



**Pre-Application
Training Manual:
The Application Process**



**Administration for Native Americans
Administration for Children and Families
U.S. Department of Health and Human Services**

ANA Pre-Application Workshop
9:00 am-5:00 pm

Agenda

DAY ONE

Welcome

- Introduction – ACKCO Staff, Participants
- Overview of ANA
- ANA Funding Cycle
- What is the Funding Opportunity Announcement?

Break

Should I Apply for ANA Funding?

- Funding Opportunity Description
- Award Information
- Eligibility Information

Writing the Application

- Introduction of the Example Application
- Application and Submission Information
 - Content and Form of Application Submission
 - Project Abstract

Lunch

Writing the Application (continued)

- Project Narrative
 - Objectives and Need for Assistance
 - Outcomes Expected
 - Approach
- Objective Work Plans

Break

- Budget and Budget Justification
- Application Submission
- Projects and Costs not Funded by ANA
- Homework: Read and Score Example Application

End of Day

**ANA Pre-Application Workshop
9:00 am-5:00 pm**

Agenda

DAY TWO

Evaluation of the Application

- Application Review Information
 - Objectives and Need for Assistance
 - Outcomes Expected
 - Impact Indicators
 - Project Approach
 - Project Strategy
 - Sustainability
 - OWP

Break

- Budget and Budget Justification

Lunch

Scoring of the Example Application

Break

Final Steps

- Award Administration Information
- Agency Contacts
- Other Information
 - Checklist
- Appendices
- Closing/Evaluations

End of Workshop

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ABOUT ANA PRE-APPLICATION TRAINING: The Application Process

Welcome to ANA's Pre-Application Training on the application process!

This training is designed to provide you, the potential ANA applicant, with “nuts and bolts” information on how to apply for an ANA grant.

The learning objectives of this training are to:

- Become familiar with the Federal application process;
- Become familiar with the ANA Funding Opportunity Announcements (FOA) for the three ANA program areas;
- Understand the ANA FOA evaluation criteria and how to present your community/organization's project within the FOA guidelines;
- Learn how to format, package, structure, and submit an application for funding consideration; and
- Learn how to register and apply for ANA funding on Grants.gov.

Participants at Pre-Application Trainings should have a developed project idea including a defined goal and objectives. This training includes many activities that call for you to structure your community or organization's project idea into a strong application. The activities associated with this training are focused on becoming familiar with the text in each FOA and obtaining a clear understanding of what ANA is looking for in an application.

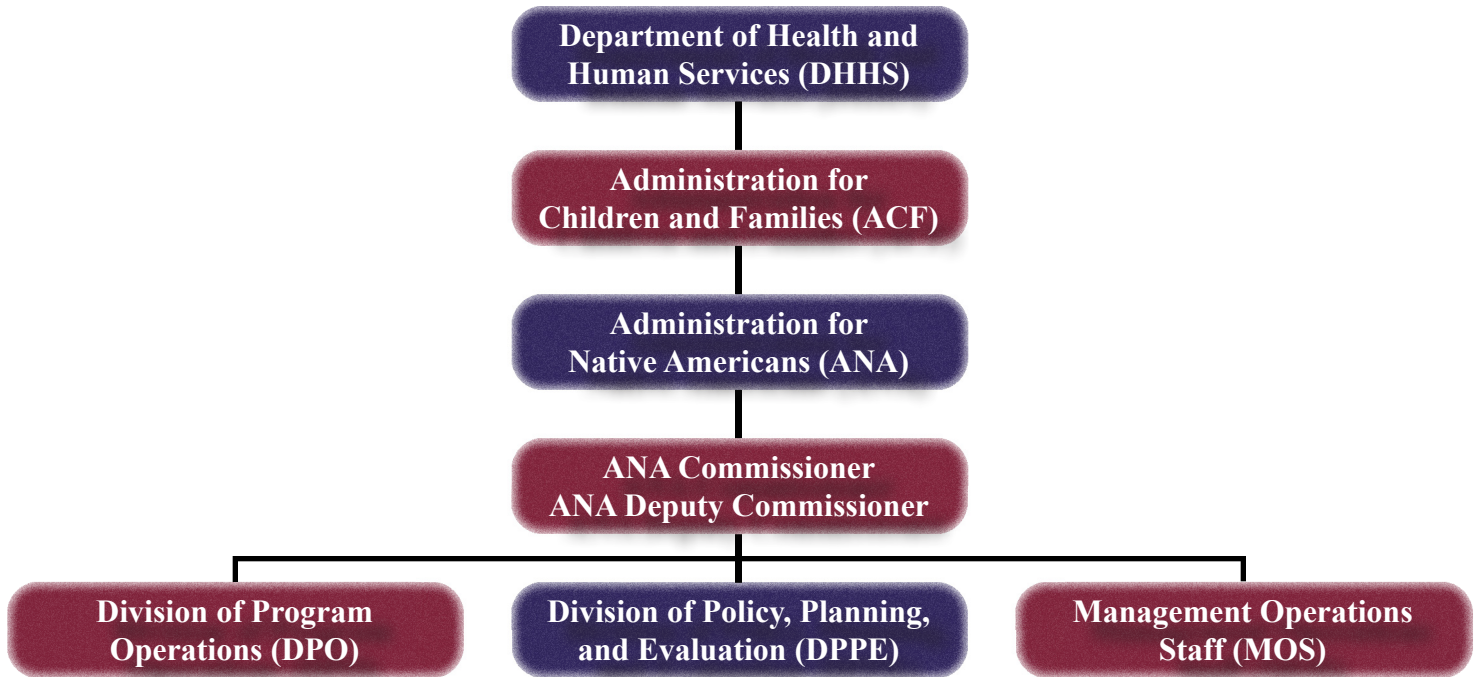
In some of the activities we ask you to review the sample application. We provide a sample application so the group can discuss the merits and faults of the application together. We encourage you to do the same activities with your own application after the training as well.

Thank you for your participation, and good luck!

CHAPTER 1: INTRODUCTION

Overview of the Administration for Native Americans

The overall governmental structure in which ANA is located is designed as follows:



Administration for Native Americans (ANA)

Housed under the Administration for Children and Families, the Administration for Native Americans (ANA) has its roots in a collection of ideals that officially were brought together in January 1964 when President Lyndon B. Johnson declared the “War on Poverty.” In his call to action, President Johnson asked communities to prepare “long-range plans for the attack on poverty.” Eight months later, the Economic Opportunity Act was signed into law, and shortly thereafter the Office of Economic Opportunity (OEO) began awarding grants. Early in the 1970s, the Office of Economic Opportunity was terminated. However, in 1974, many of its “War on Poverty” concepts became the foundation for ANA. This new agency also embraced the goal of Indian self-determination, which was endorsed by President Johnson in 1968 and later by President Richard Nixon.

The Administration for Native Americans was established in 1974 through the Native American Programs Act (NAPA). ANA serves all Native Americans, over 550 Federally recognized tribes, American Indian and Alaska Native organizations, Native Hawaiian organizations and native populations throughout the Pacific basin (including American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands).

Mission of the Administration for Native Americans (ANA)

ANA promotes the goal of self-sufficiency for Native Americans by providing funding for community-based projects, training, and technical assistance to eligible tribes and native organizations. Those tribes and organizations represent nearly 4.3 million individuals. To achieve this mission, funding is provided on a competitive basis through discretionary grants.

ANA Goals

The major goals of ANA are to:

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

Philosophy of the Administration for Native Americans

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

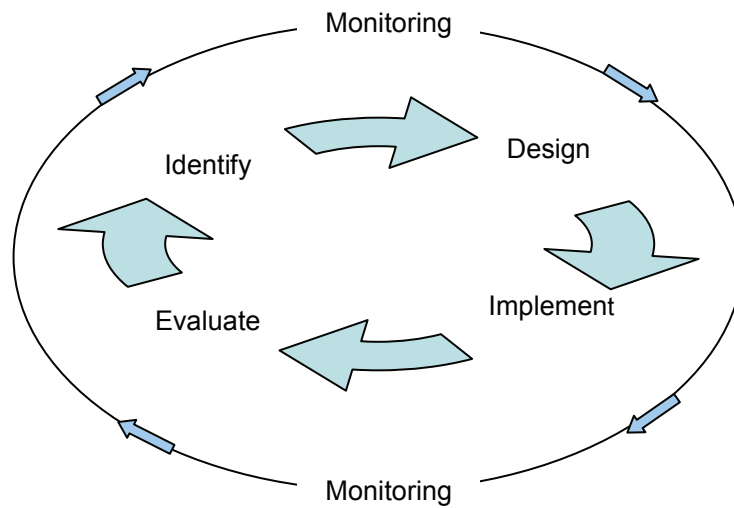
1. ANA believes a native community is self-sufficient when it can generate and control the resources necessary to meet its social and economic goals and the needs of its members.
2. ANA believes the responsibility for achieving self-sufficiency resides with the native governing bodies and local leadership.
3. ANA believes progress toward self-sufficiency is based on efforts to plan and direct resources in a comprehensive manner consistent with long-range goals.

