

# MANUAL

2020

# Project Planning and Development

Developed by the ANA Regional T/TA Centers

Western Region • Eastern Region • Pacific Region • Alaska Region



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**The pictures featured on the front cover are from successful ANA projects from the Alaska, Eastern, Pacific, and Western regions (clockwise from top-left).**

# Introduction to the Project Planning and Development Manual

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

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

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

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

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

ANA also offers Pre-Application Training: Application Development Training. The training focuses on helping you with application development. We recommend taking this Project

Planning and Development Training prior to attending the Pre-Application: Application Development Training, as it will help you work in your community to build a solid project. The Pre-Application training will then build skills to prepare the application to fund your project. Table 1 shows the differences between our Project Planning and Development Training and Pre-Application: Application Development Training.

**Table 1: Training Content**

<b>Project Planning &amp; Development Learning Objectives</b>	<b>Pre-Application Learning Objectives</b>
<p>Understanding community-based planning processes and tools</p>	<p>Understanding the Funding Opportunity Announcement and eligibility requirements</p>
<p>Defining long-term community goals, documenting current community conditions that either inhibit reaching or encourage the accomplishment of these goals, and identifying assets that can be used to address those current community conditions</p>	<p>Writing an application in response to an ANA FOA</p>
<p>Building a project work plan with outcome-based objectives</p>	<p>Completing Federal forms and packaging the application</p>
<p>Developing sustainability plans and budget</p>	<p>Developing sustainability plans and a budget</p>
<p>Developing a project evaluation plan</p>	<p>Understanding the process of reviewing applications for funding</p>

The development process covered in this training can be used to prepare projects for submission to a variety of public or private funders, including ANA. We hope you will use the information from this training to engage in community-based planning that will create a well-designed project. You will then be able to fit your project concept into an ANA or other funder-specific application format, knowing that your chances for success are enhanced because the project was well crafted.

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

Thank you for attending this training or downloading this manual. We think you will find information in it that will help you plan and develop a successful and sustainable community project. If, during the training or in reading this manual, you come across anything you think we should revise, please let us know.

**Yawłkó. Miigwech. Gunalchéesh. Fa’afetai. Nia:wen.**



## About the Administration for Native Americans (ANA)

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

Early in the 1970s, the OEO was terminated, but some of its War on Poverty initiatives became the basis for ANA. Established in 1974 through the Native American Programs Act (NAPA), this new agency embraced the goal of Native American self-determination which was first endorsed by President Johnson in 1968 and later by President Richard Nixon.

Today, ANA is housed in the U. S. Department of Health and Human Services, Administration for Children and Families, and serves all Native Americans, including federally and state recognized tribes, American Indian and Alaska Native organizations, Native Hawaiian, American Samoan, Chamorro and Commonwealth of Northern Mariana Islands organizations. ANA’s mission is to promote Native

American self-sufficiency with a philosophy based on the following core beliefs:

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

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

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

**Native Language** grants provide opportunities to assess, plan, develop, and implement

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

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

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

New to ANA's funding opportunities is the **Social and Economic Development Strategies for Growing Organizations (SEDS-GO)**. SEDS-GO was created to give opportunities to support underfunded and understaffed Tribes and Native organizations. It is intended to strengthen internal governance structures and capacity so that Tribes and Native organizations, who provide community services, run more efficiently, effectively, and build a firm foundation to better serve Native American communities.

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





**DISCLOSURE:** This manual is based on the Administration for Native Americans (ANA) Funding Opportunity Announcements and their review criteria. The project development information contained within can be used to design a project that could be submitted to any funder. However, keep in mind that because ANA is the entity supporting the creation of this manual and the trainings associated with it, the examples provided are focused on ANA criteria. Some of the terminology used in the manual may be specific to ANA applications for funding. Current definitions of the terms used can be found in **Appendix A**.

Additionally, ANA has published a Project Planning and Development Toolkit as an accompaniment to this manual. Within the Toolkit you will find resources and activities to supplement your understanding of the concepts covered here. Throughout the manual, we note the relevant Toolkit chapters that will allow you to apply these concepts and engage your community.

The toolkit can be obtained through one of the ANA Regional Training and Technical Assistance Centers.

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# Chapter 1

## The Importance of Community Development

## The Importance of Community Development

Community development is broadly defined as a process which allows community members to come together to create solutions to common problems/conditions. Community development is often used when discussing community economic development: the process of bringing more business and investment into a community. But community development can also refer to any project or program that works to improve your community, from indigenous food production to teaching Native language classes or mapping out the community's cultural resources. Remember the term "community" can also mean a specific demographic within the community as well as communities of interest and organizations. ANA funds projects that improve community using this broad definition of community development.

ANA believes that involving community members in community development leads to lasting and positive change and is a key factor in designing and implementing a successful project. ANA's mission and history supports community development as the path towards Native American communities achieving self-sufficiency, cultural preservation, and self-determination. Community participants should work with a steering committee to define "community" and what it means for the Tribe/Organization. Defining your target community that this project will impact is a key component to successful project planning. Many indigenous people do not have tribal recognition and will need to be defined in other ways. Some very important and helpful things to consider when defining who the target community of your project might be: tribal affiliation, geographic area, age range, gender, common interests, skills, etc.

This training focuses on building your knowledge and skills to engage the community in community development and project planning processes. Project planning involves a series of steps that determine how to achieve a community/organizational goal or set of

related goals. The planning and development process should occur well before you write your application or submit it for funding. In fact, the planning process should be concluded well before it's time to write the proposal.

The graphic below is a visual example of an estimated timeline and application preparation.

**Figure 1: Planning and Application Timeline**

















**\*Dates are Estimates**

Community-based planning is used to:

- Identify specific current, measurable community conditions that stand in the way of achieving long-term community goals.
- Understand the capacity of the community, your organization, and any potential partners to implement a proposed project.
- Create measurable, positive outcomes in the community that address current community conditions and work towards a long-term goal.
- Determine the level of resources or funding necessary to implement the project.

**Figure 2: Benefits to Project Planning**

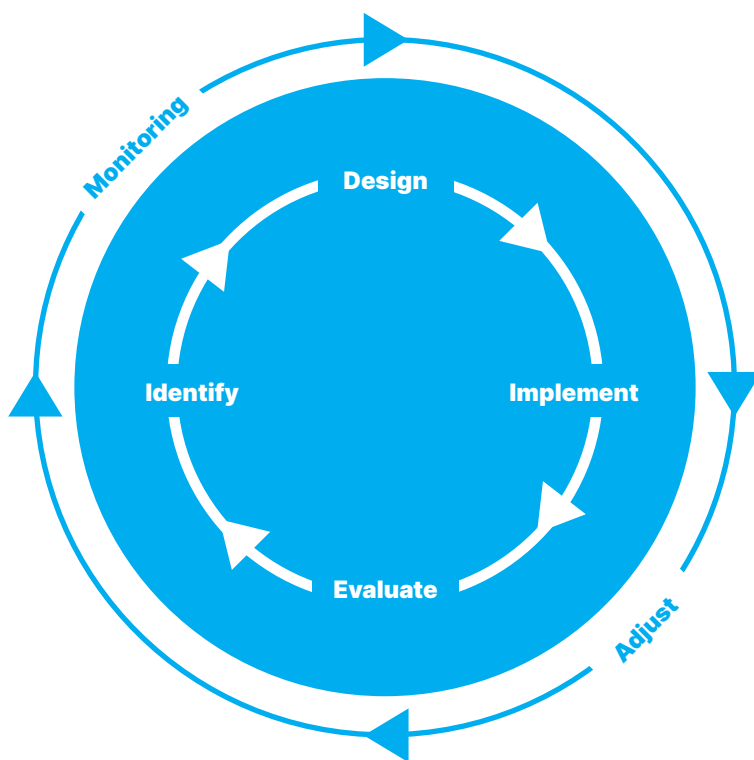
<b>Project planning helps us to:</b>	<b>Project planning helps us to eliminate:</b>
 Work with our community to prepare for the future	 Poor project design
 Clarify goals and long-term priorities	 Overambitious projects
 Identify issues that will need to be addressed to achieve those goals	 Unsustainable projects
 Choose between options for project design	 Poorly defined assessments of community conditions and community goals
 Assess a project's feasibility and whether it will lead to measurable, positive change	 Unstructured project work plans
 Evaluate project effectiveness and make the best use of resources	 Project scopes that are not financially achievable
 Create a sustainable set of project results and benefits	 Projects with little or no support from or benefit to the community



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

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

**Figure 3: The Project Cycle**



The **identify** stage includes a community assessment process to determine conditions identified by the community that the community wants to improve upon and to identify community assets that could be used to create that improvement.

The **design** phase includes the actual planning and design of a project that will address current community conditions and move the community closer to achieving a long-term goal.

The **implement** stage refers to the implementation of the project, whether it is a single-year or multi-year implementation period.

The **evaluation** of the project's outcomes (short-term and long-term changes) occurs during and after a project to determine whether the project's goal and objectives were achieved. The evaluation process then leads to the identification of any additional community concerns, and the cycle begins again.

Project **monitoring** occurs throughout all stages of project operation. Monitoring results in formative project evaluation that keeps the project's implementation of key activities, accomplishment of outcomes and expenditures on track.

## Initiating the Planning Process

One of the most challenging aspects of project planning is ensuring community involvement because it requires the knowledge and skills necessary to set up, conduct, and facilitate effective planning sessions. Engaging the community is critical to the successful planning of your project. Properly facilitated meetings provide a great way to gather traditional, cultural, and local perspectives on issues of concern and strategies for addressing those issues. They also provide a means to receive input on community concerns as well as potential project goals, objectives, and key activities in order to determine ways to best prioritize and structure them. Potential challenges and contingencies can also be addressed and included as part of project planning.

Project planning often begins with the formation of a local project planning or steering committee. Whenever possible, tribes and organizations should use a team approach, which involves staff, community members, and community or organizational leadership, to coordinate planning of new projects. The committee members play an important role in keeping the project planning process on track while also ensuring that everyone can participate. The committee can organize meetings (such as community gatherings which should be held regularly throughout the planning process), conduct surveys, gather and analyze information, and meet with other agencies and organizations. This team can be a useful tool in developing the project plan.

Sometimes the community engaged in project planning is a subset of the overall community. The community subset might be the community elders, local school student population, or any of the definable sub-populations found in your community. Also, a community can describe the population in an organization, for example the employees of a specific tribe or Native non-profit. Community-based planning is a process for engaging both communities and community subsets in effective project development. Consider creating a chart or diagram to help illustrate the community-at-large versus the various subsets within it.

## Using the Community Process

An inclusive planning process will promote community buy-in and help build unity around the project. To assist you in this process, **Appendix B** includes different community involvement strategies to use in the project planning process. **Appendix D** includes some sample forms and ideas for meetings.

To maximize results of the community planning process:

- **Keep records.** It is important to document your community involvement process, as these documents provide a record of concerns, positions, and decisions that can be included in your application to verify the inclusiveness of your community-based planning process. See **Appendix D** for sample forms. Have a healthy discussion on choosing the community development strategy that will work best for your community.
- **Use what already exists.** A strategy for increasing the level of community participation in your planning activities is to think of groups that already exist and meet in the community, such as cultural, school and parent, artisan, elder, and youth groups. Many communities also have organized public meetings that are part of their governance activities. Attend these pre-established meetings and informally collect information from them or ask to be part of meeting agendas. Gathering information through that approach can build community involvement in project design.
- **Choose wisely.** Meeting with people who are knowledgeable about the community, such as elders and community leaders, is an effective way to collect valuable information. These people are functional leaders and can also help in connecting with and encouraging the involvement of others.

More detailed information on how to hold community meetings and engage community members to attend can be found in the Toolkit, along with the “All On The Wall” activity.

## Project Development Steps

Project development begins with the community determining its long-term goals by understanding what it wants to accomplish in a variety of dimensions (i.e. health care, household incomes, or educational opportunities). Then they will define the current community conditions and the barriers that are standing in the way of accomplishing a priority long-term goal. Next, work with the community to identify resources and assets that are available to address the condition the community sees as the primary barrier to long-term goal realization. Once these barriers are identified, you can work through the project design process, using existing resources as a foundation, to develop a viable project approach to address the barrier.

**Chart 2: Project Development Steps**









# Chapter 2

## Community Goals

## Identify Long-Term Community Goals

Long-term community goals are a vision of an ideal community and the foundation for all projects. They are established by community members and describe conditions in specific focus areas or dimensions. This vision grows and changes over time as goals are achieved and new priorities are identified, as well as when community members participating in the process change. Long-term goals of residential or geographic communities often are found in Community Comprehensive Plans. They also are components of Community Strategic Plans.

Subsets of a larger community (youth, elders, single parents for example) may have long-term goals that they have created for their subset community. Communities that are the staff of an organization can create long-term goals for the organization and strategies for pursuing achievement of those goals. The community that is involved in creating and pursuing a set of long-term goals needs to be as well defined as the goals themselves.

## **Comprehensive Planning**

Comprehensive planning involves completing a community-wide assessment to engage members in identifying and prioritizing their long-term goals and the benchmarks that they want to use to measure progress toward achievement of those goals. Comprehensive plans usually require at least a year to complete and are long-term, covering a five- to ten-year timespan.

## **Strategic Planning**

This process is used when a community or organization already has a comprehensive plan or an established set of long-term goals, and they are ready to move forward to achieve one or two of those long-term goals. The strategic plan, created by this process, provides details that are used to develop projects that will address current community conditions and move toward a high-priority long-term goal. A strategic plan generally takes several months to draft and is structured to be accomplished in a one- to two-year timespan.

### ***What if your tribe or organization does not have a comprehensive and strategic plan?***

Comprehensive and strategic planning are time-consuming and expensive processes. They are built on a community-wide assessment to establish long-term goals and benchmarks for measuring progress toward their achievement. If your tribe or organization does not have a comprehensive or strategic plan, there are alternative ways of engaging the community in long-term goal setting and project planning to achieve those goals. Some methods, such as community meetings, surveys and focus groups, which will document community involvement and capture community conditions and aspirations, are identified in **Appendix B**.

