


MANUAL

2022

# Project Planning and Development

Developed by the ANA Regional T/TA Centers

Western Region • Eastern Region • Pacific Region • Alaska Region

*Photos on front cover are provided by T/TA Centers from the Pacific, Eastern, Alaskan, and Western regions (clockwise from top-left).*

# Introduction to the Project Planning and Development Manual

## Boozhoo. Aloha. Bezon. Ta na á née see. Qagaasakung. Dagot’ee. Nayaafabaa. Mique wush. Khahowya. O-si-yo. O’kii. Tansi. Shodaage. Hafa adai.

Welcome to the Administration for Native Americans (ANA) Project Planning and Development Training. We are glad you are here. ANA’s mission, our driving force, is to fund community-developed projects that are sustainable and successful. ANA has found, through evaluating our projects and talking with our recipients and applicants, that projects are more likely to be successful and sustainable if they are planned and developed by the community as part of a long-term community strategy. This training will provide you with tools for working with the community to explore long-term planning strategies and define barriers standing between the community and its long-term goals. The training also will build your capacity to design community-based solutions to address those barriers.

During this training, you will learn how to engage in a community-based project planning and development process that:

1. starts by defining which long-term goal the community wants to work to achieve;
2. identifies specific barriers in the community that stand between the community and that long-term goal;
3. establishes a project goal that, when accomplished, will address the barrier and move the community toward long-term goal accomplishment;
4. creates a project approach built on timely, targeted, indicative, and population-specific objectives to accomplish the project goal; and
5. designs an evaluation process and sustainability strategy for measuring project outcomes and continuing those outcomes after the end of the project’s funding period.

Eighty percent of the work associated with project design and funding should be project planning and development and only 20% should be writing the application. This training focuses on how to do that 80%, concentrating only on the project planning and development steps that take place prior to writing an application.

ANA also offers Pre-Application Training that focuses on helping you with application development. We recommend taking this Project Planning and Development Training prior to attending the Pre-Application Training, as it will help you work in your community to build a solid project. The Pre-Application Training will then build skills to prepare an application for ANA funding. Table 1 shows the differences between our Project Planning and Development Training and Pre-Application Training.

**Table 1: Training Content**

| Project Planning & Development Learning Objectives | Pre-Application Learning Objectives |
|---|---|
| Understand community-based planning processes and tools | Understand the Notice of Funding Opportunity (NOFO) and eligibility requirements |
| Define and document long-term community goals, identify barriers that inhibit reaching these goals, and define a project goal to work toward achieving long-term community goals | Write an application in response to an ANA NOFO |
| Build an outcome-based project work plan with detailed staffing and timeframes to achieve objectives | Complete Federal forms and package the application |
| Develop a budget to include all necessary costs to complete the workplan | Develop sustainability plans and a budget |
| Develop a project evaluation plan | Understand the process of reviewing applications for funding |

The development process covered in this training can be used to prepare projects for submission to a variety of funding sources, federal and non-federal. We hope you will use the information from this training to engage in community-based planning that will create a well-designed project. You will then be able to fit your project concept into a variety of funder-specific application formats, knowing that your chances for success are enhanced because the project is community-led and well-crafted.

However, the guidance provided in this manual represents just one method to project design. This method uses strategies that are both specific to indigenous community-based projects and aligned with ANA's assets-based approach. Your community's particular practices, traditions, and protocols might not be reflected in this method, but should take precedence over the tools and techniques presented herein.

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

Thank you for attending this training or downloading this manual. We think you will find information in it that will help you plan and develop a successful and sustainable community project. If you have questions or come across anything you think we should revise, please refer to the back cover of this manual to find the contact information for your regional TTA Center.

## Yaw^ko. Miigwech. Gunalchéesh. Fa'afetai. Niá:wen.

## About the Administration for Native Americans (ANA)

In January 1964, President Lyndon B. Johnson declared the War on Poverty, developing a collection of ideals that included the foundation for ANA. President Johnson made a call to action, asking communities to prepare “long-range plans for the attack on poverty.” Eight months later, the Economic Opportunity Act was signed into law and, shortly thereafter, the Office of Economic Opportunity (OEO) began awarding grants.

Early in the 1970s, the OEO was terminated, but some of its War on Poverty initiatives became the basis for ANA. Established in 1974 through the Native American Programs Act (NAPA), this new agency embraced the goal of Native American self-determination which was 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 and state recognized tribes, American Indian and Alaska Native organizations, Native Hawaiian, American Samoan, Chamorro and Commonwealth of Northern Mariana Islands organizations. ANA’s mission is to promote Native American self-sufficiency with a philosophy 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 its members’ needs.
- 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-term goals.

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

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

Native Language grants provide opportunities to assess, plan, develop, and implement projects to ensure the survival and continuing vitality of Native languages. ANA believes language revitalization and continuation are two of the first steps to be taken in preserving and strengthening a community's culture. Use of Native language builds identity and encourages communities to move toward social unity and self-sufficiency. There are two funding announcements in this area: Preservation and Maintenance (PM) and Esther Martinez Immersion (EMI). The PM grant assists Native Americans in ensuring the survival and continuing vitality of Native American languages. The EMI grant is designed to preserve Native American languages through Native American language nests and Native American language survival schools.

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

At its discretion, ANA funds Special Initiative grants. For example, the Social and Economic Development Strategies for Alaska (SEDS-AK) grant offers SEDS funding for capacity building projects specific to Alaska Native Villages. The SEDS-AK grant program is designed to provide targeted support for village-specific projects to improve and strengthen the administrative and management capacity of Alaska Native Village governments which are central to social and economic self-sufficiency in Alaska.

The mission of ANA is substantial, but our resources are limited. ANA does not have the budget to fund all deserving projects, and funds short-term projects rather than programs. Therefore, it is imperative for communities to think about and develop sustainability strategies for their projects when planning and developing their programs. Community-developed projects are more likely to succeed and have lasting impacts when community members are involved in building them. The tools presented in this manual will help you develop a project for ANA funding, as well as for other private and public sources of funding.

***Current definitions of the terms used can be found in Appendix B.***

## PPD MANUAL TABLE OF CONTENTS

# Chapter 1

## Community-Led Planning

### Why is community-led planning important?

A community-led project is one that seeks community input and engagement from start to finish. It begins with your Native community identifying the change they want to see in their community and leads to a project designed with their input on the best strategies to achieve that change. By involving your community in project design, you'll build a firm foundation for a successful project that will generate a lasting, positive change.

When a project is community-led, it allows for the community to have ownership over the success of a project and stewardship over how it is implemented. In turn, this drives project participation. It also means the community will be more likely to continue to support positive outcomes of the project after funding and even beyond the life of the project.

Community involvement also instills accountability in you and your project staff because your community will look to you as you make changes, generate outcomes, and create products as a result of project implementation. By consulting and engaging with your community throughout every step of project planning, development, and implementation, you are ensuring that you have a responsive and well-designed project to meet your community's needs.

This strategy also encourages the utilization of Native-led approaches unique to your community. There is no "universal" or "standard" approach to community engagement. What works for some does not always work for all. Each community will have its own unique strategies that work best for them, and it is important to listen and incorporate community feedback when developing the project approach. When our Native communities are allowed to define and develop the approach that works best for them, it strengthens their agency towards self-sufficiency, self-determination, and independence.

A community-led project planning strategy is specifically designed to garner Native-led community input on the following key factors:

- Specific current, measurable barriers that stand in the way of achieving long-term community goals.
- The capacity of the community, your organization, and any potential partners to implement a proposed project.
- Measurable, positive outcomes in the community that address barriers and work towards a long-term goal.
- The level of resources or funding necessary to implement the project.

By working through the planning process with your community and developing a comprehensive project idea, you will be prepared to put together a project proposal for federal, state, and/or philanthropic funding sources.

## Defining "Community"

Before you begin a community-led project planning process, you should work to understand what is meant by the term "community."

"Community" can be a broad term and mean different things to different people depending on the context. The term "community" could refer to:

- A tribe
- A geographical area (such as a reservation)
- A nationality of people
- An organization

A "community" could also be a subset of the community-at-large, for example:

- Elders
- Youth
- Veterans
- Unemployed community members

- Staff
- Cultural practitioners
- Language speakers
- A demographic that your department or organization serves
- And so on...

Throughout the planning process your "community" may become more focused on just a subset of the population who will be served by the project. Additionally, in a project that focuses on improving or increasing organizational capacity, you may find that the staff of your organization, tribe, or Native non-profit is your "community".

Community-led planning is a process for engaging both the community-at-large and any identified community subsets in effective project development.

ACTIVITY 1

## Draw Your "Community" as it is Today

Here's a quick drawing activity to help you define your community currently. It can sometimes be helpful to draw out what you are thinking about before putting it into words. Then, try and capture your community in a few sentences.

| **Close your eyes and take about 20-30 seconds to think of your community in the state it is in today. Now, draw what you saw, including strengths and challenges in your community. If you serve children, you might draw children, their parents, their teachers, etc. Or, if you serve adults, you might draw individuals, their families, their jobs, and their roles in the community.** |
|---|
| |

| **In 2-4 sentences, summarize your drawing.** |
|---|
| |

## Understanding the Difference Between Community Goals and Organizational Goals

It is important to know who your community is, but it is equally important to know who you are as an organization. Without a firm understanding of these two foundations, it can be hard to move forward in the planning process. That's because much of what you will do over the course of this training depends on what you know about your community and how your organization fits within it. You do not want to develop a project without community input; similarly, you do not want to discover halfway through project implementation that your efforts no longer align with your organization's mission. This manual will ask you to consider who you are serving, how you are serving them, and why.

Therefore, in addition to understanding your community's goals—which will be uncovered using the techniques presented over the next several pages—you will want to identify your organizational goals, which are unique to your organization and usually describe how your organization supports your community.

An organization's mission and vision are concise statements that describe where an organization is now and what it plans to be or become in the future. Mission and vision statements can be found in business plans, executive summaries, governing documents, or on the organization's website. They are guiding principles for an organization's direction which are typically created by the organization.

A **vision** statement is aspirational. It generally includes the hope and dreams for your organization, the problem it's trying to solve and why, who your organization is, and what it aspires to change. It also promotes growth internally and externally. A **mission** statement describes how your organization plans on achieving its vision. It usually includes what you do, who you serve, and how you serve them. You may be familiar with mission and vision statements, or you may have read something like the following on your organization's website or on internal communication:

- Example Vision Statement: To create economic opportunities for all members of our Tribe.
- Example Mission Statement: To provide effective and excellent

> resources and services to all members of our Tribe, and do so in a manner that honors our ancestors and aligns with our cultural heritage.

Just remember these are internal organizational goals, not community goals!

However, if statements like those above are unfamiliar to you, you may need to take a step back from the project planning process in order to initiate an organizational development process. If that sounds like you, it is recommended that you take a moment to consider reviewing the following resource before moving forward in this training.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select: Nonprofit Toolkit

Unless you're focusing on an internal capacity-building project where your "community" is defined as your staff, it is important to understand that ***your community's goals must come first and foremost in a community-based project***. Do not select a project that is out of alignment with your internal mission. Similarly, do not change the community's goal just to fit your project idea.

In the next section, you will walk through ways in which to engage the community and understand how their wants and needs can align with the scope of your organization's mission and vision.

# Chapter 2

## Community Consultation and Engagement

*Outreach · Garnering Input · Facilitation*

### How do you get the community involved?

One of the most challenging aspects of project planning is ensuring community involvement because it requires the knowledge and skills necessary to organize, advertise, and then facilitate effective planning sessions. However, engaging the community is critical to the successful planning of your project. And an inclusive planning process will provide the opportunity to seek community direction and to promote community stewardship, building unity around the project.

To maximize results of the community planning process:

- **Keep records.** It is important to document your community involvement process, as these documents provide a record of concerns, positions, and decisions that can be included in your application to verify the inclusiveness of your community-based planning process. Have a healthy discussion on choosing the community development strategy that will work best for your community.

- **Use what already exists.** A strategy for increasing the level of community participation in your planning activities is to think of groups that already exist and meet in the community, such as cultural, school and parent, artisan, elder, and youth groups.

- **Choose wisely.** Meeting with people who are knowledgeable about the community, such as elders and community leaders, is an effective way to collect valuable information. These people are functional leaders and can also help in connecting with and encouraging the involvement of others.

## Forming a Project Planning Committee

***Steering Committee · Advisory Council · Team***

The planning process often begins with assembling a group of community members who will be the project planning committee and will continue to meet during project implementation. A project planning committee is an important step to ensuring that you maintain community input as you move forward in planning. Your project planning committee should be made up of representatives of the larger community who will have their own network of friends, families, and coworkers to tap into.

You'll need to select those people who are responsible as well as have the availability and capability to contribute to the project planning process. Whenever possible, your project planning committee should involve staff, community members, and community or organizational leadership to coordinate planning of new projects. It's a good idea to include some individuals from the following groups when assembling your committee:

- **Community Leaders and Visionaries:** These are the appointed leaders in the community. They often have a lot of drive and focus. They may be creative and solutions-based problem solvers. For example, a business owner who has a wide network of contacts in a variety of fields.
- **Elders and/or Youth:** These are your knowledge holders. Elders typically have cultural and historical knowledge of the community, and they may have a large network of friends and family to draw upon. Youth are your future leaders, with dreams and ideas of where they want to see the community change and grow. They'll have a network of friends to tap into, as well as an understanding of topics that older populations may not have experience with—this may range from youth challenges to new technology.
- **Tribal and/or Organizational Leaders:** This is your internal network. Whether you are a Native-led non-profit, a Tribal Planning Department, Tribal College, or Territorial Government, involving your staff ensures that project development fits

with your mission, vision, and values while maintaining organizational capacity to address the community's concerns.

- **Community Organizers:** These are members of the community who are already driving programs and projects. It is important to include these organizers on your team as they will have insight into what projects are already operating in the community, who is working on them, and how you might build partnerships to further your own project planning goals.

- **Functional Leaders:** These are members of the community who are not leaders in name but operate as leaders in a functional way. They are the movers and shakers who have the networks to get work done. They know everyone and everyone knows and respects them.

- **Financially Savvy Community Members:** You may or may not have access to someone in your community who understands financials. However, if you do, be sure to invite them to join your committee. Their financial expertise will be instrumental as you consider what resources you have available and what resources you may need.

- **Stakeholders:** As project planning moves forward, the planning committee will begin to identify Community Stakeholders who have a personal interest, or stake, in the outcome of the project. These may be project partners or project beneficiaries who want to see the project succeed. You will not know who these stakeholders are until you've begun engaging your community and narrowing the scope of their project idea. As stakeholders are identified, you can add one or two representatives from these newly identified groups to your project planning committee and include them in future planning processes.

The number of planning committee members may vary. But keep in mind that it should be large enough to capture a snapshot of community interests, but still be small enough to manage. It is recommended that you involve no more than approximately 8 people on your planning team. Therefore, you may wish to start with just six people and then add in two stakeholders once identified, bringing the total to eight.

## Putting a Project Planning Committee to Work

Once you've engaged community representatives on a project planning committee, you'll want to come to consensus on a few determining factors and functions and include these in a formal agreement to solidify plans (see link). These include the structure of your team, how frequently you'll meet, and how you'll move forward in the planning process.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select: Planning Committee Membership and Plan of Operation

During your first meeting as a project planning committee, come together and establish ground rules. Agree upon important communication tactics such as leaving cell phones on silent, listening to everyone's input before commenting, or not interrupting while others are talking. Write these down and be sure to review them at the start of each meeting.

Next, you'll want to decide how frequently to meet. The frequency may differ depending on workload, but plan to meet weekly in the beginning and at least quarterly once project implementation begins. This will ensure communication is occurring on a regular, ongoing basis.

Finally, discuss with your committee what they envision the planning process to look like, what information they hope to gain, and what they plan to do with that information. Be sure that everyone is on the same page by establishing your team's mission and vision before moving on. Then you'll be ready to establish a plan for carrying out the project planning committee functions.

The project planning committee has several functions. One major function will be to coordinate the community-based planning techniques that will be discussed below: meetings, surveys, focus groups, interviews, and more. However, other committee functions include relaying information between the individuals a committee member represents (recall the "subsets" on pages 9 and 10) and your team. This allows committee members to bring information from the community to the table and, in return, keep community members informed about project design and development components that are being drafted. For example, a business owner serving on your project planning committee can bring the team information on community businesses and job opportunities and then take planning decisions back to other business owners for feedback and review.

Another function will include reviewing information collected during the research phase and analyzing it to understand what the community hopes to accomplish through a project. Your committee will then be charged with reporting the results of this analysis. The following section will cover tools and techniques to go about these functions. How and when your committee chooses to use them is up to the committee. Just keep in mind that these are common methods but are by no means all-inclusive. Additionally, the techniques presented here can be applied to many different types of planning, used in tandem, or used consecutively to dig deep into a topic of interest.

## Methods of Engagement

***Planning Tools · Planning Techniques · Planning Processes***

Once you've established a project planning committee, get your meetings scheduled and begin work as soon as possible.  It's important to harness the enthusiasm of the committee to get the momentum started.

During the first project planning committee meeting, consider how you can engage members of your community and potential partners as well as build a rapport with new connections. Are there methods that better align with your community's practices and protocols in comparison to others? For example, a face-to-face interaction may be more appealing to your community than cold-calling strangers.

Consider all of the methods available to engage with as many individuals as possible, such as through upcoming events, personal introductions, word-of-mouth, mail, newsletters, public media announcements, social media and so on. It may even be beneficial to start with your community's calendar of events to determine what's already occurring and where you can fit in a discussion about community concerns.

Your goal throughout the planning process is to garner as much community input as possible. This input will provide the planning committee with direction and clarity. The following sections will go over ways you can engage your community.

Be sure that whatever method you choose, you notify participants of your intent to collect information and gain their consent to document the discussions!

## Community Meetings

***Town Hall · Assembly · Council · Gathering · Get Together***

Community meetings are an easy way to gather community input quickly. And piggybacking on an existing event is one of the best ways to do this. These may be formal gatherings such as tribal council meetings where you may need to be added to a meeting agenda, or informal ones like potlucks and celebrations. They may be held in-person or virtually. However, if there are no events, your planning team will need to put in additional effort to host one yourselves.

Once you decide where you'll be meeting, the project planning committee needs to come to consensus on the information you need to discover at these meetings and who you will need to invite. In the early stages of project planning, you may be looking for an overall understanding of challenges faced by your community and you'll want a diverse group of meeting attendees. Afterward, you may want to conduct a Community Readiness Assessment, which is a specific planning process separate from the techniques found in this manual. You can find more information on readiness assessments using the link below. Then later, when you've narrowed the scope of your project to top priority issues, you'll need to go back to the subset of the community most affected by the issue and discover their preferred solutions.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external resource: Community Readiness Assessment

Finally, decide how you will conduct your research so that you uncover the desired information. Your research can be conducted formally or informally during a meeting. Establishing an agenda with talking points is a more formal method. Or, you can informally poll attendees by asking simple questions using a clipboard. No matter your method, be sure to take detailed notes on topics discussed that can then be shared with and analyzed by the project planning committee.

**TYPES OF DOCUMENTATION TO COLLECT:**

- Attendee Lists
- Sign-in Sheets
- Attendee Demographic and Community Subset Information
- Polling Questions and Results
- Meeting Minutes

## Surveys

***Assessments · Questionnaires · Polling***

Conducting a survey is a starting point for getting information from community members. Well-developed surveys can provide information on community priorities and concerns. Your project planning committee will be a valuable resource in putting the survey together and suggesting strategies for its distribution. Committee members can also leverage their connections to encourage the community to return completed questionnaires, whether by mail, in-person, over-the-phone, online, or by email.

Surveys offer a straightforward, standardized, and often anonymous method for community members to provide their input by asking a group of people a uniform set of questions. Here are examples of both close- and open-ended questions to help you get started. However, this is not an exhaustive list. Use any combination of the types found here or identify your own.

