

DIRECTORY OF  
LOCAL TRUSTS AND FOUNDATIONS  
(Broad General Funding)

This Directory is designed to identify Trusts, Foundations and Organizations that make charitable gifts on request to support projects to benefit our community. We hope it will be helpful in orienting you to some of the available resources provided by local philanthropies.

In this third edition, only organizations who have consented to be listed have been included.

April 1978

Prepared by

Volunteer Service Bureau,  
200 N. Vineyard Blvd. Rm. 603  
Honolulu, HI. 96817  
Phone: 536-7234

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DIRECTORY OF LOCAL TRUSTS AND FOUNDATIONS

CHUNG KUN AI FOUNDATION

c/o City Mill Co., Ltd.  
P.O. Box 1559  
Honolulu, Hi. 96806  
Attention: Mrs. Esther Chong,  
Trustee

Grants made to churches, educational institutions and tax-exempt organizations; scholarships. Grants usually made during the last quarter of the year, but will consider special projects during the year.

Application made by letter-

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BARBARA COX ANTHONY FOUNDATION

3944 Noela Place  
Honolulu, Hi. 96819  
Attention: Mrs. B. Cox Anthony,  
President & Director  
Phone: 525-8511  
Attention: Mrs. Jane Giddings

Grants and loans to organizations and individuals awarded on a personal basis.

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ATHERTON FAMILY FOUNDATION

c/o Hawaiian Trust Co., Ltd.  
P.O. Box 3170  
Honolulu, Hi. 96802

Phone: 525-8511  
Attention: Mrs. Jane Giddings

Provides grants and loans to assist in establishing, maintaining or promoting, religious (Protestant, Christian) charitable, educational or scientific works or enterprises for the primary benefit of Hawaii residents. Submit four copies. Deadline: six weeks prior to meetings held six times a year.

HAROLD K.L. CASTLE FOUNDATION

c/o Kaneohe Ranch  
Kaneohe, Hi. 96744  
Phone: 247-2184  
Attention: Mr. James C. Castle

Local giving to tax-exempt organizations only.

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SAMUEL N. AND MARY CASTLE FOUNDATION

c/o Hawaiian Trust Co., Ltd.  
P.O. Box 3170, Honolulu 96802  
Phone: 525-8511  
Attention: Mrs. Jane Giddings

Financial assistance (but seldom sole support) to charitable, tax-exempt organizations in Hawaii to develop new programs and capital projects that will provide direct benefit to Hawaii residents. six copies. Deadline: six weeks prior to meetings held in Feb., May, August, and November.

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DIRECTORY OF LOCAL TRUSTS AND FOUNDATIONS

JESSIE ANN CHALMERS CHARITABLE TRUST

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804  
phone: 536-3711  
Attention: Mrs. Lois Smouse

Local giving to tax-exempt organizations. Guideline for application procedure available upon request.  
five copies. Deadline: Jan. 15 and July 15.

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CHAMBER OF COMMERCE OF HAWAII  
PUBLIC HEALTH FUND

735 Bishop St., Honolulu, 96813  
Phone: 531-4111  
Attention: Leonard Withington

Grants made for projects involving public health education, research and legislation for which funds are not available from other sources. Funds normally used as "seed money" and are limited to City and County of Honolulu. Applications available upon request. January and July distribution dates.

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CLARENCE T.C. CHING FOUNDATION

233 Merchant St., Honolulu, 96813

Grants to organizations.

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CHARLES M. AND ANNA C. COOKE, LTD.

c/o Hawaiian Trust Co., Ltd.  
P.O. Box 3170, Honolulu 96802  
Phone: 525-8511  
Attention: Mrs. Jane Giddings

Provides "seed money" to tax-exempt charitable organizations primarily involved in Culture and Arts, Humanities and Education which will benefit Hawaii's residents.  
seven copies. Deadline: six weeks prior to end of calendar quarter.

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THE DAVIES FOUNDATION

P.O. Box 3020, Honolulu 96802  
Phone: 531-8531  
Attention: Mr. C.H. Holt, Trustee

Grants to organizations.

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DIRECTORY OF LOCAL TRUSTS AND FOUNDATIONSLOWELL D. LINGHAM FOUNDATION

P.O. Box 3468

Honolulu, Hi. 96802

Attention: Miss E.A. Rodiek

Funds for charitable, religious, scientific, literary, or education objects and purposes. Funds very limited.

WALTER AND LOUISE LINGHAM FOUNDATION

P.O. Box 3468

Honolulu, Hi. 96802

Attention: Miss Rodiek

Grants to organizations only; preference for educational projects. Limited funds.

Application procedure informal; should be in by end of October.

J.C. EAREE FAMILY FOUNDATION

c/o Hawaiian Trust Co., Ltd.

P.O. Box 3170, Honolulu 96802

Grants to charitable non-profit organizations. No scholarships.

Phone 525-7571

Attention: Mr. George R. Carter

P.O. Box 3170, Honolulu 96802

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Attention: Mrs. Jane Giddings

A community trust responsible for charitable gifts, donations and requests made over the years by many donors. It is made up of about 25 funds, some of which are reserved and semi-designated. The following are not: General Fund- educational, scientific, recreational or social welfare programs that would especially benefit Hawaiian youth in rural areas. Small grants & income supplements for financially needy. Winifred D. Robertson Fund - for the comfort and relief of adults who reside on Oahu; Alice M.G. Soper Fund for defraying partial expenses of the aged, sick and infirm who are without adequate means of their own. Lillian Kimball Wilder Fund- for the benefit of the Hawaiian people. Irving L. Singer Fund- for the needy and poor peoples of Hawaiian descent.

**Attention: Philip T. Gialanella**

Grants to tax-exempt organizations which provide a service not funded through regular welfare or government agencies. Meetings held at least twice a year. Requests for grants or contributions should be made either Jan. 31 or June 30.

**Phone: 847-4241, ext.125**

Grants to tax-exempt organizations only.

By letter of inquiry.

Attention : Mrs. Miriam Horita

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## DIRECTORY OF LOCAL TRUSTS AND FOUNDATIONS

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804

Attention: Mr. Dennis McCarthy

Grants and loans to organizations and individuals, especially projects on Hawaii, culture, youth, the East-West Center and athletic participation in international events.

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P.O. Box 1876, Honolulu 96805

**Attention: Wing Tek Lum**

Grants to tax-exempt organizations

only. Also Bishop Trust Co., Ltd.  
100, Queen's Road, Hong Kong

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[illegible]

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu, 96804

Attention: Mrs. Lois Smouse

Wide scope local giving to tax-exempt organizations only, excluding religious groups. See 51100 Guideline for application procedure available upon request.

Seven copies. Monthly meetings.

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c/o Hawaiian Trust Co., Ltd.  
P.O. Box 3170 - Honolulu 96802

Attention: Mrs. Jane Giddings

Foundation gives to selected charitable organizations. Few unsolicited grant proposals are considered.

P.O. Box 3390, Honolulu 96804  
c/o Bishop Trust Co., Ltd.

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1374 Nuuanu Ave., Honolulu 96817

Narrow scope giving to tax-exempt organizations like schools, churches hospitals and health organizations.

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**DIRECTORY OF LOCAL TRUSTS AND FOUNDATIONS**

**ANNE H. PARKE TRUST ESTATE**

c/o Hawaiian Trust Co., Ltd.  
P.O. Box 3170, Honolulu 96802  
Phone: 525-8511

Funds designed to eight specific charitable organizations; no unsolicited requests considered.

Attention: Mrs. Jane Giddings

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**SOPHIE RUSSELL TESTAMENTARY TRUST**

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804

Grants to tax-exempt organizations only, especially for projects benefitting nursing care and handicapped children.

Phone: 536-3771

Five copies. Deadline: Jan. 15 and July 15

Attention: Mrs. Lois Smouse

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**STRANGERS' FRIEND SOCIETY FUND**

Child and Family Service  
Rm. 20-B, 200 N. Vineyard Blvd.  
Honolulu, 96817

Prefer requests from agencies on behalf of individuals. Limited emergency financial help to individuals in need when other community resources unavailable. Requests will be screened by telephone first; to be followed by request in writing, if accepted.

Phone: 521-2377

Attention: Intake Section  
Stranger's Friend Referral

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**SULTAN FOUNDATION**

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804

Grants to the Sultan School in Hawaii and to tax-exempt organizations at the discretion of Mrs. Sultan. Requests not solicited.

