Grant Training Manual
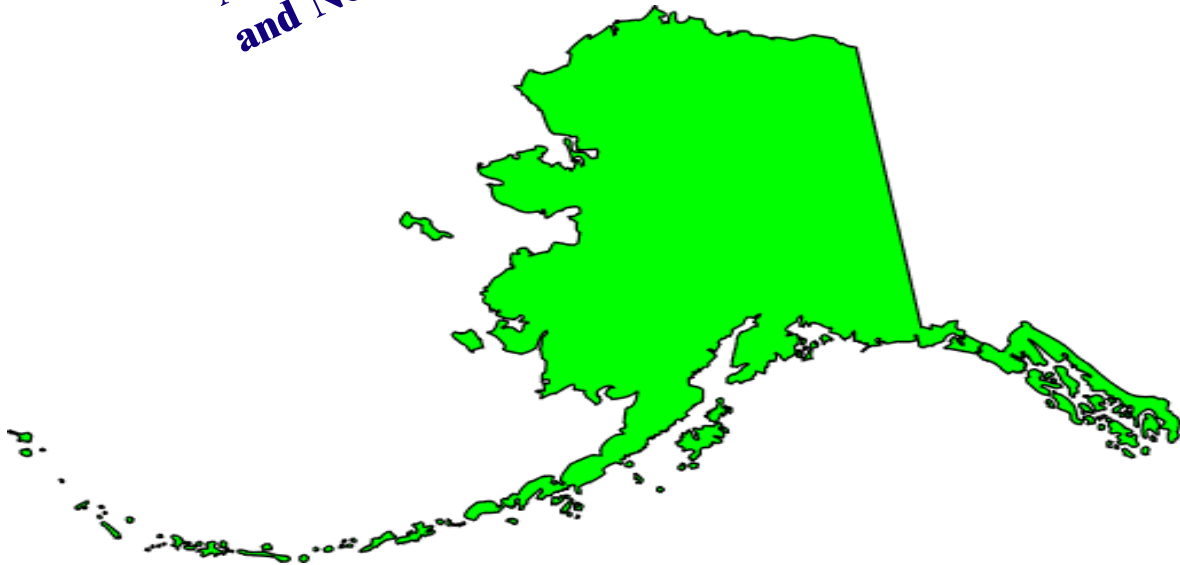
A Primer for Municipalities, Tribal Organizations, and Nonprofit Community Associations

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Preface

The Purpose of This Manual

Increasingly, communities are looking to the Department of Community and Economic Development and other state, federal, corporate and foundation grant sources to fund local community development and economic development projects. Many communities do not have the expertise available on an on-going basis to apply competitively for grant funds. This Training Manual will provide communities with a comprehensive discussion about how to successfully plan for, write, apply for, and administer grants.

The Training Manual discusses the grant process generally, and provide tips, ideas, examples, and advice that is applicable across a wide spectrum of grant opportunities. **It is not written for a particular grant program, or grant source.**

How This Manual is Organized

The Manual is organized into 8 sections: the pre-application; planning your project or program; grant information resources; "grant writing 101"; grant budget; grant administration; additional grant management considerations; and a conclusion.

We have used examples of real life grant proposals, both good and bad to illustrate how to put a grant proposal together. The names of communities and organizations that submitted these proposals have been changed to preserve anonymity.

The appendices at the back of the Manual provide you with addresses of appropriate agencies and organizations, a listing of grant-related documents, and valuable sources of grant funding (government, corporate, and foundation) information.

How to Use This Manual

This manual is organized to help you successfully plan for, write, apply for, and administer a grant. Each section stands alone although we encourage you to read the manual from the beginning. If you have any questions contact the Southeast Regional Office at 907-465-4814.

Introduction

Alaska's local governments face difficult choices every year during budget time. Local elected officials must grapple with cuts to needed programs and services, as well as with increased local taxes and user fees to cover the costs of providing basic services. Too often, the costs of the operating budget leave little or no funds to pay for needed capital projects. To address the need for capital project financing, communities are looking more and more to funding sources from outside the community. Typically, these sources are legislative grants and state agency program grants; however, funds may also be sought from federal sources and even from private corporations and non-profit foundations.

The purpose of this training manual is to provide usable, practical information to municipalities, non-profit corporations, and tribal entities in helping secure grant funds. The material in this training manual is derived from grant writing workshops held by the Department in Alaska's communities, although some material is taken from other sources. In either case, the contents of the training manual represent information that community officials need.

Reading this training manual does not guarantee that a community will receive grant funding any more than a failure to read it will act as a prohibition against receiving grant funds. The real value of the training manual is that, if incorporated into a community's decision-making process, the community will have carefully thought through their grant request, and will be well prepared to apply for and administer grant funds on needed and worthwhile projects.

Good luck and good grant hunting.

Section 1. Pre-Application

> **"We are continually faced by great opportunities brilliantly disguised as insoluble problems."**
>
> Lee Iacocca[1]

As you develop and write a grant application, you will be asked to include a wide range of information. You need to completely understand what information is important to include and why it is requested. Before any grant paperwork is ever started, your organization or community needs to make sure that it is eligible to compete for the grant funds under the grant application guidelines. This is the first stage of the pre-application process.

A. Determining Eligibility

If there is a question about your organization's or community's potential eligibility prior to submitting the grant application call the grantor agency and ask them for assistance. It is better to determine eligibility "up front." Don't waste your valuable time and energy only to find out that your organization or community is ineligible for funding.

Harriet L. Warm, a national expert on foundation grants, offers several useful guidelines for grant seekers.[2]

- Establish that the grant proposal meets a real need.

- Provide convincing solutions to the problems you are addressing.

- Determine if the scope of the proposed solution is appropriate to the size of the problem.

- Determine if the project or program really requires foundation, corporate, or government support. Consider if other funding alternatives are available.

- Approach funding agencies likely to be interested in your proposal. Determine if they have the resources you require.

- Submit your grant proposal in the most appropriate format.

- Prepare your organization so that it can receive grants. Obtain documented non-profit tax status, if applicable.

- Understand the grant review process and timetable.

Use the "Pre-Application Checklist: What To Do Before You Submit Your Application" in Appendix A to help you determine if your community or organization is eligible to apply for a grant.

B. Types of Grants

Once you have determined eligibility, you are then ready for stage two of the pre-application process by looking for the appropriate source of funds for your project or program.

There are basically two types of grants: Capital Improvement Project (CIP) Grants or Program Grants. Capital improvement project grants are intended to fund the construction or improvement of community facilities. Program grants are primarily to help pay for a special local program or project. Occasionally, grant funds may be used to do both. Both types of grants will be discussed so that you can apply the appropriate grant writing principles to either type, capital improvement or program, grant application.

Private corporations and foundations award grants to communities for various purposes. In general, these funding sources are less publicized compared to state and federal grant programs. Finding the appropriate corporate or foundation grant requires doing some homework. More information on corporate and foundation grant sources are located in Appendix C.

Although grants are not generally thought of as sources of revenue, they provide funds to build facilities and provide program services. Grants are not free money. Careful thought needs to be given about how a grant may affect your organization's or community's financial future.

Section 2. Planning Your Project Or Program

> **"The clearer the community or organization is about what it wants to achieve, and how it wants to achieve it, the better are its chances for a successful project."[3]**
>
> *- DCED Capital Project Management Guidebook*

> **"Planning is a sequence of steps, a method of getting to your goal, a 'recipe' for group action, and an image of the future as you hope it will unfold."[4]**
>
> *--Planning for Change* (Duane Dale and Nancy Mitiguy)

There is a saying about planning, "Plan your work and work your plan." Planning is simply the process of organizing your ideas about what you want to accomplish and putting these ideas together into a strategy to get a particular job done.

A. Capital Improvement Planning

One form of planning is capital improvement planning. Capital improvement planning includes a process of developing a list of community projects which involve a major expenditure and have a useful life of several years.

Among communities in Alaska, dozens of capital improvement projects can be identified, from protecting health and life safety to providing recreational opportunities that can make your community a better place to live, work and play.

Consider the following criteria when you prioritize (rank in order of most important to least important) the capital improvement needs of your community or organization:

- ◆ Is the project needed immediately, or can it wait?

- ◆ Will the project benefit the entire community or a small segment of the community?

- ◆ Will the project be self-supporting or easy to support in terms of operation and maintenance costs, or will it become a financial burden upon the community?

- Are any funding programs available to finance the project now, which may not be available in the future?

- Is the project related to other projects? Does the project need to be constructed before another project can be constructed? Would it be logical to combine this project's construction with that of another project? Can this project be phased over several construction seasons?

Answering these questions objectively will help you with the next step in the grant writing process which is preparing a capital improvement plan list. This step is described next.[5]

B. Preparing Your Capital Improvement Planning List

During the capital improvement planning process a prioritized capital improvement project list (CIP List) should be prepared. This list needs to be completed before you apply for any grant funds. Community support for the CIP list should be well documented. Communities or organizations can use a variety of ways to solicit and document citizen participation. For example:

- Community-wide meetings, public hearings, petitions requesting written ideas, and suggestions about local needs;

- Community surveys that identify the proposed project as a priority;

- Recommendations from committees which have been established for specific purposes;

- Planning documents such as comprehensive community development or overall economic development plans;

- Local civic club meetings; and

- Community-sponsored potluck dinners or picnics.

"Whatever means are used in determining local needs, remember that everybody in your community is important and their opinions count. Every effort should be made to discover what residents feel local problems are and their suggestions for solving them."[6]

Two appropriately worded examples of a public participation plan and how local residents had input into a project:

Example #1   A public hearing was held in the City of Twin Peaks on March 15,1993 to comment on the Fuel Depot Addition. Public hearing notices were posted on March 5,1993 in three public places. A quorum of the city council was established. The city administrator reviewed the project with the participants. The floor was then open to the public for comments. The participants showed full support for the project . . .

The city administrator conducted a telephone survey of the homeowners and commercial users to see if they were interested in purchasing heating oil in the village and to find out the annual fuel consumption. The survey found that four out of five commercial users would like to purchase heating oil in the village and their average annual use is 330 gallons.

Example #2   Public participation in the village of Otter Point consists of a roundtable discussions during council meetings. These meetings do an excellent job of touching base with all members of the community, not just council members. Due to the small size of Otter Point (pop. 44), practically every household is represented at village council meetings. We have a very close knit community where a community-wide consensus is mandatory for every community endeavor. A resolution was prepared and adopted and is included as part of the meeting records.

The Small Cities REDI-CDBG grant program, for example, requires applicants to hold at least two public hearings. The first must be held not more than six months prior to the original submission date of the application, to accept citizen comment on the proposed project. Documentation of this public hearing, such as meeting minutes, must be submitted with the application. The second public hearing must be held during the term of the project to review program performance.

Under the FY '94 Small Cities REDI-CDBG grant guidelines, CDBG-REDI applicants must provide reasonable notice of both public hearings. Public meetings must be held at a time and location convenient to potential and actual beneficiaries, with accommodations for the handicapped. Additionally, public hearings must meet the needs of non-English speaking residents when a significant number of non-English speaking residents are expected to participate. Additional public hearings may be required in the event of a substantial change in purpose, scope, location or beneficiaries of the project.

Recap

Funding agencies want to know that the grant they might fund is supported by community residents and that local community leaders are dedicated to the project as well. In addition to the community commitment, you need to ask some very specific questions (Who, What, and How) about the nature of your project. A worksheet has been provided in Appendix B to help you answer the who, what, and how of your project development.

Section 3. Grant Information Sources

"Knowledge is Power."

Most funding for capital projects comes from the State, but there are a number of other potential funding sources that should not be overlooked. The federal government funds a number of different programs, as do non-profit organizations, private corporations and foundations. A variety of sources of information are available that you can use to fund your project or program. See Appendix C, "General Publications, Foundation and Corporate Giving Publications, and Department of Community and Economic Development' Publications," for more information.