Note: the table below showcases types of questions and should not be considered a complete sample survey.

**Table 2: Types of Survey Questions**

| Type of Question | Example Question | Example Response Options |
|---|---|---|
| Yes/No Question | Are you currently employed? | ○ Yes<br>○ No |
| Multiple Choice | Our community meeting resulted in the following six preferred solutions. Which solution would you most like to see implemented? | ☐ Low-Cost Childcare<br>☐ Low-Cost Transportation<br>☐ College Scholarships<br>☐ On-the-Job Training Opportunities<br>☐ Internship Opportunities<br>☐ Job Placement Services |
| Scales | On a scale of 1 to 5, how likely are you to attend a 6-month Job Training Program? | ☐ (1) Not Likely at All<br>☐ (2) Unlikely<br>☐ (3) Neither Likely nor Unlikely<br>☐ (4) Likely<br>☐ (5) Highly Likely |
| Ranking | Please rank these job-related concerns from 1 (most concerning) to 5 (least concerning). | ___ Fear of Failure<br>___ Lacking Necessary Skillsets<br>___ Time Management<br>___ Confidence<br>___ Other: Input your own |
| Short Answer | What do you hope to gain by participating in a job-training program? | Fill in the blank: |

There is no limit to the type or number of questions, but it is recommended that you keep surveys short and simple—10 questions or less to start. This is because people are often bombarded with surveys for one thing or another. So, consider when you might use a survey or if another planning method might work better. You can always go back and ask respondents if they are interested in a follow-up survey that could be longer in length, as needed.

Also be sure your questions are to the point without leading the respondent to answer in a certain way. For the most honest input, keep your questions unbiased. Here are two examples of biased questions with suggestions for how the bias can be removed:

- "What is one concern you have as a member of a community with high unemployment rates?" In this first example, the question leads the respondent to believe that the community has high unemployment and that their answer should be limited to their employment concerns. A better question would be, "What is one concern you have as a community member?"
- "How often do you eat two servings of vegetables a day?" In this second example, the question assumes the respondent eats vegetables and that they eat two servings a day. A better question would be, "Do you eat vegetables?" followed by, "If so, how many servings of vegetables do you eat in one day?"

Answers to survey questions help you and your planning committee to understand what the community wants to see changed or improved. They can also determine the project components that are discussed in future sections of this manual, such as the project goal that the community wants to see accomplished.

To begin, work with your committee to determine the information you would like to gather from your community and how you might uncover it through strategic questioning. Draft your survey and include a brief survey introduction so that respondents understand why they are being surveyed and how their opinions will be used. Then determine how the team will disseminate the survey. There are several methods for publishing a survey:

- Paper surveys are simple and can reach many different people, but may be difficult to distribute and collect. Consider passing these out to people who may not have access to the internet or at community gatherings or in concentrated areas like at elder centers or health centers. A drop box or mailing address where surveys can be returned is useful, as well.

- Electronic surveys through platforms like Google, SurveyMonkey, and many others are easy to use. These may be free services or for-fee services and offer a variety of functions depending on the service option you choose. They can reach many people so long as they have access to the internet. Consider sending these to your organization's listserv, social media, and your committee members' family and friends. Have respondents share the link with others in the community.

- Telephone surveys may be quick and easy, but they are not anonymous! Keep this in mind if you are collecting sensitive information. If your survey is a quick 2 or 3 questions, this might be the fastest way to get answers.

While using a survey may be your go-to method for polling your community, be aware that it might not provide a clear picture of your community needs. For example, it is hard to generalize results for a community of 5,000 people when only 20 people respond to your survey. In general, completed responses from 10-30% of the population surveyed is sufficient. However, keep in mind that a good response rate is determined by the type of survey and the community subset that you are targeting. If you don't receive a sufficient number of completed surveys from your community members, you may need to supplement your engagement strategy with an alternative method described herein.

**TYPES OF DOCUMENTATION TO COLLECT:**

- Blank Survey
- Survey Results
- Number of Respondents
- Demographic Information (if collected)

# Focus Groups

***Group Discussion · Small Group Process · Qualitative Discussion · Small Groups***

A focus group is a method of asking community members to discuss a specific topic, or focus, in order to get more in-depth information. Focus groups are small groups of individuals ranging from 6 to 8 people who represent a wide range of interests. This may sound similar to your project planning committee, but do NOT use the members of your project planning committee in the focus group.

Instead, diversify your focus group participants to reflect the community-at-large and engage those people who have personal experience with the issues they are coming together to discuss. Include participants who can represent families, staff, leaders, and potential project beneficiary groups that may have been identified through a community meeting or survey. Essentially, the participants should be external to your project planning committee and provide a wide perspective on three things:

- The community;
- Their particular community subset; and
- The results you received from your survey, if applicable.

To get started, take a look at the larger picture that you have garnered, whether through community meetings and/or surveys, and hone in on the priority areas that have been identified (for more information on analyzing results, please see the section on Feedback Analysis). Where community meetings and surveys aim to generate consensus, a focus group can be used to closely examine specific issues and identify differences of opinion. Prompting a focus group with unbiased and open-ended questions encourages discussion. However, you may need to host an ice breaker, conduct an anonymous poll, or plan a similar type of introduction to get the conversation started.

Then proceed to engage the group in a discussion of the topic(s) at hand. This can be done in a few different ways, one of which is small group process. Small group process asks the focus group to first spend time discussing and defining the issues along with their implications; then, group members organize and prioritize the issues they identified. All on the Wall is an activity that makes use of Post-it notes to do just that.

The All on the Wall activity is a group effort aimed at generating ideas, drawing conclusions, and prioritizing next steps. The goal is to provide every participant a chance to contribute to the conversation, without judgement or bias. By putting everyone's ideas "on the wall," you will be able to see a larger picture of the community and walk away with ideas you may not have considered before.

In order to conduct this activity with your small group, consider the following steps:

1. To make this activity fun and easy, you'll want to prepare a few materials like Post-it note pads, poster board, pens, stickers and so on.
2. Provide participants with enough Post-its to write down their ideas and contribute to the discussion.
3. Ask each participant to jot down just one idea, issue, or concern per Post-it note. There is no limit to the number of notes they can write.
4. Participants will then adhere their notes to a wall, or similar surface, for everyone to see, discuss, and organize.
5. Have them use stickers to mark those Post-it notes that represent their top priorities, for example, by selecting just three.
6. Patterns will arise as participants make their selections, and, in this way, you as a facilitator will be able to narrow down topics of discussion.

For more instructions on how to conduct an All on the Wall activity with your focus group, refer to Appendix C.

The All on the Wall activity, as well as a number of other small group processes, can be used when identifying the project components described in this manual, including: long-term community goals, barriers standing in the way of reaching those goals, and—further into the planning process—project goals and objectives.

Last but not least, don't make focus groups solely about work! Provide refreshments, include time for participants to visit with each other, network, take breaks, and generally have a good time. Your goal should be to facilitate a flowing conversation around the topic of discussion.

**TYPES OF DOCUMENTATION TO COLLECT:**

- Attendee Lists
- Sign-in Sheets
- Attendee Demographic and Community Subset Information
- Discussion Recordings and Transcripts
- Photographs of Small Group Process Activities
- Written Notes

## Conducting Interviews

***In-Depth Interviews (IDI) · Key Informant Interviews · Coffee Talks · 1-on-1s · Cold Calls***

As you move through the methods presented so far, you will collect information that will narrow the scope of your project, allowing you to identify the stakeholders affected by the issues you are uncovering. Those who are affected by the issues your community faces can inform you of what everyday life is like while dealing with that issue or barrier.

Interviewing provides insight that you may not have considered before. This will be crucial to designing a project that fits the needs of the community and the very people who are expected to participate in the project. Meanwhile, these interviews build trust and rapport with stakeholders as they will ideally become your future participants. But getting someone to speak openly about what may be a sensitive topic is no easy task. Work with your planning committee to define best practices that suit the culture of the community.

Interviews can be conducted in-person, by phone or through the use of an online platform, such as Zoom. They can consist of a set list of questions or be left to open and fluid discussion. Use these moments to discover the preferences and opinions of the stakeholders along with their feelings, motivations, and beliefs. It's also a chance to discuss those personal topics that stakeholders may not want to voice publicly. Be willing to ask follow up questions to gain a deeper understanding of the issues.

Your project planning committee can do this by identifying stakeholders, connecting with them on a personal level, then scheduling a time to sit down together and have a conversation. Again, be sure to get their consent to document the conversation whether that is through a recording or through notetaking.

**TYPES OF DOCUMENTATION TO COLLECT:**

- Interview Questions
- Recording and Transcript of Discussion
- Notes
- Testimonies

## Social Media

***Platforms · Networking Services · Social Networking***

Social media is a great way to share information, ideas, and interests virtually. Although social media is not as reliable as an engagement strategy on its own, it can be used as a networking and communication tool to complement any of the previously mentioned engagement strategies. Social media provides you the ability to share information to a vast audience in minutes or even seconds with minimal to no cost. This can help garner interest in attending meetings, taking surveys, joining focus groups, or eventually participating in your project.

There are numerous social media platforms available. Facebook and Twitter are just two examples of the more popular platforms used today. But not all social media platforms are used in the same way or used by the same audience. Be sure you are using the most appropriate social media platform for the demographic you want to target for your engagement activities.  For example, Facebook may be more popular with an older crowd, but if you want to target youth or young adults, you may want to try a different platform such as Twitter, Instagram, or TikTok.

Developing a social media outreach plan may also benefit your engagement efforts.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select: ANA Outreach and Social Media Toolkit

**TYPES OF DOCUMENTATION TO COLLECT:**

- Comments received on a post
- Poll results
- Clicks, Views, Likes
- Interest Levels

## Secondary Sources

***Scholarly Research · Second Party Data***

While the techniques described above generate primary sources of information (i.e., information gathered directly through community input), secondary sources are often generated through third-party research by people who have not had first-hand interactions with community members.

Secondary sources, like historical records, statewide data sets, or a national census, aren't always accurate, current, or reliable, especially if a third-party is reviewing and analyzing the data. This is why it is highly recommended that your project planning committee conduct its own primary research.

However, secondary sources can be used to verify and support claims made by your community members. For example, if your community members tell you that they are experiencing high rates of unemployment, then a secondary source from the county or state Employment Commission might be able to tell you the percentage of unemployed people in the area.

As you search for secondary sources, be sure that you are pulling from local data as frequently as possible rather than regional or national data. The further removed from the community to be served, the less relevant the information becomes.

To find secondary sources, your project planning committee can tap into existing research and studies conducted by tribal agencies, such as the Indian Health Service (IHS) or Temporary Assistance for Needy Families (TANF), by colleges or libraries, or by state agencies or other parties of interest. The types of claims being made by your community (such as high crime rates or poor housing quality) will help to determine where to look for supporting data.

Once data is collected, record where you found this information so that it can be easily referenced and found again. You can use these citations as a jumping off point for evidence-based project design and within your funding applications as supporting data.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select: Source Citation Template

**TYPES OF DOCUMENTATION TO COLLECT:**

- List of Sources
- Citations

## Feedback Analysis

***Results · Review · Data Synthesis***

As mentioned throughout this section, community input is an important piece of the planning process. But equally important is how that community input is collected, reviewed, and analyzed. Quality data collection leads to relevant project plans. Those plans then enable you to easily and effectively draft competitive proposals with which to seek funding. And funding is what drives a great program, leading to community-wide change.

Throughout the data gathering process, you will be collecting lots of different kinds of information in various forms. It will be up to your planning committee to organize this information and analyze the major findings from each of your engagement efforts.

Some techniques will generate results automatically, such as online surveys that combine survey results and display them in handy graphs or charts. However, most techniques will require that your team review and compile results manually.

As you read through the results of your engagement, consider what patterns are emerging. Are there particular issues that several people agreed were a concern during a group meeting? Was a particular goal noted as being a top priority during a focus group? Did more than one individual suggest a specific project idea during your one-on-one interviews? These commonalities will help your committee focus your project design on the interests of the community.

Not every engagement technique will turn up a perfect result each time. You may find that while some topics are well-discussed and fleshed out, others are still vague. If needed, you should take those vague topics back to the community for further discussion. If you tried a community survey at first, dig deeper with a focus group. If you conducted an interview, use their testimony to set up a poll on social media. Whatever the method, being as detailed as possible up front will save you time down the road when you are halfway through planning the project or even drafting your application.

You can then use your analysis to draw conclusions about what the community wants to see within a community-based project.

ACTIVITY 2

# Draw Your COMMUNITY'S Ideal Condition

| Using the feedback you collected, draw the ideal state your COMMUNITY has said they want to be in: |
| --- |
| |

| Summarize what you drew in 1-2 sentences: |
| --- |
| |

| Compare this drawing to the one you did in Activity 1. Are they the same? What are the similarities? What are the differences? |
| --- |
| |

# Reporting Results

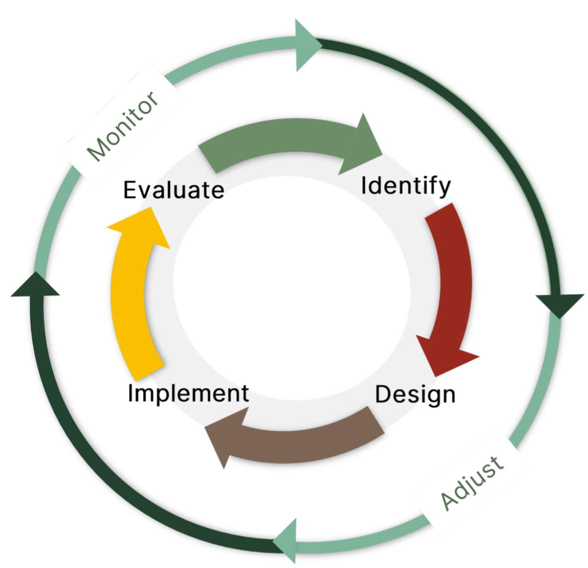
***Summary · Dissemination***

The final phase of community engagement is reporting out results. In doing so, you can ensure that your information gathering, analysis, and conclusions align with community wants and needs. You can also use the time you spend reporting to gain more feedback and make improvements or new iterations of project designs. Always go back to the community as the touchstone of your project.

To do this, you can simply summarize the results of your primary and secondary research and make this public. You can report your findings at Tribal Council meetings, on your community's website, in newsletters and e-blasts, or on social media.

Reporting has the added benefit of maintaining community trust and stewardship over the project. This is not a "one and done" process. Rather, continually engage your community throughout the lifecycle of the project, from planning to implementation.

Here is a helpful diagram of this engagement process. Planning and managing a project follows a logical, continuous cycle. Each phase of the project leads to the next. Begin by identifying your community, then hold project planning committee meetings to design an engagement plan. Implement your engagement plan within the community and then evaluate the feedback. The cycle begins again when, using the feedback you collected, you identify the community's concerns, design a responsive project, implement the community-based project, and gain community feedback on the success of that project. You then continue to identify ways to improve. This cycle goes on and on, all while you are monitoring your progress and making appropriate adjustments.



# Chapter 3

## Long-Term Community Goals

*Long Range Goals · Aim · Intent · Purpose*

### What is a long-term community goal and why do you need one before project planning?

One of the most challenging aspects of project planning is ensuring long-term community goals are a vision of an ideal community and the foundation for all projects. They are established by community members and describe ideal conditions in specific focus areas that a community would like to move towards. This vision can grow and change over time as goals are achieved and new priorities are identified. They can also grow and change when community members participating in the process change.

It's possible that your community's long-term goals have already been identified in a comprehensive or strategic plan. If these exist, you can typically find them housed with an organization's guiding documentation. Here's what to look for:

- **Comprehensive Plans**
  A comprehensive plan involves completing a community-wide assessment to engage members in identifying and prioritizing their long-term goals and the benchmarks that they want to use to measure progress toward achievement of those goals. A tribal comprehensive plan, for example, typically covers infrastructure development in multiple domains such as housing, education, environment, language, economic development, etc. Comprehensive plans usually require at least a year to complete and are long-term, covering anywhere from a five- to twenty-year timespan.

- **Strategic Plans**
  A strategic plan is created when a community or organization

already has a comprehensive plan or an established set of long-term goals, and they are ready to start addressing one or more of the identified long-term goals. The strategic plan created by this process provides details that are used to develop projects that will address current barriers and move toward a high-priority long-term goal. A strategic plan generally takes several months to draft and is structured to be accomplished in a two- to five-year timespan.

For an internal capacity building project, your community is your internal staff and organizational structure. In that case, a long-term goal might appear as a vision statement.

Tribes and organizations are not the only entities that can have long-term goals. Subsets of a larger tribe, community, or organization (e.g., youth, elders, Department of Economic Development) may have created them for their individual subset community. A long-term goal statement might have been documented in community-wide surveys, focus group meeting notes, or community meeting minutes. Start your search in these areas first.

If you cannot locate a long-term community goal, you will need to develop one. Information you gathered from the community engagement activities described in Chapter 2 can provide valuable insight and assistance with developing a long-term community goal.

For example, you can work with community stakeholders using the small group process described above to whittle broad community visions down to a single statement of the ideal community condition.

The long-term community goal should optimally describe just one facet of the community, such as housing, health, education, language, culture, or some other community priority. It's okay to have a multifaceted statement, but these are more difficult to pull apart and plan projects around.

After engaging in community-led planning and conducting community-based research, you are ready to begin project development. For the purposes of this manual, imagine you've conducted a lengthy community discussion and the community identified the following long-term community goal. This statement will serve as the basis for the examples provided throughout this manual.

**Long-Term Community Goal:**
All employable community members ages 18-50 will be able to access living wage permanent jobs.

## ACTIVITY 3
# Long-Term Community Goal

| 1.) Do you already have existing long-term goals? If so, complete the next 2 statements. If not, move to #2 below. |
|---|
| Identify where you found the goals documented (e.g., strategic plan, vision statement, survey results, etc.). |
| |
| If more than one exists, describe how you and your planning committee will select just one (1) to address through the development of a project. What is it? |
| |
| **2.) Do you need to engage your community to establish a long-term community goal?** |
| Using an engagement method, such as a small group process activity like All on the Wall (see Appendix C), list the top three (3) long-term goals your community identified: |
| |
| Identify the one (1) long-term goal that was selected by the community and is most appropriate for your organization to address: |
| |
| How will you document your community's consensus (e.g., meeting minutes, focus group notes, survey results, etc.)? |
| |

# Chapter 4

## Identify the Barrier to Overcome

***Problem Statement · Current Community Condition · Statement of Need***

### What is preventing you from achieving your long-term community goal? What is your primary barrier?

Now that you've identified a long-term community goal, how do you turn that into action and work toward achieving it? The next step is to explore and identify challenges your community faces.

What is preventing your community from taking that next step toward achieving its long-term vision? Identifying the barriers impeding your forward progress, and choosing a specific barrier to address, forms the foundation of a project designed to support your community's momentum.

When you **identify the barrier that your project will overcome**, you channel the energy of your community's organized work into tackling a specific barrier holding it back from realizing its long-term community goal. Creative problem-solving and capacity building to successfully overcome the barrier will, in turn, free community energy to be redirected into sustaining outcomes and increasing wellbeing.

### Identify Barriers, and Choose One to Overcome

Community engagement remains crucial in this phase of project planning. As you did in the initial planning stages described previously, seek out and create opportunities to solicit community input, this time to identify all of the barriers that may be holding your community back from taking the next step toward achieving the long-term community goal.

If your community has engaged in this kind of consultation before, then comb through the pages of resulting reports, studies, and meeting minutes for any previously identified barriers. If that kind of documentation does not exist, then engage your community in conversation, which may include stakeholders from groups like organizational leadership, the tribal council, a steering committee, or other subsets of the community that will be involved. Prioritize your community's processes, norms, and cultural protocols. See Chapter 2 for community engagement processes.