ANA Funding Cycle

The process of planning and managing projects follows a logical, continuous cycle where each phase of the project leads to the next. First, it is important to understand the difference between a project and a grant:

- A project is a set of objectives and corresponding activities with specific, measurable results and measurable benefits designed to address a goal defined by the community.
- A grant is an 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 makes that idea a reality. ANA Pre-Application Training is designed to assist applicants in the final steps of the design stage – to develop your project into a grant application.



Every year, ANA funds projects based on the availability of Federal funds. Applications are generally due in the spring. Approximately one month after the FOA closing date, individuals from ANA’s target populations and experts in community development who possess experience and qualifications in the ANA program areas meet to read, comment, and score the project applications. ANA then reviews the highest scoring applications for funding consideration, and the final award decision rests with the ANA Commissioner.

Language applications and projects follow a different timeline than ANA’s other program areas. In order to accommodate school schedules, language applications are due about a month before ANA’s other program area applications and projects are scheduled to start in early August.

ANA Funding Cycle Timetable

What	When (Language)	When (SEDS, ERE)
Applications Due	March	April
Applications reviewed by non-Federal reviewers	April	May
High scoring applications reviewed by ANA	May-July	June-August
Award decisions announced	July	August-September
New ANA grants begin	August 1	September 30

In order to effectively design the grant application, applicants must understand the ANA program areas and carefully read the ANA FOA.

What is the Funding Opportunity Announcement?

The funding opportunity announcement (FOA) is the announcement to the public of the availability of Federal funds for ANA program areas. The FOAs were previously referred to as Program Announcements. ANA issues individual FOAs in three program areas.

SEDS Program, CFDA Number 93.612

- Social and Economic Development Strategies FOA
- Social and Economic Development Strategies-Tribal Governance FOA

Native Language Program, CFDA Number 93.587

- Native Language Preservation and Maintenance FOA
- Native Language Preservation and Maintenance Esther Martinez Initiative FOA

Environmental Regulatory Enhancement Program, CFDA Number 93.581

- Environmental Regulatory Enhancement FOA

This pre-application manual is designed to follow the format of the FOA, which contains eight sections. These sections are best understood by grouping them into four categories:

1) Should I Apply for ANA Funding?

This category contains the first three FOA sections. Together, these sections contain information that allows you to determine if your tribe or organization is eligible for an ANA grant and if and where your project idea fits within ANA's programs. You should read these sections first to see if ANA funding is appropriate for your project.

2) Writing and Submitting the Application

This category contains Section IV of the FOA. Once you have determined that your project is a good match for ANA funding, read this section for guidance on how to design and submit your application.

3) Evaluating the Application

This category contains Section V of the FOA. Read this section prior to writing your application for information on how the application will be reviewed. After writing your application, review the evaluation criteria again to ensure you included all the aspects reviewers will be looking for in your application.

4) Final Steps

This category contains the three final sections of the FOA, Sections VI, VII and VIII. Review these sections after completing your application for information regarding award notification and policy requirements. The final section also includes a useful checklist for all required pieces of the application including the standardized forms.

Chapter 2

CHAPTER 2: SHOULD I APPLY FOR ANA FUNDING?

FOA Sections I – III

Sections I – III contain the Funding Opportunity Description, Award Information, and Eligibility Information. Review these sections to determine if your tribe or organization is eligible for an ANA grant and if your project idea fits within an ANA program.

Section I: Funding Opportunity Description

This section includes:

- Statutory Authority
- Administrative Policies
- Definitions
- Purpose
- Program Areas of Interest

Statutory Authority

The statutory authority provides the legal basis for ANA to provide funding to Native communities. All ANA programs fall under the Native Americans Program Act (1974), as amended. Amendments include the Esther Martinez Native American Preservation Act.

Administrative Policies

Administrative policies are set by the ANA Commissioner to further support ANA's mission and goals. For FY2011, there are three administrative policies, summarized here:

1. Grantees may have only one active grant per program area at one time.
2. Grantees that received ANA funding for two consecutive projects within the same CFDA number may not be funded for a third time if another deserving applicant within the funding range has not received ANA funding in the last two years.
3. Grantees are required to track leveraged resources and partnerships throughout their project period.

The first two administrative policies will allow ANA to maximize its limited funding to benefit the most communities. The third administrative policy allows ANA to continue to measure two indicators for community involvement and participation in the project. Strong partnerships and leveraged resources associated with those partnerships are indicators that a project has resulted from a credible internal and external community-based planning process. Committed partnerships and a commitment of leveraged funds are often critical components in determining project sustainability.

Definitions

Included in each FOA are definitions for terms relevant to ANA. Applicants should refer to and use these definitions when reading the FOA and developing an application.

Chapter 2

Purpose and Program Areas of Interest

This section identifies the purpose of the funding area and the type of projects ANA is interested in funding. These are not comprehensive lists and funding is not restricted to the areas of interest, but should provide enough background on the funding opportunity to determine if your project idea is a good match for ANA funding.

Section II: Award Information

This section includes:

- ceiling and floor funding amounts per budget period;
- the expected number of awards; and
- the allowable project period lengths.

Applicants should pay close attention to the ceiling amounts as applications requesting funds over these amounts per budget period will **not be reviewed** for funding consideration (per Section III.3 Disqualification Factors). ANA receives more applications than available funds, making approval for funding quite competitive. The chart below details the ceiling and floor amounts, number of expected awards, and allowable project periods.

Budget and project periods as defined in the FOA (for full definitions refer to Section I of the FOA):

Budget Period: *The interval of time (usually 12 months) into which the project period is divided for budgetary and funding purposes.*

Project Period: *The total time for which Federal support has been programmatically approved as shown in the Notice of Award (for ANA this is 12, 24, 36, or 60 months).*

CFDA	93.612		93.587		93.581
FOA	SEDS	SEDS - TG	P&M	EMI	ERE
Thresholds (per 12-month budget period)	\$50,000 to \$149,999 \$150,000 to \$400,000	\$50,000 to \$375,000	\$100,000 to \$300,000	\$100,000 to \$300,000	\$100,000 to \$300,000
Allowable Project Periods	12 month 24 month 36 month	12 month 24 month 36 month	12 month 24 month 36 month	36 month	12 month 24 month 36 month
Number of NEW Projects	36	15	14	8	5



Note: *Ceiling amount applies to the Federal amount, not the total project cost.*

Chapter 2

Section III: Eligibility Information

This section includes:

- eligibility information;
- information on cost sharing or matching requirements; and
- disqualification factors.

ANA Eligibility

ANA will only review applications from eligible applicants as identified in Section III.1.

Activity 1: Eligibility

Review Section III.1 of the FOA and fill out the chart below.

Entity	Eligible for ANA funding?	Under which program(s)?
Consortia of Indian Tribes		
Tribally Controlled Community Colleges		
Non-profit Alaska Native Regional Corporations/Associations		
Faith-based Organizations		
Urban Indian Centers		
Federally Recognized Tribes		
Tribal Governing Bodies		
Non-Federally Recognized Indian Tribes, such as State Recognized Tribes		
National Native Non-profits		
Individuals		
Public Agencies in the Pacific Territories		

Chapter 2

Cost Sharing or Matching

Applicants must provide a 20 percent non-Federal contribution or share of the total approved project cost. Applicants can meet this requirement by using cash or a variety of non-Federal resources. The following definitions are intended to provide clarity on how applicants can use Federal funds and in-kind contributions toward the non-Federal share.

