2021

SEDS-GO Toolkit

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Developed by the ANA Regional T/TA Centers

Alaska Region • Eastern Region • Pacific Region • Western Region

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Welcome to the SEDS-GO Toolkit

If you're looking to build capacity for your Native community-serving organization, you're in the right place. The new Social and Economic Development Strategies – Growing Organizations (SEDS-GO) initiative, from the Administration for Native Americans, is designed to help growing organizations reach their full potential as highly functioning entities able to effectively serve their Native American, Alaska Native, and Pacific Islander communities.

In the following pages, you'll find resources that can help you put together an application for a SEDS-GO Grant. The SEDS-GO Application Development Companion conveniently pairs the components you'll need to include in your application with the evaluation criteria they'll be scored with. A series of Assessment Tools will ask you questions to help you think through your capacity across various categories; assessments yielding lots of "No" answers may suggest which "targeted challenges" you might address with a SEDS-GO grant.

For free technical assistance, contact your Regional TTA Center for help (page 31).

SEDS-GO Application Development Tool

A Handy Guide to Help You Develop Your SEDS-GO Project Proposal

To accommodate growing organizations, the SEDS-GO program uses a streamlined project framework that differs from ANA's other five funding opportunities. While the ANA Pre-Application Manual (available in the ANA Resource Library or from your regional TTA Center) provides many useful tips for preparing your grant application, this SEDS-GO Application Development Tool is designed to help SEDS-GO applicants understand how to address the unique SEDS-GO framework.

When you are writing the narrative portion of your SEDS-GO grant application, it's important to address every one of the numbered elements in the scoring criteria found in Section V.1 (pp. 48-51) of the SEDS-GO Funding Opportunity Announcement (FOA).

Consider formatting your narrative to follow the same order as the evaluation criteria, with a subheading corresponding to each numbered criterion element in Section V.1. This makes it easy for panel reviewers to identify the information in your application that they need to score as they make their way down the list of scoring criteria.

SEDS-GO applicants are highly encouraged to contact their regional Training and Technical Assistance (TTA) Center for free, personalized one-on-one technical assistance. *See the last page of this Toolkit for TTA center contact info.*

Step 1:

Choose up to two targeted challenges from the list of eight possible choices in Section I of the SEDS-GO FOA.

Your project will help you build capacity in these areas. The list of targeted challenges that you may choose to address is listed below and can be found on pages 3-4 of the SEDS-GO FOA. For detailed definitions of each targeted challenge option, and for useful assessment tools you can use to identify challenges that your organization may be facing, see the next section of the Toolkit, *"Self Assessment Tools."*

- **Staff Development**
- **Governance**
- **Effective Grants Management**
- **Strategic/Community Planning**
- **Financial Management Systems**.
- **Use of Technology**
- **Ability to Track and Manage Data**
- **Partnerships**

The examples in gray boxes on the following pages address a fictional project that targets “Ability to Track and Manage Data” *as its targeted challenge.*

In the “Targeted Challenges” section of your narrative, directly address each of the three following criterion elements:

> ***Targeted Challenge (6 points)***
>
> *3. How well does the application explain why the organization chose to focus on the targeted challenge(s) and document how the organization's members were involved in developing the project (e.g., stakeholder meeting agendas, sign-in sheets, surveys, focus group notes, etc.)? (Refer to Section I. Program Description, SEDS-GO Program Purpose for the list of targeted challenges that a project may address)*
>
> *4. How well does the application describe the current status of the targeted challenge(s) and their effect on the applicant organization’s ability to provide services to its defined community?*
>
> *5. How well does the application describe past efforts to address the targeted challenge(s)?*

Step 2:

Develop a project goal that describes how you will improve your organization’s capacity.

In no more than two sentences, your project goal should summarize how you will address your targeted challenge(s).

Applicants may consider using a format like this to state their project goal:

> **“Our project goal is to upgrade/improve/etc. _[*insert targeted challenge intervention here*]_ that will improve our organization’s capacity to more effectively/efficiently _[*insert targeted challenge here*]_ and effectively serve community members.”**

Example of Project Goal:
Our project goal is to upgrade data information systems, policies, and training that will improve the organization's capacity to more efficiently manage program data and effectively serve community members.

State your project goal as a stand-alone paragraph at the start of the "Project Goal" section in your narrative. Place it in a box, or bold it, or format it in such a way that it stands out enough to make it easy for reviewers to identify. In the subsequent paragraphs, individually address each of the project goal criteria elements in narrative form:

> ***Project Goal (6 points)***
>
> *6. How well does the project goal address the targeted challenge(s)?*
>
> *7. How well does the application demonstrate that the project goal specifically relates to the purpose of the FOA, as described in Section I. Program Description, SEDS-GO Program Purpose?*
>
> *8. How well does the application identify how achieving this goal will positively impact the organization and its ability to provide services?*

Step 3:

Develop one S.M.A.R.T. objective per targeted challenge.

A project can only contain a maximum of two total objectives, one objective for each targeted challenge. Objectives are accomplished during the project period and make progress towards completing the project goal.

SEDS-GO requires outcome-oriented objectives that are Specific, Measurable, Achievable, Relevant, and Time-bound (SMART).

