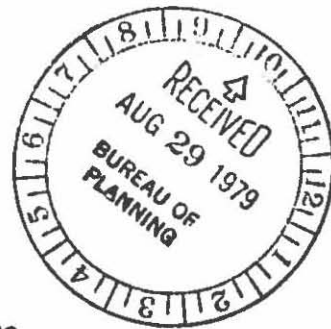


CAPACITY BUILDING FOR STATISTICAL
ACTIVITIES IN THE GUAM STATE
DEPARTMENT OF EDUCATION



GOVERNMENT OF GUAM
AGANA, GUAM 96910



AUG 28 1979

Memorandum

To: Director, Bureau of Budget & Management Research
Director, Bureau of Planning ✓

From: Acting Chairman, Guam State Clearinghouse

Subject: FY-1980 Capacity Building for Statistical Activities

Attached is a copy of the subject grant application submitted for Clearinghouse review by the Department of Education. Please review and provide written comments to this office no later than Monday, September 24, 1979.

A handwritten signature in cursive script, likely of Thomas V.C. Tanaka.

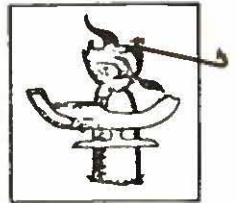
THOMAS V.C. TANAKA
Acting Lt. Governor

Attachment



Mary Elaine Cadigan
472-8901

OFFICE OF THE CHIEF STATE SCHOOL OFFICER
DEPARTMENT OF EDUCATION
GOVERNMENT OF GUAM
P. O. Box DE
Agana, Guam 96910



15 AUG 1979

Office of Education
Application Control Center
Attention: CFDA 13. 922 (a)
Washington, D.C. 20202

Dear Sirs:

Enclosed please find an original and two (2) copies of the Guam
Department of Education Capacity Building for Statistical Activities,
CFDA 13.933 (a) proposal.

Sincerely,

Mary Elaine Cadigan
Mary Elaine Cadigan

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	3. STATE APPLICATION IDENTIFIER	4. NUMBER
1. TYPE OF ACTION ☐ PREAPPLICATION ☒ APPLICATION (Mark appropriate box) ☐ NOTIFICATION OF INTENT (Opt) ☐ REPORT OF FEDERAL ACTION	a. NUMBER b. DATE 1979 08 13	5. FEDERAL EMPLOYER IDENTIFICATION NO.	6. PRO-GRAM (From Federal Catalog)	a. NUMBER 130922 b. TITLE Capacity Building for Statistical Activities in State Educational Agencies
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name : Department of Education b. Organization Unit : c. Street/P.O. Box : P.O. Box DE d. City : Agaña, e. County : f. State : Guam g. ZIP Code : 96910 h. Contact Person (Name & telephone No.) : Dr. Jeff Shafer 472-8532		7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT "CAPACITY BUILDING FOR STATISTICAL ACTIVITIES" ...the project will concentrate on reducing the data collection burden of Department of Education personnel by redesigning collection forms, assessing information needs, developing a system for automating retrieval, analysis and reporting of information...		
10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.) Islandwide		11. ESTIMATED NUMBER OF PERSONS BENEFITING 12. TYPE OF APPLICATION A-New C-Revision E-Augmentation B-Renewal D-Continuation Enter appropriate letter ☒ A		
13. PROPOSED FUNDING a. FEDERAL \$ 46,310 .00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$ 46,310 .00		14. CONGRESSIONAL DISTRICTS OF: a. APPLICANT Guam b. PROJECT island-wide 16. PROJECT START DATE Year month day 19 79 10 1 17. PROJECT DURATION 12 Months 18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY 1979 08 14		
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 ☐ Yes ☐ 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 assurances if the assistance 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) (2) OMB A-95 not required (3)		23. REMARKS ADDED ☐ Yes ☐ No		
23. CERTIFYING REPRESENTATIVE a. TYPED NAME AND TITLE Mary Elaine Cadigan, Director of Education b. SIGNATURE Mary Elaine Cadigan c. DATE SIGNED Year month day 19 79 8/15		24. AGENCY NAME 25. APPLICANT YEAR MONTH DAY RECEIVED 19		
26. ORGANIZATIONAL UNIT 27. ADMINISTRATIVE OFFICE 28. FEDERAL APPLICATION IDENTIFICATION		29. ADDRESS 30. FEDERAL GRANT IDENTIFICATION		
31. ACTION TAKEN ☐ a. AWARDED ☐ b. REJECTED ☐ c. RETURNED FOR AMENDMENT ☐ d. DEFERRED ☐ 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. STARTING DATE 19		
35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)		36. ENDING DATE 19		
37. REMARKS ADDED ☐ Yes ☐ 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. b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)		

PART II
PROJECT APPROVAL INFORMATION

ITEM 2.

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

Name of Agency or
Board _____

☐ Yes☒ No

(Attach Documentation)

ITEM 10.

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

See instructions for additional information to be
provided.

☐ Yes☒ No

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

GRANT PROGRAM, FUNCTION OR ACTIVITY (a)	FEDERAL CATALOG NO. (b)	ESTIMATED UNOBLIGATED FUNDS		NEW OR REVISED BUDGET		
		FEDERAL (c)	NON-FEDERAL (d)	FEDERAL (e)	NON-FEDERAL (f)	TOTAL (g)
1. Capacity Building for Statistics	13.922	\$	\$	\$ 46,410	\$	\$ 46,310
2.						
3.						
4.						
5. TOTALS		\$	\$	\$ 46,310	\$	\$ 46,310

SECTION B - BUDGET CATEGORIES

6. OBJECT CLASS CATEGORIES	GRANT PROGRAM, FUNCTION OR ACTIVITY				TOTAL (5)
	Capacity Building (1) for Statistics	(2)	(3)	(4)	
a. PERSONNEL	\$	\$	\$	\$	\$
b. FRINGE BENEFITS					
c. TRAVEL	3,550				3,550
d. EQUIPMENT					
e. SUPPLIES	1,500				1,500
f. CONTRACTUAL	41,260				41,260
g. CONSTRUCTION					
h. OTHER					
i. TOTAL DIRECT CHARGES	46,310				46,310
j. INDIRECT CHARGES					
k. TOTALS	\$	\$	\$	\$	\$
7. PROGRAM INCOME	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES

