

Tribal Colleges and Universities Program Application



2001

U.S. Department of Housing and Urban Development
Mel Martinez, Secretary



Application Kit FY 2001

TRIBAL COLLEGES AND UNIVERSITIES PROGRAM

Sponsored by the

U.S. Department of Housing and Urban Development
Mel Martinez, Secretary

Tribal Colleges and Universities Program
OMB No. 2528-0215 (exp. 7/31/01)

The information collection requirements contained in this notice of funding availability and application kit will be used to rate applications, determine eligibility, and establish grant amounts.

Selection of applications for funding under the Tribal Colleges and Universities Program (TCUP) are based on the rating factors listed in the NOFA for the program published in the Federal Register.

Public reporting burden for collection of this information for TCUP is estimated to average 80 hours. This includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions to reducing this burden, to the Reports Management Officer, Paperwork Reduction Project to the Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, DC 20410-3600. When providing comments please refer to OMB Approval No. 2528-0215.

Do not send this form to the above address.

The agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

The information submitted in response to the notice of funding availability for TCUP are subject to the disclosure requirements of the Department of Housing and Urban Development Reform Act of 1989 (Pub.L. 101-235, approved December 15, 1989, 42 U.S.C. 3545).

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802).

OMB No. 2528-0215
(exp. 7/31/01)
APPLICATION KIT

Dear Applicant:

The U.S. Department of Housing and Urban Development (HUD) is soliciting applications for the **Tribal Colleges and Universities Program (TCUP)**. If you are a tribal college or university you may be eligible to apply. TCUP provides funding for you to build, expand, renovate, and equip your own facilities.

This call for applications is issued under the authority of HUD's HUD 20001 Appropriations Act, which created the program. HUD intends to award up to \$3 million from FY 2001 appropriations to fund projects to be carried out over two-year grant periods.

Before you begin preparing your application, please carefully read this entire application kit as well as the Notice of Funding Availability (NOFA), which is part of this kit.

The application kit tells you how to prepare your application and gives you a checklist of all required documents. Please use this checklist to ensure that you have submitted a complete application. Please feel free to take this application kit apart and use the forms to supply the requested information. If you prepare your application properly, it will enable HUD to rate and rank your application in a timely manner and speed the process of making awards.

This Application Kit consists of this cover letter and the following attachments:

Attachment A - Application Instructions

Attachment B - Application Checklist

Attachment C - Applicable Forms and Certifications

Attachment D - Notice of Funding Availability

HUD is not committed to award a grant or pay any costs incurred in the preparation of your application. HUD reserves the right to accept or reject your application, or to cancel in part or in its entirety this solicitation, if it is in HUD's best interest to do so.

Instructions for Submitting Applications and Other Documents

The deadline date established in this competition is firm as to date, hour, and place. In the interest of fairness to you and all other competing applicants, the Department will treat your application as ineligible for consideration if it is received after the deadline. For more information about the deadline, please review the Notice of Funding Availability for this program in Attachment F. If you hand deliver your application, you should know that considerable delays may occur in attempting to enter the building because of security procedures. HUD will not accept facsimile copies of your application.

You should submit an original and two copies of your application to:

Processing and Control Branch
Office of Community Planning and Development
U.S. Department of Housing and Urban Development
451 Seventh Street, S.W.
Room 7251
Washington, DC 20410

Applications are due on August 3, 2001.

If you have any questions regarding this Application Kit, you should contact Jane Karadbil in the Office of University Partnerships or Sherone Ivey in the Office of Native American Programs. Jane can be reached at (202) 708-1537, extension 5918 or by e-mail at Jane_R._Karadbil@hud.gov. or for the hearing impaired, at TDD (202) 708-1455. Sherone can be reached at 202-401-7914, extension 4200 or by e-mail at Sherone_E._Ivey@hud.gov. For the hearing impaired, both can be reached at TDD (202) 708-1455. (These are not toll free numbers.)

Sincerely,

Barbara A. Holland
Director, Office of
University Partnerships

Jacqueline Johnson
Deputy Assistant Secretary
for Native American Programs

Attachment A -- Instructions for Completing the Tribal Colleges and Universities Program (TCUP) Application

Your application must contain an original and two (2) copies of items 1-9 explained below. Please note that where there are page limits, you must adhere to them. In order to recycle paper, you should not submit your application in bound form. Binder clips or loose leaf binders are acceptable. Please do not use both sides of the paper or colored paper. Number all the pages of the application sequentially. You may single or double space your application. You should not use smaller than a 10 pitch font.

Please include the items in the order listed below.