## **Documentation (Community Member Level and Community Level Planning)**

Be sure to document how the community was involved in the long-term goal development process, as well as in developing a project

that will help achieve a long-term goal. Examples of documentation can include the following:

A summary of a community comprehensive or strategic plan and documentation on the community involvement in its creation and/or assessment.

Minutes and sign-in sheets from Tribal Council, Board meetings, or public hearings.

Community meeting minutes and sign-in sheets.

Minutes from past general council meetings or community meetings that document the community's perception of long-term goals and barriers to those goals can be used to show that your project has a history of community interest and concern. This historical documentation of long-term goals and community areas of concern should be supplemented by community assessments on current community conditions and concerns. Methods for such assessments of current conditions could include focus groups, community meetings, and survey research.

When you choose a process that involves the community in planning and a method for documenting the planning, you are ready to begin project development. Below is an example of a long-term community member level goal. We will begin this process by identifying a long-term community goal that can be used as the basis for defining the kind of project you would like to develop.



**LONG-TERM COMMUNITY GOAL:**

**All employable community members ages 25-50 will be able to access living wage permanent jobs.**

## ACTIVITY 1

# Community Long-Term Goals

The community's long-term goals are the foundation for all projects. The following exercise will help you define long-term goals that provide a framework for project development.

**Describe the community's long-term goal(s):**

**Where can your community long-term goals be found? (E.g. Comprehensive plan, strategic plan, mission statement, etc.)**







# Chapter 3

## Current Community Condition

## Identify a Current Community Condition

The foundation of a well-designed project is based on the effective identification and analysis of current, measurable community conditions and the barriers preventing the community from achieving high priority long-term goals. The foundation of a well-designed project is based on the effective identification and analysis of current, measurable community conditions and the barriers preventing the community from achieving the identified long-term goals. Using a community-based assessment process is the starting point for identifying the specific community conditions and barriers to be addressed by a project. The community identifies those conditions and barriers through the community planning processes described earlier: community meetings, surveys, focus groups and other engagement activities.

After completing a community assessment, think about the concerns the community has defined, potential sources of information that could corroborate the community's priority concern(s), and the means of gathering that information. Table X is an example of how to identify information that would support a community's identified concern. The table identifies the condition that the community wants to address (i.e. barriers to single adult parents obtaining employment), the sources of information (i.e. tribal and community job center) and how information will be collected (i.e. phone calls and emails).

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

Condition to Determine/ Define	Source of Information	Means of Gathering Information	Comments
Identify barriers that prevent single adult parents from obtaining employment	Contact tribal or community job center	Phone calls and emails to obtain unemployment data and staff analysis of current barriers	Interview community leaders to determine their perspectives. Get data on barriers from other Native/ non-Native communities.

When developing the presentation of the data and information that supports the community assessment of the current condition, focus on:

- documenting the scope of the condition defined through the community assessment.
- defining the population that the condition impacts.
- providing an analysis of causal factors contributing to the condition and its barriers.

Your analysis of the community assessment information will refine and further define the current condition that the community wants to address in order to achieve community-defined, long-term goals.

Below is an example of a current community condition on employment:



**CURRENT COMMUNITY CONDITION: The unemployment rate of the 83 adult single parents in our community is 75% and has been at or above that rate for over two years because their job skills and experience do not match current job requirements.**

In presenting and discussing the community condition, which reflects the community's concern, there are some things to keep in mind:

- The specific condition to be addressed must have a clearly documented relationship to your tribe, community, or organization's mission, purpose, and long-term goals.
- Always document how the community defined that condition, and include supporting information, such as data or studies to support the community's assessment.
- The specific condition you identify should be within your tribe's or organization's capacity to address using available and obtainable resources.
- Provide information on the condition's change over time up to and including the present, if applicable.
- Always provide a baseline population number if you reference percentages in the community condition statement.



**NOTE: The statement of current community conditions that the project will address should include a specific and current description of the nature, scope, and severity of the barriers that are the project's focus.**

**ACTIVITY 2**

**Community Conditions List**

**Write the Long Term Community Goal that was identified in the previous activity here:**

**List the barriers, gaps or challenges that stand in the way of reaching the long-term community goal.**

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

### ACTIVITY 3

## Community Conditions Questionnaire

This exercise will help you clearly define the Current Community Condition(s)/barriers your project will be addressing. Answer the questions below about your community.

**Describe the community that participated in identifying the condition(s) that stand in the way of long-term goal achievement.**

**What community members are impacted by the condition(s) (if different from the community defined above)?**

**Using the answers above, write out your current community condition.**



**What evidence do you have to show this condition is a barrier to achieving a long-term community goal?**

**What created this condition?**

**What responsibility does your tribe or organization have for addressing the condition?**

**Based on the responses to these questions, state the Current Community Condition:**





# Chapter 4

## Determine the Project Goal

## Determine the Project Goal

The project goal describes the purpose of the project and will be made clear through your conversations with the community. These conversations will generate many solutions to the identified condition that are of the most interest to the community. They will also shed light on the solutions that are most pressing, perhaps even changing the direction of your project. Rather than being fixated on one “good idea” you might have, spend time prioritizing the community’s suggested solutions and determine which are the highest priority, most feasible, and of the most interest. In doing so, you can ensure community ownership and stewardship over the resulting project plan.

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

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

Here is an example of a project goal, based on a long-term community goal and a community condition statement:



**LONG-TERM COMMUNITY GOAL - All employable community members, ages 25-50, will be able to access living wage permanent jobs.**

**COMMUNITY CONDITION - The unemployment rate of the 83 adult single parents in our community is 75% and has been at or above that rate for over two years because their job skills and experience do not match current job requirements.**

**PROJECT GOAL - Decrease the unemployment rate of single parents in our community.**

**ACTIVITY 4**

**Determine the Project Goal**

Fill out the information requested below:

**Describe the community's project idea.**

--

**Describe your intended target community.**

--

**Write a project goal statement that will address the condition and bring the community closer to reaching the project goal.**

--





# Chapter 5

## Establish Project Objectives

## Establish Project Objectives

### Objectives

Objectives are **measurable achievements** that show progress toward reaching the goal. While the project will have just one goal, there can be several objectives working towards achieving that goal. Imagine objectives as stepping stones leading towards the project goal. Essentially, they break up your project into more manageable pieces that allow you to organize staff and activities accordingly as well as to make small and incremental victories along the way.

With your steering committee, identify these objectives. One way to do that is to work backwards. If you know where your finish line is (the project goal), then describe the major events helping you to get there. Once you know what those major events will be, you can use the following techniques to describe them in detail.

Note: Many funders determine the number of objectives they want to see in your proposal; others leave this up to the applicant. ANA allows for no more than three objectives per project.

A well-developed objective can be written in several formats; the most familiar is SMART (Specific, Measurable, Achievable, Relevant/Realistic and Time-bound) and a newer format for ANA is TTIP (Timeline, Target, Indicator and Population). We will introduce both formats in this chapter..

The more concise, and specific your objectives are, the easier it will be for a funder to understand your project approach and the project team to implement the project. When writing your objectives keep in mind the project goal and current condition. The objectives, once accomplished, should achieve the project goal and the goal should be working to change (reduce, eliminate, improve) the current condition. Objectives are quantifiable, tangible achievements occurring because of your project. Objectives, if achieved, will lead to your project goal. For this reason, these objectives also help your community to improve the current community condition or expand on its current community capacities.



## **SMART objectives have the following characteristics:**

**Specific** — an objective must describe a specific outcome; and the outcomes described in the objectives should achieve your project goal

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

**Achievable** — the objective must be realistic and attainable, something you can expect to achieve given your available resources, time frame allotted to complete the project, and project strategy

**Relevant** — your objective should address your project goal and one or more long-term goals of your tribe/organization. The objective should also be results-oriented, meaning that it focuses on the outcomes of the project

**Time-bound** — the objective statement should include a specific time period for its accomplishment

## **Steps to a SMART Objective**

The process outlined below illustrates the steps that must be taken to write a SMART objective. Because each project objective must relate to the project goal and work toward changing the current condition, be sure to have the project's Current Community Condition and the Goal in front of you when developing your objective(s).



- **LONG-TERM COMMUNITY GOAL - All employable community members, ages 25-50, will be able to access living wage permanent jobs.**
- **COMMUNITY CONDITION - The unemployment rate of the 83 adult single parents in our community is 75% and has been at or above that rate for over two years because their job skills and experience do not match current job requirements.**
- **PROJECT GOAL - Decrease the unemployment rate of single parents in our community**

### **Initial Objective 1:**

We will expand our center to include a job skills training.

#### **Step 1 – Making Objective 1 Specific**

Objectives should be **Specific** in describing the results.

- Describe the action – use action words and avoid jargon.
- What are we going to do, with or for whom?
- Why is this important to do?
- What needs to happen?
- Will this step take us to the desired results?

#### **Step 1 Revision:**

Expand our Job Center with a job skills training program ***for single parents at or below the poverty level in our community.***

#### **Step 2 – Making Objective 1 Measureable**

Document how you will **Measure** the objective's achievement or progress.

- How will you know if you've achieved it?
- Including a variety of measures will make your measure more reliable

#### **Step 2 Revision:**

Expand our Job Center to assist ***30% of the single parents (25)*** at or below the poverty level in our community with job skills training.

### Step 3 – Making Objective 1 Achievable and Relevant

Ensure this can be **Achieved** with the time and resources available.

- What is available for this—staff, time, skills and money?
- Has this been done before?
- Have limitations been assessed?

Ensure the objective is **Relevant** to your project.

- Will the objective help you achieve the project goal?
- Is this what the project and community needs?

It may be something you to work on, but not what the project needs to achieve the project goal.

#### Step 3 Revision:

Expand our Job Center to assist 30% of the single parents (25) at or below the poverty level in our community with job skills training **using the DOL program materials with cultural modifications and placing 18 participants.placing 18 participants.**

### Step 4 – Making Objective 1 Time-bound

**Make sure it's Time-bound with a deadline**

**Know the timeframe this objective needs to be accomplished in.**

**Provide an overall timeframe to create deadlines for each activity.**

**When will this be accomplished?**



#### Step 4 Revision:

Expand our Job Center to assist 30% of the single parents (25) at or below the poverty level in our community with job skills training using the DOL program materials with cultural modifications and placing 18 participants **by the end of 36 months.**

## ACTIVITY 5

# Draft The Objective Using SMART

Using the SMART format, draft one project objective.

Does your objective have:	Answer: Yes or No
<b>Specific</b> results described?	
<b>Measurable</b> changes in the community condition?	
<b>Achievability</b> with the time and resources available?	
<b>Relevancy</b> to the project?	
<b>Timeframe</b> with a deadline?	

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

## TTIP Objectives

### TTIP Objectives have the following characteristics:

**Timeline** – a timeframe by which the objective will be accomplished

**Target** – a measurement for the intended amount of change

**Indicator** – a measurable sign something has been changed – improved, decreased, increased, lessened

**Population** – a specific group the project will focus on

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

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

- **What will be changed?** – this is the Indicator
- **By how much?** – this is the Target
- **For/By whom?** – this is the Population
- **By When?** – this is the Timeline

Below is a simple format to give you a starting point to use when developing project objectives which will align with the TTIP format (comprised of the following elements: Time, Target, Indicator, Population). Once you've entered the required elements, you can wordsmith further if needed but be sure not to drop any, or add more, of the TTIP components.

By \_\_\_\_\_ (When = Timeline) \_\_\_\_\_ (Who = Population)  
will

increase/decrease \_\_\_\_\_ (What = Indicator) by/to \_\_\_\_\_  
(How Much = Target).

Using our example one way to write the objective to comply with the TTIP format is as follows:



**By the end of 24 months (timeline), 25 single parents living at or below the poverty level in our community (population) will increase their job skills needed for employment (indicator) by an average of 75% (target).**

## ACTIVITY 6

# Identifying Well-Written Objectives

For each of the well-written objectives below, use the table to identify the TTIP formatting:

<b>1. By the end of 36 months, there will be a 50% increase in fitness levels achieved by 200 of our high school students ages 13-18.</b>	
<b>What was the Timeline?</b>	
<b>What was the Target?</b>	
<b>What was the Indicator?</b>	
<b>What was the Population?</b>	

<b>2. Of the 972 households in our community, 400 will participate in a community-based recycling program with 45% demonstrating ongoing, responsible, waste disposal by the end of year two.</b>	
<b>What was the Timeline?</b>	
<b>What was the Target?</b>	
<b>What was the Indicator?</b>	
<b>What was the Population?</b>	

**Now, find the best objective(s) below. (Check all that apply)**

Two teachers will receive teacher certification.

By the end of the project, 60 data input operators will increase their marketable skills, with a minimum of 30 being hired at local data centers in our region.

The Ojibwe language department will develop K–3 language curriculum materials as measured by the development of 20 new curriculum items in each category by the end of Year 2.

By the end of the project, 10 Tribal Ordinances will have been developed.

During the first project year, the Ojibwe Tribe will have trained and certified 6 elders on classroom procedure requirements, with a minimum of four being placed in Tribal classrooms.

A training workshop will be held for 50 people.







# Chapter 6

## Identify Project Outcomes & Outputs

## Identify Project Outcomes & Outputs

Outcomes are the positive change occurring within your community as a result of the project; such as overall changes in behaviors, knowledge, skillsets and attitudes. These are **observable effects** that are a result of successfully implemented project objectives. These positive changes should be reflective in addressing the Current Community Condition and bringing the community closer to reaching the Long-Term Community Goal.

A single project may result in several different outcomes; ANA requires that you identify one outcome for each project objective. Begin with your established goal and objectives. For each objective, ask yourself what is changing within the community as a benefit to having reached your objective and achieved your goal. From there, decide which of these will have the greatest **observable effect** and choose it as the primary outcome.

Below are some outcome examples based on a variety of project objectives which provide a general sense of the kinds of **observable effects** that might occur after the completion of the objective. In bold is a possible primary outcome for the objective.

**Table 4: Sample Outcomes**

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

## Identify Project Outputs

Outputs are the tangible products or services that result from activities completed to achieve project objectives. Outputs must be quantified to determine whether the results are feasible given the projected time frame.