Phone: 536-3771

Attention: Mrs. Lois Smouse

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DIRECTORY OF LOCAL TRUSTS AND FOUNDATIONS

ALBERT T. AND WALLACE T. TERUYA  
FOUNDATION

1005 Pawaia Lane, Honolulu 96814

Phone: 521-6946

Attention: Mr. Raymond T. Teruya

Wide scope grants and loans to tax-exempt organizations and to individuals.

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BERNICE AND CONRAD VON HAMM  
FOUNDATION

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804

Phone: 536-3771

Attention: Mrs. Lois Smouse

Grants to tax-exempt organizations only, especially for business-oriented educational projects.

Four copies. Deadline: September 1.

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ELSIE H. WILCOX FOUNDATION

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390 Honolulu 96804

Phone: 536-3771

Attention: Mrs. Lois Smouse

Local giving to tax-exempt organizations only, especially for Kauai projects. Assistance to organizations on other islands whose programs, in general, benefit entire State.

Guideline for application procedure available upon request.  
Four copies. Deadline: October 1.

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G.N. WILCOX TRUST

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804

Phone: 536-3771

Attention: Mrs. Lois Smouse

Primary local giving to tax-exempt organizations only, with priority given to Kauai requests.  
Guideline for application procedure upon request.  
Five copies. Deadline: Feb. 1, May 1, August 1, November 1.

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**DIRECTORY OF LOCAL TRUSTS AND FOUNDATIONS**

**S.W. WILCOX TRUST**

c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804

Phone: 536-3771

Attention: Mrs. Lois Smouse

Grants to tax-exempt organizations for activities which primarily benefit Kauai. Grants to: grove-farm, Waioli mission, Lyman museum and Wilcox hospital.

Requests not solicited.

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**C.S. WO FOUNDATION**

P.O. Box 1417, Honolulu 96806

Phone: 531-2051

Attention: Mr. James C. Wo,  
Secretary, Board of Trustees

**Pre-committed funds.**

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Local giving to tax-exempt organizations only, especially for Kauai. Projects on other islands whose projects, in general, benefit entire State.  
Guidelines for application procedure available upon request.  
Four copies. Deadline: October 1.

**ELLEN H. WILCOX FOUNDATION**  
c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804  
Phone: 536-3771  
Attention: Mrs. Lois Smouse

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Primary local giving to tax-exempt organizations only, with priority given to Kauai requests.  
Guidelines for application procedure upon request.  
Five copies. Deadline: Feb. 1. May 1.  
August 1. November 1.

**S.W. WILCOX TRUST**  
c/o Bishop Trust Co., Ltd.  
P.O. Box 2390, Honolulu 96804  
Phone: 536-3771  
Attention: Mrs. Lois Smouse

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February 23, 1978

Mr. J. D. Rockefeller, III  
President  
JDR III Fund  
50 Rockefeller Plaza, Room 1034  
New York, New York 10019

Dear Mr. Rockefeller:

In 1976, a number of my Hawaiian constituents built and sailed a replica of an ancient double-hulled sailing canoe across the Pacific from Hawaii to Tahiti. The canoe was named Hokule'a.

The voyage of the Hokule'a was subsequently premiered on national television in a 90-minute National Geographic special and was the subject of an article in the October, 1976 issue of the "National Geographic Magazine."

This voyage was especially meaningful in that the young Hawaiians participating attempted to replicate the earlier voyages of their Polynesian ancestors in as many aspects as possible. For example, their food consisted of only those supplies which historians have indicated might have been prevalent during the time of the original voyages. They sailed, not with modern instruments, but instead, by the stars, the moon, the sun, the winds, the ocean swells and currents.

As you can imagine, the 20,000 Tahitians who were present when the Hokule'a landed were ecstatic and, upon the canoe's return to Hawaii, our beaches were lined with the Sons and Daughters of Hawaii.

A non-profit organization, the Polynesian Voyaging Society, has now been formed for the express purpose of replicating this journey. Resources permitting, they would like to expand the scope of their endeavor by developing their next voyage into a truly cultural/anthropological experience.

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Mr. J. D. Rockefeller  
February 23, 1978  
Page Two

The Society's eventual goal is to use the Hokule'a as a catalyst around which our State's young Hawaiians would be able to appreciate, and identify more fully with their Polynesian ancestry.

I am personally most impressed by their success to date and, accordingly, within applicable rules and regulations, would appreciate learning whether your Foundation might be interested in exploring this potential with them.

Aloha,

DANIEL K. INOUE  
United States Senator

DKI:jmpl

cc: Mr. Richard S. Lanier  
Director, Asian Cultural Program

Ms. Kathryn Bloom  
Director, Arts in Education Program

bcc: Pinky Thompson

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February 23, 1978

Ms. Mary M. Davis  
Executive Vice President  
Samuel H. Kress Foundation  
221 West 57th Street  
New York, New York 10019

Dear Ms. Davis:

In 1976, a number of my Hawaiian constituents built and sailed a replica of an ancient double-hulled sailing canoe across the Pacific from Hawaii to Tahiti. The canoe was named Hokule'a.

The voyage of the Hokule'a was subsequently premiered on national television in a 90-minute National Geographic special and was the subject of an article in the October, 1976 issue of the "National Geographic Magazine."

This voyage was especially meaningful in that the young Hawaiians participating attempted to replicate the earlier voyages of their Polynesian ancestors in as many aspects as possible. For example, their food consisted of only those supplies which historians have indicated might have been prevalent during the time of the original voyages. They sailed, not with modern instruments, but instead, by the stars, the moon, the sun, the winds, the ocean swells and currents.

As you can imagine, the 20,000 Tahitians who were present when the Hokule'a landed were ecstatic and, upon the canoe's return to Hawaii, our beaches were lined with the Sons and Daughters of Hawaii.

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Ms. Mary M. Davis  
February 23, 1978  
Page Two

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I am personally most impressed by their success to date and, accordingly, within applicable rules and regulations, would appreciate learning whether your Foundation might be interested in exploring this potential with them.

Aloha,

DANIEL K. INOUE  
United States Senator

DKI:jmpl

bcc: Pinky Thompson

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February 23, 1978

Mr. Russell G. Mawby  
President  
W. K. Kellogg Foundation  
400 North Avenue  
Battle Creek, Michigan 49016

Dear Mr. Mawby:

In 1976, a number of my Hawaiian constituents built and sailed a replica of an ancient double-hulled sailing canoe across the Pacific from Hawaii to Tahiti. The canoe was named Hokule'a.

The voyage of the Hokule'a was subsequently premiered on national television in a 90-minute National Geographic special and was the subject of an article in the October, 1976 issue of the "National Geographic Magazine."

This voyage was especially meaningful in that the young Hawaiians participating attempted to replicate the earlier voyages of their Polynesian ancestors in as many aspects as possible. For example, their food consisted of only those supplies which historians have indicated might have been prevalent during the time of the original voyages. They sailed, not with modern instruments, but instead, by the stars, the moon, the sun, the winds, the ocean swells and currents.

As you can imagine, the 20,000 Tahitians who were present when the Hokule'a landed were ecstatic and, upon the canoe's return to Hawaii, our beaches were lined with the Sons and Daughters of Hawaii.

A non-profit organization, the Polynesian Voyaging Society, has now been formed for the express purpose of replicating this journey. Resources permitting, they would like to expand the scope of their endeavor by developing their next voyage into a truly cultural/anthropological experience. The Society's eventual goal is to use the Hokule'a as a catalyst around which

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cc: W. K. Kellogg  
cc: H. Thompson

Mr. Russell G. Mawby  
Page Two  
February 23, 1978

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I am personally most impressed by their success to date and, accordingly, within applicable rules and regulations, would appreciate learning whether your Foundation might be interested in exploring this potential with them.

Aloha,

DANIEL K. INOUE  
United States Senator

DKI:jmpl

bcc: Pinky Thompson

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February 23, 1978

Dr. John Knowles, President  
Rockefeller Foundation  
1133 Avenue of Americas  
New York, New York 10036

Dear Dr. Knowles:

In 1976, a number of my Hawaiian constituents built and sailed a replica of an ancient double-hulled sailing canoe across the Pacific from Hawaii to Tahiti. The canoe was named Hokule'a.

The voyage of the Hokule'a was subsequently premiered on national television in a 90-minute National Geographic special and was the subject of an article in the October, 1976 issue of the "National Geographic Magazine."