A. State Government Grant Funds

State grant funds may be obtained in three ways: 1) through state agencies in the budget that the Governor submits to the Legislature each January; 2) through CIP requests that are made directly to the community's legislative delegation; and, 3) through competitive grant programs, such as DCED's Rural Development Assistance (RDA) and Community Development Block Grant (CDBG) Programs.

1. State Agency Budgets

Several state agencies provide for capital projects in their annual budgets. For example, the Department of Transportation and Public Facilities (DOT/PF) each year funds maintenance improvements or construction of highways, docks, harbors, airports and state buildings. The Department of Environmental Conservation (DEC) funds the construction and improvement of water supply and waste water treatment facilities through the Village Safe Water (VSW) Program. The Department of Education (DOE) maintains a priority list for school construction and improvements, while the Department of Natural Resources (DNR) funds improvements for state parks. Other departments may also fund capital projects in their annual budgets, for example, the Department of Health and Social Services (DH&SS) funds construction of a halfway house, or the Department of Fish & Game (DF&G) funds construction of fisheries improvements, and so on.

State agencies that fund capital projects maintain priority lists that are updated annually. If your community is interested in a project that appears likely for funding through a state agency budget, such as utilities, transportation or schools, contact the appropriate agency right away to find out how to get on their priority list for funding. Agency budgets are submitted to the Governor's Office (the Office of Management and Budget, or "OMB") in November. There, a decision is made regarding which projects will be presented to the Legislature as part of the Governor's annual budget.

Starting in the fall of 1993, the Office of the Governor began implementation of a new capital project matching grant program. This grant program is split into two parts:

one for municipalities, and the other for unincorporated communities (non-profit community associations and Native entities). It requires a local match for each project selected. Application criteria for the capital project matching grant program must include:

    i.   Name of the capital project;

    ii.   Description of the essential characteristics of the capital project (nature, stages, estimated duration, financing, and estimated time of completion);

    iii.   Explanation of the amount and source of the local share to be provided for the capital project; and

    iv.   A resolution adopted by the local governing body endorsing the project.

2. Legislative Grants

Your community may desire a project, such as a ball field or city hall improvements, that are not suitable for funding in a state agency capital budget. Funds for these, as well as for a variety of other kinds of projects, may be requested directly from the legislature. You should submit your community's CIP list to your legislative delegation when the legislative session starts in January. Afterwards, you should contact your legislators regularly. It may also be helpful to make a trip to lobby your legislative delegation in person. Don't be a pest, but be sure you are well informed about the status of your request. If your project is funded, it becomes a part of that fiscal year's capital budget.

Send the following information to your legislative delegation with a courtesy copy to the Office of the Governor (OMB):

- Cover Letter — Describe the projects requested and any back-up information attached. Give the name, address, and telephone number of the local contact person.

- Resolution — A resolution from the local governing body (city council, borough assembly, village council, or non-profit board of directors) which shows that the request is submitted as a formal request from the community.

- Summary Sheet — A prioritized listing of all the requested projects.

- Project Description — A description which explains the purpose, need, and cost of the project(s).

- Back-up Information — Information about the project cost, materials, or design. Also include additional plans or design, if applicable.

3. State Agency Grant Programs

State agencies also provide numerous competitive grant programs. It is these programs (as well as federal programs such as those available from the Economic Development Administration and the Department of Housing and Urban Development), and how to apply successfully for funds, that is the focus of this handbook.

Two excellent sources exist for information about state grant programs. They

are:

- ✓ AML State Aid Catalog[7]
- ✓ Economic Development Resource Guide[8]

Application requirements, eligibility, deadlines, and other factors are different from grant program to grant program so be sure to check the requirements for each program carefully.

B. Federal Government Grant Funds

The federal government has a number of agencies that provide technical assistance and/or funding for program grants and capital improvement grant projects. In addition, there are a number of excellent sources of information on the subject of federal grants including:

- ✓ Federal Register
- ✓ Rural Information Center (RIC)
- ✓ Cooperative Extension Service (CES)
- ✓ Federal Catalog of Domestic Assistance
- ✓ Federal Assistance Program Retrieval System (FAPRS)
- ✓ Economic Development Resource Guide

For more information on how to obtain federal grant publications or to contact these agencies for technical assistance, please see Appendix C.

C. Private Corporation and Foundation Funds

Corporations and foundations throughout the United States gave away one hundred and eight billion dollars ($108,000,000,000) in grants in 1991. Health, medical, education, arts, research, minorities and social service groups were among those benefiting from corporate and foundation funding.[9] For example, Native Americans received $27.1 million in 1990, according to *The Foundation Grants Index, 1992*.[10] Private corporations and foundations sometimes award grants to local governments for a variety of purposes. In general, corporate and foundation funding sources are less publicized in comparison with state and federal government grant programs.

There are over 27,000 foundations in the United States.[11] They rarely advertise, so it is up to you to locate those with the interests, capabilities, and geographic scope to match your grant proposal. Don't overlook foundations as an important source of funding for your community's projects and programs. Jodi Kilcup, writing in *Alaska Business Monthly,* recommends not limiting your grant seeking to just one source. "Try to solicit start-up funds from a variety of sources including corporations, foundations, state and federal governments," Kilcup advises.[12]

According to Corporate Resource Consultants (CRC), of Kansas City, Missouri, the average foundation provides one to three year start-up funds for a project (building or equipment grants) that ranges in cost from $1,000 to $1,000,000 with an average dollar range from $5,000 to $50,000. Most foundations require application forms and a funding proposal.[13]

CRC also states that the average corporation makes annual renewable gifts for one-time building or equipment grants. Gifts range from $500 to $100,000 with an average range of $1,000 to $10,000. Corporations sometimes require application forms and a prospectus is required. (A prospectus is a short and concise statement about your organization.)[14]

Three excellent sources of foundation and corporate giving information are:

- ✓ The Foundation Center (publishes *The Foundation Directory/)*
- ✓ The Grantsmanship Center (publishes the *Whole Nonprofit Catalog*)
- ✓ *Directory of Foundation Funding Activity in Alaska* (published by the Cooperative Extension Service; Compiled by the Rural Information Center in cooperation with the CES)

See Appendix C for information on foundation and corporate giving and technical assistance sources.

D. Local Sources of Funds

If your project has a high local priority and outside funding is not available, it may be possible for your community to finance a small capital improvement project. Local taxes; fund raising programs such as bingo, a community carnival, or fair; or user fees may provide financing for a small project. A loan or sale of municipal bonds may finance a larger project, but these funds must eventually be repaid by user fees or local tax revenues.[15]

A number of excellent sources on local financing include: Judy

- ✓ National Small Flows Clearinghouse, W. Virginia Univ.
- ✓ National Association of Towns and Townships (NATaT)
- ✓ Department of Community and Economic Development (DCED)
- ✓ Department of Commerce and Economic Development (DCED)
- ✓ Small Business Development Center (SBDC)
- ✓ Cooperative Extension Service, University of Alaska
- ✓ Rural Information Center, National Agricultural Library (USDA)

See Appendix C for information on local grassroots financing and sources of technical assistance.

E. Lobbying for Grant Funds

Regardless of your source of grant funds, you need to conduct an organized lobbying campaign in support of your grant proposal. The idea here is to make sure that your project or program gets the attention it needs and that there are no questions or problems with your grant application that you have not already addressed.

Before you start writing the grant application it is a good idea to contact the grant-making agency. Make inquiries in person if you can. If not, a telephone call is recommended. If a telephone call is not possible, then write the agency a letter. A visit, call, or letter may save you much time and work. It provides you with basic information before initiating the time consuming task of preparing the grant application.

Tip: Lobbying for Grants

"Maintain contact with the state agencies and your local legislative officials on a monthly basis, and more frequently during the later part of the legislative session when Budget Bills are being voted on."[16]

Section 4. "Grant Writing 101"

**"The first step in writing a grant is
reading the directions."**

- Gretchen Mannix, *Basic Grantwriting Techniques*[17]

Remember that a "real" person or a review committee of "real" people will be reviewing your grant application. No reviewer wants to read an application that is confusing, incomplete, contains too much or too little information, is poorly organized, poorly written or is illegible.

A basic rule about writing grants is that the harder it is for a reviewer to read, understand and "digest" the contents of your application, the less likely it is that your application will be funded. You want to submit a "reviewer friendly" grant application. You want your proposal to be evaluated on its merits, rather than be dismissed because of poor organization, poor formatting or some other factor not related to the actual merits of the proposal.

A. What To Do Before You Write Your Grant Application

Pay attention to, and follow to the greatest extent possible, the following twelve suggestions and hints. They are meant to help you submit an organized, competitive grant application that will make your application stand out and get full consideration by the reviewers.

12 Hot Tips to Turn Your Dreams Into Cold Cash

1. **Write legibly or type.** Prepare your application by using a word processor or typewriter, if possible. If not, then have someone with good handwriting print or write the final application from a completed draft. The application must be legible. Your proposal won't be effective if it can't be read.

2. **Be organized.** Make sure the information is well organized within the application. You don't want reviewers to have to "tab" pages and constantly flip back and forth to find the information they need. This drives reviewers crazy. Reviewers are human, too. Give them the information needed to understand your proposal. If you are referring to a particular section or document, include the page number so that the reviewer can locate the necessary information quickly and accurately.

3. **Be prepared.** If a little information is good, it does not necessarily mean that more information is better. Don't provide any more information than is needed to make sure your proposal is clearly and completely presented. A two-inch thick grant application may look impressive, but it may also contain irrelevant or unnecessary information.

4. **A picture is worth a 1,000 words.** Use photographs if words cannot adequately explain the physical condition, topography, location, or some other factor(s) that is important to convey to the reviewer. One city, for example, used photographs of its water source, and made a very strong point about the need to have a replacement dam constructed.

5. **Use your own words**. Don't use big words, or technical terms or phrases, when your idea or proposal can be explained with regular, every day language. Sometimes the use of technical terms cannot be avoided. Just be sure that you know the meaning and usage of those terms, and that their meaning is clear to the reviewer.

6. **Know your subject.** Even if you have a wonderful project or proposal, if it is poorly thought out, or if the person who prepared the application doesn't understand it very well, it will be impossible to convey it clearly to the reviewers. Be sure you have thought everything through and understand it before you try and explain it on paper to reviewers who may have never been to your community.

7. **Practice makes perfect.** Make a "dry run" presentation of your grant proposal to a friend, spouse or co-worker. You would be surprised how quickly the weak or "thin" spots show up when you try to explain your ideas to another person or group. This way, you can identify any weak areas and correct them before the application is submitted.

8. **Be neat so that the reviewer can follow your project.** Put the right information in the right section. This sounds simple, but many applications have been submitted with information carelessly arranged under the various grant categories. Pay attention to the requirements for information under each section.

9. **Make it easy for the reviewer of your project.** Imagine that the reviewer knows nothing about your project or proposal. Everything the reviewer has to know must be contained in the application. Ideas important to your application that may be clear in your mind, mean nothing to the reviewer unless it is expressed in the application. So, don't make the reviewer guess, or try to fill in the gaps, or make assumptions about what you are trying to say. Say it yourself, clearly and concisely.

10. **Be honest and realistic.** You have probably heard the saying, "You can't make a silk purse out of a sow's ear." This means you cannot make a bad project or proposal into a good one no matter how well or completely you describe it. Don't distort facts or make intentional misstatements which can be easily dismissed and may cause the reviewer to question the accuracy of your proposal.

11. **Don't be afraid to ask for help.** If you have a question about the application, always check with the grantor agency. Speak directly to the person who administers the grant program to which you are applying.

12. **Be professional.** Never misrepresent your project or proposal in an application, for two reasons. First, it probably means that the project is not needed or is not ready to go. Second, reviewers who find out they have been deceived will be

much more likely to review subsequent applications from your community with suspicion and mistrust.