An All on the Wall activity can be useful here:

- Start by having your community list all the barriers that they feel are preventing them from reaching their shared long-term community goal.
- Next, have them rank these problems in order of severity. This can be done in any facilitated process, purposeful discussion, or research method that your community deems appropriate to reach meaningful consensus.
- The top-ranking barrier becomes the basis for your project.

With a primary barrier identified, your project development team will experience an increased sense of direction. At this stage, however, the destination still remains imprecise: the barrier you identified through brainstorming is more than likely a little vague. In order to define a barrier concrete enough to be demonstrably reduced, improved, or eliminated, you'll need to flesh it out with evidence.

## Why Is It a Barrier and How Bad Is It?

Examining the nuances of the primary barrier your community identified—its scope, magnitude, angles, and history—will help you understand the nature of the problem and, later, design the appropriate strategy to overcome it.

After completing a community assessment, think about the concerns the community has defined, potential sources of information that could verify the community's priority concern(s), and the means of gathering that information. Table 3 is an example of how to identify information that would support a community's identified concern. The table depicts the barrier that the community wants to address, sources that can provide relevant information, and how information will be collected.

**Table 3: Pre-assessment Information Gathering**

| Condition to Determine / Define | Source of Information | Means of Gathering Information | Comments |
|---|---|---|---|
| Identify barriers that prevent Native youth, ages 18-25 from obtaining employment | Contact tribal or community job center and high school counselors | • Phone calls and emails to obtain<br>• Unemployment data<br>• Staff analysis of current barriers | Interview community leaders to determine their perspectives. Get data on barriers from other Native/ non-Native communities. |

Reliable data and evidence are essential to establishing a baseline for the barrier that accurately describes the extent of the barrier at the start of the project. Project planners use such baseline data to define the "before" state: a benchmark to which post-project data (the "after" state) can later be compared to demonstrate how the project ultimately reduced, improved or eliminated the barrier and positively benefited the community.

Research can be conducted by your tribe or organization, but comprehensive studies, while likely valuable, may require considerable effort and cost. Pre-existing data is often more efficient to utilize, when available. Broad community needs assessments, landscape analyses, and community-wide surveys that already exist may serve as strong secondary sources. Secondary data might also include census reports (state or federal), industry reports, regional reports, or reports from partner organizations. It may also be worth exploring less formal meeting minutes or oral history transcripts to obtain this information.

If, after researching, you find that the evidence does not support the identified barrier, choose the next barrier identified. Similarly, if your Tribe or organization does not have the capacity at this time to address the barrier, then you may want to choose the next barrier identified on the priority list compiled by the community.

In all cases, maintain a list of any sources you cite (this will be helpful in grant writing and research later), and assess the reliability, relevance, and publication date of each cited source.

## Defining the Barrier

After you have identified a barrier for your project, it is important to articulate what exactly it is. Synthesizing the description of the barrier into a single, concise statement helps to narrow team members', stakeholders', and partners' efforts, and ensures that the barrier is consistently restated and uniformly interpreted.

A clear and concise description of a specific barrier is also extremely useful in grant writing. Many funders ask applicants to define a **problem statement**. Others, like ANA, require a **current community condition**.

In either case, when crafting a single statement about the specific barrier your community has chosen to overcome, focus on:

- validating the scope of the baseline condition with data or evidence
- defining the population that the barrier impacts
- providing an analysis of root causes contributing to the barrier

**CURRENT COMMUNITY CONDITION:**
The unemployment rate of the 83 youth ages 18-25 in our community is 75% and has been at or about that rate for over two years because their job skills and experience do not match current job requirements.

The identified barrier should have a relationship to your tribe, community, or organization's mission, purpose, and long-term goals. Specificity will be helpful, such as providing a baseline population number if you reference percentages in the community condition statement (e.g., "The unemployment rate of the 83 youth...is 75%"; "Of 749 single-family households, 29% are under the federal poverty level").

## The Barrier is More Than a Lack of or Need for Something

Often, project planners make the mistake of writing a problem statement that simply states that the community "lacks" or "needs" something. The inherent logical flaw with citing a "lack of" or a "need for" a thing is that it suggests what you think is the solution, rather than describing the problem that a solution would solve.

Consider the statement: "Our community lacks a job training center." What is the problem that a job training center would solve? If you haven't articulated the barrier or come to understand the community condition, how do you know that a job training center is the right solution? Why not home-based farming? Or an on-the-job apprenticeship program? More knowledge of the barriers and current community condition is needed before you can start prescribing solutions. Describing existing barriers, rather than wish lists, as your crucial problem statement also establishes a stronger foundation for the argument you might propose to funders.

**Table 4: Avoiding "Lack Of" or "Need For" Problem Statements**

| **Flawed Problem Statement** | ***Instead, ask yourself...*** | **Improved Problem Statement** |
|---|---|---|
| There is a lack of jobs in our community. | *What problem would more jobs solve?* | Our community has a 45% unemployment rate. |
| We don't have enough speakers and we need more language classes. | *What problem would more speakers solve? More classes? What is the urgency?* | With only 3 first language speakers and one community language class, our language is at a high risk of being lost. |
| We need an Elder's Center. | *What problem would having an Elder's Center solve?* | 60% of Elders in our community are experiencing isolation. |

ACTIVITY 4
# Identifying the Barrier to Address

| **1. Write the Long-Term Community Goal that was identified in the previous activity here:** |
| --- |
| |

| **2. List the barriers, gaps, or challenges that stand in the way of reaching the Long-Term Community Goal. Then rank them.** | |
| --- | --- |
| **Rank** | **Condition** |
| | |
| | |
| | |
| | |
| | |

| **3. From the list above, which one barrier, gap, or challenge could your project address? Write your one choice from the list above here.** |
| --- |
| |

| 4. Based on the barrier stated above, where would you find baseline information that documents the condition? What kind of evidence is available, (e.g., statistics, survey results, research, etc.)? |
|---|
| |

| 5. Describe the community that is affected by this barrier. Identify if it is the entire community or subset(s). How were they involved in identifying the barrier? |
|---|
| |

| 6. What created this barrier? Identify the root cause(s) in the space below. |
|---|
| |

# Chapter 5

## Determine the Project Goal

### How will your project get you past your primary barrier? What is your project goal?

Guided by your community, you've crafted a long-term community goal and identified the barrier standing in its way. In this chapter, learn how to find a **project goal** aimed at overcoming the barrier.

The goal of your project is to reduce, improve, or eliminate the barrier that you identified with your community. Therefore, this project goal is often the inverse of the problem statement you identified. Generally speaking: If the barrier is high unemployment, your project goal is to decrease unemployment. If native language fluency is low, your project goal is to increase language fluency. Add to that a specific method by which to address that barrier, and you'll determine a project goal that can serve as a guidepost for your project team and partners.

## Determining a Project Goal

The project goal describes the purpose of the project and will be made clear through your conversations with the community. These conversations will likely generate a range of solutions to the identified barrier. They will also shed light on the solutions that are most pressing, perhaps even changing the direction of your project.

Rather than being fixated on "one good idea", spend time prioritizing the community's suggested solutions and determine which are the highest priority, most feasible, and of the most interest. In doing so, you will ensure community ownership and stewardship over the resulting project plan.

Next, take the solution of the highest priority and summarize it as a project goal statement. The project goal statement can address the specific barrier identified earlier or increase the community's capacity to address the barrier. The goal statement represents the improved situation that will be achieved as a result of the project's successful completion.

In the following example, project planners found in the course of conversations with the community that construction jobs represented a great opportunity to address the identified barrier of youth unemployment, thereby moving the community closer to its long-term community goal of good jobs for all.

The project goal should relate to the long-term community goal that you identified earlier.  This statement should be brief and to the point, as well as realistic. Your goal determines the scope of your project, so do not state that your project will accomplish more than it possibly can.

**Long-Term Community Goal** - All employable community members ages 18-50 will be able to access living wage permanent jobs.

**Primary Barrier** - The unemployment rate of the 83 youth ages 18-25 in our community is 75% and has been at or about that rate for over two years because their job skills and experience do not match current job requirements.

**Project Goal** - Decrease the unemployment rate of Native youth ages 18-25 in our community.

ACTIVITY 5

## Determine the Project Goal

Fill out the information requested below. You may need to come back and revise this after you've fleshed out your approach.

| Write the barrier, gap or challenge you chose to address in the previous activity here. |
|---|
| |

| What is the proposed solution? |
|---|
| |

| Flip the problem and incorporate the solution. This will be your Project Goal. |
|---|
| |

# Chapter 6

## SMART Objectives · TTIP Objectives

### How can you make achieving your project goal more manageable?

**Objectives** are measurable achievements that show progress toward reaching the project goal. While the project will have just one goal, there can be several objectives working towards achieving that goal.

Objectives are also the over-arching method you will use to achieve the project goal. For instance, if your project goal is to increase native language fluency among K-4 students, one question you might ask is, “How do you propose to do that?” and the answer might be developing curricula and training native language teachers. These could be the basis for two objectives because they represent two different methods of language teaching and involve separate, unrelated activities to achieve them.

Below are some questions that will be helpful to consider before you begin formatting your objectives:

1. **What needs to be changed?** State what will be reduced, improved or eliminated
2. **Who in your community will experience this change?** Define who will be the beneficiary or the population
3. **How do you intend to achieve this?** Identify how the intended change will be made
4. **How much change do you need for it to be meaningful/achievable in the given timeframe?** Determine the amount of change expected as a result of the project
5. **What’s the time frame?** Define how long it will take for the change to be achieved

The table below shows how these questions might be answered using the example of a youth workforce development project:

**Table 5: Guiding Questions to Draft an Objective**

| Question | Manual Example |
|---|---|
| What needs to be changed? | Reduce unemployment rate of Native youth |
| Who in your community will experience this change? | Native Youth aged 18-25 |
| How do you intend to achieve this? | Provide training and job placement assistance |
| How much change do you need for it to be meaningful/achievable in the given timeframe? | Training 20 youth and placing them in jobs will realistically reduce unemployment rate for their age group |
| What's the time frame? | 3 years |

You can repeat this exercise for each of your proposed objectives. Many funders determine the number of objectives they want to see in your proposal; others leave this up to the applicant. The number of objectives will highly depend on the design and complexity of the project. Ideally, there should be 1-3 objectives per project because you don't want to propose an overambitious project that you will have trouble completing within the timeframe. Also, there is nothing wrong with having only 1 comprehensive objective for the entire project.

Now let's look at how to format objectives:

## SMART Objectives

Once you've settled on the answers to the above questions, you can move onto developing the objective. Let's start with a SMART objective* which is the most common format for funding agencies:

- **Specific**: What will be done? What strategies will be used?
- **Measurable**: What metrics will you use to measure progress? How much or how many are you targeting?
- **Achievable**: Can it be accomplished within the timeframe and with the given resources?
- **Relevant**: Will achievement be relevant to advancing the population toward the project goal?
- **Timebound**: By when will this objective be accomplished?

You can you see how easily the answers to the questions asked earlier fit with the SMART criteria.

* Be aware of slight variations of the SMART acronym. Be sure to adjust to the format required by the agency from whom you're seeking funding.

***Sample SMART Objective:***

| **By the end of 36 months, the Turtle Island Tribe will reduce the unemployment rate of Native Youth by 50% by providing job training and job placement assistance.** | |
|---|---|
| Timebound | By the end of 36 months, |
| Relevant | the Turtle Island Tribe |
| Achievable | will reduce the unemployment rate of Native Youth |
| Measurable | by 50% |
| Specific | by providing job training and job placement assistance. |

## TTIP Objectives

ANA has its own objective format called TTIP. TTIP Objectives have the following characteristics:

- **Timeline** – a timeframe by which the objective will be accomplished
- **Target** – a measurement for the intended amount of change
- **Indicator** – a measurable sign something has been changed
- **Population** – a specific group the project will focus on

Let's fit our example into the TTIP format:

| By the end of 36 months, our Native youth will reduce their unemployment rate by 50%. | |
|---|---|
| Timeline | By the end of 36 months, |
| Population | our Native youth |
| Indicator | reduce their unemployment rate |
| Target | by 50% |

A few things to keep in mind when developing TTIP objectives:

Each objective should only include one timeline, one target, one indicator and one population descriptor. If you find yourself listing several of one component, such as indicators, consider editing so that there is only one element or splitting into additional objectives.

An important aspect of TTIP is that the target and indicator are tied together. A common mistake is to tie the target to the population. A tip you can use to double check is to see if the objective answers the following questions:

- What will be changed? – this is the Indicator
- How much change will occur? – this is the Target
- For/By whom will the change happen? – this is the Population
- By When? – this is the Timeline

Below is a template you can use as a starting point for developing project objectives that align with the TTIP format. Once you've entered the required elements, you can wordsmith further if needed, but be sure not to drop any, or add more, of the TTIP components.

By ____________________ (When = Timeline), ________________ (Who = Population) will increase/decrease ___________________ (What = Indicator) by/to ______________________________ (How Much = Target).

ACTIVITY 6

# Draft an Objective

| Question | Answer |
|---|---|
| What needs to be changed? | |
| Who in your community will experience this change? | |
| How do you intend to achieve this? | |
| How much change do you need for it to be meaningful/achievable in the given timeframe? | |
| What's the time frame? | |

| **Using the SMART format, combine the above answers to write a single-sentence project objective.** |
|---|
| |

| Is your objective: | Answer: Yes or No |
|---|---|
| Specific, with results described? | |
| Measurable, with a metric and target? | |
| Achievable with the time, resources, and capacity available? | |
| Relevant to the service population? | |
| Timebound, with a deadline? | |

If your objective does not fit the SMART format, go back and revise it!

# Chapter 7

## Metrics of Success

*Evaluation · Outputs · Outcomes*

### How do you measure the impact of accomplishing your objectives?

So far, you've defined a project goal and designed actionable objectives to overcome the barrier standing in your community's way of achieving its long-term community goal. Equally important is determining how you will measure the impact of your project. In this section, we will discuss how to measure progress, outcomes and outputs (and how they relate to objectives), programmatic evaluation, and capacity for evaluation.

## Why is an Evaluation Process Important?

It is very important to evaluate your project in order to determine if objectives are being met effectively and efficiently. Ongoing evaluation generates information that can guide decisions about the project, for example what adjustments might be necessary for success. This information helps convey progress to your tribe or organization and is also usually a funding requirement for many grants.

There are several factors you will need to consider before proceeding:

- What is your timeline?
- What personnel, software, tools, or training will be needed?
- What data will need to be tracked and how often?
- What is the best method(s) to develop evaluation criteria?

There are different types of evaluations you can employ based on the project phase: pre-project, ongoing, or post-project. These phases determine what type of evaluation is needed, when it will take place, who will facilitate, and what you will track.

Among the types of metrics of success you will be tracking, consider your outputs and outcomes. It may also be helpful to refer to your objectives and identify what needs to change. Remember, it is important to quantify your progress and know the numbers. If you can't measure something, you can't tell if you're performing well or if you're off-track and need to course-correct.

Below are some examples of an intended change you want to address in your community and how you may track related information. This is not an exhaustive list and is only meant to give you suggestions for your evaluation process.

**Intended Change**: Increased employment

***Possible Tracking Method***: Number of participants obtaining employment

**Intended Change**: Increased internal capacity of a Native Organization

***Possible Tracking Method:*** Number of funding sources and total value of resources available for services to community members

## Developing a Plan for Your Project

In addition to measuring effectiveness and efficiency of a project, your evaluation will determine the achievement level of project objectives. Findings from an evaluation will also help a tribe or organization plan, as it can identify additional or unresolved barriers within the community remaining to be addressed. Every agency and funder may have a specific way of evaluating projects. Make sure to follow the specific requirements of the agency or funding source you're applying to.

## How Will You Measure Progress Toward Achieving Your Objectives?

You will need to measure your project impact to determine any progress made towards your objectives. This may entail tracking a variety of different targets: is your project generating relevant and necessary products or services? Is your project positively benefitting your project population(s)? Referring to your grant requirements or internal policies can help guide your evaluation process and ensure you are analyzing the correct information. Developing a habit of data collection can lead to iterative improvement within your organization.

There are many different measurement tools available, and each use a different set of measures. For example, self-assessments and proficiency tests will track change over time. You can have participants take these before they begin classes and again at the end to determine how much they have learned or developed. In this case, you might use scales to gain insight on their knowledge or personal opinions. You might also compare end results to starting baselines by converting responses into percentage points. If you use percentages, be sure to describe what those percentages mean in terms of whole numbers.

Another type of measurement tool might be conducting a site visit where staff collect observations and testimonies from participants. Observed change can be a useful way to verify progress towards achieving your objectives.

For a technology-based project, you might need to use an online analytics tool to monitor such measures as pageviews and user access. So identifying which one is appropriate will require some research. Determining your evaluation methodology is equally important. From which groups will you collect data and how often? What is the most efficient method of communication within your organization and community? It is also worth noting that the design of your evaluation will facilitate the data collection process. Clearly describe what you are measuring and make sure your evaluation questions are relevant.

## Capacity to Conduct Ongoing Evaluation

Equally important to the evaluation itself is your ability to administer it through-out the life cycle of your grant. You should regularly monitor and evaluate the project's progress in carrying out work plan activities, completing project objectives, and staying within the approved project budget. This "process evaluation" determines if the project is being conducted in a manner consistent with the proposed work plan and whether the project activities will lead to project success. Your evaluation should be referenced in your policy and procedure manual, and if not, you may want to develop related policies. Additionally, if your organization does not have the capacity to facilitate this function, it may be worth exploring external agencies with whom you can partner.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select: Monitoring and Evaluation Toolkit

ACTIVITY 7

# Creating an Evaluation Plan

| Who will be responsible for leading the project evaluation, and who will be supporting the process (project staff, managers, volunteers, consultants, etc.)? |
| --- |
| |

| What information will you be evaluating (attendance, project completion, hours of instruction, etc.)? |
| --- |
| |

| How often will you need to conduct an evaluation (monthly, quarterly, annually, etc.)? |
| --- |
| |

| Why are you performing the evaluation (grant requirement, monitoring, improvement, etc.)? |
| --- |
| |

| What will you use as an evaluation tool? |
| --- |
| |

| Where will evaluation take place? Where will data be kept? |
| --- |
| |

## Identifying Project Outputs

The outputs from your project are defined as "tangible products or services generated as a result of your project activities." Your outputs result from activities that, when completed, move you toward the achievement of your project objectives. Examples of some potential outputs may include number of participants, development of a community language calendar, classes offered, or formal partnerships established. When defining your outputs, consider how many can reasonably be achieved within a given timeframe. For example, is six family language classes per week feasible? Can staff reasonably produce a language dictionary in one month?

## Defining and Pursuing Outcomes

Your project outcomes describe the positive change occurring within your community as a result of the project; these can include overall changes in behaviors, knowledge, skillsets, and attitudes. A single project may result in several different outcomes. Your outcomes are a reflection of how your community members lives improve as a result of the project.

Outcomes that could result from our project example may include an increase of average wages or a decrease of unemployment. Below are some examples of outcomes based on a variety of project objectives.

**Table 6: Sample Outcomes**

| Objective Example | Outcome Examples |
|---|---|
| TTIP<br><br>By the end of the 36th month, 20 local artists will have increased personal revenue by 25% through the new artist co-op. | Increased sales of traditional products through brick and mortar stores or websites<br><br>Decreased dependence on social assistance<br><br>Increased cultural tourism More people in jobs they love<br><br>Artisans make a living wage through sales of their art |
| SMART<br><br>By the end of 24 months, 75 village members will have attended 400 hours of community language classes and increased their proficiency by one language level. | Increase on language scale in adults engaged in place-based and traditional-activities language learning<br><br>Increased fluency levels (individual & community wide)<br><br>Increased proficiency levels Increased cultural connection<br><br>Increased engagement between fluent speakers and novice speakers in community settings |
| SMART<br><br>By the end of the 36th month, Pacific Northwest Tribe will recruit, train, and certify 10 Tribal members to be employed as water quality technicians. | Increased access to clean water<br><br>Increased capacity of Tribal Government<br><br>Increased environmental/ compliance jobs<br><br>Increased awareness of water rights, protection and enforcement codes by community |

These examples are meant to provide you with a general sense of the kinds of observable effects that might occur after the completion of an objective. As a reminder, your outcomes are reflective of how your project impacts your community.