(a) GRANT PROGRAM	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS

	TOTAL FOR 1ST YEAR	1ST QUARTER	2ND QUARTER	3RD QUARTER	4TH QUARTER
13. FEDERAL	\$ 46,310	\$ 19,050	\$ 9,086	\$ 9, 86	\$ 9,088
14. NON-FEDERAL					
15. TOTALS	\$ 46,310	\$ 19,050	\$ 9,086	\$ 9,086	\$ 9,088

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) GRANT PROGRAM	FUTURE FUNDING PERIODS (years)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION (attach additional sheets if necessary)

21. DIRECT CHARGES:

22. INDIRECT CHARGES:

23. REMARKS:

PART IV - PROGRAM NARRATIVE (attach per instructions)

NEW-000T

PROGRAM NARRATIVE

Capacity Building for Statistical
Activities in the Guam State
Department of Education

Department of Education
Mary Elaine Cadigan
Director of Education

August 1979

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I. Current Statistical Activities

The Guam Department of Education, while small, must collect, process, analyze and report on the same types of statistical information as larger State Departments of Education. In addition to fulfilling this state level function the Department also functions as a local education agency (LEA) for certain purposes. This "dual" function often creates considerable confusion when data requests ask for State aggregates and local aggregates across the various expenditure categories. The process of providing this type of information requires local administrators to manually search through cumbersome budget documents and legislative digests in order to ferret out the needed statistical information. The data collection, processing, analysis and reporting has become unmanageable. There is no data collection plan for the Department's statistical activities.

The existing organizational structure of the Guam Department of Education places the responsibility for all statistical activities under the Chief State School Officer (Director of Education). The office responsible for these activities is the Statistical Services Unit. This unit is staffed by a Statistical Specialist (vacant), a statistical clerk, and two data entry personnel. A proposed reorganization of the Department places this office under the Research, Planning and Evaluation Division. Under this

proposed organization, the statistical specialist position has been upgraded to a Senior Systems/Management Analyst and a full time computer programmer has been added. This proposed reorganization may be viewed in Figure 1.

Obviously, more than a reorganization is needed locally to upgrade the statistical activities of the Department. In the Fiscal Year 1980 budget request, funds have been budgeted for leasing computer hardware and software packages that will be hosted by the Government of Guam IBM 370/138 central computer system. In addition, a data systems consultant was hired during Fiscal Year 1979 to develop a conceptual design for a management information system. Conceptually, the Department has embarked upon a much needed plan for phasing-in a management information system. The proposed project will be administered and directed out of the Research, Planning and Evaluation Division. The data systems consultant will have major responsibility for directing this project until such time as the new organizational chart is approved by the Guam Legislature and an Administrator, Research, Planning and Evaluation is hired.

Current data collection efforts and activities related to processing, analysis, and reporting are accomplished by manual methods that focus mainly on the following:

1. monthly attendance/absence reporting, ADA and ADM
2. monthly enrollment broken down by:
 - a. sex
 - b. grade

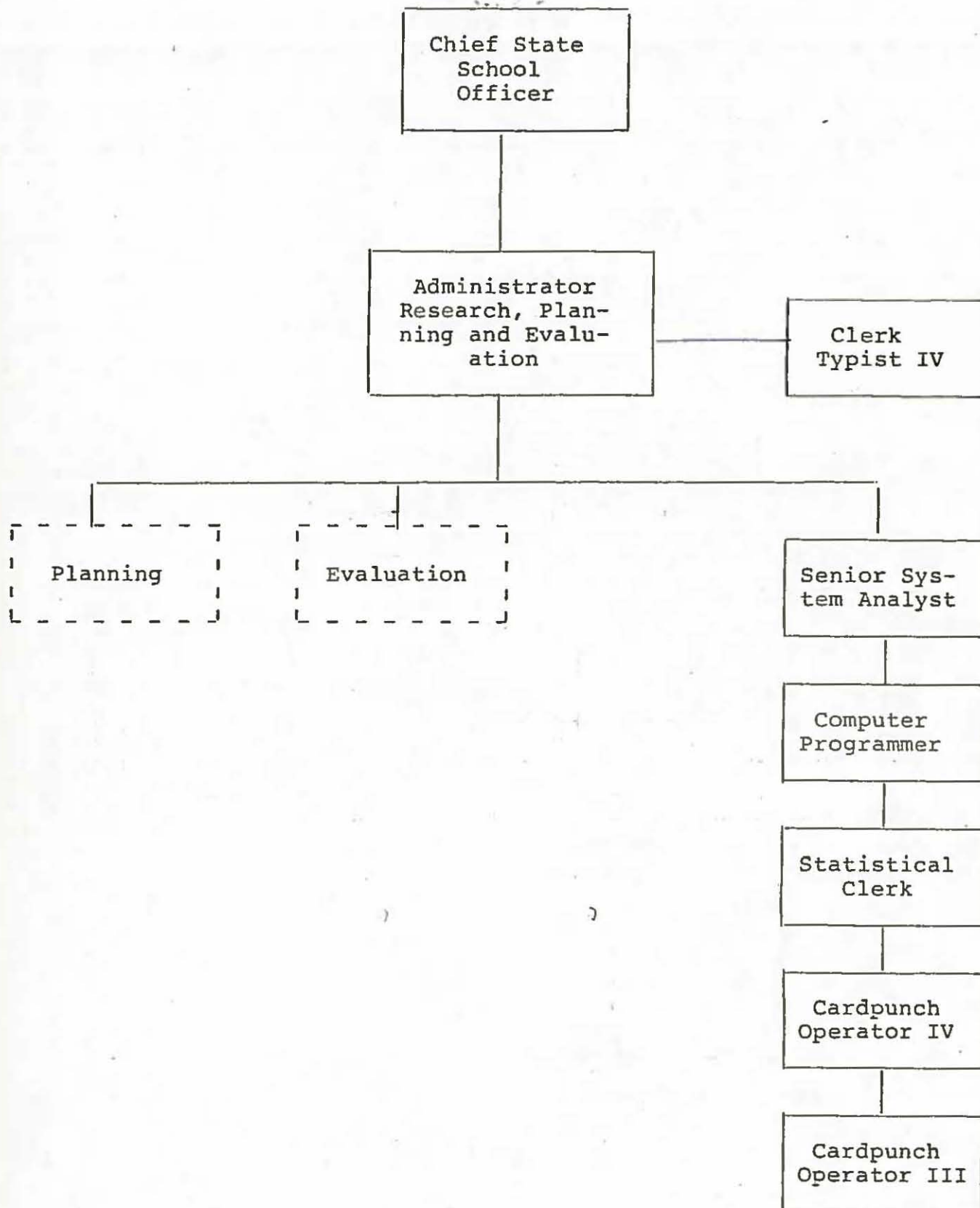


Figure 1 - Proposed organization of the Research, Planning Evaluation and Statistical Services Division

