

**Memorandum**

NOV 5 1996

Date

From

*Michael Mangano*  
June Gibbs Brown  
for  
Inspector General

Subject Review of Indian Health Service's Tribal Management Grants Program (A-06-94-00049)

To Michael H. Trujillo, M.D., M.P.H.  
Director  
Indian Health Service

The attached final report provides you the results of our review of the Indian Health Service's (IHS) tribal management grants program (program). We conducted a review of the program at the request of IHS management from April 1994 until April 1995, at our field office in Oklahoma City, Oklahoma. The program is intended to be a source of funds to assist American Indian and Alaska Native tribes and tribal organizations (tribes) assess whether they want to provide health care services under contracts with IHS.

Our overall objective was to evaluate the success of the tribal management grants program. Our specific sub-objectives were to determine whether: (1) the application review process was effective in funding those projects consistent with the program objectives; (2) IHS project officers provided needed program support to the tribes; and (3) IHS evaluated those projects funded to ascertain the overall success of the program.

Our review identified areas where improvements could be made to the tribal management grants program, specifically regarding the effectiveness of the application review process and the project officers' support provided to the tribes. However, because there were no agreed-upon measurement criteria, we found that the overall performance of the program could not be objectively measured. We determined that:

***Finding 1:*** The application review process needs to be improved. Although IHS had established review criteria, reviewers did not apply criteria consistently. A consistent evaluation would ensure, for example, that all reviewers applied the same criteria in judging the applications.

***Finding 2:*** Many project officers did not provide tribes support in applying for or carrying out their grants because they did not view their role in this program as important.

***Finding 3:*** The IHS did not make an adequate evaluation of the program's performance. Because IHS did not have agreed-upon criteria for the program, nor established goals to measure

We also found different interpretations of the program among and between the three groups we surveyed--tribes, reviewers, and project officers. Such variance appeared to be linked to IHS not clearly defining and communicating the purpose of the program to all affected parties.

Our findings led us to conclude that there is no assurance that the most qualified projects were selected for funding; or that the funded projects received sufficient program support to succeed. Further, because a system has not been developed to measure project and program achievements, there is no assurance that the program is accomplishing what was intended under the law--to assist tribes assess whether they want to provide health care services under contracts with IHS.

To ensure that the program is administered fairly and provides the maximum benefit to the tribes, we suggest that IHS: (1) revise its application review process to ensure that all applications are reviewed consistently; (2) emphasize to project officers the importance of providing needed support to the tribes and delineate relevant tasks in their performance plans; (3) develop program performance criteria; (4) implement a system to measure program accomplishments; and (5) clearly define and communicate to the tribes, reviewers, and project officers the purpose of the program.

Subsequent to completing our field work, during the period we were drafting this report, the working papers for this effort were destroyed in the bombing of the Alfred P. Murrah Federal Building in Oklahoma City. Therefore, this report could not be subjected to the rigorous internal control procedures that we normally apply to audit reports to ensure the fairness and accuracy of our statements. Most notably, without working papers, the report could not undergo an independent verification of the evidence supporting the findings, conclusions, and recommendations. Given the limitations presented by the lost working papers, we do not refer to this product as a formal audit report, but rather a report to the director of IHS on findings and suggestions regarding the tribal management grants program. Despite these limitations, we still believe that IHS can benefit from the substantial information we gathered and analyzed during our review and our suggestions for improving the program.

In responding to our draft report, IHS agreed with our findings and suggested several technical changes which we have incorporated.

We would appreciate your views and the status of any further action taken or contemplated on our suggestions within the next 60 days. If you have any questions, please call me or have your staff contact Joseph J. Green, Assistant Inspector General for Public Health Service Audits, at (301) 443-3582. To facilitate identification, please refer to Common Identification Number A-06-94-00049 in all correspondence related to this report.

Attachment

Department of Health and Human Services

**OFFICE OF  
INSPECTOR GENERAL**

**REVIEW OF INDIAN HEALTH SERVICE'S  
TRIBAL MANAGEMENT GRANTS  
PROGRAM**



**JUNE GIBBS BROWN**  
Inspector General

NOVEMBER 1996  
A-06-94-00049



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**Memorandum**

Date:

From:

*Michael Mangano*for June Gibbs Brown  
Inspector General

Subject:

Review of Indian Health Service's Tribal Management Grants Program (A-06-94-00049)

To:

Michael H. Trujillo, M.D., M.P.H.  
Director  
Indian Health Service

This final report provides you with the results of our review of the Indian Health Service's (IHS) Tribal Management Grants Program (program). We performed this review at the request of IHS management. The program, authorized by the Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, is intended to be a source of funds to assist American Indian and Alaska Native tribes and tribal organizations (tribes) assess whether they want to provide health care services under contracts with IHS (this is in contrast to tribes receiving direct health care from IHS facilities). The grants, which average about \$81,000 are used mainly to improve the management capacity of the tribes or tribal organizations, and to aid in planning and evaluation. In Fiscal Year (FY) 1995, about one-third of IHS' \$1.36 billion budget was awarded in contracts to tribes so they could provide their own health care services.

**OBJECTIVE**

Our overall objective was to evaluate the success of the Tribal Management Grants Program. Our specific sub-objectives were to determine whether: (1) the application review process was effective in funding those projects consistent with the program objectives; (2) IHS project officers provided needed program support to the tribes; and (3) IHS evaluated those projects funded to ascertain the overall success of the program.

**SUMMARY OF FINDINGS**

Our review identified areas where improvements could be made to the Tribal Management Grants Program, specifically regarding the effectiveness of the application review process and the project officers' support provided to the tribes. However, because there were no agreed-upon measurement criteria, we found that the overall performance of the program could not be objectively measured.

Regarding our specific sub-objectives, we determined:

***Finding 1:*** The application review process needs to be improved. Although IHS had established review criteria, reviewers did not apply criteria consistently. A consistent evaluation would ensure, for example, that all reviewers applied the same criteria in judging the applications.

***Finding 2:*** Many project officers did not provide tribes support in applying for or carrying out their grants because they did not view their role in this program as important.

***Finding 3:*** The IHS did not make an adequate evaluation of the program's performance. Because IHS did not have agreed upon criteria for the program, nor established goals to measure program success, IHS has not been able to evaluate the program's performance.

We also found differing interpretations of the program among and between the three groups we surveyed--tribes, reviewers, and project officers. Such variance appeared to be linked to IHS not clearly defining and communicating the purpose of the program to all affected parties.