## Outputs vs Outcomes

As mentioned previously, your long-term community goal informs your project objectives. Your project objectives guide activities which then result in measurables: these are your outcomes and outputs. The difference between outputs and outcomes can be confusing as both reflect change as a result of your project. However, these terms are different and not reliant on one another.

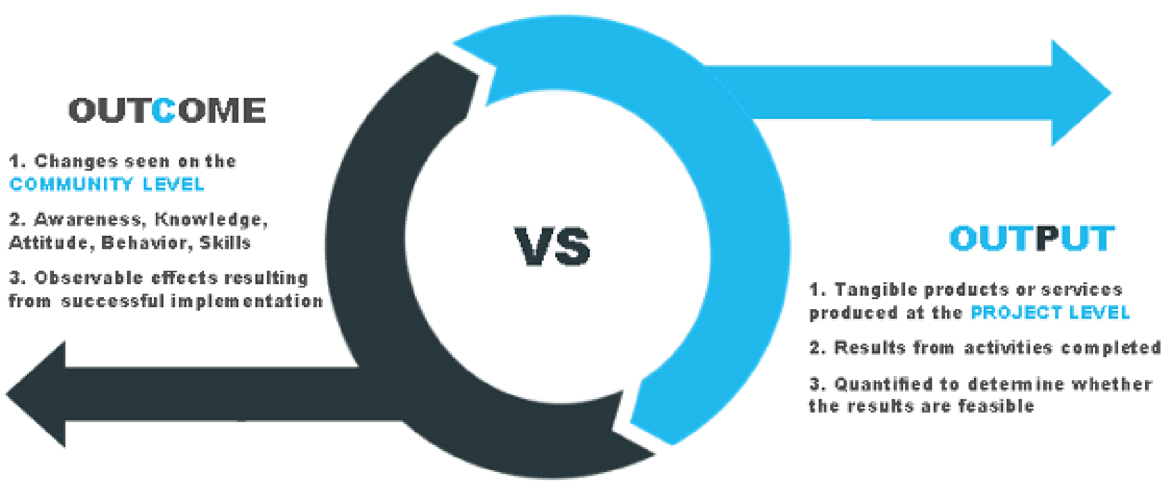
Outputs are measurables related to project activity. These support the achievement of the objective and are obtained once the activities are completed. The outcomes are the changes or results that the organization expects to see after the successful completion of the project; an outcome is a positive change that community members experience because of what you do.

Below is a comparison illustrating the difference between outcomes and outputs.

**Project Objective** - By the end of 36 months, the Turtle Island Tribe will reduce the unemployment of Native youth by 50% by providing job training and job placement assistance.

**Output Examples** - Number of certifications obtained; training curriculums developed; number of partner agencies

**Outcome Examples** - Increase in employment; decrease in unemployment applications; increase in average wages



# Chapter 8

## Approach: Project Work Plan and Activities

### How do we develop a project approach that fits community needs?

At this point, you've identified the barrier that needs to be addressed, developed a project goal, objective(s), and outcomes. How does this flesh out into a fully developed project?  This will be addressed in your approach or the heart of your application because it will describe the work to be done.

If you haven't done so already, this may be the time to establish an internal working group. While project planning committees are still an essential resource for community input, guidance and oversight, the working group would be a smaller group of 3-4 people who will be responsible for managing all the project information developed and eventually, writing the application. Engage those planning committee members who have the skills and ability to commit to being part of this working group.

Consider the following as the working group begins to document the process that will be used in your approach to project implementation:

- Don't be afraid to use Native-led approaches and practices as your guide.
- Use the input and knowledge of your community as well as best practices from the successful completion of other projects to guide you in selecting an approach.
- Look to partners or other communities doing similar projects for inspiration. Research best practices and materials; modify and incorporate them wherever possible.

- Keep the scope specific to the project goal and objective(s). Resist the urge to solve all community concerns with one project. Focus on what was prioritized.
- If the scope of the project becomes too big, you may need to break the project into phases that could be funded by several sources over time.
- Think in terms of what can be accomplished the entire length of the project and plan accordingly.
- Ensure your approach is in-line with the resources and staffing you have available, or anticipate having available, for project implementation.
- Design your strategy so that the activities and outcomes build incrementally to establish a clear path for achieving your goal.
- Avoid jumping on the bandwagon of trending projects unless it fits with the priorities identified by your community.
- Review the funding opportunity you're applying to and make sure to read it in its entirety.

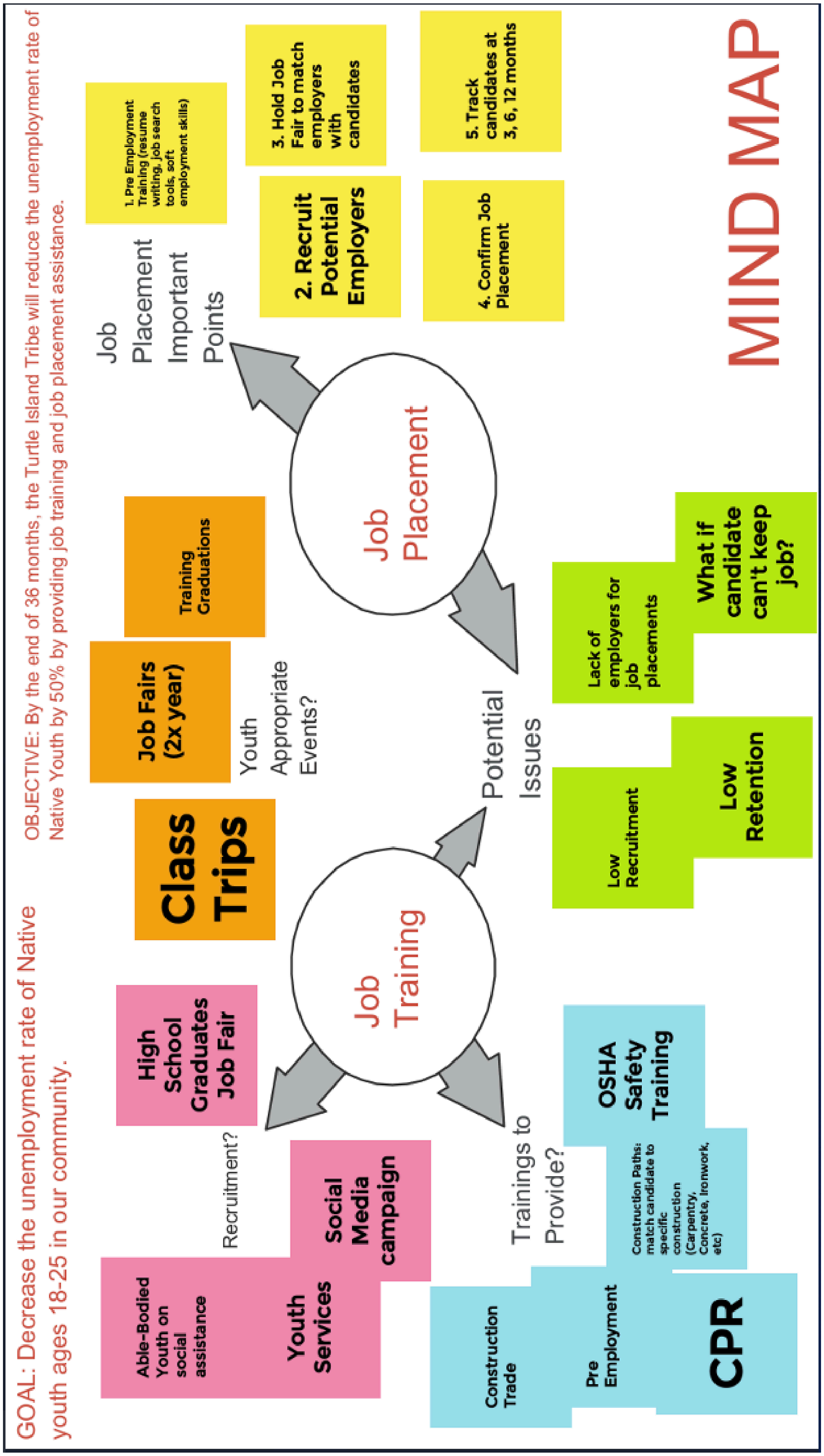
## Brainstorm Approach

This phase of project planning might sound daunting but having a brainstorming session with your planning committee and additional working group members will help. Brainstorming is an effective method to visualize high-level concepts for project ideas and design which will become the project approach. It is particularly appropriate for the planning stages of project development because it helps facilitate group ideas which can lead to innovative projects. It is very important to keep the focus on the community's priorities. Your group will have to resist the urge to plan the most exciting project you can come up with that doesn't include the community's input. The reason for this is if the community feels their input wasn't considered, it could affect the project's success, especially if their participation is essential. Therefore, once an approach is developed, be sure to take it back to the community to be sure you've interpreted their input correctly. If they feel you are off base, go back to the drawing board.

## ACTIVITY 8
# Brainstorming the Approach

It may be helpful for your working group to use tools to visualize and brainstorm the approach. Consider using a real or a virtual white board for brainstorming ideas or a Mind Map/Diagram to organize ideas.

- Step 1: Ensure participants have enough background by providing materials to them beforehand. This will make the process more efficient since less time will be spent bringing people up to speed.
- Step 2: Select a strong moderator who will guide the session and enforce any agreed upon ground rules.
- Step 3: Choose participants wisely. It's fine to have participants with opposing views. Keep the group size manageable at around 5-7 people, including the working group and selected Project Planning Committee members.
- Step 4: Choose an appropriate venue to stimulate creativity. Perhaps collect cell phones so you have everyone's focus.
- Step 5: Have someone take notes, whether a volunteer from among the participants or an individual brought in specifically to perform this task.
- Step 6: Start the session by reiterating the project goal and objective(s) decided on earlier so everyone's focus is specific to what you want to accomplish.
- Step 7: Free associate concepts; organize and prioritize what to include in your project.
- Step 8: Stop when you feel you've charted a path towards the goal and objective(s). Review the group's work and the alignment between the goal, objectives, and newly developed approach. It might be necessary to tweak the language of the objectives to fit the plan the group outlined.
- Step 9: Determine next steps.



GOAL: Decrease the unemployment rate of Native youth ages 18-25 in our community.
OBJECTIVE: By the end of 36 months, the Turtle Island Tribe will reduce the unemployment rate of Native Youth by 50% by providing job training and job placement assistance.
Able-Bodied Youth on social assistance
Youth Services
Recruitment?
High School Graduates Job Fair
Social Media campaign
Class Trips
Job Fairs (2x year)
Training Graduations
Youth Appropriate Events?
Job Training
Trainings to Provide?
Construction Trade
Pre Employment
CPR
Construction Paths: match candidate to specific construction (Carpentry, Concrete, Ironwork, etc)
OSHA Safety Training
Potential Issues
Low Recruitment
Low Retention
Lack of employers for job placements
What if candidate can't keep job?
Job Placement
Job Placement Important Points
1. Pre Employment Training (resume writing, job search tools, soft employment skills)
2. Recruit Potential Employers
3. Hold Job Fair to match employers with candidates
4. Confirm Job Placement
5. Track candidates at 3, 6, 12 months
MIND MAP

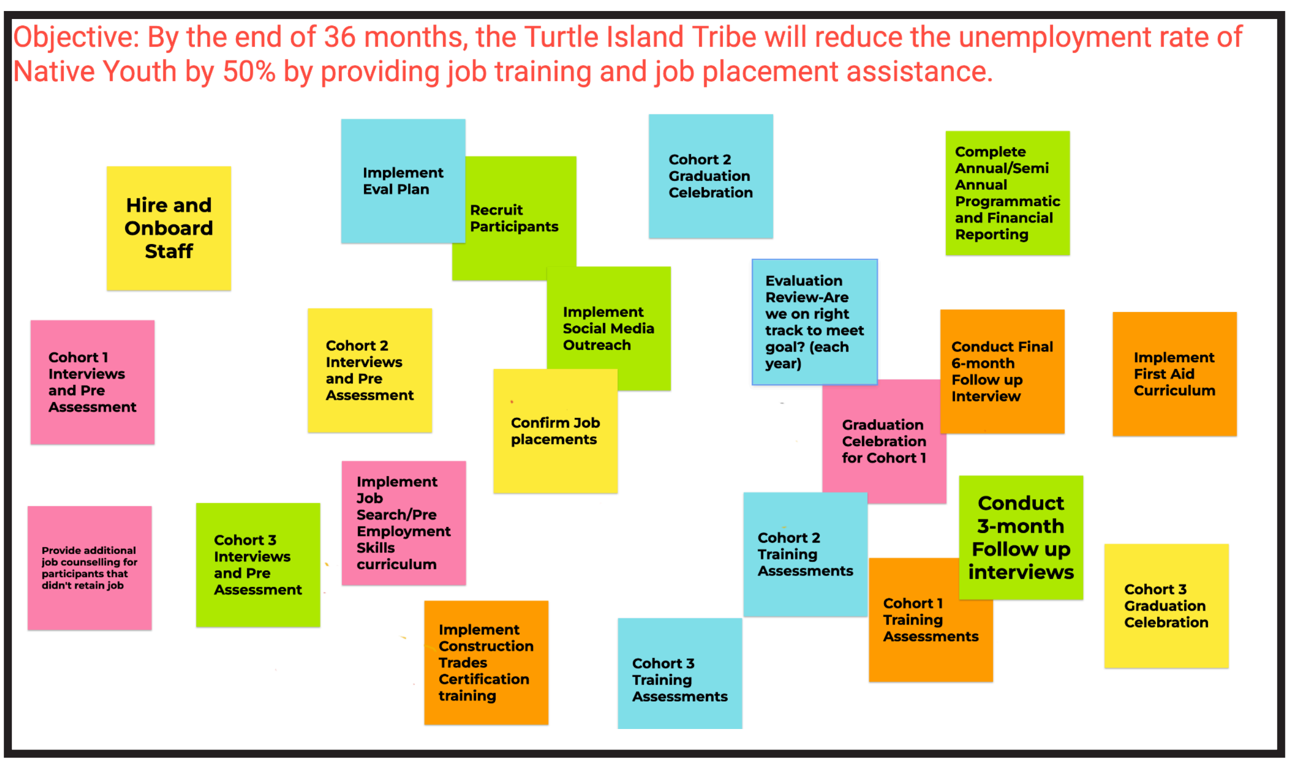
## What are the steps needed to complete objectives?

Once the project design and objectives are finalized, you will need to determine the mid-level activities that will achieve them. Activities are defined as the incremental steps necessary to accomplish objectives. Many new project planners have a hard time distinguishing between the two but think of activities as the day-to-day tasks that will be completed during project implementation as opposed to the overarching nature of objectives.

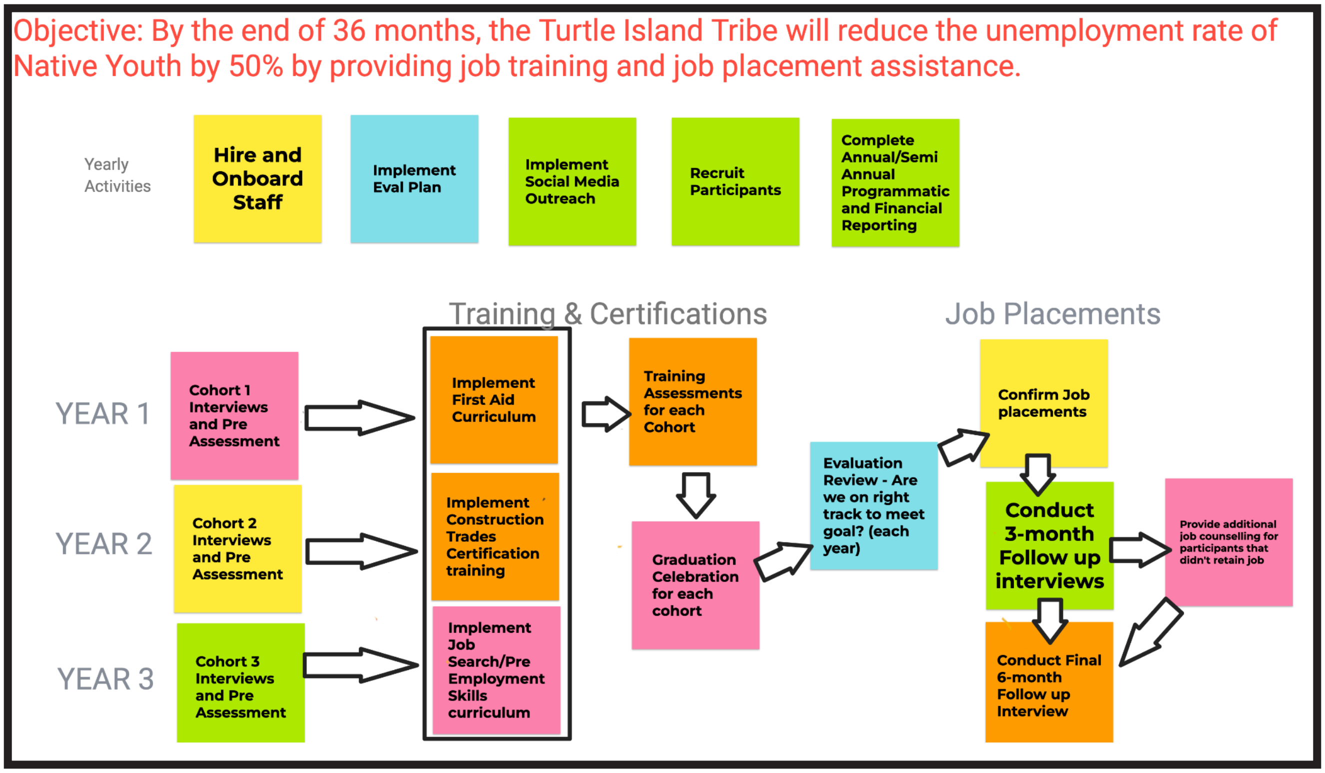
## Brainstorming Activities

Feel free to use as many of the steps provided in the previous activity as are applicable.

- Step 1: Recall the objective and write it across the top of a real or virtual white board. If you have multiple objectives, set up the board so each objective has room for its own set of activities.
- Step 2: Free-associate the activities onto Post-it notes, with one activity per Post-it. Don't forget common, administrative activities such as hiring, office set up, reporting, and evaluation, as you will need to include them as well. Don't worry about having too many activities at this time.



- Step 3: Start organizing the Post-it notes. Add, weed out, and move the Post-its into chronological order to logically align with the project approach.
- (Optional) Step 4: Note possible staff positions, consultants, and/or partners that will be responsible for completing each activity.



## Developing a Work Plan

Many funders require a work plan that outlines how each objective and its associated outcome will be accomplished. Generally, the plan includes three main features: activities, time frames in which the activities will be completed, and staff who will conduct or oversee the activities. To develop a work plan, you will take all the project development components you've worked on and enter them into a functional outline. Again, be aware that different funders have different requirements, so be sure to use the work plan format that appears in the funding opportunity for which you're writing. Even if a work plan isn't required by the funding agency, this is a good exercise for project planning purposes.

Here is a breakdown of what to include in the work plan:

**Activities** – These are the activities you've identified to successfully achieve each objective. Transfer those activities into the sample work plan below noting that each activity should be in chronological order and build on the previous one.

**Start and End Dates** – Once you've entered the activities, it's time to determine each activity's start date. The length of time that is needed to complete an activity dictates its end date. It is important to estimate the length of time an activity will take as accurately as possible, so realistic time frames can be established. Try to refrain from creating a list of activities that span a year to complete.