> **Specific** – a specific area for improvement/change. Your *indicator* describes the specific way that you will know change has occurred in your objective (*See Step 5 for more on indicators*).
>
> **Measurable** – provide a quantifiable target to show the amount of change. Your *target* defines the expected amount of change that will occur and how it will be measured (*See Step 5 for more on targets*).
>
> **Achievable** – given the proposed time frame, approach, and resources. Reviewers may consider your Objective Work Plan (*see Step 6*) and Project Implementation Strategy (*see Step 7*) to determine if your plan for achieving the objective is achievable.
>
> **Relevant** – to the project goal. Borrow key words from your project goal (*see Step 2*) to make the connection clear.
>
> **Time-bound** – with an end date reflecting completion within the project period. Each objective can take up to 36 months to be completed. Once all objectives are achieved, the project is complete.

Example of SMART Objective:
By the end of 36 months, the organization will improve staff efficiency by reducing time spent on managing data by 20 percent through the creation of a comprehensive web-based portal to manage all data under one platform.

To ensure that your objectives meet the following criteria, you may provide subsequent paragraphs in the Objectives section of your narrative to make clear to reviewers why the objective(s) presented adhere to each of the S.M.A.R.T. criteria and lead to the project goal:

SMART Objectives (6 points)

9. How well does each objective (one objective per targeted challenge) address the components of SMART?

- *Specific – a specific area for improvement/change*
- *Measurable – provide a quantifiable target to show the amount of change*
- *Achievable – given the proposed time frame, approach, and resources*
- *Relevant – to the project goal*
- *Time-bound – with an end date reflecting completion within the project period*

10. How well do the objective(s) lead to the achievement of the project goal?

Step 4:

For each objective, define one outcome.

Each objective must have exactly one outcome. The outcome should reflect a change that will happen at the community level once the objective is complete. Because all SEDS-GO projects are meant to build the internal capacity your organization needs to serve your Native community more effectively, the outcome(s) of all SEDS-GO projects are somewhat prescribed and will be very similar for all objectives.

When stating your outcome(s), applicants may consider using a format like this, to focus on capacity-building within the lens of your chosen targeted challenge(s):

Improve the organization's capacity to [*insert solution to targeted challenge*].

Example of Outcome:
Improve the organization's capacity to access reliable data efficiently for clients and stakeholders.

Check to see that your outcome satisfies the criterion element #11. If more clarification is needed, write a paragraph to explain how your outcome satisfies the criterion element:

> ***Outcomes***
>
> *11. How well does the application describe one primary outcome per objective in a way that demonstrates what will change in the organization as a result of achieving the objective?*

Step 5:

For each outcome, define one indicator and a corresponding target.

Each outcome must have exactly one indicator. An indicator is used to observe an outcome's intended change. Indicators are an observable and measurable characteristic that show project progress toward achieving the outcome.

Some projects may have indicators that indicate the creation of a single product needed to build capacity. For example, if your targeted challenge is Financial Management, your indicator might be "*the creation of documented, federally-compliant financial management policies and procedures.*" In this case, your quantifiable "target" will be 1, in that you will go from having 0 financial policies document to 1 financial policies document.

> (**Note:** The term "target" is a standard ANA concept and should not be confused with the word "targeted" in "targeted challenges.")

Example on Indicator and Target:
20 percent (target) reduction in number of hours staff spend on managing data (indicator).*

** Note: This method of defining indicators and targets (i.e. using staff hours) is atypical and may not be right for everyone. Describe indicators/targets that make sense for you. Contact your TTA center if you need help.*

Check to see that your indicator(s) and target(s) satisfy criterion elements 12 and 13. If more clarification is needed, write a paragraph to explain how your indicator(s) and target(s) satisfy the criterion elements:

> ***Indicators***
>
> *12. How well does the application provide one indicator per outcome that illustrates how the organization will track progress towards the outcome?*
>
> *13. How well does the application identify a target for each indicator that is a quantifiable and measurable benchmark that will show improvement in the current status of the targeted challenge(s)?*

Step 6:

For each year of your project, list all milestone activities needed to achieve each objective in your Objective Work Plan (OWP).

The OWP serves as a standalone document for project implementation. At the top of the form, copy and paste your project title, project goal, objective, and outcome (this must match up word-for-word with what's in your narrative). For each activity, indicate who will be responsible, the resulting output(s), and the start and end dates.

Fill out an OWP form for each year of your project for each objective. For example, if you will have two objectives, and activities for both objectives span three years, then you will have to submit six OWPs (i.e. 2 objs. x 3 yrs = 6 OWPs).

For guidance on how to put together your OWP, see pages 69-72 of the Pre-Application Manual.

The Objective Work Plan (OWP) is a standard, required form, so applicants must use an official version. The MS Word doc version is easiest to fill out and can be downloaded from the Objective Work Plan page of the ANA Resource Library. A fillable PDF version can be downloaded from among the SF-424 Family Forms on Grants.gov.

Outputs are tangible products or services that result from the completion of milestone activities. Each milestone activity listed in the "Activities" column of the OWP should correspond to an output listed in the Outputs column.

Example of Outputs:
One comprehensive web-based portal established with data entered for all 15 organizational programs, 40 hours of web-portal training instruction provided to staff members, 8 staff members are certified in data management software, a cybersecurity and data privacy policy approved by Board of Directors, a data needs assessment completed annually by all staff members, etc.

