

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF POSTSECONDARY EDUCATION  
WASHINGTON, DC 20006-8513



Fiscal Year 2014

APPLICATION FOR GRANTS

AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES  
PROGRAM

CFDA 84.031T

CLOSING DATE: May 2, 2014

OMB No. 1840-0817

Expiration Date xxxx

## Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 12 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Title III, Part A of the Higher Education Act of 1965, as amended). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1840-0817.

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Dear Colleague:

The Tribally Controlled Colleges and Universities Program funds institutions on a formula-basis. Each applicant is requested to provide a Tribally Controlled Colleges and Universities Program Profile Form (student data on enrollment of Indian students as well as credit hours). The five-year development grants will be funded on the basis of a program formula. The one-year construction grants are not being awarded this year; however, construction can be incorporated into the five-year development grant as an activity.

Institutional Service invites you to submit your institution's Program Profile Form so that we may collect your institution's data under the American Tribally Controlled Colleges and Universities (TCCU) Program authorized under Title III, Part A/F of the Higher Education Act of 1965, as amended. This package contains the Program Profile data collection form and instructions. The deadline for submission of the Program Profile Form is May 2, 2014.

In the Department of Education's (the Department) attempt to ensure equity and consistency in the TCCU institutional data that you are required to submit, it is of the utmost importance that these data are verifiable. The Program Profile data submitted must cover academic years **2013-2014 for the total number of credit hours for Indian students.**

The receipt of your institution's data by the deadline date is critical because each award is determined by the information provided by all participating institutions. That is, no single award can be calculated until all eligible institutions have responded. The Department trusts that you will understand the importance of meeting the May 2, 2014, due date. The application information required for the TCCU Program data collection must be e-mailed to the following address by 4:30 PM EDT on May 2, 2014.

Page 2 – Dear Colleague

Dr. Steve Sniegowski  
Program Officer  
TCCU Program  
Team A/Institutional Service/HEP/OPE  
U.S. Department of Education  
1990 K. Street, N.W. Room 6028  
Washington, DC 20006-8513  
Telephone: (202) 502-7861 **FAX (202) 502-7861**  
E-Mail Address: Steve.Sniegowski@ed.gov.

Sincerely,

*/s/*

Leonard L. Haynes, III, Ph.D.  
Senior Director  
Institutional Service

Enclosures: TCCU Program Profile Form

## COMPETITION HIGHLIGHTS

1. Each Tribally Controlled College or University (TCCU) seeking to be included in the formula funding for a NEW grant must have first applied for and have been determined eligible for the program. Section 316(d)(1) of the Higher Education Opportunity Act states that “To be eligible to receive assistance under this section, a Tribal College or University shall be an eligible institution under section 312(b). Section 312 (b) are the requirements for designation as an eligible institution.
2. Each TCCU must complete and submit the Profile Data Collection Form, a one Page Abstract, Budget Narrative, Project Narrative, Required Information Form, assurances, and Certification Forms. TCCUs must submit the Profile Data Collection Form every year in order to receive annual funding. The other aforementioned documents only need to be submitted for a NEW grant and are NOT needed for non-competitive continuation awards.
3. Each TCCU that has applied for and received the designation of eligibility (which is only necessary when applying for a NEW grant) AND annually submits relevant Indian Student count and credit hours data will be included in the formula run.
4. Appropriated funds will be distributed among the eligible Tribal Colleges and Universities on a pro rata basis based on the respective Indian student counts (as defined in section 2(a) of the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C. 1801 (a) of the Tribal Colleges and Universities. No grant may be less than \$500,000.
5. Construction is now an allowable activity within the development grant but there could there is also the option to have special construction grants awarded on a competitive basis.
6. Applicants are asked to carefully read question #4 on the Profile Data Collection Form and, if applicable, to check the box or place an X next to the box certifying that they will comply with the statutory requirements and program assurances (regarding endowments) cited in the program regulations.
7. The application package must be e-mailed to Dr. Steve Sniegowski at [Steve.Sniegowski@ed.gov](mailto:Steve.Sniegowski@ed.gov) no later than 4:30 PM EDT on May 2, 2014.

8. Please note that you must submit your student data by dates specified by the Department. Late formula data will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants.