Below are some Output examples on the same variety of project objectives which are used previously from examples of Outcomes.

**Table 5: Sample Outputs**

Activity Examples	Output Examples
Teach 15 small business start-up courses throughout the year	Number of people enrolled in small business development classes Number of small business class graduates Number of business plans developed Number of marketing plans developed
Conduct 45 community language workshops (lunch and evening) between February and November.	Number of community language workshops Number of participants Community language calendar created
Conduct 40 training sessions for certification: water sampling, tag smolt, replant riparian acres, map place names between April and October.	Number of water quality samples taken and tested Number of smolts tagged Number of riparian acres replanted Number of place names mapped

**ACTIVITY 7**  
**Identify your Outcomes**

<b>Write your Objective:</b>
<b>Now determine the outcomes associated with achieving this objective:</b>
<b>Now choose a primary outcome:</b>





# Chapter 7

## Develop a Project Evaluation Plan

## Develop a Project Evaluation Plan

A project evaluation measures the effectiveness and efficiency of a project and determines the achievement level of project objectives. Findings from an evaluation will also help a tribe or organization plan, as it can identify additional or unresolved community conditions remaining to be addressed. Every agency and funder may have a specific way of evaluating projects. Make sure to follow the specific requirements of the agency or funding source that you are applying for. The following evaluation plan is specific to ANA requirements.

The evaluation plan measures positive changes created by the project that:

- Reduce or eliminate a negative community condition, enhance a positive community condition, or increase a current community capacity.
- Move the community toward long-term goal accomplishment.
- Accomplish a project goal.

The discussion of the project evaluation should include the following elements:

- The information and data to be collected.
- The tools to collect and track information and data.
- The information and data evaluated to determine a change in the identified community condition.
- The person(s) responsible for collecting and/or receiving information and data.
- The way it will be used in future planning.

Evaluation methods are built directly into your project when you develop well-defined objectives and identify primary outcomes (SMART or TTIP). Building on project outcomes, ANA requires projects to have a Project Outcome Tracker as part of their design. The Project Outcome Tracker touches on the elements described above to provide you with a jumping off point for your evaluation plan. Below is an example of a Project Outcome Tracker, using the pieces that have been developed so far: the goal, objective, and outcomes.



**Table 6: Project Outcome Tracker**

Project Outcome Tracker							
<b>Project Goal:</b> Decrease the unemployment rate of single parents in our community							
<b>Objective:</b> By the end of 24 months, 25 single parents living at or below the poverty level in our community (population) will increase their job skills needed for employment (indicator) by an average of 75% (target).							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-Yr Post
Fifteen single parents placed into permanent, full-time, living wage jobs	Permanent, full-time, living wage jobs	Job placement records Employment records Self-assessment Skill/Knowledge testing (pre and post) Mock Interview success rates	19	25	34	50	75
<b>Outputs:</b> At least 20 of 30 participants completing the Sustainable Single Parent Project, at least 15 jobs will be filled by year 2, 120 1-hour training sessions over 24 months completed, 20 hours of on-the-job training will be completed by each participant, 2 1-hour mock interviews will be completed by each participant, a second cohort will complete training and be placed in year 3.							

To understand each section of the Project Outcome Tracker table above, let's review the elements we have described throughout this manual:

**Project Goal** – The project goal should describe the purpose of the project. It is included on your tracker to tie each section together and ensure that all elements relate back to the purpose of the project.

**Project Objective** – EachThe Project Outcome Tracker will address one, well-defined, project objective. Therefore, you will need one tracker for each objective. Including it here enables you to identify the major short-term outcome that you are working towards.

**Outcome** – This is the primary positive change as a result of your identified objective. It will define the benefit of the project as a result of achieving the objective. It should speak to addressing the current community condition or build on current community capacities.

**Indicator** – The indicator has already been established by your project objective. The indicator describes the target and demonstrates a measurable action to reach the goal.your primary outcome. Each indicator is measured by the target.

**Means of Measurement** – Here is where you will consider the data you will collect to prove that you have completed your objective, achieved your indicator, and reached your goal outcome. Consider all the ways in which you might support your target with evidence. Will it be through pre- and post-testing? Meeting minutes? Sign-in sheets? Attendance records? Or something else?

**Baseline** – The baseline should be established before implementing your project. This will allow you to understand the amount of change occurring in your community. Baselines must be accurate, verifiable, and rooted in community engagement and input.

**Project Year 1** – This is the benchmark you expect to see by the end of the first year of your project.

**Project Year 2** – This is the benchmark you expect to see by the end of the second year of your project.

**End of Project** – This is the benchmark you expect to see by the end of your project.

**3-year Post Project** – This is the benchmark you expect to see three years after your project ends. This should demonstrate an optimal amount of change that will occur based on your sustainability plan, and it should continue to address the current community condition or build on current community capacities. Consider the extent to which your sustainability plan is feasible and provide an accurate estimate for this target benchmark.

**Outputs** – These are measurable, tangible products that result from your efforts to complete your objective. Most activities within your approach will result in an output or product.

Each of these elements should be used to develop an evaluation plan. The evaluation will assess how effectively the project addressed the current community condition that was the project focus. The plan will also assess whether the project achieved its objectives and continued to benefit the community after the project ended.

Keep in mind, for ANA projects, you will be limited to 3 objectives per project and an Outcome Tracker will be required for each objective.

When developing a comprehensive evaluation plan, it is helpful to ask:

- What methods will be used to measure the outputs (products) and outcomes (short-term and long-term changes) that are accomplished through project implementation?
- What records will be maintained to track progress made in accomplishing those outputs and outcomes?
- When, or how often, will project evaluation occur?
- Who will be responsible for tracking and monitoring these records?
- What will you do with the data collected and how will you use it to improve the project?

**Table 7: Variety of Outcome Tracking Methods**

Here is a sample of the types of tracking methods you can use for a variety of outcomes. This is by no means a complete list and is only meant to give you suggestions for your evaluation process.

Indicator	Outcome	Sample Tracking Methods:
Community members become more self-sufficient	Increase in Employment and Household Income	<p>Number of participants seeking employment who obtain it [as compared with the total number of participants].</p> <p>Number of participants maintaining employment for a full twelve months.</p> <p>Number of households in which adult members obtain and maintain employment for at least ninety days.</p> <p>Number of households with an annual increase in the number of hours of employment.</p> <p>Number of households gaining health care coverage through employment.</p> <p>Number of households experiencing an increase in an annual income as a result of earnings.</p>
Improved delivery of Community Services	Community Development or Revitalization	<p>Number of accessible, living wage jobs created and/or retained.</p> <p>Increase in upkeep of homes, reduced overcrowding as a result of rehabilitation projects.</p> <p>Increase in access to community services and resources by community members.</p> <p>Increase in available housing stock through new construction.</p> <p>Increase in the availability and access to essential services, e.g. transportation, medical care, childcare.</p>
Native Organizations Increase Internal Capacity	Organizational Development	<p>Number of programs which have become more effective as a result of evaluation research and data (their own as well as others).</p> <p>Number of programs which have become more effective as a result of community-based planning.</p> <p>Number of families having their conditions improved as a result of an effective comprehensive service delivery system.</p> <p>Increase in community assets and wealth retention as a result of programs.</p> <p>Increase in number of funding sources and increase in the total value of resources available for services to community members.</p> <p>Amount of resources and partnerships created.</p>

## Monitoring and Reporting

Use your Project Outcome Tracker as a baseline for your estimated targets. Then fill in a blank tracker with accurate data that has been collected and reviewed on a regular basis to establish actual targets achieved. Do your actual targets align with your estimated targets? Why or why not? If your actual targets do not align with your estimated targets, then you can review your project plan to identify weaknesses and ways to improve. This is the evaluation portion of the evaluation plan.

In addition to evaluating the final project outputs and outcomes, you should regularly monitor and evaluate the project's progress in carrying out work plan activities, completing project objectives, and staying within the approved project budget. This "process evaluation" determines if the project is being conducted in a manner consistent with the proposed work plan and whether the project activities will lead to project success. Project monitoring often identifies adjustments in operation or corrective actions that are needed to ensure that planned outcomes are achieved. Adjustments are a normal part of project implementation as minor changes to the activities or timeframes occur. This part of the evaluation plan helps ensure effective implementation of activities and completion of objectives. It is also the basis of the regular progress reports that will be prepared for your organization and the project's funder.

## ACTIVITY 8 Project Outcome Tracker

Using the Project Goal, Objective, and Primary Outcome you identified earlier in this manual, fill in your Project Outcome Tracker:

Project Outcome Tracker							
Project Goal:							
Objective:							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-Yr Post
Outputs:							



# Chapter 8

## Develop an Objective Work Plan (OWP)

## Develop an Objective Work Plan (OWP)

ANA requires the use of the OWP and considers it a blueprint for the project approach which outlines how each objective and its outcome will be accomplished through the completion of Milestone Activities, the Outputs of those activities, the Start and End time frames to complete the activities as well as the Lead and Support Staff who will conduct the activities.

The information provided through use of this format can be used by staff and managers to monitor and evaluate the project's progress. This outline should be stand-alone and allow anyone involved with the project to know what actions need to be taken, who will be involved with the task, when it needs to start, and when it needs to finish. Additionally, the tasks should build upon one another toward accomplishing the objective. When developing the outline of activities, consider the main tasks that must be included to accomplish the objective and list them in a logical sequence.

**Milestone Activities** – These are the main activities needed to successfully achieve each objective. ANA has limited these to a maximum of 25 activities per objective, excluding administrative functions such as attending ANA mandatory meetings and reporting. Each activity should build on the previous one leading to the projected outcome once the objective is achieved. The milestone activities are building blocks that will lead to accomplishing the objectives.

**Outputs** - Outputs are the tangible products or services that are directly tied to the accomplishment of the milestone activities. Outputs are critical to pinpointing what the project will produce or complete in accomplishing the objectives. Outputs can be used to monitor progress toward an objective's completion.

**Start and End Dates** - The milestone activities are lined up sequentially according to the start date of the activity. The length of time that is needed to complete the activity dictates the end date. It is important to estimate the length of time an activity will take as accurately as possible, so realistic timeframes can be established. Accurately projecting the amount of time an activity will take is a foundational piece to the overall success of the project and accomplishing the stated outputs.



**Project Staff** - These are the individuals identified that have the knowledge, skills, experience, credentials, and enthusiasm to implement the project strategy. There are Lead and Support staff involved in milestone activities. It is important that everyone involved with the activity understands their role and knows when they need to participate.

The Lead is essential and is the person that will be conducting the activity. The Lead is not always the Project Manager. For example, the Lead may be the Instructor teaching a course or a Consultant facilitating a group.

The Support staff is the person(s) who will coordinate or participate in the milestone activities. One example of this would include a Project Manager who supports an activity by scheduling workshops or a Consultant who supports an activity by providing expertise or answers questions during the workshop.

**Sample OWP** - Using the example statements from previous sections of the manual, an example of an OWP has been filled in below.

Recall the community condition: The unemployment rate of the 75 adult single parents in our community is 75% and has been at or above that rate for over two years because their job skills and experience do not match current job requirements.



**NOTE: The example below has only included 4 milestone activities, your OWP will have more - up to a maximum of 25, not including the administrative activities of reporting and the required meetings by ANA.**

**Table 8: OWP Example**

Project Title: Sustainable Single Parent Project		Project Year: 1	
Project Goal: Decrease the unemployment rate of single parents in our community			
Objective: By the end of 24 months, 25 single parents living at or below the poverty level in our community (population) will increase their job skills needed for employment (indicator) by an average of 75% (target).			
Outcome: Increase in the local socio-economic status of the community.			
Milestone Activities	Outputs	Project Staff	Start Date / End Date
<p>1 Onboard and train staff on ANA workplan, team responsibilities and expectations and policies and procedures.</p> <p>Administrative: Establish federal system account access and official grant file.</p>	All project staff are prepared to implement project activities.	<p>Lead: Exec. Director</p> <p>Other: Board of Directors</p>	9/30/2021 / 10/31/2021
<p>2 Implement Outcome Tracking Strategy – design spreadsheets, databases, attendance sheets/ records, purchase external storage drives.</p> <p>Collect data at regularly scheduled intervals.</p> <p>Analyze data quarterly.</p>	Data collection protocols and tools.	<p>Lead: Project Manager</p> <p>Support: All Staff</p>	10/1/2021 / 9/30/2022
<p>3 Implement Session 1 recruitment campaign to enroll 60 single parents from the Women in Transition Center, First to Work Program and East-West Evening Classes for Adults Program (November 2020, April 2021)</p>	15 single parents enrolled to participate	<p>Lead: Project Manager</p> <p>Support: WIT, FTW &amp; EWAC Recruitment Managers</p>	11/1/2021 / 11/30/2021

4	Conduct Session 1 personal interviews and assessments for each participant. Collect baseline information (pre-test) and set up monitoring systems.	15 single parents have a portfolio that will be maintained and used to track progress.	Lead: Workforce Specialist Support: Project Coordinator	12/5/2020	12/30/2021
5	Implement Session 1 training Module One for all participants: "Soft Skills Training"	15 single parents complete 8 hours of training in resume building, mock interview and workplace etiquette.	Lead: Consultant Support: Project Coordinator	1/1/2022	3/30/2022
6	Implement Session 1 "Administrative Office Skills" program.	8 single parents complete 96 hours of training in MS Office, Understanding Policies and Procedures, and Task Management.	Lead: Consultant Support: Project Coordinator	1/1/2022	3/30/2022
7	Implement Session 1 "Warehouse Maintenance and Safety" program.	5 single parents complete 96 hours of training in Safety in the Workplace, Operating Heavy Equipment, and Processing Incoming and Outgoing Orders	Lead: Consultant Support: Project Coordinator	1/1/2022	3/30/2022
8	Implement Session 1 "Learning to Navigate Exams for Public Service Jobs" program.	2 single parents complete 96 hours of training in solving word problems, writing essays, and test taking approaches.	Lead: Consultant Support: Project Coordinator	1/1/2022	3/30/2022
9	Implement Session 2 recruitment campaign to enroll 60 single parents from the Women in Transition Center, First to Work Program, and East-West Evening Classes for Adults Program.	60 single parents enrolled to participate.	Lead: Project Manager Support: WIT, FTW, & EWAC Recruitment Managers	4/1/2022	4/30/2022

10	Conduct Session 2 Personal Interviews and Assessments for each participant. Collect baseline information (pre-test) and set up monitoring systems.	15 single parents have a portfolio that will be maintained and used to track progress.	Lead: Workforce Specialist Support: Project Coordinator	5/1/2022	5/28/2022
11	Implement Session 2 training Module One for all participants: "Soft Skills Training".	15 single parents complete 8 hours of training in resume building, mock interview, and workplace etiquette.	Lead: Consultant Support: Project Coordinator	6/1/2022	8/30/2022
12	Implement Session 2 "Administrative Office Skills" program.	8 single parents complete 96 hours of training in MS Office, Understanding Policies and Procedures, and Task Management.	Lead: Consultant Support: Project Coordinator	6/1/2022	8/30/2022
13	Implement Session 2 "Warehouse Maintenance and Safety" program.	5 single parents complete 96 hours of training in Safety in the Workplace, Operating Heavy Equipment, and Processing Incoming and Outgoing Orders.	Lead: Consultant Support: Project Coordinator	6/1/2022	8/30/2022
14	Implement Session 2 "Learning to Navigate Exams for Public Service Jobs" program.	2 single parents complete 96 hours of training in solving word problems, writing essays, and test taking approaches.	Lead: Consultant Support: Project Coordinator	6/1/2022	8/30/2022
15	Administrative: Attend ANA mandatory Post Award Training and Annual Grantee Meeting.	Staff Development.	Project Manager Project Coordinator	11/1/2021	3/30/2022
16	Administrative: ANA annual/bi-Annual reporting and PMS quarterly/bi-annual/annual financial reporting.	OPR, ADR, FCTR, FSR, etc. reports submitted.	Financial Manager Lead: Project Manager and Financial Manager	1/1/2022	9/29/2022

## ACTIVITY 9

### Draft your OWP

For this activity, fill out the blank OWP below. Insert the Project Title, Project Goal, Project Year, Objective and Outcome into the OWP form; these were created in the earlier section activities.