As you put together your OWPs, ensure that they meet the following OWP criteria:

Objective Work Plan (OWP) (15 points)

21. How well does the OWP serve as a stand-alone document for project implementation, consistently state elements from the project narrative, and provide details about the how, when, and by whom activities will be completed?

22. How well does the OWP detail relevant milestone activities that lead to the achievement of each objective?

23. How well does the OWP demonstrate outputs that exhibit progression and are logical results of the successful completion of milestone activities within the proposed time frame?

Step 7:

Describe your OWP activities in narrative form in your Project Implementation Strategy.

Your Project Implementation Strategy should expand on the milestone activities described in your OWP and provide details on your strategy to implement your plan successfully. In narrative form, walk readers through your project.

Start by summarizing the project framework that you've developed in the previous six steps, to address criterion element #14. Expand on your OWP to address criterion element #15; this may take multiple paragraphs. Finally, individually address elements 16-20, each with its own paragraph or subsection in your narrative. Clearly label each response and follow the order listed in the numbered criterion in Section V.1 of the FOA, to make it easy for reviewers to identify each criterion element as they review your proposal.

Many of the evaluation criteria elements in this section are similar to criteria elements found in other FOAs. **The Pre-Application Manual (pp. 83-94) provides helpful tips and tables that you may use to address SEDS-GO's Project Implementation Strategy sub-criteria**:

Description of Project Implementation Strategy (25 points)

14. How well does the applicant's implementation strategy address the targeted challenge(s), and in turn, leads to the accomplishment of the project objective(s) and goal?

15. How well does the project implementation strategy expand on the OWP, to include all additional tasks and the methodology for accomplishing those tasks and activities?

16. How well does the application describe existing, available, and tangible resources and services that are committed to the project such as meeting space, equipment, supplies, licenses, permits, etc.?

17. How well does the application detail a plan to secure additional resources such as supplies, equipment, licenses, permits, and contracted services needed to support successful project implementation?

18. How well does the implementation strategy cite potential obstacles and challenges to accomplishing project goals and provide effective solutions?

19. How well does the application describe the methods that the organization will use to monitor project progress?

20. How well does the application describe the tools, methods, and staff needed to effectively measure and monitor project progress?

Step 8:

In narrative form, describe your Organizational Capacity.

ANA recognizes that your organization is applying for a SEDS-GO grant in order to build capacity. Still, how will you ensure the funder that your organization can responsibly manage an ANA grant? State your qualifications and experience in the Organizational Capacity section of your narrative.

If the organizational capacity is a stated targeted challenge, then the application should describe the partnerships and/or leveraged resources that will address it. For example, If you are targeting "Financial Management" as one of your problems, consider partners that might be able to help you address the minimum grant management requirements necessary to address evaluation sub-criterion #26 — at least until you can bring that capacity in-house.

In describing your Organizational Capacity, individually address each of the following evaluation criteria elements. **For additional guidance on addressing these criteria, see pages 98-105 of the Pre-Application Manual.**

> ***Organizational Capacity (15 points)***
>
> *24. How well does the application clearly document a staffing/organizational structure that will support full implementation upon receipt of award, including identification of a PI/PD, project staff, and timeframe and strategy for filling vacant positions?*
>
> *25. Through resumes, curricula vitae, or other evidence, how well does the application document that the combined experience of the proposed PI/PD, key project staff, and key partners have sufficient knowledge, experience, and capabilities to carry out and manage the proposed project?*
>
> *26. As requested in Section IV.2. The Project Description, Plan for Oversight of Federal Award Funds and Activities, how well does the application describe a plan for proper oversight of federal award funds, including the identification of staff and internal controls for financial management, demonstrated knowledge or experience in following federal cost principles, proper and timely disbursement of funds, and accurate accounting practices?* ***If the applicant organization has identified financial management as a targeted challenge, how well does the application describe a plan to secure a partnership or consultants who will enhance the organization's ability to provide proper oversight of federal award funds?***
>
> *27. How well does the application detail a plan to ensure the effective management over and coordination of activities by any partners, contractors and subcontractors, and consultants, including third-party agreements or contracts?*

Step 9:

Create a line-item budget that includes all costs necessary to carry out all OWP activities, and describe each cost in a budget justification.

Your line-item budget itemizes every cost needed to carry out your project, including personnel and fringe benefits; travel, including travel required to attend Post Award Training in year 1 and the annual Grantee Meeting; equipment; supplies; contractual; and other costs like consultants, printing, training costs, rentals, food, training and staff development costs.

Your budget justification should provide a clear rationale for how you derived the cost for each line item (show your math) and why each cost is necessary to accomplishing the OWP and your Project Implementation Strategy.

To help you ensure a compliant budget format, ANA recommends you use the Budget Template found in the ANA Application Toolkit. Line-item budgets must categorize all costs using standard object class categories and include column headings to separate federal share (costs paid by the grant) and the required 20% non-federal share match (costs you or partners will provide to the project, as cash or in-kind).