Federal Share: *Financial assistance provided by ANA in the amount of 80 percent of the approved costs of the project. The Commissioner may approve assistance in excess of such percentage if such action is in furtherance of the purposes of the Native American Programs Act (NAPA).*

Non-Federal Share: *The total dollar value of all non-ANA funded project costs. These include in-kind and cash contributions given to the project, but do not include other Federal funds unless those Federal funds have been identified by the NAPA legislation, specifically under Section 803C(e)(1)(B)(ii), as being available for use as non-Federal funds. An applicant/grantee is required to provide at least 20 percent non-Federal share (NFS) match of the approved project costs.*

Table of Acceptable Cost Share Sources by FOA

FOA	Description of Acceptable Cost Share Sources
SEDS	The required applicant match may be met by the grant recipient in cash or through the provision of property or services that are not Federally funded.
SEDS-TG	
ERE	The required applicant match may be met by the grant recipient in cash or through the provision of property or services, but only to the extent that such cash or property is from any source (including Federal agency) other than a program, contract, or grant authorized under NAPA as amended.
Native Language	The required applicant match may be from a Federal source for a language program only if they fall into one of three categories: 1) they were given to a tribe pursuant to satisfaction of a claim made under Federal law; 2) they are from funds collected and administered by the Federal government on behalf of the tribe and its constituent members; or 3) they are from funds distributed by the Federal Government for general tribal administration or tribal development under a formula or subject to a tribal budgeting priority system, such as, but not limited to, funds involved in the settlement of land or other judgment claims, severance or other royalty payments, or payments under the Indian Self-Determination Act (25 U.S.C. 450f et seq.) or tribal budget priority system.
Native Language EMI	

In-kind Contributions: *The value of goods and/or services (as opposed to cash) donated for program or project purposes without charge to a recipient.*

Applicants may request a waiver of the requirement for a 20 percent non-Federal matching share. Requests must be submitted in accordance with 45 CFR 1336.50(b)(3)

For inquiries about the waiver application, contact your regional technical assistance provider. Refer to Section VIII. Reference Websites, for the contact information.

Note that only governments of American Samoa, Guam, the U.S. Virgin Islands, and the Commonwealth of the

Chapter 2

Northern Mariana Islands (other than those consolidated under other provisions of 48 U.S.C. 1469) pursuant to 48 U.S.C. 1469a(d) can receive an automatic waiver for matching requirements if the matching required under the grant equals or exceeds \$200,000.

Regulations for Requesting A Waiver

Cost sharing or matching —

- (1) Policy. Recipients of financial assistance under Sections 803, 804, and 805 of the Act are required to provide a matching share of 20 percent of the approved cost of the assisted project. This requirement may be waived in accordance with the criteria in §1336.50(b)(3). The matching share requirement may be met using either cash or in-kind contributions.
- (2) Application. If an applicant wishes to request a waiver of the requirement for a 20 percent non-Federal matching share, it must include with its application for funding a written justification that clearly explains why the applicant cannot provide the matching share and how it meets the criteria.
- (3) Criteria. Both of the following criteria must be met for an applicant to be eligible for a waiver of the non-Federal matching requirement:
 - (i) Applicant lacks the available resources to meet part or all of the non-Federal matching requirement. This must be documented by an institutional audit if available, or a full disclosure of applicant's total assets and liabilities.
 - (ii) Applicant can document that reasonable efforts to obtain cash or in-kind contributions for the purposes of the project from third parties have been unsuccessful. Evidence of such efforts can include letters from possible sources of funding indicating that the requested resources are not available for that project. The requests must be appropriate to the source in terms of project purpose, applicant eligibility, and reasonableness of the request.

Chapter 2

Activity 2: Matching Requirements

Read Section III.2 of the FOA and answer the following questions.

1. What is the minimum percent of the total project costs for the budget year needed to satisfy the cost share requirement?

2. Are grantees held accountable for the non-Federal share even if it is above the required match?

3. What are some examples of applicant match sources?

4. An applicant applies for Federal funding amounting to \$300,000 and commits to providing \$100,000 in cost share. The application is funded. Then, over the course of the budget period the grantee can only come up with \$80,000. Is this more or less than the obligation under the FOA? Is the grantee responsible for the additional \$20,000?

Chapter 2

Activity 3: Calculating the Non-Federal Contribution

Using the following formula and examples, calculate the match requirement for the ANA grant amounts shown in the table below:

Formula:

Federal Request = 80% of total project costs.

Non-Federal Contribution = 20% of total project costs.

The examples below refer to a project with a Federal request of \$100,000:

Example One: Divide the Federal request by 0.80 to determine the total project cost. Then multiply the total cost by 0.20 to determine the applicant match.

$$\begin{aligned} \text{Federal Request of } \$100,000 &= 80\% \text{ of ?} \\ 100,000 / 0.80 &= \$125,000 \end{aligned}$$

$$\begin{aligned} \text{Applicant Match} &= 20\% \text{ of } \$125,000 \\ .20 \times \$125,000 &= \$25,000 \end{aligned}$$

Exercise: Determine the applicant match for the following Federal request amounts:

Federal Request	20% Applicant Match	Total Project Cost
\$180,000		
\$90,000		
\$356,000		

Disqualification Factors:

Disqualification factors are an important area of the FOA. Please review the disqualification factors before submitting an application for funding.

If an applicant meets any of the disqualification factors, the application will not be reviewed for funding.

There are four reasons an application will be disqualified and not reviewed for funding consideration:

1. Applicant is requesting more than the ceiling amount.
2. Application is late.
3. Application did not include the board resolution.

The above three disqualification factors apply to all applicants. The fourth disqualification factor is for all applicants except federally recognized tribes and Alaska Native villages.

4. Application did not include information showing the majority of the board members are representative of the community to be served.

Chapter 3

CHAPTER 3: WRITING THE APPLICATION

The FOA Section IV

Once an entity has determined they are an eligible ANA applicant and their project idea is a good match for ANA funds, they must write the application.

Section IV: Application and Submission Information

This section includes six subsections with the following information:

- address to request an application package (IV.1);
- guidance on the content and form of the application, including the project description (IV.2);
- application submission options (IV.2);
- application due dates and times (IV.3);
- intergovernmental review of Federal programs (IV.4);
- funding restrictions (IV.5); and
- other submission requirements (IV.6).

Section IV.2 provides a description of the required information to be included in an ANA application and the format in which it is to be presented. The section will give you guidance on the different pieces that make up an ANA application, including all standardized forms and the narrative section.

Content and Form of Application Submission

The **project description** is made up of all the different parts of the application, from the table of contents to the budget, project narrative, and attachments including the forms and certifications. The **project description** provides the majority of information by which an application is evaluated and ranked in competition with other applications for available funding assistance.

The project description includes:

- The Table of Contents
- The Objectives and Need for Assistance
- The Outcomes Expected
- The Approach
- The Objective Work Plan
- The Legal Status of the Applicant Entity
 - Proof of Non-Profit Status
- Project Sustainability Plan
- Budget and Budget Justification
 - Personnel
 - Fringe Benefits
 - Travel
 - Equipment
 - Supplies
 - Contractual
 - Other
 - Indirect Charges

Chapter 3

- Program Income
- Commitment of Non-Federal Resources

In addition to the project description, a full application package includes:

- A Board Resolution
- Governing Body Documentation
- Standard Forms, Assurances, and Certifications

A full application package includes standard forms and assurances and certifications. A listing of the required forms and certifications is in the checklist in Section IV of the FOA. There are two checklists in the FOA. The checklist for the complete application package is at the end of the FOA; the checklist in Section IV is only for the standard forms, assurances, and certifications. The forms, assurances, and certifications listed in Section IV are also listed in the checklist at the end of the FOA.

Only four parts of the application are held to the 20 page limit: the objectives and need for assistance narrative; the outcomes expected narrative; the approach narrative; and the project sustainability plan narrative.



Note: All applicants must have a DUNS number and be registered in the CCR prior to submitting their application.

Activity 4: Content and Form of Application Submission

Please review Section IV.2 of the FOA and answer the following questions:

1. List the portions of the project description that are part of the 20 page limit:

2. True or False: The Objective Work Plan (OWP), Budget and Budget Justification count as part of the 20 page limit.

3. Is the Project Sustainability Plan part of the 20 page limit?

4. Where do you locate the order of assembly for hard copy submissions?

Chapter 3

Project Abstract Summary (standard form)

ANA requires all applications to include a one page abstract. The project abstract provides crucial information in a concise format and may be used by the review panel, ANA staff, and the commissioner during all phases of the review process.

