Capability of Indian Tribal Government to Regulate Environmental Quality**
- Award Amount: **\$248,947**
- Project Period: **Sept. 2007-Sept. 2010**

Projects, Applications, and Grants

A project is different than a grant. A *project* consists of a **goal statement, objectives, and activities** created through a **community-based planning process** to address a **problem** that is preventing the community from achieving its **long-range goals**. A grant is the agreement between the grantee and the funding organization to fund the project. In other words, the project is the idea and the grant is the funding which helps makes that idea a reality. Think about this while you are writing your application – your application is what you are writing to convince the funding organization to invest in your project.

In order to write a strong application, you need a compelling story. The first step in writing the application is refining your story. Your story is your explanation of your project and in one sentence you should be able to convey your project idea. Some examples from the ANA website are below:

ANA Funded Projects

- *Stimulating creativity and complex problem solving skills, as well as increasing student self-esteem and academic outcomes, by delivering quality language immersion for a Dakota/Ojibwe urban language nest. – Alliance of Early Childhood Professionals, Minnesota, Native Language project.*
- *Developing a scientifically defensible conceptual model of the hydrology of the upper Umatilla River Basin groundwater-flow system to ensure development does not harm water flows and existing uses. –Confederated Tribes of the Umatilla Indian Reservation, Oregon, Environmental Regulatory Enhancement project.*
- *Developing integrated agricultural and culinary programs to encourage healthy, sustainable lifestyles for Native Hawaiian students and their families. – Ho’oulu Lahui, Inc. SEDS project.*
- *Increasing processing and sales of locally caught salmon in order to expand tribal members’ participation in the salmon industry as fishermen, processors, and marketers. – Sun’aq Tribe of Kodiak, Alaska SEDS project.*

The Six Key Project Elements

A well-designed project is the foundation of a successful application that, when implemented, will provide significant and measurable benefits to a community. Six key elements are essential components of a well-designed project. First, we will explain those key elements and how they connect to each other. In the next section of this manual, we will discuss how to place them within the ANA Funding Opportunity Announcement format.

The six key elements are:



Individually, each element is important. But, in order to build an effective project, each key element must connect to each of the other key elements. In order to describe your problem, you will have to reference your community. An effective approach will describe planned outcomes and be based on an assessment of organizational effectiveness. The following graphic illustrates the flow of key elements in a project's design.



The Community Element



How do you describe your community? Where is your community? Who lives there? What are the values of the community? Which segment of the community will be the focus of the project? What are the community's long range goals?

The discussion of the **"Your Community"** key element provides a foundation that explains your project. Think about your project in the context of your community. How does it reflect community goals and concerns?

Essential points to bring up when describing your community include:

- A brief geographic and demographic description of your overall community
- The community's long range goals
- How the community identifies problems and projects
- The targeted beneficiaries

Community involvement is central to both the strategic planning and project planning that occur before the development of an ANA grant application. The development of long range goals is a result of strategic and project planning.

The community's long range goals are the foundation for all projects. The first step in developing your project is identifying long range community goals that can become fundable ANA projects. These community long range goals are often in areas such as employment, education, cultural preservation, housing or family income. The long range community goal chosen provides a framework for constructing and designing a project that moves your community in the direction of a healthy and viable place to live.

Below is an example of a **community's long-range goal** determined through a community driven planning process:

"All community members are employed and support family members without reliance on public social services."

Whenever possible, tribes and organizations should use a team approach to plan new projects that involves staff, community members, community or organizational leadership, and a grant writer or consultant if necessary. That team's steering 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 is not a decision making entity; it organizes meetings, conducts surveys, gathers and analyzes information, and meets with other agencies and organizations. This team develops the project design through coordination of a community-based planning process. Elements of that planning process could include:

- Surveys
- Meetings
- Focus group
- Key informant interviews

This community-based planning work is an essential component of project development. It is the process used to define the problem the project will address and identify the community members impacted by that problem.

Beneficiary Community

The discussion of community in a project narrative often moves past a description of your entire community. Although discussion of "the community" begins with a brief geographic and demographic description of your overall community, the focus of your discussion will be the segment of the community that is impacted by or that will benefit from the project. These individuals or groups are the targeted beneficiaries for this particular project. The targeted beneficiaries are the community members that you will describe in detail in the project design. Include information on:

- People to be served by the project
- Demographic data that describes social, economic, and other relevant population conditions
- Geographic location.

To evaluate community and applicant identification and connection to the community, ask yourself if your project design includes:

- A clear description of the community to be served and identification of the intended beneficiaries
- The long-range community goal the project addresses

- Information on how the community provided direction in project development

How well did you answer those questions? What additional information do you need to include to better answer these questions?

The Problem Element



What are you trying to solve? What is preventing your community from reaching its long-range goals? What is the problem?

“The problem” is what you are trying to solve with this project. The problem is a measurable condition that is preventing the community from achieving its long-range goals. Try to describe the problem in one statement. This problem statement should be compelling and urgent. Be sure to present the problem the project is focusing on as a negative current condition in the community that would have to be overcome in order to achieve a social, economic, environmental, or governance long-range community goal. While there are probably many problems you can identify that are causing challenges in your community, what is the **one** current condition you will address with this project? The problem statement should address one specific condition that will be addressed by your project.

The problem section of your project description serves three purposes. First, it defines, in measurable terms, the problem that the project will address. Second, it describes how the community identified the problem. Third, it describes how the problem stands between the community and achievement of one of the community’s long-range goals.

Project narratives often describe the problem as a ‘lack of’ or a ‘need for’ something. For example, applications often will assert, “We need a community center with a congregate meal site for elders,” or “Tribal elders currently lack access to a community center and congregate meals.”

The actual problems might be a high number of elders showing signs of malnutrition or elders reporting feelings of loneliness and isolation. Those problem statements, developed through a community-based planning process, provide a more genuine description of difficulties impacting a defined segment of the community. Saying “we need a community center” merely describes the project, rather than the problem.

When presenting your problem statement, check whether the statement addresses the questions below. Does it:

- Identify a current negative community condition discussed during a community-based planning process and explain why this problem was selected over others?
- Describe the current negative condition (problem) in measurable terms?
- Document that the problem keeps the community from achieving a long-range goal?
- Include data, research, and cite sources that support the community's definition of the problem?

Below is an example of a **problem statement**.

“Our community of 500 employable members is has a 53% unemployment rate because their job skills and experience do not match current job requirements.”

To help clearly explain the relationship between key project elements, we will use this problem statement as the basis of our examples going forward.

The Outcomes Expected Element



What positive changes will be accomplished? Will the outcomes expected solve the problem? Will it help your community reach their long-range goals?

The “**Outcomes Expected**” section of a project framework describes measurable improvements in the community and provides information on how those improvements are created through the proposed project’s operation. Outcomes describe a measurable beneficial change created by the project that either reduces the problem that is the project focus or builds community and organizational capacity to create that change.

Project descriptions often focus on outcomes that are achieved during the project period or shortly after the conclusion of the project period. Long-term outcomes are also an important component of project design. Those longer term outcomes, usually called “impacts,” describe ongoing positive change that is the result of sustained project benefits.

Project outcomes describe the changes the community expects the project to accomplish. Those changes will help the community reach a long-range goal or move closer to long-range goal conditions. Outcomes are the basis for creating the project. The following statements are examples of a project outcome and project impact that are tied to the sample problem statement presented above.

Outcome: *Sixty community members will be employed in permanent living wage jobs.*

Impact: *The community unemployment rate will be cut by over half (from 53% of a 500 member labor force to 30%) within three years after project period completion.*

The Approach Element



How will you accomplish the project? Who will do what? Why will this strategy work?

“The Approach” key element focuses on how you are going to accomplish the project. You should provide enough information for you and reviewers to clearly understand what you are doing. Be clear and concise and discuss your implementation plan in a narrative format from the beginning of project through its conclusion.

The project approach includes:

- Planning and Implementation
- Project Work Plan
- Contingency Planning
- Sustainability

Planning and Implementation

The project goal, objectives, and activities sometimes are presented in a section of the approach that is called the “project work plan.” Community involvement in defining the project goal and objectives is as important to designing a potentially effective project as it is in identifying the problem to be addressed. In addition to engaging community members in developing this component of the project, potential partner organizations in crafting the project approach should be involved as well. Internal and external partners can bring expertise and potential resources to the project development process.

Project Goal

The project goal is a basic description of the purpose of the project. In other words, it is a reduction or resolution of the identified problem, or an expanded capacity to successfully address the problem. 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. It is important to show the relationship between the project goal and the long-range community goal as well as the project goal and problem statement.

Project Objectives

Project objectives can be a way to describe the expected outcomes. Project objectives explain how you will accomplish the goal. Objectives describe project outcomes that will be completed within the project period. In addition to providing descriptions of measurable positive change (outcome statements), objectives define timeframes for completion. A well written objective is clearly related to the project goal and can be accomplished in the project period. Objectives with these qualities often are labeled '**SMART**' objectives. The SMART acronym stands for:

- **Specific:** The objective describes well-defined actions, and the outcome is specific to: "what we must do to achieve the project goal and resolve the identified problem."
- **Measurable:** The outcome of the objective is observable and defined in measurable terms.
- **Achievable:** Assigned project staff and/or partners can achieve the objective at satisfactory levels of performance.
- **Relevant:** The objective is clearly related to the problem statement, project goal, and the community to be served
- **Time-bound:** The objective is completed in a time frame that is presented in the project work plan with clearly stated start and stop dates.

Successfully completed objectives will accomplish the project goal. An example of a sample project objective is below:

Objective: *During the 36 month project, our community will train 90 unemployed community members (30 each year) in four areas of high employment demand: Commercial food preparation; Landscaping and grounds maintenance; Commercial vehicle operation, and; Home health care with a minimum of 60 (20 each year) achieving certification in one of the four identified areas and employed by local area businesses.*

To get a better understanding of the SMART objective format, here is how each portion of the acronym is included in the sample objective:

- Specific: "...will train 90 members in specific job skills with 60 receiving certification and employed."
- Measurable: Ninety members trained and a minimum of 60 certified and employed.
- Achievable: Can you train 90 and certify and employ 60 members in 3 years? Is this doable? Your narrative will explain how this can be achieved. Try not to be overly ambitious in your projections.
- Relevant: The objective is relative to and should aid in resolving the problem statement. In this example 60 certified and employed would be the relevant to the goal and problem statement.
- Time-bound: "During the 36 month project..."

The clearer, more concise, and more specific your objectives are, the easier it will be to implement your project. It also makes it easier for the reviewer to understand your project approach and the impacts you hope to achieve.

Project Activities

Project activities are the series of tasks that are required to accomplish each project objective. Activities should be presented chronologically with beginning and ending dates. Each activity should show how it is logically built on and follows its predecessor. The work plan should identify responsibility for ensuring that activities are successfully completed and detail the individuals and entities involved with carrying out each activity. Activities should provide enough detail so that the work plan can be used as a blue print for project implementation. Someone hired as "project coordinator" should be able to use the statement of objectives and the activities associated with each objective as an implementation plan.

Contingency Planning

Contingency Planning is an examination of potential project challenges and how they would be resolved if encountered. Project planning is built on assumptions about how a project will be implemented—when key staff will be hired, what partnerships are in place for project operation, and what resources are committed to the project. Unforeseen events often test these assumptions and create challenges that could impact your ability to accomplish the project goal on time and within budget. A well-planned project is one in which the organization has tried to anticipate and address potential challenges. These challenges are generally outside of the control of project management. Effective project implementation often depends on our consideration of possible stumbling blocks during project implementation.