c. ethnic background

d. attendance areas

3. P.L. 81-874 Impact Aid Survey
4. Instructional staffing patterns
5. Personnel data
6. Personnel action updating
7. NCES/Common Core of Data Project
8. Title I Low Income Survey
9. Dropouts, entries, re-entries and withdrawals

Other information needed in the area of finance, facilities, and programs is collected on an "as needed basis" by whomever happens to need the information. These requests more than likely find their way to the Statistical Services Unit creating additional burden on the existing staff. To put it simply, the statistical activities of the Department are fragmented with no real plan for providing information to decision-makers in a timely manner. Data collection forms in use were not designed for data processing.

The above situation only underlines the need for developing a comprehensive plan for collecting, processing, analyzing and reporting statistical information. The statistical information that is collected on a regular basis is still collected on forms designed in 1961. No effort has been made over the last eighteen years to update these forms in view of changing information requirements of the local, territorial and federal governments. This situation

exists due to a combination of circumstances:

First, due to internal reorganization and the loss of certain key staff members, the Statistical Services section has been without qualified supervision since 1973. A string of acting statistical specialists over the past six years, with little or no expertise in data collection or automatic data processing, has effectively destroyed the system implemented in 1961. Each acting specialist has "nibbled" away at existing documentation of the system so that what is left resembles a loose collection of unrelated activities.

Secondly, the Department of Education receives such a low priority within the Government of Guam Data Processing Division that recently the Computer Center "forgot" the Department existed and proceeded to destroy all education related programs when the system was upgraded. The Data Processing Division of the Government also informed the Department, after the fact, that they were converting to a cardless environment. Since a few of the Department's statistical activities were card oriented this has further placed a burden on personnel. The Department has ordered diskette entry devices but they are not scheduled for delivery until Fiscal Year 1980. The Statistical Services Unit is now faced with converting from a card system to a diskette system without a card reader. This will be accomplished in time as soon as the data on cards can be read to produce a tape. Then too all programs for accessing the data will have to be rewritten since documentation on these programs have been destroyed.

These conditions have led the Director of Education (Chief State School Officer) to designate the upgrading of statistical services as a priority area for treatment. Also, in a 1979 Needs Assessment, the Director's line and staff administrators designated computer related services and statistical activities as the number two critical administrative need. This need was second only to planning and

evaluation. Draft functions of the Research, Planning and Evaluation Division address statistical activities of this division and view them as the basis of all planning, research, evaluation and decision-making functions:

"Information systems (statistical services) will be interwoven throughout the entire Department organization and the information this unit maintains will be important for effective administration of the Department ... It is imperative that the Statistical Services Unit be a part of the Research, Planning and Evaluation Division. Information is the life blood of educational organizations and one of its tangible products. Without timely information, attempts to progress are made blindly and inadequately."

The Department firmly believes that, it has an obligation to the Federal and local government to provide them with any information it may desire. However, there are times when the burden of retrieving certain information becomes such that we can not provide the data requested. There are other times when it is actually impossible to report certain facts.

The Department has renewed its commitment to timely and accurate information collection, retrieval and reporting as evidenced by increased local funding requests for hardware, software and computer personnel. However, there is a need to reduce the data collection and retrieval burden as well as develop a comprehensive data base upon which to base comparisons for local and federal information requirements.

II. Description of Proposed Projects

The Department of Education recognizes four goals as they relate to statistical activities. It is a goal of the Department to:

- a. reduce the data burden
- b. improve the timeliness of data reporting
- c. improve the quality and comparability of the data
- d. increase the analytical capability of the Research, Planning, Evaluation and Statistical Services Division.

Obviously, it is impossible to address each goal within the scope of the proposed project. Therefore, a major goal of this project will be to reduce the data burden. By addressing this goal in particular other outcomes will accrue that will address the other goal areas since there is a high degree of interrelatedness among these goals.

This project will, therefore, address activities associated with designing a comprehensive data collection plan, complete with documentation, up-to-date data collection forms, data processing codes consistent with current U.S. Office of Education handbooks and responsibilities of key staff members involved in collection, processing, analyzing and reporting.

The Government of Guam is currently in the process of installing a government-wide Financial Management System (FMS). The system itself addresses reporting information across traditional accounting categories, appropriations, encumbered funds, expenditures, etc.

It has been left up to each department and agency within the Government of Guam structure to identify meaningful ways to further breakdown the information contained in the Central Computer files. Each respective department will have access to its own files and many "massage" this data in any manner it desires.

Essentially the proposed project consists of 3 phases with a fourth phase of staff development and training. Goals of each phase are listed below. It is a goal of the project to:

1. analyze current information needs as they relate to reporting requirements across various Department of Education programs and divisions and develop/adapt data collection forms.
2. implement standard terminology, definitions and measures as set forth in the various U.S. Office of Education handbooks and implement data processing codes recommended in these handbooks.
3. design a reporting system that will interface with the Government-wide financial management system and provide accurate and timely information to the Department's internal and external publics.

The accomplishment of these four goals will lead to a comprehensive data collection, processing, analysis and reporting system for Department statistical activities.

It is anticipated this proposed activity will directly benefit the Guam Department of Education in several manners:

1. reduce the data burden by integrating several data bases and thereby reduce redundant reports.
2. improve the timelines of data reporting by outlining a system of report processing and distribution.
3. improve the quality and comparability of the data and information.

4. increase the analytical capability of the Research, Planning and Evaluation Division by establishing an accurate data base keyed to existing Federal Handbooks.
5. provide a mechanism for reporting Department of Education statistical information.