Develop the milestone activities to accompany your objectives. Next to each milestone activity include the outputs this activity will produce along with the Project Staff. Sequence each of the activities in the order in which they will be initiated by assigning the Start Date. Next determine the timeframe necessary to complete the activity and give it an End Date. Be sure to allow enough time for each activity. It is better to overestimate than underestimate time required!

<b>Project Title:</b>			<b>Project Year:</b>	
<b>Project Goal:</b>				
<b>Objective:</b>				
<b>Outcome:</b>				
Milestone Activities	Outputs	Project Staff	Start Date	End Date
<b>1</b>		Lead:		
		Support:		
<b>2</b>		Lead:		
		Support:		
<b>3</b>		Lead:		
		Support:		
<b>4</b>		Lead:		
		Support:		
<b>5</b>		Lead:		
		Support:		
<b>6</b>		Lead:		
		Support:		
<b>7</b>		Lead:		
		Support:		
<b>8</b>		Lead:		
		Support:		
<b>9</b>		Lead:		
		Support:		





# Chapter 9

## Identify Resources and Partnerships

## Identifying Resources and Partnerships

Resources are existing assets that are needed for the development and implementation of a project. Partners are entities that are invested in the success of your project and can bring resources to the table. Internal partners (from your organization) and external partners (from other organizations) are valuable resources in project planning and implementation.

Assessing the resources needed to successfully complete the project is an important step in the planning process. When assessing the available resources, remember to identify both resources found within the community and your organization, along with resources available from surrounding communities and partner organizations.

**Figure 4: Community Resource Examples**



The following questions can be used to explore what resources are available and needed for the project:

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



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

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

**When?** – This addresses the scheduling of available resources. Define any special timeframes necessary in allocating resources such as following a school schedule, seasonal subsistence or agricultural activities, tribal council meetings, and weather dependent activities.

**Why?** – This identifies the need for the resource to the project and can assist in developing the narrative explanation for its purpose.

**How?** – This asks two questions. The first is how you will obtain these resources. Decide if you need to build a partnership, draft a memorandum of understanding, or collect a letter of commitment. The second asks “How much?” is the identified resource’s value or cost to use it. Non-federal resources can be used as an in-kind donation as well as to meet the match or Non-Federal Share (NFS) of a funding opportunity.

Finally, asset mapping is another useful tool to explore the resources available within and external to your community. See Appendix E for instructions on how to develop your own asset map.

## Partnerships

Each year, ANA conducts impact evaluations on a large percentage of its projects, providing grantees an opportunity to share best practices and strategies that were critical for project success. Forming strong partnerships and collaborations is consistently identified as one of the seven best practice suggestions from grantees.

Committed partnerships can be critical components in project implementation and sustainability and are often the key to helping your project meet its Non-Federal Share (NFS) requirements that would be difficult or impossible to meet on your own.

To build partnerships that foster collaboration, avoid duplication of services, and provide the best utilization of resources, ask the following questions:

- **Who** is currently addressing the conditions or components of the conditions that are the focus of your potential project? How well are they doing? Could they be partners in your project?
- **What** collaborations can be developed with these partners? What expertise and resources do the partners possess that might benefit your project?
- **How** will the project benefit potential partners, as well as your community or organization?
- **What** resources can be leveraged on a long-term basis from these partners to sustain the project or project benefits?

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

**Table 9: Potential Partners & Available Resources**

<b>Resource</b>	<b>Benefit to Potential Project</b>	<b>Cost/Value (\$)</b>
<b>Human</b>		
<b>Internal:</b> Graphic Designer	Assists in material modification and formatting	\$15 HR
<b>External:</b> Labor Union Reps	Present opportunities to participants	\$30 HR
<b>Assists in material modification and formatting</b>		
<b>Internal:</b> Tribal Job Center	Resume writing and job placement for participants	\$45 HR
<b>External:</b> DOL Job Service	Partner assist with participant job placement	Free service
<b>Resume writing and job placement for participants</b>		
<b>Internal:</b> Copy and Binding Machines	Print, collate and bind 80 copies of participant training materials	\$5600
<b>External:</b> State DOL Training Room	Donated space for training	\$200 per day
<b>External:</b> State DOL Training Material	Donated for modification	\$1000 for 10 units of curriculum
<b>State DOL Training Room</b>		
<b>External:</b> 5 Partner Companies ABC, KRK, TLM, OPP, DGV	Provide 8 on-the-job training opportunities for participants	TBD upon finalizing MOA/ MOUs

**ACTIVITY 10**

**Determine your Internal/External Resources**

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

<b>Resource</b>	<b>Benefit to Potential Project</b>	<b>Cost/Value (\$)</b>
<b>Human</b>		
<b>Programs/Services</b>		
<b>Facility/Equipment/Goods</b>		
<b>Other</b>		

**ACTIVITY 10 (Cont.)**

**Determine your Internal/External Resources**

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

Resource	Benefit to Potential Project	Cost/Value (\$)
<b>Human</b>		
<b>Programs/Services</b>		
<b>Facility/Equipment/Goods</b>		
<b>Other</b>		

## Securing Commitments for Resources from Partnerships

Once resources have been assessed and partners identified for a potential project, formal commitments need to be obtained to ensure these resources can be made available to your project. This is particularly important if the identified partners will be helping you meet the NFS requirements on your project. Most funders will require, at a minimum, a written letter of commitment documenting the NFS. Securing these formal commitments is often a time-consuming process and, depending on the nature of the organization, can take weeks – if not months – if the process requires multiple levels of approvals from the organization.

Letters of commitment should be written on the partnering organization's letterhead and be signed by a person of authority to commit the resources on behalf of the organization. They should clearly and explicitly spell out the cash or in-kind value of the commitment, duration or time when the resource will be made available, and any other stipulations tied to providing the resource.

Sometimes, partners to a project will play a larger role in which case it may be more appropriate to secure a Memorandum of Agreement (MOA) or Memorandum of Understanding (MOU) that spell out additional roles and responsibilities of both parties in greater detail, along with the resources being provided through the partnership. What is the difference between MOAs and MOUs? There is no established legal difference, and the terms are interchangeable. However, MOAs that contain any, or all, of a contract's terms and conditions may make them more legally enforceable than a simple MOU expressing good will between the parties and general support for a particular project.

If you are using a MOA or MOU to document a specific contribution that is crucial to your project or for meeting your NFS, **then be sure that the document clearly describes that contribution and, if applicable, its cash or in-kind value.** Other provisions that are commonly found in MOAs and MOUs include: the purpose of the agreement; the names, addresses, and contact information for the parties to the agreement; roles and responsibilities as well as contributions being made by each entity; and the duration of the agreement.



# Chapter 10

## Develop the Project Approach

## Develop the Project Approach

The Approach is a narrative explanation of the process of how your project will be implemented and should describe in detail how each activity listed in the Objective Work Plan will be completed from start to finish. This should be the most robust section within the project plan. The approach should detail how the completion of all necessary tasks (milestones and other supporting activities) will bring about project success. The approach should also describe how your community will be involved in the planning process, from design and development to successful implementation and sustainability.

Consider the following as you begin to document the process that will be used in your approach to project implementation:

- Use the knowledge of your community as well as best practices from the successful completion of other projects to guide you in selecting an approach.
- Research best practices and materials from other similar projects; modify and incorporate them wherever possible.
- Ensure your approach is in-line with the resources and staffing you have available, or anticipate having available, for project implementation.
- Design your strategy so that the activities and outcomes build incrementally to establish a clear path for achieving your goal.

Make sure to thoroughly describe the following as you are developing the approach:

- **Resources** – those already available and those that need to be obtained to conduct activities.
- **Staffing** – personnel and partnerships who will provide oversight and conduct the necessary milestone activities and other tasks as well as consultants who will provide valuable insight.
- **Outreach** – actions which will keep the community and participants aware and involved as well as actions for recruitment and retention, if applicable.
- **Capacity** – how the project will assist in building capacity at the organizational and/or community level.



- **Evaluation** – data collection tools and processes available or those that need to be created/obtained to collect, analyze, store, share and use in the future.

Referencing the Objective Work Plan (OWP) will help you develop the project approach. You can use it to write the full details describing the project approach process in a narrative format.



**NOTE: An important factor while developing the approach is to be careful of “scope creep”. Scope creep happens when the project is trying to solve too many community concerns with one project and the scope of the project expands too much to feasibly be achieved with the resources and time available.**

**ACTIVITY 11**

**Identifying a Project Approach**

<b>What is your project concept?</b>
<b>What are the project goals and objectives?</b>
<b>What existing assets/resources are available from your organization and from outside your organization?</b>
<b>Are there existing projects/programs that could be used as a model?</b>
<b>What organizational capacity will be needed to carry out the project?</b>
<b>Based on this information , summarize the intended Project Approach:</b>
<b>Describe the community support and ownership for this project:</b>



# Chapter 11

## Organizational Capacity

## Organizational Capacity

Organizational capacity is a critical component of project implementation. You must be able to demonstrate that your agency and any staff involved have the capacity to successfully carry out the project.

Keep in mind there are two types of capacity that will be required to implement a project: 1) Administrative and 2) Project Specific. Not only do you need a staffing plan that demonstrates expertise to implement the project (Project Directors, language teachers, Service Providers, Technicians, Admin Assistants, etc.), you will also need to discuss your community's ability to manage a project in the following areas:

- provide leadership and oversight of staff
- identify who has responsibility and experience in financial oversight
- experience meeting Federal reporting requirements in a timely manner
- ability to manage and provide oversight of third party agreements, partnerships, consultants, and contractors

The organizational assessment analyzes and evaluates the organizational and financial management structures you have in place; this includes policies and procedures. Determine if there are any gaps that need to be filled. Remember that partners can be used to fill these gaps and help your organization build on their current capacity.

Following is a brief example of this analysis.

**Table 10: Organizational Capacity Analysis**

<b>Current Organizational and Financial Management Structures</b>	<b>What is Needed/Missing</b>
Financial Policies and Procedures	Purchasing Policies need to be updated to meet 2 CFR Part 200
Data Collection	Staff training needed to build capacity
Staffing Plan	Project Manager - 2 individuals identified with Knowledge, Skills, and Abilities (KSAs) - need to interview and hire at time of award

### **Consultants**

Consultants are another resource which can be used to fill gaps in skills or expertise and help build organizational capacity. A Request for Qualifications (RFQ) or Request for Proposals (RFP) can be used in selecting consultants. The RFQ is a request for a quote that contains a statement of the specific work required with qualification and performance expectations needed. The RFP is used to develop an inventory of potential consultants for assisting with the project. The consultant agreement should clearly describe the consultant's responsibilities. It also should specify how and from whom consultants will receive direction and supervision.

**ACTIVITY 12**

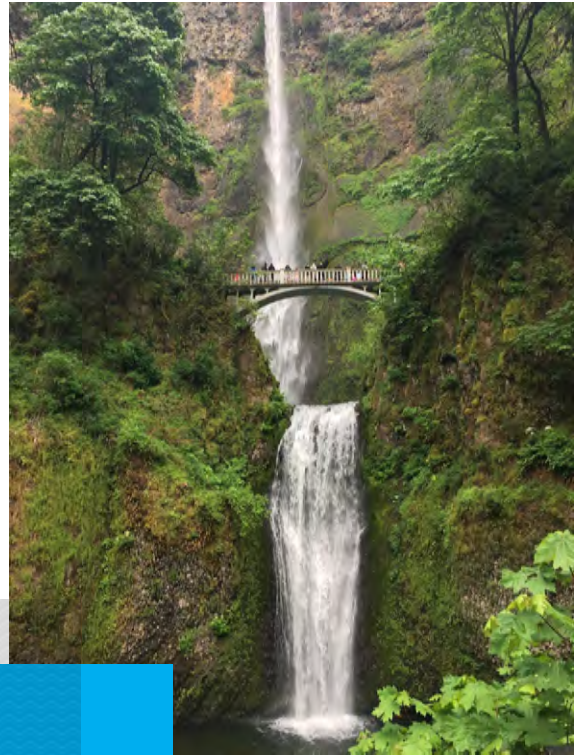
**Conduct an Organizational Capacity Analysis**

Go back to your organization and conduct an assessment to analyze and evaluate the organizational and financial management structures you have in place; focus on any gaps.