By identifying potential challenges and planning ahead, you will be more likely to overcome challenges to the project with minimal disruption and cost. 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.

Those alternatives make up the project contingency plan. Identification of potential challenges and development of a contingency plan should be done by a team that includes project partners and other stakeholders.

Examples of plan assumptions, challenges to those assumptions, and a contingency plan for overcoming the challenges using our sample project goal and objective are below:

Assumption: *All key personnel will be hired within two months.*

Challenge: *An individual with all qualifications for a key position was identified in the application but has since declined the position.*

Contingency Plan: *Identify a current staff member that will keep the project going until that position is filled.*

Assumption: *Recruit 90 unemployed community members (30 each year) for job enhancement opportunities by the 4th month.*

Challenge: *Community members do not apply for these opportunities.*

Contingency: *During project planning and through community outreach we have identified over 100 unemployed community members who have expressed an interest and have signed up with our planning office should the project be funded.*

Assumption: *20 members who complete job training will be hired each year in our local casinos.*

Challenge: *There are not enough vacancies within the two casinos.*

Contingency: *We have researched job vacancies in food service, landscaping, trucking and home health providers in adjacent metropolitan areas --a 60 minute commute. We will assist community members to access employment in those firms if local job demand is met.*

Sustainability

Sustainability is not simply about generating new grant dollars– it also involves outlining a specific strategy for continuing your project impact and designing the project so that it (or essential components) can be sustained. Different projects will have different sustainability strategies; however, all projects include benefits to the community that can be continued after implementation is complete. Sustainability does not require that you sustain your project at the level you did during the initial funding. Here are five important factors that are associated with sustainability:

- A program can be modified over time
- A “champion” is present
- A program “fits” with its organization’s mission and procedures;
- Benefits to staff members and/or clients are readily perceived; and
- Stakeholders in other organizations provide support.

So, although additional funding for project elements may be part of a sustainability strategy, include project design strategies for providing continued benefits for individuals after the initial program funding ends. Consider such strategies as continuation of program activities within an organization, often termed “institutionalization” or “routinization,” and working with partners through a community coalition or other community capacity-developing processes as potential sustainability strategies that become project design.

The Capacity Element



Who is going to work on this project? Have we done a project like this before? Are there partners that can help us? What resources can I leverage to help accomplish this project?

Assessing Organizational Capacity

The “**Your Capacity**” key element focuses on who will implement the project. Project design consideration must take into account the capacity and capability of the organization that will administer the project. That assessment should include an examination of project partners and a discussion of any consultant or specialized assistance that will be part of project implementation. Begin the organizational assessment by reviewing program and financial management structures. Look at the administrative structure and the systems used by your organization to track financial and programmatic components of projects. Ensure your tribe or organization has the capacity and ability to administer and implement a project of the scope and focus that is being developed. Determine where in the organizational structure the project would be located. Map out the project location through an organizational chart. Determine how it fits into the organizational structure and its relationship(s) to existing programs and projects.

If this analysis raises concerns that the project, as designed, would require administrative or management capabilities that are not part of your organization’s operational background, explore strategies for acquiring those capabilities. Bringing in staff with appropriate experience, creating partnerships to access needed expertise, and securing consultants to help build required administrative or management skill sets are potential strategies to deal with this issue.

Staffing Plan

Build staffing and position data for the project. Develop a proposed staffing plan that ensures the project will be managed effectively and that staff possess required skill sets. Describe the process and general timeframe that will be used to hire staff (such as advertising or recruiting from within the community). Provide necessary details for a realistic plan for recruitment and hiring (only applicable if new hires are required). Explain how current and proposed staff will manage the project. Draft full project position descriptions for proposed staff.

Partnerships

Partners are entities that are invested in the success of your project. Internal partners (from your organization) and external partners (from other organizations) are valuable resources in project planning and implementation. External partners can bring experience and expertise to the project that fills gaps in your organization's project management history. Partnerships also can play a huge part in your tribe or organization's ability to sustain a project. Strong, sustained partnerships can be a valuable part of project planning, implementation, management, and sustainability. The leveraged resources that often come from partners can expand project operation and be used to continue project benefits after the end of start-up funding.

Consultants

Consultants can fill expertise gaps and help build organizational capacity within the context of a project. If a consultant is needed for one of those purposes, build a Request for Qualifications statement that reflects the specific requirements expected and assistance needed from a consultant. Sometimes organizations move directly into a Request for Proposals (RFP) process in selecting consultants. Be sure that consultants that become part of a project design are able to carry out the responsibilities that are detailed in an RFP.

Project Scope and Organizational Capacity

There must be a clear match between organizational capacity and a project's scope and complexity. In building this component of the project design narrative, remember the "achievable" component of a SMART objective. It directly relates to the relationship between an organization's capacity and a project's complexity. If there is a clear imbalance between those two factors, increasing organizational capacity is one way to deal with the issue. That approach has been the focus in this discussion of "Your Capacity." An alternative approach to dealing with this issue is to revisit the "Project Approach" component of project development and revise the approach so that it is a better fit with the organization's current capabilities, while still addressing the problem that is the project focus. You also can work with the community to down scope the problem and the approach to fit with organizational capacity.

The Required Resources Element



How much is this going to cost? How much can we pay for? What do we need outside funders to provide?

Community Resource Commitments

At the start of this project design section, we discussed community assessment strategies as a way to define long-range goals, problems to be addressed, and approaches to reduce problems. Use that assessment to identify resources for implementing the agreed-upon project approach. Assessing available resources can 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.

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? 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 an effective internal and external community-based planning process. Committed partnerships and commitment of funds are often critical components in assessing the effectiveness of project design.

Funding Request

The project budget represents, in part, a request for resources that you need to fill the gap between existing, available resources and the level of resources needed to fully fund the project. The budget usually is displayed so that the amount requested from the funder and the amounts provided by the applicant are presented separately.

The project budget in an ANA application, for example, provides a detailed description of federal and non-federal resources that will be needed to carry out the project work plan. It documents the reasonableness and relevance of costs of the proposed project. When preparing your budget, remember the funds you are requesting need to be clearly appropriate and necessary for the scope of the proposed project. Provide a detailed line item budget that

displays the federal and non-federal (applicant matching) share of the budget for each year of the project.

CATEGORY	FED. SHARE	APPLICANT MATCH	TOTAL
<u>PERSONNEL</u>			
<u>TOTAL PERSONNEL</u>			
<u>FRINGE BENEFITS</u>			
<u>TOTAL FRINGE BENEFITS</u>			
<u>TRAVEL</u>			
<u>TOTAL TRAVEL</u>			
<u>EQUIPMENT</u>			
<u>TOTAL EQUIPMENT</u>			
<u>SUPPLIES</u>			
<u>TOTAL SUPPLIES</u>			
<u>CONTRACTUAL</u>			
<u>TOTAL CONTRACTUAL</u>			
<u>OTHER</u>			
<u>TOTAL OTHER</u>			
<u>TOTAL DIRECT COSTS</u>			
<u>TOTAL INDIRECT CHARGES</u>			
<u>TOTAL PROJECT COSTS</u>			

Budget Narrative Explanation

Budget justifications are the written descriptions that explain your line item budget (both federal and applicant match amounts). In preparing your budget justification, provide sufficient back-up detail for the ANA proposal reviewers to determine if costs are allowable, relevant, and reasonable.

Summary

The work plan drives the budget. The work plan and project approach are a strategy for reducing or eliminating a problem defined by the community. That problem is a condition that stands between the community and a long-range goal articulated by the community. The organization responsible for project implementation and its partners have identified resources they are bringing to the table. They have documented their ability to carry out the project and deal with program and financial management requirements. Project planning is complete and the next step in this resource development process is to prepare a funding application that will secure funds needed to fully finance the project.



Preparing an ANA Application for Competition

Funding Opportunity Announcement

The Funding Opportunity Announcement (FOA) is an attachment to this manual, please read it thoroughly. This section of the pre-application training manual includes key portions of the FOA; however, a working knowledge of the entire document is important for individuals who will be preparing applications for ANA. It's also important to have an idea of what it's like to be on the other side of the application process—reviewing applications instead of preparing them. We will begin exploring the FOA by doing a “panel review” of a mock application from a fictitious applicant. The application example you will look at addresses Criterion 1 of the FOA Scoring Criteria. It is not meant to be a model to use in writing an ANA application

Application Review Process Overview

ANA staff members review applications to ensure they meet basic eligibility requirements. Applications that pass this review process are scored and commented on by peer panel reviewers utilizing ANA's evaluation criteria listed in Section V.1 Criteria of the ANA FOA. The evaluation criteria include a series of questions reviewers will consider to help them determine your score.

The evaluation criteria were developed to focus analysis on information that is vital to the successful planning, development, and implementation of a sustainable ANA project. Evaluating applications according to the prescribed evaluation criteria ensures that each application is being assessed based on the same standards. Transparency and consistency in the panel review help ensure that all applications are treated equally and support the ideal of an unbiased and fair application review process.

Activity

- Mock Panel Review

In this exercise, you are members of a peer review panel.

Working with the FOA

For the competition, ANA is using five scoring criteria:

1. Need for assistance
2. Outcomes expected
3. Approach
4. Objective work plan
5. Budget and budget justification

As you go through the FOA and develop responses to its scoring criteria, you will see that the order in which you describe project components (as outlined in the previous section) will need to change to address FOA instructions. You will find this is the case in most application processes. The sequence followed in developing project design components often differs from the order in which a funder wants them dealt with in an application. In writing an application for funding, your task is to take project design elements and fit them into the format and sequence required by the prospective funder.

The same set of criteria and criteria subsets will be used to evaluate and score ANA's Social and Economic Development (SEDS) applications (including governance proposals), language applications, and Environmental Regulatory Enhancement (ERE) applications. Sustainable Employment and Economic Development Strategies (SEEDS) applications will use the same five scoring criteria but different subsets. Discussion of the SEEDS application components follows the information on SEDS, language, and ERE application content and scoring breakdowns.

Budget periods for all Language grants begin on August 1 and end on July 31st each year. Budget periods for all other type of grants begin on September 30th and end on September 29th of each year. Please use these dates when developing your implementation plan, OWP and budget.

Criterion One—Need for Assistance Maximum Points: 10

Here are the subheadings, listed in the FOA that ANA wants to see addressed in Criterion One of your application:

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

Use these subheadings to organize the section of your application that deals with Criterion One.

Consider the following issues in your presentation on each of Criterion One's four subheadings:

The problem is what you are trying to solve with this project. The problem is a current, negative condition in the community that must be resolved in order to achieve the long-range goals of a socially and economically healthy community. Describe how the community defined the current condition to be addressed and the assessment process used to identify the problem. A community assessment can involve a variety of processes (surveys, meetings, focus groups) to identify the problem(s) and determine which adverse current community condition a project will address. Be sure the problem statement defines, in measurable terms, the current condition or problem that the project will address. Include information on how the community identified the problem.

An example of a problem statement is:

“Our community of 500 employable members has a 53% unemployment rate because their job skills and experience do not match current job requirements.”

Cite such secondary sources as local data, studies, regional and census data, and historical data to corroborate community definitions of the problem to be addressed. Do not substitute secondary data information for community-defined problem statements.

Describe what barriers have made it difficult to resolve the problem. Do not center your discussion on not having funds needed to solve the problem. Describe such dynamics as difficulties in addressing different interest groups or areas of concern, problems accessing or

using technical knowledge, or processes and attitudes or beliefs that have stood in the way of problem resolution. There should be a clear relationship between the barriers you describe and the design of your project approach because the project will be designed to overcome barriers listed here. The community that is the focus of the project must be the entity that drives the project development process. As the project design process moves forward, the target beneficiary community is defined. An assessment of community conditions that initially involves the overall community may result in elders being the project's primary focus, as a result of the initial assessment. Elders then become the beneficiary community. Provide demographic information about the beneficiary community as well as information on how that community defines the problem to be addressed.