All these benefits will significantly improve the long range statistical capability of the Department of Education. For the first time in the Department's history it will be possible to provide timely and accurate information to decision-makers as well as to the Department's external public , Government of Guam agencies and the Federal Government. In addition, by using the financial information requirements as a nucleus, other data bases currently being planned can be integrated with this system to provide a total management information system for the Department.

The next section of the program narrative outlines the overall work plan as it relates to the three objectives of the proposed activity.

III. Work Plan

In phase one a matrix will be developed that outlines what information is needed, when the information is needed and who (or what agency) needs the information. The completion of this task will provide the basis for the design of the data collection forms . This plan, when developed, will contain the necessary documentation, data collection forms, codes, and responsibilities for various division and program personnel.

An important aspect of this information matrix will be to describe information needs by program. Once this matrix is developed decisions regarding the need for information within the cells of the matrix can be made. For example, if Special Education is a program then it would be a task to identify how the program will be divided according to the various object categories. Table I presents one manner in which financial information could be broken down by program by object class by assignment/function. While the Department has need for this information for planning purposes this sample matrix was developed with NCES Form 2350-11 in mind. Current efforts to retrieve this information takes two people working two weeks (20 man-days). It is estimated that once the system is designed this information and more could be had in a matter of minutes and would become automatic as dates are fixed to the information needs/requirements. Companion documents would outline who needs the information and when it is needed. Once the matrix is developed it will be a task to develop standard codes and definitions to prepare for data entry. This phase is viewed as a process of insuring the new codes used by the Financial Management System are consistent with the codes as outlined in the USOE handbooks. Once codes and terminology are standardized, it will then be a task to design the data collection instruments and the retrieval system. In Fiscal Year 1980 funds have been budgeted that will address implementation and computer programming concerns.

PROGRAM	Special Education	Elementary	Secondary	Curriculum & Inst.	TOTALS
Object:					
Personnel					
Salaries					
Function	X	X	X		
. Superintendents	X	X	X	X	X
. Other Officials	X	X	X	X	X
. Principals	X	X	X	X	X
. Asst. Principals	X	X	X	X	X
. Classroom Teachers	X	X	X	X	X
. Curriculum Specialists				X	X
. Library/Media	X	X	X	X	X
. Guidance Counseling	X	X	X		X
. Psychological Personnel	X	X	X		X
. Other Professional	X	X	X	X	X
. Aides	X	X	X	X	X
. Office/Clerical	X	X	X	X	X
. Other Non-Professional	X	X	X	X	X
. TOTAL	X	X	X	X	X
	X	X	X	X	X

This phase will require the systems analyst for the Department to work very closely with the systems analyst of the Government of Guam.

The interface of our information requirements with the Financial Management System's on-line data base will require the use of a CRT (terminal) and line printer. The terminal itself will need to be programmed and Department of Education's Research, Planning, Evaluation and Statistical Services Personnel will have to be trained in the use of the terminal. Other State Level administrators will also need to be trained in the retrieval of information from the data base. A complete review of existing data collection forms will also be required as a part of phase two.

IV. Management Plan

For ease of management the proposed project has been divided into 5 components. Overall responsibility for managing the project has been delegated to the Administrator of Research, Planning and Evaluation.* In the event that the Administrator position is disapproved by the legislature, the responsibility for carrying out the management functions will be delegated to the Data Systems Consultant (See Appendix for a copy of vita). Figure 2 depicts the project organization. Basically, the organization reflects the three major objectives of the proposed project plus a fourth objective of staff/training development (both to become familiar with system capabilities as well as training

for information users in accessing the data base).

Table II depicts the management plan expressed in terms of outcomes and activities. Table III presents the milestone chart ordered in the sequence of task completion. Also contained in Table III is an estimate of the number of days needed to complete each task.

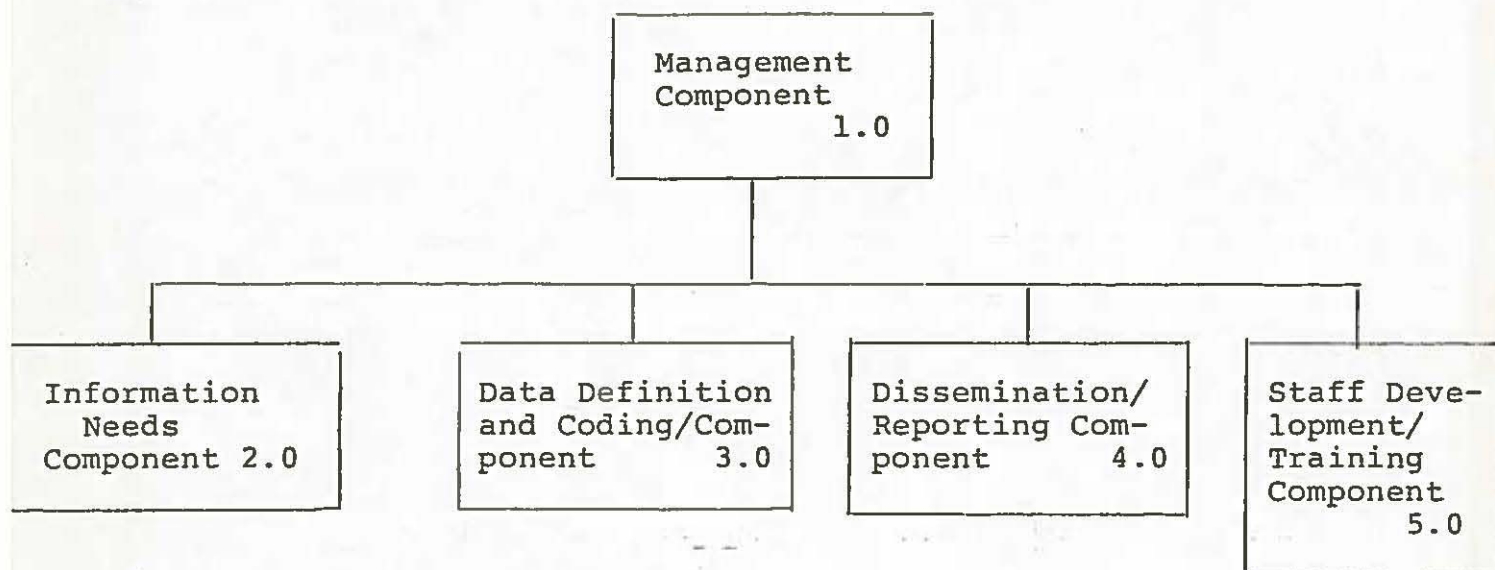


Figure 2 - Project Organization

* Please note that at this time the reorganization of the Department is pending legislative approval. The State Board of Education has adopted the proposed plan.