The ANA Pre-Application Manual (pp. 106–129) includes valuable tips on how to put together your line-item budget and budget justification. As you craft these budget items for your SEDS-GO project, ensure that they meet the following criteria:

Line-Item Budget (5 points)

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

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

Budget Justification (10 points)

30. How well does the application include a budget justification for every year of the project, including a narrative description of the breakdown of how all costs are calculated for each entry in the line item budget? The budget justification includes a basis for estimated costs, such as equipment, personnel, and travel. Vendor quotes should be provided for equipment over $5,000.

31. How well does the budget justification describe how expenditures align with the Project Implementation Strategy and the OWP?

32. How well does the application provide information or documentation to demonstrate the required commitment of non-federal share (cost-sharing or matching) contributions?

Step 10:

New to ANA grants? Get bonus points.

To prioritize growing organizations, ANA provides 5 bonus points to organizations that have never received an ANA grant. If this is the case for your organization, be sure to write a paragraph addressing criterion element #33 in your application narrative and claim the bonus points.

Bonus Points (5 points)

33. Does the application include documentation or information stating that the applicant organization has never received a grant award from ANA? If so, reviewers should add five bonus points. ANA staff will confirm during the objective review process whether an applicant organization for SEDS GO has received a grant award.

Step 11:

Finally, write the Introduction to the Applicant Organization.

Go back to the top of your narrative, and insert a description of your organization and its connection to the community. This section should come before Targeted Challenges and open up your narrative, in order to align with the order of the evaluation criteria.

Rather than copying and pasting information from your organization's website or brochure, consider how you might frame the work you do within the context of the SEDS-GO project you are proposing. Clearly label the two sections of this introduction to make it easy for reviewers to match up your description with the two required scoring criteria elements:

Introduction to the Applicant Organization (6 points)

1. How well does the application describe the applicant organization (i.e., a description of the governing status, the size of the organization, the services provided, etc.)?

2. How well does the application describe and document the organization's connection to the community that it serves (i.e., how has it supported the community and for how long has it supported their needs and interests)?

Step 12:

Don’t forget to include your required <u>Governing Body Documentation!</u>

In order to be eligible for SEDS-GO funds, applicants must prove that a majority of the organization’s board of directors is representative of your Native community. Identify each Board member and how each is connected to the community along at least one of the following categories of community representation:

1. members of federally or state-recognized tribes;
2. persons who are recognized by members of the eligible Native American community to be served as having a cultural relationship with that community (requires a cultural relationship defined as lineage, familial, marriage, or other traditional or social connection to the community and not a business or work relationship); or
3. persons considered to be Native American, as defined in 45 CFR § 1336.10 or Native American Pacific Islanders, as defined in Section 815 of NAPA.

Appendix B of the SEDS-GO FOA provides the recommended format for documenting your Assurance of Community Representation. An editable version of this recommended table template can be found in the 2021 ANA Application Toolkit.

Non-profit applicants that do not include the “Assurance of Community Representation on the Board of Directors” documentation will be considered non-responsive, and <u>the application will not be considered for competition</u>.

Tribes and Alaska Native Villages are not required to submit the Assurance of Community Representation and, instead, must submit a Tribal/Board Resolution. This Board Resolution should represent a formal decision voted on by the applicant's official governing body in support of the project for the entire project period. The Resolution must indicate who is authorized to sign documents and negotiate on behalf of the tribe or organization. The Resolution should indicate that the community was involved in the project planning process and includes the specific dollar amount of any eligible matching funds (if applicable).

Self-Assessment Tools

A SEDS-GO grant can help your organization establish infrastructure, competencies, and general capacity to serve your community better. What kinds of capacity does your community-serving organization need? Use this series of Self-Assessment Tools to identify which organizational challenges your organization may want to target with a SEDS-GO grant.

Section I of the SEDS-GO FOA describes 8 organizational challenges that commonly face growing organizations serving Native communities. Of those 8 categories, SEDS-GO grants allow applicants to designate up to 2 as "targeted challenges." SEDS-GO objectives are designed to build capacity to address these targeted challenges.

The following pages in this section include an informal assessment for each of those 8 challenges. These guiding questions are not comprehensive but are meant to spark conversations with your executive team and a more detailed analysis of your internal capacity, procedures, and controls. If you find you answer "No" to a lot of questions under any one category, it may make sense for you to address it as one of the two "*targeted challenges*" in your SEDS-GO capacity-building project.

Contact your regional TTA center for help. *Adapted from Appendix B of the ANA Grants Management Toolkit*.

Staff Development and Management

Staff should have the knowledge to administer the organization's current programs effectively. Projects might focus on improving current staff capacity to administer project activities or ensuring staff members are qualified to operate effectively in their role. This may include addressing staff expertise for the Executive Director, Administrative Support Staff, Financial Staff, IT Staff, Human Resources, Program Staff, Communications, Resource Development Staff, and/or Tribal Membership Staff.

1. Does the Tribe, organization, or educational institution have written personnel policies?
2. Are all staff oriented on the shared mission, objectives, and key activities of your work and the role they play in completing each of these activities?
3. Do the staff job description responsibilities align with the project activities?
4. Do all staff have the knowledge and experience to administer current programs effectively?
5. Does the organization have an Executive Director with experience and capacity to lead?
6. Does Administrative Support staff follow procedures designed to keep teams organized?
7. Does the Financial Staff communicate effectively and have experience managing funds?
8. Does IT Staff effectively manage technology and keep technical expertise up to date?
9. Does Human Resources staff effectively manage new hire orientation, termination, and personnel issues?
10. Does Communications staff maintain effective communications channels with the community and effectively recruit participants?
11. Does the staff actively plan for succession and cultivate new leadership within the community?