## **THE AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES PROGRAM**

### **AUTHORIZING LEGISLATION**

The TCCU Program is authorized under Title III, Part A, Section 316 of the Higher Education Act of 1965, as amended.

### **APPLICABLE REGULATIONS**

Education Department Administrative General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79 and 80.

### **PURPOSE**

The purpose of the Tribally Controlled Colleges and Universities Program is to provide grants and related assistance to Indian Tribal Colleges and Universities to enable such institutions to improve and expand their capacity to serve Indian Students.

### **ELIGIBILITY**

Tribal Institutions of Higher Education

### **AUTHORIZED ACTIVITIES**

Grant funds may be used for the following activities;

(1) Faculty exchanges, faculty fellowships, and faculty development that provide faculty with the skills and knowledge needed to—

(i) Develop academic support services, including advising and mentoring students;

(ii) Develop academic programs or methodology, including computer-assisted instruction, that strengthen the academic quality of the institution; or

(iii) Acquire terminal degrees that are required to obtain or retain accreditation of an academic program or department;

(2) Funds and administrative management that will improve the institution's ability to—

(i) Manage financial resources in an efficient and effective manner; and

(ii) Collect, access, and use information about the institution's operations for improved decision making;

(3) Developing and improving academic programs that enable the institution to—

(i) Develop new academic programs or new program options that show promise for increased student enrollment;

(ii) Provide new technology or methodology to increase student success and retention or to retain accreditation; or

(iii) Improve curriculum or methodology for existing academic programs to stabilize or increase student enrollment;

(4) Acquiring equipment for use in strengthening management and academic programs to achieve objectives such as those described in paragraphs (b)(2) and (b)(3) of this section;

(5) Establishing or increasing the joint use of facilities such as libraries and laboratories to—

(i) Eliminate the distance and high cost associated with providing academic programs and academic support; or

(ii) Provide clinical experience that is part of an approved academic program at off-campus locations;

(6) Develop or improve student services to provide—

(i) Deliver new or improved methods to student services, including counseling, tutoring, and instruction in basic skills; or

(ii) Improve strategies to train student services personnel;



(7) Payment of any portion of the salary of a dean, with proper justification, to fill a position under the project such as project coordinator or activity director. For purposes of this paragraph, proper justification includes evidence that the position entitled "Dean" is not one that has college-wide administrative authority and responsibility;

8) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;

(9) Construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities to create smart buildings;

(10) Establishing or improving a development office to strengthen or improve contributions from alumni and the private sector;

(11) Establishing or improving an endowment fund, provided a grantee uses no more than 20 percent of its grant funds for this purpose and at least matches those grant funds with non-Federal funds;

(12) Creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services;

(13) For grants authorized under section 316 of the HEA to tribal colleges or universities

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(i) Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;

(ii) Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;

(iii) Support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in their field of instruction;

(iv) Curriculum development and academic instruction;

(v) Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;

- (vi) Funds and administrative management, and acquisition of equipment for use in strengthening funds management;
- (vii) Joint use of facilities such as laboratories and libraries; and
- (viii) Academic tutoring and counseling programs and student support services designed to improve academic services;
- (ix) Academic instruction in disciplines in which Indians are underrepresented;
  
- (x) Establishing or improving a development office to strengthen or improve contributions from the alumni and the private sector;
- (xi) Establishing or enhancing a program of teacher education designed to qualify students to teach in elementary schools or secondary schools, with a particular emphasis on teaching Indian children and youth, that shall include, as part of such program, preparation for teacher certification;
- (xii) Establishing community outreach programs that encourage Indian elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education; and
- (xiii) Establishing or improving an endowment fund, provided a grantee uses no more than 20 percent of its grant funds for this purpose and at least matches those grant funds with non-Federal funds.

## **PROGRAM STATUTE**

### **Sec. 316 AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES.**

(a) PROGRAM AUTHORIZED. -- The Secretary shall provide grants and related assistance to Indian Tribal Colleges and Universities to enable such institutions to improve and expand their capacity to serve Indian students.

(b) DEFINITIONS. -- In this section:

(1) INDIAN. -- The term "Indian" has the meaning given the term in section 2 of the Tribally Controlled College or University Assistance Act of 1978.

