



HEWLETT
PACKARD

NEELY SALES REGION • Kawaiahao Plaza, 567 S. King Street, Suite 190, Honolulu, Hawaii 96813 • Telephone (808) 526-1555

February 22, 1983

Polynesian Voyaging Society
P.O. Box 19000A
Honolulu, HI 96819

Attn: Marlene

Dear Marlene:

Enclosed is a brochure that Chuck requested regarding our company's Donation/Grant Policy. As you might imagine, we get many requests for grants, and most are for genuinely worthy purposes. If there is a specific project in mind, I would be glad to assist in advising Chuck as to what our corporate people look for.

Also, you might pass on to Michael Tongg that a fellow named Dick Morgardo stopped by Monday while I was doing some work on the Hokule'a and asked whom he might contact regarding the possible use of her in a movie. I gave him Michael's name and the address of the Society.

I will be out of town until the 3rd of March, but there really wasn't much else to the conversation with Mr. Morgardo.

Sincerely,

HEWLETT-PACKARD COMPANY
NEELY SALES REGION

Dennis Terazawa
Branch General Manager

DT/dac

Enclosure

ATHERTON FAMILY FOUNDATION

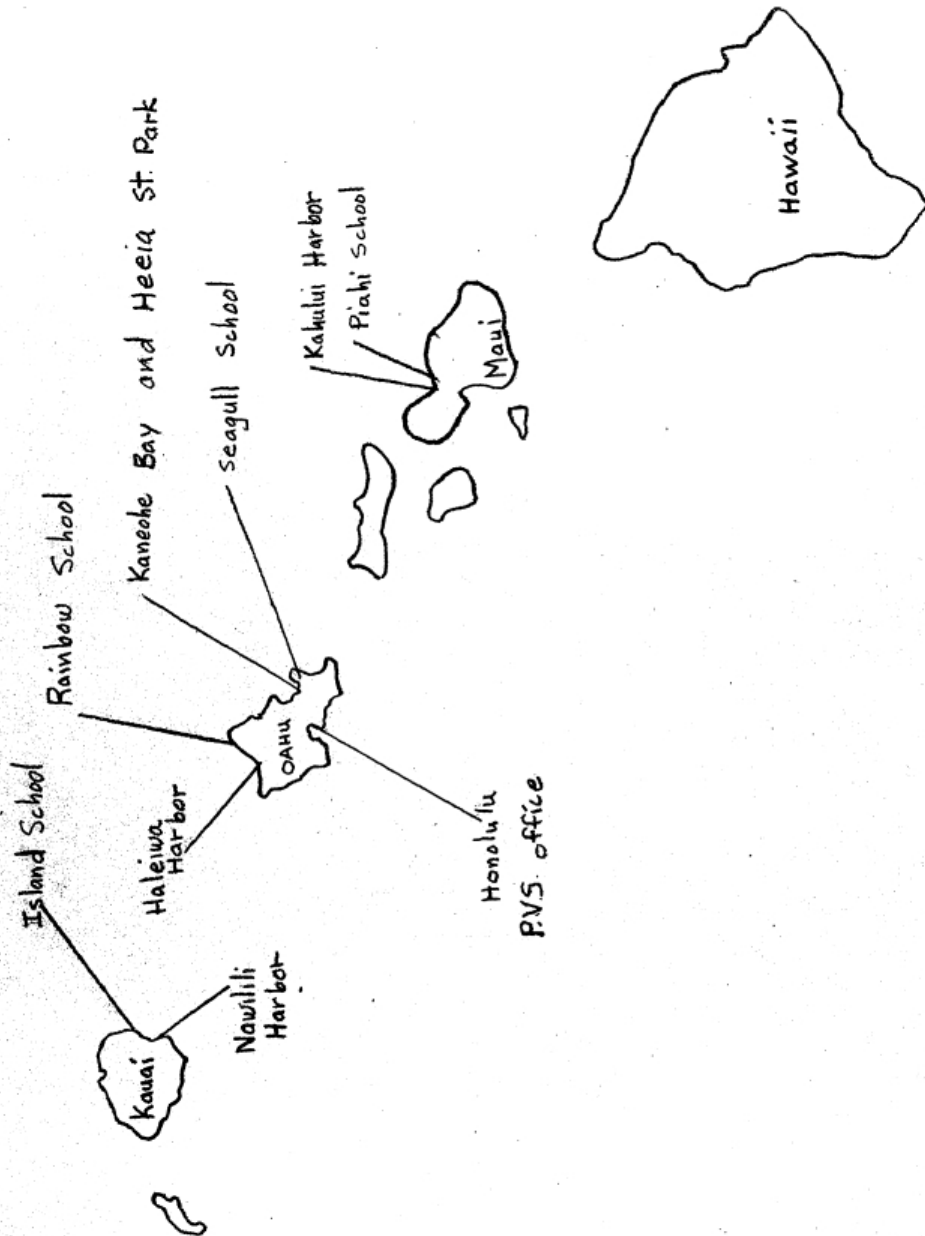
Alexander S. Atherton
Robert Midkiff
James Morgan
Marjorie Wightman
Joan Rohlfing
Judith Dawson

SAMUEL N AND MARY CASTLE FOUNDATION

W. Donald Castle
James C. Castle
William C. Auld
Zadock Brown
Robert R. Midkiff

COOKE FOUNDATION

Richard Cook Jr.
Charles C. Spaulding
Samuel A. Cook
Dora C. Derby
Betty P. Dunford
Catherine C. Summers



FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	3. STATE APPLICATION IDENTIFIER
1. TYPE OF ACTION (Mark appropriate box) <input type="checkbox"/> PREAPPLICATION <input checked="" type="checkbox"/> APPLICATION <input type="checkbox"/> NOTIFICATION OF INTENT (OpL) <input type="checkbox"/> REPORT OF FEDERAL ACTION	4. LEGAL APPLICANT/RECIPIENT a. Applicant Name : b. Organization Unit : c. Street/P.O. Box : d. City : e. State : f. Contact Person (Name) : g. Telephone No. :	a. NUMBER b. DATE Year month day 19	a. NUMBER b. DATE Year month day ASSIGNED 19
5. FEDERAL EMPLOYER IDENTIFICATION NO.		6. PRO-GRAM (From Federal Catalog) a. NUMBER 1 3 5 4 9 b. TITLE Ethnic Heritage Studies Program	
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT		8. TYPE OF APPLICANT/RECIPIENT A-State B-Intermediate C-Substate D-District E-City F-School District G-Special Purpose District H-Community Action Agency I-Higher Educational Institution J-Indian Tribe K-Other (Specify): Enter appropriate letter <input type="checkbox"/>	
9. TYPE OF ASSISTANCE A-Basic Grant B-Supplemental Grant C-Loan D-Insurance E-Other Enter appropriate letter(s) <input type="checkbox"/> A		10. AREA OF PROJECT IMPACT (Name of cities, counties, States, etc.)	
11. ESTIMATED NUMBER OF PERSONS BENEFITING		12. TYPE OF APPLICATION A-New B-Renewal C-Revision D-Continuation E-Augmentation F-Other (Specify): Enter appropriate letter(s) <input type="checkbox"/>	
13. PROPOSED FUNDING a. FEDERAL \$.00 b. APPLICANT \$.00 c. STATE \$.00 d. LOCAL \$.00 e. OTHER \$.00 f. TOTAL \$.00		14. CONGRESSIONAL DISTRICTS OF: a. APPLICANT b. PROJECT 15. PROJECT START DATE Year month day 19 16. PROJECT DURATION Months 17. PROJECT END DATE Year month day 19	
18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY		19. EXISTING FEDERAL IDENTIFICATION NUMBER	
20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code) U.S. Office of Education, Application Control Center, Washington, D.C. 20202		21. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	
22. THE APPLICANT CERTIFIES THAT: a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurance if the maintenance is approved. b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached: (1) <input type="checkbox"/> Response attached (2) <input type="checkbox"/> (3) <input type="checkbox"/>		23. CERTIFYING REPRESENTATIVE a. TYPED NAME AND TITLE b. SIGNATURE c. DATE SIGNED Year month day 19	
24. AGENCY NAME		25. APPLICATION RECEIVED 19	
26. ORGANIZATIONAL UNIT		27. ADMINISTRATIVE OFFICE	
28. ADDRESS		29. FEDERAL APPLICATION IDENTIFICATION	
30. FEDERAL GRANT IDENTIFICATION		31. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN	
32. FUNDING a. FEDERAL \$.00 b. APPLICANT \$.00 c. STATE \$.00 d. LOCAL \$.00 e. OTHER \$.00 f. TOTAL \$.00		33. ACTION DATE 19 34. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) 35. STARTING DATE Year month day 19 36. ENDING DATE Year month day 19 37. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	
38. FEDERAL AGENCY A-95 ACTION a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.		39. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)	

ABSTRACT

FOCUS: Area I. Training of Persons in Ethnic Studies

Level: Elementary Education

Overall Objective: To train elementary school teachers, and other ethnic studies personnel in the area of Polynesian voyaging so as to enhance their understanding of ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

SPECIFIC OBJECTIVES:

1. To establish five regional Polynesian voyaging resource centers at Honolulu, Windward O'ahu, North Shore O'ahu, Kealia on Kaua'i, and Piahi on Maui.
2. To train resident resource persons in Polynesian voyaging at each of the five satellite resource centers.
3. To use the Hokule'a as a floating classroom to be temporarily berthed near each of the five resource centers.
4. To have the five regional Polynesian voyaging resource people train elementary school teachers and other professionals in ethnic studies to:
 - a. Identify Polynesian voyaging resources and resource people.
 - b. Explain the concepts and techniques of Polynesian voyaging.
 - c. Demonstrate the value of a multi-ethnic approach by explaining the unique components of Polynesian voyaging and culture.
 - d. Effectively use the curriculum materials provided by the Polynesian Voyaging Society.

APPROACH:

The project is organized to provide resource materials and training in two stages.

The first stage is to organize the curriculum materials and train persons to permanently operate one main resource center and four satellite resource centers. The second stage is to train personnel and teachers of elementary school aged children in the use and availability of Polynesian voyaging resources and its relevance for understanding ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

AMOUNT OF FUNDING REQUESTED: \$59,960.00

14

Polynesian Voyaging Society (PVS)
Resource and Training for Multi-Cultural Education

ETHNIC HERITAGE STUDIES PROGRAM
October 1, 1979 - September 30, 1980

Budget Justification

6.a. Personnel Salaries	Rate/ Month	Months of Effort	Approximate % of Effort	Cost
Project Director	416.00	12	25.00	5,000.00
Trainer/Curriculum Developer	1,000.00	12	100.00	12,000.00
Trainer/Administrative Assistant	1,000.00	12	100.00	12,000.00
Crew Supervisor	1,000.00	12	100.00	12,000.00
Satellite Trainers:				
from Seagull School	850.00	3	100.00	2,550.00
from Rainbow School	850.00	2	100.00	1,700.00
from Island School	850.00	2	100.00	1,700.00
from Piahi School	850.00	2	100.00	1,700.00
		Subtotal		48,650.00
c. Travel				
Airfare - Interisland				
1 RT Kauai-HNL-Kauai				50.00
1 RT Maui-HNL-Maui				50.00
4 RT HNL-Kauai-HNL (\$50.00 X 4)				200.00
4 RT HNL-Maui-HNL (\$50.00 X 4)				200.00
Per Diem				
HNL: \$30.00/day X 4 days X 2 trainers				240.00
Kauai: \$30.00/day X 5 days X 3 staff				450.00
Maui: \$30.00/day X 5 days X 3 staff				450.00
Kauai: \$30.00/day X 10 days X 1 crew supervisor				300.00
Maui: \$30.00/day X 10 days X 1 crew supervisor				300.00
Mileage: 3,000 miles X \$.15				450.00
		Subtotal		2,690.00

6.e. Supplies

1. Office Supplies

300.00

Subtotal

300.00

f. Contractual

Consultant in Polynesian Culture

1,000.00

Air Travel

100.00

Per Diem 2 days @ \$30.00

60.00

Consultant - Evaluation

2,000.00

Air Travel

100.00

Per Diem 2 days @ \$30.00

60.00

Consultant - Photographer

1,000.00

Subtotal

4,320.00

h. Printing

1. Printed materials

2,000 copies of work booklet and evaluation sheet

1,000.00

Subtotal

1,000.00

* j. Indirect Charges

3,000.00

Subtotal

3,000.00

TOTAL

\$59,960.00

* Indirect Charges - fiscal management will be provided by the executive committee of the Polynesian Voyaging Society. Costs were figured at approximately .05% of \$56,960.00. The committee consists of:

Michael A. Tongg - President and attorney
Anthony Guerrero, Jr. - Treasurer and Vice President
First Hawaiian Bank

Kaipo Kauka - Vice President and Community Heritage
Coordinator for Hawaii Foundation for
History and Humanities

PART IV - PROGRAM NARRATIVE

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE

In 1778, when Captain James Cook rediscovered Hawai'i, he estimated 300,000 native Hawaiians. By 1840, the Hawaiian race dwindled down to 70,000 people.

When Cook, the missionaries, immigrants and others came to the Hawaiian Islands tremendous and tragic changes took place. The islands, isolated from the outside world, were suddenly invaded by an influx of people. Diseases were introduced, the kingdom was overthrown by foreigners, and the culture was uprooted. Such rapid transition had devastating effects which proved almost fatal to the entire Hawaiian race.

In the 1840's, the popular saying of the day was "Na kanaka o ku'u wale aku no i ka uhane. ("The people freely gave up their souls and died.") Physical and psychological death had been the choice of many Hawaiians who could not cope with the despair that overwhelmed them.

The calamitous results of the past still plague many Hawaiians today. They have the highest incidence of poverty, high school drop-outs, and unemployment of any racial group in Hawai'i. Preventive measures have to be implemented and applied. When people have inadequate education, a limited knowledge of their cultural roots, poor self esteem, and where families are disoriented, societal problems escalate. Education therefore is the key to building up self-worth, self-sufficiency, and self-direction.

Along with the social ills, the 1970's show a resurgence of interest and hope for the Hawaiian culture among Hawaiians. There is a desperate vitality and commitment among American Hawaiians

Bicentennial

to learn about their culture, to uplift themselves and their heritage through education. A deliberate search is being made for Hawaiian identity. Regrettably, Hawaiian culture has been regarded irrelevant in the past. However, on November 7, 1978, voters of Hawai'i realized this need and voted on promoting and implementing Hawaiian studies into the school system and community. This was an amendment proposed by members of the Constitutional Convention of 1978.

A renaissance in Hawaiian culture is evidenced by the founding of the Polynesian Voyaging Society in 1973. Its purpose has been to do research work in Polynesian voyaging canoes, Polynesian navigational system, Polynesian culture and all the other arts and artifacts that made migration and settlement of the Hawaiian Islands possible, by the first settlers. Multi-racial members of the society built the Hokule'a, a double hulled canoe, in 1974, trained a crew in 1975, and sailed from Hawai'i to Tahiti in 1976. The three year plan became a life-size reality which received strong community support.

The 60 foot, twin hulled canoe called Hokule'a was designed to answer the question of whether the ancient Polynesians regularly navigated the 3,000 mile course between Hawai'i and Tahiti. Multi-racial builders of the canoe found that centuries before Columbus, Polynesians aboard voyaging canoes had explored a huge triangle of the earth's surface, with Hawai'i, Easter Island and New Zealand as its outer limits. Guided by the stars, currents, and ocean swells, they accomplished incredible feats of navigation and seamanship as they sailed across thousands of miles of open ocean.

Though Hokule'a was built mainly of modern materials, such as plywood and fiberglass, her lines were authentic and reconstructed from sketches by explorer Captain James Cook and other explorers. Her sails, copied from ancient Hawaiian rock paintings were shaped like crab claws. This design proved more practical than modern sails that were tried because the crab claw contour minimized stress and spilled the wind during squalls.

In 1976, seventeen men who made up the crew of Hokule'a, sailed her to Tahiti. One of the key men was the navigator, Mau Piailug, from the Satawal atoll in Micronesia. Mau, a strong 44 year old, became a full fledged navigator at the age of 18, and roamed far and wide through the central Carolines without relying on any navigational instruments. Mau was assisted by Rodo Williams, a Tahitian and former schooner captain, and David Lewis, a Caucasian who had studied with traditional navigators in Tonga and Micronesia. None of the three used any instruments during the voyage, nor did they receive any hint of their position from the escort vessel that accompanied Hokule'a on this 3,000 mile journey. Half of the crew who went on the voyage were Hawaiians. Hokule'a reached Tahiti after 34 days and was received by a jubilant crowd of 15,000 Tahitians, the largest crowd in the memory of that island.

Hokule'a received national and international acclaim because the National Geographic Society filmed the magnificent and historic journey. They also published 3 separate articles about Hokule'a in their magazine. Hokule'a has become a legacy and symbol of Hawai'i, a success story that needs to be shared. Slides, pictures, and logs were taken when Hokule'a made her incredible trip.

All these materials need to be made more readily available. Hokule'a can be used as a floating classroom. The experience for students and teachers to feel, touch, and see an authentic Polynesian replica of the canoes that brought the first settlers to Hawai'i would be an unforgettable and valuable educational tool. It could help guide Hawaiians back to their roots and give them insight into the awesome courage and intelligence of their ancestors. It can also explode the myths and negative stereotyping about Polynesians.

2. RESULTS OF BENEFITS EXPECTED

This proposal seeks to promote the contributions which Polynesian Americans and by implication, other ethnic groups can offer in making America a truly pluralistic and culturally diverse society.

More specifically, this proposal is to train elementary teachers so as to enhance their understanding of ethnic identity, inter-ethnic communication and relations, and the process of American multiculturalism. To this end, the proposal focuses on:

- a. Establishing five permanent satellite resource centers with trainers.
- b. Training approximately 170 elementary school teachers and other professionals in ethnic studies to become familiar with the area of Polynesian voyaging so that they will be able to:
 1. Identify Polynesian voyaging resources and resource people.
 2. Explain the concepts and techniques of Polynesian voyaging.

3. Demonstrate the value of a multi-ethnic approach by explaining the unique components of Polynesian voyaging, crafts, artifacts.
4. Effectively use the curriculum materials provided by the Polynesian Voyaging Society.
- c. Providing an opportunity for approximately 3,490 children from 5 geographical areas to experience boarding and learning about a replica of a 60 foot Polynesian canoe.
- d. Developing with the assistance of the Department of Educational Psychology an evaluation of this project to determine the overall training effects of the course.

3. APPROACH a.

The Polynesian Voyaging Society intends to disseminate its knowledge of Polynesian migration, (open sea voyaging and double hulled canoes) discovery and settlement to the population and particularly elementary school teachers and children of five large areas in Hawai'i. In this application we are proposing to make major changes in the direction of the society - - from one whose purpose has been to test theories regarding Polynesian voyaging to one that will serve as a floating classroom for children throughout the Hawaiian Islands. To accomplish this it hereby plans to hire two persons to act as teacher trainers and curriculum consultants and a crew supervisor to manage the canoe and related instructional use. The trainers will coordinate the development and use of curriculum materials and the training of four regional trainers to train teachers of public schools in Polynesian voyaging.