**Project Staff** – These are individuals that have the knowledge, skills, experience, credentials, and enthusiasm to implement the project strategy. It's important that everyone involved with an activity understands their role, knows when they need to participate, and what needs to be accomplished.

The following work plan was completed using the example of a youth workforce development project.

| Project Title: Giving Our Native Youth a Hand Up<br><br>Project Goal: Decrease the unemployment rate of Native youth ages 18-25 in our community.<br><br>Objective: By the end of 36 months, the Turtle Island Tribe will reduce the unemployment rate of Native Youth by 50% by providing job training and job placement assistance. | | | |
|---|---|---|---|
| **Activities** | **Project Staff** | **Start Date** | **End Date** |
| 1<br><br>Onboard and train staff on work plan, team responsibilities, expectations, and policies and procedures. | Exec. Director<br><br>Board of Directors | 10/1 | 10/31 |
| 2<br><br>Administrative: Establish federal system account access and official grant file. | Exec. Director<br><br>Board of Directors | 10/1 | 10/31 |
| 3<br><br>Implement Evaluation Plan – design spreadsheets, databases, attendance sheets/ records, purchase external storage drives.<br><br>Collect data at regularly scheduled intervals.<br><br>Analyze data quarterly. | Project Manager<br><br>All Staff | 10/1 | 9/30 |
| 4<br><br>Implement Session 1 recruitment campaign to enroll Native youth, ages 18-25. Distribute information via flyers, websites, newsletters, listserv announcements, and radio. Conduct outreach to local job centers, high schools, and the Tribal employment department. | Project Manager<br><br>Project Staff, High School Counselors, Job Center, Tribal employment, and training staff | 10/1 | 11/30 |
| 5<br><br>Conduct Cohort 1 personal interviews and assessments for each participant.<br><br>Collect baseline information (pre-test) and set up monitoring systems. | Workforce Specialist<br><br>Project Coordinator | 12/1 | 12/30 |

| | | | |
|---|---|---|---|
| 6<br><br>Implement Module: First Aid-CPR Certification | Consultant<br><br>Project Coordinator | 1/1 | 1/30 |
| 7<br><br>Implement Module: Construction Trades Certification (NCCER). | Consultant<br><br>Project Coordinator | 2/1 | 6/1 |
| 8<br><br>Implement Module: OSHA-10 Certification. | Consultant<br><br>Project Coordinator | 2/1 | 2/28 |
| 9<br><br>Implement Module: HAZWOPER Certification. | Consultant<br><br>Project Coordinator | 3/1 | 3/30 |
| 10<br><br>Implement Module: Pre-Employment Skills | Consultant<br><br>Project Coordinator | 5/1 | 5/30 |
| 11<br><br>Conduct final training assessments | Consultant<br><br>Project Coordinator | 5/30 | 6/7 |
| 12<br><br>Certification Celebration for Native youth participants. | Project Coordinator<br><br>Project Staff | 6/8 | 6/8 |
| 13<br><br>Begin recruitment process for Cohort 2 | Consultant<br><br>Project Coordinator | 6/1 | 8/1 |
| 14<br><br>Preparation for Cohort 2 | Project Director<br><br>Project Coordinator | 6/15 | 8/15 |
| 15<br><br>Annual/bi-Annual reporting and PMS quarterly/ bi-annual/annual financial reporting. | Project Manager and Financial Manager | 10/1 | 9/30 |

## Challenges and Contingency Planning

Another part of project planning is to consider what challenges could prevent the project from moving forward in a timely manner and developing a few ideas for potential solutions. This is known as a contingency plan. Developing contingencies to potential challenges allows project staff the opportunity to respond quickly with minimal disruption to the project. Identifying potential challenges and developing contingency plans should be done by a team that includes project stakeholders. Most funders want to know that you have planned for possible issues and are prepared to keep the project on task for successful completion.

The first step is to review your work plan to determine if there are activities which may run into trouble during the implementation phase of the project. Several common challenges include: staff turnover, travel delays, hiring delays, and difficulty recruiting or retaining participants. After identifying the activities that may present a potential challenge to your project, describe the issue that may occur and create a contingency plan that resolves it.

It's important to note that contingency plans are not the same as your tribe or organization's standard operating procedures. For example, if shipping takes extra time or is unpredictable in your area, its likely standard practice to order supplies and equipment well in advance of needing them. Or maybe hiring typically takes a long time, so your tribe or organization builds an extra two weeks into the project timeline to hire staff. These routine practices are different than a contingency plan that specifies who within the current staff of the tribe or organization will start and run the project until a vacancy is filled.

ACTIVITY 9

## Draft Your Work Plan

For this activity, fill out the blank work plan below. Insert the Project Title, Project Goal, and Objective into the form; you should have these on-hand from your work in previous sections.

Develop activities to accompany your objectives. Next to each activity include the Project Staff. Organize each of the activities in the order in which they will be initiated, using Start Dates. Next determine the timeframe necessary to complete the activity and give it an End Date. Be sure to allow enough time for each activity. It is better to overestimate than underestimate time required!

| **Project Title:**<br>**Project Goal:**<br>**Ojective:** | | | |
|---|---|---|---|
| **Activity** | **Who's responsible?** | **Start Date** | **End Date** |
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |
| 6 | | | |

| | | | |
|---|---|---|---|
| 7 | | | |
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| 25 | | | |

*Continue on a separate page as needed....*

# Chapter 9

## Identifying Resources and Partnerships

### Where will you get the resources to implement your project?

Once you have a solid set of activities for your project, you can then assess the resources you need for successful implementation. Resources and partners can help expand your capacity to accomplish your project goal. **Resources** are assets that are needed for the project. **Partners** are like-minded entities that are invested in the success of your project because the project will be mutually beneficial for both parties.

### Using the Work Plan to Identify Needed Resources and Partnerships

Every project requires resources and assets to contribute to its implementation. Very often we think of basic resources such as staff, office space, and equipment. However, resources can also include, but are not limited to, the following:

- Meeting space/venues
- Volunteers
- Curricula
- Subject matter experts
- Large equipment
- Elders
- Facilities
- Licenses and permits
- Supplies
- Technicians
- Political leadership
- Administrative assistance
- Cultural practitioners
- Legal/financial expertise
- Existing programs and services

Start by looking at your work plan. What kinds of goods or services might you need to secure in order to accomplish your activities? Who could you partner with to optimize how you carry out these activities and maximize community outcomes?

For each activity in your work plan, list all the resources you'll need to get it done properly. Ask yourself:

**Who?** – These are the human resources that have the knowledge, skills, experience, credentials, and enthusiasm to implement the project strategy. Consider all existing staff and volunteers in your tribe or organization and other potential partner organizations. Remember those in the community who are respected and valued for their ideals. These are the functional leaders within the community, such as: elders, grandmothers, veterans, cultural societies, youth leaders, etc.

**What?** – This refers to the physical materials, such as supplies, software, and equipment required for the project. Define the resources available internally or in the surrounding community that could be used as material, supplies, and equipment for the project.

**Where?** – These are the physical locations such as land and facilities available to host activities and house staff for the project. Consider whether the project needs an office, garage, library, computer lab, classroom, gymnasium, outdoor activity areas, or other location.

**When?** – This refers to time frames that might determine or dictate when certain resources are available. For example, a school calendar determines the availability of local teachers; the seasons might impact the availability of families who practice subsistence. It's also important to consider which activities are weather-dependent.

**Why?** – This refers to the need for a resource and can assist you in developing a narrative explanation of its significance to the project.

**How?** - The approach you take to accomplish a given activity might affect the kind of resource you need. A cultural approach to teaching a workshop may require a cultural practitioner, whereas a technical approach may require a technician. Perhaps you need to find a trainer who has expertise in both areas.

For example, consider the following two activities:

| **Activity** | **Staffing** | **Start Date** | **End Date** |
|---|---|---|---|
| 4<br><br>Implement Session 1 recruitment campaign to enroll Native youth, ages 18-25. Distribute information via flyers, websites, newsletters, listserv announcements, and radio. Conduct outreach to local job centers, high schools, and the Tribal employment department. | Project Manager<br><br>Project Coordinator, Tribal employment and training staff<br><br>High School Counselors, Job Center | 10/1 | 11/30 |
| 6<br><br>Implement Module: First Aid-CPR Certification | Consultant<br><br>Project Coordinator | 1/1 | 1/30 |

Activity 4 describes recruiting Native youth to participate in the project. You determine that project staff can oversee this activity, but you'll need support from partners like the tribal employment center, the local high school, and the job center to help get the word out.

Activity 6 is administering First Aid-CPR Certification training. You realize that the project will need a facility for this event. And rather than develop a curriculum from scratch, you plan to partner with a local Red Cross chapter that has said it will provide this annual training for free.

As you walk through your work plan activities, keep a running, categorized list of each resource you identify, and note the benefit that each brings to the project. For our Native youth employment project, such a list might look something like this:

| Resource | Benefit to Potential Project |
| --- | --- |
| **Human Resources/Staffing** | |
| Internal: Employment Trainer | Implements training curriculum |
| External: Labor Union Reps | Present opportunities to participants |
| **Programs/Services** | |
| Internal: Job Center | Resume writing and training classes |
| External: DOL Job Service | Partner assists with providing certification materials |
| **Facilities/Equipment/Goods** | |
| Internal: Copy and Binding Machines | Print, collate, and bind 30 copies of participant training materials |
| External: State DOL Training Room | Donated space for training |
| External: State DOL Training Material | Donated for modification |
| **Other/Cultural** | |
| Internal: Training Graduates | Culture-based mentorship with next cohort participants |

## Mapping Your Assets

Every community is rich in resources and assets. The purpose of asset mapping is to document a community's existing resources, incorporate its strengths into shared goals, and consequently create an informational resource. Asset mapping builds new connections within your service area, develops a reference tool that can address local challenges, and can build potential for community partnerships in moving toward a unified long-term vision.

***Table 7: Resources and Benefits***

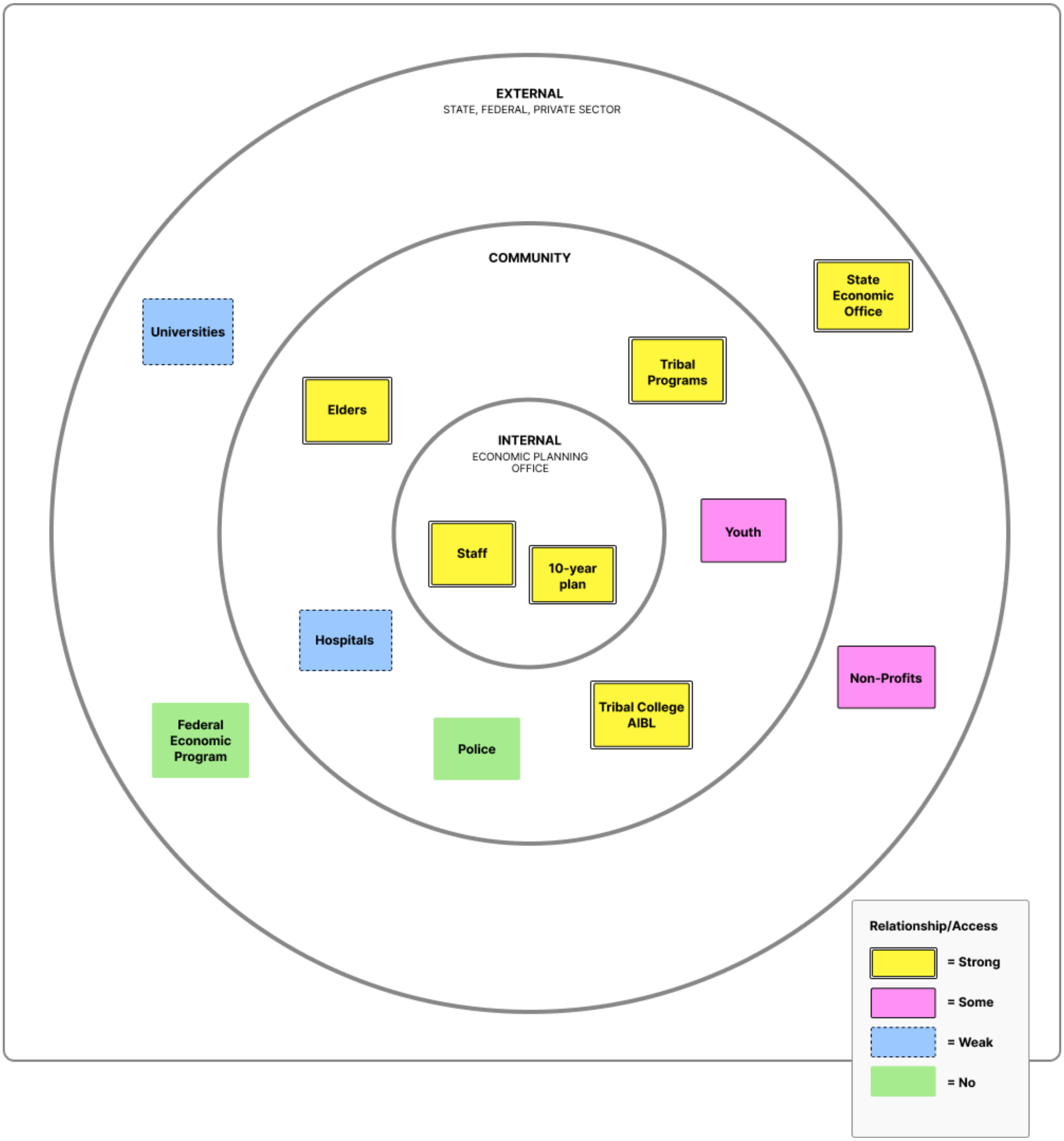

***Note: Asset maps can be completed in a variety of ways, the following is just one method.***

First, construct the map by drawing three concentric circles. In the center circle is where you'll list resources that are internal to your organization or tribe. The next circle out is for resources available at the community level. The outermost circle is for external resources, which may include industry partners, government agencies, and public or private funders.

Next, make a list of the resources in your community that could support your community-based project. Examples include people or groups who might possess needed skills or equipment, such as elders with institutional or historical knowledge or the tribe's headquarters which includes space that could be used to host a community workshop. Consult the list of resources you drafted against the work plan in the previous section, but don't let it limit you—continue to brainstorm areas of opportunity.

There are several options you can use as you continue this activity. You could write each asset down on different colored sticky notes, where the sticky note color determines the strength of your relationship with or access to the partner or resource identified. You would then place it in the circle that corresponds to its distance from your project. If sticky notes are not available, you can use color markers, shapes, stickers, various types of lines, or other methods to label the strength of connections in your web of relationships. Not every asset on your map will end up as part of your project. But building out this asset map, and maintaining this valuable snapshot of resources and partners, will help you gain a better understanding of your community for future endeavors and develop a habit of relationship-building and cooperation.

## Community Asset Map

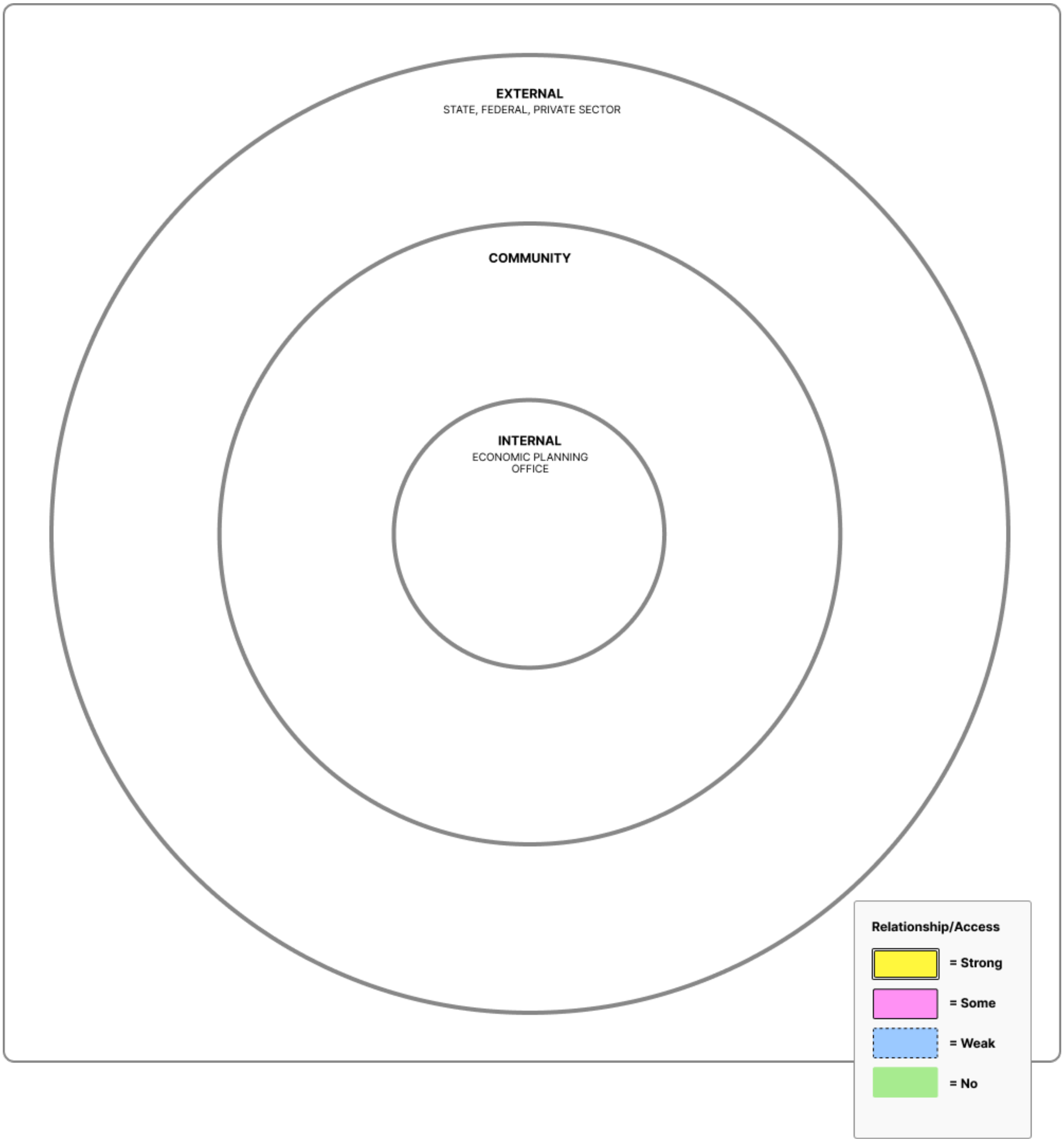


## ACTIVITY 10
# Asset Mapping

Note: If your community has a cultural model for engaging community members and accounting for assets, we encourage you to use that method. Otherwise, use the directions discussed above to conduct this activity.

- **Yellow/Double Line** means “Strong Relationships/Access” — Ready to tag in at a moment’s notice, already committed to the project.
- **Pink/Single Line** means “Some Relationship/Access” — Highly likely to sign a letter of commitment after a conversation about specifics.
- **Blue/Dashed Line** means “Weak Relationship/Access” — You might need to strengthen your relationship and build trust before asking for commitments.
- **Green/No line** means “No Relationship/Access” — We know they exist but haven’t met anyone there yet. It will take lots of time to build the relationship and trust, so if the grant deadline is right around the corner, it may be worth looking for an alternative partner.

## Community Asset Map



## Activating Relationships

You've mapped your community assets, and you know what kind of resources and partnerships are vital to carrying out your project. In order to activate those partners and ensure that your community can count on their contributions, you'll need to get a firm commitment, usually in the form of a letter. That can be easier said than done. Committing to enter into a long-term, productive partnership with an outside entity requires trust. Often, this is built over time with mission-aligned organizations, tribes, businesses, groups, or individuals.

