



American Indian Higher Education Consortium  
AIHEC Summer 2016 Board of Directors Meeting  
Tuesday, July 12, 2016 1:30 PM (MDT)  
1405 Curtis Street Denver Colorado  
The Curtis Hotel, Denver, Colorado

Prepared for Carrie Billy



American Indian Higher Education Consortium  
AIHEC Summer 2016 Board of Directors Meeting  
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- I. Schedule of Events
- II. Executive Awareness Session One: - We Are Resilient  
*Tuesday, July 12, 2016, 1:00 p.m. - 5:00 p.m.*  
*Keep Away Meeting Room (2nd Floor)*
  - A. Traditional Ways of Being: Leadership, Health, Mindfulness and Contemplative Practices -  
Dr. Michael Yellow Bird
  - B. Campus Resilience Enhancement System (CaRES) - Navajo Technical University
- III. Executive Awareness Session Two: - The AIHEC Plan - Vision for the Movement  
*Wednesday, July 13, 2016, 8:30 a.m. - 4:45 p.m.*  
*Keep Away Meeting Room*
  - A. The Plan Overview
  - B. Sustaining: TCU Funding
  - C. Engaging: TCU Student Enrollment
  - D. Innovating: Budgeting for the Future
  - E. Educating: TCCU Act Amendments
- IV. AIHEC Summer 2016 Board of Directors Meeting - Cynthia Lindquist, Board Chair  
*8:00 a.m. - 12:00 p.m. Thursday, July 14, 2016,*  
*Marco Polo Ballroom (3rd Floor)*
  - A. Call to Order
  - B. Opening Prayer
  - C. Roll Call - Carrie Billy
  - D. Introductions
- V. Review and Approval of the Agenda - Cynthia Lindquist  
*MOTION to Approve*
- VI. Review and Approve Previous Minutes - Robert Martin, Board Secretary  
*MOTION to Approve*
- VII. Report of the Chair - Cynthia Lindquist
  - A. Executive Committee Minutes & Updates  
*MOTION to Accept Minutes*
  - B. Announcements

## VIII. AIHEC Affiliate Reports

### A. U.S. Department of Education - Title IV (Financial Aid Programs) - John Gritts, School Experience Group

*Updates about State Authorization, Enrollment Reporting, Gainful Employment Reporting and ASR and DAAPP.*

### B. American Indian College Fund - Cheryl Crazy Bull, President of AICF

### C. AIHEC Student Congress

*A written report is provided by the AIHEC Student Congress*

### D. AIHEC Tribal College and Universities Librarian Association

*A written report is provided by the Tribal College and Universities Librarian Association.*

### E. FALCON-Land Grant

*A written report is provided by FALCON-Land Grant.*

## IX. AIHEC Central Office Report - Carrie Billy

### A. Central Office Update

*Please see the Board Book for the Central Office Report.*

### B. Presidential Candidate Point Paper

*MOTION to approve priorities for an AIHEC presidential candidate and transition position statement.*

### C. Code of Conduct Revision

*MOTION to approve this modification is required: a modification has been proposed to the Code of Conduct to allow AIHEC to solicit and facilitate group purchasing and other discounts to benefit TCUs.*

### D. Keepseagle Fast Track Proposal

*MOTION is required. To proceed with consideration of the AIHEC proposal a full Board of Directors approval is due July 22. The AIHEC Executive Committee approved a similar resolution on June 23.*

### E. Higher Education Voter Registration Notice

*All institutions of higher education receiving federal funds are required to provide opportunities for college students to register to vote. A brochure is included in the board books for informational purposes.*

### F. Change in Federal Overtime Regulations

*Beginning December 1, a new Department of Labor rule (29 CFR Part 541) will raise the salary level for which eligible employees qualify for overtime pay. The rate moves from \$23,660 to \$47,476 per year. This change could have an impact on TCU budgets, so presidents are cautioned to plan accordingly.*

### G. Tribal Accrediting Body Commitments

*During AIHEC's spring 2016 board meeting, a motion was approved directing all Regular Members to "make a formal monetary commitment" to establishing a separate tribal accreditation body. We are requesting formal commitments from all TCUs that have not yet made a commitment.*

### H. AIHEC Grant Proposals or Projects

*Newly proposed grant or project proposals approved by the AIHEC Executive Committee.*

## X. Motions Arising from Discussion Sessions

*This is an opportunity to take formal board action on any item so requiring, which arose during the executive awareness sessions on July 12 and 13.*

## XI. New Business - Cynthia Lindquist

### A. Other

## XII. Adjournment - Cynthia Lindquist

### A. Closing Prayer

## XIII. AIHEC General

*Supplemental Material*



July 12-14, 2016  
 The Curtis Hotel  
 1405 Curtis Street Denver, CO 303.571.0300

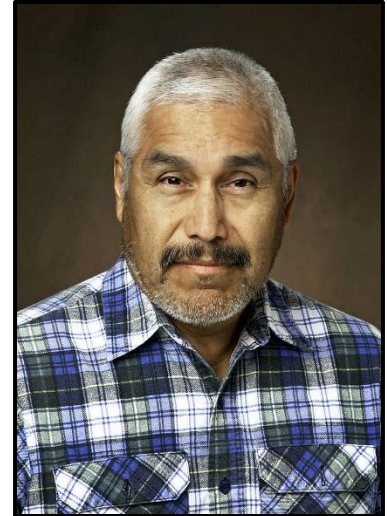
TRIBAL Colleges and Universities: *Sustaining, Educating, Innovating, Engaging*

DAY / DATE	TIME	SCHEDULE OF EVENTS	MEETING ROOM
TUESDAY JULY 12	9:30AM – 11:00AM	<p><b><u>NATIONAL STUDENT CLEARINGHOUSE MEETING</u></b>                      Dannette Sullivan, NSCH                      NSCH facilitates the exchange and understanding of student enrollment, performance, and more, in compliance with FERPA and HEA. This session includes an NSCH overview and will help TCUs determine whether they are getting maximum benefit from NSCH services.                      (MT Presidents mandatory; all others encouraged to attend)</p>	Scissors (2 <sup>nd</sup> Floor)
	1:00 PM – 3:45 PM	<p><b><u>PRESIDENTS' EXECUTIVE SESSION ONE: WE ARE RESILIENT</u></b></p> <ul style="list-style-type: none"> <li><b><u>TRADITIONAL WAYS OF BEING: LEADERSHIP, HEALTH, MINDFULNESS &amp; CONTEMPLATIVE PRACTICES</u></b>                      Michael Yellow Bird, Ph.D.                      Mindfulness is being aware of what is happening at the moment, outside and inside us, without judging or attaching to the content, feelings, and emotions that arise. It refers to living deeply in the present moment and not responding to life in a distracted, mechanical, and hurtful manner, as many are prone to do. As we begin our work together, this session will help us refocus through techniques that Indigenous people have practiced since the beginning. We will learn how stress impacts our communities, our students, and ourselves; how (low cost) mindfulness practices can help deal with stress and strengthen the resiliency of our communities; and how we can use our minds to decolonize our future.</li> </ul>	Keep Away (2 <sup>nd</sup> Floor)
	4:00 PM – 5:00 PM	<ul style="list-style-type: none"> <li><b><u>TODAY'S REALITIES: CAMPUS RESILIENCE ENHANCEMENT SYSTEM (CARES)</u></b>                      NAVAJO TECHNICAL UNIVERSITY                      The Campus Resilience Enhancement System (CaRES) is a web-enabled system developed with funding from the Department of Homeland Security to help colleges as they build and improve upon their emergency operations plans. NTU is the first TCU to use CaRES, which includes modules aimed at helping develop campus action guides. In this presentation, NTU will share what it has learned and demonstrate how CaRES can be an important tool for campus preparedness and resiliency.</li> </ul>	
WEDNESDAY JULY 13	8:30 AM – 12:00 PM	<p><b><u>PRESIDENTS' EXECUTIVE SESSION TWO: The AIHEC Plan</u></b>  <i>Vision for the Movement: Sustaining, Engaging, Innovating, Educating</i></p> <ul style="list-style-type: none"> <li><b><u>SEIZING THE OPPORTUNITIES: TCU FUNDING STRATEGIES, STUDENT ENROLLMENT CHALLENGES, BUDGETING, ADVOCACY, AND GROWTH</u></b></li> </ul>	Keep Away (2 <sup>nd</sup> Floor)
	12:00 – 1:15 LUNCH (provided)	<p><b><u>AIHEC Plan Overview:</u></b> The session will begin with an overview of the revised AIHEC Strategic Plan, a blending of the old with the new for a clear <i>Vision for the Movement</i>. We will transition through four facilitated discussions, both in small and large groups.</p> <p><b><u>SUSTAINING:</u></b></p> <ul style="list-style-type: none"> <li><b>Funding:</b> Current statutory authorities for TCU funding and strategies for developing a realistic needs-based funding formula and ensuring stable funding as the Movement grows.</li> </ul>	

	1:30 – 4:45 PM	<p><b><u>ENGAGING:</u></b></p> <ul style="list-style-type: none"> <li>• <b>Enrollment:</b> Student enrollment continues to decline at some TCUs, with new and younger students, TCUs are experiencing new stresses. In this session, TCUs will share strategies, challenges, and opportunities, which will help further refine the AIHEC Plan.</li> </ul> <p><b><u>INNOVATING:</u></b></p> <ul style="list-style-type: none"> <li>• <b>Budgeting for the Future:</b> Overview of the AIHEC budget and sources of income as an exclusive member-based organization, transitioning into a discussion of strategies for sustaining AIHEC into the future as we work to achieve our <i>Vision for the Movement</i>.</li> </ul> <p><b><u>EDUCATING:</u></b></p> <ul style="list-style-type: none"> <li>• <b>Advocacy:</b> Overview and discussion of potential amendments to sustain the TCCU Act and strengthen the Higher Education Act and other legislation impacting TCUs, in preparation for the upcoming presidential election and the 115<sup>th</sup> Congress.</li> </ul>	
THURSDAY JULY 14	8:00 AM – 12:00 PM	AIHEC BOARD OF DIRECTORS MEETING	Marco Polo Ballroom (3 <sup>rd</sup> Floor)
	1:00-4:00 PM	<p><b><u>JOINT MEETING:</u></b> AIHEC and A*CF Boards of Directors</p>	
	5:00 PM – 7:00 PM (4:30 PM FOR BUS)	<p><b><u>RECEPTION:</u></b> American Indian College Fund Headquarters <i>(Meet in hotel lobby by <b>4:30 p.m.</b> for bus to A*CF)</i></p>	8333 Greenwood Blvd.
<b>FRIDAY JULY 15—TRAVEL DAY</b>			

## **MICHAEL J. YELLOW BIRD, PH.D.**

Professor of Sociology  
Director, Indigenous Tribal Studies  
North Dakota State University



Dr. Michael Yellow Bird is a citizen of the Three Affiliated Tribes, (Mandan, Hidatsa, and Arikara). He joined the North Dakota State University faculty in the fall of 2014. He has held faculty and/or academic administrative appointments at the University of British Columbia, University of Kansas, Arizona State University, and Humboldt State University. He is Professor and Director of the Tribal Indigenous Studies program at NDSU.

His teaching, writing, research, and community work focus on Indigenous Peoples' health, leadership, and cultural rights; the effects of colonization and methods of decolonization; decolonizing social work approaches; decolonizing war and military service; neurodecolonization and mind body approaches; neuroscience and Indigenous Peoples; traditional mindfulness and contemplative practices; ancestral and paleo eating and lifestyle; and the Rights of Mother Earth.

Dr. Yellow Bird earned a bachelor's degree from the University of North Dakota; a Master's degree in Social Work from University of Wisconsin-Milwaukee and a Ph.D. in Social Welfare from the University of Wisconsin-Madison.

### **Selected Publications:**

#### **Books:**

Gray, M., Coates, J., Yellow Bird, M., and Hetherington, T. (2013) (Eds.). *Decolonizing Social Work*. Ashgate Publishing.

Waziyatawin and Michael Yellow Bird. (2012) (Eds.). *For Indigenous Minds Only: A Decolonization Handbook*. School of American Research. Santa Fe, NM: Santa Fe Press.

Gray, M., Coates, J., and Yellow Bird, M. (2008) (Eds.). *Indigenous Social work Around the World: Towards Culturally Relevant Education and Practice*. Ashgate Publishing.

Angela Wilson and Michael Yellow Bird. (2005). (Eds). *For Indigenous Eyes Only: A Decolonization Handbook*. School of American Research. Santa Fe Press. (Finalist for the New Mexico best book on Native American subject, October, 2007).

### **Sample of Writings:**

Yellow Bird, M. (September 4 – 7, 2014). Decolonizing Indigenous Peoples' Trauma, Addiction, and Social Change. The John Van Duzer Auditorium. Humboldt State University, Arcata, California.

Yellow Bird, M. (2013). Preface. United Nations Declaration on the Rights of Indigenous Peoples through Indigenous eyes. In Mel Gray, John Coates, Michael Yellow Bird, and Tiani Hetherington (Eds), *Decolonizing Social Work*. Burlington, VT: Ashgate Publishing.

Yellow Bird, M. (2013). Neurodecolonization: Applying Mindfulness Research to Decolonizing Social Work. In Mel Gray, John Coates, Michael Yellow Bird, and Tiani Hetherington (Eds.). *Decolonizing Social Work*. Burlington, VT: Ashgate Publishing.

Yellow Bird, M (2013). Returning to a Paleo Native Peoples' Lifestyle to Cure the Diseases of the Standard American Colonized Diet. *Minding the Indigenous Mind*. MHA Times. Three Affiliated Tribes. New Town, ND.

Yellow Bird, M. (October 5, 2012). *Decolonizing Settler Colonial Views of Indigenous Peoples' Suicide*. Walking in Balance in Indian Country conference. Blue Lake Hotel and Casino. Blue Lake, California.

Yellow Bird, M. (2012). The Importance of Decolonizing Your Mind To Understand and Embrace Your Tribal Identity. A Presentation to Indigenous Youth. Arcata Hotel, Arcata California

Yellow Bird, M. (2012). A BROWN PAPER on the Iraq War and the Resurrection of Traditional Principles of Just War. In Waziyatawin and Michael Yellow Bird (Eds.). *For Indigenous Minds Only: A Decolonization Handbook*. School of American Research. Santa Fe, MN: SAR Press.

Johnson, J., & Yellow Bird. (2011). *Indigenous Peoples and Cultural Survival*. In Lynne M. Healy and Rosemary Link (Eds.), *Handbook of International Social Work*. New York, NY: Oxford Press.

Kurtis, T., Adams, G., & Yellow Bird, M. (2010). Generosity or Genocide? Identity Implications of Silence in American Thanksgiving Commemorations. In Monisha Pasupathi and Kate C. McLean (Eds.). *Silence and Memory*. Psychology Press.

Yellow Bird, M. (2009). What is the Highest Form of Patriotism? I Say Acknowledging our Addiction to War. *Canadian Review of American Studies*, Volume 39, Number 3, 2009, pp. 343-360

Yellow Bird, M. (2008). The Future of American Indian Studies in the time of Global Warming. *Wicazo Sa Review*, 23, (2) 91-101.

Yellow Bird, M. Decolonizing Tribal Enrollment (pp. 179-188). In Waziyatawin Angela Wilson and Michael Yellow Bird. (2005). (Eds). *For Indigenous Eyes Only: A Decolonization Handbook*. School of American Research Press. Santa Fe, NM.

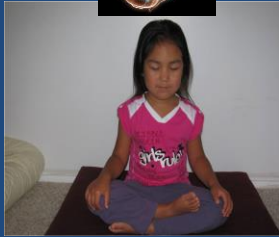
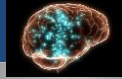
Yellow Bird, M. (Fall, 2004). Cowboys and Indians: Toys of Genocide, Icons of American Colonialism. *Wicazo Sa Review*, 19, no

### Decolonizing The Mind: Using Mindfulness Research and Traditional Indigenous Ceremonies to Delete the Neural Networks of Colonialism

AIHEC Board of Directors Meeting  
Summer 2016  
The Curtis Hotel  
Denver, CO

July 12, 2016

MICHAEL YELLOW BIRD, MSW, PHD  
PROFESSOR, SOCIOLOGY AND  
ANTHROPOLOGY  
DIRECTOR, TRIBAL AND INDIGENOUS  
PEOPLES STUDIES



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### Presentation

- Define Mindfulness
- Purpose of Mindfulness
- Mindfulness Practice: Mountain
- Trauma, Stress, Adverse Experiences in the Brain
- Mindfulness
  - Neurobiology and Benefits
  - Breath Awareness Exercise
- Decolonization
  - Neurodecolonization
  - Traditional Contemplative Practices



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### Key Points of Workshop

- 1) Neuroscience research confirms that mindfulness practices can positively change our brain's structure and function.
- 2) Mindfulness practices improve awareness and concentration; ease the effects of trauma; raise optimism and fortify emotional self-regulation; create a sense of calm; increase resilience; and reduce conflict.
- 3) Mindfulness practices are easy to implement into school curriculum; the cost of implementation low; they are culturally neutral; and the evidence-base shows that they work to improve health and well being.
- 4) Mindfulness practices are an essential part of traditional tribal practices, behaviors, ceremonies.



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Potential:

“Every single person has within an ocean of pure vibrant consciousness. Every single human being can experience that — infinite intelligence, infinite creativity, infinite happiness, infinite energy, infinite dynamic peace.”

David Lynch



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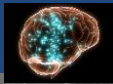
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Mindfulness Defined

**Mindfulness:** Being deeply aware of what is happening from moment to moment outside and inside us, without judging or attaching to the content, feelings, and emotions that arise.



It refers to living deeply and richly in the present moment and not responding to life in a distracted and mechanical manner

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Have a purpose

“I am meditating in order to generate in my mind more positive energy, and to decrease the negative energy for the benefit for myself and all others.”



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Mindfulness training in MSW program  
Humboldt State University, 2010-2011



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Mindfulness at Fort Lewis College,  
Durango, Colorado, March 2016



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Mindfulness at North Dakota State  
University, Fargo, ND, April 2016



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Mindfulness at the Yellow Bird House,  
Arcata, California, 2012



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Arundhati and Solana,  
Arcata, California, 2013



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Arundhati Yellow Bird Practicing Mindfulness  
Meditation, Fargo, ND, Summer 2015



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## Mindfulness Practice

Mountain  
Mindfulness  
Meditation  
Exercise



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## Trauma, Stress, Adverse Experiences



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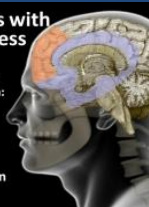
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### Brain Changes with Traumatic Stress

- Reduced volumes and cell damage in:
  - Hippocampus
  - Prefrontal cortex
- Same pattern of brain damage is seen in Depression



The brain that does not bounce back from the trauma, stress, or adverse experiences can trigger a “hardwiring” of anxiety, fear, trauma, hopelessness, and disorganization.

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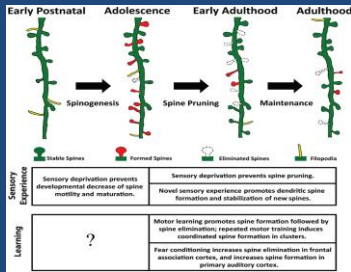
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### Stress and the Brain

Chronic stress chemicals floods the brain with an enzyme (protein kinase C) that breaks down delicate the dendritic spines of the neurons in the prefrontal cortex (Dendritic spines are associated with memory and learning).

They can repair when stress is eliminated




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### Healthy Brain Chemistry




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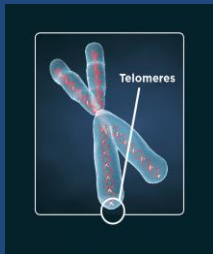
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### Stress, Depression, and Telomeres

Ruth Buczynski, PhD, 2015, NICABM

In one study, "Middle-aged people who were physically active not only had higher aerobic capacities, but also longer telomeres than those who were sedentary. They had telomere lengths that were similar to people much younger than they were."

In another study, "Telomere lengths were shortest for both depressed and healthy participants who were showing chronic stress. Many of the depressed participants exhibited disturbed cortisol regulation, which may explain why they had a higher overall probability of having shorter telomere lengths." (Norrbäck, et al., 2015).




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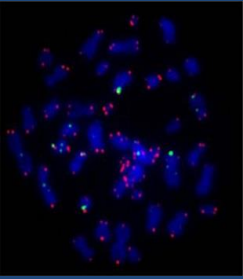
### Telomeres Show Signs of Early-Life Stress

Shaikh-Lesko, New Scientist, April 7, 2014

"Telomere length in children is associated with a stressful home environment, and genes that encode certain neurotransmitters may heighten the effect of that stress."

In a study of family stability, "Children living in the most stressful environments had telomeres that were on average 40 percent shorter than those of the children studied who were living in the most nurturing settings."

Daniel Notterman, Penn State, 2007.




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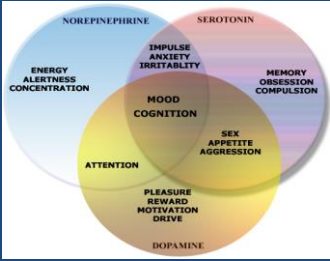
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### Chronic Stress and the Brain

Chronic stress distorts key brain chemicals: serotonin (sleep), dopamine (pleasure), and noradrenaline (energy levels).




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### Fearful 'Memories' Passed Between Generations Through Genetic Code.

An Important study suggests traumatic events that happen to a parent could be passed down through their genes onto their children. *Epigenetics*: suggests that this inheritance changes the way our genes express.

"Parental olfactory experience influences and neural structure in subsequent generations"

(Nature Neuroscience, 2013)



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### Mother may pass daughters a brain wired for depression

"Mother may pass on vulnerability to depression in much the same way they give their daughters green eyes or curly hair – girls might inherit a brain structure that's predisposed to mood disorders, a small US study suggests" (Reuters, February 18, 2016)

<http://www.reuters.com/article/us-health-neuroscience-mothers-depressio-idUSKCN0VR2WN>

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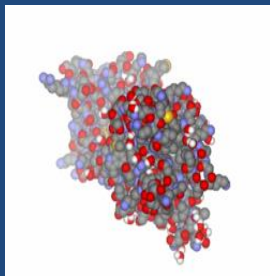
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### The Bullied Brain: Brain-Derived Neurotrophic Factor

6). BDNF is part of a cascade of proteins, produced in the brain that promotes neuron growth and stops neurons from dying.



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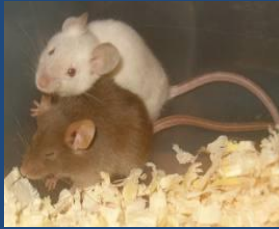
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### The Costs of Bullying in the Brain: Bully Mice

Bigger, aggressive white mice bullied smaller brown mice created social stress for smaller brown mice. The prolonged stress of being bullied created an increase of BDNF in the brain.



This activated genes in the front part of the brain which produced high levels of social anxiety, withdrawal, depression.

(University of Texas, Southwestern Medical Center, 2006)

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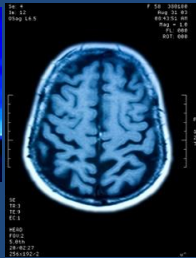
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### The Neurobiology of Mindfulness

The neuroscientific investigation of mindfulness focuses on the neural systems that are utilized to achieve meditative states and to determine the effects that regular practice of mindfulness has on brain structure.

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### Breath Awareness

**Purpose:** "I am meditating in order to generate in my mind more positive energy, and to decrease the negative energy for the benefit for myself and all others."

**Set One:**  
"Breathing in, I calm body and mind."  
"Breathing out, I let go."



**Set Two:**  
Breathing in, "Dwelling in the present moment."  
Breathing out, "This is the only moment."

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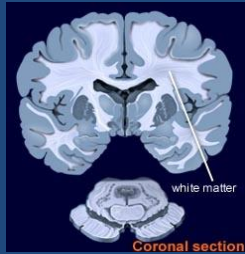
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## Changes happen Fast: 11 Hours of mindfulness training

After only 11 hours of practice (30 minute sessions) positive structural changes took place in the white matter of the brain, which boosted brain connectivity  
 (Posner, et al, 2010)




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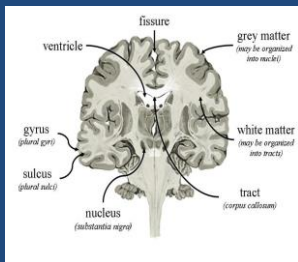
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## Significant, Lasting Changes in 8 Weeks

45 minutes of practice per day for 8 weeks changes brain structures associated with memory, sense of self, empathy, and stress (Sarah Lazar, et al, 2011)  
 Reduction in Stress – decreased gray matter in amygdala




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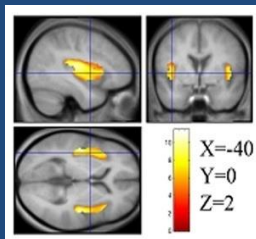
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## Mindfulness mediates conflict

Conflict-related Insula:

Mindfulness meditation activates the "insula, which is associated with interoception, the sum of visceral and "gut" feelings that we experience at any given moment,

Is a key region involved in processing transient bodily sensations, thereby contributing to our experience of "selfness"




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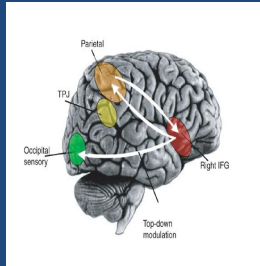
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## Mindfulness increases Emotional Intelligence

The temporal parietal junction becomes activated during meditation.

This area is associated with the ability to perceive the emotional and mental state of others.

This brain area is more active in meditators than non-meditators, even when they are not meditating.




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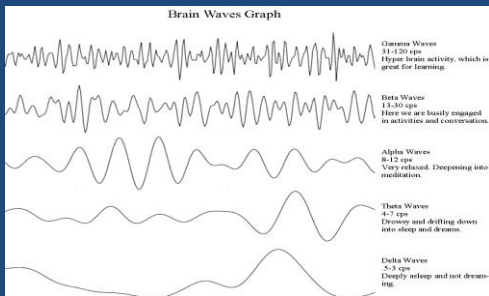
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## Mindfulness Improves Brain Waves




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## Mindfulness improves Brain Waves

### EEG Studies of Meditative States:

Long-term meditators have higher levels of alpha and theta band activity which is associated with sleep and rest

(Aftanas & Golosheikine, 2005; Andresen, 2000; J.M Davidson, 1976; Delmonte, 1984)

Meditation practices that emphasize deep physical relaxation are more likely to produce higher theta and delta activity (deep sleep); practices that focus on intensive concentration will have higher alpha and beta power (Didonna, 2009, p. 49)




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## Mindfulness Improves Brain Waves

Lutz et al, 2004 found that the ratio of gamma wave, as opposed to slow oscillatory activity was higher for Tibetan Buddhist monks than for controls during a resting baseline. When the subjects began a loving-kindness meditation the difference increased significantly.

Gamma waves are a pattern of brain waves associated with perception and neural consciousness. Long-term meditators have the ability to put the brain into a state in which it is maximally sensitive and consumes power at a lower (or even zero) rate.

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## Benefits of Mindfulness:

Reducing stress, healing physical disease, improving mood disorders and behavior, eliminating addictions, and enhancing learning capacities (Baer, 2003; Rystak, 2003; Howard, 2006; Begley, 2007; Doidge, 2007; Williams, Teasdale, Segal, & Kabat-Zinn, 2007;).



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## Effectiveness of Mindfulness

The effectiveness of mindfulness has groups as diverse as Fortune 500 companies, the U.S. Marines, Police, and Adult and juvenile prisons offering formal mindfulness instruction to members of their organizations.



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### Benefits of Mindfulness

Mindfulness training has been successfully used to resolve anxiety, depression, obsessive compulsive disorders, and the Post-traumatic Stress Disorder (PTSD) of military veteran's and survivors of violence.



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### Benefits of Mindfulness

Elementary and high schools students who learn these techniques report improvements in their concentration, focus, awareness, relaxation, self-management, memory, self-esteem, vitality, positive affectivity, optimism, and self-actualization (Brown and Ryan, 2003).



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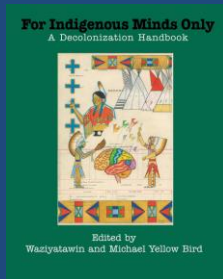
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### Decolonization



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### Theory and Practice of Decolonization



**Decolonization theory:** Colonization is traumatic. Overcoming colonization creates greater well being among Indigenous Peoples

**Decolonization Practice:** includes privileging and engaging in Indigenous philosophies, beliefs, practices, and values that counter colonialism and restore well being

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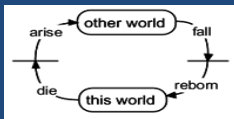
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### What is Decolonization?



- “...the **restoration** of cultural practices, thinking, beliefs, and values that were taken away or abandoned (during colonization) but are relevant and necessary for survival and well being.
- It is the **birth** and use of new ideas, thinking, technologies and lifestyles that contribute to the advancement and empowerment of Indigenous Peoples.”

© [Source: Yellow Bird, 2008, Indigenous Social Work, 2008, Ashgate Press]

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### Decolonizing Methodologies

#### Neurodecolonization

“Your worst enemy cannot harm you as much as your own thoughts, unguarded. But once mastered, no one can help you as much, not even your father or your mother.” - Buddha

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### Neurodecolonization

Refers to all the ways of understanding how our brains, genetics, and immune systems work when under the stresses of colonialism and during optimal decolonization processes.




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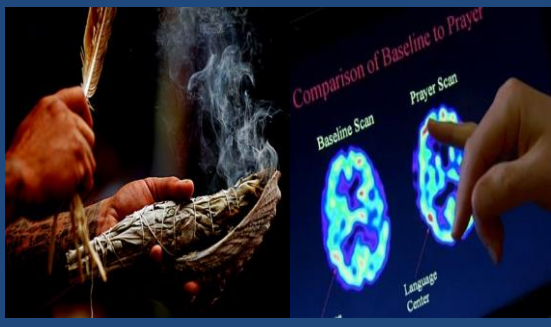
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### Neurodecolonization (Traditional ceremonies to train the mind and change the brain's capacity to heal from the trauma of colonialism)




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### The Brain on Ceremony




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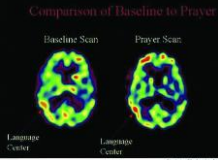
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**Traditional Indigenous contemplative/mindfulness practices can heal the effects of Colonialism**



**Arikara Engaged in Ceremonial Mindfulness in Traditional Earth lodge**

Comparison of Baseline to Prayer



Baseline Scan    Prayer Scan

Limbic Cortex    Limbic Cortex

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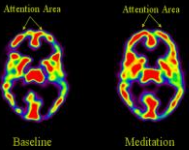
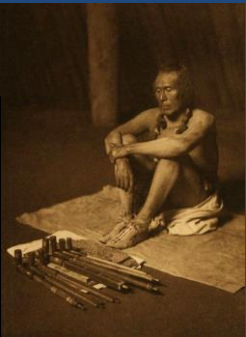
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**Neurodecolonization: Sacred Object Meditation**

Arikara brain on happiness, joy, optimism, feelings of well being

SPECT Images at Baseline and During Meditation



Attention Area    Attention Area

Baseline    Meditation

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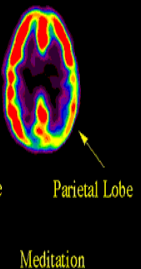
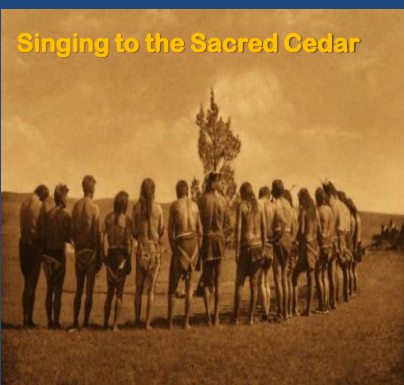
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**Singing to the Sacred Cedar and During Meditation**



Parietal Lobe

Meditation

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### Ojibwe Snowshoe Dance

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# NEURODECOLONIZATION

## USING MINDFULNESS PRACTICES TO DELETE THE NEURAL NETWORKS OF COLONIALISM

*Michael Yellow Bird*

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### **A. Introduction and Background**

### **B. A Special Note on Negativity**

### **C. Sitting Mindfulness Practice**

### **D. Neurodecolonization Defined**

### **E. What is Mindfulness?**

### **F. My Use of Mindfulness as a Neurodecolonization Tool**

### **G. Neurobiology of Mindfulness (and Decolonization)**

### **H. An Indigenous Peoples' Neurodecolonization Policy**

### **I. Resources**

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### **A. Introduction and Background**

This chapter\* focuses on a new mind brain science called *neurodecolonization*, which refers to how the human brain (figure 4.1) functions in a colonial situation and how specific mind and brain activities can change important neural networks to enable a person to overcome the myriad effects of colonialism. The *mind* can be thought of as our perceptions, higher order thinking, and consciousness. Our *brain* is the physical organ that changes its structure and function according to the needs of our mind.

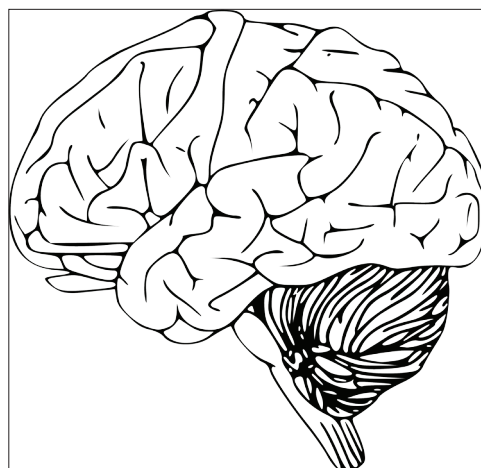


Figure 4.1 The Human Brain

\*Another version of this article will be published in the forthcoming book, *Decolonizing Social Work*, Burlington, VT: Ashgate Press.

Neurodecolonization advocates that Indigenous Peoples engage in mainstream, secular, contemplative practices such as mindfulness, as well as their own contemplative practices that may be traditional, contemporary, secular or sacred. Although there are a number of important mind brain strategies that can change our brains, this chapter focuses on mindfulness meditation practices since they are (1) easy to implement; (2) low to no cost to undertake; (3) culturally appropriate and in line with many contemplative practices of Indigenous Peoples; and (4) proven to be highly effective in changing the mind and brain in profound and positive ways. In the activity sections, this chapter asks the reader to investigate and discuss with others which traditional contemplative practices of their community might be used to decolonize the mind and brain from their unhealthy attachments and experiences. You can even make a list that you think distinguishes colonized behaviors, thinking, and feelings from those that you consider to be decolonized.

In the introduction of this book we state that in order for decolonization to be successful it must begin in our minds. We believe that creative, healthy, decolonized thinking, actions, and feelings, positively shape and empower important neural circuits in our brain, which in turn provide us with the personal resources, strengths, talents, and abilities we need to overcome the oppressions of colonialism. We believe that a healthy, well-balanced mind and brain are essential to helping one to engage in proactive, creative, and successful decolonization activities. On the other hand, we are convinced that unconstructive, negative thinking, feelings, and behaviors dampen and short circuit our brain's creativity and optimism networks, and increase our susceptibility to the many stresses that arise in everyday life; we believe that these "regular" stressors are made even worse by the additional traumas of colonialism.

We are not alone in our position. A large body of neuroscience research shows that our brains have the capacity to change throughout our lives based on our experiences. Science writer Sharon Begley says that how our brain changes depends on how we train our minds to engage the world. Our brain's capacity to

change to accommodate our wishes and experiences is referred to as *neuroplasticity*, which is discussed later on in this chapter. For now, just remember that the science shows that when we engage in healthy, constructive thinking, feelings, and behaviors, our brains (and our lives) change for the better. Many sophisticated brain imaging studies show that neural circuits associated with well-being and other positive attributes become activated and strengthened when we purposely engage in positive thinking and behaviors. The longer, more frequently, creatively, and intensely we engage in these constructive activities, the stronger and more capable these neural networks become.

Of course the reverse is also true. A life that is filled with negativity, stress, and destructiveness actually damages our brains and bodies and ushers in greater levels of mental and physical suffering and dissatisfaction. And, as we remain in the states of negativity and engage in faulty thinking, feeling, and behavior, we strengthen our brain's neural circuits of despair, fear, anger, and helplessness. Norman Doidge, neuroscientist and author of the bestselling book, *The Brain That Changes Itself: Stories of Personal Triumph from the Frontiers of Brain Science*, refers to our brain's ability to stubbornly retain and display our bad habits and disorders as the "plasticity paradox."

This chapter begins with a short discussion on negativity and how the human brain is strongly wired for this emotion. I am initiating this dialogue because many of us may mistake our negativity as only a product of colonialism, which I believe gives colonialism too much credit and power. In the next section I share a mindfulness practice exercise and allow you to process your experience by contemplating some questions that I ask. Following this, I provide a definition and discussion of neurodecolonization and share a mindfulness neurodecolonization exercise. In the next two sections I discuss what mindfulness is, the neurobiology of mindfulness (what happens to your brain when you meditate), and how I have used mindfulness practices as a neurodecolonization tool. I explain what this means for your well-being and how it contributes to decolonization, and end the chapter by providing some suggestions for an Indigenous Peoples' mind

brain policy. Throughout this chapter I include mindfulness exercises that can be practiced and discussed in terms of their relevance for personal and community decolonization.

## B. A Special Note on Negativity

It does not take colonialism to create feelings of deep negativity in us. The oppressions from colonialism certainly make our negativity much worse, but from our traditional trickster stories that long preceded European and American colonialism, many of us realize that we humans can be a fairly egotistical and negative species. The importance of understanding the risks of negativity and an overinflated ego are undoubtedly one of the many reasons that our ancestors urged us to practice deep introspection and humility in our daily lives. We are also an optimistic species, but as the brain science will show later in this chapter, the *compassionate feelings* and *self-awareness* (both situated in a younger part of the brain) that we need in order to graciously interact with others, can be easily overridden by *negative feelings* and *aggressions* (situated in the oldest part of the brain). In order to successfully decolonize our harmful, obstructive emotions, thoughts, and behaviors, we must understand this imbalance and have the courage to confront it.

From neuroscience studies we know that the human brain is wired for negativity. While we humans do display many acts of compassion and respect toward the people and other beings that we have come to trust and love, in most cases we are much more likely to take the low road of negativity when we get annoyed or upset. In the book, *Buddha's Brain: The practical neuroscience of happiness, love, and wisdom*, Rick Hanson, PhD, and Richard Mendius, MD, discuss the human brain, its functions, and its evolutionary history. While they delve into the many beautiful attributes of our brains, they are quick to conclude that we are programmed for negativity, which is a bit depressing. Oops, there goes my negativity.

Still, there is strength in our brain's negativity. According to Hanson and Mendius, without it, it would be difficult for our species to survive. For instance, imagine one of our ancient ancestors hiking

home along a riverbank after a long visit with relatives downstream. After many miles and hours of not eating, she or he suddenly comes upon a bush that is loaded with bright, beautiful, plump berries, which have never been seen before. Two alarms in the brain go off. The first is "Wow!" "Food!" The second is more measured, thoughtful, and pessimistic: "*Hmmmm*. They look tasty but what if they're poison? Better to wait and eat when I get home. In the second scenario, negativity certainly becomes beneficial if, in fact, the berries are poison: disaster averted. I often think about our negative brain bias as functioning like an on and off switch that is mostly turned on, or easily flipped to the on position (in other words, usually negative).

While negativity resides in our feelings and behaviors it is most abundant in our thoughts. For instance, according to Charlie Greer of the US National Science Foundation (NSF), it is estimated that we humans have 12,000 to 50,000 thoughts a day; some folks may have as many as 60,000. It is also estimated that up to 80 percent of those thoughts are negative—some of them little irritants like "I don't like mom's fry bread, grandma's is better," or "geeze that jingle dress looks pretty tight on her!," or "I don't like the color of the paint on my bedroom walls," or "I don't like how his cologne smells," or "I don't like how my teenager wears his pants." As you can see these "little" negatives can add up very quickly.

On the flip side, negative thoughts can be horrifying beyond belief. A person can have sustained, intense traumas creating the belief that he or she may have contracted a deadly illness, or that the world is going to end in a fireball of destruction in the year 2012, or after death she or he will be doomed to spending an eternal afterlife in extreme heat, pain, and suffering, while shoveling coal without any breaks for a cool drink of water. These last examples, in my opinion, represent the times when negativity crosses over to become a liability, a burden, and unhealthy since the brain has wandered into an imagined future that may never be. This kind of flawed thinking is regarded as *cognitive bias*, which refers to our patterns of perceptual distortions, inaccurate judgment, and irrationality. How often do

you find yourself in the loops of negative thinking and cognitive bias?

In a 2003 article “Why We Love Bad News,” published in the magazine *Psychology Today*, the negativity bias is discussed through the research of Dr. John T. Cacioppo, a distinguished professor and the director of the Center for Cognitive and Social Neuroscience at the University of Chicago. Dr. Cacioppo used sophisticated imaging technology to show that the brain reacts more strongly to stimuli that is considered negative. His studies show that there is a greater surge in electrical activity when one is exposed to what is perceived as negative versus what is considered to be positive or neutral. In other words, our views are much more likely to be shaped by pessimistic news than positive news.

The last bit of information that is important for us to know about our negative brain bias is that it has been around for hundreds of millions of years. Evolutionary brain biologists refer the oldest part of our brain as the *hind brain* or *reptilian brain*, which we share in common with all other species that have a backbone. So, our ancestors were right—we are related to all life.

Our reptilian brain is on duty 24/7 and is in charge of our survival. It controls our body functions such as breathing, heart rate, balance, and body temperature, which are essential to life.

This part of the brain is regarded as being reliable but rigid and compulsive. It is most often associated with what some neuroscientists refer to the five F’s: fighting, feeding, fearing, fleeing, and fornicating. Defending territory, ideas, beliefs, and your girlfriend or boyfriend, husband or wife, from other suitors using aggression, is a key function of this part of the brain. In other words, “might is right!” Sexual behavior is instinctive, responses are automatic, our emotions are more stimulated, and negativity and anxiety flow easily.

When our reptilian brain is in charge, which is a good part of the time for most of us, it is much harder to access the neural networks in our brains that are in charge of compassion, self-awareness, and emotional intelligence. This is also true for the part of the brain

that is referred to as the limbic system, which I will discuss later on. In the book, *How God Changes Your Brain: Breakthrough Findings from a Leading Neuroscientist*, authors Andrew Newberg and Mark Robert Waldman tell us that the *anterior cingulate* is a special part of our brain that is involved with some of our deepest levels of humanity. For instance, our compassion, social awareness, and ability to recognize the feelings of others (emotional intelligence) is located here. This region of our brain is associated with our ability to decrease our propensity to express and react with anger and fear. It is where our deepest feelings of love reside.

Newberg and Waldman are quick to point out that the neurons in this area are very vulnerable to being overridden by our reptilian or limbic part of our brain, which has been around much longer. In their view, we are much more likely to engage in fighting, aggression, anger, and fear than we are in acts of love, compassion, generosity, and acceptance. Newberg and Waldman report that the neurons in the anterior cingulate have only been around for about fifteen million years, while the “amygdala” (responsible for generating fear and aggression) in the reptilian part of the brain has been around for four hundred and fifty million years. In terms of strength of influence on our behavior and attitudes, the reptilian brain is thirty times older (and stronger) than the compassionate, empathetic, socially aware anterior cingulate part of the brain.

There are many ways out of our negativity brain bias. Some of them are as old as Indigenous culture itself: practicing positive thinking, speech, actions, and feelings; engaging in mindfulness meditation; stopping ourselves from ruminating on the hurtful past and uncertain future (this is where the constant thinking about and discussions of *historical trauma*, without effective neurodecolonization strategies, has, in my opinion, become a liability for decolonization); and finally, engagement in contemplative prayer that is personally loving and extends love to all creatures and sentient beings on the planet.

But be careful how and to whom you pray. According to Newberg and Waldman, prayer that centers on the fear of retribution and punishment

from a critical, “I’m going to get you my pretty (and your little dog Toto),” or “fire and brimstone” kind of God, activates the neural circuits of fear and negativity

in the reptilian brain, blocking access to the compassion, love, and acceptance that resides in the anterior cingulate.

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## **ACTIVITY:**

**What things or experiences do you feel contribute to your negativity? How much (what percent) of your thinking do you feel is negative and positive? When is negativity helpful or unhelpful? What traditional practices does your community turn to, to reverse the negativity of individuals or the community?**

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### **C. Sitting Mindfulness Practice**

My oldest daughter, Arundhati (figure 4.2), was two and a half years old when her mother took this picture. She is now nearly five years old at the writing of this chapter. Since she was about a year and a half, she has been engaging in mindfulness meditation practices. I understand the neurobiology behind her meditation and how good it is for her brain and well-being; so I have persisted in making sure that she practices every day.

**“Every single person has within, an ocean of pure vibrant consciousness. Every single human being can experience that— infinite intelligence, infinite creativity, infinite happiness, infinite energy, infinite dynamic peace.”**

**—David Lynch, interview, *The New York Times***

*Neurodecolonization* 61



Figure 4.2 Arundhati Yellow Bird, two and a half years old, practicing mindfulness. Photo from author's collection.

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## ACTIVITY:

**Here is a mindfulness practice that you can try at home. This is an exercise that we do at home each morning. At the end of the practice write down what this experience was like.**

1. What you need: stop watch with a timer, ten minutes to do this exercise, and read each point completely before attempting. As you work on this practice you can gradually increase the number of minutes.
2. Find a quiet place.
3. Get into a comfortable position sitting in chair or cross-legged on the floor. If you choose the floor you can sit on a pillow or a cushion to help support you and to reduce the strain on your knees.
4. As you get into your sitting position make sure that you keep your back straight but relaxed and your neck aligned with your spine. If you choose to sit in a chair try sitting away from the backrest.
5. Make sure that both feet are resting at on the floor. Relax your shoulders and put your hands, palms down, on the top of your legs if you are sitting on a chair. If you are sitting on the floor rest your hands on your lap. One hand can rest inside the other, with palms facing upward, fingers slightly and gently curled up, and thumbs lightly touching.

6. Take a deep breath and settle into a relaxed, balanced position that feels grounded and calm. Relax your jaws and allow the tip of your tongue to be in light contact with the back of your top teeth.
7. Close your eyes and bring your attention to calming your breathing. Settle into your breath but do not force it. Just allow it to be as natural as possible. Allow yourself to experience what this natural, relaxed breathing feels like for a bit. When you are ready, gently shift your attention away from the sensations of your breathing and imagine your breath as it leaves your nostrils and returns to you in the form of new, fresh air. What does it look like? Is it soft or hard? Is it a different color when you breathe in and breathe out? Spend a moment to see if you can see a picture of what your breath looks like.
8. When you are ready, see if you can feel any difference in the temperature of your breath as it leaves your nose and as it comes back in. Does it feel slightly warmer when it leaves your nose because it has been warmed by your body? Does it feel a bit cooler as it enters the tips of your nostrils? Again, allow yourself to experience this for a bit.
9. If any thoughts come up that distract you away from observing your breath, that's fine. Regard them as teachers of what you are or have experienced. Observe their content and how they make you feel, but do not get attached to them or judge them. Just allow them to be and then simply return to your breathing as soon as you remember to do so. Gently remind yourself to connect a bit more deeply with being aware of your breath after you have let go of each distraction. It is important not to get frustrated or judge yourself when you get distracted. Just stay relaxed and continue to return to your breathing, remembering that it is your anchor.
10. When you are ready, gently open your eyes and continue to let your breathing be relaxed and natural. Take a deep, cleansing breath and observe how you feel and what your surroundings look like. Write down what this experience was like. Was it pleasant, difficult or relaxing? In what ways? What was happening in your mind or body? Can you say what thoughts, feelings, and beliefs might have come up that are related to having a colonized mind? For instance, colonial society may have imposed the beliefs in you that your Indigenous culture, language or beliefs are inferior.

**“What you think you  
become.”  
—Buddha**

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### D. Neurodecolonization Defined

Neurodecolonization involves understanding how the mind and brain function and are shaped by the stresses of colonialism. Some stressors include, but are certainly not limited to: racism and hate crimes; loss of territories, culture, and pride; high levels of mortality, poverty, and poor health; and disregard of Indigenous Peoples' sovereignty and rights. Neurodecolonization concerns the deliberate and systematic use of particular exercises and activities that can be used to transform one's mind and brain structures and functions to attain the highest levels of performance and well-being. Neuroscience research shows that deep reflective prayer and sacred ceremonies and practices; positive thinking and concentration exercises; and using visualization or creative imagery and meditation

are just a few on a long list of practices that can create positive changes in our brains.

The goal of neurodecolonization is to delete old, ineffective brain networks that support destructive thoughts, feelings, memories, and behaviors; not only those that occur for most people, but also those that are intimately connected to the past and contemporary oppressions associated with colonialism. For instance, a past colonialism that may create negativity, sadness, and anger in us (and activate our brains' networks of feelings of helplessness) might be our memories of our parents' or grandparents' awful treatment in Indian boarding or residential schools. A current colonialism that may activate our neural networks of intense emotions and boiling anger might be someone calling us a racist name such as a "*squaw*" or "*redskin*."

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### ACTIVITY:

**Make a list of as many other stressors that you can think of and how you think they affect the feelings, beliefs, and behaviors of Indigenous Peoples.**

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The goal of neurodecolonization is also to encourage the growth of new beneficial brain networks that enable us to engage in a level of optimistic thinking that permits us to believe that we can overcome the oppression of colonialism, develop the courage to confront it, and cultivate the creativity we need to use novel, effective approaches to change it. Neurodecolonization does not say that we should not think or have intense feelings about the past or present events of colonialism. It merely informs us that we can change the way we think, feel, and behave; and that when we do spend time thinking, feeling, and reacting to the events in unproductive ways there are consequences: we actually strengthen the unproductive neural networks and become even more proficient at being an angry, depressed, and frustrated victim. Indeed, as grandma and the Buddha have both said, “Be careful how you think and what you think about because you will become what you think!”

The neurodecolonization framework has been influenced by many recent discoveries in the neurosciences that demonstrate the powerful role that the mind and brain can play in improving one’s health, performance, and well-being. Powerful brain imaging technologies have led the way, enabling us to see what happens to the brain when it is given different tasks, senses different emotions, processes different experiences, makes decisions, or is at rest. For instance, fMRI (functional magnetic resonance imaging) uses powerful magnets to record blood flow to functioning areas of the brain that become activated during different experiences, while EEG (electroencephalogram) tests can allow us to see electrical changes in the brain (as brain band waves) when the brain is engaged or at rest.

The first part of the term “*neuro*” (in neurodecolonization) refers to neurons, which are specialized cells in our nervous system (brain and spinal cord) that send and receive electric signals throughout our bodies. *Decolonization* refers to activities that weaken the effects of colonialism and create opportunities to promote traditional practices in present-day settings.

The neurons in our brains are responsible for organizing and processing our five senses, thoughts, moods, and emotions. Neurons assemble themselves into neural networks in our brains, which enable them to communicate and work together on a particular task. For instance, if we want to learn something new (creating a neurodecolonization meditation application for your iPhone that you listen to three times a day) or remembering something old (empowerment words from your Indigenous language that your grandmother taught you) we call upon our neurons to help us do so. There are about one hundred billion neurons in the brain and one hundred billion in the rest of the body constantly communicating and taking action or remaining in the state of readiness.

A healthy functioning mind and brain are the greatest assets we have to promote healthy, intelligent, and mindful decolonization processes. As internationally known clinical neuroscientist and best-selling author Daniel Amen, MD writes in his book, *Making a Good Brain Great*, our brains are involved all that we do. Dr. Amen says that our brain determines how effective we will be in our lives. When our brain works right we work right. On the other hand, when our brains are troubled we are much more likely to experience trouble in our lives. Numerous healthcare professionals, researchers, scientists, government and private organizations, and self-help specialists agree with Dr. Amen’s position, and many are advocating and implementing programs to improve the functioning of the brains of the populations they serve. In fact, changing the brain to make it more happy and healthy has become somewhat of a major for-profit industry. Bookstores, magazines, newspapers, newsletters, advertising signs, and internet websites, are flooded with the latest research (good and bad) of how one can change his or her brain to improve relationships, lose weight, develop washboard abs, improve memory, heal from trauma and other illnesses, sleep better, and (you guessed it) make lots of money from the abundant universe!

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## ACTIVITY:

### A Neurodecolonization Mindfulness Exercise

Think of an *experience, problem* or *emotion* that you can attribute to the effects of colonialism or that you feel has been made worse by colonialism. Do not pick something that will trigger excessive negative, sad emotions or recreate trauma. Pick something that you know that you want to work on. (As a refresher, think of colonialism as policies, practices, attitudes, beliefs, and values of a colonizing society that have been personally damaging).

Silently repeat the experience, problem or emotion to yourself as you sit quietly on the floor or in a chair. Make sure you keep your back straight but relaxed and your neck aligned with your spine. Close your eyes if you would like or you can keep them slightly opened as you focus on an area in front of you or on the floor. If you are sitting in a chair make sure that both feet are resting on the floor. Relax your shoulders and put your hands, palms down, on the top of your legs if you sitting on a chair. If you are sitting on the floor rest your hands on your lap. One hand can rest inside the other, with palms facing upward, fingers slightly and gently curled up, and thumbs lightly touching. When you are ready begin breathing in and out, silently repeating the twelve statements below. To begin with, spend about one minute on each (twelve minutes total). As you get better at it you can increase your time. (These exercises are adapted from Ken McLeod's "Seeing from the Inside" meditation):

Breathing in I feel this experience/problem/emotion

Breathing out I feel this emotion

Breathing in I feel my reactions to this experience

Breathing out I feel my reactions to this experience

Breathing in I am calm in this problem

Breathing out I am calm in this problem

Breathing in I understand how this emotion arises

Breathing out I understand how this emotion arises

Breathing in I creatively overcome this emotion

Breathing out I creatively overcome this emotion

Breathing in I see the fading of this problem

Breathing out I see the fading of this problem

**Overall, how do you feel after practicing these exercises? Were any parts easier or more difficult? Can you say why you may have reacted more or less to the different exercises? If you could choose to eliminate an experience, problem or emotion, which would it be?**

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### **E. What is Mindfulness?**

Mindfulness is an activity that is credited with helping to heal and improve our health, minds, brains, and bodies. The two exercises you have done so far are mindfulness practices. There is a large, and growing scientific literature that describes how the practices of mindfulness are being successfully used with a number of different populations to treat many medical and mental health conditions. Mindfulness practices are also used to help adults and children enhance their intelligence, self-esteem, life satisfaction, optimism, creativity, compassion, ability to focus and relax, and acceptance of where one is at in life. This last statement should not be thought of as being satisfied staying at where one is in life, especially if circumstances are difficult. Rather, it means that you are not spending your time wishing that things were different and despising where you are. It means that you learn to be okay where you are at the moment,

**“To the mind that is still, the whole universe surrenders.”**

**—Lao Tzu**

but understand that you have opportunities for growth that you can act on when you are ready.

Mindfulness is a very powerful tool for liberating the mind and brain from oppressive thinking, feelings, and actions. It is an ancient practice that engages the mind and brain to enter into states of deep, sustained wakefulness for the purpose of gaining greater awareness and insight in one’s life and reality. In mindfulness practice we do not judge any thoughts, feelings, or memories that arise, nor do we try to hold onto them or push them away; instead we work on being with them just as they are.

Mindfulness refers to being deeply aware of what is happening from moment to moment, outside and inside of us, without judging or attaching to the content, feelings, and emotions that arise. It refers to living deeply and richly in the present moment and not responding to life in a distracted and mechanical manner. For instance, when we eat mindfully we slow down the pace of our eating and become deeply aware

of the taste, texture, smell, hot or cold sensation of the food, and when we are full. When we eat mindlessly we miss most of these rich experiences with our food; many times we do not taste it and end up overeating or maybe eating something that is bad for us. After

mindless eating we often end up not feeling well. Mindless eating is one of the major reasons why there has been such meteoric rise in food-related obesity, hypertension, cancer, heart disease, and diabetes among Indigenous Peoples.

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## **ACTIVITY:**

**Mindful eating is an exercise that is a core practice in learning mindfulness. It can help you to build your mindfulness meditation skills and help you to eat a healthier diet. The following exercise to promote mindful eating is adapted from Thich Nhat Hahn's book, *Peace Is Every Step: The Path of Mindfulness in Everyday Life*. Make sure that you try this one in a quiet place, on your own.**

**Choose a time and place that promotes mindful eating. Try eating in a quiet, distraction-free environment. This means no eating in front of the television or reading while you eat. Your only task is to eat in an unrushed, deliberate manner.**

**Before you begin, look down at your food. Take in what it looks like, how it smells, and think about where it came from. Before you take a bite see if you can notice the urge to eat (e.g., your mouth watering, the feeling of hunger).**

**Put a bite in your mouth. Notice how the food feels in your mouth and what it tastes like. Before you swallow, notice the things that happen in your mouth when you put food in. Notice how you salivate, notice the urge to swallow, notice the sensation of chewing.**

**As you swallow your food, notice what that feels like. How does your stomach feel now that it is one bite closer to being full?**

**Repeat your mindful eating for each bite until your meal is finished. Try to decide when the meal is done based on the sensations in your body (e.g., the feeling of fullness in your belly, no more sensation of hunger) rather than on whether your plate is clean.**

**Write down what you noticed about this exercise. Was it difficult? Did your food taste any different? What was your brain saying to you?**

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Developing mindfulness involves systematic training and practice and is a process that takes place over time. Aside from mindful eating, mindfulness can be deepened through formal practices such as mindful sitting (meditation), walking, doing an exercise called the *body scan*, or almost any other activity that we are willing to bring the full scale of our focus and attention to. Mindfulness is a journey that is well worth the trip because it enables us to enter into states of deep awareness and understanding of our world and experiences; in doing so our lives become much richer, less fearful and angry, more vivid, creative, peaceful, and healed.

What is most exciting is that research shows that mindfulness practices profoundly and positively influence our biology and can significantly help improve your health and well-being. In the book, *Mindfulness-Based Treatment Approaches* (edited by psychology professor Ruth Baer), the contributors to this text share how depression, anxiety, eating disorders, chronic mental illness, cancer, chronic pain,

and violence have all been successfully treated using mindfulness treatment approaches. In a separate study, neuroscientists Richard Davidson and Jon Kabat-Zinn showed the positive effects that mindfulness practices have on the brain and immune system. Their research showed that mindfulness helps one to deal with difficult emotions under stress and supports and improves the function of the immune system. Kabat-Zinn was also involved in a study that showed that people with the skin disease psoriasis who were receiving ultraviolet light treatments cleared up their skin four times faster if they practiced mindfulness than a group that only received the light treatment.

Most non-Indigenous, western, mindfulness researchers and practitioners who write about mindfulness regard it as having its origins in eastern Buddhist meditation traditions, beginning with the enlightened being known as Buddha who lived more than 2,500 years ago. However, some argue that evidence from cave drawings suggest that ancient yogis in regions of what is now India and Nepal, may have been doing

**“Your worst enemy cannot harm you as much as your own unguarded thoughts. But once mastered no one can help you as much. Not even your own mother or father.”**  
—Buddha, from the *Dhammapada*

meditation and other mind body mindfulness practices a thousand years earlier. In other parts of the world, Indigenous Peoples have been engaged in practices that incorporated mind-body meditation and mindfulness principles for thousands of years. By the way, the Buddha (“the enlightened one”) was Indigenous. He was a member of Shakyas tribe, his clan name was Gautama and his given name was Siddhartha.

There is a part of mindfulness that most mindfulness scholars and practitioners fail to mention or understand: the “politics of mindfulness,” which concerns how colonization activities were instrumental in destroying the mindfulness traditions and practices of Indigenous Peoples. For instance, when colonizers outlawed or ridiculed important ceremonial songs and dance, many Indigenous Peoples’ brain circuits of hope, happiness, and purpose that were associated with these practices were undoubtedly reduced, inactivated, and/or deleted. As these brain networks became inactivated the importance of ceremonial activities would correspondingly lose their importance and appeal. In place of Indigenous ceremonies and practices, colonizers offered Christian religion and beliefs, stressing their importance since they were received directly from THE CREATOR and indispensable because they “saved” Indigenous Peoples from their primitive beliefs, the Christian Hell, and enabled them to get to the Christian Heaven or Paradise.

### **F. My Use of Mindfulness as a Neurodecolonization Tool**

Every morning I engage in my mindfulness sitting meditation practice for forty-five minutes to an hour. Sometimes I will add an evening practice to my routine. Most times I practice right after I wake up, when I am feeling rested and alert. If I have not slept well and need to shake the kinks out of my brain, I go on my early morning walk-run and practice when I get home.

Many mornings I will add a short ten minute practice session sitting with my five year old daughter, Arundhati (figure 4.3). After three and a half years of formal practice, she can now sit mindfully, with her eyes closed, on her cushion, in her semi-lotus position,



Figure 4.3 Arundhati Yellow Bird, photo from author’s collection.

for up to a half-hour. Her mother, Erin, often sits with her in the afternoon or evening if she misses her morning practice with me. Our youngest daughter, Solana, who is two and a half, has not quite gotten the flow of practice like her older sister (figure 4.4). Her little monkey mind is clearly in charge. Still, she continues to make small gains sitting quietly; she is a work in progress.

My mindfulness practice is not limited to sitting in meditation. I often include mini-mindfulness practices into my daily life stopping for two to three minutes every hour to an hour and a half to check in with myself to become as aware as I can in that moment of how I am feeling and behaving, and what I am thinking. When I first added this practice I used the timer on my wristwatch to sound the alarm for these breaks. Now that I have been doing this practice for some time, I have conditioned myself to use many other cues, sounds, or shifts in activity to remind myself to take my meaningful pauses.

I have included a number of different mindfulness practices in my morning routine throughout the years. My core practices include *breath counting*, *breath*



Figure 4.4 Solana Yellow Bird, photo from author's collection.

*awareness, body awareness*, awareness of my mind's activities and a neurodecolonization practice *releasing my mind* (from emotions and beliefs that inhibit my well-being).

I incorporate three to four of the practices in one sitting. For instance, I will sit for fifteen minutes doing breath counting where I silently count my *in* and *out* breaths (1—on the in breath; 2—on the out breath; 3—on the in breath; and 4—on the out breath). I switch to fifteen minutes of breath awareness, silently saying to myself on the in breath “*I know that I'm breathing in,*” on the out breath, “*I know that I'm breathing out.*” I finish with the mindfulness neurodecolonization exercise, silently saying to myself on the in and out breaths, “I release my mind from this emotion/feeling/problem.” And if I want to work on deleting a difficult memory from my brain's neural networks, I silently say, “I release my mind from this memory” on each in and out breath.

I also practice mindfulness when I wash the dishes, take a shower, drive my car, and sweep the floors. During these activities I focus my attention, as fully as I can, on what I am doing and what is

occurring. For instance, I consciously feel the texture and shape of the dishes and utensils and the warmth of the water when I am washing the dishes; when I shower I make a point of seeing how it feels when the water first touches my body and how my feet feel when they are in contact with the shower floor; as I drive I periodically and consciously squeeze the steering wheel to see how my hands and finger feel touching it and also use it as a reminder to stay aware. I consider my commitment, study, and practice of mindfulness to be my one of my most passionate acts of decolonization and my lifeline to well-being.

I began practicing years ago to help me cope with and overcome the repeated traumas, racism, stress, and hate that I experienced growing up. Throughout much of my life I had witnessed the premature, sad, and violent death of many of my friends and relatives in my reservation community. Much of it was due to alcohol abuse. Also contributing to my stress was the mean-spirited, hateful acts of racism, name-calling, and physical intimidation I encountered off the reservation as a child and a young man. For years and years I would ruminate about, and relive, many of the negative experiences. Sometimes I would find myself “day dreaming” about them, and when I slept I had constant nightmares (I still have notebooks filled with these dreams and my comments about what they meant and where they were coming from). The ones that stayed freshest in my mind were the violent, bloody, painful ones, which constituted a large number over a period of many years.

The disruption of colonization is directly linked to the excessive rates of death in my community. I knew there had been a lot of premature deaths among our people, especially the young men, but did not quite know what the actual rates were until the summer of 2004. I had decided to visit several of the cemeteries in our small community in memory of my many friends and relatives. When I started noticing how young many of the men were, I got a pencil and paper and recorded from their headstones when they had been born and died. I averaged the age of death for the group to discover it was forty-two years. Many of these guys I knew personally and for those that I did

not, I asked others about them. What I learned, which was not much of a surprise, was that whatever cause they died from (suicide, murder, drowning, freezing to death or car accidents), a large number of them had been using alcohol.

And then there was the obvious<M>the large number that had died from cirrhosis and liver disease due to alcohol use. As I reflected on the excessive death rates, I remembered that many of them, like me, had experienced the continuous loss of healthy role models, our tribal language, ceremonies, and culture. At the same time they (we) experienced an abundance of racism, abuse, and control by white authorities and institutions. Most of us had rarely, if ever, experienced the healing power of our own tribal mindfulness practices since they had been “lost,” during different periods of colonization.

It was not long before other problems related to the losses and insults of colonialism set in. Physical problems emerged that had not existed before: obesity, diabetes, hypertension, skin disorders, cancers, and heart disease; mental problems and mood disorders such as depression, anxiety, grief, sadness, and low self-esteem gripped the members of our community; spiritual disorganization spread among us and many experienced loss of hope, optimism, purpose, meaning, and sacredness. To cope, many joined Christian religions that promised salvation, but centered on a fearful, critical Creator (one that thought Indigenous Peoples needed to be saved by white religious beliefs) and an afterlife of suffering, something that was not central in our spiritual beliefs. Imagine how this change shaped the function and structure of the minds and brains of the people.

Living in this environment created a deep well of anger, rage, depression, violence, anxiety, fear, sadness, and confusion in me. My mind, brain, and nervous system were often engaged in a continuous *fight* or *flight response* and I was constantly trying to escape the traumatic thoughts and feelings in my mind and flee from the environment that spawned them: the reservation.

I used humor, alcohol, sports, music, and prayer to cope. None of them were long-lasting, especially since none helped me change my relationship with my traumas, memories, feelings, and beliefs. In fact, it was not until much later that I came to understand that I needed to formally engage in mind and brain activities, such as mindfulness, for long, sustained periods of time, and in creative, non-judgmental ways, in order to change my *neurocircuitry*, which had been negatively shaped according to my colonial experiences.

In 1975, when I was an undergraduate student in college, I happened upon Lawrence LeShan’s book, *How to Meditate*, which helped me understand how meditation practices could aid me in attaining greater levels of calm and help me cope with my traumas. I spent a lot of time practicing sitting meditation in my dorm room, generally in the early morning or late at night. Sometimes when my roommate was studying I would sit in the shower on my pillow, silently doing my breath counting and working on not judging or attaching to my difficult memories. I tried to practice in private since I was unsure of what I was doing and did not want to try to explain what I was trying to achieve to others.

I read different parts of LeShan’s book often and practiced some of the basic types of meditation, paying attention to how he suggested they be done, and to any physiological and psychological effects that he had said occurred. I worked on the exercises over the next several years; sometimes consistently and at other times sporadically. The exercises were helpful and I did experience feelings of well-being from time to time, but they did not last since my practice was inconsistent. If I would have had a teacher at this time, she or he might have reminded me to stay in the present and observe how my thoughts and experiences changed from moment-to-moment. A teacher would have taught me that my job is to not judge, fear or become attached to my thoughts, and like everything else, they will pass and be replaced by other thoughts, feelings, and memories.



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**ACTIVITY:**

**How often do you judge, fear, or attach to certain thoughts, feelings, or memories? What do your tribal traditions teach about how to treat negative thinking, memories, and feelings? Do you have a teacher, elder, or someone that instructs you on how to train yourself to effectively respond to the negativity in your mind and brain so that you can become a healthier, optimistic person? What would it take to find such a person? Take time to write some of your responses below.**

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In 1989 when I was working on my PhD in social welfare, I experienced a major episode of depression. Much of it was centered on the continuing trauma in my reservation community that I experienced firsthand when I visited, and secondhand when I called home and heard the bad news. It did not take much for me to begin experiencing deep emotions of anger, sadness, and grief that I still carried from the past. When I felt the first pangs of the depression set in, I took a break from school and went to visit my parents back on my reservation. Not long after I arrived I begin witnessing some of the everyday tragic situations that had engulfed the lives of different friends and relatives in the community. During the evenings my mind and brain were flooded with the social carnage I had witnessed and I soon bot-tomed out and ended up in a psychiatric unit in an

off-reservation hospital. In this environment I immediately returned to practicing my meditation in the early mornings and evenings in my room, believing that at some point mental and emotional relief would slowly return.

