



# MANUAL

2021

# 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 our T/TA Centers from the Pacific, Western, Alaskan, and Eastern 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 recipients and applicants, that projects are more likely to be successful and sustainable if they are planned and developed by the community as part of a long-term community strategy. This training will provide you with tools for working with the community to explore long-term planning strategies and define 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 Notice of Funding Opportunity (NOFO) 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 NOFO</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.

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) Notice of Funding Opportunity 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 communities 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.

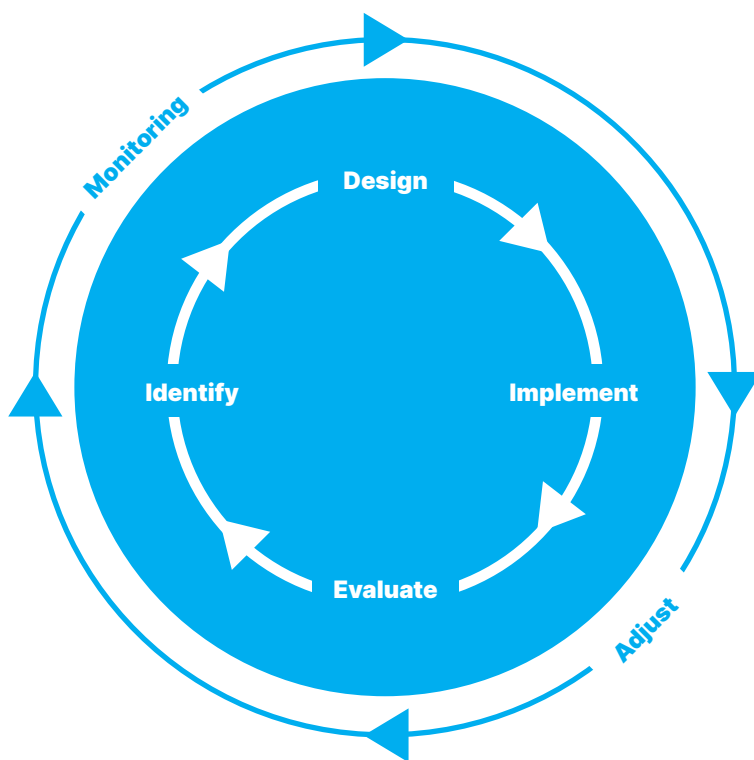
**Figure 2: Benefits to Project Planning**

<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. 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.



## 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 provide the opportunity to seek community direction and to promote community buy-in and help build unity around the project. To assist you in this process, **Toolkit** includes different community involvement strategies to use in the project planning process. **Toolkit** 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 **Toolkit** 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 18-50 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. 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 3 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 Native youth 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 Native youth, ages 18-25 from obtaining employment	Contact tribal or community job center and high school counselors	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 Native youth ages 18-25 in our community is 50% above the state average.**

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 current community condition 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.**



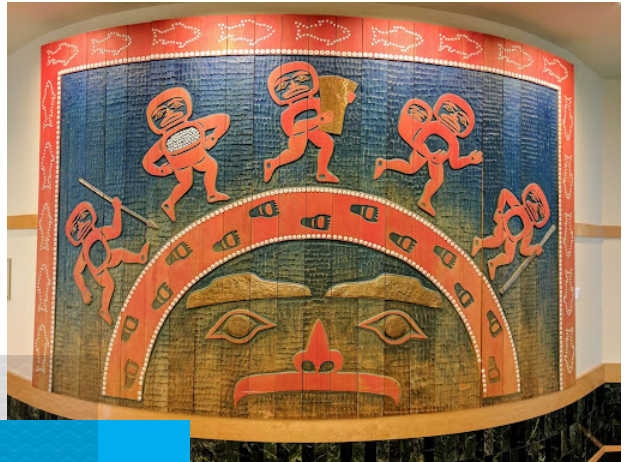
**What evidence do you have to show this condition is a barrier to achieving a long-term community goal?**

**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 18-50 will be able to access living wage permanent jobs.**

**Current Community Condition - The unemployment rate of Native youth ages 18-25 in our community is 50% above the state average.**

**Project Goal - Train Native youth ages 18-25 to be qualified for entry level construction jobs.**

**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.





**LONG-TERM COMMUNITY GOAL - All employable community members ages 18-50 will be able to access living wage permanent jobs.**

**COMMUNITY CONDITION - The unemployment rate of Native youth ages 18-25 in our community is 50% above the state average.**

**PROJECT GOAL - Train Native youth ages 18-25 to be qualified for entry level construction jobs.**

**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).

### Step 1 - Make the objective **specific**:

Use action words and avoid using jargon.