The following information should be completed on the project abstract form.

1. *FOA*: Provide the FOA number for the program under which you are applying.
2. *Closing Date*: Identify the program closing date for the announcement for which you are applying.
3. *Applicant Name*: Provide the tribal/organizational name of the applicant.
4. *Length of Proposed Project*: Enter the number of months (up to 60) indicating the length of the proposed project.
5. *ANA Control No*: Leave blank for ANA staff.
6. *Federal Share Requested*: Enter the amount of Federal funds requested for the first year. If a multi-year project is being submitted, enter the amount requested for the second and third year as appropriate.
7. *Non-Federal Share*: Indicate the amount of non-Federal share or applicant contribution to the project. The non-Federal share must be at least one dollar for every four dollars requested. If none, enter 0 and enclose a waiver request or statement that you are from an exempt entity.
8. *Project Title*: Provide a brief title that clearly describes the core of your project.
9. *Project Summary / Abstract*: Your project summary should include information contained in each section of your proposal. This abstract should focus on the specific purpose of the project. Identify benefits achieved through the proposed project within the community. Keep in mind this brief summary of the project will be used throughout the evaluation process as a synopsis of your application and should convey the main points on which the project will be scored based on the evaluation criteria.
10. *Estimated Number of People to be Served by the Project Award*: Provide an estimate of the number of people to be served as a result of the award of this grant.

Activity 5: The Project Abstract Summary

Please review the project abstract in your sample application and make note of the information included.



Note: *While the project abstract is often the first part of the application that is read by a reviewer or ANA staff, it should be the last part an applicant writes to ensure it aligns with the complete application package.*

Chapter 3

Your Narrative

Four parts of the project description are narrative and allow you to provide details on the community, problem to be addressed, project design, and expected outcomes of the project in a narrative format.

The maximum page number allowance for the narrative is 20 pages and includes these sections:

1. Objectives and Need for Assistance
2. Outcomes Expected
3. Approach
 - a. Project Sustainability Plan

These sections are detailed below with activities:

1. Objectives and Need for Assistance

The objectives and need for assistance section of the project narrative should demonstrate how and why the project was developed. Due to the 20-page limit, it is important to present this piece of the application as concisely as possible while still ensuring all of the required information listed in Section IV.2 of the FOA is included.

Activity 6: Objectives and Need for Assistance

Please review the following FOA text for Objectives and Need for Assistance in Section IV. Next read the sample application narrative and make note of the information included. The purpose of this activity is to understand what you should include in this section.

2. Outcomes Expected

This section of your project description identifies the expected outcomes of your project.

As accomplishment of your outcomes is closely tied to your goal, mention your project goal here. When discussing your outcomes, refer to the description of the three types of outcomes in the FOA.

Chapter 3

Activity 7: Impact Indicator Activity

The purpose of this activity is to develop an appropriate indicator. Review the Outcomes Expected, impact indicator in Section IV. Read the project descriptions below and develop one project specific indicator for each, including the targets.

Review the Results and Benefits – Impact Indicators text in Section IV.2. Read the project descriptions below and develop one project specific indicator for each including targets.

1. An Alaska Native Village is confronting a serious decline in the number of fluent native language speakers. Based upon a previously-conducted survey, the Village knows there are currently only 2 fluent speakers amongst the 100 youth from grades 4-6. The Village also knows the students' distribution of language fluency by beginning, intermediate and advanced proficiency levels (90%, 8%, and 2%, respectively).

The Village proposes a two-year project to develop and implement a grade 4-6 native language curriculum with a focus on natural and cultural history. It will draw upon existing cultural resources to create classroom texts and curriculum based on Nunivak Island and Bering Sea geography, natural history, and culture. Prior to the project, only 20% of the students in grades 4-6 have a basic knowledge of Nuivak Island and Bearing Sea geography, natural history, and culture based on test results.

Indicator	Pre-Project Status	End of Grant Target	Three-Year Target

2. A tribe is currently unable to enforce workforce rights policies due to a lack of workforce related ordinances. Respondents to a recent survey cited the lack of workforce rights as the main reason for the administration's 20% annual rate of staff turnover.

In response, the tribe is proposing a two-year project to develop and expand model tribal ordinances to ensure similar workforce rights as provided by states and local governments; update policy manuals; and conduct a media awareness campaign on tribal workforce protection. The tribe expects the six new and three updated ordinances to be drafted and passed by the end of the project, with enforcement of some ordinances beginning immediately and some soon after. The purpose of this project, therefore, is to enforce tribal workforce protection as a means of reducing tribal turnover.

Chapter 3

Activity 7 Continued

Indicator	Pre-Project Status	End of Grant Target	Three-Year Target

- A Samoan village with 400 residents is implementing a workforce development project. Based on the 2000 census data, the village has a pre-project unemployment rate of 22%. The applicant does not know the current unemployment rate or the current number of employable adults.

The project targets unemployed and underemployed village members through a program that offers vocational assessment, career planning, and involvement in selected skill development trainings over a 2-year period. The applicant’s goal is to assist 100 participants to learn new skills and attain employment. The applicant has taken a pre-project survey of all 100 planned participants, 40% of which self-identified as “on track to achieve employment goals within the next two years.”

Indicator	Pre-Project Status	End of Grant Target	Three-Year Target

3. Approach

The purpose of the project approach piece of an ANA application is to communicate how the project will be accomplished to achieve its goal and address the problem(s) identified in the community. What strategy was chosen and why? Is the strategy sustainable?

Objective Work Plan (OWP)

Often referred to as the “blueprint for the project,” the OWP is ANA’s format to demonstrate the how (through activities), the when (through start and end dates), and the by whom (through the position responsible) the project will be implemented – as well as the expected results and benefits and the criteria for evaluating results and benefits. The why should be addressed in the problem statement.

The importance of providing a detailed, well thought out OWP cannot be overstated. *This is one of the most critical parts of the ANA application and is closely evaluated by the reviewers.* As such, it is a stand-alone document that should provide sufficient information for a reviewer, ANA staff, or a project manager to understand the project and how it will be implemented.

It is recommended to use quantitative information wherever possible because it provides a more concrete description of how and when objectives are met. To develop the objectives, include the following basic elements:

Chapter 3

- Exactly what will be accomplished during the project period?
- How will it be done? (Expressed in quantity and/or degree of quality)
- When will it be accomplished during the project period?

Each objective should be Specific, Measurable, Achievable, Relevant and results-oriented, and Time-bound (SMART).

The OWP must include project objectives and activities for each budget period proposed. The OWP and strategy should together demonstrate that the project strategy answers the following:

- is measurable and/or quantifiable in terms of results or outcomes;
- supports the community's strategy to address ANA program goals;
- clearly relates to community long range goals;
- can be accomplished with the available or expected resources during the proposed project period;
- indicates when the objective and major activities under each objective will be accomplished using elapsed time from the start of the project and not absolute dates;
- specifies who will conduct the activities under each objective; and
- supports a project that will be completed, self-sustaining or financed by other than ANA funds at the end of the project period.

The target numbers for the *project objective(s)* and *results or benefits expected* sections can be quantitative or qualitative (descriptive), but should correlate with one another.

On the OWP, there is a section for results and benefits under each objective, which measure progress toward completion of the objective. Examples of results and benefits include new knowledge, increased skills, increased understanding, number of members surveyed, number of people attending workshops, and increased participation in after-school activities. These indicators can help determine the extent to which the identified problems were reduced, resolved, or eliminated. The results and benefits measure the progress toward achieving project objectives and are the short-term and medium-term effects of the project.

The criteria for evaluating results and benefits define how progress towards achieving each result will be measured. The criteria are essentially a tracking system for monitoring the progress of the project. Each result or benefit should include a method for measuring progress such as monthly reporting, collection of sign-in sheets, or completion of deliverables.

Chapter 3

Activity 8: Objective Work Plan

Please read the OWP section under Approach in Section IV and Section V.1, Criterion 2, then complete the following questions. Next, review the OWP in the sample application.

1. What does SMART stand for?

S _____
M _____
A _____
R _____
T _____

2. How many objectives can an applicant provide for a one year project?

3. How many objectives can an applicant provide for a three year project?

4. Why is the OWP called “the blueprint for the project?”

5. How is progress toward achieving an objective tracked on a quarterly basis?



Note: Additional guidance on developing an OWP is included in Appendix B.