B. Preparing Your Grant Application Narrative

Introduction

The next section describes the Program Narrative. The program narrative contains sections dealing with descriptions of existing conditions, explanation of need, goals and objectives, and action planning.

The Program Narrative

The program narrative is the most important part of the grant application. It is the body, or "guts" of your grant proposal. It is what your proposal is all about, what you want to do. The narrative should first identify existing conditions, the nature of the proposed project (project need), and explain why the current situation is not satisfactory. You need to explain how the project or program will create a more satisfactory solution by meeting the needs of your community. You do this by describing your goals, objectives, and action plan in the program narrative.[18]

At a minimum, your program narrative should contain:

    a. Identification of Existing Conditions.

    B. Explanation of Need.

    c. Project Goals and Objectives.

    d. Project Action Plan (also known as "Activities" or "Tasks").

See Figure 4.1 for an example of a project description, project goals, and objectives. These are described in further detail below.

Figure 4.1

Example of Description of Need, Goals, Objectives, and Activities

Description of Need: We want to encourage and motivate residents of Baxter Island by improving the skills they require to assume leadership responsibilities for the betterment of the community.

Goal: Enhance the social and economic well-being of the community of Baxter Island, by developing active, effective leaders for the twenty-first century.

Objective: To increase the leadership and organization skills of 20 participants from Baxter Island by the end of the year.

Activities: 1.   Increase individual communication and organization skills by conducting three four-hour workshops prepared by the university's cooperative extension service.

2.   Enhance skills in conducting meetings and reaching group decisions through participation in a year-long training seminar.

Adapted from: *Developing Community Leadership: the EXCEL Approach,* University Extension, Missouri Rural Innovation Institute and *Volunteer For Minnesota: A Project For Developing Public/Private Partnerships in Communities,* Minnesota Office on Volunteer Services.

a. Identification of Existing Conditions

The program narrative should capture your reader's interest. lJut action m your verbs. Write the way you talk. A conversational tone is one of the best ways to get your message across. Don't use "bureaucratese" or jargon. Use your own words. A proposal in your own words shows more thought and effort, so it appears to the reviewer that you have a greater level of concern about your particular issue(s).

Two hypothetical examples of appropriately worded program narratives that describe the existing condition of a problem or need:

Example #1   Salmon Village is a small, predominantly Native community, on the shore of Lake Parker and is extremely isolated. Any emergency situation must be dealt with by the community on its own. The nearest help is always a plane flight away. In the Spring of 1993, the village had to deal with a crisis. We had to bring a patient with a spinal injury from fish camp into town to be flown out to Anchorage. We don't have an ambulance so we had to transport the patient on the back of a Honda four wheeler. A pick-up truck was then used to transport the patient to the airstrip. . .

Example #2   The XYZ Hockey Association proposes to construct and maintain a regulation size hockey rink to develop a youth hockey program in our village. Over the past two years, strictly through donations and volunteer efforts, we have managed to erect a regulation size rink on leased land adjacent to the community center . . . This project will continue to improve upon this facility . . .

b. Explanation of Project Need

Once you have described the existing condition, write the project need section. Lee Decker, with the Congressional Research Service at The Library of Congress, states:

> The project need section should be a simple statement of the existing problem or condition for which a solution is being sought, and how a solution would benefit the local people. The "problem" (better expressed as a challenge or opportunity) should be defined in terms that will allow the grantor agency to see that there is a specific problem which can be

resolved within a reasonable time frame and with a reasonable amount of money.[19]

Four appropriately worded examples of (fictional) project need statements:

Example #1 There is a continuous need for energy conservation and home improvements within Lonesome Dove Village. Typically homeowners in the village use up to 45% of their disposable income to heat their homes. Energy conservation alternatives are desperately needed to reduce the cost of heating homes which will also increase the circulation of the limited amount of cash within the local economy.

Example #2 This project will address the need within Canyonville to provide day care assistance for working families through the establishment of a Day Care Center. The lack of adequate day care assistance within the community is of great concern to working families, and we currently have no facility available to address this need constructively.

Example #3 There is a continuous need for jobs within Arrowhead Village. Within the last 10 years, many villagers have been leaving the village to pursue economic opportunity in other parts of the state. We want to provide our children with a future here in Arrowhead Village so that they can have healthy and productive lives. One of the economic development projects we want to pursue is development of a cottage industry that develops locally produced souvenirs and totem poles.

Example #4 This project will enable the City of Wildwood's municipal lands to be surveyed as required under the Alaska Native Claims Settlement Act (ANCSA). Once accomplished, the City can sell lots to interested individuals. Once the lots are surveyed, it will alleviate controversy within the community and take the guess work out of the lot line boundaries.

c. Project Goals and Objectives

Once you have completed the project need section, the next step is to write the goals and objectives you expect will achieve the results you want. A goal is defined as a general or broadly written statement of desired results which will solve a specific problem or meet a specific need. It must answer the question about where you want to go.

Four examples of appropriately worded (fictional) goal statements using the previous examples:

Example #1 Reduce the cost of home heating for the residents of Lonesome Dove Village.

Example #2 Provide a safe and nurturing day care environment that promotes the physical, social, emotional and cognitive development of young children which reflects and reinforces the cultures, values and needs of local families in Canyonville.

Example #3   A "quality" product line of Arrowhead Village souvenirs and totem poles will be in production by the end of the 3rd quarter.

Example #4   Survey lots in the City of Wildwood so that villager residents can have clear title to their land and resolve any existing site control problems.

The above goal statements are clear, simple, and direct. When writing goals remember the KISS Rule – Keep It Short and Simple.

When the goal section is completed, write the project objectives. An objective is a measurable statement that helps you to achieve the overall goal. The objective "is a statement of what the outcome will be - a specific measurable outcome. An objective is what one intends (not hopes) to have accomplished at the end of a specified time.''[20]

According to the federal Administration for Native Americans (ANA), *Financial Assistance Application,* the statement of the objective should contain the following three basic elements:

   a.   States exactly what will be accomplished during the project period;

   b.   States how well it will be done, expressed in quantity and/or degree of quality; and

   c.   States when it will be accomplished.[21]

Objectives should be specific, measurable, achievable and compatible with the overall goal. Fairbanks-based grants writer and consultant, Cynthia Adams, recommends that objectives start with the word "To" followed by a verb (an action word).[22]

Examples of four appropriately worded (fictional) statements of objectives:

Example #1   To perform energy audits on the 35 houses in Lonesome Dove Village by the summer of 1994.

Example #2   To develop a day care facility providing day care assistance for 35 local families.

Example #3   To develop a profitable small-scale cottage industry that employs 15 local employees using locally manufactured products by the end of 18 months.

Example #4   Survey 25 lots by the end of the 3rd quarter.

Clearly, if you have defined a problem, challenge, or opportunity then your objectives should offer some relief to the problem, challenge, or opportunity. If the objectives stated above, for example, are successful, then certain effects, results, benefits, or impacts to your organization or community may be expected. Be sure to state the results or benefits you expect from the achievement of the objective. Results should be expressed in terms of improvements to your community or improvements in the capability of your organization.[23]

d. Project Action Plan

Okay, so now you have written about the existing condition, described the project need, and established the goals and objectives you want to accomplish with your project. What's next? Well, objectives don't just happen. Activities are required to actually accomplish your goals and objectives. Activities should be presented in logical order which show the process needed to complete these objectives. Activities are outlined in an action plan. Figure 4.2 displays a project action plan format.

A good action plan has at least 5 elements: Activities (also known as "Tasks" or "Action Steps"), Persons Responsible, Resources ("Contacts"), Budget, and Time Frames ("Completion Date").

1. **Activities** (Tasks) -- Describes the steps to be taken to achieve the objectives in your grant.

2. **Persons Responsible** -- Indicates the individuals responsible for completing project tasks.

3. **Resources Needed and Available** -- A listing of agencies and other individuals who should be contacted or who might be helpful in getting the grant project tasks done.

4. **Budget Available** -- Describes actual revenues and expenditures that will be necessary to achieve the goals of your grant project or program .

5. **Time Frames** (Completion Date) -- Describes when the grant project tasks will be completed.

Figure 4.2
Example of Project Action Plan

Name of Community: _____

Goal of this Activity:_____

Objectives of this Activity: _____

_____

What are the Activities? (Tasks)	Who will do it? (Persons Responsible)	Resources Needed and Available?	Budget Available	Completion Date (Time Frames)

Adapted from: "Community Action Planning," Evaluating Service-Learning Programs, Washington, D.C., ACTION, National Service Volunteer Program, Washington, D.C., 1978 Source: Minnesota Office on Volunteer Services: Volunteer For Minnesota: A Project for Developing Public/Private Partnerships in Communities.

Recap

A goal is a very general statement to work toward. For example, "The River Forest Community Association will develop hiking trails for use by community residents." Objectives are specific statements which describe what you wish to achieve by a certain time in the future and how you expect to accomplish those tasks. For example, "To utilize 20 teenage volunteers to build 10 miles of hiking trails in Green Valley Park by October 30, 1994." Finally, the action plan allows you to plan out the activities to accomplish the goals and objectives. It allows you to monitor progress as you go through the planning, implementation, and evaluation stages of your capital project or program. The project action plan should be a "detailed description of what you will specifically do to accomplish or meet the objectives."[24]

To prepare your own action plan, we have included an "Project Action Plan Worksheet" in Appendix D.

Section 5. The Grant Budget

> **"Make your budgets detailed, not general.
> The more information you include, the
> fewer questions will come up at the
> decision table."**
>
> **--Cynthia Adams,** *Introduction To Grant Writing*[25]

A budget must be submitted with a grant proposal. It shows how much it will cost to accomplish your goals and objectives as stated in the program narrative. (See Section 4.) Even though the budget only represents a preliminary estimate of the cost of your project, budgeted amounts should be as specific as possible.

The budget is comprised of two major parts:

> A. Budget Narrative
>
> B. Budget Summary.

A. The Budget Narrative

A budget narrative describes each of the budget categories. The budget narrative should be stated in broad terms, yet allow the reader an accurate understanding of the budget.[26] Each budget category should be explained in as much detail as possible. Be specific.

Several examples of appropriately worded budget narratives for different line items are noted:

Example #l   The following are quoted freight costs from Alaska Outport Transportation Association, obtained on 12/12/91.

Item	Weight	Rate	Cost
Lumber	30,000#	4.00 per 100#	$1,200
Concrete	90,000#	2.93 per 100#	$2,637
Rebar	705#	12.60 per 100#	$88.83

Example #2   Insurance: C.H.I. of Alaska, Inc. Project insurance is calculated at approximately $288 which represents Workmens' Compensation based on 12% of the wages of $2,400.

Example #3   Rental Equipment: Bulldozer, front-end loader, and dump truck to be rented from Canyon Village. Total of 160 hours at $75.00 per hour equals $12,000.

The above examples dearly relate to the budget narrative for equipment rental, insurance, and freight costs' line items.

B. The Budget Summary

The Budget Summary outlines the funds requested from the grant agency. It also shows all other sources of funding for your project or program, including any cash and in-kind contributions. It's the "page of numbers" that shows how much your project or program costs and the funding source for each part. Be sure to round off amounts to the nearest dollar. Always, always, always double-check your math.

Most budgets are arranged with two columns: "Budget: Sources of Funding" and "Budget: Cost Categories." The "Sources of Funding" are located across the page (horizontally). See Figure 5.1. It indicates who will pay for each service or item. The "Cost Categories" column is shown down the page (vertically). It indicates what you want to purchase and separates costs into specific line-item categories. See Figure 5.2 for example of cost categories.

An example of a grant line-item budget is located in Appendix E.

Budget Sources of Funding

The "Sources of Funding" (horizontal - across the page) include:

- ◆ Grant You Are Applying for;

- ◆ Other State and/or federal funding agencies, foundations or private corporations which are also directly or indirectly contributing to this project;

- ◆ Local cash; contributions from local government city councils, village councils and corporations, businesses, or private donations;

- ◆ In-kind contributions; non-cash contributions like facilities, goods, services, land, time, space, personnel, materials and equipment calculated at fair market value.