Our findings led us to conclude that there is no assurance that the most qualified projects were selected for funding; or that the funded projects received sufficient program support to succeed. Further, because a system has not been developed to measure project and program achievements, there is no assurance that the program is accomplishing what was intended under the law.

To ensure that the program is administered fairly and provides the maximum benefit to the tribes, we suggest that IHS: (1) revise its application review process to ensure that all applications are reviewed consistently; (2) emphasize to project officers the importance of providing needed support to the tribes and delineate relevant tasks in their performance plans; (3) develop program performance criteria; (4) implement a system to measure program accomplishments; and (5) clearly define and communicate to the tribes, reviewers, and project officers the purpose of the program.

In its October 3, 1996 comments to our draft report, IHS indicated agreement with our findings and suggested several technical changes which we have incorporated.

## **BACKGROUND**

The program was established under the authorization of the Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended. The law provides that grants may be made to tribes for:

- planning, training, evaluation, or other activities designed to improve the capacity of a tribe to enter into a contract or contracts;
- obtaining technical assistance for the purposes of program planning and evaluation, including the development of any management systems necessary for contract management, and the development of cost allocation plans for indirect cost rates; and
- planning, designing, monitoring and evaluating of Federal programs serving the tribes.

The program, announced annually in the Federal Register, is administered by IHS' Office of Tribal Activities through the Division of Community Services and Grants Management Branch. The program budget has grown from \$2,190,000 in FY 1990 to \$5,285,000 in FY 1994.

To participate in the program, tribes are required to submit an application detailing their proposed projects. The IHS appoints reviewers to an ad hoc committee to evaluate these applications, a several day process conducted at IHS headquarters in Rockville, Maryland.

The IHS has a three-tier review process:

- (1) Pre-Review - grants and program staff conduct application reviews for eligibility and sorting by project type.
- (2) Review Process - reviewers apply knowledge and experience to specific stated criteria.
- (3) Post-Review - program officials consider all factors in final determination of approved and disapproved projects.

We reviewed all three tiers, but concentrated our efforts on the second tier.

For the particular application review process that we observed and analyzed, the reviewers were divided into three review groups, each with about seven members. Each application was evaluated by only one of the three groups. Included in each review group were program representatives who assisted in conducting the reviews and answering technical questions, but did not participate in the application evaluations. These program representatives included a group facilitator, recording secretary, and representatives from IHS' Division of Community Services and the Grants Management Branch. Recommendations for approval or disapproval were made by consensus of each review group. Program officials used these recommendations to decide which applications would be funded.

Once an award is made, one of approximately 30 project officers, located in IHS' 12 area offices, is assigned to the tribe awarded a grant. The project officer is the liaison between headquarters and the tribes. Project officer responsibilities include providing technical assistance, conducting site visits, and monitoring grant performance.

## **OBJECTIVES, SCOPE AND METHODOLOGY**

### **OBJECTIVES**

The objectives of this review were to evaluate the success of this program in providing a source of funds that could be used to help tribes achieve self-determination in the area of health care delivery and accomplish the purposes set out in the law. Our specific sub-objectives were to determine whether: (1) the application review process was effective in funding those projects consistent with the program objectives; (2) IHS project officers provided needed program support to the tribes; and (3) IHS evaluated those projects funded to ascertain the overall success of the program.

### **SCOPE**

We sent questionnaires to FY 1993 tribal grant applicants, FY 1994 reviewers, and FY 1993 project officers. We also observed the ad hoc committee's review of FY 1994 grant applications. Program officials in the Division of Community Services and the Grants Management Branch assisted us in developing and distributing our questionnaires to tribes, reviewers, and project officers.

Of the approximately 600 eligible tribes, 104 applied for grants in FY 1993. We received responses from 78 of the 104 (24 from disapproved and 54 from approved) tribal applicants; 20 of the 21 reviewers; and 30 of the 31 project officers. (See appendices A, B, C and D for the questionnaires and responses.)

Subsequent to the completion of our field work, during the period we were drafting this report, the working papers for this effort were destroyed in the April 19, 1995 bombing of the Oklahoma City Alfred P. Murrah Federal Building. Therefore, this report could not be subjected to the rigorous internal control procedures that we normally apply to audit reports to ensure the fairness and accuracy of our statements. Most notably, without working papers, the report could not undergo an independent verification of the evidence supporting the findings, conclusions, and recommendations. Given the limitations presented by the lost working papers, we do not refer to this product as a formal audit report, but rather a report to the director of IHS on findings and suggestions regarding the Tribal Management Grants Program.

## **METHODOLOGY**

Except for the limitation delineated above, our review was performed in accordance with generally accepted government auditing standards. A review of internal controls was not required to accomplish the objectives of our audit. To perform our review, we:

- observed the FY 1994 application review process;
- distributed questionnaires to tribes, reviewers, and project officers;
- tabulated questionnaire responses;
- interviewed tribal officials, reviewers, project officers, and program officials;
- obtained a Department of Health and Human Services', Office of General Counsel, opinion concerning the intent of the program; and
- analyzed information obtained from the Division of Community Services and the Grants Management Branch.

Our field work was performed from April 1994 through June 1996. Work was performed at IHS headquarters in Rockville, Maryland, and IHS' area office in Oklahoma City, Oklahoma. In addition, we telephoned and interviewed tribal officials, reviewers, and project officers throughout the United States.



## DETAILED RESULTS OF REVIEW

Our review identified areas where improvements could be made to the tribal management grants program, specifically regarding the effectiveness of the application review process and the project officers' support provided to the tribes. However, because there were no agreed upon measurement criteria, we found that the overall performance of the program could not be objectively measured. We specifically found that:

***Finding 1:*** The program's application review process needs to be improved. Although IHS established review criteria, reviewers did not apply criteria consistently.

***Finding 2:*** Many project officers did not provide tribes support in applying for or carrying out their grants because they did not view their role in this program as important. Project officers were often busy with other duties on larger contracts.

***Finding 3:*** The IHS did not make an adequate evaluation of the program's performance. Because IHS did not have agreed upon criteria for the program, nor established goals to measure program success, IHS has not been able to evaluate the program's performance.

We also found varying interpretations of the program among and between the three groups we surveyed--tribes, reviewers, and project officers. Such variance appeared to be linked to IHS not clearly defining and communicating the purpose of the program to all affected parties.