Chapter 3

Budget and Budget Justification

The line item budget enables the applicant to request funds that are appropriate and necessary for the scope of the proposed project. The costs must be reasonable and tied to the project objectives and work plan. The budget should include the necessary details to facilitate the determination of allowable Federal and non-Federal costs.

The budget justification is a narrative version of the budget that provides information for ANA to validate the necessity and reasonableness of each expense. The budget justification explains how all costs were calculated and any additional information about each expense. A budget justification should be attached for **each year** of project funds requested.

When preparing your line item budget, be comprehensive and remember the **budget should align with the OWP and project description**. It is best to work with your accounting office to gather budget data for your organization (for example, employee salaries and wages, payroll tax rates, worker's compensation insurance rate, and indirect cost rate). If you are requesting an indirect cost reimbursement, include a current copy of your organization's Federally-negotiated indirect cost rate agreement.

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.

Activity 9: Develop a Budget to Match the OWP

Please review either your own application or the sample application and complete the following budget activities. These activities are designed to help you determine whether your budget and budget justification match the OWP.

Remember, all line items in the budget must be tied to at least one activity in the OWP and all activities that incur a cost must be accounted for in the budget.

For the purpose of this exercise, pick one objective. Write the objective and the associated activities below. In the staff and consultant columns, write down the titles of the staff that are associated with the activity (you may need additional columns for your project). Under the staff column write down the number of days the staff will be working on that activity. The total staff days should correspond to the amount of time allocated for that staff person in the budget. For example, if the project manager is full time on the ANA project and there are three objectives of equal work to complete each year, then the project manager should have 1/3 of their staff days associated with each objective. Prior to submission, complete this activity with all objectives.



Note: *This is an exercise to help develop your budget, but does not need to be submitted with your application. This exercise illustrates where additional activities may need to be added to the OWP to account for the work of staff and consultants.*

Chapter 3

Activity 9 Continued

Example

Objective: To develop the curriculum for training 50 current and potential small business owners by September 29, 2011.

		Staff 1: Project Manager	Staff 2: Project Assistant	Consultants: Small Business Specialist	Total
Activity 3:	Field test curriculum with two focus groups.	20 days	10 days	15 days	45
Total Staff Days		60	30	45	

Staff and Consultant Days by Activity

Objective:

	Staff 1:	Staff 2:	Consultants:	Total
Activity 1:				
Activity 2:				
Activity 3:				
Activity 4:				
Activity 5:				
Activity 6:				
Total Staff Days				

The next part of the activity is to translate the staff and consultant days to costs. Use the information developed above to transfer the staff and consultant time to costs by activity. For example, if the full time project director is working 20 days on Activity 3, then to calculate the cost you take the hourly rate for the project director and multiply it by the number of hours the project director is expected to work each day and multiply this by 20.

Example:

Project Director works 8 hrs a day.

Project Director is working 20 days on Activity 3.

Project Director is paid \$25/hr.

Project Director cost for Activity 3 is: $\$25 \times 8 \times 20 = \$4,000$.

Chapter 3

Activity 9 Continued

Staff and Consultant Costs by Activity				
Objective:				
	Staff 1:	Staff 2:	Consultants:	Total
Activity 1:				
Activity 2:				
Activity 3:				
Activity 4:				
Activity 5:				
Activity 6:				
Total Personnel Cost				

Finally, using the information developed above for the personnel information, you can calculate the total personnel cost for each activity and the associated fringe benefits. Many of the activities will have additional costs beyond the personnel, and this is where that information would be calculated. For example, if activity four is to attend the post award training, then travel costs should be placed in the travel column. This also gives you a total cost for each activity.

Budget by Activity						
Objective:						
Task	Personnel	Fringe Benefits	Travel	Supplies	Other Direct Costs	Total
Activity 1						
Activity 2						
Activity 3						
Activity 4						
Activity 5						
Activity 6						
Total Cost						

Complete this activity for each objective and you will be able to easily show that your budget is well-planned, cost effective and reasonable.

Chapter 3

Activity 10: The Line-Item Budget Categories

Using Section IV.2 as a guide, place the following costs in their appropriate category.

- Teacher travel to local language immersion camp
- Retirement benefits
- Office space rent
- Travel to 3-day national native language conference
- \$10,000 wind turbines
- Project director salary (1 FTE)
- FICA
- ANA post award training
- Travel to 2 Tribal Council meetings
- \$1700 desktop computer
- Independent evaluator contracted
- \$4500 generator
- Elder consultants
- Admin assistant salary (0.25 FTE)
- Refreshments at community meeting
- Office telephone and internet services

Costs:

CATEGORY	
PERSONNEL	EQUIPMENT
FRINGE BENEFITS	SUPPLIES
TRAVEL	CONTRACTUAL
OTHER	



Note: The OMB Cost Principles (located in Appendix C) are a quick reference for specific items of cost and identify if the cost is allowable per the Federal regulations. When developing your budget, please ensure your proposed costs fall within the allowable or allowable with approval categories.

Chapter 3

Application Submission Options

Applicants have three options to submit their application:

- Electronically via www.grants.gov
- Hard copy by mail (USPS)
- Hard copy by hand (FedEx, UPS)

Electronic Submission via www.grants.gov

Grants.gov was established as part of the President's 2002 Fiscal Year Management Agenda to improve government services to the public. Today, Grants.gov is a central storehouse for information on over 1,000 grant programs and provides access to approximately \$500 billion in annual awards. Essentially, Grants.gov is a web-based electronic resource to **find** and **apply** for Federal grants.

Sections IV.2 and IV.3 contain information regarding application submission via the Grants.gov system. Please review this information carefully and keep the following tips in mind:

- The Grant Application Data Summary (GADS) form is no longer included or necessary to complete.
- Some users experience technical difficulties when using Grants.gov with specific programs or with MAC computers.
 - Try to use Adobe 8.1.3 or higher.
 - Electronic formats for the application attachments, such as narratives, charts, etc. should be done in standard software formats (Microsoft Word and Excel, Word Perfect, Adobe PDF, and GIF).
- Write down your ID and password.
- **Do not wait until the last minute to submit your application.** As the deadline nears, the system gets increasingly busy, so submit your application as early as possible.
- If you are submitting both a hard copy and electronically, please note this on your hard copy. This prevents ANA from entering applicants twice into the system.
- The ANA OWP form should be uploaded under additional attachments.

Some helpful websites:

- Checklists and registration brochures are maintained at the Grants.gov website: http://www.grants.gov/applicants/get_registered.jsp
- Be sure to complete all Grants.gov registration processes listed on the Organization Registration checklist at: http://www.acf.hhs.gov/grants/registration_checklist.html
- If any difficulties are encountered in using Grants.gov, contact the Grants.gov Contact Center at: 1-800-518-4726, or by email at support@grants.gov to report a problem or obtain assistance.

Chapter 3

Projects and Costs Not Funded by ANA

Section III.3. Other identifies project types which are not eligible for funding, per ANA regulations (45 C.F.R. 1336.33).

Section IV.5. Funding Restrictions identifies costs which are unallowable, per OMB Cost Principles.

Section V.2 Review and Selection Process identifies all other projects that ANA does not fund.

Activity 11: Funding Restrictions

Review *Section III.3. Other*, *Section IV.5. Funding Restrictions*, and *Section V.2 Review and Selection Process*. Next, identify which of the following proposed project ideas could be funded by ANA and justify your response. Justification for projects that cannot be funded should include the FOA section and related item. Then as a group, discuss each scenario.

1. A community non-profit organization provides parenting and relationship skills training to community members. Since the organization does not have a large office, they rent space from local hotels to hold classes. Through a partnership, the non-profit organization has secured an old warehouse previously used to store appliances. The organization plans to develop a training center by using ANA SEDS funds to renovate the warehouse.

2. A consultant who provides expertise in setting up electronic files and databases writes a grant application for a non-profit organization to establish an electronic filing and database system. The consultant is named in the grant application as the individual who will be contracted to secure the electronic systems.

3. An Alaska Native Village has prepared an ANA language application to design grades 1-6 language curricula. The community's last fluent speaker died the previous year; however the Village has been able to partner with several fluent elders from a nearby community.

4. A non-profit organization proposes a farming project for at-risk families. The first objective of the three year project is to secure land including signing a lease and performing an environmental certification. The second and third objectives involve working directly on the land with the families.