21

Our plan is to establish five permanent satellite curriculum resource centers with resident trainers and to temporarily station the canoe at five different locations so that teachers and groups of elementary school aged children will have the experience of using the materials already developed by the Polynesian Voyaging Society, seeing the visual presentations, participating in the workshops and boarding the canoe. Members schools of the Hawaii Association of Rural Private Schools (HARPS, all private, non-profit organizations) will assist in providing facilities for the five regional resource and training centers and will help host the canoe as it voyages from port to port. As hosts, the schools will provide one staff person each to be trained as trainers in Polynesian voyaging. The HARPS schools will hold public seminars, will coordinate the scheduling of elementary school classes visiting the canoe and will serve as permanent resource centers for the distribution and storage of curriculum materials.

During October and November, the two trainers and crew supervisor will organize the educational materials of the Polynesian Voyaging Society and plan the curriculum that will be implemented at the five regional sites selected for the distribution of curriculum materials. In October, the Polynesian Voyaging Society will distribute information regarding the availability of instructional materials regarding Polynesian voyaging. This will be done through the Department of Education channels and through a one day workshop to be held at Kamehameha Schools on Discoverer's Day, October 8. During November and December the Polynesian Voyaging Society trainers will develop the educational materials while hosting visits from elementary school teachers and classes in the

22

Honolulu area. Also during December, four staff persons from the four participating HARPS schools will meet on O'ahu for 4 days of training regarding use of Polynesian voyaging curriculum materials. They will take back with them to their schools the materials and information developed by the Polynesian Voyaging Society and will establish permanent satellite resource and training centers regionally. They will advertise locally their functions in this project and will schedule schools, teachers and various organizations to visit the canoe as it visits their region.

In January 1980, the canoe will sail under the supervision of the crew supervisor from Honolulu Harbor to Kaneohe Bay on the Windward side of O'ahu. It will be berthed at the Heeia Kea pier next to Heeia State Park through March. At this site a trained staff person from Seagull School with the assistance of the two Polynesian Voyaging Society trainers will coordinate the visitation and instruction of teachers and students on the Windward side of O'ahu. The canoe will stay at He'eia until the end of March when it will be sailed to Haleiwa Harbor on the North Shore of O'ahu where a trained staff person from Rainbow Elementary School will serve the function of trainer and coordinator for elementary school teachers and their students. At the end of May the canoe will sail for Kaua'i and will be berthed at Nawiliwili Harbor where the canoe will be hosted and visitations will be coordinated by Island School. During the summer months when schools are on vacation, emphasis will remain on elementary school aged youth by arranging for organizations such as Scouts, 4H, and summer fun type recreational programs to visit the canoe. At the end of July

23

the canoe will sail to Kahului Harbor on Maui where Piahi School will host and coordinate canoe activities.

The dates given as sailing times are approximate and will be influenced by weather and condition of the canoe. The scheduling of the visits of the canoe is also affected by the seasons. The channels between the islands are usually much more difficult to cross during the winter months, therefore, interisland sailing will be accomplished during the summer. If the canoe is unable to keep appointments for the aforementioned reasons, training can be done without the use of the canoe.

At each of the training sites, public and private schools and youth organizations from that geographical area will schedule visitation times with the host schools. In advance of its visitations, local teachers will have the opportunity to borrow curriculum materials from the resource center and receive training in their use from the regional trainer.

Staff from the Polynesian Voyaging Society will spend at least 15 days cumulative time at each of the satellite centers on Maui and Kauai to supervise and evaluate trainers. On O'ahu as much time as necessary will be spent for training and evaluation of centers at the Windward and North Shore centers. The crew supervisor will spend at least 10 days at each of the locations of the canoe.

3. APPROACH b.

QUANTITATIVE MONTHLY PROJECTIONS OF NUMBERS OF PERSONS
SERVED AND TRAINED -

<u>Month</u>	<u>Activity Schedule</u>
October	Two trainers and the crew supervisor will organize the curriculum materials with assistance from the curriculum consultant. A one day workshop will be held for the public and especially public school teachers regarding the availability of this project on Discover's Day.
November	Twenty teachers from the Honolulu District will be trained by the Polynesian Voyaging Society staff and approximately 400 children may be scheduled to visit the canoe, <i>berthed at Honolulu, P. M. 12</i>
December	Fifteen teachers from the Honolulu District will be trained and approximately 300 children may visit the canoe. Four satellite resource center trainers will attend a four day workshop in Honolulu to be trained for this project.
January	Fifteen teachers from the Windward O'ahu District will be trained at Kaneohe Bay by the Seagull School satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 330 children may visit the canoe.

February	Same
March	Same
April	Fifteen teachers from the North Shore District of O'ahu will be served at Haleiwa boat harbor by the Rainbow School satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 300 children may use the canoe facilities.
May	Same
June	Fifteen adults from Kauai will be trained by the Island school satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 300 children will use the canoe facilities.
July	Same
August	Fifteen adults from Maui will be trained by the Piahi School satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 300 children will use the canoe facilities.
September	Same

3. APPROACH c.

Evaluation will be contracted to Dr. Frederick T. Bail of the Educational Psychology Department of the University of Hawai'i. Evaluation will be accomplished by:

1. Observing the operation of the five regional centers.
2. Interviewing the resource people.
3. Interviewing a sample of elementary school teachers trained by the resident resource people.
4. Developing, administering, and evaluating the results of a questionnaire for the regional resource people.
5. Developing, administering and evaluating the results of a questionnaire for the teachers serviced by each of the regional resource people.

Interim and final reports will be coordinated by the project coordinator. This will be done quarterly and will include:

1. A fiscal report
2. Information regarding number of trainees served
3. Numbers of persons utilizing satellite resource centers
4. Number of visitors to the canoe
5. Information gathered for evaluation
6. Report from meetings with the advisory council
7. Photographs of training

3. APPROACH d.

Cooperating Institutions

Nature of Effort

1. Department of Education
State of Hawaii

They will disseminate publicity and information regarding the availability of the satellite resource centers and the Hokule'a.

2. Kamehameha Schools

They will provide facilities for holding workshops and for doing maintenance on the canoe. They will also assist in the cost of printing and producing materials.

3. Bishop Museum

They will provide office space at below market value.

4. Alu Like

They will provide copying service.

5. Hawaii Association of Rural Private Schools (HARPS)

Each of the HARPS school will provide staff persons with 4 days of paid release time for training in December. They will provide transportation for Polynesian Voyaging Society staff and consultants while on Maui and Kauai. They will donate facilities for the permanent storage of curriculum materials and after the project year will continue to act as resource persons.

6. Department of Transportation Harbors Facilities

They will provide assistance and facilities for the berthing of the canoe Hokule'a.

7 Punahou School

- use of media center + upographic facilities

- make stronger statement re use by ~~private~~ ^{public} schools
- mention Hawaiian lang develop.
- train + offer inservice further, enhance, develop
- modify language to be more objective.
- teaching strategies?

- stress the permanence of these resource centers
- clearer description of resource centers

Private Schools (HAWAII)
 1. All like
 2. Hawaii
 3. Department of Transportation
 4. Department of Transportation
 5. Department of Transportation
 6. Department of Transportation
 7. Department of Transportation
 8. Department of Transportation
 9. Department of Transportation
 10. Department of Transportation
 11. Department of Transportation
 12. Department of Transportation
 13. Department of Transportation
 14. Department of Transportation
 15. Department of Transportation
 16. Department of Transportation
 17. Department of Transportation
 18. Department of Transportation
 19. Department of Transportation
 20. Department of Transportation
 21. Department of Transportation
 22. Department of Transportation
 23. Department of Transportation
 24. Department of Transportation
 25. Department of Transportation
 26. Department of Transportation
 27. Department of Transportation
 28. Department of Transportation
 29. Department of Transportation
 30. Department of Transportation
 31. Department of Transportation
 32. Department of Transportation
 33. Department of Transportation
 34. Department of Transportation
 35. Department of Transportation
 36. Department of Transportation
 37. Department of Transportation
 38. Department of Transportation
 39. Department of Transportation
 40. Department of Transportation
 41. Department of Transportation
 42. Department of Transportation
 43. Department of Transportation
 44. Department of Transportation
 45. Department of Transportation
 46. Department of Transportation
 47. Department of Transportation
 48. Department of Transportation
 49. Department of Transportation
 50. Department of Transportation
 51. Department of Transportation
 52. Department of Transportation
 53. Department of Transportation
 54. Department of Transportation
 55. Department of Transportation
 56. Department of Transportation
 57. Department of Transportation
 58. Department of Transportation
 59. Department of Transportation
 60. Department of Transportation
 61. Department of Transportation
 62. Department of Transportation
 63. Department of Transportation
 64. Department of Transportation
 65. Department of Transportation
 66. Department of Transportation
 67. Department of Transportation
 68. Department of Transportation
 69. Department of Transportation
 70. Department of Transportation
 71. Department of Transportation
 72. Department of Transportation
 73. Department of Transportation
 74. Department of Transportation
 75. Department of Transportation
 76. Department of Transportation
 77. Department of Transportation
 78. Department of Transportation
 79. Department of Transportation
 80. Department of Transportation
 81. Department of Transportation
 82. Department of Transportation
 83. Department of Transportation
 84. Department of Transportation
 85. Department of Transportation
 86. Department of Transportation
 87. Department of Transportation
 88. Department of Transportation
 89. Department of Transportation
 90. Department of Transportation
 91. Department of Transportation
 92. Department of Transportation
 93. Department of Transportation
 94. Department of Transportation
 95. Department of Transportation
 96. Department of Transportation
 97. Department of Transportation
 98. Department of Transportation
 99. Department of Transportation
 100. Department of Transportation

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF HIGHER AND CONTINUING EDUCATION
WASHINGTON, D.C. 20202

**APPLICATION FOR GRANTS UNDER
THE ETHNIC HERITAGE STUDIES
PROGRAM**

(CFDA No. 13.549)

FORM APPROVED
OMB NO. 51-R1114
OE FORM 349, 9/78



DATED MATERIAL — OPEN IMMEDIATELY

Closing Date: JANUARY 5, 1979

DOCUMENTS CAPTURED AS RECEIVED

29

DISCRIMINATION PROHIBITED. No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance, or be so treated on the basis of sex under most education programs or activities receiving Federal assistance.

NOTICE TO APPLICANTS. U.S. Office of Education intent is to notify all unsuccessful applicants as soon as possible after award decisions have been made. **DO NOT** infer that an award is forthcoming if such notification is **NOT** received. This may indicate only that the selection process has not been completed.

CORRECTION SHEET

APPLICATION FOR GRANTS UNDER THE ETHNIC HERITAGE STUDIES PROGRAM (CFDA No. 13.549)

page D4 Delete next to last paragraph.

page D13 Add after paragraph under A. General Criteria, 1. :

In the absence of information to the contrary, the Office of Education considers needs that have not been addressed by prior Ethnic Heritage Studies projects to be greater than needs which have been addressed by those projects.

TABLE OF CONTENTS

Closing Date Notice for FY 1979	A1 - A2
Rules and Regulations	B1 - B3
Certification for Open Meetings by LEAs	C
Guidelines for Application	D1 - D20
Application Instructions and Forms	E1 - E12
Civil Rights Compliance Forms and Instructions	F1 - F17
Important Notice to Prospective Participants in USOE Contract and Grant Programs - OE Form 5348	G
Application Receipt Acknowledgement Postcard	Inside Back Cover

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

Ethnic Heritage Studies Program

Notice of Closing Date for Receipt
of Applications for Fiscal Year 1979

Notice is hereby given that pursuant to the authority contained in Title IX of the Elementary and Secondary Education Act of 1965, as amended by section 901-907 of Pub. L. 92-318 and section 111 of Pub. L. 93-380 (20 U.S.C. 900 to 900a-5), applications are being accepted from public and private nonprofit educational agencies, institutions, and organizations for grants under the Ethnic Heritage Studies Program. The processing of these applications will be subject to the availability of funds.

CLOSING DATE: January 5, 1979

A. APPLICATION FORMS AND INFORMATION: Application forms are being prepared but are not yet available. We anticipate the application forms and program information packages will be ready for mailing on or about October 10, 1978.

Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the program information packages.

B. APPLICATIONS DELIVERED BY MAIL: An application sent by mail must be addressed to the U.S. Office of Education, Application Control Center, Attention: 13.549, Washington, D.C. 20202. Applications will be accepted only if they are mailed on or before the pertinent closing date and the following proof of mailing is provided.

Proof of mailing must consist of a legible U.S. Postal Service dated postmark or a legible mail receipt with the date of mailing stamped by the U.S. Postal Service. Private metered postmarks or mail receipts will not be accepted without a legible date stamped by the U.S. Postal Service.

NOTE: The U.S. Postal Service does not uniformly provide a dated postmark. Applicants should check with their local post office before relying on this method.

Applicants are encouraged to use registered or at least first-class mail.

Each late applicant will be notified that its application will not be considered in the current competition.

C. APPLICATIONS DELIVERED BY HAND: An application that is hand delivered must be taken to the U.S. Office of Education, Application Control Center, Room 5673, Regional Office Building 3, Seventh and D Streets, S.W., Washington, D.C.

The Application Control Center will accept hand-delivered applications between 8 a.m. and 4 p.m. (Washington, D.C., time) daily, except Saturdays, Sundays, and Federal holidays.

Applications for new awards that are hand delivered will not be accepted after 4 p.m. on the closing date.

D. PROGRAM INFORMATION: The Ethnic Heritage Studies appropriation for Fiscal Year 1979 is unknown at present. A continuing resolution is expected to provide \$1,000,000. The program hopes to award 50 major grants averaging approximately \$36,000 in size. In addition, the program hopes to award approximately 15 mini-grants not to exceed \$15,000 in size. The applications for all grants will be evaluated competitively under the funding criteria in 45 CFR 184.31. There are no continuation grants in the Ethnic Heritage Studies Program for this year and awards will be made for a one-year project period.

The above statement with regard to the expected distribution of funds is basically for informational purposes and does not bind the Office of Education, except as may be required by the applicable statute and regulation.

E. FOR FURTHER INFORMATION CONTACT: Chief, Ethnic Heritage Studies Branch, Division of International Education, Bureau of Higher and Continuing Education, Office of Education, Room 3928, 7th and D Streets, S.W., Washington, D.C. 20202, Area Code 202, 245-9506.

F. APPLICABLE REGULATIONS: The regulations applicable to this program include the Office of Education General Provisions Regulations (45 CFR Part 100a) and the Ethnic Heritage Studies Program regulations published in the Federal Register on May 20, 1975, at 40 FR 21954-21951, CFR Part 184.

(Catalog of Federal Domestic Assistance No. 13,549, Ethnic Heritage Studies Program.)

Dated:

U.S. Commissioner of Education

NOTE: THIS DOCUMENT IS NOT THE OFFICIAL CLOSING NOTICE AND IS PROVIDED FOR INFORMATION PURPOSES ONLY. THE OFFICIAL NOTICE WILL BE PUBLISHED SEPARATELY IN THE FEDERAL REGISTER.

EXCERPTS
CONCERNING THE ETHNIC
HERITAGE PROGRAM from
the *Federal Register*,
Vol. 40, No. 98, May
20, 1975

RULES AND REGULATIONS

13297) by adding a new Part 184 to the Code of Federal Regulations. This program was administered under the April 12 standards last fiscal year.

The following paragraphs reiterate the fundamental changes between the standards published on April 12, 1974 and the regulations as they will be published in final form.

a. The standards published in April required all authorized activities (curriculum development, dissemination, and training) to be performed by a grant recipient. This may have had the result of unduly restricting entry into the program because some applicants with the ability to perform some activities lacked the capacity to perform all activities. Section 184.11(a) of the rule permits an applicant to qualify for consideration if it can perform at least one of the three activities listed. This change results from a substantive amendment to the Act made by section 111 of Pub. L. 93-380.

b. Previously, the Act required that curriculum materials developed be for use in elementary and secondary schools and institutions of higher education. The amendment contained in section 111 of Pub. L. 93-380 permits the development of materials for elementary schools, secondary schools, or institutions of higher education, thus allowing a more flexible approach. This change is reflected in § 184.11(a) (i) of the rule.

c. As a result of the 1974 amendments, funding criteria have been added for separate activities (curriculum, dissemination, and training). (see § 184.31(c).)

d. The section on advisory councils (§ 184.12) is essentially in the form set forth in the previous standard, with some drafting and clarifying changes.

Interested parties were invited to submit written comments, suggestions and objections. Below is a summary of the comments received pertaining to the proposed rule and the responses from this Office. All comments received were given careful consideration, but none was sufficiently substantive to merit a change in the proposed rules. Several technical corrections were made in the citations of legal authority under the table of contents and under subpart D, Funding Criteria. Several typographical errors were also corrected.

1. *Comment.* A commenter, an Indian tribe, requested that American Indian tribes be specifically designated as eligible applicants in the regulations.

Response. Title IX acknowledges the importance of the ethnic heritage of all Americans, consequently the scope of the legislative intent encompasses native American tribes and organizations as eligible to the extent that they are nonprofit and have an educational purpose. Section 184.21 states the parties eligible for assistance, as provided by the statute, including nonprofit educational organizations. The nonprofit educational organizations of an Indian tribe would be eligible under this language. This office received applications from several different Indian organizations which were considered in the preceding year.

2. *Comment.* A commenter, a nonprofit organization, commended the flexibility of the regulations and indicated a belief that they implemented congressional intent. The commenter specifically supports three facets of the regulations: (a) the dissemination of curriculum materials; (b) the equal emphasis given to the development and training in the use of curriculum materials; and (c) the multi-ethnic preference accorded to applications.

Response. The proposed rule was designed to introduce a greater degree of flexibility in the program regulations and to respond to concerns previously expressed to the program that participation by ethnic groups might have been hampered by regulatory requirements. The Office of Education appreciates the commenter's expression of views that this purpose has, in large measure, been achieved, particularly in the respects mentioned by the commenter.

3. *Comment.* A commenter stresses the importance of dissemination of ethnic heritage materials, including materials developed under the program.

Response. Dissemination of materials is an authorized activity under the proposed rules at § 184.11(a) (ii). This activity is considered an essential aspect of the program in creating a national awareness of ethnic heritage studies. Dissemination of materials also serves to maximize independent efforts and eliminates duplication of materials.

4. *Comment.* A commenter submitted several comments. They are particularized below with response.

(a) *Comment.* With regard to § 184.2, relating to definitions, the commenter suggests that a definition of "ethnic," which excluded racial or religious groups, should be incorporated.

Response. The regulations follow the approach set by Congress which did not define "ethnic" in the legislation itself. The commenter's point relating to exclusion of minority and religious groups is at odds with the legislative history of Title IX which includes reference to such groups. See Senate Report No. 93-763 at page 50.

(b) *Comment.* Commenter requests that the regulations "spell out" that "genuine ethnic organizations" should be a prime vehicle for assistance.

Response. A conscious effort was made to encourage and enhance participation of ethnic groups and ethnic organizations as evidenced by § 184.12 (a) and (b), § 184.21, § 184.22 (a) and (b), § 184.31(b) (6) (iii) and § 184.31(c) (ii).

However, under the legislation, ethnic organizations are not the sole category of eligible applicants. Furthermore, to accord one eligible applicant category priority over others merely by virtue of that category would be outside the congressional intent and an unauthorized action. Awards are based on competition among eligible applicants found in § 184.21.

