MANUAL

2023

Pre-Application

Developed by the ANA Regional T/TA Centers

Alaska Region • Eastern Region • Pacific Region • Western Region

The sun sets at Ka‘ena on the westernmost point of the island of O‘ahu.
— Cover Photo by Paige Okamura

What is in this manual

- Understanding the Administration for Native Americans (ANA) Notice of Funding Opportunity (NOFO) and eligibility requirements for applying.
- Writing an application narrative in response to an ANA NOFO which clearly describes the Current Community Condition, Project Goal, and Approach.
- Completing required Federal forms and packaging the application.
- Submitting an application through Grants.gov.

About the Administration for Native Americans (ANA)

ANA is committed to helping build strong Native communities and believes a community-based planning process should be used to develop projects. ANA's mission and history support community development as the path towards Native American communities achieving self-sufficiency and cultural and language preservation.

ANA History and Priorities

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

Early in the 1970s, the OEO was terminated, but several of its programs were continued. Established in 1974 through the Native American Programs Act (NAPA), the Administration for Native Americans embraced the goal of Native American self-determination, first endorsed by President Johnson in 1968 and later by President Richard Nixon. The most current reauthorization of NAPA is the Indian Community Economic Enhancement Act of 2020, which became public law on December 30, 2020.

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

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

ANA promotes social and economic self-sufficiency in communities through SEDS grants. These competitive financial assistance grants support locally determined projects designed to reduce or eliminate community conditions that stand in the way of achieving community goals.

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

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

Under the SEDS program area, ANA also provides funding for Social and Economic Development Strategies – Alaska (SEDS-AK) projects. SEDS-AK is designed to enhance governance and programmatic management capacity for Alaska Native villages to empower them to promote social and economic self-sufficiency for Alaska Natives.

Native Languages

ANA believes language revitalization and continuation are essential to preserving and strengthening a community’s culture. The use of Native language builds identity and encourages communities to move toward social unity, self-sufficiency, and cultural preservation.

Recognizing that the history of federal policies toward Indian and other Native people has resulted in a dramatic decrease in the number of Native American languages, Congress enacted the Native American Languages Act. This program is authorized under Section 803C of the Native American Programs Act of 1974, 42 U.S.C. 2991b. The intent of the Act is to assist Native communities to reverse this decline. Three decades later, Congress passed the Esther Martinez Native American Languages Preservation Act (P.L. 109-394) in 2006. This law amends the Native American Programs Act of 1974 to provide for the revitalization of Native American languages through Native language immersion and restoration programs.

ANA Native Language funding has two standing categories: (1) Preservation and Maintenance (P&M) funding, which provides opportunities to assess, plan, develop, and implement projects, including restoration projects, to ensure the survival and continuing vitality of Native languages and (2) the Esther Martinez Immersion (EMI), which supports language nests and survival schools.

Environmental Regulatory Enhancement (ERE)

Growing awareness of environmental concerns on Indian lands resulted in ANA dedicating funding to address those issues. ANA's 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 and can include environmental issue identification, and the development, implementation and enforcement of regulations.

Community-Based Projects

ANA funds community-based projects. This means that during the project planning and development phase, the community played a significant role in identifying the project focus and the solutions proposed. Projects that do not include community input often experience significant delays in start-up and implementation.

NOTE: Know how you are defining "community" before you begin. The term "community" may refer to:

- A Tribe
- An Organization (non-profit)
- A Geographical Community
- A subset of a Tribe/Organization - such as projects focused on capacity building. In this case, the "community" may be primarily staff/tribal council members, etc.

PRE-APPLICATION MANUAL TABLE OF CONTENTS

Getting Started

Application — Grant — Project

How many times have you heard someone say they are writing a grant? What is the difference between an application, grant, and project?

- An application is the formal request to ANA for funding to implement a proposed project.
- A grant is the agreement between the recipient and the funding agency, ANA.
- A project is a series of activities that will be completed in order to reach a specific outcome(s).

How to use this manual

This manual will guide you through the process of putting together an ANA application. After completing the activities in this manual, you should have a solid outline of the project narrative, data tracking strategy, objective work plan, and budget to include in your application.

This manual is also designed to help you align your application with the numbered evaluation criteria outlined in all NOFOs, in Section V.1 Criteria. ANA recommends that applicants use the criteria as the outline of their applications. Applicants find following the evaluation criteria assists in ensuring each criterion is addressed. It also makes it easier for reviewers to find the required information.

The manual highlights each criterion along with an explanation of what the criterion is asking for as a response. Please note that the criteria differ between Program Areas. The manual utilizes call out boxes in the sections where additional criteria are required. Activities accompany each criterion, providing a guide on how to capture and organize the required information. You will find many of the activities provide charts, which you are welcome to use within your application. However, you will want to provide an accompanying narrative that describes the chart, instead of only providing the chart as a response to the criteria.

Additionally, this manual provides guidance on applying through Grants.gov using Workspace and the forms necessary for the formal submission of the application.

USE YOUR WORDS: Charts, graphics and tables can be effective when presenting and summarizing information; however, it is important to provide a written explanation or narrative to put each into context.

ANA provides free training and technical assistance (TTA) to all eligible applicants. If further assistance is needed, please contact your regional TTA Center listed below:

WE ARE ONE
ANA T/TA CENTERS

ANA Help Desk

http://www.acf.hhs.gov/ana
Toll free: 1.877.922.9262

Alaska Region

http://www.anaalaska.org
Toll free: 1.800.948.3158

Eastern Region

http://www.anaeastern.org
Toll free: 1.888.221.9686

Pacific Region

http://www.anapacific.org
Toll free: 1.844.944.9544

Western Region

http://www.anawestern.org
Toll free: 1.855.890.5299

Navigating the Notice of Funding Opportunity (NOFO)

A Notice of Funding Opportunity (NOFO) is a document that is published by a Federal agency to announce a grant opportunity. NOFOs can be found on Grants.gov, which is the Federal Government's official website for grant announcements. This document contains all the official information needed to submit an application (e.g., requirements, deadline, eligibility, reporting, etc.)

ANA issues five separate NOFOs for the following program areas under three Catalog of Federal Domestic Assistance (CFDA) numbers:

CFDA 93.612

- Social and Economic Development Strategies (SEDS)
- Social and Economic Development Strategies – Alaska (SEDS-AK)

CFDA 93.581

- Environmental Regulatory Enhancement (ERE)

CFDA 93.587

- Language Preservation and Maintenance (P&M)
- Esther Martinez Immersion (EMI)

When putting together your ANA application, be sure to read the applicable NOFO thoroughly and follow all instructions closely. Keep in mind that while applicants can submit multiple applications under each CFDA number, at this time, only one project can be funded under each of the CFDA numbers.
It is important that the project be relevant to the NOFO the application is submitted under. Lastly, ANA will not fund the same project more than once.

Before you begin an EMI application, you should be aware of the specific eligibility requirements of this program area. Applicants will need to provide certification that they have been administering and operating either a Language Nest or a Survival School for at least 3 years. ANA will not fund projects without this certification. Below are the descriptions for each:

Native American Language Nests are site-based educational programs that provide child care and instruction in a Native American language for at least 5 children under the age of 7 for an average of at least 500 hours per year per child, provide classes in such languages for parents or legal guardians of children enrolled in such language nests, and must ensure that a Native American language is the medium of instruction in the Native American language nest.

Native American Language Survival Schools are site-based educational programs for school-age students that provide at least 500 hours per year per child of Native American language instruction to at least 10 students for whom a Native American language survival school is their principal place of instruction, and which develop instructional courses and materials, provide teacher training, and work toward achieving Native American language fluency and academic proficiency in mathematics, reading, and sciences, and are located in areas that have high numbers or percentages of Native American students.

Overview of the Structure and Content of NOFOs

The ANA NOFOs are all structured as described below.

Executive Summary. This section provides information on the purpose of the funding.

Section I. Program Description. This section provides information on:

- ANA's mission and goals,
- a description of the program area the NOFO addresses,
- the purpose of the program area,
- ANA's areas of interest for the program area addressed by the individual NOFO,
- the ANA project framework,
- project monitoring tools,
- key project features to be addressed in the application,
- and ANA administrative policies.

All applications must include a project idea that specifically addresses the purpose of the program area outlined in the NOFO.

The Program Areas of Interest provides examples of the types of projects that could be implemented to address the purpose of the NOFO. This list is only meant to help clarify the purpose of the NOFO. Examples are limited and do not represent the only project ideas that you could implement. You are not required to use one of the areas of interest as the focus of your application.

The ANA project framework, project monitoring tools, Objective Work Plan (OWP), and key project features are also explained in this section. These parts of the section form the foundation for your project and how you implement it. All parts discussed here will be evaluated by reviewers using ANA's scoring criteria.

Section I concludes with the ANA administrative policies which defines specific policy requirements, limitations, conflict of interest standards, and federal evaluation.

Section II. Federal Award Information. This section details the type of funding instrument, estimated total funding, expected number of awards, the minimum and maximum amount of federal funds that can be requested each year of the project, the average projected award amount, the anticipated project start date, and the length of projects.

The information provided in Section II helps in the planning of your project (e.g. determining start and end dates for activities, knowing the maximum federal funding that can be requested per year, and understanding how long a project can be). Some of this information also relates to disqualification factors listed in the next section.

Section III. Eligibility Information. This section contains information on who is eligible to apply for funding, the cost sharing or matching requirement, projects that are ineligible for funding, and application disqualification factors. Should you need clarification on any of this information, contact the ANA Help Desk or your Regional Training and Technical Assistance Center.

Section IV. Application and Submission Information. The information included in this section addresses how to request an application package (also available at www.Grants.gov), formatting the application and page limitations, required application elements and organization of files for uploading to Grants.gov, and required standard and Office of Management and Budget (OMB) approved forms. Key to this section is the structure of the application and the information to be contained in each component of the application.

The Project Description describes the content of the narrative. Information is provided on formatting the table of contents, the elements of the project abstract, defining expected outcomes which includes the outcome tracker, writing the project approach which includes organizational capacity, how to complete the objective work plan (OWP), and preparing a project budget. There are a number of elements to each of the components, so it is important that you address each piece of information required. Also included are the application submission options, instructions for electronic submission, and the due date for applications.

Section V. Application Review Information. This section explains how the applications will be reviewed and provides the specific evaluation criteria and the points assigned to each criterion.

Section VI. Federal Award Administration Information. This section details specific conditions for those applicants that receive an award and the reporting requirements for the grant.

Section VII. HHS Awarding Agency Contact(s). This section lists the ANA Program Office and the Office of Grants Management contact information.

Section VIII. Other Information. The other information provides reference websites and the application checklist that can be used as a guide when preparing the application package.

Appendices

- Appendix A: Glossary of Terms
- Appendix B: Abbreviations and Acronyms
- Appendix C: Calendar for Planning the Writing of Your Application
- Appendix D: Requirements for a Business Plan
- Appendix E: OMB Cost Principles – Selected Items of Cost
- Appendix F: Summary of CFR 45 Part 75
- Appendix G: Environmental Regulatory Enhancement (ERE) Examples
- Appendix H: Native Language Esther Martinez Immersion (EMI) Examples
- Appendix I: SEDS AK Examples

***NOTE:** The official Notice of Funding Opportunties take precedence over any material in this manual.* Remember, it is important to carefully read, understand and closely follow the instructions provided in the entire NOFO.

Understanding NOFO Section V.I Criteria

Each application will be evaluated and scored using the criteria in this section of the NOFO, therefore it is important to understand this section and align your application with each part of the criteria. This section will show you how to achieve that alignment.

This section includes a set of three main criteria, its corresponding sub-criteria, and the elements (1-6 per sub-criteria) used for evaluation.

Three Main Criteria

(For SEDS, SEDS-AK, ERE, P & M applications)

Approach	**– Max 73 points**
Organizational Capacity	**– Max 12 points**
Budget & Budget Justification	**– Max 15 points**

(For EMI applications)

Approach	**– Max 75 points**
Organizational Capacity	**– Max 10 points**
Budget & Budget Justification	**– Max 15 points**

Applications should fully address ALL sub-criteria and their corresponding elements in order to maximize points obtained during the review process.

Bonus Points

SEDS applicants may earn bonus points in one of two areas: Economic Development Bonus Points (10) or Native American Community Priority Area Bonus Points (5).

Ten (10) Bonus Points will be given to SEDS projects that address one or more of the following **Legislative Economic Development priority areas:**

- Development of a tribal code or courts system for the purposes of economic development such as commercial codes, training for court personnel, and development of non-profit subsidiaries or other tribal structures;
- Development of a Native community development financial institution, including training and administrative expenses; and/or
- Development of a tribal master plan for community and economic development and infrastructure.

Five (5) Bonus Points will be given for SEDS projects that address one or more of the following **Native American Community priority areas**:

- Native Veterans,
- Emergency Preparedness and Response,
- Missing and Murdered Native Americans (MMNA)

In order to receive either one of the bonus points, the priority group(s) must be an integral part of the project as evidenced in the project goal, all objectives, and indicator(s) as reflected in the project's framework, project approach, OWP, and Outcome Tracker. In order to receive bonus points for Native Veterans, they must be included as the target population, either as participants or beneficiaries.

NOTE: You may only receive bonus points for the the Economic Development priority area or the Community priority area, not both. Bonus Points are all or nothing, meaning no partial points will be awarded.

Introduction

Start your application narrative with a brief description of your Tribe/Organization. This introduction should be a broad description which provides the Reviewer an overview of the applicant Tribe/Organization at the present time. Limit your introduction to one or two pages and try to refrain from describing the entire history of your Tribe/Organization.

Part of the description should include the geographic location of the Tribe/Organization and any project site(s) outside of the Tribe/Organization's location. Also include a summary of demographic information which can be enhanced in other sections.

It is helpful to include a description of any unique identifiers important for the Reviewers to better understand your community, for example if the project will be in a rural farming community, urban setting, or a remote location with high travel and shipping costs. Other factors to describe might be a small/large population, the local economy, and expensive modes of transportation.

EXAMPLE: The Pine Creek Farmers' Market Co-op (PCFMC) is located in a small rural setting 150 miles from the nearest city in southeast Colorado. The Pine Creek Tribe has 1,126 members spread across 30 square miles. The PCFMC was started ten years ago after obtaining an ANA grant to start 4 small farming businesses. It exists to generate revenue through sales of fresh fruits and produce. Due to our semi-remote location, we have higher shipping costs in/out of our community, which are passed onto our Tribal members.

ACTIVITY

Getting Started

Write a Brief Project Introduction

Describe the following: geographic location, project sites, demographic summary, unique Identifiers.

Criterion 1

Approach

Maximum Points: 73

(EMI Max Points: 75)

Approach | Max Points: 73
(EMI Max Points: 75)

The Approach section should contain the majority of your application narrative and describe the following in detail:

1. **ANA Project Framework**
   a. Long-Term Community Goal
   b. Current Community Condition
   c. Project Goal
   d. Objectives
   e. Outcomes and Indicators
   f. Outputs
2. **Outcome Tracker and Outcome Tracking Strategy**
3. **Community-Based Strategy**
4. **Readiness and Implementation Strategy**
5. **Objective Work Plan**

This section of the application will need to address the review criterion under Approach (found in Section V.1 in the NOFO). The criterion will be used by reviewers to consider the degree to which the project is feasible, effective, community-based and will successfully achieve the intended outcomes. The following is taken from Section V.1 of the NOFO and entails the elements found under Approach.

Long-term Community Goal (0-2 points)

1. The application identifies a long-term community goal and demonstrates the proposed project is relevant to the achievement of the long-term community goal.

Current Community Condition (0-3 points)

2. The application clearly provides one current community condition that is addressed by the scope of the proposed project.

3.The application effectively provides baseline information about the project's current community condition.

Project Goal (0-2 points)

4.The application clearly demonstrates that the project goal specifically relates to the purpose of the NOFO as described in Section. Program Description, SEDS Program Purpose.

Objectives (0-6 points)

5.The application sufficiently identifies one to three objectives that effectively describes a measurable achievement with components of TTIP (Target, Timeline, Indicator, and Population). No more than three objectives are included in the application.

6. All objectives lead to achievement of the project goal.

Outcomes and Indicators (0-5 points)

7. The application describes one primary outcome per objective in a way that aligns and demonstrates what will be changed as a result of achieving the objective.

8. The application clearly provides one indicator per primary outcome that illustrates how the project will track progress towards the primary outcome.

Outputs (0-3 points)

9.The application describes each objective's resulting outputs (products and/or services) and their relevance to the project.

Long-Term Community Goal (0-2 points)

1. The application identifies a long-term community goal and demonstrates the proposed project is relevant to the achievement of the long-term community goal.

A long-term community goal should capture an ideal state the community is moving toward. Projects are developed with the intent of bringing the community closer to these goals. Well defined projects demonstrate that the community or organization has a clear sense of direction and focus. Many tribes and organizations have identified long-term goals through a community-based planning process and include them on their websites or comprehensive plan documents. Similarly, non-profit organizations can often find their long-term goals in their mission statements and/or strategic planning documents generated by members of that organization.

To address this element, state the long-term community goal. Next, describe how the long-term community goal was defined and the role the community/Tribe/organization played in long-term goal development. Lastly, describe how the project was selected and how it will bring the community/Tribe/organization a step closer to reaching the long-term community goal.

EXAMPLE:

Long-term Community Goal: Long-term Community Goal: Increase year-round food security in the community with access to affordable, locally-grown nutritious food. This long-term community goal was identified by the Tribe during the last strategic planning meeting two years ago. Surveys were sent out to the entire community to determine what priorities the community felt needed to be addressed over the next 5 years. The survey results showed 8 priorities and food sovereignty was number three on the list.

The Tribal Council determined during the strategic planning meeting that the development of a Tribal Farmer's Market Co-op was the best way to address this issue. We have met with local farmers and surveyed the community's needs and through those results it was determined that community members have very limited access to affordable, locally grown food. To address this, the Tribe reached out to local farmers and through many committee meetings the project plan was developed to establish a Farmer's Market Co-op to increase access to locally grown produce.

ACTIVITY

Long-Term Community Goal

Write your long-term community goal statement identified for this project:

Briefly describe how the proposed project was selected and how it will bring the community closer to reaching the long-term community goal.

Identify where this statement is found – for example:
Comprehensive plan documents, Mission statements , Vision statements, Strategic planning documents, Other

Current Community Condition (0-3 points)

2. The application clearly provides one current community condition that is addressed by the scope of the proposed project.

3. The application effectively provides baseline information about the project's current community condition.

The current community condition is a gap or barrier that is preventing the community from achieving the long-term community goal. While there are probably many conditions the community can identify that stand in the way of reaching the long-term goal, your application should identify one specific condition. The project should measurably reduce or eliminate the condition and bring the community closer to obtaining the long-term goal.

Do not describe the specific condition that the project will address as a "lack of" or a "need for" something. For example, applications often will assert, "We need better nutrition for our elders," or "Our youth lack access to nutritious food." These statements do not describe a condition in the community, rather they describe a possible solution for addressing the condition of high food costs, distance from the community to fresh foods or loss of knowledge of how to prepare nutritious meals.

Element

2. The application clearly provides one current community condition that is addressed by the scope of the proposed project.

Your application should be focused and to the point. While many conditions may exist, your community should prioritize which one to address with this project. When addressing this element, the current community condition statement should:

- Be one sentence in length,
- Be compelling and urgent,
- Contain a measure of the current condition,
- Be bolded/italicized to call it out in the narrative, and
- Not include “lack of” or “need for” statements.

EXAMPLE:

Current Community Condition: Current Community Condition: The community imports 95% of its produce, and the costs are the highest in the state. A community survey confirms that members are not able to purchase produce as much as they’d need to sustain healthy diets for their families.

For Language Projects:

Language projects have the following additional elements.

(for EMI applicants only)

Element 1: Native Language Nest or Native Language Survival School Certification (0-10 Points).

The application includes an official document signed by the authorized representative certifying that the applicant has at least three years of experience operating and administering a Native American language nest, Native American language survival school, or any other educational program in which instruction is conducted in a Native American language in accordance with Public Law 109-394 (42 USC 2991b-3(c)(7)).

To address this element, applicant organizations must submit a Language Survival School or Language Nest Certification as an attachment. The document should be on letterhead with contact information of the Tribe/Organization and must be signed by the authorized representative. EMI projects will not be funded unless this certification is provided.

The applicant is self-certifying they have at least three years of experience operating and administering:

a. a Native American language nest,

b. a Native American language survival school, or

c. any other educational program in which instruction is conducted in a Native American language in accordance with Pub. L. 109-394 (42 USC 2991b-3(c)(7)).

(For Both P&M and EMI applications)

Element 7: The current status of the Native language is fully described, including the current number of fluent and emerging speakers with details to indicate fluency levels; current language learning resources available for use within the community; a description of the existing language program(s); and participation in language preservation by current and emerging language speakers.

To address this element, the application must fully describe the current status of the language by explaining the following:

a. current number of fluent and emerging speakers with details to indicate fluency levels;

b. current language learning resources available for use within the community;

c. a description of the existing language program(s); and

d. participation in language preservation by current and emerging language speakers.

ACTIVITY

Current Community Condition

Restate the Long-Term Community Goal.

Write the Current Community Condition Statement:

Element

3. The application effectively provides baseline information about the project's current community condition.

NOTE: Baseline information refers to the statistics which provide the status of the current condition. This data is the basis for determining the change of the identified condition through the successful completion of the project.