Chapter 3

Activity 11 Continued

5. A consortium of Indian tribes submits a SEDS application where one tribe will provide grant writing training to each of the other tribes in the consortia.

6. A non-profit organization, which provides services to survivors of domestic violence, is proposing an ANA project to implement a campaign to bring awareness to the issue of violence within the home and raise money to build a women's shelter.

7. A tribe secured a one-year ANA grant to develop a community strategic plan. During implementation the tribal leadership changed. The new leadership would like to submit a new ANA proposal to develop a community strategic plan.

8. A tribal language department is submitting a proposal to ANA requesting funds to develop a K-5 language curriculum including an interactive website. In addition to two curriculum developers and a web technician, the project's budget includes a funding request for the tribal education department's director at 0.25 FTE. The education director will be present during department meetings where the ANA project is discussed and will likely provide input, but will not be directly tasked with anything related to the project.

Chapter 4

CHAPTER 4: EVALUATING THE APPLICATION

The FOA Section V

Read Section V prior to writing your application for information on how the application will be reviewed. After writing your application, review the evaluation criteria again to ensure you included all the aspects the reviewers will be looking for in your application.

Section V: Application Review Information

This section includes three subsections with the following information:

- evaluation criteria (V.1);
- review and selection process (V.2); and
- anticipated announcement and award dates (V.3).

Evaluation Criteria

Applications should be prepared based on the instructions identified in Section IV.2. The evaluation criteria are instructions to the panel reviewers. Use this information after you've written your application to understand what the reviewers will be looking for in your narrative.

Objectives and Need for Assistance

Connection and Commitment to the Community

The FOA section includes the elements of an excellent application and the questions to ask yourself following your writing of your application.

For example, in the objectives and need for assistance, a few of the questions are about community involvement in the development of the project.



Note: *ANA funds community-based grants, yet a major weakness of many ANA applications is that applicants fail to mention the involvement and support of the community for the project.*

The FOA also details what an excellent application will include to reviewers. The reviewers will use this as a guide to determine the scores for your application, so try to include everything that an excellent application calls for!

Chapter 4

Activity 12: Objectives and Need for Assistance

The purpose of this activity is to better understand how reviewers will read and analyze your application. Read the sample application and answer the questions posed in the FOA under Objectives and Need for Assistance.

1. How well has the applicant defined the beneficiaries of the project and their relationship to the larger community?

2. Does the applicant have a strong relationship to the project beneficiaries?

3. How much was the community, including project beneficiaries, involved in developing this project? How is community support for the project documented in the proposal?

4. How well does the problem statement address one specific condition to be addressed by the project?

5. How well has the applicant demonstrated that the problem identified is of significance to the community?

6. Does the problem statement include a description of challenges standing in the way of currently solving or addressing the problem or condition?

7. How well do objectives address the problem statement?

8. Are the objectives Specific, Measurable, Achievable, Relevant and results-oriented, and Time-bound (SMART)?

Chapter 4

Outcomes Expected (15 Points)

In the Outcomes Expected section of your application, reviewers will be looking to answer questions based on your project goal, results and benefits, and impact indicator. ANA asks reviewers to consider the project goal under this section because the accomplishment of the expected outcomes often means the project goal was accomplished. In other words, reviewers will be better able to understand your expected outcomes by referencing your project goal.

So what is a project goal? A strong project goal is one that attempts to solve the condition identified in the problem statement.

Some sample project goals:

- The goal of this project is to implement a culturally competent, strengths-based family preservation curriculum in 5 geographically diverse tribal communities that focuses on improving parental involvement, family preservation, and responsible fatherhood.
- The goal of this project is to create a plan for improving access to native language classes among those that currently lack resources to further their language skills.
- The overall goal of this project is to design, develop, and implement a self-sustaining statewide Rural Utility Collaborative that will provide 15-24 villages with the technical and managerial assistance to develop their capacity to manage and operate water and sewer utilities in a sustainable manner.



***Note:** Applicants should provide local statistics for things like unemployment, dropout rate, etc. Providing national statistics implies the project plans to have impact at a national level.*

Chapter 4

Impact Indicators

In the project narrative, the application should include information about the impact indicators. Reviewers will award points based on how the applicant intends to measure, monitor, track, analyze, and evaluate this data.

Activity 13: Impact Indicator

Please review the sample application and fill out the first line of the table below with the impact indicator. Next, brainstorm additional appropriate impact indicators that could have been used and complete the table.

Remember the indicator must be measurable and comparable across all three time periods. The indicator can be qualitative or quantitative. Also keep in mind the following questions:

- How does the impact indicator relate to the project goal?
- How does this address your problem statement?

Indicator	Pre-project status	End of project target	Post project target

Chapter 4

Activity 14: Outcomes Expected

Act as a reviewer and read the Outcomes Expected section of the sample application and answer the following questions:

Project Goal

1. Is there an appropriate and strong relationship between the project goal, the problem statement, and objectives?

2. Has the applicant demonstrated that achievement of the project goal will lead to an improvement in the condition identified in the need for assistance?

Results and Benefits

3. To what extent does the applicant explain how the accomplishment of results and benefits will achieve the project objectives?

4. Has the applicant identified criteria to evaluate results and benefits that will effectively monitor progress towards accomplishing results and benefits?

5. Will the achievement of the results and benefits lead to the desired change identified by the impact indicator?

Impact Indicator

6. Does the impact indicator demonstrate a positive change in the condition identified in the problem statement? Has the applicant chosen an impact indicator that demonstrates and measures the change of community conditions as a result of the project?

7. Has the applicant identified baseline data? Did the applicant present an end of project target and three year target that are realistic and appropriate?

Chapter 4

Project Approach (50 Points)

Project Strategy (30 Points)

Reviewers will be answering questions relating to the project strategy and Objective Work Plan (OWP) in this section. An excellent application will answer all the questions and fully describe the steps to completing the project.

Reviewers will award points based on whether the application narrative demonstrates a clear project strategy that explains how you plan to accomplish the project goal, objectives, and activities. This section should answer the basic question: How will this project work?

The narrative should provide enough information for the reviewer to clearly understand how you will achieve your objectives and how the objectives will allow you to accomplish the project goal. In order to do this, write the project narrative in a clear and concise manner that discusses the project from the beginning of the project to the end. Explain the OWP in a narrative format so the reviewer can better conceptualize the project and the activities you propose and how they will assist you in addressing the project goal. The reviewer will be cross referencing the project narrative and the OWP, so ensure that all the information in the OWP is supported in the project narrative and vice versa.

Provide information on your organization and cooperating partners. The description of your organization should include details of your mission and the organization's abilities that will allow you to successfully implement the proposed project.

Items to include:

- Description of the leadership at the council/board level, including terms and years of service, followed by your key ANA project staff.
- Information about the organization's experience working in your community and in the proposed project area.
- Description of the organization's management structure, the administrative structure, and how it relates to the project.
- Description of any relevant organizational/professional accreditations and licenses (for example, child care certification) that are relevant to the successful completion of the project.
- Faith-Based Organizations should include a statement to indicate Federal funds will not be used to support inherently religious activities. Additional information can be found at www.hhs.gov/fbci.
- Systems to track the funding and progress of the project.
- Descriptions of how partnerships will contribute to the project.
- Process and timeframe for hiring staff

Chapter 4

Contingency Planning and Sustainability

Every organization makes 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 the organization's ability to accomplish the project goal on time and within budget. These challenges are often outside the control of project management. However, a well-planned project is one in which the organization has tried to predict and address potential problems.

Examples of assumptions, challenges, and contingency plans:

1. **Assumption:** Because the organization's hiring policy generally results in a two-month hiring process, key personnel will be hired within two months.

Challenge: An individual with all qualifications for a key position has accepted the position but later declines.

Contingency Plan: Streamline the position so that another staff member can keep the project going until that position is filled.

2. **Assumption:** License for elder care will be received within four months.

Challenge: Licensure is delayed because of bureaucratic issues.

Contingency Plan: Project was designed so as to allow for focus on other aspects and activities while waiting for licensure.

3. **Assumption:** Sampling will occur during the months of January and February.

Challenge: Freezing rains prevent sampling during January.

Contingency Plan: Sampling was planned for two months to ensure inclement weather does not affect the project. Time spent sampling will double during the second month to make up for time lost in January.