### **FINDING 1: IHS' APPLICATION REVIEW PROCESS CAN BE IMPROVED**

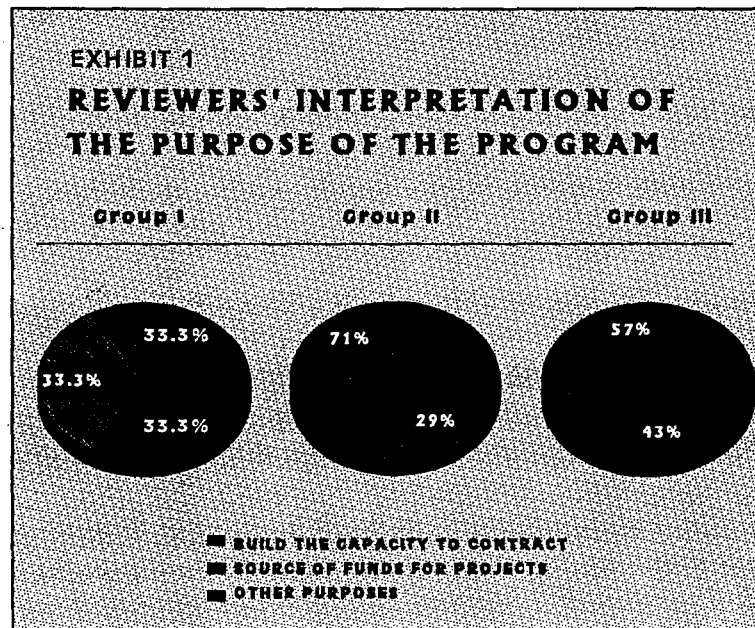
The application review process needs to be improved. Although IHS provided reviewers with selection criteria, reviewers made funding recommendations based on differing interpretations. We noted that the three review groups did not articulate a common understanding of the program's priorities, and that each group's dynamics affected how awarding decisions were made. Because the application review process was not consistent, there is no assurance that the most qualified projects received program funding.

#### **The Three Review Groups Varied in Their Interpretation of the Program's Purpose**

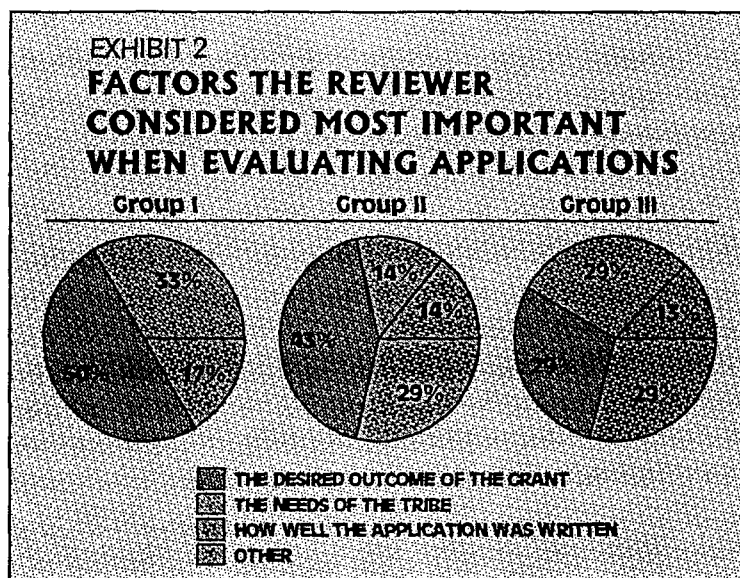
Our survey results and on-site observations of the application review process led us to conclude that the reviewers did not have a common interpretation of the purpose of the program and thus did not review applications based upon the same criteria. Instead, they used their own interpretations to evaluate the applications. These interpretations differed individually and by review group.

### Survey Results

Exhibit 1 depicts the varying interpretations of the reviewers, by group. The reviewers in group I could not agree on the purpose of the program, whereas the majority of the reviewers in groups II and III thought that the purpose of the program was "to build the capacity to contract." Although none of the three groups was incorrect in their interpretation of the program's purpose, Groups II and III did not articulate an interpretation that the grants could be a source of funds for other projects. Therefore, it is conceivable that the disposition of the grant application would depend on which of the three groups reviewed the application.



Reviewers' responses also indicated that other factors influenced the recommendations for funding projects. For example, one reviewer told us that the quality of the application's writing and presentation was the most important factor considered when evaluating an application. However, another reviewer stated that the needs of the tribe was the most important factor in the evaluation process. Exhibit 2 shows how the reviewers and review groups differed as to the importance they assigned to other factors.



### Observations of the Review Process

Our observation of two of the three review groups during the FY 1994 review process indicated differences among the groups. Because each application was reviewed by only one of the three review groups, differences in interpretations and presentations affected the application evaluations. In one group, we observed a few reviewers with strong personalities who appeared to influence the decisions of the group. The other reviewers in the group were reluctant to debate or express opposing views. The personalities of the reviewers in the second group we observed, however, appeared to be more evenly matched. Opposing views were expressed and debated.

We also observed differences in facilitators of the two groups. The facilitator of the first group did not follow established procedures and allowed reviewers to dominate group discussions, while the facilitator of the other group adhered to the established procedures and limited discussions to the recommended time limits.

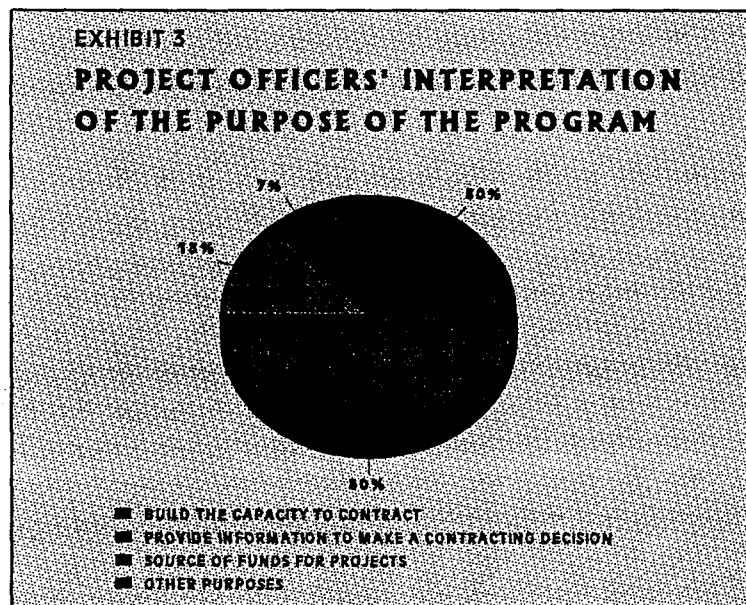
### FINDING 2: IHS' PROJECT OFFICERS DID NOT SUPPORT TRIBES

Once IHS awards the grants, the project officers in the area offices did not always, as required by their job descriptions, provide needed support to the tribes. We found variances both in how project officers viewed their roles, and the level of support the tribes reported receiving from the officers.