When I checked out of the unit I returned to my PhD studies and, in between my work and mindfulness practices, I began looking for reading materials that would aid in my recovery. I knew that if I did not address the traumas of the past, those of the present would continue to “come on baby light my fire.” In my search I began finding articles and books on the topic of “*psychoneuroimmunology*,” that integrated psychology, neuroscience, and immunology. Psychology provided an understanding of one’s mental state; neuroscience centered on what the brain did with these emotions; and immunology focused on how

the immune system responded to what the brain was interpreting in regard to the emotions.

I first encountered this term when I read a book written by Norman Cousins called, *Head First: The Biology of Hope and the Healing Power of the Spirit*. A number of other health, biological, and medical related disciplines are now considered part of this field, and they are gaining an understanding of the mind's ability to influence the body's health. *Head First* described Cousins' ten-year quest to find the proof that positive attitudes are actually biochemical factors that combat disease. I enjoyed reading this book and was inspired by the stories and science. I thought that it was such a special book that offered so much hope, I gave it to an Indigenous guy I met while we were both participating in a Sun Dance ceremony; he had been recently diagnosed with cancer and I had only recently purchased the book and had taken it to read during the dance. Like we say, "Someone needed it more than me," and that is why I brought it there.

In 1991 as I continued my healing quest, I discovered a book called *Full Catastrophe Living*, written by Jon Kabat-Zinn (this book is now considered one of the classics of mind body medicine). This work was the first time I had read about how mindfulness had been used to help many people cope with and heal from many different medical conditions. I was inspired by Kabat-Zinn's book and I begin using it to help me learn how to do mindfulness practices such as "Sitting with the Breath and Body," "Sitting with Sound," and the "Body Scan." It helped me to understand the connection between stress and illness and how they were connected to my experience, my community, and that of other Indigenous Peoples who had gone through the traumas of colonization. About a year after I read and re-read the book and had talked about it with some

of my PhD student colleagues, I was asked to do a workshop on mindfulness for social workers and other helping professionals who were attending a Native American Child and Family conference. I talked about what Kabat-Zinn had written, especially the activities in his "Stress Reduction and Relaxation Program (SRRS). I had the audience do the now famous "Raisin Exercise," and the "Sitting with Breath and Body" exercise.

The Raisin Exercise is where one mindfully and deliberately eats a raisin. First, it is picked up and its shape, color, and wrinkles are carefully examined. Next, it is gently rolled between the thumb and index finger and carefully squeezed to note its texture. At this point, thoughts can be entertained about where it came from, how it was a grape before it got to you, and how the sun slowly dried it to create what you

are now holding. It is next brought up to the nose and smelled to note any fragrance. Finally, it is put into the mouth, rolled around by the tongue to feel its shape and texture, and then swallowed. As it makes its way down the throat, any sensations can be noted.

From 1992–1995 I dedicated nearly every morning to forty-five minutes of sitting meditation, where I continually practiced breath awareness, breath counting, visualization, and imagery. I practiced in the quiet of my

bedroom when my sons were asleep or in the darkness of the laundry room when they were awake. I had many mental, emotional, and spiritual gains during this time and I began to enter into a state of deep calm, peace, and awareness. In 1993, while I was on the faculty of the School of Social Work at the University of British Columbia (1992–1994), I was invited to visit the *Aboriginal Friendship Center* on East Hastings

**"This research has yielded stunning results, which if replicated will alter forever certain basic scientific assumptions—for example, that systematic training in meditation, when sustained steadily over years, can enhance the human capacity for positive changes in brain activity to an extent undreamed of in modern cognitive science."**

**—Daniel Goleman,  
Foreword in *Joy of Living***



Figure 4.5 Michael, Arundhati, and Solana Yellow Bird meditating. Photo from author's collection.

Avenue where I spent time teaching Native youth mindfulness exercises from Kabat-Zinn's book.

Even as I practiced mindfulness and had opportunities to teach it, the demons of the past still visited me; but now it was less frequent and intense. From 1995–2006 I continued my practice but it was sketchy, disrupted, distracted, and without purpose. Changes, jobs, moving, and other life circumstances were obstacles to my practice and study. However, due to many stressors and disruptions in my life, this was a time that I should have been practicing even more. Following another visit from the depression demon in 2006, I rededicated myself to my mindfulness practice and have maintained it ever since.

I have spent time with my partner practicing with our two little daughters (figure 4.5) nearly every day and I share the science of its benefits with my extended family and relatives and tell them about its healing potential; I require the students in my graduate

and undergraduate courses to practice mindfulness at the start of each class (I have been doing this since 1992); I write a column for my tribal newspaper on the topic and urge folks to try it; I do presentations in tribal communities, at professional conferences, and sometimes give radio interviews; I have also conducted qualitative research on its effects on a group of Indigenous youth in a tribal school setting.

### **G. The Neurobiology of Mindfulness (and Decolonization)**

Neurodecolonization is built from the studies of mindfulness. The neurobiology of mindfulness concerns the neuroscientific investigation of the neural systems that are utilized to achieve meditative states and to determine the effects of regular mindfulness practice on brain structure and function. In this section I will discuss what neuroplasticity is all about, several regions of the brain that are affected by mindfulness practices,

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and what these practices imply for decolonization. There are numerous studies of how the brain and its processes are changed by mindfulness—what I include here is only a snapshot of what is being reported in the scientific literature. A complete discussion is well beyond the scope of this chapter. In this section I will review neuroplasticity, brain state and trait effects, EEG studies of brain waves and meditative states, the dorsolateral prefrontal cortex and executive brain function, anterior cingulate cortex, temporal parietal junction, amygdala, insula, and the orbital frontal cortex. It is important to say at this point that neuroplasticity varies greatly between people, and the brain regions I cover have many overlapping, complex functions. The neurobiology of mindfulness is still in its stage of infancy and what I am providing here is quite simplistic, although it is based on hard science, and only skims the complexity and processes of the human brain.

### *Neuroplasticity*

One of the most important findings of neuroscience investigations is that of *neuroplasticity*, which refers to our brain's lifelong capacity for change according to the experiences we have. *Neuro* refers to the brain's nerve cells (which I discussed earlier) and *plasticity* refers to our brain's ability to change its shape and function (neural networks) to accommodate our learning, thinking, and other active experiences. Recall that if our experiences have been more negative (especially in the case of colonialism), we create neural networks of negativity. If we have more positive experiences our networks will enable more optimism and well-being in our lives.

Speaking about neuroplasticity, neuroscientist Dr. Richard Rystak, author of the book, *The New Brain: How the Modern Age is Rewiring your Mind*, says that “thoughts, feelings, and actions, rather than mechanical laws, determine the health of our brain. Furthermore, we now know that the brain never loses the power to transform itself on the basis of experience, and this transformation can occur over very short intervals.” Sharon Begley, author of *Train Your*

*Mind, Change Your Brain*, says that studies “suggest that brain changes can be generated by pure mental activity: merely thinking about playing the piano leads to measurable, physical change in the brain's motor cortex, and thinking about thoughts in a certain way can restore mental health.” Begley further asserts that “we are not stuck with the brain we were born with but have the capacity to willfully direct which functions will flower and which will wither, which moral capacities emerge and which do not, which emotions flourish and which are stilled.” The *Dana Guide to Brain Health*, published in 2006, says the most important trait that the brain brings to adulthood is plasticity. The guide says that “plasticity allows us to learn, to form new habits, to adjust to new circumstances—whether as simple as remembering to make enough morning coffee for two after marriage, or as complicated as learning to use information technology when your employer decides to carve out a place in the ‘new economy.’”

An important way to change our brain's negative experiences, beliefs, and memories, is to intentionally practice mindfulness. Recall, that mindfulness is a powerful strategy in the tool box of neurodecolonization. By engaging in mindfulness we can become intentionally aware of our experiences, thoughts, and feelings as they unfold in our practice. By being aware of what they are and treating them not as fact but as only experiences, we can change our perceptions, relationship, and response to them and become less reactive and more creative in resolving them. This is what Sharon Begley means when she writes “train your mind, change your brain.” In his book, *Mindsight*, UCLA professor and neuroscientist Daniel Siegel refers to our ability to pause before we act on the thoughts that come up in our practice as “response flexibility.” He says this response “harnesses the power of the middle prefrontal region to put a temporal space between input and action. This ability to pause before responding is an important part of emotional and social intelligence. It enables us to become fully aware of what is happening—and to restrain our impulses long enough to consider various other options.”

### *The Brain's State and Trait Effects*

In the study of mindfulness researchers focus on two important effects that occur in the brain when it is at rest or doing a task. The first of these are *state effects*, which concern the changes that occur in individuals as they actively meditate—or to put it another way, you might ask what is the state of my brain as I do this activity?

*Trait effects* are the changes that occur gradually over time as a consequence of continuous meditation practice. Trait effects are regarded as “permanent” or long-lasting and continue to persist even when one is not meditating or stops practicing altogether for long periods of time. Neuroscientist Richard Davidson says that “left prefrontal activation appears to be associated with a constellation of positive attributes, including reduced levels of the stress hormone cortisol, and reductions in other biological and immune parameters that are associated with negative affect.” Furthermore, he says that “activation patterns in the right prefrontal cortex, by contrast, are more associated with certain types of negative affect accompanied by increased vigilance to threat-related cues, a symptom that often occurs with certain types of anxiety.” Does colonialism produce its own brands of unique anxieties? I believe it does. What is important to remember from the neuroplasticity discussion is that the more that one uses mindfulness to avoid judging themselves, the negative content of the thoughts that arise in practice, and more that one gently detaches from the negativity—the more activated and permanent the optimistic traits of left side of the prefrontal cortex become. This is fundamentally what neurodecolonization is all about.

Research shows that our brains exhibit four different waves of activity. They give an indication of how the brain is performing as it responds to different tasks and circumstances. *Gamma* band waves are the highest; *Well-being* band waves are next, followed by *Alpha*; finally there are *Theta* and *Delta*. Gamma waves are the highest and operate at forty cycles per second. They are involved in higher mental activity and are associated with perception and consciousness.

Well-being waves function between thirteen to thirty cycles per second. Someone operating at this level would be experiencing awakened awareness, extroversion, concentration, logical thinking, and active conversation. A person making a speech, debating, or a teacher, or a talk show host would all be in Beta when they are engaged in their work; the higher the engagement the higher the band wave.

When one is in an Alpha state brain waves are functioning at seven to thirteen cycles per second, which corresponds to relaxation times, non-arousal, meditation, and hypnosis. The Theta state operates at four to seven cycles per second. In this phase one may be day dreaming, thinking creatively, meditating, or experiencing paranormal phenomena such as out of body experiences or ESP. At Delta, which operates at zero to four cycles, one is undergoing the deepest level of sleep. Some studies say that this state is associated with sleepwalking.

In the *Clinical Handbook of Mindfulness* (edited by Fabrizio Didonna), research suggests that individuals that are long-term meditators appear to have higher levels of Alpha and Theta band activity, which are associated with relaxation and rest. Other studies report that meditation practices that emphasize deep physical relaxation are more likely to produce higher Theta and Delta activity (associated with deep sleep), while practices that focus more on intensive concentration will likely have higher Alpha and well-being power. Gamma brain waves are associated with meditators that have put in the most hours of practice, sometimes tens of thousands of hours over a lifetime. Research shows that meditators that achieve Gamma band brain activity during meditation have the ability to put the brain into a state in which it is maximally sensitive and consumes power at a lower (or even zero) rate. A brain with this sensitivity can achieve high levels of consciousness and perception, and still remain fresh due to the low usage of brain resources. I believe that many Indigenous spiritual leaders who regularly practiced traditional mindfulness meditation in sacred and secular ceremonies very likely achieved a Gamma brain band wave state.

## Key Brain Regions

**Dorsolateral Prefrontal Cortex and Executive Brain Function.** Brain imaging studies reveal that mindfulness meditation activates the dorsolateral prefrontal cortex (DLPFC), an area associated with executive decision-making and attention. The activation means that the DLPFC and the executive brain function more smoothly and effectively. This area, which is located in the front part of the brain, is particularly important since executive brain function is responsible for our working memory, cognitive flexibility, and the ability to delay gratification and distraction. The forefront of the brain image is where the executive function is located (intelligence, judgment, and behavior).

*Working memory* concerns our ability to recall how to do a particular task, such as adding numbers without using a pencil and paper or calculator; the more digits and mixing of numbers the more difficult the task and more we have to call on our working memory. How good is yours? Try adding these numbers in your head: twenty-two plus twenty-two. Pretty easy, right? Now try adding 563 plus 784. Little more difficult? Well folks that practice and practice doing such things have a good working memory for doing these kinds of “simple” mathematical operations. Of course the more they practice the more they develop the neural networks to support their ability to manipulate numbers. Again, we know this from our discussion of neuroplasticity—the brain is always changing to accommodate the experience we have or the task we undertake.

Want to try another exercise? Try saying the alphabet backwards and see how long it takes you. Practice saying backwards until you get pretty good at it and then have someone test you. Then wait for a week or two without practicing and then try it again. How well you do depends on how much you practiced and to what extent your brain made the neural connections to support your performance.

*Cognitive flexibility* has to do with our capacity to move from one cognitive task to another without too much difficulty. An example I like to use concerns children. Imagine you are a Head Start teacher and your

students have been happily playing with toys for much of the morning. Oh, how they love their toys! But, now it is time for another activity that most of them do not like, but tolerate. You have the children put away the toys so you can begin the next activity; some follow your orders but a few do not listen. You ask them again, with no response. You walk over and begin taking the toys to help them put them away. Some of the children are okay with this and begin helping you so that they can quickly fall in line with the first group. However, a few others flip out and began crying, hitting you, and pounding their heads on the floor. You might have already guessed that those who responded the most quickly probably did so because they have the highest levels of cognitive flexibility, while those who did not are not so good in this area. As times goes by they will get better, you hope.

Finally, housed in the executive brain region is one’s ability to put off distractions and the need for immediate gratification. This is an area where many of us need a lot of work. While most of us are easily distracted, distraction has become particularly noticeable since the arrival cell phones, portable laptop computers, iPads, iPods, and other new technology. Today we see youth, adults, elders, men, and women, excessively texting, twittering, gaming, endlessly surfing the internet, and checking their Facebook and other social networks several times a day. Try having a conversation with these folks.

Delaying gratification is also an issue for most of us that live in this world of fast, easily accessible material things. For instance, let us say that you are wishing for a slice of your mother’s famous homemade chocolate cake that you know how to make, but do not want to go through the trouble of making it and then having to clean up the mess. You are not really hungry but as you think about it your desire for it grows stronger. However, instead of baking that cake from scratch, using your mom’s clean, healthy recipe of organic, dark, fairly-traded chocolate, you jump in your car, drive down to the market and pick one up. As you are paying for it you notice the label with numerous chemicals and additives that you have never heard of or that you cannot pronounce.

Instead of mindfully sewing a torn shirt or dress we can zip to Wal-Mart and buy a cheap, sweatshop replacement; instead of writing a letter to a friend that we have been missing, we facebook them with a short message and a picture of our self after losing forty pounds on the Paleolithic diet. In this faced-paced, frenetic, driven world of colonialism we have been taught “time is money” and “good things do not come to those who wait.” Unlike our ancestors who learned the lessons of patience and mindful eating, our inability to delay our gratification for food has resulted in extraordinary levels of obesity. Our inability to be happy with what we have has led us into mindless consumption and compulsive buying; our inability and unwillingness to take a mindful walk to the store or to visit our friends, and instead drive there in our huge SUV, has increased our carbon load on Mother earth. Engaging in systematic mindfulness practices to improve our brain’s executive function is an example of neurodecolonization.

**Anterior Cingulate Cortex.** Mindfulness practices increase activation in the cingulate cortex, particularly in the anterior subdivision. This area plays a role in the integration of attention, motivation, and motor control. Many studies also show that functions such as error detection, anticipation of tasks, and the variation of emotions take place in this brain region. Research shows that longer term meditators can sustain longer periods of attention than short term meditators. This brain region is important in neurodecolonization since many who have been traumatized by colonialism have more difficulty with detecting errors in their thinking and actions, trouble maintaining attention and motivation, and difficulty moving between their emotions. This faulty processing in this brain region will make our relationships and other experiences in our lives more difficult.

**Temporal Parietal Junction.** The Temporal Parietal Junction is an area that becomes activated during meditation practices. This region of the brain is associated with the ability to perceive the emotional and mental state of others, such as in emotional intelligence (EI). An individual with good EI is able to identify, assess, and respond to the emotions of him/herself and others.

Having healthy levels of EI is important since we interact with different kinds of people in many different situations and we must act with appropriate behaviors and emotions. Indeed, how we manage ourselves determines how successful we will be in our relationships with others. Studies show that this brain area is more active in meditators than non-meditators, even when they are not meditating. Emotional intelligence is especially important to come to understand our levels of colonization and how much we must engage in neurodecolonization activities to activate this part of our brain.

**Amygdala.** The amygdala is in part of the area of the brain called the limbic system. It is responsible for processing fear and aggression and our fight and flight response. If we get into an argument or another difficult situation, it is our amygdala that sends the alarm for how to respond. Many studies have focused on this region of the brain since it is a highly volatile area. Among other things, the amygdala plays a role in binge drinking and is associated with various psychological disorders, such as anxiety and obsessive compulsive disorders, and Post Traumatic Stress Disorder (PTSD).

The amygdala also plays a role in our fearful reactions. In some studies, individuals who were shown images of frightened faces or people from another race were observed to have increased activation in this region. However, new research shows that when people from one group (say a racial group) develop positive social relations and understanding of another group, social anxiety and racism decreases. Imagine what the world would look like if colonizing societies truly developed good relations and a sincere understanding of the effects of their activities on those whom they have colonized.

Brain imaging of meditators shows that meditation calms and activates many important parts of the optimistic brain; it also quiets the activity of the restless, easily angered and fearful amygdala. Research shows that long-term practitioners have lower activation in this region, especially when encountering different distressful situations. It is not unreasonable to

believe the Amygdala in the brains of individuals that have not fared well under the oppressive conditions of colonialism may have high activation in this part of the brain.

**Insula.** Neuroscientists credit the insula as being a fountain of social emotions. Things like lust and disgust, pride and humiliation, guilt, and atonement are associated with this brain region. Moral intuition, empathy, and the capacity to respond emotionally to music are all within the function of the insula. Other research has said that the insula is also associated with “interoception,” which refers to what happens when one processes the world mainly through feelings and emotions. It can be thought of as the “gut” feelings we have when we experience different situations, and the ability to be aware of and to understand the processes of our internal body state as we experience them. This area of the brain is important because individuals who may have been overwhelmed in the colonial context may have difficulty processing the moment-to-moment changes that they experience and may have difficulty knowing and sharing how they feel. Studies show that regular mindfulness meditation practices activate the insula, which can enable the practitioner to gain a greater understanding of the feelings and sensations that she or he may be going through at any given moment.

**Orbital Frontal Cortex.** The orbital frontal cortex, located in the front of the brain just above and behind eyes, is an especially interesting and important brain region with regard to neurodecolonization. This circuit is thought to provide us with our internal reality check of how we are coming across to others. Jennifer Beers and Brent Hughes from the University of Texas have studied this area and found that it biases us to have an overstated evaluation of our skills, intelligence, personality, and health; mostly, because we do not call upon this part of the brain to evaluate our “true” capacities. Instead we view ourselves as better than we are. Beers and Hughes refer to this inflated view the “above-average effect,” which implies that, despite the evidence to the contrary, we think that we are better than we actually are. Beers and Hughes found that the

less activity in this area the more we are likely to see ourselves through “rose-colored glasses.”

When I am discussing neurodecolonization in my presentations I often refer to this region as being responsible for “colonial brain disorder.” What I mean by this is that the OFC is involved in processing reflection, judgment, and how one views the world. However, as Beers and Hughes maintain, this area is not called on much since there is an inflated, inaccurate view of oneself that is not easy to change. To extend their analysis, I argue that when a colonizer (a person of the colonial society) is “brainwashed” to believe that they are the right color, have the right values and beliefs, live in the greatest country on earth, and are from an exceptional class of people, they will have extreme difficulty engaging this brain region—which of course means that they will lack the ability to mindfully and honestly critique their privilege, culture, beliefs, values, and their nation’s failures and weaknesses. In other words, their OFC will be on a long, long vacation. Instead they will see and regard their situation as the standard to achieve and come to see their colonizing activities as justified. This does not mean that all people who are colonizers do not have a capable, functioning OFC; there are many who do and often ally themselves with Indigenous Peoples in their struggles against the colonial situation.

Neurodecolonization requires that we must understand the OFC of the colonizer and how he arrived at the point of believing in the “over-stated” attributes of colonialism. Neurodecolonization requires that we understand that the colonizer may not be deliberately avoiding an evaluation of colonialism’s negative effects on Indigenous Peoples. Rather than just sheer stubbornness, many colonizers are suffering from a brain disorder in the OFC. Knowing this, Indigenous Peoples should understand that using sheer force against a non-Indigenous force that has a disorder in this important part of the brain will be frustrating and unproductive. Instead, neurodecolonization strategies urge Indigenous Peoples to engage in sustained, highly intelligent, creative, original approaches that can be used to help heal this brain disorder of the colonizer, so that the colonist can come to understand the extent and damage of his actions.



There is a caveat here: neurodecolonization calls for us to understand the functioning of our own OFC in order to recognize how it operates in our own world. It is imperative that we ask ourselves if we truly believe that we are better than we are. Are we more important than other humans, races, and forms of life? Do we know how our social behavior affects others? It is important that we understand this part of our brain since “humility” is often regarded as a high order, traditional value among many Indigenous Peoples. If we do not, it should not come as a surprise when others tell us how distasteful and arrogant our social behavior is towards them or other forms of life.

## **H. An Indigenous Peoples’ Neurodecolonization Policy**

The first perceptions of the oppressive processes of colonialism happen in our minds, which send signals to the brain of how we should respond. A brain that is healthy and well-balanced can respond in an optimistic, courageous, intelligent, creative, and resilience manner. On the other hand, unhealthy brain is more likely to respond with fear, frustration, anger, helplessness, and negativity. Research shows that the brain that has been shaped by mindfulness and other positive contemplative practices will respond in a much more optimistic and effective manner.

Neurodecolonization is an emerging science that examines how the human brain functions in a colonial situation and how the use of specific mind and brain activities can change important neural networks to enable one to overcome the myriad effects of colonialism. It recognizes that our brain’s plasticity enables our neural networks to rewire and change itself over our lifetime according to our experiences. It advocates the use of contemplative practices, such as mindfulness, which can profoundly change our brain for the better. It also reminds Indigenous Peoples that they can get the same benefits if they systematically and purposefully engage (in a long term and sustained manner) in traditional and contemporary secular and sacred contemplative practices that encourage meaning, purpose, positivity, and well-being.

Mindfulness practices are one of the core

activities that promote neurodecolonization. Mindfulness practices have been essential to my own healing, creativity, well-being, and to improving the functioning of the brains of my two little daughters. Mindfulness practices make important changes in our brain band waves and in several important brain regions that are associated with positive feelings, thinking, and actions.

I believe that every Indigenous person—community, leader, teacher, parent, youth, and elder—should embrace neurodecolonization and the mindfulness practices that are central to its core. Mindfulness is a not a foreign way of life, philosophy, or religion. Since time immemorial Indigenous Peoples have embraced mindfulness before, during, and after many of their secular and sacred ceremonies. When we practice mindfulness as a neurodecolonization activity we can delete the old ineffective neural networks in our brains and activate new empowering ones. Every time we sit quietly, on purpose, and formally concentrate on our breath as it enters and exits, or we focus and keep our attention on what we are doing, without distraction, we activate key brain circuits that help us improve our awareness and ability to concentrate. Mindfulness will enable us to reduce our negativity and improve our brain’s plasticity. It will increase our compassion, patience, creativity, emotional intelligence, and courage. Through these practices we will gain a greater understanding of how our mind and brain work, especially as we confront the stressors of colonialism. In ending this chapter I want to propose a simple neurodecolonization policy that I believe will improve our minds, brains, and overall health.

1. Indigenous Peoples should carry out studies of community members to determine the levels of stress, anxiety, depression, anger, and negativity, as well as the levels of optimism, happiness, gratitude, and well-being.
2. Indigenous People should develop a list that describes unhealthy colonized views, behaviors, attitudes, and thinking, as well as a list of those that are healthy, decolonized, and traditional. Community members can be mindfully and gently

instructed and guided towards those on the second list.

3. Indigenous Peoples should implement mindfulness practices in Indigenous Peoples' communities, schools, organizations, and homes. Mindfulness should become a regular activity for all age groups.
4. Indigenous Peoples should conduct research on the effects of mindfulness on their communities, paying special attention to reductions in stress and negativity and increases in well-being.
5. Indigenous Peoples should return to practicing traditional secular and sacred contemplative (mind brain) practices that promote optimism, health, creativity, courage, resilience, and a sense of identity.
6. Indigenous Peoples should develop a curriculum that teaches mind and brain science in an accessible, practical, and applied manner.
7. Indigenous Peoples should develop and implement a curriculum that teaches individuals and the community to engage in different, evidence-based mind brain activities, such as optimistic thinking, creative imagery and visualization, memory exercises, and critical thinking.

Our minds and brains have incredible healing power. However, they can also be the chief contributor to our oppression. We have more than enough evidence that contemplative practices such as mindfulness offer powerful antidotes to colonialism. Imagine a world of Indigenous Peoples with balanced, healthy, creative, intelligent, and courageous minds and brains—just like our ancestors who were able to overcome forces many times more potent than colonialism. If we fail to take actions we will not improve our condition or our control over the oppressions of colonialism. If we do, we will come to understand what the Buddha meant when he said that freedom from suffering was possible in this lifetime. I am a firm believer in this message and for me the freedom from the traumas of colonialism is but one breath away.

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# CaRES

The Campus Resilience Enhancement System (CaRES) was designed to provide a way to address resilience challenges in a holistic way, involving the "whole campus community."

CaRES is a practical, user friendly web-based system developed in cooperation with university partners to provide the guidance and resources IHE need in order to develop and implement resilience-based plans, policies, and programs on their campuses. It serves as a knowledge base, a process, and a set of tools.

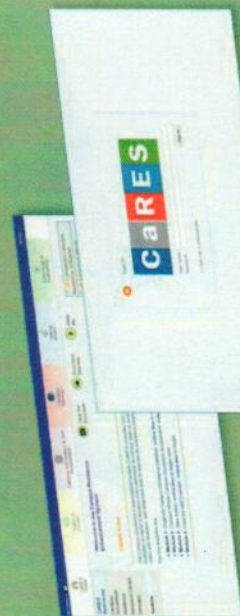
CaRES is composed of four modules:



Designed to work within existing university plans and programs, CaRES helps IHE incorporate resilience into everyday decisions. CaRES is scalable and flexible, and allows colleges and universities to develop resilience plans with their own personnel and resources, independent of program sponsors.

Following validation of the CaRES assessment process by pilot IHE, the program will rely on a peer-to-peer approach in which pilot IHE will train neighboring campuses on how to enhance their institutions' resilience using CaRES (*screenshot of the tool below*). CaRES can be accessed 24/7 at:

<https://cares.demo.preptoolkit.org>



## PROGRAM SPONSORS

The Campus Resilience Program was created upon recommendation from the Homeland Security Academic Advisory Council, a federal advisory committee comprised of college and university presidents, academic leaders, and interagency partners charged with advising the Secretary of Homeland Security and senior leadership on matters related to homeland security and the academic community. The Council is managed by the U.S. Department of Homeland Security's (DHS) Office of Academic Engagement.



Secretary of Homeland Security Jeh Johnson with the Council

The program is a DHS collaborative initiative that involves the Department of Education, Department of Justice, and Department of State. Within DHS, the program is sponsored by the Federal Emergency Management Agency (FEMA), the U.S. Immigration and Customs Enforcement's Student and Exchange Visitor Program (SEVP), and the Office of Academic Engagement.

## CONTACT US

For questions related to the Council or Office of Academic Engagement, write to:

[AcademicEngagement@hq.dhs.gov](mailto:AcademicEngagement@hq.dhs.gov)



For Campus Resilience Program questions and concerns, please contact the SEVP Response Center to reach a CaRES team member.

### SEVP Response Center

Monday-Friday 7 a.m. to 8 p.m. ET

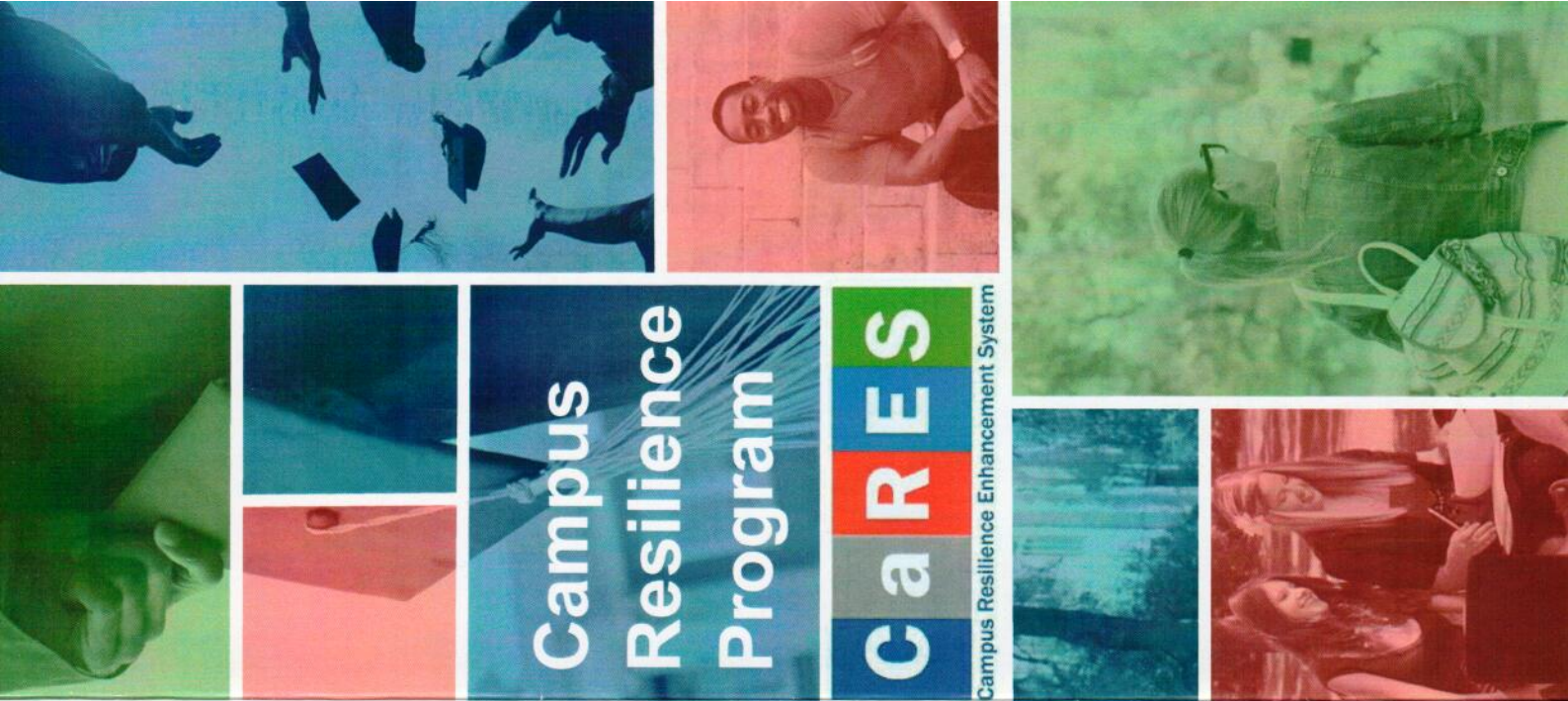
Call: 703-603-3444

Email: [SEVP.CampusResilience@ice.dhs.gov](mailto:SEVP.CampusResilience@ice.dhs.gov)

# Campus Resilience Program

## CaRES

Campus Resilience Enhancement System



## VISION

Institutions of Higher Education (IHE) are entrusted to provide a safe and healthy learning environment for students, faculty, and staff. To improve the ability of IHE to respond to, withstand, and recover from disruptive events, the U.S. Department of Homeland Security (DHS) launched the Campus Resilience Program in February 2013. The goal of the program is to improve the preparedness and safety efforts of IHE by drawing on existing resources, collaborating with federal, state, local, tribal, and territorial stakeholders, and identifying innovative approaches to campus resilience.

While the program focuses on promoting resilience at IHE across the nation, an initial cadre of colleges and universities will serve as catalysts for increasing the resilience of their surrounding communities and regions—enhancing our Nation's ability to respond to, and recover from disruptions.

## WHY RESILIENCE?

Resilience is the capacity of a community, organization, or business to organize itself to recover from a disruptive event. By learning from past incidents, an IHE can amplify strengths and mitigate weaknesses when responding to and recovering from a disruptive event.

Campus resilience refers to the ability of IHE to build more resilient institutions and incorporate resilience into the campus way of life — not just focusing on the immediate response to a disruptive event. This capability is a result of internal coordination within the IHE and coordination with surrounding communities. The program emphasizes:

- Campus and community leadership engagement is critical
- Resilience is a **whole campus** effort, including populations such as international students
- Resilient IHE embed a **culture of resilience** into everyday activities

## PROGRAM PHASES

### Phase I: Developing the Campus Resilience Concept

2013

- Selected 7 pilot institutions to better understand challenges faced by IHE
- Conducted on-site campus visits to learn how resilience efforts apply to campus environments
- Refined the program in close cooperation with the college and university community
- Developed prototype CaRES tool
- Tested CaRES within each pilot campus

### Phase II: Creation of the CaRES Tool

2014 - 2015

- Revised and updated CaRES resources and content
- Trained pilot campus representatives on how to use CaRES to develop actionable plans

### Phase III: Pilot Campus Implementation

2016

- Help pilot institutions validate playbooks through DHS sponsored exercises
- Use exercise outcomes to revise CaRES content
- Conduct outreach to network campuses of each pilot school
- Conduct peer-to-peer training sessions to teach networked IHE how to use CaRES

### Phase IV: Expansion of CaRES

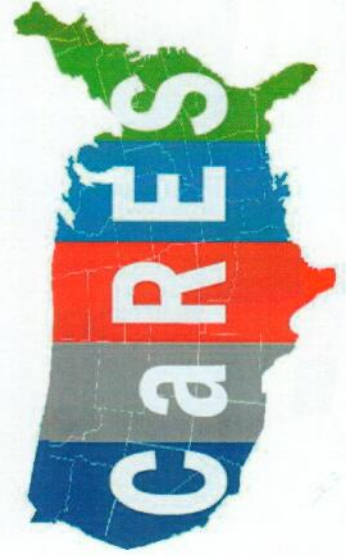
2017 - 2020

- IHE implement CaRES throughout the Nation

### Pilot Institutions



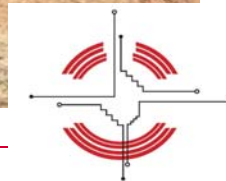
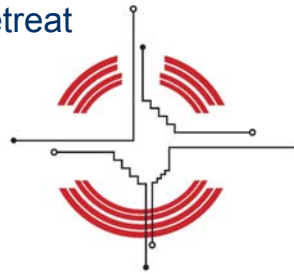
### Future Nationwide Adoption of CaRES

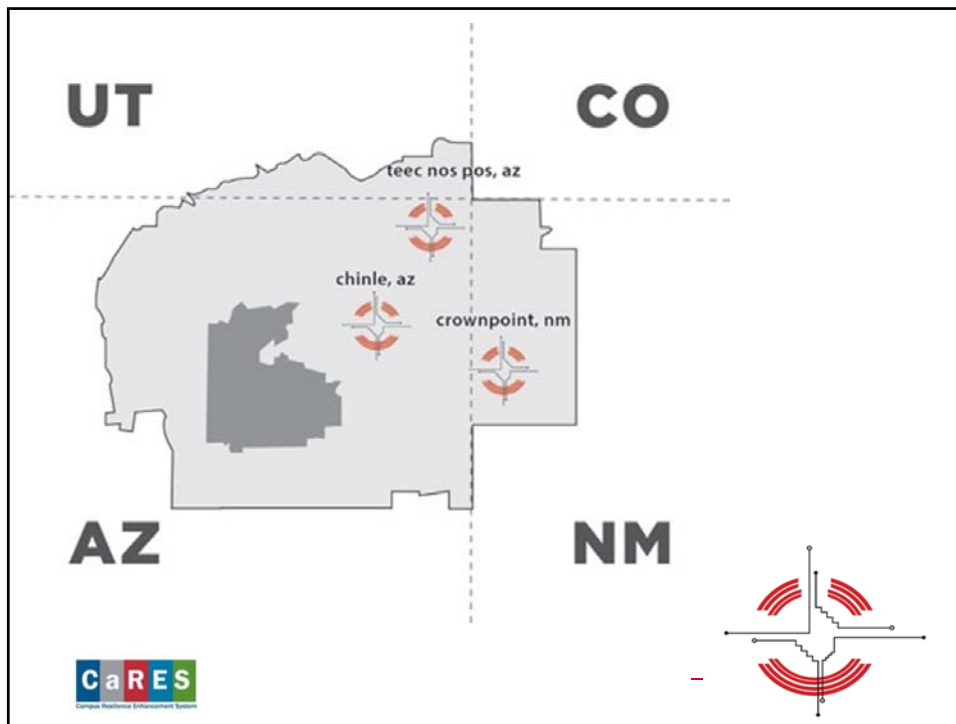


# Navajo Technical University

## CaRES – Campus Resilience Enhancement System Presentation

AIHEC Board of Directors Meeting  
And Presidents Retreat  
July 12, 2016



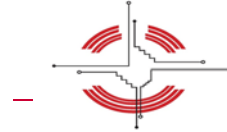


## NTU Main Campus – Crownpoint, NM



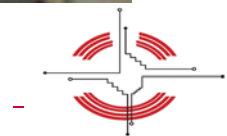


## Chinle Instructional Site in Arizona



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## Instructional Site in Teec Nos Pos, AZ

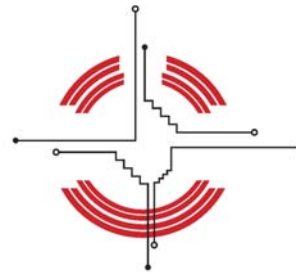


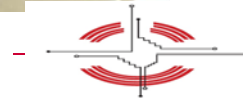
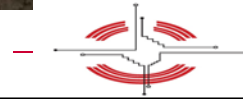
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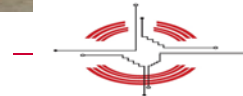
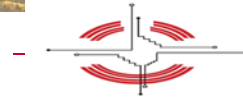
# Navajo Technical University

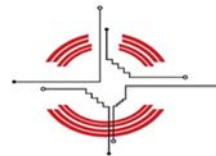
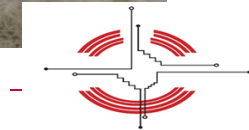
## Crownpoint Flood

Friday, September 13, 2013







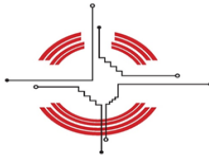




## CaRES Training in Leesburg, VA September 27 – October 2, 2015



# NTU CaRES Team

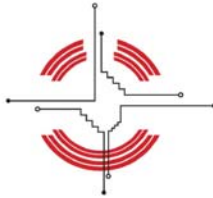


## CaRES

Navajo Technical University (NTU) is one of seven partner Institutions of Higher Education (IHE) chosen to work with Homeland Security and Immigrations and Customs Enforcement to develop a system to help IHE's develop a "resilient" campus environment.

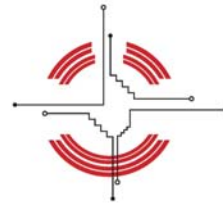


### NAVAJO TECHNICAL UNIVERSITY LEADERSHIP TEAM CRISIS RECOVERY PLAYBOOK



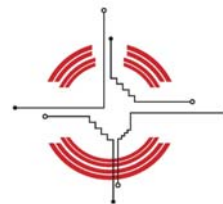
## What is CaRES? (Campus Resilience Enhancement System)

- CaRES is a Homeland Security Initiative
- Immigration & Customs Enforcement (ICE)
- Develop Resilient Institutes of Higher Education (IHE)
- Custom Software that helps IHEs to identify strengths and weaknesses in their Emergency Response Plan



## What is CaRES? - continued

- A **Knowledge Base**
  - What is campus resilience?
  - What makes colleges and universities more resilient?
  - Tools that help institutions assess their resilience
  - Resources that help colleges and universities take action
- A **process** for helping schools use their knowledge-base to become more resilient
- A **web-based set of tools** and resources to make the process and knowledge-base available to a wide array of colleges and universities

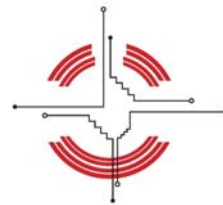




## Resiliency

What does resilience mean to you?

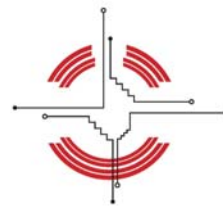
How do you think about resilience when you think about your family, your community, or your TCU?



## Resilience and the CaRES Program

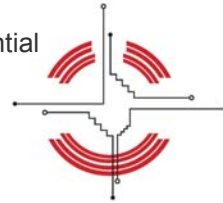
In addition to understanding resilience **we want to understand:**

- The principles of community resilience and how they have been adapted to the campus environment
- The overall goals and objectives of a Campus Resilience Program
- The general flow of the Campus Resilience Process
- The general architecture and design of the Campus Resilience Enhancement System (CaRES), as well as how its features assist campuses in strengthening resilience



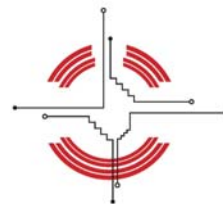
## Why Resilience?

1. The resilience conversation is:
  - a) About **managing change and disruptions** in increasingly turbulent times
  - b) About **seizing opportunity in change** and taking advantage of disruption
  - c) Concerned with domains **beyond traditional emergency management**
  - d) About the whole campus – the **whole** college or university
2. Increasing campus resilience:
  - Can be **transformative** – unlocks cooperative potential
  - Creates greater competitiveness

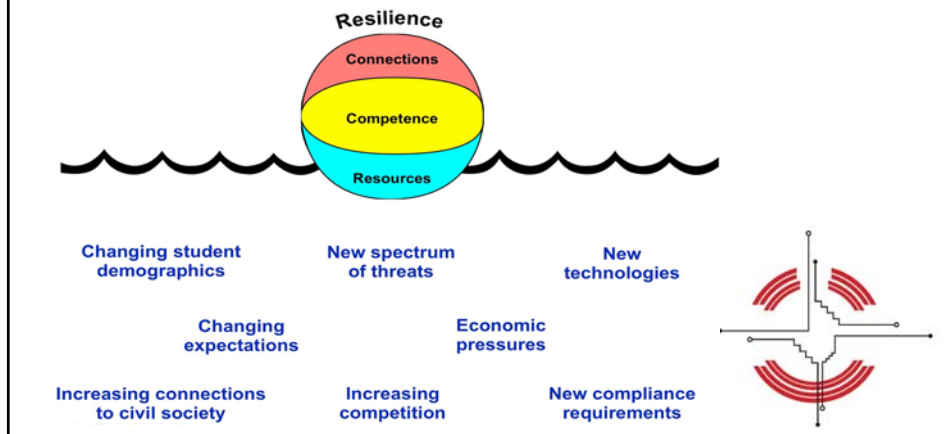


## Fundamental Questions

- A. What must my organization do to **maintain or rapidly recover** my ability to provide normal services or functions?
- B. What can my organization do **now** that leverages our capacity to take advantage of opportunities created by turbulence and change?
- C. How can we **embed** resilience thinking into our day-to-day life?



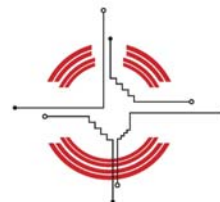
## What are the challenges and opportunities that colleges and universities face today? Resilience Addresses College and University Challenges



## Four Campus Resilience Principles

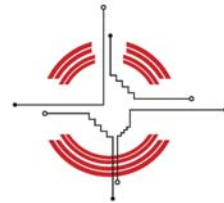
The four resilience principles found to be applicable to civic communities as well as colleges and universities include:

1. **Leadership** is critical
2. Building resilience is a “**whole campus**” effort
3. Resilient colleges and universities **focus on recovery** (sustainability)
4. Resilient institutions **embed a “culture of resilience”** into everyday activities



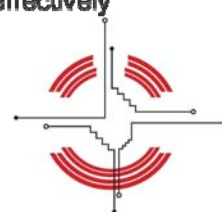
Who are those leaders that can emerge from within the university and how can they be empowered?

How does a college or university “embed” resilience into daily activities given the pace of life on campus and the many daily stresses to be dealt with?



### What We Were Told (and Believe)

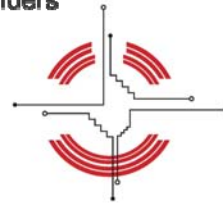
- **CaRES was created based on college and university feedback regarding resilience. Major responses included:**
  - Colleges and universities have characteristics of communities and of enterprises; attention to both is essential
  - Resilience arises from efforts of the entire enterprise or community – so “silos” have to think beyond their strict boundaries
  - Resilience involves a careful look at direct dependencies as well as a web of second and third level interdependencies
  - Improved resilience builds capacity to recognize and take advantage of opportunities, and to manage change effectively



## CaRES is Largely Based On...

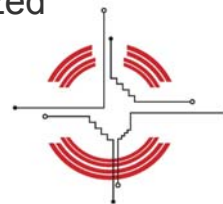


- **Completed On-Campus Sessions with 7 Partner Schools**
  - Meetings with 150+ campus leaders
  - 25 hours of broad campus/community meetings (500+ participants)
- **Catalogued and analyzed hundreds of resources, practices, examples, and stories regarding campus resilience**
  - 50+ hours of assessment and action planning workshops (~200 participants)
  - 500+ interviews of faculty, staff, students, stakeholders



## What is the Campus Resilience Program?

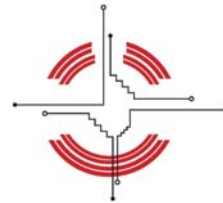
- A systematic, practical way to build a resilient college or university
- A long-term commitment
- A practical, flexible, web-enabled system
- An opportunity to lead an IHE resilience movement
- An opportunity to become a recognized “Resilient College / University”



## CaRES Bases

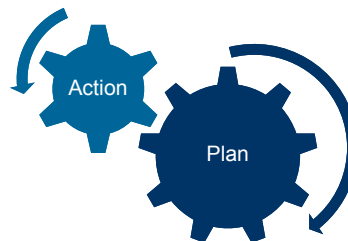
CaRES is built around the idea that:

- The **whole** campus must be represented
- The system must be scalable and flexible
- The system should rely on existing campus expertise and enabled campus facilitators
- The entire process must be action oriented
- The system and process must be U<sup>3</sup>
  - Useful, Usable, **USED**



## CaRES: The System

- A practical, usable process and tool kit developed in cooperation with university partners
- Four major modules:
  1. Organize
  2. Assess
  3. Act
  4. Evaluate
- Guides for process; tools and resources to support implementation; tips, stories, help as examples
- Intent is for process and tools to work within existing university plans and programs



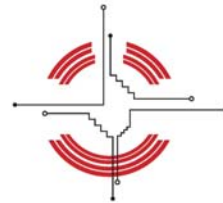
## CaRES: Engaging Leaders and Establishing a Baseline

### Module 1: Organize

- Supports campus leaders in getting efforts organized and communicated across campus leadership, and down through all domains of campus
- Tools include:
  - Risk assessment
  - Resilience assessment for leaders

### Module 2: Assess

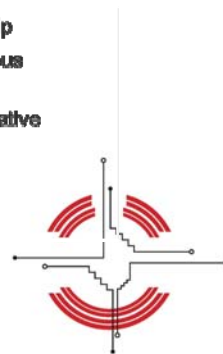
- Helps campus assess their resilience in 15 functional areas (CaSAs)
- Tools include
  - CaSA Assessment
  - Facilitator Resources and Help



## CaRES Campus Service Areas (CaSAs)

- Designed around requirements in 15 Campus Service Areas (CaSAs)
  - CaSA is a suite of functions that meet certain areas of need on campus
  - Questions derived from functional and mission requirements, regulatory compliance obligations, other standards, as well as the Community and Regional Resilience Institute's (CARRI) knowledge base
  - “Whole campus” approach:

- |                                     |  |                        |
|-------------------------------------|--|------------------------|
| 1. Academic                         | 5. Facilities, Campus Housing & Transportation | 10. Leadership         |
| 2. Campus Life                      | 6. Utilities                                   | 11. Off-Campus Housing |
| 3. International Programs           | 7. Safety & Security                           | 12. Administrative     |
| 4. Information Technology & Records | 8. Communications                              | 13. Health             |
|                                     | 9. Cultural & Athletics                        | 14. Finance            |
|                                     |  | 15. Research           |



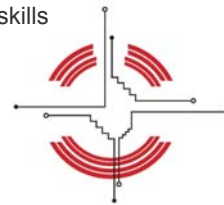
## CaRES: Resilience in Campus Operations

### Module 3: Act

- Provides resilience actions for gaps identified in assessments and supports campus in development of Resilience Playbooks that outline recovery of campus functions and life
- Tools include:
  - ~400 Potential Actions to improve resilience
  - Resources to support each potential actions
  - Templates for institution- and unit- level playbooks

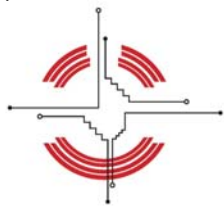
### Module 4: Evaluate

- Provides guides and examples of exercises, tabletops, and practice scenarios that will aid campuses in exercising resilience skills
  - Tools include:
    - Tabletop and Exercise scenarios and examples
    - After Action evaluation guides



## NTU Resilience Program

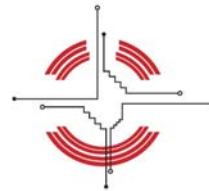
- Key point of the Resiliency program will be to ensure that a **plan is in place to recover and continue** NTU services.
- This program is a supplement to the Emergency Management Plan and an objective in the Safety & Security goal of the NTU Strategic Plan.
- Key milestones in campus' timeline –
  - Team of 8 staff were trained
  - Leadership team has been assessed
  - Emergency Management Plan (in revision)
  - NTU Leadership Team Crisis Recovery
  - Playbook (in development)





## CaSA Assessment Questions

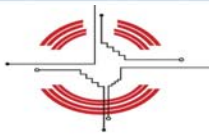
- Based on aspects of functions **KNOWN** to be associated with or to **indicate** resilience = *Indicator Questions*
- Reveal areas where resilience is weak or has a gap
- Aid in recognition of assets and capabilities to be harnessed for resilience
- Support identification of mitigative, remedial or protective actions that ensure campus thrives during routine operations and recovers rapidly when disrupted



## Indicator Questions Grouped by Threat Category

- ONLY categories triggered by the **Risk Assessment** appear in Assessment
- Based on the **type of impact**, there are 6 Threat Categories:
  1. General Resilience Cyber
  2. Economic
  3. Extensive Damage
  4. Health
  5. Loss of Life
  6. Cyber

Risk	General Resilience	Extensive Damage	Loss of Life	Financial	Health	Cyber
Active Shooter	√		√		√	
Explosions	√	√	√	√	√	
Fighting	√	√	√			
Kidnapping/ Hostage	√		√		√	
Cyber	√					√
Foodborne/ Infectious Disease	√		√		√	
Extreme Temperatures	√		√		√	
Flood	√	√	√	√		
Hurricane/ Tornado/Severe Windstorm	√	√	√	√		
Land/mudslide	√	√	√	√		
Snow	√		√	√		
Scandal	√			√		
Chemical Release	√		√		√	
Power Plant Accident	√	√	√	√	√	
Loss of Funds/ Recession	√			√		

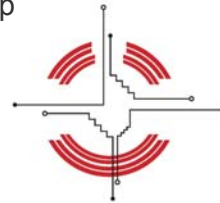


## Significant Risks and Relevant Threat Categories

When thinking of risks that colleges and universities actually face, consider the following:

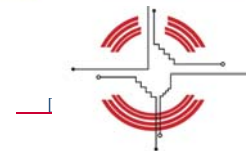
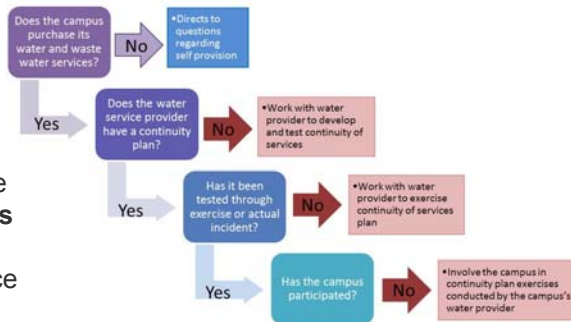
- What has happened in the past?
- What is likely to happen in the future?
- How will that impact your campus?

- Identify Significant Risks identified by LT Risk Assessment
- Identify Threat Categories to be covered in Workshop CaSA Assessment



## Assessment Questions Arranged in Threads by Threat Category

- Questions for a given CaSA are often linked – answers to one question lead to additional questions (a *thread* of questions around a single indicator)
- Answers “tee up” additional questions to further explore that indicator
- **Potential Actions** are generated by answers indicating a gap or weakness in resilience of that indicator



## “Ground Rules” for Assessment Answers

- Yes or No binary format allows the system to trigger a **Potential Action** when the answer indicates a resilience weakness or gap
  - Generally when a NO occurs
- Rules of Engagement
  - To be answered by a generalized group “consensus”
  - **UNLESS** everyone knows the answer is a **YES**, then it is a **NO**
  - When in doubt, **the answer should be the one which triggers a Potential Action**

International Programs

Assessment

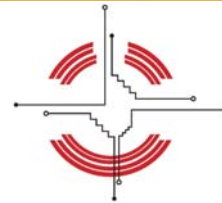
Have the legal requirements for international students/scholars to maintain immigration status been incorporated into the IHE's emergency planning?

Yes  No Comments:  X E

Have staff members of the office responsible for international students and scholars received the training required by the Student and Visitor Exchange Program and Bureau of Educational and Cultural Affairs?

Yes  No Comments:  X E

Has the IHE created a protocol to inform the parents, embassies, and consulates of international students and scholars of operational status and emergencies?



## Binary Format Example

Joe, the campus emergency manager knows the Emergency Response plan and knows that in a physically destructive disaster, **there is an agreement to use classroom space in the large Education Building of the local Community Church.** The *Dean of Academics, however, only knows there is some plan to re-locate classes but doesn't know specifics and hasn't read the plan enough to know where to find the answer.* Joe is out of town on the day of the assessment workshop.

If the question is, “**Does your campus have a plan to continue classes in off-campus locations?**”

Academic Services

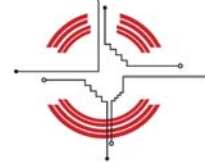
Assessment

If classes on campus are interrupted for an extended period of time due to a major crisis, does the institution have a plan for providing classes via alternative means including at another institution or online?

Yes  No Comments:  X E

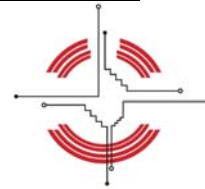
**The answer is NO.**

- “No” triggers the system to suggest Potential Action
- The Comment Field
  - allows assessing team to capture the specific issue
  - linked to Potential Action to facilitate better interpretation and application



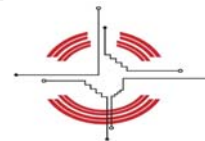
## Survey of TCUs

Type of Document	Plan in Place	Draft or in development	Similar Document	Planning on developing one	Nothing	Did not Respond
Emergency Response Plan	<b>10</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>21</b>
Resiliency Plan for entire campus	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>14</b>	<b>21</b>
Continuation of Operation Plan for facilities	<b>3</b>	<b>3</b>	<b>0</b>	<b>1</b>	<b>9</b>	<b>21</b>

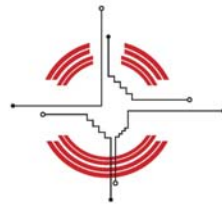


## How will CaRES benefit TCUs?

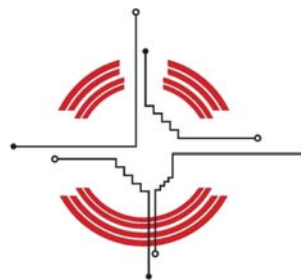
- Understanding of TCU and level of Preparedness (Mitigation) through the Assessment.
- Institutional Planning – Priorities/Leadership
- Collaboration – Campus Involvement
- Sustainability
- Continuation of Academics and Services
- Contingency and Financial Planning -  
“The Playbooks”




# Questions?



**Ahe'hee**  
THANK YOU FOR YOUR TIME AND CONSIDERATION








**AMERICAN INDIAN  
HIGHER EDUCATION CONSORTIUM**

**The AIHEC Plan:  
*Vision for the Movement***  
July 13, 2016



TRIBAL Colleges. *Zakooling. Engaging. Innovating. Sustaining.*

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**Vision for the Movement:  
*advancing students + advancing tribal nations***

AIHEC envisions strong sovereign Tribal Nations through excellence in **TRIBAL** higher education, where all American Indians and Alaska Natives have equity in access to college programs that are culturally, spiritually, place, and linguistically grounded, where our Tribal nations have the tools they need to thrive as globally-engaged responsible nations, and where our citizens have the resources and support they need to lead healthy lives confident in their own identity for generations to come.



TRIBAL Colleges. *Zakooling. Engaging. Innovating. Sustaining.*

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**DRAFT:  
AIHEC Plan  
Vision for the  
Movement  
2016-2020 Goals**

-  **Sustaining:** *Securing full funding to equitably meet the operational needs of all TCUs.*
-  **Educating:** *Sharing the unique story of TRIBAL higher education through relevant, efficient and timely data collection, reporting, and outreach.*
-  **Innovating:** *Strengthen Tribal communities, sustaining our lands and environments, and promote resiliency among our people.*
-  **Engaging:** *Ensuring TCU student success through culturally-grounded community-based practices, cradleboard to career.*
-  **Honoring:** *Sustaining the TCU Movement through practices that honor our past and support our future.*



TRIBAL Colleges. *Zakooling. Engaging. Innovating. Sustaining.*

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**Sustaining: Securing full funding to equitably meet the operational needs of all TCUs.**

- Achieve FULL and forward funding for all TCUs, ensuring the long-term viability of existing TCUs while fairly supporting emerging TCUs
- Develop an equitable universal formula to adequately measure real TCU operating needs
- Gain key commitments for equity in funding for federal land-grant and STEM programs
- Increase state and tribal support through innovation and ROI outreach
- Sustain advocacy and partnerships with national organizations
- Continue strong, accountable central office through an aggressive private sector funding effort for AIHEC organizational advancement




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**Educating: Sharing the unique story of TRIBAL higher education through relevant, efficient and timely data collection, reporting, and outreach.**

- Build foundation and implementation plan for a national TRIBAL accreditation body.
- Complete AIHEC AIMS transformation into user-friendly, community relevant data collection system
- TCU leadership development program
- TCU Communities of Practices and Continuous Improvement programs
- Tribal College Journal assessment, ensure AIHEC branding




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**Innovating: Strengthen Tribal communities, sustaining our lands and environments, and promote resiliency among our people.**

- Develop and test framework for reclaiming ownership of Tribal education: ensure culturally-and community-relevant grounding in pre-K-20 tribal programs through innovative use of Indigenous Evaluation Framework
- Expand and promote best practices in Native language teaching and learning
- Grow and expand JOB CREATION initiative: advanced manufacturing, TCU student internships, and new industry partnerships – address federal/tribal roadblocks to innovation
- Develop action plan for AIHEC's National TRIBAL University System
- Behavioral health initiative expansion
- **CIRCLE:** aggressively launch tribal ownership of research, ICBPR initiative




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*Honoring: Sustaining the TCU Movement through practices that honor our past and support our future.*

Institutionalize board governance and meeting practices: 2-year schedule, format, training, history, etc.

- Re-invigorate new presidents' orientation and mentoring program
  - Honor past and future at AIHEC meetings
- Institutionalize emerging TCU outreach and support (plan)
  - Develop plan to sustain AIHEC central organization




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**Place-based TRIBAL Education – Unique Missions to Transform & Sustain Native Nations**

 <p><b>SUSTAINING TRIBAL CULTURE &amp; SELF-DETERMINATION</b>                  Native Language Restoration                  Land and Water Stewardship                  Food Sovereignty                  Cultural Traditions                  History &amp; Memory</p>	 <p><b>Comprehensive Education &amp; Social Systems</b>                  Health Care &amp; Social Care                  Workforce &amp; E&amp;E                  Native World View                  Behavioral Research                  Prevention                  Behavioral Health/Historical Trauma</p>	 <p><b>Preparing Professional Workforce &amp; Creating Jobs</b>                  Training &amp; Social and Behavioral                  Training, TCU, Tribal Nation                  Native Environmental Science, Technology &amp; Natural Resources                  Research, Indigenous                  Participatory Research                  Job Creation</p>	 <p><b>Economic Impact &amp; Civil Government</b>                  NO TOXIC SUBSIDY: Native Economy                  Student Leadership, Entrepreneurship, Civic Engagement</p>
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**Building Tribal Nations**




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# **TCU Funding: *Is a Universal, Need-based Funding Formula Possible?***

2016 Summer Board of Directors Meeting  
July 13, 2016



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

## **Session Agenda:**

- **Setting the Context: Evolution of TCU Authorities**
- **Review of Different Funding Sources**
- **Formula Models**
  - HINU/SIPI
  - Senate Committee Language
- **Discussion of TCU Need-based Formula Elements**



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

# TCU Operating Funding Responsibility and Return:

## Federal Government

- Operating Authorities (\$114.2M)
- Pell Grants (85% of students @ \$5800)

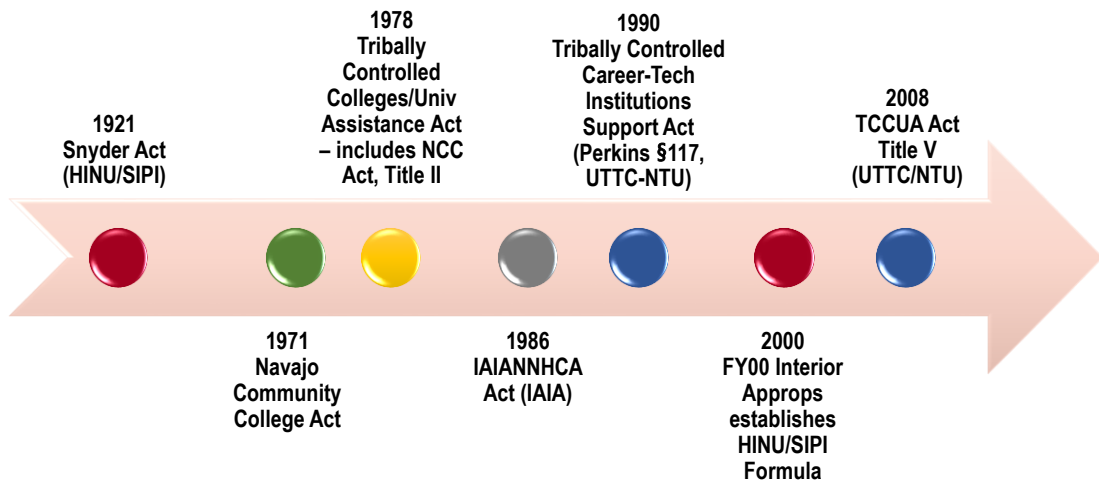
Tuition & Fees (avg. \$3268)

Tribal Governments



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

## Federal TCU Authorizing Legislation Timeline



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

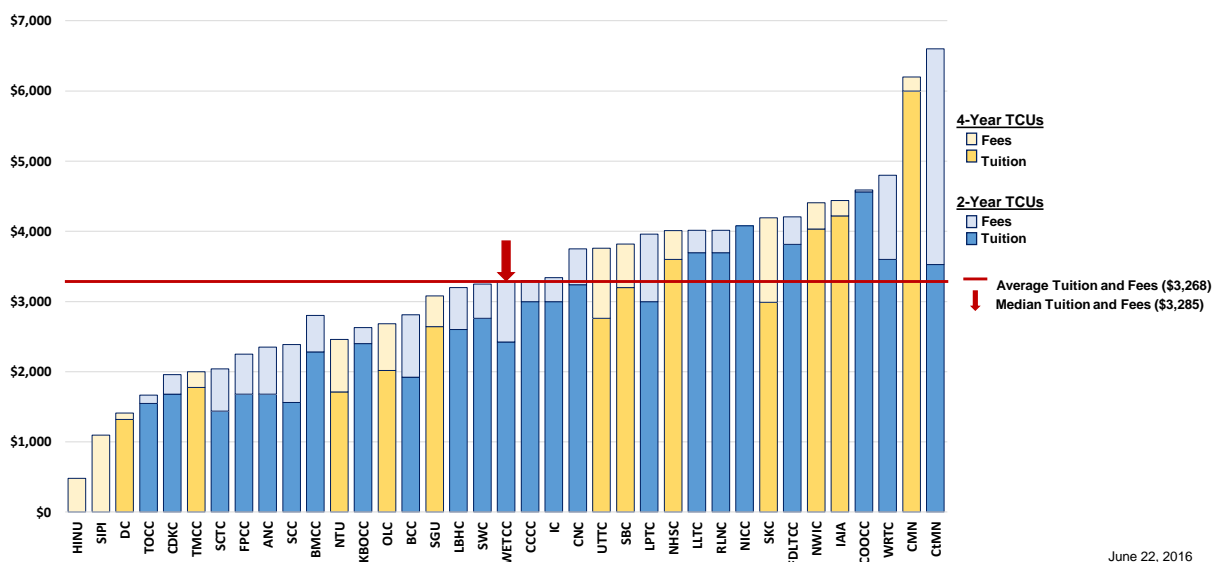
## Federal Appropriations & AIHEC Funding Requests

TCU AND AUTHORITY	FY 2016 APPROPRIATED	FY 2017 BUDGET REQUEST	FY 2017 AIHEC REQUEST
<b>Tribally Controlled Colleges and Universities Assistance Act [25 USC 1801 et seq.]</b>			
Title I (27 TCUs) & Title II (Diné)	\$69.1M	\$69.1M	Title I: \$8K/ISC + Title II: \$17.7M <b>Total: \$89.2</b>
Title IV / Perkins Act (UTTC & NTU)	\$6.8M / \$8.3M	\$7.4M / \$8.3M	\$11M / \$10M <b>Total: \$21M</b>
<b>AI/AN&amp;NH Culture &amp; Art Development Act [20 USC 4411]</b>			
IAIA	\$9.5M	\$11.9M (including \$2M for FF)	\$9.8M + \$5.1M to FF <b>Total: \$14.9M</b>
<b>BIE Postsecondary Institutions - Snyder Act [25 USC 13]</b>			
HINU & SIPI	\$19.8M	\$21.8M	\$23M + \$14.8M to FF <b>Total: \$37.8 M</b>



TRIBAL Colleges: Educating, Engaging, Innovating, Sustaining

## The Role of TCU Tuition & Fees: AY 2015-16



June 22, 2016

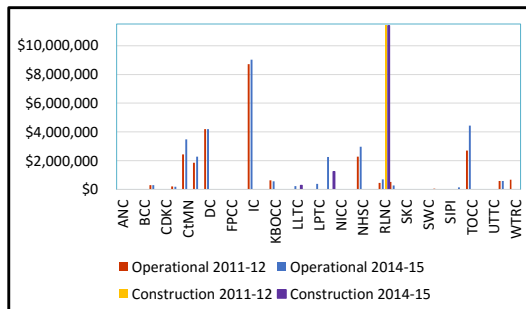


TRIBAL Colleges: Educating, Engaging, Innovating, Sustaining

## Tribal Investments in TCUs

TCU	2011-12		2014-15	
	Operational	Construction	Operational	Construction
CCCC	\$300,000	\$0	\$300,000	\$0
CMN	\$209,103	\$0	\$191,722	\$0
CMN	\$2,447,915	\$0	\$3,489,630	\$0
CNC	\$1,850,000	m	\$2,272,359	\$0
DC	\$4,200,000	\$0	\$4,200,000	\$0
IC	\$8,714,393	\$0	\$9,012,925	\$0
KBOCC	\$641,750	\$0	\$566,900	\$0
LLTC	\$0	\$0	\$231,640	\$300,000
LPTC	\$0	\$0	\$400,000	\$0
NTU	m	m	\$2,250,000	\$1,250,000
NHSC	\$2,280,325	\$0	\$2,964,000	\$0
RLNC	\$450,000	\$11,400,000	\$700,000	\$11,400,000
SCTC	\$534,517	\$0	\$268,389	\$0
SBC	\$60,000	\$0	\$0	\$0
SCC	\$0	\$0	\$151,931	\$0
TOCC	\$2,700,000	\$0	\$4,444,300	\$0
WETCC	\$600,000	\$0	\$600,000	\$0
WTRC	\$675,000	\$0	m	m
<b>Total</b>	<b>\$25,663,003</b>	<b>\$11,400,000</b>	<b>\$32,043,796</b>	<b>\$12,950,000</b>

19 TCUs = NO Contribution from Chartering Tribe  
 18 = Some Contribution



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

## The Economic Impact of Tribal Colleges

March 2016:

**“...I read your economic study today and found it to be very helpful--particularly the part about the benefit-cost ratio... I am thinking of other sources of income for TCUs. Does AIHEC compile data on donations to TCUs from alumni and tribal governments? I'm looking for a potential talking point about how the wealthier tribes and alumni are strong donors because they recognize how TCUs are part of the equation for lifting Indian country out of poverty.”**

Congressional Staff



**Rol: For Every \$1...**  
**Federal: \$2.40**  
**State/Region: \$5.20**  
**Students: \$4.10**



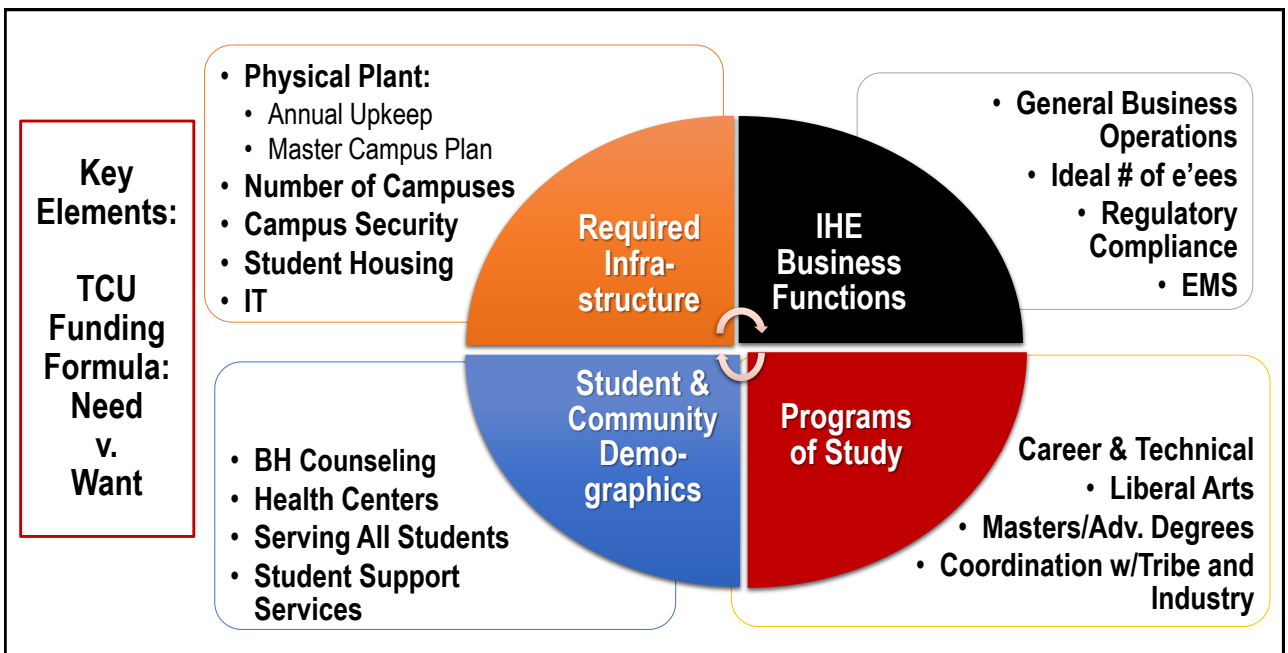
TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

# Senate Interior Appropriations Report, FY2017

...The Committee strongly supports the work that tribal colleges and universities do to provide high quality, affordable higher education opportunities to Native students... The Committee also recognizes that many tribal colleges have **significant unfunded needs** and **directs the Bureau** to work with tribal leaders and other stakeholders to **develop a consistent methodology** for **determining tribal college operating needs to inform future budget requests**. The Committee expects the methodology to address operating and infrastructure needs including classrooms and housing.