There are many more challenges that could arise because of assumptions made about the project. Reviewers will analyze the application to determine whether the applicant made a reasonable effort to identify potential challenges and provide solutions. A successful project will have contingency plans in place prior to the challenges becoming realities so negative impact on the project can be reduced or eliminated.

Chapter 4

Activity 15: Challenges and Contingency Planning Evaluation

Please review the sample application to answer the following questions. Do this with your own application after the training as well.

Review the following statements. Are any of these challenges that may arise for the project?

Difficulty hiring and retaining key staff	Yes	No
Difficulty recruiting community members/volunteers	Yes	No
Problems with partners meeting their commitments	Yes	No
Disruption of timeline	Yes	No
Seasonal/weather challenges	Yes	No
Delays in securing permits/licensing	Yes	No

What other challenges might you encounter in the project?

What are the back-up plans (contingency plan) for each challenge identified?

With a partner share your contingency plan from your project. Partners will take turns, first presenting, then offering feedback, and finally switching roles.

Sustainability

ANA does not fund projects on an ongoing basis, therefore reviewers will evaluate the application's project sustainability plan to see if there is a way to continue the project's benefits beyond ANA funding. ANA wants a project to be sustainable when the ANA funding ends, thus the project must be completed, self-sustaining, or funded by other sources at the end of the project period. However, sustainability is not simply about generating new grant dollars; it also involves outlining a specific strategy and action plan for continuing your project. Reviewers will award points based on whether the narrative presents the vision for sustaining results and benefits after the completion of the project.

A sustainability plan that indicates "we will write grant applications" or "we will secure corporate donations" is not sufficient. Provide a detailed strategy that explains how you will implement the plan and why the strategy will be successful.

Chapter 4

Activity 16: Sustainability

Please read about sustainability in the FOA. Next, review the sample application to identify the sustainability plan and answer the following questions.

Provide the page numbers where the sustainability plan is discussed in the sample application.

Explain your response and provide notes on your sustainability plan.

Discuss your sustainability plan with a partner.

Chapter 4

Activity 17: Project Strategy

Read the sample application project strategy and answer the reviewer questions. Make note of the weaknesses and how the project strategy could be improved. Make sure to do this with your application as well.

To evaluate planning and project implementation, reviewers will consider the following:

1. To what extent has the applicant demonstrated they have done the necessary planning needed to implement the proposed project?

2. Has the applicant demonstrated how key activities will be completed, i.e. how will project participants be selected, how many hours will classes be taught, what is the process for revising or adapting curriculum or other resources, etc.?

3. Are there sufficient details to show the applicant's ability to monitor project progress and respond to challenges in order to ensure successful completion of objectives?

4. How well has the applicant planned for community participation in the project's implementation? How well has the applicant planned for building and maintaining community support of the project? Has the applicant included a strategy for building community awareness of the project and keeping community members informed of progress and outcomes?

5. To what extent has the applicant addressed the sustainability of project outcomes? Does the Project Strategy include activities or efforts to ensure programmatic sustainability?

6. How will the applicant ensure they have resources necessary (community support, partnerships, staffing, etc.) to sustain the project?

7. How well does the applicant describe how they will develop, maintain, and use partnerships to support the project?

8. Has the applicant demonstrated how internal and external resources will be leveraged to enhance the applicant's ability to implement the project?

Chapter 4

Activity 17 Continued

9. Has the applicant provided adequate time to accomplish their strategy?

10. Has the applicant identified significant project risks and assumptions that will hinder project progress if not accomplished? Does the contingency plan present viable alternate actions that will allow the project to maintain progress in the event the challenge is encountered?

11. To what extent has the applicant demonstrated the applicant's ability to administer the grant?

12. Has the applicant fully identified project responsibilities and qualifications for project personnel; and are those qualifications sufficient to complete position responsibilities, i.e. required licensing? If the project includes working with children, has the applicant demonstrated that key personnel have or will have sufficient training and experience working with youth?

Objective Work Plan (OWP) (20 Points)

To evaluate the OWP, reviewers will consider the extent to which the completed form will serve as an effective blueprint for project implementation.

An excellent OWP will effectively detail the step by step of how, when, and by whom the project objectives will be achieved and serves as a stand alone document to communicate the project goal, objectives, implementation plan, and anticipated results and benefits.

To evaluate the OWP, reviewers will consider the following:

Does the OWP include all key activities needed to accomplish project objectives?

Do all activities on the OWP relate to the scope of the project?

Are activities listed chronologically, and do start and end dates indicate sufficient time to complete the activity?

Does the OWP align with information included in the Project Strategy?

To what extent does the OWP serve as a guide for project implementation?

Chapter 4

Activity 18: Are the Objectives SMART?

Please review the sample application or your application OWP to answer the following questions.

1. Are the Objectives SMART?

Specific	Yes	No	If yes, how so?
Measurable	Yes	No	If yes, how so?
Achievable	Yes	No	If yes, how so?
Relevant and results-oriented	Yes	No	If yes, how so?
Time-bound	Yes	No	If yes, how so?

2. Are timeframes appropriately designated for activities?

Yes No

Explain:

3. Are the activities placed in a logical time sequence (for example, does training occur after all materials are developed, approved, and trainers are hired?)

Yes No

Explain:

4. Is the correct person identified as implementing each activity?

Yes No

Explain:

5. Are salaried personnel hours (in the person responsible column) appropriate for their respective activities?

Yes No

Explain:

6. Has hiring of staff been included in timelines?

Yes No

Explain:

7. Have reporting requirements been included?

Yes No

Explain:

8. Has post-award training during the first budget been included?

Yes No

Explain:

9. Are ongoing activities such as advisory council meetings considered?

Yes No

Explain:

Chapter 4

Budget and Budget Justification (15 Points)

Budget and Budget Justification

Reviewers will award points based on:

- the strength of the relationship between the project approach and proposed budget;
- reasonableness and completeness of the proposed budget;
- the justification for the requested Federal funds and the applicant's required non-Federal contribution.

Review and Selection Process

A review of Section V.2 of the FOA will help applicants become familiar with the screening process, panel review, and ANA analysis of applications.

Anticipated Announcement and Award Dates

Section V.3 provides a brief statement of the announcement of awards.

Chapter 5

CHAPTER 5: FINAL STEPS

The FOA Sections VI - VIII

Section VI: Award Administration Information

This section includes details on how successful applicants will be notified, lists of regulations, reporting and national policy requirements.

Section VII: Agency Contacts

This section provides details on individual agency contacts at ANA and the Office of Grants Management (OGM).

Please direct questions regarding the FOA to the Program Office (ANA).

The Office of Grants Management contact information is included, as this is where grantees send performance and financial reports in hard copy.

Section VIII: Other Information

This section provides a listing of useful websites and a checklist of required application elements.

Checklist

The very last item contained in the FOA is a checklist of required application elements. This section also details where each form may be found online. This checklist should be used as a guide when preparing and finalizing your application package.

Chapter 5

Activity 19: Application Checklist

Please review the checklist at the end of the FOA. Next, review the sample application or your application and place the page number next to each item verifying its inclusion and placement within the application. Items to be included (those that have asterisks are not required for all applications) :

Page Number(s)

- _____ DUNS Number (Found on 424)
- _____ Central Contractor Registry (Registration required for ALL applications, but not included in application)
- _____ Table of Contents
- _____ SF-424 – Application for Federal Assistance
- _____ SF-P/PSL – Project/Performance Site Location(s)
- _____ SF-424A – Budget Information – Non-Construction Programs
- _____ SF-424B – Assurances – Non-Construction Programs
- _____ ANA Project Abstract Form (OMB Control Number 0980-0204)
- _____ Project Description
- _____ Project Sustainability Plan (Included in Project Description)
- _____ Budget and Budget Justification
- _____ ANA Objective Work Plan (OMB Control Number 0980-0204)
- _____ Board Resolution
- _____ * Governing Body Documentation Demonstrating Community Representation
- _____ * Proof of Non-Profit Status
- _____ * Language Survival School Certification
- _____ Documentation of Commitment of Non-Federal Resources
- _____ * Indirect Cost Rate Agreement
- _____ Certification Regarding Lobbying
- _____ * Survey on Ensuring Equal Opportunity for Applicants
- _____ * SF-LLL Disclosure of Lobbying Activities
- _____ Maintenance of Effort Certification
- _____ Certification Regarding Debarment, Suspension and Other Responsibility Matter
- _____ Certification Regarding Environmental Tobacco Smoke
- _____ Other Attachments