- Describe the source - surveys, studies, census
- Describe how data links to Community Condition
- Data should not be older than 5 years
- Local data is better than national data

Lay the groundwork for Reviewers to understand the Current Community Condition and to accurately determine if your approach is viable. By providing this baseline information, you are painting a picture to use as a comparison for future improvements and success. Make sure to support your claims with facts and evidence.

When addressing this element, it is important to only include information which is related to a baseline for the single identified condition. For example, if the project is about preserving a Native language, then baseline information about unemployment and poverty data may not be relevant.

Data for the baseline information can come from surveys, focus groups, research papers/studies, census, archives, etc. Use data that has been collected within the last 3 to 5 years. Provide local data first that speaks directly to your community to be served (community rates for: unemployment, suicide, poverty etc.) and if local data is not available move progressively outward to regional and statewide sources. It is often helpful to compare local statistics to regional and statewide statistics to show the severity of the condition.

For example, our community's unemployment is 5 times the statewide level.

EXAMPLE:

Baseline of the Current Community Condition

Our department conducted a survey in 2020 and the results showed that our community members would like to purchase more local produce, but are unable to because our small community only has one grocery store which stocks produce from outside the area. Comparison studies reported in the 2019 statewide farming report cited that our community pays five times the cost for fresh fruits and produce. The report mentioned two main reasons for the increase in costs: outdated farming techniques used by local farmers resulting in low production; and high rates of spoilage due to warehousing and shipping from outside the community.

ACTIVITY

Current Community Condition

Provide the status of the current community condition (baseline data):

What sources were used?

Project Goal (0-2 points)

4. The application clearly demonstrates that the project goal specifically relates to the purpose of the NOFO as described in Section I. Program Description, SEDS Program Purpose.

The project goal is a statement describing what is to be achieved by the project's implementation and/or what role the project will play in addressing the current community condition. It can describe a reduction or resolution of a negative condition, or it can describe an expanded capacity to successfully address the current community condition.

The project goal should be written as a single statement which is to the point and reflects the scope of the project. There should be a direct correlation between the current community condition and the intended result of the project. Consider if the project goal will move the community closer to realizing the long-term community goal.

Additionally, while the long-term community goal represents an ideal that may be achieved years from now, the project goal should be achieved by the end of the project period. Be sure the goal is achievable within the timeframe allotted for the project.

The project goal statement should:

- Be one sentence in length
- Reduce/Improve/Eliminate the Current Community Condition
- Be realistic

EXAMPLE:

Project Goal: To increase food security for community members.

Element

4. The application clearly demonstrates that the project goal specifically relates to the purpose of the NOFO as described in Section I. Program Description, SEDS [EMI, ERE, P&M, SEDS-AK] Program Purpose.

To address this element, go to Section I of the NOFO under the sub-heading “SEDS Program Purpose”, (each NOFO will have a distinct program purpose for that program area). For SEDS, there are three main concepts: Social Development, Economic Development and Governance. Choose at least one concept, and clearly describe the relationship between the project goal and the chosen concept.

EXAMPLE:

Example of Relationship to SEDS Program Purpose: Our project goal relates to two concepts within the SEDS Program Purpose: Social and Economic Development. The project will address economic development by establishing a hydroponic growing system so so community members can afford year-round access to this produce and increase their food security. Additionally, it will address social development by providing a service to improve the health and well-being of our community members by providing fresh produce at a reduced cost.

ACTIVITY

Project Goal

Describe how the project goal relates to the purpose of the SEDS NOFO:

Write your project goal statement in one sentence:

Objectives (0-6 points)

5. The application sufficiently identifies one to three objectives that effectively describes a measurable achievement with all components of TTIP (Target, Timeline, Indicator, and Population). No more than three objectives are included in the application.

6. All objectives lead to the achievement of the project goal.

Objectives are the larger building blocks that need to be achieved to reach the project goal and improve the current community condition. ANA permits a maximum of three project objectives for the entire project period. The format for ANA's objectives is TTIP: Timeline, Target, Indicator and Population.

Element

5. The application sufficiently identifies one to three objectives that effectively describes a measurable achievement with all components of TTIP (Target, Timeline, Indicator, and Population). No more than three objectives are included in the application.

ANA limits the number of objectives to encourage projects that are manageable within the allotted project period. You may find that you only need one objective for your project while others may need all three. Objectives can operate sequentially, where the second objective is dependent upon completing the first. Or they can operate concurrently, where activities for one objective are started around the same time as another. Consider how your TTIP components will change depending on the situation that applies to you.

Each objective must include the following four TTIP components:

- **Timeline**: a time by which the objective will be achieved
- **Target**: a measurement for the intended amount of change
- **Indicator**: a measurable sign that something has been done or achieved
- **Population**: a specific group on which the program is intending to focus

Each objective should only include ONE of each of the TTIP components. If you find that your objective has multiple targets or addresses more than one population, then more than one objective should be developed.

The more concise, and specific your objectives are, the easier it will be for a reviewer to understand your project approach and the project team to implement the project. We highly recommend labeling each of the TTIP components of the objective as seen in the example below.

EXAMPLE:

Example TTIP Objective 1: By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).

ACTIVITY

Objectives

Write your TTIP Objective with each of the components labeled in parentheses.

TTIP Mad Lib:
The following can be used to write the TTIP objective(s):

By ________(When=Timeline) _________(Who=Population) will increase/decrease/improve

__________(What=Indicator) by/to ___________(How Much=Target).

Timeline – When the objective will be accomplished

Population – The specific group the objective will focus on

Indicator – The thing that will change/increase/decrease/improve after achieving the objective

Target – The amount of change (increase/decrease/improvement) that will be achieved

NOTE: Make sure the target is tied to the indicator and not the population. The target should be achievable within the timeframe and the indicator should clearly define what change will take place within the timeframe.

Targets can be defined in many ways: whole numbers, percentages, level changes, scales, and professionally- or self-identified targets. Whichever measure is chosen, be sure to describe exactly what that target means within the narrative.

Using the objective below notice the target is directly related to the indicator and provides a measure of how much the cost is expected to be reduced for a selection of produce by the end of the project.

NOTE: When using a percentage for a target the baseline information must be provided so the reviewer will have a reference point for determining the amount of change that will occur.

When addressing this element, describe how completing each objective will logically lead you to achieving the project goal. In some instances, this relationship may seem obvious with the intimate knowledge you possess about your community; however, you will want to specifically draw the correlation for the reviewer.

Element

6. All objectives lead to the achievement of the project goal.

As previously mentioned, objectives are the building blocks needed to reach the project goal. Objectives should be achieved by the end of the project period (12, 24 or 36 months – EMI can be up to 60 months). It should be clear to the Reviewer that successful execution of each objective brings you one step closer to achieving the project goal.

When addressing this element, describe the relationship between the objective's achievement and reaching the project goal.

EXAMPLE

Using the project goal and objective mentioned previously, we will provide a sample description below.

Project Goal

To increase food security for community members.

Objective 1

By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).

Sample explanation:

The current methods of farming have high production costs with a lower volume of harvested crops. By establishing and training our farmers to use a hydroponics system, it is anticipated that fresh produce will have lower production costs and an increased volume of harvested crops going to market. This will allow our local farmers to pass the cost savings on to our community members.

ACTIVITY

Objectives

Describe how the objective(s) lead to the goal.

Outcomes and Indicators (0-5 points)

7. The application describes one primary outcome per objective in a way that aligns and demonstrates what will be changed as a result of achieving the objective.

8. The application clearly provides one indicator per primary outcome that illustrates how the project will track progress towards the primary outcome.

Outcome(s) are the expected change(s) that happen as a result of successfully completing the project's objective(s); typically, these changes are seen at the community/organizational level. Outcomes can include the change in the intended knowledge, awareness, attitudes, skills, behaviors, etc. **ANA requires one primary outcome per objective.** Outcomes are measured through the indicator(s).

NOTE: Outcomes may be the same for all objectives – or they can be different. In either case, you must identify an outcome for each objective. Outcomes are **NOT** the same as the indicator, project goal, or long-term community goal.

Recall from the previous section that indicators are directly written into the TTIP objective. The indicator is what will change/increase/decrease/improve after achieving the objective; and the target tells how much change will occur. Use the indicator (what will change) and the target (quantifiable measure) from the corresponding objective to address the elements of this section.

NOTE: It is highly suggested that you complete the Outcome Tracker prior to writing the narrative for this criterion. The Outcome Tracker will provide you with a visual layout of each item that needs to be described.

Objective 1: By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).	
Outcome	**Indicator**
Increase in food security through increased accessibility of locally grown produce.	Increased purchases of affordable, locally-grown food.

Elements

7. The application describes one primary outcome per objective in a way that aligns and demonstrates what will be changed as a result of achieving the objective.

8. The application clearly provides one indicator per primary outcome that illustrates how the project will track progress towards the primary outcome.

As mentioned above, each objective will have only one primary outcome seen at the community level. Although the objective, indicator + target, and outcomes are all closely tied together, they are not the same. Achieving the objective (indicator + target) results in change which is measured at the project level. The outcome is an anticipated change that can be observed/ measured at the community level.

To address these three elements, follow five steps:

1. State your project goal.
2. State the outcome for each objective.
3. State the indicator and its associated target (found in the objective).
4. Describe how the indicator in the objective will lead to the corresponding outcome.
5. Describe how the outcome will result in accomplishing the goal.

EXAMPLE

Project Goal

To increase food security for community members.

Objective 1

By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).

Target + Indicator for Objective 1:
Total number of separate sales transactions will increase by 50% and recorded at the weekly community farmer's market.

Sample explanation:

Based on the results from the community survey conducted in 2020, our community members stated they would buy more fresh produce if it was affordable. The project goal is to reduce produce costs to the community. By reaching Objective 1, the community will increase their purchase and consumption of locally grown produce. Therefore, by completing this objective the expected outcome of increasing food security in the community will be reached.

For Language Projects - P&M and EMI:

Language projects have an additional element under the Outcomes and Indicators sub-criterion

Element

Each outcome proposed aligns to one of the following categories:

1. Increased language fluency.
2. Increased community member use of language learning resources.
3. Increased ability to deliver immersion instruction through certifying language teachers.
4. Increased capacity to implement a language program.

Under the P&M or EMI NOFO, each objective in the application must include a primary outcome that aligns to one of the four categories required by ANA.

To address this element, state the Objective and specify which category the primary outcome aligns with. Do this for each objective.

Objective	NOFO Category for the Outcome
Objective 1: By the end of 36 months (timeline), there will be a 60 percent increase (target) in language fluency levels (indicator) for immersion language nest students (population).	Aligned with Outcome Category #1: Increased language fluency. **Outcome for Objective 1:** Immersion language nest students will have improved fluency in their language.

ACTIVITY

Outcomes & Indicators

Project Goal:
Outcome for Objective 1:
Target + Indicator for Objective 1:
Narrative Explanation:
Outcome for Objective 2:
Target + Indicator for Objective 2:
Narrative Explanation:
Outcome for Objective 3:
Target + Indicator for Objective 3:
Narrative Explanation:

Outputs (0-3 points)

9. The application describes each objective's resulting outputs (products and/or services) and their relevance to the project.

Outputs are the products and/or services that are directly tied to the accomplishment of milestone activities in the objective work plan (OWP). These might include curricula, training sessions, or number of participants, among other things. As you complete your narrative and your OWP, more outputs will become evident.

When addressing this element, it is important to maintain consistency with the outputs listed in the OWP. List each output from the OWP and describe why it is relevant for achieving the objective.

A table might be helpful to draw the correlations:

Objective:	
Outputs	**Relevance**

NOTE: If an output is listed several times, it is only necessary to describe it once.

Sample

Objective: By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).	
Outputs	**Relevance**
4 MOUs	The farmers are agreeing to work with the co-op during the project period.
4 greenhouses 4 hydroponic systems 4 raised bed systems Organic / Non GMO practices established	These are the new innovations that will allow increase in production and reduced costs to farmers which will be passed to consumer.
Data Collection Protocols Data Collection Tools	Policies/Procedures. Spreadsheets.
8 volunteers	Will assist the farmers and will learn farming practices to main crops and prepare crops for market.

ACTIVITY

Outputs

Objective 1:	
Outputs	**Relevance**

Objective 2:	
Outputs	**Relevance**

Objective 3:	
Outputs	**Relevance**

Outcome Tracker & Outcome Tracking Strategy (0-7 points)

10. The application sufficiently includes an outcome tracker that shows logical connections between the long-term community goal, current community condition, project goal, objectives, outcomes, indicators, and outputs.

11. The application fully identifies an accurate and viable means for measuring each indicator, which can be effectively and consistently used to assess progress.

12. The outcome tracker includes rational targets for the required points in time (baseline, end of each project year, end of project period, 3-year post-project period) that are supported by the means for measurement.

13. The proposal identifies an appropriate outcome tracking strategy that includes staffing, effective data management systems, and an organizational process that will successfully utilize data to inform and improve program quality.

Outcome Tracker

An outcome tracker must be developed for each project objective. The outcome tracker aligns information from the project framework with a means for measurement and annual targets for achievement. The outcome tracker is designed to support project staff in monitoring progress during project implementation. The outcome tracker should include information that is consistent with components of the ANA Project Framework that are logically connected.

Element

10. The application sufficiently includes an outcome tracker that shows logical connections between the long-term community goal, current community condition, project goal, objectives, outcomes, indicators, and outputs.

Provide an outcome tracker which includes the following components for each project objective:

- Long-term community goal,
- Current community condition,

- Project goal,
- Objective,
- Primary outcome,
- Indicator,
- Means of measurement and
- Outputs.

The long-term goal, current condition, project goal and objectives should all be identically worded throughout the narrative. The copy and paste function will be your new best friend in this case. Similarly, the indicator should also be copied word-for-word from the objective. This is especially true if more than one person is helping you draft your application and will be clear and consistent for Reviewers as they score your application.

Each indicator must be measured using the same method throughout each project year and three-year post project timeframe.

The outcome tracker must also identify benchmarks for the indicator at the following points in time:

- Baseline (beginning of project)
- End of each project year
- 3-year post project

The 3-year post project target is the anticipated data point for three years after the grant funding has ended. This will measure the intended growth or sustainability of the desired change.

We **HIGHLY** recommend using the table format on the following page to develop the Outcome Tracker. The table allows the Reviewers to clearly see the logical connections of the ANA framework required for this section.

(Project Name) Outcome Tracker							
Long-Term Community Goal:							
Current Community Condition:							
Project Goal:							
Objective:							
Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**Project Year 2**	**End of Project**	**3-Yr Post**
Outputs:							

The outcome tracker is a tool an applicant can utilize to clearly demonstrate the logical connections between these components. For this reason, it is important that this tool reflect your narrative and stated project approach.

To address this part of the criteria, be sure to use an outcome tracker that demonstrates the logical connections between each of the ANA Project Framework components previously identified: long-term community goal, current community condition, project goal, objectives, outcomes, indicators, and outputs.

NOTE: The outcome tracker tool will be used to track data during implementation and can be easily explained in the Outcome Tracking Strategy section.

Using the examples provided previously, below is the initial layout for the outcome tracker for the objective:

Pine Creek Co-op Outcome Tracker							
Long-Term Community Goal: To enjoy year-round food security in the community with access to affordable, locally grown nutritious food.							
Current Community Condition: The community imports 95% of its produce, and the costs are the highest in the state. A community survey confirms that members are not able to purchase produce as much as they'd need to sustain healthy diets for their families.							
Project Goal: To increase food security for community members.							
Objective: By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).							
Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**Project Year 2**	**End of Project**	**3-Yr Post**
Community members will have increased access to affordable fresh produce	Reduce the consumer cost on a selection of 6 vegetables and 3 fruits						
Outputs: 4 greenhouses, 8 volunteers							

Another example of the Outcome Tracker can be found in Appendix B of the NOFO.

Element

11. The application fully identifies an accurate and viable means for measuring each indicator, which can be effectively and consistently used to assess progress.

Many NOFO elements require that you provide a method by which you can prove that you have done what you said you would do. This is true here, as well. The means of measurement is the tool or methodology used for collecting data that must be directly tied to the indicator you described above; and it will be used to collect the data necessary to track your stated target. You will need to consider the qualitative measures that address your objective.

Additionally, you'll want to consider what is possible for you to track given your current capacity and staffing. For example, if you know that your rural location has poor internet service, then online surveys may not be the most viable option as a means of measurement.

To address this element of the criterion, be sure to state the indicator exactly as it is written in the objective. If you are using the recommended table format, copy the wording directly from the objective and paste it into the indicator column.

Considering the indicator, define what you will use as a means of measurement to show the expected change in the indicator. If you are using the recommended table format, enter that means of measurement into the appropriate column.

Pine Creek Co-op Outcome Tracker							
Long-Term Community Goal: To enjoy year-round food security in the community with access to affordable, locally grown nutritious food.							
Current Community Condition: The community imports 95% of its produce, and the costs are the highest in the state. A community survey confirms that members are not able to purchase produce as much as they'd need to sustain healthy diets for their families.							
Project Goal: To increase food security for community members.							
Objective: By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).							
Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**Project Year 2**	**End of Project**	**3-Yr Post**
Increase in food security through increased accessibility of locally grown produce.	Increased purchases of affordable, locally-grown food	Percentage increase of sales transactions at weekly Farmer's market. Community members and purchase amount information will be collected by Point of Sale software.					
Outputs: 4 greenhouses, 8 volunteers							

Element

12. The outcome tracker includes rational targets for the required points in time (baseline, end of each project year, end of project period, 3-year post-project period) that are supported by the means for measurement.

In order to track project progress, it is important to establish the baseline data point. The baseline is the current status of the variable(s) you will be tracking in the established means of measure. Typically, this is determined pre-project or as one of the first activities of your project.

The Year 1, Year 2, and End of Project data points are the benchmarks demonstrating progress toward achieving the objective. The numbers provided for the benchmarks will be estimates determined at this time based on the completion of activities each year. Benchmarks indicate a change of the variable(s) being measured. They can be whole numbers or percentages, or they can be established standards of measure. For example, a language project might identify "Novice" or "Intermediate" as a benchmark. The same means of measurement should be used to measure each variable at different points in time. The data points will be analyzed each year to determine the success in meeting the benchmarks.

The 3-year post project measurement is a projection of the continued change of the indicator which leads to sustainability of the proposed outcome. The projection is based on the strategy stated in the sustainability section of the application. It is highly suggested to revisit the projection made here after the sustainability plan has been written to ensure the projection is still relevant to the proposed strategy and funding level.

In our example, the increase in the number of sales transactions is the means of measurement. The Baseline of “0” reflects the starting point of the sales transactions for tracking purposes. The data points for Year 1, Year 2 and End of Project reflect the anticipated steady increase in sales transaction of locally produced food as a result of the change in food production technology and new marketing strategy.

Pine Creek Co-op Outcome Tracker							
Long-Term Community Goal: To enjoy year-round food security in the community with access to affordable, locally grown nutritious food.							
Current Community Condition: The community imports 95% of its produce, and the costs are the highest in the state. A community survey confirms that members are not able to purchase produce as much as they’d need to sustain healthy diets for their families.							
Project Goal: To increase food security for community members.							
Objective: By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).							
Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**Project Year 2**	**End of Project**	**3-Yr Post**
Increase in food security through increased accessibility of locally grown produce.	Increased purchases of affordable, locally-grown food	Percentage increase of sales transactions at weekly Farmer’s market. Community members and purchase amount information will be collected by Point of Sale software.	0	15%	35%	50%	60%
Outputs: 4 greenhouses, 8 volunteers							

See more Outcome Tracker examples in the Appendix.

ACTIVITY

Outcome Tracking

(Project Name) Outcome Tracker							
Long-Term Community Goal:							
Current Community Condition:							
Project Goal:							
Objective:							
Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**Project Year 2**	**End of Project**	**3-Yr Post**
Outputs:							

Required Elements	Consider the Following
Means of Measurement	What method will be used to measure the change of the objective?
Baseline	What is the starting point for the variable being measured?
Benchmark targets for the end of each project year • Project Year 1 • Project Year 2 • End of Project • 3-year Post-Project	What is the estimated change in the variable each year?

Outcome Tracking Strategy

The Outcome Tracking Strategy is a narrative which describes the processes, tools and staff that will be used to collect, analyze and store project related data. The Outcome Tracking Strategy narrative should include the following information:

A. Begin by explaining the contents of the Outcome Tracker:

- How the baseline was determined – or will be determined in the early activities of project implementation.
- How the means of measurement was chosen and how the collection of the data will lead to the successful achievement of the targeted indicator in the objective.
- How the benchmarks for each Project Year were determined and how they are achievable within the given project timeframe.
- How the 3-Year Post project target ties to the sustainability and the reasonableness of the projected continuation. (Note: If there will be limited funding to continue post-project, do not overestimate here).

NOTE: If you are collecting sensitive information on project participants, describe the protocols that will be used to ensure that the information is securely maintained and not shared.

B. Provide details to describe the following items:

- What data will be collected,
- How often data will be collected,
- Who will collect and analyze the data,
- What systems/tools will be used to capture and store data, and
- How data will be used during the project period and in the future.

Element

13. The proposal identifies an appropriate outcome tracking strategy that includes staffing, effective data management systems, and an organizational process that will successfully utilize data to inform and improve program quality.