Examples to Consider: Data Collection, Policies and Procedures (i.e.: hiring, purchasing, work related travel, separation of duties, records retention), Program Management Systems.

<b>Organizational Structures</b>	<b>Updates/Changes Needed</b>

<b>Financial Structures</b>	<b>Updates/Changes Needed</b>



# Chapter 12

## Identify Potential Challenges

## Identify Potential Challenges

A contingency plan is an alternative solution which allows the organization to respond quickly to an implementation challenge that may keep the project from moving forward in a timely manner. By identifying potential challenges and planning their resolution, you will be more likely to overcome challenges with minimal disruption to your project. Identifying potential challenges and developing contingency plans should be done by a team that includes project stakeholders.

### **Activities, Challenges, and Risks**

The first step in preparing a contingency plan is to review your project's milestone activities and identify the critical components of the work plan. Every project plan should have a contingency for: staff turnover, key partnerships falling through, and trouble recruiting and/or retaining participants, if applicable. Identify any other activities that may present a potential challenge. Next, describe the challenge that may occur and create a contingency plan which resolves the stated challenge.



**Table 11: Example Contingency Plan**

**Activity:** Key personnel (project staff) will be hired within two months.

**Challenge:** An individual with all qualifications for a key position was identified in the application but may decline the position by the time funding is awarded.

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

**Activity:** In year one, recruit and enroll the previously identified 30 unemployed single parents for job skills training by the 2nd month.

**Challenge:** The total number of participants enrolled is only 19 single parents.

**Contingency Plan:** Enhance recruitment methods for years two and three to ensure getting 11 more participants than initially planned for training over the next two years to meet project targets.

**Activity:** Conduct 120 1-hour skills training workshops over 2 years in our key partner's meeting space and the key partner provides meeting materials for the first 25 workshops.

**Challenge:** Due to unforeseen circumstances, the key partner is unable to provide the training space and materials.

**Contingency Plan:** We have researched two other spaces one at KKY and the other at RRC. Each of these organizations is willing to help host the workshops. Additionally, our Tribe could pay for the materials for the first 25 workshops if necessary.



**HINT:** A contingency plan does not involve everyday standard operating practices. For example, if your organization always orders supplies early because you typically experience shipping delays, this is a standard practice and not a contingency plan resolving an activity's potential challenge which would delay objectives or reaching the goal.

### ACTIVITY 13

## Draft a Contingency Plan

Now create a contingency plan for your project. Remember to address each of the three main areas of concern: staffing, partnerships and participants.

<b>Staffing</b>
<b>Activity:</b>
<b>Challenge:</b>
<b>Contingency Plan:</b>
<b>Partnership</b>
<b>Activity:</b>
<b>Challenge:</b>
<b>Contingency Plan:</b>
<b>Participants</b>
<b>Activity:</b>
<b>Challenge:</b>
<b>Contingency Plan:</b>
<b>Other</b>
<b>Activity:</b>
<b>Challenge:</b>
<b>Contingency Plan:</b>



# Chapter 13

## Develop a Sustainability Strategy

## Develop a Sustainability Strategy

A sustainable project is one that continues to provide outcomes to the community after completion of the project. This can be accomplished in multiple ways:

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

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

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

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

If the **Institutionalization** of program activities is probable, describe how you plan to incorporate key elements of the project into the ongoing operation of your organization. Provide details of how those project elements will be incorporated into your organization's existing scope of work. Discuss how the project fits within your organization's operational structure and how the program can be modified, if needed to become a permanent part of that structure. This

discussion should include an analysis of how the staffing, services or supplies, and costs for a continued program or program elements will be absorbed into existing operations.

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

If **Program Income** is part of the sustainability strategy, provide information that documents the potential market for the goods or services that the project will produce. Will sliding scale fees be charged? Will you provide contracted services for another entity? How will you establish fee structures? What level of revenue will you generate? Provide sufficient details to show that you have researched the feasibility of this strategy.

If securing **Programmatic Funding** through grant dollars is part of your sustainability strategy, list potential sources that will be targeted. Some resources for finding potential grant funding sources are:

- Catalog of Federal Domestic Assistance (CFDA) - [beta.sam.gov](https://beta.sam.gov)
- Grants.gov - <http://www.grants.gov>
- Federal and state agency websites

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

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

## ACTIVITY 14

# Develop your Sustainability Strategy

What outcomes and activities of your project will be sustained? Create bullet points and possible future costs. This can be the start to your new Sustainability Strategy.

<b>Sustainability Types</b>	<b>Outcomes or Activities Sustained</b>	<b>Costs</b>
<b>Institutionalization</b>		
<b>Leveraged Resources</b>		
<b>Program Income</b>		
<b>Programmatic Funding</b>		
<b>Increased Capacity</b>		



# Chapter 14

## Develop the Budget



## Develop the Budget

The project budget is a program and fiscal document, reflecting the costs necessary to carry out the activities of the project. The budget is the dollar expression of the project being proposed. It must be reasonable and tie into the project's objectives and work plan.

The budget should not be prepared until the tribe's or organization's project plans have been developed. Without a clearly detailed project approach in place, projections of project costs cannot be made. Approval of the budget should be regarded as a commitment and contractual obligation on the part of the governing body and the administration to implement the work plan that is financed by the budget.

Budgeting is the method by which a tribe or organization determines costs needed to achieve the project goals and carry out the project objectives. Budgeting is not just a matter of estimating project costs. It involves considering such factors as:

**Available Resources** – Analysis of available resources involves an identification of what resources are available as cash or in-kind contributions. This includes an assessment of human, equipment, supplies, facilities, and financial resources. Start the budgeting process by assessing resources that you and your partners can provide to support the work plan. Refer to the activity entitled "Determine Your Internal/External Resources."

**Regulations** – The budgeting process must ensure that funder regulations are observed in the allocation of resources to the various line items, resulting in allowable uses of funds. If this is not done, the tribe or organization may not be considered for funding or will need to engage in substantial re-budgeting exercises to comply with funder financial policies.

**Cost Estimates** – The tribe or organization will need to show that costs for labor, materials, equipment, and other items listed in the budget are reasonable and necessary to carry out the project work plan. Equipment and contract services require detailed cost justification. Provide a budget narrative that explains the costs for each line item including how the costs were derived.



When planning the budget, answer the following questions:

- What staff time does the project require?
- Will consultants be needed for the project?
- If so, what impact will qualifications have on the budget?
- What travel is necessary to perform all activities?
- Will equipment be needed to perform the scope of work?
- What supplies will the project need?
- What other costs will be incurred to complete all project activities?

Once the resources necessary to carry out your proposed project have been determined, it is time to begin researching and gathering the cost estimates for these resources. Tribes or organizations that have an accounting or purchasing department can work together to gather the required information. It is important that good documentation is kept during this process. This documentation will be needed when writing the budget justification and may be required in the proposal.

### **Non-Federal Share (NFS)**

The budget's federal share is the resources for the project that are being requested from the funding agency. The non-federal share (NFS) is the grantee's resources used to support the project and can include cash, donated goods, or donated services. These resources cannot include those funded through other federal agencies unless the legislation authorizing the funds specifically states that it can be used as NFS for other federal awards. You will need to identify each of your resources that will be used for NFS, describe the rationale used to assign a dollar value to the service or goods that will be used as in-kind NFS, and provide a description of the documentation you will collect and maintain to verify receipt and use of NFS. For an ANA application, you will also need to provide line item budgets for each year of your project, identifying the Federal Request and the Non-Federal Share (NFS). ANA requires applicants to commit 20% of the Total Project Costs as NFS for each year of the project.

### **Budget Class Categories**

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

### **Personnel**

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

### **Fringe Benefits**

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

### **Travel**

Only out-of-area travel for project staff is calculated in this budget category. Local and Consultant travel will be included in the "Other" category (see below). In the budget, identify each of the out-of-area trips planned, as well as the cost of airfare, ground transportation, lodging, and meals for each planned trip.

Use your own organization's travel policies to determine costs. If such policies aren't developed, the General Services Administration website is a good reference for determining federal travel rates: <http://www.gsa.gov/portal/category/21287>. ANA also requires out-of-area travel to post award training and annual grantee meetings. These costs are estimated for you and noted in the funding announcement.

### **Equipment**

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

### **Supplies**

List all supplies, such as paper clips, paper, pens, and pencils. If there are unusual needs for project supplies, such as training supplies, use a separate line item for each category of supplies and their amounts.

## **Contractual**

If the project includes contracting with a company or individual, then the cost of the contract should be included under the “contractual” category. The scope of work should be included as an attachment to the application. Under 45 CFR Part 75, “Contract means a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a Federal award.” Typically for a contract you should have the following: 1) the name of the company/individual you are contracting, 2) the scope of work of the contract and 3) the exact dollar amount of the contract.

## **Other**

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

**Facilities used** – In this section, list all facilities that will be used during the project. Rent must be comparable to prevailing rents in the geographic area in which the facility is located. In addition to the actual rent, include the cost of utilities, maintenance services, and minor renovations if they are essential to your project.

**Telephone** – Telephone should include the cost of basic services if they are not provided through indirect costs (see explanation below), and all planned long-distance usage.

**Postage** – Include the projected mailings, purpose, and cost.

**Copying and printing** – Provide information on the materials to be copied and/or printed, as well as the projected cost by product.

**Professional services** – List the personal services contracts (consultants) that are anticipated during the project. It is important to include their projected number of workdays and their cost per day. Include a scope of work, or RFP, as an attachment to the application. A consultant refers to “personal services,” or the use of a person’s unique, special, or unusual talent which cannot be performed the same by another. Examples include an artist (e.g. a woodcarver) or cultural practitioner.

**Local travel** – Provide information on the planned local travel, purpose of the travel, and cost of travel. All travel that does

not require per diem is considered local travel. The tribe or organization's finance department can provide information on what travel qualifies for per diem.

And finally, included in this category are any other items that do not logically fit elsewhere in the budget.

### **Indirect Costs**

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

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

If no IDC rate has been negotiated for your organization, you have 2 options: 1) you could build the IDCs (e.g., bookkeeping, office space, audit and janitorial) right into the budget as direct costs under the "Other" line item; or 2) you could use the 10% De Minimis rate if you have never had a negotiated IDC rate.

If you use the De Minimis rate, be sure to state what administrative costs will be covered by the rate. ANA must know that you are not charging them the direct cost for things you will pay for in the De Minimis rate.

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

## ACTIVITY 15

# Identify the Financial Needs

Using the OWP you created in the previous activities, fill out the following charts to help determine your this financial needs.

<b>Write down your project objective:</b>

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

Position	Responsibilities	Percentage of time dedicated to project (e.g., 100%, 50%?)	Estimated cost (base this on their current salaries)

What out-of-area travel do you anticipate needing for this project?

Travel Destination	Purpose of the travel	Anticipated number of days	Estimated cost (use the GSA's travel rates or your organization's travel rates)

Are there any special supplies that will be needed?

<b>Supply</b>	<b>Purpose</b>	<b>Quantity Needed</b>	<b>Estimated Cost</b>

What are some of the project-specific cost areas for your project?

<b>Other Cost Areas</b>	<b>Purpose</b>	<b>Quantity</b>	<b>Estimated Cost</b>

## ACTIVITY 16 The Budget

Thinking about your project approach, Objective Work Plan, and the cost estimate, develop a line-item budget and a narrative budget justification which explain how estimated costs relate to the project approach. This is a good exercise to ensure that your budget costs are reasonable, relevant, and justified in supporting the project approach.

Line Item Budget for Year ____ (create budget for each year)			
Category	Federal Share	Non-Federal Share (20% Total Project Cost)	Total
<b>Personnel</b>			
Project Director			
Admin. Asst.			
Personnel 1			
<b>Personnel Total</b>			
<b>Fringe Benefits</b>			
FICA			
Unemployment Tax (FUTA)			
State Unemployment Tax (SUTA)			
Retirement			
Worker's Comp - varies			
Health Insurance			
<b>Fringe Total</b>			
<b>Travel</b>			
Post Award Training - Mandatory Year One Only			
Grantee Meeting - Mandatory each year			
Training Location 1			
<b>Travel Total</b>			
<b>Equipment</b>			
<b>Equipment Total</b>			
<b>Supplies</b>			
<b>Supplies Total</b>			

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



Budget Justification for Year ____ (create justification for each year)			
Category	Federal Share	Non-Federal Share (20% Total Project Cost)	Justification
Personnel			
Personnel Total			
Fringe Benefits			
FICA ____%			Social Security / Medicare
FUTA ____%			Federal Unemployment Tax
SUTA ____%			State Unemployment Tax
Retirement ____%			Retirement Program Contribution for all FT/PT eligible employees
Worker's Comp - varies			Workman's Compensation Insurance
Health Insurance ____%			Health / Dental / Vision benefits contribution for all FT/PT eligible employees
Other			
Fringe Total			
Travel			
ANA Post Award Training - Mandatory Year One Only			Cost (x) Per Person      Parking Airfare                      Mileage Lodging                      Taxi/Shuttle M&IE
ANA Grantee Meeting - Mandatory each year			Cost (x) Per Person      Parking Airfare                      Mileage Lodging                      Taxi/Shuttle M&IE
Training Location 1			Cost (x) Per Person      Parking Airfare                      Mileage Lodging                      Taxi/Shuttle M&IE

			Cost (x) Per Person Airfare Lodging M&IE	Parking Mileage Taxi/Shuttle
			Cost (x) Per Person Airfare Lodging M&IE	Parking Mileage Taxi/Shuttle
Travel Total				
Equipment				
Equipment Total				
Supplies				
Supplies Total				
Contractual				
Contractual Total				
Other				
Consultant			Basic Scope & Cost per unit	
Consultant Travel			Cost (x) Per Person Airfare Lodging M&IE	Parking Mileage Taxi/Shuttle
Local Travel			Cost (x) Per Person Mileage	Parking
Other Total				
Budget Subtotal				
IDC			IDC Rate or 10% de Minimus rate per 45 CFR Part 75	
Budget Total				



# Chapter 15

## Next Steps

## Next Steps

Congratulations! Now that you have some tools under your belt, you can:

- identify your community's long-term goals;
- conduct a community assessment to identify the current community condition to be addressed;
- determine the project goal;
- assess your available resources and partnerships;
- develop project objectives;
- select a project approach and strategy;
- identify potential challenges;
- and create a plan to work through those challenges.

