

2020

SEDS-GO Toolkit

Social and Economic Development Strategies – Growing Organizations (GO)

Developed by the ANA Regional T/TA Centers

Pacific Region • Alaska Region • Western Region • Eastern 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 Oganizations (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 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 Companion

A Convenient Side-by-Side Comparison of the FOA Project Description Elements (Section IV.2) and Corresponding Evaluation Criteria (Section V.1)

Social Economic Development Strategies – Growing Organizations (SEDS-GO)
In an effort to ensure that applicants for the SEDS-GO Funding Opportunity Announcement understand the elements that need to be developed for a successful application, ANA has created the SEDS-GO Application Development Companion to break these elements out of the funding announcement. In this document (pp. 3-16), find all the important elements, including project Approach, Objective Work Plan (OWP), Organizational Capacity and Budget. After each of these elements, the evaluation criteria from the funding opportunity will appear italicized to detail how proposal reviewers will evaluate and score each element.

Approach

Outline a plan of action that describes the scope and detail of how the proposed project will be accomplished. Applicants must account for all functions or activities identified in the application.

Cite potential obstacles and challenges to accomplishing project goals and explain strategies that will be used to address these challenges.

Introduction to the Project
Describe the applicant organization. Include a description of the governing body and the size of the organization including number of staff, annual operating budget, and the community the organization serves. Demonstrate the organization's connection to the community, by describing the services the organization provides and/or how the organization supports community needs and interests. In addition, provide documentation from community members demonstrating their use of and interest in organizational services relating to your mission statement. This may be included as application attachments in the form of letters, sign-in sheets, meeting minutes, survey results or other documents from non-staff and non-partner community members.

Describe the organizational challenges the project will address that include up to two of the following program areas of interest:

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

Introduction to the Project (6 points)

1. *How well does the application provide basic organization information (i.e., mission and/or services it provides to the community; a description of the governing status; the size of the organization; and the community served)?*
2. *How well does the application describe and document the active participation of community members benefiting from the organization's mission or services?*
3. *How well does the application describe the extent of the current capacity challenges facing the organization and has justified the need for the project*

Targeted Challenge

Target up to two organizational challenges from those identified in *Section I. Program Description, Program Areas of Interes*t that the project will address. Provide a clear rationale for why the proposed project should focus capacity-building efforts on each of the chosen challenges. Describe past efforts that have been taken to address this challenge.
For each challenge, detail the current status of the targeted challenge including information that provides a baseline condition for the challenge. This will be used as the starting point to measure the change in the challenge that will be achieved by the end of the project.

Targeted Challenge (6 points)

4. *Does the applicant clearly describe the two targeted challenges chosen from the FOA and clearly describe how each challenge aligns with their stated current capacity challenges? (Refer to Section I. Program Description, SEDS-GO Program Purpose for the list of areas of interest a project may target.)*
5. *How well does the application explain why the organization has chosen to focus on the targeted challenge(s)?*

Project Goal

The project goal is a statement describing what is to be achieved by the end of the project's implementation. Describe how the project goal will address the targeted challenges. Identify how achieving this goal will positively impact the organization and its mission.

Project Goal (3 points)

6. *How well does the project goal address the targeted challenge(s)?*

SMART Objectives

SEDS-GO requires outcome-oriented objectives that are Specific, Measurable, Achievable, Relevant, and Time-bound (SMART). Therefore, although objectives are also referenced in other sections, applicants should provide detailed information on each objective using SMART. criteria in this section. The OWP will be discussed in detail in a later section; however, this description should align with, and fully describe, the objectives identified in the OWP. A project can only contain a maximum of two total objectives. Objectives should align with meeting the project goal. Each objective must be:

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

Each objective should have a defined outcome statement. Outcomes are defined as measurable changes that result from the project. There is potential for a project to achieve multiple outcomes; however, ANA requires at least one outcome per objective.

Indicator

An indicator is an observable and measurable characteristic that can be used to show the progress the project is making toward achieving a specific outcome. Each project should have a specific indicator for each objective's outcome. The means of measurement identifies the method that will be used to identify changes to the indicator, and the target identifies a specific level of achievement. Clearly identify an indicator for each objective's outcome that can be tied to measuring progress toward achieving the outcome.