APPLICATION CONTENTS

1. **SF-424.**

Instructions for completing this form are found on the back of the form.

You should complete this form and have it signed by the Chief Executive Officer of your institution. If the Chief Executive Officer has delegated this responsibility to another official, that person may sign this form, but a copy of the delegation must also be included in your application. Every box (except 3 and 16) should be filled in. In designating a contact (in box 5) please include a title, address, and telephone and facsimile numbers. This is the person who will receive the reviewers' comments; so the address should be sufficiently accurate to get the comments to the correct person. **If you want to get the reviewers' comments, please make sure that a correct address is included.**

The Catalogue of Federal Domestic Assistance (CFDA) number (box 10) is 14.519.

2. **HUD-424M, Funding Matrix.**

Please complete this form and attach it to your SF-424. All amounts in the matrix should be for the full grant period.

3. **Application Checklist.**

This checklist provides a listing of all the items that need to be included in your application. You must include the application items in the order they are listed on this checklist. On the checklist, you must fill in the page number where each of the items can be found in your application. You must include the completed checklist in your application.

4. **Transmittal Letter.**

This letter should be addressed to Barbara A. Holland, Director, Office of University Partnerships. It should be signed by the Chief Executive Officer (usually the President or Provost) of your institution. If the Chief Executive Officer has delegated this responsibility to another official, that person may sign the letter, but a copy of the delegation must also be included in your application. The letter must attest to the fact that your institution grants a two- or four-year college degree and is accredited by a national or regional accrediting agency recognized by the Department of Education. You must identify the accrediting agency and state that the U.S. Department of Education duly recognizes the agency. The letter should also certify that your institution is an eligible institution because it meets the definition of a tribal college or university in the 1998 Amendments to the Higher Education Act of 1965. You can also use the transmittal letter as one way to demonstrate your President's commitment to the institutionalization of TCUP activities at your school.

Your transmittal letter should also address whether your institution is a department or agency of a tribal government and is, thus, claiming exemption from Davis-Bacon labor standards and the non-discrimination provisions of section 109 of the Housing and Community Development Act of 1974.

5. **Abstract.**

You must include a one-page summary of your proposed project, using the abstract form in Attachment C. Your project description should include a brief description of activities to be undertaken, the need for these activities, any community participation in the design and implementation of this project, and your program goals and objectives. When you write this document, think of it as your press release.

6. **Narrative Statement Addressing the Factors for Award.**

The Narrative Statement addressing the factors for award has three parts to it: (1) the statement of work for your project; (2) your project budget; and (3) your responses for the four factors for award. The Statement of Work tells HUD what you propose to do; the budget tells HUD how much the project will cost, including any funds provided by your institution or others; and your responses to the factors for award tells HUD how well you meet each of these factors. The Narrative Statement will be the main document used to rate and rank your application. Therefore, it is very important that you become familiar with the four (4) factors for TCUP detailed in the Notice of Funding Availability (NOFA) for the program. The total Narrative Statement (including your Statement of Work and any

tables and maps, but not including your budget and letters of leveraging commitments) is limited to 50 pages. Although submitting pages in excess of this page limit will not disqualify your application, HUD will not consider the information on the excess pages, which may result in a lower score or failure to meet a threshold. Do not provide any material not relevant to each rating factor. Please do not repeat material in your Statement of Work in your responses to the four factors; instead focus on how well you meet each of the factors.

a. **Budget.**

Your budget should be consistent with your Statement of Work and include the following:

(1) Budget Form.

Your budget, using Form HUD-30006, and any related documentary evidence should appear as the first item in your Narrative Statement. The budget form can be found in Attachment C. You may need to expand the form to cover all the activities in your project. You should complete the requested budget information for each separate major activity and include a grand total for the entire project at the end of the form. At a minimum, you will have two major activities—one to cover the project (if only one project is proposed) and one to cover planning and administration costs. You may choose to use a computer spreadsheet, duplicating this form. The HUD web site also includes a form fillable version of this form.

Remember to include any indirect costs attributable to a specific project activity under that activity. You are not required to include your institution's indirect costs in the Federal grant amount. But if you don't, you should include this amount under the leveraged funds being provided by your institution.

Please note that consultants are individuals who are on your payroll and are treated as temporary employees. On the other hand, subcontractors are individuals, institutions, or firms hired under a contract to carry out specific tasks.

If you receive a TCUP grant, you may be required to provide greater specificity to the budget during grant agreement negotiations.