Governance

Policies and procedures should be in place for the governing board to effectively guide the organization. Projects might focus on ensuring tribal codes and ordinances are in place or ensuring the governing board has the necessary training regarding the roles and responsibilities of elected positions.

1. Are all Board members active, contributing members of governance?
2. Are all Board members trained on their responsibilities to the organization and community?
3. Does the Board follow a consistent set of policies and procedures?
4. Are the proper tribal codes and ordinances in place to effectively support their communities or constituencies?
5. Are Bylaws known and adhered to by all Board members?
6. Are meetings held following rules of order, with specific rules for votes and quorum?
7. Does the governing Board have clear policies to avoid conflicts of interest?
8. Does the Board have liability insurance?
9. Do Board officers and the Executive Director communicate and coordinate effectively?

Effective Grants Management

The organization should have a track record of effective grants management and use of diversified funds. Projects might focus on building capacity and infrastructure to secure and manage diverse funding sources to effectively operate programming; improving successful management and sustainability of state, federal, or non-federal grants; ensuring grants' compliance and operational oversight; or improving the organization's internal risk assessment to attract additional funders. All applications submitted with a targeted challenge of Effective Grants Management must be compliant with 45 CFR § 75.442 (*Fundraising and Investment Management Costs*).

1. Are financial reports submitted to the funding source in a timely manner?
2. Are program reports submitted to the funding source in a timely manner?
3. Are program and financial reports submitted to the governing body on a periodic basis?
4. Are reports provided to community members and partners on a periodic basis?
5. Does the organization have a track record of effective grants management and use of diversified funds?
6. Does the organization have the capacity and infrastructure to secure and manage diverse funding sources to effectively operate programming?
7. Has the organization effectively managed state, federal and/or non-federal grants?
8. Has the organization successfully sustained a community project beyond an initial grant funding period?
9. Are procedures in order to ensure grant compliance and operational oversight?
10. Are systems in place to actively assess and reduce internal risk?

Ability to Track and Manage Data

The organization should have the systems and knowledgeable staff necessary to securely collect, manage, and analyze data in order to track project outcomes and make informed, data-evidenced decisions. Projects might focus on improving databases used to track data; updating data software used, such as Excel or Access; developing processes used to collect, manage, and analyze data; or training staff on software and/or evaluation skills.

1. Does the project have a data collection plan that includes: tools and strategies for collecting data, the people responsible for data collection, collection frequency, and data storage procedures?
2. Does the project track the number of participants?
3. Does the project track the frequency of participation by each participant?
4. Does the project track indicators to measure the results expected detailed in the project work plan?
5. Does the project have a system to measure the benefits expected detailed in the project work plan?
6. Does the project have specific staff responsible for tracking the data?
7. Does the project have a staff person assigned to aggregate the data?
8. Does the project have a staff person assigned to analyze the data?
9. Does the project have a staff person assigned to prepare reports on the information?
10. Does the project have specific standardized information to be collected on each participant?
11. If personal information is collected, does the organization secure consents prior to the collection of the information?
12. Does the project have a system for ensuring that personal participant information is kept confidential and secure?
13. Does the project use a computerized system to track participation in the project and other project activities?

Partnerships

The organization should leverage healthy partnerships, preferably documented, with all external organizations it must work with in order to serve its community effectively. Projects might focus on forming Memorandums of Agreement or Understanding with current and new partners; increasing programs, training, and/or professional development opportunities; establishing recruitment pools, outreach, and/or communications procedures; or improving economic development opportunities with federal agencies, state agencies, and/or foundations.

1. Does the project have a system for managing partnerships?
2. Are existing partnerships documented with Memoranda of Agreement or Understanding?
3. Are Memoranda of Agreement or Understanding drafted to spell out specific commitments and how they will be utilized to serve the community?
4. Are all existing partners mission-aligned with the organization?
5. Are partnerships leveraged for cross-training and professional development?
6. Are partnerships utilized for recruitment pools, outreach, and/or communications procedures?
7. Does the organization partner with federal agencies, state agencies, and/or foundations to improve social and economic development opportunities?
8. Does the project have a written procedure for documenting in-kind goods and services contributions to the project?
9. Have all project staff been trained on the procedure for documenting in-kind goods and services given to the project?
10. Does the project have a system for documenting and reporting that matching funds non federal share has been secured?

Strategic/Community Planning

Projects might focus on organizational strategic planning, facilitating long-term community visioning, developing regional growth plans, or developing policies and procedures to engage with the community on an ongoing basis.

> **Strategic planning is a process that takes time and resources in determining long-range goals for the community and provides guidance for strategic choices and actions to bring about changes in the community. Native community leaders, administrators and staff can use this worksheet to help in developing a strategic plan for the community.**
>
> A strategic plan is used to realize a priority long-term goal through development and implementation of two or three strategic initiatives in a three to five-year period. A strategic plan helps to define their strategic choices and actions to bring about changes in the community's physical, social, political, and economic conditions. The choices selected by the community are intended to bring about positive outcomes in the community.