Figure 5.1
Example of Budget Sources of Funding

Grant you are applying for.	Other State or federal funds.	Local Cash Contributions	In-kind Contributions.
$	$	$	$
$	$	$	$

Sources: Pulling Together: A Manual For Community Development, State of Alaska, Department of Health & Social Services, Fall, 1990 REDI-CDBG Grant Application Handbook

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Budget: Cost Categories

The "Cost Categories" (vertical - down the page) identify and separate costs under the following line item categories: (See Figure 5.2 below.)

- ✓ Labor (also known as "Wages" or "Personnel Services")
- ✓ Fringe Benefits
- ✓ Travel, Per Diem
- ✓ Facility Expenses
- ✓ Supplies
- ✓ Equipment Rental
- ✓ Contractual
- ✓ Insurance
- ✓ Other
- ✓ Indirect Costs (also known as "administration")

An example of a labor and fringe benefits worksheet is located in Ap~?endix F.

Figure 5.2
Example of Cost Categories as part of Overall Grant Budget

	Grant you are applying for.	Other State or federal funds.	Local cash contributions.	In-kind contributions.
Labor				
Fringe Benefits				
Travel / Per Diem				
Facility Expenses				
Supplies				
Equipment Rental				
Contractual				
Insurance				
Other				
Indirect				
Total				

Sources: Puiling Tx gether: A Manual Fol Community Development, State of Alaska, Department of Health & Social Services, Fall 1990; FY94 REDI-CDBG Handbook and Application packet; and, FY94 REDI-RDA Application and Handbook, Department of Community and Economic Development.

Individual line item cost categories are explained in more detail below.

a. Labor (also known as "Wages" or "Personnel Services"): Salaries and wages for project staff, temporary and/or occasional employees. (Note: consultants and others not being paid fringe benefits are listed in the category "Contractual").

b. Fringe Benefits: Include federal withholding taxes, Social Security tax, Medicare, workers' compensation insurance, FUTA Tax (applies only to non-profits), and UI, unemployment tax. The fringe benefits percentage rate (%) is also included.

Generally, fringe benefits are computed at 25% of salaries. Actual fringe benefits depend on the length and type of employment, salary, and the type of insurance coverage the employee elect to carry, etc.

c. Travel, Per Diem: Allowable costs include airfare, taxi, car rental, private vehicle mileage, and per diem. Per diem is for travel outside the local community and pays for meals and lodging. Per diem rates vary among local, state and federal grant making agencies. Be sure to check the grant application for any specific requirements.

d. Facility Expenses: Allowable expenses include costs of renting/leasing office space, utilities, repairs, telephone, and materials for building renovations. Funds requested for renovations should be itemized to indicate costs

e. Supplies: Allowable costs may include, but are not limited to items such as office supplies, program supplies (arts, crafts, posters, videos, pamphlets, books, etc.,) household supplies and cleaners and medical supplies.

f. Equipment Rental: Maintenance and repairs of equipment that is owned, leased or rented (typewriters, copy machines, computers); audio/visual equipment, lease or rental of equipment (typewriters); and, purchase of equipment.

g. Contractual: Professional fees and costs of bringing a consultant to your agency to give training, workshops, and lectures. Subcontractors to other agencies for services; stipends paid to local people for a special activity or class. Other allowable costs in this category may include subscriptions to journals, and printing / advertising.

h. Insurance: Allowable costs include insurance and bonding. For example, the RDA program requires a minimum of $300,000 in General Liability; $100,000 per person/occurrence Workmens' Compensation; and $100,000 Automobile Liability, if applicable. Consult the "Yellow Pages" in order to obtain information about insurance.

i. Other: Identify and attach appropriate documentation.

j. Indirect Costs: Indirect costs are also referred to as "administrative overhead." They are the costs of administering program activities, which are difficult to link toa single program activity.

C. Getting the "Biggest Bang for Your Buck"

Introduction to Leveraging

There are several ways to make grant funds stretch even further so that you get the "biggest bang for your buck." The concept of "leveraging" means that you use one source of money to enhance and supplement other sources.

Let's look at three different ways you can leverage your sources of grant funds.

a. "Percentage and/or In-Kind Match"

One method is to provide a percentage and/or in-kind match.

> The state's Rural Development Assistance (RDA) grant program requires a 25% local cash or in-kind contribution to support the project. Without this contribution the grant application will receives less points used to calculate grant awards.

b. "In-Kind Match"

A second method is to provide an "in-kind match". This means your community makes a non-cash contribution towards your project. Non-cash contributions can be in the form of goods, services, land, facilities, space, personnel, materials, and equipment calculated at fair market value.

> The federal Small Cities Community Development Block Grant Program (CDBG) requires matching and in-kind contributions in order to qualify for funding. CDBG requires that a "minimum of 25% of the match from other sources be cash. The remaining 75% of the match may be in the form of inkind distributions."

c. "Dollar for Dollar Leverage Match"

A third method is to "leverage" grant funds with two or more funding sources which is similar to the percentage and/or in-kind match noted above.

> The Community Development Block Grant-Rural Economic Development Initiative Grant Program (CDBG-REDI) requires that each applicant match each dollar requested from CDBG-REDI with a dollar from other non CDBG-REDI sources.

Grant projects and programs are more fundable if you can identify local sources of cash, in-kind contributions, and to leverage other sources of grant funds for your program or project. A description of matching in-kind contributions appears in Figure 5.3. Requests for funding are looked at more favorably when you can show that your community and its residents care enough about the project to contribute to it, either as cash or with in-kind contributions. Be sure to state how *much* in-kind contributions would have cost if you had to purchase them.

Figure 5.3
Description of matching in-kind contributions.

Matching Grant Contributions	Matching Grant In-kind Value
(a) **Goods** (describe)	Value:
(b) **Services** (describe)	Value:
(c) **Lands** (describe)	Value:
(d) **Facilities** (describe)	Value:
(e) **Equipment** (describe)	Value:

Adapted from: FY 94 REDI-RDA Handbook and Application; FY93 REDI-CDBG Grant Application Handbook, Department of Community and Economic Development.

D. Revising Your Grant Budget

A budget revision may be needed from time to time to allow the transfer of funds from one cost category to another, for example, from travel to supplies. Generally, a budget revision is prepared when costs in any one line item category exceed 10% of the original budgeted amount for that line item category. Contact the grant making agency for specific information on how to revise your grant budget. Most grant making agencies both allow and expect budget revisions.

Remember, each grant making agency has its own rules about making changes to the grant budget. For example, under the state's RDA grant program, any changes to the budget beyond the limits authorized by the grant contract must be approved by formal amendment to the grant agreement.

E. Financial and Other Reporting Requirements

Receiving funds from the grantor agency requires regular financial reports, usually on a monthly or quarterly basis. Be aware of reporting deadlines and be sure to submit them on time. If you can't meet the grant report deadline call the grantor agency and explain why you won't be able to meet it.

Financial reports are made on forms provided by each grant making agency. They show how you spent funds received and how much is left. Contact the grantor agency if you have specific questions or concerns about completing the forms. Contact the grant making agency if you have any questions or need help. The grantor agency wants your project to be successful just as much as you do.

An example of a state grant progress/advance request report has been included in Appendix G. Each grantor agency has their own forms (budget, grant progress reports, etc.).

Section 6. Grant Administration

"Does the Applicant have the ability to properly manage the grant funds and comply with all requirements?"

-RDA Grant Program Handbook

"Has the applicant identified who will have the day-to-day management responsibility and oversight for this project?"

-REDI-CDBG Grant Application Handbook

Each grantor agency needs to be sure that you (the grantee), will be able to properly manage the grant if it is awarded. Therefore, it is very important to document all past completed grant projects to show that your community or organization has a good financial management "track record." Also, you should be able to demonstrate that you have adequate accounting and financial procedures in place to insure proper accountability of grant funds. The most recent audit that the community or organization has contracted should reflect this accountability and should be attached to the grant application, if applicable.

We have enclosed a "Grantee Administrative Capability" Checklist in Appendix H to help determine if you have adequate accounting and financial procedures in place to administer a grant.

Don't overlook the fact that some grant making agencies may not fund your project if you already have another grant under contract with that agency. For example, the Small Cities CDBG-REDI program will not fund another CDBG-REDI project unless two conditions are met: (1) a minimum of 75% of non-administrative funds have expended and reported on the existing grant; or (2) the project is completed.

A. Grant Conditions

Before any money is given to a successful grant applicant, a grant agreement (also called a contract) is usually written between the grantee (your community or organization) and the grantor (grant funding agency). The grant agreement identifies the terms and conditions governing the grant program and identifies specific record keeping and reporting requirements. Typically, grantees will be reimbursed only for work or services performed under the provisions of the grant.

As a general rule, no costs are reimbursed before the grant agreement is signed. Be sure to keep, and the grant making agency may require, any and all program related records, reports, receipts, invoices, documents, and any pertinent information.

B. Administering the Grant Contract

Signing a grant agreement does not free your community or organization from further obligations; it is really just the start of your grant responsibilities. You will be responsible for properly managing grant funds and satisfying any reporting requirements. Also, your community or organization is responsible for seeing that the project is completed properly and on schedule.

The grant agreement, once negotiated, is a legal document which governs the administration of the grant. Regardless of the source of the grant, each grant agreement will most likely include the following criteria:

- A beginning and ending date.

- The amount of grant funds provided, as well as the amount and source of other funds committed to the program or project;

- A detailed project description outlining the scope of work to be completed;

- A detailed budget for implementation of project activities;

- The schedule for implementation of project activities;

- The general and/or special terms and conditions associated with the grant.

- A schedule for submitting financial reports and program reports.

Your community or organization should establish policies and procedures for administering a grant contract. Appropriate policies and procedures are discussed in mare detail below.

C. Components of the Grantee Accounting System

An accounting system needs to be set up to properly track project revenues and expenditures. Keeping financial records up-to-date and in order is a must. It may be advisable to open a separate bank account for the grant and to keep all information in a separate ledger or in a separate area of the general ledger. This will make it easier to keep track of and account for grant funds.

Typical components of a grant project accounting system include:

1. Chart of accounts

A record of revenues and expenditures by source of funding used for financial reporting to the grant funding agencies.

2. Check register

A record of every check written on the project or program account.

3. Written records

All transactions must be maintained, including receipts, signed contracts, and written accounts of any verbal agreements.

4. Payroll journal

A record of all payments made for labor and project/program administration personnel. This information is used to determine state and federal payroll taxes.

D. Administrative Costs

As a grantee, you are encouraged to provide the necessary administrative support as an in-kind donation toward the project. Administrative costs MUST be kept to a level which is as low as sound management and generally accepted accounting practices will permit. Typically, administrative costs for equipment purchase type of grants are limited to not more than 5% of the total grant amount. Administrative costs for construction projects and other types of grants are generally limited to not more than 10% of the total grant amount.

Carefully review the grant application guidelines to determine if the project or program activities you want to undertake are eligible. Some administrative costs may or may not be allowed under a particular state or federal, corporate or foundation grant.

1. Examples of Allowable Administrative Costs include:

- Rent
- Administrative management salaries
- Telephone
- Postage
- Photocopying
- Accounting or bookkeeping
- Audit services
- Bonding
- Printing
- Insurance
- Advertising (for procurements or employment opening, only)
- Travel and per diem (if approved in the grant agreement)
- Legal expenses (if approved in the grant agreement)
- Advisory councils, meetings and conferences (if approves agreement)

2. Examples of Ineligible Administrative Costs

- **Lobbying**: (grant funds, including interest income earned on advances may not be used to lobby the Alaska Legislature for funds);

- Bad debts: (any losses arising from un-collectable accounts and other claims and related costs);

- Contributions and donations;

- Entertainment: (costs of amusements, social activities and incidental costs); and

- Fines and penalties: (costs relating from violation of, or failure to comply with Federal, State, and local laws and regulations)

Be sure to check the grant contract language carefully to determine what administrative costs, if any, are eligible. For example, the Small Cities CDBG-REDI grant and the state RDA grant allow for a maximum of 10% for administrative costs.