Activities:

- Describe Your Project in One Sentence
- Write Your Problem Statement
- Write Your Supporting Information/Data Detailing the Scope and Nature of the Problem
- Describe Your Community

Criterion Two—Outcomes Expected Maximum Points: 25

Here are the subheadings, listed in the FOA that ANA wants to see addressed in Criterion Two of your application:

1. *Application objectives are Specific, Measurable, Achievable, Relevant, and Time-bound (S.M.A.R.T.), as follows:*
 - *Specific – in identifying the outcomes that will be achieved*
 - *Measurable – using quantifiable or objective terms in describing how progress and completion will be measured*
 - *Achievable – given the proposed time frame, approach, and resources*
 - *Relevant – to the problem statement, project goal, and the long term goals of the community to be served*
 - *Time-bound – with an end date reflecting completion within the project period*
2. *The description of the project’s intended impact describes how:*
 - *The condition(s) identified in the problem statement will be addressed*
 - *The lives of community members and beneficiaries will improve*
 - *The intended impact is feasible given the project’s objectives*
3. *The Impact Indicator(s) presented under this Criterion describes:*
 - *How impact will be measured with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and 3 years post-project initial project activity*
 - *Baseline information that was determined through accurate or verifiable methods (for example, surveys, census data, etc), OR if baseline data are not identified, the extent to which the applicant describes a relevant baseline measure that will be established as an initial project activity*
 - *An end of project target and a 3 year post-project target that are realistic and adequately measure a change in the condition identified in the problem statement*
 - *How data will be effectively collected and tracked*

In preparing your response for Criterion Two, keep in mind that ANA requires outcome-oriented objectives. Although objectives are also mentioned in other sections of the project description (the Approach and OWP) reviewers will evaluate them under this criterion. Use the subheadings listed above to organize the section of your application that deals with Criterion Two. Your first exercise will be to describe the long-range community goal that provides a framework for the project. Next, define the project goal—a description of improved condition(s) that will be in place at the end of the project.

Consider the following issues in your presentation on outcomes and impacts:

Objectives

SMART objectives describe outcomes. Outcomes are measurable, beneficial changes that reduce or eliminate a problem that prevents the community from reaching a long-range goal. The following example of an objective is built on the SMART framework and addresses the sample problem statement used in the Criterion One discussion:

Objective: : *During the 36 month project, the Plains Indian Center will train 90 unemployed community members (30 each year) in the areas of landscaping, home health support work, commercial trucking, and commercial food preparation, with a minimum of 60 (20 each year) achieving certification in one of the four identified employment areas and being employed by Plains businesses.*

To get a better understanding of the SMART objective format, here is how each portion of the acronym is included in the sample objective:

- **Specific**—Sixty community members receiving certification and securing employment describes a measurable, beneficial change in the community (an outcome) and a reduction in a negative community condition.
- **Measurable**—Ninety members trained and a minimum of 60 certified and employed.
- **Achievable**—Show in the project approach that it is feasible to train 90 and certify and employ 60 members in 3 years. Your narrative will explain how this can be achieved. Do not be overly ambitious in your projections.
- **Relevant**—The objective is relative to and will help resolve the problem statement. It is relevant to the community’s long-range employment goal: All community members are employed and able to support family members without requiring social service assistance.
- **Time-bound** – “During the 36 month project...”

Impacts

Describe what measurable positive change will occur because of the project. In the example that we are using, unemployment is caused by community members not having the skills and knowledge needed to access existing, available jobs. The project focuses on helping community members acquire those job skills. The resulting certification and employment of community

members will improve participants' living conditions. Indicate that the feasibility of these projected impacts is documented in the Project Approach section of the application.

Impacts indicators are long-term outcomes that describe the lasting effects of a sustained project. Impact indicators measure the change that can be specifically associated to a project's sustained operation or benefits. They measure the extent to which the project continues to assist in achieving long-range community goals. Continued, measurable reduction of community unemployment would be an impact indicator that fits with the example of project components that we have been using in this discussion of FOA criteria.

ANA requires all applicants and grantees to identify indicators they will track and work towards achieving during and after the ANA funded project period. The single impact indicator ANA requires as a part of your Outcomes Expected presentation must measure how long-term change is created by the project. The problem statement, described in measurable terms, provides the initial data point that is used to determine the positive long-term change in quantified terms. In addition to providing a projected level of positive change, ANA also sees the impact indicator as a gauge of project sustainability. Listed below is how to display impact indicator information in your application.

Pre-grant status: This is the baseline measure at the start of project implementation, and should typically match the problem statement provided in the "Need for Assistance" section.

End-of-grant target: The end-of-grant target is the anticipated data point at the end of the project period. This target represents the extent to which the applicant expects to measure a change in the problem condition by the end of the ANA grant.

3-year target: The 3-year target is the anticipated data point for 3 years after the grant funding has ended. This target serves to measure the intended growth or sustainability of the desired impact/change.

The following is an example of an impact indicator using our sample community long-range goal, problem statement, project goal and objectives:

Impact Indicator	Pre-Grant Status (baseline)	End of Grant Status	3 Years after End of Grant	Means of Measurement
Decrease in the Tribe's Unemployment Rate	53%	41%	30%	Number of community members with jobs

Pre-grant status: The community has an unemployment rate of 53%. A strong pre-grant status indicator would be "53% unemployment"– or "265 community members unemployed."

End-of-grant target: The community hopes to decrease the unemployment rate by 12 percentage points over the life of the project. The end of grant target would be 41% unemployment – or 205 community members unemployed.

Three-year target: The three year target would be *six* years from when the application is written and funded. A community that wants to see a decrease in the unemployment rate could have a target of 30% unemployment, or 150 community members unemployed, three years after the ANA funding ends.

Means of measurement: Additionally, the means of measurement must be identified, i.e., *how* the measurement(s) will be made to show that stated impact status has been achieved. For example, if the purpose of a project is to address unemployment within a tribe or Native community by providing job training and certification to community members, the project outputs would include the number of community members that obtain job training, receive certifications, and the impact indicator would be the number of community members placed within jobs because of the training and certification received.

Activities

- Write Your Long-Range Goal and Project Goal
- Write Three Project Objectives
- Write Your Expected Impact and Impact Indicator

Criterion Three—Approach Maximum Points: 30

In scoring the Approach section, reviewers will consider the three major components: planning and implementation, community involvement, and organizational capacity and staffing plan. Each of these components has several subheadings.

The Planning and Implementation, component of the Criterion will provide:

- *A comprehensive implementation plan for the full project period, including a detailed description of all key activities*
- *An explanation of how specific tasks and activities will be completed (for example, how project participants will be selected, how surveys will be conducted, etc.)*
- *Contingency plans that describe adequate strategies to address potential obstacles and challenges*
- *Information on the non-federal resources (staff, materials, facilities, etc.) necessary to implement the project and provides sufficient plans describing how any other necessary resources will be leveraged*
- *A description of how partnerships will be developed, maintained, and utilized to support the project*
- *A plan to ensure that project outcomes will be sustained and, if applicable, how programmatic sustainability will be achieved*

The Community Involvement component will describe:

- *How community input was used in developing the project, (for example from community meetings, surveys, community members participating in the planning process, etc.)*
- *The plan to maintain community support and/or participation during project implementation, including how participants will be recruited if applicable*
- *Specific outreach activities or other methods for building community awareness of the project and keeping community members informed of progress and outcomes*

The Organizational Capacity and Staffing Plan component will provide details that:

- *Demonstrate the necessary capacity to implement activities and monitor project progress in order to ensure successful completion of objectives*

- *Fully describe a project staffing plan that includes staff responsibilities and project personnel with sufficient qualifications to fulfill those responsibilities (for example, required licensing, professional experience, subject matter expertise, etc.)*
- *Provide a realistic plan for recruitment and hiring (only applicable if new hires are required)*
- *Clearly describe how oversight and management of federal funds will be properly ensured, and identify who will be responsible for maintaining oversight of program reporting, activities, staff, partners, and finances*
- *Demonstrate that proposed partners or consultants have the expertise necessary to perform assigned project tasks*

Use these components and subheadings to prepare the section of your application that deals with Criterion Three. Consider the following issues in your Criterion Three presentation.

Planning and Implementation

Some writers will start work on the Implementation Plan section of Criterion Three by developing the Objective Work Plan (OWP) even though the OWP follows the Approach in the application format. A completed OWP provides them with a good idea of the complexity and scope of the project implementation process. If this is the process that you decide to follow, your OWP becomes a guideline to begin your Project Strategy narrative. Refer to the OWP to develop your narrative on how and why you chose a particular approach. Include a description of how the community assisted in project planning and how community members will also play a significant role in the overall implementation of the project. Reference the objectives from your OWPs. Be sure the outcomes and objectives statements in the Need for Assistance, Outcomes Expected, Project Approach and the OWP are identical.

Previous ANA funding should be acknowledged and explain how this project is different or how it builds upon previous efforts. Applicants should clearly articulate how the proposed project enhances a previously funded ANA project or will be leveraged by, or complement existing other federal program funding.

Discuss such issues as why the objectives included in the application provide the most promising alternative for successfully addressing the problem that the community wants eliminated and reaching the project goal. Do not just reiterate the activities that are listed in the OWP in the Project Strategy narrative. Your project strategy is a companion to the OWP and allows the reviewer to better understand the project's design and conceptualize how the project will be implemented. Create a narrative that describes the interaction and sequencing of activities and shows how the activities, when completed, will accomplish project objectives.

Provide detailed information on how critical or complex tasks will be carried out. For example, if conducting a survey to assess job readiness of community members is an activity that is part of the project approach, information on that activity would answer the following questions:

- What open- and close-ended questions would be included?
- How large will the survey be and how will participants be selected?
- What distribution method would be employed?
- What incentives for participation would be used?

Contingency Planning

Good project planning includes creation of a contingency plan, a discussion of potential project challenges and how they would be resolved if encountered. All applications include assumptions about how a project will be implemented—when key staff will be hired, what partnerships are in place for project operation, what resources are committed to the project. Unforeseen events often test these assumptions and create challenges that could impact your ability to accomplish the project goal on time and within budget. A well-planned project is one in which the organization has tried to anticipate and address potential challenges. These challenges are generally outside of the control of project management. Effective project implementation often depends on our consideration of possible stumbling blocks during project implementation. Identification of potential challenges and development of a contingency plan should be done by a team that includes project stakeholders. Examples of assumptions, challenges, and a contingency plan using our sample project goal and objective are included below.

Assumption: *All key personnel will be hired within two months.*

Challenge: *An individual with all qualifications for a key position was identified in the application but has since declined the position.*

Contingency Plan: *Identify a current staff member that will keep the project going until that position is filled.*

Assumption: Recruit 90 unemployed community members (30 each year) for job enhancement opportunities by the 4th month.

Challenge: Community members do not apply for these opportunities.

Contingency: During project planning and through community outreach we have identified over 100 unemployed community members that have expressed an interest and have signed up with our planning office should the project be funded.

Assumption: 20 members who complete job training will be hired by local businesses each year.

Challenge: There is not enough job demand from local food service, home health, trucking and landscaping firms to employ our trainees.

Contingency: The Wichita job market is a 60 minute commute from Plains and the Plains Indian Center has links with potential employers in the four targeted employment fields. Certified trainees will be employed in that market if necessary.