### Project Officer Views of Their Role

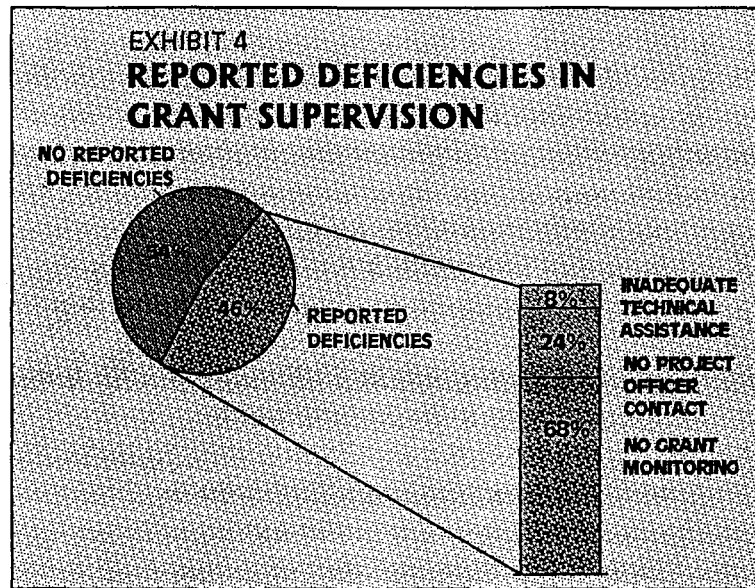
Many project officers who responded to our survey did not view their role in the program as important, and were often busy with other duties on larger contracts. Half (15 of 30) responded that their role was a formality. As a result, there is no assurance that the tribes receive the IHS support needed to successfully complete their projects.

As shown in Exhibit 3, the responses from the project officers indicated significant differences in their interpretation of the purpose of the program. Some described the program as being a source of funds for tribal projects. Others offered more complex descriptions of the program, such as filling the void between contracting and the special programs needed to assist tribes obtain self-determination. Another project officer had never heard of the program before receiving the project officer questionnaire.



### Tribal Views of Project Officer Support

The tribes receiving grant awards reported receiving varying support from project officers. One tribe, for example, reported that its project officer attended and actively participated in project advisory board meetings. On the other hand, the only tribe awarded a FY 1993 grant under the highest program priority reported that its project officer made minimal contact, provided none of the requested technical assistance, and inadequately monitored the progress and performance of the grant. As shown in Exhibit 4, almost half of the tribes who responded to our survey (25 of 54) reported deficiencies in one or more of the three grant supervision activities that IHS delineates as generic duties of project officers: technical assistance, project officer contact, and grant monitoring.



**FINDING 3: THE PROGRAM'S PERFORMANCE HAS NOT BEEN EFFECTIVELY EVALUATED**

Neither IHS nor the tribes has performed effective program evaluations to assess the program's performance. Both IHS and the tribes are hampered in performing evaluations by the lack of an agreed upon program purpose and measurable performance criteria. Without effective evaluations, it is not possible to measure the program's accomplishments and make meaningful decisions about the program's direction.

**IHS Has Not Effectively Evaluated The Program**

To date, IHS has not performed an effective evaluation of the program. Even if IHS had sought to perform such an evaluation, the agency would have faced difficulties in that it does not have consensus among officials on the program's purpose. Without a meaningful evaluation, it is not possible for IHS, or the Office of Inspector General, to accurately measure the program's accomplishments, and to make meaningful decisions regarding program's accomplishments.

Program officials told us that they relied on outside consultants and reviews for evaluation. In 1992, an outside consultant was retained to evaluate the success of the program. This study indicated that there were no data against which the program could be measured. Thus, even though IHS was aware of this serious shortcoming, it has not taken steps to clearly define the purpose of the program and to develop meaningful performance criteria.

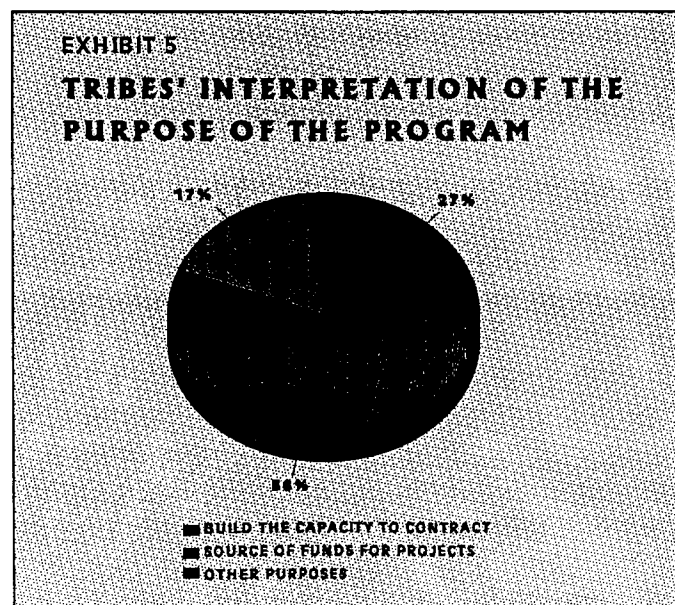
### **Tribes Have Not Effectively Evaluated Their Performance**

The tribes, too, had not effectively evaluated project performance. In FY 1993, IHS required the tribes to submit in their grant application performance criteria and an evaluation component. Thus, the only project assessment that takes place is when the tribe evaluates its own grant. This evaluation is based on the tribes' own criteria. According to program officials, the evaluation component is usually the weakest part of the tribes' applications. In our opinion, this is not an adequate evaluation system because it lacks established performance criteria and objectivity.