Four Steps to Developing a Strategic Plan*:

1. Prepare by conducting visioning sessions, conducting community assessment and implementation of the planning process from input gained from the community.

2. Establish priorities for the plan by considering needs, strengths and resources of your tribe/organization. And answer the following questions:
    - What do we want to accomplish?
    - What do we need to get where we want to go?
    - How do we know if we are making progress?
    - What is our plan for supervising the actual work?
    - How will we circulate the plan for input, revision and finalization?

3. Implement the following steps to ensure the plans are used to guide the work of the tribe/organization:
    - Communicate or market the plan,
    - Manage implementation of the plan,
    - Provide supervision for the actual work, and
    - Monitor reporting progress on the plan.

4. Review/revise as needed to allow the plan to be continuously updated. The tribe/organization should:
    - Conduct assessments of their performance by gathering and analyzing information,
    - Convene the planning group to review performance, assess goals, outcomes, strategies and action steps, Make recommendations for changes, and
    - Revise the plan.

To the extent the plan is updated it will stay current and meaningful to the tribe/organization.

** National Child Resource Center for Organizational Improvement"*

Essential Elements of a Strategic Plan:

- **Executive Summary:** written last, this one-page introduction should provide a snapshot of the strategic plan.
- **Mission/Vision Statement:** reflect long-term-goals of the community and reflect ideal community conditions in different dimensions, i.e., housing, healthcare, household income and cultural preservation, for example as expressed by community members.
- **Community Goals:** are based on input from the community and reflect areas of focus for the long-term goals that provide guidance project development in the community.
- **Analysis of Strength, Weakness, Opportunities and Threats (SWOT):** This strategic planning tool can be used to assess the community's strengths, weaknesses and threats so that the community can better take advantage of opportunities as they arise and to help the community to achieve its vision.
- **Planned Outcomes:** they reflect the positive changes in the community that result from the achievement of the community's strategic plan and create benefits for the community.
- **Implementation Plan:** guides strategic actions and choices that are proposed to bring about changes in the community's physical, social, political, and economic conditions.

Importance of Community Involvement in Strategic Planning:

It is strongly recommended that a Project Steering Committee be used in developing a strategic plan. The steering committee needs to include a cross-section of people, such as: community members, potential beneficiaries, organizational leadership, staff and partner organizations that coordinate project planning, oversee project implementation and assist with project evaluation.

ANA believes that involving community members in strategic planning leads to lasting and positive change and is a key factor in designing and implementing successful projects. ANA's mission and history supports community development as the path towards Native American communities achieving self- sufficiency, cultural preservation, and self-determination.

Strategic 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 achievement of long-term goals;
- determine the level of resources or funding necessary to implement the plan.

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.

For additional guidance on Strategic Planning, check out the ANA Nonprofit Toolkit (Section VI.). If you could use extra capacity in this area, consider naming "Strategic/Community Planning" a targeted challenge in your SEDS-GO grant application.

Financial Management Systems

Current financial systems and policies and procedures should be in regular use and compliant with 45 CFR § 75.302 (*Financial management and standards for financial management systems*). Projects might focus on developing financial, travel, procurement, organizational, and/or HR policies; improving on an employee handbook; or reviewing and updating the current accounting software, chart of accounts, and/or payroll management system.

Is there a policy and/or procedure which addresses each of the following?

General

1. Responsibility for authorization of financial policies and procedures.
2. Responsibility for financial management.
3. Separate financial duties and responsibilities so that no one employee has sole control over cash receipts; disbursements; payroll; or reconciliation of bank accounts.
4. Employee dishonesty coverage.
5. Policy statement on retention of and access to financial records.
6. Periodic review of Financial Policies and Procedures.

Cash

1. Opening of mail.
2. Endorsement of checks.
3. Report of cash receipts and documentation of receipts.

Cash Disbursements

1. Authorization of expenditures.
2. Review of invoices.
3. Approval of invoices for payment.
4. Maintenance of checks.
5. Maintenance of voided checks.
6. Preparation of checks.
7. Signing of checks.

Bank Reconciliation

1. Individuals designated to receive and open bank statements.
2. Individuals designated to reconcile the bank statement.
3. Individuals designated to review the bank reconciliations.
4. Policy on appropriate action for checks outstanding over 90 days.

Purchasing

1. Procedures for micro purchases.
2. Procedures for small purchases.
3. Procedures for large purchases.
4. Prior approval of purchases.

Payroll

1. Requirement that all hourly staff complete a timesheet.
2. Individual(s) designated to approve time sheets.
3. Individuals designated to review paychecks or direct deposits prior to distribution.
4. Individuals designated to distribute paychecks.
5. Policy for payment of individuals that have resigned or been terminated.
6. Individuals designated to prepare and transmit the payroll tax reports.
7. Individuals designated to review tax deposits.

Travel

1. Requirement for prior authorization of all travel.
2. Requirement for completion of travel expense claim for all travel.
3. Requirement for submission of travel expense claim a specific number of days after travel is complete.

Equipment

1. Dollar threshold for classification of equipment.
2. Procurement policies for equipment and other large purchases.
3. Equipment records that meet government regulations.
4. Personal property control form for equipment issued to staff.
5. Depreciation schedule.