Non-Federal Share and Leveraged Resources

Non-federal and leveraged resources are essential components of project operation and can be used in sustaining project benefits and components past the initial funding period. The non-federal share (NFS) is the grantee's resources used to support the project and can include cash, donated goods, or donated services. These resources cannot include other federal funds unless the legislation authorizing the funds specifically state that they can be used as NFS for other federal programs. List each of your resources that will be used for NFS. Describe the rationale used to assign a dollar value to the service or goods that will be used as in-kind NFS. Provide a description of documentation you will collect and maintain to verify receipt and use of NFS.

Leveraged resources are any resource—excluding the federal share, non-federal share, and program income—acquired or used during the course of the project period that supports the project. Leveraged resources can come from federal or non-federal sources and include natural, financial, personnel, and physical resources provided to assist in the successful completion of the project. Leveraged resources are not included in the project budget. 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. Leveraged resources often are used to support continuation of specific project activities and benefits that those activities create after the end of the project period.

Partners

Partners are groups that are invested in the success of your project. Partnerships play a huge part in your tribe or organization's ability to sustain a project. Additionally, partnerships show

the reviewers that your organization has engaged in a community-based planning process and that you have other organizations and agencies that also see the importance of what you intend to accomplish. A potential method for sustainability is working with local and regional partners to assist in continuing the project's impacts in your community after funding has ended.

When discussing partnerships, list current partners that will be assisting you in the implementation of your project and provide a target number of total partners you hope to have by project end. A target number shows that you have engaged in a well-designed project planning process and secured partners needed for project operation. Explain how partnerships will be nurtured, managed, and utilized to have a successful project.

Include information on the current organizational relationship between your organization and your partner organization. The experience and expertise of these partners must align with the activities stated in the OWP that they will be supporting. This information should state the nature, amount, and conditions under which another agency, organization, or individual will support a project funded by ANA.

Sustainability

ANA requires that a project be sustainable when the ANA funding ends. However, sustainability is not simply about generating new grant dollars— it also involves outlining a specific strategy for continuing your project impact. ANA places significant emphasis on sustainability because it wants the benefits for the community to be ongoing. Some projects lend themselves more to sustainability strategies; however, all projects include benefits to the community that can be continued after implementation is complete. Sustainability does not require that you sustain your project at the level you did during the ANA funding.

You should discuss how the project will be sustainable after the grant has ended or how the resulting product, if one is produced, will be used to further the community's needs, goals, and objectives. Some examples of products are a revised constitution, complete language assessment, and tribal environmental codes and regulations. If the project is to be completed, explain how the project impacts will be sustained within the community utilizing the product in the future.

Successful sustainability plans consider ways to sustain the project politically, financially, and programmatically. When developing your sustainability plan, consider these elements: How will you ensure there is political and community support for your project? How will you ensure the necessary programmatic elements of the project are sustained? How will you pay for the sustainability of the project?

Community Participation

Community participation in project development includes involvement in defining the problem the project will reduce or eliminate, as well as planning and developing the project to reduce or eliminate that problem. Explain how the community was involved in the development and planning of this project, describing the problem the project will resolve and the long-range goal that provides the framework for the project. Provide details on the community-based planning process utilized to develop this project. Describe who participated in this planning process and how the targeted beneficiaries were involved in the process.

Attach documentation of community involvement to the application. Include community involvement documentation on:

- Focus groups and interviews with key informants;
- Community meeting minutes along with sign-in sheets;
- Tribal council or board meeting minutes and/or sign-in sheets; and
- Summary of results from a community assessment.

After documenting current community concern over the condition or problem the project will reduce or eliminate, provide additional documentation that confirms those community concerns and shows the problem's longer term presence in the community.

- Planning studies (reference your tribal or community plan) to link community involvement in the development of the community's long-range goals. Make sure that they are relevant to your application.
- Strategic plans or mission statements.

Community Involvement

Community involvement is an essential component of both the initial project planning process and the project implementation process. Describe how the community intends to participate in project implementation and what process you will utilize to encourage and maximize community involvement during project implementation.

Communication with all parties involved in your project during the implementation phase is critical. This ensures that community members, beneficiaries, and partners are all part of the process and have an important role and voice in ensuring success of your project. Discuss successes, issues of concern, and always keep your community informed of your project's progress and outcomes. Invite individuals and partnering organizations to a gathering that has a set meeting time each month and has an agenda for discussion points. 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. Make sure to include these activities on your OWPs.

Outreach

Effective outreach strategies are an essential tool for engaging the community in planning and implementation activities. Listed below are some approaches that might be helpful in developing outreach approaches.

- Create colorful and interesting flyers and post them throughout your community (post office, 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.
- Issue personal invitations to community leaders, elders, and any individuals you anticipate might be considered functional leaders of your community.
- Use social media (i.e., Facebook, Twitter, or LinkedIn) if the audience you are trying to reach uses social media.
- Get onto the agenda of meetings already scheduled by other entities (General Council, Elder' Council, JOM Committee, Head Start Board) to discuss community problems and possible projects.

Organizational Capacity and Staffing Plan

The Organizational Capacity and Staffing Plan discussion under Criterion Three focuses on documenting your program and fiscal management capabilities, staffing plans and qualifications of partners and consultants.

Demonstrate that your organization has the necessary capacity to implement activities and monitor project progress by describing its history of project management. Provide an inventory of projects and programs that you have operated. Include information about the scope of work in a sample of the projects and programs. Describe the planned and actual outputs and outcomes of those projects and summarize how projects were monitored in order to ensure successful completion of objectives. Describe the management and oversight structure that will be in place for this project to ensure that successful project completion occurs. Include an organizational chart in the attachments that displays the structure of the entire organization and shows where the project fits in that structure.

Staffing Plan

To address the project staffing plan, provide an overview of the proposed staffing pattern for the project. Summarize staff position descriptions in the narrative and include full position descriptions in the attachments. It is important to remember when developing job descriptions that you list the qualifications necessary to effectively do the job that is required, such as any special certifications, higher education degrees, licensing, etc. Project positions discussed in this section must match the positions identified in the OWP and in the itemized budget. Include information on all key staff that will work on the project, not just staff that will be funded by ANA. Brief biographies and/or resumes of individuals already identified as staff for key project positions will be included as an attachment

If hiring new staff is required, describe how your process ensures that qualified candidates from the community will be aware of employment opportunities. Include information on how you will coordinate with TERO and 477 programs if applicable. Describe your use of tribal and local media in recruitment and hiring activities. ANA encourages use of Indian and tribal preference in recruitment and hiring practices.

Consider including a full-time coordinator to administer projects with any degree of complexity. That position, which would be described in the staffing plan, would be expected to have skills, knowledge, and experience related to the responsibilities associated with maintaining oversight of program reporting, activities, project staff, partners, and staff responsible for fiscal management. The planning and implementation and OWP sections of the application will clearly describe project coordinator responsibilities and the operational approach for ensuring effective project management. A key piece of that project coordinator's responsibility will be working with the staff position designated with oversight and management of federal funds awarded for the project. Describe that position's qualifications. Provide documentation of those qualifications in the attachments. Such documents as an auditor's letter indicating that the fiscal records maintained by that party meet Generally Accepted Accounting Practices standards often is part of those attachments. Describe how the project coordinator and position designated for fiscal management will coordinate to maintain programmatic and financial records and collaborate in preparing quarterly Objective Progress Reports and 425 fiscal reports for ANA.

Include statements of qualifications for proposed partners or consultants that document that they have the expertise necessary to perform assigned project tasks. Ensure that information from potential consultants and partners clearly indicated they understand and commit to the responsibilities outlined for them in the OWP and planning and implementation sections of the application. If consultants are to be selected through a competitive process, include

information on qualifications that will be expected in the successful applicant. ANA encourages use of Indian and tribal preference in these selection processes.

Activities

- Explain Your Project Approach
- Develop Your Contingency Plan
- Identify the Resources You Will Leverage
- Identify Partners
- Develop a Sustainability Plan
- Describe Community Participation in Project Development
- Engage Community in Implementation
- Describe Your Organization's Capacity and Staffing Plan

Criterion Four–Objective Work Plan (OWP) Maximum Points: 25

Be sure that the application’s OWP:

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

Objective Work Plan (OWP)

Here are issues to address when completing the OWP. Think of the OWP as a summary of much of the project design. It is ANA’s format for applicants to use in describing the how (through what activities), the when (within what time frames), and by whom (assignment of responsibility) the project will be implemented. The OWP should serve as an effective blueprint for project implementation.

The OWP is a required OMB-approved form that serves as a blueprint for project implementation. It is formatted so that the information displayed in the form clearly displays the logical connections between the different project elements. A well-crafted OWP documents how implementing activities will lead to achieving project objectives, and how achieving the objectives will accomplish the project goal and directly address the problem statement. It provides information on what project outputs (results) and outcomes (benefits) will be produced by the project and presents the criteria that will be used to evaluate whether planned outputs and outcomes were achieved. One online OWP form should be completed for each objective per budget period.

In previous sections we have gone over the need for assistance, outcomes expected, and approach criteria. The content of the OWP must reflect information elsewhere in the application.

Items included in an OWP are:

- Project Title
- Project Goal
- The Problem to be addressed by the project
- 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
- The Activities
 - Begin and End Dates – note that the mm/dd/year format is used for dates.
 - Positions Responsible for the activity accomplishment

Definitions used in the OWP

RESULTS (What is produced?): *Necessary training classes in each of the four areas identified will be offered over a 6 to 8 month period. This will include a minimum of five classroom courses requiring 4 months of classwork along with 320 hours of on-the-job training (OJT) sessions with mentors or 2 months of OJT. Individual action plans will be developed for each community member on the project and 90 community members will be trained.* Results are what are **produced** because of the project, or the outputs. Examples of results include: workshops, courses, or training sessions held; training manuals or curricula created; or action plans or strategic plans produced.

BENEFITS (What Positive Change is achieved?): *Sixty community members certified and employed.* Benefits are project outcomes. Benefits are positive community changes that are **achieved** because of the project. Example of benefits include: number of community members who secure living wage jobs after participating in project activities; number of youth who open savings accounts after being in financial literacy workshops; or number of foster parents trained, certified, and engaged in providing foster care.

OBJECTIVE: *During the 36 month project, the Plains Indian Center will train 90 unemployed community members (30 each year) in the areas of landscaping, home health support work, commercial trucking, and commercial food preparation, with a minimum of 60 (20 each year) achieving certification in one of the four identified areas and being employed by Plains businesses.* Objectives can span more than 1 year, so although ANA only allows three objectives in a project period, one objective can provide different levels of outcomes in each year of a multi-year project. For example, an objective in a 3-year project that focused on employment outcomes could plan for employment of 60 community members in the project's first year, 45 community members in year two, and 50 employment placements in the third year.

ACTIVITIES: Activities are specific action steps required to accomplish an objective. The activities associated with each objective are presented in the OWP in a logical sequence and in specified time frames within each budget period. Also, remember that in addition to key staff positions, you will identify other cooperating entities, consultants, and partners who are essential to the successful completion of specific activities.

As you develop your OWP, be sure the activities provide evidence that you are following a detailed, thoroughly researched, and completed project planning process. The OWP should demonstrate that you understand the logical sequence of steps involved in achieving each objective and that the activities and objectives will accomplish the project goal.

OWP Format

The ANA OWP form requires an identification of proposed results and benefits and the criteria for their evaluation. A set of results and benefits should be crafted for each project objective. You will also describe how you plan to evaluate each result and benefit as part of OWP completion.