To address this element, detail the outcome tracking strategy within your narrative by providing detailed responses to the following questions:

1. What types of data will be collected?
    - increase in knowledge and skills through self-reporting surveys and pre- and post-tests, water/soil/air sample results, costs

2. How often will data be collected?
    - weekly, monthly, quarterly, or annually

3. Who will collect and analyze the data?
    - staff, volunteers, consultants, participants, partners

4. What systems/tools will be used to capture and store data?
    - spreadsheets, databases, file folders in locked cabinets, documents, computer servers, cloud servers

5. How will data be used now and, in the future?
    - to make improvements, to secure future funding, to provide updates to stakeholders, to create other projects

ACTIVITY

Outcome Tracking Strategy

Describe the details of the outcome tracking plan for the project using the list above.

Objective Work Plan (0-15 pts)

23. The OWP serves as a stand-alone document for project implementation, consistently states elements from the project narrative, and provides details about the how, when, and by whom activities will be completed.

24. The milestone activities in the OWP are relevant and lead to the achievement of each objective.

25. Outputs in the OWP demonstrate progression and are logical results of the successful completion of milestone activities within the proposed timeframe.

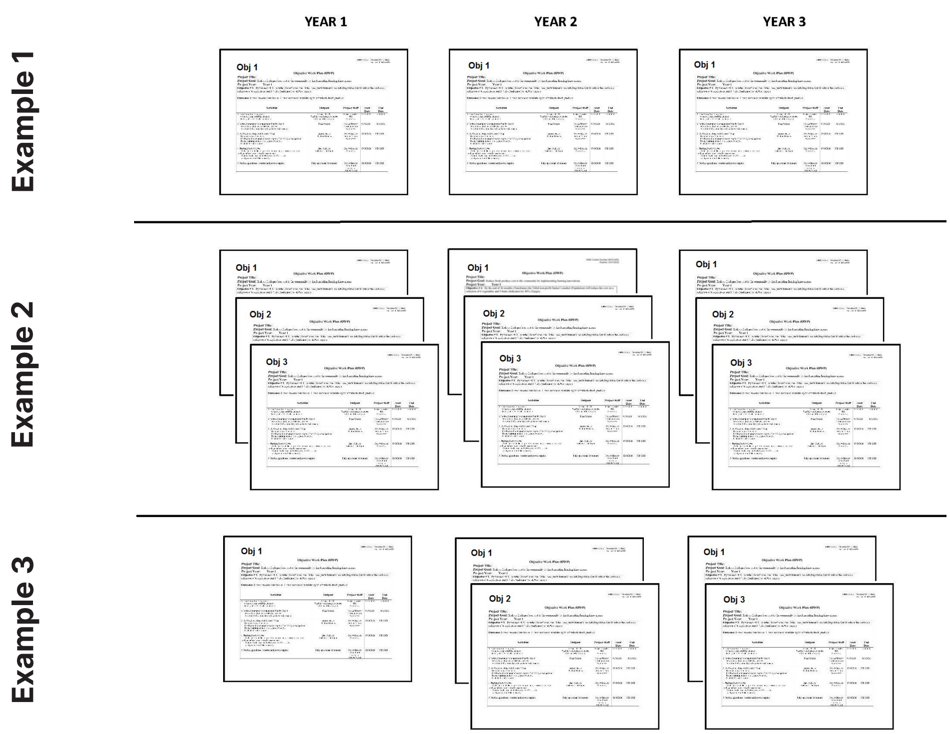
The OWP is a standalone document that mirrors the project's implementation plan and identifies all the key elements of the project description including the project goal, objectives, milestone activities, outputs and outcomes, staff responsible, and time-frame for the completion of each activity. Key project elements in the OWP should reflect those stated in the project narrative and support consistency throughout the application. The OWP identifies how (through key activities), when (by established timeframes for key activities), and by whom (staff responsible for activity completion) the project will be implemented.

You may notice that the criteria elements in this section do not follow the previous section.

TIP: At this point – it is suggested to switch to developing the Objective Work Plan. Then come back to the narrative to address the rest of the sub-criteria in the Approach criterion of the application.

An OWP should be provided for each objective and for each budget period needed to complete the objective.

The number and timing of objectives depends on the design of the proposed project. Some projects may find they only need one objective for the entire project period (Example 1) while a more comprehensive project may use the maximum of 3 objectives for each project year (Example 2). And some will find themselves in the middle (Example 3). Again, it is all dependent on the project design.



This year there is the option to use the MS Word OMB approved forms found on the ANA website at https://www.acf.hhs.gov/ana/training-technical-assistance/objective-work-plan. There is also an online version in the Grants.gov Workspace environment for each NOFO.

- Grants.gov PDF (fillable) version of the OWP form can be downloaded from the Grants.gov Forms/SF-424 Family page at https://www.grants.gov/web/grants/forms/sf-424-family.html
- Workspace online version of the OWP found in Workspace will be a part of the application package.

You can upload either the MS Word or the approved fillable PDF versions into the Workspace environment instead of using the online version in Workspace. This is done using the Other Attachments File(s) upload. It is suggested to use the MS Word version.

NOTE: This method suggested is filling in the OWP completely and then writing the narrative to explain it. Additionally, the information from the MS Word will not need to be copied and pasted into the online version which allows for less chance of errors.

How to fill in the OWP form:

1. Copy and paste the Project Title, Project Goal and related Project Objective, and Outcome into the appropriate spaces at the top of the form.
2. Fill in the Project Year (budget year) for the OWP.
3. Each OWP should list the milestone activities needed to successfully achieve each objective and associated outputs. Each objective can have a maximum of 25 milestone activities for each budget period (12 months, exclusive of the ANA Administrative Activities described in 7 below).
4. Each milestone activity should have an associated timeframe in which the activity will be completed.
5. The OWP should include an output for each milestone activity. Outputs in the OWP should logically result from the successful completion of the associated milestone activity, within the given timeframe.

6. All milestone activities should be listed in chronological order by start date and define who (lead and support) will ensure the activity is implemented.

7. ANA also requires that Administrative Activities listed below be included under one objective for each year of project implementation. These should be placed after all milestone activities, and do not count towards the 25 milestone activities.

8. The ANA Administrative Activities are as follows:
   - Project staff orientation
   - Establish federal system account access and official grant file
   - Post Award Training (1st year of project only)
   - Grantee Meeting
   - Data collection and evaluation
   - Reporting (OPR, SF-425)

NOTE: It is suggested to label each of these "ADMINISTRATIVE" as done in the following example.

Objective Work Plan (OWP) Example

Project Title: Pine Creek Farming Innovations

Project Goal: To increase food security for community members.

Project Year: Year 1

Objective 1: By the end of the 36th month (timeframe), community members (population) will increase their purchases of locally grown food (indicator) by 50% (target).			**Project Year:** 1	
Outcome: Increase in food security through increased accessibility of locally grown produce.				
Activities	**Outputs**	**Project Staff**	**Start Date**	**End Date**
1. Hire Agricultural Coordinator Vet job description (HR), and post Screen, interview & select candidate	Signed job offer Staff file with hiring documents (W4, benefits form, etc.)	Project Director, HR Admin Asst	9/30/2023	12/30/2024
2. Initiate Community Communication Plan for Year 1 • press release about award/introduce project • recruitment of community participants on social media	Press Release	Project Director Communication Team	9/30/2023	10/30/2024
3. Finalize MOUs with the 4 local farmers.	4 MOUs	Project Director Agricultural Coordinator	10/30/2023	11/30/2024
4. Farming Innovations Trainings a. Install and set-up greenhouse b. Install and set-up hydroponics c. Organic/Non GMO methods d. Raised bed methods e. Track produce output f. Track produce cost	Sign-in sheets Meeting Minutes	Project Director Agricultural Coordinator Admin Asst	11/30/2023	07/29/2024
5. Farming Innovations Implementation a. Install and set-up greenhouse b. Install and set-up hydroponics c. Organic/Non GMO methods d. Raised bed methods	4 greenhouses 4 hydroponic systems 4 raised bed systems Organic / Non GMO practices established	Project Director Agricultural Coordinator 4 Farmers	12/30/2023	08/29/2024
6 . Recruit Greenhouse Volunteers	Ads in: Social Media Newsletter Website	Project Director Communication Team	08/01/2023	9/29/2024
ADMINISTRATIVE: Establish federal system account access and official grant file	Accounts are ready for project implementation	Project Director Financial Manager	9/30/2023	10/30/2024
ADMINISTRATIVE: Orientation Onboard Administrative and Project Staff – review ANA workplan, policies and procedures Meet with Partners	Signed Employee Handbooks Signed Volunteer Handbooks Handout Copies of Work Plan	All Staff	9/30/2023	12/31/2024

Activities	Outputs	Project Staff	Start Date	End Date
ADMINISTRATIVE: Implement Outcome Tracking Strategy Design spreadsheets, databases, purchase software Collect data at regularly scheduled intervals Analyze data quarterly	Data Collection Protocols Data Collection Tools Data Analysis Quarterly Reports	Project Director All Staff	9/30/2023	9/29/2024
ADMINISTRATIVE: Reporting (ANA Bi-annual and Annual, PMS Quarterly/Bi-annual/Annual)	OPR, FSR, etc. reports submitted	Project Director Financial Manager	9/30/2023	9/29/2024
ADMINISTRATIVE: Attend ANA Post Award Training	Staff development Travel expense documentation	Project Director Financial Manager	11/1/2023	01/30/2024
ADMINISTRATIVE: Attend ANA Grantee Meeting	Staff development Travel expense documentation	Project Director Proj Coordinator	02/01/2023	02/28/2024

See the table below for the start and end dates of the budget periods for each ANA program area.

Funding Opportunity Announcements	Budget Period Start Date	Budget Period End Date
SEDS	9/30	9/29
SEDS AK	9/30	9/29
ERE	9/30	9/29
P&M	7/1	6/30
EMI	7/1	6/30

Community-Based Strategy (0-10 points)

14. The application documents how the community and/or the target population to be served was involved in developing the project (e.g., stakeholder meeting agendas, sign-in sheets, surveys, focus group notes, etc.).

15. The application clearly demonstrates that the applicant organization has a connection to the community to be served including the ability to directly work with the project participants/beneficiaries.

16. The application clearly documents on-going outreach activities to maintain community awareness throughout the project's implementation.

Element

14. The application documents how the community and/or the target population to be served was involved in developing the project (e.g., stakeholder meeting agendas, sign-in sheets, surveys, focus group notes, etc.).

To address this element, summarize the section of the community that will be served by this project. Next, describe who was involved in the project's development, what processes were used to obtain feedback and the input received from the targeted population. Lastly, attach documentation in the appendix of the application so Reviewers have a clear understanding of what took place and who was involved in the planning process.

The table below provides a brief example of what might be included.

Sample

Type of Project	**Who was Involved**	**Process(es) used for Involvement**	**Documentation to attach to the application (suggested)**
Youth Leadership Camp	Youth ages 12-17	Surveys at the junior and high school Youth committee meetings	Blank survey Summary of survey results Minutes of the meetings Sign-in sheets
Cultural Practitioner Training	5 Elders 4 Current Practitioners 10 Potential Candidates	Initial community focus groups Practitioner / Elder committee meetings	Summary from focus groups Sign-in sheets Committee meeting agendas
Water Quality Monitoring Program	iGap Worker EPA Coordinator Tribal Administrator Council Member	Community Announcement of mine opening upstream Council Meeting attendees' requests WQ Planning Meetings	Flyer and Radio announcement script Specific topic minutes from Council meetings Minutes from planning meetings

ACTIVITY

Community-Based Strategy

Use the table below to outline the narrative for this element.

Type of Project	Who was Involved	Process(es) used for Involvement	Documentation to attach to the application (suggested)

Write the narrative to describe the table.

Element

15. The application clearly demonstrates that the applicant organization has a connection to the community to be served including the ability to directly work with the project participants/beneficiaries.

To address this element, it is important to provide a clear understanding of why your tribe/organization is best suited to serve the identified community, beneficiaries and participants and perform the work of the proposed project – this is especially important for non-profits, urban centers and regional entities that may work with communities outside of their geographical location. Describe the working history your tribe/organization has with the community to be served.

Next, include a description of how your tribe/organization has worked with (similar) project participants and/or beneficiaries in the past, the success that was obtained, and how that translates to your ability to work with the project participants and/or beneficiaries of the proposed ANA project.

EXAMPLE

The Pine Creek Farmers' Co-op has been operating a weekly farmers' market in our community for more than 8 years. Our Co-op is made up of farmers, business owners, and volunteers who are members of the Pine Creek Tribe. This project proposes to work with 4 rural farmers who have already committed to implementing new farming technologies that will increase production. In the past, the Co-op has worked with these same farmers, Future Farmers of America, local 4-H and cultural practitioners to meld traditional growing practices with modern methodology.

ACTIVITY

Community-Based Strategy

Describe the working history your organization has with the community to be served.

Describe past experience with (similar) project participants and/or beneficiaries and how it relates to the ANA project's participants/beneficiaries.

Element

16. The application clearly documents on-going outreach activities to maintain community awareness throughout the project's implementation.

Maintaining community awareness beyond initial start-up of the grant award is essential to a project's success. Keep your stakeholders informed of project progress along with project participants and the community at large.

To address this element, describe a communication plan that will inform the community of the project's progress throughout each project year. The communication plan should include a description of what information will be shared; when information will be shared; and how the information will be disseminated, for example:

- Monthly updates to the council
- Quarterly newsletters
- Local public radio announcements
- Bi-annual flyers
- Monthly community calendars
- Annual community gatherings/events
- Project website
- Tribal newspaper
- Social Media (Facebook, Twitter, Instagram)

Sample

Pine Creek Co-op Communication Outreach Plan					
Message or Purpose	**Target Audience**	**Media**	**Responsible for Creation**	**Responsible for Dissemination**	**Timeframe**
Award Announcement	Community-wide	Press Release to Radio, Website and Newsletter	Project Director	Communication Team	October 1-14, 2023
Volunteer Recruitment	Community-wide	Social Media Newsletter Website	Project Director Farmers	Communication Team	August 2023
Quarterly Project Updates	Community-wide	Newsletter	Project Director	Communication Team	Quarterly – 2023-2024
Announce New Pricing	Community-wide	Press Release to Radio, Website and Newsletter	Project Director	Communication Team	Last year of project starting March 2025

ACTIVITY

Community-Based Strategy

Project Name:					
Message or Purpose	**Target Audience**	**Media**	**Responsible for Creation**	**Responsible for Dissemination**	**Timeframe**

Readiness and Implementation Strategy (0-20 points)

17. The application fully describes existing, available, and tangible resources and services that are committed to the project, such as meeting space, equipment, supplies, curriculum, licenses, permits, etc.

18. The application details a plan to obtain resources such as supplies, equipment, curriculum, licenses, permits, and contracted services needed to support successful project implementation.

19. The application's narrative describes how milestone activities and the resulting outputs will be achieved to demonstrate a fully developed implementation plan.

20. The application provides a detailed recruitment, selection, and retention process for project participants.

21. The application addresses project sustainability that should include identification of resources, staff, and/or partners that are necessary to ensure that positive outcomes are achieved by the project will be sustained.

22. The application appropriately cites potential obstacles and challenges to project implementation, such as staffing, partnerships, participant recruitment, or other issues that may impede progress. The application includes specific strategies that will be used to address these challenges.

This section of your application will detail how the project will be implemented by identifying resources needed for your project, describing how each milestone activity will be completed, as well as how you plan to recruit and retain project participants. An implementation plan also identifies potential challenges that may occur during the project period and describes contingencies should these challenges become a reality. Lastly, a sustainability plan is required to ensure the continuation of project outcomes.

Element

17. The application fully describes existing, available, and tangible resources and services that are committed to the project, such as meeting space, equipment, supplies, curriculum, licenses, permits, etc.

18. The application details a plan to obtain resources such as supplies, equipment, curriculum, licenses, permits, and contracted services needed to support successful project implementation.

Strong, successful projects begin by identifying the assets available within the community and drawing upon them first. Next, identify how you might acquire additional resources through partnership building and reciprocity.

When addressing these two elements follow these five steps:

1. Determine what resources and services are necessary for project implementation.
2. Establish which resources and services are available within the Tribe/Organization; the source they will be obtained from (departments); and the cost/value.
3. Describe the available resources and services, the benefit they bring to the project and why they are necessary.
4. Determine which resources and services are needed from outside the Tribe/Organization; the source they will be obtained from (partners, suppliers); and the cost/value.
5. Describe when and how the outside resources and services will be obtained; the benefit they bring to the project and why they are necessary.

Be specific in this section, don’t leave anything out.

NOTE: It is helpful to describe what the value/cost of these items are as you are compiling this list as it will help when creating the project budget. All of these resources and services are needed for project implementation and are tied to the budget as either the Federal Share (grant funds will be used to purchase these) or as the Non-Federal Share/Match (the Tribe/Organization/Partner will contribute these).

Sample

Available	Obtain	Resource / Service	Source	Cost / Value ($)
X		Office Space for Project Director	Co-op	$750/mo.
X		4 Farm Sites	4 Farmers	$4,000/mo.
	X	4 Greenhouses	Factory Direct Greenhouses	$20,000/ea.
X		Farming Supplies	4 Farmers	$2,500
X		Farming Equipment	4 Farmers	$5,000/yr.
	X	Farming Technology Supplies (Hydroponics equipment, Heirloom seeds, Organic farming supplies)	Various	$30,000
	X	Signage Supplies for Market	Home Depot	$1,000
	X	Lightspeed Point of Sale software and equipment	Internet	$50/month subscription $2,400 equip

ACTIVITY

Readiness & Implementation

Determine the resources and services needed for the project.

Available	Obtain	Resource / Service	Source	Cost / Value ($)

Element

19. The application's narrative describes how milestone activities and the resulting outputs will be achieved to demonstrate a fully developed implementation plan.

When addressing this element use the completed OWP to write the narrative since the two components must align. It's important to add details to what is in the OWP to provide clarity to the reader as to how each of the milestone activities will be carried out for each project year. DO NOT copy the OWP directly into the narrative to complete this section. Rather, write from a manager's perspective and explain the implementation processes which will lead to the resulting outputs.

TIP: Spend time on this section to ensure enough details are provided so the Reviewer will have all the details they need to understand exactly how your project will be implemented.

From Section I of the NOFO: Potential grantees are encouraged to educate themselves on intellectual property rights and the protection of ownership to language materials, history, music and dance, ceremonies, and other forms of knowledge and cultural practices that originate from Native communities. See 45 CFR ;75.322 and Appendix II to Part 75, Contract Provisions for Non-Federal Entity Contracts under Federal Awards. Moreover, potential grantees are encouraged to learn how such rights may be transferred via contracting with third parties that produce resources, data, and materials developed as a result of ANA funding. ANA is unable to provide legal advice or guidance on this matter; however, grant funds may be used for legal expenses relative to this matter.

Element

20. The application provides a detailed recruitment, selection, and retention process for project participants.

The successful achievement of most projects is the ability to recruit and retain participants in the project.

To address this element, detail all recruitment activities, selection criteria, and retention activities for the project. In your narrative, describe what kind of participants you want to recruit, any outreach activities needed for recruitment, the selection/screening process used, and any unique activities or incentives to maintain participation during the entire project period.

NOTE: If the project does not need to recruit participants or volunteers, it is suggested that you clearly state it in this section of your narrative so Reviewers do not think it was omitted.

TIP: Be sure any recruitment and retention activities are included in the OWP as well.

Element

21. The application addresses project sustainability that should include identification of resources, staff, and/or partners that are necessary to ensure that positive outcomes are achieved by the project will be sustained.

A thorough, well planned and detailed sustainability plan is key to sustaining your project outcomes. ANA requires a sustainability plan. Consider the ways in which this sustainability plan can be achieved. Several methods include, but are not limited to:

- Routinization or Institutionalization: any or all project activities that will be incorporated into an organization's operation
- Partnerships: which partner(s) will take over any or all parts of the project after funding ends
- Generating Program Income: how the income will continue the project in part or in whole
- Grant Funds: which potential state, federal and philanthropic funders will be targeted.

To address this element, describe how project outcomes will be sustained into the future. The first thing you will want to do is state each outcome. Next, describe which resources, staff and/or partnerships will be maintained/needed to continue these benefits to the community.

NOTE: When addressing this element, keep in mind the entire project does not need to be sustained at the same level as the fully funded project.

EXAMPLE

Outcome: Community members will have increased availability to affordable fresh produce.

The Co-op will maintain the partnerships with the 4 farmers, and each of the farmers will continue to use and maintain the greenhouses and hydroponic systems put in place to maintain affordability and to increase the selection of fruits and vegetables available to the community. The profits from sales will allow the Co-op to keep the Agricultural Coordinator on staff at least part-time. Lastly, during the latter half of the project a funding plan will be developed with a focus on USDA grants and loan funding, which will allow for an expansion of staff, training and other new technologies.

ACTIVITY

Readiness & Implementation

Use the table below to outline your sustainability plan:

Outcome:	
Identify:	**Describe how outcome will be sustained:**
Resources	
Staff	
Partnerships	
Other	

Element

22. The application appropriately cites potential obstacles and challenges to project implementation, such as staffing, partnerships, participant recruitment, or other issues that may impede progress. The application includes specific strategies that will be used to address these challenges.

ANA understands that all projects will experience challenges at some point during the life of the project. This element asks that you acknowledge those most likely to occur and provide a contingency or backup plan to address them. Be thorough enough in identifying your challenges to demonstrate that you have the knowledge and expertise to address any issue that might arise.

To address this element a table has been provided which lists the most common challenges encountered during project implementation. Create a contingency plan for each one that applies to your project and include any other challenges that may be specific to your project/community.