SMART Objectives (10 points)

7. *How well does each objective (one objective per targeted challenge) address the components of SMART objectives?*
    - *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*
8. *How well does the application describe one outcome per objective in a way that demonstrates what will be changing in the organization as a result of achieving the objective?*
9. *How well does the application provide one indicator per outcome that illustrates how the organization will track progress towards the outcome*

Objective Work Plan (OWP)

The OWP (OMB No. 0970-0452, expiration date 12/31/2020) serves as a blueprint for implementation that identifies all the key elements of the project description including objectives, outcomes, project goal, milestone activities, outputs, staff responsible, and timeframe for the completion of each activity. The OWP is used for project evaluation and provides the basis for federal reporting. The OWP is an OMB-approved form that is filled out for each project objective, per budget period. The budget period for this FOA begins 9/30, and ends 9/29, for each year of the project period. The OWP can be found in the application package on Grants.gov.

A maximum of 25 milestone activities should be listed on each OWP form (25 milestone activities for each year of an objective). Milestone activities are key activities needed to successfully achieve each objective. Outputs are tangible products directly related to the completion of milestone activities. Outputs should be included under the correlating section of the OWP.

ANA Administrative Activities should be included under one objective for each year of project implementation. They should be placed after all milestone activities. Administrative Activities do not count towards the 25-milestone limit. (See OWP instructions for required ANA Administrative Activities). These include a single mention of the following:

- Reporting (OPR, ADR, 425, DPM)
- Post Award Training (1st year of project only)
- Grantee meeting
- Project staff orientation
- Data collection and evaluation
- Establish federal system account access and official grant file

The OWP form and its instructions are available in the FOA's Grant Application Package at Grants.gov and on the ANA website.

Objective Work Plan (OWP) (20 points)

10. *How well does the OWP serve as a standalone document for project implementation, consistently states elements from the project narrative, and provides details about the how, when and by whom activities will be completed?*
11. *How well does the OWP include a maximum of 25 milestone activities, per objective, per year for project implementation, not including the required administrative activities?*
12. *How well does the OWP detail relevant milestone activities and lead to the achievement of each objective?*
13. *How well does the OWP describe outputs that are logical results of the successful completion of milestone activities?*
14. *How well does the OWP account for administrative activities that include programmatic and financial reporting, post-award training for year one, annual*

grantee meetings, project staff orientation, data collection and evaluation, and establish both the federal system account access and the grant file?

Description of Project Approach

The Project Approach provides the method(s) for addressing the targeted challenges and details milestone activities listed in the OWP. It describes the strategy or strategies that when completed will lead to the accomplishment of the project objective(s) and goal.

In writing the Project Approach, consider whether outside assistance or community approval is required. If so, identify partners, consultants, and/or contractors and describe their roles and responsibilities. If community approval is needed, describe a community outreach plan. To cite potential challenges, consider major setbacks that pose a risk to the success of the project such as loss of key staff and/or partners, or inclement weather. Provide a solution for how these setbacks will be resolved so that project implementation can continue.

Outline a plan for monitoring progress towards achievement of the measurable targets identified under SMART Objectives. Describe who will be responsible for monitoring project progress and how data related to achievement of the benchmarks will be collected and evaluated. Identify tools that will be used for the collection of data, such as surveys, and tools that will be used to manage data, such as software and spreadsheets. Detail the frequency of data collection and evaluation and describe how project data will be used towards project improvement

The Project Approach expands upon the OWP, rather than duplicating it. The Project Approach and OWP complement one another by collectively addressing who, what, when, where, and how. Where the OWP lists milestone activities describing the what and assigns the who and when, the Project Approach further details the tasks necessary to complete those milestone activities, effectively describing the how and where.

Project Approach (25 points)

15. *How well does the project approach provide a strategy that addresses the targeted challenge(s) and leads to the accomplishment of the project objective(s) and goal?*
16. *How well does the project approach expand on all milestone activities and fully describe additional tasks needed to successfully implement the project?*
17. *If applicable, how well does the approach narrative describe the expertise, roles and responsibilities of partners, consultants and/or contractors required for successful project implementation?*
18. *How well does the approach narrative cite potential obstacles and challenges to accomplishing project goals, providing an effective solution?*
19. *How well does the application describe the methods that the organization will use to monitor project progress?*

20. *How well does the project approach expand on the OWP by describing how activities will be accomplished?*

Organizational Capacity

Provide the following information on the applicant organization and, if applicable, on any cooperating partners:

- Organizational charts;
- Resumes;
- List of Board of Directors;
- Job descriptions for each vacant key position.