This voyage was especially meaningful in that the young Hawaiians participating attempted to replicate the earlier voyages of their Polynesian ancestors in as many aspects as possible. For example, their food consisted of only those supplies which historians have indicated might have been prevalent during the time of the original voyages. They sailed, not with modern instruments, but instead, by the stars, the moon, the sun, the winds, the ocean swells and currents.

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Dr. John Knowles  
February 23, 1978  
Page Two

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I am personally most impressed by their success to date and, accordingly, within applicable rules and regulations, would appreciate learning whether your Foundation might be interested in exploring this potential with them.

Aloha,

DANIEL K. INOUE  
United States Senator

DKI:jmpl

bcc: Pinky Thompson

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## INSTRUCTIONS FOR PREPARATION OF FOUNDATION PACKETS

### I. TO LOIS SMOUSE OF BISHOP TRUST TO JANE GIDDINGS OF HAWAIIAN TRUST

- 1) letter explaining contents of packets, ~~xxxxxxx~~ and including a request for her to figure out how appeal for \$33,176 total should be divided among foundations
- 2) full packet ~~xxxxxxx~~ with sample letter going to one of the foundations
- 3) 50 posters (or could put in individual packets)

### II. TO EACH FOUNDATION

- 1) letter
- 2) information sheet
- 3) IRS determination letter
- 4) Charter of Incorporation of the Polynesian Voyaging Society
- 5) Financial Statement of BVS
- 6) Educational Program Budget
- 7) In Kind Contributions list
- 8) Educational activities list
- 9) Copy of Kualoa Workshop Program
- 10) photo of 40-ft canoe
- 11) photo of 60-ft canoe
- 12) PVS booklet (with updated insert inside front cover)

### III. ADDITIONAL COPIES TO EACH FOUNDATION

copies of all items listed in II. above, except for No. 4, Charter of Incorporation

(note: some xerox copies of #12 may be necessary)

see attached list with no. of copies on it

Note: if we do not give posters to Trust offices, we could perhaps include a folded copy of poster with each packet.

Note: do not put packets in plastic covers; they merely remove the covers and staple everything together



Dear Sirs:

We are inviting your serious consideration and support for a project which we believe will make a major contribution <sup>to the Hawaiian people, by</sup> educating and inspiring ~~the Hawaiian people with~~ <sup>them to a greater awareness</sup> of the ~~past~~ <sup>achievements</sup> of their ~~ancestors~~ <sup>ancestors</sup>, and therefore <sup>giving them</sup> for ~~to~~ a new and richer meaning of their own lives as Hawaiians in the modern world. In this letter we can do no more than outline our ~~specific~~ goals, the steps we are taking to achieve them, and our future plans. Additional concrete information appears ~~in~~ <sup>are prepared to</sup> attachments to this letter; ~~and~~ we ~~will~~ <sup>further</sup> furnish any ~~additional~~ documentation you may wish, and look forward to meeting with you personally at your pleasure to discuss ~~any~~ <sup>any</sup> aspects of the project which may be of interest to you.

In essence, the Polynesian Voyaging Society ~~proposes to construct~~ <sup>is</sup> a <sup>60 foot</sup> double-hulled ocean-going sailing canoe ~~of the type~~ <sup>of the type</sup> which, through its design and the selection of construction materials, ~~will faithfully reproduce the characteristics of the~~ <sup>will faithfully reproduce the characteristics of the</sup> ~~canoe~~ <sup>canoe</sup> will be a faithful full-size reproduction of the canoes built and used by the ancient Hawaiians to travel across the vast reaches of the Pacific. The construction phase is nearing completion and ~~the~~ launching ceremonies should take place in March, 1975. There will follow a year during which the canoe will travel throughout Hawaii in order to recruit, train, and make final selection of a Hawaiian ~~crew~~ <sup>people in Hawaii</sup>; plans for this contemplate ~~an~~ <sup>an</sup> extensive educational program reaching a maximum number of people to give all Hawaiians a sense of the significance of the project and of their participation in it. In the third year the canoe will ~~travel~~ make a voyage to Tahiti and back using only traditional techniques in every aspect from navigation to provision <sup>ing</sup> of the canoe.

The voyage will take place in 1976 <sup>as a Hawaii Event of the U.S. Bicentennial.</sup> and the Hawaii Bicentennial Commission, which provided our <sup>very first</sup> ~~initial~~ seed money, is viewing the voyage as Hawaii's unique contribution to the ~~national~~ celebration of <sup>the</sup> ~~our~~ bicentennial year <sup>of our nation.</sup>

The significance of this project is clear. Although civilization has brought many benefits to the people of Hawaii, it has also served to distract and ~~insulate~~ <sup>robbed them of much of</sup> insulate them from their past, and their ~~resistance to~~ <sup>loss of</sup> sense of personal value and cultural identity <sup>as Hawaiians.</sup> The result has been, especially among young people, increasing alienation, juvenile delinquency, and a host of other problems which are a <sup>source of growing</sup> ~~serious~~ concern to ~~the~~ responsible people of all races in Hawaii. Yet there remains in most Hawaiians a deep hunger for knowledge of and unity with the <sup>culture of</sup> Hawaii which once was theirs. One of the more striking expressions of this ~~yearning~~ <sup>yearning</sup> is the rapid growth of canoe clubs throughout the islands. These clubs use outrigger canoes of traditional design, and their membership is ~~almost~~ <sup>largely</sup> ~~exclusively~~ Hawaiian. Through ~~their~~ the friendly competition

of canoe racing ~~the~~ <sup>Hawaiians are</sup> ~~they~~ <sup>knowingly reliving</sup> ~~are~~ <sup>are</sup> ~~knowingly reliving~~ a sport of their ancestors, and thus forging a link with their past. Although the far more ambitious ~~vision~~ <sup>vision</sup> of sailing to distant islands had previously been beyond their grasp, our project has already created wide-

spread enthusiasm and anticipation among hundreds of Hawaiians, <sup>and won</sup> ~~the~~ <sup>unanimous endorsement of all 36 Hawaiian Civic Clubs.</sup> ~~unanimous endorsement of all 36 Hawaiian Civic Clubs.~~ This has been kindled especially through the use of a smaller <sup>40 foot</sup> ~~experimental~~ <sup>sailing</sup> double-hulled canoe. Built several years ago <sup>with the aid of a National Science Foundation grant</sup> ~~by Dr. Ben Finney, now president of our Society.~~ <sup>this</sup> The smaller canoe has been used as the focus of a series of <sup>very successful</sup> ~~educational~~ programs which ~~have been very successful and~~

given us have ~~provided~~ invaluable experience upon which to base our plans for the intensive effort, during the second year, to reach a maximum number of people throughout the islands with the message of their own ~~past~~ relationship to their cultural past, <sup>which the canoe represents,</sup> and thus <sup>evoked</sup> the inspiration which we already know gives a new meaning to their lives. Our success has stimulated the founding of a sister society in Tahiti.

As mentioned above the canoe is nearing completion, and our request to you does not include any funds for the construction phase. ~~However~~ However, this work ~~has~~ will have cost close to \$50,000, all of which was raised through contributions from organizations, companies, and hundreds of individual donors not only in Hawaii but throughout the country. <sup>In addition to money,</sup> Many of the donations <sup>consisted of</sup> ~~were~~ <sup>special services</sup> of specialized materials, and of ~~course~~ countless hours of volunteer labor ~~have also gone into this work.~~ <sup>also</sup> ~~In addition, it~~ has been necessary to call upon people elsewhere in the Pacific <sup>who are contributing</sup> for skills no longer known to Hawaiians. <sup>Fine-weave bark cloth</sup> Thus the sails <sup>of the canoe</sup> ~~of the canoe~~ traditional ~~islands~~, are being woven in ~~the~~ both the Gilbert and <sup>Ellice</sup> Islands ~~Kapangamangani~~ the Sennat (coconut-husk fiber) cord for rigging and lashings is being furnished by Ellice Islanders. And on the voyage itself, navigation will be under the supervision of Pialug, a practicing master navigator from Satawal Island. <sup>will be part of the navigation team</sup> Coordination of all these contributions ~~and bringing them to bear at the times they are needed~~ has been a challenging and difficult management task, but ~~the~~ <sup>of the canoe</sup> construction remains on its originally planned schedule and we feel we have attained maximum utilization of every dollar and man-hour put into the undertaking. <sup>Our</sup> ~~The~~ management experience as well as <sup>our</sup> ~~the~~ educational experience achieved to date leaves us with confidence ~~in~~ in our ability to meet the <sup>many</sup> ~~challenges~~ <sup>challenges</sup> which lie ahead. 13

the inspection which we already have given a new meaning to their of their own want relationship to their national past, and thus to the national history of people throughout the history. In the meantime for the intensive a effort, during the second year, to reach a new minimum level of achievement which will be our goal.