F. Getting Organized: The Grant Files

Keeping organized project management files is a vital component of grant administration and cannot be over emphasized. Keeping your grant files neat, orderly, and up-to-date will help you find program and project information quickly.

The following section on organizing grant files provides you with a detailed outline on the contents of the four part grant file folder. The four-part grant file folder includes:

1. Document Files

2. Correspondence Files

3. Contract Files

4. Financial/Vendor Files

1. Document Files

First, the document files should contain the grant application, the grant proposal, and the governing body resolution, if applicable. In addition, if the project is for a capital project grant you should also enclose the following information:

- ✓ Request For Proposal (RFP),

- ✓ Invitation to bid/price quotes,

- ✓ Bids/price quotes submitted, bid award,

- ✓ Notice to proceed,

- ✓ Construction / design / management contracts,

- ✓ Contract change orders, and

- ✓ Construction certification of completion.

The following generic grant information should also go in the document file:

- ✓ Grant title,
- ✓ Grant number,
- ✓ Budget/account code number,
- ✓ Grant total,
- ✓ Grantor name,
- ✓ Grantor contact with phone number, and
- ✓ Community contact with phone number and fax number, if available.

Keep all of your documents together and be sure to put all of the grant documents in chronological order, with the most recent on top.

2. Correspondence Files

Second, correspondence files includes letters from your organization to the grantor agency, from the grantor agency to you, and from the contractor to your community or organization, etc. Include in the correspondence file all of your notes that relate to your grant such as telephone conversations and the date; meeting notes and the date; any decisions made, questions asked, and be sure to include names, titles and telephone numbers. Make sure correspondence is placed in chronological order with the most recent correspondence on top.

3. Contract Files

Third, the contract file should always include the grant agreement ("grant contract"), with any amendments made to it. Contract file information is placed in chronological order with the most recent data on top of the file. The grant agreement MUST contain the following information:

1. Signatures of both parties
2. Beginning and ending dates
3. All of the blanks filled in correctly
4. Project/program scope of work
5. Budget (sources of funding and cost categories)
6. Administrative costs
7. Indirect costs, if applicable
8. Audit requirements (federal and/or state)
9. Personnel requirements (e.g., EEO, DWFA, ADA, etc.)
10. State Fire Marshal, DEC, and Alaska State Energy standard requirements, etc.
11. Any reimbursement instructions

12. Any reference to state or federal statutes

13. Any amendments to the grant agreement/contract

4. Financial /Vendor Files

Fourth, the financial/vendor file includes the financial reports made to the grant making agency. Place all of the financial reports and any treasury warrants receipts in chronological order, with the most recent on top. These files typically include:

- ✓ Grantee name and address
- ✓ Grant number
- ✓ Grant name
- ✓ Report number
- ✓ Project period (beginning and end dates)
- ✓ Report period
- ✓ Payment request
  - ◆ Previously reported expenditures
  - ◆ Expenditures this period
  - ◆ Total expenditures to-date
  - ◆ Less state or federal grant payments to-date (including advances)
  - ◆ Grant amount payable
  - ◆ State or federal grant payments requested
- ✓ Itemized expenditures
  - ◆ Check date
  - ◆ Amount
  - ◆ Vendor

Section 7. Some Additional Grant Management Considerations

"The [grant] applicant should carefully study the eligibility requirements for each ... program under consideration.

-Suggestions For Proposal Writing and Following Grant Procedures

A number of laws apply to federal and state grant programs. You must understand these federal requirements and, in most cases, follow strict guidelines in order to be eligible to receive and spend public funds. Three federal laws affecting employment, disabilities, and alcohol/substance abuse are noted below:

A. Applicable Federal laws

a. Equal Employment Opportunity (EEO). State and federal grants require that equal employment opportunity be provided to all persons regardless of race, sex, religion, color, age, physical handicap, marital status, changes in marital status, pregnancy, parenthood, or national origin. This applies to all of those persons who participate in the development of the grant application, administration of the grant, use of a facility constructed with the grant, or who receive services provided by the grant.

b. Americans with Disabilities Act (ADA). The Americans with Disabilities Act (ADA) gives civil rights protections to individuals with disabilities similar to those provided to individuals on the basis of race, sex, national origin, age, and religion. It guarantees equal opportunity for individuals with disabilities in public accommodations, employment, transportation, State and local government services, and telecommunications.

The ADA requires that all new construction of places of public accommodation, as well as of "commercial facilities" such as office buildings be accessible to individuals with a disability. A disability is defined as "a person who has a physical or mental impairment that substantially limits one or more major life activities, a record of such an impairment, or is regarded as having such an impairment."

Under the state RDA and the Small Cities CDBG-REDI grant programs every applicant must submit an ADA Certification. Each RDA and CDBG-REDI grant activity which relates to capital projects involving new construction or alterations of existing facilities and to the employment of persons with disabilities must be in accordance with ADA.

See Appendix I for a copy of the Americans with Disabilities Act (ADA) Certification.

c. Drug Free Work Place Act of 1988 (DFWA). Local governments who receive federal grant funds must comply with the Drug-Free Work Place Act (DFWA) of 1988. This federal law requires local governments establish a drug-free work place policy.

For more information about this requirement, or how to put together a drug free work place policy, contact the Southeast Regional Office at 907-465-4814.

B. State and Federal Single Audit Requirements

The State of Alaska requires a State Single Audit for any fiscal year in which a grantee receives $150,000 or more in State financial assistance. A State Single Audit is similar to a Federal Single Audit and includes a financial audit and a review of the city's compliance with State laws, regulations, and grant requirements.

The Federal government requires a Federal Single Audit be completed every fiscal year in which a State, Local, or Tribal government has received $100,000 or more in Federal assistance. Federal financial assistance includes grant moneys, funds provided under contracts, loans or cooperative agreements, and any real property received. The Federal Single Audit includes an audit of the city's financial statements, such as in a Financial Audit, and includes testing the city's compliance with Federal laws, regulations, and grant agreement requirements.

Under the federal requirements, an audit is also required of State, Local, and Tribal governments which receive $25,000 or more but less than $100,000 in Federal financial assistance in a fiscal year. Cities receiving this level of Federal funds may have either a Federal Single Audit completed or may have an audit of just the Federal financial assistance they received.

Payment of audit costs can be made with administrative funds provided under each source of grant funding. If you have other state or federal financial assistance funding, which must also be audited, only a pro-rata (proportionate) share of the grant funds may be used to pay for the audit.

C. Operation and Maintenance (O&M) Costs

Operation and Maintenance (O&M) costs are a very important consideration for any community or organization that wants to construct a capital project with grants. While the costs of construction may be covered in these grants, the community is usually expected to provide for the on-going expense of operating and maintaining the facility. Some communities have discovered that they cannot afford to operate and maintain a facility after it has been built. To avoid this situation, keep in mind that O&M costs can greatly exceed the original building costs. Operating expenses will have to be paid for with locally generated revenues such as user fees, service charges, rental fees, and so on.

"The ability to administer and build a project is important. It is even more important to demonstrate to the grant funding agency that your community or organization is capable of operating and maintaining a project after it has been built. Grant funders look closely at this area. No grant funding agency wants to be involved in a project that will not be operated or maintained in a proper manner."[27]

An analysis of the operation and maintenance costs of your capital project should be developed which evaluates how the operation and maintenance costs will be met and by whom. See Figure 7.1 for an appropriate format to schedule O&M costs. It is often useful to also compare existing O&M costs with those of a new or improved facility in your community. Determine any reductions in operation and maintenance costs that will result from the proposed project, or any other ways that you believe the project will result in long-term savings.

Figure 7.1
Estimated O&M Cost Format

Line Item Expenditure	Estimated Costs	Source of Funds
Personnel	Cost:	Source:
Electricity	Cost:	Source:
Supply	Cost:	Source:
Insurance	Cost:	Source:
Maintenance	Cost:	Source:
Materials	Cost:	Source:
Other (explain)	Cost:	Source:

Adapted from: FY93 REDI-CDB J Grant Application Handbook and FY94 REDI-RDA Handbook and Application packet, Department of Community and Economic Development.

An example of an Operations and Maintenance (O&M) Worksheet is located in Appendix J to help you calculate present and future O&M costs.

D. Site Control[28]

Ownership of land is one of the most basic things to consider when planning a community development or economic development project. Too often, ownership of land is overlooked or not dealt with until the construction phase of a project. Determining site control should be incorporated as part of the initial capital improvement planning phase. This will avoid delays or serious legal problems caused by the construction of facilities on private property without authorization.

Definition of Site Control

Site control is defined as an enforceable right to use a parcel of land. This right must be formally given in writing. Verbal permission is not enough. This right is conveyed

through either a deed, lease, or easement. Site control is important because, without it, you may be wasting any money expended for a structure and could even be held liable for damage to land by the person who owns the land. Additionally, in many cases, State and Federal agencies will not release grant funds unless site control is shown.

"Site control is the determination of land ownership or leasehold interest to ensure that the contractor controls the property on which the project will be located. It is necessary for all capital projects which require any construction."

Site Control Considerations

Site control requirements depend upon the nature of the project. For example, if a permanent building is to be constructed, generally, you should either obtain title to the land (by deed) or obtain a right to use the land (lease or easement) for the life of the structure. A 20 year lease is considered sufficient in most cases.

Site control is needed for several reasons: protects public funds; protects the land owner; protects the grantee; insures the project will remain with the community; and, reduces liability to the state.

10 Necessary Steps to Obtain Site Control

1. Determine how much land is needed.

2. Decide where the site should be located.

3. Determine who owns the land.

4. Make sure there are no conflicts of record. This means that no one else owns or has an interest in the property.

5. Decide what type of interest you need (title, lease, easement).

6. Determine how to obtain the land (or interest in it) - purchase, lease, 14 (c)(3) reconveyance, eminent domain, donation.

7. Negotiate with the owner.

8. Obtain the transfer document from the owner.

9. Make sure the transfer documents are properly executed and legally binding (obtain legal advice, if necessary).

10. Record the transfer document in the proper recording office.

E. State and Federal Permits

Most capital projects require one or more permits from state or federal government agencies, or both, depending upon the type of project. Some larger communities require local permits also.

Research the permits needed for a project well in advance of its construction because permits may require a lengthy review process, and result in conditions or restrictions being placed on the project. Permits that take a long time to be issued should be started first, as early in the project time frame as possible, to avoid delays.

This manual briefly looks at permits required by the following agencies:

1. State Fire Marshal's Office

2. AHFC, Alaska State Energy Standards

3. Department of Environmental Conservation (DEC).

Each grantor agency has different special permit requirements and funding limitations. For example, the Small Cities CDBG-REDI grant program requires compliance with Davis-Bacon wages for construction, renovation, rehabilitation, expansion or modification of buildings and facilities for public or commercial purposes which uses contracted labor and services. CDBG-REDI also requires compliance with federal environmental provisions and submission of an Environmental Statutory Checklist with the grant packet.

The following is not a complete or comprehensive listing of all required permits. Grant applicants are encouraged to thoroughly research the permits required for capital projects. For a listing of potential project permit requirements, see Appendix K.

1. State Fire Marshal's Office Requirements. All public capital construction plans must be reviewed and commented on by the State Fire Marshal's Office. If the State Fire Marshal notes deficiencies, the contractor must provide written assurance that the deficiencies will be corrected. A copy of the letter from the State Fire Marshal must be included in all applications for capital construction project funds.

The plans submitted to the State Fire Marshal for review should be drawn up by someone who is knowledgeable with construction projects such as an engineer, licensed contractor, or an architect.