Goal Statement

It is a goal of the management component to provide coordination and to document processes of the system development.

Project Name DOE Financial Informat
System
Component: Management 1.0

1. Outcome	2. Activities	3. Resources	Target 4. Date	Staff 5. Resp.	6. Evaluatic
* 1.1 Management Plan for All Components	1.1.1 Develop a management plan for determining information needs. 1.1.2 Develop a management plan for standardizing terminology and coding data elements. 1.1.3 Develop a management plan for report processing and dissemination. 1.1.4 Develop a management plan for staff development and training.	State Department personnel, Federal Regulations, Gov Guam Financial Management System Personnel	June 1979	Data Systems Consultant (Adm. RPE & SS)	Management P1 for each component is a part of the grant application.
* Pre funding activity					

Goal Statement

1.0 Continued

Project Name

Component:

1. Outcome	2. Activities	3. Resources	4. Target Date	5. Staff Resp.	6. Evaluation
* 1.2 Budget - Develop Budget for Project	1.2.1 Review federal regulations and guidelines. 1.2.2 Coordinate budget with local personnel 1.2.3 Monitor budgets quarterly and monthly as per state/federal requirements.	Federal regulations, Local Board Policies.	June 1979	Adm. RPE & SS	
* Pre funding activity					
1.3 Professional Development	1.3.1 Identify professional staff development training needs. 1.3.2 Visit at least one Department of Education to review information services operation.	Travel budget Travel budget	October 1979 November 1979	Systems Analyst/ Adm. RPE	

Goal Statement

To document the information
needs of the Department of
Education.

Project Name _____

Component: 2.0 Information Needs

1. Outcome	2. Activities	3. Resources	Target 4. Date	Staff 5. Resp.	6. Evaluatic
2.1 Determine Financial Management Information Needs	2.1.2 Conduct personal interviews with various DOE State and Local level personnel.	DOE Associate Superintendents, Administrator, Assistant Director, Financial Affairs, Federal reporting requirements, existing data acquisition contracts (NCES/CCD) etc. DOE documents	December 1979	Senior Systems Analyst/ Adm. RPE & SS	
	2.1.2 Review current internal and external documents to define information requirements.	Federal reporting	December 1979		
	2.1.3 Review federal financial information needs as they relate to Common Core of Data and other federal program requirements.				
	2.1.4 Interview Administrator, Federal Programs to determine other financial information needs.		January 1980		

Goal Statement

2.0 Continued

Project Name _____

Component: 2.0 Information Needs

1. Outcome	2. Activities	3. Resources	Target 4. Date	Staff 5. Resp.	6. Evaluatic
	2.1.5 Interview Assistant Director, Financial Affairs to determine additional needs.		January 1980		Summary matr in final for
	2.1.6 Develop information timelines.	Summary matrix	January 1980	Adm. RPE & Systems Analyst	

Goal Statement

To develop standard terminology
definitions and codes.

Project Name _____

Component: 3.0 Data Definition and
Coding

1. Outcome	2. Activities	3. Resources	4. Target Date	5. Staff Resp.	6. Evaluatic
3.1 Financial Management Information Data Element Directory	3.1.1 Review federal USOE handbooks for terminology, codes and standards as they relate to the reporting of financial accounting information.	USOE Handbook <u>Financial Accounting</u>	February 1980	Senior Systems Analyst	
	3.1.2 Review current forms used by local and federal agencies to collect financial information.	Data Collection Forms	February 1980	Senior Systems Analyst	
	3.1.3 Redesign data collection forms where necessary and assign a forms control number.		March 1980	Senior Systems Analyst	
	3.1.4 Key data elements to forms.		April 1979		Complete form data element directories w definitions a codes on file with ADM, RPE & SS.
	3.1.5 Develop coding system consistent with USOE handbooks.		April 1979		

Goal Statement

To design a financial management
information reporting system
that will interface with the
Government of Guam FMS.

Project Name _____

Component: Dissemination and
Reporting Component

1. Outcome	2. Activities	3. Resources	4. Target Date	5. Staff Resp.	6. Evaluation
4.1 Financial Information Reporting System	4.1.1 Meet with FMS personnel to review system capabilities and interface with DOE needs.	Director, FMS; Summary Matrix from Component 2.0; Data Element Directories from 3.0.	October 1979	Adm. RPE & SS/Senior Systems Analyst	
	4.1.2 Determines report formats and user needs with respect to time data is needed and outline in a report processing/distribution document.	FMS Systems Analyst	January 1980	Systems Analyst	
4.2 Determine Additional Hardware Needs of the Department with Respect to Output Requirements.		Director FMS, Adm. RPE & SS/Senior Systems Analyst.	December 1979	Systems Analyst	Report Processing/Distribution Document Complete with who needs the data, when, a where.
4.3 Determine additional Programming/Software Needs	4.3.1 Develop programs, test and document.		July 1980	Senior Systems Analyst/ Systems Analyst	Successful programs documented.

Goal Statement

To determine staff development
and training needs of various
state level personnel on
accessing on-line financial
data base and system use.

Project Name _____

Component: 5.0 Staff Development
and Training

1. Outcome	2. Activities	3. Resources	4. Target Date	5. Staff Resp.	6. Evaluation
5.1 <u>Training</u> Assess Staff (RPE & SS) Inservice Assess State Level Training Needs (DOE)	5.1.1 Develop staff and DOE training plan based on documents produced from other components.	Meeting facilities	January 1980		Attendance rosters of staff partici- pating in inservice training and evaluation of the inservice sessions the meetings.
	5.1.2 Conduct training via appropriate workshops, meetings, etc.		March - May 1980		
	5.1.3 Assesses staff training needs for next year.		May 1980		

1979

1980

ACTIVITY

1st

2nd

3rd

4th

ESTIMATED STAFF DAYS

O N D

J F M

A M J

Ju A S

Complete Management Plans
for all Components

(Completed prior to application for funds-pre-funding activity)

3

Develop Project Budget

(Completed prior to application for funds-pre-funding activity)

5

Identify Professional
Development Needs



15

Visit CEIS Recommended State
Department Information
System



5

Determine Additional
Hardware Needs (CRT printer,
etc.)