- What are we going to do, with or for whom?
- What needs to happen?
- Why is this important to do?

### Step 2 - Make the objective **measurable**:

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

- How will you know if you've achieved your objective?

### Step 3 - Make the objective achievable and **relevant**:

Ensure the objective can be achieved within the time and resources available.

- What resources are available - staff, time, skills, and funding?
- Has this been done before?
- Have any/all limitations been assessed?

Ensure the objective is relevant to your project.

- Will the completion of the objective help you achieve the project goal?
- Is this what the project needs?
- Is this what the community needs?
- It may be something to work on, but not always what the project needs to achieve the project goal.

### Step 4 - Make the objective **time-bound**:

Make sure the objective has a deadline.

- When will this be accomplished?
- What is the timeframe this objective needs to be accomplished in?



**SMART Objective:**

By the end of 36 months, train 20 unemployed Native youth in our community using a culturally modified DOL program to increase their construction trades skills with 20 Native youths completing the program with First Aid-CPR, HAZWOPER, OSHA-10, Construction Trades (NCCER), and pre-employment skills certification.

## 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 36 months (timeline), at least 20 unemployed Native youths (population) will complete the construction trades training program (indicator) with 5 certifications (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

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> Train Native youth ages 18-25 to be qualified for entry level construction jobs.							
<b>Current Community Condition:</b> The unemployment rate of Native youth ages 18-25 in our community is 50% above the state average.							
<b>Objective:</b> By the end of 36 months (timeline), at least 20 unemployed Native youths (population) will complete the construction trades training program (indicator) with 5 certifications (target).							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-Yr Post
Increased job readiness amongst Native youth in our community.	Complete construction trades training program.	Certifications Obtained - Construction Trades Certification - OSHA-10 card - First Aid-CPR certification - HAZWOPER certification -Pre-Employment Skills certification	0 youth	6 youth	7 youth	7 youth	20 youth
<b>Outputs:</b> Data collection and protocol tools; outreach materials; 20 Native youth completing the job skills training program; 48 hours of Pre-Employment training (16 hours/project year); 72 hours of First Aid-CPR training (24 hours/project year); 48 hours of OSHA-10 training (16 hours/project year); 72 hours of HAZWOPER training (24 hours/project year); 768 hours of NCCER certification training (256 hours/project year); 100 total certifications (5 different certifications x 20 Native youth); 20 completed resumes; MOAs with consultants.							

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** – Each 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							
<b>Project Goal:</b>							
<b>Current Community Condition:</b>							
<b>Objective:</b>							
Outcome	Indicator	Means of Measurement	Baseline	Project Year 1	Project Year 2	End of Project	3-Yr Post
<b>Outputs:</b>							



# 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 Native youth ages 18-25 in our community is 50% above the state average.



**NOTE: Your OWP can have up to a maximum of 25 milestone activities, not including the required administrative activities of reporting and the required meetings by ANA.**