### **OTHER INFORMATION: PROGRAM PURPOSE NOT CONSISTENTLY INTERPRETED BY TRIBES, PROGRAM ADMINISTRATORS**

Although not specifically one of our review objectives, our survey yielded interesting data regarding how the tribes perceived the purpose of the program. Our data revealed that there is not a common interpretation of the program's purpose among the tribal groups. Such variation may indicate the need for IHS to clarify and publicize the purpose of the program for future applicants.

Some tribes viewed the program as a source of funds to build upon current projects under contract, while others described the purpose as building tribal capacity to manage and contract. As shown in Exhibit 5, the tribes varied in their interpretations of the program's purpose. Of the 78 tribes responding, 27 percent believed that the purpose of the program was to build their capacity to contract; 17 percent believed it was a source of funds to use for tribal projects; and 56 percent believed it was for "other purposes, such as improving overall tribal management."



In conjunction with our survey questionnaire, we interviewed program officials, who themselves voiced varied responses about the program purpose. For example, the director of the Division of Community Services defined the purpose of the program as "to build the capacity of tribes to contract." The associate director of the Office of Tribal Activities, however, insisted that the purpose of the program had nothing to do with contracting, but was "to provide the tribes with the means of obtaining information to decide if they wanted to contract."

Such variation, also shown by the responses of the tribes, project officers, and application reviewers, may point to a need for IHS top-level management to better define and communicate the program's purpose.

### CONCLUSIONS AND SUGGESTIONS

Our survey identified several areas where IHS can improve the tribal management grants program. We found that the application process used for selecting grants needs to be improved because IHS reviewers interpreted prescribed criteria differently in evaluating grant applications. Thus, there was no assurance that the most qualified applications were selected for funding. The survey data also indicated that the project officers generally are not providing the tribes the assistance they need to carry out the grants. Further, IHS does not have an evaluation gauging the success of the program, and will not have one until it specifies the criteria by which the program can be measured.

To ensure that the tribal management grants program is administered fairly and provides the maximum benefit to the tribes, we suggest that IHS: (1) revise its application review process to ensure that all applications are reviewed consistently; (2) emphasize to project officers the importance of providing needed support to the tribes and delineate relevant tasks in their performance plans; (3) develop program performance criteria; (4) implement a system to measure program accomplishments; and (5) clearly define and communicate to the tribes, reviewers, and project officers the purpose of the program.

### IHS COMMENTS

By memorandum dated October 3, 1996, IHS responded to our draft report. It indicated agreement with our findings and suggested several technical changes which we have incorporated.

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We would appreciate your views and the status of any further action taken or contemplated on our suggestions within the next 60 days. If you have any questions, please call me or have

Page 13 - Michael H. Trujillo, M.D., M.P.H.

your staff contact Joseph J. Green, Assistant Inspector General for Public Health Service Audits, at (301) 443-3582.

To facilitate identification, please refer to Common Identification Number A-06-94-00049 in all correspondence related to this report.



# APPENDICES

**QUESTIONNAIRE SENT TO FY 1993 APPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES**

We received responses from 54 of 61 approved Tribal Management Grant Program (TMGP) grant applicants.

Question:	Responses:																
<p><b>1. What type of TMGP grant did the tribe/tribal organization receive in FY 1993?</b></p>	<table border="1"> <tr><td>Management</td><td>17</td></tr> <tr><td>Feasibility</td><td>12</td></tr> <tr><td>Planning</td><td>16</td></tr> <tr><td>Training</td><td>2</td></tr> <tr><td>Evaluation</td><td>4</td></tr> <tr><td>Feasibility and planning</td><td>1</td></tr> <tr><td>No response</td><td>2</td></tr> </table>	Management	17	Feasibility	12	Planning	16	Training	2	Evaluation	4	Feasibility and planning	1	No response	2		
Management	17																
Feasibility	12																
Planning	16																
Training	2																
Evaluation	4																
Feasibility and planning	1																
No response	2																
<p><b>2. Has your tribe/tribal organization received previous TMGP grants?</b></p> <p><b>2a. If yes, list the grants:</b></p> <p><i>(Note: Some tribes had more than one grant.)</i></p>	<table border="1"> <tr><td>Yes</td><td>32</td></tr> <tr><td>No</td><td>21</td></tr> <tr><td>No response</td><td>1</td></tr> <tr><td>1992</td><td>19</td></tr> <tr><td>1991</td><td>15</td></tr> <tr><td>1990</td><td>9</td></tr> <tr><td>1989</td><td>10</td></tr> <tr><td>No response</td><td>2</td></tr> </table>	Yes	32	No	21	No response	1	1992	19	1991	15	1990	9	1989	10	No response	2
Yes	32																
No	21																
No response	1																
1992	19																
1991	15																
1990	9																
1989	10																
No response	2																
<p><b>3. Primarily, how were the FY 1993 grant funds used?</b></p>	<table border="1"> <tr><td>Consultant costs</td><td>4</td></tr> <tr><td>Salaries &amp; wages</td><td>18</td></tr> <tr><td>Travel costs</td><td>1</td></tr> <tr><td>Other</td><td>30</td></tr> <tr><td>No response</td><td>1</td></tr> </table>	Consultant costs	4	Salaries & wages	18	Travel costs	1	Other	30	No response	1						
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QUESTIONNAIRE SENT TO FY 1993 APPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES

Question:	Responses:	
<p>4. <i>Did your tribe/tribal organization receive a FY 1994 grant?</i></p>	Yes	20
	No	30
	Other responses	4
<p>5. <i>In your opinion, what is the objective of the TMGP?</i></p>	Build the capacity of tribes/tribal organizations to contract	12
	Provide tribes/tribal organizations with a means of obtaining information to decide whether or not to contract	10
	Source of funds for tribe/tribal organization projects	9
	Other responses	23
<p>6. <i>Is the TMGP successful in meeting this objective?</i></p> <p>6a. <i>If yes, describe how the TMGP objective is being achieved.</i></p> <p>6b. <i>If no, explain why the objective is not being achieved.</i></p>	Yes	49
	No	5
	Described how objective was achieved	47
	No response	2
Explained why objective was not achieved	5	

QUESTIONNAIRE SENT TO FY 1993 APPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES

Question:	Responses:	
<p>7. <i>How would you describe your tribe/tribal organization's involvement in Public Law 93-638 contracting prior to receiving the grant?</i></p>	Actively contracting	39
	Intending to contract	8
	Not ready to contract	2
	Not interested in contracting	0
	Other responses	5
<p>8. <i>Did your tribe/tribal organization use the services of a consultant to help draft the grant application?</i></p> <p>8a. <i>If yes, what was the cost?</i></p>	Yes	21
	No	33
	Reported consultant costs	15
	No response or cost not available	6
<p>9. <i>Did your tribe/tribal organization obtain assistance from your IHS Area Office in preparing the grant application?</i></p>	Area Director	0
	Contract Proposal Liaison Officer	0
	Project Officer	4
	Information Resource Mgmt (OIRM)	2
	Other	4
	No assistance was requested	43
	Unknown	1

**QUESTIONNAIRE SENT TO FY 1993 APPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES**

Question:	Responses:
<b>10. What type of grant application assistance did your tribe/tribal organization receive?</b>	Program related information 1
	Grant application information 7
	IHS grant writing workshop 4
	Other 12
	No response 30
<b>11. How would you rate the grant application assistance?</b>	Level 5 (Excellent) 7
	Level 4 3
	Level 3 8
	Level 2 0
	Level 1 1
	Level 0 (Inadequate) 2
	No response 33
<b>12. Who was the Area Project Officer assigned to your FY 1993 grant?</b>	Named the Project Officer 45
	Did not know or did not respond 9

QUESTIONNAIRE SENT TO FY 1993 APPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES

Question:	Responses:	
<p><b>13.</b> <i>Did your tribe/tribal organization request technical assistance from the Area Project Officer during the grant period?</i></p> <p><b>13a.</b> <i>If yes, how would you rate the technical assistance received?</i></p>	Yes	21
	No	33
	Level 5 (Excellent)	4
	Level 4	9
	Level 3	3
	Level 2	0
	Level 1	2
	Level 0 (Inadequate)	1
<p><b>14.</b> <i>Describe the assistance received.</i></p>	Described assistance	21
<p><b>15.</b> <i>How often did the Area Project Officer contact your tribe/tribal organization?</i></p>	Monthly	5
	Quarterly	14
	No contact was made	18
	Other responses	17
<p><b>16.</b> <i>How did the Project Officer contact your tribe/tribal organization?</i></p>	Site visit	1
	Telephone	13
	Written correspondence	1
	No contact made	18
	Other responses	21

**QUESTIONNAIRE SENT TO FY 1993 APPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES**

Question:	Responses:	
<b>17. How would you rate the frequency of contact?</b>	Level 5 (Excessive)	1
	Level 4	6
	Level 3	14
	Level 2	9
	Level 1	5
	Level 0 (Insufficient)	10
	No response	9
<b>18. Did the Area Project Officer monitor the progress and performance of the grant?</b>  <b>18a. If yes, describe how the Project Officer monitored the grant.</b>  <b>18b. How would you rate the monitoring of the grant?</b>	Yes	33
	No	17
	No response or did not know	4
	Described monitoring	28
	No response	5
	Level 5 (Excellent)	5
	Level 4	7
	Level 3	13
	Level 2	4
	Level 1	3
	Level 0 (Inadequate)	5
	No response	17

QUESTIONNAIRE SENT TO FY 1993 APPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES

Question:	Responses:	
<p>19. Was the tribe/tribal organization successful in completing the grant?</p> <p>19a. If yes, describe the outcome of the grant.</p> <p>19b. If no, describe why the tribe/tribal organization did not successfully complete the grant.</p>	Yes	35
	No	9
	Grant extended or still in progress	9
	No response	1
	Described outcome	31
	No response	4
	Described why grant was not completed	9
<p>20. What effect, if any, did the grant have on your tribe/tribal organization's P.L. 93-638 contracting?</p>	Resulted in a new contract	4
	A previous contract was expanded	9
	Maintained the previous level of contracting	10
	The decision not to contract was made based upon information obtained from the grant	1
	Other	28
	No response	2



**QUESTIONNAIRE SENT TO FY 1993 DISAPPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES**

We received responses from 24 of 43 disapproved grant applicants.

Question:	Responses:	
<p>1. <i>What type of TMGP grant did you apply for in FY 1993?</i></p>	Management	6
	Feasibility	2
	Planning	8
	Training	1
	Evaluation	5
	Other or unknown	2
<p>2. <i>Has your tribe/tribal organization received previous TMGP grants?</i></p> <p>2a. <i>If yes, list the grants.</i></p> <p><i>(Note: Some tribes had more than one grant.)</i></p>	Yes	14
	No	10
	1992	12
	1991	6
	1990	2
	1989	3
<p>3. <i>If the grant application had been approved, primarily, how were the funds to be used?</i></p>	Consultant costs	2
	Salaries & wages	5
	Travel costs	0
	Other	2
	Combination or unknown	14
	No response	1
<p>4. <i>Did you apply for a grant in FY 1994?</i></p>	Yes	8
	No	16

QUESTIONNAIRE SENT TO FY 1993 DISAPPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES

Question:	Responses:
<p>5. <i>In your opinion, what is the objective of the TMGP?</i></p>	<p>Build the capacity of tribes/tribal organizations to contract 9</p>
	<p>Provide tribes/tribal organizations with a means of obtaining information to decide whether or not to contract 2</p>
	<p>Source of funds for tribe/tribal organization projects 4</p>
	<p>Other 9</p>
<p>6. <i>Is the TMGP successful in meeting this objective?</i></p> <p>6a. <i>If yes, describe how the TMGP objective is being achieved.</i></p> <p>6b. <i>If no, please explain why the objective is not being achieved.</i></p>	<p>Yes 11</p>
	<p>No 11</p>
	<p>Do not know or both 2</p>
	<p>Described how 11</p>
	<p>Described why not 11</p>
	<p>Responded to both Question 6a and 6b 1</p>
	<p>Responded to neither Question 6a or 6b 1</p>

**QUESTIONNAIRE SENT TO FY 1993 DISAPPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES**

Question:	Responses:
<p>7. <i>Did you use the services of a consultant to help draft the grant application?</i></p> <p>7a. <i>If yes, what was the cost?</i></p>	Yes 6
	No 18
	Listed cost 6
<p>8. <i>Did you obtain assistance from IHS Area Office personnel in preparing the grant application?</i></p>	Area Director 0
	Contract Proposal Liaison Officer 1
	Project Officer 3
	Information Resource Mgmt (OIRM) 0
	Other 0
	No assistance was requested 17
	Combination 3
<p>9. <i>What type of assistance did you request?</i></p>	Program related information 2
	Grant application information 4
	IHS grant writing workshop 0
	Other 1
	Combinations or no responses 17