APPENDIX A

Overview of Changes and Points to Emphasize

ANA Program	Highlighted Topic
ALL	All applicants must provide a resolution demonstrating the official governing body of the Tribe, Alaska Native village, or organization approves the application submission. Tribally-authorized divisions must also provide a resolution from the official governing body of the Tribe demonstrating approval of the application submission.
	Applicants that are not Tribes of Alaska Native villages must show that a majority of board members approving the project proposal are representative of the community to be served. The four categories were revised to the following: (1) members of federally or state recognized tribes; (2) persons eligible to be a participant or beneficiary to the project to be funded; (3) persons who are recognized by the eligible community to be served as having a cultural relationship with the community to be served; or (4) persons considered to be Native American as defined in Section 1336.10 of the Code of Federal Register (CFR) and the Native American Programs Act (Native American Pacific Islander).
	Automatic waiver for matching in insular areas is no longer included.
	The definition for Leveraged Resources states that program income cannot be included.
	The titles for the Project Description portion of the FOA match the criterion in the Evaluation Criteria to reduce confusion. The Project Description identifies what the applicant must include in the application. The Evaluation Criteria provides instruction to panel reviewers on how to review and score the application. Changes to the Project Description and Evaluation Criteria: <ul style="list-style-type: none"> • Objectives are identified in Objectives and Need for Assistance • Project goal is identified in Outcomes Expected. • Leveraged resources and partnerships are no longer considered impact indicators. ANA requests targets for leveraged resources and partnerships, where a target of zero leveraged resources is acceptable (see administrative policies). The value of the targets will not be evaluated and scored; however, the indicators' contribution within the overall strategy of project implementation and its sustainability are included in Project Approach. • In outcomes expected, only one impact indicator is requested. Furthermore, results and benefits are included here. In addition to listing the results and benefits and the criteria for evaluating results and benefits in the OWP, applicants should explain the significance of these measures in the Outcomes Expected section of the application. • Project Approach includes the project strategy and the OWP. The strategy includes a detailed description of the implementation plan, community involvement and outreach during implementation, and contingency planning to support project implementation. In addition, partnerships and leveraged resources are included as to their contribution within the overall strategy of project implementation and its sustainability. Finally, organizational capacity and project sustainability should be described. The OWP form should be an effective implementation tool.
	Evaluation Criteria include the following: Objectives and Need For Assistance (20 points), Outcomes Expected (15 points), Approach (50 points), and Budget (15 points). Approach has two sub-criteria, which are the project strategy (30 points) and the OWP (20 points). Evaluation Criteria identify what an excellent application should include. Also, it lists a series of questions to guide reviewers in their analysis of the application. The scoring guidance for an excellent application is also identified at 93 to 100 points overall; however this is not a guarantee that excellent applications will be funded.

ALL	Two administrative policies were added: (1) Grantees can have only one active grant per Catalog of Federal Domestic Assistance (CFDA) number; and (2) ANA will increase the reach of its limited funding. Therefore, applicants that have received funding from ANA for at least two projects consecutively and within one CFDA number may not be funded for a third consecutive project within the same CFDA number if other applicants who have not received ANA funding in the past 3 years are within the scoring range to be funded.
	The projects and costs that ANA does not fund are now listed according to the source of the restriction. See the following sections: <i>Section III.3. Other</i> <i>Section IV.5. Funding Restrictions</i> <i>Section V.2 Review and Selection Process</i>
SEDS	Business plans should be submitted for all SEDS applications requesting an equity investment on behalf of the Federal government.
	Two funding ranges which allow similar sized project proposals to be evaluated against each other. The funding ranges are \$50,000 to \$149,999 per budget period, and \$150,000 to \$400,000 per budget period. Panels will evaluate applications that are similar in scale, as indicated by funding level.
	ANA revised the restriction on funding medically based therapy or counseling to be specific to family preservation projects. See <i>Section V.2 Review and Selection Process</i> .
	The program areas of interest are social development, economic development, and Federal recognition applications. Tribal governance applications should be submitted under SEDS-TG. Strengthening Families are included in Social Development. Support for Federal recognition applications is a new priority area this year.
SEDS - Tribal Governance	This FOA emphasizes projects that strengthen the internal capacity and infrastructure of tribal governments to increase services provided to children and families. ANA is particularly interested in projects designed to develop strong linkages between social services, health program, and schools serving American Indian and Alaska Native children. Program areas of interest include interoperability, comprehensive strategies, and self governance.
ERE	Applicants who are collecting data must identify the sampling design and reference standards on which it is based. In addition, maps and photos of the resource to be protected are encouraged. These are attachments to the narrative.
Native Language	All projects funded in FY2011 will have a start date of August 1, 2011.
	Impact Indicator: For language applications that are designed to teach a Native language, applicants must include an impact indicator that shows advancement of language fluency. All other language projects should provide an impact indicator that measures an increase in community interest to preserve the language.
Native Language Esther Martinez Initiative	All projects funded in FY2011 will have a start date of August 1, 2011.
	Impact Indicator: For language applications that are designed to teach a Native language, applicants must include an impact indicator that shows advancement of language fluency. All other language projects should provide an impact indicator that measures an increase in community interest to preserve the language.
	Restricted to 36 month project periods.

APPENDIX B

OWP Guidance

A project cannot have more than three objectives per entire project period. An OWP must be completed for each objective for each budget period of the project period. In multi-year projects, some objectives may continue for multiple budget periods.

Each section of the OWP should be completed according to the following instructions:

1. **Project.** Identify your project title.
2. **Year.** Identify the project year (e.g., 1, 2, or 3).
3. **Project Goal.** Identify the ANA goal you are addressing.
4. **Objectives.** Objectives are specific accomplishments that your community has determined will be completed within the period of your proposed project. Completion of the proposed objectives must result in specific, measurable results. Narrative from the application must discuss how accomplishing the expected results will help the community meet its long range goals. The specific information provided for each objective is the standard upon which its achievement can be evaluated at the end of each budget year.
5. **Activities.** For each objective, list activities that provide a road map to achieve the objective. Each activity is a step in the logical progression of the project. Include specific and significant activities (e.g., hiring staff, develop first draft), on-going activities (e.g., meetings and classes), the type of activity (e.g., workshop, retreat, and seminar), the type of audience, the submission of required ANA reports and attendance at ANA post-award training. Especially useful are activities which show progress or results on a quarterly basis. In the project narrative, explain how the activities outlined in the OWP will lead to the successful achievement of the project objectives and goal.
6. **Position Responsible.** Identify the **position responsible** for the completion of each activity by identifying the title(s) of the salaried project staff person(s) and non-salaried (paid or in-kind) contributors.
7. **Time Period.** Identify realistic time periods to complete each activity. Use elapsed times from the start of the project (e.g., month 1, month 2, etc.) rather than absolute dates. September 30 is the start date for each budget period.
8. **Non-Salaried Personnel Hours.** Identify the non-salary personnel hours, including non-salaried contributors (paid or in-kind) to the project. List hours according to who is providing them (e.g., Committee person -10 hours; ABC Consultant - 5 hours). Provide supporting documentation in the proposal for the hours listed in this column.
9. The **results and benefits expected** section of the OWP is used to track the grantee's quarterly progress of accomplishing an individual objective and should be broken down by quarter. The results and benefits must directly relate to the activities that support the accomplishment of an objective in the OWP. The results and benefits are used to monitor the project's quarterly progress and must include target numbers. The criteria for evaluating the results and benefits expected are of the applicant's choosing and need to be documented and verifiable.

The preceding instructions are recommended for the OWP form found on the ANA website www.acf.hhs.gov/programs/ana/, which can be added as an attachment to an application on www.grants.gov.

APPENDIX C

OMB COST PRINCIPLES - Selected Items of Cost

Cost Category	A-87 State & Local Governments (Proposed Revision)	A-122 Non-profit 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			
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

Cost Category	A-87 State & Local Governments (Proposed Revision)	A-122 Non-profit Organization	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Equipment and Other Capital Expenditures	X	X	X		X	
Executive Lobbying Costs			X			X
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 In- vestment 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
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		

Cost Category	A-87 State & Local Governments (Proposed Revision)	A-122 Non-profit Organization	A-21 Educational Institutions	Allowable	Allowable With Approval	Not Allowable
Plant Security Costs		X		X		
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
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		
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



www.acf.hhs.gov/programs/ana

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