NOTE: These challenges are generally outside the control of project management and are not resolved by every day standard operating practices.

Sample

Challenge	Solution
Late Hiring	Describe how start-up activities will be implemented and by whom until project staff are in place. Be sure to include the acting individual's qualifications.
Staff Turnover	Describe who will step in to continue implementing project activities until new project staff is hired. Be sure to include the acting individual's qualifications.
Partnership Falls Through	Describe other partners that can be brought in to accomplish the same activities as the original partner and their availability. If the partnership is contributing to the Non-Federal Share (Match) describe how the match obligation will be met.
Participant Recruitment/ Retention - Low	Describe the plan to recruit more participants during the budget period (year) and/or what incentives will be used to increase retention.
Other (natural disasters, global pandemic, etc.)	Describe alternate dates for conducting activities or how some activities can be shifted around to accommodate the delays.

ACTIVITY

Readiness & Implementation

Challenge	Solution
Late Hiring	
Staff Turnover	
Partnership Falls Through	
Participant Recruitment/ Retention - Low	
Other (natural disasters, global pandemic, etc.)	

For Language Projects - P&M and EMI:

Native language projects have additional elements regarding the preservation and sharing of materials under the Readiness and Implementation subcriterion. EMI has an additional element regarding parental/guardian engagement.

P&M Element 25
(EMI Element 26)

The application includes a plan for the preservation of the products of the Native American language project for the benefit of future generations of Native Americans, and also describe the opportunities to share language materials and methods with other Native American language communities.

To address this element, detail a plan for the materials being produced by the project.

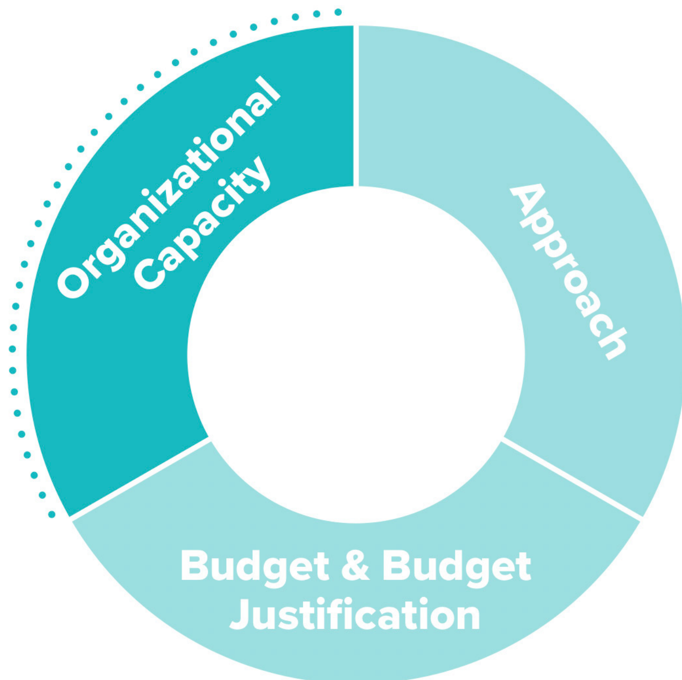
The plan should identify how the materials will be created and describe the following:

- the types of materials - all lesson plans, books, audio recordings, videos, etc.
- the software and/or equipment being used
- the storage plan of materials to preserve them for future use – such as having more than one digital copy in various locations to prevent loss from any type of disaster (fire, flood, etc.)
- how materials will be shared with others – sold or free and digital or hardcopy

EMI Element

The application narrative describes a plan for parental engagement, including classes in a Native American language for parents or guardians of enrolled students.

To address this element, describe a plan for parental/guardian engagement and how they will learn language along with the students. Describe how the schedule will best accommodate parental/guardian learning (evenings, weekends, etc.) and how retention of the parents/guardians will be maintained (childcare, meals provided, etc.).



Criterion 2

Organizational Capacity

Maximum Points: 12

(EMI Max Points: 10)

Organizational Capacity (0-12 points)

To evaluate Organizational Capacity, reviewers will consider if the application demonstrates that the key staff and management have the expertise, knowledge, and credentials relative to assigned roles. The applicant organization should have a connection to the community with the ability to implement the project with an efficient structure to oversee federal funds, partners, and the delivery of project objectives. In reaching their conclusions, reviewers will consider the degree to which the following narrative elements are well thought out, well designed, and well described.

26. The application clearly documents a staffing and organizational structure that will support full implementation upon receipt of award, including identification of a PI/PD, project staff, and a timeframe and strategy for filling vacant positions.

27. Through resumes, curricula vitae, or other evidence, the application documents that the combined knowledge, experience, and capabilities of the proposed PI/PD, key project staff, and key partners is sufficient to carry out and manage the proposed project.

28. The application details a plan to ensure the effective management over, and coordination of, activities by any partners, contractors and subcontractors, and consultants, including third-party agreements or contracts where applicable.

29. As requested in Section IV.2, The Project Description, Plan for Oversight of Federal Award Funds and Activities, the application describes a plan for proper oversight of federal award funds, including the identification of staff and internal controls for financial management, demonstrated knowledge or experience in following federal cost principles, proper and timely disbursement of funds, and accurate accounting practices.

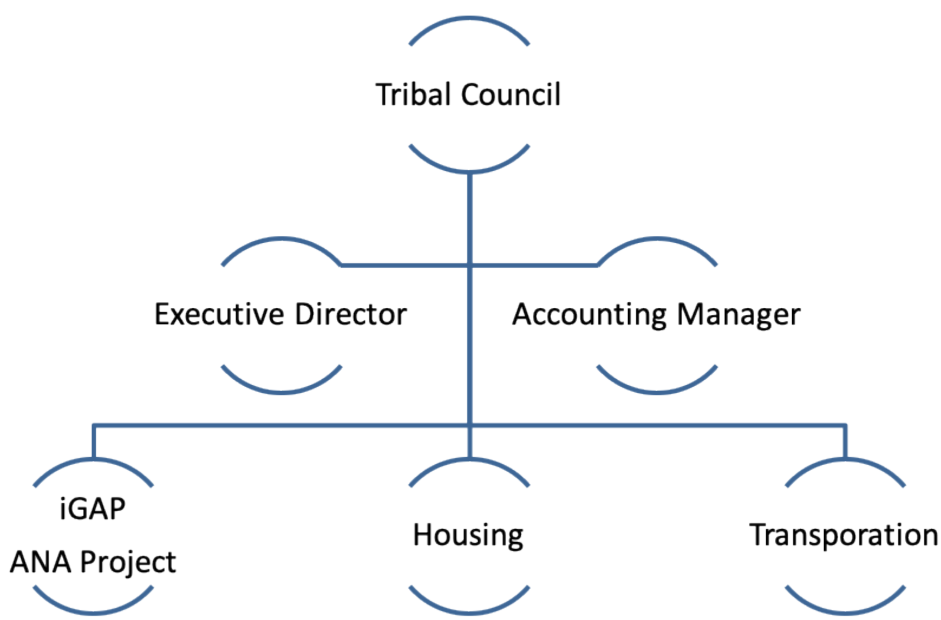
Element

26. The application clearly documents a staffing and organizational structure that will support full implementation upon receipt of award, including identification of a PI/PD, project staff, and a timeframe and strategy for filling vacant positions.

27. Through resumes, curricula vitae, or other evidence, the application documents that the combined knowledge, experience, and capabilities of the proposed PI/PD, key project staff, and key partners is sufficient to carry out and manage the proposed project.

28. The application details a plan to ensure the effective management over, and coordination of, activities by any partners, contractors and subcontractors, and consultants, including third-party agreements or contracts where applicable.

To address these three elements, you can begin by providing an **organizational chart** that clearly identifies the project staff and where each position falls within the organization.



Next, describe the responsibilities and qualifications needed for each staff position and include an overview of how the position will support the project. Be sure to include a job description for each position to be hired under the project as an attachment. Identify which staff member(s) will manage any partners, contractors, subcontractors, consultants, Request for Proposals (RFPs) and third-party agreements (Contracts, MOUs, Statements of Work, Letters of Commitment, etc.). Remember to include the related responsibilities and qualifications in the job description.

If an individual has been identified to fill a position, include their name, a brief bio in the narrative and a resume as an attachment – ensure the resume matches the qualifications identified in the job description. For any positions that will be vacant at the start of the project, outline a recruitment and hiring plan that aligns with the Tribe/Organization’s current policies and procedures. Be sure to include the estimated timeframe needed for recruitment and hiring, using the corresponding activity found in the OWP. Lastly, if the PI/PD position needs to be filled, identify who will be responsible for the implementation of activities until they are hired.

To address how key partners will support the project, describe the experience and capabilities needed for their role in project implementation. Include any resumes or Statement of Qualifications (SOQs) which substantiate their capabilities, knowledge and expertise. Describe the process used to manage these entities and by whom.

NOTE: It is suggested that the PI/PD position be full-time (1 FTE). This will provide sufficient time within the project period for project management and the required administrative reporting.

ACTIVITY

Organizational Capacity

Fill in the table below for all Key Staff positions:

Key Staff Position	List Person if Identified for the Position	Qualifications	Roles/ Responsibilities	Attachment	Expected Hire Date (if vacant)
PI/PD					

ACTIVITY

Organizational Capacity

Fill in the table below for all Key Partner positions:

Key Partners	Qualifications	Roles/ Responsibilities	Attachment

Element

29. As requested in Section IV.2, The Project Description, Plan for Oversight of Federal Award Funds and Activities, the application describes a plan for proper oversight of federal award funds, including the identification of staff and internal controls for financial management, demonstrated knowledge or experience in following federal cost principles, proper and timely disbursement of funds, and accurate accounting practices.

To address this element, describe the financial internal controls of the Tribe/Organization including the policies and procedures (aligned with current Federal regulations 2 CFR Part 200/45 CFR Part 75) which clearly define how the disbursement of funds, purchasing, cash drawdowns, and related authorizations are handled.

Identify the relevant financial staff or the financial contractor (individual CPAs or Accounting Firms), their responsibilities, qualifications and experience. Include a resume and job description or Statement of Qualifications as an attachment.

List 3 - 5 recently funded projects (preferably federally funded) that are similar in scope and award amount as evidence of the organization's financial and project management capabilities. If there have been internal or mandatory audits briefly describe the results and if there has been a recent Federal Audit provide the cover letter (not the entire document) as an attachment.

EXAMPLE:

The Co-op's accounting is contracted out to the Pine Creek Tribe (PCT). The Tribe's accounting department handles all the Accounts Receivable and Payable transactions, credit card and bank statement reconciliations, cash drawdowns and federal financial reporting. The Co-op's Executive Director meets monthly with the Accounting Manager for updates on Profit and Loss, to verify expenses and resolve reconciliation questions. The PCT uses general accounting practices and has fund accounts set-up to differentiate the income and expenditures for all grant accounts. The Tribe's policies and procedures align with 2 CFR Part 200 and have been updated to the CFRs for the USDA and HHS funding received. The Co-op has also recently updated its financial policies and procedures to meet 2 CFR Part 200. We are in the process of ensuring we meet 45 CFR Part 75 to include any differences.

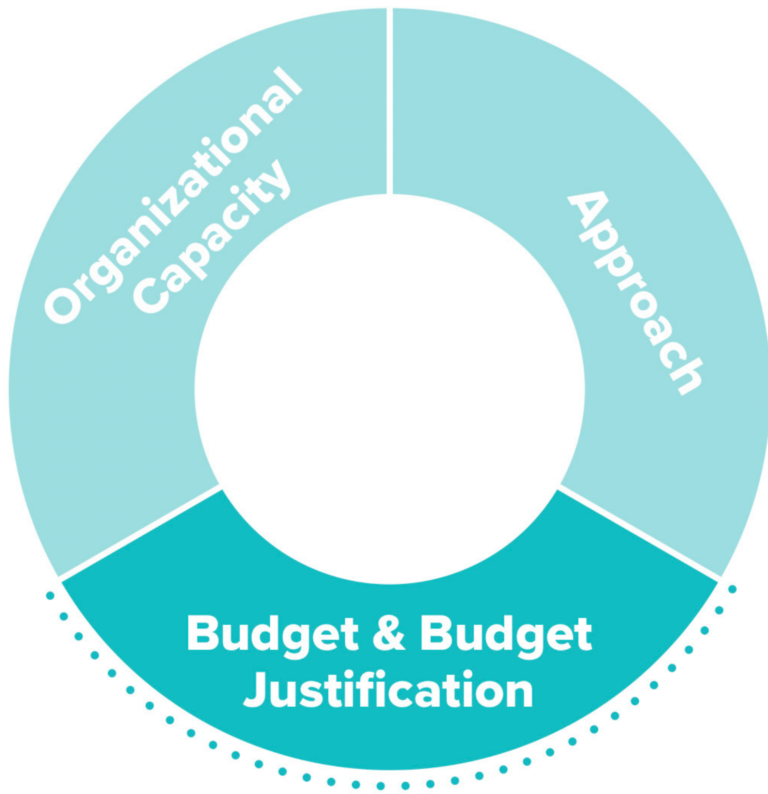
The Tribe's Accounting Manager has held the position for 10 years and is a CPA. She provides full oversight for the Accounting Department. Under her are 3 individuals: Accounts Payable Clerk, Accounts Receivable Clerk and an Administrative Assistant. Each of these individuals have been with the Tribe for over 4 years in their current positions. The job descriptions and resumes can be found in the attachments.

Over the last five years the Co-op has had 3 federal grant awards: 1) USDA $450,000 for a three-year project, 2) MBDA $1.5 million for a four-year project and 3) EDA $250,000 for a one-year project. Each of these grants were successfully completed with no carryovers or extensions. The Co-op met all of the deliverables and exceeded our deliverables on the MBDA project by 4%. While the Co-op is not required to have Federal Audits, we have done independent audits with the Tribe annually to ensure we are complying with our policies and procedures and they are updated as needed to ensure the highest level of efficiency and effectiveness.

ACTIVITY

Organizational Capacity

Briefly describe the financial oversight of Federal awards for your Tribe/Organization.



Criterion 3

Budget & Budget Justification

Maximum Points: 15

Budget and Budget Justification

To evaluate the Project Budget and Budget Justification, reviewers will consider the degree to which the application designates adequate resources to carry out the expected and proposed activities while ensuring that the proposed costs are reasonable based on the geographical location of the applicant. In reaching their conclusion, reviewers will deliberate the following elements:

Line Item Budget (0-5 points)

30. The application includes a line item budget with appropriate object class categories for every year of the project that fully details the costs allocated for federal and non-federal shares. Personnel should be delineated by full-time equivalent or percentage of time to the project.

31. The application includes funds for all required items to successfully implement the project budget, as described in Section IV.2. Content and Form of Application Submission, The Project Budget and Budget Justification. The line-item budget should only include costs that align with the Approach and the OWP.

Budget Justification (0-10 points)

32. The application includes a budget justification for every year of the project that provides a narrative that describes the breakdown of how all costs are calculated for each entry in the line-item budget. The budget justification includes a basis for estimated costs, such as equipment, personnel, and travel. Vendor quotes should be provided for equipment over $5,000.

33. The budget justification describes how expenditures align with the Approach and the OWP.

34. The application provides information or documentation to demonstrate the required commitment of non-federal share (cost sharing or matching) contributions.

The budget consists of a line item budget and a narrative budget justification. The line item budget is a list of the resources and services required to complete the project and their associated costs which are organized by Object Class Categories. Additionally, the line item budget clearly identifies the Federal Share (the amount being requested from ANA); the Non-Federal Share (match/in-kind – the amount being contributed to the project by the applicant or applicant's partners); as well as program income and indirect costs, when applicable. The budget justification narratively describes how each line item cost was calculated and includes a short explanation of why it is necessary to the project.

ANA has budget templates available in the Application Toolkit which can be found on the website at https://www.acf.hhs.gov/ana/application-toolkit. These templates are also available at the Regional TTA Centers (contact information is at the beginning of the manual and on the back cover). Use of these templates is not required; however, they are helpful.

NOTE: It is highly recommended to work closely with your accounting department while developing the budget especially for items such as: employee salaries and wages, payroll tax rates, worker's compensation insurance rate/quote, and the indirect cost rate.

Line Item Budget (0-5 points)

30. The application includes a line item budget with appropriate object class categories for every year of the project that fully details the costs allocated for federal and non-federal shares. Personnel should be delineated by full-time equivalent or percentage of time to the project.

31. The application includes funds for all required items to successfully implement the project budget, as described in Section IV.2. Content and Form of Application Submission, The Project Budget and Budget Justification. The line-item budget should only include costs that align with the Approach and the OWP.

A line item budget is required for each year of the project. For example, a 3-year project would have three individual line item budgets. In addition to the line item expenses (rows), the line item budget should include the following (columns):

- Object Class Categories
- Federal share
- Non-Federal share
- Total

Expenses listed under each object class category should reflect the annual cost, for example the costs for personnel are the annual salaries based on the position's full-time equivalent and travel is the annual cost per trip. These costs should be identified as either a Federal request or as Non-Federal Share.

ANA requires travel costs to the Post Award Training and the Recipient Meeting be included in the budget. ANA no longer provides a set amount to budget, so use the organization's travel policy to determine the costs for airfare, lodging, per diem, ground transportation, etc. There are several things to keep in mind while determining these costs.

Post Award Training:

- Required two-day meeting in Year 1 only
- The PI/PD and the finance person responsible for financial reporting are required to attend
- Native Language awards attend a national training in the 1st quarter of the project
- SEDS and ERE awards attend regional trainings in the 2nd quarter of the project

Grant Recipient Meeting:

- Mandatory three-day meeting each year of the project
- Two project staff must attend, usually PI/PD and another staff person (finance person is not required)
- Held in 3rd or 4th quarter of the project period
- Venue changes each year, so budget accordingly to allow for varying cost

Descriptions of the Object Class Categories are as follows:

Personnel

Description: Annual costs of employee salaries and wages. See 45 CFR § 75.430 for more information on allowable personnel costs. Do not include the personnel costs of consultants, contractors and subrecipients under this category.

Fringe Benefits

Description: Costs of employee fringe benefits are allowances and services provided by employers to their employees in addition to regular salaries and wages. Break down the amount of each benefit (or percentage of total benefits) or note the negotiated fringe benefit rate. For more information on Fringe Benefits please refer to 45 CFR § 75.431. Do not include the fringe benefits of consultants, contractors, and subrecipients.

Typically, fringe benefit amounts are determined by applying a calculated rate for a particular class of employee (full-time or part-time) to the salary and wages requested. Fringe rates are often specified in the approved indirect cost rate agreement. Fringe benefits may be treated as a direct cost or indirect cost in accordance with the applicant's accounting practices. Only fringe benefits as a direct cost should be entered under this category.

Travel

Description: Costs of project-related travel (i.e., transportation, lodging, subsistence) by employees of the applicant organization who are in travel status on official business. Travel by non-employees such as consultants, contractors or subrecipients should be included under the Other line item. Local travel for employees in nontravel status should be listed on the Other line. Travel costs should be developed in accordance with the applicant's travel policies and 45 CFR § 75.474.

Equipment

Description: "Equipment" means an article of nonexpendable, tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) $5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in- transit insurance, freight, and installation, shall be included in, or excluded from, acquisition cost in accordance with the organization's regular written accounting practices.) See 45 CFR § 75.439 for more information.

Supplies

Description: Costs of all tangible personal property, other than included under the Equipment category. This includes office and other consumable supplies with a per-unit cost of less than $5,000. See 45 CFR § 75.453 for more information.

Contractual

Description: Cost of all contracts and subawards except for those that belong under other categories such as equipment, supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contract or subawards with secondary recipient organizations (with budget detail), including delegate agencies and specific project(s) and/or businesses to be financed by the applicant. Costs related to individual consultants should be listed on the Other line. Recipients are required to use 45 CFR §§ 75.326-.340 procurement procedures, and subawards are subject to the requirements at 45 CFR §§ 75.351-.353.

Other

Description: Enter the total of all other costs. Such costs, where applicable and appropriate may include, but are not limited to: consultant costs, local travel, insurance, food (when allowable), professional service costs (including audit charges), space and equipment rentals, printing and publications, computer use, training costs (such as tuition and stipends), staff development costs, and administrative costs. Please note costs must be allowable per 45 CFR Part 75 Subpart E.

Commitment of Non-Federal Resources

Description: Each line-item for the Non-Federal Share should be listed by annual amount and equal the total object class category amounts in Section B of the SF-424A and the total amount provided in Block 18 of the SF-424. This line should be used to indicate required and/or voluntary committed cost sharing or matching, if applicable.

For all federal awards, any shared costs or matching funds and all contributions, including cash and third-party in-kind contributions, must be accepted as part of the recipient's cost sharing or matching when such contributions meet all of the criteria listed in 45 CFR § 75.306.

ANA awards require matching or cost sharing by statute and recipients will be held accountable for projected commitments of non-federal resources (at or above the statutory requirement) in their application budgets and budget justifications by budget period, or by project period for fully funded awards. A recipient's failure to provide the statutorily required matching or cost sharing amount (and any voluntary committed amount in excess) may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.

Indirect Charges

Description: Total amount of indirect costs. This category has one of two methods that an applicant can select. An applicant may only select one.

1. The applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant federal agency.

If Indirect Costs (IDC) are requested, include a current copy of the organization's federally negotiated IDC rate agreement in the "Other Attachments" section of the application. If the organization does not have an agreement for the current period, the applicant can request from the cognizant agency a memorandum stating that the applicant is authorized to utilize the current IDC until the new one is negotiated, or the applicant must request IDC as direct costs.