Make sure that the amounts on the HUD-424M, the budget forms, and your response to factor 4 are all consistent. Make

sure your budget totals correctly. Remember to check your addition in totaling the HUD-30006 so that all items are included in the total. If there is an inconsistency between any of these forms, the HUD-30006 will be used. However, if on checking the addition, HUD finds that you have added incorrectly, your HUD-30006 will be revised accordingly. Please note that, because this would be considered a substantive rather than technical error, if this correction puts you over the grant maximum, your application will be disqualified. So please remember to check your addition very carefully.

(2) Cost estimates.

A narrative statement of how you arrived at your cost estimates, for any line item, including leveraged funds, **over \$5,000**. When necessary, quotes from various vendors should be included. All direct labor or salaries must be supported with mandated local or state pay scales or other appropriate documentation. If you are proposing rehabilitation, acquisition, or construction, you must submit reasonable costs supplied by a qualified entity, other than your own institution (e.g., an architect, engineer, construction firm, etc.)

(3) Statement of Compliance with 20% Limitation on “Planning and Administration” Costs.

Although you must include all costs of whatever nature (including planning and administration) in your budget form, under the appropriate budget categories, you must also separately address, in a short statement, your compliance with the statutory requirement that no more than 20% of the Federal funds from this grant would be allocated to activities that constitute either “Administration” or “Planning and Management.” You should include the following statement in your application: “The total Federal grant request of \$_____ includes \$___ for Planning and Administration, representing ___% of the total Federal grant request.

The planning and administration cap is not the same as your approved indirect cost rate. Planning and administration relates to those costs attributable to the overall planning and administration of the project. Note that planning for a specific project component does not fall under the cap but falls under that activity. The indirect cost rate is generally a percentage applied to all project costs, whether they are for project activities, planning, or administration. HUD has not set a cap on the amount of indirect costs that can be charged to the project or counted as match, as long as this amount

is within the rate approved audit. However, there is a relationship between the indirect cost rate and costs and the planning and administration, as the next paragraph explains.

To avoid confusion about how the planning and administration cap is calculated, an example follows:

Assume a Federal grant request of \$399,000. The maximum amount that can be charged to the grant for planning and administration is \$79,800 (20% of \$399,000). This amount includes both the direct and indirect costs attributable to the planning and administration category. Assume that the Federal grant request before the indirect cost rate is applied is \$300,000 and that the indirect cost rate is 33% (or \$99,000), thus making the total Federal grant \$399,000 (\$99,000 + \$300,000). Assume also that the amount of direct costs attributable to planning and administration is \$70,000 and, thus, the amount of indirect costs attributable to this category is \$21,000 (33% of \$70,000). Thus, the total amount for planning and administration is \$91,000 (\$70,000 + \$21,000). In this case, you would be over the allowed cap: \$91,000 vs. \$79,800 and would have to find other funding for the difference of \$11,200. However, you could count this other funding as leveraging.

b. Statement of Work.

Your Statement of Work should be included at the beginning of your response to factor 3, Soundness of Approach. It should be in a narrative form and clearly identify the activities you propose to undertake and how these activities will be accomplished. Specifically, your Statement of Work must:

- (1) Present a step-by-step breakdown of the major activities for which you seek funding (e.g., rehabilitation of a business development center, construction of new classrooms), identify the primary persons involved in carrying out each activity and accountable for the deliverables, and delineate the major tasks involved in carrying out each activity. You should describe how each activity meets one of the three Community Development Block Grant Program objectives.
- (2) Indicate the sequence in which the tasks are to be performed, noting areas of work that must be performed simultaneously. The sequence, duration, and the products to be delivered should be

presented in six month intervals, for the entire 24-month grant period.

- (3) Identify the specific number of quantifiable intermediate and end products and objectives (e.g., the number of classrooms added, the number of additional students that can be served, the number of additional clients that can be helped in an expanded small business assistance center) you aim to deliver by the end of the grant period as a result of the work performed.
- (4) Briefly discuss (1) how your major activities do not duplicate those of other entities in your community; and (2) are appropriate for an institution of higher education to undertake in light of its teaching, research, and service missions.

c. **Responses to the Factors for Award.**

The response to each subfactor should be presented separately, with the short title of the subfactor presented. Make sure you address each subfactor and provide sufficient information about every element of the subfactor.