(c) *Comment.* Commenter suggests that it should be specifically required that ethnic groups which have been organized within the past two years be

Title 45—Public Welfare
CHAPTER 1—OFFICE OF EDUCATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
PART 100a—DIRECT PROJECT GRANT AND CONTRACT PROGRAM
PART 184—ETHNIC HERITAGE STUDIES PROGRAM

Miscellaneous Amendments

Notice of proposed rule making was published in the *Federal Register* on December 31, 1974 (39 FR 45297), setting forth regulations for the Ethnic Heritage Studies Program (Title IX of the Elementary and Secondary Education Act) as added by section 504 of the Education Amendments of 1972, Pub. L. 92-318 (20 U.S.C. 900 to 900a-5), and amended by section 111 of the Education Amendments of 1974, Pub. L. 93-380.

These proposed rules would replace standards and funding criteria which were published on April 12, 1974 (39 FR

RULES AND REGULATIONS

required to submit proof that they are a bona fide ethnic group.

Response. Documentation of the organizational legal status of nonprofit applicants has been a concern of the Ethnic Heritage Studies Program. In an attempt to determine this status, certain information is required for submission. From the documentation submitted under § 184.21 (charter, notarized articles of incorporation, by-laws, etc.) we believe the program has sufficient data to judge an applicant's status.

(d) **Comment.** Commenter wishes to declare ineligible any applicant which has hired a former OE employee within the last 12 months.

Response. The conflict of interest statutes govern situations regarding use of former employees by a grantee organization. It would be inappropriate for the Office to develop a particularized set of prohibitions for this program.

(e) **Comment.** Commenter wishes to deny preferential treatment to any previous grantee.

Response. Eligible applicants which were previously awarded grants under Title IX are not given preferential treatment in these rules.

Accordingly, after consideration of the above comments, part 100a of Title 45 as amended and Part 184 of Title 45 of the Code of Federal Regulations are adopted to read as set forth below.

Effective date: The notice of proposed rulemaking was transmitted to Congress on December 24, 1974 pursuant to section 431(d) of the General Education Provisions Act. (20 U.S.C. 1232(d)). The time period set forth therein for congressional action has expired without such action having been taken. Therefore these criteria shall become effective on May 20, 1975.

(Catalog of Federal Domestic Assistance Number 13.549, Ethnic Heritage Studies)

Dated: May 1, 1975.

T. H. BELL,
U.S. Commissioner of Education.
Approved: May 14, 1975.

CASPAR W. WEINBERGER,
Secretary of Health,
Education, and Welfare.

Title 45 of the Code of Federal Regulations is amended as follows:

1. § 100a.10 is amended by adding a new paragraph (a)(33) to read as follows:

§ 100a.10 Scope.

(a) . . .

(33) Financial assistance for carrying out Ethnic Heritage Studies Programs under Title IX of the Elementary and Secondary Education Act.

(20 U.S.C. 900)

2. A new Part 184 is added, to read as follows:

Subpart A—Purpose; Scope; Definition; General Provisions

Sec.
184.1 Purpose.
184.2 Definition.
184.3 Applicability and general provisions

Subpart B—Authorized Activities and Program Advisory Councils

Sec.
184.11 Authorized activities.
184.12 Advisory councils.

Subpart C—Eligibility and Applications for Assistance

184.21 Eligibility for financial assistance.
184.22 Application for assistance.
184.23 Costs.
184.24 Coordination of efforts.

Subpart D—Criteria 184.31 Criteria for assistance.

AUTHORITY: Title IX of ESEA as added by sections 901-907 of P.L. 92-318 (1972) (20 U.S.C. 900a to 900a-5) and as amended by Section 111 of P.L. 93-380 (1974).

Subpart A—Purpose; Scope; Definition; General Provisions

§ 184.1 Purpose.

The purpose of the Act is to provide assistance designed to afford students opportunities to learn about the nature of their own cultural heritage and to study the contributions of the cultural heritages of the other ethnic groups of the Nation.

(20 U.S.C. 900)

§ 184.2 Definition.

As used in this notice, "Act" means title IX of the Elementary and Secondary Education Act of 1965, as added by section 504 of the Education Amendments of 1972 (P.L. 92-318), and amended by section 111 of the Education Amendments of 1974 (P.L. 93-380).

(20 U.S.C. 900 to 900a-5)

§ 184.3 Applicability and general provisions.

The regulations in this part apply to assistance provided under the Act. Such assistance is also subject to the provisions of Part 100a of the Office of Education General Provisions Regulations. (45 CFR Part 100a).

(20 U.S.C. 900)

Subpart B—Authorized Activities and Program Advisory Councils

§ 184.11 Authorized activities.

(a) Any ethnic heritage studies program assisted under the Act, in accordance with section 903 of the Act.

(1) (i) Shall develop curriculum materials for use in elementary or secondary schools or institutions of higher education, relating to the culture of the ethnic group or groups with which the program is concerned, and the contributions of that group or groups to the American heritage in such areas as history, geography, society, economy, literature, arts, music, drama, language or general culture; or

(ii) Shall disseminate such curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the Nation; or

(iii) Shall provide training for persons using, or preparing to use, ethnic heritage curriculum materials developed under the Act whether or not such materials were developed by the applicant; and

(2) Shall cooperate with persons and organizations which have a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or traditions of that group or groups.

(b) An application which does not make adequate provision for the carrying out by the applicant of one or more of the activities in paragraph (a) (1) of this section and the activities described in paragraph (a) (2) of this section will not be approved.

(20 U.S.C. 900a-1; 900a-2(a) (2))

§ 184.12 Advisory councils.

(a) The Act requires that an ethnic heritage studies program assisted under the Act must be planned and carried out in consultation with an advisory council which is representative of the ethnic group or groups with which the program is concerned.

(20 U.S.C. 900a-2)

(b) The appointment of council members shall be made with the participation of appropriate ethnic and community groups and shall meet the following requirements:

(1) Each of the ethnic groups with which the program is concerned is represented on the council;

(2) More than one-half of the membership of the council consists of community representatives of the ethnic group or groups with which the program is concerned;

(3) The council is broadly representative of educational and professional backgrounds relevant to the program, and at least one member of the council is affiliated with an educational organization or institution and has expertise and experience in curriculum development, training of personnel, and/or dissemination of curriculum materials.

(4) The members of the council are not employed by, or otherwise associated with, the applicant.

(c) (1) An applicant for assistance under the Act shall consult with an advisory council (as described above) regarding the planning of the program for which assistance is requested and the preparation and submission of the application.

(2) In carrying out a program assisted under the Act, a recipient shall:

(i) Consult periodically (and in no event less frequently than once a month) with such council regarding such program;

(ii) Provide such council in a timely fashion with advance copies of all reports required by the Commissioner with respect to the program and all materials prepared or distributed pursuant to it;

(iii) Request semi-annual assessment of the program and its effect by the council; and

(iv) Otherwise involve the council in its advisory capacity in the planning.

RULES AND REGULATIONS

implementation, and evaluation of the program.

(20 U.S.C. 900a-2(a)(3))

Subpart C—Eligibility and Applications for Assistance

§ 184.21 Eligibility for financial assistance.

The Commissioner will make grants to public and private nonprofit educational agencies, institutions, and organizations to assist them in developing and implementing ethnic heritage studies programs pursuant to the Act and this part. Eligible organizations include ethnic, community, and professional associations and local educational agencies, State educational agencies, and institutions of higher education as defined in section 801 of the Elementary and Secondary Education Act of 1965.

(20 U.S.C. 881; 20 U.S.C. 900a)

§ 184.22 Application for assistance.

(a) An applicant other than a local educational agency, State educational agency, or institution of higher education shall furnish a copy of its charter or other documentary evidence (such as notarized articles of incorporation, bylaws, or other appropriate organic documents) which demonstrates that it is a nonprofit organization and that it has an educational purpose. (See 45 CFR § 100.1 for definition of nonprofit organization.)

(20 U.S.C. 900a; 900a-2(a))

(b) An application for assistance under the Act shall contain information indicating the manner in which the requirements of § 184.12 have been and will be implemented.

(20 U.S.C. 900a-2(a)(3))

§ 184.23 Costs.

(a) Funds will be made available to cover all or part of the cost of establishing and implementing ethnic heritage studies programs, including such items as the cost of research materials and resources, ethnic group and academic consultants, and related training of educational and community resource persons.

(b) Funds are not available under the Act for construction or remodeling of facilities.

(c) Funds requested under this Act for nonexpendable items such as printing equipment, copying machines, typewriters and audiovisual machines will be allowable only in exceptional circumstances.

(20 U.S.C. 900a; 900a-3)

(d) The Commissioner is prohibited from making any payment under the Act for religious worship or instruction.

(20 U.S.C. 885)

§ 184.24 Coordination of efforts.

In approving applications under the Act, the Commissioner will require that adequate provision is made for cooperation and coordination of efforts among

the programs assisted under the Act, including exchange of materials and information. An applicant for assistance under this part will provide an affirmative assurance that it will cooperate and coordinate efforts with other programs assisted under the Act.

(20 U.S.C. 900a-2(b))

Subpart D—Criteria

§ 184.31 Criteria for assistance.

(a) *General criteria.* Applications for assistance under the Act which qualify for consideration will be evaluated in accordance with the following general criteria:

(1) General criteria set forth in § 100a.26(b) of Part 100a of the Office of Education General Provisions Regulations (45 CFR 100a.26(b)); and

(2) The overall quality of the program, with respect to the activities described in section 903 of the Act, and § 184.11 in helping students learn about their own cultural heritage and about the cultural heritages of other ethnic groups.

(b) *Specific criteria.* Applications for assistance under the Act will also be evaluated on the extent to which:

(1) There is evidence of commitment by the applicant and other interested groups to the program and to its continuation upon the expiration of Federal assistance;

(2) There is a clear demonstration of a specific contribution which the proposed program will make toward meeting the purpose of the Act;

(3) Approval of the application would promote an appropriate distribution of ethnic heritage studies programs throughout the Nation;

(4) The impact of the program is multi-ethnic;

(5) The program materials are designed for widespread use in schools or institutions of higher education and not exclusively for the applicants or the ethnic group(s) with which the program is concerned; and

(6) Provision is made for cooperation:

(i) With persons and organizations having a special interest in the program, as provided in section 903(4) of the Act;

(ii) With other programs assisted under this Act, including such joint activities as exchange of materials, personnel development models and cooperative dissemination efforts; and

(iii) Between ethnic or community groups and educational institutions or other agencies in order to implement the goals of the program.

(c) *Additional criteria.* (1) Programs described in § 184.11(a)(1)(i) (relating to development of curriculum materials) shall also be evaluated on the extent to which provision is made for:

(i) Obtaining data from resources within the community;

(ii) Field-testing curriculum materials to determine their effectiveness prior to use; and

(iii) Incorporating tested materials within the regular curriculum of schools or colleges;

(2) Programs described in § 184.11(a)(1)(ii) (relating to dissemination) shall also be evaluated on the extent to which provision is made for:

(i) Analysis of the materials to be disseminated;

(ii) Dissemination of materials on a nationwide basis; and

(iii) Facilitating exchange of materials among programs assisted under the Act.

(3) Programs described in § 184.11(a)(1)(iii) (relating to training) shall also be evaluated on the extent to which provision is made for:

(i) Maximum involvement of such leadership personnel as community leaders, teachers, teacher trainers, educational administrators, and/or curriculum development specialists and supervisors; and

(ii) Evaluation of the training program.

(20 U.S.C. 900-900a-5)

(20 U.S.C. 900-900a-5)

[FR Doc. 75-13216 Filed 5-19-75; 4:45 am]



DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

CERTIFICATION WITH RESPECT TO OPEN MEETINGS BY LOCAL
EDUCATIONAL AGENCIES IN CERTAIN PROGRAMS

(Ethnic Heritage Studies Program - Title IX, Elementary
and Secondary Act of 1965, as amended.)

As required by Sec. 812; Elementary and Secondary Education Act of 1965,
as added by Sec. 110 of Public Law 93-300, (20 U.S.C. 887e), the
applicant hereby certifies that:

- (1) prior to the submission of this application, the applicant held at least one meeting, open to the public, at which the program or project for which assistance is being sought and the activities proposed to be conducted in the application were explained, and the persons in attendance were afforded an opportunity to testify or otherwise comment on the contents of the application;
- (2) the applicant agency did advertise a notice of the meeting in a newspaper of general circulation serving the area affected by the program or project for which assistance is being sought, or otherwise provided adequate public notice, not less than seven (7) days prior to the date of such meeting. A copy of the application to be discussed was made available to the public at least 24 hours before the meeting is held; and
- (3) the applicant has given meaningful consideration to the comments or other testimony received at the open meeting, before submission of this application.

Signature of Appropriate LEA Official

Title

Date

ETHNIC HERITAGE STUDIES PROGRAM

Elementary and Secondary Education Act of 1965, Title IX, as Amended

GUIDELINES FOR APPLICATION

September 1978

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Office of Education
Bureau of Higher and Continuing Education
Division of International Education
Ethnic Heritage Studies Branch

DISCRIMINATION PROHIBITED

Title VI of the Civil Rights Act of 1964 states:
"No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

Title IX of the Education Amendments of 1972 states that except for certain listed exceptions: "No person in the United States shall, on the basis of sex, be excluded from participation in, be denied benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance." (Refer to Title IX, Education Amendments of 1972, Public Law 92-318, p. 138.)

Therefore, the Ethnic Heritage Studies Title IX program, like every program or activity receiving financial assistance from the Department of Health, Education, and Welfare, must be operated in compliance with this law.

CONTENTS

	Page
I. Program Description-----	D4
II. Eligibility -----	D5
III. Basic Program Requirement -----	D6
IV. Advisory Council -----	D6
V. Open Meeting Requirement -----	D7
VI. Authorized Activities -----	D8
VII. Selection Criteria -----	D13
VIII. Financial Provisions -----	D16
IX. Application Procedure -----	D17
X. Information Sources -----	D18

APPENDIX

A. Text of the Elementary and Secondary Education Act of 1965, Title IX, and Amended by Education Amendments of 1972 and 1974 -----	D19
---	-----

1. PROGRAM DESCRIPTION

The Ethnic Heritage Studies program seeks to develop intercultural understanding within our culturally pluralistic society. More specifically, the aims of the program are to help students learn more about the nature and role of ethnicity in their own lives and in the lives of others and to promote effective interactions among members of the various ethnic groups in the United States.

The Ethnic Heritage Studies program is administered by the U.S. Office of Education under the provisions of Title IX of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1972 and 1974. The program is conducted with the assistance of a 15-member National Advisory Council that provides guidance concerning general policies and priorities for ethnic heritage studies.

In Fiscal Year 1979, subject to the availability of funds, it is expected that about 65 grants will be made to ethnic groups and other public or private nonprofit educational organizations, local and State education agencies, and higher education institutions. Grants may be made to any combination of such groups, and consortia are encouraged. Assistance will be given for self-contained, 1-year projects, with a maximum grant not to exceed \$80,000. Projects may be proposed in one (or more) of the following three areas: (1) training of persons, (2) curriculum materials development, and (3) dissemination of materials in ethnic heritage studies. Every project, regardless of area of concern, must include plans for cooperative activities with persons and organizations that have similar interests in ethnic studies. Essentially, each proposal must give strong evidence of community-based cooperation, including creation of an advisory council as described hereafter in section IV.

In the selection of projects for 1979-80, preference will be given to applicants proposing new activities (as distinguished from ongoing ones) and to applicants not previously awarded grants in the Ethnic Heritage Studies program. Consideration will also be given to appropriate representation of projects in elementary, secondary, and higher education (since a project may concentrate on any educational level) and to adequate geographical distribution of projects throughout the Nation.

It is expected that no more than 20 percent of the funds will assist curriculum materials development and that the remaining funds will be allocated among projects that emphasize training, dissemination, or a combination of the two.

Proposals that are most attentively and creatively designed to enable people "to learn more about the nature of their own heritage and to study the contributions of the cultural heritages of other ethnic groups of the Nation" are specifically encouraged and will be given high priority. No project will be approved that fails to take into account "the heterogeneous composition of the Nation," as stated in section 901 of Title IX, and "the fact that in a multiethnic society, a greater understanding of the contributions of one's own heritage and those of one's fellow citizens can contribute to a more harmonious, patriotic, and committed populace."

These guidelines are intended to help prospective applicants complete all the forms necessary to request support for an ethnic heritage studies project. They indicate program and fiscal priorities, major goals, authorized activities, and criteria by which the proposals will be evaluated. Examples of how applicants might meet the program's objectives are given throughout, but they are intended neither to be restrictive nor to limit the applicant(s); rather, they are intended to be suggestive by illustrating some of the possibilities that exist in designing projects for ethnic heritage studies.

These instructions should be read and used in conjunction with the formal *Instructions for Application for Federal Assistance, Ethnic Heritage Studies* program, especially parts III and IV; i.e., the budget information and program narrative.

The deadline for receipt of applications (at the Application Control Center, Office of Education, U.S. Department of Health, Education, and Welfare, Washington, D.C. 20202) is January 5, 1979.

II. ELIGIBILITY

Applicants must be public or private nonprofit education agencies, institutions, or organizations. These include ethnic, community, and professional associations as well as local and State education agencies and higher education institutions (including community and other 2-year colleges).

An applicant other than a local or State education institution or a private college or university must include with the application form a copy of its charter or other evidence of its (1) nonprofit status and (2) educational purpose, such as Internal Revenue Service status, notarized articles of confederation, by-laws, or other legal documentation. *Such information must be current and supplied at the time of application.* Prior to submitting a formal proposal, applicants that are uncertain of their eligibility under this requirement are encouraged to contact the Ethnic Heritage Studies Branch to seek advisory opinions of the eligibility of their organization.

III. BASIC PROGRAM REQUIREMENT

Each proposal for a Title IX grant must contain explicit provisions for cooperating "with persons and organizations which have a special interest in the ethnic group or groups" with which the project is concerned in order to help them promote, encourage, develop, or produce programs or other activities "which relate to the history, culture, or traditions of the group or groups." (Title IX, section 903(4)). Proposals must indicate the applicant's willingness and capacity to serve as a resource for others in the community or elsewhere who are engaged in ethnic studies.

To insure that projects are responsive to local needs, applicants are advised to make early arrangements for collaborative planning and decisionmaking with any community groups, local and/or State agencies, and/or higher education institutions as may be appropriate.

A variety of agencies may be involved in such efforts. Examples of sources that may have some experience with ethnic heritage studies include ethnic and community associations, museums and art galleries, historical societies, research facilities, or professional personnel at higher education institutions, teachers, administrators, and curriculum developers. Foreign students may provide additional assistance in connection with cultural origins of ethnic groups. As outlined in the *Instructions for Application for Federal Assistance*, the program narrative (part IV) should contain evidence of the nature and extent of any proposed collaboration.

IV. ADVISORY COUNCIL

Each project must be planned and implemented in consultation with an advisory council representative of the ethnic group(s) with which the project is concerned. Involvement with a project from its inception onward provides a base for fruitful participation in its subsequent development. For this reason, applicants are required to consult with prospective council members in developing and submitting the application.

Program experience indicates that many applicants provide insufficient information concerning the advisory council. Crucial to the technical eligibility of any application is tangible evidence that provisional council members (1) have participated in the planning process, (2) meet the membership requirements, and (3) will have an appropriate role in the project. Each applicant is urged to demonstrate that such persons have actually been contacted and that they have been involved in discussions concerning the project plan and the specific functions of the council. The names and ethnicity of prospective members should be included in part IV of the application.