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

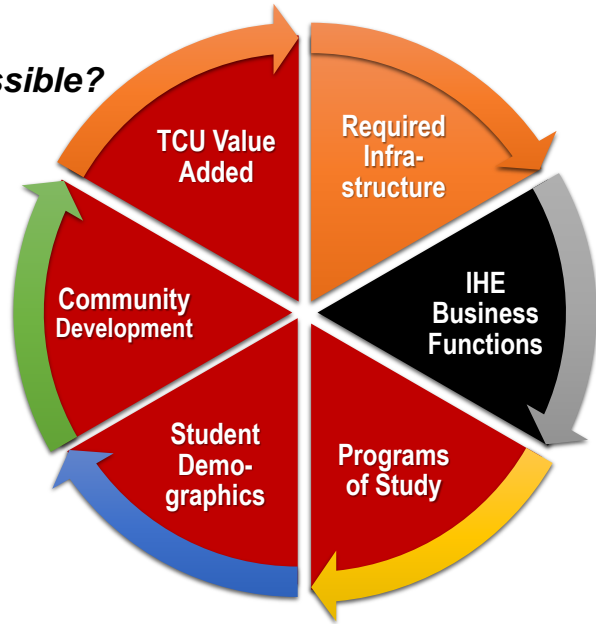


TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

## TCU Funding: *Is a Universal, Need-based Funding Formula Possible?*

### REVISED BREAK-OUT Working Groups:

In small groups,  
Presidents will  
Brainstorm Key  
Need/Cost Elements  
in 6 Areas



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

## Discussion & Reporting Out:


*Is there a minimum level needed to operate a basic TCU?*

*How do quantify costs of being "open door", student preparation, community demographics, tribal political situations?*

- **Required Infrastructure:**
- **IHE Business Functions:**
- **Student Demographics:**
- **Programs of Study:**
- **Student Demographics:**
- **Community Development:**
- **TCU Value Added:**



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*



**AMERICAN INDIAN  
HIGHER EDUCATION CONSORTIUM**

**TCU Enrollments: What's Working?  
What's Challenging? What's Possible?**

2016 Summer Board of Directors Meeting  
July 13, 2016

**NAIHEC** TRIBAL Colleges. *Excelling. Engaging. Innovating. Sustaining.*

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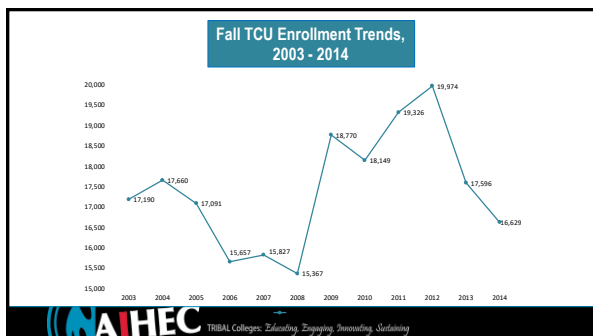
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2-year degree: 374-year; 13 Masters: 5	61% Female 39% Male	
Average Age: 16-24, but many still are "non-traditional"	Financial Aid: 78% Average Income: \$15,000	
73% are 1 <sup>st</sup> Generation	TCU students bring family, history, & hope.	

**NAIHEC** TRIBAL Colleges. *Excelling. Engaging. Innovating. Sustaining.*

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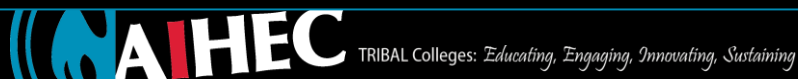


AMERICAN INDIAN HIGHER EDUCATION CONSORTIUM				
FY 2016 CENTRAL OFFICE, & TECHNICAL ASSISTANCE PROGRAM				
CONSOLIDATED BUDGET SUMMARY - (Draft)				
FY 2016 DRAFT BUDGET - SUMMARY				
		CENTRAL	BIE	TOTAL
		OFFICE	T/A	
Description	Acct			FY 2016
Combined Federal Campaign Pledges	402	\$ 7,000		\$ 7,000
BIA Technical Assistance Grant	405		\$ 601,000	\$ 601,000
AIHEC Membership Dues	410	\$ 853,150	\$ -	\$ 853,150
Interest Income	440	\$ 400		\$ 400
A*CF Contract Oct-Dec 2014	470		\$ -	\$ -
A*CF Contract Jan-Sep 2015	470		\$ -	\$ -
2014 Carry over			\$ -	\$ -
<b>TOTAL REVENUE</b>		<b>\$ 860,550</b>	<b>\$ 601,000</b>	<b>\$ 1,461,550</b>
			\$ -	\$ -
Salary	500	\$ 533,503	\$ 334,200	\$ 867,703
Consultants	504	\$ 149,000	\$ 27,000	\$ 176,000
Telecommunications	515	\$ 15,200	\$ 5,600	\$ 20,800
Meetings	522	\$ 34,500	\$ 61,000	\$ 95,500
Staff Training	526	\$ 500	\$ 500	\$ 1,000
Miscellaneous Office Supplies	530	\$ 23,800	\$ 23,500	\$ 47,300
Reimbursed Expenses	545	\$ 8,800	\$ 2,000	\$ 10,800
Travel	550	\$ 23,450	\$ 45,700	\$ 69,150
Audit Fees & Taxes Services	559	\$ 36,500	\$ -	\$ 36,500
Design Services & Graphics	560	\$ 1,000	\$ 1,000	\$ 2,000
Legal Fees	561	\$ 1,500	\$ -	\$ 1,500
Payroll Services & Bank Fees	563	\$ 18,000	\$ -	\$ 18,000
IT & Website Support	564	\$ 22,000	\$ 25,000	\$ 47,000
REIT Utilities, Repairs & Maintenance	568	\$ 60,000		\$ 60,000
Insurance - Business	572	\$ 3,000	\$ -	\$ 3,000
Dues	574	\$ 54,000	\$ -	\$ 54,000
Archive Storage Fees	576	\$ 2,500	\$ -	\$ 2,500
Employee Recruitment Expense	577	\$ 1,500	\$ -	\$ 1,500
Advertising & Promotion	578	\$ 1,000	\$ -	\$ 1,000
AIHEC TCJ - Publication Expense	580	\$ 45,000	\$ -	\$ 45,000
Entertainment/Miscellaneous	583	\$ 10,000		\$ 10,000
Indirect Exp Alloc	589	\$ (195,000)	\$ 66,000	\$ (129,000)
Equipment (<\$5K) Expense	590	\$ 7,000	\$ 6,000	\$ 13,000
Equipment Repairs & Maintenance	591	\$ 2,500	\$ 2,500	\$ 5,000
Computer Software	593	\$ 1,297	\$ 1,000	\$ 2,297
<b>TOTAL EXPENSE</b>		<b>\$ 860,550</b>	<b>\$ 601,000</b>	<b>\$ 1,461,550</b>
<b>NET REVENUE OR (EXPENSE)</b>			<b>\$ -</b>	

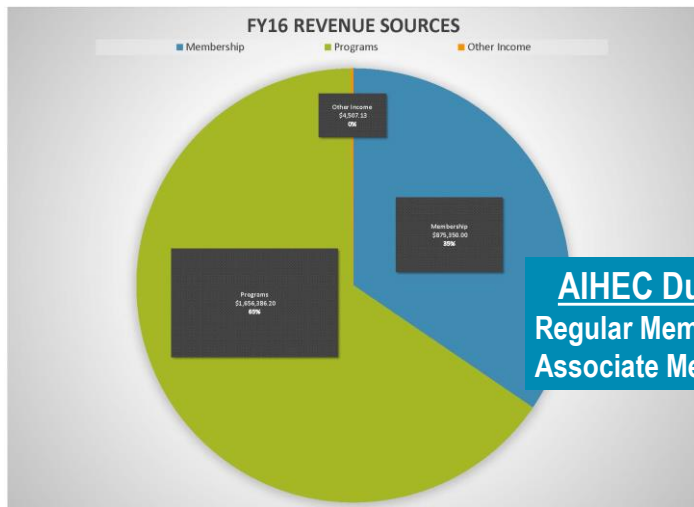


# Budgeting for the Future

July 13, 2016



## AIHEC Revenue Sources



**AIHEC Dues, FY2017**  
 Regular Members: \$ 25,234  
 Associate Members: \$6,700

*Additional revenue streams will control the growth in dues – An endowment will help sustain AIHEC for future generations.*

Description	FY 2016 BUDGET		FY 2016
	Actual	%	
Continental College of Cherokee Pattern	202	7,200	9,700
Ind. Tribal Institutions	400	800,000	800,000
AIHEC Membership Dues	240	400	4,000
AIHEC Governmental Support	250	1,000	1,000
AIHEC Governmental Support	250	1,000	1,000
<b>TOTAL MEMBERSHIP</b>	<b>1,302</b>	<b>809,600</b>	<b>816,700</b>
Other Income	4,507	9%	4,507
Programs	51,996	89%	51,996



**PROPOSAL for an RFP: Development of an AIHEC “Foundation for the Future of America's Tribal Colleges” – First step: A Plan**

**July 14, 2016**

Given the critically important needs of so many of the communities where the Tribal Colleges operate and the apparent concern, compassion, and readiness to assist by a range of leaders from the public and private sector, we propose to contract with an outside firm to develop a plan for “***The Foundation for the Future of America's Tribal Colleges.***”

The new foundation will be designed to:

- Attract high-level leaders to become engaged in support of Tribal Colleges.
- Raise new private sector funding to support critical short- and long-term needs of Tribal Colleges.
- Create a new set of committed and engaged leaders to help promote understanding and appreciation of Tribal Colleges among key public and private sector leaders.
- Attract new sources of economic development and other help to Tribal Colleges.

**GOALS**

The goals of this proposal will be to:

1. Work with the AIHEC board and others to assess opportunities and challenges for a new foundation to support the Tribal Colleges that could have the greatest value and effectiveness.
2. Develop a plan for consideration of AIHEC's Board to create the “***Foundation for the Future of America's Tribal Colleges.***”

**SERVICES AND WORK MADE FOR HIRE REQUIRED:**

To achieve these goals, we need:

1. **A review and assessment of the previous experiences of AIHEC and other Indian-serving institutions in attracting private sector support for the Tribal Colleges, including creating the American Indian College Fund.**
  - A. Review with AIHEC its previous experience in attracting external funders, leaders, and organizational support for the work of the Tribal Colleges. The focus should be on successes and “lessons learned” from situations that were and were not successful, to inform the design of the new Foundation.
  - B. Review the process used and lessons learned from creating the American Indian College Fund.
  - C. Review the list of key leaders who have been – or possibly could be – engaged in supporting the work of the Tribal Colleges, who should be considered for Board membership and/or other positions with the new Foundation.
  - D. Review current outreach and engagement efforts with the private sector for assistance to AIHEC and individual Tribal Colleges.

2. **Critical priorities for the Tribal Colleges.** Under this category of assistance, we need:
  - A. Review with AIHEC leaders and designees the most crucial near-term priorities for enhancing the impact, value, and organizational strength of the Tribal Colleges as a group and specific urgent needs of selected individual Tribal Colleges.
  - B. As approved by AIHEC, receive guidance from Tribal College leaders regarding near-term needs/opportunities for engagements in their communities that could result in large-scale, long-term impacts on their communities and educational offerings that might serve as early priorities for the new Foundation.
  - C. Consider long-term strategic goals (such as an endowment) to meet the important longer-term needs of selected Tribal Colleges that should be part of the Foundation's goals.
  
3. **Identify, assess, and recommend potential public and private sector leaders for the Board and/or other roles with the new Foundation.** Under this category of assistance, we need:
  - A. Work with AIHEC to identify 10-20 individuals who have demonstrated genuine concern, commitment, and compassion for Native Americans and the Tribal Colleges and who have shown high levels of professional achievement, who should be considered as prospective Board members.
  - B. Provide additional names of leaders of distinction who might be attracted to the Foundation, with its focus on enhancing the value and impact of the Tribal Colleges on Native American populations.
  - C. From the two lists, develop a final list of suggested leaders to serve as Chair, Vice Chairs, and in other leadership roles in the new Foundation.
  - D. As approved by AIHEC, conduct initial outreach to those leaders to seek their advice and recommendations on how to organize, focus, prioritize, and secure recurring sources of financing for the new Foundation – a process that would also help to demonstrate their readiness and interest in being considered for the Board of the new Foundation.
  
4. **“Benchmarking” and analyzing examples of successful organizations.** Under this category of assistance, we need:
  - A. Analysis of the success and challenges of organizations who have been established by selected other education, workforce, and related organizations to support their goals and objectives.
  - B. Discussions with 3-5 of those organizations to gain additional insights and understand of how they have cost-effectively organized and sustained the supporting foundations and other organizations.
  - C. Preparation of Findings and Recommendations from this benchmarking process as part of the Final Report regarding the proposed creation of the Foundation.

5. **Prepare a plan for the “*Foundation for the Future of America’s Tribal Colleges*”.** Under this category of assistance, we will require a draft plan for the “*Foundation for the Future of America’s Tribal Colleges*”. This document should include:
- A review of the work performed.
  - Findings and Conclusions from the work conducted under this agreement.
  - Recommendations on how the Foundation might best be organized and the priorities of possible short- and long-term objectives for the Foundation.
  - A list of suggested leaders to serve on the Board, as well as a list of candidates for top leadership roles of the Foundation.
  - Suggested management options for the non-profit organization, describing the advantages and disadvantages of each.
  - A proposed operating budget for the first two years of the Foundation, separate from the resources needed to meet the goals to support Tribal Colleges established by AIHEC and the new Foundation’s Board.
  - A proposed recurring resource development plan to sustain the Foundation on an ongoing basis.
  - A timeline for implementing the plan and for the new Foundation to become self-sustaining.
  - A description of the risks and rewards of proceeding with creating the Foundation.

## REAUTHORIZATION OF THE TRIBAL COLLEGE ACT: REVIEW OF POSSIBLE ADDITIONAL AMENDMENTS

July 13, 2016

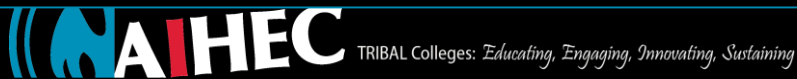
- 1. Dual Credit students.** Currently, the law does not allow TCUs to count students that are enrolled in dual credit programs. By adding the word “solely” into current law, as illustrated below, would make dual credit students part of the ISC.

*“No credits earned by such student for purposes of **solely** obtaining a high school degree or its equivalent shall be counted toward the computation of the Indian student count.”*
- 2. On-Campus Focus for Eligibility.** An amendment to focus establishing eligibility for funding under the Tribal College Act only on a TCU’s on-campus students so that TCUs may grow online programming. This could be accomplished by adding the word “on-campus” in §1804(3) of the Act (Eligible grant recipients) and separates the issue from the ISC formula, as follows: *“(3) **on-campus** has students a majority of whom are Indians;”*
- 3. Flexibility for Compressed or Block Academic Courses:** During the recent BIE-AIHEC webinar session on ISC calculations, TCU administrators expressed concern that students enrolled in a compressed and block academic program often do not begin at the start of a “regular” term and therefore cannot be counted in the institution’s ISC. The potential problem is the TCU Act’s restriction on counting credits earned if students *enroll in course more than three weeks after the term begins*. This amendment clarifies that academic credits can be earned for courses that begin at any time during a regular scheduled semester or quarter (term).
- 4. Endowment Program:** Two amendments proposed to the TCCUAA/BIE endowment program, are:
  - (1) sunset the limitations on the current permanent TCCUAA endowment program at 20 years, similar to the DoEd (Title III) endowment program; and
  - (2) provide a mechanism for paying back funds without a significant penalty when funds have been inadvertently or otherwise withdrawn from a college’s endowment account, using a process similar to that used by the DoEd, which allows an institution to use and then payback without penalty interest income for emergencies or serious cash shortfalls.
- 5. Prior-Prior Year ISC:** Each year the distribution of operating grants is held up while the BIE gathers and confirms the immediate prior year’s average ISC. TCUs are unable to accurately budget for the coming year because the per student distribution figure is not available. If the BIE used the prior-prior year’s average ISC, the numbers would be available, the BIE could do the necessary calculation to determine the per Indian student funding level earlier in the year. TCUs would know the amount that they would be receiving on July 1, and the BIE should be in a position to get the funds out the door the first week of July. [NOTE: a change to current law is not required to implement this change, but BIE has not acted on this request.]
- 6. Fall Head Count Reporting Date:** Should the report date remain “at the conclusion of the third week of each academic term” or be amended to October 15, to be consistent with IPEDs?
- 7. Alaska Native Student:** Alaska Native organizations have indicated a possible need to expand the commonly used definition of “Alaska Native.”



# Legislative Issues: Potential TCU Act Amendments

July 13, 2016



## BMCC Proposal on Online Students: Pros & Cons

*Amendment separates eligibility from ISC formula, for a 2-step process. Once eligibility is determined, physical location of student - Indian and non-Indian - is irrelevant*

Pros	Cons
<b>New Legislation:</b> Senate interest in new bill to help TCUs expand online offerings (statutory 50% rule including all students could limit potential/impact of such measures)	<b>Core TCU Mission:</b> Without defining ratio of on-campus to online students, online offerings could drive TCUs into for-profit mindset, leading to fundamental change in the core mission and focus of TCUs as cultural/place-based institutions
<b>Revenue:</b> Potential for added revenue (tuition, etc.) as TCUs expand online course offerings	
<b>Little Impact:</b> Online student growth has not changed onsite mission or focus universities such as ASU and Lone Star College	<b>Vultures-Shell TCU:</b> On first unofficial reading, BIE expressed opposition due to fear of for-profit "vultures" enticing some TCUs into being used as shell institutions (similar to some Indian owned corps)
<b>Urban Unmet Need:</b> Expanded TCU online programs could address unmet need of urban Indians, including culture/language needs	
<b>Awareness:</b> Opportunity to expand alumni base and increase TCU recognition	<b>Courses &amp; Students:</b> Online course delivery is different from onsite and could be expensive: student needs must be addressed, must stay current
<b>National TCU University:</b> Online course sharing is best way to achieve the National Tribal University	







**DRAFT MINUTES OF THE AIHEC 2016 SPRING BOARD OF DIRECTORS MEETING**  
**MINNEAPOLIS CONVENTION CENTER/ROOM 205**  
**HYATT REGENCY HOTEL /GREENWAY BALLROOM**  
**MINNEAPOLIS, MN**  
**MARCH 12 & 13, 2016**

- I. **CALL TO ORDER and OPENING PRAYER.** AIHEC Board Chair, Cynthia Lindquist, called to order the 2016 Spring Board of Directors on Saturday, March 12, 2016 at 10:12 a.m. (local time). President Littlebear offered a prayer to open the Spring Board Meeting.

**ROLL CALL.** Carrie Billy, AIHEC President & CEO, called the roll with the following result:

**Regular Members Present**

Aaniih Nakoda College  
 Bay Mills Community College  
 Blackfeet Community College  
 Cankdeska Cikana Community College  
 Chief Dull Knife College  
 College of the Muscogee Nation  
 Diné College  
 Fond du Lac Tribal and Community College  
 Fort Peck Community College  
 Haskell Indian Nations University  
 Iisagvik College  
 Institute of American Indian Arts  
 Keweenaw Bay Ojibwa Community College  
 Lac Courte Oreilles Ojibwa Community College  
 Leech Lake Tribal College  
 Little Big Horn College  
 Nebraska Indian Community College  
 Northwest Indian College  
 Nueta Hidatsa Sahnish College  
 Oglala Lakota College  
 Saginaw Chippewa Tribal College  
 Salish Kootenai College  
 Sinte Gleska University  
 Sisseton Wahpeton College  
 Sitting Bull College  
 Southwestern Indian Polytechnic Institute  
 Stone Child College  
 Tohono O'odham Community College  
 Turtle Mountain Community College  
 United Tribes Technical College

**Represented By**

Carole Falcon-Chandler  
 Michael Parish  
 Billie Jo Kipp  
 Cynthia Lindquist  
 Richard Littlebear  
 Robert Bible  
 Martin Ahumada (Interim)  
 Larry Anderson  
 Haven Gourneau  
 Venida Chenault  
 Pearl Brower  
 Robert Martin  
 Debra Parrish  
 Diane Vertin  
 Ginny Carney (Interim)  
 David Yarlott  
 Michael Oltrogge  
 Justin Guillory  
 Twyla Baker-Demaray  
 Thomas Shortbull  
 Carla Sineway  
 Sandra Boham  
 Lionel Bordeaux  
 Harvey DuMarce  
 Laurel Vermillion  
 Venida Chenault (Proxy)  
 Nathaniel St. Pierre  
 Paul Robertson  
 James Davis  
 Leander 'Russ' McDonald

**Regular Members Not Present**

College of Menominee Nation  
Comanche Nation College  
Little Priest Tribal College  
Navajo Technical University  
White Earth Tribal and Community College

**Thirty Regular Members present, a quorum was established.**

**Associate Members Present**

Red Lake Nation College: Dan King  
Wind River Tribal College Marlin Spoonhunter

**Official Representatives in attendance.**

Chad Waukechon, College of Menominee Nation

**II. REVIEW AND APPROVAL OF THE AGENDA**

Chair Lindquist reviewed the proposed agenda for the 2016 AIHEC Spring Board of Directors meeting and noted that the Board meeting was to take place over two days with AIHEC partners and affiliates reporting on the first day and the remainder of the full Board meeting being convened on the second day.

**MOTION:** President Yarlott moved [seconded by President Martin] that the Board approves the 2016 AIHEC Spring Board of Directors meeting agenda, as presented.

**OUTCOME:** The motion was agreed to by voice vote.

**III. REVIEW AND APPROVAL OF MEETING MINUTES**

Chair Lindquist presented the minutes of the AIHEC 2015 Fall Board of Directors meeting for consideration and approval.

**MOTION:** President Martin moved [seconded by President Kipp] that the Board approves the minutes of the 2015 Fall Board of Directors meeting (October 15, San Diego, CA), as presented.

**OUTCOME:** The motion was agreed to by voice vote, with one abstention (LBHC).

**IV. PARTNERS AND AFFILIATE REPORTS**

**AIHEC STUDENT CONGRESS (ASC):** Christopher Sindone, ASC President (Haskell Indian Nations University), offered a summary of the ASC report, which is included in the board meeting book, beginning on page 16. ASC activities included the Celebration initiative, the AIHEC and TCU Awareness Initiative, and the upcoming ASC LIFE Conference, May 24-26, 2016 at the Institute of American Indian Arts in Santa Fe, NM.

**2016 AIHEC STUDENT CONFERENCE UPDATE:** President Vertin provided an update on the 2016 AIHEC Student Conference, noting that more than 1,040 people registered for the conference,

including at least 700 students. She announced that the theme of the conference was *Harvesting Knowledge, Building Resiliency*, and that the conference was to take place March 14-16 at the Minneapolis Convention Center. Speakers included Karen Diver (Special Assistant to the President for Native American Affairs), Billy Mills (1964 Olympic Gold Medal athlete), and Heid E. Erdrich (writer/poet). President Vertin also reported that recommendations for future host committees had been forwarded to President Martin, chair of the AIHEC Student Activities Committee.

**FALCON:** A written report by John Phillips, FALCON executive director, was included in the board book, beginning on page 22. The FALCON 12th Annual Conference is scheduled for November 5-7, 2016 in Albuquerque, NM.

**TCU LIBRARIANS ASSOCIATION:** A written report from the TCU Librarians Association (TCULA) was included in the board book, beginning on page 24, including an article detailing the benefits of HEA Title III funding for TCU libraries. Chair Lindquist requested TCU presidents be included in emails to librarians requesting updates for the quarterly report. Such inclusion might help ensure that more TCUs report on their many activities and accomplishments.

**AMERICAN INDIAN COLLEGE FUND:** Cheryl Crazy Bull, A\*CF President & CEO, offered a summary of the written report included in the board book, beginning on page 34. Highlights of the report included the rise of student scholarship funding from \$7.8 million in 2016 to a predicted \$8.5 million in 2017, with a goal of raising \$10 million in scholarship funding by 2018. Ms. Crazy Bull, joined by several members of her staff, provided information about three programs that she said are in need of more involvement from the TCUs. The first program was the Environmental Sustainability Program that either creates new or expands existing environmental science programs. A\*CF made three awards (College of Menominee Nation; Nueta Hidatsa Sahnish College; and Lac Courte Oreilles Ojibwa Community College) with two more grants needing to be awarded. The second program highlighted was the newly awarded Native Youth Pathways to College grant, which focuses on college readiness and admissions. Under the new grant, the College Fund will conduct outreach and college readiness programs at high schools that serve Native students. Two TCUs will be awarded bridge grants to work with high school students. The final program discussed was the National Student Clearinghouse, in which TCUs are encouraged to participate, both for their own considerable benefit and to assist the College Fund in reporting to funders the accomplishments of TCU scholars.

**WHITE HOUSE INITIATIVE ON AMERICAN INDIAN/ALASKA NATIVE EDUCATION:** William Mendoza, executive director of WHIAIANE, provided a final report on the School Environment Listening Sessions, noting that \$5 million had been set aside for Native Youth Programs. He emphasized the need for TCUs to remain involved in the tribal consultation sessions being convened across the country from April through June, noting that following the conclusion of the consultation sessions, WHIAIANE will develop reports on various programs of note, including such topics as suicide prevention and native language preservation.

- V. RECESS TO A TIME CERTAIN:** Chair Lindquist declared the Board meeting in recess at 12:58 p.m. (local time), until Sunday morning, March 13, at which time the meeting would be reconvened at the Hyatt Regency Hotel/Greenway Ballroom.

**VI. RECONVENE THE BOARD MEETING:** Chair Lindquist reconvened the Spring Board of Directors meeting at 8:42 a.m. (local time) on March 13, 2016.

**VII. REPORT OF THE CHAIR**

Chair Lindquist presented four sets of Executive Committee meeting minutes (October, November, January, and February) included in the board book, beginning on page 45, for review and acceptance.

**MOTION:** Chair Lindquist moved [seconded by President Yarlott] that the AIHEC Board of Directors accepts the four sets of Executive Committee meeting minutes, as presented.

**OUTCOME:** The motion was agreed to by voice vote.

**VIII. AIHEC CENTRAL OFFICE REPORT**

Noting that the complete report is included in the board books beginning on page 66, Ms. Billy provided a few brief highlights from the AIHEC Central office report structured under the four goals of the AIHEC strategic plan: Educating, Engaging, Innovating, and Sustaining.

**SUSTAINING: TCU Advancement (Funding).** The importance of TCUs participating in the Department of the Interior budget assessment process was stressed, noting that TCUs need to specifically request that their tribal leaders include Tribal Colleges and Universities as a priority during the local and national Department of the Interior budgeting process.

President Bordeaux asked for a resolution regarding an official AIHEC budget (appropriations) document, which could then be taken to NCAI and other organizations for support through resolutions.

**MOTION:** President Bordeaux moved [seconded by President Parish] that the AIHEC Board of Directors supports its budget requests.

**OUTCOME:** The motion was agreed to by voice vote.

President McDonald stressed the importance of other TCU presidents' participation in representing AIHEC's positions at national organizations' meetings and conferences, such as NCAI. Ms. Billy clarified the AIHEC Central office process for creating the annual appropriations requests and noted that once the Board agrees to the request, AIHEC shares the requests with other organizations, such as NCAI and NIEA, for inclusion in their budget/appropriations request documents. Ms. Billy further explained the annual NCAI budget request process; specifically, that NCAI no longer considers annual budget request resolutions. Rather, the organization works with other national Indian organizations to develop an annual "Indian Country" budget request book, for distribution to Capitol Hill and the administration. AIHEC works closely with NCAI in producing the annual budget book, including preparing the NCAI higher education (TCU) requests. The budget request book is published every February, but work on the request begins in the late fall. AIHEC clears all budget general requests with the Executive Committee and the full Board and for TCU

operating requests (i.e. TCU Act Title II (Diné College); Carl Perkins Act and TCU Act Title V (UTTC/NTU) and Snyder Act (HINU/SIPI), AIHEC simply asks the relevant TCU or TCUs to submit a request amount, which is then incorporated in the AIHEC budget request. The request for TCU Act, Title I funding is based on the full authorized ISC level of \$8,000 per Indian student. The importance of all presidents using the annual appropriations request documents when discussing budgets with their respective tribal government was re-emphasized.

**MOTION:** Chair Lindquist moved [seconded by President Oltrogge] that the AIHEC Board of Directors designate President McDonald, based on his position on the NCAI board, as the formal AIHEC liaison to NCAI.

**DISCUSSION:** President Kipp stated that she was unsure about the intent of "liaison" and requested clarification that AIHEC staff other TCU presidents will continue to attend the NCAI meetings, as available.

**OUTCOME:** The motion was agreed to by voice vote.

**EDUCATING: Performance/Accountability.** A review of the programs for improved performance and accountability included a brief update of the Indigenous Evaluation Framework (IEF), AIHEC's partnership with ACCT for "GISS-TCU2," the second phase of our joint effort to engage TCU governing boards in data driven student success policy; and the annual CAO/financial directors/registrars meeting at Salish Kootenai College, this year to be held August 1-5, 2016.

**INNOVATING: Strengthening Communities.** Dr. Deborah His Horse is Thunder has re-joined AIHEC as the Director of the AIHEC-NARCH Research program. A second cohort of six TCUs has been selected to join the first cohort of five TCUs through AIHEC's NARCH behavioral health initiative. The six new TCUs each received \$150,000 awards over two years. Five of the Cohort 2 TCUs collectively agreed to reduce their individual award so that AIHEC could fund one additional TCU. (Cohort 1 TCUs received awards of approximately \$180,000 each.) Based on experiences thus far, AIHEC is planning to submit a second NARCH application when the program is announced later this spring. Through AIHEC's NARCH grant, the Indian Health Service awarded AIHEC additional funding to allow AIHEC to partner with SACNAS (for the third year) to send 61 TCU students and faculty to the annual SACNAS conference; AIHEC is now partnering with the Native Research Network on a \$100,000 effort to ensure strong tribal participation in the NRN biennial conference early this summer. The sixth cohort of six TCUs has been selected for the EPA-AIHEC EcoAmbassadors program. Lastly, AIHEC's Advanced Manufacturing program is taking off, with the U.S. Department of Energy expressing interest in expanding the program and including increased funding in the president's FY2017 budget request.

**ENGAGING: Student Success.** Fourteen TCUs are participating in the BIE-AIHEC College Bound Program, with awards of approximately \$50,000 each for Year 1. In conjunction with this program, AIHEC is working with the National Association of College Admissions Counselors (NACAC) to tap into their expertise in outreach and recruitment of high school students. AIHEC and the BIE hope to expand the College Bound program and continue funding at approximately \$1 million per year, but this will be contingent on the reporting of results and data from those TCUs participating in the program. The second cohort of the *AIHEC Student Success Collaborative* is currently implementing new problem-based learning strategies in TCU classrooms. Lastly, AIHEC is working with on a new initiative to improve TCU student success by solidifying institutional

practices and focusing on improvement in assessment strategies, leadership development, community accountability and making better use of data in the decision-making process. President Bordeaux asked the Board to reaffirm its goal of establishing our own accreditation body. Ms. Crazy Bull reminded the Board that AIHEC worked on the World Indigenous Nations Higher Education Consortium's (WINHEC) accrediting process, and that AIHEC had received a grant [from the W. K. Kellogg Foundation] to try the WINHEC model. Ms. Billy concurred, but noted that very few TCUs have undertaken the WINHEC accreditation process: Fort Peck Community College, Haskell Indian Nations University, and currently, Fond du Lac Tribal and Community College. She stated that much work has been accomplished by the Board's accreditation working group and AIHEC staff to lay the foundation for moving forward with our own accrediting body – adoption of a vision statement, mission, and guiding principles; work with the Council for Higher Education Accreditation (CHEA) to learn the process for earning CHEA sanction as an accrediting body, which is the precursor to seeking federal recognition as a body capable of awarding accreditation sufficient to enable accredited colleges to participate in federal Title IV (student aid) programs; development of the Indigenous Evaluation Framework, which could serve as a framework for Indigenous accreditation; and compilation of some of the required background documentation for CHEA certification. Although all of this work has been completed, AIHEC is still in the beginning stages of the process, and moving forward from where the effort is today will be lengthy, costly, and labor intensive. Members expressed concern about diverting AIHEC's limited staff from advocacy and other duties to an accreditation effort. At this point, AIHEC can only continue developing a TCU accreditation process and organization if targeted resources, including funding for a dedicated staff person, are identified. Ms. Billy stated that AIHEC had sought federal and private funding to continue the project but found little interest, with the exception of the prior Kellogg Foundation grant. If each college were to commit funds to continuing to establish a separate tribal accrediting agency, work could resume and it would demonstrate a commitment by the colleges to establish our own accrediting body.

**MOTION:** President Bordeaux moved [seconded by President Parrish] that each accredited member of AIHEC make a formal monetary commitment to establishing a separate tribal accreditation body prior to the 2016 Summer Board meeting; and further, that the American Indian College Fund be asked to make a donation to AIHEC equal to the amount of TCU funds committed.

**OUTCOME:** The motion was agreed to by voice vote.

It was noted that the BIE reorganization approved by Congress, created several new positions, including a director of postsecondary programs. The dates and locations of the remaining 2016 AIHEC Board meetings were announced as follows: summer - July 12-14 in Denver, CO and fall - October 6-9 in New Orleans, LA. Chair Lindquist reminded the Board that there will be elections for AIHEC officers (Executive Committee) for the 2016-2018 term, held during the fall Board meeting, and that she cannot serve another term as Board chair.

## **IX. SPECIAL BOARD DISCUSSIONS.**

### **(A) EMERGING ISSUES IN HIGHER EDUCATION:**

**Accreditation: Higher Learning Commission (HLC).** Barbara Gellman-Danley, HLC President, gave an overview of the new HLC strategic plan, as well as some of the emerging trends within

HLC and their impact on accreditation. The Board discussed with Dr. Gellman-Danley the need to increase the knowledge base and number of peer-reviewers at TCUs, and among peer review teams assessing TCUs, as well as the importance of each TCU orientating its site visit team about the uniqueness of the TCU mission. In response to a suggestion that the conflict of interest be lifted regarding TCU peer-reviewers being on the site visit team of other TCUs in the same state, Dr. Gellman-Danley noted that the federal government will end peer-reviews if a conflict of interest policy is removed. President Bordeaux asked if the HLC would provide resources to the TCUs to develop a separate and sovereign accreditation process. Dr. Gellman-Danley noted that colleges and universities must be accredited by an accrediting body approved by the U.S. Department of Education, if they desire to participate in the federal financial aid programs. She further offered that the Council for Higher Education Accreditation (CHEA) and the Department of Education's National Advisory Committee on Institutional Quality and Integrity (NACIQI) are good resources for exploring specified accreditation. HLC can introduce the TCUs to resources and institutions to assist them in developing a separate tribal college accreditation body, if that is the wish of the Board. Ms. Billy recommended recommencing AIHEC's work with CHEA.

**Getting Credit: Competency Based and Experiential Learning - Council for Adult and Experiential Learning Report (CAEL).** Pamela Tate, CAEL President and CEO, discussed the principles of effectively serving adult learners, including competency based education and credit for prior learning. CAEL and AIHEC are working on a joint grant application to the Lumina Foundation and other private funding resources to establish a multi-year initiative to explore implementation of competency-based learning at the TCUs. Ms. Tate discussed the steps involved in moving to a competency-based learning platform. Ms. Billy noted that under the AIHEC-CAEL comprehensive proposal, all TCUs would be involved initially and then depending on sustained commitment and interest, the number would be reduced; however, depending on funding interest, the proposal may have to be scaled back. Ms. Tate's presentation was included in the board book, beginning on page 98.

**MOTION:** President Martin moved [seconded by President Kipp] that the AIHEC Board of Directors supports the proposal drafted by AIHEC and CAEL for Adult Student Success to be submitted to Lumina Foundation and other funders.

**OUTCOME:** The motion was agreed to by voice vote.

**(B) INDIVIDUAL TCU LEGISLATIVE PROPOSALS:**

**Reauthorization of the Diné College Act:** Interim President Martin Ahumada of Diné College presented legislation introduced by U.S. Representative Ann Kirkpatrick (D AZ-1) and U.S. Senator Jeff Flake (R-AZ) to reauthorize the Diné College Act (formerly the Navajo Community College Assistance Act) and asked that the AIHEC Board of Directors supports passage of said legislation. The proposed legislation was included in the board book at page 80. While the Diné College Act is now Title II of the Tribally Controlled Colleges and Universities Assistance Act (TCU Act), operating funds for Title II are authorized based on need, rather than on Indian student enrollment, as in Title I of the TCU Act. President Shortbull asserted that supporting the reauthorization of the Diné College Act puts the Title I funded TCUs in a difficult situation because of the funding disparity. It was clarified that should the AIHEC Board choose not to support the reauthorization of the Diné College Act, it will indicate that AIHEC does not support the continuation of Diné College. The Diné College Act, with AIHEC's support, has been reauthorized several times since the mid-1970s; this particular version simply modernizes and updates the Act's provisions.

President Shortbull offered a motion that the AIHEC Board of Directors amends any legislation to reauthorize the Diné College Act to ensure that Diné College receives the same per Indian student funding level that the TCUs funded under Title I of the Tribal College Act receive, and further, that any savings resulting from the change would go toward the operations of the Title I institutions. The motion failed to receive a second.

President Shortbull recommended that the AIHEC Board not consider the request of Interim President Ahumada; and that Diné College should contact each TCU, individually, to request a letter of support for the reauthorization of the Diné College Act, adding that OLC would not write such a letter. Chair Lindquist stated that as AIHEC is the consortium of the nation's TCUs, it is the responsibility of the AIHEC Board to act on Interim President Ahumada's request for its support. President Bordeaux offered that TCUs are strong because historically, they have worked together, noting further that the difference of a few thousand dollars should not preclude the TCUs from continuing to stand together. Ms. Billy suggested that supporting the reauthorization of the Diné College Act does not preclude the Board from supporting legislation to change the funding formula for Title I of the TCU Act from an enrollment driven formula to one based on need.

**MOTION:** President Parrish moved [seconded by President Guillory] that the AIHEC Board of Directors supports federal legislation reauthorizing the Diné College Act, as presented by Interim President Ahumada.

**OUTCOME:** The motion was agreed to by voice vote, with two abstentions (BFCC and OLC).

**MOTION:** President Yarlott moved [seconded by President Parish] that the AIHEC Board of Directors explore amending the Tribally Controlled College and University Assistance Act to change the dissemination of institutional operations funding under Title I to a need-based formula.

**OUTCOME:** The motion was agreed to by voice vote, with one abstention (OLC).

**Bay Mills Community College Proposal to Amend the Tribally Controlled College and University Assistance Act:** An amendment proposed by President Parish would change the statutory requirement that each TCU receiving funding under Title I of the Tribal College Act enroll a majority of American Indian students. Under the proposal, which is a modification of a proposal presented to the Board on at least three occasions in the past, the majority Indian student requirement would apply only to on-campus students. Consequently, credits earned by non-Indian students taking courses *solely* online would not be counted toward the 51 percent requirement. It was noted that such a change could provide TCUs with a means for additional revenue in the future. Board members expressed concern that the amendment could result in an altering of the basic identity of TCUs. President Shortbull expressed his concern about the "chronic miscounting of continuing education units (CEUs)" in the calculation of Indian student count (ISC). President Parish assured board members that none of the online programs offered by BMCC award CEUs.

**MOTION:** President Bible moved [seconded by President McDonald] that further discussion of the proposed amendment to the Tribal College Act be tabled until the 2016 summer board meeting in Denver, CO.

**OUTCOME:** The motion was agreed to by voice vote, with one abstention (BMCC).



Chair Lindquist asked AIHEC staff to put together a pros and cons document to illustrate the implications of such an amendment to the Tribal College Act, to be distributed prior to the summer meeting discussion.

**MOTION:** President Shortbull moved [seconded by President Parish] that the AIHEC Board of Directors requires each TCU that includes CEUs in its Indian Student Count (ISC) to report to the Board how the CEUs are determined and counted in the college's reported ISC.

**OUTCOME:** The motion was agreed to by voice vote, with one opposed (KBOCC).

**The new GED Test and options available to Tribes.** President Shortbull gave some background on the changes to the GED test and reported that the South Dakota legislature, as a result of actions taken by OLC, has recently adopted legislation that will allow tribes in South Dakota to determine which "general knowledge" test (GED, HiSET, or TASC) works best for their students. However, he reported that there is concern that Governor Dugaard (R) might veto the bill. If the bill is not enacted, OLC has determined that it will no longer offer open enrollment to students in the manner that it currently does.

**MOTION:** President Shortbull moved [seconded by President McDonald] that the Board of Directors supports OLC's position on the right of an Indian tribe that desires to administer high school equivalency tests to choose which test (or tests) the tribe will offer.

**OUTCOME:** The motion was agreed to by voice vote.

## **X. TREASURER'S REPORT**

President Parish, AIHEC Treasurer, noted that the committee met with a quorum present and provided an overview of the AIHEC financial reports, which are included in the board book beginning on page 140. President Parish noted that the cost of convening AIHEC Board meetings is now approximately \$100,000 per year. In 2015-2016, the Tribal College Journal (TCJ), once again, operated at a considerable deficit, which the AIHEC central office must cover, and it is anticipated that it will continue to do so for the foreseeable future.

**MOTION:** President Parish moved [seconded by President Oltrogge] that the AIHEC Board of Directors adopts the FY 2016 preliminary budget, as recommended by the Finance and Audit Committee.

**OUTCOME:** The motion was agreed to by voice vote.

Chair Lindquist asked that the agenda for the 2016 summer board meeting include a half-day review and discussion of the AIHEC finances and budget process.

## **XI. AIHEC COMMITTEE REPORTS AND MOTIONS**

**Research Committee:** President Kipp, Chair of the Research Committee, reported that the committee met with a quorum established and offered three motions for consideration by the Board.

**MOTION:** President Kipp moved [seconded by President Littlebear] that the Board of Directors adopts the AIHEC Research Agenda dated September 17, 2015.

**OUTCOME:** The motion was agreed to by voice vote.

**MOTION:** President Kipp moved [seconded by President Allison] that the Board of Directors directs AIHEC staff to ask each TCU president to submit two research priorities pertinent to American Indian higher education to be brought to the Research Committee in summer 2016.

**OUTCOME:** The motion was agreed to by voice vote.

**MOTION:** President Kipp moved [seconded by President Falcon-Chandler] that the Board of Directors reaffirms that Northwest Indian College's Institutional Review Board is the IRB of record for AIHEC and that the Chair of the AIHEC Research Committee Chair be involved in AIHEC-related reviews.

**OUTCOME:** The motion was agreed to by voice vote.

**Membership and Accreditation Committee:** President Larry Anderson was elected to be the Chair of the Membership and Accreditation Committee. He led the committee meeting, which met with a quorum established but had no motions for Board action.

**Student Activities Committee:** President Martin, Chair of the Student Activities Committee, reported that the committee met with a quorum established and offered two motions for consideration by the Board. President Martin mentioned three topics of discussion from the committee's session: (a) confirmation of seasonal travel, paid by the relevant TCU, as a requirement for ASC officers; (b) the next two AIHEC National Basketball Tournaments will be held as follows: March 15-19, 2017 in Rapid City, SD; spring 2018 at Salish Kootenai College; (c) a report on the first World Indigenous Peoples Games in Brazil, held in October 2015, in which 14 current TCU students participated.

**MOTION:** President Martin moved [seconded by President Falcon-Chandler] that the Board of Directors adopts the 2016 revisions to the Science Bowl and Knowledge Bowl Competition Chapters in the AIHEC Student Conference Handbook.

**OUTCOME:** The motion was agreed to by voice vote.

**MOTION:** President Martin moved [seconded by President Yarlott] that the Board of Directors rescinds the motion adopted at the 2015 AIHEC Fall Board of Directors meeting in San Diego, CA regarding participation in future World Indigenous Peoples Games (WIPG), and instead that the Board pledges to work toward equity in all future games.

**OUTCOME:** The motion was agreed to by voice vote, with one opposed (OLC).

**Tribal College Journal Advisory Committee:** President Brower, Chair of the Tribal College Journal Advisory Committee, reported that the committee met with a quorum established and offered one motion for consideration by the Board.

- MOTION:** President Brower moved [seconded by President Gourneau] that the Board of Directors adopts a licensing-based fee structure for all TCUs, to maintain ownership and unlimited access to the Tribal College Journal (TCJ) website and all of its online resources, which will replace existing TCJ print subscription costs.
- OUTCOME:** The motion was agreed to by voice vote.

## **XII. NEW BUSINESS**

### **American Indian College Fund (A\*CF), Board Vacancies**

President Lindquist announced that President Yarlott (LBHC) had been appointed as chair of the A\*CF Board of Trustees to take effect in July 2016; and that there are four vacancies on the A\*CF Board.

- MOTION:** President Parrish moved [seconded by President Bible] that the AIHEC Board of Directors recommends the reappointment of President Martin for a second term on the American Indian College Fund Board of Trustees.
- OUTCOME:** The motion was agreed to by voice vote.

The ending of final terms for Presidents Oltrogge and Littlebear as Trustees on the A\*CF Board creates two three-year vacancies and the resignation of President Fowler creates a one-year vacancy on said Board.

- MOTION:** President Lindquist moved [seconded by President Yarlott] that the AIHEC Board of Directors recommends the appointment of Presidents Bible and Parrish to fill the two three-year vacancies on the American Indian College Fund Board of Trustees.
- OUTCOME:** The motion was agreed to by voice vote.

- MOTION:** President Allison moved [seconded by President Martin] that the AIHEC Board of Directors recommends the appointment of President St. Pierre to fill the remaining one year of President Fowler's term on the American Indian College Fund Board of Trustees.
- OUTCOME:** The motion as agreed to by voice vote.

## **XIII. ADJOURNMENT**

- MOTION:** President Oltrogge moved [seconded by President Davis] that the AIHEC 2016 Spring Board of Directors meeting be adjourned.
- OUTCOME:** The motion was agreed to by voice vote.

Accordingly, the meeting was adjourned at 5:14 p.m. local time

Minutes prepared by AIHEC staff.

Executed and acknowledged by the undersigned being the Secretary of the Board of the Corporation.

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Robert Martin, Secretary  
American Indian Higher Education Consortium

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Date

## Minutes of the AIHEC Executive Committee Meeting

CONVENED BY CONFERENCE CALL – April 22, 2016

### I. CALL TO ORDER AND ROLL CALL

AIHEC Chair, Cynthia Lindquist, called the April meeting of the AIHEC Executive Committee, to order at 1:03 p.m. (EDT) with the following result:

#### Members Present

Cynthia Lindquist, Chair  
Laurel Vermillion, Vice-Chair  
Robert Martin, Secretary  
David Yarlott, Jr., Member at-Large

#### Members Absent

Michael Parish, Treasurer

A quorum was established.

Carrie Billy, Meg Goetz, and Alex Grandon, AIHEC, were also present.

### II. REVIEW AND APPROVAL OF THE AGENDA

Chair Lindquist presented the agenda of the April 22, 2016 Executive Committee meeting for review and approval.

**MOTION:** President Martin moved [seconded by President Vermillion] that the agenda of the April 22, 2016 Executive Committee meeting be approved.

**OUTCOME:** The motion was agreed to by voice vote.

Previous February 2016 Executive Committee meeting minutes were accepted by the full AIHEC Board of Directors at the AIHEC Spring Board of Directors meeting on March 13, 2016.

### III. LEGISLATIVE AND EXECUTIVE BRANCH UPDATE

#### Legislative Branch Update

**FY 2017 Congressional Appropriations Update:** AIHEC reported that Congress has begun serious work on the FY2017 spending bills. The House of Representatives did not meet the deadline to approve a new/separate budget resolution, therefore the 2015 bipartisan budget agreement stands. *Interior:* Ms. Billy testified before the House Interior Appropriations Subcommittee on Tribal College funding priorities on March 17. Senate staff have asked AIHEC for input into establishing a formula that would provide insight into the true funding needs of the various tribal colleges. The BIE would be directed to finalize a formula, which would inform funding decisions in FY2018 and beyond. *Energy & Water:* The House Appropriations Committee approved its version of the FY2017 Energy and Water appropriations bill, which includes report language requesting that the Department of Energy provide greater detail in its funding request for the NNSA-MSI program and expressing support for the TCU program. Despite AIHEC's requests, the Senate Committee report does not include the similar language. AIHEC is working with key Members in the Senate as the bill moves forward. *Agriculture:* The House Appropriations Committee approved its version of the FY2017 Agriculture appropriations bill with level funding for all TCU programs. The Senate has yet to take up the bill. *Commerce:* The House Appropriations Committee approved \$14 million for the NSF-TCU program in its version of the Commerce,

Justice, and Science funding bill. *Labor-HHS-Ed*: The Labor, Health and Human Services, and Education appropriations bill will likely be one of the last bills Congress will move, possibly in June. Senator Blunt (R-MO), the Chair for Senate Labor-HHS Appropriations Subcommittee is working to secure increased funding for the National Institute of Health (NIH), potentially using the current Pell grant surplus.

**Higher Education Act & Developing Legislation:** At the invitation of Senator Tester (D-MT), President Boham of Salish Kootenai College testified before the Senate Committee on Indian Affairs in support of legislation introduced by the Senator (S. 2304 and S. 2468), further elevating the profile of the TCUs. A link to President Boham's statement was included in the April 8 Weekly Update, and it can be found [here](#). Additionally, Senator Tester plans to introduce new legislation to address inequities in TCU participation in various land-grant programs in the near future.

### **Executive Branch Update**

Ms. Billy reported that the IPEDs data that includes part-time students, non-first time entering students, and an 8-year completion rate criteria will soon be made publically available. The American Association of Community Colleges (AACC) data base and AIHEC-AIMS both report that completion rates remain low. AIHEC is working on a Presidential Candidate Position paper on Tribal Colleges and Universities.

Ms. Billy discussed the recent activity related to the Keepseagle settlement agreement. Under the agreement, which was approved by the Court yesterday and is still subject to appeal, a newly established trust would award approximately \$270 million over 20 years to non-profit organizations and institutions of higher education, including TCUs, specifically to provide outreach and assistance to Native farmers and ranchers. AIHEC, groups of TCUs, and individual TCUs will be able to apply for grants. AIHEC will include the Keepseagle update in the AIHEC weekly update.

## **IV. TCU/AIHEC CENTRAL UPDATES & ISSUES**

**AIHEC Summer Meeting:** Ms. Billy asked the Committee for comments and recommendations for the professional development sessions during the AIHEC summer 2016 board retreat. The Committee approved an invitation to George Boggs, former AACC president and author of a new case-study book on community colleges leadership. The Committee suggested a session on student success and accreditation, dovetailing into a discussion on the new AIHEC Strategic Plan. President Martin asked for an update of the strategic plan. Ms. Billy replied that AIHEC will have a draft finalized for review by the Executive Committee/Working Group prior to the summer meeting, for presentation to the full Board in July.

**TCU Interim Presidents:** Diné College is advertising to fill the position of president.

**AIHEC Finances:** In follow-up to misrepresentations and confusion at the AIHEC Spring Board meeting, Ms. Billy clarified that all AIHEC staff receive a two percent salary increase each year, staff receive merit-based pay increases and bonuses when warranted. All staff receive at least one bonus each year. Additionally, the report during the Spring meeting that the cost of moving the meeting from the inconvenient Minneapolis Convention Center to the Hyatt Regency Hotel was in error. Rather than costing more than \$14,000, the cost of the move was approximately \$1,000, well within AIHEC's meeting budget.

**AIHEC-AIMS Update:** AIHEC reported that Nueta Hidatsa Sahnish College (NHSC) has not yet submitted its 2014-2015 AIHEC-AIMS data. All other TCUs have submitted their reports. The Committee directed staff to notify NHSC that is a member "not in good standing" until the outstanding AIHEC-AIMS report is submitted and verified as complete. In the future, the AIHEC Research Committee should closely monitor the issue of AIHEC AIMS reporting and issue such

notices, as AIHEC AIMS is within the Research Committee's area of responsibility.

**V. NEW BUSINESS AND MISCELLANEOUS**

**Grant Proposals:** Ms. Billy stated that AIHEC has submitted a pre-proposal to the NSF INCLUDES competition and AIHEC is continuing discussions with the Helmsley Foundation, USA Funds, and the Lumina Foundation on various grant opportunities.

**Code of Conduct Violation at the April 2016 Higher Learning Commission (HLC) Conference:** AIHEC received notice from attendees at the HLC Annual Conference that they believed a Board member had violated the AIHEC Code of Conduct during the conference. A majority of the Committee concurred and directed staff to draft a letter to the president on the violation.

**Native Research Network (NRN) Conference in North Carolina:** Ms. Billy requested guidance regarding a statement that NRN would like to post on its website related to the upcoming NRN Biennial Conference, which will be held in Cherokee, North Carolina in June. Well prior to enactment of HB 2 in North Carolina, AIHEC, through funding from the Indian Health Service, provided \$100,000 to NRN for the conference and TCU participation in it. Following enactment of House Bill 2, many organizations have cancelled plans to host conferences in the state. At this point, NRN is not willing or able to relocate the conference and instead would like to cite a section of AIHEC's code of conduct as evidence of the conference sponsors opposition to HB 2. The Committee determined that staff should continue to urge that the conference be relocated and to request that AIHEC not be mentioned in NRN's official statement.

**North Dakota State Funds:** President Lindquist noted that funding for TCU Non-Beneficiary students, as well as TCU workforce development grants, may not be included in the state of North Dakota's budget next year. The proposed budget is scheduled to be made public in July or August.

**VI. ADJOURNMENT**

**MOTION:** President Martin moved [seconded by President Vermillion] that the April Executive Committee meeting be adjourned.

**OUTCOME:** The motion was agreed to by voice vote.

Accordingly, President Lindquist declared the April meeting of the AIHEC Executive Committee adjourned at 2:03 p.m. (EST)

Minutes prepared by AIHEC staff.

Executed and acknowledged by the undersigned being the Secretary of the Corporation.

Robert Martin, Secretary  
American Indian Higher Education Consortium

Date

## Minutes of the AIHEC Executive Committee Meeting

CONVENED BY CONFERENCE CALL – May 17, 2016

### I. CALL TO ORDER AND ROLL CALL

AIHEC Vice-Chair, Laurel Vermillion, called the May meeting of the AIHEC Executive Committee to order at 10:38 a.m. (EDT) with the following result:

#### Members Present

Laurel Vermillion, Vice-Chair  
Robert Martin, Secretary  
Michael Parish, Treasurer  
David Yarlott, Jr., Member at-Large

#### Members Absent

Cynthia Lindquist, Chair

A quorum was established.

Carrie Billy, Meg Goetz, and Alex Grandon, AIHEC staff

### II. REVIEW AND APPROVAL OF THE AGENDA

Vice-Chair Vermillion presented the agenda of the May 17, 2016 Executive Committee meeting for review and approval.

**MOTION:** President Martin moved [seconded by President Parish] that the agenda of the May 17, 2016 Executive Committee meeting be approved.

**OUTCOME:** The motion was agreed to by voice vote.

### III. REVIEW AND APPROVAL OF THE PREVIOUS MINUTES

Vice-Chair Vermillion presented the minutes of the April 22, 2016 Executive Committee meeting for review and approval.

**MOTION:** President Martin moved [seconded by President Yarlott] that the minutes of the April 22, 2016 Executive Committee meeting be approved.

**OUTCOME:** The motion was agreed to by voice vote.

### VI. LEGISLATIVE AND EXECUTIVE BRANCH UPDATE

#### Legislative Branch Update

**FY 2017 Congressional Appropriations Update:** AIHEC reported slow progress of the FY 2017 Appropriations bills. The Senate completed its Energy and Water Development bill and the House will begin discussion of its bill in subcommittee shortly. The Senate began work on the first of what is expected to be several “packaged” bills, the FY 2017 Transportation-HUD and Military Construction-Veterans Affairs bills, which is expected to be finished soon. The Senate Agriculture and Legislative Appropriations Subcommittees are expected to move their respective bills to the full committee by the end of the week. The House Appropriations Committee completed work on its FY 2017 Agriculture bill, level funding each of the 1994 Land-Grant programs. To keep the possibility of increased funding for 1994 Land-Grant programs in the current appropriations cycle, AIHEC made a request to those colleges with a Senator on the Agriculture Appropriations Subcommittee to contact that member to ask that they support increasing the FY2017 allocations



for TCU Land Grant programs. Since the House level funded all programs, the only opportunity for an increase in FY2017 requires increases in the Senate bill. An outside issue that could impact the TCUs program funds under the Labor-HHS bill is the call for funding to address the threat of the Zika virus. The Senate adopted a supplemental funding measure for Zika virus research, treatment, and outreach, which would be classified as emergency funding and, therefore, would not impact the Labor-HHS allocation. The House also adopted a measure to address the Zika virus issue, but the funding (less than one-third of that requested by the Administration) would require offsets from other programs within the Labor-HHS bill. Potential offsets could include Department of Education funding, including the TCU Title III program. Labor-HHS and Interior are expected to be the last two appropriations bills to be discussed and completed in the FY 2017 funding cycle.

**Congressional Authorizing Legislation Update:** A discussion was had on the Reforming American Indian Standards of Education (RAISE) Act, introduced previously by Senator John Barrasso (R-WY), chairman of the Senate Committee on Indian Affairs. Although Congress recently approved the reorganization plan for the Bureau of Indian Education (BIE), the bill proposes creating a separate agency for Indian education and abolishing the BIE immediately upon enactment. Additionally, the bill sets a permanent cap on funding for the proposed agency that is \$8 million less than the FY2016 appropriation for the BIE and \$67 million less than the level proposed in the president's FY2017 budget. The bill does not include American Indian/Alaska Native higher education, either in bill language or funding authority. While there is little to no likelihood that the bill will pass this year, the Committee discussion on the bill indicates the ongoing concern that the BIE is not meeting the needs of Indian education and that future legislative action may be required. AIHEC staff will discuss potential changes to the bill to address the TCUs with Senator Barrasso's staff. Clearly, TCUs would not want to be subject to a funding cap and likely would not want to be subject to the oversight of a developing agency whose primary focus is K-12 education. Staff suggested that the Board hold a discussion at the AIHEC summer meeting on the possibility of relocating the TCU/Tribal Higher Education programs under the Office of the Assistant Secretary for Indian Affairs and/or explore the possibility of funding model similar the Institute of American Indian Arts, for purposes of the RAISE Act, as part of the broader discussion of TCU funding authorities and a potential formula to determine need.

**Higher Education Act & Misc. Developing Legislation:** AIHEC reiterated that it is very unlikely that the Higher Education Act (HEA) will be reauthorized this year. The latest predictions are that HEA will not be reauthorized until 2018, due to the upcoming elections.

#### **Executive Branch Update**

**Commencement Address:** Ms. Billy reported that Interior Secretary Jewell will be speaking at Fond du Lac Tribal and Community College's commencement on May 19, 2016.

**New Federal Guidance on Transgender Students and Title IX:** The Departments of Education and Justice recently released guidance regarding the rights of transgender students, which applies to institutions of higher education, including TCUs. Attorneys for the Washington Higher Education Secretariat (WHES) are preparing a point paper on this issue, which AIHEC will distribute to TCUs when it is available. Briefly, the guidance states that an institution is in compliance with federal law on the use of restrooms if the institution permits individuals to use the restroom of the gender to which they identify.

#### **IV. TCU/AIHEC CENTRAL UPDATES & ISSUES**

**Developing TCUs Update –** Ms. Billy reported that a representative from a group of tribes in northern California contacted President Yarlott and AIHEC seeking guidance on strategic planning.

A representative is expected to attend the 2016 fall board meeting in New Orleans. Another organization in southern California requested documents, contacts, and materials necessary to begin the process of establishing a tribal college. The Southcentral Foundation in Anchorage, AK, is exploring the possibility of merging with a nearby university to expand its existing allied health training programs (behavioral health workers, nurse's assistants, dental therapist, community health aides) into academic and career/technical postsecondary education, potentially establishing a new TCU. Ms. Billy has met with a task force from the Southcentral Foundation on this issue and consulted via phone and email a number of times. Such an institution if it becomes a reality could have 500 or more students and, therefore, could impact funding for those colleges funded under Title I of the Tribal College Act. A question was raised about the board's 'hold harmless' policy position, which would advance amendments to all federal laws authorizing TCU specific programs (i.e. TCU formula driven programs), stipulating that prior to agency approval of a request from a new (nonparticipating) TCU to be funded under the relevant program, funding must first be appropriated or otherwise made available to ensure that inclusion of the new TCU does not adversely impact the funding level of any existing (previously funded) TCU. Ms. Billy clarified that AIHEC has such an amendment in its package of amendments to the TCU Act; however, the full board rejected a recommendation by this Committee that the hold harmless policy be applied to all TCU formula-funded programs. The Committee requested that the hold harmless policy be revisited at the next Board meeting.

#### **V. NEW BUSINESS AND MISCELLANEOUS**

**Policy for Accessing BoardMax and AIHEC Portals:** In addition to potential cost savings and "being green," AIHEC adopted BoardMax, an online board document management site, as a means of facilitating preparation for and discussion during (and subsequent to) AIHEC board meetings. Committee members clarified their understanding that AIHEC's BoardMax site is intended specifically for members of the AIHEC Board of Directors, who are the TCU presidents. Decisions regarding access to BoardMax by faculty, staff, and others affiliated with any particular Tribal College should be referred to the relevant Board member (TCU president), with the caveat that all presidents are encouraged to respect the purposes for which BoardMax was created.

**AIHEC Endowment Proposal:** Ms. Billy reported that AIHEC has continued to explore the potential for establishing an endowment for AIHEC, which is essential to ensuring the long-term viability of the organization. All agreed that membership dues and indirect fees are limited and not sustainable as the sole sources of non-federal income for AIHEC, and further, private foundation funding for operating costs and advocacy are very limited. AIHEC has proposed various options, such as expanding the membership base (which the Membership Committee is once again considering), and AIHEC is engaged in some contracting opportunities and is developing a plan for expansion in this area. However, the establishment of an endowment is an essential component for long-term sustainability. AIHEC has a proposal for Board consideration of a strategy for potentially growing an endowment, which would include an action-oriented board of high level leaders focused on raising funds for an AIHEC endowment, as well annual/biennial focuses on key emerging areas for growth or need among TCUs. Members expressed support and encouragement for this concept and stated that it should be included in the discussion of AIHEC's finances and strategic plan at the summer meeting.

**AIHEC Code of Conduct Violation:** President Martin asked for an update on the letter to be sent to an AIHEC board member regarding a perceived violation of the AIHEC Code of Conduct. Ms. Billy stated that the letter had been drafted.