ANA allows a maximum of three objectives per project period. Therefore, if you are writing an application for a 3-year grant, you will be allowed a maximum of three objectives for the entire project period. An OWP form is needed for each year of each objective. The OWP form is expandable and objectives with a high number of activities will require more than the one page that is displayed when an electronic OWP form is opened. Add additional lines to the activities section as needed.

Activities

- Fill Out Your Objective Work Plan
- Analyze Expected Results
- Analyze Expected Benefits

Criterion Five - Budget and Budget Justification—Maximum Points: 10

Guidelines for preparing the budget and budget narrative justification are listed below.

1. *Provide a comprehensive line-item budget for each project year, accounting for all expenditures (federal and non-federal) necessary to implement the project*
2. *Include a budget justification for each project year, detailing cost basis and calculations to demonstrate how line-item expenditures were derived, with vendor estimates for larger expenditures where applicable*
3. *Explain why and how all costs are justified in relation to the proposed activities and objectives*

Line Item Budget Overview

The project budget provides a detailed description of federal and non-federal resources that will be needed to carry out the project work plan. It documents the reasonableness and relevance of costs of the proposed project. When preparing your budget, remember the funds you are requesting need to be clearly appropriate and necessary for the scope of the proposed project. Provide a detailed line item budget that displays the federal and non-federal (applicant matching) share of the budget for each year of the project.

ANA requires a 20% applicant match of the Total Costs—in other words, the ANA share of project costs is limited to a maximum of 80% of Total Costs. The applicant match requirement may be in the form of cash or in-kind contributions; however, grantees are encouraged to meet matching requirements through cash contributions. Itemized budgets must detail the grantee's share and must be included in the grant application.

For clarification purposes, applicant match, also known as the non-federal share (NFS), is what the applicant includes in their application budget to meet the match requirement. It can be cash or in-kind and can be provided by the applicant or by third parties.

A 3-year project would have three individual line-item budgets, one for each year. You also need to prepare a budget narrative further describing the costs and the calculations used in the line item budget for each year of project funds requested. Your budget should align with the Object Class Categories listed below (which also are on the SF-424A, Section B – Budget Category).

Line Item or Objective Class Category	Description
Personnel	Employee salaries and wages. For each staff person identified (Federal and applicant match) provide title, and time commitment (in months or percentage of time). Ensure that you list total hours per month times the number of months worked for each person listed under personnel and list the percentage of FTE (full-time equivalent) each position will require. Indicate what your particular Tribe or Organization definition of FTE is in your application.
Fringe Benefits	Payroll taxes (employer portion) & staff benefits. Break down the amount of each benefit (or percentage of total benefits).
Travel	Travel (Federal and applicant match) for project related activities by staff (note: consultant travel goes under "Other"). Show the number of travelers, destination, duration, per diem, ground transportation, airfare rates, and any other travel allowances for the trip (parking, etc.). ANA requires post-award training for two people (necessary travel time is allowed).
Equipment	Defined as tangible, non-expendable personal property having a useful life of more than one year AND an acquisition cost of \$5,000 or more PER UNIT (Federal and applicant match).
Supplies	Items such as personal property excluding equipment and intangible property (copyrights, patents); e.g. office supplies, program supplies, etc. (Federal and applicant match).
Contractual	Cost of contracts with consulting firms, third-party contractors and/or secondary recipient organizations, including delegate agencies (Federal and applicant match).
Other	Includes utilities, rent, liability and property (not employee) insurance costs, machine rentals and maintenance, consultant, local travel, other non-employee travel (if required), and phone.
Indirect	Only allowed if an applicant has a current negotiated federal indirect rate . Current is defined as an IDC that covers the period of your grant application or does not expire until after your grant has been funded.
Program Income	Include only if project is for business development where profits are reinvested in the business and such income should be explained as to its appropriate use.

Developing the Budget

When preparing your line-item budget, be comprehensive - and remember that budget information must be consistent with the rest of the application. Considerations from all sections of your ANA grant proposal must be reflected in the line item budget (e.g., need, approach, performance criteria, and OWP).

It is best to work with your accounting office to gather budget data for your organization (i.e., employee salaries and wages, payroll tax rates, worker's compensation insurance rate/quote, and IDC rate). If you are requesting an IDC reimbursement, include a current copy of your organization's Federally-negotiated IDC rate agreement in the "Other Attachments Form" section of the application. If a current copy of the IDC agreement has not been negotiated, the applicant needs to request from the cognizant agency a memorandum stating that the applicant is authorized to utilize the current IDC until the new one is negotiated or the applicant must request IDC as direct costs. If no IDC rate has been negotiated for your organization, you could build in the IDCs (e.g., bookkeeping, office space, audit, janitorial) as direct costs under the "Other" line item.

Your line item budget should provide details and detailed calculations, quotations, or other methods of estimation. In addition, your line item budget should include items included in your applicant match requirement. Remember you must prepare a line item budget and budget narrative for each project year.

It is a good idea to have another individual double check your calculations prior to submitting your budget. While they are checking calculations, also have them confirm that you are consistently referencing dollar amounts throughout the application. For example, if you describe a staff member attending a training that costs \$2,500 in the Approach Criterion, make sure that you don't inadvertently enter \$25,000 for the training in the Budget Criterion. Mathematical errors and budget inconsistencies are often cited in reviewer comments.

The line item budget and the OWP are two areas of the application that must closely align. If you have an item in the strategy or the OWP that has a cost associated with it, make sure that it is included in your budget. Similarly, if you have a cost in the budget, make sure that it has an activity related to that cost in the OWP or it is explained in the strategy.

Allowable Costs

The Office of Management and Budget (OMB) issues circulars that detail allowable and unallowable costs. Appendix B details what is allowable, unallowable, and requires approval. OMB information regarding allowable costs for Tribes, Non-Profit Corporations and Educational Institutions are summarized in that Appendix. In addition, there are certain costs that ANA will not fund. Those costs include:

- Organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions;
- Reimbursement of pre-award costs;
- Construction;
- Activities that qualify as major renovations and alterations;
- Purchase of real property;
- Activities in support of any foreseeable litigation against the U.S. government that is unallowable under the OMB Circulars A-87 and A-122.

On December 26, 2014 new regulations for grant and financial management take effect and will govern all grants awarded after the effective date. The new regulations are contained in 2 CFR Part 200. HHS specific guidance has not yet been released. Check with your finance office to make sure you are in compliance with the new regulations.

Narrative Budget Justification

Budget justifications are the written descriptions that explain your line item budget (both federal and applicant match amounts). In preparing your budget justification, provide sufficient back-up detail for the ANA proposal reviewers to determine if costs are allowable, relevant, and reasonable. Ensure that your written explanations are easy to understand. Do not hide costs; rather, make them obvious and well supported. Explain budget calculations and keep them basic (maximum points). Prepare budget justifications for both federal and applicant match sources by budget period. Multi-year ANA projects must have identified budgets and narratives for each year/budget period.

Describe how ANA funding can be supplemented to broaden and strengthen the impact of the project; and what other resources are already committed to the project for supplementing federal funds

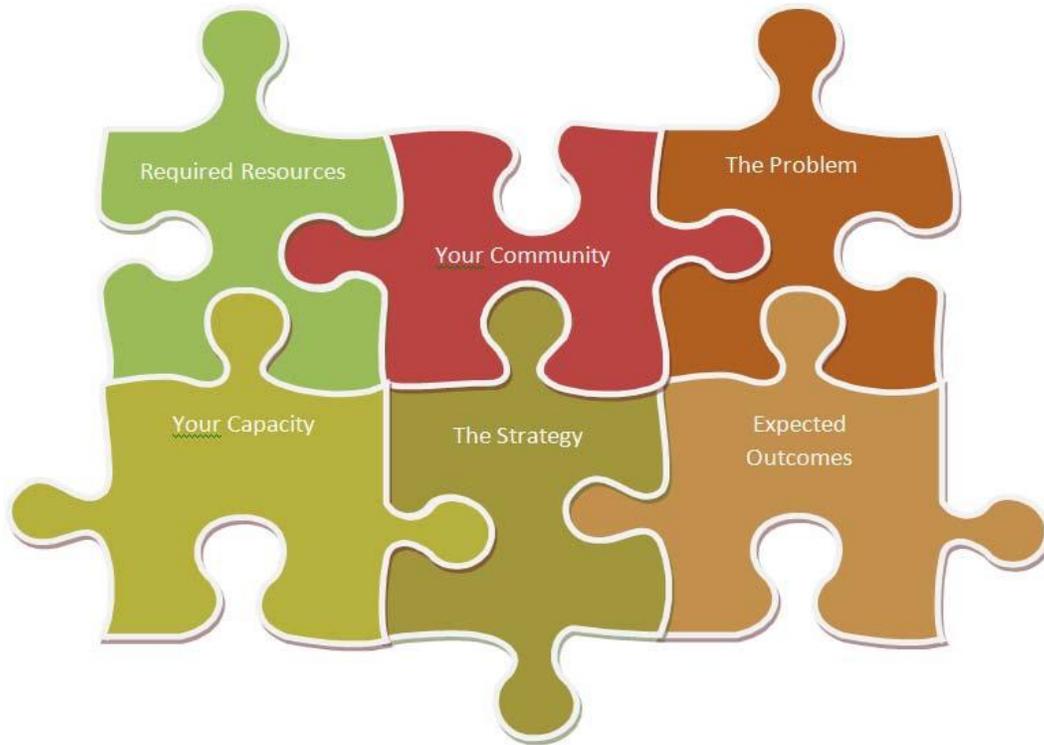
Use the following format when preparing your budget.

CATEGORY	FED. SHARE	APPLICANT MATCH	TOTAL
<u>PERSONNEL</u>			
<u>TOTAL PERSONNEL</u>			
<u>FRINGE BENEFITS</u>			
<u>TOTAL FRINGE BENEFITS</u>			
<u>TRAVEL</u>			
<u>TOTAL TRAVEL</u>			
<u>EQUIPMENT</u>			
<u>TOTAL EQUIPMENT</u>			
<u>SUPPLIES</u>			
<u>TOTAL SUPPLIES</u>			
<u>CONTRACTUAL</u>			
<u>TOTAL CONTRACTUAL</u>			
<u>OTHER</u>			
<u>TOTAL OTHER</u>			
<u>TOTAL DIRECT COSTS</u>			
<u>TOTAL INDIRECT CHARGES</u>			
<u>TOTAL PROJECT COSTS</u>			

Activities

- Identify the Financial Requirements
- The Budget and the Work Plan

Application Connection



As stated previously, ANA’s peer panel reviewers evaluate grant applications based on ANA’s evaluation criteria located in Section V.1 of the Funding Opportunity Announcement. Before submitting your application, ensure you have included all information required as stated in Section IV.2 of the Funding Opportunity Announcement and then review the evaluation criteria to ensure your application fully addresses all of the questions the peer panel reviewers consider when scoring your application. You can utilize the key components of the evaluation criterion table below as a resource in how you to set up or organize your application.

Key Components of Each Criterion

Identifying key components of each of the evaluation criterion in the FOA is useful in terms of ensuring that the application addresses the integral parts of a successful application. The key components of the evaluation criteria are as follows.