(2) INDIAN TRIBE. -- The term "Indian tribe" has the meaning given the term in section 2 of the Tribally Controlled College or University Assistance Act of 1978.

(3) TRIBAL COLLEGE OR UNIVERSITY. -- The term "Tribal College or University" has the meaning give the term "tribally controlled college or university" in section 2 of the Tribally Controlled College or University Assistance Act of 1978, and includes an institution listed in the Equity in Educational Land Grant Status Act of 1994.

(4) INSTITUTION OF HIGHER EDUCATION.--The term "institution of higher education" means an institution of higher education as defined in section 101(a), except that paragraph (2) of such section shall not apply.

(c) AUTHORIZED ACTIVITIES.--

(1) IN GENERAL. --Grants awarded under this section shall be used by Tribal Colleges or Universities to assist such institutions to plan, develop, undertake, and carry out activities to improve and expand such institutions' capacity to serve Indian students.

(2) EXAMPLES OF AUTHORIZED ACTIVITIES.--The activities described in paragraph (1) may include--

(A) purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;

(B) construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;

- (C) support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the faculty's field of instruction;
- (D) academic instruction in disciplines in which Indians are underrepresented;
- (E) purchase of library books, periodicals, and other educational materials, including telecommunications program material;
- (F) tutoring, counseling, and student service programs designed to improve academic success;

- (G) funds management, administrative management, and acquisition of equipment for use in strengthening funds management;
- (H) joint use of facilities, such as laboratories and libraries;
- (I) establishing or improving a development office to strengthen or improve contributions from alumni and the private sector;
- (J) establishing or enhancing a program of teacher education designed to qualify students to teach in elementary schools or secondary schools, with a particular emphasis on teaching Indian children and youth, that shall include, as part of such program, preparation for teacher certification;
- (K) establishing community outreach programs that encourage Indian elementary school and secondary school students to develop the academic skills and the interest to pursue postsecondary education; and
- (L) other activities proposed in the application submitted pursuant to subsection (d) that--
  - (i) contribute to carrying out the activities described in subparagraphs (A) through (K); and
  - (ii) are approved by the Secretary as part of the review and acceptance of such application.

**(3) ENDOWMENT FUND.--**

(A) IN GENERAL.-- A Tribal College or University may use not more than 20 percent of the grant funds provided under this section to establish or increase an endowment fund at the institution.

(B) MATCHING REQUIREMENT.-- In order to be eligible to use grant funds in accordance with subparagraph (A), the Tribal College or University shall provide matching funds, in an amount equal to the Federal funds used in accordance with subparagraph (A), for the establishment or increase of the endowment fund.

(C) COMPARABILITY. -- The provisions of part C regarding the establishment or increase of an endowment fund, that the Secretary determines are not inconsistent with this paragraph, shall apply to funds used under subparagraph (A).

**(d) APPLICATION PROCESS--**

(1) INSTITUTIONAL ELIGIBILITY.--To be eligible to receive assistance under this section, a Tribal College or University shall be an eligible institution under section 312(b).

(2) APPLICATION.-- Any Tribal College or University desiring to receive assistance under this section shall submit an application to the Secretary at such time, and in such manner,

as the Secretary may by regulation reasonably require. Each such application shall include

—  
(A) a 5-year plan for improving the assistance provided by the Tribal College or University to Indian students, increasing the rates at which Indian secondary school students enroll in higher education, and increasing overall postsecondary retention rates for Indian students; and

(B) such enrollment data and other information and assurances as the Secretary may require to demonstrate compliance with paragraph (1).

(3) SPECIAL RULE.-- For the purposes of this part, no Tribal College or University that is eligible for and receives funds under this section may concurrently receive other funds under this part or part B.

## **INSTRUCTIONS FOR COMPLETING AND TRANSMITTING THE APPLICATION**

### **1. Project Abstract**

Applicants are required to submit a one page single-spaced Project Abstract. Please include in the Project Abstract the name of the institution, city, and purpose. Do not use abbreviations or signs (e.g., %)—spell out.