Advisory council members should be selected with the participation of appropriate ethnic and community groups. In addition, each of the following requirements must be met:

1. Each ethnic group with which the project is concerned should have representation on the council.
2. More than one-half the membership should consist of community representatives of the ethnic group(s) basic to the project.
3. The council should be broadly representative of educational and professional backgrounds relevant to the program and include at least one member with experience and credentials in curriculum development, personnel training, and/or dissemination of curriculum materials.
4. Members of the council should not be employed by the applicant.

In implementing a project funded under Title IX, a recipient must:

1. Consult periodically (at least once a month) with the council regarding the project and its progress.
2. Provide the council with advance copies of all reports required by the Office of Education and copies of all materials prepared or distributed.
3. Request a semiannual assessment and evaluation of the project and its effect.
4. Otherwise involve the council (in its advisory capacity) in planning, implementing, and evaluating the project.

V. OPEN MEETING REQUIREMENT (APPLICABLE TO LOCAL EDUCATION AGENCIES ONLY)

Prior to considering an application from a local education agency, the Office of Education requires that the applicant convene at least one meeting, open to the public, at which the program or project for which assistance is being sought and the activities proposed to be conducted are explained, and at which the persons in attendance are afforded an opportunity to testify or otherwise comment on the contents of the application. A notice of such meeting must have been advertised in a newspaper of general circulation not less than 7 days before the meeting, and a copy of the application made available to the public at least 24 hours before the meeting was held. The applicant must give meaningful consideration to the testimony or comments received at the open meeting and must submit to the Office of Education any consequent additions as amendments to the program, before the application may be funded.

VI. AUTHORIZED ACTIVITIES

It is anticipated that, as a group, the projects funded under Title IX will represent a variety of approaches to ethnic studies. Applicants are advised to consider emphasizing one of the three areas and a single education level. (See p. 1, paragraphs 3 and 4.)

Prospective advisory council and staff members, school personnel, and other resource persons might meet to enumerate desired goals, determine specific educational needs, investigate the availability of appropriate resources for meeting these needs, and decide upon a basic focus.

Proposals should include a discussion of how and why specific project activities are expected to produce specific results.

Attention should be paid to methodology. If research is involved, then the research techniques should be elaborated; if a series of classroom activities is projected, the way in which it will be prepared should be explained; if a dissemination network is proposed, the mechanics for reaching potential users of the materials disseminated should be described in some detail.

Finally, discussions should focus on the anticipated results of the project with specific attention to their dissemination and to incorporating products with on-going educational programs following expiration of a Title IX grant.

The program narrative, part IV of the application, should contain complete information on each of the above factors, arranged according to the following headings:

1. Nature of the proposal
2. Regional and national needs
3. Objectives of the program
4. The proposed program
5. Results expected and their utilization by local and regional education agencies or schools
6. Approaches, methods, and procedures
7. Working schedule
8. Involvement of ethnic community advisory council
9. Utilization of local resources
10. Methods of evaluation
11. Methods of dissemination
12. Qualifications and facilities of the applicant
13. Staff and personnel
14. Interim and final reports
15. Budget

Area I: Training of Persons in Ethnic Studies

The training of persons is one of the major concerns of the program for this year. The purpose of programs to train persons in ethnic studies is to insure extensive and effective use of materials with students in the schools and colleges of the Nation. Projects that focus upon such training may include preparation of teacher manuals or guides in ethnic studies, revision of preservice teacher education programs, or such inservice activities as workshops, courses, institutes, and classroom demonstrations of methods and materials. The rationale for a given training program must be based upon a carefully documented assessment of needs and resources, followed by determination of specific and manageable objectives designed to meet those needs.

Each project must include an examination of materials produced under Title IX grants as key resources in implementing ethnic heritage studies programs. Projects are also expected to include provision for evaluation of process and product, with attention to both cognitive and affective factors. Proposals should specifically explain the teaching strategies to be used and should address the issue of how best to reinforce the participants' training in the future as they confront actual problems in trying to apply what they have learned.

Appropriate candidates for training may include representatives from the schools and community, curriculum specialists, teachers (in both inservice and preservice training), administrators with responsibility for planning and implementing ethnic studies programs, and trainers of teachers. The application should include an explanation of the process by which such individuals will be selected.

Applicants may wish to investigate the possibility of awarding credits toward teacher certification, graduate degrees, or inservice training requirements to participants in such training programs.

Programs might be designed to accomplish several of the following objectives:

- Help trainees clarify feelings about their own ethnicity and about the concept of cultural pluralism and related social issues.
- Provide information about ethnicity, about ethnic groups, and the processes through which groups adapt and change.
- Develop skills for more effective interpersonal communication with persons of diverse ethnic backgrounds--students, teachers, parents--as well as skills for dealing with controversial issues such as prejudice and stereotyping.
- Train school personnel to analyze the ethnic content of instructional materials or to investigate a local ethnic community, or acquaint them with available resources and outstanding models.

A variety of teaching methods may be profitably employed such as role-playing, field investigations, gaining feedback through video tape, curriculum projects, and interaction with members of ethnic communities.

Suggestions concerning potential proposals in the area of training include the following:

- A school district or an association of educators might seek to train school administrators in implementing objectives for multi-ethnic schools. These might include school policies and practices in such areas as hiring, staff development, guidance and counseling, and curriculum content and methods.
- A community college might recruit elderly persons and others from ethnic communities to participate in a training program with teachers of ethnic studies.
- Several ethnic group schools or a local district might prepare a comprehensive inservice training program for school personnel (administrators, teachers, and support staff) that could become self-sustaining following development under a Title IX grant.
- A State department of education might propose a series of statewide training institutes in order to help prepare teachers to meet new State requirements in ethnic studies.
- Administrators and teachers might learn how to gain experience in several ethnic cultures in order to teach effectively about ethnicity or to organize a program of ethnic studies in the schools.

Area II: Curriculum Materials Development

The next major area of concern is development of curriculum materials for use in elementary, secondary, or higher education relating to the history, geography, society, economy, literature, art, drama, language, culture, and contributions of one or more ethnic groups.

Materials are available for teaching ethnic studies and applicants should therefore survey and assess what exists in order to avoid duplication of effort and to insure that proposed materials are in fact new and needed. Applicants may wish to consult with previous grantees in this regard. A list of previous grantees under the Ethnic Heritage Studies program may be obtained from the Ethnic Heritage Studies Branch.

In selecting the particular focus of an ethnic studies project and in implementing the project plan, applicants should involve appropriate ethnic groups, schools, and university personnel. The program narrative should contain evidence of a working relationship between the curriculum developers and those who will eventually use the materials in the classroom. This might best be achieved both through collaborating during the process of development and through demonstrating curriculum materials at

inservice educational programs or meetings of ethnic groups, teachers, or other educational personnel.

Curriculum developers should work with State and local education agencies in order to identify school needs, programs, and potential users of ethnic heritage studies materials. In addition to the regular curriculum of schools and colleges, nonformal learning programs of ethnic associations, museums, libraries, or community centers may also provide new, desired options for students and school systems. Applicants might propose to develop or expand such resources and make them more accessible to students and teachers. It might be possible to link these programs to the regular school curriculum by obtaining formal credit for such after-school language and culture classes as may result.

Curriculum changes resulting from ethnic heritage studies projects may include addition of ethnic studies courses, units, or materials to an educational program; or incorporation of data and experiences from ethnic cultures into existing courses and texts.

There are numerous possibilities for developing curriculum materials that will achieve significant learning objectives. For example, ethnic studies might--

- Help develop cognitive skills such as reading, reasoning, decision-making, values-inquiry, or conflict-resolution.
- Provide information about the composition and evolution of local communities and regions of the United States.
- Help students examine social issues and current events from a variety of perspectives.
- Serve as a way of teaching about basic human needs and the diversity of human behavior and values.
- Enhance a child's self-concept and improve communication within families.
- Provide a means for increasing parental involvement in the school and for lessening cultural discontinuities between home and school.
- Help schools better serve recent immigrants to the United States through studies of the acculturation process.

Oral history, field research, and multimedia approaches such as audio-visual and television materials or simulation games may also effectively be used to provide direct or indirect experience in ethnic studies.

Area III: Dissemination of Materials in Ethnic Studies

Dissemination of curriculum materials in ethnic studies to permit their use in schools and higher education institutions throughout the Nation constitutes the third area of concern. Projects should be designed to develop national or regional centers for dissemination and use of information on ethnic studies at the various educational levels, with responsibility for establishing direct communication with the potential users of such materials. Project personnel should try to establish liaison with such groups as ethnic associations, educational resource centers, college-level programs in ethnic studies and teacher education, and curriculum specialists, teachers, and key administrative personnel of State and local education agencies.

Applicants should assess and document the needs and plan a program that will be educationally sound, financially feasible, and consonant with the national priorities in ethnic heritage studies. To permit the most efficient use of Title IX resources, applicants for dissemination projects are urged to consider strategies that will have broad national impact. At the same time, attention must be paid to developing a program that can continue to function following expiration of the Title IX grant.

Strategies for national dissemination of materials should be practical in outlook and carefully articulated in the application. Applicants should note that projects are expected to include dissemination of products developed under previous Title IX programs.

Suggestions concerning proposals in dissemination include the following:

- Effective dissemination may be achieved through creative use of already functioning dissemination vehicles or the design of new ones.
- Many techniques may be employed: Interpretive summaries of research, curriculum guides, bibliographies, evaluation instruments, abstracts, or indexes; educational presentations through the media (i.e., films, radio, theatre, and television programs) or at professional meetings of educators; linkages with Bicentennial Commissions, film libraries, and other learning resource centers, museums, community extension activities, newsletters or journals of ethnic groups and educational associations, data banks (e.g., the Educational Resources Information Center (ERIC) Clearinghouses), teacher education programs, and State or local education agencies.
- Examples of groups that might engage in analysis and dissemination of information on ethnic heritage studies materials and processes include national consortia of ethnic groups, working in conjunction with such groups as teacher associations, curriculum specialists, or school administrators; networks of regional educational associations located in different parts of the country; community organizations concerned with education; and educational resource centers or data banks.

VII. SELECTION CRITERIA

Applications for assistance under Title IX will be evaluated and selected by the Office of Education based on the recommendations of a panel of consultants. Applications will be evaluated according to (1) general criteria for all Office of Education direct grant programs and (2) specific criteria for Ethnic Heritage Studies programs. These criteria have been published in the *Federal Register*, vol. 40, no. 98, May 20, 1975, and are reproduced on page B-1. In preparing the application form, particularly the budget and program narrative sections, applicants should attempt to address each of these criteria.

A. General Criteria

1. *Need for the proposed project in the area served or to be served.*

Applicants should survey what is already available in ethnic studies and propose to meet new needs. Applicants that have on-going projects in ethnic studies should clearly differentiate between their past efforts and the new and/or additional activity now being proposed.

2. *Relevance to priority areas of concern as reflected in provisions contained in the applicable Federal statutes and regulations.*

3. *Adequacy of qualifications and experience of personnel designated to carry out the proposed project.*

Applicants should identify such personnel and their relevant ethnic and academic experience or, at a minimum, list the qualifications sought for each position.

4. *Adequacy of facilities and other resources available to the project.*
5. *Reasonableness of estimated cost in relation to anticipated results.*
6. *Expected potential for utilizing the results of the proposed project in other projects or programs for similar educational purposes.*

In meeting this criterion, projects that are concerned with one locality or a single ethnic group must demonstrate the applicability of the method and/or conceptual framework to other educational settings and other target ethnic groups. In addition, applications must contain enough information on the methodology to be employed to permit an adequate assessment of the potential of the project.

7. *Sufficiency of size, scope, and duration of the project so as to secure productive results.*

The scope of the project should be realistic in terms of available funding (no grants will exceed \$60,000 and the average amount will be about \$36,000) and allowable length (12 months, maximum).

8. *Soundness of the proposed plan of operation, including consideration of the extent to which (a) the objectives of the proposed project are clearly defined and capable of being evaluated; (b) provision is made for adequately evaluating the effectiveness of the project and for determining the extent to which the objectives are accomplished; (c) where appropriate, provision is made for satisfactory inservice training connected with project services; and (d) provision is made for disseminating the results of the project and for making materials, techniques, and other products resulting therefrom available to the general public and specifically to those interested in the area of education with which the project itself is concerned.*

Some applicants may possess expertise in evaluation or may have prior experience in evaluating educational objectives. Those who do not would be advised to include in the development process someone with such professional talent as may be found among faculty and graduate students in higher education institutions, staff of State or local education agencies, or other educational associations.

B. Specific Criteria

The specific criteria for Ethnic Heritage Studies projects include the extent to which:

1. *There is evidence of commitment by the applicant and other interested groups to the project and its objectives and to its continuation upon the expiration of Federal assistance.*

Any plan for ethnic heritage studies should carry the strong endorsement and active participation of the relevant ethnic and educational associations. Past activity in ethnic studies and the potential for continuing that interest in subsequent years without additional assistance under Title IX should be described in the proposal.

2. *There is a clear demonstration of a specific contribution that the proposed project will make toward meeting the purpose of Title IX.*

The proposed activities should be clearly stated in terms of the specific mission of the Title IX program. They should not overlap or duplicate other activities in ethnic studies but, in fact, must be completely new activities, capable of completion both within the fiscal constraints of the program and before September 30, 1980. Applications that have been developed for other Federal programs and altered slightly for submission under Title IX will not receive serious consideration.

3. *Approval of the application would promote an appropriate distribution of Ethnic Heritage Studies projects throughout the United States.*

There will be concern that a variety of educational and ethnic group needs in different localities throughout the country are served and that the cumulative effect of the projects is multiethnic.

4. *The impact of the project is multiethnic.*

Since it is expected that knowledge about the shared experience of several ethnic groups will facilitate understanding of a culturally pluralistic society, each proposed project should indicate how it will draw upon the diverse ethnic heritage of the community it will serve. Cooperation of groups such as the Polish-American, Afro-American, Italian-American, Mexican-American, and Chinese-American groups in an urban community would be illustrative of the recommended multiethnic emphasis. It is also recognized, however, that a single ethnic project may be designed to reach multiethnic audiences and to explore cultural pluralism in terms of the experiences of a single ethnic group. Thus a framework for studying ethnicity may be created and the data for one group used as a case study or as a model for intercultural learning.

5. *The project is designed for widespread use by schools and higher education institutions, and not exclusively for the applicants or the ethnic group(s) with which the project is concerned.*

In any proposal, it is essential that provision be made for sharing the products of a Title IX project with persons other than those directly involved with a project. An ethnic group that proposes to develop materials or conduct a teacher-training workshop on its own heritage, for example, should arrange to make such materials available for use by community groups, State and local education agency personnel, and others.

6. *Projects specifically concerned with developing curriculum materials obtain data from resources within the community.*

Individual members of ethnic groups and museums, historical societies, archives, ethnic newspapers, and churches are only a few of the many available resources that provide authentic information on contemporary expressions of ethnic culture in the United States. The use of these resources for educational materials, as well as the creation of student and teacher activities for further experientially based learning, are important to developing effective materials in ethnic studies.

7. *Projects concerned with developing curriculum materials show evidence of (1) field testing curriculum materials to determine their effectiveness prior to use and (2) incorporating tested materials within the regular curriculum of schools and colleges.*

Each proposal for curriculum development should include a plan for testing and revising any materials developed and for seeking their inclusion within the curriculum.

8. *Projects that focus upon training persons in the use of ethnic studies materials delineate plans for (1) maximum involvement of such leaders, teachers, teacher trainers, educational administrators, supervisors, and curriculum development specialists and (2) evaluation of the training program.*
9. *Projects that focus upon disseminating materials in ethnic heritage studies articulate plans for (1) analysis of the materials to be disseminated, (2) dissemination of the materials on a nationwide basis, and (3) facilitation of exchange of materials among programs funded under Title IX.*
10. *Provision is made for cooperating with persons and organizations having a special interest in the project and other projects funded under Title IX, and submitting copies of reports and teaching materials to ERIC.*

VIII. FINANCIAL PROVISIONS

Subject to the availability of funds, Fiscal Year 1979 activities will begin on October 1, 1979 and end on or before September 30, 1980. Grants will be made for 1 year only. Each project is expected to be self-contained and no project will be seriously considered if it is dependent upon other sources of funding (e.g., private foundations, U.S. Government agencies, etc.) not yet available to the applicant.

Applications for grants will be evaluated competitively. The Office of Education expects to fund approximately 50 grants with an average amount of \$36,000. No grant will exceed \$50,000 and no applicant should request more than that amount.

In addition, it is expected that the Office of Education will fund approximately 15 "mini-grants" ranging from \$10,000 to \$15,000. Applications for mini-grants will be evaluated competitively under the same criteria as the regular applications.

Funds will be made available to cover all or part of the cost of establishing and implementing new activities. Eligible costs include (1) preparation of materials and multimedia resources; (2) use of ethnic, academic, and other consultants; and (3) related training of educational and community resource persons when appropriate. Funds are not available for constructing or remodeling facilities. Funds requested for nonexpendable items such as printing equipment, copying machines, typewriters, and audiovisual machines will be allowable only in exceptional circumstances and should be justified in part III of the application.

Programs may not seek support for religious worship or instruction.

IX. APPLICATION PROCEDURE

Prospective applicants are urged to review carefully the program requirements and selection criteria described in these guidelines and officially reported in the *Federal Register*. Evaluation of applications will be based upon the degree to which these requirements and criteria have been successfully met. Parts III and IV of the application should contain concise and specific information related to each of these criteria. Applicants are encouraged to limit the length of their program narrative (part IV), particularly with respect to the amount of background and supplementary data.

Each application must be accompanied by a one-page abstract clearly indicating the focus of the project, its major area of concern, and its approach, including the amount of funding requested.

Applications must be prepared on the enclosed form, which is available upon request from the Ethnic Heritage Studies Branch. They should be submitted in triplicate (an original and two copies) and sent to:

U.S. Office of Education
Application Control Center
Washington, D.C. 20202

Attention: 13.549

Hand-carried applications only may be delivered to the Application Control Center located in the Regional Office Bldg. No. 3, room 5673, 7th and D Sts., S.W.

The deadline date for transmittal of applications to the Application Control Center is January 5, 1979.

X. INFORMATION SOURCES

These guidelines, along with the *Federal Register* for May 20, 1975, and the official *Instructions for Application for Federal Assistance* (E1-E4), constitute the major sources of information on the Fiscal Year 1979 Title IX, ESEA, program. Additional assistance is available by writing to:

Ethnic Heritage Studies Branch
Division of International Education
Bureau of Higher and Continuing Education
Office of Education
U.S. Department of Health, Education,
and Welfare
Washington, D.C. 20202

Telephone: (202) 245-9506

Applicants may also want to consult with professional associations concerned with ethnic studies or previous Title IX grantees. (A list of previous grantees may be obtained from the Ethnic Heritage Studies Branch.)