How strong your relationship is with a potential partner often determines your approach to securing their commitment to your community's project. Consider the asset map, where the color of each asset or the line style determines the strength of your relationship or access to it.

Strong partnerships are reciprocal and have a mutual interest in the project's success. Partnerships can be internal departments or programs within your organization or external relationships with other organizations. External partners can bring experience, expertise, and resources to the project that fill gaps in your organization's project management history. Partnerships can include other community-based organizations or associations, tribes, federal and state agencies, and private or non-profit organizations.

When you're ready to connect with partners, consider how you will approach each one. Is there a pre-existing relationship to build upon in this new project? Are there cultural protocols to follow when entering into an agreement? Is there someone you know well who could introduce you to leadership? Take the list of resources you identified against your work plan, and consider which partner can provide each resource and who you can talk to about it. While you're at it, estimate the value of those resources—this may help with, for example, establishing values of matching fund requirements for grant requests or helping your potential partner receive tax incentives for donated goods.

**Table 8: Potential Partners & Available Resources**

| Partner Name | Resource | Benefit to Potential Project | Cost/Value ($) | Contact Info |
|---|---|---|---|---|
| **Human Resources/Staffing** | | | | |
| Tribal Employment Office | Internal: Employment Trainer | Implements training curriculum | $25 HR | Business Center, Office 301 |
| Carpenters Union | External: Labor Union Reps | Present opportunities to participants | $30 HR | Talk to Mike G |
| **Programs/Services** | | | | |
| Tribal Employment Office | Internal: Job Center | Resume writing and training classes | $45 HR | Business Center, Office 301 |
| Dept. of Labor | External: DOL Job Service | Partner assist with providing certification materials | Free service | 202-555-0106 |
| **Facilities/Equipment/Goods** | | | | |
| Tribal Employment Office | Internal: Copy and Binding Machines | Print, collate and bind 30 copies of participant training materials | $3,300 | Business Center, Office 301 |
| Dept. of Labor | External: State DOL Training Room | Donated space for training | $200 per day | 202-555-0106 |
| **Other/Cultural** | | | | |
| Dept. of Labor | External: State DOL Training Material | Donated for modification | $3,000 for 30 units | 202-555-0106 |

## Securing Partners

***Support · Commitment · Agreements · Contracts***

Once you've identified relationships and approached potential partners, you'll want to work towards formalizing the partnerships. This is less important during the planning phase as you don't want to put the cart before the horse or promise more than you can follow through on in the moment. However, it becomes more important as you move into the application phase of your process as the vast majority of funders will require documentation of your partnerships.

In the meantime, consider the following types of documentation in preparation for the upcoming task of establishing formal partnerships. This will save you time when you get to this step of implementation.

The first type of documentation is a **Letter of Support**. This is a simple statement from your partner that confirms that they are interested in the project and willing to contribute should the opportunity arise. This type of documentation is not binding, though, and carries the least weight with potential funders for that reason. Letters of Support can also demonstrate community interest.

The second type of documentation is a **Letter of Commitment**, which is often requested by grant funders and serves as evidence that a partner is willing to provide a specific contribution to your community-based plan. Because this holds a stronger vow of commitment, it is recommended that you wait to solicit these letters until you have identified a funding source and its requirements. A strong letter of commitment:

- Acknowledges your community project by name.
- Demonstrates support and awareness of your project and its goal.
- Describes a pre-existing relationship.
- **Specifically itemizes the partner's commitment(s) to the project** (this should align with your project plan).
- If applicable, assigns a value to the items being committed (this can be used to demonstrate the value of non-grant resources committed to the project, especially to those grantors, like ANA, who require matching funds).

- Is on the partner organization’s letterhead.
- Is signed by an authorized representative of the partner organization.

The third type of documentation is an **Agreement**. This might be in the form of a Memorandum of Agreement or of Understanding. These documents are the paper version of a formal handshake and will not be signed until after funding is awarded. Agreements broadly describe:

- Mutual understanding;
- Goals;
- Plans shared by all parties;
- Specific responsibilities; and,
- Actions to be taken to accomplish goals.
- Is on the partner organization’s letterhead.
- Is signed by an authorized representative of the partner organization.

The final type of documentation is a **Contract** which is a legally binding partnership and typically involves the transfer of funds. Contracts are further discussed in the Budget section of this manual, but for now, are not needed in the planning phase of project development.

ACTIVITY 11

# Determine Your Internal/External Resources

List resources available **inside** your tribe or organization, village or community (internal resources).

| Partner Name | Resource Strengths | Benefit to Potential Project | Cost/Value ($) | Contact info |
|---|---|---|---|---|
| **Human Resources/Staffing** | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| **Programs/Services** | | | | |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| Facility/Equipment/Goods | | | | |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| Other/Cultural | | | | |
|---|---|---|---|---|
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| | | | | |

List resources available **outside** your tribe or organization, village or community (external resources).

| Partner Name | Resource Strengths | Benefit to Potential Project | Cost/Value ($) | Contact info |
|---|---|---|---|---|
| **Human Resources/Staffing** | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| **Programs/Services** | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| Facility/Equipment/Goods | | | | |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| Other/Cultural | | | | |
|---|---|---|---|---|
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# Chapter 10

## Developing a Project Budget

### What will the project cost?

The **budget** is the dollar expression of the project being proposed. It must be reasonable and tie into the project's objectives and work plan. Budgeting is the method by which a tribe or organization determines costs needed to achieve the project goal and carry out the project objectives. Whether you are preparing a project the tribe or organization will fund internally or looking for external funding, knowing the costs is important.

As mentioned in Chapter 8 (Approach), if the project is too large and the costs are too high the project may need to be broken into phases. There may be times when different phases of the project are being funded from several different sources like internal funds, loans, profits from sales, fundraisers, grants or other alternative funding sources. In this section, our focus is creating a budget for external funding. External funders will use the budget as part of the contractual obligation once a project is funded. The budget is a combination of the request for funding combined with any match requirement for the applicant contribution. The match is what will be contributed by the tribe or organization and will be described in more depth later in this chapter.

### How to Determine Costs for the Project

Without a fully developed project work plan, it is impossible to build a comprehensive budget. As described above, a detailed work plan features activities and staff and can help you determine what resources are needed and what resources are currently available for the project's use. You can use this information to keep costs focused on and limited to the needs of the project. Funders expect all costs to directly relate to completing the project.

When planning the budget, it can be helpful to ask the following questions:

- What staff will be needed and how much time will each staff position spend on the project?
- Will consultants be needed for the project?
- Will elders be involved? Will they be paid?
- What travel is necessary to perform all activities?
- Will equipment be needed to perform the scope of work?
- What supplies will the project need?
- What other costs will be incurred to complete all project activities?
- What can be covered by internal and external resources; and what will need additional funding?

| Activity | Staffing | Start Date | End Date |
|---|---|---|---|
| 4<br><br>Implement Session 1 recruitment campaign to enroll Native youth, ages 18-25. Distribute information via flyers, websites, newsletters, listserv announcements, and radio. Conduct outreach to local job centers, high schools, and the Tribal employment department. | Project Manager<br><br>Project Coordinator, Tribal employment and training staff<br><br>High School Counselors, Job Center | 10/1 | 11/30 |
| 6<br><br>Implement Module: First Aid-CPR Certification | Consultant<br><br>Project Coordinator | 1/1 | 1/30 |

Using the sample activities above and part of the line-item budget template below we will take a look at how to begin to use activities to build a project budget.

This sample shows the project will need to conduct recruitment and host a CPR training course. We can see that staff salaries will be necessary, as well as consultant time, materials for the flyers, and radio ads. Our next step is to determine how these will be paid for: using funder dollars or the tribe/organization's dollars as match.

Let's begin by reviewing the funder share. In this budget, we are requesting the funder pay the salaries for the Project Manager and Project Coordinator for the entire project. As a note, covering salaries also entails covering the Fringe benefits. Additionally, this budget shows we are requesting the funder pay for radio ads and the cost of the CPR Consultant.

Next, let's look at the match. Our sample budget shows that, in addition to a Project Manager and Project Coordinator, our project staff includes an Employment Training Counselor whose part-time salary will be covered by an external partner. We know this individual will be involved in a few activities. We estimate how much time they will spend on this project and then use a portion of their salary toward the project match. Again, the Fringe is part of this salary. This budget shows the tribe will also cover the $700 cost of printing-related supplies.

| Category | Funder Share | Match | Total |
|---|---|---|---|
| Personnel | | | |
| Project Manager (1 FTE) | $55,000 | | $55,000 |
| Project Coordinator (1 FTE) | $30,000 | | $30,000 |
| Employment Training Counselor (.25 FTE) | | $11,250 | $11,250 |
| Fringe | | | |
| FICA, SUTA, Worker's Comp., Health Insurance | $5,100 | $675 | $5,775 |
| Supplies | | | |
| Paper, Printer Toner | | $700 | $700 |
| Other | | | |
| Radio Ads – Recruit Youth | $900 | | $900 |
| CPR Consultant | $3,000 | | $3,000 |

This is an abbreviated budget, but offers an example for how to build a budget using your work plan activities and the process determining what the funder will pay for and what the tribe or organization will contribute in the form of match.

## Cost Estimates

Building a budget is all about estimating project costs to ensure there is enough money to complete everything in the work plan. The project planners will need to consider whether costs for personnel, travel, supplies, equipment, and other items listed in the budget are reasonable and necessary to carry out the project work plan. This is true whether seeking funding approval from the tribal council, organization board, or seeking outside funding.

One thing to keep in mind when building the budget and estimating costs is the project time frame, or when the project will begin and end. If project funding is not expected for another 6-12 months, be aware of potential cost increases and take care not to use sale prices when building your budget. Depending on the items you're purchasing, you may need to request price quotes and will want to notify the salesperson you're working with of the timetable of potential purchase dates as this may affect their quotes. While a lower price might seem great now, if the price increases significantly at the time of funding, you may not be able to afford necessary items or the amount of the necessary items for successful implementation of the project.

Building the budget and getting accurate cost quotes will allow project developers to determine whether the scope of the project is too large, or the current costs are too high to complete the project all at one time. If the cost is too high for the ceiling amount of a particular funding announcement, adjustments may need to be made. A few ways to trim costs are to purchase fewer numbers of the same items; purchase a different model with a lower cost; negotiate consultant rates or use a different consultant; take fewer travel trips; or seek a different location venue with a lower cost. If the scope of the project is too big, then it may need to be broken up into phases. If this occurs, then be sure to revise the budget accordingly. Also keep in mind that seeking multiple funders is an option. If the project scope is overambitious or overly large and activities need to be removed, it's important to ensure the project outcomes can still be met—even if at a slightly lower impact.

## Saving Estimates and Quotes

It's always important to keep all of your cost estimates for materials and equipment in a single project-specific location, like a folder on your computer or a folder with printed copies. You can include this information in future applications or to justify to the funder how costs were obtained. Below are some helpful tips on collecting estimates and quotes:

- When researching costs online, add materials and equipment to a retailer's virtual shopping cart. This will usually give you the cost estimate of the item, and the cost of taxes and shipping. Ensure that the item is not on sale. Remember that if an item is on sale when compiling your application, it might not be on sale when you receive funding for the project and are ready to make purchases.

- For high-priced items, especially equipment, it is best to get three quotes. Have the merchant print or email you a quote with all costs, including taxes and shipping, to save for use later. Be sure to let them know when you expect to purchase these materials or equipment as they may be aware of price increases which will be coming up and can better provide cost quotes.
- Make sure that you understand your tribe or organization's procurement (purchasing) policies, and timelines associated with making purchases through your organization. If multiple signatures and approvals are necessary, keep this in mind when getting quotes. And again, be sure the salesperson is aware of when you expect to make your purchase and determine whether they're willing to make extensions. Most quotes are only good for 30-60 days.

## Line-Item Budgets vs Budget Justification

Funders typically request both a line-item budget and a budget justification (also called a budget narrative). The line-item budget is a list, generally presented in an Excel spreadsheet or table, that displays the annual dollar amounts for each of the projected costs and their totals. The rows consist of the individual items and the columns include costs the funder will provide, and if required by the funder, a match column. Lastly, there will be a Total Column. The budget justification, on the other hand, is a narrative explanation of how project costs were determined and why they are necessary to the project.

Many funders will break up costs into categories; this is especially true of federal funders. The typical categories found in a budget are: Personnel, Fringe Benefits, Travel, Equipment, Contractual, Supplies, and Other. Each of these will be described later in the chapter. When developing a line-item budget and budget justification, use the categories set forth by the funder to organize your project costs.

As an example, a line-item budget would list the annual salary amount for each staff member. The justification would breakdown the employee's annual salary by the number of hours they will work on the project times their rate of pay, with a brief explanation of their duties relevant to the project.

It's helpful to have a standardized template your tribe or organization will use when building budgets. Using a template, a project planner can easily analyze whether all the project costs have been included. Keep in mind that funders may request their own level of detail for project costs and the narrative justification to explain them. Additionally, some funders have a specific template for the line-item and/or budget justification which are required for use when applying for funding. If a specific template is required, you'll want to use it from the start—so be sure to carefully review a funder's instructions. If you're forced to copy and paste costs from one spreadsheet or table into another, you might miss something.

## Matching Funds - What You Contribute!

***Match · In-Kind · Non-Federal Share***

As mentioned above, project funds often consist of the funds being requested directly from the funder and match dollars. The match is the dollar amount the funder is requiring the applicant to invest in the project and is typically requested in the form of a percentage. Match is typically "monetary" or "in-kind." "Monetary" are monies which are directly contributed by the tribe or organization; these can be in the form of salaries paid, supplies purchased, or other items being paid for. "In-kind" are the dollar amounts that come from other sources such as partners donating time, space, supplies, or volunteers contributing time.

When matching funds come from other sources, the funder may have some dos and don'ts about what can be used. For example, when applying for federal funds, other federal funding dollars cannot be used as match. As always there are some exceptions. The exceptions to using federal funds for match are those funds that lose their federal identifier, such as:

- Indian Self-Determination and Education Act, Public Law 93-638 funds
- Indian Employment, Training and Related Services Demonstration Act Public Law 102-477 (477 Program) funds.

- Additional funds may be eligible, please reach out to your technical assistance center for more information.

When these funds go to the tribe, they are now considered discretionary (tribal funds). The key is to check with the initial funder of any grant award to see whether funds are still identified as federal award dollars and if they can be used as match.

The match percentage is often requested in one of two ways:

- A percentage of the Requested Amount from the Funder: Your match is based on a percentage of your request.
- A percentage of the Total Project Cost: Your funder pays for most of the total project cost, and you (and your matching funds) pay for the rest.

## Categorizing Your Budget Costs

The following object class categories are common to a federal budget and are often requested by non-federal funders, too.

## Personnel

List all full- and part-time staff for the proposed project, the number of hours they will work on the project, and their hourly rates. Identify each position working on the project as a percentage of the full-time equivalent (FTE). The hours listed in the budget must be reasonable. The federal government uses 2080 hours as the equivalent of one FTE; however, if the tribe or organization uses a different definition, it must be identified in the budget justification section.

- If you anticipate hiring personnel as part of your project, the planners should consult with your bookkeeper, human resources department, or an outsourced accounting firm the tribe or organization uses to see if there are established personnel rates for the position to be hired in order to ensure salaries are in alignment across the tribe or organization. The project developers should also consult with the bookkeeper or accounting to obtain the correct fringe rate for employees.
- If the tribe or organization does not have established labor rates you can use the Department of Labor - Overview of BLS Wage Data by Area and Occupation at the following website: https://

www.bls.gov/bls/blswage.htm You may be able to find more detailed information at your state's Labor Department website, including labor rates more specific to the region or county you are located in. The following website, https://www.salary.com, also has tools for calculating salaries by position type and location.

## Fringe Benefits

List each of the fringe benefits staff will receive and the dollar amount of each benefit based on annual costs. The fringe benefit category will include both mandatory payroll taxes and tribal or organizational employee benefits. Examples of mandatory payroll taxes include FICA and Medicare. Examples of employee benefits include health and life insurance, and retirement plans. Your state or regional laws may determine which employee benefits are mandatory rather than optional. Check this information to ensure you are in compliance.

## Travel

Generally, only out-of-area overnight travel for project staff employed by the tribe or organization is calculated in this budget category. Typically, local mileage and Consultant travel will be included in the "Other" category (see below). In the budget, label the trip based on the activity, for example, "Minneapolis Tribal Leadership Conference" or "Phoenix Business Development Training." Then, for each of these trips, identify the cost of airfare, ground transportation, lodging, parking, mileage to and from the airport, and meals.

- When researching travel costs, use estimated or actual (if known) travel dates. For example, if you have a conference in Minneapolis that you would like to attend October 2nd - 4th, ensure that you are using the dates of October 1st and 5th to create your cost estimate. Flight prices vary per week/month so it's important to come as close as possible to an accurate projection to include in your proposal.
- The best place to seek information on travel costs is your organization's Travel Policies and Procedures Manual. If Travel Policies and Procedures exist, you can assess what is needed to prepare cost estimates for flights, per diem, hotel, hotel tax, local,

and onsite transportation.

- If you don't have Travel Policies and Procedures in place for your organization, you may use the Government Services Administration (GSA) to project the costs of hotel rooms and per diem. GSA refreshes travel rates yearly or seasonally so it's important to know when you plan to travel. You can find the link to GSA's per diem site here: https://www.gsa.gov/travel/plan-book/per-diem-rates. This website is also helpful in determining the mileage for local travel if you plan to use your own vehicle.
- Mileage is a cost that generally gets overlooked when preparing a budget. If you plan to claim a mileage rate for the use of your personal vehicle, be aware that gasoline is included in this rate. If you're getting a rental car, be sure to consider the amount of gasoline you're likely to use so that you can stay within your travel budget.

## Equipment vs Supplies

Which items count as "equipment" and which count as "supplies"? Individuals preparing budgets are often stymied by this question. Equipment is defined in the Policies and Procedures of your tribe or organization using a dollar amount for a single item. Some list this dollar amount at $2,500; for other organizations, it's higher and for others, it's lower. Additionally, some policies and procedures include the cost of shipping in this amount, while others do not. The federal regulations define equipment as a single unit item costing more than $5,000 and with the useful lifetime of more than one year. Here, too, the funder will determine whether shipping is included or separate in the cost.

If the amount of the single unit (physical item) is less than $5,000 (or what is written in the policies) then you would put the item in the supply budget category.

## Other Budget Category

Any additional project costs should be included in the "Other" category. Examples of costs included in this category are: facilities used for meetings, phone service, postage, copying/printing services, professional services (consultants), volunteers, and local travel. The other budget category can also be the location for line-items that don't necessarily fit logically into any of the remaining categories. Another common item listed in the other budget category is the cost of services provided by a company or private consultant. It's important to be able to differentiate the use of consultant services in the other budget category and the contractual category. If there is an actual contract in place, ready to go and contingent on funding, then you should place this cost under the contractual category. If the project will need to find a consultant after funding to ensure that the scope of services is fulfilled, the consultant line-item should be placed in the other budget category.

If you intend to recruit volunteers to help perform project activities and want to include the value of their time in your budget, the guidance found at the link below will help you to calculate volunteer hours:

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external link: NLCTB, Independent Sector, Value of Volunteer Time Report

## Contractual Budget Category

If the project includes contracting with a company or individual, then the cost of the contract should be included under the "contractual" category. The scope of work should be included as an attachment to the application. Under 45 CFR Part 75, "Contract means a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award." Typically for a contract you should have the following: 1) the name of the company/individual you are contracting, 2) the scope of work of the contract, and 3) the exact dollar amount of the contract. It's worth noting that if you are planning to hire consultants, the maximum daily rate cannot exceed the Level IV Executive Schedule.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select: OMB Salary Tables

## Indirect Costs

Indirect costs (IDC) are costs an organization incurs for common, or joint, expenditures that cannot be readily and specifically identified with a particular grant, contract, project, or other institutional activity.