Need for Assistance Maximum Points: 10

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

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

Outcomes Expected Maximum Points: 25

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

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

Specific – in identifying the outcomes that will be achieved

Measurable – using quantifiable or objective terms in describing how progress and completion will be measured

Achievable – given the proposed time frame, approach, and resources

Relevant – to the problem statement, project goal, and the long term goals of the community to be served

Time-bound – with an end date reflecting completion within the project period

To evaluate the project's intended impact, reviewers will consider the extent to which:

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

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

1. How impact will be measured with at least one impact indicator using the same measure at three points in time; baseline (beginning of project), end of project, and 3 years post-project initial project activity
2. Baseline information that was determined through accurate or verifiable methods (for example, surveys, census data, etc.) OR if baseline data are not identified, the extent to which

the applicant describes a relevant baseline measure that will be established as an initial project activity

3. An end of project target and a 3 year post-project target that is realistic and adequately measure a change in the condition identified in the problem statement
4. How data will be effectively collected and tracked

Approach Maximum Points: 30

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

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

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

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

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

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

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

Objective Work Plan (OWP) Maximum Points: 25

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

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

Budget and Budget Justification Maximum Points: 10

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

1. Provides a comprehensive line-item budget for each project year, accounting for all expenditures (federal and non-federal) necessary to implement the project

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

It is important to note that successful applications include each key element as well as demonstrates the relationship between each of the key components. For example, merely stating a problem statement, a project goal, and project objectives is not sufficient. An excellent application describes the relationship between the goal, the problem, and the objectives and that by completing the objectives, the project goal would be accomplished, and the problem identified would be affected.

Application Content and Page Limitations

ANA's project funding is limited. A competitive proposal requires that the applicant be as thorough and creative as possible. The formatting of an application package is not one of the scoring criteria used to rank and select successful applications. However, a well- organized application will assist the panel scoring and rating the application to locate and evaluate key information during their review process. The new ANA grant application format is as follows. This format will apply to both e-grant and hard copy submission.

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

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

- Table of Contents
- Project Narrative (Need for Assistance, Outcomes Expected, Approach)
- Budget and Budget Justification, including travel to required ANA trainings and meetings
- Objective Work Plan (OWP)
- Required Governing Body Documentation (Board Resolution)
- Assurance of Community Representation on Board of Directors (for Non-profit applicants) (See Appendix 3 in the FOA for an example)
- Proof of Non-profit Status, if applicable
- Commitment of Non-federal resources
- Job Descriptions

- Resumes
- Indirect Cost Rate Agreement, if applicable
- Letters of Support
- Third Party Agreements, if applicable
- Business Plan, if applicable
- Other attachments if necessary

All required forms, assurances, and certifications including the OMB-approved Project Abstract and Objective Work Plan (OWP) forms are required and uploaded separately or included in paper submission, when a waiver is approved. These forms must be completed at Grants.gov and are not included in the page limits. Please refer to Section VIII Checklist of the FOA for additional information.

Application Review and Selection Process

As you plan and prepare to submit an ANA application, consider how valuable knowing exactly how the application will be reviewed will help you in developing, writing, and finalizing the proposal. The Application Review process is crucial to understand because this involves how the application is reviewed, read, scored, discussed, commented on, ranked, looked over with a magnifying glass, taken apart, put back together again, and scrutinized by a panel of objective reviewers.

The evaluation criteria play a critical role in your project development and grant application process. It is important to remember that ANA provides key components for each criterion, explanations for why they are important, the maximum point value for each, analytical questions that reviewers will consider when scoring your application and you should be asking yourself about your application before you submit, and a description of an excellent application. Participating in the mock review process and applying the criteria to the sample application should help you gain a clearer understanding of the evaluation criteria and the review process, which is useful in developing and writing grant applications.

In addition to the scores and ranking that the panel review process generates, your application will be further scrutinized by the ACF and ANA based on eligibility requirements, funding considerations, availability of funds, and, sometimes, even if you pass all of that, your project might be approved but not funded. The scores provided by the panel reviewers determine where your application scores in the funding range but the application score alone does not determine if you will be funded. The most important thing to remember is that, if you are unfunded, ANA provides you with the review and comments on your application, T/TA providers who will reach out to you and assist you in making your application stronger, and encourages you to re-submit the application. The announcements are made by ANA at various times throughout the funding cycle and ANA staff is not able to discuss those decisions until after the applicant has been officially notified by the ANA Commissioner.

ANA has a preference for funding projects that are community driven and reflect a strong relationship between planned activities and intended results, demonstrate a realistic action plan for sustainability, and promote social and economic self-sufficiency in emerging, unserved, or underserved native communities.

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

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

Availability of Funds

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

Review Comments and Scores

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

Unfunded Application Technical Assistance

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

Submitting the Application the Following Year

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

Requests for Information

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

Results of the Competitive Review Process

Why Do Panel Review?

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

The purpose of the panel review process is to ensure that each application receives an objective review. ANA describes an Objective Review as follows:

Objective Review

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

Panel of Reviewers

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

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

Analysis Score and Comments

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

Panel Working Relationships

Facilitator: Collaborative relationship in which the panel review facilitator guides and directs reviewers throughout the panel review processes, protocols, and timelines; ensuring panel reviewers work together, share information, learn from one another, and solve problems respectfully and with minimal conflict.

Reviewers: Collaborative relationship in which panel reviewers work together, share information, learn from one another, and solve problems respectfully and with minimal conflict. Reviewers read the assigned application(s) and base their analysis and comments on the FOA evaluation criteria.

Submitting the Application

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

- You need to establish a DUNS number
- Register in the SAM system
- Establish a grants.gov account or submit a waiver from electronic submission.

This chapter will provide you with additional information on the steps you need to undertake in order to successfully apply to ANA.

DUNS Number and SAM Registration

Your organization must have a Data Universal Numbering System (DUNS) Number and a current System for Award Management (SAM) registration prior to applying for federal funding.

DUNS Number

The Data Universal Numbering System (DUNS) is a nine-digit number used to identify business entities on a location-specific basis. The DUNS Number provides the government and other organizations a wealth of information about each registered business, including the business name, physical and mailing addresses, tradestyles ("doing business as"), principal names, financial, payment experiences, industry classifications (SICs and NAICS), socio-economic status, government data and more. The DUNS Number is a system copyrighted by Dun & Bradstreet (D&B).

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

It is suggested that prior to completing a new registration you do a search to ensure your organization is not already registered. To complete a search, go to <https://www.bpn.gov/CCRSearch/Search.aspx> and enter the DUNS number or business name and other search parameters. Select search for "active vendors" first as this will assist you in determining if your organization has the required active status to apply. If your business does not appear in the search results, search for "active and inactive vendors" to see if your business has been registered before and the registration needs to be renewed and revalidated.

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

- Legal Name
- Headquarters name and address for your organization,
- Doing business as (DBA) or other name by which your organization is commonly known or recognized
- Physical Address, City, State and Zip Code
- Mailing Address (is separate from Headquarters and/or physical address)
- Telephone Number
- Contact Name and Title.

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

SAM

The System for Award Management (SAM) is a free website that consolidates the federal procurement systems and the Catalog of Federal Domestic Assistance (CFDA). You must register with SAM in order to apply for federal funding (including ANA).

If you previously registered for CCR, you are automatically registered with SAM. You will still need to create an account in SAM even if you had a CCR account.

In order to create an account with SAM:

- Go to <https://sam.gov>
- Click on Create an Account
- Choose Individual or System account
- Provide the requested information and submit
- Receive the email from “notifications” and click through the sam.gov link to validate your account
- Log in at <https://sam.gov> with the username and password you created.

In order to register with SAM:

- Access the SAM online registration at <https://sam.gov>
- Create an Individual user account (the System Account is for an IT System to communicate with the SAM IT System)

- Click on “Register New Entity” from the left side navigation page. You must have a DUNS number in order to begin the registration process.
- Complete and submit the online registration. The SAM user guide can assist you in completing the registration and answering questions you may have https://sam.gov/sam/transcript/SAM_User_Guide_v_1.8.pdf
- The registration process will take approximately 30 minutes depending upon the size and complexity of your entity.
- The SAM help tab has Frequently Asked Questions (FAQs), Quick User Guides and Videos that you may find useful as well.

Submitting a Paper Application

If you are considering a paper format application submission, a waiver is required.

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

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

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

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

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

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

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

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

- Funding Opportunity Announcement Title
- Funding Opportunity Number (FON)
- The listed Catalog of Federal Domestic Assistance (CFDA) number
- Name of Applicant Organization and DUNS Number
- Authorized Organization Representative (AOR) name and contact information
- Name and contact information of person to be contacted on matters involving the application
- The reason the applicant is requesting an exemption from electronic application submission. The reason must be either the lack of Internet access or connection, or lack of computer capacity that prevents uploading large documents (files) to the Internet.

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

Submitting an Electronic Application

Once you have completed the previous two registration steps (DUNS and SAM) you are ready to register with Grants.gov at http://grants.gov/applicants/get_registered.jsp. This registration process can be as short as five business days or as long as four weeks, so it is important to register early.

It may be necessary for Grants.gov to mail certain security information to your organization; if you live in a remote area where mail is slow to reach you or experiences delays, this process can take longer than the four weeks. The information you entered in the SAM registration is electronically transferred from SAM to Grants.gov and individuals within the organization are now able to register with Grants.gov. You must register with SAM prior to registering in Grants.gov.

There are two types of registrations possible in Grants.gov: one for individuals and one for organizations. We will focus on the one for organizations which applies to a company, state, local, or tribal government, academia or research institution, not-for-profit or any other institution. Checklists and tutorials for further detailed assistance can be found on the Grants.gov website at http://grants.gov/applicants/app_help_reso.jsp.

Once all of the registrations are completed you will be ready to get the application package from the Grants.gov website, download it to your computer, save it, fill it out and attach your files, and submit the application packet. We will take you through the steps for this. You may also want to view a quick tutorial of these actions, which can be found on the Grants.gov website under Applicant Resources at <http://grants.gov/assets/CompletingaGrants.govApplication.html>.

Find and Fill-out The Application Package

You will need to locate the application package on Grants.gov. To do this, go to the homepage at <http://www.grants.gov/> and select **Find Grant Opportunities** from the navigation on the left side of any Grants.gov screen. From this page conduct a **Basic Search**, this is the simplest way to locate the application package.

Use the CFDA Number located in the Funding Opportunity Announcement (FOA) to search for the application package. This information is generally located on the first page after the Table of Contents near the top of the page.

From the Grants.gov homepage select Apply for Grants, located on the left side of the page. When you arrive at the Apply for Grants page look under Step 1 for the [Click here](#) link that will allow you to verify you have a compatible version of Adobe Reader or Adobe Professional to work with the application package. If you do not have the correct version of Adobe Reader go to <http://get.adobe.com/reader/> and install a FREE Adobe Reader to work with your application package. Be aware that sometimes there is other software selected to load with the Adobe Reader, if you do not want this you must deselect it.

***Please note: If you do not complete this step, then your application could receive errors that may cause it to be rejected by Grants.gov. This can include errors from free PDF software. While a list of software to create PDFs is available, Grants.gov does not endorse any of them. Also, if more than one person is working on the same application EVERYONE must be using the same software version.*

Download a Grant Application Package

On this screen you will enter the CDFA number found earlier in the FOA. Once the CDFA number is entered click the Download Application button. This will take you to the **SELECTED GRANT APPLICATIONS FOR DOWNLOAD** page.

DOWNLOAD APPLICATION PACKAGE

Note: You will need to download and install [Adobe Reader](#) prior to downloading an Application Package.

To download an application package, enter the appropriate CDFA Number OR Funding Opportunity Number and click the "Download Package" button.

CDFA Number: (##.###) ←

Funding Opportunity Number: (Can contain only letters, numbers and dashes)

Funding Opportunity Competition ID: (Can contain only letters, numbers and dashes)

If you do not remember the Funding Opportunity Number for the grant opportunity, return to the [Find Grant Opportunities](#) section to locate the grant opportunity and then return to this screen to enter the number.