APPENDIX A. TEXT OF THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965,
TITLE IX, AS AMENDED BY THE EDUCATION AMENDMENTS OF
1972 and 1974

Ethnic Heritage Studies Program

Sec. 504. (a) The Elementary and Secondary Education Act of 1965
is amended by adding at the end thereof the following new title:

"TITLE IX--ETHNIC HERITAGE PROGRAM

"Statement of Policy

"Sec. 901. In recognition of the heterogeneous composition of the
Nation and of the fact that in a multiethnic society a greater under-
standing of the contributions of one's own heritage and those of one's
fellow citizens can contribute to a more harmonious, patriotic, and
committed populace, and in recognition of the principle that all
persons in the educational institutions of the Nation should have an
opportunity to learn about the differing and unique contributions to
the national heritage made by each ethnic group, it is the purpose of
this title to provide assistance designed to afford to students oppor-
tunities to learn about the nature of their own cultural heritage, and
to study the contributions of the cultural heritages of the other ethnic
groups of the Nation.

"ETHNIC HERITAGE STUDIES PROGRAMS

"Sec. 902. The Commissioner is authorized to make grants to, and
contracts with, public and private nonprofit educational agencies,
institutions, and organizations to assist them in planning, developing,
establishing, and operating ethnic heritage studies programs, as
provided in this title.

"Authorized Activities

"Sec. 903. Each program assisted under this Title shall --

"(1) develop curriculum materials for use in elementary or
secondary schools, or institutions of higher education relating
to the history, geography, society, economy, literature, art, music,
drama, language, and general culture of the group or groups with
which the program is concerned, and the contributions of that
ethnic group or groups to the American heritage; or

"(2) disseminate curriculum materials to permit their use in
elementary or secondary schools or institutions of higher
education throughout the Nation; or

"(3) provide training for persons using, or preparing to use,
curriculum materials developed under this title; and

"(4) cooperate with persons and organizations with a special
interest in the ethnic group or groups with which the program is
concerned to assist them in promoting, encouraging, developing,
or producing programs or other activities which relate to the
history, culture, or traditions of that ethnic group or groups.

"Applications

"Sec. 904. (a) Any public or private nonprofit agency, institution, or organization desiring assistance under this title shall make application therefor in accordance with the provisions of this title and other applicable law and with regulations of the Commissioner promulgated for the purposes of this title. The Commissioner shall approve an application under this title only if he determines that --

"(1) the program for which the application seeks assistance will be operated by the applicant and that the applicant will carry out such program in accordance with this title;

"(2) such program will involve the activities described in section 903; and

"(3) such program has been planned, and will be carried out, in consultation with an advisory council which is representative of the ethnic group or groups with which the program is concerned and which is appointed in a manner prescribed by regulation.

"(b) In approving applications under this title, the Commissioner shall insure that there is cooperation and coordination of efforts among the programs assisted under this title, including the exchange of materials and information and joint programs where appropriate.

"Administrative Provisions

"Sec. 905. (a) In carrying out this title, the Commissioner shall make arrangements which will utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups such as foundations, civic groups, and fraternal organizations which would further the goals of the programs.

"(b) Funds appropriated to carry out this title may be used to cover all or part of the cost of establishing and carrying out the programs, including the cost of research materials and resources, academic consultants, and the cost of training of staff for the purpose of carrying out the purposes of this title. Such funds may also be used to provide stipends (in such amounts as may be determined in accordance with regulations of the Commissioner) to individuals receiving training as part of such programs, including allowances for dependents.

"National Advisory Council

"Sec. 906. (a) There is hereby established a National Advisory Council on Ethnic Heritage Studies consisting of fifteen members appointed by the Secretary who shall be appointed, serve, and be compensated as provided in part D of the General Education Provisions Act.

ETHNIC HERITAGE STUDIES PROGRAMS
INSTRUCTIONS FOR APPLICATION FOR FEDERAL ASSISTANCE
(Nonconstruction Programs) (OMB NO. 29-R0218)

This form shall be used to apply to the Office of Education (OE) for Federal assistance for Ethnic Heritage Studies Programs. This form shall be used also to request supplemental assistance and to propose changes or amendments for approved grants originally submitted on this form. No grants may be awarded unless a completed application form has been received (20 U.S.C. 900).

Addenda to proposals which are received after the submission deadline cannot be acknowledged or accepted.

Submit the original and two copies of the forms to:

U.S. Office of Education
Application Control Center
Washington, D.C. 20202
Attention: 13.549

PART I

Part I of this application consists of the standard face page for Federal applications and the concomitant instructions.

The Ethnic Heritage Studies Program is not presently included as a program under OMB Circular No. A-95, the regulations for facilitating coordinated planning under the Intergovernmental Cooperation Act of 1968; therefore Clearinghouse notification is not mandated. However applicants should be aware that in various States, State law requires review of applications for Federal assistance under various programs not covered by Circular No. A-95. Implementation of such laws is enforced through State rules and regulations, and applicants are urged to ascertain the existence of such laws and to acquaint themselves with applicable State procedures. Clearinghouses are the proper source of information on additional review requirements. Applicants are en-

couraged to check with the appropriate Federal Regional Office to obtain the name(s) and address(es) of the Clearinghouses.

The following supplemental instructions for the items given below are to be used in lieu of or along with the standard instructions for Part I:

4. Add telephone numbers to be used in reaching applicant or project director directly,

5. If the applicant organization has been assigned a DHEW entity number consisting of the IRS employer identification number prefixed by "1" and suffixed by a two-digit number, enter the full DHEW entity number in block 5.

If the payee will be other than the applicant, enter in the remarks section "Payee:", the payee's name, department or division, complete address, and employer identification number or DHEW entity number. If an individual's name and/or title is desired on the payment instrument, the name and/or title of the designated individual must be specified.

6. Preprinted.

8. An applicant other than a local educational agency, State educational agency, or institution of higher education shall furnish with this application, a copy of its charter or other organic document which demonstrates its non-profit status and that it has an educational purpose.

9. Preprinted.

20. Preprinted.

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 10 - Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

PART III

General Instructions.

Sections A, B, C, and D should include budget estimates for the whole project. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary.

Lines 1-4, Columns (a) and (b).

Enter on Line 1 under Column (a) "Ethnic Heritage" and the catalog number "13.549" in Column (b).

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. Enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project.

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g), enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5. Show the totals for all columns used.

Section B. Budget Categories.

In the column heading (1), enter the title of the same program, function, and activity shown on Line 1, Column (a), Section A. Fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h. Show the estimated amount for each direct cost budget (object class) category for Column (1).

INSTRUCTIONS CONTINUED

PART III (continued)

Line 6a. "Personnel" must show salaries and wages only. Fees and expenses for consultants must be included on Line 6h.

Line 6b. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost rate.

Line 6c. Indicate travel of employees only. Travel costs of consultants, participants, etc., and local transportation (i.e., where no foreign or out-of-town travel is involved), should be included on Line 6h.

Line 6d. Applicants must indicate the cost of nonexpendable personal property. Such property means tangible personal property having a useful life of more than one year and an acquisition cost of \$300 or more per unit. A grantee may use its own definition of nonexpendable personal property provided that such definition would at least include all personal property as defined above.

Line 6e. Show all tangible personal property except that which is on Line 6d.

Line 6f. Use for (1) procurement contracts (except for those which belong on other lines such as equipment and supplies) and (2) subgrants or other assistance-like payments to secondary recipient organizations such as affiliates, cooperating institutions, etc. Line 6f must not include payments to individuals such as stipends, consulting fees, etc.

Line 6g. Construction, alterations, and renovations are not allowable costs. Enter "NA."

Line 6h. All direct costs not already covered by Lines 6a through 6g must be included here. Examples are fees and/or travel for consultants, conference costs, computer use charges, printing materials, stipends to be paid to individuals receiving training as part of the project, etc.

Line 6i. Show the totals of Lines 6a through 6h in each column.

Line 6j. Show the amount of indirect cost. Refer to Federal Management Circular 74-4.

Line 6k. Enter the total of amounts on Lines 6i and 6j. For all applications for new grants the total amount in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7. Enter "NA."

Section C. Source of Non-Federal Resources.

Lines 8-11. Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, FMC 74-7.)

Column (a). Enter the program title identical to Column (a), Section A.

Column (b). Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, FMC 74-7.) ment and Budget Circular No. A-102.)

Column (c). Enter the State contribution if the applicant is not a State or State agency. Applicants which are a State or State agency should leave this column blank.

Column (d) Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) Enter totals of Columns (b), (c), and (d).

Line 12. Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs.

Line 13. Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14. Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15. Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-20. Enter "NA."

Section F. Other Budget Information.

Line 21. Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary and to explain the following details:

PERSONNEL SALARIES FROM LINE 6a. Include a statement which shows the total commitment of time and the total salary to be charged to the project for each key member of the project staff cited in Part IV, 5a.

TRAVEL FROM LINE 6c. Foreign travel for employees of the applicant must be separately identified and justified. No foreign travel will be authorized under the grant unless prior approval is obtained.

PART III (continued)

EQUIPMENT FROM LINE 6d. List items of equipment in the following format: Item, Number of Units, Cost Per Unit, Total Cost. Applicants requesting funds for non-expendable items must demonstrate the degree which the purchase of such equipment is necessary to the successful completion of the project.

OTHER FROM LINE 6h. Costs for stipends by number of persons to receive stipends and number of weeks/months stipend is to be paid.

Line 22. Enter the type of indirect rate (provisional, pre-determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total of indirect expense.

Line 23. Provide any other explanations required herein or any other comments deemed necessary.

PART IV - PROGRAM NARRATIVE

Prepare the program narrative in accordance with the following instructions for all new grant programs. Requests for changes on an approved project should respond to Item 5b only. Requests for supplemental assistance should respond to Question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived.

3. APPROACH.

a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished. Such plan must include the manner in which the applicant intends to carry out the authorized activities (see Regulations, 45 CFR 184). Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social or community involvement.

b. Provide quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of people served or trained. When accomplishments cannot be quantified by activity or function (e.g., curriculum development and dissemination), list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in Item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

Describe the role, composition, and manner of selection of the Advisory Council. (See Regulations, 45, CFR 184). Describe plan for cooperation with other programs assisted under the Act.

4. GEOGRAPHIC LOCATION

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

a. Present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.

b. For requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to Federal Management Circular No. 74-7, explain and justify the change and its effect on the project.

c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

- | | |
|--|---|
| <p>Item</p> <p>16. Approximate date project expected to begin (usually associated with estimated date of availability of funding).</p> <p>17. Estimated number of months to complete project after Federal funds are available.</p> <p>18. Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b.</p> | <p>Item</p> <p>19. Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".</p> <p>20. Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.</p> <p>21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.</p> |
|--|---|

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

- | | |
|--|--|
| <p>Item</p> <p>22b. List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.</p> <p>23a. Name and title of authorized representative of legal applicant.</p> | <p>Item</p> <p>23b. Self explanatory.</p> <p>23c. Self explanatory.</p> <p>Note: Applicant completes only Sections I and II. Section III is completed by Federal agencies.</p> |
|--|--|

FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

- | | |
|--|---|
| <p>Item</p> <p>24. Executive department or independent agency having program administration responsibility.</p> <p>25. Self explanatory.</p> <p>26. Primary organizational unit below department level having direct program management responsibility.</p> <p>27. Office directly monitoring the program.</p> <p>28. Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.</p> <p>29. Complete address of administering office shown in item 26.</p> <p>30. Use to identify award actions where different from Federal application identifier in item 28.</p> <p>31. Self explanatory. Use remarks section to amplify where appropriate.</p> <p>32. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks.</p> <p>33. Date action was taken on this request.</p> <p>34. Date funds will become available.</p> | <p>Item</p> <p>35. Name and telephone no. of agency person who can provide more information regarding this assistance.</p> <p>36. Date after which funds will no longer be available.</p> <p>37. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.</p> <p>38. For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—if same as person shown in item 35, write "same". If not applicable, write "NA".</p> <p>Federal Agency Procedures—special considerations</p> <p>A. <i>Treasury Circular 1082 compliance.</i> Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.</p> <p>B. <i>OMB Circular A-95 compliance.</i> Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and area-wide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.</p> <p>C. <i>Special note.</i> In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.</p> |
|--|---|

49

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

- | Item | Item |
|--|---|
| 1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box. | D. Insurance. Self explanatory. |
| 2a. Applicant's own control number, if desired. | E. Other. Explain on remarks page. |
| 2b. Date Section I is prepared. | 10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits. |
| 3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse. | 11. Estimated number of persons directly benefiting from project. |
| 3b. Date applicant notified of clearinghouse identifier. | 12. Use appropriate code letter. Definitions are: |
| 4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request. | A. New. A submittal for the first time for a new project. |
| 5. Employer identification number of applicant as assigned by Internal Revenue Service. | B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year. |
| 6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code. | C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease). |
| 6b. Program title from Federal Catalog. Abbreviate if necessary. | D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years. |
| 7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description. | E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged. |
| 8. Mostly self-explanatory. "City" includes town, township or other municipality. | 13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks. |
| 9. Check the type(s) of assistance requested. The definitions of the terms are: | 14a. Self explanatory. |
| A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant. | 14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide." |
| B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share). | 15. Complete only for revisions (item 12c), or augmentations (item 12e). |
| C. Loan. Self explanatory. | |

PART II
PROJECT APPROVAL INFORMATION

ITEM 1.

Does this assistance request require State, local, regional, or other priority rating?

☐ Yes ☐ No

Name of Governing Body _____

Priority Rating _____

ITEM 2.

Does this assistance request require State, or local advisory, educational or health clearances?

☐ Yes ☐ No

Name of Agency or Board _____

(Attach Documentation)

ITEM 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?

☐ Yes ☐ No

(Attach Comments)

ITEM 4

Does this assistance request require State, local, regional, or other planning approval?

☐ Yes ☐ No

Name of Approving Agency _____

Date _____

ITEM 5

Is the proposed project covered by an approved comprehensive plan?

☐ Yes ☐ No

Check one:

☐ State☐ Local☐ Regional

Location of Plan _____

ITEM 6

Will the assistance requested serve a Federal installation?

☐ Yes ☐ No

Name of Federal Installation _____

Federal Population benefiting from Project _____

ITEM 7

Will the assistance requested be on Federal land or installation?

☐ Yes ☐ No

Name of Federal Installation _____

Location of Federal Land _____

Percent of Project _____

ITEM 8

Will the assistance requested have an impact or effect on the environment?

☐ Yes ☐ No

See instructions for additional information to be provided.

ITEM 9

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

☐ Yes ☐ No

Number of:

Individuals _____

Families _____

Businesses _____

Farms _____

ITEM 10

Is there other related assistance on this project previous, pending, or anticipated?

☐ Yes ☐ No

See instructions for additional information to be provided.

PART V

ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines and requirements, including OMB Circulars No. A-95, A-102 and FMC 74-4, as they relate to the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the sponsoring agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
10. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
11. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
12. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470) Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 USC 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.6) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

NOTICE

1. No application for Department of Health, Education, and Welfare assistance is approved unless the applicant has on file with the Department an accepted assurance of compliance with Title VI of the Civil Rights Act of 1964 (Public Law 88-352), on Form HEW 441. If a copy of Form HEW 441 is NOT already on file with the Department, it must be submitted with this application.

2. No application for Department of Health, Education, and Welfare financial assistance under any education program or activity is approved unless the applicant has on file with the Department an accepted assurance of compliance with Title IX of the Education Amendments of 1972 (Public Law 92-318), on Form HEW 639A (formerly Form HEW 639). If a copy of Form HEW 639 or Form HEW 639A is NOT already on file with the Department, it must be submitted with this application.

3. Department of Health, Education, and Welfare policy requires that if any phase of THIS project will involve subjecting individuals to the risk of physical, psychological, sociological, or other harm, certain safeguards must be instituted and an assurance must be filed on Form HEW 596. If there is any question about application of requirements for protection of human subjects to this project, further information should be requested from the Office of Protection from Research Risks, National Institutes of Health, DHEW, 9000 Rockville Pike, Bethesda, Maryland 20014.

4. No application for Department of Health, Education, and Welfare assistance is approved unless the applicant has on file with the Department an accepted assurance of compliance with Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), on Form HEW 641. If a copy of Form HEW 641 is NOT already on file with the Department, it must be submitted with this application.

5. If this is an application for continued support, include if you have not already done so (a) the report of inventions conceived or reduced to practice required by the terms and conditions of the grant, or (b) a list of inventions already reported, or (c) a negative certification.

NOTE: A copy of each of the four forms enumerated above (Forms HEW 441, 639A, 596, and 641) is attached hereto for your convenience in the event that you may be required to file one or more of them in accordance with the ABOVE instructions. If, however, 1, 2, and/or 4 of the above assurances have been submitted to either the Office of Education (OE) or the Department, another original or copy need not be submitted nor will any OE program insist upon such a duplicate submission as a consideration of any application.

Explanation Of

HEW FORM NO. 441, ASSURANCE OF COMPLIANCE WITH THE DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE REG- ULATION UNDER TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

Section 80.4 of the Department of Health, Education, and Welfare's Regulation effectuating Title VI of the Civil Rights Act of 1964 requires that every application to the Department for Federal financial assistance shall contain or be accompanied by an Assurance that the program or facility to be assisted will be conducted or operated in compliance with Title VI of the Civil Rights Act and with all requirements imposed by or pursuant to the Department's Regulation.

Section 80.4 further provides that "the form of the foregoing Assurance and the extent to which like Assurances will be required of subgrantees, contractors, transferees, successors in interest and other participants," shall be specified by the responsible Department official. Under this authority, HEW Form No. 441 has been specified as the form of Assurance which shall apply to all applications for Federal financial assistance (except for continuing state programs which must meet the requirements of Section 80.4(b) and school districts availing themselves of Section 80.4(c) of the Regulation) submitted to the Department after January 3, 1965; also the circumstances have been specified under which an Applicant shall obtain comparable written Assurances of compliance from its subgrantees, contractors, and transferees. (See answers to Questions 11 and 12 below in this regard.)

HEW Form No. 441 constitutes a legally enforceable agreement to comply with Title VI of the Civil Rights Act of 1964, and with all requirements imposed by or pursuant to the Regulation of the Department of Health, Education, and Welfare issued thereunder. Applicants are urged to read the Department's Regulation before executing the Assurance.

The following explanation of the requirements of the Department's Regulation and the examples of the kinds of discriminatory practices prohibited by them are for the guidance of the Applicants.

1. *By executing the Assurance (HEW Form No. 441), what does an Applicant agree to do?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in providing to individuals any service, financial aid, or other benefit under any program receiving Federal financial assistance extended to the Applicant by the Department.

2. *What is meant by "distinction on the ground of race, color, or national origin"?*

A. "Distinction on the ground of race, color, or national origin" includes (1) any type of segregation, separate or different treatment, or other discrimination on that ground; (2) the imposition of any admission, enrollment quota, eligibility, or other requirement or condition which individuals must meet in order to be provided any service, financial aid, or other benefit under a program or to be afforded an opportunity to participate in a program, if the race, color, or national origin of individuals is considered in determining whether they meet any such requirement or condition; (3) the use of membership in a group as a basis for the selection of individuals for any purpose, if in selecting members of the group there is discrimination on the ground of race, color, or national origin; and (4) the assignment of personnel to provide services, or the assignment of times or places for the provision of services, on the basis of the race, color, or national origin of the individuals to be served. It does not, however, include distinctions on the ground of race, color, or national origin determined by the responsible Department official to be necessary to the conduct of research or experimental programs having as their primary objective the discovery of new knowledge concerning special characteristics of particular racial or other ethnic groups.