From the list below, describe how the organization's current capacity (in the applicable areas) will be included to support the achievement of the targeted challenge(s) identified, the project goal, and objectives. Applicants must discuss the strengths of their organization relating to their capacity. Experience and past performance included could be from a board member, employee, consultant, or the organization itself. The application should only address the elements below that are relevant to the project goal and objectives.

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

Organizational Capacity (15 points)

21. *How well does the organizational chart illustrate the current structure of the organization in a way that demonstrates the current organizational capacity and/or vacancies to be filled?*
22. *How well does the application describe how the organization's current strengths in capacity will lead to achieving the project goal?*
23. *If partnerships are planned, 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? (If not applicable, reviewers should not deduct points.)*

24. *How well does the application demonstrate that the organization has the minimum capacity partnerships and/or leveraged resources to provide oversight of federal funds?*

Project Budget and Budget Justification

Plan for Oversight of Federal Award Funds and Activities
Grantees are required to ensure proper oversight in accordance with 45 CFR Part 75 Subpart D. These regulations set forth the following standards for effective oversight:

- Financial and Program Management
- Property (if applicable by program legislation)
- Procurement
- Performance and Financial Monitoring and Reporting
- Subrecipient Monitoring and Management
- Record Retention and Access
- Remedies for Noncompliance

Describe the framework (e.g. governance, policies and procedures, risk management, systems) in place to ensure proper oversight of federal funds and activities in accordance with 45 CFR Part 75 Subpart D. The description must include: system(s) for record-keeping and financial management; procedures to identify and mitigate risks and issues (e.g., audit findings, continuous program performance assessment findings, program monitoring); and those key staff that will be responsible for maintaining oversight of program activities staff, and, if applicable, partner(s) and/or subrecipient(s).

Third-Party Agreements
Third-party agreements include Memoranda of Understanding (MOU) and Letters of Commitment. Letters of Commitment and MOUs must both clearly describe the roles and responsibilities for project activities and the support and/or resources that the third-party (i.e., subrecipient, contractor, or other cooperating entity) is committing. The Letters of Commitment and MOUs must be signed by the person in the third-party organization with the authority to make such commitments on behalf of their organization. General letters of support are not considered to be third-party agreements.
Applicants must provide Letters of Commitment or MOUs between recipients and third-parties (i.e., subrecipients, contractors, or other cooperating entities).

Applicants must provide Letters of Commitment or MOUs between recipients and third-parties (i.e., subrecipients, contractors, or other cooperating entities). In addition to clearly describing the roles and responsibilities for project activities and support and/or resources that the third-party is committing, these agreements must detail work schedules and estimated remuneration

with an understanding that a finalized agreement will be negotiated once the successful applicant is awarded the grant.

Letters of Support
Provide statements from community, public, and/or commercial leaders that support the project proposed for funding. All submissions must be included in the application package. At minimum, each letter of support must identify the individual writing the letter, the organization they represent, the date, and reason(s) for supporting the project.

The Project Budget and Budget Justification
All applicants are required to submit a project budget and budget justification with their application. The project budget is entered on the Budget Information Standard Form, either SF-424A or SF-424C. Applicants are encouraged to review the form instructions in addition to the guidance in this section. The budget justification consists of a budget narrative and a line-item budget detail that includes detailed calculations for "object class categories" identified on the Budget Information Standard Form. Applicants must indicate the method they are selecting for their indirect cost rate. See Indirect Charges for further information.

Project budget calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. If matching cost sharing is a requirement, applicants must include a detailed listing of any funding sources identified in Block 18 of the SF-424 (Application for Federal Assistance). See the table in Section IV.2. Required Forms, Assurances, and Certifications listing the appropriate budget forms to use in this application.

Special Note: The Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2020 and Further Consolidated Appropriations Act, 2020, (Division A, Title II, Sec. 202), limits the salary amount that may be awarded and charged to ACF grants and cooperative agreements. Award funds issued under this announcement may not be used to pay the salary of an individual at a rate in excess of Executive Level II. The Executive Level II salary of the "Rates of Pay for the Executive Schedule" is $197,300. This amount reflects an individual's base salary exclusive of fringe benefits and any income that an individual may be permitted to earn outside of the duties of the applicant organization. This salary limitation also applies to subawards and subcontracts under an ACF grant or cooperative agreement.
Provide a budget using the SF-424A and/or SF-424C, as applicable, for each year of the proposed project.