**AIHEC-AIMS:** President Vermillion requested an update on Nueta Hidatsa Sahnish College (NHSC) and its delinquent AIHEC-AIMS data submission, which under the AIHEC Bylaws has

placed the college in the position of being a member not in good standing. Ms. Billy reported that she believes that President Baker-Demaray may not have be aware of the *second* (most recent) outstanding AIHEC-AIMS report. The college did submitted the required data from the prior reporting cycle (AY 2013-2014), and it appears that President Baker-Demaray may have thought that this was the current – and missing -- AIMS data. Ms. Billy reported that once President Baker-Demaray realized that the college has not reported its data, she made submitting the outstanding report and returning to the status of member in good standing a priority. Staff will clarify that there is, in fact, one additional report outstanding.

**Declining TCU Enrollments & Student Challenges:** Ms. Billy suggested that the AIHEC Board of Directors discuss declining enrollments and healthy TCU communities, as mentioned by President Vermillion briefly during the last committee call, at the AIHEC summer Board of Directors meeting. President Parish suggested that each TCU come to the AIHEC summer Board meeting prepared to discuss the number of potential students in her or his recruitment region and the number of students enrolled at her or his institution.

## VI. ADJOURNMENT

**MOTION:** President Parish moved [seconded by President Martin] that the May Executive Committee meeting be adjourned.

**OUTCOME:** The motion was agreed to by voice vote.

Accordingly, President Vermillion declared the May meeting of the AIHEC Executive Committee adjourned at 11:36 a.m. (EST)

Minutes prepared by AIHEC staff.

Executed and acknowledged by the undersigned being the Secretary of the Corporation.

Robert Martin, Secretary  
American Indian Higher Education Consortium

Date

## **DRAFT Minutes of the AIHEC Executive Committee Meeting**

**CONVENED BY CONFERENCE CALL – June 23, 2016**

### **I. CALL TO ORDER AND ROLL CALL**

AIHEC Chair, Cynthia Lindquist, called the June meeting of the AIHEC Executive Committee to order at 11:02 a.m. (EDT) with the following result:

#### **Members Present**

Cynthia Lindquist, Chair  
Robert Martin, Secretary  
David Yarlott, Jr., Member at-Large

#### **Members Absent**

Laurel Vermillion, Vice-Chair  
Michael Parish, Treasurer

A quorum was established.

Carrie Billy, Meg Goetz, and Alex Grandon, AIHEC

### **II. REVIEW AND APPROVAL OF THE PREVIOUS MINUTES**

Chair Lindquist presented the minutes of the May 17, 2016 Executive Committee meeting for review and approval.

**MOTION:** President Martin moved [seconded by President Yarlott] that the minutes of the May 17, 2016 Executive Committee meeting be approved.

**OUTCOME:** The motion was agreed to by voice vote.

### **III. LEGISLATIVE AND EXECUTIVE BRANCH UPDATE & ISSUES**

#### **Legislative Update:**

**FY2017 Congressional Appropriations Update:** AIHEC staff updated the Committee on the status of the Fiscal Year 2017 appropriations cycle.

**HEA/TCU Act Reauthorization and TCU Amendment Review:** Ms. Billy clarified that the Board had previously adopted a motion supporting a hold harmless clause for the TCU Act program. A brief discussion was had on a series of additional potential amendments to the TCU Act, to be proposed to the full Board, including changes to the endowment program; Alaska Native student eligibility; eligibility to participate focused on on-campus students; dual credit students and shortened or compressed academic courses; and the fall head count date.

**Executive Branch Update:** A brief discussion was had on the newly announced Supreme Court Decision upholding of affirmative action in college admissions.

### **IV. TCU/AIHEC CENTRAL UPDATES & ISSUES**

**AIHEC Summer Board of Directors Meeting:** A discussion was held regarding agenda topics for the Summer Board meeting, scheduled for July 12-14, 2016, as well as the joint meeting of the AIHEC-AICF boards on the afternoon of July 14.

**TCU Updates and Announcements:** The Executive Committee discussed matters regarding current TCU presidency vacancies.

**Developing TCU Update:** A conversation was held on the potential for new tribal colleges in California, Alaska, Oklahoma, Arizona, New Mexico, and New York.

**V. NEW BUSINESS AND MISCELLANEOUS**

**Keepseagle “Fast Track” Proposal Process: Letter of Intent Due June 24:** It was reported that AIHEC will submit a proposal to support all TCUs to conduct outreach to farmers, ranchers, and fishers through the Keepseagle Settlement Fast Track Funding Authority. Submission of a letter of intent requires a board resolution. A resolution from the Executive Committee, or a letter signed by the organization’s CEO, is sufficient temporarily, with a full board resolution due on July 22, 2016.

President Martin moved [seconded by President Yarlott] the following resolution, which was approved by voice vote:

**RESOLUTION: PARTICIPATION IN THE NATIVE AMERICAN AGRICULTURAL FAST TRACK FUND**

*Whereas*, the nation’s 35 accredited tribally and federally chartered colleges and universities, along with two developing (non-accredited) tribally chartered colleges (Tribal Colleges and Universities) are collectively the American Indian Higher Education Consortium (AIHEC);

*Whereas*, the presidents of the 35 accredited Tribal Colleges and Universities compose AIHEC’s board of directors, which was incorporated as a non-profit organization in the State of Colorado in 1973;

*Whereas*, together, the 37 Tribal Colleges and Universities operate more than 75 campuses in the 16 states within whose geographic boundaries the majority of American Indian reservations and federal Indian trust land lie;

*Whereas*, Tribal Colleges and Universities prepare and educate more than 160,000 American Indians and Alaska Natives in academic and community-based programs each year, including thousands of Native farmers, ranchers, fishers, and others – including students -- in agricultural related fields and academic or career/technical programs, and collectively these individuals represent well more than 250 federally recognized Indian tribal nations;

*Whereas*, Tribal Colleges and Universities and AIHEC fulfill a fundamental role in maintaining, preserving and revitalizing irreplaceable American Indian and Alaska Native languages and cultures and provide accredited postsecondary education and career/technical education, including agriculture education; as well as a wide variety of community-based economic and workforce development programs, community-based support programs, and collaborative partnerships with tribes, K-12 systems and schools, federal agencies, including USDA; and operate important sustainability, agriculture and land programs and services, and traditional foods revitalization/food sovereignty programs, all on extremely limited budgets;

*Whereas*, The Educational Equity in Land-grant Status Act of 1994 designates Tribal Colleges and Universities as 1994 Land-grant institutions, and as such the 34 1994 Land-grant institutions offer agricultural education, research, outreach, and extensions programs specifically designed to address the agriculture needs and opportunities of the tribal communities and lands they serve and prepare future Native agriculture leaders through agriculture education, research, and internship programs;

*Whereas*, AIHEC, working with tribal farmers, ranchers, and fishers – both individually and through other Native agricultural-related organizations -- was instrumental through its advocacy efforts in drafting and securing enactment of the Educational Equity in Land-grant Status Act of 1994;

*Whereas*, from approximately 1992 (leading to enactment of the Educational Equity in Land-grant Status Act) to the present, AIHEC has worked with the U.S. Department of Agriculture, 1862 and 1890 Land-grant institutions, federally recognized Indian Tribes, and Native farmers, ranchers, and fishers in our Tribal communities to help ensure that TCUs have access to more of the funding and human resources necessary to fulfill their Land-grant mission and serve the agricultural research, education and training needs of their communities, and further, to ensure that our tribes and community members (e.g. farmers, ranchers, and fishers) have access to the skills, tools, and other resources – including resources available through the USDA – that they need to successfully manage their lands, natural resources, and agriculture potential, including through the development of community gardens, awareness campaigns, food sovereignty and agri-business initiatives (including aqua-culture awareness and other initiatives) and the development and implementation of grants for direct outreach and workshops for farmers and ranchers from USDA through the 1994 extension program and under section 2501 of the Food, Agriculture, Conservation and Trade Act of 1990;

*Whereas*, in 2007-2008, AIHEC worked with USDA, Tribal College staff, Native farmers and ranchers, and aspiring Native farmers and ranchers to develop the 1994 Scholars program, a multi-year comprehensive scholarship-to-work initiative of the USDA 1994 Land-grant Program and AIHEC to provide the financial resources, support mechanisms, and summer employment opportunities needed for American Indian/Alaska Native young people to pursue higher education degrees in agriculture-related fields of study, and AIHEC has continued to expand on this work through advertising and outreach to potential Native agriculture students and assisting in the application and implementation processes;

*Whereas*, the Native American Agricultural Fast Track Fund (NAAFTF), was established as a one-time distribution of Keepseagle v. Vilsack Settlement funds in the amount of \$38 million to provide assistance to Native American farming or ranching activities;

*Now therefore be it resolved*, that AIHEC will submit a funding request to the NAAFTF to support the provision of education, training, and technical assistance services to Native farmers, ranchers, and fishers in Tribal communities, both on and near Tribal lands and waterways, served by TCUs; and

*Be it further resolved*, that should AIHEC receive a NAAFTF award, such award will be used solely for purposes of (a) providing assistance designed to further Native American farming or ranching activities, (b) as set forth in AIHEC's application for funds and (c) encompassed within Section 170(c)(2)(B) of the Internal Revenue Code; and further, should said award include the establishment of an endowment, income generated from said endowment will be used in perpetuity for purposes meeting these same three criteria; and

*Be it further resolved*, that should AIHEC receive a NAAFTF award, the funds will be used as additional funds for the purposes stated in AIHEC's application and that no existing funds will be diverted away from that program if the applied for funds are received; and

*Be it finally resolved*, that the NAAFTF Advisory Committee is respectfully requested to accept and consider AIHEC's application for funding of the above-mentioned proposal.

**AIHEC Proposal: Advanced TCU IT Infrastructure & Use Study:** AIHEC has been working with NSF staff on an opportunity to submit a proposal to conduct a 2-year study on the status of the

TCUs' IT infrastructure. A motion of support from the Executive Committee for the proposal would be helpful moving forward.

**MOTION:** President Martin moved [seconded by President Yarlott] the Executive Committee to support an AIHEC proposal for the NSF to conduct a 2-year study on the TCU IT infrastructure.

**OUTCOME:** The motion was agreed to by voice vote.

**VI. ADJOURNMENT**

**MOTION:** President Martin moved [seconded by President Yarlott] that the June Executive Committee meeting be adjourned.

**OUTCOME:** The motion was agreed to by voice vote.

Accordingly, Chair Lindquist declared the June meeting of the AIHEC Executive Committee adjourned at 12:20 p.m. (EDT)

Minutes prepared by AIHEC staff.

Executed and acknowledged by the undersigned being the Secretary of the Corporation.

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Robert Martin, Secretary  
American Indian Higher Education Consortium

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Date

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# Institutional Reporting and Disclosure Requirements



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This appendix provides postsecondary educational institutions with a comprehensive summary of reporting and disclosure requirements related to the Higher Education Act (HEA). In general, reports are submitted to the Department of Education, and disclosures are made to students and the public. However, in some cases—for example, the annual security statistics—information must be provided to both as well as to the institution’s faculty and staff. This summary lists the reports and disclosures, their statutory and regulatory authority, a description of what is required in each report/disclosure and other pertinent information, the Due date, the Method of transmittal or distribution, and the recipient of the report/disclosure. The publication of this document complies with requirements of section 482(e) of the HEA which requires the Secretary to provide institutions with a “compliance calendar” of all reports and disclosures required under the HEA. **Note:** See the HEA Table of Contents, another appendix to the FSA Handbook, for the sections of the U.S. Code that correspond to the sections of the HEA referred to in this appendix.

**Important:** Any omission in this document does not relieve institutions of any Title IV requirement. Also, this document is not intended to provide complete guidance about implementing the requirements listed. For more instruction on that, see the pertinent regulations as well as the appropriate volume and chapter of the Federal Student Aid Handbook.

## REPORTS

### *Annual security statistics*

(For information on the disclosures related to this item, see the corresponding entry in the disclosures section.)

**Due date:** The date in the letter the Department sends to the school in the summer

**Method of transmittal:** <https://surveys.ope.ed.gov/security>

**Recipient:** The Department of Education

**Description:** To comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act and the Violence Against Women Act, an institution must report to the Department and disclose in its annual security statistics for the three most recent calendar years concerning the number of each of

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### **Annual security statistics**

HEA Sec. 485(f)(5)

34 CFR 668.41(e)(5), 668.46(c)

FSA Handbook Volume 2, Chapter 6



**\*Clery geography**—For the purpose of collecting statistics on the crimes listed, Clery geography includes buildings and property that are part of the institution’s campus, the institution’s non-campus buildings and property, and public property within or immediately adjacent to and accessible from the campus. For the purpose of maintaining the crime log described in the disclosures section, Clery geography includes, in addition to the locations above, areas within the patrol jurisdiction of the campus police or security department.

the following crimes that occurred on or within its Clery geography\* and that are reported to local police agencies or to a campus security authority:

1. Primary crimes, including criminal homicide: murder, non-negligent manslaughter, and negligent manslaughter; sex offenses: rape, fondling, incest, and statutory rape; robbery; aggravated assault; burglary; motor vehicle theft; arson;
2. Arrests and referrals for disciplinary actions, including arrests for liquor law violations, drug law violations, and illegal weapons possession and persons not arrested for liquor law violations, drug law violations, and illegal weapons possession but who were referred for campus disciplinary action for one of those offenses;
3. Hate crimes, including the number of each type of primary crime listed above that is determined to be a hate crime; the number of the following that are determined to be hate crimes: larceny-theft, simple assault, intimidation, destruction/damage/vandalism of property;
4. Dating violence, domestic violence, and stalking.

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### **Athlete completion and graduation rates**

HEA Sec. 485(e)(1)

34 CFR 668.48

FSA Handbook Volume 2, Chapter 6

### ***Athlete completion and graduation rates***

(For information on the disclosures related to this item, see the corresponding entry in the disclosures section.)

**Due date:** July 1 (for the period ending Aug 31 of the previous year)

**Method of transmittal:** <https://surveys.nces.ed.gov/ipeds/>

**Recipient:** National Center for Education Statistics

**Description:** An institution must report

1. the number of students who attended the institution (categorized by race and gender);
2. the number of students who received athletically-related students aid (categorized by race and gender within each sport);
3. the completion, graduation, and/or transfer out rate of all entering certificate- or degree-seeking, full-time, undergraduate students (categorized by race and gender);
4. the completion, graduation, and/or transfer out rate of all entering students who received athletically-related student aid (categorized by race and gender within each sport);
5. the average completion, graduation, or transfer-out rate for the four most recent graduating classes (categorized by race and gender);
6. the average completion, graduation, and/or transfer out rate of the most recent four graduating classes of students who received athletically-related student aid (categorized by race and gender within each sport).

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### **Audits**

HEA Sec. 487(c)(1)

34 CFR 668.23

FSA Handbook Volume 2, Chapter 4

### ***Audits***

**Due date:** Six months after the end of the institution’s fiscal year

**Method of transmittal:** eZ-Audit <https://ezaudit.ed.gov>

**Recipient:** Federal Student Aid

**Description:** An institution must, at least annually, have an independent auditor conduct a compliance audit of its administration of those programs as well as an audit of the institution’s general purpose financial statements. An institution must submit its compliance audit and its audited financial statements no later than six months after the last day of the institution’s fiscal year. Audits must be completed with the standards established by the U.S. General Accounting Office’s Government Auditing Standards and must include all Title IV, HEA program transactions that have occurred since the period covered by the institution’s last compliance audit.

**Equity in Athletics Disclosure Act (EADA) Report**

(For information on the disclosures related to this item, see the corresponding entry in the disclosures section.)

**Due date:** Within 15 days of making the report available to current and prospective students and the public

**Method of transmittal:** <https://surveys.ope.ed.gov/athletics>

**Recipient:** The Department of Education

**Description:** Any co-educational institution of higher education that participates in any title IV, HEA program and has an intercollegiate athletic program must prepare an annual report that includes the following:

1. the number of full-time, undergraduate students enrolled broken down by race and sex;
2. a listing of the varsity teams that competed in intercollegiate athletic competition and for each team the following data:
  - a. the total number of participants as of the day of its first scheduled contest of the reporting year, the number of participants who also participated on another varsity team, and the number of other varsity teams on which they participated;
  - b. the total operating expenses attributable to the team;
  - c. whether the head coach (including graduate assistants or volunteers who served as head coaches) was male or female, was assigned to the team on a full-time or part-time basis, and, if assigned on a part-time basis, whether the head coach was a full-time or part-time employee of the institution;
  - d. the number of assistant coaches (including graduate assistants or volunteers who served as assistant coaches) who were male and the number who were female and, within each category, the number who were assigned to the team on a full-time or part-time basis, and, of those assigned on a part-time basis, the number who were full-time and part-time employees of the institution;
3. the unduplicated head count of students who participate on at least one varsity team by gender;
4. revenues derived by the institution from intercollegiate athletic activities: total revenues attributable to all men’s sports combined, all women’s sports combined, football, men’s basketball, women’s basketball, all men’s sports except football and basketball combined, and all women’s sports except basketball combined;
5. expenses incurred by intercollegiate athletic activities in the following categories: total expenses attributable to football, men’s basketball, women’s basketball, all men’s sports except football and basketball combined, and all women’s sports except basketball combined;
6. the total amount spent on athletically related student aid;
7. the ratio of athletically related student aid awarded to male athletes to female athletes;
8. the total amount of recruiting expenses aggregated for all men’s teams and all women’s teams;
9. the average institutional salary of the non-volunteer head coaches of all men’s teams, across all sports, and the average annual institutional salary of the non-volunteer head coaches of all women’s teams, across all offered sports, on a per person and a per full-time equivalent position basis;
10. the average annual institutional salary of the non-volunteer assistant coaches of men’s teams, across all offered sports, and the average annual institutional salary of the non-volunteer assistant coaches of women’s teams, across all offered sports, on a per person and a full-time equivalent basis.

**EADA report**

HEA Sec. 485(g)

34 CFR 668.41(g)(2), 668.47

FSA Handbook Volume 2, Chapter 6

### Fire safety statistics

HEA Sec. 485(i)(2)  
34 CFR 668.41(e)(5), 668.49(c)  
FSA Handbook Volume 2, Chapter 6

### Fire safety statistics

(For information on the disclosures related to this item, see the corresponding entry in the disclosures section.)

**Due date:** The date in the letter the Department sends to the school in the summer

**Method of transmittal:** <https://surveys.ope.ed.gov/security>

**Recipient:** The Department of Education

**Description:** Institutions must report statistics related to the fire safety and occurrences of fire on their campus. Specifically, the fire statistics include, for the three most recent calendar years,

1. the number of fires and cause of each fire that occurs on campus;
2. the number of persons who received fire-related injuries that resulted in treatment at a medical facility, including at an on-campus health center;
3. the number of deaths related to a fire; and
4. the value of property damage caused by a fire.

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### FISAP

HEA Sec. 482(a)(2)(B)  
34 CFR 673.3, 674.19(d)(2), 675.19(b)(3),  
676.19(b)(3)

### FISAP (Fiscal Operations Report and Application to Participate)

**Due date:** October 1

**Method of transmittal:** <https://cbfisap.ed.gov>

**Recipient:** Federal Student Aid

**Description:** The Fiscal Operations Report and Application to Participate is a data collection instrument used to gather program and fiscal information from institutions that have participated in one or more of the Campus-Based programs in a prior award year. In addition, an institution uses the FISAP to request funds to participate in the Campus-Based programs for the upcoming year. The FISAP will ask generic questions about the institution as well as request information specific to each of the Campus-Based programs that the institution participates in. Specifically, the FISAP requires:

1. identifying information (e.g., name and address of the institution, OPEID, financial aid administrator and chief executive officer information);
2. the amount requested for the next year for each Campus-Based program;
3. information on enrollment, length of terms, and the number of students enrolled and expected to enroll;
4. the total Pell Grant expenditures;
5. Perkins loan information (e.g., loan funds advanced to students, loan principal collected, loan principal cancelled due to a loan forgiveness program);
6. FSEOG information (e.g., funds allocated to students, non-federal share of funds advanced to FSEOG recipients, administrative cost allowances);
7. Federal Work-Study information (e.g., amount of funds allocated to students, amount spent for summer employment, information about students employed in community service activities using FWS funds); and
8. the amount of money transferred between Campus-Based programs.

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### Foreign sources and gifts

HEA Title 1 Part B Sec. 117  
FSA Handbook Volume 2, Chapter 6

### Foreign sources and gifts

**Due date:** January 31 or July 31 (the more recent date from the event triggering the report; if a substantially similar report has been submitted to the state, the institution may send that report to the Department to satisfy this requirement.)

**Method of transmittal:** [www.eligcert.ed.gov](http://www.eligcert.ed.gov)

**Recipient:** FSA School Participation Division

**Description:** Institutions or programs that receive Title IV aid are required to report any contribution from a foreign entity—whether that is a foreign government, a private sector corporation, or a foundation—if the amount of the contribution exceeds \$250,000 in any fiscal year. An institution must report the aggregate dollar amount of gifts and contracts attributable to a foreign country for gifts received from or contracts entered into with a foreign government or a foreign source other than a foreign government. For institutions owned or controlled by a foreign source, the institution must report the identity of the foreign source, the

date on which ownership/control was assumed, and any resulting changes in program or structure. For restricted or conditional gifts, an institution must disclose the amount of the gift, the date the gift was received, a description of any conditions or restrictions for the gift, and the country of citizenship of the source.

**Gainful employment data**

**Due date:** October 1 after the end of the award year

**Method of transmittal:** [https://www.nslsdfap.ed.gov/nslsds\\_FAP/default.jsp](https://www.nslsdfap.ed.gov/nslsds_FAP/default.jsp)

**Recipient:** Federal Student Aid

**Description:** Institutions are required to submit data to the Department of Education on students enrolled in Gainful Employment programs. For each student enrolled in a GE program during an award year that received title IV, HEA program funds, an institution must report information to identify the student and institution, the name, CIP code, credential level, and length of program, the date the student initially enrolled in the program, the student’s attendance dates and status during the award year. If the student completed or withdrew during the award year, the institution must report the date the student completed or withdrew from the program, the total amount the student received from private education loans, the total amount of institutional debt, the total amount of tuition and fees assessed for the student’s entire enrollment in the program, the total allowances for books, supplies and equipment included in the cost of attendance. If an institution is required by its accrediting agency or state to calculate a placement rate, an institution must report the placement rate, the methodology required to calculate the rate, and the name of the accrediting agency or state.

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**GE data**

34 CFR 668.411

FSA Handbook Volume 2, Chapter 4

**IPEDS (Integrated Postsecondary Education Data System) surveys**

**Due date:** Exact dates may change from year to year.

February: student financial aid, graduation rates, 200% graduation rates, admissions, outcome measures

April: fall enrollment, finance, human resources, academic libraries

October: institutional characteristics, completions, 12-month enrollment

**Method of transmittal:** <https://surveys.nces.ed.gov/ipeds/>

**Recipient:** NCES (National Center for Education Statistics)

**Description:** Institutions are required to submit data to the National Center for Education Statistics. The multiple IPEDS surveys provide the Department of Education a wide variety of open-access data on higher education. Among the information gathered from IPEDS reporting, the Secretary will publish annual college affordability and transparency lists related to college costs including information on tuition and fees for full-time undergraduate students, cost of attendance, and the number of undergraduate students receiving each type of financial aid. In addition, institutions must report the following: average annual cost of tuition, fees, room and board, books, supplies, and transportation; the net price of the institution, and the average annual cost of tuition and fees. IPEDS surveys focus on: student financial aid, graduation rates and completions, admissions, enrollment (fall semester and 12 month), finance, human resources, academic libraries, institutional characteristics.

An institution identified by the Secretary in the 5% of those with the largest 3-year increases, measured as a percentage change, in tuition and fees or in net price is required to report a description of the major areas in the institution’s budget with the greatest cost increases, an explanation of those cost increases, and a description of the steps the institution will take to reduce them.

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**IPEDS surveys**

HEA Sec. 132(e), 487(a)(17)

FSA Handbook Volume 2, Chapter 6

**Teacher prep program report**

HEA Sec. 205, 206

***Teacher preparation program report (Title II)***

**Due date:** April 30: Institutions report to their state.

October 31: States submit their annual report to the Department.

**Method of transmittal:** <https://title2.ed.gov/Public/Home.aspx>

**Recipient:** Department of Education

**Description:** An institution of higher education conducting a traditional teacher preparation program or alternative routes to state certification or licensure program and enrolling students who receive federal assistance under this act shall report annually to the state and the general public in a uniform and comprehensible manner established by the Secretary the following:

1. whether it satisfied its annual goal for increasing the number of prospective teachers trained in teacher shortage areas designated by the Secretary or by the state educational agency and a description of the activities the institution implemented to achieve such goals; a description of the steps the institution is taking to improve its performance in meeting its annual goals; and a description of the activities the institution has implemented to meet the required assurances listed in HEA 206(b);
2. for the most recent year for which information is available for those students who took the assessments used for teacher certification or licensure by the state in which the program is located: the percentage of students who completed 100 percent of the nonclinical coursework and taken and passed the assessment, the percentage of all students who passed that assessment, the percentage of students who have taken the assessment who enrolled in and completed the traditional teacher preparation program or alternative routes to state certification or licensure program, the average scaled score for all students who took such assessment, a comparison of the program's pass rates with the average pass rates for programs in the state, and a comparison of the program's average scaled scores with the average scaled scores for programs in the state;
3. a description of: the criteria for admission into the program, the number of students in the program (disaggregated by race, ethnicity, and gender), the average number of hours of supervised clinical experience required for those in the program, the number of full-time equivalent faculty and students in the supervised clinical experience, and the total number of students who have been certified or licensed as teachers, disaggregated by subject and area of certification or licensure;
4. in states that require approval or accreditation of teacher preparation programs, a statement whether the institution's program is so approved or accredited and by whom;
5. whether the program has been designated as low-performing by the state under HEA 207(a);
6. a description of the activities that prepare teachers to integrate technology effectively into curricula and instruction and to use technology effectively to collect, manage, and analyze data in order to improve teaching and learning for the purpose of increasing student academic achievement; and
7. a description of the activities that prepare general education and special education teachers to teach students with disabilities effectively.

## DISCLOSURES

### *Academic programs*

**Due date:** Available upon request or published in material

**Method of transmittal:** Website, electronic media, publications, or mailings. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Recipient:** Enrolled and prospective students

**Description:** Institutions must annually provide information about their academic programs. Specifically, they must publish:

1. the current degree programs and other educational and training programs;
2. instructional, laboratory, and other physical plant facilities related to the academic program;
3. faculty and other instructional personnel; and
4. any plans by the institution for improving the academic program of the institution.

### *Accreditation, approval, and/or licensure*

**Due date:** Available upon request or published in material. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must publish information on their accreditation, approval, and licensure. Specifically, they must include:

1. names of associations, agencies, or governmental (federal, state, or tribal) bodies that accredit, approve, or license the institution and its programs and
2. procedures for obtaining or reviewing documents describing accreditation, approval, or licensing.

An institution must also provide its students or prospective students with contact information for filing complaints with its accreditor and with its state approval or licensing entity and any other relevant state official or agency that would appropriately handle a student's complaint.

### *Annual security report*

**Due date:** October 1

**Method of transmittal:** Report mailed or delivered to each enrolled student and employee or made available on an Internet or intranet website.

Prospective students and prospective employees receive notice of the report and can receive it upon request.

On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students and with a statement of how to get the information.

**Recipient:** Enrolled students and current employees, prospective students and employees

**Description:** The annual security report must contain the following:

1. The crime statistics described in the report section.
2. Policies regarding the procedures for students and others to report criminal actions or other emergencies occurring on campus and regarding the institution's response to these reports, including policies for making timely warnings to members of the campus community, policies for preparing the annual disclosure of crime statistics, a list of the titles of each person to whom individuals should report criminal offenses, and policies and procedures for victims and witnesses to report crimes on a voluntary and confidential basis.

### **Academic programs**

HEA Sec. 485(a)(1)(G)

34 CFR 668.43(a)(5)

FSA Handbook Volume 2, Chapter 6

### **Accreditation, approval, and/or licensure**

HEA Sec. 485(a)(1)(J)

34 CFR 668.43(a)(6) and (b)

FSA Handbook Volume 2, Chapter 6

### **Annual security report**

HEA Sec. 485(a)(1)(O), 485(f)(1)

34 CFR 668.41(e), 668.46(b)

FSA Handbook Volume 2, Chapter 6

3. Policies concerning security of and access to campus facilities, including residence halls.
4. Policies concerning campus law enforcement that: address the enforcement authority and jurisdiction of security personnel; address the working relationship of campus security personnel with state and local law enforcement agencies, including whether those security personnel have the authority to make arrests and any agreements between the institutions and such agencies; encourage accurate and prompt reporting of all crimes to the campus police and the appropriate police agencies; and describe procedures, if any, that encourage counselors, if and when they deem it appropriate, to inform the persons they are counseling of any procedures to report crimes on a voluntary and confidential basis.
5. A description of the type and frequency of programs designed to inform students and employees about campus security procedures and to encourage them to be responsible for their own security and the security of others.
6. A description of programs designed to inform students and employees about the prevention of crimes.
7. A statement of policy concerning the monitoring and recording through local police agencies of criminal activity by students at noncampus locations of student organizations officially recognized by the institution, including those organizations with noncampus housing facilities.
8. The policy on the possession, use, and sale of alcoholic beverages and enforcement of state underage drinking laws.
9. The policy on the possession, use, or sale of illegal drugs and enforcement of federal and state drug laws.
10. A description of any drug or alcohol-abuse education programs.
11. A statement on dating violence, domestic violence, sexual assault, and stalking and the procedures the school will follow when one of these crimes is reported. The statement must include:
  - a. a description of the institution's educational programs and campaigns to prevent these crimes and promote awareness of them;
  - b. procedures victims should follow if such a crime has occurred, including the importance of preserving evidence, how and to whom the alleged offense should be reported, options about the involvement of law enforcement and campus authorities, and, where applicable, the rights of victims and the school's responsibilities for orders (of protection, "no-contact," restraining, or similar) issued by a court or the school;
  - c. information about how the institution will protect the confidentiality of victims and other necessary parties, including how the school will complete publically available recordkeeping without using identifying information about the victim and will keep confidential any protective measures provided to the victim as long as that confidentiality does not impair the school's ability to provide those measures;
  - d. a statement that the school will provide written notification to students and employees about its counseling, health, and other assistance programs available for victims;
  - e. a statement that the institution will provide written notification to victims about options for academic, living, transportation, and working situations or protective measures,
  - f. an explanation of the procedures for institutional disciplinary action in cases of these alleged crimes, and
  - g. a statement that when students or employees report that they have been a victim of dating violence, domestic violence, sexual assault, or stalking, the school will provide them a written explanation of their rights and options.

12. A statement advising the campus community where law enforcement agency information provided by a state concerning registered sex offenders may be obtained.
13. The policy on emergency response and evacuation procedures.
14. The policy on missing student notification procedures.

### ***Athletic completion and graduation rates***

**Due date:** Provided when an offer is made of athletically related student aid

**Method of transmittal:** The disclosure may be made electronically or on paper.

**Recipient:** Prospective student athletes, their parents, high school coach, and guidance counselor

**Description:** The report sent to NCES and described in the first section is provided to prospective student athletes and others at the time an offer is made of athletically related student aid. An institution does not have to provide a report on completion or graduation rates to prospective student athletes and their parents, high school coaches, and guidance counselors if

1. the institution is a member of a national collegiate athletic association,
2. the association compiles data on behalf of its member institutions, and
3. the association distributed the compilation to all secondary schools in the U.S.

### ***Career and Placement Services***

**Due date:** None specified

**Method of transmittal:** Website

**Recipient:** Enrolled and prospective students

**Description:** An institution must make information easily accessible on its website about career and placement services it offers to students during and after enrollment.

### ***Completion/graduation and transfer-out rates***

**Due date:** Disclosed annually but no specific date. In the case of a request from a prospective student, the information must be made available prior to the student's enrolling or entering into any financial obligation with the institution. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must make available the completion or graduation rate of certificate- or degree-seeking, first-time, full-time undergraduate students. In addition, these rates should be disaggregated for the following categories: (1) gender; (2) race and ethnicity; (3) Federal Pell Grant recipients; (4) recipients of a subsidized Stafford Loan, but not a Pell Grant; and (5) students who received neither a Pell Grant nor a subsidized Stafford Loan. These rates should be calculated at 150% of normal time for completion and should match the information provided to the National Center for Education Statistics' IPEDS surveys.

### ***Contact information regarding institutional or financial aid***

**Due date:** Available upon request or published in material. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** Institutions must publish and make available to prospective and enrolled students' information on how and where to contact individuals designated to assist in obtaining institutional or financial aid information.

### **Athletic completion and graduation rates**

HEA Sec. 485(g)(3)

34 CFR 668.41(f)

FSA Handbook Volume 2, Chapter 6

### **Career and placement services**

HEA Sec. 132(i)(1)(V)(iii)

### **Completion/graduation and transfer-out rates**

HEA Sec. 485(a)(1)(L), 485(a)(7)

34 CFR 668.41(d)(4), 668.45

FSA Handbook Volume 2, Chapter 6

### **Contact information**

HEA Sec. 485(a)(1)(H)

34 CFR 668.43(a)(8), 668.44

FSA Handbook Volume 2, Chapter 6



### Copyright infringement

HEA Sec. 485(a)(1)(P)  
34 CFR 668.14(b)(30), 668.43(a)(10)  
FSA Handbook Volume 2, Chapters 6  
and 7

### Copyright infringement policies and sanctions

**Due date:** Annually. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must make available the institution's policies on copyright infringement. Specifically, they must distribute:

1. a statement that informs students that unauthorized distribution of copyrighted material and unauthorized peer-to-peer sharing may be subject to civil and criminal liabilities,
2. a summary of the penalties for violation of federal copyright laws,
3. a description of the institution's policies with respect to unauthorized peer-to-peer file sharing, including disciplinary actions that are taken against students who engage in illegal downloading or unauthorized distribution of copyrighted materials using the institution's information technology system, and
4. the legal alternatives for downloading or otherwise acquiring copyrighted material.

An institution must have a plan to combat unauthorized distribution of copyrighted material by users of its network that includes, in addition to the above, one or more technology-based deterrents, mechanisms for informing its community about appropriate versus inappropriate use of copyrighted material, and procedures for periodically reviewing the effectiveness of the effort. The school will, in consultation with the chief technology or other designated officer, periodically review the legal alternatives for acquiring copyrighted material and make available the results of this review to its students through a website or other means.

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### Cost of attendance

HEA Sec. 485(a)(1)(E)  
34 CFR 668.41(d)(2), 668.43  
FSA Handbook Volume 2, Chapter 6

### Cost of attendance

**Due date:** Available upon request or published in material. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must publish information about the price of attendance, including tuition and fees, books and supplies, room and board, transportation costs, and any additional costs.

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### Crime log

HEA Sec. 485(f)(4)  
34 CFR 668.46(f)  
FSA Handbook Volume 2, Chapter 6

### Crime log

**Due date:** Available for public inspection upon request; see below

**Method of transmittal:** A written log

**Recipient:** The public

**Description:** An institution with a campus police or security department must maintain a written, easily understood daily log that records by the date reported to campus police or security any crime that occurred within the school's Clery geography (see the definition given under the annual security statistics entry in the report section). The log must include the disposition of the complaint, if known, and the nature, date, time, and general location of each crime.

The institution must make an entry or an addition to an entry to the log within two business days of the report of the information to the campus police or security department unless that disclosure is prohibited by law or would jeopardize the confidentiality of the victim.

An institution may withhold information if there is clear and convincing evidence that releasing it would jeopardize an ongoing criminal investigation or the safety of an individual, cause a suspect to flee or evade detection, or result in the

destruction of evidence. The institution must disclose any information so withheld once the adverse effect is no longer likely to occur.

An institution may withhold only that information that would cause the adverse effects described in the above paragraphs.

Institutions must make the crime log for the most recent 60-day period open to public inspection during normal business hours and must make any portion of the log older than 60 days available within two business days of a request for public inspection.

***Disability services and facilities***

**Due date:** Available upon request or published in material. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must make information easily accessible on its website about the facilities and services available to students with disabilities, including those diagnosed with intellectual disabilities.

***Drug and alcohol abuse prevention materials***

**Due date:** Annually

**Method of transmittal:** Distributed in writing

**Recipient:** Enrolled students and employees

**Description:** An institution is required to distribute information on preventing drug and alcohol abuse. Specifically, an IHE that participates in title IV, HEA programs must distribute

1. standards of conduct that prohibit the unlawful possession, use, or distribution of illicit drugs;
2. a description of legal sanctions under local, state, or federal law for the unlawful possession or distribution of illicit drugs and alcohol;
3. a description of health risks associated with the use of illicit drugs and the abuse of alcohol;
4. a description of available counseling, treatment, rehabilitation, or re-entry programs that are available to employees or students; and
5. a clear statement that the institution will impose disciplinary sanctions on students and employees and a description of those sanctions for violations of the standards of conduct.

***Drug and alcohol abuse prevention program review***

**Due date:** Biennially

**Method of transmittal:** Must be made available upon request, but no format is specified.

**Recipient:** Department of Education and public

**Description:** An institution is required to make available the results of a biennial review of the institution’s drug and alcohol abuse program that

1. determines the program’s effectiveness and any needed changes,
2. determines the number of drug and alcohol related violations and fatalities,
3. identifies the number and type of sanctions imposed, and
4. ensures that the sanctions are consistently enforced.

**Disability services and facilities**

HEA Sec. 132(i)(1)(V)(ii), 485(a)(1)(I)

34 CFR 668.43(a)(7)

FSA Handbook Volume 2, Chapter 6

**Drug abuse prevention materials**

HEA Sec. 120

34 CFR 86.100(a)

FSA Handbook Volume 2, Chapter 6

**Drug abuse prevention program review**

HEA Sec. 120(a)(2)

34 CFR 86.100(b), 86.103(a)

FSA Handbook Volume 2, Chapter 6

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### **EADA report**

HEA Sec. 485(g)  
34 CFR 668.41(g)(1), 668.47  
FSA Handbook Volume 2, Chapter 6

### **EADA report**

**Due date:** October 15  
**Method of transmittal:** On paper or electronically upon request.  
**Recipient:** Enrolled and prospective students and the public  
**Description:** An institution must make the EADA report described earlier easily accessible to current and prospective students and the public. The institution must also provide notice to all enrolled students and prospective students of their right to request the report. If the institution chooses to post the report on an Internet or intranet website, it must provide in the notice the exact electronic address and a brief description of the report and state that it will provide a paper copy of the report on request. For prospective students, the institution may not use an intranet website for this purpose. For a full list of items found in this report, see the EADA entry in the reports section.

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### **Penalties for drug law violations**

HEA Sec 485(k)  
FSA Handbook Volume 2, Chapter 6

### **Federal student financial aid penalties for drug law violations**

**Due date:** Upon enrollment and upon the loss of eligibility for any grant, loan, or work-study assistance due to drug offenses.  
**Method of transmittal:** Separate written notice  
**Recipient:** Each student  
**Description:** An institution must provide to each student at the time of enrollment a separate and clear written notice that a conviction for any drug offense while receiving Title IV aid will result in a loss of eligibility for all Title IV aid. For individuals who have lost eligibility, an institution must provide them with a separate, clear, and conspicuous notification of Title IV eligibility loss and must advise them how eligibility may be regained.

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### **Fire log**

HEA Sec. 485(i)(3)(A)  
34 CFR 668.49(d)  
FSA Handbook Volume 2, Chapter 6

### **Fire log**

**Due date:** Available for public inspection upon request; see below  
**Method of transmittal:** A written log  
**Recipient:** The public  
**Description:** An institution with on-campus student housing must maintain a written, easily understood fire log that records by the date reported any fire that occurred in an on-campus student housing facility. The log must include the nature, date, time, and general location of each fire. An institution must make an entry or an addition to an entry to the log within two business days of receiving the information.

The fire log must be open to public inspection during normal business hours for the most recent 60-day period. Any portion of the log older than 60 days must be available within two business days of a request for public inspection.

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### **Fire safety report**

HEA Sec. 485(a)(1)(T)  
34 CFR 668.49(b)  
FSA Handbook Volume 2, Chapter 6

### **Fire safety report**

**Due date:** Annually  
**Method of transmittal:** Report or notice of report mailed or delivered to each enrolled student and employee or made available on an Internet or intranet website.  
Prospective students and prospective employees receive notice of report and receive a paper copy of the report upon request.  
On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.  
**Recipient:** Enrolled students and current employees; Prospective students and employees  
**Description:** An institution must make an annual report to the campus community on the fires recorded in the fire log. This requirement may be satisfied by the annual fire safety report, which contains:

1. The fire statistics described earlier in the report section.

2. A description of each on-campus student housing facility fire safety system.
3. The number of fire drills held during the previous calendar year.
4. The institution's policies or rules on portable electrical appliances, smoking, and open flames in a student housing facility.
5. The institution's procedures for student housing evacuation in the case of a fire.
6. The policies regarding fire safety education and training programs provided to the students and employees. In these policies, the institution must describe the procedures that students and employees should follow in the case of a fire.
7. For purposes of including a fire in the statistics in the annual fire safety report, a list of the titles of each person or organization to which students and employees should report that a fire occurred.
8. Plans for future improvements in fire safety, if determined necessary by the institution.

### ***Gainful employment programs***

**Due date:** Prior to registering or enrolling

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Prospective students

**Description:** For institutions that offer programs designed to prepare students for gainful employment in a recognized field, the institution must disclose, through the template offered by the Secretary, the following about the program:

1. The occupations (by names and SOC codes) that the program prepares students to enter, with links to occupational profiles on O\*NET;
2. The on-time graduation rate for students completing the program;
3. The tuition and fees it charges a student for completing the program within normal time, the typical costs for books and supplies (unless those costs are included as part of tuition and fees), and the costs of room and board if applicable;
4. The placement rate for students completing the program;
5. The median loan debt incurred by students who completed the program as provided by the Secretary, as well as any other information the Secretary provided to the school about that program. The school must separately identify the median loan debt from title IV, HEA program loans, private educational loans, and institutional financing plans.

For each program the school must include the required information in promotional materials it makes available to prospective students, and it must prominently display the information in a simple and meaningful manner on the homepage of the program's website. Any other webpage containing general, academic, or admissions information about the program must have a prominent and direct link to the single webpage that contains all the required information. The information must be in an open format that can be retrieved, downloaded, indexed, and searched by commonly used Web search applications. An open format is one that is platform-independent, is machine-readable, and is made available to the public without restrictions that would impede the reuse of that information.

### ***Information for crime victims about disciplinary proceedings***

**Due date:** Upon written request

**Method of transmittal:** Written correspondence

**Recipient:** Alleged victim or next of kin, if alleged victim is deceased as a result of such crime

**Description:** Institutions must disclose upon request to the alleged victim of any crime of violence or a non-forcible sex offense the report on the results of any disciplinary hearing against a student who is the alleged perpetrator of such crime or offense. If the alleged victim is deceased as a result of the crime, the next of kin shall be treated as the alleged victim for purposes of disclosure.

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### **GE programs**

34 CFR 668.6(b)

FSA Handbook Volume 2, Chapter 6

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### **Information for crime victims**

HEA Sec. 487(a)(26)

### **Job placement rates**

HEA Sec. 487(a)(8)  
34 CFR 668.14(b)(10)

### **Job placement rates**

**Due date:** Available

**Method of transmittal:** Not specified

**Recipient:** Prospective students

**Description:** If an institution uses job placement rates in their marketing material, they are required to provide certain disclosures about job placement rates. They must provide and certify the data is the most recent available, provide any other information necessary to substantiate the truthfulness of the information, and provide any state licensing requirements. In addition, an institution must provide information on the placement in employment and types of employment obtained by graduates of the institution's degree and certificate programs.

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### **Missing person policy**

HEA Sec. 485(j)  
34 CFR 668.46(h)  
FSA Handbook Volume 2, Chapter 6

### **Missing Person Policy**

**Due date:** October 1. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** In the annual security report

**Recipient:** The campus community

**Description:**

An institution that provides any on-campus student housing must disclose its missing student notification policy. That policy must

1. indicate the title of persons or organizations to which reports should be made when a student has been missing for 24 hours;
2. require any missing student report be referred immediately to the institution's police or campus security or, in their absence, to the local law enforcement agency with jurisdiction;
3. give a student the option to identify a contact person(s) who will be notified within 24 hours of the determination by campus security or local law enforcement that the student is missing;
4. advise students that their contact information will be registered confidentially, will be accessible only to authorized campus officials, and that it may not be disclosed except to law enforcement investigating a missing person;
5. advise students that if they are under the age of 18 and not emancipated, the institution must notify a custodial parent or guardian within 24 hours of when the students are determined to be missing (in addition to any other contact person they designated above); and
6. inform students that the institution will notify local law enforcement within 24 hours of when a student is determined to be missing unless local law enforcement made that determination.

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### **Net price calculator**

HEA Sec. 132(h)(3) and (4)  
FSA Handbook Volume 2, Chapter 6

### **Net price calculator**

**Due date:** Available on website

**Method of transmittal:** Website

**Recipient:** The public

**Description:** Institutions must make a net price calculator available on their website. The calculator may be one provided by the U.S. Department of Education or one that the institution creates as long as it contains, at a minimum, the same data elements in the Department's calculator.

Estimates produced by the net price calculator shall be accompanied by a clear and conspicuous disclaimer stating that the estimate may change; that it does not represent a final determination or actual award of financial aid; and that it shall not be binding on the Secretary, the institution, or the state. The disclaimer must also state that the student must complete the Free Application for Federal Student Aid (FAFSA) to receive an actual financial aid award that includes federal grant, loan, or work-study assistance under Title IV, and the disclaimer must include a link to the Department's FAFSA website.

**Privacy of student records—Family Educational Rights and Privacy Act (FERPA)**

**Due date:** Annually. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Electronic media, publications, or mailings

**Recipient:** Enrolled students

**Description:** An institution that receives any funds from any Department of Education program (not just financial aid funds) must provide a notice to all students currently in attendance, or parents of students currently in attendance about their right to inspect and review the student’s education records, to seek amendment of the student’s education records that may be inaccurate, misleading, or otherwise in violation of the student’s privacy rights, consent to disclosures of personally identifiable information, and file complaints with the U.S. Department of Education. The notice must include the procedure for exercising the right to inspect and review education records, the procedure for requesting amendment of records, and if the educational agency or institution has a policy of disclosing education records, a specification of criteria for determining who constitutes a school official and what constitutes a legitimate educational interest.

An institution shall effectively notify parents or eligible students who are disabled. An institution shall effectively notify parents who have a primary or home language other than English.

For an institution to disclose directory information without prior consent, an institution must provide a notice of directory information that includes: (1) the types of information that has been designated directory information and (2) the student’s right to refuse to allow any information to be designated as directory information (including the time period the student has to make that request in writing).

**Refund policy, withdrawal, and return of Title IV financial aid**

**Due date:** Available upon request or published in material. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must publish (1) the institution’s refund policy, (2) requirements and procedures for official withdrawal, and (3) requirements for return of Title IV, HEA grants and loans.

**Retention rates**

**Due date:** Available; also see below regarding prospective students. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must make available the retention rate of certificate- or degree-seeking, first-time undergraduate students as reported to the National Center for Education Statistics’ IPEDS surveys. In the case of a request from a prospective student, the information must be made available prior to the student’s enrolling or entering into any financial obligation with the institution.

**FERPA**

HEA Sec 485(a)(1)  
34 CFR 99.7, 668.41(c)  
FSA Handbook Volume 2, Chapters 6 and 7

**Refunds, withdrawals, returns**

HEA Sec. 485(a)(1)(F)  
34 CFR 668.41(d)(2), 668.43(a)(2)–(4)  
FSA Handbook Volume 2, Chapter 6

**Retention rates**

HEA Sec. 485(a)(1)(U)  
34 CFR 668.41(d)(3)

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**Student activities**

HEA Sec. 132(i)(1)(V)(i)

***Student activities***

**Due date:** None specified

**Method of transmittal:** Website

**Recipient:** Enrolled and prospective students

**Description:** An institution must make information easily accessible on its website about student activities it offers.

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**Student body diversity**

HEA Sec. 485(a)(1)(Q)

***Student body diversity***

**Due date:** Available upon request. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Publications, mailings, or electronic media

**Recipient:** Enrolled and prospective students

**Description:** An institution must publish information about student body diversity, including the percentage of enrolled, full-time students who are male, female, federal Pell Grant recipients, and self-identified members of a major racial or ethnic group. All of these items are also collected through IPEDS surveys.

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**Financial aid information**

HEA Sec 485(a)(1)(A)

34 CFR 668.41(d)(1), 668.42

FSA Handbook Volume 2, Chapter 6

***Student financial aid information***

**Due date:** Available upon request or published in material. On an annual basis an institution must provide enrolled students with a list of the information (which includes this item) that it is required to provide under HEA §485 to students, and with a statement of the procedure for obtaining the information.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** Institutions must make available information on

1. all need-based and non-need-based federal, state, and local, private and institutional based student financial aid programs;
2. terms and conditions of Title IV, HEA loans;
3. criteria for selecting award recipients and how the award amount is determined;
4. procedures for applying for aid and eligibility requirements;
5. information on the disbursement of aid;
6. rights and responsibilities in receiving financial aid;
7. terms of any loans and a sample loan repayments schedule;
8. a statement that study abroad approved for credit may be considered enrollment in the home institution for the purposes of financial aid;
9. general conditions and terms applicable to employment provided as part of the financial aid package;
10. the exit counseling information the institution collects;
11. the cost of attending the institution;
12. the academic programs of the institution; and
13. the standards of satisfactory academic progress.

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**Textbook information**

HEA Sec. 133 (d)

FSA Handbook Volume 2, Chapter 6

***Textbook information***

**Due date:** Available on website for each class

**Method of transmittal:** Website—Internet course schedule

**Recipient:** Available to the public

**Description:** To the maximum amount practicable, an institution shall publish on its Internet course schedule used for registration and preregistration the ISBN and retail price information of required and recommended textbooks and supplemental materials for each course. If the ISBN is not available, the institution must provide the author, title, publisher and copyright date for the material. If applicable, the institution shall note on any written course schedule that textbook information is available on the Internet course schedule and provide the Web address of that schedule.

If the institution determines that the disclosure of textbook information is not practicable for a college textbook or supplemental material, the institution shall put the designation “To Be Determined” in lieu of the textbook information.

**Transfer of credit policies**

**Due date:** Must make readily available.

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must disclose a statement on the transfer of credit that includes (1) any established criteria the institution uses regarding the transfer of credit earned at another institution and (2) a list of institutions with which it has established an articulation agreement. A school’s policies on transfer of credit from other institutions must be easily accessible on its website.

**Types of graduate/professional education that graduates enroll in**

**Due date:** N/A

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** An institution must make available information regarding the types of graduate and professional education in which graduates of its four-year programs enroll and identify the source of the information provided and any time frames or methodology associated with it. In complying with this, the institution may gather information from state data systems, alumni or student satisfaction surveys, or other relevant sources.

**Vaccinations policy**

**Due date:** N/A

**Method of transmittal:** Publications, mailings, or electronic media

**Recipient:** Enrolled and prospective students

**Description:** Institutions must provide information about their policies on vaccinations.

**Voter registration forms**

**Due date:** Institutions must request forms from the state at least 120 days prior to the deadline to register to vote in the state. Otherwise the form shall be made widely available to students at the institution.

**Method of transmittal:** Email or regular mail

**Recipient:** Students enrolled in a degree or certificate program and physically in attendance at the institution.

**Description:** In most states\* an institution must make a good faith effort to make mail voter registration forms widely available to students enrolled in a degree or certificate program and physically attending the institution. The institution shall request the voter registration forms at least 120 days prior to the deadline to register to vote in the state. An institution may electronically transmit a message, devoted exclusively to voter registration, with a voter registration form for use in the state in which the institution is located or with an Internet address where such a form can be downloaded.

**Written arrangements**

**Due date:** None given

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Enrolled and prospective students

**Description:** A school must provide enrolled and prospective students with a description of the written arrangements it has entered into, including

- the portion of the educational program that the school that grants the degree or certificate is not providing,

**Transfer of credit policies**

HEA Sec. 132(i)(1)(V)(iv), 485(h)(1)

34 CFR 668.43(a)(11)

FSA Handbook Volume 2, Chapter 6

**Types of graduate education that graduates enroll in**

HEA Sec. 485(a)(1)(S)

34 CFR 668.41(d)(6)

FSA Handbook Volume 2, Chapter 6

**Vaccinations policy**

HEA Sec. 485(a)(1)(V)

FSA Handbook Volume 2, Chapter 6

**Voter registration forms**

HEA Sec. 487(a)(23)

FSA Handbook Volume 2, Chapter 6

\* Institutions in six states—Idaho, Minnesota, New Hampshire, North Dakota, Wisconsin, and Wyoming—are exempt from this requirement, as are those in Puerto Rico, Guam, the Virgin Islands, and American Samoa.

**Written arrangements**

34 CFR 668.43(a)(12)

FSA Handbook Volume 2, Chapter 2



- the name and location of the other schools or organizations that are providing that portion of the educational program,
- the method of delivery of that part of the educational program, and
- estimated additional costs students may incur by enrolling in an educational program provided under the written arrangement.

## DISCLOSURES RELATED TO LOANS

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### Code of conduct

HEA Sec. 153(c)(3), 487(a)(25) and (e)  
34 CFR 601.21, 668.14(b)(27)  
FSA Handbook Volume 2, Chapter 3

### *Code of conduct*

**Due date:** N/A

**Method of transmittal:** Website

**Recipient:** Public and those with responsibilities with loans must be notified annually

**Description:** An institution must publish a code of conduct that prohibits conflicts of interest with respect to Title IV, HEA loans or private education loans. The code of conduct must prohibit (1) revenue-sharing agreements; (2) receiving gifts from a lender, guarantor, or loan servicers; (3) contracts providing financial benefit from any lender; (4) directing borrowers to a particular lender; (5) offers of funds for private loans; (6) call center or financial aid office staffing assistance; and (7) advisory board compensation.

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### Disclosure of Perkins repayment information

HEA Sec. 463(A)(b)  
34 CFR 674.42(a)  
FSA Handbook, Volume 6, Chapters 3 and 5

### *Disclosure of repayment information about Perkins loans*

**Due date:** Shortly before borrowers cease at least half-time study or during exit counseling

**Method of transmittal:** A written statement

**Recipient:** Student borrowers

**Description:** An institution must provide repayment information in a written statement to Perkins borrowers either shortly before they cease at least half-time study or during exit counseling. If a borrower enters the repayment period without the institution's knowledge, it must provide the required disclosures in writing immediately upon discovery of that. The repayment information must include

1. the name and address of the school to which the debt is owed and the name and address of the official or servicing agent to whom communications should be sent;
2. the name and address of the party to which payments should be sent;
3. the estimated balance owed by the borrower as of the date on which the repayment period is scheduled to begin;
4. the stated interest rate on the loan;
5. the repayment schedule for all loans covered by the disclosure, including the date the first installment payment is due and the number, amount, and frequency of required payments;
6. an explanation of the available repayment options, including special options for forbearance, deferment, consolidation, and refinancing, as well as a statement that the borrower has the right to prepay all or part of the loan at any time without penalty;
7. a description of the charges imposed for failure of the borrower to pay all or part of an installment when due;
8. a description of any charges that may be imposed as a consequence of default, such as liability for expenses reasonably incurred in attempts by the Department or the school to collect on the loan;
9. the total interest charges the borrower will pay on the loan pursuant to the projected repayment schedule;
10. the contact information of a person who, upon request of the borrower, will provide the borrower with a copy of his or her signed promissory note; and

11. an explanation that if a borrower is required to make minimum monthly repayments and has received loans from more than one institution, the borrower must notify the institution if he or she wants the minimum monthly payment determination to be based on payments due to other institutions.

**Entrance counseling**

**Due date:** Prior to first disbursement

**Method of transmittal:** Must be in person, by audiovisual presentation, or by interactive electronic means.

**Recipient:** Student loan borrower

**Description:** An institution must provide to a first-time borrower information on

1. to the extent practicable, the effect of accepting the loan to be disbursed on the eligibility for other forms of student financial assistance;
2. an explanation of the use of the master promissory note;
3. information on how interest accrues and is capitalized during periods when the interest is not paid by either the borrower or the Secretary;
4. the option of the borrower to pay interest on a Direct Unsubsidized loan while the borrower is in school;
5. an explanation of the importance of contacting the appropriate offices if the borrower withdraws prior to completing their program of study so the institution can provide exit counseling;
6. sample monthly repayment amounts based on a range of indebtedness or the average indebtedness of other borrowers in the same program;
7. the obligation of the borrower to repay the full amount of the loan, regardless of whether the borrower completes or does not complete the program, does not complete the program within the regular time for program completion, is unable to obtain employment upon completion, or is otherwise dissatisfied with or does not receive the educational or other services that the student borrower purchased from the school;
8. the likely consequences of default on the loan, including adverse credit reports, delinquent debt collection procedures, and litigation;
9. information on NSLDS and how the borrower can access the borrower's records;
10. the name of and contact information for the individual the borrower may contact if the borrower has any questions about the borrower's rights and responsibilities; and
11. emphasize to the borrower the seriousness and importance of the repayment obligation the student borrower is assuming;
12. the definition of half-time enrollment at the school, during regular terms and summer school, if applicable, and the consequences of not maintaining half-time enrollment;
13. the limitation on eligibility for Direct Subsidized loans and possible borrower responsibility for accruing interest, including the possible loss of eligibility for additional Direct Subsidized loans, how a borrower's maximum eligibility period, remaining eligibility period, and subsidized usage period are calculated, the possibility that the borrower could become responsible for accruing interest on previously received Direct Subsidized loans and the portion of a Direct Consolidation loan that repaid a Direct Subsidized loan during in-school status, the grace period, authorized periods of deferment, and certain periods under the Income-Based Repayment and Pay As You Earn Repayment plans; and the impact of borrower responsibility for accruing interest on the borrower's total debt.

For graduate or professional student Direct PLUS loan borrowers, an institution must provide information prior to disbursement that includes

1. a range of student levels or indebtedness of graduate or professional student PLUS loan borrowers, of student borrowers with Direct PLUS loans and Direct

**Entrance counseling**

HEA Sec. 463A(a), 485(l)

34 CFR 674.16(a), 685.304(a)

FSA Handbook Volume 2, Chapter 6

- Subsidized or Direct Unsubsidized loans, depending on the types of loans the borrower has obtained, or the average indebtedness of other borrowers in the same program at the same school;
- inform the borrower of the option to pay interest on a PLUS loan while the borrower is in school;
  - the maximum interest rate for a Direct PLUS loan, periods when interest accrues on a Direct PLUS loan, and the point at which a Direct PLUS loan enters repayment;
  - for a graduate or professional student Direct PLUS loan borrower who has not received a prior Direct Subsidized loan or Direct Unsubsidized loan, the information listed in the above section for first-time borrowers.

For Perkins loans, entrance counseling is not required, though it is recommended. However, an institution must provide information prior to disbursement that includes

- the name of the institution of higher education and the address to which communications and payments should be sent;
- the principal amount of the loan;
- the amount of any charges collected by the institution at or prior to the disbursal of the loan and whether those charges are deducted from the proceeds of the loan or are paid separately by the borrower;
- the stated interest rate of the loan;
- the yearly and cumulative maximum amounts that may be borrowed;
- an explanation of when repayment of the loan will be required and when the borrower will be obligated to pay interest that accrues on the loan;
- a statement as to the minimum and maximum repayment term which the institution may impose and the minimum monthly payment required by law, as well as a description of any penalty imposed as a result of default;
- a statement of the total cumulative balance, including the loan applied for, owed by the student to that lender, and an estimate of the projected monthly payment, given such cumulative balances;
- an explanation of any special options the borrower may have for loan consolidation or other refinancing;
- a statement that the borrower has the right to prepay all or part of the loan, at any time, without a penalty, a statement summarizing circumstances in which repayment of the loan or interest that accrues on the loan may be deferred, and a brief notice of the program for repayment of loans on the basis of military service;
- a definition of default and the consequences to the borrower if the borrower defaults, together with the a statement that the disbursement of, and the default of a loan shall be reported to a consumer reporting agency;
- to the extent practicable, the effect of accepting the loan on the eligibility of the borrower for other forms of student assistance; and
- an explanation of any cost the borrower may incur in the making or collection of the loan.

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### Exit counseling

HEA Sec. 485(b)(1)(A)  
34 CFR 668.42(c)(6), 674.42(b),  
682.604(a), 685.304(b)  
FSA Handbook, Volume 2, Chapter 6

### *Exit counseling*

**Due date:** Shortly before student borrower ceases at least half-time study at the school.

**Method of transmittal:** Must be in person, by audiovisual presentation, or by interactive electronic means.

**Recipient:** Student loan borrower

**Description:** An institution must provide information to borrowers before they cease half-time enrollment at the institution. Information shall include

- a description of the repayment plans available, the features of each plan, and the average anticipated monthly payments and the difference in interest paid and total payments under each plan;
- debt management strategies that help with repayment;

3. an explanation that the borrower has the options to prepay each loan, pay each loan on a shorter schedule, and change repayment plans;
4. a general description of the terms and conditions under which the borrower may obtain full or partial forgiveness or cancellation of the principal and interest;
5. a general description of the terms and conditions under which the borrower may defer repayment of principal or interest or be granted forbearance;
6. the consequences of defaulting on a loan, including adverse credit reports, delinquent debt collection procedures and litigation;
7. information on the effects of using a consolidation loan, such as the effects on total interest to be paid, fees to be paid, and length of repayment, effects on grace periods, loan forgiveness, cancellation, and deferment opportunities, the options to prepay the loan and change repayment plans, and that benefits may vary among different lenders;
8. as with entrance counseling, an explanation of the MPN and an emphasis to borrowers on the importance of the obligation to repay the student loan and to repay the full amount of the loan even if they do not complete the program, do not complete it within the regular time frame, are unable to obtain employment upon completion, or are otherwise dissatisfied with the school or did not receive the educational or other services that they purchased from the school;
9. a general description of the types of tax benefits that may be available to borrowers;
10. information on the availability of the Department’s Student Loan Ombudsman’s office;
11. a notice about NSLDS and how the system can be used by borrowers to get information on the status of their loan;
12. information on how to contact the party servicing student borrowers’ Direct loans;
13. a copy, either in print or electronically, of the information the Department makes available pursuant to section 485(d) of the HEA;
14. an explanation to first-time borrowers
  - a. how the maximum eligibility period, remaining eligibility period, and subsidized usage periods are determined,
  - b. about the sum of the borrowers’ subsidized usage periods at the time of the exit counseling,
  - c. about the consequences of continued borrowing or enrollment, including the possible loss of eligibility for additional Direct Subsidized loans and the possibility that the borrower could become responsible for accruing interest on previously received Direct Subsidized loans and the portion of a Direct Consolidation loan that repaid a Direct Subsidized loan during in-school status, the grace period, authorized periods of deferment and certain periods under the IBR and PAYE plans,
  - d. about the impact of the borrower becoming responsible for accruing interest on total student debt,
  - e. that the Secretary will inform student borrowers whether they are responsible for accruing interest on any Direct Subsidized loans,
  - f. that borrowers can access NSLDS to determine if they are responsible for accruing interest on any Direct Subsidized loans; and
15. a requirement that student borrowers provide current information on name, address, Social Security number, references, driver’s license number and state of issuance, expected address, the address of their next of kin, and the name and address of their expected employer.

For Perkins Loans, exit counseling must

1. inform the student as to the average anticipated monthly repayment amount based on the student's indebtedness or the average indebtedness of students who have obtained Perkins loans for attendance at the institution or in the borrower's program of study;
2. explain to the borrower the options to prepay each loan and pay each loan on a shorter schedule;
3. review for the borrower the options to consolidate a Perkins loan, as well as the consequences of consolidating a Perkins loan, including the effects on total interest and fees to be paid and length of repayment, the effects on the borrower's underlying loan benefits, including grace periods, loan forgiveness, cancellation, and deferment opportunities, the options of the borrower to prepay the loan or to change repayment plans, and that borrower benefit programs may vary among different lenders;
4. include debt management strategies designed to facilitate repayment;
5. explain the use of a master promissory note;
6. emphasize the seriousness and importance of the repayment obligations the borrower is assuming;
7. describe the likely consequences of default, including adverse credit reports, delinquent debt collection procedures, and litigation;
8. emphasize that the borrower is obligated to repay the full amount of the loan even if the borrower has not completed the program, is unable to obtain employment after completion, or is otherwise dissatisfied with their education;
9. provide a general description of the terms under which a borrower may obtain full or partial forgiveness or cancellation of principal and interest, defer repayment of principal or interest, or be granted an extension of the repayment period or a forbearance;
10. require the borrower to provide current information concerning name, address, social security number, references, driver's license number, the borrower's expected permanent address, the address of the borrower's next of kin, and the name and address of the borrower's expected employer;
11. review the borrower information on the availability of the Student Loan Ombudsman's office;
12. inform the borrower about NSLDS and how NSLDS can be used to obtain title-IV loan status information, and
13. describe the types of tax benefits that may be available to borrowers.

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### Preferred lender disclosures

HEA Sec. 152, 153, 487(a)(27) and (h)  
34 CFR 601.10, 668.14(b)(28)  
FSA Handbook Volume 2, Chapter 6

### *Preferred lender disclosures*

**Due date:** Annually updated

**Method of transmittal:** Website, electronic media, publications, or mailings

A preferred lender list and associated information must be made available to the public and provided to students attending or planning to attend the institution.

**Recipient:** Students, prospective students, and their families

**Description:** An institution that maintains a list of lenders that it recommends, promotes, or endorses in accordance with a preferred lender arrangement must make the list available. The list must include:

1. not less than the information required to be disclosed under section 153(a)(2)(A) of the HEA;
2. specific indication for each listed lender whether it is an affiliate of any other lender on the list, and if there is an affiliation, describes the details of such;
3. the methods and criteria used to select preferred lenders, to ensure that selection is on the basis of the best interests of borrowers, including payment of origination or other fees on behalf of the borrower, highly competitive interest rates, high-quality servicing, or additional benefits beyond the standard terms and conditions;
4. why the institution participates in a preferred lender arrangement with each

- lender, including why the terms, conditions and provisions of each type of education loan are beneficial for students attending the institution; and
5. a notice that a family does not have to borrow from a lender on the list. At minimum a list must have at least two private education lenders.

The institution must also disclose the following on their website and in all informational materials that are distributed to current and prospective students and families and that describe or discuss the financial aid opportunities and education loans available to students: the maximum amount of federal grant and loan aid under title IV of the HEA, and required information from the Truth in Lending Act for each type of private education loan offered through a preferred lending arrangement.

***Private loan disclosures***

**Due date:** Prior to borrowing. Upon request for self-certification form

**Method of transmittal:** Website, electronic media, publications, or mailings

**Recipient:** Prospective borrowers

**Description:** Institutions that provide information on private education loans must provide to prospective borrowers: (1) information required under section 128(e)(1) of the Truth in Lending Act (15 U.S.C. 1638(e)(1)); (2) a notice that they may qualify for loans and other financial aid under Title IV of the HEA; and (3) a notice that the terms and conditions of Title IV, HEA loans may be more favorable than those of private loans. Institutions must ensure that information regarding private education loans is presented so as to be distinct from information regarding Title IV, HEA program loans.

Institutions must also provide the self-certification form for private education loans on paper or electronically to any student who requests the form.

***State grant assistance***

**Due date:** By point of application

**Method of transmittal:** Not specified

**Recipient:** Loan borrowers

**Description:** An institution must inform all eligible borrowers about the availability of, and their eligibility for, state grant aid from the state in which the institution is located. It will inform such borrowers from another state of the source for further information concerning grant aid from that state.

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**Private loan disclosures**

HEA Sec. 152(a)(1)(B), 155, 487(a)(28)  
 34 CFR 601.11, 601.30, 668.14(b)(29)  
 FSA Handbook Volume 2, Chapter 6

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**State grant assistance**

HEA Sec. 487(a)(9)





# FY2015-16 ORGANIZATIONAL SUMMARY

## RESOURCE DEVELOPMENT

### **Individual Giving - Donor Acquisition**

We continue to see improved response rates in direct mail, stronger responses to digital/email fundraising strategies and increased activity on social media platforms, resulting in a projected 18.5% increase in direct marketing revenue.