HEW-1411A (12/61)

3. *What is meant by "services, financial aid, or other benefit"?*

A. "Service, financial aid, or other benefit" under a program receiving Federal financial assistance includes any education or training, any evaluation, guidance, counseling, or placement service, any health, welfare, rehabilitation, housing, or recreational service, any referral of individuals for any of the foregoing services, any scholarship, fellowship or traineeship stipend or allowance, and any loan or other financial assistance or benefit (whether in cash or in kind), which is made available to individuals (1) with the aid of Federal financial assistance, or (2) with the aid of the Applicant's or of other non-Federal funds required to be made available for the program as a condition to the receipt of Federal financial assistance, or (3) in or through a facility provided with the aid of Federal financial assistance or the non-Federal matching funds referred to in (2).

4. *What requirements are placed on the use of facilities?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in making available to individuals the use of any land, building, equipment, or other facility leased, acquired, constructed, improved, or equipped with the aid of Federal financial assistance extended to the Applicant by the Department, including—

- (a) the use of any room, dormitory, ward, or other space in the facility;
- (b) the use of any equipment in the facility;
- (c) the use of any office, waiting room, restroom, eating, recreational, concession, or other accommodation or convenience provided in the facility;
- (d) the use of any facility not provided with the aid of Federal financial assistance if the availability of such facility is required as a condition to the receipt of Federal financial assistance for the Federally-assisted facility.

5. *What requirements are placed on the opportunities to participate in a program receiving Federal assistance?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in affording opportunities to individuals to participate (other than as employees) in any program receiving Federal financial assistance extended by the Department to the Applicant, including opportunities to participate—

- (a) as providers of any service, financial aid, or other benefit to individuals under the program (e.g., as physicians, surgeons, dentists, or other professional practitioners seeking the privilege of practicing in a Federally-aided hospital or other facility),
- (b) as conferees, observers, consultants, or advisers, or as members of advisory or planning groups, or
- (c) as volunteers (e.g., as voluntary workers, or as patients or other subjects of study or experimentation in research, survey, demonstration, or like programs).

6. *Does that mean that an Applicant who signs the Department's Assurance may nevertheless make distinctions among his employees on the basis of race, color, or national origin?*

A. Title VI of the Civil Rights Act does not concern itself with employment practices except where a primary objective of the Federal financial assistance is to provide employment. Thus, where a basic objective of the program is to provide employment, the Applicant's employment practices are subject to the Department's Regulation. However, even where this is not the case an Applicant may be precluded from engaging in any discriminatory employment practices under the provisions of Title VII of the Civil Rights Act, Executive Orders 10925 and 11114, and the Merit System Regulations.

7. *When an Applicant's employment practices are covered by the Department's Regulation, what requirements must be met?*

A. The Applicant agrees to make no distinction on the ground of race, color, or national origin in its employment practices (including recruitment or recruitment advertising, hiring, layoff or termination, upgrading, demotion, or transfer, rates of pay or other forms of compensation, and use of facilities) with respect to individuals seeking employment or employed under any program receiving Federal financial assistance extended to the Applicant by the Department, in those programs where a primary objective of the Federal financial assistance is to provide employment to such individuals. This includes programs under which the employment is provided—

- (a) as a means of extending financial assistance to students or to needy persons,
- (b) to students, fellows, interns, residents, or others in training for related employment (including research associates or assistants in training for research work), or
- (c) to reduce unemployment or to provide remunerative activity to individuals who because of severe handicaps cannot be readily absorbed in the competitive labor market.

8. *What effect will the Regulation have on a college or university's admission practices or other practices related to the treatment of students?*

A. An institution of higher education which applies for any Federal financial assistance of any kind must agree that it will make no distinction on the ground of race, color, or national origin in the admission practices or any other practices of the institution relating to the treatment of students.

(a) "Student" includes any undergraduate, graduate, professional, or postgraduate student, fellow, intern, student, or other trainee receiving education or training from the institution.

(b) "Admission practices" include recruiting and promotional activities, application requirements, eligibility conditions, qualifications, preferences, or quotas used in selecting individuals for admission to the institution, or any program of the institution, as students.

(c) "Other practices relating to the treatment of students" include the affording to students of opportunities to participate in any educational, research, cultural, athletic, recreational, social, or other program or activity; the performance evaluation, discipline, counseling of students; making available to students any housing, eating, health, or recreational service; affording work opportunities, or scholarship, loan or other financial assistance to students; and making available for the use of students any building, room, space, materials, equipment, or other facility or property.

9. *Does the Assurance of nondiscrimination apply to the entire operation of an institution?*

A. Insofar as the Assurance given by the Applicant relates to the admission or other treatment of individuals as students, patients, or clients of an institution of higher education, a school, hospital, nursing home, center, or other institution owned or operated by the Applicant, or to the opportunity to participate in the provision of services, financial aid, or other benefits to such individuals, the Assurance applies to the entire institution. In the case of a public school system the Assurance would be applicable to all of the elementary or secondary schools operated by the Applicant.

10. *What about a university which operates several campuses?*

A. Section 80.4(d)(2) of the Regulation provides for a more limited Assurance only where an institution can demonstrate that the practices in part of its operation in no way affect its practice in the program for which it seeks Federal funds. This would be a rare case.

11. *If an Applicant intends to make use of other individuals to help carry out the Federally-assisted program, does the requirement not to discriminate apply to such a subgrantee or contractor?*

A. It does. The Applicant must require any individual, organization, or other entity which it utilizes, to which it subgrants, or with which it contracts or otherwise arranges to provide services, financial aid, or other benefits under, or to assist it in the conduct of, any program receiving Federal financial assistance extended to the Applicant by the Department, or with which it contracts or otherwise arranges for the use of any facility provided with the aid of Federal financial assistance for a purpose for which the Federal financial assistance was extended, to comply fully with Title VI of the Civil Rights Act of 1964 and the Regulation of the Department of Health, Education, and Welfare issued thereunder.

12. *Must this Assurance of nondiscrimination by the subgrantee, etc., be in writing?*

A. In the case (1) of any contractual or other arrangement with another such individual or entity which will continue for an indefinite period or for a period of more than three months, (2) of any subgrant, or (3) of any conveyance, lease, or other transfer of any real property or structures thereon provided with the aid of Federal financial assistance extended to the Applicant by the Department, the Applicant shall obtain from such other person, subgrantee, or transferee, an agreement, in writing, enforceable by the Applicant and by the United States, that such other individual or entity, subgrantee, or transferee will carry out its functions under such subgrant, or contractual or other arrangement, or will use the transferred property, as the case may be, in accordance with Title VI of the Act and the Regulation will otherwise comply herewith.

13. *What obligations does the Applicant have to inform beneficiaries, participants, and others of the provisions of the Regulation?*

A. The Applicant must make available to beneficiaries, participants, and other interested persons information regarding the provisions of the Regulation and protections against discrimination provided under Title VI of the Civil Rights Act. The Department will issue shortly more detailed instructions on carrying out this phase of the Regulation.

14. What obligations does the Applicant have to keep records and to make them available to the Department?

A. From time to time, Applicants may be required to submit reports to the Department, and the Regulation provides that the facilities of the Applicant and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the Regulation be made available for inspection during normal business hours on request of an officer or employee of the Department specifically authorized to make such inspections. More detailed instructions in this regard will also be forthcoming from the Department in the near future.

15. Must separate Assurance forms be filed with each application?

A. As a general rule once a valid Assurance is given it will apply to any further application as long as there is no indication of a failure to comply.

Explanation Of

HEW FORM 639 A (3/77), ENTITLED "ASSURANCE OF COMPLIANCE WITH TITLE IX OF THE EDUCATION AMENDMENTS OF 1972 AND THE REGULATION OF THE DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE IN IMPLEMENTATION THEREOF"

Section 901 of Title IX of the Education Amendments of 1972 provides that no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Section 902 of Title IX authorizes and directs the Department of Health, Education, and Welfare (hereinafter the "Department") to effectuate the nondiscrimination requirements of section 901 by issuing rules, regulations, and orders of general applicability. Pursuant to section 902, the Department has issued 45 C.F.R. Part 86 (hereinafter "Part 86") which became effective on July 21, 1975.

Section 86.4 of Part 86 requires that every application for Federal financial assistance for any education program or activity shall, as a condition of its approval, contain or be accompanied by an assurance from the applicant satisfactory to the Director of the Office for Civil Rights (hereinafter the "Director") that each education program or activity operated by the applicant and to which Title IX of the Education Amendments of 1972 and Part 86 apply will be operated in compliance with Part 86.

Section 86.4 also provides that the Director will specify the form of the assurance required and the extent to which such assurance will be required of the applicant's subgrantees, contractors, subcontractors, transferees, or successors in interest. Under this authority, HEW Form 639 A, (3/77) has been specified as the form of assurance which shall apply to all recipients of and applicants for Federal financial assistance subject to the provisions of Title IX and awarded by the Department.

HEW Form 639 A, (3/77) constitutes a legally enforceable agreement to comply with Title IX and all of the requirements of Part 86. Applicants are urged to read Part 86 and the accompanying preamble. The obligation imposed by Title IX and Part 86 are independent of, and do not alter, the obligation not to discriminate on the basis of sex imposed by Title VII of the Civil Rights Act of 1964 (20 U.S.C. 2000e et seq.); Executive Order 11246, as amended; sections 799A and 855 of the Public Health Service Act (42 U.S.C. 295h-9 and 298b-2); and the Equal Pay Act (29 U.S.C. 206 and 206 (d)).

PERIOD OF ASSURANCE

HEW Form 639 A, (3/77) is binding on a recipient for a period during which Federal financial assistance is extended to it by the Department. With respect to Federal financial assistance used to aid in the purchase or improvement of real or personal property, such period shall include the time during which the real or personal property is used for the purpose of providing an education program or activity. A recipient may transfer or otherwise convey title to real and personal property purchased or improved with Federal financial assistance so long as such transfer or conveyance is consistent with the laws and regulations under which the recipient obtained the property and it has obtained a properly executed HEW Form 639 A, (3/77) from the party to whom it wishes to transfer or convey the title unless the property in question is no longer to be used for an education program or activity or the Federal share of the fair market value of such property has been refunded or otherwise properly accounted for to the Federal government.

An applicant or recipient which has submitted an HEW Form 639 A, (3/77) to the Director need not submit a separate form with each grant application but may, if the information contained therein remains accurate, simply incorporate by reference, HEW Form 639 A, (3/77), giving the date it was submitted. On the other hand, a revised HEW Form 639 A, (3/77) must be submitted within 30 days after information contained in the submitted form becomes inaccurate, even if no additional financial assistance is being sought.

OBLIGATION OF RECIPIENT TO OBTAIN ASSURANCES FROM OTHERS

As indicated in Article III, paragraph 2, of the Assurance, if a recipient subgrants to, or contracts, subcontracts, or otherwise arranges with an individual, organization, or group to assist in the conduct of an education program or activity receiving Federal financial assistance from the Department or to provide services in connection with such a program or activity, the recipient continues to have an obligation to ensure that the education program or activity is being administered in a nondiscriminatory manner. (See 45 C.F.R. 86.31.) Accordingly, the recipient must take reasonable steps to ensure that the individual, organization, or group in question is complying with Title IX and Part 86. These steps may include, but do not necessarily require, obtaining assurances of compliance from such subgrantees, contractors, and subcontractors in the form of, or modeled on, the HEW Form 639A, (3/77). These steps to require, however, such activities as may be reasonably necessary to monitor the compliance of these subgrantees, contractors, or subcontractors, regardless of whether they have submitted assurances to the recipient. If a recipient is unable to assure itself that any contractor, subcontractor, subgrantee, or other individual or group with whom it arranges to provide services or benefits to its students and employees does not discriminate on the basis of sex as described in Part 86, the recipient may not initiate or continue contracts, subcontracts, or other arrangements with that individual or group or make subgrants to it.

ADMINISTRATIVELY SEPARATE UNITS

If an educational institution is composed of more than one administratively separate unit, a separate HEW Form 639 A, (3/77) may be submitted for each unit or one may be submitted for the entire institution. If separate forms are submitted, the administratively separate unit for which the form is submitted should be clearly identified in the first line of HEW Form 639 A, (3/77). An "administratively separate unit" is defined as a school, department or college of an educational institution (other than a local educational agency) admission to which is independent of admission to any other component of such institution. See 45 C.F.R. 86.2(o).

STATE EDUCATION AGENCIES

State education agencies are generally not responsible for running pre-school, kindergarten, elementary or secondary programs. Such responsibility is generally left to local education agencies although some supervisory authority may be vested with the state education agency. Consequently, most state agencies should not check the boxes for "Pre-school," "Kindergarten," or "Elementary or Secondary" in Article I of HEW Form 639 A, (3/77). If the state agency runs special programs for the handicapped, including those on the pre-school, kindergarten, elementary, or secondary level, the box marked "Other" should be checked and the appropriate description inserted in the space provided.

Under Article III, paragraph 5, of HEW Form 639A, (3/77) a state education agency may be called upon from time to time to submit reports necessary to determine Title IX compliance by local education agencies within its jurisdiction. The form and content of such reports will be specified by the Director at the time the request is made.

RELIGIOUS EXEMPTION

Applicants or recipients which are educational institutions controlled by a religious organization are not covered by Part 86 to the extent that application of Part 86 would be inconsistent with the religious tenets of the controlling religious organization.

Section 86.12 of Part 86 requires an institution seeking an exemption to submit a written statement to the Director identifying the provisions of Part 86 which conflict with a specific tenet of the controlling religious organization. Such a statement must be signed by the highest ranking official of the educational institution claiming the exemption. An applicant or recipient claiming an exemption is not relieved of its obligations to comply with that portion of Part 86 not specified in its statement to the Director as being inconsistent with the tenets of the controlling religious organization.

Although 86.12 imposes no time restrictions when a recipient or applicant may claim an exemption, applicants or recipients are urged to make such claims when they initially submit HEW Form 639 A, (3/77) by checking the appropriate box in Article I of HEW Form 639 A, (3/77) and attaching thereto the statement required by 86.12(b). Such an approach will avoid misunderstandings on the part of both the Department and the applicant or recipient as to what, if any, action is required under Part 86.

An applicant or recipient will normally be considered to be controlled by a religious organization if one or more of the following conditions prevail:

- (1) It is a school or department of divinity; or
- (2) It requires its faculty, students or employees to be members of, or otherwise espouse a personal belief in, the religion of the organization by which it claims to be controlled; or
- (3) Its charter and catalog, or other official publication, contains explicit statement that it is controlled by a religious organization or an organ thereof or is committed to the doctrines of a particular religion, and the members of its governing body are appointed by the controlling religious organization or an organ thereof, and it receives a significant amount of financial support from the controlling religious organization or an organ thereof.

The term "school or department of divinity" means an institution or a department or branch of an institution whose program is specifically for the education of students to prepare them to become ministers of religion or to enter upon some other religious vocation, or to prepare them to teach theological subjects. (This definition is adopted from section 1201(1) of the Higher Education Act of 1965, P.L. 89-329.)

**IMPORTANT NOTICE
TO PROSPECTIVE PARTICIPANTS
IN USOE CONTRACT AND GRANT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Office of Education (USOE) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these two reasons, USOE must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that —

**Failure to meet a deadline will mean that an application will be rejected
without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$50.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No USOE employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Office of Education
Application Control Center
Washington, D.C. 20202

CONTRACTS

Competitive procurement actions undertaken by the USOE are governed by the Federal Procurement Regulations and implementing HEW Procurement Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the Request for Proposals (RFP). Questions regarding the submission of offers should be addressed to the Contracting Officer identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No USOE employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$80.00 per year via second class mail or \$105.00 per year via first class mail. Information included in the Federal Procurement Regulations (FPR) and the Health, Education and Welfare Procurement Regulations (HEWPR) are contained respectively in Title 41, Code of Federal Regulations, Chapters 1 to 2 (\$5.70) and Title 41, Code of Federal Regulations, Chapters 3 to 6 (\$5.90). The foregoing publications may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402

In an effort to be certain this important information is widely disseminated, this notice is being included in all USOE mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

OE FORM 5348, 7/77

REPLACES OE FORM 5348, 7/75, WHICH IS OBSOLETE

G

★ U.S. GOVERNMENT PRINTING OFFICE: 1978—260-934:2097

59

3. APPROACH d. (Cont) (Advisory Council)

The advisory council consists of seven members who have not only committed themselves to serve but have actively been assisting in the development of this proposal, through their encouragement and expertise. Four of the members were selected to represent each of the ethnic groups involved in the project. These ethnic community representatives constitute over one-half of the council members.

1. Chinese American

Eric Chock: B.A., University of Pennsylvania (Sociology);
M.A., University of Hawaii (English, Education).

Eric Chock is presently the coordinator for the Poets-in-the Schools Hawaii program, in which he's taught since 1974. This Chinese American poet has also served as poetry editor for the Hawaii Review (1976-77) and as moderator for a semester-long program, "Haku Mele o Hawaii" ("Poets of Hawaii"), aired on radio station KTUH in the spring of 1976. In June of 1977, Mr. Chock was awarded the first place poetry prize in the Honolulu City Commission on Culture and the Arts Competition for Writers. His prior experience in the community includes his service as a VISTA volunteer (legal aid, community organizing) in Honolulu, 1973.

2. Japanese American

Marie Hara: B.A., M.A., University of Hawaii (English).

Ms. Hara has taught in several Honolulu public and private schools and is currently on leave from her instructorship in the Department of English of the University of Hawaii. She is one of the coordinators of Talk Story: Our Voices in Literature and Song, the Asian American and Hawaii ethnic American writers' conference to be held in June of 1978. Ms. Hara has been especially active in contacting individuals and groups representing older generations of Asian American writers in Hawaii.

60

Elizabeth Lau Post Hum

Homer Hayes Newm

Kauha Post Hum

Puamau Hum

Pescia Hum

Kesha Hum

Kelly Hum

Mafalani

Baker

Bowman

1

4

2

Put

Kaula

Luv

McAury

Camiller

PROPOSAL PREPARATION CHECKLIST

	<u>YES.</u>	<u>NO.</u>
1. Has a letter been sent to the funding source in advance of the proposal? To the A-95 Clearinghouse if a federal proposal?	_____	_____
2. Does your research indicate that the proposal is appropriate to the funding source?	_____	_____
3. Is the PURPOSE of the proposal clearly stated in the introduction of the proposal?	_____	_____
4. Is the PROGRAM PLAN logical, flexible and related to the PROBLEM that you have defined?	_____	_____
5. Are OBJECTIVES measurable and clear? are they realistic?	_____	_____
6. Have you described the RESOURCES that you have obtained to work with the organization on the program?	_____	_____
7. Have you provided for EVALUATION of the project?	_____	_____
8. Have you described the INNOVATIVE parts of the project?	_____	_____
9. Have you coordinated the project with other groups doing similar work?	_____	_____
10. Have you described how the RESULTS of the program can apply to other groups?	_____	_____✓
11. If you are unknown to the funding source have you included some information on the HISTORY of the group?	_____	_____
12. Have you explained why the organization is well-suited for carrying out the proposed project?	_____	_____
13. Is the description of the personnel to be used in the project detailed, but not boring?	_____	_____

Funding Source Research
Page Eighteen

	<u>YES.</u>	<u>NO.</u>
14. Is the BUDGET detailed?	_____	_____
15. Is the BUDGET explained in the proposal?	_____	_____
16. Is the BUDGET projected over the total time of the program?	_____	_____
17. Have you detailed the donations of the organization to the budget?	_____	_____
18. Is the proposal narrative double-spaced and concise (usually not more than 4-6 pages not counting the appendix)?	_____	_____
19. Is there material in the NARRATIVE that belongs in the appendix?	_____	_____
20. Is there material in the APPENDIX that should not be included at all?	_____	_____
21. Have you given the first draft to someone to criticize?	_____	_____
22. If you received the proposal in the mail would you fund it?	_____	_____
23. Have you included the Articles of Incorporation (if the group is incorporated) and the letter of Tax-Exemption from the Internal Revenue Service?	_____	_____

3. APPROACH c.

Evaluation will be contracted to Dr. Frederick T. Bail of the Educational Psychology Department of the University of Hawai'i. Evaluation will be accomplished by:

1. Observing the operation of the five regional centers.
2. Interviewing the resource people.
3. Interviewing a sample of elementary school teachers trained by the resident resource people.
4. Developing, administering, and evaluating the results of a questionnaire for the regional resource people.
5. Developing, administering and evaluating the results of a questionnaire for the teachers serviced by each of the regional resource people.