Depending on the CDFA Number there may be more than one application available to download. Be sure you download the correct application package to avoid receiving errors and possible application rejection.

Save the application package to your computer. When you do this you will not need to be online to complete the application. You will be able to complete the application on your computer. Once you have saved the application open it to ensure it is the application you intended to download. Applications can be completed in their entirety offline; however, to submit an application you will need to be connected to the Internet.

While you are working on your application you can save at any time by selecting the **Save** button at the top of your screen. You can then close the application and come back to it later. The **Save & Submit** button at the top of the screen will not be functional until the application is properly completed and saved. If you have any application specific questions, contact the funding agency directly, using the contact information provided on the application's cover page.

As you begin to complete the application there are some **important items** to mention:

- Highlighted fields in grey (and change to yellow when you click on them) are mandatory and must be filled in.

Error messages will pop-up if a mandatory field is not filled in.

- If a mandatory field is not filled in, then you will be unable to submit the application.
- Make sure that your Organizational DUNS in #5 is the same as the DUNS associated with your User Name.
- Changes are NOT automatically saved - you MUST hit the **Save** button before closing the application while you are working on it.
- Remember to save often to avoid losing your work.

File Naming Conventions

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

Avoid using native language to label files as this could cause a validation error impacting the application submission. Native language diacritical markings may not be read by the system and could cause an error. Failure to use the standard naming conventions will cause a validation error during the application submission process which could potentially eliminate your application from consideration in the competition if the error isn't corrected prior to the application deadline.

Only the following special characters may be used in the file names. Use of any other special characters will cause the application to fail the Grants.gov's validation process:

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

*** Ampersand in XML must use the & format**

The application home or cover page has many components:

- Information on the funding opportunity
- Closing date
- Agency contact information
- Forms to be filled out
- Application Filing Name (this is a required field that you must fill in)

Documents

Open and complete all of the documents listed in **Mandatory Documents** list and if necessary in the **Optional Documents** list. The documents listed in the Mandatory Documents list and Optional Documents list may be predefined forms, such as SF-424, or documents that need to be attached, such as the Project Narrative. **Mandatory Documents** are required for this application. **Optional Document** is only required if lobbying has occurred.

Opportunity Title:	Social and Economic Development Strategies -SEDS
Offering Agency:	Administration for Children and Families - ANA
CFDA Number:	93.612
CFDA Description:	Native American Programs
Opportunity Number:	HHS-2014-ACF-ANA-NA-0776
Competition ID:	HHS-2014-ACF-ANA-NA-0776
Opportunity Open Date:	02/11/2014
Opportunity Close Date:	04/15/2014
Agency Contact:	null

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

Application Filing Name:

Select Forms to Complete

Mandatory

[Application for Federal Assistance \(SF-424\)](#)

[Grants.gov Lobbying Form](#)

[Other Attachments Form](#)

[Budget Narrative Attachment Form](#)

[Objective Work Plan](#)

[Budget Information for Non-Construction Programs \(SF-424A\)](#)

[Assurances for Non-Construction Programs \(SF-424B\)](#)

[Project/Performance Site Location\(s\)](#)

[Project Narrative Attachment Form](#)

Optional

[Disclosure of Lobbying Activities \(SF-LLL\)](#)

Instructions

To open a form, use your mouse to select the item, it will take you to the top of the form. Fill in the requested information. Save your application regularly so that you don't lose your work. The application can be saved by clicking the Save button at the top of the page then using the form link to return to the page you were working on. You can also use the Ctrl + S keyboard combination to save the application while working on the application.

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

1. SF-424 Application for Federal Assistance
2. Grants.gov Lobbying Form
3. Other Attachment Form
4. Budget Narrative Attachment Form
5. Objective Work Plan
6. SF-424A BUDGET INFORMATION - Non-Construction Programs
7. SF-424B ASSURANCES - NON-CONSTRUCTION PROGRAMS
8. Project/Performance Site Location(s)
9. Project Narrative Attachment Form
10. DISCLOSURE OF LOBBYING ACTIVITIES

When you open a Mandatory Form, the fields which must be completed are noted by an asterisk and are highlighted (in gray or yellow) with a red border. Optional fields and completed fields are displayed in white. If you enter invalid or incomplete information in a field, you will receive an error message.

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

Forms, such as SF-424, which are predefined, will require you to enter information into the highlighted fields. ***Please Note: When you complete the SF-424 first, it will automatically populate the other forms with similar fields with the information you entered.*

For each of the mandatory forms, we will cover those items on the form that are not intuitive when filling them out. For detailed assistance we suggest you download the instructions for the forms at http://www.grants.gov/agencies/forms_instruction_information.jsp, look in the instructions you downloaded with the application package, contact your ANA Regional ANA T/TA Center or contact the ANA Help Desk.

SF 424

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

SF 424A

There are several sections of this form that applicants have found a bit confusing so the 424a is thoroughly covered in this manual, however, we suggest you download the instructions for details of each section. ***Please Note: In this form some of the fields will pre-populate similar areas and some do not, take care to be sure each section is filled out clearly.*

In SECTION A – **BUDGET SUMMARY** it is worth mentioning that this section will be filled out only using the budget for year one. Most applicants will only need to fill out Line 1. Under the Grant Program Function or Activity (a) you will type in the grant program under which you are applying under, for example *SEDS Tribal Governance*. Under the Catalog of Federal Domestic Assistance (b) you will type the CDFA number you found in the FOA to search for and download the application package. If this is a new application you will leave Columns C and D blank. Under the New or Revised Budget heading **Federal (e)** you will enter the amount of federal funding being requested for year one, and for Non-Federal (f) you will enter the 20% of the Total Project Cost match required by the FOA .

In SECTION B – **BUDGET CATEGORIES**, #6 Object Class Categories, column 1 you will complete this column entering the total amount of the Federal and Non-Federal funding for budget year one for each of the categories listed.

ACF prefers that this section be filled out using the following directions:

In column 1 enter the Federal amounts for each of the categories listed for the first budget year which should total the amount entered in 1(e) above. In column 2 enter the Non-Federal amounts for budget year one for each of the categories listed which should total the amount indicated in 1(f) above.

In SECTION C – **NON-FEDERAL RESOURCES**, most applicants need only fill out line 8 columns (b) Applicant and (d) Other Sources. The Applicant column is where you, the applicant, will list your match contribution. Remember that if you have in-kind sources included here you will need to briefly explain them on a separate sheet. The Other Sources column is where you list match (cash or in-kind) that you are receiving from others. Most applicants are not a State and will not use column (c).

In SECTION D – **FORECASTED CASH NEEDS**, this is the first year budget broken down by quarters for both the Federal and Non-Federal share. Here you will estimate how you will spend out the first year budget each quarter.

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

Submitting Specific Required and Additional Documents

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

ANA has received a special exemption from the two file limitation. This exemption applies to ANA only and not to other ACF or other agency programs. Although ANA has this exemption, they strongly encourage applicants to follow the file guidelines described below, as it is the only way to assure that information is presented in the order the agency expects to see it in.

Follow the steps below to submit the file attachments in the application package. Each of these file attachments, **The Project Narrative Attachment**, **Budget Narrative Attachment Form** and the **Other Attachment Form** will contain a single file made up of several of your documents and spreadsheets. Standard Forms will not be considered as additional files, this includes the Objective Work Plan (OWP) and Project Abstract. The main point to keep in mind is that you will have numerous documents that will make up each of these three attachments.

The first of the file attachments is **The Project Narrative Attachment Form**. This form is a placeholder for you to attach a single file from your computer that is made up of multiple documents: Project Abstract (if not included as a form in the application package), Table of Contents, Project Narrative and OWP form. Under the Budget Narrative Attachment Form attach the Budget and Budget Narrative. If you are using Adobe Reader you will not be able to apply page numbers to the application file. Please number your pages when you create your

documents prior to making a PDF of your multiple documents. *Recall, the narrative must be in Times New Roman, 12 point font, and double spaced. Each of these documents count toward the overall 150 page limit (except the OWP and project abstract forms).* It is imperative that you adhere to the page limit and formatting as all excess pages will be removed.

Project Narrative File(s)

* Mandatory Project Narrative File Filename:

To add more Project Narrative File attachments, please use the attachment buttons below.

To attach your combined files, type the file name into the yellow highlighted field next to “Mandatory Project Narrative File Filename,” then select the **Add Mandatory Project Narrative File** button. This will allow you to search your computer for the new single file you created of the multiple documents. Select the file and click the **Open** button. You will see the name of your file in the highlighted field. You will then see the file name appear in the blue **Form Attachments** box. When you are finished click the **Done** button. When you have completed the

Budget Narrative File(s)

* Mandatory Budget Narrative Filename:

To add more Budget Narrative attachments, please use the attachment buttons below.

actions for this form, scroll down to the next form page. **Do NOT use the Add Optional Project Narrative File button.**

The second file attachment form is the **Budget Narrative Attachment Form**. Like the Project Narrative form, this is a placeholder to provide a place for you to attach a single file from your computer made up of multiple documents. This single file is attached in the same manner as Project Narrative Attachment Form. The same is true for the last of the file attachment forms, **Other Attachment Form**.

The **Other Attachments Form** includes the governing body documentation (Tribal Resolution) and optional documents not included elsewhere in the application package, such as resumes, community meeting minutes, and survey results. To help keep documents in a logical order, it is suggested that you combine your multiple documents in the order you believe the material is best understood. When you have finished combining the documents, you can save this as a new single file and then attach this newly created single file to the application package.

Other Attachment File(s)

* Mandatory Other Attachment Filename:

To add more "Other Attachment" attachments, please use the attachment buttons below.

Lastly, we will cover the new **Objective Work Plan (OWP) Form**. The OWP is now an electronic form in the application packet. The OWP form is not counted in the page limit as it is a mandatory OMB approved form. Remember, when filling in this form you are limited to only three Objectives for each project as a whole, and the OWP must be completed for each budget period (up to five years). Because this is an electronic form it requires specific dates for the activities, such as 02/15/2015; it is suggested you try to be as accurate as possible with the beginning and ending dates for the activities.

Using the Grants.gov OWP form can be challenging. It is a required form so at least one page must be submitted otherwise it will fail the submission error test and not be submitted. It is recommended that you fill out the one page in the Grants.gov OWP form so that the mandatory fields are filled out. Use the Word version form to provide the entire OWP in the application. Attach the Word form under Other Attachment Forms - Mandatory Other Attachment. Contact your regional TTA Center for a copy of the form.

For a complete **Application Checklist** of the required documents and forms be sure to consult the current FOA. The checklist is often found at the end of the announcement. If you have submitted to a funding agency before, then be sure to download the newest funding announcement as many agencies make changes from year to year. Because changes to the funding announcements can occur even after the funding announcement has been released it is always a good practice prior to submitting your application to check Grants.gov for any modifications that have been made.

Printing Your Application

To print your application, select the **Print** button on the cover page at the top of your screen. It is recommended that you review a printed copy of your entire application before submission to make sure you have uploaded the correct version of mandatory and other attachments.

On occasion you may have issues printing the uploaded attachments. If this happens you will need to print the attachments separately from the preloaded forms contained in the application package.

Finalizing Your Application

Once you have completed all required documents and attached any required or optional documentation, select **Save** to save your package. If errors are found, select the **Check Package for Errors** button which will identify each error. Then correct each error.

If there are no errors, when you save the package the **Save & Submit** button will be activated.

Select the **Check Package for Errors** button at any time to ensure that you have completed all required data fields.