The plans submitted to the State Fire Marshal's Office must include the following detailed information:

i. **The plot plan.** Drawn to scale showing the building location from the property lines and proximity to other buildings, streets and alleys with the distances shown in feet.

ii. **The use of the building.** Building purpose (fire hall, washeteria, clinic, etc.,) should be noted on the plans.

iii. **The type of construction.** Reference what materials are being used in the floors, roof, and walls on both the interior and exterior sides.

iv. **The floor plan.** Show the interior walls, partitions, exits, windows, central heat location, corridor, stairway and storage areas drawn to scale.

v. **Mechanical features of the building:**

  ◆ Type of heat

- Ducts and fire dampers
- Type and location of wiring
- Location and size of facilities for combustion air to be used for heating

Capital project construction plans should be sent to the appropriate regional office of the State Fire Marshal.

2. Alaska State Energy Standards. Any state or federal grant which includes construction, renovation, rehabilitation, expansion, or modification of buildings and facilities for public or commercial purposes, must comply with pertinent state and federal buildings codes and standards.

Furthermore, applicants seeking RDA grant funds must comply with Alaska State Energy Standards which establishes a minimum energy standard for all State funded buildings. The minimum energy standard is now required for all State funded buildings. It is encouraged that all new buildings go even further and satisfy the thermal and mechanical requirements of the Alaska Craftsman Home Program (ACHP).

For more information, contact the Alaska Housing Finance Corporation (AHFC) Office of Energy Program. If you need technical assistance, contact Mimi Burbage, (907) 564-9276.

See Appendix L, "Energy Standards Worksheet," for more information.

3. Department of Environmental Conservation Permits. Some projects require special permits prior to construction. For example, a dump site or sewage disposal project requires a permit from the Alaska Department of Environmental Conservation (DEC) to ensure that waste materials will be disposed of in a proper manner.

Information regarding specific permits can be obtained from DEC's *Directory of Permits.* This publication is available for purchase but it may also be viewed in many libraries and DEC's regional offices.

F. Attachments to the Grant Application

Attachments to the grant application are documents which provide additional information to the grant making agency. Sometimes it is necessary to include documents which may be distracting if included in the main body of the grant proposal. Such items might include endorsement letters from supporting organizations or persons, resumes of key staff or consultants, tables, graphs and charts to document your problem or need statement, copies of any applicable state or federal permits, budget narrative, latest certified financial statement or audit, photographs and architect's drawings (if applicable), and any other materials which will help strengthen your proposal.

It would be helpful to have an attachment cover page that lists all of the attachments included in the grant application. The attachment cover page list will make it easier for the grant reviewer to find all of the documentation you have included in the grant packet.

Section 8. Conclusion

"Be realistic. Be sensible. Be prepared."

-Proposal Writing Format Guide[29]

A. Some Final Thoughts on Project Completion

Upon completion of your project, whether it is a capital improvement project or a program grant, there is usually a requirement that the grant be "closed out" with the grantor agency, and that a final audit and report be completed.[30]

Since the capital improvement project process is on-going, as are your community's needs, it is most likely that you will be seeking funding for other projects in the future. Therefore, care must be taken to make sure that all of the agencies and people involved in your grant know that the project was successfully completed, and that they played a part in doing something worthwhile. Send them photos of the completed facility together with letters of thanks, or perhaps a council resolution. Be appreciative. Send a prompt "thank you" to helpers and donors. If you have an official completion or opening ceremony, it would be a good idea to invite key grantor agency people and your legislators.

Your community or organization might want to award a certificate of appreciation to benefactors at community events. Special gifts can be impressive such as large photos, plaques, or a packet of hand-written "thank you" cards from community leaders, etc.

This kind of follow-up is very important. Grant funders including state agency people, corporate and foundation funders, and legislators will tend to favor communities or organizations who can use capital and/or program funds wisely, for worthwhile public purposes, and without controversy or hassle. They will remember those communities or organizations that remember them, who keep them informed, and who extend professional courtesy beyond just the grant seeking stage.

B. Grant Application Summary

Eight Ways To Make Your Grant Proposal Successful!

➢ Make sure your application is neat, complete, accurate, convincing, and sent in on time.

➢ Conduct on-going capital improvements project planning.

➢ Provide detailed, specific, and descriptive grant applications.

➢ Carefully prepare the grant application design.

➢ Be courteous, but persistent while lobbying for your project.

- ➢ Pay attention to all details in the grant application process, including grant reporting, financial management, and records management.

- ➢ Follow-up with courtesies to grant funders.

- ➢ Keep a SENSE OF HUMOR.

Don't Give Up

"Don't give up if your project is not funded. Even if your grant proposal is rejected, you have at least gotten your foot in the door. Continue to lobby your grant contacts. Keep them informed of your achievements, growth, and progress. You might strike the right note with the grant making agency next time."[31]

C. Where To Get More Help

Don't overlook that you can obtain a copy of the grant review comments from the reviewers at the conclusion of the grant application review process. Asking for feedback from the reviewers shows that you are serious about your project. In addition, staff from the Southeast Regional Office can help you get answers to your questions about seeking financial grant assistance. If you have any questions, call 907-465-4814.

End Notes

[1] <u>Thriving on Change</u>, Vol. 1.1, November, 1992 (Denali Publications)

[2] "What Your Nonprofit Group Needs Is...", The Foundation Center Collection at The Juneau Public Library.

[3] <u>Capital Project Management: A Guidebook to Help Communities Prepare For Construction Projects,</u> State of Alaska, DCED, June, 1986.

[4] Source: Proposal Writing Format Guide. Quoted from Duane Dale and Nancy Mitiguy, <u>Planning for a Change</u>, Citizen Involvement Project, (University of Massachusetts, Amherst, Massachusetts 01003).

[5] <u>Capital Improvements Planning: A Guidebook For Rural Alaskan Communities</u>, State of Alaska, DCED, September, 1984.

[6] Source: Proposal Writing Format Guide: Quoted from "Project SNAP in Flint, Michigan" Brochure.

[7] <u>1991 State Aid Catalog,</u> prepared by the Alaska Municipal League (AML), for the use of its members and other local governments in Alaska. Published annually. To obtain a copy, contact AML at 217 Second Street, Suite 200, Juneau, Alaska 99801 (907/586-1325).

[8] <u>Economic Development Resource Guide: A Directory of Economic Assistance for Communities,</u> 7th Edition, prepared by the Alaska Department of Community and Economic Development, July 1992. Copies of the <u>EDRG</u> may be requested from the Community and Rural Development Division (CARD), P.O. Box 112100, Juneau, AK 99811-2100. (907/465-4890).

[9] Cynthia M. Adams, "Introduction to Grant Writing," Presentation at the 42nd Alaska Municipal League Local Government Conference, Juneau, 1992. See also, Cynthia M. Adams, <u>Introduction to Grant Writing</u>, November, 1992, Alaska Funding Exchange, P.O. Box 81382, Fairbanks, AK 99708-1382 (907/455-4105),

[10] Quoted in the <u>Corporate and Foundation Fundraising Manual for Native Americans,</u> Corporate Resource Consultants, 6233 Harrison, Kansas City, Missouri 64110 (816/361-2059). For more information on corporate and foundation support see also: Lee Decker and Judith McManus, <u>Grants and Foundation Support: Selected Sources of Information,</u> CRS, The Library of Congress, December 18, 1973, Revised February 1, 1984, Report No. 84-43 C; Anthony Nakazawa and Shirley Wolkoff, <u>Corporate Giving Programs In Alaska,</u> Cooperative Extension Service, May 1991; and, Anthony Nakazawa and Bryan MacLean, <u>Foundation Funding Sources for Rural Development</u>, Cooperative Extension Service, February 22, 1991. Cooperative Extension Service publications are available by calling 907/276-2433

[11] "What Your Nonprofit Group Needs Is...", The Foundation Center Collection at The Juneau Public Library. Reference Librarians are on duty at the Juneau Public Library (907/586-5267) to assist in locating and using relevant materials at the Foundation Center.

[12] Jodi Kilcup, "Playing the Grants Game," <u>Alaska Business Monthly,</u> October, 1992, pp. 85-90.

[13] Jodi Kilcup, "Playing the Grants Game," <u>Alaska Business Monthly,</u> October, 1992, pp. 85-90.

[14] Corporate Resource Consultants, "Grant Maker Characteristics."

[15] <u>Capital Improvements Planning: A Guidebook For Rural Alaskan Communities</u>, State of Alaska, DCED, September, 1984. Other useful guides on local financing options include <u>Harvesting Hometown Jobs: a small-town guide to local economic development; Keys to Successful Funding: a small town guide to</u>

Community Development Block Grants and other federal programs; and Innovative Grassroots Financing: a small town guide to raising funds and cutting costs by the National Association of Towns and Townships (NATaT). NATaT publishes reports examining current problems and issues facing elected officials in small towns and rural communities. NATaT's address is: 1522 K Street, N.W., Suite 730, Washington, D.C. 20005 (202/737-5200).

[16] Capital Improvements Planning: A Guidebook For Rural Alaskan Communities, State of Alaska, DCED, September, 1984.

[17] Gretchen Mannix, Basic Grantwriting Techniques and Sample REDI Application Formats, developed and presented for Community Enterprise Development Corporation of Alaska, CEDC Annual Meeting, February 17-18, 1988, Anchorage, Alaska.

[18] This discussion on the grant budget relies heavily on Pulling Together: A Manual For Community Development, State of Alaska, Department of Health & Social Services, Rural and Native Services. Fall. 1990.

[19] Lee Decker, Writing The Grant Proposal, Congressional Research Service, The Library of Congress, April 1, 1985. This report describes the major components of a grant proposal and presents some basic guidelines for proposal writing. It provides suggestions on organizing and packaging a proposal when the funding sources does not require a specific format. Some of the suggestions may also be helpful in filling out application forms supplied by the grant making agency.

[20] Lee Decker, Writing the Grant Proposal.

[21] "Application for Financial Assistance," Administration For Native Americans (ANA), U.S. Department of Health & Human Services, N.D. See also "Business Plan Guidelines For Economic Development projects," ANA, July, 1987. The Guidelines provide three papers on business plans which may be helpful in planning a business related economic development project. In addition, see the Economic and Community Development Resource Guide for Native Americans, Association on American Indian Affairs, Inc., 95 Madison Avenue, New York, N.Y. 10016.

[22] Cynthia M. Adams, Introduction To Grant Writing.

[23] ANA, "Application for Financial Assistance."

[24] Cynthia M. Adams, Introduction To Grant Writing.

[25] Cynthia M. Adams, Introduction To Grant Writing.

[26] A variety of sources were used for this section, including: Pulling Together: A Manual For Community Development; FY 94 Rural Economic Development Initiative (REDI)-Community Development Block Grant (CDBG) Handbook and Application packet; FY 93 & 94 REDI-RDA Mini-Grant Application; and, FY 94 Rural Economic Development Initiative (REDI) - Rural Development Assistance (RDA) Handbook and Application packets.

[27] Source: Capital Improvements Planning: A Guidebook For Rural Alaskan Communities, State of Alaska, DCED, September, 1984.

[28] This discussion relies largely on What Is Site Control? ... and why is it important in planning and building community projects? State of Alaska, DCED, June, 1986. See also: Local Government Handbook, 3rd Edition, State of Alaska, DCED, August, 1987; Capital Project Management: A Guidebook to Help Communities Prepare For Construction Projects, State of Alaska, DCED, June, 1986; Capital Improvements Planning: A Guidebook For Rural Alaskan Communities, State of Alaska, DCED, September, 1984; and,

Capital Improvements Planning: A Guidebook For Alaskan Municipalities, State of Alaska, DCED, May, 1985.

[29] Proposal Writing Format Guide: "Basic B's for every Fund Raising Project," Distributed by the SNAP Support System Clearinghouse, 1017 Avon Street, Flint, Michigan 48503.