If an IDC is included in your budget presentation, the tribe or organization must provide a copy of its current negotiated indirect cost rate agreement from the issuing agency. A current copy is defined as one that encompasses the project period or a portion of the project period. A new IDC rate agreement will be required if the one submitted with the grant will expire during the project period. If the organization has a provisional rate, the IDC final rate must be submitted prior to the close-out of the grant. The tribe or organization's finance department can provide information on how the rate is to be applied and how the costs are to be paid with indirect funds.

It's important for staff that are preparing budget projections to work with the accounting office at their organization to obtain the current negotiated IDC rate. The IDC rate usually applies to all the programs that your tribe or organization operates. The indirect rate is also usually negotiated with the agency with whom your tribe or organization does the most business.

If your organization is small and doesn't have a negotiated indirect cost rate, then there are options for you to make space for administrative costs. You can build a proposed indirect cost schedule into the budget. You might consider using a 10% De Minimus rate if you do not have a current negotiated rate. You should always consult with the agency that you are applying for funding regarding these options. You can find more information on the De Minimis rate at the following link under part (f).

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external link: 45 CFR Part 75.414(f)

**Important Tip!** Be aware of how indirect/administrative costs impact your project budget. Some funders cap their award amount, and you'll need to factor the indirect costs into the total. For example, if a funder sets a cap of $100,000, then you must include any indirect costs within the total amount of your project in order to stay under $100,000. Administrative costs should not put your budget over the agency's award threshold.

## No Accounting Office or Bookkeeper?

If your organization or tribe does not have a full-time bookkeeper or accounting department, you should consider outsourcing the bookkeeping to another firm. Even if you have a Certified Public Accountant (CPA), it's important to have someone who maintains the financial records for day-to-day expenditures and income. If the tribe or organization is in receipt of multiple grant awards, it's imperative that the organization is capable of accounting for the individual funds from each grant—this is called fund accounting. The Treasurer on the Council or Board should be familiar with accounting in order to maintain good oversight and compliance.

## Office of Management and Budget (OMB) - Federal Cost Principles

When applying for federal funding, it's critical you understand what the cost principles are for awards made from a given agency. The cost principles are a list of allowable and unallowable costs associated with project/grant budgets. The overarching Code of Federal Regulations (CFR) is 2 CFR Part 200. Each federal agency has adopted these cost principles in whole or in part. If changes have been adopted by the agency (which typically include extra limitations on their agency funding), they will have a separate CFR for their cost principles. For example, the Department of Health and Human Services' Cost Principles are found under 45 CFR Part 75 and the Environmental Protection Agency's Cost Principles are found under 40 CFR Part 35. These can usually be found by going to the agency website and doing a search for "cost principles."

Learn more at: [https://www.anaonlinetraining.org/ppd-resources](https://www.anaonlinetraining.org/ppd-resources) and select the external link: OMB Cost Principles

ACTIVITY 12
# The Budget

Thinking about your project approach, work plan, and cost estimates, develop a line-item budget and a narrative budget justification that explains how estimated costs relate to the project approach. This is a good exercise to ensure that your budget costs are reasonable, relevant, and justified in supporting the project approach. Some line-items have been pre-entered in the template below. Feel free to change anything that is not relevant to your projected budget.

| Line-Item Budget for Year (Create a budget for each year) | | | |
|---|---|---|---|
| Category | Funder Share | Match – __% | Total |
| Personnel | | | |
| Project Director | | | |
| Admin. Asst. | | | |
| Personnel 1 | | | |
| | | | |
| Personnel Total | | | |
| Fringe Benefits | | | |
| FICA | | | |
| Unemployment Tax (FUTA) | | | |
| State Unemployment Tax (SUTA) | | | |
| Retirement | | | |
| Worker's Comp - varies | | | |
| Health Insurance | | | |

| | | | |
|---|---|---|---|
| Fringe Total | | | |
| Travel | | | |
| Conference 1 | | | |
| Conference 2 | | | |
| Training Location 1 | | | |
| Travel Total | | | |
| Equipment | | | |
| | | | |
| | | | |
| Equipment Total | | | |
| Supplies | | | |
| | | | |
| | | | |
| Supplies Total | | | |
| | | | |
| Contractual | | | |
| | | | |
| | | | |
| Contractual Total | | | |

| Other | | | |
|---|---|---|---|
| Office Space | | | |
| Local Travel | | | |
| Consultant | | | |
| Consultant Travel | | | |
| Consultant Travel | | | |
| Consultant Travel | | | |
| | | | |
| | | | |
| Other Total | | | |
| Budget Subtotal | | | |
| | | | |
| Indirect Costs/Indirect Rate: | | | |
| | | | |
| Budget Total | | | |

# Chapter 11

## Organizational Capacity

### Is Your Tribe or Organization Ready to Manage Funding?

Strong organizational capacity is a critical component of a grant proposal. It demonstrates to funders that the tribe or organization has the knowledge to manage the project and ensure the money will be properly accounted for during project implementation. You must be able to demonstrate that your tribe or organization has the administrative and financial management capabilities to manage the funds awarded to your project. In addition, you must show that any staff/partners/consultants involved have the capacity to successfully carry out the project. Therefore, you must have an understanding of your tribe or organization's administrative structure, policies, and procedures.

### How is Your Tribe or Organization Structured?

Start by determining how your tribe or organization is structured. Find out if you have a current organizational chart. An organizational chart should identify top management and all the subdivisions within your organization and how they are connected. It should also depict a hierarchy that communicates who reports to whom. It's easier to use position titles rather than names in a chart. Names change more often than position titles. Generally, a funder wants to know who is responsible for overall management and finances of the tribe or organization, which subdivision the project will be placed in, and how that subdivision is organized. The project-specific part of the organizational chart will not be finalized until you have fully planned out the project.

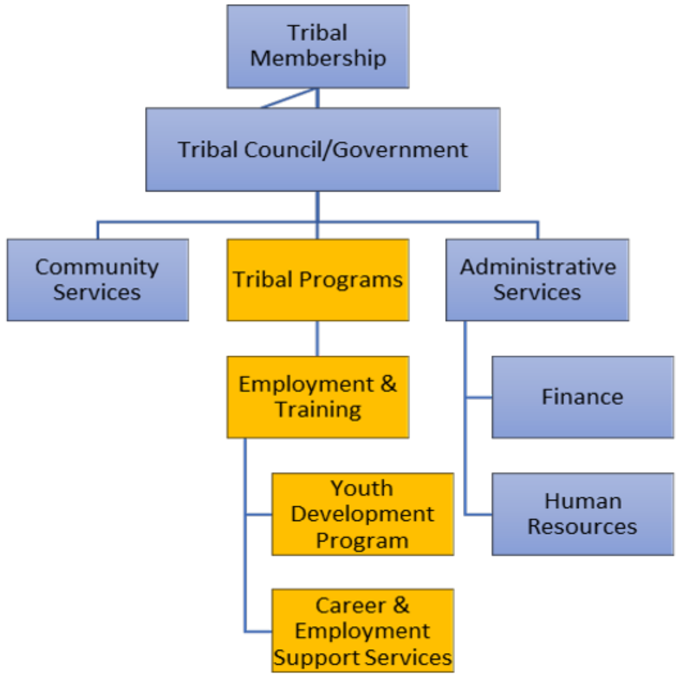


**Table 9: Sample Organizational Chart**

## What Organizational Experience in Administrative and Project Specific Management Does Your Tribe or Organization Have?

If possible, make a record of your tribe or organization's history managing funds from federal, state, philanthropic, or other organizations. Then draft some standard language, or a synopsis, that your organization can use when applying for funding. This synopsis should identify funding sources; what funds were used for; the duration of projects or programs; and if goals and objectives were successfully completed. You'll use this information to show potential funders that your organization has a history of successfully managing funds and implementing projects.

If you haven't managed any funding from outside funders, find out about the experience and education of managerial and supervisory personnel. Look at how your organization manages its finances. Document that there's a system in place that records how money is spent and by whom. Provide evidence that there's oversight which ensures funds are spent properly and inaccuracies are captured and corrected so the ledger balances each month.

If your tribe or organization is new to the grant funding process or has not managed a grant in several years, consider the experience and management capabilities of senior staff or your organization's governing board. The experience, education, and credentials of these individuals can be used as proof of your organization's capacity to manage outside funding.

## Are You Using Fund Accounting?

Does your tribe or organization use fund accounting? Fund accounting separates funds by funding award or source. A tribe or organization may have access to a number of funding streams. In fund accounting, each of these streams are separated into their own accounts and balance sheets, so that users can determine the extent to which cash has been used for its intended purpose. This type of accounting system focuses on assuring the funds are spent the way the funder approved. Typically, governments and non-profit organizations use this type of accounting, including tribal governments.

In addition to knowing about your accounting system, it's important to know about how the organization functions. What are the processes all employees must follow when managing the organization's various funding streams? Be sure that accounting offices and program staff are sharing information, and that staff understand the policies in place to stay compliant.

## How Do You Make Sure You are Following Rules and are in Compliance?

Consider who oversees all programs in the tribe or organization. What internal policies and procedures are in place for oversight, evaluation, reporting, or similar practices? Oversight of the programs/projects run by your tribe or organization requires checking in periodically with the Project Director and Accountant to see that the project is moving along as anticipated, required reporting is being submitted on time, and funds are being spent according to the grant agreement. Many organizations have an Executive Director, Operations Officer, or Tribal Administrator that is responsible for that.

In larger organizations or tribes, Department or Division Directors or a Compliance Officer is responsible for administrative oversight in conjunction with the Chief Financial Officer. Keep in mind it's not the position title that's important, it's the active administrative oversight that's important. This oversight demonstrates that compliance with funder rules and regulations is a priority in your organization.

How do you know what the administrative rules are for the funder? Federal and State governments publish their rules and regulations online. Private and philanthropic funders should discuss their expectations with you before they award the funds. All funders have specific rules or regulations they are required to follow. They also have rules or regulations that you are required to follow. These regulations are important as they spell out how the funder assesses the risk prior to giving out funds. These grant requirements are often described in a Notice of Award or grantee agreement, which typically requires a signature from an authorized representative of the new awardee, serving as a contract between funder and grantee. Take note of any required reports and deadlines, and schedule them into your project operations and calendar.

The federal government follows Title 2 regulations regarding grants and agreements. There are two subtitles included: A and B. Subtitle A Part 200 contains the regulations the government has to follow when administering grants and agreements.  Subtitle B is broken into chapters. Each chapter outlines agency-specific regulations.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external link: Title 2

Rules that pertain to funding recipients are in a separate title which contains Department-specific regulations. For example, the Administration for Native Americans is in the Department of Health and Human Services. The rules their recipients are required to follow are in 45 CFR Part 75.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external link: Titles for the Codes of Federal Regulations

## What Policies and Procedures Does Your Tribe or Organization Have?

How does everyone in a tribe or organization know what its rules and regulations are? Most funders expect the tribe or organization to have personnel policies and procedures that provide guidance on hiring, disciplinary action, and termination. They also expect to see financial policies and procedures that follow good accounting principles.

What policies do you have? The two policy and procedure guidebooks most funders expect you to have are in the areas of Finance and Human Resources. These are discussed in greater detail below. We've also included a third option that, although uncommon, can be used as a way to standardize operational procedures across your tribe or organization.

**Financial** – This guide should clearly explain how all financial operations are completed. How do you handle your money? What are the processes involved in paying bills, billing clients, managing bank accounts and reconciling with your account ledgers? Do you have procedures for buying needed supplies and/or equipment and making sure that you are getting the best price? Who oversees these processes? Is there a paper trail to prove all steps have been followed? How old are the policies and procedures? Do they need to be updated?

**Human Resources (Personnel/Employee)** – Policies and procedures contained in this guide relate to hiring, salary determinations, holidays, types of leave, how leave is accrued and how to request leave, on-the-job conduct, disciplinary actions, etc. In a nutshell, it spells out new hiring procedures and expectations for employees and supervisors.

**Operational Policies and Procedures** – This document spells out how the organization functions. Not all tribes or organizations use an operational manual. Sometimes operational manuals are specific to a program or project, only. The manual outlines the processes for the day-to-day operation of the tribe or organization. It's designed to give an employee internal process information in order to handle administrative tasks for their job. It can include how to request permissions for purchasing, getting a check from accounting, or what things require prior approval from the governing body, such as grant proposals. Not all tribes or organizations have these types of policies or procedures in a standalone document. They may be part of the human resources policies and procedures or are unwritten required to be followed.

## Do You Have the Capacity to Manage Outside Funding?

Once you've determined your organization's structure, policies and procedures, and grant or project history, look closely at your tribe's or organization's readiness to manage outside funding. To help you do that, we've included a self-assessment that can be used to evaluate organizational readiness. This type of assessment helps you to delve deeper into how key administrative divisions of your tribe or organization are set up. This assessment is not required. Before undertaking such an assessment, you should take it to your leadership to make sure they approve the use of the assessment. The assessment is included in Appendix E.

## Sustainability

Sustainability is more than finding funding to continue with services initiated through grants. It's a combination of various strategies to maintain the elements of your project that are responsible for positive changes. It's an organization's ability to continue providing benefits to its community over long periods of time. This can be accomplished in multiple ways:

- **Institutionalization**: integration of activities into an organization's current programs and supported by their funding.
- **Partnerships**: continuation of program activities and outcomes supported by partners or outside entities.
- **Program Income**: continuation of activities using revenues generated by the project.
- **Programmatic Funding**: long-term funding is explored or secured because of project success.
- **Increased Capacity**: continued benefits for individuals or the community by way of new skills, abilities, and/or resources generated during the project period.

Build the sustainability strategy into the project design and work on its implementation throughout the project period. Developing your project using the steps described in this training will help ensure that your project will provide sustained outcomes to the community or organization. Sustainability does not always mean that a project will continue as structured in its initial, start-up form; it can be smaller, larger, or even continued by another organization.

Ongoing, active community support is one of the most important underpinnings of sustaining project outcomes. It is vital that the community is involved in every phase of the project, including sustainability. Through on-going involvement, discuss with community members:

- How the project can establish new norms or capacities.
- How the community will participate moving forward.
- Who they see as key participants.
- Who they see as key stakeholders (participants and staff), etc.

If the **Institutionalization** of program activities is probable, describe how you plan to incorporate key elements of the project into the ongoing operation of your organization. Provide details of how those project elements will be incorporated into your organization's existing scope of work. Discuss how the project fits within your organization's operational structure and how the program can be modified, if needed, to become a permanent part of that structure. This discussion should include an analysis of how the staffing, services or supplies, and costs for a continued program or program elements will be absorbed into existing operations.

If **Partnerships** are a key component of the sustainability strategy, document how external partners have the capacity and commitment to sustain the project or specific project elements. Negotiate MOUs or MOAs with partners that describe what supplies and services the partner will provide. Be sure that these partners are acknowledged in materials describing project operation and that they feel as though they benefit from the partnership.

If **Program Income** is part of the sustainability strategy, provide information that documents the potential market for the goods or services that the project will produce. Will sliding scale fees be charged? Will you provide contracted services for another entity?

How will you establish fee structures? What level of revenue will you generate? Provide sufficient details to show that you have researched the feasibility of this strategy.

If securing **Programmatic Funding** through grant dollars is part of your sustainability strategy, list potential sources that will be targeted. Some resources for finding potential federal grant funding can be found at the following link:

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external links: Catalog of Federal Domestic Assistance (CFDA); Grants.gov; or the Federal and State Departments Registry.

Be specific about what grant resources will be part of your sustainability plan. Do not simply state that future funding will come from "a variety of sources, including other federal funds." Your plan should indicate that you have researched potential sources and have specific ideas in mind.

For projects that focus on building **Increased Capacity**, such as drafting environmental codes, include a sustainability plan that describes how those codes will be used. In this instance, the sustainability plan would describe how the codes will further benefit the community through ongoing tribal court and natural resources staff operations which further the use of tribal lands, incorporate the naming of places in the language, provide clean safe water, etc. Environmental codes are just one example. Consider what capacity will be increased through your project and how your community will benefit from that increased capacity in the future.

ACTIVITY 13

## Develop Your Sustainability Strategy

What outcomes and activities of your project will be sustained? Create bullet points identifying possible sustainability components or strategies. This can be the start to your new sustainability strategy.

| Method | Outcomes or Activities Sustained |
|---|---|
| Institutionalization | |
| Internal and Partnership Resources | |
| Program Income | |
| Programmatic Funding | |
| Increased Capacity | |

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external resource: Toolkit for Sustaining the Work

# Chapter 12

## Next Steps

### How do you find the right funders for your project?

You should now have the basic tools to begin gathering all the information you need to understand what the priority issues are from your community's perspective and how they might be addressed by a community-led project. The information you gather can steer development and expansion of programs and projects for many years. The process cannot be completed overnight; however, the reward for meeting the actual needs of your community and improving its overall wellbeing should outweigh the time commitment involved.

Once your community has narrowed down a project idea, it's time to think about potential funding sources. All funding sources have a particular mission they're supporting. If the purpose of your funding does not align with the mission of the funder or purpose of a particular funding announcement, then you should continue to research other funders. Choosing to go after the first funding opportunity you find or the opportunity that brings the biggest award to your tribe or organization may lead to you wasting your own time and the funder's. You might also consider breaking out your project idea into phases and looking for multiple funders to help you complete each of those phases. In our next section, we'll go over how to search for funding.

### Searching for Funding

A search for funding begins with a solid project plan. Seek out funding opportunities that match that plan. Various internet searches can be conducted through philanthropic, state, and federal agency websites, and you'll want to know which of these types of funding you are seeking.  It is helpful to search for agencies and organizations that provide funding and whose mission align with the project you are trying to fund. If you have a small project and need minimal funds, a local community organization, may be the best; sometimes there are small county, regional and state grant funds available. If you have a medium project and you know it falls in line with a particular state agency's mission, you might seek funding there. If you have a large project or a project that you are seeking to turn into a long-term program, then searching for federal funds may be the place to look first.

When conducting research, you'll want to use keywords—or specific words or short phrases that pertain to your project and its goal—to limit or narrow your search results. You might also comb through the types of awards a particular funder offers or use the search bar of a funder's website to find matches to your keywords.

Once you've identified a funding announcement, look at the frequency the announcement becomes available. Some opportunities occur just once; others are more frequent and occur annually, semi-annually, or even monthly. If the announcement is closed but will open again soon you can sign up for updates, or forecast announcements, from the funder so you know when the funding opportunity will be available again and how much funding may be offered. This is typically done by federal and state funders, but a few philanthropic funders do this as well.

It is important to note that philanthropic funding can have many benefits. One of the benefits of philanthropic funds is that there are often more flexible with fewer restrictions, including some that will fund general operations. Sometimes it's just a wealthy person cutting you a check to use as you please. Typically, these organizations prefer to get to know and establish a relationship with the groups they may fund. It is important for your organization to get to know the philanthropic organizations locally, regionally and nationally. First by research then by communication and networking. It is important to develop a working relationship with right people in these organizations.

During your search, you may find some funding opportunities are unavailable or closed. A review of the funding announcement published the prior year can help you determine what kind of projects they will fund and the level of funding available in the future. Keep in mind that announcements change from year to year. Changes can be subtle, but important. Changes in formatting requirements or evaluation criteria, among other things, could impact your application's eligibility or whether it scores within the funding range. If you decide that a funder is a match for your project, make sure you use the current funding announcement as you move on to development of your application.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external links: Philanthropic Funding or the State and Federal Department Registry.

## How to Read a Funding Announcement

Always read the funding opportunity announcement to be sure it applies to your project and organization. Each funder specifies the entities that are eligible for their funding. You'll want to go to the Eligibility section of an announcement first to see if the funder has included your type of tribe or organization as an eligible entity.