Interim and final reports will be coordinated by the project coordinator. This will be done quarterly and will include:

1. A fiscal report
2. Information regarding number of trainees served
3. Numbers of persons utilizing satellite resource centers
4. Number of visitors to the canoe
5. Information gathered for evaluation
6. Report from meetings with the advisory council
7. Photographs of training

3. APPROACH d.

Cooperating Institutions

1. Department of Education
State of Hawaii

Nature of Effort

They will disseminate publicity and information regarding the availability of the satellite resource centers and the Hokule'a.

3. APPROACH c.

Evaluation will be contracted to Dr. Frederick T. Bail of the Educational Psychology Department of the University of Hawai'i. Evaluation will be accomplished by:

1. Observing the operation of the five regional centers.
2. Interviewing the resource people.
3. Interviewing a sample of elementary school teachers trained by the resident resource people.
4. Developing, administering, and evaluating the results of a questionnaire for the regional resource people.
5. Developing, administering and evaluating the results of a questionnaire for the teachers serviced by each of the regional resource people.

Interim and final reports will be coordinated by the project coordinator. This will be done quarterly and will include:

1. A fiscal report
2. Information regarding number of trainees served
3. Numbers of persons utilizing satellite resource centers
4. Number of visitors to the canoe
5. Information gathered for evaluation
6. Report from meetings with the advisory council
7. Photographs of training

3. APPROACH d.

Cooperating Institutions

1. Department of Education
State of Hawaii

Nature of Effort

They will disseminate publicity and information regarding the availability of the satellite resource centers and the Hokule'a.

Further research in to Polynesian navigation occurred with the sailing of Hōhūle'a in April 1977. A crew of 14 (check this) under the direction of Sorben Peianaia sailed southward through Kealahouhiki Channel. The purpose of the voyage was to test the feasibility of the channel as a path to Tahiti as oral tradition had long suggested.

2. Kamehameha Schools

They will provide facilities for holding workshops and for doing maintenance on the canoe. They will also assist in the cost of printing and producing materials.

3. Bishop Museum

They will provide office space at below market value.

4. Alu Like

They will provide copying service.

5. Hawaii Association of Rural Private Schools (HARPS)

Each of the HARPS school will provide staff persons with 4 days of paid release time for training in December. They will provide transportation for Polynesian Voyaging Society staff and consultants while on Maui and Kauai. They will donate facilities for the permanent storage of curriculum materials and after the project year will continue to act as resource persons.

6. Department of Transportation
Harbors Facilities

They will provide assistance and facilities for the berthing of the canoe Hokule'a.

6d

Further research in Polynesian sailing: April 1977,
Kealahakiki Channel testing the feasibility
of the channel as the "Path to Tahiti" in

Project under direction of Gordon Piranaia
to check Kealahakiki Channel as a departure
point to Tahiti as the name suggests.

Further research in Polynesian navigation
occurred with the sailing of Holuie in April 1977.
A crew of 17 (?) under the direction of Gordon
Piranaia sailed southwest through
Kealahakiki to test the feasibility
of the channel as a "Path to Tahiti".



Rough Draft

12/29

NTONGG

ABSTRACT

FOCUS: Area I. Training of Persons in Ethnic Studies

Level: Elementary Education

Overall Objective: To train elementary school teachers, and other ethnic studies personnel in the area of Polynesian voyaging so as to enhance their understanding of ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

SPECIFIC OBJECTIVES:

1. To establish five regional Polynesian voyaging resource centers at Honolulu, Windward O'ahu, North Shore O'ahu, Kealia on Kaua'i, and Piahi on Maui. *Kaua, HI*
2. To train resident resource persons in Polynesian voyaging at each of the five satellite resource centers.
3. To use the Hokule'a as a floating classroom to be temporarily berthed near each of the five resource centers.
4. To have the five regional Polynesian voyaging resource people train elementary school teachers and other professionals in ethnic studies to:
 - a. Identify Polynesian voyaging resources and resource people.
 - b. Explain the concepts and techniques of Polynesian voyaging.
 - c. Demonstrate the value of a multi-ethnic approach by explaining the unique components of Polynesian voyaging and culture.
 - d. Effectively use the curriculum materials provided by the Polynesian Voyaging Society.

APPROACH:

The project is organized to provide resource materials and training in two stages.

The first stage is to organize the curriculum materials and train persons to permanently operate one main resource center and four satellite resource centers. The second stage is to train personnel and teachers of elementary school aged children in the use and availability of Polynesian voyaging resources and its relevance for understanding ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

AMOUNT OF FUNDING REQUESTED: \$59,960.00

High School

Schools
private
Public

(6)

Polynesian Voyaging Society (PVS)
Resource and Training for Multi-Cultural Education

ETHNIC HERITAGE STUDIES PROGRAM
October 1, 1979 - September 30, 1980

Budget Justification

6.a. Personnel Salaries	Rate/ Month	Months of Effort	Approximate % of Effort	Cost
Project Director	416.00	12	25.00	5,000.00
Trainer/Curriculum Developer	1,000.00	12	100.00	12,000.00
Trainer/Administrative Assistant	1,000.00	12	100.00	12,000.00
Crew Supervisor	1,000.00	12	100.00	12,000.00
Satellite Trainers:				
from Seagull School	850.00	3	100.00	2,550.00
from Rainbow School	850.00	2	100.00	1,700.00
from Island School	850.00	2	100.00	1,700.00
from Piahi School	850.00	2	100.00	1,700.00
		Subtotal		48,650.00
c. Travel				
Airfare - Interisland				
1 RT Kauai-HNL-Kauai				50.00
1 RT Maui-HNL-Maui				50.00
4 RT HNL-Kauai-HNL (\$50.00 X 4)				200.00
4 RT HNL-Maui-HNL (\$50.00 X 4)				200.00
Per Diem				
HNL: \$30.00/day X 4 days X 2 trainers				240.00
Kauai: \$30.00/day X 5 days X 3 staff				450.00
Maui: \$30.00/day X 5 days X 3 staff				450.00
Kauai: \$30.00/day X 10 days X 1 crew supervisor				300.00
Maui: \$30.00/day X 10 days X 1 crew supervisor				300.00
Mileage: 3,000 miles X \$.15				450.00
		Subtotal		2,690.00

6.e. Supplies

1. Office Supplies

300.00

Subtotal

300.00

f. Contractual

Consultant in Polynesian Culture

1,000.00

Air Travel

100.00

Per Diem 2 days @ \$30.00

60.00

Consultant - Evaluation

2,000.00

Air Travel

100.00

Per Diem 2 days @ \$30.00

60.00

Consultant - Photographer

1,000.00

Subtotal

4,320.00

h. Printing

1. Printed materials

2,000 copies of work booklet and evaluation sheet

1,000.00

Subtotal

1,000.00

j. Indirect Charges

3,000.00

Subtotal:

3,000.00

TOTAL

\$59,960.00

Indirect Charges - fiscal management will be provided by the executive committee of the Polynesian Voyaging Society. Costs were figured at approximately .05% of \$56,960.00. The committee consists of:

Michael A. Tongg - President and attorney
Anthony Guerrero, Jr. - Treasurer and Vice President
First Hawaiian Bank
Kaipo Kauka - Vice President and Community Heritage
Coordinator for Hawaii Foundation for
History and Humanities

PART IV - PROGRAM NARRATIVE

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE

In 1778, when Captain James Cook rediscovered Hawai'i, he estimated 300,000 native Hawaiians. By 1840, the Hawaiian race dwindled down to 70,000 people.

When Cook, the missionaries, immigrants and others came to the Hawaiian Islands tremendous and tragic changes took place. The islands, isolated from the outside world, were suddenly invaded by an influx of people. Diseases were introduced, the kingdom was overthrown by foreigners, and the culture was uprooted. Such rapid transition had devastating effects which proved almost fatal to the entire Hawaiian race.

In the 1840's, the popular saying of the day was "Na kanaka o ku'u wale aku no i ka uhone. ("The people freely gave up their souls and died.") Physical and psychological death had been the choice of many Hawaiians who could not cope with the despair that overwhelmed them.

The calamitous results of the past still plague many Hawaiians today. They have the highest incidence of poverty, high school dropouts, and unemployment of any racial group in Hawai'i. Preventive measures have to be implemented and applied. When people have inadequate education, a limited knowledge of their cultural roots, poor self esteem, and where families are disoriented, societal problems escalate. Education therefore is the key to building up self-worth, self-sufficiency, and self-direction.

Along with the social ills, the 1970's show a resurgence of interest and hope for the Hawaiian culture among Hawaiians. There is a desperate vitality and commitment among American Hawaiians

68

to learn about their culture, to uplift themselves and their heritage through education. A deliberate search is being made for Hawaiian identity. Regrettably, Hawaiian culture has been regarded irrelevant in the past. However, on November 7, 1978, voters of Hawai'i realized this need and voted on promoting and implementing Hawaiian studies into the school system and community. This was an amendment proposed by members of the Constitutional Convention of 1978.

A renaissance in Hawaiian culture is evidenced by the founding of the Polynesian Voyaging Society in 1973. Its purpose has been to do research work in Polynesian voyaging canoes, Polynesian navigational system, Polynesian culture and all the other arts and artifacts that made migration and settlement of the Hawaiian Islands possible, by the first settlers. Multi-racial members of the society built the Hokule'a, a double hulled canoe, in 1974, trained a crew in 1975, and sailed from Hawai'i to Tahiti in 1976. The three year plan became a life-size reality which received strong community support.

The 60 foot, twin hulled canoe called Hokule'a was designed to answer the question of whether the ancient Polynesians regularly navigated the 3,000 mile course between Hawai'i and Tahiti. Multi-racial builders of the canoe found that centuries before Columbus, Polynesians aboard voyaging canoes had explored a huge triangle of the earth's surface, with Hawai'i, Easter Island and New Zealand as its outer limits. Guided by the stars, currents, and ocean swells, they accomplished incredible feats of navigation and seamanship as they sailed across thousands of miles of open ocean.

69

Though Hokule'a was built mainly of modern materials, such as plywood and fiberglass, her lines were authentic and reconstructed from sketches by explorer Captain James Cook and other explorers. Her sails, copied from ancient Hawaiian rock paintings were shaped like crab claws. This design proved more practical than modern sails that were tried because the crab claw contour minimized stress and spilled the wind during squalls.

In 1976, seventeen men who made up the crew of Hokule'a, sailed her to Tahiti. One of the key men was the navigator, Mau Piailug, from the Satawal atoll in Micronesia. Mau, a strong 44 year old, became a full fledged navigator at the age of 18, and roamed far and wide through the central Carolines without relying on any navigational instruments. Mau was assisted by Rodo Williams, a Tahitian and former schooner captain, and David Lewis, a Caucasian who had studied with traditional navigators in Tonga and Micronesia. None of the three used any instruments during the voyage, nor did they receive any hint of their position from the escort vessel that accompanied Hokule'a on this 3,000 mile journey. Half of the crew who went on the voyage were Hawaiians. Hokule'a reached Tahiti after 34 days and was received by a jubilant crowd of 15,000 Tahitians, the largest crowd in the memory of that island.

Hokule'a received national and international acclaim because the National Geographic Society filmed the magnificent and historic journey. They also published 3 separate articles about Hokule'a in their magazine. Hokule'a has become a legacy and symbol of Hawai'i, a success story that needs to be shared. Slides, pictures, and logs were taken when Hokule'a made her incredible trip.

All these materials need to be made more readily available. Hokule'a can be used as a floating classroom. The experience for students and teachers to feel, touch, and see an authentic Polynesian replica of the canoes that brought the first settlers to Hawai'i would be an unforgettable and valuable educational tool. It could help guide Hawaiians back to their roots and give them insight into the awesome courage and intelligence of their ancestors. It can also explode the myths and negative stereotyping about Polynesians.

2. RESULTS OF BENEFITS EXPECTED

This proposal seeks to promote the contributions which Polynesian Americans and by implication, other ethnic groups can offer in making America a truly pluralistic and culturally diverse society.

More specifically, this proposal is to train elementary teachers so as to enhance their understanding of ethnic identity, inter-ethnic communication and relations, and the process of American multiculturalism. To this end, the proposal focuses on:

- a. Establishing ^{SIX} five permanent satellite resource centers with trainers.
- b. Training approximately 170 elementary school teachers and other professionals in ethnic studies to become familiar with the area of Polynesian voyaging so that they will be able to:
 1. Identify Polynesian voyaging resources and resource people.
 2. Explain the concepts and techniques of Polynesian voyaging.

stress
multi racial
results -
heritage of
"roots"

3. Demonstrate the value of a multi-ethnic approach by explaining the unique components of Polynesian voyaging, crafts, artifacts.
 4. Effectively use the curriculum materials provided by the Polynesian Voyaging Society.
 - c. Providing an opportunity for approximately 3,490 children from 5 geographical areas to experience boarding and learning about a replica of a 60 foot Polynesian canoe.
 - d. Developing with the assistance of the Department of Educational Psychology an evaluation of this project to determine the overall training effects of the course.
 - e. *Visual implementation & documentation of training techniques (from historical & education perspective)*
3. APPROACH a.

The Polynesian Voyaging Society intends to disseminate its knowledge of Polynesian migration, (open sea voyaging and double hulled canoes) discovery and settlement to the population and particularly elementary school teachers and children of five large areas in Hawai'i. In this application we are proposing to make major changes in the direction of the society - - from one whose purpose has been to test theories regarding Polynesian voyaging to one that will serve as a floating classroom for children throughout the Hawaiian Islands. To accomplish this it hereby plans to hire two persons to act as teacher trainers and curriculum consultants and a crew supervisor to manage the canoe and related instructional use. The trainers will coordinate the development and use of curriculum materials and the training of four regional trainers to train teachers of public schools in Polynesian voyaging.

Our plan is to establish five permanent satellite curriculum resource centers with resident trainers and to temporarily station the canoe at five different locations so that teachers and groups of elementary school aged children will have the experience of using the materials already developed by the Polynesian Voyaging Society, seeing the visual presentations, participating in the workshops and boarding the canoe. Members schools of the Hawaii Association of Rural Private Schools (HARPS, all private, non-profit organizations) will assist in providing facilities for the five regional resource and training centers and will help host the canoe as it voyages from port to port. As hosts, the schools will provide one staff person each to be trained as trainers in Polynesian voyaging. The HARPS schools will hold public seminars, will coordinate the scheduling of elementary school classes visiting the canoe and will serve as permanent resource centers for the distribution and storage of curriculum materials.

why only
HARPS -
discriminating
against other
private and
public schools
where most
of our children
are

During October and November, the two trainers and crew supervisor will organize the educational materials of the Polynesian Voyaging Society and plan the curriculum that will be implemented at the five regional sites selected for the distribution of curriculum materials. In October, the Polynesian Voyaging Society will distribute information regarding the availability of instructional materials regarding Polynesian voyaging. This will be done through the Department of Education channels and through a one day workshop to be held at Kamehameha Schools on Discoverer's Day, October 8. During November and December the Polynesian Voyaging Society trainers will develop the educational materials while hosting visits from elementary school teachers and classes in the

note: months - Oct/
Nov = may not

be the
best
months
for the
practical
implementation
on board
the canoe

Honolulu area. Also during December, four staff persons from the four participating HARPS schools will meet on O'ahu for 4 days of training regarding use of Polynesian voyaging curriculum materials. They will take back with them to their schools the materials and information developed by the Polynesian Voyaging Society and will establish permanent satellite resource and training centers regionally. They will advertise locally their functions in this project and will schedule schools, teachers and various organizations to visit the canoe as it visits their region.

In January 1980, the canoe will sail under the supervision of the crew supervisor from Honolulu Harbor to Kaneohe Bay on the Windward side of O'ahu. It will be berthed at the Heeia Kea pier next to Heeia State Park through March. At this site a trained staff person from Seagull School with the assistance of the two Polynesian Voyaging Society trainers will coordinate the visitation and instruction of teachers and students on the Windward side of O'ahu. The canoe will stay at He'eia until the end of March when it will be sailed to Haleiwa Harbor on the North Shore of O'ahu where a trained staff person from Rainbow Elementary School will serve the function of trainer and coordinator for elementary school teachers and their students. At the end of May the canoe will sail for Kaua'i and will be berthed at Nawiliwili Harbor where the canoe will be hosted and visitations will be coordinated by Island School. During the summer months when schools are on vacation, emphasis will remain on elementary school aged youth by arranging for organizations such as Scouts, 4H, and summer fun type recreational programs to visit the canoe. At the end of July

*only on
Kauai?*

the canoe will sail to Kahului Harbor on Maui where Piahi School will host and coordinate canoe activities.

*before
month of
training*

The dates given as sailing times are approximate and will be influenced by weather and condition of the canoe. The scheduling of the visits of the canoe is also affected by the seasons. The channels between the islands are usually much more difficult to cross during the winter months, therefore, interisland sailing will be accomplished during the summer. If the canoe is unable to keep appointments for the aforementioned reasons, training can be done without the use of the canoe.

At each of the training sites, public and private schools and youth organizations from that geographical area will schedule visitation times with the host schools. In advance of its visitations, local teachers will have the opportunity to borrow curriculum materials from the resource center and receive training in their use from the regional trainer.

Staff from the Polynesian Voyaging Society will spend at least 15 days cumulative time at each of the satellite centers on Maui and Kauai to supervise and evaluate trainers. On O'ahu as much time as necessary will be spent for training and evaluation of centers at the Windward and North Shore centers. The crew supervisor will spend at least 10 days at each of the locations of the canoe.

3. APPROACH b.

QUANTITATIVE MONTHLY PROJECTIONS OF NUMBERS OF PERSONS
SERVED AND TRAINED -

Month

Activity Schedule

October

Two trainers and the crew supervisor will organize the curriculum materials with assistance from the curriculum consultant. A one day workshop will be held for the public and especially public school teachers regarding the availability of this project on Discover's Day.

November

Twenty teachers from the Honolulu District will be trained by the Polynesian Voyaging Society staff and approximately 400 children may be scheduled to visit the canoe. *Letter to...*

December

Fifteen teachers from the Honolulu District will be trained and approximately 300 children may visit the canoe. Four satellite resource center trainers will attend a four day workshop in Honolulu to be trained for this project.