[30] Capital Project Cookbook, No Date.

[31] Proposal Writing Format Guide: "How To Get Foundation Money: 15 Hot Tips to Cold Cash," Reprinted from Business Writer Association, July/August, 1978. Source: Distributed by the SNAP Support System Clearinghouse.

Appendices

✓ Read the completed application from start-to-finish.

✓ Have one or more other persons who did not write any of the application read it to get an impartial, objective opinion.

✓ Ask yourself and other local reviewers the following types of questions:

1. Does each section of the application logically relate to the other sections? Are the goals of the project clearly stated?

2. Has information - and documentation - or resource availability and commitment been provided?

3. Have both management and financial capabilities been fully demonstrated and documented? Have key personnel/positions been identified and qualifications provided?

4. Are the objectives and activities proposed appropriate and realistic in terms of the results/outcomes expected? Do they address a major problem(s) in your community? Does each proposed project objective clearly relate to the community development plan, long-range goals, short-range needs/problems, etc.

5. Are the project's proposed results/benefits/outcomes achievable? Measurable?

6. Has all budget-related information been provided, documented, and justified?

7 Are time frames realistic in view of the activities proposed and resources available? Is staff appropriate to the work loads/activities identified in the program narrative?

8. Is all of the information in the application consistent?

✓ Keep supporting materials in the grant application to a minimum. Examples of appropriate documents for inclusion in your application (or an Appendix) include:

➢ documentation of financial capability;

➢ resumes and/or position descriptions

➢ keep these brief;

➢ documentation of management capabilities, including an organizational chart and an identification of persons responsible for overall project management and reporting;

➢ letters of resource commitments (these document agreements to provide specific types of support for your proposed project);

➢   relevant parts of your community social and economic development plans; and,

➢   business plans, marketing studies, economic feasibility studies, design/engineering studies, and life cycle cost analysis, etc.

✓ Do whatever you can to structure your application so that reviewers can more easily read and understand it. For example,

➢   check for typographical and computational errors;

➢   number the pages sequentially;

➢   include a Table of Contents at the beginning of your application; and,

➢   ask for help. (See Appendices for sources of help.)

Source: "A supplemental Guide For Developing & Writing An ANA application For Financial Assistance," Revised October, 1989 for Program Announcement 13612-902.

The Who Questions

✔ Who are you?

✔ Who came up with the project or program idea?

✔ Who decided this project or program was a priority?

✔ Who was involved?

✔ Who authorized you or the group to proceed with the project?

✔ Who got to comment on the project or program and what was the process for commenting?

✔ Who helped you work on the development of the project?

✔ Who else supports the project?

✔ Who will benefit from the project?

✔ Who will be hired (temporary and permanent; full-time and part-time) by the project?

The What Questions

✔ What are you going to do?

✔ What is the nature of the project or program?

✔ What are the existing conditions and needs?

✔ What are the project or program goals and objectives?

✔ What will the project or program accomplish or resolve?

✔ What is the impact of the project?

✔ What community benefits will result?

✔ What other community groups are working on the project (Native

✔ Village Corporation, IRA or Traditional Council, Non-profit Community Association)?

✔ What jobs will result from the project?

✔ What jobs will be retained because of the project?

✔ What local resources will be used?

✔ What funding have you tried to get or do you have?

The How Questions

✔ How are you planning to complete the project?

✔ How would you describe your organization's fiscal management system ?

✔ How would you describe project time frames?

✔ How are other agencies/organizations involved with the project?

✔ How can you demonstrate their involvement?

✔ How have you achieved site control?

✔ How can you establish all project costs (including material, freight, insurance, contractual, labor, supplies, maintenance, etc.)?

✔ How is the full cost of the project to be funded?

✔ How will this project benefit the community?

✔ How will this project or program use existing resources in the community?

Source: Former Department of Community and Regional Affairs, Community and Rural Development Division

General Publications

State Aid Catalog
Alaska Municipal League
217 Second Street, Suite 200
Juneau, AK 99801

Federal Catalog of Domestic Assistance
Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402

Federal Register
Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402

Corporate Giving Programs in Alaska
Cooperative Extension Service
University of Alaska
Cooperative Development Program
2221 E. Northern Lights Blvd., Suite 123
Anchorage, AK 99508-4143
(907) 276-2433

Directory of Foundation Funding Activity in Alaska April 1990
Community Development Program
Cooperative Extension Service, University of Alaska
See address above.

Foundation Funding Sources for Rural Development
Cooperative Extension Service
See address above.

Federal Funding Sources Available To Local Governments For Rural Areas
Cooperative Extension Service
See address above.

Introduction To Grant Writing
Alaska Funding Exchange
P.O. Box 81382
Fairbanks, AK 99708-1382
(907) 455-4105

Grants and Foundation Support: Selected Sources of Information
Congressional Research Service, Library of Congress Report No. 84-43 C

Writing The Grant Proposal
Congressional Research Service, Library of Congress
Report No. 85-8 C

How To Write A Grant Proposal
Congressional Research Service, Library of Congress
Report No. 77-76 E

Keys to Successful Funding: A Small-Town Guide to Community Development Block Grants and Other Federal Programs
NATaT
1522 K Street, N.W., Suite 600
Washington, D.C. 20005

Innovative Grassroots Financing: A Small Town Guide to Raising Funds and Cutting Costs
NATaT
1522 K Street, N.W., Suite 600
Washington, D.C. 20005

The Americans with Disabilities Act Questions and Answers.
Equal Employment Opportunity Commission
1801 L Street, NW
Washington, D.C. 20507
(202) 663-4900

Audit Guide and Compliance Supplement for State Single Audits
Office of the Governor
Division of Audit and Management Services
Juneau, Alaska 99811
465-4668

Alaska Directory of Permits
Department of Environmental Conservation
Juneau, Alaska 99811

Pulling Together: A Manual For Community Development
Department of Health & Social Services
Division of Mental Health & Developmental Disabilities
P.O. Box 110620
Juneau, AK 99811-0620
465-3370

Foundation and Corporate Giving Publications

The Foundation Directory
Foundation Grants Index
National Data Book of Foundations
The Grants Index Bimonthly
Foundation Fundamentals
Foundation Grants to Individuals
Corporate Giving Directory
Annual Register of Grant Support
The Chronicle of Philanthropy

Contact your local library, or the Alaska State Library in Juneau (phone: 1-907-465-2921) for more information on foundation and corporate giving sources.

State of Alaska, Publications available from
Department of Community and Economic Development (DCED),
Division of Community & Business Development (DCBD)

550 W. 7th Ave., Suite 1790
Anchorage, AK 99501-3510
Phone: (907) 269-4565
Fax: (907) 269-4563

P.O. Box 790
Dillingham, AK 99576-0790
Phone: (907) 842-5135
Fax: (907) 842-5140

P.O. Box 110809
Juneau, AK 99811-0809
Phone: (907) 465-4814
Fax: (907) 465-4761

P.O. Box 348
Bethel, AK 99559-0348
Phone: (907) 543-3475
Fax: (907) 543-4152

P.O. Box 350
Kotzebue, AK 99752-0350
Phone: (907) 442-3696
Fax: (907) 442-2402

209 Forty Mile Avenue
Fairbanks, AK 99701-3110
Phone: (907) 452-7126
Fax: (907) 451-7251

P.O. Box 1068
Nome, 99762-1068
Phone: (907) 443-5457

DCED Publications

Capital Improvements Planning: A Guidebook For Rural Alaskan Communities. 1984

Capital Improvements Planning: A Guidebook For Alaskan Communities. 1985

Capital Project Management: A Guidebook to Help Communities Prepare for Construction Projects. 1986

What is Site Control? 1986

Project Action Plan Worksheet

Name of Community: _____

Goal of this Activity: _____

Objectives of this Activity:

_____

_____

_____

What are the Activities? (Tasks)	Who will do it? (Persons Responsible)	Resources Needed and Available?	Budget Available	Completion Date (Time Frames)

Adapted from: "Community Action Planning," Evaluating Service-Learning Programs, Washington, D.C., ACTION, National Service Volunteer Program, Washington, D.C., 1978. Source: Minnesota Office on Volunteer Services: Volunteer For Minnesota: A Project for Developing Public/Private Partnerships in Communities.

Grant Line Item Budget Format

Cost Category	Grant you are applying for.	Other State or federal funds.	Local cash contributions.	In-kind contributions.
Labor				
Fringe Benefits				
Travel / Per Diem				
Facility Expenses				
Supplies				
Equipment Rental				
Contractual				
Insurance				
Other				
Indirect Costs				
Total				

Source: Former Department of Community and Regional Affairs, Community and Rural Development Division

Appendix E
Grant Line Item Budget Format

Labor and Fringe Benefits Worksheet

Position	Wage Rate x	No. of hours =	Gross Wages	FICA	ESC	Workers Comp.	Other	Total Labor Cost
Totals								

Be sure to attach price quotes / estimates for materials, labor, fringe benefits, equipment rental, insurance, and contractual, et. See list below:

Materials: Attach materials list and price quotes.

Freight: Attach freight estimate from vendor(s).

Equipment Rental: Identify equipment to be rented, who it will be rented from, and rates.

Equipment Purchase: Identify equipment to be purchased and price quotes.

Contractual: Identify any contractual agreements anticipated and provide cost estimates.

Insurance: Provide evidence that you have, or will obtain, the insurance required for this project and cost estimates.

Other: If applicable, explain.

Administration: If applicable, explain.

Worksheet Source: Former Department of Community and Regional Affairs, Community and Rural Development Division

Appendix G
Grant Progress Report / Advance Request Forms

Grantee: _____

Project Title: _____

Grant Agreement Number: _____

For the Month(s) of _____ 20__

I. Report on Project Activities

A. Work completed since last report.

_____

_____

_____

_____

B. Describe existing or potential problems with the project.

_____

_____

_____

_____

C. Activities and expenditures planned for next reporting period.

_____

_____

_____

_____

_____

_____

_____

_____

_____

Project Title: _____

Grant Agreement Number: _____

For the Month(s) of _____ 20__

II. Statement of Grant Fund Expenditures

(Use budget as shown in Grant Agreement)

Name of Budget Line Item	Amount Budgeted	Expenditures this Period	Total Expenditures to Date	Balance of Funds
Totals				

Certification

Requires two signatures. The person certifying must be different from the person preparing the report. One signature should be the highest ranking officer of the Grantee organization; if unavailable, the second highest ranking officer.

I certify that to the best of my knowledge and belief the information above is correct and funds were spent in accordance with Grant Agreement terms and conditions.

Certified By: _____   Prepared By: _____

Title: _____   Date: _____   Title: _____   Date: _____

Page 2 of 2

Source: Former Department of Community and Regional Affairs, Division of Administrative Services.

The following "Grantee Administrative Capability" Checklist can help you to determine if you have adequate administrative capabilities to manage grant funds.

Yes   No

❑   ❑   Does your organization or community have the cash resources to administer a cost reimbursable grant? (If so, identify the source and amounts of funding.) "Cost reimbursable" means that the grantee is expected to pay for grant expenses as they are incurred and submit a billing at the end of the month for reimbursement. This requires that the grantee have the cash resources to typically cover at least thirty to forty-five days' cash needs.

❑   ❑   Do you have, or can you acquire General Liability, Workmens' Compensation, and Automobile insurance coverage, if necessary? (Identify your insurance carrier.)

❑   ❑   Have there been any audit findings for the previous three (3) years? If yes, describe the findings and how they were resolved.

❑   ❑   If you have not had any audits in the past three years would you consent to one being conducted prior to the closing of the grant using funds from the grant?

❑   ❑   Are there any outstanding significant claims against your organization or community?

❑   ❑   Does your organization currently owe any money to the Internal Revenue Service (IRS) or to the State of Alaska?

☑   List other sources and amounts of funding you have administered in the past five (5) years.