all these contributions and bringing them to bear in making at the practicing master volunteer from Gateway Island. Coordination of itself, however, will be under the supervision of riding, a subject and theme insurance, office space at the Museum, and many other things. (2) \$700 per month. \$8900. (3) \$700 per month. \$8900. (4) \$700 per month. \$8900. (5) \$700 per month. \$8900. (6) \$700 per month. \$8900. (7) \$700 per month. \$8900. (8) \$700 per month. \$8900. (9) \$700 per month. \$8900. (10) \$700 per month. \$8900. (11) \$700 per month. \$8900. (12) \$700 per month. \$8900. (13) \$700 per month. \$8900. (14) \$700 per month. \$8900. (15) \$700 per month. \$8900. (16) \$700 per month. \$8900. (17) \$700 per month. \$8900. (18) \$700 per month. \$8900. (19) \$700 per month. \$8900. (20) \$700 per month. \$8900. (21) \$700 per month. \$8900. (22) \$700 per month. \$8900. (23) \$700 per month. \$8900. (24) \$700 per month. \$8900. (25) \$700 per month. \$8900. (26) \$700 per month. \$8900. (27) \$700 per month. \$8900. (28) \$700 per month. \$8900. (29) \$700 per month. \$8900. (30) \$700 per month. \$8900. (31) \$700 per month. \$8900. (32) \$700 per month. \$8900. (33) \$700 per month. \$8900. (34) \$700 per month. \$8900. (35) \$700 per month. \$8900. (36) \$700 per month. \$8900. (37) \$700 per month. \$8900. (38) \$700 per month. \$8900. (39) \$700 per month. \$8900. (40) \$700 per month. \$8900. (41) \$700 per month. \$8900. (42) \$700 per month. \$8900. (43) \$700 per month. \$8900. (44) \$700 per month. \$8900. (45) \$700 per month. \$8900. (46) \$700 per month. \$8900. (47) \$700 per month. \$8900. (48) \$700 per month. \$8900. (49) \$700 per month. \$8900. (50) \$700 per month. \$8900. (51) \$700 per month. \$8900. (52) \$700 per month. \$8900. (53) \$700 per month. \$8900. (54) \$700 per month. \$8900. (55) \$700 per month. \$8900. (56) \$700 per month. \$8900. (57) \$700 per month. \$8900. (58) \$700 per month. \$8900. (59) \$700 per month. \$8900. (60) \$700 per month. \$8900. (61) \$700 per month. \$8900. (62) \$700 per month. \$8900. (63) \$700 per month. \$8900. (64) \$700 per month. \$8900. (65) \$700 per month. \$8900. (66) \$700 per month. \$8900. (67) \$700 per month. \$8900. (68) \$700 per month. \$8900. (69) \$700 per month. \$8900. (70) \$700 per month. \$8900. (71) \$700 per month. \$8900. (72) \$700 per month. \$8900. (73) \$700 per month. \$8900. (74) \$700 per month. \$8900. (75) \$700 per month. \$8900. (76) \$700 per month. \$8900. (77) \$700 per month. \$8900. (78) \$700 per month. \$8900. (79) \$700 per month. \$8900. (80) \$700 per month. \$8900. (81) \$700 per month. \$8900. (82) \$700 per month. \$8900. (83) \$700 per month. \$8900. (84) \$700 per month. \$8900. (85) \$700 per month. \$8900. (86) \$700 per month. \$8900. (87) \$700 per month. \$8900. (88) \$700 per month. \$8900. (89) \$700 per month. \$8900. (90) \$700 per month. \$8900. (91) \$700 per month. \$8900. (92) \$700 per month. \$8900. (93) \$700 per month. \$8900. (94) \$700 per month. \$8900. (95) \$700 per month. \$8900. (96) \$700 per month. \$8900. (97) \$700 per month. \$8900. (98) \$700 per month. \$8900. (99) \$700 per month. \$8900. (100) \$700 per month. \$8900.

Thus far we do not have any funds available or committed for the all-important second year of public education to which the selection and training of our voyaging crew will be geared. It is for this year only that we are asking your support at the present time. The year will begin with the assembling and dedicatory launching of the canoe on a public beach ~~now~~ selected to permit the largest possible number of people to participate either as workers or audience. <sup>while recruiting and training crew members,</sup> Thereafter, the canoe will make stops ~~at~~ <sup>throughout</sup> several points ~~on all~~ the islands where people will be invited to join in demonstration sails, <sup>at sea,</sup> and ~~on shore~~ <sup>on shore</sup> to attend <sup>audio-visual</sup> lectures, <sup>Special programs will be for overall public and private schools</sup> slide shows, and the like. ~~Total costs for this second year are at present estimated to total \$50,000.~~ <sup>\$53,176.</sup> They necessarily include the cost of operating and maintaining the canoe during this time, ~~which will include everything from travel costs for support personnel, to maintenance, insurance, and those riding on it, and other technical expenses.~~ <sup>and numerous</sup> However, much of the money will go directly into preparing and presenting the educational programs which are the most important aspect of the year's endeavors.

The voyage during the third year will provide the symbolic affirmation of the entire undertaking, and in addition an opportunity for a wide variety of research studies regarding the almost-lost art of long canoe voyages in the open ocean. ~~Presently, being requested will~~ Funding for this phase, however, will be sought ~~in the future and is not including in our present request for support.~~ <sup>from other sources.</sup>

Although this is a tightly planned three-year project, in a real sense it did not begin with the starting~~ing~~~~of~~ of construction, nor will it end with the climactic roundtrip voyage to Tahiti in the Bicentennial Year. Viewed historically it must be seen as a milestone in the cumulative growth of awareness ~~in~~ among Hawaiians ~~of~~ of their cultural past, an awareness which has been gathering strength and substance for a number of years. And when the voyage is over the canoe will remain as a <sup>museum and</sup> living classroom, providing new crews, new passengers, and new students both young and old <sup>with</sup> <sup>personal</sup> a vital experience of the glories and abilities of their ancestors.

7/21/71 - Lois Simonet  
~~Section 501(c)(3)~~

**BISHOP TRUST CO., LTD.**  
TRUST SERVICES SINCE 1906

APPLICATION FOR A GRANT

As a tax exempt organization applying for a grant from a charitable foundation, please address your request to the foundation and answer questions No. 1 through No. 5 on one (no more than two) pages of your letterhead. Number your answers to correspond with the number of the questions. If a question does not apply to your situation, write "not applicable." Be specific and concise. Answers to No. 6 through No. 10 should be appended to your request as detailed supporting information. Please provide an original and 6 copies of your basic request and supporting information, and one copy of the Organization Status Information.

Basic Request Questions

1. What is the purpose of your organization? What does your organization do?
2. What is your problem, need, issue?
3. What project, proposal, action is suggested to correct No. 2 above? e.g. - program, plans, goal. Is this a duplication of other programs or projects?
4. What is the total projected cost of your program or project?
5. How much are you requesting from the above named foundation? Attach a budget breakdown of income and expenses justifying amount requested.

Supporting Detail Information

6. What are details of No. 3 above including geographic area involved, personnel, equipment, facilities, etc.?
7. What other foundations are you applying to?
8. What is your planned need for grants in the next 5 years? How do you propose to continue project?
9. How will the successful conclusion of your program or project benefit the people of Hawaii? What tests or standards will be used for evaluation?
10. Name officers and directors of your organization.

Continued.....

P. O. BOX 2390 / HONOLULU, HAWAII 96804 / TELEPHONE 536-3771

16

APPLICATION FOR A GRANT (CONTINUED)

Organization Status Information

11. Enclose one copy each of the following:

- a) Determination letter from I.R.S. granting you tax exempt status.
- b) I.R.S. foundation status classification re Form 4653.
- c) Governing instrument - charter and by-laws.
- d) Your most recent financial statement.

If these requirements have been submitted to the foundation office, please indicate by writing "Organization Status information previously submitted."