2. Per 45 CFR § 75.414(f) Indirect (F&A) costs, "any non-Federal entity [i.e., applicant] that has never received a negotiated indirect cost rate, ... may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in Section 75.403, costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as the non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time."

Program Income

Description: The estimated amount of gross income, if any, expected to be directly generated by or earned from this project. Program income includes but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally funded projects, the sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. See 45 CFR § 75.307 for more information.

NOTE: ANA always uses the addition method for program income. Program income must be expended during the project prior to expending Federal funds. There are no Federal requirements governing the disposition of income earned after the end of the period of performance for the Federal award unless the Federal awarding agency regulations or the terms and conditions of the Federal award provide otherwise.

Non-Federal Share

ANA has a Non-Federal Share requirement of 20% of the Total Project Cost. It is important to note that this is NOT the same as 20% of the Federal Share. See the following graphic for an example of how to calculate the Non-Federal Share.

Calculating ANA Non-Federal Share (20% of Total Project Cost)				
Method 1 (Find Total Cost First)			**Method 2 (Find Match First)**	
Step 1:			**Step 1:**	
Federal Request	$300,000		Federal Request	$300,000
÷ 80 %	÷ .80		x 25 %	x .25
Total Project Cost	$375,000		Non-Federal Share	$75,000
Step 2:			**Step 2:**	
Total Project Cost	$375,000		Non-Federal Share	$75,000
- Federal Request	- $300,000		+ Federal Request	+ $300,000
Non-Federal Share	$75,000		Total Project Cost	$375,000
Check Your Math:			**Check Your Math:**	
Total Project Cost	$375,000		Total Project Cost	$375,000
x 20%	x .20		x 20%	x .20
Non-Federal Share	$75,000		Non-Federal Share	$75,000

The Non-Federal Share should be documented by the entity providing it, such as a Tribal Council resolution; non profit board resolution or a Memorandum of Agreement by a partnering organization; Include the board resolution(s) or letter(s) on letterhead (signed by the AOR) stating the full amount of the commitment in the attachments.

When creating the line item budget and budget justification, ensure the Federal and Non-Federal Share are clearly delineated, that all costs necessary for project implementation are incorporated into the appropriate object class category, that the information is presented in an easy to read format and be sure to double check all calculations!

The following is an example of a detailed line item budget. We highly recommend creating your budget using a spreadsheet to ensure cost calculations are correct.

TIP: Using the provided budget template excel workbook when developing your line item budget and justification can be very helpful. You can find the template in the Toolkit at https://www.acf.hhs.gov/ana/application-toolkit.

Sample Line-item Budget

Line Item Budget for Year ____ (create budget for each year)			
Category / Item Description	**Federal Share**	**Non-Federal Share (20% Total Project Cost)**	**Total**
Personnel			
PI/PD (1 FTE)	55,000.00		
Agricultural Coordinator (1 FTE)	43,000.00		
Administrative Asst. (1 FTE)	25,000.00		
Personnel Total	**$123,000.00**		
Fringe Benefits			
FICA @ 7.65%	9,409.50		
FUTA @ 6%	7,380.00		
SUTA @ 3.17%	3,899.10		
Medicare	1,652.00		
Health Insurance @ 10%	12,300.00		
Fringe Total	**$34,641.00**		
Travel			
Post Award Training - PI/PD & Finance Officer	2,886.00		
ANA Recipient Meeting - PI/PD & Agr. Coord	3,308.00		
Travel Total	**$6,194.00**		
Equipment			
4 Green Houses	24,000.00		
Equipment Total	**$ 24,000.00**		
Supplies			
Office Supplies	1,500.00		
Meeting Supplies	2,000.00		
Supplies Total	**$3,500**		
Contractual			
	-		
Contractual Total	**$ -**		
Other			
Stone Slabs – 4 Greenhouse Floors	19,000.00		
4 Irrigation Systems	18,000.00		
4 Hydroponic Systems	15,000.00		
4 Raised Bed Systems	8,000.00		
Heirloom Seeds	4,200.00		
Planting Medium	4,000.00		
Farming Supplies	3,000.00		

Video Conferencing Equip		3,000.00	
Land Lease – 4 Sites		48,000.00	
Green Houses Consultant	2,500.00		
Hydroponic Consultant	4,000.00		
Raised Bed Consultant	1,500.00		
Training Facility		6,000.00	
Utilities @ Farms		2,380.00	
Tractor Rental		2,500.00	
Grader Rental		1,890.00	
Backhoe Rental		1,500.00	
Commercial Refrigerator	5,900.00		
Farmers' Market Materials		9,000.00	
Marketing		4,500.00	
Lightspeed Point of Sale software subscription	300.00		
Point of Sale equipment	2,400.00		
Other Total	**$87,800.00**	**$78,770.00**	**$190,570.00**
DIRECT COST TOTAL	$279,134.60	$78,770.00	$357,904.60
INDIRECT COST @ 12.86% (if applicable)	$35,896.71	$ -	$35,896.71
TOTAL PROJECT COST YEAR 1	$ 315,031.31	$78,770.00	$393,801.31

NOTE: It is strongly recommended that you don't exceed the required match amount in any project year.

Budget Justification (0-10 points)

32. The application includes a budget justification for every year of the project that provides a narrative that describes the breakdown of how all costs are calculated for each entry in the line-item budget. The budget justification includes a basis for estimated costs, such as equipment, personnel, and travel. Vendor quotes should be provided for equipment over $5,000.

33. The budget justification describes how expenditures align with the Approach and the OWP.

34. The application provides information or documentation to demonstrate the required commitment of non-federal share (cost sharing or matching) contributions.

As described above, the budget justification is a narrative breakdown of the line item costs and a brief explanation why it is necessary to the project. Each line item cost is broken down to justify the annual expense. For example, for each personnel position provide their percentage of full-time equivalent, number of hours and the hourly rate assigned to that position for the year, i.e., a .5 FTE position - $25/hr x 80 hours per month x 12 months of the year. For travel costs, each trip should be broken down by airfare, hotel, per diem, parking, taxi, and mileage.

Justifying costs in each Object Class

Personnel

For each salaried position that will be paid for by both the Federal grant and your Non-Federal Share, provide: the name of the individual (if known), their title; time commitment to the project in months; time commitment to the project as a percentage or full- time equivalent; annual salary; grant salary; wage rates; etc. Identify the project director or principal investigator if known at the time of application.

Fringe Benefits

Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, Federal Insurance Contributions Act (FICA) taxes, retirement, taxes, etc.

Travel

For each trip show: the total number of travelers; travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used to travel out of town; and other transportation costs and subsistence allowances. Travel costs for key project staff to attend ACF-sponsored workshops/conferences/recipient orientations should be detailed in the budget justification. This category is for salaried staff only, usually for overnight and out-of-state travel only. Consultant and local travel costs would go under "Other."

Equipment

For each type of equipment requested provide: a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use on the project; as well as use and/or disposition of the equipment after the project ends.

Supplies

Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

Contractual

Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open, and free competition. Applicants must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold stated in Office of Management and Budget (OMB) Memorandum M-18-18: Implementing Statutory Change to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance and 48 CFR Subpart 2.1 (when amended accordingly). Recipients may be required to make pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc., available to ACF.

Indicate whether the proposed agreement qualified as a subaward or contract in accordance with 45 CFR § 75.351. Provide the name of the contractor/subrecipient (if known), a description of anticipated services, a justification for why they are necessary, a breakdown of estimated costs, and an explanation of the selection process. In addition, for subawards, the applicant must provide a detailed budget and budget narrative for each subaward, by entity name, along with the same justifications referred to in these budget and budget justification instructions.

Other

Provide a breakdown of costs, computations, a narrative description, and a justification for each cost under this category.

Indirect Costs

If you have an approved indirect cost rate, indicate the percentage and include a copy of the agreement in the attachments. If you are using the de minimis rate of 10%, indicate that you are using 10% of modified total direct costs.

Program Income

Describe the nature, source and anticipated use of program income in the budget or refer to pages in the application that contain this information.

Documentation is a key factor in the budget. Be sure to include the required tribal or board resolution/letter citing the dollar amount or value from the source of the NFS. For example, if the tribe is contributing supplies and travel funds, the accompanying resolution should include the fair market value they will pay for those items – or the dollar value they will contribute for them.

Documentation is also required for large ticket items over $5,000 (such as farming equipment or vehicles) or unique items (such as specialized technical equipment). And lastly, when consultants are required, include a scope of work or a price quote itemizing the work consultants are responsible for under the contract. Place all the supporting documents in the appendix section of the application.

NOTE: The budget is closely aligned to the narrative and OWP. Avoid including budget items that are not fully explained in the narrative or noted in the OWP. We suggest using a completed OWP to identify budget requirements to implement all the activities for each year to make sure you include all costs to successfully implement the project. Then, go back and make sure everything is fully explained in the narrative.

When addressing elements 32-34, ensure the cost breakdowns are clearly calculated for each entry in the line item budget; all vendor quotes, contracts and agreements are attached; and all the Non-Federal share commitment documents are attached (resolutions, letters of commitment etc.)

The following is an example of a detailed budget (narrative) justification. We highly suggest using a spreadsheet.

Sample Budget Justification

Line Item Budget for Year ____ (create budget for each year)			
Category / Item Description	**Federal Share**	**Non-Federal Share (20% Total Project Cost)**	**Total**
Personnel	**$123,000**		
PI/PD (1 FTE)	salary @ $55K/year, 2080 hrs is 1 FTE $26.44/hr responsible for oversight of staff, project reporting, compliance, data collection		
Agricultural Coordinator (1 FTE)	salary @ 43K/year, 2080 hrs is 1 FTE $20.67/hr responsible for coordination of Farmers' Coop, installation of greenhouses, implementation of new farming technologies		
Administrative Asst. (1 FTE)	salary @ $25K/year, 2080 hrs is 1 FTE $12.02/hr responsible for administrative tasks, assisting the PI/PD and Agricultural Coordinator		
Fringe Benefits	**$34,641**		
FICA @ 7.65%			
FUTA @ 6%			
SUTA @ 3.17%			
Medicare			
Health Insurance @ 10%			
Travel	**$6,194**		
Post Award Training - PI/PD & Finance Officer	Required travel for PI/PD & Finance Officer for training in Phoenix: airfare ($546 X 2=$1,092); lodging ($146/night X 4 nights X 2 people= $1,168); Federal GSA MNIE rate ($196 for 4 days X 2 people=$392); airport parking ($15/day X 5 days=$75); taxi/uber, airport/hotel ($45 X 2= $90); mileage to airport ($.575/mile X 120 miles= $69)		
ANA Grantee Meeting - PI/PD & Agr. Coord	Required travel for PI/PD & Agricultural Coord for training in DC: airfare ($580 X 2=$1,160); lodging ($184/ night X 4 nights X 2 people= $1,472); Federal GSA MNIE rate ($266 for 4 days X 2 people=$532); airport parking ($15/day X 5 days=$75); mileage to airport ($.575/mile X 120 miles= $69)		
Equipment	**$ 24,000**		
Green Houses	4 Greenhouses @ $6,000/each (see quote in attachments) needed for each farm site.		
Supplies	**$3,500**		
Office Supplies	General office supplies at $200/month x 12 months for 3 project staff		
Meeting Supplies	Manuals and general workshop supplies at $110/month x 10 months		
Contractual			
Other	**$87,800**		
Stone Slabs	Stone needed for each greenhouse base (see quote in attachments)		
Irrigation Systems	4 systems for each greenhouse (see quote in attachments), including: drip irrigation fixtures, hoses, sprinklers		
Hydroponic Systems	4 systems for each greenhouse, (see quote in attachments) including: controller unit, microgreen racks, bato buckets, light systems		
Raised Bed Systems	Lumber and materials to make systems at the 4 sites		
Seeds	Organic Non-GMO Heirloom seeds (see quote in attachments)		
Planting Medium	General purpose planting medium for the 4 sites		

Farming Supplies	Starter trays, dibble tubes, soil amendments, small hand tools		
Video Conferencing Equip	Monthly video conference training		
Land Lease – 4 Sites	Cost to lease 4 sites for greenhouses and raised beds at fair market value, see attached assessment		
Green Houses Consultant	Consultant to oversee and train staff on installation, set up and maintenance of the 4 greenhouses. – see attached statement of work and quote		
Hydroponic Consultant	Consultant to oversee and train staff on installation, set up and maintenance of the 4 greenhouses. – see attached statement of work and quote		
Raised Bed Consultant	Consultant to train staff on construction of raised beds and growing techniques. – see attached statement of work and quote		
Training Facility	Cost to lease facility for project activities at fair market cost. See attached rental agreement		
Utilities	Average cost of utilities at 4 farm sites – see attached utility estimates		
Tractor Rental	Cost to rent tractor, includes: operator, fuel, oil, repairs for 1 year at fair market value – see attached rental agreement for cost breakdown		
Grader Rental	Cost to rent grader, includes: operator, fuel, oil, repairs for 1 year at fair market value – see attached rental agreement for cost breakdown		
Backhoe Rental	Cost to rent backhoe, includes: operator, fuel, oil, repairs for 1 year at fair market value – see attached rental agreement for cost breakdown		
Commercial Refrigerator	Storage for seeds & produce @ the Co-op building		
Farmers' Market Materials	Scales, cash registers, eco-friendly containers, bags, signage		
Marketing	Costs for radio spots, newspaper ads, printing for brochures, flyers, mailings		
Lightspeed Point of Sale Software subscription	Software subscription $50/month (6 months for Year 1)		
Point of Sale Equipment	Tablet, scanner, printer, cash drawer. See attached quote for cost breakdown		
DIRECT COST TOTAL	$279,134.60	$78,770.00	$357,904.60
INDIRECT COST @ 12.86% (if applicable)	$35,896.71	$ -	Most recent negotiated rate 9/2019, see attachments
TOTAL PROJECT COST YEAR 1	$ 315,031.31	$78,770.00	$393,801.31

Allowable Costs

45 CFR Part 75 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Department of Health and Human Services (HHS) Awards details the costs that are allowable, unallowable, and allowable with approval. The cost principles that provide specific information on each of the selected items of cost can be found in 45 CFR Parts 75.421 through 75.475. In addition, there are certain costs that ANA will not fund.

Those costs include:

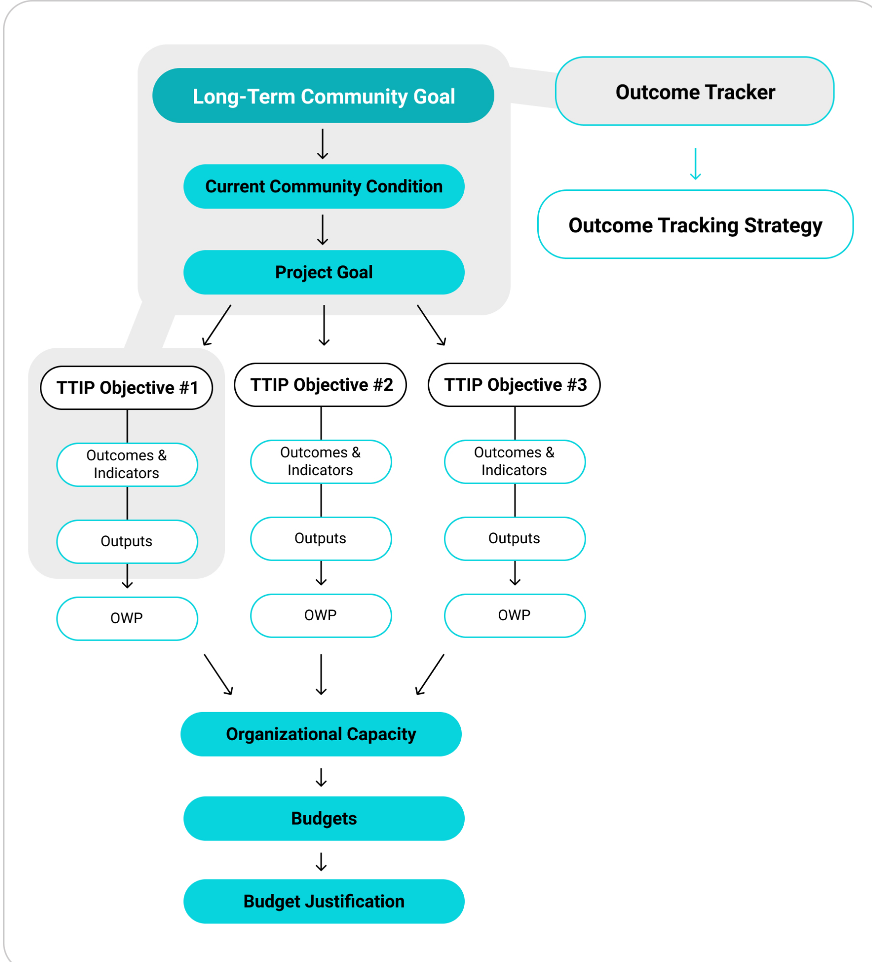
- Organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.
- Reimbursement of pre-award costs.
- Construction.
- Activities that qualify as major renovations and alterations.
- The purchase of real property; and
- Activities in support of any foreseeable litigation against the U.S. government that is unallowable under the Cost Principles in 45 CFR Part 75.

A chart summarizing Allowable Costs under 45 CFR Part 75 is provided in Appendix D of this manual. Appendix E contains a summary of 45 CFR Part 75.

ANA Application Development Workflow

Congratulations!

By completing the lessons and activities on the previous pages, you've successfully learned how to address each evaluation criterion in ANA's FOAs and develop a strong ANA grant application. The following illustration summarizes what you've learned in one handy conceptual map:



Long-Term Community Goal: What does your Native community envision for its future 5, 10, 50 years from now?

Current Community Condition: What is the main barrier currently preventing your community from taking the next step toward achieving that Long-Term Community Goal?

Project Goal: How will your project reduce or remove the barrier described in your Current Community Condition?

TTIP Objectives: What achievable, measurable objectives will your project accomplish to reach your Project Goal?

Outcome: As a result of achieving each Objective, how will the lives of community members improve?

Indicators: What metric will you use to measure progress toward achieving each objective? What is the quantifiable amount of change, as indicated by your Indicator metric, that you will Target?

Outputs: What kinds of tangible products or services will result from the completion of activities you will carry out in order to achieve your objective?

Objective Work Plan: What are all the milestone activities you will undertake in order to achieve the objective? Who will do each, and when?

Line-Item Budget: In order to complete each activity, what items, services, or salaries will you need to pay for?

Budget Justification: How did you calculate each cost, and why is each necessary for the project?

Organizational Capacity: What staff do you need to carry out the project, supervise staff and partners, manage finances, and oversee the grant? What kind of experience does your organization have managing public grants and following standard policies and procedures?

Submitting Your Application

Putting Together Your Application

Project Summary

Now that the application has been developed and all the criteria addressed, a Project Summary/Abstract (also referred to as the Project Summary in the NOFO) needs to be composed.

The Project Summary is the introduction to the application. It provides a succinct description of the project along with contact information.

Provide a summary of the application's project description. The summary must be clear, accurate, concise, and without reference to other parts of the application. The abstract must include a brief description of the proposed grant project including the needs to be addressed, the proposed services, and the population group(s) to be served.

The project abstract must be **single-spaced**, in **Times New Roman 12-point font**, and **limited to one page in length**.

Additional pages will be removed and will not be reviewed.

Please place the following at the top of the Project Summary:

- **Project Title**
- **Applicant Name**
- **Address**
- **Contact Phone Numbers (Voice, Fax, Cell)**
- **Email Address**
- **Website Address, if applicable**

The guidelines below are for the body of the Project Summary:

- It must be clear, accurate, concise
- Without cross-references to other parts of the application
- Include a brief description of the proposed project including:
    - the needs to be addressed,
    - the proposed services, and
    - the population group(s) to be served.

Remember, the Project Summary is limited to one page. See the Application Toolkit for a handy template you may use to format your Project Summary.

Getting Your Application Package Together

A competitive proposal requires the applicant to be as organized and thorough as possible. A well-organized application will assist the panel reviewers in locating and evaluating key information during the review process. The ANA application has specific formatting requirements for both hard and electronic copy submission. ANA staff will review the application formatting prior to panel review for compliance purposes.

Application Content and Page Limitations

ANA has established a **total page limit of 150** pages for applications submitted in response to the NOFOs. That page limitation excludes the required forms (including the MS Word or PDF version of the OWP), one-page project summary, assurances, and certifications listed under Section IV.2. Content and Form of Application Submission of the NOFO.

Section IV.2 also outlines the required formatting for your application. The NOFOs specify that the narrative section of your application must be **double spaced and in 12-point Times New Roman font with 1-inch margins around the page**.

Failure to adhere to the specific requirements will result in the removal of sections of your application and possible deduction of points. Please refer to this section for the list of documents that are exempt from the formatting requirement.

There is no longer a two-file requirement by ANA. However, it is still highly suggested that you upload only two files whenever possible. This will assist in maintaining the order and structure of your application for the Reviewer.