**Table 8: OWP Example**

<b>Project Title:</b> Giving our Native Youth a Hand Up		<b>Project Year:</b> 1		
<b>Project Goal:</b> Decrease the unemployment rate of Native youth ages 18-25 in our community.				
<b>Objective:</b> By the end of 36 months (timeline), at least 20 unemployed Native youths (population) will complete the construction trades training program (indicator) with 4 certifications and pre-employment skills (target).				
<b>Outcome:</b> Increased job readiness amongst Native youth in our community				
<b>Milestone Activities</b>	<b>Outputs</b>	<b>Project Staff</b>	<b>Start Date</b>	<b>End Date</b>
1 Onboard and train staff on ANA workplan, team responsibilities and expectations and policies and procedures.	All project staff are prepared to implement project activities.	Lead: Exec. Director  Other: Board of Directors	9/30/2022	10/31/2022
2 Implement Outcome Tracking Strategy – design spreadsheets, databases, attendance sheets/ records, purchase external storage drives. Collect data at regularly scheduled intervals. Analyze data quarterly.	Data collection protocols and tools.	Lead: Project Manager  Support: All Staff	10/1/2022	9/30/2023
3 Implement Session 1 recruitment campaign to enroll Native Youth, ages 18 - 25, through the local job centers and high schools; and the Tribal employment department. Using flyers, websites, newsletters, listserv announcements and radio.	Outreach and recruitment materials 6 Native Youth enrolled to participate	Lead: Project Manager  Support: Project Staff, High School Counselors, Job Center, Tribal employment and training staff	10/1/2022	11/30/2022
4 Conduct Cohort 1 personal interviews and assessments for each participant. Collect baseline information (pre-test) and set up monitoring systems.	6 Native youth have a portfolio that will be maintained and used to track progress.	Lead: Workforce Specialist  Support: Project Coordinator	12/1/2022	12/30/2022

5	Implement Module: First Aid-CPR Certification	6 Native youth complete 24 hours of training in First Aid-CPR training (3 x 8 hour training).	Lead: Consultant Support: Project Coordinator	1/1/2023	1/30/2023
6	Implement Module: Construction Trades Certification (NCCER).	6 Native youth complete 256 hours of NCCER certification (2 x 8 hour training x 16 weeks).	Lead: Consultant Support: Project Coordinator	2/1/2023	6/01/2023
7	Implement Module: OSHA-10 Certification.	6 Native youth complete 16 hours of OSHA-10 Training (2 x 8 hour training).	Lead: Consultant Support: Project Coordinator	2/1/2023	2/28/2023
8	Implement Module: HAZWOPER Certification.	6 Native youth complete 24 hours of HAZWOPER training (3 x 8 hour training).	Lead: Consultant Support: Project Coordinator	3/1/2023	3/30/2023
9	Implement Module: Pre-Employment Skills	6 Native youth complete 16 total hours of training in resume building, mock interview and workplace etiquette.	Lead: Consultant Support: Project Coordinator	5/1/2022	5/30/2022
10	Certification Celebration for Native youth participants.	6 Native youth will receive 4 certifications (4 certifications x 6 Native youth = 24 total certifications)	Lead: Project Coordinator Support: Project Staff	6/8/2023	6/8/2023
11	Begin recruitment process for Cohort 2	Outreach and recruitment materials 7 Native youth recruited for Cohort 2	Lead: Consultant Support: Project Coordinator	6/1/2023	8/1/2023

<p>12 Preparation for Cohort 2</p>	<p>Renewed contracts with training consultants Modifications to curriculum (if necessary) New files for Cohort 2 participants</p>	<p>Lead: Project Director Support: Project Coordinator</p>	<p>6/15/2023</p>	<p>8/15/2023</p>
<p><b>Administrative:</b> Establish federal system account access and official grant file.</p>	<p>PMS account access Grant file</p>	<p>Lead: Exec. Director Other: Board of Directors</p>	<p>9/30/2022</p>	<p>10/31/2022</p>
<p><b>Administrative:</b> ANA annual/bi-Annual reporting and PMS quarterly/bi-annual/annual financial reporting.</p>	<p>OPR, ADR, FCTR, FSR, etc. reports submitted.</p>	<p>Lead: Project Manager and Financial Manager</p>	<p>9/30/2022</p>	<p>9/29/2023</p>
<p><b>Administrative:</b> Attend ANA mandatory Post Award Training for new award recipients</p>	<p>Staff Development</p>	<p>Lead: Project Director Support: Financial Manager</p>	<p>11/1/2022</p>	<p>11/30/2022</p>
<p><b>Administrative:</b> Attend Annual Recipients Meeting.</p>	<p>Staff Development.</p>	<p>Project Manager Project Coordinator Financial Manager</p>	<p>3/1/2023</p>	<p>3/30/2023</p>

## 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, aunties, 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.

## Partnerships

Each year, ANA conducts impact evaluations on a large percentage of its projects, providing recipients 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 recipients.