10

Determine Information Needs



90

ACTIVITY	1979 1			1980									Estimated Staff Days
	O	N	D	J	F	M	A	M	J	J	A	S	
7. Information Reporting System	○			△									30
8. Assess Staff and State level personnel training needs			○	△									7
9. Determine additional programming/software needs			○	△									10
10. Develop data element directories				○			△						60

Key: ○ = Begin Activity

△ = Anticipated Completion Date

AVTIVITY	1979			1980									Estimated Staff Days
	O	N	D	J	F	M	A	M	J	J	A	S	
11. Develop Staff training plan/conduct training				○	—	—	—	△					2/10
12. Assess Staff training needs for next year (1981)								△					5
13. Develop/test/document					○	—	—	—		△			90
Total													342 man-days

V. Proposed Project Staff

Overall responsibility, as noted previously, for managing and coordinating the project has been delegated to the Administrator, Research, Planning, Evaluation and Statistical Services. It is anticipated the Administrator will devote approximately 10% of his time to carrying out the coordination/management function as well as another 10% of his time to carrying out various activities associated with the work plan. The Senior Systems/Management Analyst and computer programmer will divide the remaining 243 man-days accordingly.

Senior Systems Analyst - 182 man-days
Junior Analyst/Programmer - 91 man-days

In fact it is anticipated the senior analyst will spend the first nine months of the fiscal year devoting full time to the project while the computer programmer will devote nearly full time beginning in February of 1980 for 4½ months.

In addition the Northwest Regional Educational Laboratory, Portland, Oregon will be subcontracted to assist project staff in conducting the assessment of information and hardware - software needs. The NWREL will also be asked to assist in the training of RPE staff and to assist in the implementation of the designed system.

VI. Long-Term Effort of Proposed Activities

The successful implementation of this project will result in a system that will be "up" for the coming years. Any revision of the system will be accomplished through routine maintenance functions normally associated with computer software and hardware. Beyond evaluating the entire system of reporting management information for decision-making, there will be the yearly assessment of the responsiveness of the system to use needs with modifications coming only as a result of use feedback or new information needs of the internal and external publics. As long as the system continues to provide accurate and timely information to decision-makers the system will be maintained by the Department.

Any equipment leased by the project will be budgeted for in the 1981 Fiscal Year budget.

APPENDIX A

RESUME

Jeffrey E. Shafer

P.O. Box 1787
Agana, Guam 96910

- Ed.D Science Education
 Content Areas: Research, Statistics, Evaluation, Administration

 University of Northern Colorado, Greeley, Colorado
- M.A. Science Education: Biological Sciences

 Colorado State College, Greeley, Colorado
- B.S. Microbiology: Chemistry and Zoology

 The University of Nebraska, Lincoln, Nebraska

PROFESSIONAL EXPERIENCE:

Data Systems Consultant, Guam Department of Education
Agana, Guam (current)

Consultant, Wyoming State Department of Education, Division of
Career Education-special contract (6 months)

Regional Associate/Evaluation Consultant
Center for Education and Management Inc., (2 years)

Research Assistant, Program Evaluation
University of Northern Colorado, 2 years (part time)

Educational Evaluator
Department of Education, Agana, Guam (2 years)

Coordinator, School Aide Training Project
Department of Education, Agana, Guam (part time)

Coordinator, Year Round School Feasibility Study
Department of Education, Agana, Guam (1 year)

Secondary School Teacher, Biological Sciences
Department of Education, Agana, Guam (4 years)

Secondary School Teacher: Biological, Physical Sciences
Mesa County School District #51 (1 year)

Research Assistant in Education
University of Hawaii Board of Regents Appointee (6 months)

Ford Foundation Fellow, Experimental Teacher Education
Project, Colorado State College (1 year)

PROFESSIONAL WORKS:

Dr. Shafer has completed a number of professional works.
These include project evaluation reports (4), research studies
(4), planning, implementation and evaluation handbooks (2),

resource guides (1), policy planning documents (2), technical review (1), proposals (5), curriculum materials (4), management planning and MBO documents (3), articles (3)

DATA PROCESSING:

Experienced with SPSS, SAS statistical packages, FORTRAN IV and systems analysis

CONSULTANT WORK:

During the past four years Dr. Shafer has served as consultant to several different projects. Among these are: Third party evaluation---ESAA, Career Education (EBCE), university reading and writing project, university bilingual education traineeship program, external degree program, science/math council workshop evaluation; Measurement---criterion referenced testing, attitude surveys; Project proposals---ESEA Title VII-Bilingual, ESAA Bicultural, NIE basic dissemination grant.

SUPERVISORY EXPERIENCE:

Presently supervises a staff of one professional planner, one statistical clerk, two data entry personnel, and a clerk typist. As an educational evaluator and coordinator, Dr. Shafer has been responsible for the supervision of various clerical staff, faculty, data collection, personnel, and training specialists.

WORKSHOP PRESENTATIONS:

Management by Objectives (Wyoming State Department): Project Evaluation (various Advisory Councils, project staff etc.): Monitoring (Title IV State Advisory council); Needs Assessment (Guam Department of Education with NWREL)

PERSONAL:

Birthdate: February 13, 1943
Marital Status: Married 1976, no children
Health: Excellent
Credentials: Administration/Supervision-Guam
Teaching-K-12 Science and Language Arts-Guam

AFFILIATIONS:

Phi Delta Kappa, American Educational Research Association, National Science Teacher's Association, Lambda Sigma Tau, National Science Honorary

APPENDIX B



472 - 2900
472 - 2908

AFFIRMATIVE ACTION EQUAL OPPORTUNITY TITLE IX AGENCY

DEPARTMENT OF EDUCATION
GOVERNMENT OF GUAM
P. O. BOX DE
AGANA, GUAM
96910

May 9, 1979

ANNOUNCEMENT

The Department of Education announces the following position to ESTABLISH A LIST:

C O N T I N U O U S

SENIOR SYSTEMS/MANAGEMENT ANALYST

DUTY: Twelve Months

SALARY: PR 31 - \$14,660.00 - \$19,860.00 P/A

NATURE OF WORK:

This is advanced technical work involving the analysis and development of improved managerial procedures and practices as well as the analysis of operation and administrative systems and the development of methods for adapting these work systems to electronic data processing.