Use the following sequence of application elements to structure your proposal package: Required Application Elements to be included (in File One) are as follows:

- Table of Contents
- Project Summary/Abstract (limited to one single-spaced page)
- Project Description
    - Approach
        - Long-Term Community Goal
        - Current Community Condition
        - Project Goal
        - Objective(s)
        - Outcome(s)
        - Indicator(s)
        - Outputs
        - Outcome Tracker and Outcome Tracking Strategy
        - Community-Based Strategy
        - Readiness and Implementation Strategy
        - Geographic Location
        - Protection of Sensitive and Confidential Information
    - Organizational Capacity
    - Project Budget and Budget Justification
        - Line Item Budget
        - Narrative Budget Justification

Required documents to be included (in File Two) as Appendices are as follows:

- Governing Body Documentation
- Assurance of Community Representation on Board of Directors (Applicants other than tribes or Alaska Native villages - see policy for clarification.
- Maintenance of Effort Certification (MOE)
- Legal Status of Applicant Entity, if applicable
- Commitment of Non-Federal Share (resolution or letter)
- Job Descriptions
- Resumes
- Organizational Chart (if not already included in Organizational Capacity narrative)
- Indirect Cost Rate Agreement, if applicable
- Letters of Commitment
- Third Party Agreements, if applicable
- Business Plan, if applicable
- Other attachments, if necessary

NOTE: Very often applications are disqualified because they failed to include the Assurance of Community Representation on the Board of Directors, which is required for all Native Non-Profit Organizations. The Application Toolkit provides a handy template you can use to format your documented Assurance of Community Representation on the Board of Directors.

The Objective Work Plan is a separate file. The OWP does not count toward the page limit for the application. The OWP can be filled out in Grants.Gov Workspace or by using the OMB approved MS Word version or PDF version. The MS Word or PDF version is uploaded separately. Remember there should be an OWP for each objective, for each project year.

For paper format application submissions, the Standard Forms (SFs), other forms approved by the Office of Management and Budget (OMB), including the ANA OWP, and required certifications and assurances must be included in the application package.

Submitting a Paper Application

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

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

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

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

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

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

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

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

Exemption requests must be received by ACF no later than 2 weeks before the application due date. This is 14 calendar days prior to the application due date. If the 14th calendar day falls on a weekend or a federal holiday, the due date for receipt of an exemption request will move to the next federal business day following the weekend or federal holiday. However, it is suggested to submit this request 30 to 60 days prior to the due date.

Submitting an Electronic Application

Prior to writing your application, and at least 3 months before you need to submit your application, there are a number of steps you need to accomplish:

- Establish a Data Universal Numbering System (UEI) number,
- Register in the System for Award Management (SAM), and
- Establish a Grants.gov account or submit a waiver from electronic submission.

This section will provide you with additional information on the steps you need to undertake in order to successfully apply to ANA. On its website, Grants.gov provides a helpful video collection, titled "Introduction to Grants.gov Video Series," which covers SAM, and Grants.gov registration; user roles; searching for grants; the application package; submitting the package; and verification emails.

UEI Number and SAM Registration

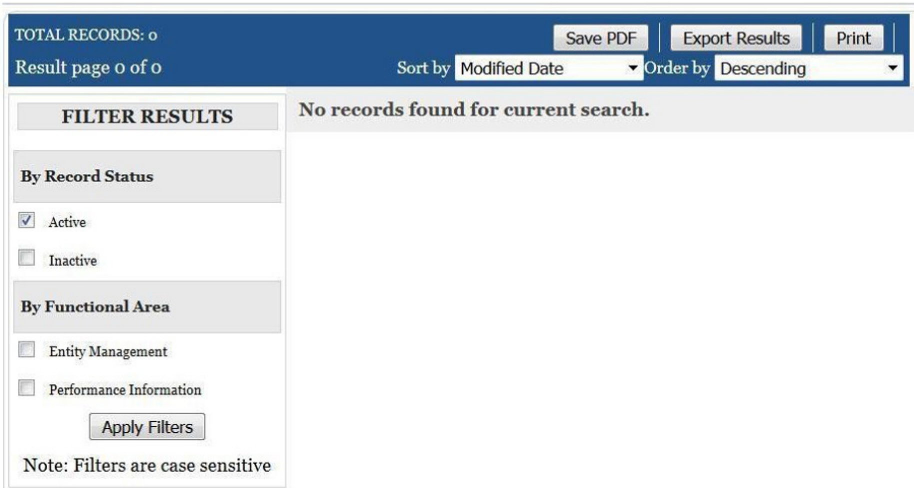
From April 4, 2022 on, your organization will need a UEI number and current SAM registration prior to applying for federal funding. If you have registered prior to April 4, 2022 you would have received a UEI number. The Federal Government will officially be transitioning from UEI to UEI and all previously registered entities with UEI numbers will automatically be assigned a UEI number during the transition.

1. UEI Number

The UEI number is a nine-digit number used to identify business entities on a location-specific basis. The UEI number provides the government and other organizations a wealth of information about each registered business, including the business name, physical and mailing addresses, trade styles ("doing business as"), principal names, financials, payment experiences, industry classifications (SICs and NAICS), socio-economic status, government data, and more.

It is suggested that, prior to completing a new registration, you do a search to ensure your organization is not already registered. The simplest way to complete a search is to go to https://www.sam.gov/SAM/ and select the "Search Records" button.

If your business does not appear in the search results, search for "active and inactive vendors" to see if your business has been registered before and if the registration needs to be renewed and revalidated.



If your entity is already registered in SAM.gov, your Unique Entity ID (UEI) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The UEI is located below the UEI Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records:

1. Log into your Grants.gov account.
2. Click on the My Account link at the top of the page.
3. Click on the Manage Profiles tab on the next screen.
4. Look under the UEI column header for the UEI for each profile that is registered with SAM. In the example below, there is just one profile.

To obtain a new UEI number for entities that have not previously registered for a UEI number, you will need to go to SAM.gov to register for one. On SAM.gov you can:

- Request your UEI and register your entity to do business with the U.S. Government.
- Make any updates to your legal business name and physical address associated with the UEI.
- Find customer support at a single helpdesk for all UEI and entity registration issues.

2. SAM

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

In order to create an account with SAM:

- Go to https://www.sam.gov,
- Click the "Create User Account" button,
- Click the "Create Individual Account" button,
- Provide the requested information and submit,
- Receive the email from "notifications" and click through the Sam.gov link to validate your account, and
- Log in at https://www.sam.gov with the username and password you created.

Once you have created an account, you can now register with SAM:

- Access the SAM online registration at https://www.sam.gov;
- Click on "Register/Update Entity" button;
- Log in with your account information and complete and submit the online registration – the SAM user guides above can assist you in completing the registration and answering questions you may have;
- The registration process will take approximately 30 minutes, depending upon the size and complexity of your entity; and
- The SAM help tab has FAQs, quick user guides, and videos that you may find useful, as well.

You must renew and revalidate your entity's registration at least every 12 months from the date you last certified and submitted the registration in SAM, and sooner if your entity's information changes. To renew, simply log into your SAM account, select “Register/Update Entity,” and then “Complete Registrations.” If you have an inactive profile, log into your SAM profile and click “Inactive Registration.”

NOTE: Your SAM E-Business Point of Contact (E-Biz POC) must update your SAM profile at least once a year. Failure to update the profile can prevent you from being able to submit your application.

3. Grants.gov

Once you have completed the previous two registration steps (UEI and SAM), you are ready to register with Grants.gov at http://www.grants.gov/web/grants/register.html. There are three types of registrations possible in Grants.gov: Individual Applicant, Organization Applicant, and Grantor. When registering, choose the Organization Applicant. This applies to a company; a state, local, or tribal government; an academic or research institution; a not-for-profit organization; or any other eligible entity.

Help for registering as an Organization Applicant can be found at: https://www.grants.gov/web/grants/applicants/organization-registration.html

Additionally, you will need to understand and know what your user role will be: EBiz POC or Authorized Organization Representative (AOR). The EBiz POC manages all of the individuals in their organization who can submit grant applications. The AOR has the ability to submit grant applications on behalf of their organization.

The “Applicants” section of the Grants.gov website provides guidance to help you understand the different user roles, and corresponding privileges, that an organization may assign to individuals collaborating on a grant application in the Workspace system.

Each individual that will be using Grants.gov Workspace will need to register, creating a username and password. These individuals may be associated with the organization and can complete their individual registration by associating themselves to the organization. They may also be outside the organization and can be associated to individual Workspaces with this or any other organization. The Workspace owner will add the appropriate participants to the various Workspaces based on the need to participate in submitting each particular application.

Once all of the registrations are complete, you can start using Workspace where you can fill out downloadable or web-based forms, attach files, and submit your application packet.

Below are the steps for submitting.

EBiz POC adds the AOR and Manage Workspace roles to an applicant

Applicant with the Manage Workspace role creates a Workspace for an opportunity, thus becoming the Workspace Owner

Workspace Owner adds Workspace Participants, which gives them access to all the forms in Workspace

Workspace Participants complete the opportunity package using their organization’s development and review process

Any Workspace Participant with the AOR role submits the application via the Workspace

NOTE: Have your E-Biz POC check their email (junk email too) for requests from Grants.gov to update or approve the AOR’s grants submission privileges. If they don’t approve you as requested, you will not be able to submit your application.

Grants.gov Workspace

Grants.gov Workspace is the mandatory process for individuals or organizations applying for funding opportunities. Workspace is a shared, online environment where members with permission to a particular Workspace (internal or external to the organization) may simultaneously access and edit different forms within an application. For each funding opportunity announcement (NOFO), you will create individual Workspaces.

Workspace is the space where you work on your grant application. Workspace allows a team of registered Grants.gov applicants to use a shared online space for completing individual forms and submitting the final application. These forms can be filled out by different users in the application, alleviating the need to distribute a single PDF package file via email or a flash drive to numerous individuals. Only one form can be worked on at a time, while multiple users can work simultaneously in the application's Workspace.

One of the primary benefits of Workspace is the ability to separate individual PDF forms that make up the traditional application package. This allows multiple team members within an organization to access and edit forms at the same time.

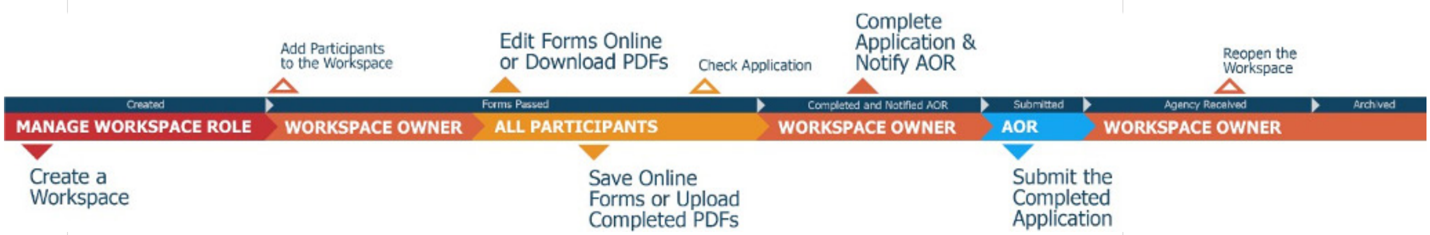
Upon completion of individual sections and forms, applicants have the ability to upload completed forms to the Workspace so other team members may view and edit the forms. Additionally, each form can be checked for errors immediately.

Applicants can also reuse saved Workspace forms when applying for new funding opportunities. To be uploaded successfully to a new Workspace, the saved form must share the exact name and version of the form in the new funding opportunity.

How Does Workspace Work?

Workspace utilizes varying account types, access levels, and roles to allow for flexible use across the spectrum of potential grant applicants. Upon creating an organizational space within Workspace, users with the Authorized Applicant (AOR) or Manage Workspace roles may add Workspace Participants to a Workspace. Each Workspace Participant (i.e., a team member with access to the workspace), has access to all the forms and the ability to contribute to the application.

Below is a basic process chart to illustrate how Workspace works. This does not capture all of the functionality or processes; it provides a basic framework for understanding Workspace.



Grants.gov Workspace has a video series for organization applicants, Application Workflow for Organizations, which can be found at: https://www.grants.gov/web/grants/applicants/workspace-overview/workspace-process.html

Topics covered in the video series that you may find useful include:

- Application Workflow for Organizations
- User Roles & Workspace Actions
- How to Create a Grants.gov Workspace
- How to Add Participants to a Grants.gov Workspace
- Completing Forms in a Grants.gov Workspace
- Submitting an Application in Workspace

A general overview of how to apply for grants using Workspace can be found on the Grants.gov website: https://www.grants.gov/web/grants/applicants/apply-for-grants.html

NOTE: As of January 2018, using the Grants.gov Workspace is the required method for submission of grants.

Adobe Software Tip Sheet

You should verify that you are using a version of Adobe that is compatible with Grants.gov. To do this, from the Grants.gov homepage select the Applicants tab. Next click the Adobe Software Compatibility link. https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html

This page provides information regarding the compatible versions for Windows and Mac OS users. To verify the version of Adobe Reader or Adobe Acrobat installed on your computer is compatible with the forms in Workspace you can also click on the following test application package link: https://www.grants.gov/documents/19/18243/Adobe-Versioning-Test-Workspace-PDF-Form.pdf

If you can see the application package, you are able to complete and submit grant applications on Grants.gov. If you cannot see the package several things may be happening:

- Your browser settings may be keeping you from opening the test package. A quick solution is to save the test application package to your desktop (by right-clicking on the link) and opening it separately.
- You may not have the correct version of Adobe Reader. Go to https://get.adobe.com/reader/ and install a FREE Adobe Reader to work with your application package. Be aware that sometimes there is other software selected to load with the Adobe Reader, if you do not want this you must deselect it.

NOTE: If you do not complete this step, then your application could receive errors that may cause it to be rejected by Grants.gov. This can include errors from free PDF software. While a list of software to create PDFs is available, Grants.gov does not endorse any of them.

NOTE: If more than one person is working on the same application EVERYONE must be using the same software version.

You will need to locate the application package on Grants.gov. To do this, you will want to be signed into your Grants.gov account. This can be done from the LOGIN link at the top right-hand corner of any webpage on the Grants.gov website.

Next, select the Search Grants tab near the top of the webpage. From this page conduct a Basic Search; this is the simplest way to locate the application. Use the CFDA number located in the Notice of Funding Opportunity (NOFO) to search for the application package. The CFDA Number can be found on page 1 of the NOFO, or one page after the NOFO's Table of Contents.

1 - 3 OF 3 MATCHING RESULTS:

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date ↓	Close Date
HHS-2018-ACF-ANA-NA-1339	Social and Economic Development Strategies -SEDS	HHS-ACF-ANA	Forecasted	10/17/2017	

1. Click the funding opportunity number link in the Funding Opportunity Number column.
2. Click the Package tab on the View Grant Opportunity page.
3. Click the Apply link in the Actions column for an opportunity that has "Yes" in the Workspace Compatible column.

Click the corresponding link to continue.

CFDA	Competition ID	Competition Title	Opportunity Package ID	Opening Date	Closing Date	Workspace Compatible	Actions
	[illegible]	[illegible]	[illegible]	01/06/2018	05/07/2020	Yes	Preview | Apply

4. Either enter your email address to subscribe to change notifications for the package, or select the "No, I do not wish to provide my email address" option. Next, click the Submit button.
5. Look for the Application Filing Name field above the Create Workspace button and assign your Workspace a name. Then, click the Create Workspace button.

Option 1: Apply Now Using Workspace

Please enter required information to Create Workspace:

***Application Filing Name:**

Create Workspace »

Workspace is our enhanced application submission feature, which helps organizations and individuals create, complete, and submit grant applications.

NOTE: The Application Filing Name is required for creating a Workspace. The maximum length is 240 characters. Review the special character information below before creating a file name for the application or filenames for attachments.

File Naming Conventions

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

- For files that will be attached to forms limit the filename to 50 or fewer characters.
- Do not attach any documents with the same name. All attachments should have a unique name.
- Attachments that do not satisfy the following rules regarding the use of special characters may cause the entire application to be rejected or cause issues during processing.

The table below lists allowable special characters that can be used in file names:

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

*Ampersand in XML must use the & format.

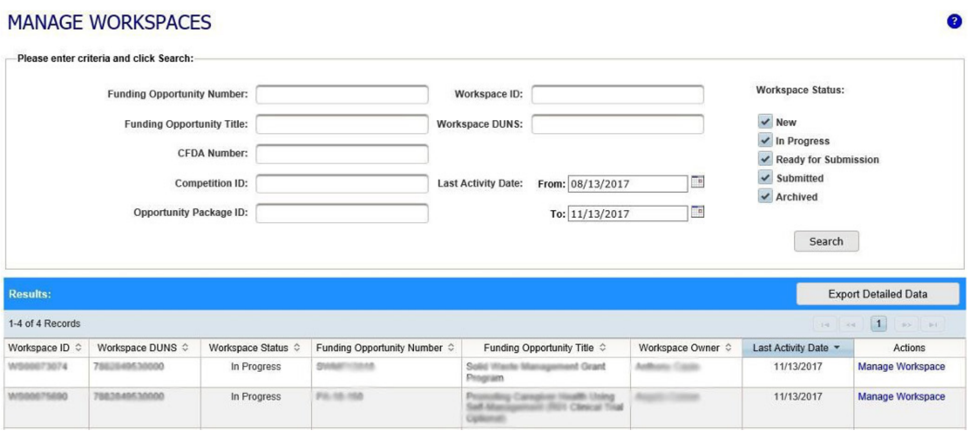
NOTE: Do not use special native language characters to label files as this could cause a validation error impacting the application submission. Native language diacritical markings may not be read by the system and could cause an error.

NOTE: ANA has developed an Application Toolkit for applicants to use. It can be found at https://www.acf.hhs.gov/ana/application-toolkit

The instructions provided below offer a quick overview of Workspace and clarification for forms and other areas that can be confusing. For a full understanding of the process, visit the Grants.gov website, where you will find detailed instructions and you can watch short instructional videos. In addition, you can visit Grants.gov's YouTube channel at: https://www.youtube.com/user/GrantsGovUS

Managing Workspaces

From the Applicants tab in Grants.gov, select the Manage Workspaces link. On this page, you will find numerous options to search for the applications you have access to. One way to find them all is to simply click the Search button and see the list available below. Choose the application you would like to work on and click on the Manage Workspace link in the Actions column.



Documents

Open and complete all of the documents listed in Mandatory and Optional Documents list. The documents listed in the Mandatory Documents list may be predefined forms, such as the SF-424 and SF-424A, or documents that need to be attached, such as the Project Narrative and Other Attachments.

Include in Package	Form Name (Click to Edit)
☑	Application for Federal Assistance (SF-424) [V2.1]
☑	Grants.gov Lobbying Form [V1.1] READ-ONLY
☑	Budget Information for Non-Construction Programs (SF-424A) [V1.0]
☑	Assurances for Non-Construction Programs (SF-424B) [V1.1] READ-ONLY
☑	Project/Performance Site Location(s) [V2.0]
☑	Project Narrative Attachment Form [V1.2]
☑	Other Attachments Form [V1.2]
☐	Disclosure of Lobbying Activities (SF-LLL) [V1.2]
☐	Objective Work Plan [V1.2]

Workspace provides two options for completing required forms: (1) download the format to your desktop, and upload it once complete, or (2) use the webform version, and fill it out online.

Include in Package	Form Name (Click to Preview)	Requirement	Form Status	Last Updated Date/Time	Locked By	Actions
☑	SF424 (R & R) [V2.0]	Mandatory	---	---	---	Lock | Download | Upload | Reuse | Webform

Fill in the requested information for each form. Workspace should automatically save your webform progress every 5 minutes. Still, it is suggested that you save regularly so that you don't lose your work.

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

When you open a form, the fields which must be completed are noted by a red asterisk or are highlighted (in gray or yellow) with a red border. Optional fields and completed fields are displayed in white.

NOTE: When you are tabbing out of a required field without completing it, a message will display informing you that it is required to be filled out.

Forms, such as the SF-424, which are predefined, will require you to enter information into the required fields.

The SF-424A will only require one or two fields to be populated and will still pass validation. **Even so, it is very important to ensure this form is completely and accurately filled out** in order for the government to correctly process your application and award budget.

Include in Package	Form Name (Click to Preview)	Requirement	Form Status	Last Updated Date/Time	Locked By	Actions
✓	Application for Federal Assistance (SF-424) [V2.1]	Mandatory	In Progress	Nov 13, 2017 06:56:09 PM EST	---	Lock | Download | Upload | Reuse | Webform
✓	Assurances for Non-Construction Programs (SF-424B) [V1.1]	Mandatory	---	---	---	Lock | Download | Upload | Reuse | Webform
✓	Budget Information for Non-Construction Programs (SF-424A) [V1.0]	Mandatory	Passed	Oct 25, 2017 02:01:47 PM EDT	---	Lock | Download | Upload | Reuse | Webform

NOTE: If you complete the SF-424 first, it will automatically populate the other forms with similar fields with the information you entered.

For each of the forms, we will cover those items on the form that are not intuitive when filling them out. For detailed assistance we suggest you download the instructions for the forms at https://www.grants.gov/web/grants/forms/sf-424-family.html (see “Form Instructions” column), review the instructions you downloaded with the application package, contact your ANA Regional T/TA Center, or contact the ANA Help Desk at Toll Free Phone: 1-877-922- 9262.