Provide a budget justification, which includes a budget narrative and a line-item detail, for each year of the proposed project. The budget narrative should describe how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

Formatting the Budget and Budget Justification

Detailed line-item budgets and budget narrative justifications are separate documents required for each year of the project. The detailed line-item budget contains a line item for each cost and the annual total for both the federal and non-federal share and is broken into the same cost categories on the SF 424A. "Federal share" refers only to the ANA grant funds for which the applicant is applying. “Non-federal Share” are all other non-ANA federal and non-federal resources, including in-kind services and/or cash. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, federal budget; next column(s), non-federal budget(s); and last column, total budget. The budget justification provides the cost breakdown for each line item, for example – wage per hour x the number of hours to equal the annual salary listed for personnel. Additionally, the budget justification provides a brief explanation of the need for this line-item expenditure relating to the accomplishment of the project. See below for more explanation on each object class category.

Applicants are strongly encouraged to use the ANA Application Toolkit for the templates for the Budget and Budget Justification sections of their application. See *Section VIII. Other Information, Reference Websites*.

Post-Award Training

Applicants must include costs in the budget for two individuals to attend post-award training during the first year of project implementation. The training participants should include the Principal Investigator/Program Director (PI/PD) and the financial management staff members. ANA will conduct a national post-award training for new SEDS-GO grantees. Post-award training is designed to provide newly awarded ANA grantees with information on how to effectively administer, manage, track, and report their ANA-funded projects. SEDS-GO recipients will participate in an additional day to meet with the SEDS-GO cohort and develop a Capacity Improvement Plan in collaboration with an expert consultant specializing in organizational capacity development, with support from ANA and TTA staff. This training will be held in a centralized location within the contiguous 48 states. Typically, this 4-day meeting will be held in Phoenix, Arizona; please estimate travel costs to this location using your travel policy, or in the absence of policies, use the General Services Administration (GSA) rates. This is a mandatory training in the first budget period only, to be attended by the Program Director and Financial Administrator.

Annual ANA Grantee Meeting

Applicants must include costs in the budget for two individuals working on the project to attend an annual ANA-sponsored grantee meeting. Each year, ANA conducts a conference with TTA workshops and support. However, every other year, this meeting is held in coordination with the ACF Native American grantee meeting. SEDS-GO recipients will participate in an additional day to meet with the SEDS-GO cohort and to receive specialized training and one-on-one coaching focused on targeted organizational capacity building. Attendance at the annual grantee meeting is a requirement of the grant and should be included in each year of the proposed projects budget. The meeting is typically held in the Washington, DC, area, and it

must be attended by two individuals who are directly working on the project. Applicants should follow their own travel policies to budget for this 4-day meeting that is held nationally. See *Appendix A, Suggested Travel Costs* for additional information.

Use the following guidelines for preparing the project budget and budget justification. The budget justification includes a budget narrative and a line-item detail. Applications should only include allowable costs in accordance with 45 CFR Part 75 Subpart E.

Personnel

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

Justification: For each position, provide: the name of the individual (if known), their title; time commitment to the project in months; time commitment to the project as a percentage or full- time equivalent; annual salary; grant salary; wage rates; etc. Identify the project director or principal investigator, if known at the time of application.

Fringe Benefits

Description: Costs of employee fringe benefits are allowances and services provided by employers to their employees in addition to regular salaries and wages. For more information on Fringe Benefits please refer to 45 CFR § 75.431. Do not include the fringe benefits of consultants, contractors, and subrecipients.

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

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

Travel

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

Justification: For each trip show: the total number of travelers; travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used to travel out of town; and other transportation costs and subsistence allowances. If appropriate for this

project, travel costs for key project staff to attend ACF-sponsored workshops/conferences/grantee orientations should be detailed in the budget justification.

Equipment

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

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

Supplies

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

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

Contractual

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

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

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

Other

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

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

Indirect Charges

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

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

Justification: An applicant must enclose a copy of the current approved rate agreement. If the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed. Choosing to charge a lower rate will not be considered during the objective review or award selection process.

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

Justification: This method only applies to applicants that have never received an approved negotiated indirect cost rate from HHS or another cognizant federal agency. Applicants awaiting approval of their indirect cost proposal may request the 10 percent

de minimis rate. When the applicant chooses this method, costs included in the indirect cost pool must not be charged as direct costs to the grant.

Commitment of Non-Federal Resources

Description: Amounts of non-federal resources that will be used to support the project as identified in Block 18 of the SF-424. This line should be used to indicate required and/or voluntary committed cost sharing or matching, if applicable.