To date we acquired 13,000 new donors, an increase of 80% compared to last year. We steadily gained traction with better results as we moved further into the year, which is the best indicator that our new approach to list identification, along with mastering the use of the new messaging in different channels, is working for us. Our plan for the upcoming fiscal year includes investment to acquire about 30,000 new donors.

### **Community Engagement/Special Events/Donor-Driven Events**

Approximately 810 people participated in an American Indian College Fund event (including two galas, educational events and donor-driven events) across the United States this fiscal year. The continued communication and action by participants is overwhelmingly positive and many of our Trustees and students participated in these events to speak and mingle.

We are expanding from five markets in 2015-16 to seven markets in 2016-17, adding Atlanta and Seattle to our already existing cities (New York, Chicago, Minneapolis/St. Paul, San Francisco, and various cities in Southern California). Our goal is to use our existing national network of almost 400 people to continue to grow our grass-roots presence in local communities.

### **Digital/Social Media Key Performance Indicators (KPIs) through May 30:**

<b>KPIs</b>				
	<b>Month of May 2015</b>	<b>YTD May 2015</b>	<b>Goal</b>	<b>% to Goal</b>
Total New Online Donors	69	695	4,000	17.38%
Total Online Donations	\$ 36,394	\$ 434,797	\$ 632,804	68.71%
Facebook Daily People Talking About This	7,811	55,397	78,850	70.26%
Twitter Reweets, Replies, Favorites	117	1,917	1,115	171.93%
Email Renewal Campaigns	\$ 2,343	\$ 151,492	\$ 155,318	97.54%
Digital Acquisition Campaigns	\$ 20,400	\$ 53,304	\$ 238,000	22.40%
Other Digital Campaigns	\$ 13,651	\$ 258,836	\$ 276,136	93.73%

### **In-Kind Media**

Through May 30, we received \$5,641,427 in donated advertising. This is 88% more than full year budget projection and 222% more than the 2014-15 fiscal year. Highlights include millions of dollars of air time through our Comcast relationship and full page print ads in Harper's, Entertainment Weekly and Sports Illustrated.



## PUBLIC EDUCATION

### **Non-Paid (Organic) Social Media**

Our social marketing and social media seek to engage the mission values, awareness, and enhance the College Fund’s direct marketing, branding, and communications efforts. Our average weekly reach on the main Facebook page rose to 99,683 from 10,692 people during this quarter mainly because of paid efforts supporting the page (see Resource Development reports on dollars spent on advertising). Organically it rose to 25,840. The top-rated content was the link to Michelle Obama speaking to the Santa Fe Indian School graduates; 46,898 people were reached with the link with 3,287 combined likes, shares and comments from the main Facebook page. Our overall growth on all channels is up with fewer organic postings and more posting from the “dark posts” of targeted advertising. Overall paid reach and impressions will be a much larger number than the people we have who actually like page because the Facebook page is public and they are not actually posted on our timeline, unless the post was promoted (data not available or handled by PE). This is a strategy we are deliberate about, as over-posting combined with paid advertising causes the posts to appear lower on the Facebook pages using their algorithm. Paid advertising posts are driving traffic and the exposure to the page with content created by Vladimir Jones.

### **A brief comparison snapshot of 2015-16 follows:**

Social Media Followers	Benchmark – As of July 2015	As of September 2015	As of Jan 2016	As of June 2016
Facebook Org. Page-likes	30,160	31,528 9% engagement	36,179 4.5% engagement	39,654 8.9% engagement
Facebook Group members	4,356	4,593	4,883	5,200
Native Scholars Facebook	3,996	4,171 7.7% engagement	4,742 9.8% engagement	6,323 9.8% engagement
Twitter-followers	4,496 0.9% Engagement	4,593	5,008 0.8% Engagement	5,278 0.6% Engagement
YouTube channel	394 subscribers	408 subscribers	439 subscribers	476 subscribers

### **Electronic Media**

Overall web traffic is up 18% from the same period last year, comparatively, yet just about the same amount of page views and nine percentage points growth of new users coming to the site.

The top referral traffic comes from organic searches at 50%; 31% direct traffic; and 19% referral traffic. Top content drawing visitors continues to be scholarships at the main scholarships page at [collegefund.org/scholarships](http://collegefund.org/scholarships), and other student success scholarship pages. Beyond student resources, the top three non-student audience web site pages were for employment opportunities and our gala and luncheon events.

Our mobile users have grown to 27% percent. We have a viewer application on the publications page on the College Fund website that makes the viewing experience better for mobile phone users to see our annual reports and other materials we publish. Most recently, the Annual Reports are the latest and most viewed content on our [issuu.com](http://issuu.com) account, the host of this viewing software.

### **Google analytics breakdown:**

#### Website (from January 26, 2016 – June 5, 2016):

- Average of 33,687 visits per month, with 148,224 visits total for the last four months, while spending less amount time on the site.
- 30% were repeat visitors; 70% were new visitors, up 5% from the previous five months. Seventy percent of users were new from same time period from last year
- 361,883 page views
- 2.17 pages per visit; 1.42 minutes was the average length of time per visit. Three to four pages is an idea goal and is average, two minutes is industry average so we are below where we would like to be here. We will have more for the user in the site redesign. Look for this stat to increase.
- How they found us: 50% via a search engine; 19% from a referring sites; and 31% from direct traffic. Twenty-six percent of users were on mobile devices and 14% of referrals came from mobile platform of Facebook; 10% from the BIE and 5% from Google Ads.

### **Website Redesign**

The Public Education team, along with team leads from Resource Development, Student Success Services, and Office of Research and Sponsored Programs, continue to move forward with the website redesign. The wire frames for the website layout is completed and the layouts are compatible with mobile devices and all major web browsers. The College Fund selected a more robust on-line engagement tool that will be incorporated into the new website.

### **Blogs**

The College Fund blog is geared for donors, with the purpose of allowing them the ability to learn more about the College Fund, the students and TCUs we support, the ways in which we support them, all with the purpose of engaging donors for a continued donor relationship.

The President's blog's intended audience is also donors and those specifically interested in the workings of Native higher education and the issues facing students, faculty, and staff. The purpose of the blog is to position and showcase the president of the College Fund as an expert in issues in Native higher education.

The Office of Research and Sponsored Programs blogs is geared for faculty and staff at tribal colleges and universities that are engaged in research or participating in programs sponsored by the College Fund. The blog is an opportunity for them to get the latest in shared research findings, learn about program outcomes, learn about upcoming program opportunities, and more.

The Student Success Services blog's intended audiences are students and alumni that are or were former College Fund scholarship recipients. The blog includes information of interest such as upcoming scholarship information, student success stories, career information and tips, and much more.

All four blogs are located on the home page of the current College Fund web site. Each will be reachable from the home page, the Student Success Services pages, and the ORSP pages of the web site after the web site redesign.

In May we used the opportunity to address the Ford Foundation's blog about scholarships being a form of social justice on the President's Blog. The blog, titled **Social Justice Through Education a Shared Sentiment for Empowering Nations**, was published on the College Fund web site and was shared via the Potlatch Fund's web site, the Penn Center for Minority Serving Institution's web site and blog at the University of Pennsylvania, Johnson Scholarship Foundation's home page, Tribal College Journal created a blog for this purpose, and Indian Country Today.

We are also looking for staff and board members to share project details and opinions, as well as other College Fund initiatives as blog contributors. To volunteer, contact Jaime Aguilar at [jaguilar@collegefund.org](mailto:jaguilar@collegefund.org).

### **Public Relations**

For the FY2015-16 fiscal year the public education department continues to work towards its four, five, seven, and ten-year goals to place the American Indian College Fund as a national expert in American Indian and rural education in keeping with our marketing messaging hierarchy. We defined a national expert as an organization that seeks to participate in setting educational policy; being at the forefront of developing best practices in educational programming; advising highest net worth entities in developing or funding educational programming; being called to speak regarding educational best practices; and being called upon as subject matter expert on supporting workforce development and attendant rural education needs to do so, which were identified as a national need) and educating the educators programs that effects pre-Kindergarten through higher education (rural education, models that support the known benefits of minority students seeing people similar to themselves leading the classroom, and success models meeting specific needs for place-based education). For our purposes we defined the high-profile education reporters, policy-makers, and the highest net worth entities working in education sphere as national experts.

We turned a corner as an organization in the past year as we worked continually towards this goal. This goal is not just the goal of Public Education, but the goal of our entire organization. This past fall our President and members of our staff were solicited to speak at national public events. A list of events is available from Carrie Basgall, Executive Assistant, [cbasgall@collegefund.org](mailto:cbasgall@collegefund.org).

Public education reached out to the following entities this February to determine where we might find awareness as a keynote speaker, panelist, or co-author of a white paper or other publication. This includes The Council on Foundations, Independent Sector, the National Congress of American Indians, the Institute for Higher Education Policy to further discuss their Language Works project, the Center for Native Youth and their new Executive Director to determine an action plan for projects following the departure of their previous ED, and the My Brother's Keeper Initiative.

The College Fund also contributed to a report on the importance of TCUs and their social return on investment for the University of Pennsylvania's Penn Center for Minority-Serving Institutions, which was released in spring in web site format and will.

Public relations story pitches and placements for FY2015-16 are available from Dina Horwedel, Director of Public Education, [dhorwedel@collegefund.org](mailto:dhorwedel@collegefund.org). In addition to the full array of activities completed towards the College Fund's goal to be known as national experts in American Indian education, pick-ups included national magazines such as *Good Housekeeping*, *Atlantic Monthly*,

*Reader's Digest, U.S. News and World Report, Native media, national education media, and outlets such as NPR and PBS's web sites. We have also had quotes and stories featured in local media such as The Riverside (California) Press-Enterprise, The Denver Post, national business publications, local television affiliates of national networks, and national education blogs (The Edvocate, The Aspen Institute of Ideas, and The Penn Center's MSIS blog at the University of Pennsylvania) which overlay with several of our demographic target audiences defined by Vladimir Jones and our organizational goal to be known as national experts in American Indian education.*

### **Museum Exhibit**

The College Fund submitted items for inclusion in the "Contemporary Native American Women" exhibit at The Mitchell Museum of the American Indian in Evanston, IL, a year-long exhibit opening June 18, 2016. The exhibit delves into the impact of twelve inspiring and empowering indigenous women who shaped the future in Native arts, culture and language, education, cultural identity and stereotypes, land and environment, social justice, and tribal sovereignty. Items from the American Indian College Fund (posters, fliers, buttons, and a book) are being used specifically with the part of the exhibition featuring Janine Pease, one of the founders of the American Indian College Fund.

### **Annual Report**

The 2014-2015 FY annual report was printed and distributed in December 2015 and is posted electronically in catalog format, allowing readers to browse, and also posted in a downloadable PDF format on the College Fund website: [http://issuu.com/collegefund/docs/2014-2015-annual\\_report\\_web?e=0/32244550](http://issuu.com/collegefund/docs/2014-2015-annual_report_web?e=0/32244550). The process for creating the 2015-16 annual report will begin in August.

## **STUDENT SUCCESS SERVICES**

### **TCU Scholarship Program**

TCU Scholarship Program funds totaling \$4,345,700 were disbursed to the 34 eligible tribal colleges.

Regular funding totaled \$3,256,000. Each college (except as noted below) received \$100,000 in regular funding in accordance with the Board's scholarship policy. Lesser amounts were disbursed to schools with an ISC less than 100: Iłisaḡvik College, \$76,000; Keweenaw Bay Ojibwa Community College, \$74,000; Saginaw Chippewa Tribal College \$63,000; White Earth Tribal and Community College, \$43,000.

A total of \$1,088,000 in additional funding was allocated over and above the regular funding and disbursed to the 30 eligible tribal colleges. Allocations are based on each tribal college's ISC as a percentage of the total ISC. Tribal colleges with an ISC of less than 100 were not eligible for the additional funds. An additional \$1,700 was disbursed to Aaniiih Nakoda College as a result of a miscommunication that negatively impacted a student. Comanche Nation College will receive its first disbursement of funds for the 2016-17 school year.

### **Full Circle Scholarship Program**

Full Circle scholarship funds totaling \$3,429,347 were distributed to students at tribal and mainstream colleges and universities. Comanche Nation College students become eligible for

funding in 2016-17. One Comanche Nation student was offered a scholarship for the spring semester in error. We elected to honor the offer because of the confusing nature of the situation.

***Internships and Other Support***

The College Fund provided \$337,115 in funding to tribal college students for professional organization memberships, internships, travel to conferences and leadership training events, and other support areas.

***Distribution of Scholarship and Support Funds (as of June 10, 2016)***

Tribal Colleges and Universities

TCU Scholarships	\$ 4,345,700	
Full Circle Scholarships	2,707,170	
Total funds to tribal college students		<b>\$7,052,870</b>
Percentage of total scholarships (90%)		

Mainstream Colleges and Universities

Full Circle Scholarships to tribal college alumni	\$ 252,760	
Full Circle Scholarships to non-tribal college alumni	469,417	
Total funds to mainstream college students		<u>\$ 722,177</u>
Percentage of total scholarships (10%)		

<b>TOTAL SCHOLARSHIPS</b>		<b>\$7,775,047</b>
Internship/other support funding		<u>\$ 337,115</u>
<b>TOTAL ALL SCHOLARSHIPS AND OTHER DIRECT STUDENT SUPPORT</b>		<b>\$8,112,162</b>

***Distribution of Scholarships Funds by Tribal College (as of June 10, 2016)***

School	TCU	Full Circle	TOTAL
Aaniiih Nakoda College	\$116,520.00	\$36,650.00	<b>\$153,170.00</b>
Bay Mills Community College	\$122,870.00	\$70,200.00	<b>\$193,070.00</b>
Blackfeet Community College	\$138,293.00	\$90,450.00	<b>\$228,743.00</b>
Cankdeska Cikana Community College	\$115,873.00	\$22,425.00	<b>\$138,298.00</b>
Chief Dull Knife College	\$119,635.00	\$22,575.00	<b>\$142,210.00</b>
College of Menominee Nation	\$124,826.00	\$36,975.00	<b>\$161,801.00</b>
College of the Muscogee Nation	\$110,156.00	\$27,500.00	<b>\$137,656.00</b>
Comanche Nation College	\$0.00	\$1,150.00	<b>\$1,150.00</b>
Diné College	\$221,349.00	\$207,750.00	<b>\$429,099.00</b>
Fond du Lac Tribal & Community College	\$118,883.00	\$27,341.00	<b>\$146,224.00</b>
Fort Peck Community College	\$125,278.00	\$21,650.00	<b>\$146,928.00</b>
Haskell Indian Nations University	\$174,781.00	\$262,149.50	<b>\$436,930.50</b>
Ilisagvik College	\$76,000.00	\$15,450.00	<b>\$91,450.00</b>
Institute for American Indian Arts	\$121,216.00	\$138,786.00	<b>\$260,002.00</b>
Keweenaw Bay Ojibwa Community College	\$74,000.00	\$31,450.00	<b>\$105,450.00</b>
Lac Courte Oreilles Community College	\$117,529.00	\$42,075.00	<b>\$159,604.00</b>
Leech Lake Tribal	\$122,269.00	\$38,486.50	<b>\$160,755.50</b>

Little Big Horn College	\$126,482.00	\$20,160.00	<b>\$146,642.00</b>
Little Priest Tribal College	\$108,953.00	\$15,450.00	<b>\$124,403.00</b>
Navajo Technical University	\$215,782.00	\$271,547.00	<b>\$487,329.00</b>
Nebraska Indian Community College	\$110,307.00	\$22,800.00	<b>\$133,107.00</b>
Northwest Indian College	\$151,834.00	\$194,065.00	<b>\$345,899.00</b>
Nueta Hidatsa Sahnish College	\$113,542.00	\$27,450.00	<b>\$140,992.00</b>
Oglala Lakota Community College	\$196,447.00	\$428,555.50	<b>\$625,002.50</b>
Saginaw Chippewa Tribal College	\$63,000.00	\$30,800.00	<b>\$93,800.00</b>
Salish Kootenai College	\$150,930.00	\$179,810.00	<b>\$330,740.00</b>
Sinte Gleska University	\$147,923.00	\$74,050.00	<b>\$221,973.00</b>
Sisseton Wahpeton College	\$111,435.00	\$16,450.00	<b>\$127,885.00</b>
Sitting Bull College	\$122,494.00	\$59,300.00	<b>\$181,794.00</b>
Southwestern Indian Polytechnic Institute	\$153,339.00	\$91,414.00	<b>\$244,753.00</b>
Stone Child College	\$127,836.00	\$20,950.00	<b>\$148,786.00</b>
Tohono O'odham Community College	\$109,931.00	\$20,875.00	<b>\$130,806.00</b>
Turtle Mountain Community College	\$147,848.00	\$56,772.50	<b>\$204,620.50</b>
United Tribes Technical College	\$145,139.00	\$62,700.00	<b>\$207,839.00</b>
White Earth Tribal and Community College	\$43,000.00	\$20,958.00	<b>\$63,958.00</b>
<b>TRIBAL COLLEGE TOTAL</b>	<b>\$4,345,700.00</b>	<b>\$2,707,170.00</b>	<b>\$7,052,870.00</b>
<b>MAINSTREAM TOTAL</b>		<b>\$722,177.00</b>	<b>\$722,177.00</b>
<b>TOTAL SCHOLARSHIPS</b>		<b>\$3,429,347.00</b>	<b>\$7,775,047.00</b>

#### MARKETING AND RECRUITMENT

It was another record year for Full Circle applications. This helps us select the most qualified recipients and also helps our resource development team tell the story of how many students need assistance. The team worked extensively with many of the tribal colleges to increase Full Circle applications in spite of lower enrollment numbers at several schools.

#### Scholarship Program Applications

Academic Year	Full Circle – tribal college students *	Full Circle – mainstream students*	Full Circle – total all students*	TCU scholarship – tribal college students	Full Circle and TCU – total applications
11-12	467	658	1125	5314	6439
12-13	1228	1452	2680	5900	8580
13-14	1874	2296	4170	5462	9632
14-15	2040	2806	4846	5564	10410
15-16	1953	3496	5449	5536	10985
16-17	2087	3530	5617		

*\*Counts as of May 31 deadline*

Recruiting visits were made to 15 tribal colleges this year. In addition to recruiting events, staff hosted meetups with current scholarship recipients at many of the colleges. SSS team members also represented the College Fund at over 20 various conferences and events. These range from college fairs for Native high school students to national conferences like UNITY, AISES, and NIEA.

Staff members presented sessions at many of the national and regional conferences, including the College Board's Native American Student Advocacy Institute (NASAI).

#### **STUDENT AMBASSADORS**

The Public Education, Resource Development, and SSS teams partnered to develop and implement a new Student Ambassador Program. Ten students were selected to participate and were given extensive training at a weekend workshop in Denver. They have since represented us well at various national and regional donor events as well as at on-campus recruiting events. The process to select and train an additional group for the coming year is well underway.

#### **CAREER READINESS/INTERNSHIPS**

Much effort is being expended reviewing various online career assessment tools. A section on this will be implemented into our new website in the near future. These tools help students with insights on what careers are a good fit for them. Another online tool will be implemented to facilitate mentorship connections between Native professionals and students. We continue to work with donors who provide funding or opportunities for internship experiences and will be expanding the number available in the coming year. The two videos internships funded by the Henry Luce Foundation are in their final stage and will be a great student resource on our new website.

#### **CIRCLE OF SCHOLARS**

The Circle of Scholars Program's services are focused on providing valuable information to current and former scholarship recipients. The newsletter frequency has been increased while featuring shorter, more targeted bits of information. Graduation gifts were again sent to each tribal college graduate who had received College Fund scholarships. Much time has been spent identifying and organizing a variety of resources that will be included in the new website.

The College Fund is contracting with SALT ([www.saltmoney.org](http://www.saltmoney.org)) to provide each of our tribal colleges and their students with access to this innovative online financial literacy program. Through our 'group purchase' we're able to provide this service which would normally cost each college at least \$5,000 per year.

We are continuing to provide all tribal college students with access to Financial Aid TV. This is another 'group purchase' that would cost each campus \$3,000 per year or more. Through this service students can get answers to their questions about Federal Student Aid online 24/7.

## **Office of Research and Sponsored Programs**

The Office of Research and Sponsored Programs (ORSP) is responsible for conducting internal and external research initiatives across TCUs and within the College Fund. ORSP is also responsible for envisioning, planning, implementing, evaluating, and reporting on strategic sponsored programs seeking to strengthen TCUs work aligned with the College Fund Strategic Goals: Capacity Building, Scholarships and Student Success, Public Awareness, and College Fund capacity and sustainability. This report summarizes program retrospective for FY2015-2016, and projected program goals for FY 2016-2017.

#### **PLACE-BASED WOMEN'S LEADERSHIP AND COMMUNITY ORGANIZING PROGRAM**

In 2014, the College Fund was awarded a \$125,000 Challenge Grant by the Embrey Family Foundation to pilot a two-year place-based women's leadership program targeting cohorts of women students at five tribal colleges led by women presidents. The five participating TCUs are: College of Menominee Nation; Sitting Bull College; Southwestern Indian Polytechnic Institute; Aaniiih Nakoda College; and Diné College. The place-based Native women's leadership program targeted six components: 1) Mentorship by Embrey alumni and/or designated TCU staff; 2) Annual Leadership training/workshops; 3) Community action projects, 4) Scholarship support, and 5) a Culminating Leadership convening hosted by a TCU cohort. The fellowship scholarship, mentor stipend, action project stipend and cohort leadership training funding were disbursed at the beginning of each academic year, to support the cohort's development in programming activities. The two-year program is coming to a close with the culminating convening being held at the Southwestern Indian Polytechnic Institute, June 20-23, 2016. All five cohorts and mentors will be in attendance and will participate in a full-day leadership training facilitated by the LeaderShape Institute Inc. followed by a day of cohort presentations, guest speakers, and focus group interaction. A final report will be submitted to the Embrey Family Foundation on July 12, 2016.

In 2016-2017, the College Fund will provide transition funding for six TCU cohorts to continue the important work of the place-based leadership and community organizing program.

#### **ACHIEVING THE DREAM TCU COHORT – THE KRESGE FOUNDATION**

The Achieving the Dream student success initiative is a three-year (2013-2016), \$750,000 grant funded by the Kresge Foundation. Diné College and Salish Kootenai College were awarded and participated in the Achieving the Dream student success initiative. In year 1 the focus was on assessing and planning, year 2 the focus was on implementation of interventions to close achievement gaps in priority areas established through assessment, and year 3 focused on evaluation of the interventions. Throughout the three-year initiative, the College Fund hosted an annual student success convening during the annual ATD DREAM conference, as well as during the annual AIHEC student conference. The purpose of convening was to provide MSI and TCU leadership with a forum to learn about how Diné College and Salish Kootenai College conducted institutional data driven student success interventions. This project is building TCU leadership capacity at the two TCUs as well as driving the student success agenda forward at other TCUs that seek to create institution-wide student success initiatives. A TCU student success publication and short film will be available to the public by August 2016, and will be included in the final report due to the Kresge Foundation on October 1, 2016.

#### **TRIBAL COLLEGE COMMUNITY INNOVATORS PROJECT – NORTHWEST AREA FOUNDATION**

In March 2015 the Northwest Area Foundation (NWAF) approved an extended grant period timeline through December 2015. The College Fund awarded Blackfeet Community College (BFCC) with a \$100,000 grant for the Health Career Ladder Initiative. The College Fund provided technical support to BFCC for marketing and development planning, and to garner new and strengthen existing partnerships with local employers in the healthcare industry to provide a pipeline for TCU students in attaining employment upon completion and licensing in the Health careers degree program.



In November, SpirePix video production company visited BFCC to capture footage and conduct interviews with key staff and students who are benefitting from the NWAf grant. BFCC was added to the existing tribal college community innovators video that will be used at national philanthropic conferences and available publically on the College Fund website. The final report was submitted to the NWAf on February 28, 2016.

#### **TCUs BUILDING SUSTAINABILITY PATHWAYS – MARGARET A. CARGILL FOUNDATION**

The Building Sustainable Pathways project is a \$1,350,000 grant received from the Margaret A. Cargill Foundation for TCUs and for faculty and students to progress their Environmental Sustainability capacities in the upper Midwest states (North Dakota, South Dakota, Wisconsin, Minnesota, and Montana). The Building Sustainable Pathways project is in its second year of the three-year grant and continues to provide degree program development grants for TCUs, faculty, and student fellowship funding to progress and earn a degree in an Environmental Sustainability field, and student internship grants for TCUs who provide research opportunities for students. The current TCU degree program is supporting two new degree program grants, and one curriculum enhancement grant at the College of Menominee Nation, Nueta Hidatsa Sahnish College, and Lac Courte Oreilles Ojibwa Community College respectively. Currently, there are three faculty fellowships filled, and 28 student fellowships filled at six TCUs and two mainstream universities. In 2015, three TCUs received internship program grants to support a summer research experience for students while collaborating with environmental tribal agencies and organizations. Three more TCUs will be awarded an internship program grant for summer 2016 research experiences. Unless an extension is requested, the annual report will be submitted to the MACF on July 31, 2016.

#### **FACULTY FELLOWSHIP PROGRAMS**

##### ***Mellon Masters Fellows***

Funded by the Andrew W. Mellon Foundation, this five-year project commenced operations in January 2014. The purpose of the grant is to provide funding and mentoring for tribal college and university (TCU) faculty and staff members likely to become faculty to earn Master's degrees. The goals of the program are to increase the completion rate of tribal college faculty and staff attaining a Master's degree, which will enhance programs and services offered by tribal colleges. Currently we have awarded 17 of the 20 fellowships and anticipate awarding all of the available fellowships by summer 2016. By the end of summer 2016, five of the 17 awarded fellows will have graduated. Each fellow receives around \$20,000 to help with the cost of attendance. In addition, the program officer arranges monthly phone conferences with each fellow to check on progress, provide advice and encouragement, and address any problems fellows might encounter.

##### ***Mellon Career Enhancement Fellows***

The \$500,000 grant from the Andrew W. Mellon Foundation enables the College Fund to award eight fellowships to TCU faculty over a three-year period to support and advise these faculty members during the final year of their terminal degree program, and to recruit and mentor the Mellon Fellows at the TCUs' remote locations. In December 2015, we received another three-year renewal award from the Mellon Foundation. This three-year grant is a renewal of four previous Mellon Foundation grants which have the same purpose of providing financial and mentoring support to faculty at TCUs so they can earn a terminal degrees, thereby improving the intellectual capacity at the TCUs. There were five fellows remaining from previous grant cycle 2010-14, of

those five, two graduated this past year and the remaining three continue to make progress. Both of the fellows selected in the 2014-15 cohort graduated. Three fellows from the 2015-16 cohort continue to make progress toward degree completion. We selected one fellow for the 2016-17 cohort and are in the process of reviewing three other applications.

### ***Nyswander-Manson Faculty Fellowship and Blanchard Faculty Fellowship***

The 2016 Blanchard faculty fellows are Lexie Tom, Co Carew, and Kellie Hall. Lexie is a member of the Lummi Nation, a doctoral student at the University of Alaska Fairbanks pursuing a Ph.D. in Indigenous Studies with a focus in Education. She is currently serving as the Department Chair for the Native Studies Leadership department at Northwest Indian College. Co is a social work instructor at Salish Kootenai College and is pursuing a doctorate degree in expressive arts therapy. Kellie is Turtle Mountain Band of Chippewa, a doctoral student in education at the University of Mary, and is Vice President of Turtle Mountain Community College.

### **TCU EARLY CHILDHOOD EDUCATION INITIATIVES**

During FY2015-16, the College Fund administered three early childhood grants strengthening TCU capacity in teacher education, family engagement, incorporation of Native language and culture, documenting children's development, and addressing pre-K to K-3 education. Two new grants, in the combined amount of \$1,565,000.00, were awarded to the College Fund in 2016. These new grants build on the success of the *Wakanyeja* "Sacred Little Ones" ECE Initiative. Summaries of grant accomplishments are shared below.

### ***Wakanyeja "Sacred Little Ones" Early Childhood Education Initiative – W.K. Kellogg Foundation***

On July 1, 2015, the Sacred Little Ones project entered the final year of implementation. Four tribal colleges – College of Menominee Nation, SIPI, Northwest Indian College and Iłisaḡvik College – continued implementation and documenting program impact through December 2015. Year 5 of the grant focused largely on dissemination of program impact. From July to December 2015, the Program Officer and TCU grantees participated in eight national venues sharing the lessons learned across the TCU programs:

- Head Start Tribal Consultation, Billings, MT
- Native Children's Research Exchange, Denver, CO
- National Indian Education Association, Portland, OR
- National Congress of American Indians, San Diego, CA
- Congressional Baby Caucus, Washington, DC
- National Association for the Education of Young Children, Orlando, FL
- ECE Planning and Writing Retreat, Seattle, WA
- College Fund's Return on Investment Convening, Rapid City, SD

The grant term closed December 31, 2015. Over the five years the TCUs impacted early childhood education within the *Wakanyeja* five domains: Strengthening teacher quality, empowering families to engage in early childhood education, documenting children's success, increasing access to Native language and culture, and bridging early childhood education with K-3 education systems.

Our strategy included working from local and tribally specific needs, growing successful processes and lessons outward to inform wider community change and engagement, and then to expanding regional and national efforts. The investment in building local and TCU capacity cannot be understated. When tribes and their respective TCUs have the opportunity to identify critical areas of need for foundational systems development, there is increased potential for delivering innovative educational (instructional, institutional, and measurement) changes at the local level, resulting in direct impact with young children served by TCUs, their partner centers, and teachers.

Today, we know that in four tribal college programs, early childhood teachers are provided with enhanced training, learning opportunities, and degree programs that place strong focus on:

- Development of observational skills of children's learning (i.e., revised practicum)
- Access to knowledge for developing culturally and developmentally appropriate curriculum (i.e., engagement in new course offering training to develop Menominee stories),
- Increased knowledge to document children's learning (i.e., research and practicum experiences on documenting children's learning, and adoption of *Teaching Strategies Gold* for teachers working in the local early learning center),
- Increased opportunities to deepen their knowledge of early childhood education, theories and practice within Native communities (i.e., annual opportunities to engage in local, regional and national professional development focused on the Wakanyeja Five Domains),
- Expanded strategies for connecting with teachers from different levels of education, contributing to school readiness from infants, to toddlers, to preschool, and on to K-3 education.

Similar programs across the country may engage in transformative program implementation, informed by a theory of change. Ours is informed by many theories, some of which are culturally-informed theories emerging from the tribal communities within which we worked, some of which emerged from cross-TCU site analyses, and additional theories emerged from engagement with national and international partners. Ultimately, our theories of change helped us understand the impact of engaging in educational, social, and cultural change in the following ways:

- Prioritize Indigenous knowledge systems which serve as the critical backbone to transforming and sustaining improved social, cultural, historical, political, and educational systems
- Vision, plan, implement, and evaluate from places of strength and collective processes
- Engage in collective strategic cycles of implementation and reflection, honoring different frames of time and speed of development
- Purposefully grow and expand programming with careful consideration of available knowledge and resource capacity
- Focus on local development of appropriate culture-based curriculum and assessment, and allow for collective engagement of Native language speakers, cultural knowledge keepers, leaders and families
- Development of strategies that impede outside pressures to standardize knowledge as a critical part of the process -- reaching the ultimate goal to sustain effective place-based program development, implementation, and evaluation

- Engage in dialogue about adaptation of processes and place-based/culture-based curriculum development and assessment after site-specific advancements in process and material outcomes
- Implement strategic cycles of programming by engaging diverse change levers to reach Individual, Institutional, Systems and Community levels of change
- Measure children’s learning within strong instructional environments, informed by engagement in assessments aligned with learning opportunities and cultural education goals
- Remain solid on the teachings of being Inupiat, Menominee, Indigenous, and Coast Salish.
- Engage in building partnerships that honor the richness kinship relations have to offer
- Focus on the landscapes in which transformational projects take place as they powerfully shape vision, planning, implementing strategic programming, and documenting lessons learned.

Over the course of the five years, TCUs served or impacted by the Wakanyeja ECE Initiative: 617 teachers, 674 parents/families, and 1341 children.

The College Fund’s approach to generating the next phase of work under the TCU ECE Initiatives will continue to be responsive to TCUs and their identified areas of critical need, including providing targeted funding to support program development, teacher training, teacher education program revision, and increasing opportunities for faculty at tribal colleges to access high-quality research and best practices in early childhood education.

We learned critical lessons from implementing a five-year project; in particular, we know that to engage in transformative educational projects of change there must be a process by which families, communities, and teachers/educators engage in collective visioning, planning, implementation, and evaluation. Key to the final stages of work is the process of reflection and discussions that lead to identification of sustainable practices and strategic planning for targeted areas of growth. A 30-minute documentary film, website, 6 peer-reviewed published articles, numerous presentations, invited talks and keynotes, policy briefings, curriculum and teacher education programming and national partnerships remain as a testament of the power of this initiative.

***Cultivating Lakota Early Learning Opportunities – Grotto Foundation***

The Grotto Foundation awarded the College Fund a one-year grant in the amount of \$25,000 to support Sitting Bull College’s early childhood center, the Lakota Language Immersion Nest. The grant supports the tribal college in developing Lakota language curriculum in content areas (36 units) and to develop an assessment aligned with the language nest’s core learning areas. In addition, funds support up to four teachers to participate in targeted professional development in the areas of curriculum development, assessment, and language learning. To date (November – June), Sitting Bull College has developed 7 unit lessons focused mainly on development of early literacy components of the Lakota language – particularly letters. The Sitting Bull College team plans to participate in a curriculum development training offered by the Indigenous Language Institute this summer. Sitting Bull College’s project impacts children, teachers, families and TCU students – as they all engage in increasing skills to strengthen early childhood opportunities. The College Fund Program Officer plans to review the progress of the grant, and determine whether a new grant will be developed to continue support of the Sitting Bull College program, or to expand

opportunities to a new tribal college site located within the Grotto Foundation's region. The success of this grant contributes to our organizational goals in the areas of public awareness, building tribal college capacity, and developing pathways to student success.

***Restorative Teachings Early Childhood Initiative – W.K. Kellogg Foundation***

Restorative Teachings is a new two-year early childhood education initiative, supported by a \$1.54 million dollar grant awarded to the College Fund by the W.K. Kellogg Foundation. The Restorative Teachings grant launched January 1, 2016. Four tribal colleges previously identified based on initial discussions with TCUs, their current work, and interest to engage in community-based partnerships in early childhood education were invited to submit an action plan. These new TCUs are: Keweenaw Bay Ojibwa Community College (KBOCC), Sitting Bull College (SBC), Saginaw Chippewa College (SCTC), Bay Mills Community College (BMCC), and Navajo Technical University (NTC). Four previously funded TCUs were also invited to return to participate in this new initiative: College of Menominee Nation (CMN), Southwestern Indian Polytechnic Institute (SIPI), Northwest Indian College (NWIC) and Iłisaǵvik College (IC).

The process for identifying TCU participation prior to grant submission, took place over 1.5 years, included introductory emails and phone calls to TCU presidents, and an in person meeting at the National Indian Education Association (NIEA) annual conference in Anchorage Alaska (October 2014), and follow-up conference calls and a survey. The TCU priorities shaped the proposal process, and in July 2016, a final grant proposal was submitted to the W.K. Kellogg Foundation. The College Fund received notification of the award December 23, 2015.

BMCC, SCTC, and NTC did not complete the action plan process and therefore did not move forward under this opportunity. BMCC notified the College Fund that they will forego participation in this grant opportunity, citing they already achieved an excellent ECE program. SCTC decided not to participate in this round of funding as they needed more time to consider development of an ECE program. And after numerous planning calls, NTU's team was not able to meet the deadline for submission of a completed action plan. CMN declined to participate in this grant opportunity, citing community engagement and partnerships in programs like this take away from their focus on their teacher education programming.

In March 2016, the College Fund launched Restorative teaching with four TCUs: SBC, KBOCC, SIPI, and NWIC. In January 2017 (Year 2), Iłisaǵvik College will join this cohort of grantees pending completion of previous grant requirements.

The focus of Restorative Teachings is to develop and strengthen early learning opportunities in the areas of health and wellness and pathways to securing families. The TCUs are supported to develop co-visioning, co-planning and implementation in Year 1. Year 1 will also include community level trainings offered by our national partners, Brazelton Touchpoints Center. In Year 2, the teams will continue implementation of programming with teachers, families, and children and will engage in evaluation of program impact in Year 2, including planning dissemination of program lessons at national level conferences. The College Fund hosted the first annual convening, June 6-7, in Denver, CO to inform each site's work and across site collaborations.

## **BUILDING CAPACITY FOR RESEARCH WITH TCUs**

The Lilly Endowment, Inc. grant will be complete its third year of a four-year grant July 2016. Current grant activities continue efforts to develop the College Fund's internal capacity in the following areas:

- 1) Scholarship data/database development – ORSP merged all CiviCore and NSC tracking data files and is currently building dashboard/interface and processes to merge future files;
- 2) College Fund Data Stats Committee – ORSP successfully created data stats documents and glossary with assistance from the Grantwriters/Researchers team to inventory categories of data used by the College Fund organization;
- 3) Professional Development - ORSP staff attended professional development programs at the annual American Evaluation Association's national conference held in Chicago, Ill, Oct. 9-11, 2015, and will attend the AEA Summer Institute in June 2016. Evaluation is increasingly becoming a component of ORSP programming due to its emphasis on strategically planning program implementation;
- 4) Evaluation – In support of the Lilly Endowment grant outcomes, the College Fund conducted an evaluation of this grant focusing on summative efforts in building capacity within the College Fund organization, with a focus on successes and challenges. Evaluation report will be completed July 2016; and
- 5) Best Practices – *Naqmayam Communications, LLC* under the leadership of Joely Proudfoot, Ph.D., was hired to conduct a document analysis of the evaluation reports of the 32 TCU grantees who participated in the *Woksape Oyate Project* using a best-practice analytic tool created by the College Fund. The document analysis was completed January 28, 2016.

The Lilly Endowment Grant also focuses on building capacity with TCUs. ORSP continues to advocate to TCUs the importance of data and data sharing. To that end we presented to TCU leadership at the AIHEC Spring Meeting in Minneapolis, MN in March 2016 on the process required to submit to National Student Clearinghouse (NSC) and worked with Tohono O'odham Community College (TOCC) in February 2016 about this process. We collaborated with TOCC leadership and staff, and with Jenzabar to set up a training session with Jenzabar staff outlining the efforts an institution must proceed through to submit data to NSC.

In addition, ORSP will be publishing Volume I, Issue #1 of the Tribal College and University Research Journal in August 2016. Volume 1, Issue #2 will be published in December, 2016. Volume 2, Issue #1 will be published July, 2017. ORSP also hosted the second annual TCU Faculty Research Convening in Bismarck, ND in August 2015. This journal provides an avenue for TCU faculty to publish their research in a peer-reviewed document providing a platform to illustrate the research at TCUs. The third annual convening will be held in Denver, CO August 1-2, 2016. ORSP continues to work with AIHEC to develop the AIMS AKIS dataset to include important TCU and Full Circle graduation and persistence data. These changes will be reflected in the 2016-2017 AIMS AKIS report. ORSP also is networking with national organizations across the country including, the National Congress of American Indians, the American Indian Science and Engineering Society, the Western Interstate Commission for Higher Education, the Educational Testing Service, Gallup, and the US Indigenous Sovereignty Network based out of the University of Arizona. David Sanders, Research Director, is involved in conversations around data and research with each of these organizations.

Looking ahead to FY2016-2017, ORSP is planning to develop lines of inquiry within our sponsored programs. An example of this is the current project slated for completion in spring 2016 involves the Embrey Women's Leadership program centering on the mentoring relationships developed because of the Leadership program's influence. In addition, ORSP will focus on developing student success indicators across programs and will move to utilize evaluation as a formative component in our approach to future funding and grant efforts. We also hope to develop our descriptions of grant implementation with the intent of informing incoming grant program officers about challenges and avenues for documenting success and leveraging those successes to funders.

#### **NATIVE ARTS AND ENERGY/WATER EFFICIENCY INFRASTRUCTURE PROGRAM – MARGARET A. CARGILL FOUNDATION**

The Traditional Native Arts and Energy/Water Efficiency Infrastructure grant was awarded to the College Fund on December 1, 2015. The initial request for applications was sent out to the eligible TCUs in January 2016. In March, 14 applications were received from 11 of the 13 eligible TCUs. The applications were reviewed by internal College Fund committees in March. Feedback from the review and follow-up on the applications was conducted via site-visits in April 2016. In May the following grant awards were made: College of Menominee Nation Energy Upgrades (installing pellet stove, upgrading HVAC unit, and replacing lighting) and Sisseton Wahpeton College Dakota Studies and Tribal Arts Center (establishing archives, adding storage, and renovation log building as traditional native arts center). These are first two grant awards made from this program. Four additional proposals are in the final stages of development. Follow-up on the eight other applications is currently being conducted and should be awarded in August 2016.

#### **RESTORATION AND PRESERVATION OF TRADITIONAL NATIVE ART FORMS AND KNOWLEDGE – MARGARET A. CARGILL FOUNDATION**

The goal of the Restoration and Preservation of Traditional Native Art Forms and Knowledge grant is to expand knowledge and skills in the endangered art forms at the TCUs. This grant will give TCUs the opportunities to increase the transfer of lost and endangered knowledge of art and culture with the communities they serve. It will also expand the cultural knowledge of master artists, apprentices, and artist-in-residence into TCU programming that provides access to art forms taught through intergenerational approach with TCU students and community members. TCUs eligible for funding are: Minnesota, Wisconsin, North Dakota and South Dakota. The Margaret A. Cargill Foundation's Restoration and Preservation of Traditional Native Art Forms and Knowledge grant will conclude in December 2016. This is the last year of the grant.

The four TCUs selected as recipients of the three-year grant program: Leech Lake Tribal College, Turtle Mountain Community College, Oglala Lakota College, and Sinte Gleska University are currently in the last year of their three-year grant and the grant will be ending in December 2016.

At the conclusion of the grant the three-year grantees will have produced a Bison Arts certificate, a Native Arts Certificate, hosted a Traditional Native Arts summer camp, recorded ten master artists, piloted five new academic courses from their Traditional Native Arts workshop and hosted over 20 community extension workshops.

In addition to the three-year grants, the College Fund offers a four-month grant program for the 13 TCUs in the upper-Midwest. From July 2015 to June 2016, 18 grants were awarded to eight TCUs.

The amounts of the four month grants ranged from \$8,000 to \$10,000 per grant period with a total of \$149,850 awarded during that time frame. There were 318 students and community members who participated in these academic courses and/or community extension activities, and over 21 Traditional Native Art forms were selected to be preserved or restored.

The Restoration and Preservation of Traditional Native Arts and Knowledge Grant concludes in March 2017. Bridget Skenadore, Native Arts and Culture Project Coordinator, and Tarajeau Yazzie-Mintz, Co-Director of Office of Research and Sponsored Programs, are currently working on a concept paper to submit to the Margaret A. Cargill Foundation for the opportunity to continue with this grant for an additional three years. The concept paper will be submitted in early August 2016.

#### **CULTURAL PRESERVATION & REVITALIZATION – NATIONAL ENDOWMENT FOR THE HUMANITIES**

The NEH Cultural Preservation Endowment supports cultural preservation and revitalization efforts at 24 TCUs. The endowment provides an annual grant of equal amount to the 24 participating TCUs. Funds may be spent on cultural preservation, perpetuation and revitalization efforts. The participating twenty-four TCUs received their 2016 NEH Cultural Preservation awards in January 2016 in the amount of \$7,640.00. Final reports for the 2016 NEH Cultural Preservation program are due in November 2016.

#### **CULTURAL PRESERVATION – ANHEUSER BUSCH FOUNDATION**

The Anheuser Busch Foundation's Cultural Preservation program was initiated in early 2014. Anheuser Busch Foundation provides one-time annual awards to a selected TCU for the purpose of supporting cultural preservation. The award is intended to be used by the selected TCU to accomplish a previously unsupported strategy toward preserving cultural practices, language, arts, or any activity deemed to be of cultural nature by the TCU and the community it serves. Keweenaw Bay Ojibwa Community College (KBOCC) was selected as the recipient of the 2015-16 grant cycle. KBOCC will help to preserve the Ojibwa culture through community-based educational opportunities which support traditional activities and the arts. During this time KBOCC provided continuing education units of traditional activities that support Ojibwa teachings, provided language lessons to children at the Child Care Center, provided a weeklong summer empowerment camp for elementary students, established a Native American art gallery for local artisans, and established a student drum group. Their final report will be due on August 1, 2016.

A \$53,000 award is committed to the College Fund to award for the 2016-2017 award year. Applications for the grant will be disseminated to selected TCUs in September.



## FINANCIAL ACCOUNTABILITY AND TRANSPARENCY

### **Financial Accountability**

The functional expense allocations for FY2015-16 as of May 31, 2016 are:

- |                                   |                                       |
|-----------------------------------|---------------------------------------|
| ♦ 70% for Scholarships & Projects | ♦ 5% for Management & General         |
| ♦ 4% for Public Education         | ♦ 21% for Fundraising                 |
| <hr/>                             | <hr/>                                 |
| ♦ <b>74% Total for Programs</b>   | ♦ <b>26% Total for Administration</b> |

The College Fund received an unqualified opinion on its FY2014-15 audited financial statements. The Board of Trustees reviewed and accepted these audited financial statements at the Fall 2015 Board Meeting. The Board of Trustees reviewed and accepted the June 30, 2015 IRS Form 990 at the Fall 2015 Board Meeting, and was subsequently filed with the IRS and posted on the College Fund's website in October 2015. The 2015 IRS Forms 1041 for the Leibowitz Trust was filed in February 2016. Trustee accounting to the state of New Hampshire is up to date, both to the courts and to Attorney General for the state of New Hampshire as required.

### **Regulatory Compliance**

Colorado Annual Corporate filing and all requisite state registrations are completed and up to date.

### **Ethics Subcommittee**

#### Code of Conduct

To date, there were no known infringements to the Code of Conduct or any employee actions brought to the Committee for review.

#### Conflict of Interest

To date, there were no known or perceived infringements to the Conflict of Interest Policy.

### **Charity Watchdog Ratings**

The American Indian College Fund meets all charity watchdog standards:

- Charity Navigator, the nation's top charity evaluation system, awarded the College Fund a three-star rating for sound fiscal management and excellent transparency in June 2016.
- In July 2015, the College Fund was reaffirmed by the Better Business Bureau's Wise Giving Alliance as meeting its 20 Standards for Charity Accountability. The College Fund is authorized to use its seal of approval for another two years, ending July 2017.
- The College Fund earned the "Best in America Seal of Excellence" from the Independent Charities of America. Of the over one million charities operating in the United States, fewer than 2,500 organizations are awarded this designation.
- The College Fund received a "B+" rating from *CharityWatch* (formerly the American Institute on Philanthropy) and is the only American Indian organizations classified under its index of top-rated charities.

# **A I H E C STUDENT CONGRESS**



**SUMMER 2016  
NEWSLETTER**



[WWW.AIHEC.ORG](http://WWW.AIHEC.ORG)



## **STATE OF THE CONGRESS**

The 2016 AIHEC student congress has been busy since being elected in Minneapolis this past March. The congress has been meeting once every two weeks on a group call to discuss agendas and initiatives. The congress also organized and put on the first AIHEC L.I.F.E. "Leadership In Future Endeavors" conference held at the Institute of American Indian Arts May 24th-26th. The students who attended the conference attended lectures and workshops held by native activist Charlene Teters, student government expert Butch Oxendine, and motivational speaker Chance Rush. In addition the students participated in a glow walk/run and a hike at Bandolier National Monument.

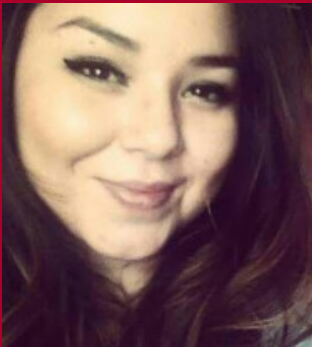
# AIHEC STUDENT CONGRESS OFFICERS



**CHRISTOPHER SINDONE**  
**President**

President Christopher Sindone is a junior pursuing an education in Business at Haskell Indian Nations University. He is Pawnee, Otoe, Ioway, Kiowa, Cheyenne and Oglala Sioux from Perkins, Oklahoma.

**BREANNE LUGER**  
**Vice President**



Breanne Luger is a junior at Sitting Bull College pursuing a Bachelor of Science Degree in Business Administration and is Lakota/Dakota from the Standing Rock Sioux Tribe. Chapter at Sitting Bull College. Among her honors and accomplishments, she is a four-time Standing Rock Scholar recipient, she is a member of the Native Women's Leadership Program funded by the American Indian College Fund, and is also the American Indian College Fund Student of the Year recipient from Sitting Bull College for the 2015-2016 school year.

**BETHANEY TARBELL**  
**Treasurer**



## **VALIRIE SERAWOP**

### **Secretary**

Valirie is currently working on her BFA, majoring in Creative Writing with a minor in Performing Arts, at the Institute of American Indian Arts. She is a graduate from Laredo Community College (LCC), in Laredo, Texas, with an AA, in English.



## **LEROY GRAFE**

### **Historian**

LeRoy Grafe is pursuing a double major at the Institute of American Indian Arts for a BFA in Cinematic Arts and an AA in Museum Studies. He is the current ASG Vice President at IAIA. He is a professional photographer, runner, filmmaker, and artist. After getting his BFA and AA he plans to get a MFA in arts administration.



## **WAYCEN OWENS-CYR**

### **Sergeant at Arms**

Waycen is currently attending Fort Peck Community College majoring in Computer Technology and Graphic Design. Waycen will obtain his AAS in 2017 and he hopes to obtain his bachelors at a four year tribal college.

Waycen is an American Indian College Fund Student Ambassador, he is also the 2015-2016 Student Senate President at Fort Peck Community College,

## **SHEYANNA ASHES**

### **Midwest Representative**



Sheyanna Raine Ashes is 18 years old and a full time college freshman at Turtle Mountain Community College. She is enrolled in the Yankton Sioux Tribe of South Dakota and is pursuing a degree in nursing. She has been involved in various leadership positions. She is an active member of TMCC's local AISES chapter. She is also on a youth subcommittee against drugs and alcohol. As an active youth representative she also represents the youth on her tribal Pathway to Prosperity Board. She works as a CNA at the Presentation Medical Center.

## **ROBBIE RACINE**

### **Northwest Representative**



Robbie Racine is the Northwest Regional Representative American Indian Higher Education Consortium (AIHEC). Robbie is working on his AA degree in Health and Fitness. Robbie is from the Blackfeet Reservation in Browning Montana. Robbie is from the Blackfeet Reservation in Browning Montana.



## **DEL CURFMAN**

### **Southwest Representative**

Del Curman is an enrolled member of the Crow Tribe of Montana. As an artist, Curfman's culture has been a constant influence in his life and his work. His work has been featured in several galleries in the Santa Fe area and he will have a gallery opening in England in the Summer of 2016.

**Tribal College and University Library Association (TCULA)**  
**Summer Report to the AIHEC Board**  
**June 2016**

Please find a sampling of current and ongoing activities at AIHEC libraries that have been submitted by staff below:

**Kansas:**

**Haskell Indian Nations University, Lawrence, Kansas** – Haskell Indian Nations University, Lawrence, Kansas – Students and the community were in awe of our newly renovated Technology Learning Center and our Info Hub (our new circulation desk) when they returned to Haskell in January 2016.

We also started spring semester with newcomers Ms. Carrie Cornelius (Oneida Tribe of Wisconsin & Prairie Band Potawatomi) and Ms. Danielle Horne (Kiowa) joining our staff. The semester was fast and furious with developing new programs, implementing and using social media and more technology-based applications, conducting faculty outreach, and marketing the library and its services.

In addition to supporting a six-week summer session of classes for students through our extended evening and Sunday hours we had special projects including changing a majority of reference items to circulating items, and tackling the inventory and weeding of just under fifty percent of our general collection.

Our library also manages the textbook program for the first two years of undergraduate study at Haskell so this keeps us quite busy during the summer in preparation for fall semester, which begins August 8, 2016 this year. We have also been involved and attending the student fall orientation committee and we are looking to update some of our processes for issuing textbooks to our new students this fall.

In early June 2016 two library staff members attended the Tribal College Libraries Institute in Bozeman, Montana, which was a great opportunity to meet and network with other tribal college library staff and to learn and find out information on federal resources, new digital collection projects, and what other tribal libraries are doing in terms of services and collections. During poster presentations Ms. Carrie Cornelius shared her work on creating a rubric to develop the skills of our student assistants in providing customer service, using our online catalog, and developing effective database search strategies.

In 2018 Haskell will have its turn to host the NLM/ALA Native Voices traveling exhibit, with events and programs developed in collaboration with the University of Kansas Libraries that will complement each other and with inclusive perspectives that are vital to the Native Voices.



## Michigan:

**Keweenaw Bay Ojibwa Community College, Baraga, Michigan** – The library just completed two full semesters of operation. We had approximately 400 visitors throughout this first year of operation. These included students, faculty and staff, KBIC members, and others. Circulation of material is steady at 15 to 20 items each month. The collection of materials continues to grow with an estimated 3,000 items now in the collections that include Anishnaabe Studies, Business, Childhood Education, Environmental Studies, Liberal Studies, and Michigan Authors.

In our Michigan Authors collection we currently house a special collection entitled the S.R. Covio Michigan Poetry Authors, which contains 400 items of poetry written exclusively by Michigan poets. Just last evening the Liberal Studies department hosted a Michigan Authors Collections author's readings, workshops, food, and mingling. Roughly 35 people attended this event. All the works in this collection were donated to the library either by S.R. Covio or Michigan poets.

In December we learned our application to host the American Library Association's Native Voices, Native People's Views on Health and Wellness traveling exhibit was accepted. KBOCC Library will host this exhibit April through June of 2019. I do not believe I mentioned this event in the last report. The Library and Student Services sponsored a trip to Northern Michigan University, Marquette MI, at the beginning of March to view the exhibit when it was at the University. We also attended introduction of The Decolonizing Diet Project Cookbook that evening.

The library staff includes two part-time people: myself and Catherine "Kit" Laux, whom you may have met at TCLI in Bozeman. Our operational hours are Monday through Friday from roughly 9 am to 5 pm each day. We continue to look for a Work Study individual who could work a few evening hours each week. The staff holds Career Readiness sessions on a drop in basis each Thursday afternoon. These sessions provide help with resume writing, interviewing techniques, and help filling out applications, etc. The library also provides proctoring services for Tribal members attending other institutions who need a proctor for exams.

**Saginaw Chippewa Tribal College, Mount Pleasant, Michigan** – The Saginaw Chippewa Tribal College Library moved to a new location in the newly leased Student Resource Center building during the break between the spring and summer semesters this year. The new library has more than twice as much square footage and includes room for additional shelving which will be added in the near future. This new space includes several tutor rooms, freeing up tables in the library itself for individual work. We also now have five student workstations in the library, up from four in the previous space. In early summer, the library also received the generous donation of the bulk of the professional collection of retiring professor of Native American Studies Dr. Mico Slattery. These materials will be added to the collection and will help to fill the anticipated new shelving.

## **Minnesota:**

**Fond du Lac Tribal & Community College**, Cloquet MN - The Ruth A. Myers Library staff have been busy working on records cleanup in preparation for a new consortial library management system (LMS). This includes reviewing and cleaning up of catalog and patron records. The new system should provide a unified platform for searching without regard to the format, will be cloud-based, and could be in place possibly in 2017.

Additionally, our library has been participating in the meetings of the Northern Minnesota Tribal College Librarians along with librarians and library staff from Leech Lake Tribal College, Red Lake Nation College, White Earth Tribal & Community College, and a representative from the Northern Lights Library Network (NLLN). These meetings offer opportunities for networking, possible collaboration ideas, and sharing how we can support each other in our efforts to best serve our patrons.

**Leech Lake Tribal College, Cass Lake, Minnesota** – The Larry P. Aitken Library at Leech Lake Tribal College is offering several activities for children this summer, including a summer reading program and iCamp. iCamp, funded through an LSTA grant, is a four-week series of digital media workshops for middle schoolers that travels between three community centers plus the library. Students participating in iCamp will use iPads to explore 2-D artwork, 3-D printing, cartoon animation, and stop-motion film. The library is also hosting the Native Voices exhibit through mid-July.

**White Earth Tribal and Community College library** - This has been an exciting year for the library. The college's new wing has been under construction and finally, next month, our two libraries will merge in a wonderful new facility. Although not grand in size, our new library will offer comfortable seating, a climate controlled archive with lockable display cases, an office, and a workroom. The new name of the library is Wiigwaas (birch bark) because the first Ojibwe "books" were made of this material. Incidentally, each of the main rooms of this new wing is named after trees.

Our collection is becoming broader with more selections in the entertainment realm. We are very happy to have received donations of many audiobooks, books, and DVD's. We continue to develop our Native American studies collection.

Also, I will be retiring from my work here at WETCC on July 29th. I know the time is right for me to leave, and I'm looking forward to a different life style. However, since this is my 11th year here, there is quite a process of leave-taking going on in my heart. I love this college and my work here. Applications are being taken now, in case anyone knows of a librarian who might be interested.

## **Montana:**

**Aaniih Nakoda College, Harlem, Montana** – The ANC Library applied for and has received a Rural Gateways Grant.

Rural Gateways uses a model that is essentially "book club meets science café" and will take place this coming fall.

The library entered the national HBCU/TCU Innovation and Making Challenge and was accepted as a semi-finalist. The goal of the program was to identify a problem and propose a solution. The problem we identified is a loss of Native American arts and crafts. Through a series of Makerspaces, we have brought in elders and practitioners to teach various hands-on Native American arts and crafts.

**Blackfeet Community College, Browning, Montana** - Medicine Spring Library stepped up to serve Blackfeet Community College's increased enrollment for the Spring 2016 semester. An average of 58 people came to the library every day; 36 of these were BCC students. 515 books and 144 DVDs were checked out. 56% of library use is for computers and the internet. There were 95 meetings attended by 746 people totally 258.5 hours of meeting time. Library staff held 18 in-class library sessions.

We extended the hours the library was open for the week before and the week of midterms and the week before and the week of final exams. The students appreciated this. They used the time to finish papers and other assignments and to study, sometimes in groups. The library staff helps students with research, word processing, and questions about writing.

Our annual Art Show and Contest attracted 25 entries and 97 visitors. We had a well-attended Artists' Reception with yummy hors d'oeuvres provided by a multi-talented Library Tech. This is another of our activities that reaches out to both the BCC community and the wider Blackfeet community.

Our service of offering popular DVDs for checkout has been very popular. We continue to add to our collection.

Students from the Bureau of Indian Affairs Boarding School on the Blackfeet Reservation came to our Library on Tuesdays for library activities. They checked out books, used our computers, and listened to stories. They, the girls especially, browsed our Young Adult section and found books to read.

We continued our participation with Hopa Mountain Storymakers program, providing quality books to children up to age three.

The director and both library technicians participated in the annual Tribal College Librarians' Institute in June where we attended presentations on a variety of topics which will help us improve the services we provide to students and community members; we toured the Montana

State Historical Society archives; and we networked with librarians from across the U.S. and Canada.

**Chief Dull Knife College, Lama Deer, Montana** - The Dr. John Woodenlegs Library is conducting an eight week summer youth program. The library has started a reading/book discussion for ages 5-12. Fabric art, mural painting, magic show, cooking, youth rodeo and a rocket demonstration are some of the programs lined out for the summer. The library has formed a partnership with the Boys and Girls Club and the USDA Extension service to help with the summer program planning.

The library has hired Thelma Peppers to replace Tori Jensen. Thelma has worked in the cdkc registrar's office for 15 years before transferring to the library. We are so pleased to have Thelma working in the library. She brings background knowledge of the college and already knows the students and instructors .

Joan Hantz, Library Director, and Joey DiTonno, Student Service's Coordinator were this year's Knowledge Bowl coaches. Joan and Joey traveled to Minneapolis, Minnesota for the AIHEC competition. The team placed second in the competition. The community was very proud of the students and all their hard work.

The library hosted a Cheyenne language class this June. Wayne Lehman was the teacher. Pastor Lehman lived in Busby, Mt for many years and has been very active in language revitalization and preservation.

The library just completed a major weeding and patron cleanup to get ready for the Alma migration. The "go live" date for the Alma system will be in December.

For the past three years the library has been involved with the community garden. This spring two gardens were planted on campus. The produce will be used for campus meals, canning projects and other food related programs.

**Fort Peck Community College, Poplar, Montana** - James E. Shanley Tribal Library

The Library has been an affiliate of Roosevelt County Library for one year. We have increased our circulation and patron numbers. We have a steady flow of patrons in all day long. We receive the local and regional papers and many community members come in to catch up on the news.

We are open for four hours on Saturday and the community has related that they like those hours. We honestly haven't seen a great use by students, the numbers reflect at good use of the Library on Saturday. Graduation was in May and we have started a limited summer session.

We applied for and were awarded “Native Voices: Native Peoples’ Concepts of Health and Illness” from the American Library Association and National Library of Medicine. During this exhibit we held five health related programs which were well attended by patrons and students.

We have two children’s programs during the week and have added Books for Babies on Friday morning. We are holding Summer Reading Program each Wednesday until August 15. We are very busy with grade school children after school, using the computers and checking out books and movies.

**Little Big Horn College, Crow Agency, Montana** - LBHC through the Crow Tribe was the recipient of a two year Institute of Museum and Library Services (IMLS) Native American Enhancement grant for \$149,283. The *Digitizing Crow Indian Oral History: Preservation, Perpetuation, and Access* project is designed to preserve and make accessible audiovisual materials through digitization, the addition of item level metadata, and increased access via the Mukurtu content management system. Most of the oral history and other recordings will be made available on the Internet. Some sensitive or sacred materials will only be available on the Library computer network. The preliminary metadata on the materials has been completed and the digitization process has begun. Mukurtu training will be given by the Washington State University’s Sustainable Heritage Network (SHN) at the end of July.

The LBHC Library and Archives is applying this week (deadline: June 23<sup>rd</sup>) for a National Endowment for the Humanities (NEH) *Humanities Initiatives at Tribal Colleges and Universities* grant. *Creating and Perpetuating Crow Oral History in the Classroom and Beyond* will produce 64 oral history interviews with transcripts conducted by LBHC humanities faculty. The faculty will then integrate the material into their courses by producing teaching modules based on the interviews. The LBHC Library/Archives currently holds a large number of oral history narratives that detail the pre-reservation and early reservation periods. However, the period after World War II lacks the same breadth due to an emphasis on historical content that focused on the earlier period. In order to further perpetuate oral histories within the community, the project will also lay the groundwork for a Crow Oral History course at the college that will be taught in the spring of year two. The oral history audio and video files and transcripts will reside at the LBHC Library/Archives for students, faculty and community members to utilize after the completion of the Humanities Initiative as well as being available on the internet.

The Library will be conducting a six week summer 2016 children’s reading program for ages 5 to 12 for 15 children. The focus will be on Crow and Native readings. Some Crow language skills will also be included.

The Library recently hosted an exhibit of third graders art from the Crow Agency Public School, working together with the Yellowstone Art Museum in Billings on this. A reception for the children and their families was held.

The Library Speakers Series/Cultural Enrichment course presentations continued in the spring with another twelve programs given. These are offered for credit as a Crow Studies course but are also free and open to the public. Most presentations are made by elders on all topics in Crow history and culture and constitute a wealth of knowledge added to the materials in the Library's Crow Collection as well as those materials in our Crow archives. Most of the presentations will be digitized and made available on the Internet through the IMLS digitization project.

**Salish Kootenai College, Pablo, Montana** – The SKC/D'Arcy McNickle Library had a busy spring (March -June 2016) with over 13,000 visitors and 3,500 items circulated. During this time the library provided 25 outreach events including Information Literacy workshops for students, and programs for local children.

Spring time was also a time for spring cleaning! The library processed our weeded materials and sold enough items in our spring book sale to help fund our summer family reading program and college staff reading program.

For the summer we will be focused on our summer reading programs, more weeding, grant writing, detailed collection development of our Natural Resource collections, storage improvements, collection inventory, and participating in our ILS move from ExLibris Voyager to ExLibris Alma.

**Stone Child College, Box Elder, Montana** – The Stone Child College/Rocky Boy Community Library (SCC/RBCL) has been extremely busy over the last year. The Librarian Joy Bridwell graduated in May 2016 with her Master's in Library Science. In the last year we have been the library staff has been busy working on cataloging materials that have been purchased by the library or donated to the library. A very generous donation of 4,114 books was made to the SCC/RBC Library from Apple books. Most of the books had multiple copies of the same book and therefore the excess was donated to the Rocky Boy Community and local organizations. We completed our Tribal Law Collection that was made possible by a donation of \$20,000 from the Chippewa-Cree Tribal Courts.

From July 2015 to May 2016 the library has held ten community events in the library. The events that have taken place are: Superheroes Near and Far (summer reading program), Back to School Arts and Crafts, Community Appreciation Dinner, Halloween Fun Night, Christmas Extravaganza, Valentine's Day Prep, Oscar Movie Night, Adult Coloring Night, Game Night, and STEM Exploring Science in Nanoscience. These events have brought in almost 500 additional people into the library. The library plans to have a library event every month. The library staff was made aware of an opportunity to receive free laptop from Triangle Communications. The SCC/RBCL received five laptops. The library staff assisted students participating in the Knowledge Bowl Competition at AIHEC. Joy Bridwell was their coach and traveled with the students to Minneapolis, Minnesota.

### **Nebraska:**

**Nebraska Indian Community College, Santee Campus, South Sioux City Campus, Macy Campus** - Throughout the year NICC library staff have been adding to our collection of books

authored by Native Americans, to our collection of Santee Dakota and Omaha History, and to our collection of DVDs depicting Native American historical events through the present.

Since both the Macy Campus and Santee Campus are community libraries, more children and youth books have been added that encompass Native Americans as role models. At the current time, 32 books are checked out by community members.

Besides adding to our inventory of resources as above, a GED Center has been established at the Santee and Macy libraries where people can receive tutoring assistance. Also an official GED Testing Center has been approved and is in use at the Santee Campus Library. People working on a GED now do not need to drive 50-100 miles to take the GED official test.

### **New Mexico:**

**Institute of American Indian Arts, Santa Fe, New Mexico** – The IAIA library accepted a donation from the “Renegade Library” in May 2016. The donation is comprised of art books, zines, and art objects created in the 1990s. The donation is part of a much larger collection of books that was exhibited and shared with institutions around the world in the 1990s. Dr. Lois Klassen, founder of the Renegade Library, selected the IAIA library as a permanent home for a portion of the collection. The collection will inspire IAIA’s art and art history students and will serve as the seed for the IAIA library’s original art book collection.

The library staff is working this summer to rearrange significant portions of the library’s collection. The library has had a large “reference” and “non-circulating” collection. The IAIA librarians are evaluating these two collections and moving many of the items to the “circulating” collection in order to increase use and access to significant art and Native American published material. A new “special collection” is being created to house rare, valuable, delicate, and historically significant materials.

The IAIA archives underwent significant renovation in May 2016. New compact shelving was installed in the archives space increasing the amount of storage available in a relatively small room. The project is being done in three stages. The third stage will be completed within the next year and will more than double the space available for archival material at IAIA.

### **North Dakota:**

**Cankdeska Cikana Community College, Fort Totten, North Dakota** – The Valerie Merrick Memorial Library has been continuously adding and updating the collection with books, ebooks, reference materials for students, young adult books, and DVD’s. We currently have 17,965 items in our holdings. Our library also provides a number of novels, paperbacks, magazines, and local and state newspapers subscriptions.

This summer we are gearing up for our Summer Reading Program as well as our book club, and Nintendo Wii competitions to encourage the children to exercise. With the increase of children coming through our doors this summer, we have collaborated with the local school to pick up children for the free hot lunch program.

**Nueta, Hidatsa, Sahnish College, New Town, North Dakota** – There is a name change here at this College Nueta, Hidatsa, Sahnish College. We have been doing a lot cataloging this year, ordering more books, getting a new work station, working on data bases, filing, summer reading program, we also have reading programs though out the year.