☑   Briefly describe your current administrative structure. Attach an organizational chart, if available.

☑   Provide a brief background or description of the experience of key personnel who will be responsible for administering the grant.

☑   Describe if your community or organization is currently involved in any pending or possible law suits or disputes?

ADA Certification

(Grantee, Applicant, Contractor) Notice

By signature on this form, the (Grantee, Applicant, Contractor) certifies that they will comply with regulations, policies, guidelines and requirements as they relate to the application, acceptance and use of state funds for this state capital project. Also the (Grantee, Applicant, Contractor) assures and certifies:

1. When applicable it will comply with the Americans with Disabilities Act of 1990 (P.L. 101-336), Title I - "Employment." In accordance with Title I of that Act no covered entity shall discriminate against a qualified individual with a disability because of the disability of such individual in regard to job application procedures, the hiring, advancement, or discharge of employees, compensation, job training, and other terms, conditions, and privileges of employment.

2. When applicable it will comply with the Americans with Disabilities Act of 1990 (P.L. 101-336), Title II - "Public Services." In accordance with Title II of the Act, no qualified individual with a disability shall, by reason of such disability, be excluded from participation in or be denied the benefits of the services, programs, or activities of a public entity, or be subjected to discrimination by any such entity.

3. When applicable it will comply with the Americans with Disabilities Act of 1990 (P.L. 101-336), Title II, Part 35, Section 35.151 - "New Construction and Alterations," which provides as follows:
   (a) Design and Construction: Each facility or part of a facility constructed by, on behalf of, or for the use of a public entity shall be designed and constructed in such manner that the facility or part of the facility is readily accessible to and usable by individuals with disabilities, if the construction was commenced after January 26,1992.
   (b) Alteration: Each facility or part of a facility altered by, on behalf of, or for the use of a public entity in a manner that affects or could affect the usability of the facility or part of the facility shall, to the maximum extent feasible, be altered in such a manner that the altered portion of the facility is readily accessible to and usable by individuals with disabilities, if the alteration was commenced after January 26,1992.
   (c) Accessibility Standards: Design, construction, or alteration of facilities in conformance with the Uniform Federal Accessibility Standards (UFAS) (Appendix A to 41 CFR Part 101-19.6) or with the Americans with Disabilities Act Accessibility Guidelines for Buildings and Facilities (ADAAG) (Appendix A to 28 CFR Part 36) shall be deemed to comply with the requirements of this section with respect to those facilities, except that the elevator exemption contained at section 5.1.3(5) and section 4.1.5(j) of ADAAG shall not apply.

4. When applicable it will comply with the Americans with Disabilities Act of 1990 (P.L. 101-336), Title III, Part 36, Section 36.401 - "New Construction." Except as provided in paragraphs (b) and (c) of the Act, discrimination for purposes of this part includes a failure to design and construct facilities for first occupancy after January 26, 1992 that are readily accessible to and usable by individuals with disabilities.

5. When applicable it will comply with the Americans with Disabilities Act of 1990 (P.L. 101-336), Title III, Part 36, Section 36.402 - "Alterations," which provides as follows:
    (a) General: Any alteration to a place of pubic accommodation or a commercial facility, after January 26, 1992, shall be made so as to ensure that, to the maximum extent feasible, the altered portions of the facility are readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs.
    (b) Alteration: An alteration is a change to a place of public accommodation or a commercial facility that affects or could affect the usability of the building or facility or any part thereof.

Name of Applicant: _____

Printed Name and Title of
Authorized Representative:_____

Signature: _____   Date: _____

Instructions:

Use the following "O&M Costs" Worksheet to help you calculate future operation and maintenance costs of your project.

How much will it cost? Be sure to consider the short and long-term impacts:

Short-term Impacts:

How much will it cost to operate and maintain the project after it is completed? How will the project, once completed, will affect the community over the short term, 1-5 years?

Long-term Impacts:

How will the community pay for the operation and maintenance costs? How will the project, once completed, affect the community over the long-term, say 5-10-20 year time frame?

Operation and Maintenance Costs Worksheet

Item	Estimated Costs	Source of O&M Support
Labor		
Electricity		
Fuel		
Maintenance		
Other		
Totals		
Inflation Rate (% of Cost)		

Appendix K
Potential Project Permit Requirements

Type of Permit, Approvals, etc.	Description	Regulatory Agency
School Construction	Authority of the Department of Education for review construction documents for educational facilities.	Department of Education Planning and Facilities Section 801 W. 10th St. Suite 200, Juneau, AK 99801-1894 (907) 465-2865
Solid Waste Disposal Permit	Permit needed for disposal of solid waste or hazardous material.	Department of Environmental Conservation
Wastewater Disposal Permit	Permit needed for the disposal of wastewater on land or in waters.	410 Willoughby Avenue, Suite 105 Juneau, AK 99801-1795 (907) 465-5000
Plan Review and Approval of Sewerage or Sewage Treatment Works	Plans for the construction, installation, modification or operation of sewerage or sewage treatment works must be approved before construction.	or
Plan Review and Approval of Public Water Systems	Engineering plans for the construction, installation, modification or operation of a public water supply system must be approved prior to construction	3601 "C" Street, Suite 1334 Anchorage, AK 99503-5948 (907) 563-6529
Plan Review and Health Inspections of Public Establishments	Pre-operation inspection is required to ensure compliance with health and sanitation standards for food service establishments, schools, day-care and pre-elementary schools, hotels and motels, swimming pools and bathing areas, and public toilets.	or 1001 Noble Street, Suite 350 Fairbanks, AK 99701-49S0 (907) 451-2360
Anadromous (Salmon Spawning) Fish Protection Permit	Approval for any work in or near anadromous rivers, lakes or streams.	Department of Fish & Game Habitat Division 1255 W. 8th/PO Box 25526
Critical Habitat Area permit	Approval for any work or development in a critical habitat area.	Juneau, AK 99802-5526 (907) 465-4105
State Game Refuge Permit	Permit needed if proposing work or development within a refuge.	(or contact local office in Nome, Anchorage! Fairbanks, Kodiak)
Alaska Coastal Management Certificate of Consistency	Establishes coastal policies, rules, responsibilities; if no local program is approved, State standards will apply for projects in the coastal zone	Office of the Governor Division of Governmental Coordination 3601 "C" Street, Suite 370 Anchorage, AK 99503-5930 (907) 561-6131
Hospital and Health Facility Construction	Authority of the Department of Health and Social Services for licensing and establishing standards for the construction of hospital and health facilities.	Department of Health and Social Services Division of Medical Assistance P.O. Box 110660 Juneau, AK 99811-0660 (907) 465-3355
Unemployment Insurance	Individuals, companies, and organizations who have one or more workers in covered employment for any part of a day must register with the Department.	Department of Labor Employment Security Division P.O. Box 25509 Juneau, AK 99802-5509 (907) 465-2712
Workers' Compensation Insurance	Any employer with one or more employees working within the state must buy a workers' compensation insurance policy and submit proof of insurance to the Department of Labor.	Any Licensed Insurance Broker or DOL Workers' Comp. Div. P.O. Box 25512 Juneau, AK 99802-5512 {9074 465-2790

Type of Permit, Approvals, etc.	Description	Regulatory Agency
Certification of pressure vessels Certification of Fitness - Electrical and Plumbing	To ensure that pressure vessel construction installation, and operation conform to regulations. Certifies the competency of electricians and plumbers.	Contractor/Licensing Invest. P.O. Box 107021 Anchorage, AK 99510-7021 (907) 269-4928
Rights-of-Way Easement Water Rights Permit Sand and Gravel Extraction	Authorization required for rights-of-way easement and construction or improvements on easements established on State lands. Must obtain permit to appropriate water in Alaska. To obtain sand and gravel on State lands for use on the project.	Department of Natural Resources Division of Land/Div. of Water 3601 "C" Street/PO Box 107005 Anchorage, AK 99510-7005 (907) 762-2680
Clearance Regarding Preservation of Prehistoric and Archeological Resources	Determination of presence/absence of cultural resources on the building site.	Division of Parks and Outdoor Recreation, P.O. Box 107001 Anchorage, AK 99510- 7001 (907) 762-2626
Life/Fire Safety Plan Check for Construction/Occupancy of Buildings	Approval of the plans of buildings are required for fire protection and safety. This applies to commercial, industrial business, institutional or other public buildings or residential buildings containing four or more dwelling units.	Department of Public Safety Division of Fire Prevention 5700 E. Tudor Road Anchorage, AK 99507-1225 (907) 269-5905 or P.O. Box 111200 Juneau, AK 99811-1200 (907) 465-4331 or 1979 Peger Road Fairbanks, AK 99701-5298 (907) 465-4002
Handicapped Accessibility Driveway Permit	Review and approval of plans for buildings and facilities with respect to handicapped access. Statute requires Department of Transportation and Public Facilities approval for construction of access to highways	Department of Transportation and Public Facilities Division of Engineering and Operations Standards 3132 Channel Drive Juneau, AK 99801-7898 (907) 465-2960
Discharge of Dredged or Fill Material into U.S. Waters Structures or Work in/or Affecting Navigable Waters	Permit required for the discharge of any dredged or fill material in U.S. waters, including wetlands. Permit cost is 5100 for commercial use or $10 for non-commercial use. Permit required for any work or placement of structures in U.S. waters.	**Federal Agencies** U.S. Army Corps of Engineers District Engineer U.S. Army Engineer District, AK Pouch 898 Anchorage, AK 99506 (907) 753-2504
National Wildlife Refuge Land - Special Use Permit	Permit required for easements, roads or utilities in Wildlife Refuge Lands.	Department of the Interior U.S. Fish & Wildlife Service 1011 East Tudor Road Anchorage, AK 99503 (907) 276-3800
Oil Storage Facilities - Spill Prevention Control Counter-Measures Plans	Approval required for onshore and offshore oil storage facilities.	U.S. Environmental Protection Agency 701 "C" Street, Box 19 Anchorage, AK 99513 (907) 271-5083

Type of Permit, Approvals, etc	Description	Regulatory Agency
		Federal Agencies (continued)
Structures Which May Interfere With Airplane Flight Paths	Any construction or alteration of any structure, roadway, overhead wires and so on which may interfere with airplane flight paths must be reported to FAA.	Department of Transportation Federal Aviation Administration Obstruction Evaluation specialist 222 West 7th Avenue X14 Anchorage, AK 99513-7587 (907) 271-5863

Appendix K
Potential Project Permit Requirements

Appendix L
Energy Standards Worksheet

Please list ALL of your existing community facilities and indicate whether or not these buildings are currently in use.

Building Name	In Use	Not In Use and Why
	☐ Yes	☐ No
	☐ Yes	☐ No
	☐ Yes	☐ No
	☐ Yes	☐ No
	☐ Yes	☐ No
	☐ Yes	☐ No
	☐ Yes	☐ No

Please answer the following questions concerning this proposal if you are applying for funds to construct a *New Building:*

1. Do you have your building plans attached? ☐ Yes ☐ No

2. If yes, have the plans been evaluated for energy use? ☐ Yes ☐ No

3. Have you requested technical assistance from the CPR Program to ensure that your building will meet the Energy Standards? ☐ Yes ☐ No

4. If you do not already have building plans, have you identified in your proposal a professional consultant and allocation funds for plan review for energy use and compliance with the Energy Standards? ☐ Yes ☐ No

Please answer the following questions if you are planning on making improvements to an *Existing Building:*

1. Will work on this building include the addition of insulation and/or a vapor barrier to the building? ☐ Yes ☐ No

2. Have you included basic air sealing; materials in you proposal? ☐ Yes ☐ No

3. Have you requested assistance from the CPR Program to determine energy use of the building? ☐ Yes ☐ No

4. Have you identified a qualified consultant and targeted funds to ensure that you build to the Energy Standards? ☐ Yes ☐ No

Appendix L
Energy Standards Worksheet