**QUESTIONNAIRE SENT TO FY 1993 DISAPPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES**

<b>Question:</b>	<b>Responses:</b>	
<b>10. How would you rate the assistance you received from IHS?</b>	Level 5 (Excellent)	2
	Level 4	4
	Level 3	4
	Level 2	3
	Level 1	0
	Level 0 (Inadequate)	3
<b>11. What assistance would be most helpful to you in the future?</b>	Described assistance	21
	Made no response or responded "none"	3
<b>12. How would you describe your tribes/tribal organizations involvement in P.L. 93-638 contracting at the time you applied for the grant?</b>	Actively contracting	19
	Intending to contract	4
	Not ready to contract	0
	Not interested in contracting	0
	Other	1
<b>13. What effect did the disapproval of the grant have on your tribe/tribal organization, if any?</b>	Contracting plans were abandoned	4
	Contracting was delayed	6
	No effect, funds for the grant project were provided through another funding source	1
	Other	13

**QUESTIONNAIRE SENT TO FY 1993 DISAPPROVED  
GRANT APPLICANTS WITH TABULATED RESPONSES**

Question:	Responses:
<p><b>14. Why was your grant application disapproved?</b></p>	<p>Application was incomplete or did not follow program guidelines 1</p>
	<p>Approach or methodology was weak 4</p>
	<p>Objectives were not measurable 1</p>
	<p>Reason for disapproval is unclear 4</p>
	<p>Other 6</p>
	<p>Combination, unknown or do not remember 8</p>
<p><b>15. Were you satisfied with the explanation you were given as to why your application was disapproved?</b></p>	<p>Yes 8</p>
	<p>No 14</p>
	<p>No response 2</p>

**QUESTIONNAIRE SENT TO FY 1994 GRANT REVIEWERS  
WITH TABULATED RESPONSES**

We received responses from 20 of 21 grant reviewers.

Question:	Responses:
<b>1. How many years have you reviewed applications for the TMGP?</b>	One year or less 7
	Two years 8
	Three years 4
	Four or more years 1
<b>2. Have you reviewed grant applications for other agencies?</b>	Federal 6
	State 1
	Non-profit 0
	Other 7
	None 6
<b>3. Did you assist any tribe/tribal organization in preparing a 1994 TMGP application?</b>  <b>3a. If yes, describe the assistance that you provided.</b>  <b>3b. Did you receive compensation for providing the assistance?</b>	Yes 2
	No 18
	Described assistance 2
	Yes 1
	No 1

QUESTIONNAIRE SENT TO FY 1994 GRANT REVIEWERS  
WITH TABULATED RESPONSES

Question:	Responses:
<p>4. <i>What is the objective of the TMGP?</i></p>	<p>Build the capacity of tribes/tribal organizations to contract 11</p>
	<p>Provide tribes/tribal organizations with a means of obtaining information to decide whether or not to contract 0</p>
	<p>Source of funds for tribe/tribal organization projects 2</p>
	<p>Other 7</p>
<p>5. <i>Does the objective review process result in recommendations (approval or disapproval) that are consistent with the TMGP objective?</i></p> <p>5a. <i>If yes, describe how the review process results in recommendations that are consistent with the TMGP objective.</i></p> <p>5b. <i>If no, describe why the review process does not result in recommendations that are consistent with the TMGP objective.</i></p>	<p>Yes 15</p>
	<p>No 5</p>
	<p>Listed descriptions 14</p>
	<p>No response 1</p>
<p>Described reasons 5</p>	

QUESTIONNAIRE SENT TO FY 1994 GRANT REVIEWERS  
WITH TABULATED RESPONSES

Question:	Responses:
<p>6. <i>To which review panel were you assigned?</i></p>	Panel A 6
	Panel B 7
	Panel C 7
	Do not know 0
<p>7. <i>Have you been on TMGP review panels prior to 1994?</i></p> <p>7a. <i>If so, have you noted any differences in how the 1994 and the prior panel that you were assigned to evaluated the TMGP applications?</i></p> <p>7b. <i>If yes, please explain.</i></p>	Yes 14
	No 6
	Yes 7
	No 7
	Listed explanations 6
	No response 1
<p>8. <i>Describe the guidance that you were given, if any, regarding how you were to evaluate TMGP applications?</i></p> <p>8a. <i>How would you rate the guidance that you were given?</i></p>	Listed descriptions 18
	No response 2
	Level 5 (Excellent) 3
	Level 4 8
	Level 3 7
	Level 2 1
	Level 1 0
	Level 0 (Inadequate) 1



QUESTIONNAIRE SENT TO FY 1994 GRANT REVIEWERS  
WITH TABULATED RESPONSES

Question:	Responses:	
<p>9. <i>When you reviewed TMGP grant applications, what did you consider to be the most important factor?</i></p>	How well the application was written	2
	The needs of the tribe/tribal organization	5
	The desired outcome of the grant	8
	Other	5
<p>10. <i>In regard to the application review process, how would you characterize your review panel's attitude toward evaluating the TMGP applications?</i></p>	Lenient	0
	Strict	4
	Moderate	13
	Other	3
<p>11. <i>Did you agree with your panel's decisions?</i></p> <p>11a. <i>If no, please explain.</i></p>	Yes	16
	No	2
	Most of the time	2
	Listed explanations	2
<p>12. <i>Do you believe that improvements are needed in the review process?</i></p> <p>12a. <i>If yes, please explain.</i></p>	Yes	20
	No	0
	Listed explanations	19
	No response	1

QUESTIONNAIRE SENT TO FY 1994 GRANT REVIEWERS  
WITH TABULATED RESPONSES

Question:	Responses:
<b>13.</b> <i>How would you rate the TMGP objective review process?</i>	Level 5 (Excellent) 2
	Level 4 6
	Level 3 8
	Level 2 1
	Level 1 1
	Level 0 (Inadequate) 1
	No response 1

**QUESTIONNAIRE SENT TO FY 1993 PROJECT OFFICERS  
WITH TABULATED RESPONSES**

We received responses from 30 of 31 project officers.