**Sitting Bull College, Fort Yates, North Dakota** – Sitting Bull College Library has been working to update its website with new links, images and informative things from Standing Rock history. This is an ongoing process that has been jump started since moving the college site to a new WordPress platform has added functionality and allows library staff to get into the code. The library is also working on the care and display of a large number of regalia items given to the library. We hope to have a rotating display and storage system up and running by the end of the summer.

Sitting Bull College Library recently received a \$100,000 National Endowment for the Humanities award to record Lakota/Dakota fluent speakers in audio and video and keep the recordings in the library. Language recordings will be integrated in to college courses and programs such as the Immersion program, Summer Institute, courses and workshops. The three-year project is kicking off this summer.

The library just finished a major weeding and is beginning an inventory.

For several years now, the library has been intertwined with garden projects at Sitting Bull College as they grow. The garden continues to be a complement to our college and community meals, food related projects, local farmer's markets and gifts of locally grown food to community organizations. Garden projects are a complement to community activities, but demand increasing amounts of time during narrow windows when activities such as planting and harvesting need to be accomplished.

**Turtle Mountain Community College, Belcourt, North Dakota** - Over the past year, the TMCC library has been reviewing and rearranging our Native collection. We have created a new section that encompasses all aspects of the Turtle Mountain Band of Chippewa history and culture. We have also created a Turtle Mountain Community College Section that focuses solely on items that are created by/for TMCC.



TMCC staff have recently completed the Bremer Rural Libraries and Literacy Leadership Institute training, this will allow to us to apply for grants through Bremer bank for summer reading programs. We are also working with the Rolla Public Library (located in the community next to the reservation) on a summer reading program.

**United Tribes Technical College, Bismarck, North Dakota** – UTTC Library’s spring activities included providing classroom information literacy. Students stopped by the library for supplemental material to complete their semester work. As the budget year ended book and journal orders were completed. The librarian continues to process a backlog of library donations, new materials as well as weeding periodicals. Work on the library page continues on the newly redesigned UTTC website. The librarian took part in a webinar on the library software.

The librarian participated in events on UTTC campus. She attended Nursing department accreditation meetings. She helped with the campus wide beautification day. Graduation was held on May 13<sup>th</sup>. The librarian took part in the UTTC assessment in service. The library was closed until summer session began. It will be open Tuesday and Wednesday each week of summer school.

Lastly, the librarian attended Tribal College Librarian’s Institute on the campus of Montana State University in Bozeman, MT. She took part in the week long training and activities with other AIHEC college librarians. TCLI continues to form a solid network that offers great collaboration among the colleges regarding their library issues.

### **Oklahoma:**

**College of the Muscogee Nation, Okmulgee, Oklahoma** – The College of the Muscogee Nation continues to grow and is nearing completion on cataloging a large donation from the USDA-ARS. The donation included many science resources, which will help support our general education curriculum. The library also recently accepted a large donation of DVDs. We continue to work on digitization projects as well as changing our small children’s collection to LOC classification. Information literacy instruction remains a high priority.

The librarian, Karen Haught, will be serving as co-chair of the Oklahoma Library Association’s Tribal Libraries Committee for the 2016 – 2017 term. The committee is busy planning a workshop and conference sessions.

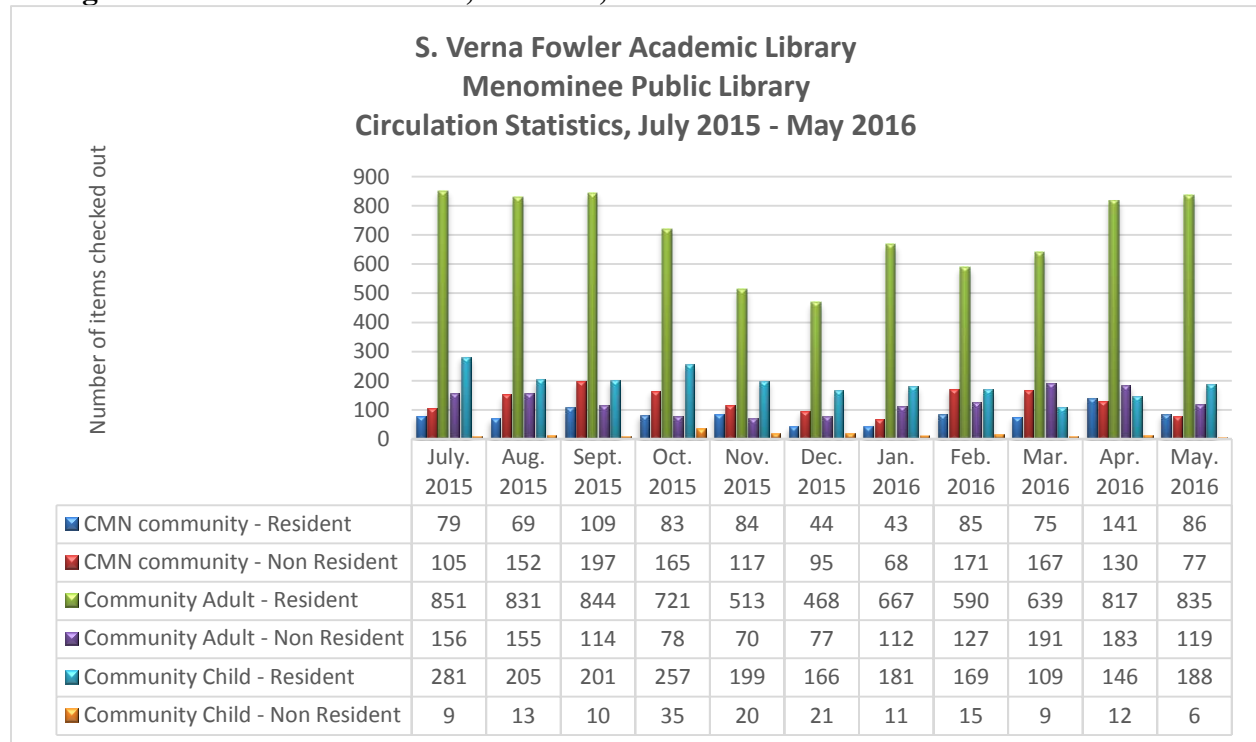
**Comanche Nation College, Lawton, Oklahoma** - The Comanche Nation College Library has been selected as one of the sites for the traveling exhibit, “Native Voices: Native Peoples’ Concepts of Health and Illness.” The exhibit will be held at the college from July 20 through August 31, 2016. We will have an opening ceremony in addition to two educational programs for the public. On August 1, 2016, a representative from the Comanche Nation Diabetes Program and others will speak on “United in the Fight Against Diabetes” for the monthly meeting of the Elders’ Council. On August 15, 2016 three Native American subject experts will present “There is a Plant for Every Disease,” an informative, hands-on program on locally grown Native American healing plants.

The Library continues to support the curriculum by providing circulating books, DVD’s, reference materials, online databases, and textbooks. The collection continues to grow by purchases and donations. Currently there are more than 2,500 items in the collection.

Two part-time summer workers were hired for the months of June and July, 2016. One person is receiving training on cataloging items using PastPerfect Museum software, and will continue to develop the Library’s online digital collection. The other person is helping to catalog new acquisitions and perform summer collection maintenance. Both positions are being funded by an IMLS grant.

**Wisconsin:**

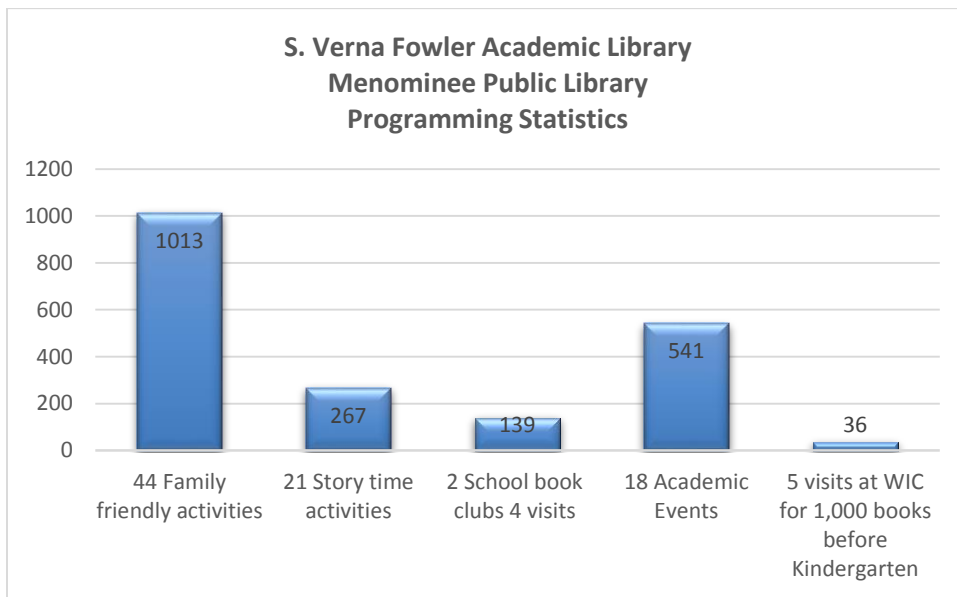
**College of the Menominee Nation, Keshena, Wisconsin –**



In order to reflect the circulation of materials by people that live off the reservation, the library went to resident and non-resident for the different types of patrons. There has been a

misconception by outside agencies that the library has not served people off the reservation. This is not the case and the resident and non-resident categories helps reflect that. While the non-resident categories are much smaller than residents, they are still using the library.

Circulation of library materials has stayed consistently high for adults from the community. To maintain the high circulation the library director has made every effort to provide new DVDs and the newest titles in books every month.



This chart shows the types of activities the library has had this past year. Family friendly have included movie showings, DIY offerings, and summer reading program activities. Staff also ventured into new programming with Discovery time. Discovery time was a family literacy based events with an interactive learning themed book and activity kit. Staff have also ventured into Maker Space activities. Maker Space activities are intended to allow participants to create, this year staff focused on teaching new skills and learning about new subjects. For example one activity was to create a solar robot and learn about alternative energy. Another activity was creating with crystals, this was earth science education. Going forward staff will go into gardening, and digital media in the fall. Another new initiative this past year was to have a Zombie Prom. Staff had thought this would attract teenagers, a group that we haven't reached with programming yet. There was a large turnout but we drew in the 10 and under age group more so than the older kids. Given time and continued funding the Zombie Prom could be a draw for teenagers. With the success of the Zombie Prom staff worked with other departments to create larger events to draw in whole families. The library held a "Winter Wonderland" and "Valentine Party" this past year. The library had different activity stations on different floors in the library and since the events were taking place during meal time, food was offered as well. A big draw for families was the "food station" that UW Extension provided. They showed families how to make fun things with healthy snacks and the families were able to eat what they made.

UW Extension was a very flexible and willing partner for library events. This has allowed the library to have a variety of things happening with small staff.

Storytime activities continued this year with monthly Bookworms events and visits from the Stockbridge Munsee Head Start. The Youth Librarian also started a book club at two different schools with middle school youth and visited each school two times. She also started a new initiative of “1,000 books before Kindergarten” recruiting families at the clinic during their WIC pick up. It will take time to see the results of this new program because progress is measured at 100 books read to a child.

The academic events aspect included classroom presentations and community read programming. The community read programming is broad and included the final author presentation numbers.

**Lac Courte Oreilles Ojibwa Community College, Hayward, Wisconsin** – The Lac Courte Oreilles (LCO) Ojibwa Community Library is working on projects that relate to the IMLS Native American Library Services Enhancement Grant. The project focuses on information literacy and incorporates a number of means of introducing the wide range of resources available in the library. Displays, pathfinders, and programming have been developed to tie in with these resources. The LCO Extension offered a Treaty Day program in January and the library developed the displays for this event that incorporated books, DVDs, original documents, historical photographs and a painting. A bi-lingual storytelling program was held in March with a number of language speakers telling their stories in both Ojibwe and English. Included in the roster of storytellers were original speakers from Mille Lacs and three boys and their teacher from Wadookodaading, the nearby immersion school. Students from the LCO College storytelling class planned this event. A drama writing workshop was sponsored in April and a “We are All Criminals” program was provided in conjunction with Oshiki Binaadiziiwin, the New Life Jail Education project. Library orientations were held for classes and Head Start parents. The library also participated in three Lunch and Learn programs sponsored by the Learning Center. These events included an introduction to library resources; the PastPerfect database; and Theresa Schenck discussing language tapes. Training has also been provided to outreach campus sites and small libraries are being further developed at St. Croix and Lac du Flambeau sites.

In addition the library photograph collection is being introduced throughout campus as many of the photographs are being hung with the help of the new hanging system. The Past Perfect database is also being updated with biographies and additional information.

The library is an active participant of the Convening Great Lakes Culture Keepers (CGLCK). The group gathered in April at the Potawatomi Culture Center and will meet again in October at the Mille Lacs Museum. The library will be hosting two interns from the UW-Madison School

of Library and Information Studies to help with the annual summer library program in August. These interns will be sponsored through the IMLS grant is that is supporting GLCCK.

The library has been chosen to sponsor the *Native Voices: Native Peoples' Concepts of Health and Illness* exhibit in 2019.

### **Wyoming:**

**Wind River Tribal College Library** - This last academic year the library finished the National Park Service grant for the Wind River Reservation Archivist Development and Training Project. Three collections were established, with finding aids and cataloging into our circulation system. One of the collections is recording Elders about the culture, language and stories. We have been able to continue doing the recording through the year.

The college finished the last of the Cohort group grants. Twelve students graduated with a Bachelor's in Elementary Education from University of Wisconsin – Oshkosh. Graduation was held here earlier this month.

Due to funding issues the college is doing fundraising with the following web site [www.wrtcfunddrive.org](http://www.wrtcfunddrive.org). Anyone who would like to support the college is welcome to do so.

Respectfully Submitted,

Tim Bernardis  
Tribal College and University Library Association (TCULA)  
Little Big Horn College Library  
Crow Agency, Montana

**First Americans Land Grant Consortium  
(FALCON)**



**REPORT TO THE AIHEC BOARD OF DIRECTORS**

**June 16, 2016**

**Background**

FALCON is a nonprofit association of tribal college land-grant administrators, directors, faculty and staff. Its mission is to provide technical assistance, professional development, and networking opportunities to its members. In October 2003, FALCON was endorsed by the AIHEC Board of Directors and coordinates its activities with AIHEC, communicates regularly with AIHEC, and seeks AIHEC approval for significant initiatives.

The FALCON officers are: Gary Halvorson, President (Sitting Bull College), Latonna Old Elk, Vice-President (Little Big Horn College), Pat Aune, Treasurer (United Tribes Technical College), Brian Kowalkowski, Secretary (College of Menominee Nation), and Benita Litson, Ex-officio (Diné College). The FALCON Executive Director, John Phillips, is supported in part through a technical assistance grant with AIHEC. All other FALCON officers and members work on a volunteer basis.

**Meetings**

The FALCON 12<sup>th</sup> Annual Conference is scheduled for November 5-7, 2016, at the Hotel Albuquerque in the Old Town district. Registration will open this summer. The conference will include student and faculty presentations, training, and USDA NIFA sessions.

**Communications**

FALCON maintains an e-mail distribution list that regularly communicates with several hundred 1994 administrators, faculty, staff, students, and partners. Information is shared on available resources, funding opportunities, student scholarships, emerging topics, special events and conferences, and more. FALCON also maintains a portal as part of the AIHEC SharePoint Web Portal, which contains past conference materials, training resources, policy papers, and organizational documents (found at: <http://falcon.aihec.org/Pages/FALCONHome.aspx>).

**Activities, Accomplishments and News**

FALCON was involved in the following activities and accomplishments since its last report to the AIHEC Board at the 2016 Spring meeting:

- FALCON is working with the University of Nevada-Reno, other 1862 land-grant institutions, and several TCUs to provide 1994 expertise on tribal water issues. Two fully-funded student research internships with faculty salary support have been announced with an application deadline of July 29, 2016.

- FALCON continues to coordinate a 1994 water working group to plan for a collaborative initiative around water education, research and outreach.
- FALCON has provided \$5,000 scholarships for two 1994 land-grant faculty to enroll in the 2016/2017 class of the LEAD21 leadership development program. This one-year program is the premiere leadership development program in the land-grant system.

*Questions may be directed to Gary Halvorson, FALCON President, at [gary.halvorson@sittingbull.edu](mailto:gary.halvorson@sittingbull.edu), or John Phillips, FALCON Executive Director, at [jphillips@aihec.org](mailto:jphillips@aihec.org), (573)268-5700.*

**An Invitation to: Tribal Colleges and Universities as well as other Institutions and Organizations that serve Native American farmers and ranchers to have a dialog about marketing agricultural products domestically and abroad.**

On Thursday, August 4, 2016, from 1 pm to 2:30 pm EST, the U.S. Department of Agriculture (USDA)'s, Agricultural Marketing Service (AMS) invites Tribal Colleges and Universities and organizations that serve Native American farmers and ranchers to participate in a teleconference and webinar meeting.

AMS administers programs and offers services that facilitate the marketing of agricultural products domestically and abroad. To ensure we are making our programs and services as widely available and effective as possible, AMS wants to engage in a two-way dialogue with Tribal Colleges and Universities as well as other institutions and organizations that serve Native American farmers and ranchers. Through this conversation we are hopeful that we will discover additional ways to support your efforts through our programs.

To help us optimize the meeting, we ask that you be prepared to speak for 5-6 minutes about your organization, the stakeholders you serve, your current relationship with USDA, and existing and future projects you have that relate to the marketing of agricultural products. The AMS Fact Sheet is included with this letter which describes in detail AMS programs and services. Please indicate your desire to learn more about any of the attached AMS services so that we can cater the presentation to your needs.

You may RSVP to the teleconference and webinar meeting by contacting Kimberly Duncan [Kimberly.duncan@ams.usda.gov](mailto:Kimberly.duncan@ams.usda.gov) (202) 260-8605.

We look forward to hearing from you.

Sincerely,



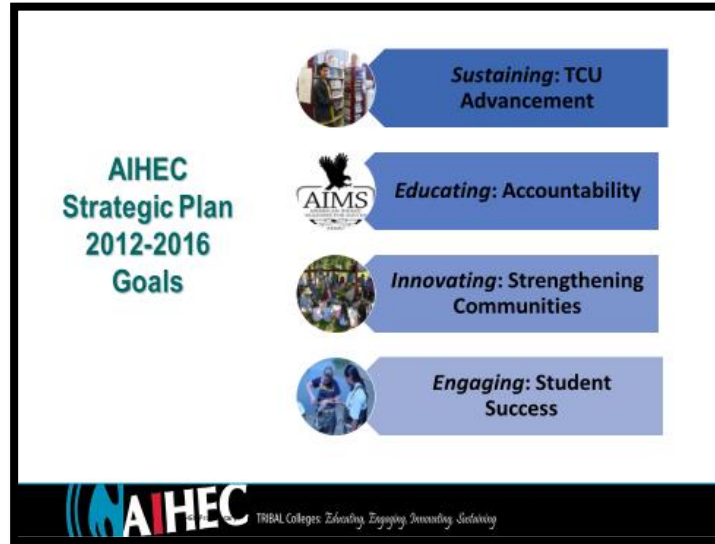
Arthur L. Neal, Jr.  
Deputy Administrator



## Board of Directors Quarterly Update: July 14, 2016

### Introduction:

In 2005-2006, the AIHEC board of directors developed four key strategic goals. In 2011, the board refined the wording, but decided to keep the over-arching set of goals, which guide the AIHEC central office's daily work until our new strategic plan is adopted this year.



In this update, we will list a few highlights for each of the four major strategic goals:

### **SUSTAINING: TCU ADVANCEMENT (FUNDING)**

#### **Legislative/Appropriations Update:** **Appropriations:**

**FY2017/FY2018 Appropriations and Budget.** Reiterating our prior report, at the end of 2015, President Allison and leadership staff from IAIA and NTU participated in the FY2018 Tribal/Interior Budget Council (TIBC) budget formulation meeting for the Navajo Nation region, resulting in the Navajo Nation listing Education, including TCU funding, as one of its five priorities. AIHEC continues to encourage all TCU presidents to work with her or his respective Tribal leaders requesting that they include *TRIBAL* Higher Education – the Tribal Colleges – as a funding priority, both before and after the U.S. Department of the Interior Budget Formulation regional meetings convened each year. Contact should be ongoing, but particularly in advance of any TIBC sessions, as currently the Administration is using the Tribal Budget Formulation meetings/process



as a way to determine Interior funding priorities. Because of the current economic realities, there remains insufficient funding to cover all needs for the foreseeable future. Therefore, the Administration is focusing on priorities identified by tribal leaders during the TIBC consultation process, to guide future funding decisions. As we know, processes change over time and for now, if we want the Department of the Interior and the Office of Management and Budget (OMB) to consider recommending TCU funding increases, we need to influence the TIBC budget Formulation process.

The FY 2017 Appropriations cycle is now underway, and despite an early start on consideration of bills, at least by the Senate, the process has hit some considerable snags. As happened last year, amendments containing “poison pill” policy riders are again being attached to funding measures, thereby slowing the process and assuring the need for one or more continuing resolutions followed by one or more omnibus appropriations packages to complete the FY 2017 appropriations cycle. Both the House and Senate have Appropriations Committees have completed consideration and reported bills funding the U.S. Department of Agriculture, with both committees level funding the land-grant system programs, including the 1994 programs. The one increase recommended in both bills is a \$25 million increase to the Agriculture and Food Research Initiative (AFRI) grants program. Both Appropriations committees also have reported their Interior bills, with gains for the TCUs, including funds to complete the forward funding IAIA (a year ahead of schedule). At this writing the Senate has reported its Labor-HHS measure with level funding for TCU Title III and the tribally controlled postsecondary career and technical institutions programs. The House has yet to mark-up its bill.

**Legislative calendar for the remainder of the 114<sup>th</sup> Congress:** This being an election year, Congressional leaders are eager to avoid having to make their members cast votes on controversial issues; thereby, limiting the number and scope of measures that will be brought forward for consideration. But, this is okay given the limited number of legislative days in the 2016 Congressional calendar. While reauthorization of the Higher Education Act/TCCUAA is virtually impossible this year, AIHEC has continued to update Hill staff of the needs and requests of the TCUs. In an effort to illustrate that the “do nothing Congress” has done something, it is possible that Congress could focus on some publically favorable issues, as well as, extricate some of the less controversial provisions of the Higher Education Act (HEA) and adopt one or more smaller measures before the election. AIHEC is working to ensure that any such measures will have no unintended negative impact on TCUs or TCU students. Additionally, AIHEC is ready at any time to negotiate the inclusion of TCU issues on any appropriate vehicle that may move forward in this greatly abbreviated legislative year.

**Equity in Land-Grant System Participation:** AIHEC is continuing to work on securing unrealized amendments to the Farm Bill. Although our attempt to have the 1994 institutions’ land-grant amendments attached to ESEA reauthorization was not successful, AIHEC has continued to work to achieve a level of parity for the 1994 (TCU) Land-Grant institutions, in the federal land-grant system. Senator Tester (D-MT), at our request, is seeking new legislation currently being reviewed by the Senate Legislative Counsel that would include CYFAR and FRTEP participation; McIntyre-Stennis inclusion; TCU participation in key water research programs; and a possible mechanism for channeling unspent land-grant formula funding to 1994 programs. However, it is important to note that the Farm Bill is not scheduled to be reauthorized again until 2018 and Agriculture Committee staff has voiced their strong reluctance to entertain any amendments to the Farm Bill outside of the reauthorization schedule because such legislation, while attempting to correct a focused set of problems, could opening up other land-grant related programs to negative change or even elimination. Unless AIHEC can work this bill through the legislative process using the rules of each chamber that would prohibit added amendments, thereby keeping the focus on the express programs we seek to change, it is likely that these amendments will not be considered before 2018.

## EDUCATING: PERFORMANCE ACCOUNTABILITY

**Indigenous Evaluation Framework:** AIHEC's NSF-PRIME grant-funded research on the use of the Indigenous Evaluation Framework (IEF) in three TCU communities is in its final year. Three TCUs (NWIC, SBC, and TOCC) are testing the IEF, and their experiences will help us update the IEF manual, training materials, and format. NWIC is using the IEF to create an evaluation plan for one of its NSF-TCUP projects and to review its Bachelor of Native Environmental Science program. Sitting Bull College is considering a new project involving its Native language programs. In a synergist collaboration with another AIHEC-funded project (WIDER-PBL), Tohono O'odham Community College developed a metaphor based on the O'odham Man in the Maze for their exciting project, which includes using the IEF in program development for calculus/math, life science, and environmental science courses. Faculty involved in shifting to an "Indigenous PBL" course model – a new methodology for culturally relevant curricula based on cultural metaphors and epistemologies – say that the experience has transformed the way they teach and that student outcomes are significant. They are now in the process of refining their models for TOCC's associate's degree in life sciences.

Since the Advisory Board meeting in February, Project Staff have been working on the development of a supplemental request to NSF to create online training modules to complement the training manual. With a supplemental, AIHEC will work with the Wisdom of Our Elders organization in Portland, Oregon and an instructional designer to create a series of up to five modules that can be viewed in smaller, shorter meetings of staff at TCUs and community members. In addition to seeking supplemental resources, AIHEC will request a no-cost extension to continue to refine the training manual and develop a train the trainer workshop.

**AIHEC AIMS:** The 2016 AIHEC AIMS data collection cycle will begin in August 2016. Training session announcements will be sent to all TCU data collection personnel in July. The initial report submissions will be due to AIHEC on December 1, 2016.

Unfortunately, one Regular Member has not submitted its report for the 2015 data collection cycle: Nueta Hidatsa Sahnish College. AIHEC staff are working with NHSC with the goal of receiving the necessary report for 2015.

AIHEC has been collecting AIHEC AIMS data for over ten years. When we began collecting AIHEC AIMS data, no instrument existed that collected the TCU/community college-relevant data we collected. AIHEC AIMS was unique and groundbreaking. However, over the past several years, other organizations with greater economies of scale have created data systems that collect much of the same or similar information. The uniquely tribal factors are only collected via AIHEC AIMS, of course, but most TCUs still struggle to report this data (most TCUs report little or no tribal/cultural data). For these reasons, we recently conducted a comprehensive evaluation of AIHEC AIMS to compare its efficacy with other data collection systems, such as the Voluntary Framework of Accountability (AACC), the Voluntary System of Accountability (APLU), and IPEDS (USED). While the AIHEC AIMS indicators collect a wealth of information, some areas could be replaced with/complemented by other data sources, collected less frequently (e.g. every two years), or eliminated altogether, thus reducing the data collection burden on the TCUs. Still, AIHEC AIMS has developed into a comprehensive dataset that captures substantial information on the student population and institutional characteristics of TCUs, which has been useful to AIHEC, AICF, and other partners in informing about and advocating for TCUs to both internal and external audiences. AIHEC is now working with the AIHEC Research Committee and American Indian College Fund to refine the indicators.

**Tribal College Journal Update:** TCJ's summer issue (27.4) on healthcare was mailed out in May. President Cynthia Lindquist and comedian Mylo Redwater Smith contributed the feature article, "Very Good Medicine," which illuminates the important role that humor and laughter play in the health of tribal communities. Jessica White Plume's article, "Four Legged Healers," showcases Nueta Hidatsa Sahnish College's Horse Nation Initiative, which employs equine assisted psychotherapy as a means to address and counter the effects of historical trauma. And longtime Diné College instructor Mark Bauer discusses how the college's Summer Research Enhancement Program gives students experience in public health research methodology through hands-on internships in their local communities.

Besides these feature articles, the issue includes regular departmental pieces with contributions from Marielle Christine Leilani Young (Talking Circle), Navajo Tech student Rudell Two Bulls Jr. (TCJ Student), and SKC student and former ASC officer Robin Máxkii (Voices) who discusses the ASC's LIFE conference. Online, TCJ will continue to rollout a variety of web-exclusive articles throughout the summer. Former SKC president Joe McDonald offered his insights on the development of the college's groundbreaking nursing programs in this issue's installment of Current Reflections. The final installment of TCJ's four-part series on Canada's tribal colleges features two institutions in Ontario: Seven Generations Educational Institute and First Nations Technical Institute. And most recently, Kitt Adams' "Compassionate and Culturally Respectful Care," offers a tour of SKC's state-of-the-art nursing program facilities. Besides these features, visitors to tribalcollegejournal.org can view a slideshow from the spring AIHEC student conference, read the latest installments of the regular columns "The Inquisitive Academic" and "Writer's Corner," and follow the TCJStudent.org blogspot "Twiniversity: Life of a Tribal College Mom."

Currently, TCJ staffers are finalizing the fall issue (Vol. 28, no. 1), which focuses on the theme "Volunteerism" and will include the 2016 edition of *TCJ Student*. That issue will reach mailboxes in late August. The journal is also gearing up for its winter issue on AIHEC's Capitol Hill campaign, which is currently in the editorial stage and will go to the designer at the end of the summer.

**NSF/OURS STEM Academic Leadership Certificate Program:** On April 20-24, 2016, the final residency for the third cohort of fellows in the NSF/Opportunities for Underrepresented Scholars (OURS) program was held at Salish Kootenai College. This third cohort was comprised of STEM women faculty from HBCUs and TCUs. Five TCU faculty earned graduate certificates in this cohort: Ms. Jan Miller and Ms. Diane Cryderman, Bay Mills Community College, Hillary Baron, Leech Lake Tribal College, Yolanda Matt, Salish Kootenai College, and Teresa Newberry, Tohono O'odham Community College. A group of OURS participants also traveled to the International Gender Summit in Mexico City this spring.

Currently, AIHEC is in the process of finalizing selection of seven additional TCU STEM faculty women to participate in a revised and unique OURS Project focused specifically on the TCUs. The participants will attend four residencies and participate in webinars to complete a 16-hour graduate certificate. The selection process will be completed by July 1 with the first residency coordinated with the SKC Summer Meeting at the end of July and first part of August, 2016.

**TCU and STEM**  
 50 Tribal Colleges awarded 100 certificates in 10 weeks  
 Coordinated by federally recognized Indian tribes  
 Serve students from more than 200 federally recognized tribes  
 Offer undergraduate and graduate degrees  
 Less than 1% of all US colleges, yet enroll at least 5% of American Indian students  
 STEM students make up 20% of TCU enrollment and graduates  
 80% STEM faculty are women  
 50% STEM faculty are women

**The Chicago School and OURS**  
 The Chicago School is the largest non-profit U.S. university specializing in related technical sciences. OURS (Opportunities for Underrepresented Scholars) is a post graduate certificate program in Academic Leadership for STEM women faculty and emerging leaders, instituted in 2012 by NSF/STEM award with a \$1.8 million grant from the National Science Foundation; experiential funding from NSF awarded in 2014 to add STEM women at TCUs.  
 Continuum and Application Experiences  
 Non-traditional, 10 credit hour, one-year progressive certificate program  
 Continuation of earlier graduate coursework, specific faculty mentorship, professional coaching and hands-on campus application experiences  
 8 female scholars on scholarship: The Ambrosius Fulmer Needs in Academic, Essential Academic Leadership Competencies, Informing and Inspiring Change! in high visibility and Allocated. Curriculum design for 21st Century Scientific, Practical, Legal and Governance issues at Minority Serving Institutions.

**Eligibility and Plan**  
 Conducted by External Evaluator  
 Continuum Structure & Assessment  
 Assessment of program quality & impact to support program effectiveness modeling  
 • Annual assessment of Coaches experience performance  
 • Faculty assessment of program curriculum outcomes  
 • Institutional assessment of the perceived program value to their institutional partners  
 • External of participant mastery of didactic material  
 • Participant assessment of program experience  
 • External of program success measurement  
 Fellows included for 2 years following program

**Program Structure & Eligibility**  
 Goal is to program 37 women in one year (2015-17)  
 Fellows must be a female faculty member or emerging leader at HBCU or TCU  
 Must have a graduate degree (preferably doctorate) in a STEM field  
 Must be a U.S. Citizen or Permanent Resident  
 Must receive a letter of support from a Senior Campus Administrator  
 Program Fellows receive travel funding and a stipend for participation  
 Chicago, Taylor (PI) and Felicia Arredondo (Co-PI). The Chicago School, Celia Bily, American Indian Higher Education Institute, Tohono O'odham Community College, and Hilary Barnes, Leech Lake Tribal College  
 NSF/OURS Program: The Chicago School  
 800 7th Street, 4th Floor, 101 - 10th Street, Chicago, IL 60607-1010, 312.762.8100 (Fax)

**Program Successes and Mobility**  
 40% of First Cohort Promoted to Leadership Positions  
 Several Fellows recipients of major grants and professional recognition  
 Leaders and Fellows invited for presentation: Science Communication International Conference on Equal Opportunity in STEM  
 Leaders and Fellows on program at 3 Gender Centers (USA, Europe, 3 Africa)  
 Several writers and presenters/mentors

**Final Dates: 2015-17**  
 All Tribal College Cohort  
 Curriculum revision to meet unique needs of tribal colleges and American Indian Women  
 Preparation for future program continuation, retention and funding  
 Continued tracking of career advancement and outcomes of participants  
 Preparation of published papers and presentation at the NSC, TCU, College and Higher Education conferences  
 Advances to 10 nationally ranked leadership development for STEM women and most of color in emerging leadership and higher education generally

**TCU Governing Boards Initiative:** In follow-up to the October 2015 ACCT-AIHEC GISS training for governing board members and a request at the Winter meeting, AIHEC distributed a TCU “scorecard” on student success, which includes TCU-wide data for the same indicators that we used at the **Fall 2015 GISS-TCU Institute** (and one additional indicator, first-year retention). Used in conjunction with your college’s data that was provided at the 2015 GISS-TCU Institute in San Diego, the scorecard can help you benchmark your progress against averages for all TCUs, 2-year and 4-year TCUs, and TCUs with a similar enrollment size. Data can be a powerful tool to help TCUs evaluate student progress, identify key areas where you are doing very well and areas that need improvement, set targets, and track progress. It also serves to inform your strategic plans, grant applications and reports to your community, governing board, Tribal Council, and accrediting bodies. We hope that all TCUs are sharing the scorecard with their boards and other stakeholders. AIHEC is pleased to be hosting GISS-TCU2 with ACCT in New Orleans, LA, immediately following our fall Board meeting. We hope that all TCUs will bring their boards to this informative working session!

**SKC Summer Meeting (formerly the Annual CAO Meeting):** The planning committee met in March during the AIHEC conference and changed the name of this annual meeting as those groups participating continued to expand. This year, we are pleased to announce that we are including Residency Life personnel in this meeting, which is now simply called the SKC Summer Meeting. We will host an orientation session on Sunday, July 31 for Chief Academic Officers who have been in their respective positions for two years or less, and a concurrent orientation will be held for new Financial Aid Directors as well. The meeting dates are August 1-5, 2016. The agenda is being finalized with the initial draft agenda disseminated to all the TCUs and posted [here](#). The KwataqNuk Hotel serves as the host hotel and is full at the time of this writing with the backup hotel, the Red Lion, also reported to be full. It is anticipated that this will be a well-attended event. Please note that this is a meeting for TCU staff. This meeting is *not* intended for TCU presidents.

### **INNOVATING: STRENGTHENING COMMUNITIES**

**Behavioral Health Initiative:** Eleven TCUs now make up two cohorts of TCUs which are currently participating in the AIHEC NARCH Project. The first cohort consists of Cankdeska Cikana Community College, Dine College, Northwest Indian College, Oglala Lakota College, and Stone Child College. This first cohort was selected in 2014 and are in the final phases of their research projects. These colleges have found that they have generated some interesting data which, for the most part, will require more time to conduct a thorough analysis. There is also an expectation of publishing the research outcomes in peer-reviewed journals which will go beyond the financial support provided by this initiative. The second cohort of six TCUs were selected to join the AIHEC NARCH Network (ANC, FPCC, HINU, IC, KBOCC, TOCC) with a start date of January 2016. The 2<sup>nd</sup> cohort TCUs have been busy identifying and selecting a full research team which includes two to four student researchers. The cohort 1 TCUs have shared their survey instruments and other information with the second cohort as much as possible.

Ten of the eleven Projects were represented at a meeting on the evening of May 23 in Havre, MT, as part of the AIHEC’s third annual Behavioral Health Institute. Each gave a report on the status of their projects and the challenges that they have encountered and/or resolved. It was a great opportunity to allow networking and discussion although time ran out to address professional development needs in depth.

With support from the Indian Health Service, AIHEC sent 82 Native students and faculty to the annual SACNAS conference in late October. AIHEC also received an additional \$100,000 from IHS to continue to strengthen our partnership with the Native Research Network. The 26<sup>th</sup> NRN Native Health Research Conference entitled, "Finding the Balance: Sacred Places and Healthy Environments" was held on **June 5-8, 2016** in Cherokee, NC.

Over the course of this project year, seven applications for professional development have been received with four awards made and one pending additional information. Stone Child College has completed their second professional development session to attend the annual conference on Behavioral Health and Addictive Disorders in Seattle, WA on June 1-3, 2016. This request was approved for the two faculty members to attend this conference. This **behavioral health research and professional development fund** is available to support TCU faculty in participating in national and regional behavioral health training workshops and conferences. The fund has a \$5,000 per application limit and can also be used to bring behavioral health content experts to your campus to provide professional development and training for students, faculty, and administration.

Four participants were recruited for NIH's Residency Training Component of the Biomedical/Biobehavioral Research Administration Development (BRAD) Program. As part of AIHEC commitment to advancing the TCUs research capacity, it recruits two to three participants each year. This year the training was conducted from May 16 through May 27<sup>th</sup> in Bethesda, MD. The following individuals participated: Ms. Colleen Berg, Project Coordinator for the Center for Health, Northwest Indian College; Ms. Larretta Hall, Director of Institutional Resources, United Tribes Technical College; Ms. Jan Keller, Extension Educator, United Tribes Technical College, and Ms. Karen Coffey, Budget Analyst/ Special Programs/Title III Coordinator, Southwestern Indian Polytechnic Institute (SIPI).

AIHEC is preparing a second NARCH application for submission by July 27, 2016 which builds upon the current NARCH Project.

**3rd Annual Behavioral Health Institute:** AIHEC conducted its Third Annual Behavioral Health Institute at Stone Child College in Box Elder, MT on May 23-27, 2016. In addition to the eleven TCUs participating in the NARCH Project, staff, faculty, and students interested in behavioral health, were invited to attend the week-long institute, which focused on building the research capacity of TCUs in the area of behavioral health and the impact of historical trauma. Seventy-two participants and ten presenters outside of the TCUs attended this event. Stone Child College did an excellent job as the host TCU.

This institute served as an opportunity for the cohort 1 TCUs to share their research goals and process with those in attendance. The first day of the Institute focused on some of the foundational information for those new to the AIHEC Behavioral Health Network such as historical trauma, the community-based participatory research process, and an overview of IRBs. The second day focused on the need for protection of human subjects training by researchers and qualitative and quantitative data analysis. Day three focused on some of the outcomes of cohort 1 TCUs research which was followed by an excellent presentation by Dr. Michael Yellow Bird on Neurodecolonization and the use of mindfulness from a cultural perspective. Mr. Al Kuslikis also shared potential resources opportunities that the TCUs could seek out in behavioral health. The fourth day focused on curriculum initiatives at the TCUs with regard to behavioral health with the last day focused on scholarship and publication. The evaluations for this Institute were exceptionally high overall.

The 4<sup>th</sup> Annual Behavioral Health Institute will be hosted by Haskell Indian Nations University in June 2017.

#### **Sustainability Initiative:**

- **EcoAmbassadors:** The 5<sup>th</sup> cohort of the Tribal ecoAmbassador program are working to complete their research projects throughout the summer months. Throughout this project year, the Tribal ecoAmbassadors have participated in monthly EPA Tribal Science Council meetings, providing

participants the opportunity to share their work with a national audience of experts. TCU students have been recognized through various social media outlets on their individual contributions to their respective environmental research projects. In June, the Tribal ecoAmbassador cohort participated in a panel presentation at the International Symposium on Society and Resource Management (ISSRM) conference at Michigan Technical University in northern Michigan. Representatives from four of the six current TCU projects presented their research projects and represented the Tribal ecoAmbassador project to environmental experts and scholars from around the globe. Further still, the Tribal ecoAmbassador cohort will be featured in the EPA Tribal Science webinar at the end of July. Tribal ecoAmbassadors will travel to Washington, D.C. to collectively present and meet with officials from EPA and other federal offices on environmental issues impacting their communities.

Current Tribal ecoAmbassador projects include:

- HINU: Haskell Sustainability Program: Food Waste Reduction and Landscaping & Habitat Restoration Initiatives. The Haskell Sustainability Program is a campus-wide program that engages faculty, staff, and students in activities that embody best practices in environmental sustainability and resiliency.
  - IAIA: Stories of Change: Creativity and Climate Resilience at the Institute of American Indian Arts. The IAIA Tribal ecoAmbassador project uses art and permaculture to enhance public spaces and to create restoration and passive water harvesting systems and bio-retention rain gardens. This project also works to remediate/detoxify run-off pollutants, decrease heat island effect, increase wildlife habitat and pollinator plants, and support campus beautification efforts.
  - KBOCC: Monitoring of Water Temperature Trends in Focal Coldwater Fish Habitats of the Keweenaw Bay Indian Community. The KBOCC Tribal ecoAmbassador project continues to expand water temperature profiling efforts in habitats of local fish management species as part of the implementation of best-management practices for fisheries of the Lake Superior region.
  - NWIC: Rooted Relationships: Peoples and Plants Together in Wellness. The NWIC Tribal ecoAmbassador project, Rooted Relationships, continues to build upon previous efforts at the college to expand and enhance facilities, materials, and instruction concerning the interrelation of people, plants, and wellness.
  - SKC: Arsenic on Confederated Salish and Kootenai Tribal Land. The SKC project continues research that identified elevated levels of arsenic in wells on Confederated Salish and Kootenai Tribes (CSKT) land. Arsenic is widely known for its adverse effects on human health. This research helps to identify contaminated wells and provide community outreach.
  - TMCC: Water Quality and Abnormal Leech Present in Water bodies Located on the Turtle Mountain Band of Chippewa Indians Reservation. The TMCC Tribal ecoAmbassador project examines recreational activities in Tribal lakes to determine if such activities lead to water contamination resulting in a hazardous environment for invertebrate organisms, specifically leech.
- **Climate Change:** AIHEC continues to work on establishing the Native Climate Resilience Network (NCRN), designed to engage a broad array of American Indian and Alaska Native community stakeholders – students, elders, farmers, fishers, ranchers, educators, Tribal natural resource and land management personnel, and others concerned about emerging climate related issues – in a range of outreach, community education, and research activities intended to institute a coordinated, multi-community effort to understand, anticipate, and respond to likely climate change related threats. Through \$125,000 in funding from the Natural Resources Conservation Service (NRCS), we have recruited four TCUs to host VISTA volunteers (through the TCU/VISTA Program) for up to 3 years: Salish Kootenai College, College of Menominee Nation, United Tribes Technical College, and Sitting Bull College. TCU/VISTA volunteers assigned to the TCU will assist with all activities associated with

local climate change resilience planning, research, and response activities. The Corporation for National and Community Service (CNCS), which operates AmeriCorps VISTA, has identified funds from federal agencies and private sector partners to support placing nine additional VISTA volunteers at TCUs willing to host them. AIHEC is currently recruiting these additional TCUs to grow the NCRN to 14 TCUs and their communities.

AIHEC was recently notified that we have been awarded funds from the Bureau of Indian Affairs to hire a tribal climate science liaison who will coordinate climate science support resources provided by the Southwest Climate Science Center to support climate work by TCUs and communities in the SCSC service region. The liaison will also facilitate collaborations between the Climate Science Centers serving the other TCUs.

**DoE-Advanced Manufacturing Initiative:** AIHEC is building build on the initial investment by the Department of Energy's National Nuclear Security Administration establishing the TCU Advanced Manufacturing Network Initiative, which is creating a network of Tribal Colleges and Universities with the essential advanced manufacturing facilities, associated training and education programs, and private sector and federal agency partnerships to both prepare an American Indian advanced manufacturing workforce and create economic and employment opportunities within Tribal communities. The initial cohort includes Bay Mills Community College, Cankdeska Cikana Community College, Navajo Technical University, Salish Kootenai College and Turtle Mountain Community College, The Department of Energy has agreed to fund Phase II of the TCU Advanced Manufacturing Network Initiative which will involve faculty professional development, development of a set of advanced manufacturing and related courses that will be made available to all AIHEC member institutions, advanced manufacturing research and development projects, and an Advanced Manufacturing Summer Institute hosted annually by a Tribal College for TCU faculty and students. Phase II will involve a strong partnership with the National Labs, particularly Sandia National Laboratories in Albuquerque. The Institute will also provide an opportunity for an annual meeting with Tribal and industry partners, a critical component to the success of this initiative.

**TCU Student Entrepreneurship and Innovation:** AIHEC is identifying sponsors for the Native Innovators and Entrepreneurs Launchpad, or Native Launchpad, a comprehensive program designed to provide Tribal College students and Tribal community members' essential entrepreneurial skills, and to help them move business and community-based enterprise projects from idea to implementation. Modeled in large part on the University of Colorado – Denver Launch Pad project, the initiative will foster a culture of entrepreneurship and innovation among Tribal College students and community members. While addressing local community needs and pursuing new opportunities and markets, TCU students will develop and strengthen important life skills such as planning, team-building, and communication. Most important, students will acquire confidence in their ability to take a leadership role in creating and actualizing an initiative that meets a need or addresses an issue affecting their tribe, community, and family.

**USDA-Outreach and Assistance for Socially Disadvantaged and Veteran Farmers and Ranchers:** In FY2015, AIHEC was awarded a USDA grant to partner with TCUs to provide outreach and training to Native American farmers and ranchers through three regional workshops, which were completed in 2015. A no-cost extension was awarded in order to provide a series of Webinars to the TCUs on issues of relevance to Native American farmers and ranchers. Webinar topics and schedules are currently being developed for this summer and fall. We are also submitting a new proposal to expand our OASDFR project. AIHEC also submitted a request for authorization to submit a proposal to the Keepseagle plaintiff's "Native American Agricultural Fast Track Fund" (NAAFTF), which is a one-time distribution of \$38



million in settlement funds. Our proposal would be to providing for funding to allow each TCU to expand and conduct direct outreach and service to Native farmers, ranchers, and fishers. An appeal was filed to the *Keepseagle v. Vilsack* final settlement, so the NAAFTF is no longer on a fast track. Additional, a Move-on.org petition has 991 signatures, urging that all of the \$650 million remaining be given to the plaintiffs (or potential claimants) and not to “nonprofits and Universities for Agricultural Programs and Service workshops and seminars.”

**OTR Records Management Program:** AIHEC was awarded a grant of \$650,000 from the BIA Office of Trust Records to manage a project intend to increase the number of Tribal College students prepared to enter the records management workforce. The goal of the project is to establish and sustain a Records Management program offered through at least two Tribal Colleges and Universities. Through a competitive selection process, two TCUs will be identified to develop and offer two 16-week records management courses for online and traditional classroom delivery over a 5 year grant period. Colleges will be expected to identify and prepare TCU faculty to offer the records management course at their campuses and online, develop the curriculum, recruit TCU students to complete the course series to be offered both using both online and traditional classroom formats, and evaluate the courses each project year and modify as needed. A request for proposals will be disseminated to the TCUs within several weeks

## ENGAGING: STUDENT SUCCESS

### **TCU Path to Student Success**

**Initiative:** AIHEC continues to build on the Walmart Student Success Initiative and our NSF-WIDER funded project (Student Success Collaborative focused on supporting adoption of problem-based learning in TCU STEM courses). Our TCU Path to Student Success Initiative focuses on a comprehensive Native student

success pipeline, from pre-K/12 to college and career and a lifetime of learning through coordinated activities and a TCU-wide vehicle for identifying and disseminating effective intervention strategies for Native student success, which would involve establishing a TCU Networked Improvement Community (NIC). The TCU NIC would coordinate program research and evaluation processes across all TCUs to quickly and effectively identify and disseminate intervention strategies for improving student outcomes. We are working with the Carnegie Foundation to adapt the NIC model to the TCU community. All of the following initiatives are components of our TCU Path to Student Success Initiative. In addition to the following, we are working with the HOPE Lab at the University of Wisconsin on a proposal to study the impact of small emergency loans on student retention and ultimately, student success in completing their chosen programs of study.

- **Pre-K/12 Pipeline: The BIE-AIHEC “College Bound” Initiative:** AIHEC’s partnership with the BIE to help build a college-going culture among Native youth has been very successful. AIHEC supports 14 (of 20 eligible) TCUs to conduct a range of college/academic enrichment and intervention strategies with their local BIE K-12 feeder schools with a focus on strengthening math and English/writing composition skills. These interventions are designed to encourage students attending BIE schools to enter a college-bound pipeline and pursue higher education. TCUs recently submitted project summaries and reports to AIHEC

**AIHEC Initiatives: Building Culturally Grounded, Student Centered Communities of Practice Engaged in Continuous Improvement**

- › **Student Success Collaborative:** *Innovations in Problem Based Learning, informed by Indigenous Evaluation Framework (Indigenous Values, Ways of Knowing; Builds Ownership)*
- › **TCU Pathways to Success:** *TCU-BIE College Bound Partnership; TCU Career Pathways Initiative*
- › **Advanced Manufacturing:** *Moving from Workforce Development to Job Creation (Pship with Dept. of Energy and Industry)*
- › **AIHEC Institutional Practices Improvement & Completion Collaborative (AIPIIC):** *Accreditation, Governance, Financial Management, etc.*

**AIHEC** TRIBAL Colleges: *Educating, Engaging, Empowering, Sustaining*

describing the many exciting efforts underway. AIHEC continues to host a series of conference calls featuring updates and opportunities for participating TCUs to share their initiatives and learn about other effective strategies. Stakeholders are able to share best practices with one another and are developing a “College Bound Community of Practice.” An “All Hands for Student Success” meeting will be held in the fall in Albuquerque in conjunction with the FALCON meeting. AIHEC is working with the 14 projects to develop a culturally relevant evaluation instrument to collect data on the initiative and assess its impact. With demonstrated success, this will be a long-term initiative. Over the next several months, TCUs will implement their Year 1 projects, and AIHEC will develop a tool kit of Native Student-College Success strategies. BIE is planning to renew funding for this important project.

- **College Pipeline: AIHEC Student Success Collaborative:** The second cohort of the AIHEC Student Success Collaborative is currently implementing new Problem Based Learning (PBL) strategies in TCU classrooms. Tohono O’odham Community College, Northwest Indian College, and Turtle Mountain Community College are the larger awardee schools. Smaller awards to support PBL in STEM classrooms were made to faculty at Oglala Lakota College, Haskell Indian Nations University, Navajo Technical University, Saginaw Chippewa Community College, and Fort Peck Community College. AIHEC hosted webinars open to all interested in the PBL pedagogy. Both Tohono O’odham Community College and Northwest Indian College led webinars and shared their success. With the focus on accreditation, Turtle Mountain was unable to dedicate time to implement their proposal. AIHEC has requested a no cost extension from NSF and intends to use the funds to create an Indigenous Problem Based Learning curriculum and pilot at a tribal college. Once the no cost extension is approved, AIHEC will provide an announcement for interested colleges.
- **Lifelong Learning: Competency Based Education (CBE) and Prior Learning Assessment:** AIHEC and CAEL submitted a joint proposal to the Lumina Foundation for a comprehensive systemic initiative to strengthen the capacity of the TCUs to focus on the needs and completion rates of adult learners. Called the TCU Adult Student Success Initiative (TASSI), the project would establish a mechanism for TCUs to grant adult students credit for the knowledge and experience they bring to their academic programs through competency-based learning and prior learning assessment (PLA), while at the same time assisting TCUs in becoming more adult-learning and completion-focused through targeted technical assistance, training, and establishment of a community of CBE practice involving all participating TCUs. The proposal was well received, with our program officer commenting that is extremely rare for her to receive partnership proposals such as the AIHEC-CAEL partnership! Because Lumina is in the process of developing a new strategic plan, our full proposal could not be funded at this time. However, Lumina staff were so impressed with our project that they are awarding us a very generous “planning” grant (\$250,000) to begin our joint effort and will be sharing our proposal with other potential funders.
- **Alternative Entry Points: The New GED:** AIHEC is continuing discussions with the U.S. Department of Education, the Department of the Interior, and White House to try to convince the Secretary of Education to reverse his position and allow Tribes capable of administering alternative high school equivalency tests to do so outside of state systems. NCAI recently passed a resolution affirming its position that Tribes should have the same authority as states in administering and implementing the high school equivalency examination of their choice. The resolution document can be accessed [here](#). Finally, at the request of the Board, AIHEC is also in the process of drafting a proposal for submission to foundations to develop a high school equivalency test for TCU admission, which does not include the unnecessary rigor of the current GED® and HiSET®, for tribes to use, if they so desire.

## International Activities:

- **AIHEC-Asociación Nacional de Universidades Interculturales (ANUI) Partnership:** AIHEC staff are in discussions with Indigenous higher education leaders from Mexico regarding the possibility of developing an MOU between our two organizations that would strengthen Indigenous higher education in North America. A key component of the partnership would be faculty and student exchanges between TCUs and Indigenous institutions in Mexico. The next step would be for a small group of TCU presidents and staff to visit ANUI institutions in Mexico.

**AIHEC Student Congress (ASC):** The term for the 2016-2017 ASC began with elections held in March at the AIHEC Student Conference in Minneapolis, MN. Working with select members of the 2015-2016 ASC, this year's congress planned, coordinated, and executed the AIHEC LIFE (Leaders in Future Endeavors) Conference, hosted at IAIA, which continued the legacy of an AIHEC student leadership summer meeting. This year's LIFE conference was extremely successful with 44 total participants, 3 major speakers, plenty of meals and team activities, and a trip to Bandolier National Monument in northern New Mexico. The ASC members are actively working to establish permanent guidelines for future congress members to follow to maintain continuity year-to-year in future AIHEC LIFE Conferences. For the upcoming college term, the ASC is working on establishing an Indigenous Peoples' Day at each TCU, developing a TCU student handbook for new or potential students, registering students at TCUs to vote in the upcoming national fall election, and designing posters and T-shirts to continue spreading the name and functions of AIHEC and the ASC.

**Violence Against Native Women Task Force:** AIHEC has joined with NCAI and other Indigenous women's/girl's health organizations to launch a new initiative: "IReCEV" – the Indigenous Research Collaborative to End Violence, to address the challenge of domestic violence in our tribal communities, including on our TCU campuses. The group has met once and communicates on an ongoing basis via email. Group members have provided advice and guidance to AIHEC over the past few months on key anti-violence legislation and policy implementation.

**Generation Indigenous (Gen-I):** Building on last summer's White House Youth Gathering, Generation Indigenous continues to build momentum. Acting Assistant Secretary–Indian Affairs Lawrence Roberts recently announced the 2016 Indian Affairs Student Leadership Summer Institute, a paid 10-week summer internship program with the agency that begins in early June. The Institute will provide AI/AN post-secondary students with an opportunity to learn about federal policymaking in the Indian Affairs organization. Gen-I is also promoting a national Native youth dialogue, and Secretary of the Interior Sally Jewell kicked off a listening tour in February. White House Tribal Youth Gathering, HHS and USDA have developed daylong events focusing on youth leadership, skill building, and employment opportunities for native youth ages 12-14. These regional events took place in Denver, Green Bay, Phoenix, Albuquerque, Seattle and Anchorage. The President's FY2016 Budget proposes increased funding for some new Native youth programs. The Department of Education's Native Youth Community Projects modifies an existing tribal grant program to fund a select number of Tribal governments to improve college-and-career-readiness of Native children and youth by coordinating community services and partnering with community organizations. Additionally, the BIE reform plan (Blueprint for Reform) is being implemented. New staff will be hired to oversee higher education programs and research. To date, nearly 25,000 Native youth have taken the Gen-I challenge. The Center for Native American Youth hosts monthly conference calls



where Native youth share their stories of how they are bettering their communities. On July 7<sup>th</sup>, AIHEC staff, Nikki Pitre, was invited to NMAI to present at the Generation Indigenous Native Youth Networking Reception. Nikki talked to over 100 Native Youth about Tribal College Movement, AIHEC priorities and the importance of pursuing a holistic education.

**Note:** new AIHEC projects and grants are described in more detail elsewhere in the Board book.



# AIHEC Update

## Summer 2016 BoD Meeting

July 14, 2016



### AIHEC Plan: Vision for the Movement

### 2016-2020 Goals



**Sustaining:** *Secure full funding to equitably meet the operational needs of all TCUs.*



**Educating:** *As the voice of TCUs, share the unique story of TRIBAL higher education through relevant, efficient and timely data collection, reporting, and outreach.*



**Innovating:** *Through innovative, collaborative and data-driven programming, strengthen Tribal communities, sustain our lands and environments, and promote resiliency among our people.*



**Engaging:** *Help ensure TCU student success through culturally-grounded community-based practices, cradleboard to career.*



**Honoring:** *Sustain the TCU Movement through practices that honor our past and support our future.*





**TCU Goals: Forward Funding & Full Funding:**

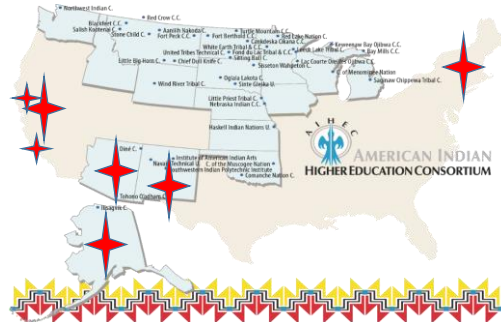
FY2016: FF for UTTC/NTU (\$5M) + increase; \$2M, IAIA; Title I: \$7,200/ISC  
**Total Increase: appx. \$8M (\$114.5M total)**

FY2017: Achieved FF for IAIA (\$5.2M); \$2M increase for HINU/SIPI; \$4.1M Ops  
**Total Increase: \$11.3M (\$121.2M)**

**Growth of TCUs is Key to Sustainability**

Emerging TRIBAL Higher Education Interest:

- California: North, Central, South
- Alaska: Anchorage
- New York: Seneca Nation
- New Mexico: Two Pueblo Tribes
- Arizona: San Carlos Apache Tribe



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*



**Building Tribal Economies Through Partnerships:**

Year 2 of Job Creation – Advanced Manufacturing at 5 TCUs  
 Partners: DoE, Tribes, TCUs, Industry **(\$800,000 increase)**



**Land grant:** Keepseagle FastTrack Fund (TCU Outreach & Scholars); new USDA Internship Program

**Interior:** Records Management

**Tribal Health & Wellness Through Indigenous CBPR:**

Year 2.5 of NARCH Behavioral Health Initiative – 11 TCUs  
 New NARCH Proposed – Building on Lessons Learned & Needs



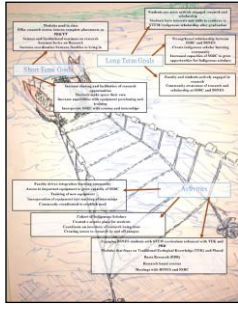
TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

**Goal – Engaging**  
Student Success



**Culturally Grounded, Student Centered Tribal Communities of Practice**

**TOCC: Math, Environmental Science**  
Metaphor: **TOCC Man in the Maze/I'toi Ki: Life-journey -- life cycle.**  
*Visual map is a measurement tool for Calculus I.*



- ▶ **Student Success Collaborative:** *Innovations in Problem Based Learning, informed by Indigenous Evaluation Framework (Indigenous Values, Ways of Knowing; Builds Ownership)*
- ▶ **TCU Pathways to Success: Two new initiatives:**  
*Lumina - CBE/PLA Planning w/CAEL (\$600,000)*  
*Helmsley – ATD (\$300,000)*



**Power of Partnerships: YEAR 2 – the end is up to TCUs!**  
*BIE & AIHEC “College Bound” Initiative*

**14+2 – OF 22 POSSIBLE** -- TCUs are collaborating with their local K-12 BIE schools to implement a “College Bound Enrichment Plan”

TCUs are using evaluation metrics designed to improve student performance, with a focus on Math and English

The Project encourages and supports AI/AN students at BIE schools to succeed academically and pursue **TRIBAL** higher education



**TCU-BIE College Bound Partnership:**  
**Year Two Planned: appx \$1,000,000**





# The Impact of Tribal Colleges:

AIHEC Institutional Practices Improvement & Completion Collaborative (AIPIC):

Accreditation, **Governance**, Financial Management, etc.

**GISS-TCU2: October 2016: 7 TCU registered, 40 attendees – REGISTER NOW!**



**Rol: For Every \$1...**  
**Federal: \$2.40**  
**State/Region: \$5.20**  
**Students: \$4.10**

Transition: Congress, Presidential Elections....



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*



AMERICAN INDIAN  
 HIGHER EDUCATION CONSORTIUM

## Top Three TCU Priorities for the 45<sup>th</sup> President

July 13, 2016

*-- Draft --*



TRIBAL Colleges: *Educating, Engaging, Innovating, Sustaining*

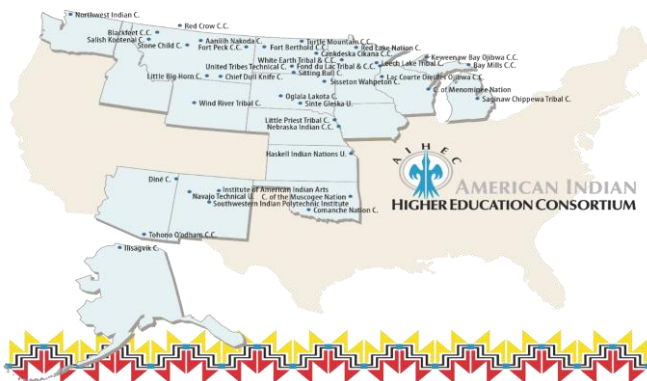


1. Full Funding of all TCU Operating Programs
2. Equity in Funding for 1994 Land grant Programs
3. Separate TCU Executive Order



## TCU Focus & Commitment

**Strong Sovereign Nations through Excellence in *TRIBAL* Higher Education**



## TRIBAL COLLEGES AND UNIVERSITIES AGENDA FOR THE 2016 PRESIDENTIAL CANDIDATES

JULY 2016

**ABOUT TRIBAL COLLEGES AND UNIVERSITIES:** In a bold expression of sovereignty, American Indian tribal governments began chartering their own institutions of higher education – Tribal Colleges – in the last 1960s. Today, 37 Tribal Colleges and Universities operate more than 75 campus sites across 16 states, serving over 160,000 American Indians and Alaska Natives each year in place-based academic and community outreach programs. Nurtured by and in turn nurturing the land, languages, cultures, and the distinct peoples who created them, TCUs are among the most dynamic components of the American higher education system.

The first Tribal College, like all that followed, was established for two reasons: the near complete failure of the U.S. higher education system to address the needs of – or even include – American Indians; and the need to preserve our culture, our language, our lands, our sovereignty – our past and our future. The guiding vision of the Tribal College Movement is an education system founded on our ways of knowing, traditional knowledge, and spirituality.

In some of the most rural and impoverished areas of our country, Tribal Colleges take hope, ideas and a pitifully few dollars, and shape them into opportunity. Opportunity for a healthier life, a more stable and prosperous community, a revitalized language and culture, an engaged citizenry, and a safer and more secure environment. Already, Tribal Colleges are leading the nation in producing an American Indian workforce that includes Head Start teachers, elementary and secondary school teachers, agriculture and land management specialists, engineers, computer programmers, and nurses.

Each TCU is committed to improving the lives of its students through higher education and to moving American Indians and Alaska Natives (AI/AN) to self-sufficiency. To do this, TCUs serve many roles in their reservation communities, functioning as community centers, public libraries, tribal archives, career and business centers, computer labs, summer camps, community farms, economic development centers, high school equivalency training and testing centers, child and elder care centers, and more. They operate entrepreneurial and economic development centers. They run Head Start programs and wellness centers. They conduct regional and reservation-based research addressing local needs and priorities.

TCUs serve students from well over 250 federally recognized tribes, many of whom face significant financial challenges: 85 percent of our students, including Native and non-Native, receive federal financial aid – primarily Pell grants, and their average annual income for all students is about \$15,000 per year.

### THE ISSUES

The federal government, despite its direct trust responsibility and binding treaty obligations, has never fully funded TCU institutional operations as authorized under the Tribally Controlled Colleges and Universities Assistance Act of 1978. Yet despite funding challenges, TCUs are leading the nation in preparing AI/AN nurses and more recently, in preparing teachers for our Native schools. For example, in 2014, half of all AI/AN special education teachers in Montana graduated from Salish Kootenai College. TCUs train other professionals in high-demand fields, including agriculture and natural resources management, human services, and IT technicians. By teaching the job skills most in demand on our reservations, TCUs are

laying a solid foundation for tribal economic growth, with benefits for surrounding communities, and the nation as a whole.

Nonetheless, TCU leaders understand that is not enough, we must do more, we must move beyond simple workforce training. Today, TCUs are tackling the tougher – but much more significant – issue of job creation, because we know that to break the cycle of generational poverty and end the culture of dependency that grips so much of Indian Country, simply filling jobs that would be filled anyway is not enough. We must create new industries, new businesses, and a culture of self-sufficiency and innovation. Our job creation initiative initially focuses on advanced manufacturing, through a partnership with the U.S. Department of Energy, National Laboratories, TCUs, and industry.

Tribal Colleges continually seek to instill a sense of hope and identity within Native youth, who one day will lead our tribal nations. Unfortunately, the high school drop-out rate for Native students remains around 50 percent. To help address this alarming reality, TCUs are partnering with the Department of the Interior's Bureau of Indian Education to help create a lasting "college going culture" in American Indian middle and high schools. TCUs are reaching back to create a bridge for Indian students as early as the elementary school, encouraging them to abandon any notion of dropping out of high school and instead to think that the natural course is to finish high school and go on to the local TCU. In addition, TCUs offer dual credit courses for high school students, provide math teachers for local high schools as a strategy for improving course delivery, host Saturday academies, hold after school programs and summer camps for middle and high school students, and at the other end of the spectrum, offer GED/HiSet training and testing.

A recent independent, [economic impact study](#) proves this, illustrating that TCUs create lasting value from multiple perspectives: students, society, and taxpayers. TCUs elevate their students' lifetime incomes, and this in turn benefits society as a whole by increasing the region's economy and generating a wide array of savings through improved lifestyles. The increased employment benefits taxpayers through increased tax receipts and a reduction in the need for welfare and unemployment benefits. In fact, for every dollar spent the lifetime income of students more than quadruples; society gains over five times the investment in added income and social savings; and the taxpayers get back almost two and a half times the investment. In short, the TCUs are a very sound investment of federal funds—both fiscally and morally.

## **TCU PRIORITIES**

### **SUSTAINABILITY:**

#### **Full operations funding for *all* Tribal Colleges and Universities (TCUs)**

- An aggressive plan is needed for achieving and sustaining full funding of institutional operations by the close of the 115<sup>th</sup> Congress.

#### **Making SAFRA authorized grants permanent**

- The Administration must propose to make permanent the TCU Title III, part F grants that are currently slated to sunset in FY 2019. These supplemental funds to the TCU Title III-A grants have been instrumental in advancing the colleges capacity to serve their students and communities. Losing these critical funds will essentially cut the TCUs' Title III funding by 50 percent, which would deal the colleges a terrible blow to their already tight funding streams.

#### **Re-establish a Separate Executive Order on Tribal Colleges and Universities, with alternative management of the White House Initiative on Tribal Colleges and Universities Office**

- The first White House Initiative on Tribal Colleges and Universities was established in 1996, opening the door to new and expanded Federal opportunities for Tribal Colleges and Universities. However, in recent years the Initiative has faltered. To restore effectiveness, we look to the Administration to restore the separate Executive Order on Tribal Colleges and Universities, and to reduce duplication of effort, the functions of the Office of the White House Initiative on TCUs should be administered through contract with the national organization that was established by and for Tribal Colleges and Universities.