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

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

For awards that do not require matching or cost sharing by statute, recipients are not expected to provide cost sharing or matching. However, recipients are allowed to voluntarily propose a commitment of non-federal resources. If an applicant decides to voluntarily contribute non-federal resources towards project costs and the costs are accepted by ACF, the non-federal resources will be included in the approved project budget. The applicant will be held accountable for all proposed non-federal resources as shown in the Notice of Award (NOA). A recipient's failure to meet the voluntary amount of non-federal resources that was accepted by ACF as part of the approved project costs and that was identified in the approved budget in the NOA, may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.

Justification: If an applicant is relying on cost share or match from a third-party, then a firm commitment of these resources (letter(s) or other documentation) is required to be submitted with the application. Detailed budget information must be provided for every funding source identified in Item 18. "Estimated Funding ($)" on the SF-424.

Applicants are required to fully identify and document in their applications the specific costs or contributions they propose in order to meet a matching requirement. Applicants are also required to provide documentation in their applications on the sources of funding or contribution(s). In-kind contributions must be accompanied by a justification of how the stated valuation was determined. Matching or cost sharing must be documented by budget period (or by project period for fully funded awards).

Applications that lack the required supporting documentation will not be disqualified from competitive review; however, it may impact an application's scoring under the evaluation criteria in Section V.1. Criteria of this announcement.

Budget (5 points)

25. *Does the application include a detailed line-item budget for each year of the project with all necessary expenses needed for all project activities, including the required post-award and grantee meeting travel for up to two key personnel?*
26. *How well does the line-item budget reflect the budgetary needs for federal and non-federal resources?*

Budget Justification (10 points)

27. *Does the application clearly describe a budget justification for every year of the project including a narrative description of how costs are calculated for each entry in the line-item budget?*
28. *How well does the application describe how costs are aligned with the stated activities of the project and are reasonable for the project service area?*
29. *Does the application include cost estimates, vendor quotes, or supporting documentation to fully detail high cost items, such as equipment or unusual expenditures?*
30. *How well does the budget justification provide information to demonstrate the commitment and source of non-federal resource contributions to meet 20 percent of the total combined federal and non-federal resources for each year?*

Bonus Points

Applicants that have never received funding from an ANA grant award as the primary recipient should include documentation or other information that states that the applicant organization has never received an ANA funded grant award. This will be verified by ANA staff during the Objective Panel Review process.

Bonus Points (5 points)

31. *Does the application include documentation or information that the applicant organization has never received a grant award from ANA? Reviewers should add 5 bonus points. ANA staff will confirm during the objective review process whether an applicant organization for SEDS- GO has received a grant award.*

Self-Assessment Tool

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 Internal Self-Assessment Tool to identify opportunities for growth.

The guided questions below reflect 5 of the 8 organizational challenges (see Section I of the SEDS-GO FOA) that your organization might choose to address with your SEDS-GO grant. The guiding questions are not comprehensive but are meant to spark 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

1. Does the Tribe, organization, or educational institution have written personnel policies?
2. Are all staff oriented on the project goal, objectives, and activities and the role they play in completing each of the 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 community and effectively recruit participants?

Governance

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?

Effective Grants Management

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

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 workplan?
5. Does the project have a system to measure the benefits expected detailed in the project workplan?
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

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 inkind goods and services contributions to the project?
9. Have all project staff been trained on the procedure for documenting inkind goods and services given to the project?
10. Does the project have a system for ensuring that the required non federal share is secured?

The mini-assessments above address five of the eight Program Areas of Interest (FOA Section I) that a SEDS-GO applicant can choose to address as their "targeted challenges." The three remaining Areas of Interest — Strategic Planning (pg. 20), Financial Management (pg. 23), and Use of Technology (pg. 26) — can be assessed using specialized assessment tools found in the following sections.

Strategic Planning in Native Communities Worksheet

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 be 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 provides 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 purposed 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 Assessment Tool

Keeping your books compliant requires having strong financial systems and policies and procedures in regular use. What parts of your organization's financial management systems could use some fine-tuning? Use this Financial Policies and Procedures Self-Assessment Tool to diagnose challenges you may want to address with a SEDS-GO grant.

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

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. 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. Individual designated to receive and open bank statements.
2. Individual designated to reconcile the bank statement.
3. Individual 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 time sheet.
2. Individual(s) designated to approve time sheets.
3. Individual designated to review paychecks or direct deposits prior to distribution.
4. Individual designated to distribute paychecks.
5. Policy for payment of individuals that have resigned or been terminated.
6. Individual designated to prepare and transmit the payroll tax reports.
7. Individual 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. Equipment records that meet government regulations.
3. Personal property control form for equipment issued to staff.
4. Depreciation schedule.
5. Individual 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.