-----

ILLEGIBLE

## A BRIEF DESCRIPTION OF SCIENTIFIC EXPERIMENTS TO BE CONDUCTED DURING VOYAGE

Canoe Performance Because of lack of reliable data, much debate has been generated on the performance of Polynesian voyaging canoes. Such debate, necessarily based on speculation, affects our interpretation of all other evidence relating to the settlement of Polynesia. By building a canoe based on known Polynesian hull shape, assembly method, and sail plan, and measuring its performance by the sophisticated measurement systems which are available today, better estimates can be made of Polynesian maritime capabilities. See "Wa, Vinta, and Trimaran," by Edwin Doran Jr., in B. Finney (ed) Pacific Voyaging and Navigation, The Polynesian Voyaging Society, 1974, for the methodology of measuring canoe performance.

Navigation Without Instruments All that is known about Polynesian navigation systems is being studied. Training will be conducted at the Bishop Museum Planetarium and in Hawaiian waters. The navigation experiment, conducted over the longest sea-route in Polynesia, will be put to the stern test of landfall. Position of the canoe during the experiment will be documented via radio by a shadowing vessel (The Oceanic Society's New World). Maritime institutions other groups interested in emergency navigation procedures would find data from these experiments useful, as would scientists working on problems of Polynesian voyaging. See We, the Navigators, (University of Hawaii Press, 1973) by Dr. David Lewis (who will be in charge of the navigation experiment) for a comprehensive treatment of Polynesian navigations systems and gaps in our knowledge about them that could be filled through experimental research.

Survival The re-enactment of an ancient voyage will also provide scientists with the opportunity to assess survival problems through nutritional and other

physiological experiments involving measurement of food and water intake and physiological response to stress on the voyage. A major effort, involving both private and government groups in Hawaii, under the direction of Dr. Frank Tabrah of the University of Hawaii Medical School is now underway to revive ancient ways of preparing voyaging foods and to assess their nutritional content. Fishing experiments, using traditional Polynesian techniques, as well as rain-water catching experiments, will further add to this effort to gain data on survival at sea that will be a practical value as well as important for solving problems of Polynesian voyaging and settlement.

Plants and Animals Without the evidence that the first Polynesian settlers brought more than twenty plants and several domestic animals to Hawaii from the South Pacific, it would be difficult to believe that such a feat could be accomplished in open canoes over thousands of miles of sea water. Experiments will be constructed to help us learn how these feats were accomplished. Under the direction of Dr. Douglas Yen of the Bishop Museum, plants...mostly as slips and cuttings...will be carried aboard the canoe, as will Polynesian dogs (from a breeding experiment conducted at the Honolulu Zoo by Jack Throp, Director), chickens and pigs, in order to obtain first-hand data on viability problems in transporting these essential plants and animals.

DOCUMENTS CAPTURED AS RECEIVED

Address any reply to: P.O. Box 231, Los Angeles, Calif. 90053  
**Department of the Treasury**  
 LA-80-74-300  
**District Director**  
**Internal Revenue Service**  
 Date: FEB 7 1978 (to reply refer to Earl Knight)  
 L-391, Code 421:209:1B  
 Determinations Section (213) 688-4552

Polynesian Voyaging Society  
 2167 Ala Ala Place  
 Honolulu, Hawaii 96821



Accounting Period Ending: December 31  
 Form 990 Required: ☒ Yes ☐ No  
 Advance Ruling Period Ends: December 31, 1978

Based on the information supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code.

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509(a) of the Code. However, we have determined that you can reasonably be expected to be a publicly supported organization of the type described in section 509(a)(1)(A)(i).

Accordingly, you will be treated as a publicly supported organization, and not as a private foundation, during an advance ruling period. This advance ruling period begins on the date of your inception and ends on the date shown above.

Within 90 days after the end of your advance ruling period, you must submit to us information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, you will be classified as a section 509(a)(1)(A)(i) or 509(a)(2) organization so long as you continue to meet the requirements of the applicable support test. If, however, you do not meet the public support requirements during the advance ruling period, you will be classified as a private foundation for future periods. Also, in the event you are classified as a private foundation, you will be treated as a private foundation from the date of your inception for purposes of sections 507(d) and 4940.

Grantors and donors may rely on the determination that you are not a private foundation until 90 days after the end of your advance ruling period. In addition, if you submit the required information

(paid)

Form 1-391 (4-73)

within the 90 days, grantors and donors may continue to rely on the advance determination until the Service makes a final determination of your foundation status. However, if notice that you will no longer be treated as a section 509(a)(1)(A)(i) organization is published in the Internal Revenue Bulletin, grantors and donors may not rely on this determination after the date of such publication. Also, a grantor or donor may not rely on this determination if he was in part responsible for, or was aware of, the act or failure to act that resulted in your loss of section 509(a)(1)(A)(i) status, or acquired knowledge that the Internal Revenue Service had given notice that you would be removed from classification as a section 509(a)(1)(A)(i) organization.

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

You are not liable for social security (FICA) taxes unless you file a waiver of exemption certificate as provided in the Federal Insurance Contributions Act. You are not liable for the taxes imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, you are not automatically exempt from other Federal excise taxes. If you have any questions concerning these taxes, please let us know.

If your sources of support, or your purposes, character, or method of operation is changed, you should let us know so we can consider the effect of the change on your status. Also, you should inform us of all changes in your name or address.

If the yes box at the top of this letter is checked, you are required to file Form 990, Return of Organization Exempt From Income Tax, only if your gross receipts each year are normally more than \$5,000. The return is due by the 15th day of the fifth month after the end of your annual accounting period. The law imposes a penalty of \$10 a day, up to a maximum of \$5,000, for failure to file the return on time.

You are not required to file Federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-B. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, a number will be assigned to you and you will be advised of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

Sincerely yours,

W. J. Cornett  
 Acting District Director

Form 1-391 (4-73)

See attached

STATE OF HAWAII  
DEPARTMENT OF REGULATORY AGENCIES  
Business Registration Division  
1010 Richards Street

Mailing address: P. O. Box 40, Honolulu, Hawaii 96810

In the Matter of the Incorporation )  
of )  
Polynesian Voyaging Society )

CHARTER OF INCORPORATION

TO ALL TO WHOM THESE PRESENTS SHALL COME:

I, the undersigned Director of Regulatory Agencies of the State of Hawaii, send Greeting:

WHEREAS, Den R. Finney, Charles Thomas Holmes, and Herbert Kawainui Kane, a majority of whom are residents of the State of Hawaii, have filed with me as Director of Regulatory Agencies a verified petition to grant to them and their associates a charter of incorporation as a non-profit corporation, in accordance with the provisions of Section 416-20, Hawaii Revised States:

NOW, THEREFORE, KNOW YE, That I, the said Director, in the exercise and execution of every power and authority in anywise enabling me in this behalf, do hereby constitute the said petitioners and their associates a corporation under the laws of the State of Hawaii for the purposes and in the form hereinafter set forth.

I

The name of the corporation shall be Polynesian Voyaging Society.

the specific address of its initial office shall be  
2467 Aha Aina Place, Honolulu, Hawaii 96821.

### III

The purposes of this corporation are (1) to sponsor, or conduct, or both, research on the manner in which Polynesian seafarers settled Hawaii and other Pacific Islands by investigating through experimental and other means the canoes, navigation systems and other technical and cultural factors that enabled the Polynesians to undertake successful voyages of discovery and settlement, (2) and to disseminate the resultant research findings by producing or publishing, or both, articles in scientific journals, books, films and other instruments of communication in order to inform the public about Polynesian voyaging, and to make available data that might be useful to scientists and others engaged in maritime endeavors.

### IV

The duration of the corporation shall be perpetual.

### V

The officers shall consist of:

1. President - Ben R. Finney [REDACTED]  
Honolulu, HI. 96821
2. Vice President - Herbert Kawainui Kane  
[REDACTED]  
Honolulu, HI. 96813
3. Secretary - Charles T. Holmes  
[REDACTED]

DOCUMENTS CAPTURED AS RECEIVED

of not less than three members. The  
shall be the initial directors. Such directors shall hold  
office for the first year and shall elect the initial  
officers until their successors are duly elected pursuant  
to the by-laws of the corporation.