The response to rating factor 4 on leveraging resources should include any letters used to document firm commitments of cash and/or in-kind goods or services, as well as narrative explanations related to the sources and uses of these funds. For any leveraged source, **whether it is from your own funds** or from another source, you must include a signed statement from the proposed source indicating a clear commitment of funds. An authorized representative of the funding source must sign this letter. **Unless leveraged funds are accompanied by such a statement, they will not be counted towards Factor 4.** A sample format for these letters is included in Attachment C. **Leveraged amounts must relate to your proposed project and be needed for its successful execution.**

7. **Certifications.**

You must include the following certifications and assurances in your application. They must all be signed by the Chief Executive Officer of your institution or his/her official designee. You can find all of these forms in Attachment C.

- a. SF-424B, Assurances for Non-Construction Programs or SF-424D, Assurances-Construction Programs, depending on the activities you propose to undertake.
- b. HUD-50071, Certification of Payments to Influence Certain Federal

Transactions.

- c. SF-LLL, Disclosure of Lobbying Activities (if applicable).
- d. HUD-2880, Applicant/Recipient Disclosure/Update Form.
- e. HUD-50070, Certification of a Drug-Free Work Place.
- f. HUD-2992, Certification Regarding Debarment and Suspension.

If you do not provide all of the required certifications, your application may have its review delayed, if HUD needs to request submission of these certifications.

8. **Acknowledgment of Receipt of Application (HUD-2993)**

If you include this form with your application, it will be returned to you by HUD to show that your application has been received on time. This form can be found in Attachment C.

You are not required to include this form, but HUD recommends that you do so.

9. **Client Comments and Suggestions Form (HUD-2994)**

There is a comment and suggestions form included in Attachment C. It is included so that we can solicit information from the most valuable source—you, our customers. The Tribal Colleges and Universities Program is a new program. If you complete and submit this form, it will help us assess whether the program will have its intended effect. It will also guide us in our continuing efforts to improve the competitive grant process. You are not required to complete this form.

10. **Appendices.**

You are not permitted to submit any appendices. Your letters of commitment for leveraging sources should be included after the narrative response to factor 4. You may not submit general support letters, resumes, or other back-up materials (unless you are willing to have the latter count towards the page limits). You should make sure that the Statement of Work and Narrative Statement addressing the Factors for Award contain sufficient detail to stand on their own, without the need for back-up material.

Attachment B: Application Checklist

The following checklist is provided to ensure that you have submitted all the required items for you to receive funding consideration under this competition.

Each of the items must be included in your application, in the order listed. On the line to the left of each item, you must list the page number(s) where the item can be found in your application. Each page of your application must list the name of your institution. For application items which are not forms, you should clearly indicate to which items you are responding.

- ___ 1. SF-424, Application for Federal Assistance
- ___ 2. HUD-424, Funding Matrix
- ___ 3. Application Checklist
- ___ 4. Transmittal letter
- ___ 5. Abstract
- ___ 6. Narrative Statement Addressing the Factors for Award (including letters of commitment)

At the beginning of Factor 3:

- a. Budget
 - ___ HUD-30006, the budget form
 - ___ Narrative explanation of how costs were derived
 - ___ Statement of compliance with 20% limitation on "Planning and Administration" costs
 - b. Statement of Work
 - c. Narrative Statement Addressing the Factors for Award (including letters of commitment)
7. Certifications
- ___ SF-424B or Sf-424D, Assurances
 - ___ Certification of Payments To Influence Certain Federal Transactions (HUD-50071)
 - ___ Disclosure of Lobbying Activities (SF-LLL) (if applicable)
 - ___ Applicant/Recipient Disclosure/Update Report (HUD-2880)
 - ___ Certification for a Drug-Free Workplace (HUD-50070)
 - ___ Certification Regarding Debarment (HUD-2992)

- _____ 8. Acknowledgment of Receipt of Application (HUD-2993) (optional)
- _____ 9. Client Comments and Suggestions Form (HUD-2994) (optional)

Attachment C: Forms

This section contains the following forms:

SF-424, Application for Federal Assistance

HUD-424, Funding Matrix

HUD-30006, Tribal Colleges and Universities Program Budget

SF-424B or SF-424D, Assurances

Certification of Payments To Influence Certain Federal Transactions (HUD-50071)

Disclosure of Lobbying Activities (SF-LLL) (if applicable)

Applicant/Recipient Disclosure/Update Report (HUD-2880)

Certification for a Drug-Free Workplace (HUD-50070)

Certification Regarding Debarment (HUD-2992)

Acknowledgment of Receipt of Application (HUD-2993) (optional)

Client Comments and Suggestions Form (HUD-2994) (optional)

ATTACHMENT D: Notice of Funding Availability for the Tribal Colleges and Universities Program

U.S. Department of Housing and Urban Development
Washington, DC 20410

Official Business
Penalty for Private Use, \$300

Return Service Requested

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2A-TC