**Repeal the Designation & Funding of So-Called “Native American Serving Institutions-Non Tribal”**

- Congress must stop ignoring Tribal Sovereignty and repeal Higher Education Act Title III section 319 that authorizes the Native American Serving Institutions-Non Tribal program. TCUs have a special relationship with the Federal government that is based on their status as extensions of the federally recognized Indian Tribes that chartered them. These tribes have signed binding treaties with the Federal government that include certain responsibilities, including education, in exchange for millions of acres of land. The Tribally Controlled Colleges and Universities Assistance Act exists – and Federal resources are allocated to TCUs – because of these treaties and the Federal Trust responsibility. In short, this is solely a political, and not race-based, distinction. Funding of TCUs raises no affirmative action issues. This new program, however, does.

**STRENGTHENING COMMUNITIES:**

**Establish parity of funding for 1994 Land-Grant Institutions (TCUs) as members of the federal land-grant system.**

- Provide real funding equity the various land-grant programs
- Increase the capacity of the 1994 land-grant institutions to successfully compete for additional research grants that could be the key to addressing some of the most critical issues facing Tribal communities.
- Allow the 1994 land-grant institutions to compete for the over \$85.5M in Smith-Lever 3(d) administered grant funds that are currently available to every other land-grant institution.

**Honoring Tribal Sovereignty in Education Decisions.**

- Currently, the nation’s federally recognized tribes must follow the decision of states in determining what high school equivalency exam will be employed. With the recent changes to the GED test, some tribes whose reservations are located within the boundaries of states that sanction the GED test are interested in using the HiSET or other nationally accepted tests. As sovereign nations, tribes should have the right to decide which exam to employ irrespective of a state’s decision. AIHEC will seek to secure that right in the next Administration and the 115<sup>th</sup> Congress.

**STUDENT ENGAGEMENT:**

**Establish a TCU-specific Student Support Services program within the U.S. Department of Education to strengthen the capacity of TCUs to provide high quality, culturally integrated programs, address changing student demographics, and ensure the ongoing engagement of students, the programs should:**

- Coordinate within TCU-HEA Title III-A
- Address longstanding deficiencies in BIE Scholarship funding
- Include a comprehensive technical assistance program through AIHEC on key issues, such as student assessment, accreditation, retention, and remediation; leadership development; best practices; and information sharing aimed at developing “Model Institutions of Excellence.”

**Native Language and Culture: Establish and fund a \$30 million authority within HEA Title III, section 316 of the Higher Education Act, to support and expand innovative Native language and culture revitalization and restoration programs at TCUs, including partnerships with pre-K through 12 schools, informal education, international partnerships, and research.**

- TCUs are at the forefront of Native language restoration and revitalization. Indeed, it is the core mission of all TCUs, and to date, no single group has done more to protect and restore Native language use than our colleges.
- TCUs currently operate complex and innovative language restoration programs on shoestring budgets, including K-5 language immersion schools on campus, online education programming, and elder/child after school programs, to name only a few examples.

### **TCU FACTS & FIGURES**

- **Breaking the cycle of generational poverty:** Tribal Colleges and Universities provide access to higher education for American Indians/Alaska Natives and others living in some of the nation's most isolated and economically depressed areas. In fact, the median household income of a TCU student is \$17,641, nearly 30 percent below the national poverty line (\$24,300), and nearly 70 percent below the median household income nationwide (\$53,482).
- **Growing number of TCUs:** Since 1981, when TCUs first received federal operating funding, the number of tribal colleges has more than quadrupled and continues to grow; and the number of Indian students enrolled has risen over 300 percent. During the Obama Administrations, two more TCUs became eligible for funding under Title I of the Tribal College Act, and one or two colleges are expected to be added to the list as of FY 2018. Today, several tribes in California, Alaska, New York, New Mexico, Arizona, and Oklahoma are expressing an interest in potentially establishing their own tribal college. While AIHEC celebrates the growing number of tribally chartered colleges and the increasing numbers of Native students served, these successes translate to *decreased* funding for all TCUs unless our operating accounts are increased proportionally.
- **Local Tax and Revenue Bases:** TCUs cannot rely on a local tax base for revenue. Although tribes have the sovereign authority to tax, high reservation poverty rates, the trust status of reservation lands, and the lack of strong reservation economies hinder the creation of a reservation tax base. As noted earlier, on Indian reservations that are home to TCUs, the unemployment rate can exceed 70 percent. By contrast, the national unemployment rate is currently 4.9 percent.
- **Gaming and the TCUs:** Although several of the reservations served by TCUs have gaming operations, the vast majority are not mega-casinos located in urban areas and featured in the news media. Only a few TCUs receive regular income from their tribe's gaming operations, and the amounts received vary from year to year. Most reservation casinos are small businesses that use their gaming revenue to improve the local standard of living and potentially diversify into other, more sustainable areas of economic development. In the interim, where relevant, local TCUs offer courses in casino management and hospitality services to formally train tribal members to work in their local tribally run casinos.

Some form of gaming is legalized in 48 states, but the federal government has not used the revenues generated from state gaming as a justification to decrease federal funding to other public colleges or universities. Some have suggested that those tribes that operate the few extremely successful and widely publicized casinos should be financing higher education for all American Indians. And yet, no state is expected to share its gaming revenue with a less successful or non-gaming state.



# NATIONAL CONGRESS OF AMERICAN INDIANS

## The National Congress of American Indians Resolution #SPO-16-001

### TITLE: A Resolution to Support Indian Tribes to Establish High School Equivalency Testing of Their Choice

#### EXECUTIVE COMMITTEE

PRESIDENT  
**Brian Cladoosby**  
*Swinomish Tribe*

FIRST VICE-PRESIDENT  
**Fawn Sharp**  
*Quinault Indian Nation*

RECORDING SECRETARY  
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Indians of Michigan*

TREASURER  
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*Jamestown S'Kallam Tribe*

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SOUTHWEST  
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*Ohkay Owingeh Pueblo*

WESTERN  
**Bruce Ignacio**  
*Ute Indian Tribe*

EXECUTIVE DIRECTOR  
**Jacqueline Pata**  
*Tlingit*

**NCAI HEADQUARTERS**  
1516 P Street, N.W.  
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202.466.7767  
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www.ncai.org

**WHEREAS**, we, the members of the National Congress of American Indians of the United States, invoking the divine blessing of the Creator upon our efforts and purposes, in order to preserve for ourselves and our descendants the inherent sovereign rights of our Indian nations, rights secured under Indian treaties and agreements with the United States, and all other rights and benefits to which we are entitled under the laws and Constitution of the United States, to enlighten the public toward a better understanding of the Indian people, to preserve Indian cultural values, and otherwise promote the health, safety and welfare of the Indian people, do hereby establish and submit the following resolution; and

**WHEREAS**, the National Congress of American Indians (NCAI) was established in 1944 and is the oldest and largest national organization of American Indian and Alaska Native tribal governments; and

**WHEREAS**, the American Council on Education established a new General Educational Development (GED) test in 2014, and the impetus for the new test was to assist in developing more scientists that would come from GED graduates; and

**WHEREAS**, after developing the new test, the American Council on Education sold the trademark to the Pearson Testing Service to provide the testing service for the ACE developed GED exam and the new GED exam is now called GED Pearson; and

**WHEREAS**, there has been widespread dissatisfaction with the new GED Pearson Test (See Attachment A-B) and 25 states have gone to other high school equivalence tests due to the increased difficulty to pass the GED Pearson Test (See Attachment C-D); and

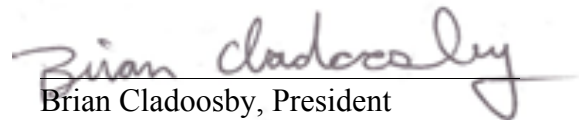
**WHEREAS**, the new GED Pearson test has resulted in a significant decrease in GED graduates among the Oglala Sioux on the Pine Ridge Reservation (See Attachment E), and similar results have occurred on the Rosebud Sioux and the Sisseton-Wahpeton reservations in South Dakota and on the Three Affiliated Tribes, Spirit Lake Tribe, and Turtle Mountain Band of Chippewa Indians reservations in North Dakota; and

**WHEREAS**, three of the four North Dakota tribal colleges which currently administer the GED Pearson are strongly supportive of alternative high school equivalency examinations such as the High School Equivalency Test (HSET) administered by the nonprofit organization, Educational Testing Service (ETS); and

**NOW THEREFORE, BE IT BE RESOLVED**, that the National Congress of American Indians urges Congress and the Administration to recognize tribes' sovereign authority to establish and administer valid, reliable, and fair high school equivalency examinations of their choice.

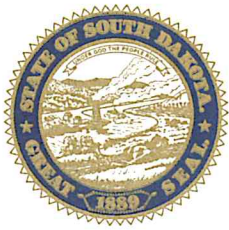
**CERTIFICATION**

The foregoing resolution was adopted by the General Assembly at the 2016 Midyear Session of the National Congress of American Indians, held at the Spokane Convention Center, June 27 to June 30, 2016, with a quorum present.

  
Brian Cladoosby, President

**ATTEST:**

  
Aaron Payment, Recording Secretary



STATE OF SOUTH DAKOTA  
DENNIS DAUGAARD, GOVERNOR

July 6, 2016

Tracey Zephier  
Fredericks, Peebles, & Morgan LLP  
520 Kansas City Street, Suite 101  
Rapid City, SD 57701

Dear Tracey,

Thank you for your email requesting a meeting with Governor Daugaard about the implementation of House Bill 1146.

Before we consider your request, I would ask you to review the enclosed letter, which Governor Daugaard sent to Oglala Sioux Tribe President Yellow Bird Steele.

Thank you for your request. I wish you the best.

Sincerely,

Doreen Kayser

DD:ke

Enclosure





STATE OF SOUTH DAKOTA  
DENNIS DAUGAARD, GOVERNOR

July 6, 2016

President John Yellow Bird Steele  
Oglala Sioux Tribe  
PO Box 2070  
Pine Ridge, SD 57770-2070

Dear President Yellow Bird Steele,

As a result of the passage of House Bill 1146, the Department of Education (DOE) and the Department of Labor and Regulation (DLR) have reviewed the three high school equivalency assessments currently available on the market.

This comprehensive review of the GED, HiSET, and TASC took into consideration multiple factors including alignment with South Dakota high school expectations, the cost of assessments, and available formats. The result of this review is the recommendation both the GED and TASC be offered as a measurement of high school equivalency.

The TASC was added because of its reasonable cost and strong alignment to South Dakota's high school standards in the core content areas of English Language Arts, Math, Social Sciences, and Science.

The HiSET assessment is not recommended due to its lack of alignment to South Dakota high school standards; much of the assessment is aligned only to 8<sup>th</sup> grade or lower standards.

The DLR will enter into an agreement with TASC by September 1, 2016. Once this agreement is in place, more information will be shared regarding implementation guidelines. This agreement will allow a testing site to offer this alternative once DLR approves the site, as meeting the testing requirements set by TASC. Although House Bill 1146 authorizes the Governor to enter into agreements with tribes to offer alternative tests, this will not be necessary as the state is entering into a statewide agreement with TASC.

The DOE and DLR will establish an on-going review process of the high school equivalency assessments on the market.

As a reminder, the National Career Readiness Certificate (NCRC) should be carefully considered as a better indicator of individuals' preparation for entering the workforce. For example, a company looking to hire a residential and commercial construction worker would likely be able to better identify a candidate's math skills as required in construction by the NCRC, than by a high school equivalency assessment.

Sincerely,

Dennis Daugaard

## AIHEC CODE OF CONDUCT

The values of Integrity, Loyalty, Equality, Respect, Honor, and Trust form the foundation and framework of this Code of Conduct and reflected throughout. The goal of the AIHEC Code of Conduct is to assist Members of AIHEC in exercising these values at all times when interacting with one another, with Indigenous people throughout the world, and in our daily professional lives.

The American Indian Higher Education Consortium (AIHEC) Board of Directors adopted this Code of Conduct on March 23, 2007 for the AIHEC board members, representatives, and staff (hereafter referred as AIHEC members, representatives, and staff). This Code expresses the ethical principles and guidelines for the conduct of all members, staff<sup>1</sup>, contractors, and sanctioned organizations of AIHEC, when serving as a representative of AIHEC or participating in AIHEC sponsored events. It also informs the public of the standards of ethical conduct for which the members of AIHEC are responsible.

AIHEC members, representatives and staff have a responsibility become familiar with this Code of Conduct to understand its application with regard to their own conduct, and to adhere to its principles.

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<sup>1</sup> Nothing in this Code of Conduct shall supersede any policy, rule, or practice stated in the AIHEC Employee Manual.

## PRINCIPLES OF THE AIHEC CODE OF CONDUCT

The five principles of the AIHEC Code of Conduct include Integrity, Loyalty, Equality and Respect, Honor and Trust, and Confidentiality.

### I. INTEGRITY:

- a. AIHEC members, representatives, and staff will act with integrity in their relationships; cooperate and treat others with respect, honesty, and fairness; and recognize and accept the rights of others to hold values and beliefs that differ from their own.
- b. AIHEC members, representatives, and staff will maintain the AIHEC Code of Conduct when engaged in AIHEC related activities and when representing AIHEC in any capacity.
- c. AIHEC members, representatives, and staff will avoid creating the impression that they are speaking or acting on behalf of AIHEC when acting or speaking as an individual.
- d. ***(Revised paragraph):***  
AIHEC members, representatives, and staff will not use their position with the organization for private gain, for the endorsement of any product **with the intent of private gain**, or for the private gain of any friends or family members, ~~or other persons with whom they are affiliated.~~ AIHEC members, representatives and staff will not endorse a particular political candidate or political party on behalf of AIHEC.

### II. LOYALTY:

- a. AIHEC members, representatives, and staff will be loyal to AIHEC and its mission.
- b. AIHEC members, representatives, and staff will use the AIHEC Code of Conduct as a guideline in conducting their business.

### III. EQUALITY AND RESPECT:

- a. AIHEC members, representatives, and staff will respect all cultures and will conduct themselves respectfully when handling

sensitive cultural information being shared by others.

- b. AIHEC members, representatives, and staff will treat each other with professionalism, courtesy, and respect; will speak professionally, respectfully, and courteously when interacting with one another; and will support and protect diversity of opinion.
- c. AIHEC members, representatives, and staff will conduct themselves with full decorum, employing self discipline and politesse during all meetings of AIHEC. Members will abide by AIHEC bylaws and its Code of Conduct, thereby exhibiting due respect for the rules of AIHEC, its members, representatives, and staff.
- d. AIHEC members, representatives, and staff will not improperly influence other board members and will preclude intimidation, exclusion, harassment, favoritism, and discrimination.

#### **IV. HONOR AND TRUST:**

- a. AIHEC members, representatives, and staff will accurately represent their qualifications, educational background, experience, and professional credentials.
- b. AIHEC members, representatives, and staff will not allow their private opinions and interests, personal, financial or of any other sort, to conflict or appear to conflict with their professional duties and responsibilities as members, representatives and staff of AIHEC. They will avoid any conduct that could lead a reasonable person to conclude that the individual might be biased or motivated by personal gain or private opinions or interests in the performance of duties involving AIHEC. They will disclose all known or potential conflicts of interest in accordance with AIHEC policy.
- c. AIHEC members, representatives, and staff will not take credit for others' ideas or work, even in cases where the work has not been explicitly protected by copyright or patent.

#### **V. CONFIDENTIALITY:**

- a. AIHEC members, representatives, and staff will respect the privacy and private information of others.
- b. AIHEC members, representatives, and staff will not disclose to an unauthorized individual or organization, without the express consent of the Board of Directors, any confidential, privileged, or nonpublic information entrusted to them.



**DRAFT RESOLUTION OF THE BOARD OF DIRECTORS  
OF THE  
AMERICAN INDIAN HIGHER EDUCATION CONSORTIUM**

**SUMMER 2016 MEETING  
DENVER, COLORADO  
JULY 14, 2016**

**RESOLUTION REGARDING:  
PARTICIPATION IN THE NATIVE AMERICAN AGRICULTURAL FAST TRACK FUND (NAAFTF)**

*Whereas*, the nation's 35 accredited tribally and federally chartered colleges and universities, along with two developing (non-accredited) tribally chartered colleges (Tribal Colleges and Universities) are collectively the American Indian Higher Education Consortium (AIHEC);

*Whereas*, the presidents of the 35 accredited Tribal Colleges and Universities compose AIHEC's board of directors, which was incorporated as a non-profit organization in the State of Colorado in 1973;

*Whereas*, together, the 37 Tribal Colleges and Universities operate more than 75 campuses in the 16 states within whose geographic boundaries the majority of American Indian reservations and federal Indian trust land lie;

*Whereas*, Tribal Colleges and Universities prepare, train, and educate more than 160,000 American Indians and Alaska Natives in academic and community-based programs each year, including thousands of Native farmers, ranchers, fishers, and others – many of whom are students -- in agricultural related fields and academic or career/technical programs, and collectively these individuals represent well more than 250 federally recognized Indian tribal nations;

*Whereas*, Tribal Colleges and Universities and AIHEC fulfill a fundamental role in maintaining, preserving and revitalizing irreplaceable American Indian and Alaska Native languages and cultures and provide accredited postsecondary education and career/technical education, including agriculture education; as well as a wide variety of community-based economic and workforce development programs, community-based support programs, and collaborative partnerships with tribes, K-12 systems and schools, federal agencies, including USDA; and operate important sustainability, agriculture and land programs and services, and traditional foods revitalization/food sovereignty programs, all on extremely limited budgets;

*Whereas*, The Educational Equity in Land-grant Status Act of 1994 designates Tribal Colleges and Universities as 1994 Land-grant institutions, and as such the 34 1994 Land-grant institutions offer agricultural education, research, outreach, and extensions programs specifically designed to

address the agriculture needs and opportunities of the tribal communities and lands they serve and prepare future Native agriculture leaders through agriculture education, research, and internship programs;

*Whereas*, AIHEC, working with tribal farmers, ranchers, and fishers – both individually and through other Native agricultural-related organizations -- was instrumental through its advocacy efforts in drafting and securing enactment of the Educational Equity in Land-grant Status Act of 1994;

*Whereas*, from approximately 1992 (leading to enactment of the Educational Equity in Land-grant Status Act) to the present, AIHEC has worked with the U.S. Department of Agriculture, 1862 and 1890 Land-grant institutions, federally recognized Indian Tribes, and Native farmers, ranchers, and fishers in our Tribal communities to help ensure that TCUs have access to more of the funding and human resources necessary to fulfill their Land-grant mission and serve the agricultural research, education and training needs of their communities, and further, to ensure that our tribes and community members (e.g. farmers, ranchers, and fishers) have access to the skills, tools, and other resources – including resources available through the USDA – that they need to successfully manage their lands, natural resources, and agriculture potential, including through the development of community gardens, awareness campaigns, food sovereignty and agri-business initiatives (including aqua-culture awareness and other initiatives) and the development and implementation of grants for direct outreach and workshops for farmers and ranchers from USDA through the 1994 extension program and under section 2501 of the Food, Agriculture, Conservation and Trade Act of 1990;

*Whereas*, from September 2000 to September 2005, AIHEC employed a full-time staff member whose responsibilities were to work closely with Native farmers, ranchers, fishers; TCU faculty, staff, and administrators; and the USDA to build the capacity of each of these three groups to together to strengthen farming, ranching, fishing, forestry management, and other natural resources management and use on tribal lands and by tribal peoples and to assist in developing 1994 agriculture education, research, and extension programs to serve Native farmers and ranchers.

*Whereas* in 2007-2008, AIHEC worked with USDA, Tribal College staff, Native farmers and ranchers, and aspiring Native farmers and ranchers to develop the 1994 Scholars program, a multi-year comprehensive scholarship-to-work initiative of the USDA 1994 Land-grant Program and AIHEC to provide the financial resources, support mechanisms, and summer employment opportunities needed for American Indian/Alaska Native young people to pursue higher education degrees in agriculture-related fields of study, and AIHEC has continued to expand on this work through advertising and outreach to potential Native agriculture students and assisting in the application and implementation processes;

*Whereas*, the Native American Agricultural Fast Track Fund (NAAFTF), was established as a one-time distribution of Keepseagle v. Vilsack Settlement funds in the amount of \$38 million to provide assistance to Native American farming or ranching activities;

*Now therefore be it resolved*, that AIHEC will submit a funding request to the NAAFTF to support the provision of education, training, and technical assistance services to Native farmers,

ranchers, and fishers in Tribal communities, both on and near Tribal lands and waterways, served by TCUs; and

*Be it further resolved*, that should AIHEC receive a NAAFTF award, such award will be used solely for purposes of (a) providing assistance designed to further Native American farming or ranching activities, (b) as set forth in AIHEC's application for funds and (c) encompassed within Section 170(c)(2)(B) of the Internal Revenue Code; and further, should said award include the establishment of an endowment, income generated from said endowment will be used in perpetuity for purposes meeting these same three criteria; and

*Be it further resolved*, that should AIHEC receive a NAAFTF award, the funds will be used as additional funds for the purposes stated in AIHEC's application and that no existing funds will be diverted away from that program if the applied for funds are received; and

*Be it finally resolved*, that the NAAFTF Advisory Committee is respectfully requested to accept and consider AIHEC's application for funding of the above-mentioned proposal.

Executed and certified that the foregoing is a binding Resolution of the American Indian Higher Education Consortium, by the undersigned, being the Secretary of the Corporation.

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Robert Martin, Secretary  
American Indian Higher Education Consortium

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Date

## ✓ Dear Colleague

The **2016 Presidential Election** promises to be one of the more memorable elections in our nation's history. Voters' decisions on **Election Day 2016** will shape important decisions over the balance of this decade and may have implications over the next quarter of a century.

**Encouraging, informing and facilitating** widespread participation in the electoral process has long been one of higher education's most basic responsibilities, and is the goal of the National Campus Voter Registration Project's **Your Vote, Your Voice 2016** campaign, supported by the Washington Higher Education Secretariat (WHES).

**To support and enhance** civic engagement and political participation among college students, WHES launched the voter registration project in 1996, and has been active in every federal election since. These efforts gained heightened importance in 1998 when Congress mandated that colleges and universities make a **good-faith effort** to distribute voter registration forms to all students attending class on campus.

A recent report from Tufts University's National Study of Learning, Voting and Engagement revealed only **66 percent of the nation's 7.4 million college students voted in 2012**. Even more revealing, only 40 percent of those eligible to vote for the first time cast a ballot. Clearly, we have work to do to ensure our students are registered to vote and cast a ballot in November.

**Not just students, but every member of the campus community can play a role in voter registration,** education and participation. We suggest presidents work with registrars, student affairs offices, student leaders, and employee groups in **developing creative ways** to foster education, encourage nonpartisan voter registration, and build a community-wide commitment to vote on Election Day 2016.

**As Election Day nears,** we urge you and your campus to become active participants in the nation's electoral process. Visit **YourVoteYourVoice.org** for additional tools and resources, including a campaign handbook and links to state voter registration initiatives to help your campus get started.

### Co-chairs

**David L. Warren**  
**President**  
National Association of  
Independent Colleges  
and Universities

**Muriel A. Howard**  
**President**  
American Association of  
State Colleges  
and Universities

**Richard H. Ekman**  
**President**  
Council of  
Independent Colleges

National Campus Voter Registration Project  
1025 Connecticut Ave., N.W., Suite 700  
Washington, DC 20036

✓ REGISTER TO VOTE

## Supporting Associations

The National Campus Voter Registration Project and **Your Vote, Your Voice** are endorsed by the Washington Higher Education Secretariat – 49 associations representing all segments of the higher education community:

ACT, Inc.	Council for Christian Colleges and Universities
American Association of Colleges for Teacher Education	Council for Higher Education Accreditation
American Association of Colleges of Nursing	Council for Opportunity in Education
American Association of Collegiate Registrars and Admissions Officers	Council of Graduate Schools
American Association of Community Colleges	Council of Independent Colleges
American Association of State Colleges and Universities	Council on Governmental Relations
American Association of University Professors	EDUCAUSE
American College Personnel Association	ETS
American Council on Education	Hispanic Association of Colleges and Universities
American Dental Education Association	NAFSA: Association of International Educators
American Indian Higher Education Consortium	NASPA: Student Affairs Administrators in Higher Education
Association of Academic Health Centers	National Association for College Admissions Counseling
Association of American Colleges and Universities	National Association for Equal Opportunity in Higher Education
Association of American Law Schools	National Association of College and University Attorneys
Association of American Medical Colleges	National Association of College and University Business Officers
Association of American Universities	National Association of Independent Colleges and Universities
Association of Catholic Colleges and Universities	National Association of Student Financial Aid Administrators
Association of Community College Trustees	National Association of System Heads
Association of Governing Boards of Universities and Colleges	National Collegiate Athletic Association
Association of Higher Education Facilities Officers	National Council of University Research Administrators
Association of Jesuit Colleges and Universities	Thurgood Marshall College Fund
Association of Public and Land-grant Universities	UNCF
Association of Research Libraries	University Professional and Continuing Education
College and University Professional Association for Human Resources	
The College Board	
Council for Advancement and Support of Education	

Prepared for Council Billy 7/26/2016 4:54:24 PM

Time to Get Organized

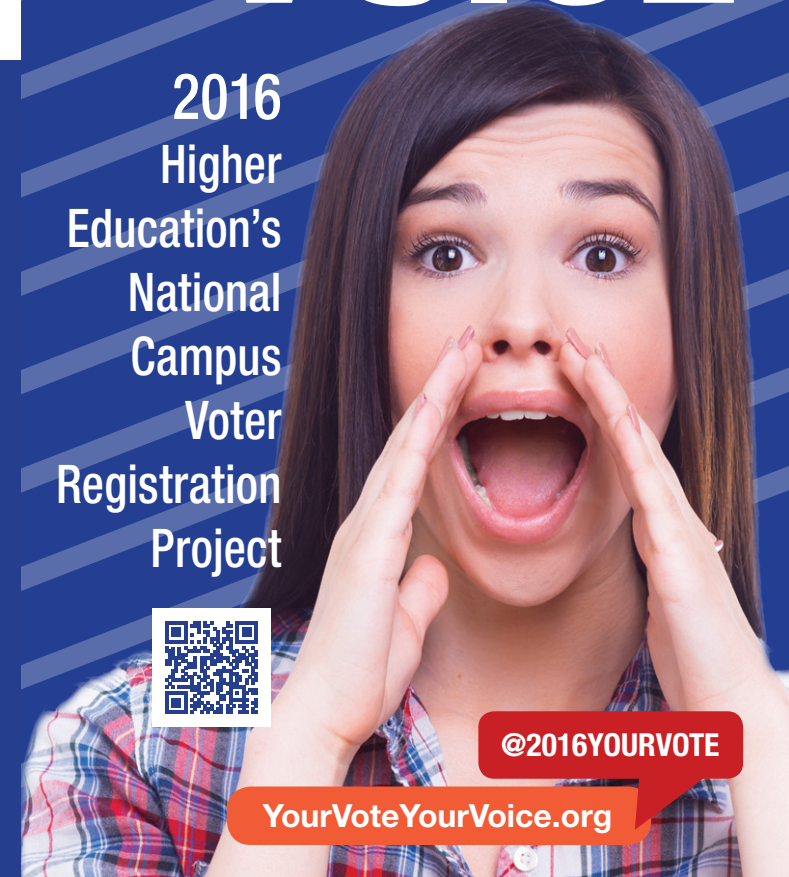
# YOUR VOTE YOUR VOICE

2016  
Higher  
Education's  
National  
Campus  
Voter  
Registration  
Project

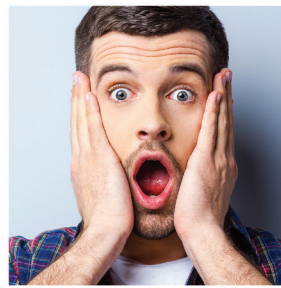


@2016YOURVOTE

YourVoteYourVoice.org







## Colleges, Voter Registration, and the Law

Established in 1996, the **Your Vote, Your Voice** campaign encourages and supports campus efforts to ensure students, faculty and staff are registered to vote and cast a ballot in national and statewide elections. In 1998, Congress required colleges and universities to distribute paper copies of in-state voter registration forms to students prior to their home state's voter registration deadline. This requirement applied to all federal and gubernatorial elections, as well as to special elections for such offices.

During the 2008 reauthorization of the Higher Education Act, Congress permitted the use of email messages with links to state registration forms, as long as the messages were exclusively devoted to voter registration:

*The institution shall be considered in compliance with the requirements ... for each student to whom the institution electronically transmits a message containing a voter registration form acceptable for use in the State in which the institution is located, or an Internet address where such a form can be downloaded, if such information is in an electronic message devoted exclusively to voter registration.*

—Higher Education Act of 2008, Title IV, Section 48 (a) (23)

(See the complete legislation at [YourVoteYourVoice.org](http://YourVoteYourVoice.org))

**Your Vote, Your Voice 2016** offers colleges a variety of resources to conduct a campus voter registration and participation campaign that informs your community and satisfies the HEA requirements. This brochure is your invitation to visit and explore the resources available at: [YourVoteYourVoice.org](http://YourVoteYourVoice.org).

The campaign is endorsed by the 49 members of the **Washington Higher Education Secretariat** and works in conjunction with other national organizations that promote voter education and participation. The time to get organized is now, the registration deadlines in

October are fast approaching

## State Election Registration Deadlines

Dates reflect information available in April 2016. Campuses should check with the appropriate state election officials to confirm dates and procedures. A complete list with state telephone contact and website information is available on [YourVoteYourVoice.org](http://YourVoteYourVoice.org)

### October 7, 2016

Arkansas  
Louisiana  
Mississippi

### October 8, 2016

Nevada

### October 9, 2016

Alaska  
Rhode Island

### October 10, 2016

Arizona  
Hawaii  
Ohio  
Washington

### October 11, 2016

District of Columbia  
Florida  
Georgia  
Illinois  
Indiana  
Kentucky  
Michigan  
Minnesota  
Montana  
New Mexico  
Pennsylvania  
Tennessee  
Texas  
Utah

### October 12, 2016

Missouri

### October 14, 2016

Idaho  
New York  
North Carolina  
Oklahoma

### October 15, 2016

Delaware

### October 17, 2016

Colorado  
Maine  
Massachusetts  
Virginia

### October 18, 2016

Kansas  
Maryland  
New Jersey  
Oregon  
West Virginia

### October 19, 2016

Wisconsin

### October 21, 2016

Nebraska

### October 24, 2016

Alabama  
California  
South Dakota

### October 25, 2014

Wyoming

### October 29, 2016

Iowa  
New Hampshire

### October 31, 2016

Connecticut

### November 2, 2016

Vermont

### Other

North Dakota – No  
Registration Required

## Campaign Resources

To get your efforts underway, visit [YourVoteYourVoice.org](http://YourVoteYourVoice.org) to find critical information and resources, including:

- ★ [The 2016 Project Organization Handbook](#) with detailed information on conducting voter registration and education activities.
- ★ Access to all of the [state election offices](#) for the most current and detailed information on voter registration deadlines and requirements.
- ★ Link to the [U.S. Vote Foundation's Voter Registration](#) web portal to register students and request absentee ballots.
- ★ A [wide range of resources](#) and other organizations involved with elections and voting.

## Selected Online Resources

The following organizations offer resources on elections, politics, and voter registration and education. A more extensive list can be found at [YourVoteYourVoice.org](http://YourVoteYourVoice.org)

**U.S. Vote Foundation**  
[usvotefoundation.org/vote/voter-registration-absentee-voting.htm](http://usvotefoundation.org/vote/voter-registration-absentee-voting.htm)

**League of Women Voters**  
[lww.org](http://lww.org)

**American Democracy Project**  
[aascu.org/programs/adp](http://aascu.org/programs/adp)

**Project Vote Smart**  
[votesmart.org](http://votesmart.org)

**CaniVote.org**  
[canivote.org](http://canivote.org)

**Turbo Vote**  
[turbovote.org](http://turbovote.org)

**Center for Information and Research on Civic Learning and Engagement (CIRCLE)**  
[civicyouth.org](http://civicyouth.org)

If we can be of further assistance, please contact us by email at [vote@naicu.edu](mailto:vote@naicu.edu)

Watch for campaign updates on Twitter: [@2016YourVote](https://twitter.com/2016YourVote)

@2016YOURVOTE

[YourVoteYourVoice.org](http://YourVoteYourVoice.org)

## **Fact Sheet: Final Rule to Update the Regulations Defining and Delimiting the Exemption for Executive, Administrative, and Professional Employees**

In 2014, President Obama directed the Department of Labor to update and modernize the regulations governing the exemption of executive, administrative, and professional (“EAP”) employees from the minimum wage and overtime pay protections of the Fair Labor Standards Act (“FLSA” or “Act”). The Department published a notice of proposed rulemaking on July 6, 2015, and received more than 270,000 comments. On May 18, 2016, the Department announced that it will publish a Final Rule to update the regulations. The full text of the Final Rule will be available at the Federal Register Site.

Although the FLSA ensures minimum wage and overtime pay protections for most employees covered by the Act, some workers, including bona fide EAP employees, are exempt from those protections. Since 1940, the Department’s regulations have generally required each of three tests to be met for the FLSA’s EAP exemption to apply: (1) the employee must be paid a predetermined and fixed salary that is not subject to reduction because of variations in the quality or quantity of work performed (“salary basis test”); (2) the amount of salary paid must meet a minimum specified amount (“salary level test”); and (3) the employee’s job duties must primarily involve executive, administrative, or professional duties as defined by the regulations (“duties test”). The Department last updated these regulations in 2004, when it set the weekly salary level at \$455 (\$23,660 annually) and made other changes to the regulations, including collapsing the short and long duties tests into a single standard duties test and introducing a new exemption for highly compensated employees.

This Final Rule updates the salary level required for exemption to ensure that the FLSA’s intended overtime protections are fully implemented, and to simplify the identification of overtime-protected employees, thus making the EAP exemption easier for employers and workers to understand and apply. Without intervening action by their employers, it extends the right to overtime pay to an estimated 4.2 million workers who are currently exempt. It also strengthens existing overtime protections for 5.7 million additional white collar salaried workers and 3.2 million salaried blue collar workers whose entitlement to overtime pay will no longer rely on the application of the duties test.

### **\* Key Provisions of the Final Rule \***

The Final Rule focuses primarily on updating the salary and compensation levels needed for EAP workers to be exempt. Specifically, the Final Rule:

1. Sets the standard salary level at the 40th percentile of earnings of full-time salaried workers in the lowest-wage Census Region, currently the South, which is \$913 per week or \$47,476 annually for a full-year worker;
2. Sets the total annual compensation requirement for highly compensated employees (HCE) subject to a minimal duties test to the annual equivalent of the 90th percentile of full-time salaried workers nationally, which is \$134,004; and

3. Establishes a mechanism for automatically updating the salary and compensation levels every three years to maintain the levels at the above percentiles and to ensure that they continue to provide useful and effective tests for exemption.

Additionally, the Final Rule amends the salary basis test to allow employers to use nondiscretionary bonuses and incentive payments (including commissions) to satisfy up to 10 percent of the new standard salary level. The Final Rule makes no changes to the duties tests.

### **Effective Date**

The effective date of the Final Rule is December 1, 2016. The initial increases to the standard salary level (from \$455 to \$913 per week) and HCE total annual compensation requirement (from \$100,000 to \$134,004 per year) will be effective on that date. Future automatic updates to those thresholds will occur every three years, beginning on January 1, 2020.

### **Standard Salary Level**

The Final Rule sets the standard salary level at the 40th percentile of weekly earnings of full-time salaried workers in the lowest-wage Census Region, currently the South (\$913 per week, equivalent to \$47,476 per year for a full-year worker).

The standard salary level set in this Final Rule addresses our conclusion that the salary level set in 2004 was too low given the Department's elimination of the more rigorous long duties test. For many decades the long duties test—which limited the amount of time an exempt employee could spend on nonexempt duties and was paired with a lower salary level—existed in tandem with a short duties test—which did not contain a specific limit on the amount of nonexempt work and was paired with a salary level that was approximately 130 to 180 percent of the long test salary level. In 2004, the long and short duties tests were eliminated and the new standard duties test was created based on the short duties test and was paired with a salary test based on the long test.

The effect of the 2004 Final Rule's pairing of a standard duties test based on the short duties test (for higher paid employees) with a salary test based on the long test (for lower paid employees) was to exempt from overtime many lower paid workers who performed few EAP duties and whose work was otherwise indistinguishable from their overtime-eligible colleagues. This has resulted in the inappropriate classification of employees as EAP exempt who pass the standard duties test but would have failed the long duties test.

The Final Rule's salary level represents the most appropriate line of demarcation between overtime-protected employees and employees who may be EAP exempt and works appropriately with the current duties test, which does not limit non-EAP work.

The Department also is updating the special salary level for employees in American Samoa (to \$767 per week) and the special "base rate" for employees in the motion picture industry (to \$1,397 per week).

### **HCE Total Annual Compensation Requirement**

The Final Rule sets the HCE total annual compensation level equal to the 90th percentile of earnings of full-time salaried workers nationally (\$134,004 annually). To be exempt as an HCE, an employee must also receive at least the new standard salary amount of \$913 per week on a salary or fee basis and pass a minimal duties test. The HCE annual compensation level set in this Final Rule brings this threshold more in line with the level established in 2004 and will avoid the unintended exemption of large numbers of employees in high-wage areas who are clearly not performing EAP duties.



## Overtime Final Rule and Higher Education

**Higher Education Sector:** Higher education is a complex and important sector in our economy and civil society. It includes a large variety of institutions: public and private schools; community colleges, four-year colleges, and large research institutions; and small campuses of only a few hundred students and faculty and large campuses of thousands of people.

**Overtime Final Rule:** The Department of Labor's final overtime rule updates the salary level required for the executive, administrative, and professional ("white collar") exemption to ensure that the Fair Labor Standards Act's (FLSA) intended overtime protections are fully implemented, and it provides greater clarity for workers and employers, including for higher education institutions. The final rule will also lead to better work-life balance for many workers, and it can benefit employers by increasing productivity and reducing turnover.

The final rule updates the salary threshold under which most white collar workers are entitled to overtime compensation to equal the 40th percentile of weekly earnings of full-time salaried workers in the lowest wage Census region, currently the South. The final rule will raise the salary threshold from \$455 a week (\$23,660 for a full-year worker) to \$913 a week (\$47,476 for a full-year worker) effective December 1, 2016.

**FLSA Includes Several Provisions that Limit Its Impact for Higher Ed:** Although employees at higher education institutions are generally covered by the FLSA's minimum wage and overtime provisions, several provisions apply to many personnel at these institutions that make them ineligible for overtime and unaffected by this rule, regardless of whether they earn above the new salary threshold or not:

- *Bona fide teachers:* Teachers are not subject to the salary level requirement for the white collar exemption. Teachers are exempt if their primary duty is teaching, tutoring, instructing, or lecturing. Teachers include professors, adjunct instructors, and teachers

- of skilled and semi-skilled trades and occupations.
- *Coaches:* Athletic coaches and assistant coaches may fall under the exemption if their primary duty is teaching, which may include instructing athletes in how to perform their sport. If, however, their duties primarily include recruiting athletes or doing manual labor, they are not considered teachers. A coach could primarily be responsible for instructing athletes but also spend some time recruiting or doing manual labor and still be considered ineligible for overtime.
- *Graduate and undergraduate students:* Generally, the Department views graduate and undergraduate students who are engaged in research under a faculty member's supervision in the course of obtaining a degree to be in an educational relationship and not an employment relationship with the school or with a grantor. As such, the Department will not assert such workers are entitled to overtime. Graduate students whose primary duty is teaching or serving as a teaching assistant fall under the FLSA's teaching exemption. Students who are participants in a bona fide educational program and who serve as resident advisors in exchange for reduced room and board charges or tuition credit similarly are not considered to be in an employment relationship with the institution.
- *Academic administrative personnel:* The administrative personnel that help run higher education institutions and interact with students outside the classroom, such as department heads, academic counselors and advisors, intervention specialists and others with similar responsibilities are subject to a special salary threshold that does not apply to white-collar employees outside of higher education. These employees are not entitled to overtime compensation if they are paid at least as much as the entrance salary for teachers at their institution.

**Public Higher Education Institutions May Utilize Provisions for State and Local Employees:** Employees of public higher education institutions may also be public sector employees for whom specific provisions

in the FLSA will further limit the impact of the final rule. Specifically, public institutions may be able to use compensatory (“comp”) time as an option to satisfy their obligation to provide overtime compensation.

**Comp time:** Pursuant to an agreement with employees or their representatives, state or local government agencies, including higher education institutions whose employees are treated as state employees under state law, may provide their employees with comp time instead of cash payment for overtime hours. Any comp time arrangement must be established pursuant to the applicable provisions of a collective bargaining agreement, memorandum of understanding, any other agreement between the public agency and representatives of overtime-protected employees, or an agreement or understanding arrived at between the employer and employee before the performance of the work. This agreement may be evidenced by a notice to the employee that comp time will be given in lieu of overtime pay (for example, providing the employee a copy of the personnel regulations). The comp time must be provided at a rate of one-and-one-half hours for each overtime hour worked, instead of cash overtime pay. For example, for most state government employees, if they work 44 hours in one workweek (4 hours of overtime), they would be entitled to 6 hours (1.5 times 4) of comp time. When used, the comp time is paid at the regular rate of pay.

Most state and local government employees may accrue up to 240 hours of comp time. Employees engaged in seasonal activities (such as admissions counselors) may accrue up to 480 hours of comp time. An employee must be permitted to use comp time on the date requested unless doing so would “unduly disrupt” the operations of the agency.

**Higher Ed Impact Is Limited by Other Rules and Exemptions:** Many employees of higher-education institutions will not be affected by the rule, even if they do not qualify for the special rules for teachers:

- *Hourly workers:* The new threshold has no impact on the pay of workers paid hourly. Generally, hourly workers are entitled to overtime regardless of how much they make if they work more than 40 hours – nothing in the new rule changes that.

- *Workers with regular workweeks of 40 or fewer hours:* To the extent that many salaried white-collar employees at higher-education institutions have office jobs where they work no more than 40 hours, the changes to the overtime rules will have no effect on their pay.
- *Workers who fail the duties test:* Salaried workers who do not primarily perform executive, administrative, or professional duties are not eligible for the white collar overtime exemption and therefore are not affected by the final rule. Those employees already should be getting paid overtime for any hours they work over 40 in one week.
- *Highly compensated workers:* White collar workers who fail the standard duties test but are “highly compensated”—earn more than \$134,004 in a year—are almost all ineligible for overtime under the highly compensated employee exemption, which has a minimal duties test. This exemption would cover some high-level managers at institutions of higher education. (You can see more information on HCE duties in [WHD Fact Sheet #17H](#).)

**A Limited Number of Higher Education Workers Will Be Affected:** The overtime rule will impact limited groups of workers at higher-education institutions, including:

- *Postdoctoral researchers:*
  - o **Sciences:** Postdoctoral researchers in the sciences are not covered by the teaching exemption. These employees are generally considered professional employees and are subject to the salary threshold for exemption from overtime. DOL has been working closely with NIH and NSF regarding their mutual interest in this area.
  - o **Humanities:** Many postdoctoral researchers in the humanities also teach. To the extent that they have a primary duty of teaching, they will be subject to the teaching exemption and not entitled to overtime compensation. If they do not teach, however, and earn less than the new threshold, they will be eligible for overtime.
- *Non-academic administrative employees:* For administrative employees who do not meet the special provision for academic administrative employees, such as admission counselors and recruiters, they will be eligible for overtime if they

earn below the salary level set in the final rule and they work more than 40 hours in a week.

- *Other salaried workers:* To the extent that higher-education institutions employ workers whose duties are not unique to the education setting—like managers in food service or supervisors of security guards—they will be covered by the final rule, just like their counterparts at other kinds of institutions and businesses, unless another exemption applies.

## Higher Education Employers Have Discretion to Choose Between Several Options

The Department does not dictate what option employers should use to comply with the revised regulations. In fact, many options are available to all employers for complying with the new salary threshold. These options include:

- *Raise salaries:* For workers whose salaries are close to the new threshold and who meet the duties test, employers may choose to raise these workers' salaries to meet the new threshold and maintain their exempt status.
- *Evaluate and realign employee workload:* Employers can limit the need for employees to work overtime by ensuring that workloads are distributed to minimize overtime and that staffing levels are appropriate for the workload.
- *Pay overtime above a salary:* Employers also can continue to pay newly overtime-eligible employees a salary basis and pay overtime for hours in excess of 40 per week. The law does not require that newly overtime-eligible workers be paid on an hourly basis. This approach works for employees who usually

work 40 hours or fewer, but have seasonal "spikes" or periods of activity when overtime hours are required, for which employers can plan and budget the extra pay during those periods.

- o For employees who work a fixed schedule that rarely varies, the employer may simply keep a record of the schedule and indicate the number of hours the worker actually worked only when the worker varies from the schedule.
- o For an employee with a flexible schedule, an employer does not need to require an employee to sign in each time she starts and stops work. The employer must keep an accurate record of the number of daily hours worked by the employee. So an employer could allow an employee to just provide the total number of hours she worked each day, including the number of overtime hours, by the end of each pay period.
- *For public schools, utilize comp time:* Public sector employers—unlike private sector employers—can provide comp time at time and one-half rather than cash overtime payments, in appropriate circumstances.
- *Adjust employees' base pay and pay overtime:* Employers can adjust the amount of an employee's earnings to reallocate it between regular wages and overtime pay. This method works for employees who work a relatively small amount of predictable overtime. The revised pay may be on a salaried or hourly basis (there is no requirement to convert workers to hourly pay status), but it must include payment of overtime when the employee works more than 40 hours in a week.

For more detail on the FLSA and higher education, please see [here](#).



# Guidance for Higher Education Institutions on Paying Overtime under the Fair Labor Standards Act

May 18, 2016

## Introduction

Higher education is an important and diverse sector in our economy and civil society. It includes a wide variety of public and private institutions: community colleges, four-year colleges, and large research institutions—ranging from small schools to campuses that are virtual cities of tens of thousands of people. The Department of Labor (Department) recognizes the important contribution that higher education makes to this country and society.

The Department of Labor’s Final Rule on Defining and Delimiting the Exemptions for Executive, Administrative, Professional, Outside Sales and Computer Employees under the Fair Labor Standards Act (FLSA) (the “Overtime Rule” or “Final Rule”) will strengthen overtime protections and provide greater clarity for both workers and employers alike across sectors, including higher education. The Final Rule updates the salary level required for the executive, administrative, and professional (“white collar”) exemptions to ensure that the FLSA’s intended overtime protections are fully implemented, and to simplify the identification of overtime-protected employees. The Department updated the salary level threshold above which certain “white collar” workers may be exempt from overtime to equal the 40th percentile of earnings of full-time salaried workers from the lowest wage Census Region.

Once effective, the rule will raise the salary level from its previous amount of \$455 per week (the equivalent of \$23,660 a year) to \$913 per week (the equivalent of \$47,476 per year) in 2016. The rule will also raise the compensation level for highly compensated employees subject to a more minimal duties test from its previous amount of \$100,000 to \$134,004 annually. The Final Rule establishes a mechanism for automatically updating the salary level (and compensation level for highly compensated employees) every three years, with the first update to take place in 2020. Salaried white collar employees paid below the updated salary level are generally entitled to overtime pay; such employees paid at or above the salary level may be exempt from overtime pay if they primarily perform certain duties. These changes take effect on December 1, 2016. The Final Rule does not include any changes to the duties tests, which also affect the determination of who is exempt from overtime.

As with most employees, the minimum wage and overtime provisions of the FLSA generally apply to employees at higher education institutions. Regardless of whether they are operated for profit or not for profit, institutions of higher education are subject to the provisions of the FLSA. However, higher education employers, like other employers, are not required to pay minimum wages and overtime compensation to executive,

Higher education employers, like other employers, **are not required to pay minimum wages and overtime compensation to executive, administrative, and professional employees** who satisfy the salary level and other requirements for one of the white collar exemptions.

administrative, and professional employees who satisfy the salary level and other requirements for one of the white collar exemptions. In addition, certain provisions of the FLSA regulations apply to many white collar employees at higher education institutions that may make them exempt from overtime compensation, even though they earn below the new salary level. These include special provisions for employees whose primary duty is teaching and special salary level rules for academic administrative personnel. Finally, public universities or colleges that qualify as a “public agency” under the FLSA may compensate overtime-eligible employees through the use of compensatory time off (or “comp time”) in lieu of cash overtime premiums.

The Department is issuing this guidance on the application of the white collar exemptions in the higher education context at the same time as publication of the Final Rule in order to help institutions of higher education evaluate current practices and transition to the requirements of the Final Rule. Specifically, in view of the existing regulatory provisions specific to higher education and the changes introduced by the Final Rule to the salary level in particular, the Department is providing this guidance to assist these institutions in preparing for implementation of the Final Rule. Part I of this guidance provides a brief background on the FLSA’s white collar exemptions and how they apply generally. Part II of the guidance addresses categories of job occupations in the higher education sector which may fall under the white collar exemptions, and discusses other employees in higher education who might be affected by the Final Rule. Part III details some of the options employers may exercise in determining how best for their institution to ensure that they comply with the Final Rule. This guidance, however, is not a comprehensive guide to coverage and compliance under the FLSA. For additional, detailed guidance documents, please visit the Wage and Hour Division’s website at [dol.gov/whd](http://dol.gov/whd).

### I. Background on the White Collar Exemptions under the FLSA

The FLSA generally requires that employees be paid at least the federal minimum wage for all hours worked and overtime pay at a rate of at least one and one-half times their regular rate of pay for any hours they work beyond 40 hours in a workweek. As a general matter, coverage under the FLSA is broadly construed to ensure that the law provides employees with wage and hour protections, as Congress intended. The FLSA exempts from minimum wage and overtime requirements employees who are bona fide executive, administrative, or professional employees. *See* 29 U.S.C. 213(a)(1); 29 CFR Part 541. These exemptions



Job titles never determine exempt status under the FLSA.

Additionally, **receiving a particular salary, alone, does not indicate that an employee is exempt** from overtime and minimum wage protections.

are sometimes referred to collectively as the white collar exemptions.

As discussed below, establishing that a white collar employee is exempt from the FLSA's overtime requirements involves assessing how the employee is paid, how much the employee earns, and whether the employee primarily performs the kind of job duties that Congress meant to exclude from the law's overtime protections. Job titles never determine exempt status under the FLSA. Additionally, receiving a particular salary, alone, does not indicate that an employee is exempt from overtime and minimum wage protections. Rather, in order for a white collar exemption to apply, an employee's specific job duties and earnings must meet all of the applicable requirements provided in the regulations. To be clear, not all salaried white collar employees qualify for the white collar exemptions; in fact, many salaried white collar employees are entitled to minimum wage and overtime.

#### **A. Three Tests Must Be Met in Order to Claim a White Collar Exemption**

The regulations implementing the white collar exemptions generally require individuals to satisfy three criteria to be exempt from overtime requirements:

- First, they must be paid on a salary basis not subject to reduction based on quality or quantity of work ("salary basis test") rather than, for example, on an hourly basis;
- Second, their salary must meet a minimum salary level, which after the effective date of the Final Rule will be \$913 per week, which is equivalent to \$47,476 annually for a full-year worker ("salary level test"); and
- Third, the employee's primary job duty must involve the kind of work associated with exempt executive, administrative, or professional employees (the "standard duties test").

The salary level is not a minimum wage requirement, and no employer is required to pay an employee the salary specified in the regulations, unless the employer is claiming an applicable white collar exemption. Administrative and professional employees may also be paid on a "fee basis." See 29 CFR 541.605. For additional information about payment on a fee basis, see [WHD Fact Sheet 17G](#).

Note that the discussion in this guidance focuses on the standard exemption. For additional information on the highly compensated employee exemption, which pairs a more relaxed duties test with a higher total earnings level (\$134,004 per year, beginning on December 1, 2016), see [WHD Fact Sheet 17H](#).

#### **B. Primary Job Duties for Exempt Executive, Administrative, and Professional Employees**

Under the standard duties test, an employee's "primary duty" must be that of an exempt executive, administrative, or professional employee. Primary duty means the principal, main, major, or most important duty that the employee performs. See 29 CFR 541.700. Each exemption uses a different test for determining primary duty under the white collar exemptions.

To qualify for the executive exemption, an employee must have the primary duty of managing the enterprise, or managing a customarily recognized department or subdivision of the enterprise. Additionally, the employee must customarily and regularly direct the work of at least two other full-time employees or their equivalent (for example, one full-time and two half-time employees are equivalent to two full-time employees), and have the authority to hire or fire other employees, or the employee's suggestions and recommendations as to the hiring, firing, advancement, promotion or any other change of status of other employees must be given particular weight.

## The **salary level is not a minimum wage requirement**, and no employer is required to pay an employee the salary specified in the regulations, unless the employer is claiming an applicable white collar exemption.

To qualify for the administrative exemption, the employee’s primary duty must include the exercise of discretion and independent judgment with respect to matters of significance directly related to management or general business operations.

Regarding the professional exemption, there are several different kinds of exempt “professional” employees. These include “learned professionals,” “creative professionals,” teachers, and employees practicing law or medicine. Learned professionals must primarily perform work that requires advanced knowledge in a field of science or learning.

For additional details about the white collar exemptions generally, see [WHD Fact Sheet #17A: Exemption for Executive, Administrative, Professional, Computer](#)

### **& Outside Sales Employees under the Fair Labor Standards Act (FLSA).**

Determining the primary duty of an employee requires assessment of multiple factors. As discussed in the Department’s longstanding regulations, the amount of time spent performing exempt work can be a useful guide in determining whether exempt work is the primary duty of an employee, and employees who spend more than 50 percent of their time performing exempt work will generally satisfy the primary duty requirement. Of course, all relevant factors must also be considered, with a major emphasis on the character of the employee’s job as a whole, rather than strictly the amount of time spent performing particular duties. The Final Rule made no changes to the standard duties test.

### **Basic Requirements for Claiming a White Collar Exemption under the Standard Duties Test**

	EXECUTIVE	ADMINISTRATIVE	PROFESSIONAL
Salary Basis Test	<ul style="list-style-type: none"> <li>Employee must be paid on a salary basis</li> </ul>	<ul style="list-style-type: none"> <li>Employee must be paid on a salary or fee basis</li> </ul>	<ul style="list-style-type: none"> <li>Employee must be paid on a salary or fee basis</li> </ul>
Standard Salary Level Test	<ul style="list-style-type: none"> <li>\$913 per week (\$47,476 per year for a full-year worker)</li> </ul>	<ul style="list-style-type: none"> <li>\$913 per week (\$47,476 per year for a full-year worker)</li> <li>Special salary level for certain academic administrative personnel</li> </ul>	<ul style="list-style-type: none"> <li>\$913 per week (\$47,476 per year for a full-year worker)</li> <li>Salary level test does <b>not</b> apply to doctors, lawyers, or teachers</li> </ul>
Standard Duties Test	<ul style="list-style-type: none"> <li>The employee’s “primary duty” must be managing the enterprise, or managing a customarily recognized department or subdivision of the enterprise (and managing 2 full-time employees as well).</li> <li>Additional requirements provided in 29 CFR 541 Subpart B</li> </ul>	<ul style="list-style-type: none"> <li>The employee’s “primary duty” must include the exercise of discretion and independent judgment with respect to matters of significance.</li> <li>Additional requirements provided in 29 CFR 541 Subpart C</li> </ul>	<ul style="list-style-type: none"> <li>The employee’s “primary duty” must be to primarily perform work that either requires advanced knowledge in a field of science or learning or that requires invention, imagination, originality or talent in a recognized field of artistic or creative endeavor.</li> <li>Additional requirements provided in 29 CFR 541 Subpart D</li> </ul>

## II. Specific Considerations for Higher Education Institutions in Implementing the Final Rule

Because of special regulations that apply to certain personnel at higher education institutions, many white collar employees at higher education institutions are not subject to the salary level test or are subject to a different salary level test and therefore will not be affected by the new salary level. This Part addresses each of the white collar provisions as they apply in the higher education sector, helping to identify which employees may be impacted by the Final Rule and what potential adjustments employers may make.

Existing (and unchanged) regulatory provisions specific to higher education mean that the Final Rule may have limited impact on teachers and academic administrators. The salary level and salary basis requirements for the white collar exemption do not apply to bona fide teachers. *See* 29 CFR 541.303(d), .600(e). Additionally, academic administrative personnel that help run higher education institutions and interact with students outside the classroom, such as department heads, academic counselors and advisors, intervention specialists, and others with similar responsibilities, are subject to a special alternative salary level that does not apply to white collar employees outside of higher education. These academic administrative personnel are exempt from the FLSA's minimum wage and overtime requirements if they are paid at least the entrance salary for teachers at their institution. *See* 29 CFR 541.600(c).

To the extent that higher education institutions employ workers whose duties are not unique to the education setting, like managers in food service or at the bookstore, those employees will be covered by the new salary level, just like their counterparts at other kinds of institutions and businesses.

### A. Professional Exemption

#### i. In General

There are several different kinds of exempt "professional" employees. These include "learned professionals," "creative professionals," teachers, and employees practicing law or medicine. In higher education, employees eligible for the professional exemption often are either learned professionals (such as researchers), or teachers. The new salary level applies to "learned professionals" and "creative professionals," but it does not apply to teachers (or to

Because of special regulations that apply to certain personnel at higher education institutions, **many white collar employees at higher education institutions are not subject to the salary level test** or are subject to a different salary level test and therefore will not be affected by the new salary level.

## 6. Guidance for Higher Education Institutions on Paying Overtime under the Fair Labor Standards Act

employees practicing law or medicine). To qualify for the professional employee exemption as a “learned professional,” an employee must:

1. Receive compensation on a salary basis of not less than \$913 per week (the equivalent of \$47,476 a year); and
2. Primarily perform work requiring advanced knowledge in a field of science or learning, such as various physical, chemical, and biological sciences, theology, and architecture. The advanced knowledge is usually obtained while earning a degree. *See* 29 CFR 541.301.

In higher education, examples of non-teacher learned professionals that generally may meet the duties requirements for professional exemption include certified public accountants, certified athletic trainers, librarians, and psychologists, depending on the employee’s specific job duties and education. A job title alone is not sufficient for determining whether an employee satisfies the duties test.

Unless the individual is a teacher or practicing law or medicine, a professional employee must satisfy the salary basis and salary level tests as well as the duties test to be an exempt professional.

### ii. Postdoctoral Fellows

Postdoctoral fellows are employees who conduct research at a higher education institution after the completion of their doctoral studies. Postdoctoral fellows are not considered students because they are not working towards a degree. *See* Section D below for a discussion of student research assistants. Postdoctoral fellows often meet the duties test for the “learned professional” exemption but must also satisfy the salary basis and salary level tests to qualify for this exemption.

Under the 2016 National Institutes of Health (NIH) salary guidelines for postdoctoral research fellows, some fellows earn more than the revised salary level. Other postdoctoral research fellows earn less, although it is the Department’s understanding that many postdoctoral research fellow salaries are close to the new salary level, and that any differences are not more than a few thousand dollars a year. It is also our understanding that

NIH regularly reviews these salary levels, taking into consideration all relevant factors. Once the Final Rule is effective, higher education institutions may supplement any gap between the current salaries and the new salary level in order to maintain the exemption for these employees or will need to ensure that postdoctoral research fellows who conduct research and earn below the new salary level either do not work overtime or are paid overtime compensation for any hours worked over 40 per week. For overtime-eligible postdoctoral fellows, higher education institutions may comply with the FLSA’s recordkeeping requirements using any timekeeping method they choose, so long as it is complete and accurate. For example, a higher education institution may ask postdoctoral fellows to record their own times.

Some postdoctoral fellows in the humanities also teach. To the extent that a postdoctoral fellow’s primary duty is teaching, higher education institutions can classify such an employee as exempt from overtime under the teacher exemption discussed below. If a postdoctoral fellow does not primarily teach and earns less than the new salary level, the fellow will be entitled to overtime when the fellow works more than 40 hours in a workweek.

### iii. Special Provisions for Teachers

Employees in higher education institutions who are teachers will not be affected by the Final Rule. The salary level and salary basis requirements do not apply to bona fide teachers. *See* 29 CFR 541.303(d), .600(e). Accordingly, the increase in the standard salary level in this Final Rule will not affect the overtime exemptions of bona fide teachers.

Teachers are exempt if their primary duty is teaching, tutoring, instructing, or lecturing in the activity of imparting knowledge, and if they are employed and engaged in this activity as a teacher in an educational establishment. *See* 29 CFR 541.204(b), .303. Educational establishments include institutions of higher education.

Exempt teachers in higher education may include college and university professors or adjunct instructors. Faculty members who are engaged as

Employees in higher education institutions who are **teachers**  
**will not be affected by the Final Rule.**

teachers but also spend a considerable amount of their time in extracurricular activities are still engaged in the primary duty of teaching. Extracurricular activities might include coaching athletic teams or acting as moderators or advisors for drama, speech, debate, or journalism. Such activities are a recognized part of the school's responsibility in contributing to the educational development of the student. In all situations, examining the particular duties of the employee is how the applicability of an exemption must be determined (rather than location, job title, or other criteria).

#### a. Coaches

Athletic coaches employed by higher education institutions may qualify for the teacher exemption. Teaching may include instructing student-athletes in how to perform their sport. On the other hand, if coaches' primary duties are recruiting students to play sports or visiting high schools and athletic camps to conduct student interviews, they are not considered teachers.

The amount of time an employee spends instructing student-athletes in a team sport is a relevant—but not exclusive—factor in determining the employee's exempt status. For example, assistant athletic instructors who spend more than half of their time instructing student-athletes about physical health, teamwork, and safety likely qualify as exempt teachers. In contrast, assistant coaches, for example, who spend less than a quarter of their time instructing students and most of their time in unrelated activities are unlikely to have a primary duty of teaching.

#### b. Adjunct Instructors

Adjunct instructors may also be exempt as teachers if they are employed and engaged as teachers in an educational establishment, where their primary duty is teaching, tutoring, instructing or lecturing. Like full-time faculty members, adjunct or part-time instructors are not subject to the salary level or salary basis tests provided they have a primary duty of teaching.

## B. Administrative Exemption

### i. In General

The new salary level applies to administrative employees, including in higher education. To qualify for the administrative employee exemption (not the special provisions for academic administrative employees, discussed below), an employee must:

1. Receive compensation on a salary basis of not less than \$913 per week (the equivalent of \$47,476 a year);
2. Have a primary duty that is the performance of office or non-manual work directly related to the management or general business operations of the employer or the employer's customers;
3. Additionally, the employee's primary duty must include the exercise of discretion and independent judgment with respect to matters of significance.

Such administrative employees in the higher education context might include, for example, admissions counselors or student financial aid officers, depending on the employees' specific job duties (as job title alone is insufficient to ensure that an employee satisfies the duties test).

### ii. Special Provisions for Academic Administrative Employees

There are special regulatory provisions for some administrative employees—known as “academic” administrative employees—whose primary duty is performing administrative functions directly related to academic instruction or training in an educational establishment. To be exempt, academic administrative employees must either be paid on a salary or fee basis of not less than the salary level, **or** be paid on a salary basis at least equal to the entrance salary for teachers in the same educational establishment. *See* 29 CFR 541.204. To the extent that this entrance salary is below the salary level established in the Final Rule, academic administrative employees will be exempt if their salary equals or exceeds the establishment's entrance salary for teachers.

Exempt academic administrative employees must have the primary duty of performing administrative functions directly related to academic instruction or training. In higher education institutions, academic administrative personnel generally eligible for this exemption include department heads, academic counselors and advisors, intervention specialists who must be available to respond to student academic issues, and other employees with similar responsibilities. For example, academic counselors who perform work such as administering school testing programs, assisting students with academic problems, and advising students concerning degree requirements would satisfy the duties test for this exemption.

*Example:* An academic advisor at a community college assists students with class selection and educational goals. The advisor earns \$42,000 a year (\$807.70 a week) on a salary basis, which is also the college's entrance salary for teachers. Among other things, the advisor assists with placement testing and the course registration process, and helps students to develop course selections consistent with their career choices and degree requirements. In this example, assuming the advisor meets the duties test for academic administrative professionals, the employer would not be required to pay overtime for more than 40 hours worked even though the academic advisor is paid a salary less than \$913 per week, because the advisor's salary is at least equal to the entrance salary for teachers at that institution.

Employees who work in higher education but whose work does not relate to the educational field are not performing academic administrative work. For example, if an employee's work relates to general business operations, building management and maintenance, human resources, or the health of students and staff, the employee may meet the requirements for a different white collar exemption, but does not perform academic administrative functions.

### C. Executive Exemption

The new salary level applies to executive employees, including in higher education. To qualify for the executive employee exemption, an employee must:

1. Receive compensation on a salary basis of not less than \$913 per week (the equivalent of \$47,476 a year);
2. Have the primary duty of managing the enterprise, or managing a customarily recognized department or subdivision of the enterprise;

3. Customarily and regularly direct the work of at least two or more other full-time employees or their equivalent (for example, one full-time and two half-time employees are equivalent to two full-time employees); and
4. Have the authority to hire or fire other employees, or the employee's suggestions and recommendations as to the hiring, firing, advancement, promotion or any other change of status of other employees must be given particular weight.

See 29 CFR 541.100.

*Example:* A university maintenance department, which is responsible for maintaining the academic buildings and grounds of the university, employs a groundskeeping crew lead. The crew lead coordinates the work of three groundskeepers and makes recommendations for their terminations and promotions. The crew lead earns \$38,000 a year (\$731 per week) on a salary basis. The crew lead does not meet the new salary level, and therefore is eligible for overtime compensation when she works more than 40 hours a week. The university does not need to determine whether the crew lead meets the duties test, because she does not pass the salary test.

### D. Students

As a general matter, most students who work for their college or university are hourly workers who do not work more than 40 hours per week. The Final Rule will not affect these students. Students receiving a salary as graduate teaching assistants or research assistants, and many residential assistants will also not be affected by the Final Rule, even if they work more than 40 hours per week and are paid less than the new salary level.

#### i. Graduate Teaching Assistants

Graduate teaching assistants who have teaching as their primary duty are not subject to the salary tests and, therefore, remain exempt under the Final Rule.

#### ii. Research Assistants

Generally, the Department views graduate and undergraduate students who are engaged in research under a faculty member's supervision in the course of obtaining a degree as being in an educational relationship with the school. As such, the Department would not assert an employment relationship with either the school or any grantor funding the research. Thus, in these situations, the Department will not assert

that such workers are entitled to overtime. This is true even though the student may receive a stipend for performing the research. WHD Opinion Letter 1994 WL 1004845 (June 28, 1994).

*Example:* A graduate student is enrolled at a university in the process of obtaining a Ph.D. in the biomedical sciences. In addition to coursework toward the university's degree requirement, the student will engage in original, professional-level research. The student receives a stipend from the university of \$25,000. The Department will not assert that the student is entitled to overtime because the Department does not consider the student an employee of the school. This is the case even if the student receives health insurance from the university and if the stipend is subject to federal income taxes.

### iii. Residential Assistants

Student residential assistants enrolled in bona fide educational programs who receive reduced room or board charges or tuition credits from the university are not generally considered employees under the FLSA, and therefore are not subject to the FLSA's wage and hour requirements. *See e.g.* [Field Operations Handbook \(FOH\) 10b24](#).

### iv. Students in an Employment Relationship

An employment relationship will generally exist with regard to students whose duties are not part of an overall education program and who receive some compensation. For example, students who work at food service counters, sell programs or usher at athletic events, or who wait on tables or wash dishes in dining halls in anticipation of some compensation (money, meals, etc.) are generally considered employees under the Act. *See* FOH 10b24(b). Most of these students will not be affected by the Final Rule, however, because they are paid hourly and are not performing executive, administrative, or professional duties. As was already the case, these students are entitled to minimum wage and overtime compensation whether or not they earn above the new salary level.

## **E. Hourly Employees, Blue Collar Employees, and White Collar Employees Who Do Not Meet the Duties Test**

Many employees of higher education institutions, including hourly workers, blue collar workers, and white collar workers who fail the duties tests, will not be affected by the Final Rule, because these workers are

already overtime-protected. Such workers are entitled to overtime regardless of how much they make if they work more than 40 hours. Nothing in the Final Rule changes that.