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> Employment Trainer	Implements training curriculum	\$25 HR
<b>External:</b> Labor Union Reps	Present opportunities to participants	\$30 HR
<b>Assists in material modification and formatting</b>		
<b>Internal:</b> Job Center	Resume writing and training classes	\$45 HR
<b>External:</b> DOL Job Service	Partner assist with providing certification materials	Free service
<b>Resume writing and job placement for participants</b>		
<b>Internal:</b> Copy and Binding Machines	Print, collate and bind 30 copies of participant training materials	\$3,300
<b>External:</b> State DOL Training Room	Donated space for training	\$200 per day
<b>External:</b> State DOL Training Material	Donated for modification	\$3,000 for 30 units of curriculum
<b>State DOL Training Room</b>		
<b>External:</b> 3 Partner Companies American Red Cross, OSHA 10, NCCER	Provide certification trainings 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.

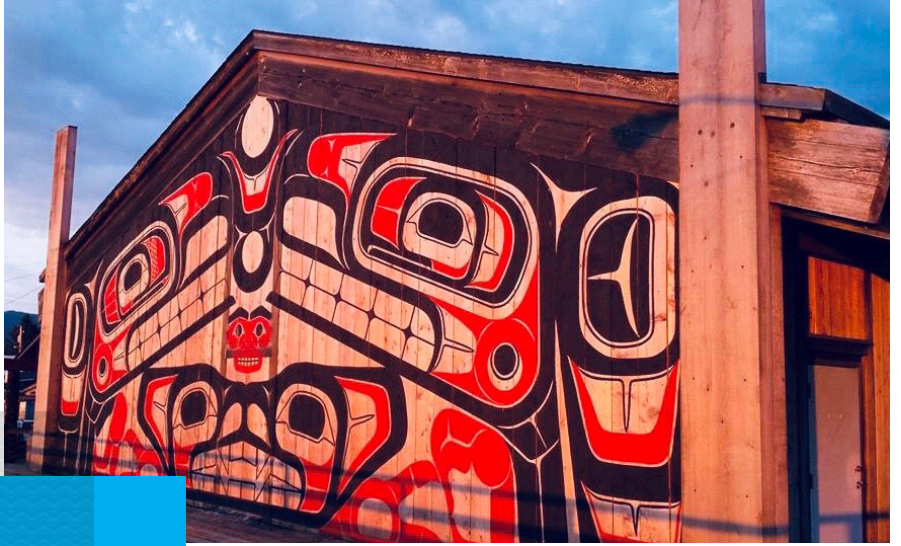


**NOTE: An important factor while developing the approach is to be careful of “scope creep”. Scope creep happens when the project is trying to solve too many community concerns with one project and the scope of the project expands too much to feasibly be achieved with the resources and time available.**

**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 6 Native youth for job skills training by the end of the 2nd month.

**Challenge:** The total number of participants enrolled is only 4 Native Youth, ages 18 - 25.

**Contingency Plan:** Enhance recruitment methods for years two and three to ensure getting 16 participants for training over the next two years to meet project targets.

**Activity:** Conduct training workshops over 3 years in our key partner's meeting space.

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

**Contingency Plan:** We have researched two other spaces one at the Career & Technical Center, and the other at a local community hall. Each of these organizations is willing to help host the workshops.



**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) - <https://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 recipient'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 a post-award training in year one and an annual grantee/recipient meeting. 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 financial needs.

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

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

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

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

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

Are there any special supplies that will be needed?

Supply	Purpose	Quantity Needed	Estimated Cost

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

Other Cost Areas	Purpose	Quantity	Estimated Cost

## 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/Recipient 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 Airfare Lodging M&IE	Parking Mileage Taxi/Shuttle
ANA Grantee/ Recipient Meeting - Mandatory each year			Cost (x) Per Person Airfare Lodging M&IE	Parking Mileage Taxi/Shuttle
Training Location 1			Cost (x) Per Person Airfare Lodging M&IE	Parking Mileage Taxi/Shuttle

			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
Funding Opportunity Announcement (FOA)	Notice of Funding Opportunity (NOFO)
Grantee	Recipient

## Appendix B: 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		



## **ANA Help Desk**

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

Toll free: 1.877.922.9262

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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**