6. Individuals designated to perform an annual physical reconciliation of all equipment.

Books of Original Entry

1. Requirement that a double entry system to account for all funds be maintained.
2. Documentation requirements for all financial activities.
3. Mandatory monthly reports that include a Balance Sheet, Statement of Activities, and Statement of Activities by project and/or funding source.

Budget

1. Individual(s) designated to prepare the budgets.
2. Individual or Board Members authorized to approve budgets.
3. Procedures for changes in the budget.

Use of Technology

The organization should have the technological equipment, software, and/or network infrastructure it needs to serve its community effectively, along with the necessary policies and procedures for safe and responsible use. Projects might focus on updating computer hardware and software; improving internet access and infrastructure reliability; or improving policies governing internet access, equipment use, inventory requirements, and/or social media.

General Questions

1. What do you see as the most pressing needs for your organization that technology might address?
2. Why do you think computers can help? How do you think computers will help?
3. If all computer systems were magically working and adequate tomorrow, what would change in the organization?
4. Who at the agency has been involved in planning for technology staffing, training, and purchases?
5. Who will be involved in the implementation of new technology efforts?
6. What are the obstacles to your organization's effective use of technology?
7. Do you need better systems to streamline your operations, increase communication among staff, reach out to clients, or communicate with your members?
8. What role does the implementation of new technologies play in your strategy for the next five years? Do you need new technology in order to grow? Would new technology allow you to respond to new opportunities?
9. How will technology be used to support community engagement?
10. How long has the technology you are considering been around? Does it have positive reviews? Can you test the technology out first before you buy it?

Data Needs

1. Does data collection play a role in the type of technology you will need?
2. What level of data will you be collecting? What type of security will you need to protect that data?
3. Will you need to transfer data? Will you need special software to transfer data?
4. Do you have a plan in place in the event of a data breach?
5. Where and how will your data be stored?

Administration

1. What is management's attitude and role in the organization with regards to technology?
2. Does management support the program's technology needs?
3. Will you need to go through management to request technical assistance or can program staff make the request? How long will it take for management to respond to a request?

Program Staff Needs

11. Are staff members trained to use the technology that is crucial to their efficiency to accomplish their tasks? If not, how much time will your staff need to learn and use new technology? How much will the training cost?
12. How will staff members receive training – webinars, videos, online courses? Does your organization have the broadband to support the training?
13. What is your staff's current technology literacy?
14. How many program staff need access? How many can access at any given time?

Technology Support

1. Who has been involved in the day-to-day computer troubleshooting and maintenance tasks?
2. Do you have access to technology resources?
3. Do you have staff on-site for technical support or will you need to outsource? How quickly can they respond?
4. Does your organization have the infrastructure to support the technology needed by your program?
5. Are there other components that are needed to make the technology work such as special hardware or separate software?
6. Is the new technology compatible with the organization's existing technology?

Financial

1. What type of financial resources does your organization have available for technology? Are you prepared to seek additional funding from other sources?
2. What are ALL the costs for a specific piece of technology such as annual maintenance and support costs? Are there additional costs to install the new technology? Are there costs for technical assistance, updates, or training?
3. Is there any profit to be made with the use of the technology? How will those profits be spent?

Technology Policy

1. What are acceptable uses for each type of technology? What are the consequences for the misuse of each type of technology?
2. When it comes to security, what types of policy will you need in place to address topics such as passwords, confidentiality, and usage of data?
3. In the event of a disaster, what policies will need to be in place for data recovery and data backup?
4. Which websites, if any, will staff be prohibited from when using program equipment?
5. What permission levels will be in place for staff to download software?
6. What restrictions need to be in place when using email for personal use? What type of attachments can be opened?
7. If staff are assigned laptops, phones, or other equipment to be used outside the office, what policies will need to be in place?
8. Will equipment be loaned out to program participants or non-staff? How will they be accountable for the equipment? What kind of forms, if any, need to be created and signed?

Are You Ready for Federal Funding?

Is your organization registered and ready to submit an application for a SEDS-GO grant? Use this prerequisite checklist to make sure your organization is eligible to submit and register with the proper accounts to apply. Follow the links to access or download useful guides and resources. *Need help? Contact your regional TTA Center (pg. 31).*

- ❑ **Letter of Intent**

  If you're serious about applying for a SEDS-GO grant, submit a Letter of Intent to anacomments@acf.hhs.gov, to include the number and title of this announcement (SEDS-GO, #HHS-2021-ACF-ANA-NN-1918); the name and address of the applicant organization; and the name, phone number, fax number and email address of a contact person. A specialist from your regional TTA center will reach out to you to help you assess your internal organizational needs and develop your application. All TTA services are free and confidential. See the SEDS-GO web page for a sample Letter of Intent.

- ❑ **Data Universal Number System (DUNS) Number** (takes 1-2 business days)
  For expedited, same-day registration, call 1-866-705-5711
  Though the Federal government in 2022 will transition to the Unique Entity Identifier (UEI), all SEDS-GO applicants are required to have an active DUNS number. Registering for a DUNS number is easy. Register with the D&B D-U-N-S Request Service for US Federal Government Contractors and Assistance Awardees.