### **2. Profile Data Collection Form (Profile Form)**

Applicants are required to answer questions 1-5 paying special attention to question 5. a-f. This page is used to profile each applicant. It also addresses endowment funding, dual submission certification, and cooperative arrangements. The Profile Form also records the certifying data on each institution.

### **3. Program Budget (ED 524)**

Provide the total costs you are requesting for each budget category for all activities for your project year.

### **4. Budget Narrative**

Prepare a separate, detailed, budget narrative for each proposed activity. Demonstrate and justify that all costs are reasonable in today's market and necessary to accomplish your activity objectives. Please pay particular attention in your justification to those (per item) costs exceeding \$25,000, excluding salaries and fringe benefits. For each activity, provide itemized costs (in dollars), and a narrative justification to support your request for:

- o Personnel
- o Fringe Benefits
- o Travel
- o Equipment
- o Supplies
- o Contractual
- o Construction
- o Other
- o Total

You must provide details so we can determine if the costs are allowable, necessary and reasonable.

**NOTE: The Title III, Part A, TCCU Program, CFDA 84.031T does not reimburse grantees for indirect costs they incur in carrying out a project funded under these programs. Therefore, applicants should not show any dollar amounts for indirect costs on either line 10 of the application budget form (ED 524) or in their budget narrative. Applicants should also be aware that un-reimbursed indirect costs under grants of this program may not be charged as direct cost items in the same award, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.**

Do not include a budget narrative (as a separate activity) for endowment investing.

## **5. Project Narrative**

Provide description of activities to be funded. (limited to five pages)

Review the program regulations (34 CFR 607.10 and 607.30) for guidance on which activities and costs are allowable. For example, you may **not** use your grant funds to:

- Recruit students,
- Carry out activities that are operational rather than developmental,
- ***Carry out student activities such as entertainment, cultural or social enrichment programs, student publications, social clubs or associations,***
- Pay for organized fund raising,

- Cover indirect costs.

**6. Required Information Form**

Provide contact information for the Project Director and President.

**The application information required for the TCCU Program data collection must be e-mailed to the following address: [Steve.Sniegoski@ed.gov](mailto:Steve.Sniegoski@ed.gov) or faxed to 202-502-7861.**

**REQUIRED INFORMATION**

**Award Number P031T**\_\_\_\_\_

**Project Director's Name**\_\_\_\_\_

**Project Director's Telephone**\_\_\_\_\_

**Project Director's e-mail**\_\_\_\_\_

**Level of Effort (at least 25%)**\_\_\_\_\_  
**(how much time will project director devote to this grant ?)**

**President's Name**\_\_\_\_\_

**President's  
Telephone**\_\_\_\_\_

**President's e-mail**\_\_\_\_\_



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## 84.031T Tribally Controlled Colleges and Universities Program Profile

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**INSTRUCTIONS:** *ALL applicants must complete these pages. DO NOT MODIFY OR AMEND THESE PAGES.*

OPE ID # \_\_\_\_\_

### 1. INSTITUTION (Legal Name):

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2. Are you applying as a Branch Campus? \_\_\_\_\_ YES \_\_\_\_\_ NO

### 3. ADDRESS (Applicants must indicate the address where the project will be located):

Project Address:

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City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

### 4. ENDOWMENT FUND ASSURANCE:

- **By checking this box (or placing an “X” beside it)**, an applicant certifies that the institution of higher education proposes to use up to twenty percent (20%) of the Strengthening Institutions Program grant award, made under the authority of Title III, Part A of the Higher Education Act of 1965, as amended, to establish or increase the institution’s endowment fund. The institution agrees to abide by the Department of Education’s regulations governing the Endowment Challenge Grant Program, 34 CFR Part 628, the program statute, and the program regulations, 34 CFR Part 607. The institution further agrees to raise the required matching funds.