<u>Directors</u>	<u>Name</u>	<u>Residence Address</u>
Member	Ben R. Finney	[REDACTED] Honolulu, Hawaii 96821
Member	Herbert Kawainui Kane	[REDACTED] Honolulu, Hawaii 96815
Member	Charles T. Holmes	[REDACTED] Honolulu, Hawaii 96822
Member	Larry A. Burkhalter	[REDACTED] Honolulu, Hawaii 96817
Member	Paige Kawelo Barber	[REDACTED] Kailua, Hawaii 96737
Member	Fred Cachola, Jr.	[REDACTED] Waianae, Hawaii 96792
Member	Rudy Choy	[REDACTED] Honolulu, Hawaii 96821
Member	Kenneth P. Emory	[REDACTED] Honolulu, Hawaii 96817
Member	Kimo (James) C. Hugbo	[REDACTED] Honolulu, Hawaii 96816
Member	Frank L. Tabrah	[REDACTED] Honolulu, Hawaii 96814
Member	August Akim Yee	[REDACTED] Honolulu, Hawaii 96821

<u>Directors</u>	<u>Name</u>	<u>Residence Address</u>
Member	Benjamin B.C. Young	[REDACTED] Pearl City, Hawaii 96782
At Large	David Lewis	Anthropology Department Australian National University Box 4, P.O. Canberra, A.C.T., 2600 Australia

## VII

The corporation shall have all the powers provided by law.

## VII

The corporation is not organized for profit, it will not issue any stock, and no part of its assets, income, or earnings shall be distributed to its members, directors, or officers, except for services actually rendered to the corporation. Upon dissolution, all of the assets of the corporation after payment of its just debts, shall be transferred or distributed to an organization or organizations as shall at that time qualify as an exempt organization or organizations under Section 501(c)(3) of the Internal Revenue Code of 1954.

21

IX

The corporation is not a private foundation within the meaning of Section 508(b) of the Internal Revenue Code of 1954.

IN WITNESS WHEREOF, I have hereunto set my hand and seal of the Department of Regulatory Agencies, at Honolulu, this 13th day of September, 19 73.

  
Director of Regulatory Agencies

  
By  
Corporation & Securities Administrator

Polynesian Voyaging Society  
Treasurer's Report

November 15, 1974  
(Inception to Date)

to Dec 10?

REVENUES

Membership Dues <i>Donations</i> .....	\$ 12,129.40
T-Shirt Sales.....	3,714.28
Poster Sales.....	2,050.80
Herb Kane Portfolio & Royalties.....	702.00
National Geographic Donation.....	2,000.00
Hawaii BiCentennial Commission.....	7,000.00
Dodd Publishing Company Book Rights.....	10,000.00
Stock Donations.....	4,918.64
Sailing Workshop Revenues.....	2,682.00
Interest.....	478.89
Miscellaneous.....	370.00
<b>TOTAL.....</b>	<b><u>46,046.01</u></b>

EXPENDITURES

Canoe Construction:	
Design & Lofting	\$ 3,539.26
Materials	8,821.72
Labor	12,589.01
Payroll Taxes	226.81
	<u>25,176.80</u>
Other:	
T-Shirts.....	6,237.70
Portfolios & Posters.....	1,921.89
Secretarial Services.....	2,158.25
Insurance- Employee insurance included.....	1,259.80
Office supplies & expenses.....	769.00
Advertising & Promotion <i>Informational Materials</i> .....	534.56
General Membership Meeting Expenses.....	482.03
General Excise Taxes.....	114.98
Workshop Canoe Expenses.....	891.49
Other Workshop Expenses.....	954.58
<b>TOTAL.....</b>	<b><u>40,501.08</u></b>

EXCESS REVENUES OVER EXPENDITURES.....\$ 5,544.93

CASH BALANCES:

Bank of Honolulu - Regular Account.....	\$ 3,588.50
Bank of Honolulu - Workshop Account.....	1,727.42
Pioneer Federal Savings & Loan - Saving.....	229.01
<b>TOTAL.....</b>	<b><u>5,544.93</u></b>

## AGENDA

### Workshop

#### Contracts & Grants Management

- 1) Organizing a Sponsored Project Administrative Office
- 2) Processing the Proposal (Review & Sign)
- 3) Processing the Awards (Grant or Contract)
- 4) Indirect Costs - Overhead
- 5) Extra Compensation - Overload
- 6) Cost Sharing - Contribution - Matching
- 7) Budgetary Changes
- 8) Rejected Proposals - Revisions
- 9) Patents, Copyrights, Equipment Title
- 10) Renewing the Federal Register, CBO, RFP
- 11) Quality of Project Management - Audit Compliance
- 12) Dialog - Wrap

---

Audit - very trip - Fed & fiscal  
Waste - much money is wasted.

①

Strand

500-2011

## 1) Organizing a Sponsored Projects Administrative Office

### Personal Characteristics

(a) Open door "for drop ins" (ask questions as to what is available)

(b) Service-oriented (faculty members get grants - not officers) (ones in joining who get grants - not top man)

(c) Two hours p/day minimum in reading & sifting documents (review program announcement, soliciting from agencies, must meet deadline date)

(d) Edits (not writes) proposals.  
(professional writer)

(e) Follow thru on applications (pre & post).

50-100 things (publications) you can look into for grants.  
pick & choose among the best if not enough time to spend too.

Hang-up about professional writer writing proposal for org. best if members do it.

Agency of project idea must get involved bec. they are most knowledgeable about what they want.

## Awarding document - either

(2)

Express Mail - expensive handling mail -  
priority mail - Post office guarantees overnight  
delivery to Washington, D.C.  
Post office in Washington - needs courier.

\* 3w 10 days to 3 weeks from announcement  
of available monies to post-marked deadline date  
for receivable <sup>written</sup> proposal.

### Institution Commitment

- (a) financial support to office
- (b) individual project support
- (c) long range plan for sponsored project "getting"
- (d) Define duties and expectations of each office.
  - \* must provide resource materials & meet deadlines.
- o how much money do you want.
  - (e) Adequate budget (2 yrs = \$10 for each yr).
- ↓ goals &
  - \$10<sup>00</sup> to every \$1.00 spent - ratio of spending  
for office grants.

Time lag 6-9 mos. before money comes in,  
from application (federal) 3-4 months - foundation.

1 out of 5 are funded - 19%

80-90% \_\_\_\_\_

3Academic Relationships

- (a) Credibility and "service link" w/ academy - a must
- (b) Functions as a "coordinating" office (applicant - awarded)
- (c) Coordinator between departments (inter departmental & service)

4Basic Office Resources

- (a) Sources of fund resources
  - (b) Lesson w/ bus. office on Indirect Cost, Employee Benefit, etc.
  - (c) Budget capabilities
  - (d) Processing of proposal expectations.
- \* Very imp - Unilateral program agency guidelines & requirements. Must meet deadlines.

5Communication Process

- (a) campus newsletters
- (b) telephone calls & in-person contact w/ faculty
- (c) funding agency contracts
- (d) faculty workshops

(b) Organizational Structure

- (a) One prong

- (b) two prong

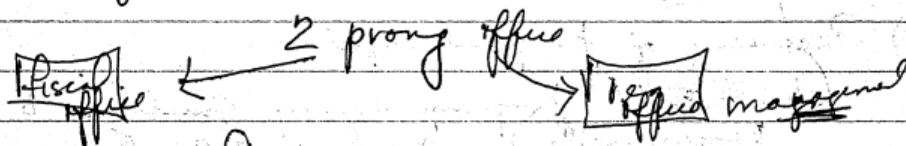
} need office to manage

Cognizant federal audits  
Island

Health & Welfare  
Defense Control  
Administration

Dept of Defense

\* Need for office — or person (official management office),  
writing expertise + business background.



Fiscal  
Office

12 offered magazine

KEY: future audit on federal project

State <sup>agency</sup> & private foundations - seldom

2 audits

management audit  
~~financial~~ financial audit

(3)

\* Let other agencies know that you're applying  
for other grants works for your benefit —

AGENCIES  
trust  
foundation  
federal  
Spade

## II Proposal Processing

Superordinate — head hunches gives approval —  
must be informed about applications to be  
generated.

Official Document Summary Sheet — must  
properly fill out this sheet.

CONTROL FORM: ~~one~~

Internal Form of some.

Difference bet. grant & contract.

Internal Control Document —

Required Remains — one person must do this

Legislation

Signatures

Mailing

Follow-up.

Office of Ed. National Science } Dr. Simon reviews for that agency

criteria guidelines

## Sponser's Review Process

Log-In

Acknowledgement (letter or post-card)

Forward to Paper Division

Preliminary Review (Rejection?)

Assignment to Readers

Compilation of Review Results

Panel Discussion

Award or Rejection

Reviewer's Comments

your office is allowed reviewer comments

(2% potential of rejection)  
(2) proposal is in progress or summary  
or abstract  
is in progress or summary

you have to ask for reviewer's comments if it is rejected  
you can make corrections then re-submit proposal  
ask for it in writing as soon as getting it as soon as possible.