You looked at how to develop an OWP, sustainability strategy, project evaluation, and cost estimate. We hope that you are ready to go back to your community and to plan and develop a project.

There are many funding sources within the federal, tribal, state, and local governments, as well as the private sector (i.e., foundations, corporate donors, charitable organizations, etc.) that fund projects which address the range of issues faced by Native Americans. One of the most crucial planning decisions that must be made once a specific project concept is identified is which funding agency best suits that project's area of focus. Other federal agencies may be a better source than ANA for the project you are proposing. Always base your decision on the specific Long-Term Goal, Community Condition, Project Goal and Project Objectives you are addressing.

Another great resource is ANA's Regional Training and Technical Assistance (TTA) Centers. The staff are trained professionals who can work with you as you develop your project ideas; objectives, data plans, budget and more. The TTA Centers also have numerous other resources and templates to assist you in this process. Each TTA Center's regional contact information can be found on the back cover.

## ACTIVITY 17

### Next Steps

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

**How will you use this information in your community?**

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

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





## Appendix A: Glossary of Terms

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

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

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

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

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

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

**Comprehensive Plan:** A document developed by the community that lists the community's long-term goals. The plan should include benchmarks that measure progress towards achieving those goals.

Comprehensive plans usually require at least a year to complete and cover a five- to ten-year time span.

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

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

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

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

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

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

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



**Objectives:** These quantify tangible achievements within the proposed project period and 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. There may be more than one target associated with an indicator.
- **Indicator:** a measurable sign that something has been done or been achieved.
- **Population:** a specific group on which the program 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.

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

**Outcome Tracker:** A tool used to identify the outcomes and indicators of each objective which provide benchmarks for 4 points in time: baseline, end of project year, end of project period, and 3-year post project; as well as 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 changing the current community condition. It can be described in the reduction or resolution of a negative condition, or it can describe an expanded capacity to successfully address the condition.

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

**Project Steering Committee:** A 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.

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

**Table 12: Glossary**

<b>Old Terminology – what ANA used previously</b>	<b>New Terminology – what ANA uses now</b>
Problem Statement	Current Community Condition
SMART Objectives	TTIP Objectives
Key Activity	Milestone Activity
Result	Output (product)
Benefit	Outcome (change)
Impact Indicator	Indicator

## Appendix B: Some Additional Planning Processes to Consider

### Stakeholder Analysis

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

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

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

**Table 13: Stakeholders**

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

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

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

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

### **Community Scales**

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

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

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

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

**Table 14: Scales**

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

## **Nominal Group Process**

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

Each group then discusses their own ideas. The recorder writes down all comments on a flip chart for the entire group to see. After all ideas have been recorded, encourage each group to discuss the ideas listed on the flip charts. The group clarifies, compares, discusses, and approves all ideas. Agreement or disagreement with ideas may be encouraged but should be controlled by the facilitator to ensure that a heated debate does not develop. Each group then needs to choose its top five priority areas through a group voting process. Next, each group facilitator reports the group's priorities to the entire meeting.

The entire population votes to determine the top five priorities that could or should be addressed. Discussion focuses on methods to address these conditions and becomes the basis for the tribe's/ organization's project. Solutions are suggested and community impacts discussed.

Advantages of nominal group process include:

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

Disadvantages of nominal group process include:

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

## All on the Wall Group Process

A facilitator can do this as a large group activity; as a more focused small group activity if participants have a concept in mind; or a combination of both. Allow for enough time, approximately 45 minutes to 60 minutes depending on the number of participants. The recommended participation size is between 10 and 50, and the group should be made up of a cross-section of the representative community.

The goal of the activity is to brainstorm, identify and prioritize the topic at hand. This works well in the project planning process to identify long-term community goals, current community conditions, barriers existing within the community, and the project goal.

The materials you will need are: post-it notes, pens/pencils, wall space, poster paper, and any other collaborative tool you like (markers, stickers, etc.)

Process:

1. The facilitator introduces the All on the Wall activity by bringing to attention the post-it note pads that they've arranged on the table.
2. The facilitator tells participants to consider a specific topic, such as long-term community goals that exist in the community.
3. The participants generate ideas or thoughts about the topic and write one thought or idea down on a single post-it note. Each note gets one idea. The participants can write as many notes as necessary to identify all of their ideas relating to the facilitator's topic.
4. The participants post all notes to the wall, and they will see that some of their own notes are similar to other participants' notes.
5. The facilitator asks the participants for guidance in grouping these similar notes together, and moves each grouping to a separate poster paper.
6. The participants are then asked how the groupings relate to the facilitator's topic. The facilitator will take notes next to each grouping on the poster paper.
7. The facilitator then asks the participants to rank the groupings based on priority. Stickers can be used to anonymously vote. The grouping with the most stickers is considered the highest priority.
8. The facilitator then focuses on the groupings ranked as the highest priority.
9. The participants must then rank the ideas and thoughts within the highest priority grouping. Again, stickers can be used to vote on individual ideas or thoughts. (Keep in mind that the post-it notes contain similar ideas, so the voting could be split based on semantics. Two or three top choices may appear).

10. Once the highest priority thoughts or ideas are identified, the facilitator asks the participants which of the top choices should be examined.
11. Further thoughts and ideas are collected on the top choice, and the voting process is repeated until the participants can whittle their ideas down and gain a consensus.

Example:

1. Participants write several post-it notes containing ideas of their community's long-term goals. Some people write down education ideas, some write down housing ideas, and some write down employment ideas.
2. The facilitator discusses the similar ideas and groups them on the poster paper by overarching thoughts: Education, Housing, Employment.
3. The participants vote and decide that Employment is the biggest priority of the three long-term goals. The facilitator asks participants to identify the current community condition related to Employment and to add more thoughts and ideas to the board.
4. The participants then discuss all of the thoughts that fill this Employment idea board. Some notes say that there are not enough jobs in the community, some notes say that they want recent graduates to have on-the-job training opportunities, and some notes say that there are several single parents who are unemployed in the community.
5. The participants then vote on the highest priority current community conditions to identify the barrier they hope to address with a project plan.
6. Once the top choice(s) is established, the facilitator asks participants to write down what outcomes will be achieved when the high priority community condition is successfully addressed.
7. Another round of voting takes place based on these new ideas. In the end, the participants have identified the basis for developing their project, starting with the current community condition statement. From there, participants can identify project goals, objectives, and outcomes to be achieved.
8. The facilitator ends this activity stating that these post-its will remain on the wall as a reference for the rest of the discussion and planning process. The participants use their idea boards as a guide when completing the rest of the manual activities.



## Survey Research

Surveys provide a strategy and process for developing a uniform set of questions to be asked of a group of people. Answers to these questions help community leaders understand the range of

opinions on topics central to the future of the community. Surveys can be either open-ended questions (“Choose the three most serious conditions facing our community today”) or closed-ended questions (“Choose the three most serious conditions facing our community today from the following list of conditions”). It is recommended that surveys include both open- and closed-ended questions to the individuals taking the surveys so individual input is considered.

Advantages of survey research are:

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

Disadvantages of survey research are:

- No guarantee surveys will be returned;
- Community members may resent surveys;
- Wording of questions needs to be carefully reviewed to ensure clarity.

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

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

In conducting a SWOT analysis, a facilitator can lead participants through four brainstorming exercises.

For example, for a particular project your organization may brainstorm to determine:

- What are the strengths of your organization that may help you to address the challenge(s) at hand?

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

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

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

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

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

## **Tips on Conducting a Meeting**

### **Preparing the Meeting Room**

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

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

Acoustics: How well does sound travel in the meeting space? What impact will participant noise have on the ability to hear? Is a sound system necessary or desirable? Be sure to take into consideration the fact that even the most soft-spoken participant needs to be heard by everyone present.

Visual Aids: If visual aids are to be used during the meeting, it is important to write large and with colored markers, so that your materials are visible from all parts of the room.

### **Facilitation Skills**

An effective meeting facilitator:

- Leads in a determined but respectful manner;
- Focuses by not losing sight of the group's purposes and goals;
- Stimulates by encouraging constructive dialogue between group members by focusing on task and process issues within the group;
- Supports by eliciting opinions from quiet members of the group and encouraging the suggestion of new ideas;
- Participates by promoting new discussion when the group is interacting poorly or off-task;
- Builds a team by encouraging collaboration among participants and with potential community partners;
- Regulates by maintaining order and setting ground rules (i.e. only one person may speak at a time, no one will be allowed to dominate the meeting, etc.) that discourage unproductive behavior;
- Protects by ensuring that no one is denigrated for his/her comments;
- Addresses conditions by controlling difficult people and diffusing tension promptly;
- Encourages feedback by promoting fair evaluation of each point raised;
- Has at least one support person to handle clerical chores (taking notes, ensuring that the sign-in sheet is completed) and help with any audio-visual equipment;
- Gets the job done by adhering to meeting schedules that ensure completion of the agenda;
- Keeps the momentum going by announcing the date and time of the next meeting prior to adjournment and by regularly distributing progress reports throughout the community.



## Appendix C: Crafting Long-term Goals

### Version 1: Detailed Statement

Urban Indian Center Example:

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

A Connection...

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

Keeping Our Heritage Alive...

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

### Version 2: Simple Statement

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

For example:

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

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

The following is a list of additional sample long-term goal statements:

**Table 15: Goal/Statement**

<b>Focus</b>	<b>Long-Term Community Goal</b>
Healthcare	To continue the development of a Health Care Program, while considering all factors involved, that will ensure each tribal member receives proper and high quality health care.
Community Facilities	To provide the improvement of existing, or development of future, community facilities.
Education	To provide lifelong learning opportunities, formal and informal for tribal members.
Heritage	To retrieve, maintain, and preserve the history, heritage, cultural and spiritual beliefs of the Abiqua Tribe and to pass them on to the future generations.
Housing	To ensure standard housing for tribal members.
Natural Resources	To protect, acquire, and develop, Tribal natural resources.
Recreation	To further develop recreational activities for tribal members.
Service Expansion	To expand services to all tribal members, regardless of residency.
Communications	To constantly seek methods to improve communications.
Individual Business Development	To provide assistance to individual tribal members in their pursuit of business development, including, start-up, expansion, retention, and recruitment.
Employability	To increase the employment levels, as well as the employability of tribal members.
Drug and Alcohol	To develop a drug and alcohol facility and program focusing on both rehabilitation and prevention for the Abiqua Tribe.
Economic	To improve the overall economic viability of the Abiqua Tribe.
Land	To increase and develop the Abiqua Tribal Land Base.

## Appendix D: Sample Forms for Community Involvement

### **SAMPLE MEETING INVITATION FORM**

Sample form, adapted from Selkregg's Community Strategic Plan Guide & Form (p. 13):

#### **INVITATION TO PLAN OUR FUTURE**

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

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

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

Date: \_\_\_\_\_

Time: \_\_\_\_\_

Place: \_\_\_\_\_

### **Sample Public Process Recording Form**

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

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

#### **Type of public process (circle one):**

Meeting      Interview      Survey      Other \_\_\_\_\_

Date: \_\_\_\_\_

Location: \_\_\_\_\_

Topic: \_\_\_\_\_

#### **People in attendance:**

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

For interviews, record the name of the person below.

For surveys, write the number of people surveyed below.

**Summary:** (Include a brief summary of the key outcomes below)

**Table 16: Goal/Statement**

<b>Information Required</b>	<b>Source of Information</b>	<b>Means of Gathering Information</b>	<b>Comments</b>

## Appendix E: Asset Mapping

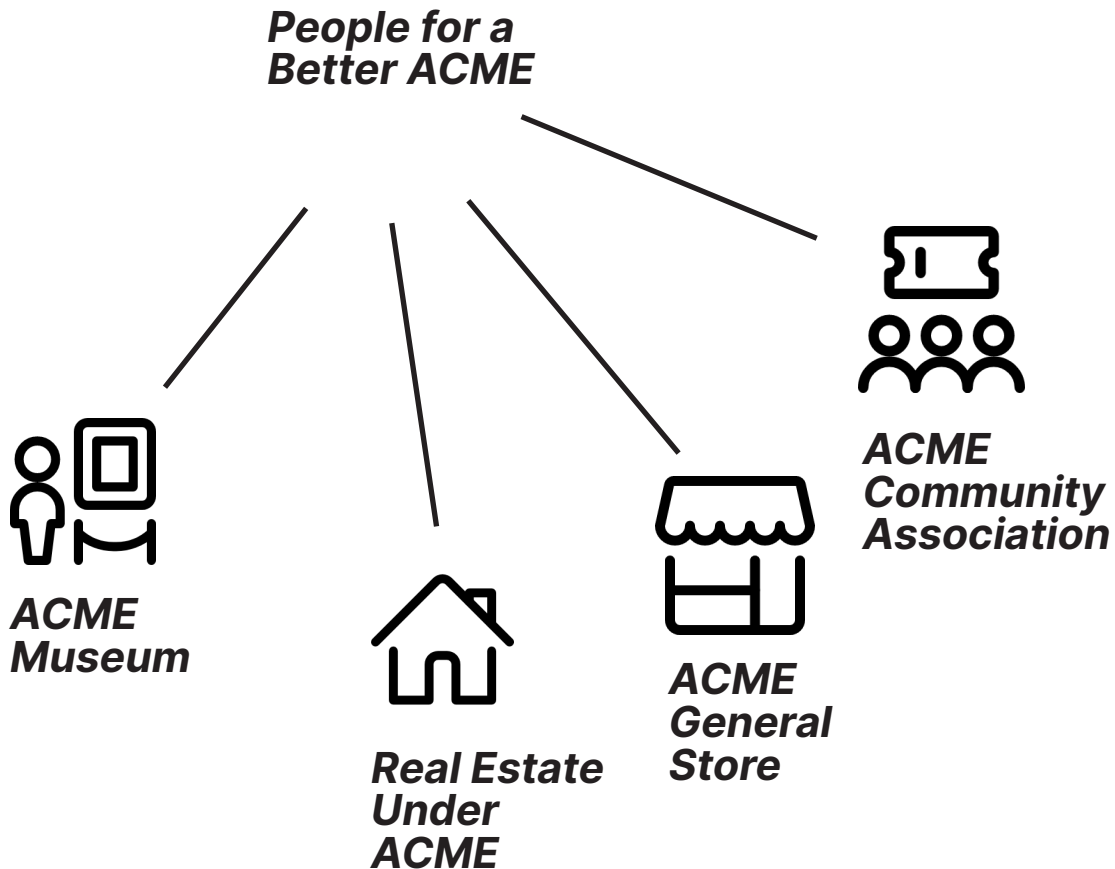
Community asset maps are used to display the location of resources that can be used in the project's design and development.