<b>PART I - GENERAL INFORMATION</b>	
<b>Question:</b>	<b>Responses:</b>
<b>1. How many years experience have you had as a Project Officer?</b>	Less than one year 2
	One to two years 6
	Two to three years 4
	More than three years 18
<b>2. Were you assigned your TMGP Project Officer responsibilities through:</b>	Area Office 15
	Headquarters 12
	Other 3
<b>3. Did you receive formal training regarding your responsibilities in the administration of grants?</b>	Yes 23
	No 7
<b>3a. If so, what training did you receive?</b>	Training identified 22
	No response 1
<b>3b. How would you rate the training?</b>	Level 5 (Excellent) 3
	Level 4 10
	Level 3 6
	Level 2 3
	Level 1 0
	Level 0 (Inadequate) 0
	No response 1

QUESTIONNAIRE SENT TO FY 1993 PROJECT OFFICERS  
WITH TABULATED RESPONSES

<b>PART I - GENERAL INFORMATION</b>	
<b>Question:</b>	<b>Responses:</b>
3c. <i>If no, why was formal training not provided?</i>	Lack of travel funds 2
	Job responsibilities 2
	Other 3
4. <i>Was your role as Project Officer delineated in your job description?</i>	Yes 14
	No 16
5. <i>Was your role as Project Officer delineated in your performance appraisal?</i>	Yes 16
	No 13
	No response 1
6. <i>List your TMGP Project Officer duties.</i>	Listed Duties 28
	No response 2
7. <i>What is the objective of the TMGP?</i>	Build the capacity of tribes/tribal organizations to contract 9
	Provide tribes/tribal organizations with a means of obtaining information to decide whether or not to contract 2
	Source of funds for tribe/tribal organization projects 4
	Other 15

QUESTIONNAIRE SENT TO FY 1993 PROJECT OFFICERS  
WITH TABULATED RESPONSES

<b>PART I - GENERAL INFORMATION</b>	
<b>Question:</b>	<b>Responses:</b>
<p>8. <i>Is TMGP successful in meeting this objective?</i></p> <p>8a. <i>If yes, describe how the TMGP objective is being achieved.</i></p> <p>8b. <i>If no, describe why the objective is not being achieved.</i></p>	Yes 22
	No 3
	No response 5
	Listed descriptions 19
	Listed descriptions 3
<p>9. <i>Were you appointed as a Project Officer in Fiscal Year 1994?</i></p>	No response to 8a or 8b 8
	Yes 23
	No 7

QUESTIONNAIRE SENT TO FY 1993 PROJECT OFFICERS  
WITH TABULATED RESPONSES

We received responses from the 30 project officers for 55 grants.\*

<b>PART II - GRANTEE INFORMATION</b>	
<b>Question:</b>	<b>Responses:</b>
<p><b>1. Did you provide tribes/tribal organizations with TMGP preaward information?</b></p> <p><b>1a. If you provided information, what information did you provide?</b></p> <p><b>1b. If not, why was information not provided?</b></p> <p><i>(Note: One project officer responded to both questions 1a. and 1b.)</i></p>	Routinely 13
	Occasionally 15
	Never 27
	Program 11
	Grant application 1
	Grant writing 0
	Other 16
	This is not a Project Officer function 3
	Did not have the technical expertise 0
	Tribes/tribal organizations did not request preaward information 11
	Other 11
No response 3	
<p><b>2. Did you assist in the Area programmatic review of TMGP grant applications?</b></p> <p><b>2a. If yes, describe the information you provided in the Area programmatic review.</b></p>	Yes 37
	No 18
	Provided descriptions 37

\* Project Officers were instructed to copy and complete this form for each grant that they administered.

QUESTIONNAIRE SENT TO FY 1993 PROJECT OFFICERS  
WITH TABULATED RESPONSES

<b>PART II - GRANTEE INFORMATION</b>	
<b>Question:</b>	<b>Responses:</b>
2b. <i>If no, who performed the Area programmatic review?</i>	Contract Proposal Liaison Officer 1
	Area Director 0
	Other 7
	Unknown or no response 10
3. <i>Did you provide technical program assistance to the grantee after the grant was awarded?</i>  3a. <i>If yes, describe the assistance given.</i>  3b. <i>If no, why was technical assistance not provided?</i>	Yes 27
	No 28
	Described assistance 27
	Grantee did not request technical assistance 22
	Did not have the technical expertise needed 2
	Other 4
4. <i>After the award was made, how often did you contact the grantee?</i>	Monthly 8
	Quarterly 19
	No contact was made 8
	Other 20
5. <i>Please indicate how you contacted the grantee?</i>	On-site review 1
	Telephone 10
	Written correspondence 1
	Other 35

QUESTIONNAIRE SENT TO FY 1993 PROJECT OFFICERS  
WITH TABULATED RESPONSES

<b>PART II - GRANTEE INFORMATION</b>	
<b>Question:</b>	<b>Responses:</b>
6. <i>Was written documentation of contacts with the grantee submitted to the Grants Management Office?</i>	Yes 13
	No 41
	No response 1
7. <i>Did you monitor the progress and performance of the grantee?</i>  7a. <i>If yes, describe how you monitored the grantee's progress and performance.</i>  7b. <i>If no, indicate why the grantee's progress and performance were not monitored.</i>	Yes 42
	No 13
	Described monitoring 42
	Provided reasons 13
8. <i>Did you review and/or evaluate the grantee's quarterly progress reports?</i>	Yes 47
	No 7
	Both responses 1
9. <i>In your opinion, will the grantee be successful in completing the grant?</i>  9a. <i>If yes, describe the anticipated outcome of the grant.</i>  9b. <i>If no, describe why the grantee will not be successful.</i>	Yes 48
	No 4
	No response 3
	Described outcome 45
	No response 3
	Provided description 4



QUESTIONNAIRE SENT TO FY 1993 PROJECT OFFICERS  
WITH TABULATED RESPONSES

<b>PART II - GRANTEE INFORMATION</b>	
<b>Question:</b>	<b>Responses:</b>
<b>10. How do you view your role in the TMGP process?</b>	Important member of a team 11
	Important but not part of a team 1
	Outside the process 1
	Only a formality 15
	Other 0
	No response 2
<b>11. What would make you a more successful Project Officer?</b>	Project Officer Training 2
	Increased Area Office support of the TMGP 3
	Better communications with headquarters 7
	Other 16
	No response 2