Employees in this class are responsible for the analysis of organizational units, work processes, functions and programs which are complex and technical in nature, as well as the development and documentation of the methodology for adapting various work systems to electronic data processing. Work involves evaluating and recommending improvements in managerial policies and practices, organization, methods and procedures.

Work may involve leading the work of subordinate technical employees on assigned tasks. Employees in this class receive general instructions as to scope of assignments and broad objectives to be achieved. Work is performed with considerable independence and is reviewed through conferences and submission of reports for compliance with policies, soundness of conclusions or recommendations, accuracy of logic, feasibility and proper utilization of established principles, practices and procedures.

ILLUSTRATIVE EXAMPLES OF WORK:

Conducts studies, research, analyses and evaluation of organizational structure, functions, work methods and other operational activities; recommends changes; develops procedures and necessary forms to implement changes, and prepares related procedural instructions.

Participates in the design and development of management information systems; performs statistical analyses and presentations of results and conclusions.

Promotes the use of programs and procedures designed to simplify work processes and improvement of administrative procedures; writes and/or revises manuals of procedures.

Recommends adjustments, improvements, and renovations in organization and operations based on studies and surveys.

Initiates action in organizing information into accessible work files, documenting procedures and operating methods; designs systems improvements and identification of data in the processing of applications; and develops cost statistics on which economic evaluations can be based.

Determines the requirements of changes necessary to adapt existing work systems and processes to electronic data processing techniques.

Prepares written procedure narratives, flow charts, systems specifications, programming guidelines, and other necessary documentation.

Designs reports and internally generated outputs to satisfy management information needs and supplies day-to-day data needed for the continuous operation of the individual elements of work systems.

Facilitates implementation of electronic data processing procedures through preparation of necessary manuals, charts, diagrams and forms design.

Evaluates and recommends the type, size, and value of office and operation equipment to be utilized.

Reviews and updates internal procedures.

Instructs personnel in the use of new systems and forms.

Maintains control over the design of reports, records, and forms.

Performs long-range studies for management involving such items as organization, feasibility studies concerning new equipment, procedures, and other related matters.

Performs related work as required.

MINIMUM KNOWLEDGES, ABILITIES AND SKILLS:

Thorough knowledge of governmental management principles, theories and techniques and of generally accepted techniques used in organization and methods examining.

Thorough knowledge of the modern principles, practices, systems, and procedures and mechanization in data processing and computer operations and programming.

Considerable knowledge of modern office practices and procedures.

Ability to participate in the development of long-range plans for the computer systems analysis programs.

Ability to make oral and written reports and presentations and prepare charts and graphs clearly and concisely.

Ability to conduct extensive management studies and organizational surveys.

Ability to devise procedures, to develop methods for generating and processing data and to integrate these into data processing systems and plans.

Ability to gather, assemble, correlate and analyze facts and devise solutions to difficult management problems.

Ability to establish and maintain effective working relationships with others.

Ability to make work decisions in accordance with laws, rules, and regulations, and to apply departmental policies and procedures to work problems.

MINIMUM EXPERIENCE AND TRAINING:

- (a) Graduation with a Master's degree from a recognized college or university in business or public administration, industrial management, computer science, or closely related field, plus one year of progressively responsible specialized experience involving computer systems analysis and digital computer programming; and one year of management analysis work involving the analysis, evaluation, methods, development and improvement of managerial policies, practices, methods, systems and procedures; or
- (b) Graduation with a Bachelor's degree in business or public administration, industrial management, computer science, or closely related field, plus one year and six months of progressively responsible specialized experience including computer systems analysis and digital computer programming; and one year and six months of progressively responsible specialized management analysis work involving the analysis, evaluation, development and improvement of managerial policies, practices, methods, systems and procedures; or

Page 3
Senior Systems/Management Analyst

- (c) Any equivalent combination of experience and training which provides the minimum knowledges, abilities and skills.

Interested persons may apply directly to the Office of the Associate Superintendent, Personnel Services at the Department of Education, Pacific Arcade Building in Agana.

For further information call 4728-900 or 4728-909.


FELISA B. GUTIERREZ
Associate Superintendent - Personnel

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COMPUTER SYSTEMS ANALYST II



NATURE OF WORK IN THIS CLASS:

This is responsible technical work involved in performing a variety of assignments in data processing and computer operations. Under general supervision, employee in this class works independently but refer major technical problems, policies, or procedural questions to a senior Computer Systems Analyst or division head for decision and action. Work is reviewed while in process or upon completion for compliance with established laws, rules, regulations, policies, and procedures.

ILLUSTRATIVE EXAMPLES OF WORK:

Under general supervision:

Conducts studies of the various systems with the Government of Guam; gathers, analyzes, and makes formal presentations by the submission of written reports for review purposes, such as documents, files, procedures and operating methods, cost statistics; recommends for the development of systems analysis, flowcharts, and diagrams regarding the application under study which indicate computer input and output and explains in chart form what is to be accomplished in the diagram upon its application.

Prepares correspondence on data processing matters for the Manager's signature.

Performs related computer systems analyses work as required.

DESIRABLE KNOWLEDGES, ABILITIES, AND SKILLS:

Working knowledge of the modern principles, practices, and procedures in data processing and computer operations.

Working knowledge of the organization and operation of the various department and agencies of the Government of Guam.

Working knowledge of modern office practices and procedures.

Ability to make work decisions in accordance with laws, rules, and regulations, and to apply departmental policies and procedures to work problems.

Ability to prepare reports and to do statistical research work.

Ability to establish effective working relationships with others.

Ability to express oneself clearly and concisely, orally and in writing.

Skill in the use and care of variety of data and computer machines.

DESIRABLE EXPERIENCE AND TRAINING:

(a) Graduation from high school or possession of a certificate of high school equivalency (G.E.D.), plus ~~four~~ years of progressively responsible experience of which ~~one~~ year must have been in data processing installation and computer systems; or

(b) Any acceptable equivalent combination of experience and training.