Community asset maps can:

- provide a framework for discussing the location of resources.
- highlight resources of importance.
- analyze current access to a resource.
- raise awareness of existing resources.
- create a visual representation of potential resources that can be understood by all (i.e., community members, agency representatives, and funders).

Here is an example of an asset map:

**Figure 5: Asset Maps**





## Asset Maps

To create your own asset map, you will need: Easel Size Paper (2 sheets for each group), Markers (Black, Red, Blue, and Orange), Masking tape.

The steps to creating an asset map are as follows:

- 1) Gather into small groups of 4-5 people.
  - a) Begin to visualize the community assets and the connections between organizations, individuals, and resources within and outside the community for collaborative partnerships that could strengthen project development and the project's operation.
  - b) Using information from the community, identify possible gaps in the organization's project development and operational capacity and write them down on one of the sheets of paper.
    - i) Examples of gaps might be:
      - (1) No, or limited, expertise in specific functional areas (project evaluation or developing procurement policies, for example).
      - (2) No, or limited, experience in designing and operating a project that is supposed to generate revenue to sustain itself.
      - (3) No, or limited, experience in designing and managing a project that addresses a major community condition.
- 2) Brainstorm organizations, individuals, and any other resources that exist within the community that could/would assist in closing those gaps.
  - a) Write down organizations, individuals, and any resources that exist within the community that could/ or would assist in closing those gaps.
  - b) Identify the organization you represent in the middle of the paper.
  - c) Display the organizations, individuals, and other resources identified around your organization.
  - d) List the resources, expertise, or other assets that each of those entities could provide.
  - e) Indicate if the potential partnership would focus on planning, operational, or other areas of collaborative assistance.
- 3) After all the organizations, individuals, and other resources have been identified begin to assess the connections all of the organizations, individuals, and other resources have to the project and to each other. Additionally, assess your own organization's probable current working relationships with those entities.
  - a) Visually show the connections by using the different colored markers:
    - i) Solid Black Line/ Thick Solid Line — indicates a strong working relationship.
    - ii) Dashed Red Line/ Dashed Line—indicates a working relationship that is intermittent, and only occurs given certain situations, i.e. community events, meetings, etc.
    - iii) Dashed Blue Line/ Thin Dashed Line —indicates a very weak working relationship, i.e. they have done projects previously, but have not worked with each other for some time.
    - iv) Solid Orange Line/ Thin Solid Line—indicates an organization, individual, or resource that you think should do future collaborations.
    - v) No Line—indicates no working relationship at all.
- 4) Once you have determined the resources available to your project assigning a dollar value will be necessary. These dollar values will be used later as you begin to build your budget to determine the Federal Share, Non-Federal Share and Leveraged Resources the project needs and has available.

## Appendix F: Gantt Chart

A Gantt Chart, named for its creator, is a tool to help you visualize a timeline. Tasks are typically listed in the first column, while dates are listed across the first row – depending on the timespan and amount of space you have for your chart, dates may be listed by day, week, or even month. You can create as simple or sophisticated a chart as you need.

Using a word processing table, an Excel spreadsheet or another design program, you can create your own Gantt chart to better understand your workflow, timeline, and due dates. You can base the chart on your OWP, where you have already assigned milestone activities a start and end date. Take those dates and shade the time in between. You will be able to see how activities overlap or are sequential. You'll be able to see what weeks or months your team will be most busy. And you'll be able to assess whether your activities are feasible given the time you have planned for them. Look at the example below which is based on the example OWP given in this manual, and feel free to create your own.

**Table 17: Gantt Chart**

	Oct	Nov	Dec	Jan	Feb	March	Apr
<b>Hire Staff</b>							
<b>Train Staff</b>							
<b>Enroll &amp; Kickoff</b>							
<b>Hold 33 Sessions</b>							



## Appendix G: Successful Project Strategies

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

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

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

### **GRANTEES' BEST PRACTICES: ADVICE FROM PREVIOUS GRANTEES**

#### **Planning a Project for Your Community:**

- Write your own grant so you know how to accomplish your objectives.
- Have a personal and shared commitment to the project purpose.
- Do very thoughtful contingency planning before the project.
- Get the community involved before the project starts.
- Include the department/project director you are writing the grant for in the planning.

#### **Managing Your ANA Project:**

- Take care to create a realistic and achievable OWP.
- Keep your objectives doable and focused.

- Follow the work plan as a roadmap for the project.
- Keep track of in-kind on a quarterly basis.
- Make visual guidelines (“Gantt” charts).
- Do not wait until the last minute to update documents.
- Keep a well-organized grant tracking sheet covering what needs to be submitted and when.

### **Community Involvement:**

- Be familiar with on-going community issues.
- Have deep conversations with people about what you are doing. Really communicate with them and they will respond with action. This will give your project momentum.
- Ensure you have face time with people, not just emails and phone calls.
- Offer food and personal invitations to bring people to meetings.
- Use a community hiring process (i.e. meetings to inform the community of the hiring process).
- Allow the community to shape the project to ensure buy-in.
- Don’t underestimate the time needed for communication.
- Develop real relationships with your communities - not just superficial relationships to expedite your needs.
- Be flexible and accommodate participants’ schedules.
- Follow up with what you say you will do.
- Be credible and reliable.
- Keep community members in the loop with project progress

### **Partnerships:**

- Form necessary partnerships prior to proposal submission.
- Reach out to different partners, not only to the obvious ones.
- Seek mentorship from state partners.
- Continue to educate your partners about the progress of the project.
- Get as many partners as possible and keep in close communication with them.
- Work with the Native community as partners; it is important for them to own the project and contribute towards its success.

### **Elder Involvement:**

- Listen to your Elders. The life people used to live was so much harder. So, do not complain; learn from their experience to surmount all the conditions you might face.
- Hold an honoring ceremony for Elders; recognize and appreciate the gifts they’ve given you.

**Working with Consultants:**

- Conduct research before hiring consultants.
- Do as much as possible yourself to avoid the high cost of outside expertise.
- Train community members to be your experts so you do not have to rely on (and pay) outside consultants.
- Work with consultants that understand your community.
- Choose a consultant you are familiar with.

**Managing Talent:**

- Praise employees for a job well done. You should keep employees motivated and appreciated.
- Hire competent and committed staff.
- Make sure all staff provide materials and training for transition so that if someone leaves, the new person will be prepared.
- Have a director that is dedicated to the administrative side of project implementation (rather than just the programmatic side).

**Attitude:**

- Do not give up; do not quit too soon!
- Respond to the needs and desires of the community without feeling like you had to predict everything at the beginning of the project.
- Be flexible by always looking to the future to adjust the project as it moves forward.
- Do not be discouraged by project challenges.

**GRANTEES' BEST PRACTICES BY ANA PROGRAM AREA****SOCIAL DEVELOPMENT****Cultural Preservation**

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

- Determine staff responsibilities and develop an organizational chart.
- Educate your staff and involve them in grant proposal writing.
- Delegate responsibilities and get volunteers involved.

### **Youth Development**

- Use structures from other programs, such as the Boys and Girls Clubs; don't reinvent the wheel.
- Design school programs to be flexible and adaptable.
- Ensure there is community involvement in your grant and follow their lead. Let them guide your project, which will mean that it is in line with what the community wants and needs.
- Encourage collaboration between tribal departments.
- Make use of strong adult advisors.
- Get refreshments, through donations, if possible.
- Record the process and achievements of your project in a well-designed monograph. It will help you to educate others about your work and will serve as a marketing tool for future efforts.
- Ensure that there is a place in the community for youth to meet.
- Maintain consistent communication with parents to keep them involved with their children. Form a bond of trust with the families of those involved in the program. Keep them involved and cognizant of program activities.

### **Education Development**

- Know your community and how it works.
- Give credit where credit is due.
- Conduct outreach through the media.
- Provide computer access and learning skills on a full-time basis.
- Work with partners
- The living classroom is a great idea and should be found everywhere.
- Rely on the community for not only getting the project ideas but developing the project idea - they're the best source for understanding what you want to get done and will lead to long-term sustainability. Work together to identify the need - then you won't have to deal with lack of volunteer commitment or community involvement.
- Work with community partners to strengthen the student support network and broaden the impact.

## **ECONOMIC DEVELOPMENT**

### **Business Development**

- Be wary of working with multiple communities.
- Know your project well.
- Ensure good customer service.
- Be a person; don't be focused on the money.
- Have a long-term vision.
- Work with people who have real life business experience (i.e. they have owned their own business); they will already know many important business lessons that you can avoid learning the hard way.
- Network within the industry you're working in (i.e. fishing, technology).
- Work on the entrepreneurial level with partners, rather than government to government.
- Giving one-on-one technical assistance is more effective than technical assistance in a classroom setting.
- Hire someone with expertise in the business development field. Collaborate with a partner who has done a similar project and base your project on that.
- Design the project to keep the local money in the area and reach out to expertise available on the local reservation. Switch from debt financing to investment financing.
- Understand all the contracts and conditions.
- Develop an Advisory Council to keep partners and contractors on task.

### **General Small Business Recommendations**

- Most businesses are seasonal and must diversify to stay afloat.
- Businesses need up-to-date marketing information to stay competitive.
- Tourism activities must be market-driven and carefully priced.
- For marketing: rely on strong social ties and word of mouth.
- There is a general need for small business person hospitality training.
- Partnerships with off-reservation businesses help expand marketing opportunities, potentially increasing income for reservation-based small-business owners.
- Don't duplicate services already available. Partner with them and fill a noticeable gap in services.
- Agricultural Recommendations: Don't spend too much money buying ready-made greenhouses. You can make a greenhouse cheaply with PVC piping and tarps.
- Staffing: select staff that already knows commerce, is familiar with the key lending institutions, knows Small Business Administration (SBA) groups; knows the banks and private foundations and has social and tribal connections.

### **If your organization provides trainings:**

- Track the training you give efficiently enough to put the data into a useful database later.

- It is important for Native Americans to teach culturally-focused business curriculum.
- Projects to set up a real estate agency: Make sure you have a real estate broker before implementing the project.
- Start financial literacy early with the youth. They will keep the lessons with them and learn to become self-sufficient.
- Keep it simple. Don't get elaborate.
- Focus on one thing, don't spread yourself too thin.
- Charge fees to avoid training "no-shows". Charging a nominal fee to register for training will encourage participant attendance.
- Use Native trainers whenever possible.

### **Organizational Capacity Building:**

- Collaboration between different organizations reduces competition for future grant money as all can submit one proposal.
- Use local consultants for local work.
- Build the capacity of your project partners throughout your project.
- Boys and Girls Club of America has a guide with steps to follow for success.
- Find resources that are already established and tap into them as much as possible. Share your experiences and documentation to ensure an ongoing partnership.
- Develop an interactive website to share ideas.
- Develop an internship program or find existing organizations to work with underserved communities.
- Enhance transparency to ensure credibility.
- Use elders as a resource for teaching, and never compromise their trust.
- Electronic database systems (and IT in general) are underused by tribes: planning and developing a good system to warehouse project data is important.
- Visit with other tribes to learn their best practices.

### **Community Strategic Planning:**

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



**Job Training:**

- Job training sessions should focus on serving all types of customers, but the training delivery should be culturally appropriate for Native people.
- Always track the project's progress.
- Celebrate successes!
- Develop partnerships with fellow service providers.
- Be willing to partner with non-Native agencies to broaden scope of support services.
- Market your program by going to community meetings.
- Don't forget to emphasize "soft skills."

**Emergency Response Activities**

- Hire qualified staff.
- Form necessary partnerships prior to proposal submission.
- Attend ANA post-award training.
- Conduct research prior to proposal submission to ensure all contingencies are covered and all project components are in place.

**GOVERNANCE****Tribal Courts:**

- Ensure tribal support and stable leadership.
- Identify and collaborate with key partners in a similar service area. Follow-up on the collaboration by positioning your entity as a critical player within your service area. Capitalize upon the services, knowledge and skills that your staff possesses, and no other entity does.
- Develop your own capacity to eliminate the need to rely on others for assistance.

**Codes and Ordinances:**

- Don't reinvent the wheel.
- Be creative to make legal issues more entertaining / accessible for participants. Use cartoons, stories, jokes, etc.
- Don't send out too much written material at a time to your committee members (they won't read it). Send out summaries instead, so they can focus on the main points of your upcoming meetings.
- If you are a lawyer or legal expert, be honest with code committee members when you don't know something – don't pretend you know everything.

**Information Management:**

- Thoroughly understand your business and technological requirements prior to applying.
- Understand your staff's technical skill sets.
- Hire a good technical project manager, rather than a manager with limited technical knowledge.
- You can get your tribal council to agree to IT projects if you use layman's terms, and explain pros and cons, and future benefits.

**Tribal Government Program Enhancement:**

- Training should be adapted to suit Native people's needs and should be culturally relevant.
- Include the financial staff in project planning.

**FAMILY PRESERVATION****Strengthening Family Relationship Skills:**

- Don't create programs that isolate family members from one another. Design your activities to keep families together.
- Create programs around parents' time schedules. This reduces logistical challenges (i.e. parents finding baby-sitters when they must attend an activity) and engenders positive family relationships.
- Don't "bribe" parents by giving them gifts to ensure their involvement. That is a short-term solution and is not sustainable for the program.