The **Save & Submit** button will become active after all errors have been resolved and the package has been saved. Select the **Save & Submit** button and save the application again. You are required to save the application at this point to begin the application submission process.

Make sure you are connected to the Internet when ready to submit. Once you have saved the application using the **Save & Submit** button, a dialog box will appear and you will need to enter your Grants.gov username and password. Follow all on-screen instructions for submission.

TO SUBMIT YOU MUST BE REGISTERED

After clicking the **Save & Submit** button you will be prompted to log in to Grants.gov with your Grants.gov username and password. It is also recommended you submit your application package *as early as possible* in the event you experience any issues.

****Please Note:** If you are not designated as an Authorized Organization Representative (AOR) and attempt to submit, you will receive the following system prompt: *“Your application cannot be submitted because you are not designated by your organization as an Authorized Organization Representative (AOR). Please contact your eBiz Point of Contact to get the AOR role assigned to you and then resubmit the application.”*

If you think you have received the prompt in error, contact the Grants.gov Contact Center via the self-help iPortal (<http://grants.gov/iportal>) or by dialing 1-800-518-4726 for help verifying your AOR status.

SIGN AND SUBMIT

The final step is to click on Sign and Submit. By doing so you are authenticating your application submission.

Confirmation for Completing and Submitting an Application

After submitting your package you will receive a confirmation screen. This screen will contain a Grants.gov tracking number which can be used to track the status of your application on Grants.gov. Write the confirmation number down. The Tracking Number is the identifier for your specific application and should be utilized if you need to contact the Grants.gov Contact Center or the receiving agency. The confirmation page has a URL you can click to check the status of your application in the Grants.gov system.

- The receipt confirmation screen contains a date and time stamp of the application submission as well as the submitter’s name and DUNS #
- Keep this information for your records

To see the complete status of all submitted packages, you must login. This does not provide any status on the award. Grants.gov does not maintain award data nor are they involved in the award process. ANA will notify you regarding your application.

***Please Note: You can utilize the new Track My Application functionality to view the status of up to five applications*

After Application Submission you will be contacted via email *at least three times* for each step in the submission process, which is generally 24 to 48 hours after submission (this timeframe may differ so check often).

- **Receipt Email** – this email confirms receipt of the application package by the Grants.gov system, and gives a URL and tracking number that can be used to find out the status of a submission without login.
- **Validation Email** – this email confirms validation of the technical components of the application package components by the Grants.gov system.
 - a. The validation does a virus scan and checks to ensure the DUNS # you entered in the application package is the exact same DUNS you utilized for your registration
 - b. If your package has errors you will receive an email: “rejection due to errors”
 - c. If you receive this you should contact the Grants.gov Contact Center for assistance and to create a customer service record of your issue
 - d. If you miss the deadline Grants.gov cannot assist you
 - e. Contact the Agency Point of Contact listed on the opportunity to tell them why you missed the deadline
 - f. It is at the Agency’s discretion on whether to accept the application after the deadline
- **Agency Retrieval Email** - Once the Agency (ANA) retrieves your application package you will receive an e-mail stating so.

All official submittal/error emails are sent to the Authorized Organization Representative. Please assure that the Authorized Organization Representative sends you all grants.gov emails they may receive the day of submission of your application.

You can track your application by visiting the **Track My Application** page and entering the tracking number of up to five specific submissions or login to Grants.gov to view the status of all your submissions. The Grants.gov tracking number assigned to your submission can be found in several locations:

- Submission Confirmation Screen
- Validation
- Submission Receipt
- Agency Retrieval Email (received within 24 to 48 hours after submission)

It is important to track your submittals so that you know where your application is in the process and to be watching for emails about your application. Emails may have questions regarding errors or other items. If you do not respond timely to questions regarding your application it may be rejected.

Grants.gov Contact Center

- Support available 24/7
- Email: support@grants.gov
- Toll-Free Phone Number: **1-800-518-4726**
- Self-help iPortal: (<http://grants.gov/iportal>)

Additional Resources

- http://grants.gov/applicants/app_help_reso.jsp
- Animated Tutorials
- Brochures (Overview/Registration)
- FAQs - http://at07web.grants.gov/applicants/applicant_faqs.jsp
- User Guides

Conclusion

ANA's mission is to help create healthy and economically self-sufficient communities that preserve and maintain their native languages and control their environments. While ANA funding is competitive, ANA offers a variety of training and technical assistance to help your community achieve its goals.

Project Planning and Development training and technical assistance provide community members with skills to plan successful community development projects. ANA Training and Technical Assistance Providers will teach you how to:

- work with community and key partners to identify and document specific problems that are standing in the way of meeting community goals
- create a project work plan to address those problems and attain the community goals
- develop measurable outcomes
- determine the level of resources and funding needed to implement the project.

Once you have identified a project that will help you address the problems, ANA Training and Technical Assistance Providers can help you develop an application for ANA funding consideration. This training and manual is the first step in helping you communicate your project idea to a funding agency. After you have written at least 75% of your application, the ANA Training and Technical Assistance Providers are available to review the application and provide guidance and recommendations prior to submitting the application. You can find contact information for the regional training and technical assistance centers on the ANA website at: <http://acf.hhs.gov/ana>.

Thank you for your interest in ANA. ANA wants to support successful community projects. Please take the time to think about your community goals and how community development projects can help reach those goals.

Appendix A: Sample Narrative for Need for Assistance

NEED FOR ASSISTANCE

Problem Statement:

The problem that this project addresses is our community's high unemployment rate. It is clear that our community members are suffering economically as a result of unemployment and we believe that many of the other problems that our community members experience (poverty, broken and single parent families, overcrowded and substandard housing, drug and alcohol abuse, domestic violence) are caused by unemployment.

Information that Supports the Problem Statement:

The Plains Indian Center conducted a comprehensive survey to determine problems impacting community members in 2013. We received 573 returns on the survey. (See Community Survey and Planning-Attachment A) According to the results of that survey, the current unemployment rate in our community is 53%. The survey also documented a household poverty rate of 41% in our community. The problem of unemployment is a long-standing condition in the Plains Native community.

The 1268 community members who participated in a 2011 survey (See Community Survey and Planning-Attachment A) that resulted in our Plains Indian Community Comprehensive Plan identified the following problems as priorities in our community:

1. Poverty;
2. Unemployment;
3. Broken and single parent families;
4. Overcrowded and substandard housing.

Chronic problems in the Plains Indian community documented by Plains Indian Center program offices include high unemployment, poverty, minimal employment opportunities because businesses have not located on the community, drug and alcohol abuse, domestic violence and high crime rates. Nearly 40% of our youth drop out of school, often in the transition to or during high school. One out of 20 Plains Indian Community teenagers will attempt suicide. Our teen pregnancy rate is 23%.

Of the 259 households with children in the community, 185 are single parent families. Nearly all of these families have incomes at or below the poverty level.

Challenges: The Plains Indian Center has limited ability to deal with these chronic community problems. Our organizational capacity is not large or comprehensive enough to finance and operate programs that would reduce or eliminate these problems. Plains Indian Center's ability to create any initiatives that secure employment for community members, increase household incomes and help stabilize our communities also is limited. Consequently we are focusing this application on building our capacity to effectively address the problem of unemployment that impacts our community and creates a high degree of instability in our community.

Community to be Served: The project beneficiaries are unemployed members of the Plains Indian community. The Plains Indian Center is located in Plains, Kansas. The Center is located on the north side of town and is the location where the project will be implemented. Two thirds of the Native community lives on the north side of town while the rest are scattered throughout the city. The facility is owned wholly by the Center and is close to the city bus lines and the native population for easy access. Plains Kansas has a population of approximately 30,000 people with over 3,500 or 13% of those consisting of American Indians from various tribes within the state. There is however, a significant number (15%) of transient Indian people who move back and forth between their reservation and Plains.

Appendix B – OMB Cost Principles – Selected Items of Cost (prior to December 26, 2014 2 CFR 200 changes)

Cost Category	A-87 State, Local and Tribal Governments	A-122 Nonprofit Organization	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Accounting	X			X		
Advertising – Read Allowability	X	X	X			
Advisory Council	X			X		
Alcoholic Beverages	X	X	X			X
Alumni Activities			X			X
Audit Services	X			X		
Automatic data processing	X				X	
Bad Debts	X	X	X			X
Bid and proposal costs (reserved)		X				
Bonding Costs	X	X		X		
Budgeting	X			X		
Building lease and management	X			X		
Civil Defense costs – Read Allowability			X			
Commencement and Convocation costs – Read Allowability			X			

Cost Category	A-87 State, Local and Tribal Governments	A-122 Nonprofit Organizations	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Communication costs	X	X	X	X		
Compensation for personal services	X	X	X	X		
Contingency provisions	X	X	X			X
Contributions	X	X				X
Deans of Faculty/Graduate Schools			X	x		
Defense and Prosecution Read Allowability	X	X	X			
Depreciation of use allowance	X	X	X	X		
Disbursing services	X			X		
Donations		X	X			X
Employee morale, health and welfare costs and credits	X	X	X	X		
Entertainment costs	X	X	X			X
Equipment and other capital expenditures	X	X	X		X	
Executive Lobbying costs			X			X

Cost Category	A-87 State, Local and Tribal Governments	A-122 Nonprofit Organization	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Fines and penalties	X	X	X			
Fringe benefits	X	X	X	X		
General government expenses	X					X
Goods/services for personal use		X	X			X
Housing and personal living expenses		X	X			X
Lobbying	X	X	X			X
Idle facilities and idle capacity	X	X			X	
Independent research and development (reserved)		X				
Insurance and indemnification	X	X	X	X		
Interest, fund-raising, and investment management costs – read the regulations	X	X	X			X
Labor relations costs		X	X	X		
Legal expenses	X	X		X		
Losses on other awards	X	X	X			X

Cost Category	A-87 State, Local and Tribal Governments	A-122 Nonprofit Organization	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Maintenance and repair costs	X	X	X	X		
Materials and supplies	X	X	X	X		
Meetings, conferences	X	X		X		
Memberships, subscriptions and professional activity costs	X	X	X	X		
Motor pools	X			X		
Organization costs		X			X	
Overtime, extra pay, shift and multi-shift premiums	X	X		A-87	A-122	
Page charges in professional journals		X		X		
Participant support costs		X			X	
Patent costs		X	X	X		
Payroll preparation	X			X		
Pension plans	X	X		X		
Personnel administration	X			X		
Plant security costs		X		X		

Cost Category	A-87 State, Local and Tribal Governments	A-122 Nonprofit Organization	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Preagreement costs			X			X
Pre-award costs	X	X			X	
Professional costs	X	X	X	X		
Profit and losses on disposition of depreciable property or other capital assets	X	X	X	X		
Proposal costs	X		X		X	
Publication and printing costs	X	X		A-87	A-122	
Rearrangement and alteration costs	X	X	X		X	
Reconversion costs	X	X		X		
Recruiting costs – Read Allowability		X	X			
Relocation costs – subject to limitations		X		X		
Rental costs	X	X	X	X		
Royalties and other costs for use of patents and copyrights		X		X		

Cost Category	A-87 State, Local and Tribal Governments	A-122 Nonprofit Organization	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Scholarships and Student Aid costs			X	X		
Selling and Marketing			X			X
Severance pay	X	X	X	X		
Specialized service facilities		X	X	X		
Student Activity costs			X			X
Taxes	X	X	X	X		
Termination costs		X	X	X		
Training and education costs	X	X		X		
Transportation costs	X	X		X		
Travel costs	X	X	X	X		
Trustee Travel and Subsistence		X		X		
Under recovery	X					X



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