~~Sponser's Review Process~~

~~Acknowledgement~~

~~Forward to Paper Division~~

⑦

Need internal form for finance office (hand control area)  
giving info & finance people want to know

Tax free stipends — fellowships  
participating stipend  
to student who  
don't have to pay federal taxes

(don't use this word)  
honorariums or consultant fees or token honorariums —  
to become fed. income tax exempt —  
stipend — primarily & benefit & student

Gift — most fed. agencies don't allow you to give  
money away (don't use honorarium) —  
use (consultant fees) —  
(or salary/wages)

(individuals declare own fee)  
limit on what you can

1.2.

Office of Ed.

15% — contract

25% — grants

(6)

Differences bet -  
grant &  
contract

fundamental research

Development

Applied  
Supported research  
& facilities

or organization  
Office

Project

writes  
proposal  
for

(Written  
request  
for support  
of project)

SPONSORING  
AGENT

awarding document.  
EITHER

Grant

Contract

— you may express desire of either grant or  
contract but sponsor makes final decision &  
to what it will be.

Term —

1 yr —

may be 5 yrs on contingency basis.

Writing yourself — calling friend or acquaintance  
at agency —

(9)

Indirect Cost — use salaries & wages of a budget <sup>(direct cost)</sup>  
 rate as a base to generate an indirect cost  
 40% of salaries & wages  
 i.e. \$20,000 <sup>direct</sup> & \$50,000 direct budget  
 take \$8,000 or 40% for indirect cost

Un. of Uch — <sup>base</sup> salaries — wage — employee benefit —  
 60%

Stanford Un. — base of modified total direct costs  
 take total d.c. 38%  
 to modify it to include  
 sub-contracts & pieces of  
 equipment costing  
 \$50,000 <sup>38%</sup>  
 2500 or more.

magnitude of rate is  
 only part of equation you  
 have to modify it.

Short form		Long form	
numerator	total direct cost (expenditure)		1 million \$
denominator	ST wages (total entity)		4 million \$
			25% becomes rate

The Glossary of terms

## Internal Notes to Controller Receiving Reward.

(8)

### Budgeting

\$ 2000<sup>00</sup> — is person consultant or employee?  
in proposal in budget — indicates how much given at  
what date — must give name of consultant.

4400<sup>00</sup> p/day per diem

100<sup>00</sup> p/day per consultant  
name of consultant.

} if giving over payment  
indicates over payment

### IV Indirect Costs — Overhead.

that part of budget which cannot under  
good accounting cost principles be recovered as a  
direct cost.

Direct Cost — i.e. you know exact  
cost charged to be charged to project. i.e. consultant's  
salary.  
indirect cost — things you can't give exact cost to —  
i.e. electricity, charges.

auditorium cleaners.

depreciation of office furniture.

Overhead — sometimes denotes profit — be careful  
about using word, esp. a non-profit organization.

Recovery of indirect cost.

(11)

Savarn is getting the word in edge wise, 85% of available monies are three federal monies - Auditable Contributions. Recipient must contribute up to 25% to get the project. (not Congressional mandate).

Keep these separate - don't put in direct cost pool.

Budgetary Changes  
are there change in budget. At liberty to spend money according to most recent change. If you find you make mistakes in budget - under budgeted in one area, but find surplus in another area - what do you do - You must get approval from awarding agency to change allotted monies in agency. \* Freedom to move 10% from particular category from one to another one.

Write letter to defend change.

Once if presentation worth a pound of cure.

8. Rejected Proposals - Renew - get reviewers comments

Short form — awards for <sup>less</sup>  $\frac{1}{2}$  million  
Long " " " " more  $\frac{1}{2}$  " "

(10)

If you don't have indirect cost then fed. govt will allow you 20%. Direct Cost in lieu of ~~you~~ <sup>you</sup> not having base rate.

Dept of Health, Ed. & Welfare —  
Indirect Cost Pamphlet

### 5. Extra Compensation — Overload.

~~\* employee can't receive more money than allotted.~~  
i.e. academic freedom. ~~from consultants~~

professor can work on project and get paid for it along w/ reg. salary & University

### 6. Cost Sharing — fed mandates — passed by Congress — ~~regulation~~

~~Sponsoring agency selects fund for project must~~  
~~research oriented to~~ must put up token amount.  
Selected by applicant agency, 3%

### Matching — sponsored project for facilities —

$\frac{1}{2}$  million \$ to build hospital — must match 1 w/  
your own amount. (not Congressional mandate)  
(agency regulation — one of  
52 agencies making award)

Must study award document.

Monograph —  
mini-textbook  
publication which  
deals w/ restricted area.

9/ Patents —

Contracts won't give title to equipment to be retained by awarding agency until end of project.

Grant — title can be obtained when you purchase equipment.

less than \$200<sup>00</sup> you can keep title to equipment for federal gov't.  
lease rental —.

Copyrights — will be given to you if you generate it —  
but gov't want use of copyrights for their internal purposes. They won't compete w/ you — but will use it for their own purposes.

Patents — 40% of revenue generated by your patent  
Sponsoring agcy — wants exclusive use of their agency for your ideas.

Applicant agency — must put up money for research of patent.

10/ Federal Register — <sup>printed 5 days early</sup> (Companion of Code of Federal Regulations)

Code of Federal Reg.

Compilation of all fed reg.

Rules & regulations that govern fed. agencies.

62 federal agencies.

ahead of time information

updating is done in Fed reg.

50 tells areas of

US Govt Printing Office \$  $\frac{105.00}{80.00}$  } Yearly Subscription  
#224-915 - The Federal Register - What it is  
to How to Use it.

Best Source for Solicited Sources of Funding)  
CBD. - Commerce Business Daily - (printed 5 days a week)  
furnished by subscription for  
bidding Fed Govt Programs Solicitation to Award.  
RFP - send you RFP - details of what they  
want accomplished — they send you application  
to you with app proposal

restrictions — Short time frame

RFP Request for Proposal - RFQ - Request for Quotation  
RFA - affiliation

U.S. Govt Printing Office - #0-387-381 -  
Program for Improving Quality of Project Management -  
DHEW Audit Compliance -

Be aware right to audit management as well as fiscal & financial

- ① fiscal regulations
- ② purchasing regulations
- ③ property management

dbl space type —

1st — 2011 — more elaborate

## Major Components of a Proposal

1. Background - Introduction

2. Problem - need.

3. Objectives

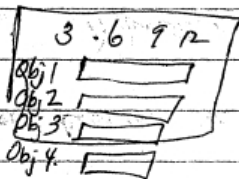
4. Procedure & Methodology) — predetermines funding  
 $\frac{1}{3}$  to  $\frac{1}{2}$  of narrative of proposal.

Can throw in options if you don't know for sure.

5. Accountability - (Evaluation)

(1) pre-evaluation — relating to accomplishment & obj  
in terms of time. *Pronounced*

(2) post-evaluation — obj. in terms of time.



— graphically display  
accomplishment of objectives

Make you look like good manager.

Post evaluation — narrative where you explain in  
post evaluating way how you view a measurement & obj  
will result in terms of influence of society.

prediction of what project will do to change  
behavior in society. PREDICTION How well it  
change the world.

6. Utilization (Dissemination / Utilization)

2 imp. concepts  
1- Willing to cooperate w/ agency at conclusion of proj to help them utilize what happened at <sup>your</sup> project for their aims.

1.2. take project to train other project  
2- will give work statement & budget at that time of cost to them if ~~you~~ <sup>they</sup> want you to get involved.

7- Personnel - expand on personnel -  
do long narrative on professional personnel.  
resume in Appendix

\* (Get prestige person as consultant)

\* 8. Facilities. 1) positive - what you have  
Then what you need

9. Budget - write budget -  
% of emp. benefits - don't need specific

Get letter of credit - ~~it~~ like having money & bank

# 0-387-381 -

- ④ personnel (discrimination of personnel)
- ⑤ planning & budgeting (cost accounting system)
- ⑥ inventions & patents

~~⑦~~

### Post Evaluation

program evaluation — by Program People  
efficiency of program.

offer

300 Vineyard — Refusal Office

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Ind's get paralyzed — can't write another grant.

# PROSPECTUS — mini proposal

12/8/78

①

## TERMS:

power

## AGENDA

### Effective Proposal Writing

#### First Day

1. Introduction
2. Definition of Terms
3. Overview of Sources of Funds - Specific Resources & Publications
4. The Prospectus - What It Is & How To Use It
5. Writing the Prospectus
6. Prospectus Example.