- ❑ **System for Awards Management (SAM)** (takes up to 5-10 business days)

  In order to be eligible for a federal grant, your organization needs to be registered in the System for Awards Management (SAM). Your SAM account must be renewed annually. Call the Federal Service Desk helpline (866-606-8220) to get assistance from an operator. Visit SAM.gov for help.

- ❑ **Grants.gov Registration** (takes 2-5 business days)

  ANA grant applications are downloaded from and uploaded to Grants.gov. Make sure that your organization is registered and that your Authorized Organization Representative (AOR) on file is up to date. Call the helpline (1-800-518-4726) to manually check that your registration is active. Visit Grants.gov for help.

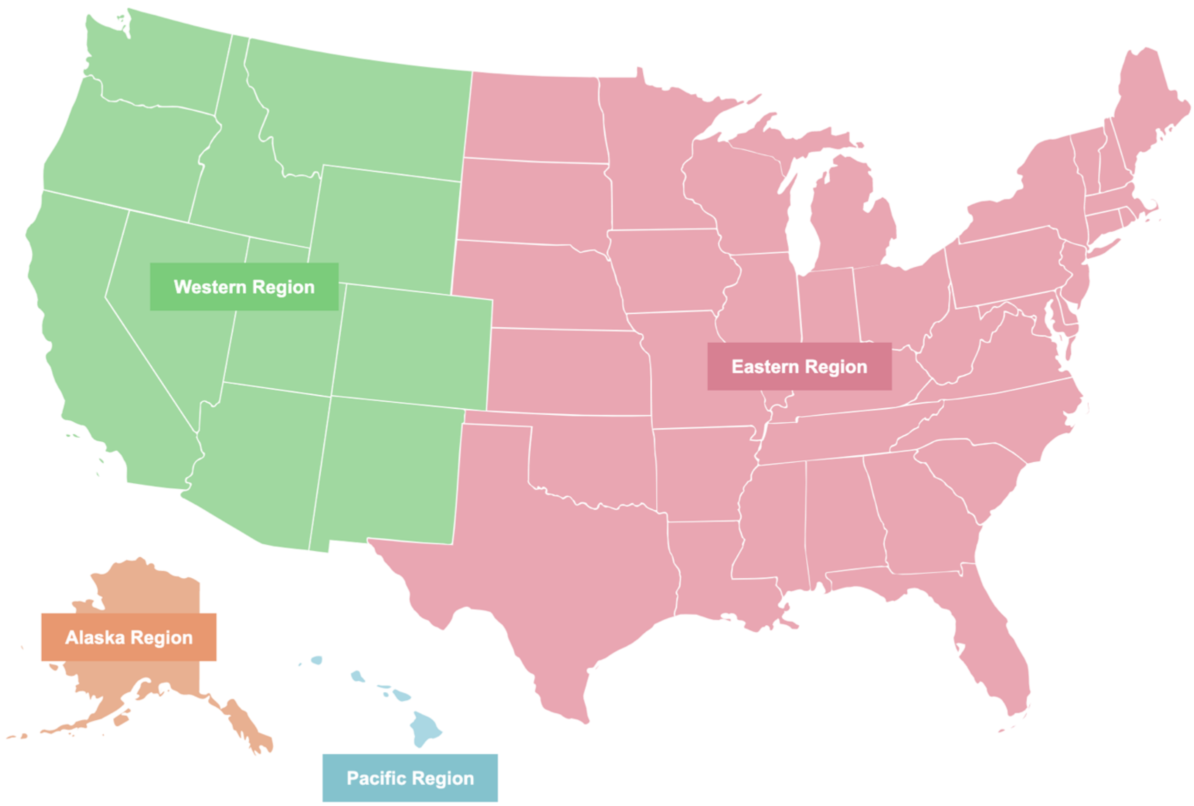
- ❑ **Proof of Tax-Exempt Status**

  Section III.1 of the SEDS-GO FOA describes the types of applicants eligible for a SEDS-GO grant. Non-tribal entities are required to have non-profit status in order to receive an ANA grant award. The IRS provides a convenient tool to help you make sure your federal tax-exempt status is current, as well as guidance on how to correct course should you find that your organization has fallen out of compliance. Search the IRS Tax Exempt Organization Search.

- ❑ **Board Resolution**

  A good Board Resolution acknowledges the submission of a proposal to ANA, demonstrates the majority Native composition of the Board, establishes a history of working with your target community, and commits specific time and resources to the project. See Appendix C of the SEDS-GO FOA for an example of how to present your Assurance of Community Representation on your Board. For more tips on putting together your Board Resolution, check out the 2020 Pre-Application Manual.

For step-by-step video instructions, check out the ANA webinar “Making Sure You’re Registered and Ready for an ANA Grant,” available in the ANA Resource Library.



Training and Technical Assistance Centers

Need help developing your grant application? Get free training and technical assistance from a specialist in your area. **Contact the ANA Help Desk toll free (1-877-922-9262),** or connect with your local regional TTA center using the following info:

Alaska Region:
http://www.anaalaska.org
Toll free: 1-800-948-3158

Pacific Region:
http://www.anapacific.org
Toll free: 1-844-944-9544

Western Region:
http://www.anawestern.org
Toll free: 1-855-890-5299

Eastern Region:
http://www.anaeastern.org
Toll free: 1-888-221-9686