Technology Organizational Assessment Tool

Technology planning is a process that takes time and resources to understand what is appropriate for staff and the organization. Program directors and their management staff can use this worksheet to assess the overall status of their organization's use of technology. This worksheet is designed to help you start thinking about the overall status of your organization's use of technology.

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 pre-requisite checklist to make sure your organization is eligible to submit and registered 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-2020-ACF-ANA-NN-1837); 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 webpage 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 2020 is transition to 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 help line (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 help line (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.

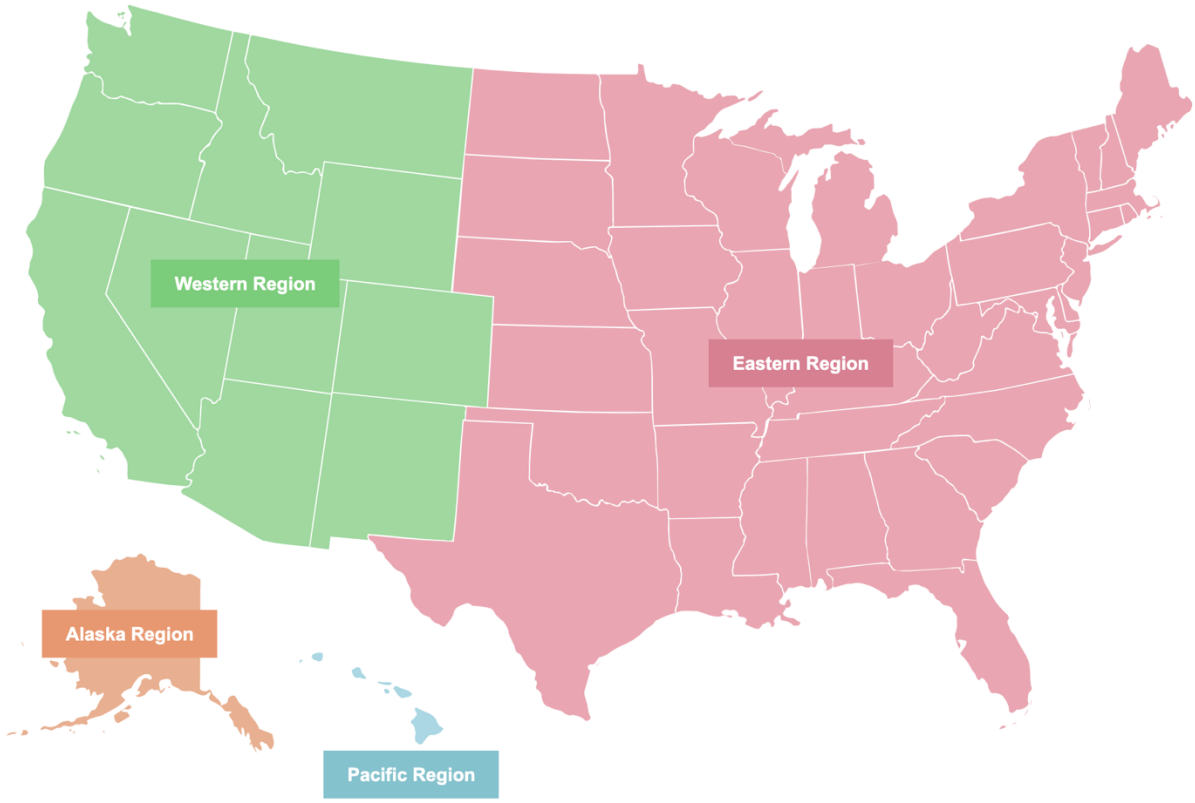
- ❑ **Board Resolution**

  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.

- ❑ **Non-Profit Tool Kit**

  The Non-Profit Tool Kit is a 208-page guide with information on creating and managing a Non-Profit Organization. The toolkit details the 10 basic steps to form a nonprofit, from incorporating a new organization to strategic planning and finding funding. To download the resource, visit the ANA Resource Library, which is also filled with other great resources.

For step-by-step video instructions, check out the ANA webinar "Making Sure You're Registered and Ready for an ANA Grant," available on the SEDS-GO webpage.



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

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

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

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

SEDS-GO Toolkit