SF 424

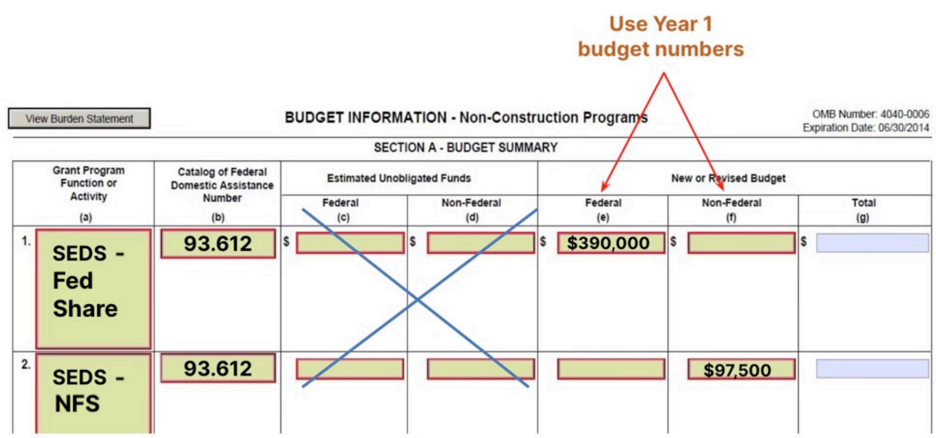
When filling in #18, “Estimated Funding”, for the SF-424 it is important that you only use the numbers for budget year one. Enter the amounts requested, or to be contributed during the first funding/budget period by each contributor. The value of in-kind contributions should be included on appropriate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

SF 424A

There are several sections of this form that applicants have found a bit confusing. The SF-424A is covered in more detail in this manual. However, we suggest you download the instructions for details of each section.

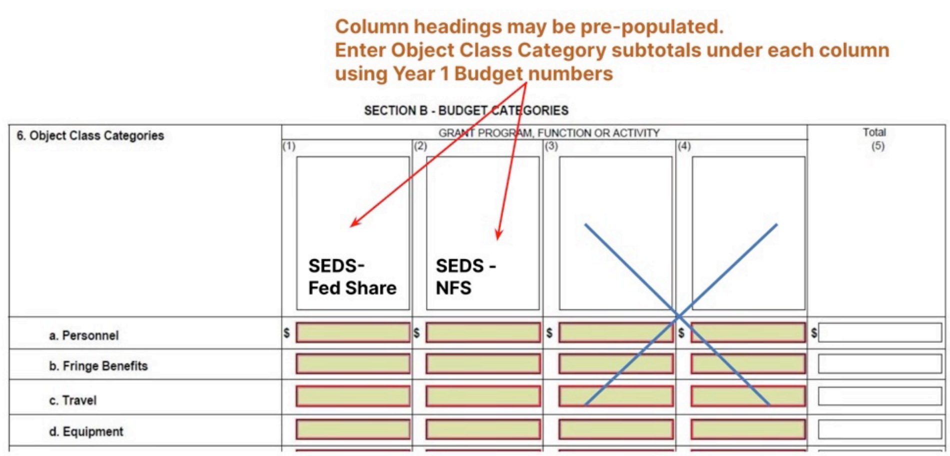
NOTE: In this form, some of the fields will pre-populate similar areas and some will not, take care to be sure each section is filled out clearly.

In SECTION A – BUDGET SUMMARY only the budget for year one will be used to complete the form. Fill out Line 1 for the Federal Share and Line 2 for the Non-Federal Share. Under the column labeled “Grant Program Function or Activity (a),” you will type in the grant program under which you are applying (for example, “SEDS”). Under the column labeled “Catalog of Federal Domestic Assistance (b),” you will type the CFDA number you found in the NOFO to search for and download the application package (also found on page 1 of the NOFO). If this is a new application, you will leave Columns C and D blank. Under the New or Revised Budget heading Federal 1(e), you will enter the amount of federal funding being requested for year one, and for Non- Federal 2(f) you will enter the NFS amount identified in your budget for year one.



In SECTION B – BUDGET CATEGORIES, #6 Object Class

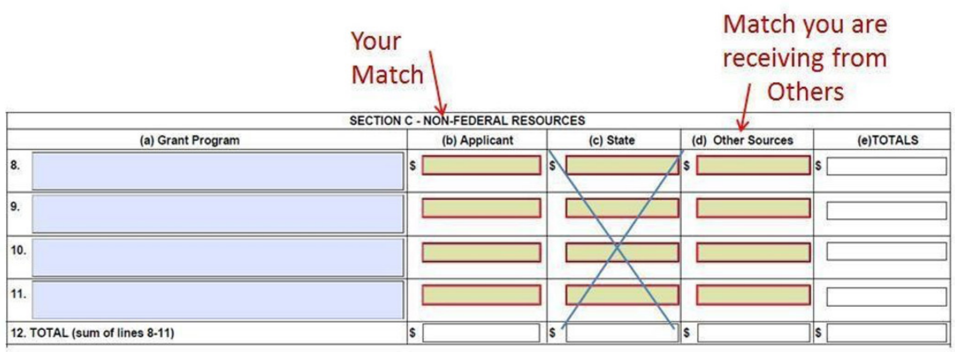
Categories, Column 1 you will complete this column entering the total amount of the Federal Share and in Column 2 Non-Federal Share funding for budget year one for each of the categories listed. This is seen in the image below using the webform.



NOTE: Column 2 will not allow you to label it as Non- Federal Share.

NOTE: ACF prefers that this section be filled out using the following directions: In column 1 enter the Federal amounts for each of the categories listed for the first budget year which should total the amount entered in 1(e) above. In column 2 enter the Non-Federal amounts for budget year one for each of the categories listed which should total the amount indicated in 2(f) above.

In SECTION C – NON-FEDERAL RESOURCES, most applicants need only fill out line 8 columns (b) Applicant and (d) Other Sources. The Applicant column is where you, the applicant, will list your match contribution. The Other Sources column is where you list match (cash or in-kind) that you are receiving from others. This is seen in the image below using the downloaded form view.



SECTION C - NON-FEDERAL RESOURCES

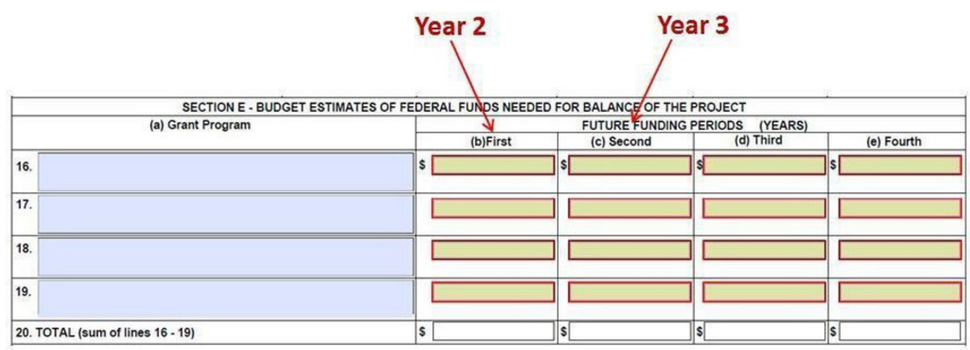
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	$	$	$	$

In SECTION D – FORECASTED CASH NEEDS, this is the first-year budget broken down by quarters for both the Federal and Non-Federal share. Here you will estimate how you will spend out the first-year budget each quarter. Be realistic in this section rather than just dividing by 4. If you have a large number of supplies or equipment to purchase in a particular quarter be sure to estimate the spending accordingly.

NOTE: If section D automatically divides your Federal and Non-Federal amounts by 4 you should calculate spending needs by quarter and highlight and overwrite with the correct amounts.

In SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS

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



SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b)First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	$	$	$	$

NOTE: EMI applicants proposing a five-year project will indicate Federal funds needed for Year 4 in column (d) and Year 5 in column (e).

Line-Item Budget and Budget Narrative

This application requires both detailed Line Item Budgets and Budget Justification Narratives for each year of your project. In order to attach them as part of the two-file requirement, you will need to combine them into a single PDF file. Be sure to check all of your formulas before you begin this process.

> **NOTE:** The SF-424A is not considered a detailed line item budget.

When saving an Excel worksheet as a PDF it is important to set the print area in a way that all of the columns will appear on the same page with rows continuing on sequentially. This will allow the reviewer to have a complete view of each budget category. To do this go to the Page Layout tab, highlight what should be printed, and select the Print Area dropdown arrow and select Set Print Area. Preview the document to be sure each of the columns will print on a single page.

A	B	C	D	E
	Viewing all Columns across Same Page			
	Line Item Budget for Year ____ (create budget for each year)			
	Category	Federal Share	20% Non-Federal Share	Total

When you have multiple worksheets, you can save them all as a PDF within Excel. Highlight all Worksheet tabs by clicking the first tab labeled “Year 1 Line Item” hold the shift key and select the very last Worksheet tab you are using. Next select - File - Save as PDF. Make sure all of the sheets you would like to print are listed in the box on the right-hand side labeled “Sheets in PDF”.

Next click the button “Convert to PDF”.

Submitting the Files

In addition to forms, application packages also require you to submit specific documentation, such as a project narrative, budgets, resolutions, letters of commitment, and resumes.

Specific instructions for your additional documentation will be included in the funding announcement and application package.

There is no longer a two-file requirement by ANA. However, it is still highly suggested that you upload only two files whenever possible. This will assist in maintaining the order and structure of your application for the Reviewer.

The Objective Work Plan is an additional file. The OWP does not count toward the page limit for the application.

Follow the steps in the next several pages to submit with two main file attachments in the application package. Each of these file attachments, the Project Narrative Attachment and the Other Attachment Form will contain a single file made up of several of your documents and spreadsheets. Standard Forms are not considered additional files. The main point to keep in mind is that you will have numerous documents that will make up each of these attachments. You can find additional certification forms that may pertain to your project at the following link on the ACF website: http://www.acf.hhs.gov/grants/certifications

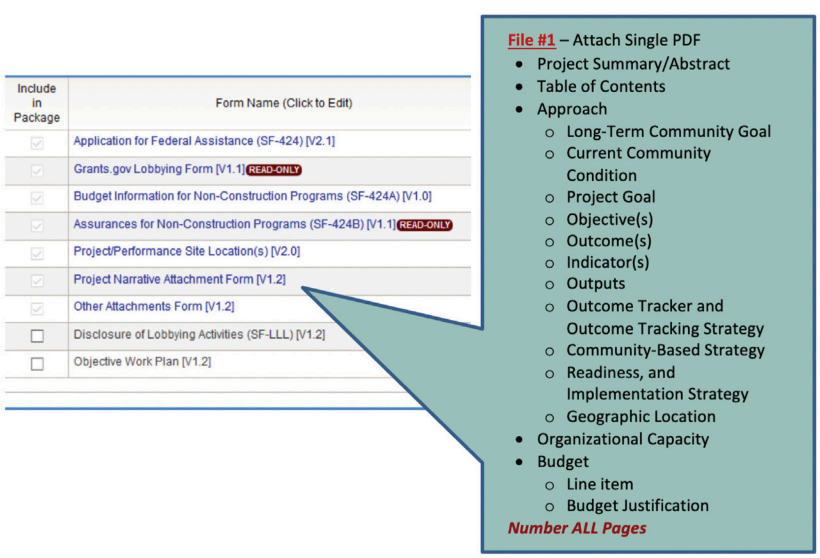
NOTE: If you are using Adobe Reader you will not be able to apply page numbers to the application file. Please number your pages when you create your documents prior to making a PDF of your multiple documents.

NOTE: Adobe Acrobat Pro users are encouraged to combine component PDFs into a single PDF file, and to number all pages sequentially. Page numbering on File 2 (Other Attachments) should pick up from where page numbering on File 1 (Project Narrative Attachment) left off. The final page number should be less than 150.

Project Narrative Attachment Form

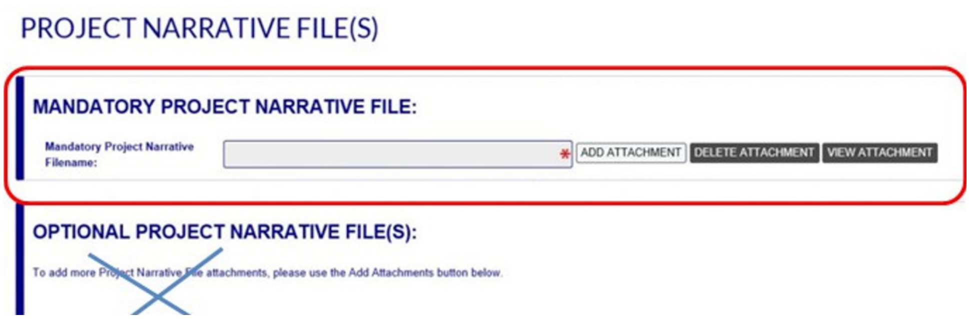
The first of the two-file attachments is the Project Narrative Attachment Form. This form is a placeholder for you to attach a single file from your computer that is made up of multiple documents: Project Summary, Table of Contents, Project Narrative, Line-Item Budget and Budget Justification. Please remember your Project Narrative contains the Approach and Organizational Capacity sections of the scoring criteria.

The Project Summary/Abstract is no longer a form. You will need to create your own one-page form. This will be in Times New Roman 12pt font and single spaced. The top of the page should include the Project Title, Applicant Name, Address, Contact Phone Numbers, Email Address, and Website, if applicable. The rest of this one-page document should be a brief well-defined description of the project.



To attach your combined files, select the Webform link in the Actions column for the Project Narrative Attachment Form.

Click the Add Attachment button. This will allow you to search your computer for the new single file you created from the multiple documents listed above. Select the file and click the Open button. You will see the name of your file in the highlighted field. Do NOT use the Optional Project Narrative File section for these files.



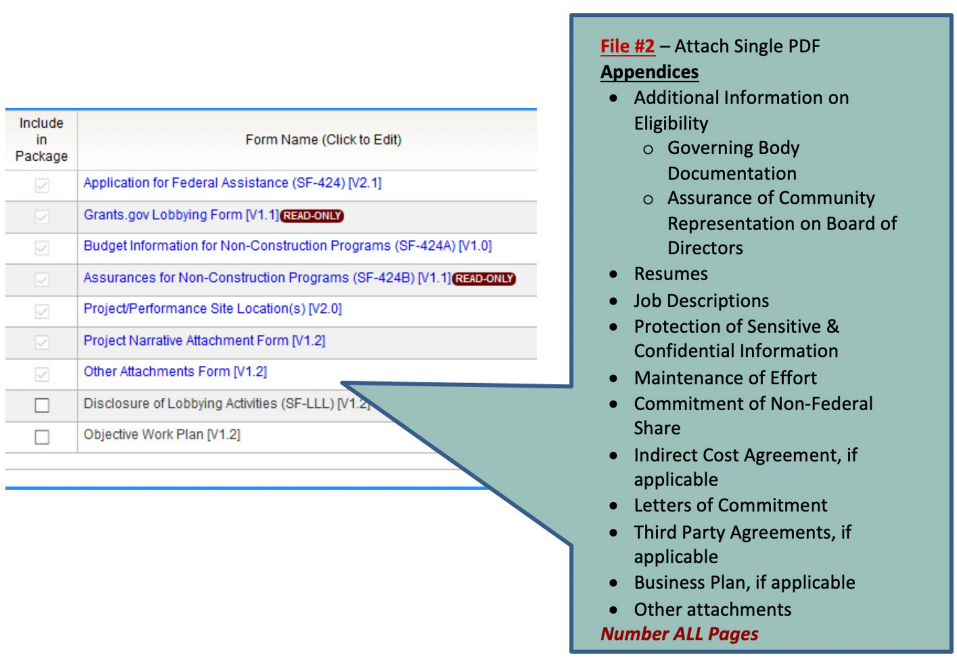
When you have completed the actions for this form, click the Save button. You should see a notice that the form has successfully saved, click OK. You will see a notice box asking if you want to unlock this form, select No. This will take you back to the Workspace page for the application. The Form Status column should now state this item Passed (as it automatically checks the document for errors) and is Locked, so no changes can occur.

Other Attachments Form File

The Other Attachments Form includes all of the files required in the Appendices. These are files not included elsewhere in the application such as: the Governing Body Documentation (i.e., Tribal Resolution, Board Approval) and Assurance of Community Representation on Board of Directors, Legal Status of Applicant Entity, Letter of Commitment of NFS, Proof of

Non-Profit Status (if applicable), Indirect Cost Rate Agreement (if applicable), Business Plan (if applicable), Third Party Agreements (if applicable), Resumes, and Job Descriptions.

Additionally, this file may contain other attachments which may be necessary based on the project, for example: community meeting minutes, survey results, cost estimates, consultant scope of work and letters of commitment. Combine your multiple documents in the order you believe the material is best understood into a single PDF file; it is suggested to create an index page for the Appendix section. Once you have saved the file attach it to the application package.



To attach your combined files, select the Webform link in the Actions column for the Other Attachments Form. Click the Add Attachment button. This will allow you to search your computer for the new single file you created from the multiple documents listed above. Select the file and click the Open button. You will see the name of your file in the highlighted field. Do NOT use the Optional Other Attachment(s) section for these files.

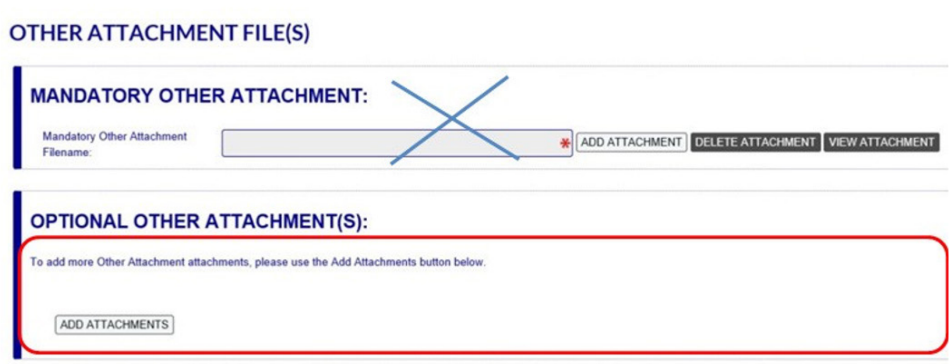
Objective Work Plan Form

Lastly, we will cover the Objective Work Plan Form. The OWP form (electronic or MS Word version) is not counted in the 150-page limit or as a separate file as it is an ANA mandatory OMB approved form.

We highly encourage you to use the MS Word version of the OWP. Be sure to check that it has a current OMB date stamp.

NOTE: If the OWP is not OMB approved, it will count toward your 150-page limit.

Save your completed form as a PDF and upload it as a separate file using the Optional Other Attachment section from the Other Attachments Form link. Select the Add Attachments button. This will allow you to search your computer for the new single file you created from the multiple documents listed above. Select the file and click the Open button. You will see the name of your file in a new highlighted field which appears after the file is attached.



For a complete Application Checklist of the required documents and forms be sure to consult section VIII of the current NOFO. If you have submitted to a funding agency before, then be sure to download the most recent funding announcement as many agencies make changes from year to year. Because changes to the funding announcements can occur even after the funding announcement has been released it is always a good practice prior to submitting your application to check Grants.gov for any modifications that have been made. Additionally, setting your email up to receive change notifications when downloading the application will assist you in becoming aware of any modifications the funding agency may apply. To receive updates, find your funding opportunity (https://www.grants.gov/web/grants/search-grants.html), click on the Opportunity Number, and hit the red "Subscribe" button to receive email notifications in the event that revisions are published.

Printing Your Application

To print your application forms, select the filename link on the Form Name column. This will bring up a PDF view of the form. Next select the Print icon. Choose the appropriate orientation for printing - landscape or portrait. Select the Print button. The print function will not print the attachments within an application package, such as the narrative, budget and other attachments at this time.

NOTE: The option to print attachments with the forms is scheduled for a future Workspace update, watch for changes.

Finalizing Your Application

Once you have completed all required documents and attached any required or optional documentation, select Save to save your package. If errors are found, select the Check Package button which will identify each error. Then correct each error. Be sure the status of all the forms for the application appear only as Passed. If there are forms which appear as Passed [Locked] contact those users to be sure they have finished the forms and have them Unlock the form before notifying the AOR the application is ready to submit.

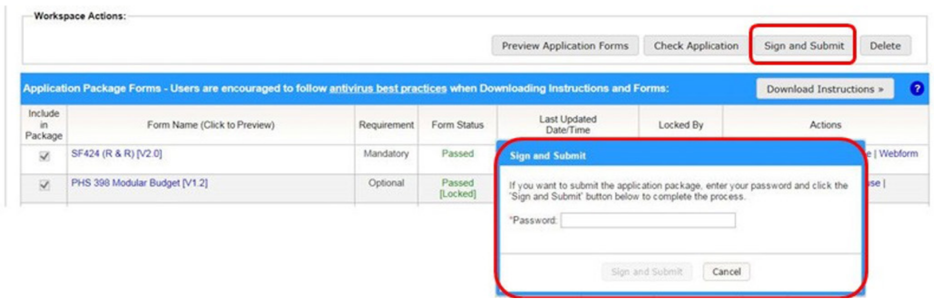
Once there are no errors, the Sign & Submit button will be activated. Notify the AOR the application is ready to be submitted.

Sign and Submit

An application may be submitted through Workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. This action will submit your application to the federal grant-making agency if completed successfully.

The Sign and Submit button can be found in the Workspace Actions box. The button will be visible and activated for Workspace participants with the AOR role. The AOR will need to sign in and go to the Forms tab of the Workspace for the application. The AOR should check that all the forms for the application in the Form Status column have Passed the verification. If any of the forms have a status of Passed [Locked] the AOR will be asked to confirm the action. By clicking the Continue button the AOR will unlock all the forms previously locked by others. Once all the forms are unlocked a

Sign and Submit pop-up window will appear. The AOR will then reenter their password and select the Sign and Submit button which signs the application as an official representative of the organization.