Next, you'll want to confirm a funding opportunity supports your particular project. Go to the Program Description and read in detail the types of projects the funding will support. Review the purpose of the funding, as well as areas of interest identified in the announcement to determine whether your project is a good fit. In addition to the Program Description, the funding opportunity announcement contains Administrative Policies. It's important to review these as they may contain agency policies that impact your eligibility. For instance, ANA has an administrative policy that limits funding to one award under a single CFDA number.

Following that, you should review the Award information, which specifies the award ceiling amount and maximum duration of projects. If the award amount doesn't align with your project or the length of funding is insufficient, then you should look elsewhere. Additionally, some funders will disqualify your application if your request exceeds the award ceiling.
Next, read about a funder's review process, also known as the Review Criteria. This will help you understand how grant proposals are evaluated. This section of an announcement usually explains how applications are scored and how the individual components of an application are weighted.
Although the sections described above are of particular importance, you should read a funding opportunity in its entirety as this

will ensure you know everything about the funder and their requirements. Announcements cover everything from paragraph spacing, to page limits, budget formatting, letters of support, and required forms—all of which are important when preparing an application package. Be aware that critical information can be found throughout the announcement — such as disqualification factors, policies and regulations you and the funder will need to follow, deadlines for submitting the application, contact person(s) for asking questions, and minimum and maximum amounts that may be requested—so take the time to thoroughly read the announcement to which you're applying.

## Gearing Up for Federal Funding

Applications for federal funding are listed on, and submitted through, Grants.gov. There are several steps an organization (nonprofits, state governments, and tribal governments) must complete outside of Grants.gov prior to submitting an application through Grants.gov. The first is checking to see if your tribe or organization currently has an active SAM.gov account. The System for Award Management (SAM) is a free website that consolidates the federal procurement systems and the Catalogue of Federal Domestic Assistance (CFDA) grant system. Your tribe or organization must register with SAM in order to apply for federal funding (including ANA). Tribes and organizations that currently receive federal funding already are registered with SAM.gov. It's important to know who administers your tribe or organization's SAM.gov account, otherwise known as the Ebiz POC (Point of Contact). You'll need this individual's name and email address when the Notice of Funding Opportunity is published if you plan to apply for a federal grant.

There are additional pieces of information that you will need to have current if you are a nonprofit. Check to make sure your state or tribal incorporation is up to date and compliant. If you're a 501c3, visit the IRS website and search the Charity Lookup to ensure your 501c3 is compliant. Any problem with state or local incorporation documents will result in delays in getting your SAM.gov account set up.

New entities that have never submitted a federal grant application or received any type of federal funding in the past will need to work with their organization’s administrative office to create a SAM.gov account.  You will find an Entity Checklist that will walk you through the account creation process by going to the following links.

Learn more at: https://www.anaonlinetraining.org/ppd-resources and select the external links: SAM.gov User Guides; SAM.gov Technical Assistance; Grants.gov Registration Information

## Contact Your Regional TTA Center

If you have questions about the content of this manual, please contact your regional ANA Training and Technical Assistance Center found on the back cover of this manual.

# Appendix A: Acronyms

| | |
|---|---|
| **ANA** | Administration for Native Americans |
| **AOR** | Authorized Organizational Representative |
| **CFDA** | Catalog of Federal Domestic Assistance |
| **CFR** | Code of Federal Regulations |
| **FTE** | Full Time Equivalent |
| **GS** | GrantSolutions |
| **HHS** | Department of Health and Human Services |
| **IDC** | Indirect Costs |
| **NAPA** | Native American Programs Act of 1974, as amended |
| **NFS** | Non-Federal Share |
| **NOFO** | Notice of Funding Opportunity |
| **PI/PD** | Principal Investigator/Project Director |
| **POC** | Point of Contact |
| **SAM** | System for Award Management |
| **SF** | Standard Form |
| **SMART** | Specific, Measurable, Achievable, Relevant/Results Oriented, Time-bound |
| **T/TA** | Training and Technical Assistance |
| **TTIP** | Timeline, Target, Indicator, Population |
| **UEI** | Unique Entity Identifier |

# Appendix B: Glossary of Terms

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

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

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

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

**Community Based Strategies:** A strategy which relates the proposed project to a long-term community goal, justifies why the proposed project is important to the long-term community goal, and describes how the community was involved in identifying the project as a means to achieve the long-term community goal.

**Community Condition:** A specific and current community condition that is related to the purpose of the project. Sufficient detail should be included to describe the baseline condition for the project, so that the achievement of the project goal and outcomes can be used to show an enhancement in the condition described.

**Comprehensive Plan:** A document developed by the community that lists the community's long-term goals. The plan should include benchmarks that measure progress towards achieving those goals. Comprehensive plans usually require at least a year to complete and cover a five- to ten-year time span.

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

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

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

**Long-Term Community Goal:** A goal that has been identified by a community through surveys, community meetings, or a strategic plan.

**Milestone Activities:** The main activities ordered in a sequential manner which become the building blocks to accomplish the objectives. These activities have a definite start and end date. ANA has limited these to a maximum of 25 activities per Objective (per budget period), excluding administrative functions such as attending ANA mandatory meetings and reporting.

**Minor Alterations and Renovations:** Minor Alterations and Renovations: Costs may not exceed the lesser of $250,000 or 25 percent of the total approved budget for a budget period. This may include changes to physical characteristics that would not involve expansion, new construction, development or repair of parking lots, or activities that would change the footprint of the facility.

**Non-Federal Share:** The applicant's resources used to support the project can include cash, donated goods, or donated services. These resources cannot include other federal funds unless the legislation authorizing the funds specifically states that it can be used as NFS for other federally funded awards.

**Objectives:** Brief statements that describe in a measurable way what will be achieved by the end of the project and will lead to meeting the project goal. Completion of objectives should improve/reduce/alleviate the barrier or current community condition identified. The format of objectives varies so check with the funder for their requirements. ANA objectives require four components: Timeline, Target, Indicator and Population (TTIP). Other funders require objectives that are Specific, Measurable, Achievable, Relevant and Timebound (SMART).

**Outcomes:** Measurable, beneficial changes that result from the project and are directly tied to the Objectives.

**Outputs:** Outputs are tangible products or services that result from actions taken to achieve project objectives.

**Project:** A set of activities with a start and end date that will accomplish measurable objectives, achieve a project goal and are funded by a budget.

**Project Approach or Strategy:** The plan of action the project will take to successfully achieve its goal and objectives.

**Project Goal:** A statement describing what role the project will play in changing the current community condition. It can be described in the reduction or resolution of a negative condition, or it can describe an expanded capacity to successfully address the condition.

**Project Planning:** The process used to create a plan of action that will reduce or eliminate a condition that stands between the community and a long-term goal and determines the costs associated with implementation of that plan.

**Project Planning Committee:** A committee that includes a cross-section of people, such as: community members, potential beneficiaries, agency leadership, staff and partner organizations that coordinate project planning, oversee project implementation and assist with project evaluation.

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

**Strategic Plan:** A plan to realize a priority long-term goal through development and implementation of two or three strategic initiatives in a three to five-year period.

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

**Sustainable Project:** Ongoing project operation through such strategies as routinization, revenue generation or leveraged resources.

**Total Project Cost:** In a project budget, the sum of the federal request amount and the non-federal share.

# Appendix C: All on the Wall Activity Instructions

The All on the Wall activity is a group effort aimed at generating ideas, drawing conclusions, and prioritizing next steps. By brainstorming together, you and your community can reach consensus on a variety of topics. The goal is to provide every participant a chance to contribute to the conversation, without judgement or bias. By putting everyone's ideas "on the wall," you will be able to see a larger picture of the community and walk away with ideas you may not have considered before.

This is a great tool when identifying your community's long-term goal, among other project elements such as barriers and objectives. This activity takes approximately 45-60 minutes with a recommended group size of 10-50 individuals. The group should be made up of a cross-section of the community.

**Materials:** Post-it notes, pens/pencils, wall space, poster paper/whiteboard, and stickers.

**Preparation:** Distribute Post-it notes, pens/pencils, and stickers to each participant.

**Instructions:**

1. The facilitator introduces the All on the Wall activity by asking participants to consider a specific topic, for example, a long-term goal for the community.
2. The participants generate ideas or thoughts about the topic and write one thought or idea down on a single Post-it note. Each note gets one idea. The participants can write as many notes as necessary to identify all of their ideas on long-term community goals.
3. The participants post their notes to a wall, poster paper, whiteboard, or similar surface that enables participants to view and read each other's responses.
4. The facilitator asks the participants for guidance in grouping together similar notes. For example, the group might determine that notes fall into six main categories: healthcare, education, language, entrepreneurship, housing, and employment.
5. The facilitator works with participants through each identified category to find common themes. For example, under the education category, the group might notice that several Post-it notes concern high school graduation rates and access to GEDs.
6. The facilitator asks participants to choose which three categories deserve priority. Stickers can be used to anonymously vote. Categories with the most stickers are considered the highest priority. In this example, the areas that receive the most stickers are education, employment, and entrepreneurship.

7. The participants and facilitator review the selected categories and the sub-groupings (or themes) within them. The facilitator asks participants to choose which of the three categories—in this case, education, employment, or entrepreneurship—should be the focus of continuing conversation. Again, stickers can be used to vote. The group selects employment.
8. The group reviews the top category's sub-groupings. The sub-groupings under employment are on-the-job training and increased job opportunities. The facilitator asks the group to choose which of these groupings should be the focus of the long-term community goal. Again, stickers can be used to vote.
9. Guided by the sub-grouping that received the most stickers, each of the participants draft a long-term community goal. In this example, the group selected increased job opportunities as the most important sub-grouping under employment. The group reviews and discusses each participant's statement and after multiple iterations, defines the long-term community goal as, "All employable community members ages 18-50 will be able to access living wage, permanent jobs."
10. At the end of the activity, the facilitator records the outcome of the discussion. This may involve photographing the Post-it notes, keeping the poster paper, saving notes in a folder, or writing a summary of key discussion points. Whatever method(s) the facilitator chooses, it's important to preserve notes and documentation from the meeting so a report can be delivered to the planning committee.

Below are sample questions to help facilitate a conversation on long-term community goals with your participants:

1. What are the ideal conditions you would like to see your community reach within the next 5 or 10 years?
2. Which of those ideal conditions should serve as the basis for your project's long-term community goal?
3. What barriers are standing in the way of reaching the long-term community goal?
4. Which of those barriers will you address in this planned project?

# Appendix D: OMB Cost Principles – Selected Items of Cost

The next three pages display the table of allowability of selected elements of cost detailed in the regulations. It is important to read the specific requirements located in sections 75.421 through 75.475 if you have questions about specific costs.

**Table: Selected Items of Cost**

| | Allowable | Prior Approval Required | Not Allowable |
|---|---|---|---|
| Advertising and Public Relations - read the regulations | | | |
| Advisory Councils - read the regulations | | | |
| Alcoholic Beverages | | | X |
| Alumni/ae Activities | | | X |
| Audit Services | X (w/restrictions) | | |
| Bad Debts | | | X |
| Bonding Costs | X | | |
| Collections of Improper Payments | X | | |
| Commencement and Convocation Costs | | | X (w/exception) |
| Compensation - Personal Services - read the regulations | X | | |
| Compensation - Fringe Benefits | X | | |
| Conferences | X | | |
| Contributions and Donations - read allowability of contributions to the Tribe or organization | | | X |
| Defense and Prosecution of Criminal and Civil Proceedings, Claims, Appeals and Patent Infringements - some exceptions | | | X |

| | Allowable | Prior Approval Required | Not Allowable |
|---|---|---|---|
| **Depreciation** | X | | |
| **Employee Health and Welfare Costs** | X | | |
| **Entertainment Costs** | | | X |
| **Equipment and Other Capital Expenditures** | | X | |
| **Exchange Rates** | | X | |
| **Fines, Penalties, Damages and Other Settlements - some exceptions** | | | X |
| **Fund Raising and Investment Management Costs** | | X (If to meet Federal program objectives) | |
| **Gains and Losses on Disposition of Depreciable Assets - read the regulations** | | | |
| **General Costs of Government** | | | X |
| **Goods or Services for Personal Use** | | | X |
| **Idle Facilities and Idle Capacity** | | | X (two exceptions) |
| **Insurance and Indemnification** | X | | |
| **Intellectual Property** | X | | |
| **Interest - read the regulations** | | | |
| **Lobbying** | | | X |
| **Losses on Other Awards or Contracts** | | | X |
| **Maintenance and Repair Costs** | X (read the regulations) | | |

| | Allowable | Prior Approval Required | Not Allowable |
|---|---|---|---|
| **Materials and Supplies Costs, including costs of Computing Devices** | X | | |
| **Organization Costs** | | X | |
| **Proposal Costs** | X | | |
| **Publication and Printing Costs** | X | | |
| **Rearrangement and Reconversion Costs - read the regulations** | | X | |
| **Recruiting Costs** | X | | |
| **Relocation Costs of Employees** | X (based on specific criteria) | | |
| **Rental Costs of Real Property and Equipment - read the regulations** | X | | |
| **Selling and Marketing - direct costs only** | | X | |
| **Specialized Service Facilities** | X (specific conditions) | | |
| **Student Activity Costs** | | | X |
| **Taxes** | X | | |
| **Termination Costs** | X | | |
| **Training and Education Costs** | X | | |
| **Transportation Costs** | X | | |
| **Travel Costs - read the regulations** | X | | |
| **Trustees Travel and Subsistence Costs** | X | | |

# Appendix E: Community Self-Assessment Questionnaire

Thank you for participating in ANA's Project Planning and Development Training!

This document is designed to help you assess the readiness of your tribe or organization to begin the application process. Answering the questions below as completely as possible will enable you to determine the management, administrative and financial capabilities of your tribe/organization.

We encourage you to share whatever information you gather in this document with your organization leadership.

## Local Capacity

1. Does your tribe or organization have someone on staff assigned to write grants? __ Y __ N

    1.1 Has that person ever written a successful grant applicatio __ Y __ N

2. Who in your organization searches for new funding opportunities?

Comments:

## General Organization Management

1. What is the authority by which your organization can receive federal funding? __ Nonprofit 501(c)(3) __ Tribal college __ Other (Identify):

__ Federally recognized tribe

__ Nonprofit 501(c)(3)

__ Tribal college

__ Other (Identify):

2. Does your organization use policies and procedures* in any of the following categories?

    2.1 Administration __ Y __ N

    2.2 Finance __ Y __ N

    2.3 Council or board membership __ Y __ N

    2.4 Personnel __ Y __ N

2.5 Procurement __ Y __ N

2.6 Property __ Y __ N

*Note: Some of these categories may be combined into one document. If so, please check both categories.

How do the tribal council and/or program directors reach out to your communities?

__ Fliers

__ Notices on bulletin boards

__ Newspaper announcements/articles

__ Radio

__ Social Media

__ Other:

3. Are all council or board positions currently filled? __ Y __ N

3.1 If no, please explain:

4. Frequency of council or board meetings:

5. Are all meetings adequately announced and open to the public? __ Y __ N

6. What methods are used to keep the membership informed of what is going on with the tribal council and within the communities?

7. What are the most successful methods of communication within your community?

8. Is there a system in place to document council or board decisions? __ Y __ N

9. Is there someone designated to enter into funding agreements on behalf of your tribe/organization? __ Y __ N

9.1 If yes identify the staff, council or board position:

10. Comments:

## ADMINISTRATION

1. The direction for your organization is set by:

__ A few senior leaders/council

__ Community members

__ Both of the above

__ Other:

2. Is funding pursued based on availability of funds or priority of identified needs?

__ Availability of funds

__ Priority of identified needs

__ Both of the above

3. Please provide a brief description of the council or board's prior experience in administering a project. Include information regarding type of project, project budget and final cost, timelines, construction approach (contract, force account), and satisfaction level with completed project:

4. Has your governing board conducted and completed a strategic or community plan? __ Y __ N

4.1 If yes, when?

4.2 Is staff in place to implement the plan? __ Y __ N

4.3 Has the plan been modified? __ Y __ N

4.4 If yes, when?

4.5 If yes, briefly indicate what was changed and why:

5. Describe the process your organization uses to identify and prioritize community needs:

6. Is a system in place to process and file grant-related project information? __ Y __ N

7. Is there a records-retention plan in use? __ Y __ N

8. Comments:

## PERSONNEL MANAGEMENT

1. Are there written job descriptions for all positions? __ Y __ N

2. Do you have an organizational chart? __ Y __ N

3. Do you have personnel policies and procedures in effect in the following areas?

    3.1 Hiring process __ Y __ N

    3.2 Evaluation process __ Y __ N

    3.3 Disciplinary process __ Y __ N

4. Is there a separate file folder for each employee, containing personnel-related (non-payroll information? __ Y __ N

Comments:

## FINANCIAL/ACCOUNTING

1. Are there financial policies and procedures or an accounting manual that clearly defines the bookkeeping processes in use? __ Y __ N

2. The financial processes in use include the following:

    2.1 Processing of accounts receivable and payable __ Y __ N

    2.2 General ledger entries __ Y __ N

    2.3 Payroll __ Y __ N

3. Do the financial processes produce accurate and current financial results of the organization, including financial reports? __ Y __ N

4. Are monthly financial statements produced? __ Y __ N

5. Does the organization's council or board regularly review current financial data? __ Y __ N

5.1 If yes, does the reviewed data accurately portray the organization's financial status in a manner that clearly allows for comparison between budgets and actual expenditures and revenue?

__ Y __ N

6. Do the financial processes in place provide effective control over and accountability for all funds, property and other assets, including methods to ensure such assets are used solely for authorized purposes? __ Y __ N

7. Can the financial processes rectify any problems that may occur in project budgets and program plans? __ Y __ N

8. Is your organization current on filing all state and federal tax reports? __ Y __ N

9. Is your organization current on making state and federal tax deposits? __ Y __ N

10. Is there a current chart of accounts? __ Y __ N

11. Are bank statements reconciled monthly by someone other than a check signer? __ Y __ N

12. Has your organization developed, and does it follow a payroll process, including timecards, payroll files for each employee, and other necessary documentation? __ Y __ N

13. Does your organization maintain source documentation to support financial data entries (i.e., vendor files)? __ Y __ N

14. Is there a current audit or yearly financial review? __ Y __ N

15. Did you have any significant or material findings on your last audit? __ Y __ N

15.1 If so, were they addressed? __ Y __ N

16. Are there written procedures in use for drawing grant funds and issuing payments? __ Y __ N

17. Are there written procedures in use for tracking and verifying cost match, cost share, and/or in-kind contributions as applicable by funding sources? __ Y __ N

Comments:

## PROCUREMENT

1. Are there written procedures and procedures in use that meet state and federal requirements? __ Y __ N

1.1 If yes, do these procurement policies and procedures include:

1.1.1 Purchasing processes __ Y __ N

1.1.2 Purchasing methods __ Y __ N

1.1.3 Internal controls for payment of goods or services __ Y __ N

2. How does your tribe/organization determine pay rates for new positions?

__ Established salary scale

__ Based on required qualifications, experience and education

__ Determined when advertising for the position

__ Uses appropriate labor rates for the position for our geographic area based on Department of Labor statistics

3. Has your staff received training in the implementation of the procurement policies and procedures?
__ Y __ N

4. Our policy is that purchases of over $ _________ must be approved by the board or council.

5. Is a purchase order and check request system in use? __ Y __ N

Comments:

ANA

ADMINISTRATION FOR NATIVE AMERICANS

ADMINISTRATION FOR CHILDREN & FAMILIES

DEPARTMENT OF HEALTH & HUMAN SERVICES · USA

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## Western Region

http://www.anawestern.org

Toll free: **1.855.890.5299**

## Eastern Region

http://www.anaeastern.org

Toll free: **1.888.221.9686**

## Pacific Region

http://www.anapacific.org

Toll free: **1.844.944.9544**

## Alaska Region

http://www.anaalaska.org

Toll free: **1.800.948.3158**