#### Second Day

1. Prospectus Presentations & Evaluations
2. From the Prospectus to the Proposal
3. Writing the Proposal
4. Why Are Proposals Rejected?
5. Review & Wrap Up.

## Terms Peculiar to Sponsored Projects

Grantmanship <sup>act of</sup> - bringing together of 2 entities

- 2)
- 1) writer of proposal
  - 2) agency able to fund proposal.

## Political Committee -

What Congress has mandated for their agency to do w/ funds they have been given

1.2. National Science Foundation - political priorities of sciences

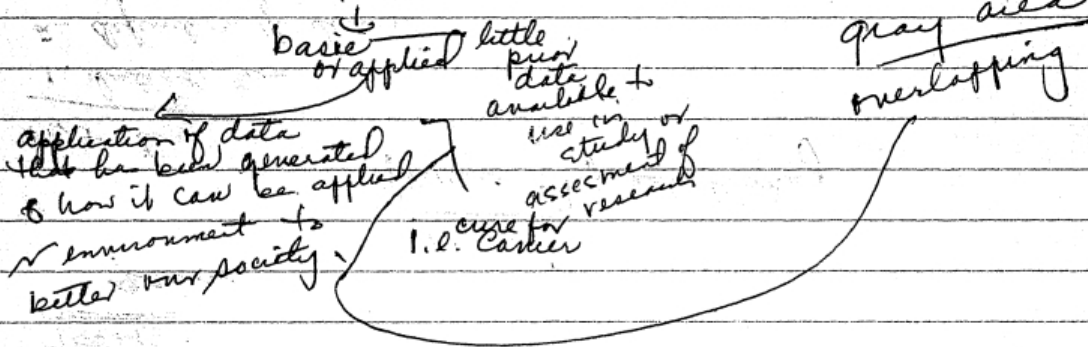
Education  
Off of Ed - determines programs w/in the schools.  
National Institute of Ed - develop materials.

Principal Investigator - Director P.I. or director  
person responsible for function of project  
from proposal to

## Research - Service (Education - Public)

2 kinds

either RESEARCH or SERVICE



## SERVICE

Need to determine which is more for  
indirect cost rate.

① public →

② education → training grant project.  
i.e. workshop.

① Propositive - ② preliminary proposal - abstract (summary of final proposal)  
bef. proposal      bef. prop.      6

Proposal

Application - form by agency that

← you fill in the blanks,

#

398 - application kit.

not preprinted but generating from self.  
of document that follows the  
format

Solicited - i.e. Business Commerce Daily (best sources)

advertisement from funding agency

They have money

political priority

Unsolicited - office has program in mind - wants

sponsorship - looks for money & political priority -  
wrote's proposal.

Writing in solicited proposal is easier than writing  
unsolicited proposal.

Solicited proposal has many guidelines.

Problem - Need



Research

Need

Service

knowing the diff bet. 2 terms  
from ~~handed~~ <sup>tot</sup> ~~to~~ <sup>gives</sup> you recognition  
pseudo-  
professional  
writer

Grant <sup>award</sup> = Contract

1 pg - 3 pgs.

25 ~~100~~ 150 pgs in length

patents & copyrights - easier to obtain for own use

Extra compensation

Overload

indirect cost

overhead

~~salary~~ extra  
compensation  
for performing  
over his salary  
or  
extra work  
performance  
overhead

SPECTRUM

4-6

depending on ~~\$~~ kind of proposal,

4-5,000 applications in

Foundation  
Directory

~~The Project Idea's~~

~~Proposal Preliminaries~~

### Solicited Resources

Buddy — "wiring" — friend or ~~knowing~~ someone. <sup>at funding area</sup> to let you know when money is available

Commerce Business Daily

Request for Proposal

Special Solicitations —

<sup>Corporation</sup>  
Tax Reform Act — 1969 — provides P w/in.  
<sup>(1979)</sup> 104s foundations & they want to remain tax  
free not deduct themselves 6% return of investment ✓  
yr. or 10% of <sup>net</sup> income.

Fiscal year 1979 — day of reckoning is here,

unsubmitted  
project ider.

## Suggested Components of a Prospectus (mini-proposal)

- (1) - starting to write proposal
- (2) - getting info. from resources — 1 pg. to send to agencies.  
why: agency has money; political priorities;  
etc - deadline for mailing
- (3) forces you to conceptualize project & be able to put it in  
one way.  
(1) less verbose; wordy  
(2) imp. aspects of project  
(3) helps you think thru

Funding agency in reviewing prospectus will tell you what  
you can or can't do. What is out of domain & their political  
priorities.

To get input re sp. agency & input into your proposal

may encourage ~ to add elements to your proposal  
that you may be interested in.  
pseudo solicited ~~source~~ <sup>sponsoring</sup> agency.

Take prospectus to sponsoring agencies in person, "piggypack"  
2nd choice - mail it in.

FTS - <sup>fed.</sup> free telephone service - call collect -  
let them call back.

Hawaiian Trust - clearing house for local foundations  
& trust.

single space type  
pushing margins out.

putting historical data  
into proper perspective.

### Suggested Components of a Project

#### (1) Background - <sup>background</sup> introduction

what has been done in area of project idea or  
what hasn't been done or what has been done  
that needs to be reexamined - or further extended beyond  
what has been done.

(don't need to cite references or bibliography - but must  
in proposal).

#### (2) Problems or needs, — what is wrong? <sub>research</sub> <sub>service</sub>

Make it national need if possible. If you make it local  
then you limit yourself.

#### (3) objectives: must be measurable.

always an action element  
use prep. phrase —

to examine  
study  
assess  
re-evaluate  
generate  
research  
develop

action element  
must be measurable  
in terms of quantitation  
of qualitative

implement  
instruct  
teach  
conduct

behavioral  
arithmetic  
change  
in number  
%

#### 4 procedure — methodology — "how" element — most important.

obj — short term & realistically  
goal — long term & idealistic

PVS. serving  
as center for — to  
research. edu. cy.  
exper. cy.

greatest weakness of proposal  
is methodology.

4. Procedure — (how you're going to accomplish it.)

use unusual procedures — more outstanding

this will  
be most  
imp.  
finding  
will  
rely on this

5. Personnel — facilities —

emphasizing  
expertise of 2 imp. people on project.

facilities — positive <sup>(1)</sup> we have well equipped  
then <sup>(2)</sup> however we anticipate to  
complete these projects we will  
need

6. Cost Total Estimated Cost — how much you're  
going to accomplish for society by using this project.

~~10065~~

### Sample of Budget Line Items

	<u>Sponsor</u>	<u>Applicant</u>
1- Salaries & Wages		
2- Employee Benefits		
3- Indirect Costs	(20% of total salaries & wages)	
4- Travel		
5- Supplies		
6- Office & Scientific Equip	Over 200'00	
7- Computer Time		
8- Consultants	(non-employees)	
9- Sub-Contracts	(ask them budget)	for mini-proposal & ask for
10- Publications Costs & Printing		
Total Costs		

Use definite phrases. (RESEARCH)

A problem exists in that \_\_\_\_\_ (Then state what is wrong)

A need exists to \_\_\_\_\_ (SERVICE) state what is wrong

stream - lining

\* Notes from 1<sup>st</sup> sample

1- develop — implement — evaluate

Can you write a good methodology for a objective:

The U.S. <sup>has traditionally emphasized in its ed'l programs cognitive rather</sup> does not have an adequate gross motor development program

10. Title page — 1<sup>st</sup> pg. of proposal.

11. Abstract — after you write proposal,  
250-300 words of your proposal

summary of objectives & methodology, — can use  
perspective

12. Table of Contents, Bibliography, Appendix

↓  
Letters of Recommendation  
Extraneous & Enrichment  
Material.

---

Before Final Proposal Draft

"shelve" — let it get cold for 2 weeks then  
look at it again.

peer review —

Non peer review — move objectives

"quick & dirty" — last minute proposal.

## Why Proposals Are Rejected

1. The proposal is not clearly defined.
2. The proposal is not feasible.
3. The proposal is not innovative.
4. The proposal is not cost-effective.
5. The proposal is not timely.
6. The proposal is not well-researched.
7. The proposal is not well-written.
8. The proposal is not well-presented.
9. The proposal is not well-timed.
10. The proposal is not well-received.