The following link contains a video with greater details for signing and submitting an application: https://www.youtube.com/watch?v=szSyO5AEQ4c&feature=youtu.be

Finalizing Your Application

After submitting the application, a PDF confirmation page will appear. This screen will contain a Grants.gov tracking number and other information. Save this page to your computer. The Workspace Status will change to submitted.

You can track a Workspace Package application several ways:

- When logged in, click the Check Application Status link under the Applicants drop-down menu and search for the submitted package.
- When logged in, click the Check Application Status link on the Applicant Center page under the Applicant Actions heading on the left menu, and search for the submitted package.
- When not logged in, click on the Track My Application link under the Applicant drop- down menu and enter the Grants.gov Tracking Number. Then click the Submit Tracking Number(s) button. The results page will appear with a listing of the valid tracking numbers entered.

The information listed includes the CFDA Number, Opportunity Number, Competition ID, Grants.gov Tracking Number, Date/ Time Received, Status, and Status Date.

NOTE: All official emails are sent to the Authorized Organization Representative. Please ensure that the Authorized Organization Representative sends you all Grants.gov emails they receive.

Emails from Grants.gov may have questions regarding errors or other items. If you do not respond in a timely manner to questions regarding your application, it may be rejected.

Grants.gov Contact Center

- Support available 24/7 (closed on federal holidays)
- Website: http://www.grants.gov/web/grants/support.html
- Email: support@grants.gov
- Toll-Free Phone Number: 1-800-518-4726

Additional Resources

- Online User Guide https://www.grants.gov/help/html/help/index.htm#t=GetStarted%2FGetStarted.htm
- Check the Calendar for Enhancements and Maintenance Outages https://www.grants.gov/web/grants/support/calendar.html

Application Review Process

Once you've submitted your application through Grants.gov, it will be reviewed by ANA for eligibility as per Section III.3 of the NOFO. Applications passing these requirements will then be moved on to the Competitive Review Process.

Competitive Review Process

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

ANA describes an Objective Review as follows:

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

Panel of Reviewers

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

Generally, review panels are composed of three panel reviewers and one chairperson. Panel chairpersons work with a team of panel reviewers to facilitate discussion and consolidate comments. The panel reviewers score the applications. The panels are made up of experts with knowledge and experience in the area under review.

Analysis Score and Comments

Panel reviewers and chairpersons are assigned five to ten applications per review session. For two weeks during the panel review session, panel members read the applications, take notes, score and comment on them. Panel reviewers are only able to score on the NOFO Review Criteria. During the panel review session, they participate in analytical discussions, critical thinking, and writing while working with the other panel reviewers and the chairperson to develop a comprehensive panel summary report that summarizes the scores and comments of the panel.

ANA Internal Review

In addition to the scores and ranking that the panel review process generates, your application will be further scrutinized by ACF and ANA based on eligibility requirements, funding considerations, availability of funds, and, sometimes, even if you pass all of that, your project might be approved but not funded. The scores provided by the panel reviewers determine where your application ranks in the funding range, but the application score alone does not determine if you will be funded.

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

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

Availability of Funds

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

Unsuccessful Applicants

ANA offers technical assistance to unsuccessful applicants provided by regional technical assistance providers. ANA wants to help those who did not receive funding to improve their application so that they may be more successful in subsequent years.

Review Comments

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

Unfunded Application Technical Assistance

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

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

Requests for Information

ANA staff cannot respond to requests for information regarding funding decisions prior to the official applicant notification.

Once official notification is provided, ANA will post information on the funded grantees on the ANA website.

Conclusion

The Pre-Application Manual provides the essential information for developing, writing, and submitting an ANA application.

The manual utilizes explanations, training activities, and project examples to demonstrate how to build an application around the NOFO criteria. In addition, it provides useful information for developing a competitive application by explaining the grant review, proposal scoring and award processes. The manual also includes a guide to navigating the Grants.gov website when submitting the application.

While ANA funding is competitive, ANA offers a variety of training and technical assistance to help your community achieve its goals. Once you have identified a project that will help you address the current community condition, ANA Training and Technical Assistance Providers can help you develop an application for ANA funding consideration. In addition to the training provided in this workshop, ANA Training and Technical Assistance Providers are available to review the application and provide guidance and recommendations prior to submitting the application. After you have developed at least 75% of your application, you can contact your technical assistance provider for a review of the proposal. Information for the regional training and technical assistance centers can be found on the ANA website at: https://acf.hhs.gov/ana.

Thank you for your interest in ANA. This training and manual are meant to reflect ANA's commitment to assisting Native communities in their endeavor to achieve self-sufficiency. We hope the content of this manual has you given the confidence to develop and submit a sound proposal that benefits your community.

Appendices

Appendix A: Glossary of Terms

Beneficiaries: individuals within the community that benefit from the project

Budget Justification: A narrative that provides information to ANA which validates that each expense is necessary and reasonable. The budget justification should align with the line item budget and should explain how the costs in the line item budget were calculated while also providing 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-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 Strategy: 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. Should include enough detail to describe a baseline condition for the project, so that the achievement of project goals and outcomes can be used to show an enhancement in the condition described.

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 to be served: Geographical/organizational community that benefits from the project.

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 time frame. 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.

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

Objectives: Quantify tangible achievements within the proposed project period. Relate to a primary outcome that enhances the current community condition. To fully quantify the deliverable, each objective should include the following 4 components (in no particular order):

- Timeline: a time by which the objective will be achieved
- Target: a measurement for the intended amount of change
- Indicator: a measurable sign that something has been done or been achieved
- Population: a specific group on which the project is intending to focus

Objective Work Plan (OWP): The OWP is a standalone document that identifies all the key elements of the application including the project goal, objectives, milestone activities, outputs, outcomes, project staff, and start and end dates for each activity. The OWP should mirror the approach stated in the project narrative, and support consistency throughout the application.

Outcome(s): The expected change that will result from the achievement of the objectives at the community/organizational level. ANA requires at least one outcome per objective.

Outcomes can be the same or different for each of the project objectives.

Outcome Tracker: A tool used to identify the outcomes and indicators of each objective and which provides benchmarks for 4 points in time: baseline, end of project year, end of project period, and 3-year post project; also lists project outputs.

Outcome Tracking Strategy: A narrative which explains when and how the project will collect and manage data, and if the applicant organization will use, develop and/or improve a data management system to collect and assess project data.

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 the 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 Participants: Those individuals directly taking part in project activities (i.e. unemployed single parents that are taking financial literacy classes, youth interns, fluent elders selected to be the master in the master-apprentice, teacher candidates, newly elected council members to be trained, etc.)

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 determine the costs associated with implementation of that plan.

Project Steering Committee: Consultant 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.

Target Population: A group that shares similar characteristics within the community that will be identified for recruitment as project participants (i.e. unemployed single parents, youth leaders ages 14-18, fluent elders, newly elected council members, etc.)

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

Appendix B: Abbreviations and Acronyms

ACF	Administration for Children and Families
AOR	Authorized Organizational Representative
CFDA	Catalog of Federal Domestic Assistance
DUNS	Data Universal Numbering System
EMI	Esther Martinez Immersion (Native Languages)
ERE	Environmental Regulatory Enhancement
FTE	Full Time Equivalent
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
OWP	Objective Work Plan
P&M	Preservation and Maintenance (Native Languages)
SAM	System for Award Management
SEDS	Social and Economic Development Strategies
SEDS AK	Social and Economic Development Strategies Alaska
T/TA	Training and Technical Assistance
UIE	Unique Entity Identifier

Appendix C: Calendar for Planning the Writing of Your Application

ANA PROPOSAL DEVELOPMENT CALENDAR - TIMELINE FOR COMPLETION **Application:** **Complete by:**

Required Grant Component	Person Responsible	WK1	WK2	WK3	WK4	WK5	WK6	WK7	WK8	DUE
Program Components 1. Approach 2. Organizational Capacity 3. Objective Work Plan										
Financial Components 1. Line Item Budget 2. Budget Justification										
Other Information 1. Project Abstract 2. Resumes and/or Job Descriptions 3. Letters of Commitment 4. Tribal/Board Resolution 5. Other Documents 6. Table of Contents										
Forms and Certifications 1. SF 424, 424A, and 424B 2. Project/Performance Site Location 3. Maintenance of Effort 4. Disclosure of Lobbying 5. Grant Disclosure 6. Proof of Non-Profit Status, if applicable 7. Commitment of Non-Federal Funds 8. Third Party Agreements, if applicable 9. Business Plan, if applicable										
Other 1. Edit and Spell Check 2. Internal and External Review 3. Format 4. Submit in Grants.gov										

Appendix D: Requirements for a Business Plan (If Necessary)

Business Plan

When federal grant funds will be used to support a business operation, provide a business plan. The business plan typically includes:

- An executive summary
- A description of the industry
- A description of the products or services to be produced, sold, or marketed
- Market research
- A marketing plan
- An operational plan
- An assessment of risks and assumptions
- Financial statements (if already in operation)
- Projected operational costs

However, business plans are no longer exempt from the 150 page limit. It is suggested applicants only include an Executive Summary and other pertinent sections of their business plan depending on how many pages are available.

Appendix E: OMB Cost Principles – Selected Items of Cost

The next three pages provide a graphic of the 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 of CFR 45 if you have questions about specific costs.

	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 F: Summary of CFR 45 Part 75

The Department of Health and Human Services adoption of the Office of Management and Budget Guidance in 2 CFR Part 200 has been codified into 45 CFR Part 75. The objective of the 2 CFR Part 200 reform is to reduce both administrative burden and risk of waste, fraud and abuse.

The purpose of the Federal financial management regulations is to ensure that government funds are used by governments and organizations efficiently and effectively to provide the services and/or goods authorized by the Federal agency that awarded the funds. They also ensure that the governments and organizations financial management systems provide accurate, reliable, and timely financial information to the Federal government.

On December 26, 2013 the Office of Management and Budget (OMB) issued 2 CFR Part 200 which consolidates eight OMB Circulars. On December 19, 2014 the Department of Health and Human Services has codified the regulations into 45 CFR Part 75.

The management of an Administration for Native Americans grant requires a working knowledge of the financial assistance rules and regulations and basic cost contained in 45 CFR Part

75. Below is a summary of 45 CFR Part 75. It is important that the full regulations be referenced for information about each of the areas covered by the regulations.

The circular is organized as follows:

- Part 75 – Subpart A: Acronyms and Definitions
- Part 75 – Subpart B: General Provisions
- Part 75 – Subpart C: Pre-Federal Award Requirements and Contents of Federal Awards
- Part 75 – Subpart D: Post Federal Award Requirements
- Part 75 – Subpart E: Cost Principles
- Part 75 – Subpart F: Audit Requirements

NOTE: The management of an ANA grant requires a working knowledge of the HHS rules and regulations contained in Title 45 of the Code of Federal Regulations (45 CFR).

Appendix G: Environmental Regulatory Enhancement (ERE) Examples

Sample ERE Project Outcome Tracker

Healthy Shellfish Subsistence Project Outcome Tracker						
Long-term Community Goal: Build a regional HAB monitoring program that includes analytical capacity to test local partner shellfish samples, leading to establishing effective subsistence shellfish management plans that provide accurate advisory notices to the coastal community members regarding high levels of PSTs, thus reducing the number of illnesses or deaths caused by consuming toxic shellfish.						
Current Community Condition: Paralytic shellfish poisoning (PSP) and other marine biotoxin illnesses are on the rise in coastal Alaska communities due, in part, to climate change, thus putting subsistence shellfish harvester at greater risk of illness or death.						
Project Goal: Develop a tribally led HAB monitoring program in coastal Alaska, that provides accurate, informative data to community subsistence harvesters to reduce the risk of PSP illnesses.						
Objective: By the end of year 1, collect 46 phytoplankton samples per community to determine abundance of Alexandrium cells that will be used as an "early warning" to shellfish harvesters						
Primary Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**End of Project**	**3-Yr Post Project**
Coastal partner communities will have an increased awareness of when and where Alexandrium blooms occur in the region, and how those data can be used as an "early warning" for PSP levels in shellfish.	Inform community members of Alexandrium cell densities at key harvest sites	Weekly phytoplankton data uploaded to SEATOR database and mapping tool	0	322 Phyto-plankton observa-tions	644 Phy-toplankton observations	1092 Phy-toplankton observations
Outputs: Coastal HAB program to host annual training, sampling protocols and methods modified to fit community needs, outreach and education material disseminated in each community, phytoplankton abundance data shared with Tribal Councils and Tribal citizens.						

Sample ERE Project Objective Work Plan (OWP)

Project Title: Community based Harmful Algal Blooms (HABs) monitoring to provide an “early warning” of Paralytic Shellfish Poisoning (PSP) in Coastal Alaska.			**Project Year: 1**	
Project Goal: Develop Tribally led HAB monitoring program that provides accurate, informative data to community subsistence harvesters to reduce the risk of PSP illnesses.				
Objective #1: By the end of year 1, collect 46 phytoplankton samples per community (7) to determine abundance of Alexandrium cells that will be used as an “early warning” to shellfish harvesters.				
Outcome: Coastal partner communities will have an increased awareness of when and where Alexandrium blooms occur in the region, and how those data can be used as an “early warning” for PSP levels in shellfish.				
Milestone Activities	**Outputs**	**Project Staff**	**Start Date**	**End Date**
1. Coastal communities will host a technical HAB workshop for partner Tribal environmental staff in Anchorage with support from O&E, NOAA’s Phytoplankton Monitoring Network.	Partner Tribes will be trained in collecting, analyzing, and reporting on abundance of Alexandrium cells	Project Director, Partner Tribe Steering Committee	Feb. 2022	Feb. 2022
2. Collect and analyze weekly phytoplankton samples, salinity, sea surface temperature, air temperature, and environmental observations at designated shellfish harvest sites in each coastal partner community.	Tribes will input all data to Sound Toxins database where community members, researchers, and state managers can use the phytoplankton abundance data to assess potential risk of PSP event	Project Director, Data Coordinator	March 2022	Sept. 2023
3. Develop summary of all phytoplankton observations made throughout the project year, including non-HAB species.	Summary will be used to inform Tribal Councils, researchers, and partners of phytoplankton abundance and distribution within the Coastal partner communities and determine sites for focused shellfish sampling in Year 2	Project Director, Partner Tribe Steering Committee, Data Coordinator	Aug. 2022	Sept. 2023

Appendix H: Native Language Esther Martinez Immersion (EMI) Examples

Sample EMI Project Outcome Tracker

Our Language Is Who We Are Outcome Tracker							
Long-term Community Goal: All Deer Creek Potawatomi Community members will be fluent in their Native language.							
Current Community Condition: Only 5% of Deer Creek Tribal members are fluent in our language and new learners have limited language learning resources.							
Project Goal: Develop Potawatomi language resources specific to Deer Creek and a cadre of language speakers who are interested in becoming language instructors and leaders for the Deer Creek Potawatomi Community.							
Objective: By the end of the 36th project month (timeline), 14 project participants between the ages of 18 to 60 years of age (population) will have attended 1800 hours of immersion language instruction with a minimum of 7 participants (50%) (target) increasing their language skills to a medium/ high level proficiency (indicator).							
Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**Project Year 2**	**End of Project**	**3-Yr Post Project**
Seven (50%) of the Deer Creek members who participate in the project will have reached medium to high levels of Potawatomi proficiency and become certificated advanced 2nd language speakers of the Deer Creek Potawatomi	Increased language skills to a medium/ high level of proficiency.	Individual language assessments of project participants will be completed twice a year.	Zero to minimal language skills	Low Medium Level	Medium Level	High Medium to High Level	High Level
Outputs: 14 Deer Creek member project participants will receive a minimum of 600 hours of immersion language instruction per year from a first speaker. 14 Deer Creek member project participants will complete yearly bi-annual language assessments and receive modified immersion classes to address language deficiencies and strengthen their language skills.							

Sample EMI Language Project Objective Work Plan (OWP)

Project Title: Our Language Is Who We Are			**Project Year:** 1	
Project Goal: Develop Potawatomi language resources specific to Deer Creek and a cadre of language speakers who are interested in becoming language instructors and leaders for the Deer Creek Potawatomi Community.				
Objective #1: By the end of the 36th project month (timeline), 14 project participants between the ages of 18 to 60 years of age (population) will have attended 1800 hours of immersion language instruction with a minimum of 7 participants (50%) (target) increasing their language skills to a medium/high level proficiency (indicator).				
Outcome: Seven (50%) of the Deer Creek members who participate in the Project will have reached medium to high levels of Potawatomi proficiency and become certificated advanced 2nd language speakers of the Deer Creek Potawatomi community.				
Milestone Activities	**Outputs**	**Project Staff**	**Start Date**	**End Date**
1. Advertise for and hire project director	Project director hired and provided with organizational/ project orientation	Deer Creek Band of Potawatomi Tribal Council	9/30/2022	11/15/2022
2. Create project steering committee comprised of: First Speaker Instructors, Deer Creek Community Members and Partners to oversee implementation and maintain community involvement	15-member steering committee that represents community and partners	Project Director	11/15/2022	12/30/2022
3.Identify and recruit First Speaker Instructors	3 First Language Instructors recruited	Project Director Com. Members	10/01/2022	2/01/2023
4. Develop Potawatomi Language resources for oral and written communications such as a dictionary, recorded audio tapes and videos	3 language resources developed and created: 1. Dictionary 2. Audio tapes 3. Videos	Project Director and Steering Committee	2/15/2023	6/15/2023
5. Meet with speakers to develop language assessment tools	Language assessment tools and plan developed	Project Director and Language instructors	2/16/2023	3/30/2023
6. Identify and recruit 14 Deer Creek members to be project participants	14 members of the community recruited	Project Director Assistance from Steering Com.	3/1/2023	5/1/2023
7. Meet with Prairie Band of Potawatomi and Hannahville Potawatomi language programs to review language structure, protocols, and materials developed by them	Review of language protocols and materials for instructional and resource development reference.	Project Director Language Instructors	2/15/2023	3/30/2023

8. Complete primary language assessment of 14 project participants	Primary assessment of participants completed and on file for baseline comparisons.	Language Instructors	4/1/2023	4/30/2023
9. Attend 600 hours of immersion language instruction	Increase in language skills	Language instructors, 14 participants	4/1/2023	6/15/2023
10. Conduct final language assessment and evaluate the 14 project participants	Final scores documented for certification	Project Director and Language Instructors	6/15/2023	7/05/2023
11. Plan for a recognition ceremony for project participants who complete the immersion language	14 certificated Potawatomi 2nd Language Speakers	Project Director and 1st Language Instructors	10/30/2022	7/30/2023
12. Establish federal system account access and official grant file.	Payment Management System access and drawdown ability established, ANA grant file created.	Project Director, Accountant	10/30/2022	11/15/2022
13. Attend Post Award Training	Skills, knowledge, and reference materials obtained for proper oversight	Project Director, Accountant	11/15/2022	11/30/2022
14. Complete all required ANA reports (OPR, SF-425)	All financial and programmatic reports completed on time and on file	Project Director, Accountant	9/30/2022	6/30/2023
15. Attend Grantee Meeting	Knowledge of Best Practices, Networking.	Project Director and one staff member	2/1/2023	2/28/2023
16. Data collection and evaluation	Data to track project progress and for ANA Annual Data Report (required administrative activity)	Project Director and Language Instructors	9/30/2022	9/29/2023

Appendix I: SEDS AK Examples

Sample SEDS AK Project Outcome Tracker

(Project Name) Outcome Tracker							
Long-term Community Goal: Have an effective and efficient tribal government that can apply for and utilize the resources available to federally recognized tribes to meet community needs.							
Current Community Condition: Currently, the Tribe does not have the capacity required to apply for funding and managing programs available to federally recognized tribes to meet the needs the community has regarding public health and housing; this is due to limitations of its current Internet Technology Network that is outdated and is not linked together.							
Project Goal: Increase the capacity of the Tribal government through purchasing new computer hardware and software so that the tribal employees, and Tribal leadership are linked together with the same operating systems (Windows 10) and all employees and leadership are functioning under the newly developed IT policies and procedures.							
Objective: At the end of 36 months (timeline), 35 tribal staff members (population), will increase their computer knowledge, skills, and efficiency (indicator) by 50% (target) and will benefit from the new internet network and policies adopted by the Tribal Council.							
Outcome	**Indicator**	**Means of Measurement**	**Baseline**	**Project Year 1**	**Project Year 2**	**End of Project**	**3-Yr Post Project**
New computer operating system and policies will promote improved linkages	Increase in knowledge skills,	Pre- and post-testing of tribal employees of new operating system & policies	0 Employees have knowledge of new operating system	13 Employees have en-hanced knowledge	25 Employ-ees have enhanced knowledge	35 Employ-ees have enhanced knowledge	35 Employ-ees have enhanced knowledge
Outputs: 40 new computers and operational systems, 35 employees trained, 4 tribal council members trained, new internet use policies created, a new server, digital telephones for tribal organization.							

ANA Help Desk

http://www.acf.hhs.gov/ana

Toll free: 1.877.922.9262

Alaska Region

http://www.anaalaska.org

Toll free: 1.800.948.3158

Eastern Region

http://www.anaeastern.org

Toll free: 1.888.221.9686

Pacific Region

http://www.anapacific.org

Toll free: 1.844.944.9544

Western Region

http://www.anawestern.org

Toll free: 1.855.890.5299