### 5. DATA FORM FOR DETERMINING INSTITUTIONAL INDIAN STUDENT COUNT (as defined in Section 2(a) of the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C. 1801(a))

- a) total number of credit hours for Indian students enrolled at your institution at the conclusion of the 3<sup>rd</sup> week of the 2013 Fall Term = \_\_\_\_\_
- b) total credit hours for all Indian students enrolled in your institution at the conclusion of the 3<sup>rd</sup> week of the 2014 Spring Term = \_\_\_\_\_
- c) total credit hours for Indian students enrolled in your institution in the 2013 Summer Term preceding the 2013 Fall Term = \_\_\_\_\_

d) in the case of an institution on a quarter system, total credit hours for all Indian students enrolled in your institution at the conclusion of the 3<sup>rd</sup> week of the 2014 Winter Term (fill in "N/A" if your institution is on a semester system)

= \_\_\_\_\_

e) total credits earned by any Indian student during the 2013 Summer Term, 2013 Fall Term, 2014 Winter Term, or 2014 Spring Term at your institution who has not obtained a high school degree or its equivalent, if your institution has established criteria for the admission of that student on the basis of the student's ability to benefit from the education or training offered. The admission procedures at your institution for such studies must include counseling or testing that measures the student's aptitude to successfully complete the course in which the student has enrolled. No credits earned by the student for purposes of obtaining a high school degree or its equivalent may be counted in this total  
= \_\_\_\_\_

f) total credit hours for Indian students enrolled at your institution who participated in an organized Continuing Education program under responsible sponsorship, capable direction, and qualified instruction (as described in the criteria established by the International Association for Continuing Education and Training) during the 2013 Summer Term, 2013 Fall Term, 2014 Winter Term, or 2014 Spring Term calculated in the following manner:

- in the case of an institution on a **quarter** system: 1 credit hour for every 10 contact hours = \_\_\_\_\_
- OR
- in the case of an institution on a **semester** system: 1 credit hour for every 15 contact hours = \_\_\_\_\_

**SUM of CREDIT HOURS (ITEMS a through f) = \_\_\_\_\_**

20 U.S.C. 1801 (a)(1) defines the term "Indian" as "a person who is a member of an Indian tribe."

Note: Applicant should retain data used to provide information to the Department for the funding period of the grant.

## Government Performance and Results Act (GPRA)

### What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

## **How has the Department of Education Responded to the GPRA Requirements?**

As required by GPRA, the Department of Education has prepared a strategic plan for 2007-2012. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

*Goal 1: Increase student achievement, reward qualified teachers, and renew troubled schools so that every student can read and do math at grade level by 2014, as called for by the No Child Left Behind Act.*

*Goal 2: Encourage more rigorous and advanced coursework to improve the academic performance of our middle and high school students.*

*Goal 3: Work with colleges and universities to improve access, affordability, and accountability, so that our higher education system remains the world's finest.*

## **What are the Performance Indicators for the Title III, Part A Programs?**

The performance indicators for the Title III, Part A Programs are part of the Department's plan for meeting Goal 3. The Department's specific goal for this program is "to increase enrollments of Strengthening Institutions Program (SIP) institutions."

The Title III, Part A Programs' overarching goal is "to improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success and to provide high-quality educational opportunities for their students."

The performance indicators for the Title III, Part A Programs are:

1. The number of full-time degree-seeking undergraduates enrolled at institutions of higher education (IHEs). Note that this is a long-term measure, which will be used periodically to gauge performance, beginning in FY 2009.
2. The percentage of full-time undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same institution.
3. The cost per successful program outcome: federal cost per undergraduate and graduate degree at institutions.
4. The percentage of students enrolled at four-year IHEs graduating within six years of enrollment.
5. The percentage of students enrolled at two-year IHEs who graduate within three years of enrollment.

**How does the Department of Education determine whether performance goals have been met?**

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met.

The most recent version of this program's annual performance report can be viewed at <http://www.ed.gov/programs/iduestitle3a/performance.html>.

## Application Checklist

Use This Checklist While Preparing Your Application Package: All items listed on this checklist are required.

- Required Information Form
- Profile Data Form
- Application for Federal Assistance (SF 424 )
- Department of Education Supplemental Information Form for the SF 424
- Budget Summary (ED Form 524) Section A
- One Page Abstract
- Budget Narrative
- Project Narrative Attachment Form
  - Assurances – Non-Construction Programs (ED 424B)
  - Disclosure of Lobbying Activities (SF LLL)
  - ED GEPA Section 427 Requirement
  - Survey on Ensuring Equal Opportunity for Applicants
  - Certification Regarding Lobbying (ED 80-0013)