**Organizations that work with domestic violence issues:**

- Enforce an abstinence policy (drug and alcohol use) with staff to engender trust from the community.
- Confidentiality is paramount.
- Use Native culture and language in treatments because it helps clients reclaim their identity.
- Collaborate with other area service providers that complement the services you provide.
- Demonstrate how your portfolio of services fills a need in the community and shore up support from partners.
- Seek out personnel who have a passion for service work and have a history of devotion and experience in their field.
- The project trainings were included in the tribal incentives program for the first two project years, which formed a guaranteed audience.

- Train staff in case management skills.
- Provide cultural training for non-Native staff.
- Leverage any available resources in your area to complement the pool of available family services.
- Provide incentives to project participants.
- Evaluate workshops and adjust based on the feedback.
- Utilize videoconferencing and Skype to overcome distances and to stay connected.
- Be sure to put aside some time to allow for trust to be built with the target communities.
- Offering childcare for participants really helped - otherwise they wouldn't have been able to attend classes.
- Manage partner relationships well and with care: you should recognize partners with letters and cards. You should go to lunch with them, visit them. Talk to them when you don't even want anything from them!
- Be inclusive - include all ages in the workshops.
- Hire qualified, passionate staff.
- Incorporate traditional Native practices into the program. Native youth and couples respond well to a program geared specifically towards them.

#### **Family Violence Prevention:**

- Incorporate cultural traditions into a treatment program.
- Concentrate on increasing the health of a community. Don't be discouraged by a lack of immediate results. These types of programs are a long-term solution.

#### **Foster Parenting:**

- Have procedures in a manual to improve quality and continuity of your foster parent training program.
- Must have a strong parenting behavioral program that is culturally appropriate.
- Have good incentives for foster parents (general level of remuneration and small money gifts).
- Hold training at casinos because they are nice places for foster parents to meet.
- Use evidence-based training programs (those with research supporting them) and tailor them to meet your cultural concepts.
- Have strict requirements for foster parent qualifications.
- Parenting programs need to focus on skill development – hands on (practices and roll playing): focus on doing rather than studying.

#### **Curriculum Development:**

- Bring traditional teachings into modern life.

## **LANGUAGE**

### **Staffing and Working with Consultants:**

- Even if a person is a good speaker, they might not be a good teacher, so it is important to recruit people with good teaching skills or else teach them to teach if they can learn and are motivated.
- Hire a linguist—this is very important for language projects.
- Pay consultants by the deliverable. Clearly define duties beforehand in the contract/scope of work.

### **Language Learning Methods**

- It can be very difficult to select the best language learners and teachers, so it's good to have direct, face-to-face experience with individuals. Use an internship program to identify and try out candidates.
- Shoot for immersion programming rather than just classes if you want to revitalize the language.
- Immersion requires being very adamant to not speak English. Don't be afraid of losing the English!
- Explore using Accelerated Learning Acquisition, Total Physical Response (TPR), and Master-Apprentice.
- Don't be afraid of empty pages—don't over-instruct. Always think from the learner's perspective.
- Use creative incentive items, like giving away bracelets with words on them, to encourage younger learners.
- Never exclude kids, even if they're of different abilities or different tribes. Have them help each other.
- Encourage learners to speak the language, even if it's not correct or completely accurate. A lot of people have hang-ups because they are worried about having the wrong accent. Reinforce that "this is our language;" speak it and be comfortable with it.
- Classes can be more enjoyable by incorporating language learning with learning of traditional activities, such as cooking demonstrations, carving, or dances.

### **Using Media:**

- One young man, prior to the project, used old recordings to learn the language. The Elders saw this, respected his success, and became more willing to be recorded.
- Plan for a back-up of electronic files.
- Use teams of two to record and have multiple levels of review for the recordings to make sure the highest possible quality of recordings is preserved.
- Hire a media person who can develop recordings and online and visual tools. It takes a lot of time for filming and editing.

- Use YouTube or another video sharing program to reach a large audience. A lot of viewers sign up for the channel, and comment on wanting more.

### **Conducting Language Surveys:**

- Have good up-front communication with the target community about the survey, such as its purpose and what is required.
- Use focus groups to develop and test survey questions.
- Involve youth in language surveys; engage youth in documentation process.
- Go house to house to collect data. Be persistent in getting surveys completed.

## **ENVIRONMENT**

### **Project Planning and Preparation:**

- Conduct thorough planning and research, and hold a lot of meetings, before the project begins.
- Keep your objectives doable and focused.
- Set aside a month at the beginning of the project to get your bearings, give yourself time to learn about your project before starting, and review other comparable plans.
- Have documentation forms pre-made and readily available.
- Get information from other grantees who have done similar projects; call or talk to other people and take advantage of the ANA grantee meeting.

### **Community Involvement:**

- Consult the community before implementing anything; leave preconceived notions of how you think things should be done at the door, and allow the community to shape the project to ensure buy-in.
- Develop real relationships with your communities, not just superficial relationships to expedite your needs.
- Work with kids to ensure positive attitude changes are maintained in the next generation.
- Use environmental community surveys to put pressure on tribal members to act on concerns they have.

### **Project Management:**

- Keep grant files organized, with both paper and electronic copies of all documents used and developed.
- Keep track of in-kind on a quarterly basis.
- Establish timelines and stay on top of time management by regularly reviewing the

Objective Work Plan.

- Have separate administrative staff and finance staff to stay organized with reporting and project management; have a director that is dedicated to the programmatic side.
- Maintain a feeling of flexibility, so if a side task comes up that seems worthwhile you can adjust the work plan along the way.
- Submit things that need to be reviewed by the Tribal Council early to allow time for it to be approved.
- Stay on top of data collection, entry, and organization; data management is the big one.

#### **Partnerships:**

- Maintain coordination with partners consistently throughout the project, and don't be afraid to really utilize them.
- Good environmental partnerships include universities, state archaeologists, state historic preservation offices, and local historical societies.

#### **Building Staff Capacity:**

- Build staff capacity through training and by finding committed, culturally knowledgeable staff.
- Make visual guidelines for field crews. If using GIS, it is very important that the staff take at least a one-day GIS training. To deal with staff turnover, make sure that all staff provide materials and training for transition so that if someone leaves, the new person will be prepared.
- Cultural, Traditional, and Scientific Knowledge:
- Use a GIS system to manage spatial data and connect your database to a spatial component.
- Tie the environmental work to cultural effort and events.
- Utilize local resources and knowledge; it's the best thing you can do.

#### **Responding to Challenges:**

- Review progress as you go to make revisions as necessary in response to challenges.
- Continue different training and learning along the way.
- Establish an evaluation team that meets quarterly, asks the project director about challenges, and works together to address those as they come up.
- Use a multi-pronged approach to complete the project plan.

#### **Communication:**

- Ensure you have face time with people, not just emails and phone calls.
- Develop easily accessible contact/communication lists and establish a clear

communication plan prior to the project.

- Don't underestimate the time needed for communication (estimate 2.5 times more time than you think things will take, to take communication into account).
- Prevent barriers between departments and keep communication open.

## **GRANTEE SUGGESTIONS ON PREVENTING AND OVERCOMING CHALLENGES**

### **Staff Turnover:**

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

### **Late Start:**

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

### **Scope Too Ambitious:**

- Use the OWP as a guide and step-by-step means of implementing your project.
- Focus on accomplishing one thing at a time – break the project down into manageable pieces.
- Recruit volunteers to help with the project's implementation.
- Delegate work evenly amongst project staff and according to areas of expertise.

- Collaborate with your partners to see if you can lessen your workload – sometimes a partner may already be implementing similar activities and you can simply work with them rather than reinventing the wheel – this will ensure there is no duplication of effort.
- Use all resources available to you.

#### **Geographic Isolation / Travel:**

- Plan – complete activities with the weather/seasons in mind.
- Use local resources (consultants, volunteers, etc.).
- Provide incentives such as gas cards if you are having difficulties with participation due to travel distances.
- Provide transportation to project participants.

#### **Lack of Expertise:**

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

#### **Challenges with ANA Processes**

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

#### **Underestimated Project Cost:**

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

#### **Underestimated Personnel Needs**

- Find volunteers to work on your project.
- Use summer interns and students.
- Delegate project tasks as evenly as possible amongst your staff and maintain open communication to ensure your staff can handle the extra workload.



- Collaborate with your partners to see if you can lessen your workload – sometimes a partner may already be implementing similar activities and you can simply work with them rather than reinventing the wheel – this will ensure there is no duplication of effort.
- Build a partnership with the AmeriCorps, as they provide volunteers to fit an organization's needs.

#### **Partnership Fell Through:**

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

#### **Lack of Community Support:**

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

#### **Hiring Delays:**

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

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

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

**Table 18: Selected Items of Cost**

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

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

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



# Appendix I: Business Planning

## Introduction to Social Entrepreneurship

Social entrepreneurship is the use of the techniques that startup companies and other entrepreneurs employ to develop, fund, and implement solutions to social, cultural, or environmental issues. This concept may be applied to a variety of organizations with different sizes, aims, and beliefs. For-

Profit entrepreneurs typically measure performance using business metrics like profit, revenues and increases in stock prices; but social entrepreneurs are either non-profits or blend for-profit goals with generating a positive “return to society” and, therefore, must use different metrics. Social entrepreneurship typically attempts to further broaden social, cultural, and environmental goals often associated with the voluntary sector.

Many projects/ organizations have established for-profit components to their department or organization. The establishment of these for-profit components was not always a planned decision, but rather an opportunity offered to the projects/organizations. The primary reasons for incorporating for-profit projects include, but are not limited to:

**Survival** – The traditional funding to the project/organization had been reduced and it was necessary for the organization to look for alternative ways to support the organization.

**Self-sufficiency** – Many projects/organizations felt that they did not plan their future but rather the future of the organization was planned based on the appropriations passed by Congress and the award of grants/contracts by the federal and state government.

**Flexibility** – Frequently projects/organizations had difficulty in providing comprehensive services to their clients due to the restrictions on the use of the funds. To better meet the needs of the clients they developed alternative resources which allowed them to provide the full range of services the client needed.

Whatever the reason, the project/organization took the initiative to control the future.

### A. Assessing the Project/Organization

The most important activity the project/organization will undertake is to assess their current capability to develop and manage a for-profit component within the organization. The organization must first determine why they want to do this and the governing body must fully support the move to for-profit activities.

Some of the questions that an organization needs to answer include:

1. Does the project/organization have the skills needed to run a for-profit project?
2. Has the project/organization identified what help they will need and where to get the help?

3. Does the staff have the time required to learn the things that they need to know?
4. Does the organization have the money to hire the staff and/or consultants needed?
5. Is the organization interested in the proposed for-profit project?
6. Is the organization committed to the success of the for-profit project?
7. Is the organization willing to devote the time needed to develop a successful for-profit project?
8. Will the project fill an unmet need in the community or can you do it better than the current businesses providing the goods/services?
9. Is there sufficient customer demand for the goods/services offered by the project?
10. Will the organization be able to compete competitively?
11. Does the Board of Directors and Administration understand financial statements such as cash flow, profit and loss, and balance sheets?
12. Has the organization developed a comprehensive business plan?
13. What are the unique aspects of the community that could be a competitive advantage for the proposed business (such as culture, language, location, history)?

Many of the skills required to manage government funded projects are easily transferable to the management of for-profit projects. Development of a for-profit component to the organization must be supported by all levels of management and include the mission of the organization.

### **B. Developing a For-Profit Component Within Your Project/Organization**

Ideas for for-profit projects can come from many places. All projects/organizations have had great ideas that were never acted upon. The next step is for the project/organization to do an assessment of their skills/weaknesses to identify for-profit projects.

There are basically four categories that all businesses can be classified into:

1. Retail
2. Service
3. Manufacturing
4. Wholesaling

Once you have identified your organization's skills and weaknesses it will be necessary to evaluate the options. The questions to be addressed include:

1. Does the for-profit project tie into the overall goals of the organization?
2. Does the organization have experience in providing the goods/services of the for-profit project?
3. Can the organization afford to establish the for-profit project?
4. Can the organization afford the risk involved with establishing a for-profit project?

5. Is there a demand or can the organization develop a demand for the goods/services of the for-profit project?
6. Does your organization have a competitive edge?

### **C. Development of the Business Plan**

The key to developing a for-profit project within your organization is to do an accurate assessment of the organization and to plan. Generating unrestricted revenue will allow your organization to fulfill the mission for which it was established, attract and compensate good employees, and provide employees with a work environment that allows for growth and productivity.

A complete plan is designed to provide a picture of the business before operations are actually started. The most important thing in planning a business is that all phases of operation be considered in the initial stage. The plan should include very definite ideas of competitive advantages, revenues to be generated, accounting, financing, clients, general method of operation, policies, amount and type of expenses, and other important factors. Mistakes in the planning stage or lack of adequate attention to planning will cause failure. No commitments or obligations should be undertaken without a clear plan of possibilities. The typical business plan includes the following information:

- Statement of Purpose (of the plan)
- Table of Contents
- Executive Summary
- Description of Business
- Market Analysis
- Organization and Management
- Financial Analysis
- Supporting Documents

There are a number of resources to help with the development of the business plan; the Administration for Native Americans has three Guides:

1. The Indian Business Owner's Guide
2. The Tribal Enterprise Developer's Guides
3. The Indian Social Entrepreneur's Guides <http://www.acf.hhs.gov/ana/resource/the-indian-social-entrepreneurs-guides>

Other resources include SCORE (Senior Corp of Retired Executives) whose website hosts a "Business Toolbox" and on-line learning center at [www.score.org](http://www.score.org). The Small Business Administration also provides many on-line resources at [www.sba.gov](http://www.sba.gov).



## Appendix J: Bibliography

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## **Western Region**

<http://www.anawestern.org>

Toll free: **1.855.890.5299**

## **Eastern Region**

<http://www.anaeastern.org>

Toll free: **1.888.221.9686**

## **Pacific Region**

<http://www.anapacificbasin.org>

Toll free: **1.844.944.9544**

## **Alaska Region**

<http://www.anaalaska.org>

Toll free: **1.800.948.3158**