## III. Options for Compliance with the Final Rule

The Overtime Rule may impact select groups of workers at higher education institutions, including post-doctoral fellows, administrators, and other salaried workers who meet the duties test for one of the white collar exemptions, but not the new salary level. Colleges and universities may ensure compliance for those employees affected by the rule in a number of ways, including providing pay raises that increase workers' salaries to the new threshold, spreading employment by reducing or eliminating work hours of individual employees working over 40 hours per week for which no overtime is currently being paid, adjusting wages and hours, or paying overtime. The Department does not dictate or recommend any method.

This rule does not require employers to convert a salaried employee making less than the new salary threshold to hourly status: employers can pay non-exempt employees on a salary basis and pay overtime for hours worked beyond 40 per week. Higher education institutions should already have systems in place for tracking non-exempt employees' hours. These existing systems can be used for newly overtime-protected employees impacted by the Overtime Rule. As long as they are complete and accurate employers may use any method they choose for recording hours. There is no requirement that employees "punch in" and "punch out."

The method for compliance, which is entirely within each employer's discretion, will likely depend on the circumstances of that institution's workforce, including how much employees currently earn and how often employees work overtime, and may include a combination of responses. Some potential responses for educational institutions are discussed below.

### **A. Numerous Options for Compliance**

- i. After evaluation, no changes to pay or hours necessary

Many institutions of higher education have white collar employees who satisfy one of the duties tests for exemption and earn between the old salary level (\$455 per week) and the new salary level (\$913 per

week). Employers should evaluate all such white collar employees to determine which employees do not work more than 40 hours per workweek. The Final Rule will not affect these employees' pay because even if they become nonexempt they will not work any overtime. They can continue to be paid on a salary basis as before.

ii. Raise salaries

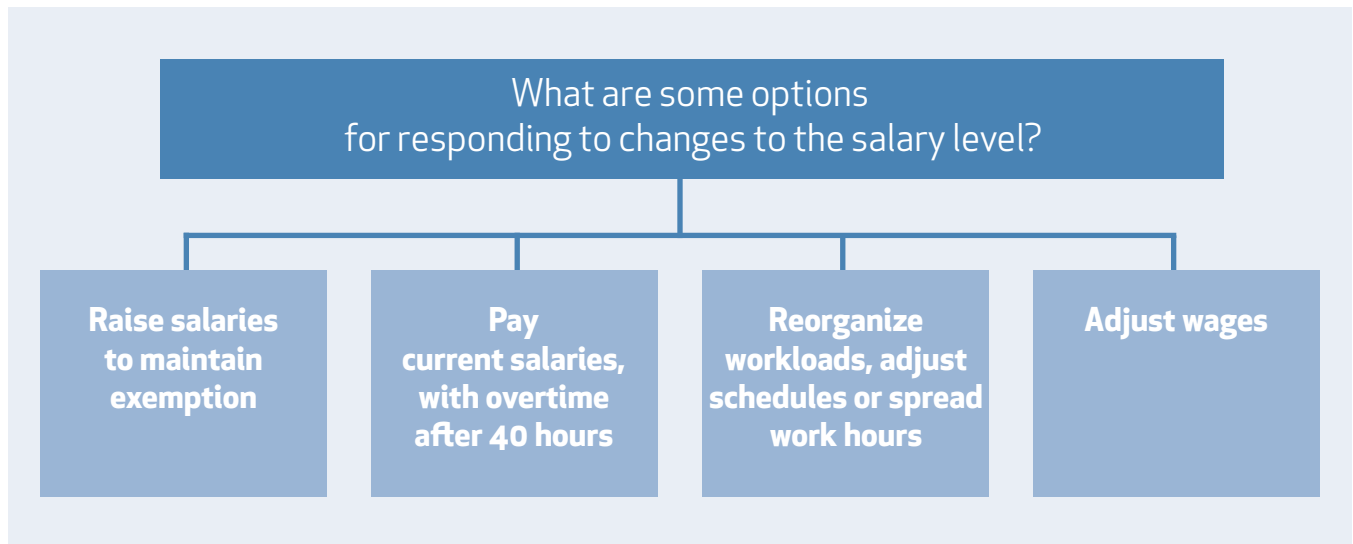
Employers may choose to raise the salaries of workers who meet one of the duties tests, and who regularly work overtime, to or above the new salary level to maintain their exempt status. For academic administrative employees, educational institutions merely have to ensure that such workers do not earn less than the entrance salary for teachers under that college's employ to remain exempt.

*Example:* An annual giving officer for a university is paid a salary of \$45,000 a year. The annual giving officer's job duties qualify the counselor for the administrative (but not academic administrative)

be paid on an hourly basis. Rather, any employer, including institutions of higher education, may continue to pay employees a salary covering a fixed number of hours, which could include hours above 40. There are several ways to pay a salary and pay overtime.

An employer might pay employees a salary for the first 40 hours of work per week, and then pay overtime for any hours over 40. Employers may choose to do this, for example, for employees who work 40 hours per week and do not frequently work overtime, or who do not consistently work the same amount of overtime.

*Example:* Alexa, a budget director at a college, earns a fixed salary of \$41,600 per year (\$800 per week) for a 40 hour workweek. Because her salary is for 40 hours per week, Alexa's regular rate is \$20 per hour. If Alexa works 45 hours one particular week, the employer would pay time and one-half (overtime premium) for five hours at a rate of \$30/hour. Thus, for that week, Alexa should be paid \$950, consisting of her \$800 per week salary and \$150 overtime compensation.



exemption. The counselor regularly works overtime as a result of outreach activities. The employer may choose to raise the annual giving officer's salary to \$47,476 a year to maintain the counselor's administrative exemption.

iii. Pay overtime above a salary

Employers also can continue to pay employees a salary and pay overtime for hours in excess of 40 per week. Although the FLSA requires employers to keep records of how many hours overtime-eligible employees work, the law does **not** require that overtime-eligible workers

Employers also have the option of paying a straight time salary for more than 40 hours in a week for employees who regularly work more than 40 hours, and paying overtime in addition to the salary. Using this method, the employer will only be required to pay an additional half time overtime premium for overtime hours already included within the salary, and time and a half for hours beyond those included in the salary.

*Example:* Jamie, an HR manager at a university, earns a fixed salary of \$44,200 per year (\$850 per week) for a 50 hour workweek. The salary does not include the overtime premium. Because



the salary is for 50 hours per week, Jaime's regular rate is \$17 (\$850/50). In a normal 50 hour week, the employer would pay Jamie the additional half time overtime premium for the 10 hours of overtime (\$8.50 per hour). If Jamie worked more than 50 hours in a week, the employer would also owe overtime compensation at time and a half the regular rate (\$17 x 1.5) for hours beyond 50 (because the salary does not cover any payment for those hours).

It is also possible for an employer and employee to agree to a fixed salary for a workweek of more than 40 hours, in which the salary includes overtime compensation under certain conditions. If, however, the employee's schedule changes in any way during any week (either by working more or fewer hours), the employer must adjust the salary for that week. Employees must be paid based on the hours actually worked during each workweek. This method of paying for overtime, therefore, might be most helpful for employees who consistently work the same amount of overtime every week.

*Example:* Andre, a college admissions counselor, has an agreement with his college where he is paid a fixed salary of \$39,520 year (\$760 per week) for a 45 hour workweek. The fixed salary includes both straight time for the first 40 hours (\$16 regular rate x 40 hours) and overtime compensation for hours 41-45 (\$24 overtime rate x 5 hours). If Andre's schedule changes in any way for any week, his salary needs to be adjusted for that week to reflect the hours actually worked.

Finally, where employees have hours of work which fluctuate from week to week, employers can pay a fixed salary that covers a fluctuating number of hours at straight time if certain conditions are met, including a clear mutual understanding between the employer and employee. See 29 CFR 778.114 for additional information and criteria for this payment method.

Higher education institutions may already have systems in place for tracking non-exempt employees' hours. These existing systems can be used for newly overtime-protected employees impacted by the Overtime Rule. As long as they

are complete and accurate, employers may use any method they choose for recording hours. Employers may use their own system to keep track of employees' work hours or require employees to enter their own time into payroll programs. See [WHD Fact Sheet #21: Recordkeeping Requirements under the Fair Labor Standards Act \(FLSA\)](#).

There is no requirement that employees "punch in" and "punch out." An employer does not need to require an employee to sign in each time she starts and stops work. The employer must, however, keep an accurate record of the number of daily hours worked by the employee. To do so, an employer could allow an employee to just provide the total number of hours worked each day, including the number of overtime hours, by the end of each pay period. For employees who work a fixed schedule, a higher education institution need not track the employee's exact hours worked each day; rather, the employer and employee can agree to a default schedule that reflects daily and weekly hours, and indicate that the employee followed the agreed-upon schedule, if that is true. See 29 CFR 516.2(c); WHD Fact Sheet #21. Only when the employee deviates from the schedule is the employer required to record the number of hours worked each day on an exceptions basis. Many employees, both exempt and non-exempt, track their daily and weekly hours by simply recording their hours worked for the employer.

#### iv. Reorganize Workloads, Adjust Schedules, or Spread Work Hours

Employers may wish to reorganize workload distributions or adjust employee schedules in order to comply with the Final Rule. For example, work assignments that are predictable could be assigned at the beginning of the workweek (rather than, for instance, late in the day on Friday for an employee who typically works Monday through Friday) in order to manage overtime hours. Or, when employees regularly perform duties outside of a 9 to 5 workday, colleges and universities may consider adjusting those employees' schedules to encompass when most of the work takes place, so that they will not work more than

**Employers can continue to pay employees a salary and pay overtime for hours in excess of 40 per week.**

## There is no requirement that employees “punch in” and “punch out.”

40 hours each workweek. (The FLSA does **not** specify days or schedules, such as a Monday–Friday workweek or a 9 to 5 workday; this is provided only as an example of a schedule that many workers follow.)

*Example:* Pat, an employee in the admissions office of a university, currently begins work at 8am Monday–Friday. Under the Final Rule’s new salary level, she would be newly entitled to overtime compensation. Pat greets and pre-interviews potential applicants to the university. Since most applicants are in high school, the majority of applicants schedule their appointments between the hours of 2pm and 6pm, and Pat routinely works until 6:30pm. The university may wish to adjust Pat’s schedule such that she doesn’t need to begin work until 10am, thus limiting the number of overtime hours she works.

Employers can hire new employees or increase the work hours of staff who work less than 40 hours per week to reduce or eliminate overtime hours.

### v. Adjust Wages

Employers can adjust the amount of an employee’s earnings to reallocate it between regular wages and overtime so that the total amount paid to the employee remains largely the same. Employers may prefer this option for their employees who work a consistent and relatively small number of overtime hours. Employers may not, however, reduce an employee’s hourly wage below the highest applicable minimum wage (federal, state, or local), or continually adjust wages each workweek in order to manipulate the regular rate. The employees’ hours worked must still be recorded, and overtime must be paid according to the actual number of hours worked each week.

*Example:* Assume an admissions counselor earns \$37,000 per year (\$711.54 per week). The admissions counselor regularly works 45 hours per week. The employer may choose to instead pay the employee an hourly rate of \$15 and pay time and one-half for the 5 overtime hours worked each week.

**\$600.00 (40 hours x \$15 / hour)**

**+ \$112.50 (5 OT hours x \$15 x 1.5)**

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**\$712.50 per week**

Alternatively, the employer may choose to pay that employee a salary for 40 hours of \$600 and pay the overtime for hours in excess of 40 per week.

**\$600.00** (salary for 40 hours/week, equivalent to \$15/hour)

**+ \$112.50 (5 OT hours x \$15 x 1.5)**

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**\$712.50 per week**

### B. Compensatory Time at Public Universities

Public universities or colleges that qualify as a “public agency” under the FLSA may compensate overtime-eligible employees through the use of compensatory time off (or “comp time”) in lieu of cash overtime premiums. A college or university is a public agency under the FLSA if it is a political subdivision of a State. In applying the term “political subdivision,” the Department considers whether (1) the State directly created the entity, or (2) the individuals administering the entity are responsible to public officials or the general electorate. For example, a State university system created by state legislation and administered by a board appointed and removable by the governor is likely a political subdivision of the State, and, therefore, a public agency under the FLSA. *See* WHD Opinion Letter, 2009 WL 649021 (Jan. 16, 2009); *see also* WHD Opinion Letter, 1995 WL 1032498 (July 17, 1995) (advising that a public community college could provide comp time in lieu of overtime premiums). Private higher education institutions must, however, pay their overtime-eligible employees a cash premium for all overtime hours at a rate not less than one and one-half

times the regular rate at which the employee is actually employed. Note that overtime-eligible employees generally may not accrue more than 240 hours of comp time, but employees engaged to work in a public safety activity, an emergency response activity, or a seasonal activity may accrue as much as 480 hours of comp time. *See* 29 U.S.C 207(o)(3)(A).

If an overtime-eligible public employee receives comp time instead of overtime pay, the comp time must be credited at the same rate as cash overtime: no less than 1.5 hours of comp time for each hour of overtime worked. *See* 29 CFR 553.22. Additionally, any comp time arrangement must be established pursuant to the applicable provisions of a collective bargaining agreement, memorandum of understanding, any other agreement between the public agency and representatives of overtime-protected employees, or an agreement or understanding arrived at between the employer and employee before the performance of the work. This agreement may be evidenced by a notice to the employee that compensatory time off will be given in lieu of overtime pay (for example, providing the employee a copy of the personnel regulations). *See* 29 CFR 553.23.

*Example:* An admissions counselor at a large state university earns \$38,000 a year. The advisor has a written agreement with the university that he will receive compensatory time at a rate of time and one-half for every overtime hour worked instead of overtime pay in cash. During a two-week period when admissions work is heavy, the advisor works 50 hours each of the two weeks and accumulates 20 hours of overtime, resulting in 30 hours of available comp time. The advisor then uses the comp time to take time off later in the year. This arrangement is permissible.

## IV. Conclusion

The Overtime Rule updated the regulations to ensure that the FLSA's intended overtime protections are fully implemented, and to simplify the identification of overtime-eligible workers, making the exemption easier for employers and workers to understand and apply. This guidance is provided to help employers in higher education understand their responsibilities and options for complying with the FLSA's overtime provisions following publication of the Final Rule.

American Indian Higher Education Consortium, 121 Oronoco Street, Alexandria, VA 22314

## Tribal Accreditation Commitment

As you will recall, during AIHEC's spring 2016 board of directors meeting in Minneapolis, MN, a motion was approved directing all Regular Members (accredited TCUs) to "**make a formal monetary commitment**" to establishing a separate tribal accreditation body. Commitments are to be made prior to our upcoming summer board meeting. With this missive, I am requesting your college's formal commitment by return email. While any amount would be appreciated, we need \$150,000-\$200,000 at a minimum to **launch** the next phase of our push toward our own accrediting body, so we are suggesting commitments of \$3,000-\$10,000 per college; however, we would gladly accept commitments of more. (Note that all commitments must be paid within 4 months of pledging.)

This is an appeal for a formal *commitment* at this time. All funds received will be gratefully accepted and maintained in a distinct accreditation effort account. **If you are not able to make a commitment, or your college will not be participating in this funding drive, please indicate this intention but there is no pressure.** Several TCUs have said that they are not able to make a commitment at this time, so do not feel that you need to delay responding – just let us know.

The board motion is printed below.

### MOTION:

President Bordeaux moved [seconded by President Parish] that each accredited member of AIHEC make a formal monetary commitment to establishing a separate tribal accreditation body prior to the 2016 Summer Board meeting; and further, that the American Indian College Fund be asked to make a donation to AIHEC equal to the amount of TCU funds committed.

**OUTCOME:** The motion was agreed to by voice vote.

Thank you very much for your attention and timely response to this important request.

Yes, \_\_\_\_\_ institution makes a commitment of \$\_\_\_\_\_.

No, \_\_\_\_\_ institution cannot make a commitment at this time.

\_\_\_\_\_  
TCU President Signature

**AIHEC-ATD PARTNERSHIP**  
**TCU NATIVE PATHWAYS TO STUDENT SUCCESS**  
**APRIL 2016**

**EXECUTIVE SUMMARY**

The American Indian Higher Education Consortium (AIHEC), which is the nation's 37 American Indian Tribal Colleges and Universities, and Achieving the Dream (ATD) propose to work together on an innovative 2-year initiative to engage rural and under-resourced Tribal Colleges and Universities (TCUs) in ATD through a new partnership focused on student success and addressing critical issues such as developmental education acceleration, academic and career counseling, and data collection for continuous improvement. We respectfully request \$304,062 in one-time funding for this initiative.

**KEY ELEMENTS OF THE PARTNERSHIP**

***ATD Participation:*** Through the partnership, TCUs will be engaged in the ATD network of services, opportunities, partners, and coaches in a way that is uniquely tailored to meet their needs as small, open admission, place-based institutions who serve a majority of American Indian and Alaska Native students. While not being full members, TCUs will implement components of the ATD model.

***Capacity Building for Student Success:*** Each participating TCU will identify components of the ATD model to adopt institution-wide using their most recent self-study report and recent institutional research data. Each TCU will work with ATD coaches to develop an adoption plan that is coordinated with other TCU plans addressing similar issues.

***Connection to Perennial Accreditation Processes:*** To help ensure sustainability, the project will be integrated with – and significantly strengthen -- ongoing TCU accreditation processes, which focus on data collection, assessment, student success/completion, and continuous improvement. Members of each TCU's IR team will serve on their institution's TCU Native Pathways project team.

***TCU Network Improvement Community:*** A distinguishing feature of the partnership will be a strong focus on collaboration among participating TCUs in implementation, continuous improvement and achieving sustainability of the project. The TCUs will work together in cross-institutional teams with ATD trainers and coaches, support each other through one-on-one/mentor-mentee relationships, and share effective strategies and best practices in implementing the ATD model.

***Participating TCUs:*** The project will involve a cohort of 7-9 TCUs new to the ATD model and two TCUs current involved with the ATD program. Future ATD-TCUs funded through complementary initiatives (e.g. Kresge) will join the Pathways network as additional sponsors are identified. All participating TCUs will be expected to provide mentoring services to new TCUs as needed to help disseminate the ATD model and grow the TCU improvement community.

**LEVERAGING EXISTING RESOURCES AND LESSONS LEARNED**

- Builds on existing and prior TCU members of ATD: these will be core mentor institutions
- Builds on Walmart Foundation Student Success Initiative
- Coordinated with and complementary of USA Funds initiative on governance and institutional practice improvement for student success

**SUSTAINABILITY**

- TCUs are committed to leveraging their formula-driven annual TCU Title III funding from the U.S. Department of Education (authorized under the Higher Education Act).
- We plan to seek funding from the Lumina Foundation, upon its completion of its strategic planning process. We anticipate that new Lumina grant programs will focus on accelerating completion: multiple institutions, evidence based strategies, and acceleration to degree.
- This project is complementary to Kresge Foundation support for ATD membership for larger, better resourced urban TCUs. We will coordinate our efforts as we move forward and encourage the Kresge-funded TCUs to serve as mentors and key participants in the TCU network improvement community.

This foundational grant is the key to setting the stage for small, under-resourced and rural TCUs to be competitive in this new era of grantmaking that is focused on scale, collaboration, and evidence of success.

**BUDGET AND TIMELINE**

AIHEC requests \$304,062 in one-time funding for this initiative. We propose a start date of July 1, 2016 and an end date of June 30, 2018.

## **TCU CYBERINFRASTRUCTURE INITIATIVE (TCU-CI<sup>2</sup>): TOWARD BROADER PARTICIPATION IN STEM RESEARCH AND EDUCATION**

### **Introduction**

The American Indian Higher Education Consortium (AIHEC), in partnership with Navajo Technical University, the University of New Mexico, and the Network Startup Resource Center (NSRC) based at the University of Oregon propose to conduct a comprehensive study of the current status of the cyberinfrastructure of all 37 Tribal Colleges and Universities (TCUs) and the role, both current and planned, of the colleges' cyberinfrastructure in supporting STEM education and research programs and activities. The assessment report will provide both NSF and the TCUs a foundational document for development of a plan for improvement of TCUs' campus cyberinfrastructure and the advancement of their STEM programs that a high quality cyberinfrastructure can make possible.

### **Intellectual Merit**

Since the early '90s when information and computer technologies emerged as a major resource in both science education and science practice, the nation's TCUs have made significant advances in the development of their ICT infrastructure and its use to support education programming. However, TCUs are typically under-resourced, both in terms of physical infrastructure and human resources, and so in many cases are not well positioned to take advantage of technological affordances to develop and strengthen their STEM programs. Significantly, only one TCU has ever submitted, and been funded by the CC\*DNI program to upgrade their cyberinfrastructure to support their STEM programs. This study will implement a community-based participatory research approach, engaging the TCUs as well as local and regional stakeholders in the examination of campus infrastructure and the research and education programs supported by it. This community engagement will facilitate CI planning at each TCU, and promote collaborations among TCUs (a CI community of practice) and with regional universities and Internet2 hubs.

### **Broader Impacts**

The TCU-CI<sup>2</sup> study significantly advances efforts toward addressing the challenge of greater inclusion in the national STEM research and education infrastructure on the part of TCUs and American Indian communities generally. The study outcomes will provide each TCU the information (and potential partnerships) necessary to develop and implement a campus cyberinfrastructure plan that will allow TCU faculty and students increased opportunities for participation in national STEM research and education programs.

The community of practice facilitated by the study will establish the cross-institutional relationships that will permit a broadly systemic approach to the exploration, dissemination and adoption of information and communication technologies supporting research and education among this nation's American Indian Tribal Colleges and Universities. It will further partnerships with national organizations such as Internet2 and EDUCAUSE, as well as their higher education institution members that will lead to resource sharing and project collaborations otherwise not possible, or likely.

### ***Relationship to NSF priorities and TCU needs***

In large part through support from the NSF TCUP program, TCUs have made important advances in their STEM research and education programs. Since 2001, NSF has supported implementation of comprehensive programs that have helped TCUs address local and national STEM priorities. However, the colleges' use of cyberinfrastructure has in many cases not kept up with their STEM programs. With the strategic application of ICT technologies, the potential to develop and expand research programs at TCUs that leverage NSF's investment in TCU STEM and help them advance both local Tribal community and national priorities is significant.

TCUs operate campuses in the following EPSCoR states: Idaho, Montana, North and South Dakota, Oklahoma, New Mexico, Kansas, and Nebraska. The study will promote TCU access to and participation in state EPSCoR programs. State EPSCoR program directors will be engaged in the study, invited to contribute information regarding regional STEM research and education resources that high quality campus CI would make accessible. This information will be included in recommendations provided to the TCUs in their individual reports.

The project will be aligned closely with NSF CC\* program priorities: it will examine each institution's cyberinfrastructure capabilities as related to current NSF goals for the nation's higher education participation in the national STEM education and research infrastructure. It will provide a primary planning and evaluation resource of TCU national and regional connectivity, compute capabilities, and human resource requirements. Aligned with ESNNet, NSF and other federally funded initiatives, the study will provide information necessary for each TCU to develop (or update) and implement a sustainable cyberinfrastructure plan. Finally, the study will ensure that the evaluation of the colleges' cyberinfrastructure and recommendations derived therefrom are aligned with the college's mission and goals.

### **Results of Related Work**

AIHEC, together with the Hispanic Association of Colleges and Universities (HACU) and the National Association for Equity in Higher Education (NAFEO) were organizational partners on the Advanced Networking with Minority Serving Institutions (AN-MSI) project, funded by NSF from 1999 to 2004. AN-MSI, a model of minority serving institution collaboration in the early years of technology adoption in higher education, made significant progress in advancing the acquisition and application of new information and communications technologies among the participating minority serving institutions. The project brought together 101 MSIs representing three disparate communities (Historically Black Colleges and Universities, Hispanic Serving Institutions, and American Indian Tribal Colleges and Universities) to communicate and collaborate with one another on technology-related issues. Participating MSIs worked jointly on issues such as information security and professional staff development that they would have lacked the resources to address separately. All 101 MSIs took advantage of opportunities to improve their campus networks, connectivity, and IT strategic planning with recommendations and support from AN-MSI colleagues and technical specialists provided by the project. More than 300 faculty and staff from these institutions have participated in one or more AN-MSI sponsored activities including:

- 48 Campus Visits to MSIs nationwide, where IT consultants familiar with the unique challenges at MSIs provide low-cost, vendor-neutral IT assessments and IT strategic planning;

- Infrastructure improvements at more than 15 MSIs, from providing wireless networks to remote tribal colleges that lacked reliable Internet access to supplying MSIs with high performance computing clusters;
- AN-MSI Project Action Committee meetings where MSI faculty, administrators, and staff networked, discussed specific campus-based IT problems and potential solutions, learned about the latest IT developments and opportunities, and planned future collaborations and grant proposals;
- IT training and certification workshops in networking, security, and data management, 5 workshops in cluster computing, and one workshop on proposal writing;
- Sponsorship of more than 300 MSI participants to attend 25 annual IT conferences including EDUCAUSE, SC (Super Computing), the National Learning Infrastructure Initiative
- Webinars on on-line teaching and learning;
- IT Infrastructure Model for use in assessing and updating MSI campus networks.

AN-MSI was the first instance of broad technology-focused partnership among the three minority institution communities, established the importance of collaboration and resource leveraging among under-resourced institutions to achieve common technology infrastructure goals (Artze, 2002; Davis & Trebian, 2001; Foertsch, 2003, 2004; Foster, 2003; Olsen, 2002; Ramirez, 2004; Ramirez, Davis, Harris & Staudt, 2001). The proposed study implements best practices and lessons learned from the AN-MSI project, focusing on identifying the cyberinfrastructure requirements at TCUs and facilitating capacity-building partnerships across the TCU community of institutions and the national STEM research and education community, contributing to a nation model for cyber-mediated collaboration.

### **Primary study focus areas**

- Campus infrastructure:* each TCU study will include level of Internet connectivity, connection (or potential for connection) to regional Internet2 hub sites; campus networking, including quality of service parameters, design of wired infrastructure and wireless extensions, wireless access networks, maintenance/upgrade status of hardware and software, support for Internet of Things technologies, and the need/use of campus DMZs.
- IT Staffing:* TCU-CI<sup>2</sup> will inventory current IT staff capabilities, and determine the degree to which current IT staffing is adequate to meet current and anticipated maintenance, operation, and user support needs of all facilities operated by the college. Critical staffing gaps and professional development needs will be identified.
- STEM Programs:* the project will compile detailed descriptions of STEM program use and need for cyberinfrastructure-enabled resources.. Information to be collected will include: current use of online education/resources in instruction; faculty and student use of technology, including technology use in libraries and resource centers; participation on the part of students in STEM-focused experiential and internship opportunities.
- Strategic Planning:* the study will evaluate the status of the IT component of the colleges' strategic plans, if one exists, including degree to which plans are consistent with current higher education practice, and the degree to which plans have been or are being realized.



e. *Faculty Capacity:* TCU-CI<sup>2</sup> will identify faculty development and support needs for optimizing use of their campus cyberinfrastructure for education and research applications.

## **GOALS AND OBJECTIVES**

### **Goal 1. Conduct a comprehensive examination of the cyberinfrastructure of all 37 of the nation's Tribal Colleges and Universities.**

*Objective 1.1* Administer an online survey targeting faculty, students, administrators and IT staff to develop a preliminary status assessment of each TCU's cyberinfrastructure;

*Objective 1.2* Carry out site visits at all 37 TCUs to collect information through campus stakeholder interviews and on-site examination of cyberinfrastructure equipment and facilities, and other information-gathering activities;

*Objective 1.3* Generate status reports of cyberinfrastructure STEM applications, and associated human resource needs at all 37 TCUs based on outcomes of Objective 1.1 and 1.2.

### **Goal 2: Facilitate capacity-building at TCUs that will enable increased CI-supported research and education activities**

*Objective 2.1* Facilitate collaborations among TCUs and state and regional research and education networks that provide network capacity and access to the Internet2 community

*Objective 2.2* Establish a community of practice among IT staff to address common needs, interests, and opportunities in developing, operating and maintaining campus cyberinfrastructure at TCUs.

## **PLAN OF WORK**

### **Goal 1 – TCU Cyberinfrastructure Assessments**

#### **A. Preparing for the study - TCU outreach and engagement**

The initial TCU-CI<sup>2</sup> will be an executive awareness workshop scheduled during the fall AIHEC board meeting, attended typically by over eighty percent of the TCU presidents. The TCU-CI<sup>2</sup> project team will explain the importance cyberinfrastructure and connectivity to the college's ability to offer strong STEM programs and to create opportunities for their students to participate in STEM research and to prepare them when they continue their STEM education careers at regional universities.

The project manager will follow up by contacting the college's CIO to explain the study process in more detail, including online and on-site information gathering methods, and on-site support required for both online and on-site study phases.

#### **TCU Study Coordinator**

The presidents will be asked to identify a contact person, preferably the CIO, who will facilitate information gathering by the TCU-CI<sup>2</sup> team, and scheduling the college's site visit.

## **B. Discovery**

### **i. Initial Discovery:**

#### **Campus Computing Survey**

Technical lead Dale Smith will take a lead role in developing a survey with targeted components for each TCU stakeholder group: administrators, faculty, students, and staff. The survey will be developed and administered using the Survey Monkey survey platform. The survey will be designed to be completed in less than 20 minutes. While survey respondents will not be reimbursed for participation, it will be emphasized that their participation will help the college and NSF make decisions about allocation of resources for cyberinfrastructure upgrades. They will be assured that all responses will be strictly confidential and that no one at the college will have access to any individual's responses. The project manager will keep the colleges' CIOs informed of response rates for each stakeholder group so that additional outreach and encouragement may be applied by TCU staff as needed to achieve a statistically significant response rate.

Areas of campus stakeholder focus:

*Faculty:* satisfaction with quality of campus technology, instructional integration of IT, adequacy of IT user support, involvement with and issues associated with online/distance programming offered by the campus.

*Students:* satisfaction with quality of campus technology, use of technology to support course/academic work, on and off-campus, use of mobile technologies to support course/academic work

*Administrators:* satisfaction with quality of campus technology, use of technology to support administrative work, priority of campus technology in college strategic plan.

#### **Other information requests**

In addition to the campus survey, the colleges' academic administrators will be asked to provide descriptions of current and planned STEM education and research programs, ideally descriptions taken from their most recent accreditation self-study documents. The academic administrators will also be asked to provide information about existing partnerships with other educational institutions, the National Laboratories, and private industry. Collaborative activities conducted through these partnerships will be examined to identify opportunities to facilitate the goals of these partnerships with cyberinfrastructure resources.

The CIO will be asked to provide information about current and anticipated demands on IT infrastructure (e.g. data usage, peak loads), anticipated upgrades, networks for production use, security, ERP system, identity management system, compute capabilities (local and cloud), labs, advanced computing/networks specific to research; IT staff skills/training; IT budget for personnel and equipment/supplies.

### **ii. Campus visits**

Campus visits will be scheduled and conducted at all TCUs. The visits will involve individual and group interviews with all stakeholder groups, and a tour of the campus network and technology facilities. These visits will be formatted and managed following a single model so

that all site visits are conducted in the same way and collect the same sets of information from each campus.

Each site visit team will comprise a university CIO, a network engineer, and a technical writer. When feasible, TCU personnel will be used to field a team. While the CIOs and network engineers will be relatively interchangeable based on availability to participate in a given set of site visits, a core group of up to five technical writers/facilitators (one for each TCU region) will be recruited to the project. The technical writers will be asked to manage the site visits while onsite, ensuring that all meetings and the campus tour are conducted according to an agenda finalized in advance by the project manager and Co-PIs in coordination with the campus site visit team.

Mr. Dale Smith and Dr. Gil Gonzales will take a lead role in planning the campus site visits. Mr. Smith will serve as the overall technical lead, assisting with the recruiting, and coordinating the network engineer team members, while Dr. Gonzales will serve as the overall management lead, recruiting and coordinating the CIO team members.

Each team member will undergo preparatory training by webinar conducted by the PI, project manager, and members of the project team as needed. Each visit will follow the same structure and each site visit team member will follow a specific “playbook” based on their defined role on the team. This playbook will be designed in advance by the PI, Co-PIs and project team. Data and observations under each component of the study will be entered into survey documents.

Site visit team member responsibilities:

*CIO:* the CIO will interact primarily with the TCU leadership and faculty. Under the TCU leadership focus, the CIO will meet with the president and executive staff, and separately with the college CIO. Ideally, the first meeting will be an interview with the CIO to go over the information about the campus cyberinfrastructure collected through the survey and other submitted documents. The TCU-CI<sup>2</sup> CIO will discuss governance issues (e.g. the decision-making process involved in determining IT resource allocation decisions), campus perceptions of campus IT identified by the survey, status of campus IT planning, and other issues identified in the survey. A topic of particular focus will be a discussion of Internet connectivity issues, including the telecom environment, connectivity cost structure, regulations that impose limitations upon connection to regional Internet2 hubs, and opportunities to partner with Tribal agencies, schools and libraries to optimize connectivity sustainably.

The interview with the campus CIO will be followed with a meeting (ideally, immediately afterwards) with the college president and executive leadership team (deans and directors). During this meeting, also attended by the technical writer to take notes, the CIO will summarize the results of the campus survey and the interview with the campus CIO, and invite comments from the group. Focus of the discussion will be on issues associated with campus technology, including current IT plan, funding and campus programs supported by cyberinfrastructure.

The CIO will next meet with the college academic dean and STEM faculty to discuss current STEM education and research programs and activities, and the integration of cyberinfrastructure in the college’s STEM programs. This meeting will provide an opportunity for TCUs to

elaborate on information already shared during the initial discovery phase of the study. The CIO will provide examples of the use of cyberinfrastructure on his/her campus to support STEM program to stimulate discussion of campus cyberinfrastructure limitations or opportunities for program support not currently being exploited by the college.

*Network Engineer:* the network engineer will be responsible for confirming and/or expanding upon the cyberinfrastructure information collected during the initial discovery phase of the study. He or she will participate in the initial meeting with the CIO, followed by a group interview with available IT staff. The discussion will focus on campus IT architecture design, operation, management, and user support issues. An IT staff member will be asked to lead a tour of the campus network, including IT facilities, wiring closets, etc.

*Visit coordinator/Technical Writer:* The coordinator/write will participate in the CIO's meetings, taking notes and helping to facilitate discussions, particularly during the campus leadership team and STEM faculty meetings. In addition, the coordinator will co-facilitate a student meeting in which participating students will be asked to discuss their personal and course-related use of technology, their experience with the campus cyberinfrastructure, technology-enabled learning, and the degree to which the college meets their expectations in terms of access and use of technology in a higher education setting.

*Student facilitator:* A student at each campus will be recruited to assist the site visit team. The student will be asked to help get the word out to the student body about the meeting and to encourage attendance. He/she will also help identify specific topics of discussion that are likely to be of particular interest to students at that campus. The administrative assistant will work with each campus' student services personnel to identify an appropriate student.

## **TCU Site Visit Plan**

### **Pre-Visit**

1. Survey Results compiled for specific campus (Tech Lead)
2. Gaps and areas for further research identified for campus (Tech Lead)
3. Agenda for visit developed based on survey findings (PM, Tech and Management Leads) in coordination with TCU staff assigned to
4. Site visit team discussion (online or in person):
  - a. Agenda shared
  - b. Site visit protocol overview (playbook)
  - c. Assignments and expectations (playbook)
5. Travel arrangements and logistics finalized

### **Campus Visit**

1. Team arrives at hotel, has initial pre-meeting to confirm activities and roles
2. Campus visit begins: Orientation meeting with President and top administrators (script provided in playbook)
3. Individual/group interviews commence
4. Lunch (team meets briefly to check in)
5. Individual/group interviews continue
6. Exit interview with President and key stakeholders
7. If possible, team debriefs back at hotel or airport

**Post-Visit**

1. Each team member submits report, according to categories in playbook
2. Reports reviewed by Tech and Management Lead and comments provided in written form for tech writer.
  - a. If there are missing or incomplete items, Tech or Management lead will engage AIHEC staff to schedule follow-up correspondence, WebEx, or conference call to gather missing/incomplete items.
3. Tech Writer compiles initial report for campus
4. Campus report is merged into ongoing overall report
5. Campus report prepared to submit to TCU President

**Team Member Roles and Responsibilities**

<b>Team Member</b>	<b>Interviews (morning)</b>	<b>Interviews (afternoon)</b>	<b>Other responsibilities</b>
<b>CIO</b>	President, CIO, CFO, CAO	Meetings with faculty and deans	Focus on campus leadership, policy, and decision-making associated with CI
<b>Networking Engineer</b>	IT Director, Technicians	IT Director, Technicians	Focus on physical infrastructure, IT staffing, and security system
<b>Coordinator/Technical Writer</b>	Student/faculty individual and focus group meetings	Student/faculty individual and focus group meetings	Overall responsibility is to guide team members in data collection and then compile information into report
<b>Student (local)</b>	Assist Coordinator with focus group sessions	Assist Coordinator with focus group sessions	The local student will assist in engaging the student population, recruiting focus group participants
<b>Other?</b>			

**iii. Reporting**

*Preliminary report:* a report containing preliminary findings based on the campus survey results and interactions with TCU CIOs and other campus stakeholders during the outreach phase of the study will be submitted to NSF within the first year of the project.

*NSF TCU CI report:* The project team will generate an overall cyberinfrastructure status report of all 37 TCUs based on the outcomes of the campus surveys, site visits, and follow-up interactions with TCU stakeholders.

*TCU reports:* An individual report will be generated and submitted to each TCU that includes the cyberinfrastructure assessment component included in the NSF report, supplemented with specific recommendations for advancing the campus cyberinfrastructure that could be incorporated into the colleges' technology plans.

## **Goal 2 – TCU CI capacity and partnership-building**

The TCU-CI<sup>2</sup> project team will use the cyberinfrastructure study as a basis for IT capacity building and strategic partnership development focused on establishing high-quality and sustainable cyberinfrastructure that enables research and education programs at TCUs.

### a. IT staff Community of Practice (CoP).

The TCU CoP will provide a primary vehicle for dissemination of best practices, providing professional development opportunities for IT staff, and facilitating collaborations among TCUs and with regional and national partners. Through a face to face meeting and social media, the project will establish and sustain communications among TCU staff and faculty and non-TCU partners involved with maintaining and utilizing cyberinfrastructure to support STEM programs.

#### *TCU IT Summary Results*

An annual meeting will be convened at a TCU to which all TCU IT staff will be invited. IT staff will receive a travel stipend to encourage participation. The meeting will coincide with the annual AIHEC Spring Conference, which is held when most of the colleges are on spring break, and therefore a period of relatively reduced activity for campus IT staff.

The project manager will develop a preliminary analysis of the TCU campus technology survey results that will summarize TCU physical, programmatic and human resource strengths and deficiencies that could serve as areas of focus for improvement activities at multiple campuses. This analysis will provide an initial set of topics for discussion during the all-hands meeting and periodic webinars IT staff in Year 1. This discussion will help identify and discuss campus cyberinfrastructure issues that will both contribute to the TCU-CI<sup>2</sup> study and provide an opportunity to identify common issues that could motivate future CoP activities. The objectives for this initial meeting, the webinar series and social media interactions include:

- Establish connections and enable dialogue among IT staff across TCUs
- Stimulate exploration of emerging cyberinfrastructure technologies
- Capture and disseminate knowledge about TCU CI challenges and solutions
- Facilitate collaborations around specific CI issues/opportunities
- Encourage CC\* proposal planning by TCUs
- Organize online technical workshops (given additional funding)

An appropriate social media platform will be selected to support online discussions and collaborative project planning and implementation.

### b. STEM faculty

The outcomes of the TCU cyberinfrastructure study will provide a resource for identifying potential collaborations among TCU faculty and national STEM research and education partners.

- Multi-institution STEM planning
- Research/education partnerships
- Linkages with Internet2, e.g. K20 Initiative
- Partnerships with community and state and regional research and education networks

The study will identify STEM faculty at each TCU, their research interests, and interest in incorporating CI-facilitated educational technologies in their instruction. This information will

be used to create a TCU STEM directory to facilitate identifying potential CI-enabled collaborations. Discussions among TCU STEM faculty and others will be supported through webinars and the same social media platform used for IT staff.

### **Project Timeline**

- a. *Management:* The most important staffing component of the project will be the project manager. Within one week of award notification, AIHEC will advertise the position, and within four weeks have identified and hired an individual with strong management/communication skills with a high level of familiarity with TCUs and American Indian education.
- b. *Outreach:* The project team will make a presentation to the TCU presidents during the fall (October) board meeting explaining the study process, benefits to and expectations of the TCUs.
- c. *Survey:* Tech lead Dale Smith will develop a draft survey within the first 30 days of the project. Following a round of editing by the project team, the online survey will be administered within 45 days of project startup. The PM will monitor survey submissions and encourage CIOs of TCUs that have not submitted to complete the survey through email and phone calls. Dale Smith and the PM will begin analyzing the surveys as soon as they begin coming in. All surveys will have been submitted and analyzed and preliminary reports generated within 6 months of startup.
- d. *Site visits:* The PM and administrative assistant will begin scheduling site visits in coordination with the CIOs within 4 weeks of startup. Multiple campus visits trips will be scheduled to minimize costs. The site visit team will be recruited from among TCU IT personnel whenever possible. Otherwise, network engineers will be recruited from
- e. *Community of Practice:* the initial TCU IT staff meeting will be held during the spring 2017 AIHEC conference. A Facebook TCU IT page will be created within 4 weeks of startup and maintained by the administrative assistant.
- f. *Reporting:* The initial report based on the survey results will be submitted to NSF within 9 months of startup. Site visit reports will be submitted to each TCU within 4 weeks of the site visit. The final study report will be submitted to NSF within 90 days of completion of the project period of performance.





## **Management Plan**

AIHEC will administer the project. The AIHEC Administration and Finance Office will be responsible for all financial transactions associated with the grant and will ensure that expenditures are consistent with the project budget. The Office will provide quarterly and annual financial reports to the PI and NSF. Continued maintenance and development of the AIHEC Indigenous Evaluation web-based portal will be conducted by AIHEC staff under the direction of the PI.

AIHEC was established as a member-based organization in 1972 by the first six tribally-chartered institutions that were established to address the unmet higher education needs of American Indians. Today, AIHEC has grown to include 37 TCUs operating more than 75 sites, across 15 states, and serving about 80 percent of Indian Country. Thirty-five of these institutions are accredited; two are formally seeking accreditation. All of the TCUs provide culturally-relevant curricula, extended family support systems, community education and outreach services, and economic development strategies to help address the socioeconomic challenges that many American Indians face. AIHEC is the only organization that is composed solely of – and governed by -- every TCU in this country. (AIHEC's Board of Directors is composed of the president of each accredited U.S.-based TCU.) Through AIHEC, the TCUs work together to influence policy and establish programs in all facets of higher education; receive technical assistance in key areas; network with one another, federal agencies, other institutions, and potential partners; mentor new institutions; and plan new initiatives to address evolving areas of need.

To strengthen the management of this activity, this proposal will engage Gil Gonzales as the management lead and Dale Smith as the technical lead. These two individuals are well known in the research and education community, have significant experience as PIs on NSF funded activities, and a proven track record in managing large and complex projects.

## Project Team

Principal Investigator: Al Kuslikis, Senior Associate for Strategic Initiatives

Co-Principal Investigator: Jason Arviso, Chief Information Officer, Navajo Technical University

Co-Principal Investigator: Gil Gonzales, Chief Information Office, University of New Mexico

The TCU-CI2 Leadership Team includes the three investigators and the following project team members:

Jared Ribble, Assistant Director of Information Technology, Navajo Technical University

Tom Davis, Provost Emeritus, Navajo Technical University

Elaine Rising, Associate Director of Community Programs & Strategic Projects, Office of the CIO, University of New Mexico

William Harvey Allen, Assistant Director, Network Startup Resource Center

## Advisory Board

Henry Neeman, Director of Oklahoma Supercomputing Center for Education and Research  
Geoffrey Fox, Computer Science and Informatics, Indiana University  
David Gift, Associate Vice President, Community Engagement, Internet2  
Malcolm Brown, Director, EDUCAUSE Learning Initiative  
Microsoft (tbd)  
HP (tbd)  
Dell (tbd)  
ORNET (tbd)  
IRON (tbd)  
Sun Corridor Network (tbd)  
PNWG (tbd)

## **Dissemination Plan**

# AIHEC-CAEL TCU Adult Student Success Initiative (TASSI)

## Planning Proposal

June 24, 2016

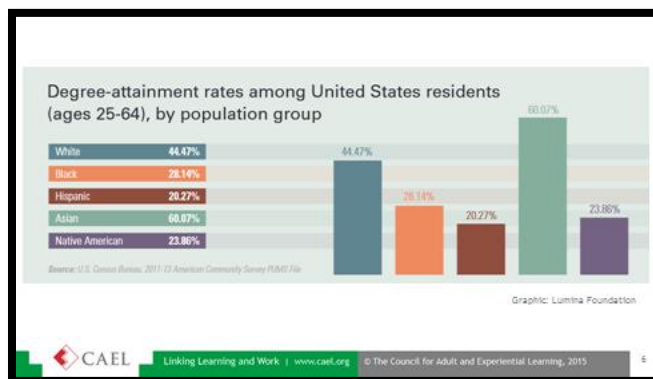
### SUMMARY

The American Indian Higher Education Consortium (AIHEC) and the Council for Adult and Experiential Learning (CAEL) have established a partnership – the TCU Adult Student Success Initiative (TASSI) -- to increase college completion rates among American Indian and Alaska Native adults, thousands of whom are unemployed or in the workforce without adequate post-secondary education credentials. Focused on capacity building at the nation's 37 Tribal Colleges and Universities (TCUs), this joint effort will create a Competency-Based Education (CBE) Community of Practice among administrators, faculty and staff of TCUs committed to transformational change in course and program design, student advisement, and engagement with local and regional employers. One of the key outcomes of this initiative will be an increase in the number of American Indian and Alaska Native adults who complete their degrees at TCUs.

AIHEC and CAEL propose to implement a one year planning process to: (a) identify and prepare a cohort of 10 TCUs committed to implementing the CBE model; (b) develop a training and technical support implementation plan through which participating TCUs will access training and technical support resources needed to strengthen their adult learning and completion focus, including using proven tools and strategies for CBE and prior learning assessment (PLA) and acknowledging the learning that adults bring to their academic programs; (c) articulate metrics for the success of the initiative in collaboration with the selected cohort of TCUs; and (d) develop a draft research and documentation plan.

### BACKGROUND

Tribal Colleges are currently producing an American Indian workforce that includes Head Start teachers, elementary and secondary school teachers, agriculture and land management specialists, engineers, computer programmers, and nurses. For example, Oglala Lakota College and Salish Kootenai College graduate more American Indian nurses than any other institutions of higher education. Thirteen TCUs offer baccalaureate degrees in education, environmental science, computer science, and more. Five TCUs offer master's degrees, and all of the TCUs offer certificate and associate degrees in high-demand fields. They provide culturally-relevant curricula, extended family support systems, community education and outreach services, strong K-12 partnerships, and economic development strategies that are helping tribes address the socioeconomic challenges they face. Still, less than one-quarter of adult American Indians and Alaska Natives (AI/ANs) in the U.S. have earned a 2- or 4-year degree (compared to nearly 44 percent of White adults). With the right tools and a strong commitment, the potential is tremendous to significantly “move the needle” on AI/AN higher education completion. Without question, much more can and must be done to ensure that TCU programs are more accessible to adult learners and more responsive to their employment goals and opportunities. This is particularly important in the context of the national goal to lead the world in the number of college graduates by 2020, and the more ambitious Lumina Foundation Goal 2025: by 2025, 60 percent of *all* Americans will hold a college degree, certificate, or credential. To achieve this goal, AI/AN degree attainment rates must rise nearly 40 percent in many states with TCUs, including New Mexico and South Dakota, for example, where current attainment rates are 20 and 22 percent respectively.



At the conclusion of the TASSI planning phase, AIHEC and CAEL will have brought together a cohort of committed TCUs with whom we will have developed individualized CBE implementation plans that will provide a roadmap for instituting new academic and student support practices that will lead to increased student enrollments, accelerated completion rates, and higher employment rates among AI/AN adults.

## **PLAN OF WORK**

### **a. TCU Outreach and Recruitment**

AIHEC will conduct three informational webinars targeting TCU presidents, academic administrators and student services staff, respectively. Project staff will describe the CBE model and the Adult Learning Focused Institution (ALFI) assessment process, which was created by CAEL in 2003 with funding from the Lumina Foundation. Each webinar will emphasize the aspect of the CBE model most relevant to the role of each target group. Follow-up conference calls will be arranged with TCU administrators that express interest in the project to discuss the adoption process in more detail and to initiate the planning process for their campus, with the goal of identifying at least 10 interested TCUs.

### **b. CBE Planning and Preparation: CBE Planning Workshop**

Teams of chief academic officers, faculty and student services personnel from each TCU committed to participating in TASSI will be invited to attend a CBE planning workshop. The workshop will be held in a location relatively central and accessible to all participating TCUs. The workshop will provide participants information about the critical principles for designing competency-based education, including current trends in CBE and PLA and the importance of and best practices for developing employer partnerships. Roles and responsibilities of CAOs, faculty and staff in the adoption process will also be discussed. One-on-one sessions with individual TCU teams will provide the TASSI team information about the specific CBE priorities and challenges for each campus that must be considered in developing their implementation plan. A comprehensive plan for implementing CBE at each of TCUs participating in the initial TASSI cohort will be developed based on input from the planning meeting and follow-up discussions.

### **c. ALFI Assessment**

During the first phase of work, 10 TCUs will be recruited to participate in the ALFI assessment process. Two surveys will be administered, one completed by administrators and faculty and a second survey completed by adult students. Both surveys are designed to determine the institution's responsiveness to the needs of adult learners in nine categories:

- Outreach
- Life and career planning
- Financing
- Assessment of learning outcomes
- Teaching-learning process
- Student support systems
- Technology
- Strategic partnerships
- Transitions

The outcomes of the ALFI assessment process will provide the basis for a customized technical assistance plan developed for the 10 TCUs, based on the specific support needs for implementing their roadmap for change. Administrators from participating TCUs will work with CAEL technical assistance staff to finalize their plan, which will include implementation of an effective PLA program; incorporating best practices in the use of technology for teaching and learning and support services; improving career counseling for adults; building strategic alliances with community and industry stakeholders; and other specialized approaches that target specific areas of improvement identified in the ALFI assessment.

### **d. Community of Practice Convening**

AIHEC will convene representatives from the TCUs participating in the ALFI Assessment portion of the TASSI project, most likely during the annual AIHEC Student Conference. This will provide an opportunity for the institutions to discuss the findings of the ALFI assessment and begin planning how to address the issues identified through

technical assistance from CAEL during the second phase of the project. Each participating school will receive a \$1,000 travel stipend.

#### **e. Prior Learning Assessment Funding**

During the TASSI planning phase, AIHEC advocacy staff will approach the U.S. Department of the Interior-Bureau of Indian Education, the Office of Management and Budget, and the Congress to request support for a strategy to be put in place by the BIE to provide funding that will minimize the cost of PLA to TCUs and their students. If achieved, funding support from the BIE will help ensure that adult students do not face financial obstacles that may prevent them from taking advantage of the opportunity to use PLA to accelerate completion of a degree program. CAEL and AIHEC staff will also explore other philanthropic funding sources for the entire TASSI project during the planning phase.

#### **f. Research and Documentation Plan**

The research and documentation plan will focus on the institutional improvement impact of the project and will be designed to track the progress of each participating TCU over time, using AIHEC AIMS program data to establish a baseline. The plan will include analysis of survey data to be conducted both in the context of the institutions (outcomes in terms of changes in policy and institutional practices) and their students (growth, retention, and completion of adult learners). The documentation plan will focus on the impact of institutional changes in terms of programs, services, and adult student outcomes. From this work, the project team will develop a case study publication showcasing the stories and outcomes from the TCUs.

During the first phase, research and documentation will include the development of case studies of two TCUs to be selected based on the ALFI findings. These case studies will focus on institutions that are seen as among the most adult learner focused based on the findings of the ALFI surveys.

#### **Planning Phase Deliverables**

At the conclusion of the planning period, the project team will have secured the commitment of 10 TCUs to adopt the CBE model. These institutions will have participated in the ALFI assessment process and with assistance from the CAEL support team, developed a detailed CBE adoption/implementation plan. Key deliverables include:

- a. Planning meeting with interested TCUs
- b. Site visits to 10 TCUs for ALFI assessment and CBE workshops by CAEL staff
- c. ALFI assessment reports shared with TCUs
- d. Development of communities of practice based on the identification of common issues through the ALFI assessment
- e. Online technical assistance/coaching consultation to support initiation of CBE implementation
- f. Research and documentation plan
- g. Case studies on two institutions

#### **PHASE II: TOWARD FULL IMPLEMENTATION**

This planning phase will prepare 10 TCUs to implement the CBE model comprehensively, involving the academic program, support services, and institutional leadership in the process, thereby initiating a CBE community of practice that we expect will expand to include many more TCUs. All TCUs that choose to adopt the CBE model will work with the AIHEC/CAEL team to implement a "blueprint for change" with the following components:

1. Competency Based Education "Jumpstart": TCUs choosing to adopt CBE will host a CBE "Jumpstart" workshop for their campus community. Developed with funding from the Lumina Foundation, the CBE "Jumpstart" workshop will provide each college an overview of CBE and the steps to be taken should the institution decide to implement the CBE model in any of its academic programs.
2. ALFI Assessment: Additional participating TCUs beyond the 10 from the first phase will schedule an ALFI assessment (see below), which will be implemented with support from CAEL team.

3. CBE Implementation Support: Participating TCUs will receive assistance in developing a competence framework for selected courses and programs, identifying or creating assessments, orienting faculty and staff, and marketing the CBE program. Each TCU will be asked to identify a CBE coordinator whose responsibility will be to project manage the implementation process. All of the TCU CBE coordinators will meet regularly by webinar to share experiences, particularly successful strategies for facilitating the CBE adoption process. This community of CBE practice will facilitate accountability and collaboration among CBE implementers across TCUs and will generate a knowledge base of CBE implementation best practices at TCUs.
4. Career Advisement Training: Career advising is the service frequently rated as the most unsatisfactory among the ALFI-surveyed areas. Adult students have needs that are different from those of traditional college-age students, and advisors often do not do a good job of relating academic programs to careers, and at TCUs in particular, they often do not know where and how to access information on the types of jobs that are growing, those that are disappearing, and what competencies and skills are needed. TCU advisors and faculty members who provide career advisement will receive customized onsite training to increase their effectiveness. To address this need, CAEL created a 12-week on-line certification course for advisors that provides in-depth information on topics related to adult learners. A customized version of the course that includes content specific to the challenges of advisors and faculty at the TCUs, including content addressing the unique needs of military veterans, will be developed and offered online to TCU student support staff. The course will provide specific strategies for advisors in helping TCU students choose and complete their programs. The course will include a focus on helping advisors use local labor market information so they can better provide students information about specific job and career options and the specific competencies required by them.

## Management Plan

### AIHEC

**Nikki Pitre** will serve as Project Director, providing overall management of the project. Working closely with AIHEC President and CEO Carrie Billy, Ms. Pitre will work with the CAEL project coordinator to plan, schedule and conduct outreach, training, and technical support activities associated with the TASSI project. Responsibilities for the project director will include:

- Coordinating with CAEL and TCU administrators and staff to ensure project activities are being carried out as specified in the plan of work
- Scheduling and conducting the introductory webinar series
- Communicating with TCU presidents and other administrators about the project at each stage of implementation
- Supporting CAEL staff in administration of the ALFI survey
- Convening annual advisory committee meeting by webinar
- Compiling and submitting progress reports as required

**Katherine Page**, AIHEC research and policy associate, will assist with data management and analysis under the TASSI project. She conducts data analysis and compiles the biannual AIHEC-AIMS report.

### CAEL

A **Project Coordinator** for CAEL activities will work closely with the AIHEC Director to manage all training and technical support logistics and to ensure that all activities are completed as called for in the proposal.

**Dorothy Wax**, CAEL Associate Vice President for Operations, will serve as lead member of the CAEL technical assistance team.

**AIHEC-CAEL TCU Adult Student Success Initiative  
DRAFT BUDGET**

<b>PERSONNEL</b>	
AIHEC Project Staff (project manager) .15 FTE x 12 months	\$32,000
CAEL Project Coordinator .2 FTE x 12 months	\$64,000
<b>TRAVEL</b>	
AIHEC CBE planning meeting (1 x \$1,500)	\$1,500
CAEL Annual Cohort meeting (2 x \$1,500) AIHEC Board Meeting (2 x \$1,500)	\$6,000
ALFI Assessment Site Visits 10 visits x \$1,500	\$15,000
TCU faculty and staff CBE planning meeting (20 x \$1,500)	\$30,000
Communities of practice meetings based on ALFI findings to be held at AIHEC Student Conference Stipend of \$1,000 each for 10 schools	\$10,000
<b>OTHER</b>	
<b>ALFI Assessments</b>	
ALFI Assessment data collection, analysis, and report generation \$6,000 x 10 TCUs	\$60,000
<b>CASE STUDIES</b>	
Two case studies based on ALFI assessments	\$5,000
<b>TOTAL DIRECT COSTS</b>	
	\$223,500
Indirect costs (12.2%)	\$27,267
<b>TOTAL COSTS</b>	<b>\$250,767</b>

**AIHEC Contact Information**

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## AIHEC BOARD OF DIRECTORS MEETINGS

DATE	MEETING	LOCATION
July 14-16, 2016	<b>AIHEC Summer 2016 Board Meeting</b>	Denver, CO
Oct. 6-8, 2016	<b>AIHEC Fall 2016 Board Meeting</b>	New Orleans, LA (in conjunction w/ACCT)
February 6-9, 2017	<b>AIHEC 2017 Winter Meeting</b>	Washington, D.C.
March 16-18, 2017	<b>AIHEC Spring 2017 Board Meeting</b>	Best Western Ramkota Hotel & Conference Center Rapid City, SD
<i>March 19-21, 2017</i>	<i>AIHEC 2017 Student Conference</i>	<i>Best Western Ramkota Hotel &amp; Conference Center Rapid City, SD</i>
July 13-15, 2017	<b>AIHEC Summer 2017 Board Meeting</b>	Denver, CO or TCU venue
Oct. 5-7, 2017	<b>AIHEC Fall 2017 Board Meeting</b>	Orlando, FL: in conjunction w/NIEA
<i>Oct. 4-7, 2017</i>	<i>NIEA Annual Conference</i>	<i>Orlando, FL</i>
February 12-15, 2018	<b>AIHEC 2018 Winter Meeting</b>	Washington, D.C.
Spring 2018	<b>AIHEC Spring 2018 Board Meeting</b>	TBA
<i>March 11-14, 2018</i>	<i>AIHEC 2018 Student Conference</i>	<i>North Dakota</i>
Summer 2018	<b>AIHEC Summer 2018 Board Meeting</b>	Denver, CO or TCU venue
<i>Spring 2019</i>	<i>AIHEC 2019 Student Conference</i>	<i>NW/Montana</i>
<i>Spring 2020</i>	<i>AIHEC 2020 Student Conference</i>	<i>Southwest/OK</i>





American Indian Higher Education Consortium, 121 Oronoco Street, Alexandria, VA 22314

**ACCT-AIHEC Governance Institute for Student Success-Tribal Colleges and Universities (GISS-TCU2)**

October 8-9, 2016

The American Indian Higher Education Consortium (AIHEC) and the Association of Community College Trustees (ACCT) are pleased to invite you and your board members to the second **Governance Institute for Student Success-Tribal Colleges and Universities (GISS-TCU2)** on October 7-9, 2016, in New Orleans, Louisiana. [Like the GISS-TCU last year](#), the institute will be held directly after the AIHEC’s Fall Board of Directors meeting and the ACCT’s Leadership Congress. Thanks to generous funding from the Lumina and Bill and Melinda Gates foundations, there is no cost (registration fee) to you or your board members for this training opportunity and meals will be provided during our sessions. You are responsible for travel and lodging costs only.

The GISS-TCU 2015 generated great energy for advancing effective and data-informed governance. We will continue building on this momentum during the second institute. To maximize the impact of the institute on your board, we hope both you and your board members will attend this year.

Objectives of the GISS-TCU 2 are to:

1. Foster effective governance that will help TCU students succeed and graduate,
2. Continue to provide boards with tools that strengthen their use of data,
3. Facilitate evidence-informed policy development through information sharing, and
4. Help presidents and boards stay the course in data-informed governance and student success.

Details regarding location and logistics are:

**LOCATION & MEETING TIME:**

Hilton New Orleans Riverside  
Two Poydras Street, New Orleans, LA 70130

**DATES/TIMES**

Friday, October 7	5:00 p.m. – 6:30 p.m.	<b>GISS-TCU 2 Institute Overview and Preparation</b>
Saturday, October 8	10:30 a.m.-12:00 p.m.	<b>ACCT Leadership Congress Closing Brunch</b> ( <i>All registered GISS-TCU 2 participants are invited</i> ) or free time to enjoy New Orleans
Saturday, October 8	12:30-5:00 p.m.	<b>GISS-TCU 2 Institute</b>
Sunday, October 9	8:30 am - 5:00 p.m.	<b>GISS-TCU 2 Institute</b> ( <i>Breakfast &amp; lunch included</i> )
Monday, October 10	Travel Day	

**WHO SHOULD ATTEND?**

Presidents and entire boards are welcome and encouraged to attend, but institutional teams of **at least two governing board members and** the president should attend. Larger board member attendance increases the likelihood that what is learned at the institute will be put into action. Key senior administrative and institutional research staff are also welcome. All attendees should participate in the entire institute.

**GISS-TCU REGISTRATION**

You may register your college's GISS-TCU2 participants on line using this link: [http://www.governance-institute.org/temp/index.php/component/eventbooking/?task=view\\_event&event\\_id=11&Itemid=0](http://www.governance-institute.org/temp/index.php/component/eventbooking/?task=view_event&event_id=11&Itemid=0).

Registration is open now through **September 15, 2016**. Thanks to the generous support of the Lumina and Bill and Melinda Gates foundations, **there is no registration fee for this event**. (Note: Registration is separate for AIHEC's Fall AIHEC Board Meeting. See box below.)

**HOTEL ACCOMMODATIONS**

If you are attending the GISS-TCU 2 and/or the AIHEC 2015 Fall Board Meeting, but not the 2015 ACCT Leadership Congress, and would like to stay at the hotel where the GISS will be held, please make your reservations using the following link: <https://aws.passkey.com/event/14559704/owner/107/home> and the passcode key: **AHIEC2016**. We highly recommend booking your hotel early to take advantage of the Early Bird registration rate. The cut-off date for this rate is September 15, 2016. **Each college is responsible for making its own reservations and covering all travel/accommodation expenses.**

**2016 ACCT LEADERSHIP CONGRESS REGISTRATION**

Since your college is a member of ACCT, **your trustees/regents/directors can register at the ACCT member rate for ACCT's 2016 Annual Leadership Congress**. This event will also take place at the Hilton New Orleans Riverside. Please register at: <http://www.acct.org/acct-congress-registration>. A secure hotel reservation link will be provided to you once you have finalized registration.

**Summary of Events/Registration**

Event	Dates	Registration Period	Registration Link
<b>2016 ACCT Leadership Congress</b>	October 5-8, 2016	Separate registration required. Register by August 1 for Early Bird registration & Sept. 15 for discount hotel rate	<a href="https://registration.experientevent.com/ShowACT162/Flow/ATT#/registrant//Member/">https://registration.experientevent.com/ShowACT162/Flow/ATT#/registrant//Member/</a>
<b>AIHEC Meetings</b>	October 6-7 2016	Separate registration required. See AIHEC website.	<a href="http://www.aihec.org/who-we-are/calendar.cfm">http://www.aihec.org/who-we-are/calendar.cfm</a>
<b>GISS-TCU 2</b>	October 8-9, 2016	March 4 – September 15 Discount hotel rates end Sept. 15.	<a href="http://www.governance-institute.org/temp/index.php/component/eventbooking/?task=view_event&amp;event_id=11&amp;Itemid=0">http://www.governance-institute.org/temp/index.php/component/eventbooking/?task=view_event&amp;event_id=11&amp;Itemid=0</a>

Please contact GISS Program Specialist Cindy Lopez ([clopez@acct.org](mailto:clopez@acct.org); 202-775-4456) or Dr. Norma Goldstein ([ngoldstein@acct.org](mailto:ngoldstein@acct.org); 202-775-6488) with any questions.

We look forward to the opportunity to once again serve your college and to seeing your team in October!

Sincerely,

Carrie Billy  
President & CEO  
AIHEC

Narcisa Polonio  
Executive Vice President  
ACCT

**LEADERSHIP  
CONGRESS '16** 

**NEW ORLEANS**  
October 5-8, 2016

**Call to Action: Leading With Intent**  
***Register Now: [www.acct.org/Congress2016](http://www.acct.org/Congress2016)***

**Share best practices,  
discuss innovations,  
and network with  
over 2,000 trustees,  
chancellors, presidents,  
and experts.**

**Keynote Presentations**



**Joseph A. Garcia**  
Lt. Gov. of Colorado  
Incoming President, Western Interstate Commission  
for Higher Education



**Cokie Roberts**  
NPR & ABC News Commentator



**Barbara Gellman-Danley, President**  
The Higher Learning Commission

**Hosted by Louisiana Community and Technical College System,  
Mississippi Community Colleges, and Texas Gulf Coast Community Colleges**

## DRAFT: Fall 2016 AIHEC Board of Directors Meetings



October 7–9, 2016  
 New Orleans Hilton Riverside  
 Two Poydras Street, New Orleans, LA | 504.561.0500

TRIBAL Colleges and Universities: *Educating, Engaging, Innovating, Sustaining*

DAY / DATE	TIME	SCHEDULE OF EVENTS	MEETING ROOM
WEDNESDAY OCT 5	<b>TRAVEL DAY</b>		
OCT 5	5:00 PM – 6:30 PM	EXECUTIVE COMMITTEE	
OCT 5-8	<b>ACCT 2016 LEADERSHIP CONGRESS: TCU GOVERNING BOARD MEMBERS INVITED</b> <i>(SEPARATE REGISTRATION REQUIRED – TCU TRUSTEES/REGENTS ARE ENCOURAGED TO ATTEND)</i> HILTON NEW ORLEANS RIVERSIDE– NEW ORLEANS, LA		
THURSDAY OCT 6	8:00 AM – 5:00 PM	AIHEC STUDENT CONGRESS (ASC) MEETING	
	8:00 AM – 10:00 AM	RESEARCH COMMITTEE MEETING	
	10:30 AM – 12:00 PM	OPENING PLENARY SESSION: <i>WELCOME &amp; MEETING OVERVIEW</i>	
	12:00 PM – 1:30 PM	LUNCH: <i>ON YOUR OWN</i>	
	1:30 PM – 3:30 PM	MEMBERSHIP AND ACCREDITATION COMMITTEE	
		STUDENT ACTIVITIES COMMITTEE	
	3:30 PM – 5:30 PM	FINANCE & AUDIT COMMITTEE	
TRIBAL COLLEGE JOURNAL ADVISORY BOARD			
FRIDAY OCT 7	8:30 AM – 5:00 PM	<u style="color: red;">AIHEC BOARD OF DIRECTORS MEETING</u> <i>Buffet breakfast beginning at 7:45 a.m.                      Lunch will be provided</i>	
OCT 7	8:30 AM – 5:00 PM	ASC WORKING SESSION ON KEY INITIATIVES	
OCT 7	5:00- 6:30 PM	GISS-TCU 2 Institute Overview and Preparation	
SATURDAY. OCT 8	10:30 AM – 12:00 PM	<b>ACCT LEADERSHIP CONGRESS CLOSING BRUNCH</b> <i>(All Registered GISS-TCU 2 participants are invited)                      or free time to enjoy New Orleans</i>	
	12:30 PM – 5:00 PM	GISS-TCU 2 Institute	
SUNDAY OCT 9	8:30 AM – 5:00 PM	GISS-TCU 2 Institute <i>(Breakfast and Lunch Included)</i>	

**NOTE:** This is the **DRAFT** version of the Printed Schedule of Events. Please check the AIHEC website for updates.

Last Updated: 7/1/2016

**REGULAR MEMBERS:**

**Aaniih Nakoda College**

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*(formerly: Ft. Berthold Community College)*

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