January

Fifteen teachers from the Windward O'ahu District will be trained at Kaneohe Bay by the Seagull School satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 330 children may visit the canoe.

7b

February	Same
March	Same
April	Fifteen teachers from the North Shore District of O'ahu will be served at Haleiwa boat harbor by the Rainbow School satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 300 children may use the canoe facilities.
May	Same
June	Fifteen adults from Kauai will be trained by the Island school satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 300 children will use the canoe facilities.
July	Same
August	Fifteen adults from Maui will be trained by the Pihai School satellite trainer with assistance from the Polynesian Voyaging Society staff. Approximately 300 children will use the canoe facilities.
September	Same

3. APPROACH c.

Evaluation will be contracted to Dr. Frederick T. Bail of the Educational Psychology Department of the University of Hawai'i. Evaluation will be accomplished by:

1. Observing the operation of the five regional centers.
2. Interviewing the resource people.
3. Interviewing a sample of elementary school teachers trained by the resident resource people.
4. Developing, administering, and evaluating the results of a questionnaire for the regional resource people.
5. Developing, administering and evaluating the results of a questionnaire for the teachers serviced by each of the regional resource people.

Interim and final reports will be coordinated by the project coordinator. This will be done quarterly and will include:

1. A fiscal report
2. Information regarding number of trainees served
3. Numbers of persons utilizing satellite resource centers
4. Number of visitors to the canoe
5. Information gathered for evaluation
6. Report from meetings with the advisory council
7. Photographs of training

3. APPROACH d.

<u>Cooperating Institutions</u>	<u>Nature of Effort</u>
1. Department of Education State of Hawaii	They will disseminate publicity and information regarding the availability of the satellite resource centers and the Hokule'a.

2. Kamehameha Schools

They will provide facilities for holding workshops and for doing maintenance on the canoe. They will also assist in the cost of printing and producing materials.

3. Bishop Museum

They will provide office space at below market value.

4. Alu Like

They will provide copying service.

5. Hawaii Association of Rural Private Schools (HARPS)

Each of the HARPS school will provide staff persons with 4 days of paid release time for training in December. They will provide transportation for Polynesian Voyaging Society staff and consultants while on Maui and Kauai. They will donate facilities for the permanent storage of curriculum materials and after the project year will continue to act as resource persons.

6. Department of Transportation Harbors Facilities

They will provide assistance and facilities for the berthing of the canoe Hokule'a.

PAGE 3

PLEASE FILL OUT THE FOLLOWING:

RACIAL ANCESTRY: _____

NAME: _____ EDUCATIONAL BACKGROUND: _____

SHORT RESUME OF 10 OR 12 LINES: (STATE EXPERTISE THAT RELATES TO PROJECT.
FOR EXAMPLE: HAWAIIAN STUDIES; ATTITUDES, VALUES, RESEARCH, ETC.....

1
2
3
4
5
6
7
8
9
10
11
12

SAMPLE OF SHORT VITA

Chinese American

Eric Chock: B.A., University of Pennsylvania (Sociology);
M.A., University of Hawai'i (English, Education).

Eric Chock is presently the coordinator for the Poets-in the Schools Hawai'i program, in which he's taught since 1974. This Chinese American poet has also served as poetry editor for the Hawai'i Review (1976-77) and as moderator for a semester-long program, "Haku Mele o Hawai'i" (Poets of Hawai'i), aired on radio station KTUH in the spring of 1976. In June of 1977, Mr. Chock was awarded the first place poetry prize in the Honolulu City Commission on Culture and the Arts Competition for Writers. His prior experience in the community includes his service as a VISTA volunteer (legal aid, community organizing) in Honolulu, 1973.

THIS VITA IS ONLY 7 LINES LONG. TRY TO WRITE YOURS WITH 10 TO 12 LINES.

WE ARE ASKING FOR ENDORSEMENTS FROM: (Relevant only to the following listed below;)

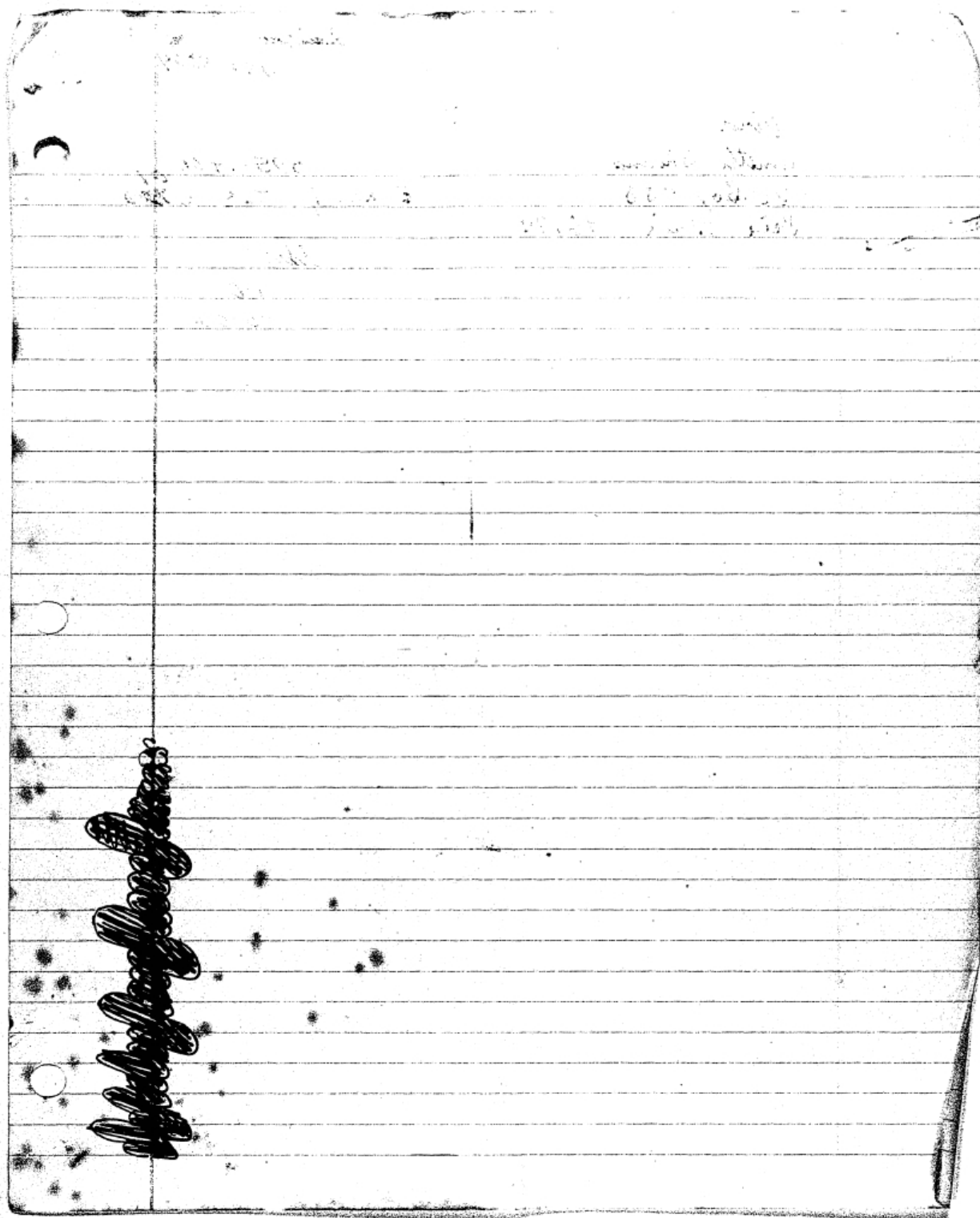
Enclosed is a sample letter of endorsement sent to the following to be used as a format to follow but please write it out in your own words so they won't be all identical. mahalo!

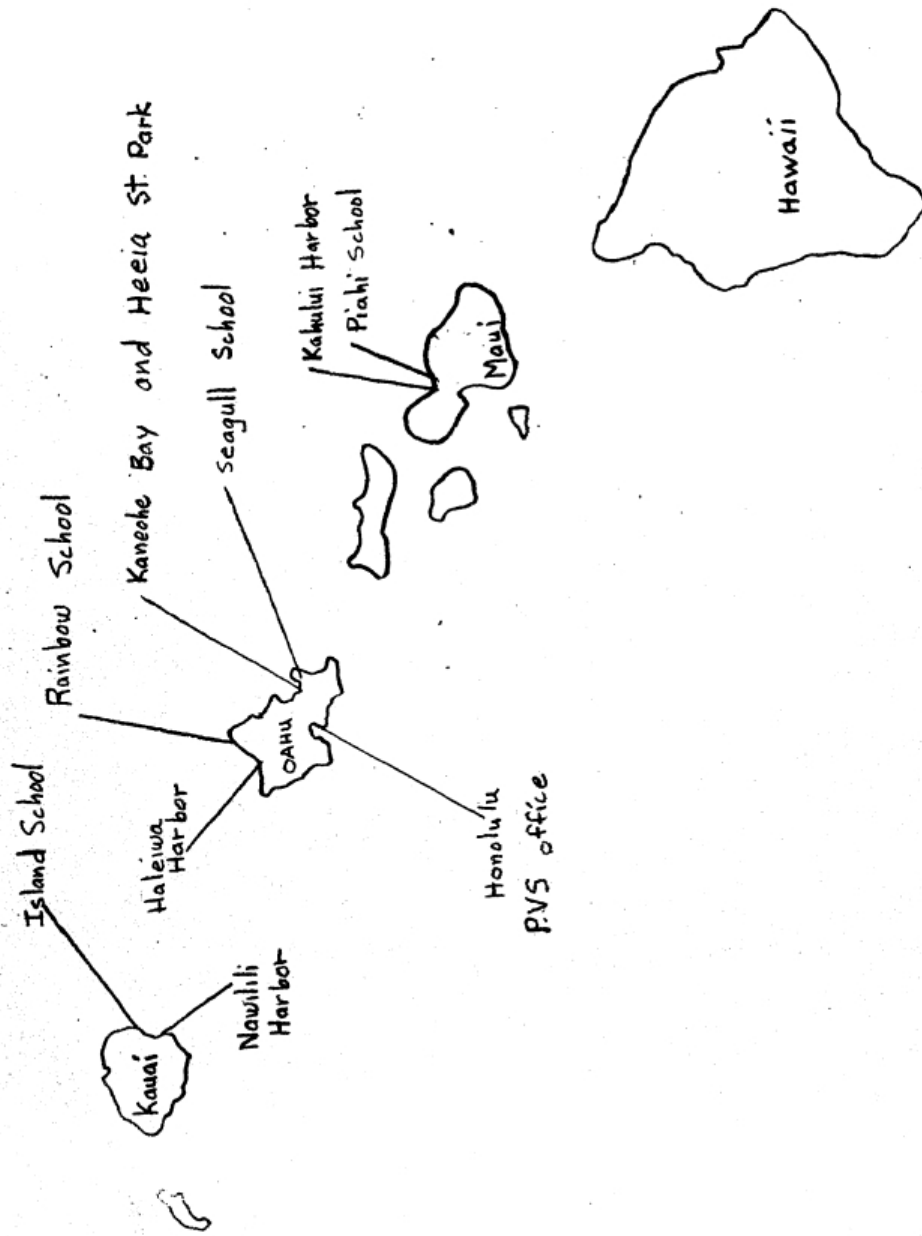
KAMEHAMEHA SCHOOLS.....	GORDON PI'IANAI'A
PUNAHOU SCHOOL	ZIEFRIED RAMLER
DEP'T OF EDUCATION	ALYCE IKEOKA
BISHOP MUSEUM	ELAINE TAKANAKA
	DR. KENNETH EMORY
	BARBARA HUNT
ALU LIKE	MARION KELLY
	PAIGE BARBER

*** I WILL BE HANDING OUT THE EDUCATION COMMITTEE ROSTER OF 1979 MEMBERS AND ADVISORS AT THE MEETING FRIDAY RATHER THAN ENCLOSING IT IN THE MAIL TODAY, AS PREVIOUSLY STATED IN PAGE 2. MAHALO!

86

4/20 Yesterday we met Bob in Hana. After planning our filming Marlene + I left Hana Bay at 11: AM. I had predicted it would take about three hours to sail to Spickerville and that it would be our most pleasant day of sailing. Out of Hana Bay until Keanal we experienced fairly light winds with very choppy seas. We moved slowly + uncomfortably. We sailed into a bay behind * Keanal for some filming and afterwards the seas + the wind increased greatly until we had about 25-30 mph winds and 10-15 ft seas





Stage two involves the development and implementation of a training course designed to accomplish objectives 1 to 5 so that teachers, students and other personnel will gain expertise in the area of Polynesian voyaging and its relevance for understanding ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

Amount of Funding Requested: \$60,000

**NOTICE OF
PUBLIC MEETING**
Pursuant to PL 93-300
(20 U.S.C. 887e), notice is
LEGAL NOTICE

given of public meeting
of the Polynesian Voyag-
ing Society prior to sub-
mission of a grant appli-
cation under the Ethnic
Heritage Studies pro-
gram, to be held in
Room 233, 1151 Punch-
bowl St., Honolulu,
Hawaii, on Friday,
December 29, 1978 at
10:00 A.M. Further infor-
mation may be had, by
calling 841-3968 (Mariene)
or 548-2070 (K. Kauka).
(Hon. Adv.: Dec. 20,
1978). (A-12205)

Address any reply to:

P.O. Box 221, Los Angeles, Calif. 90033

Department of the Treasury

LA-30-74-380

District Director

Internal Revenue Service

Date: FEB 27 1974 In reply refer to: Earl Knight

L-391, Code 421:209:VB

Determinations Section (213) 688-4552

Polynesian Voyaging Society

2467 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 170(b)(1)(A)(ii).

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) 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

(over)

Form L-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 170(b)(1)(A)(ii) 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 170(b)(1)(A)(ii) status, or acquired knowledge that the Internal Revenue Service had given notice that you would be removed from classification as a section 170(b)(1)(A)(ii) 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-T. 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,



Acting District Director

Form L-391 (4-73)

See attached

ABSTRACT

FOCUS: Area I: Training of Persons in Ethnic Studies

Level: Elementary Education

Overall Objective: To train elementary school teachers, and other ethnic studies personnel in the area of Polynesian voyaging so as to enhance their understanding of ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

Specific Objectives:

1. Train teachers and other professionals in ethnic studies to identify and become knowledgeable with what Polynesian voyaging resources exist and to make Hokule'a (double-hulled canoe) available for instructional use.
2. Help trainees understand the theoretical concepts, methodologies and major trends that constitute the area of Polynesian voyaging and how important the double-hulled canoe is in Polynesian culture.
3. Help trainees to gain insight into the uniqueness of Polynesian voyaging and culture so that ethnicity can be taught more effectively.
4. Provide trainees with knowledge of how Polynesian voyaging contributes an understanding of the American multi-ethnic experience.
5. Instruct trainees on how to use Polynesian voyaging materials and Hokule'a so that students can learn about their own ethnic values and lifestyles and also those of others; enabling them to interact in a meaningful, culturally enriching manner with persons of diverse ethnic backgrounds.

APPROACH: The project is organized in two stages:

The first stage, structured to accomplish objective 1, involves the implementation of the use of Hokule'a (Double-hulled canoe) a teacher's guide, children's books, student activity book and audio-visual aids to serve as practical and functional guides to help ethnic studies personnel become acquainted with the wide scope of Polynesian voyaging, through in-service training, (workshops and such)

Draft Draft

12/29

ABSTRACT

FOCUS: Area I. Training of Persons in Ethnic Studies

Level: Elementary Education

Overall Objective: To ~~train~~ *increase + enrich* elementary school teachers, and other ethnic studies personnel in the area of Polynesian voyaging so as to ~~enhance~~ their understanding of ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

SPECIFIC OBJECTIVES:

1. To establish five regional Polynesian voyaging resource centers at Honolulu, Windward O'ahu, North Shore O'ahu, Kealia on Kaua'i, and Piahi on Maui.
2. To train resident resource persons in Polynesian voyaging at each of the five ~~satellite~~ resource centers.
3. To use the ~~Hokule'a~~ as a floating classroom to be temporarily berthed near each of the five resource centers.
4. To have the ~~five~~ regional Polynesian voyaging resource people ~~train~~ elementary school teachers and other professionals in ethnic studies to:
 - a. Identify Polynesian voyaging resources and resource people.
 - b. Explain the concepts and techniques of Polynesian voyaging.
 - c. Demonstrate the value of a multi-ethnic approach by explaining the unique components of Polynesian voyaging and culture.
 - d. Effectively use the curriculum materials provided by the Polynesian Voyaging Society.

APPROACH:

Understand the ethnic values + lifestyles of the Polynesians so that they will interact in a meaningful, culturally enriching manner with persons of diverse ethnic background

The project is organized to provide resource materials and training in two stages.

The first stage is to organize the curriculum materials and train persons to permanently operate one main resource center and four satellite resource centers. The second stage is to train personnel and teachers of elementary school aged children in the use and availability of Polynesian voyaging resources and its relevance for understanding ethnic identity, interethnic communication and relations and the process of American multi-culturalism.

AMOUNT OF FUNDING REQUESTED: \$59,960.00

2. Dorothy McDonald, Ph.D.
Assistant Professor, American
Thought and Literature, Michigan
State University
Help distribute bibliographies to
ethnic studies organizations and
personnel in Midwest and East
Coast. (Volunteer)
3. Harry Kitano, Ph.D.
Professor, Sociology, University
of California, Los Angeles,
Chairperson, Asian American
Faculty Committee
Affirmative Action Officer, UCLA
Help distribute bibliographies to
ethnic studies organizations and
personnel on West Coast. (Volunteer)
4. Thomas Chang, Ph.D.
Professor, Educational Psychology,
University of Hawaii
Provide assistance in evaluating
behavior and attitudinal change
resulting from training course.
(Volunteer)
5. Dennis M. Ogawa, Ph.D.
Associate Professor, American
Studies, University of Hawaii
Serve as overall project director;
work as one of the instructors in
training course.
6. Maxine Hong Kingston
Author; Visiting Assistant
Professor, University of Hawaii
Help in the training course as an
instructor.
7. Arnold Hiura
English Teacher, Punahou Academy
Work as researcher for the annotated
bibliography and trainer in course.
8. Stephen Sumida
Lecturer in English, University
of Hawaii
Work as researcher for the annotated
bibliography and trainer in course.

an

5. Hawaii Chinese History Center

teachers, literature programs and literary artist throughout the State of Hawaii.

Help furnish information on Chinese American literature. Distribute and obtain feedback on bibliography from Chinese community.

6. Department of Education

Distribute bibliographies to all public and school libraries and to ethnic studies personnel concerned with multi-ethnic literature.

7. Hawaii Council of Teachers of English (HCTE)

Help evaluate the usability of the project's materials in Hawaii's classrooms. Assist in publicizing project's training program. Distribute annotated bibliography to private schools and libraries.

Individuals Assisting Project

1. Molefi Asante, Ph.D.

Chairman, Communication Department,
New York State University at
Buffalo
Editor, Journal Black Studies

Nature of Effort

Assist in formulation of feedback questionnaire, bibliography's usefulness for other ethnic groups besides Asian Americans. (Volunteer

95