APPENDIX C

BUDGET

02 Travel

Off-Island
Travel and per diem for two
round trips to other CEIS
recommended State Department of
Education
@\$1,575 each \$ 3,550

03 Contractual Services

NWREL Information Needs Assessment and Staff Training	8,500
CRT Rental and Installation	2,100
C.P.U. Rental Time	2,000
Printer Lease	15,660
Data Systems Consultant .2FTE	7,000
Software Lease	6,000

04 Supplies and Materials

Purchase of supplemental computer paper, diskettes	<u>1,500</u>
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Total	\$46,310
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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 800.8) 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.

3. *What is meant by "service, 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.

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.

ASSURANCE OF COMPLIANCE WITH THE DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE REGULATION UNDER
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

Guam Department of Education

(Name of Applicant)

(hereinafter called the "Applicant")

HEREBY AGREES THAT it will comply with title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the Department of Health, Education, and Welfare (45 CFR Part 80) issued pursuant to that title, to the end that, in accordance with title VI of that Act and the Regulation, 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 from the Department; and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant by the Department, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the Federal financial assistance is extended to it by the Department.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Applicant by the Department, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Applicant.

Dated

8/15/79

Guam Department of Education

(Applicant)

x Mary Elaine Cadigan
By Mary Elaine Cadigan, Director of Education
(President, Chairman of Board, or comparable
authorized official)

P.O. Box DE

Agana, Guam 96910

(Applicant's mailing address)

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.)

ASSURANCE OF COMPLIANCE WITH TITLE IX OF THE
EDUCATION AMENDMENTS OF 1972 AND THE
REGULATION ISSUED BY THE DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE IN
IMPLEMENTATION THEREOF.

(PLEASE READ EXPLANATION OF HEW FORM 639 A (3/77)* BEFORE COMPLETING
THIS DOCUMENT)

Pursuant to 45 C.F.R. 86.4:

Department of Education (Name of Applicant or recipient)
P.O. Box DE (address)
Agana, Guam 96910 (city, state, zip code)
 (identifying code-FICE, OE, or IRS)

(hereinafter the "Applicant") gives this assurance in consideration of and for purpose of obtaining Federal education grants, loans, contracts (except contracts of insurance or guaranty), property, discounts, or other Federal financial assistance to education programs or activities from the Department of Health, Education, and Welfare (hereinafter the "Department"), including payments or other assistance hereafter received pursuant to applications approved prior to the date of this assurance.

ARTICLE I - TYPE OF INSTITUTION SUBMITTING ASSURANCE.

A. The Applicant is (check the following boxes where applicable):

1. ☒ A state education agency.
2. ☒ A local education agency.
3. ☐ A publicly controlled educational institution or organization.
4. ☐ A privately controlled educational institution or organization.
5. ☐ A person, organization, group or other entity not primarily engaged in education. If this box is checked, insert primary purpose or activity of Applicant in the space provided below:

*HEW Form 639 A (3/77) This form supersedes HEW Form 639 (7/76). HEW Form 639 (7/76) submitted prior to this revision are valid and recipients need not submit a new assurance.

- B. () Claiming a religious exemption under 45 C.F.R. 86.12(b).
(If religious exemption is claimed, attach statement by highest ranking official of Applicant identifying the specific provisions of 45 C.F.R. Part 86 which conflict with a specific religious tenet of the controlling religious organization.)
- C. The Applicant offers one or more of the following programs or activities (check where applicable):
- | | |
|--|--|
| 1. () Pre-school | 6. () Undergraduate (including junior and community colleges) |
| 2. (x) Kindergarten | 7. () Vocational or Technical |
| 3. (x) Elementary or Secondary | 8. () Professional |
| 4. () Graduate | |
| 5. () Other (such as special programs for the handicapped even if provided on the pre-school, elementary or secondary level). If this box is checked, give brief description below: | |

ARTICLE II-PERIOD OF ASSURANCE. This assurance shall obligate the Applicant for the period during which Federal financial assistance is extended to it by the Department.

ARTICLE III-TERMS AND CONDITIONS. The Applicant hereby agrees that it will:

1. Comply, to the extent applicable to it, with Title IX of the Education Amendments of 1972 (P.L. 92-318), as amended, 20 U.S.C. 1681, 1682, 1683, and 1685 (hereinafter, "Title IX"), and all applicable requirements imposed by or pursuant to the Department's regulation issued pursuant to Title IX, 45 C.F.R. Part 86 (hereinafter, "Part 86"), to the end that, in accordance with Title IX and Part 86, no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any education program or activity for which the Applicant receives or benefits from Federal financial assistance from the Department. (This assurance does not apply to sections 904 (proscribing denial of admission to course of study on the basis of blindness) and 906 (amending other laws) of Title IX, 20, U.S.C. 1684 and 1686.)

2. Assure itself that all contractors, subcontractors, subgrantees, or others with whom it arranges to provide services or benefits to its students or employees in connection with its education program or activity are not discriminating on the basis of sex against these students or employees.

3. Make no transfer or other conveyance of title to any real or personal property which was purchased or improved with the aid of Federal financial assistance covered by this assurance, and which is to continue to be used for an education program or activity and where the Federal share of the fair market value of such property has not been refunded or otherwise properly accounted for to the Federal government, without securing from the transferee an assurance of compliance with Title IX and Part 86 satisfactory to the Director and submitting such assurance to the Department.

4. Submit a revised assurance within 30 days after any information contained in this assurance becomes inaccurate.

5. If the Applicant is a state education agency, submit reports in a manner prescribed by the Director under 45 C.F.R. 80.6(b) as to the compliance with Title IX and Part 86 of local education agencies or other education programs or activities within its jurisdiction.

ARTICLE IV-DESIGNATION OF RESPONSIBLE EMPLOYEE AND ADOPTION OF GRIEVANCE PROCEDURES. (Check the appropriate box.)

A. 1. () Pursuant to 45 C.F.R. 86.8, the Applicant has adopted grievance procedures and designated the following employee to coordinate its efforts to comply with Part 86 and has notified all of its students and employees of these grievance procedures and the following name, address and telephone number of the designated employee:

2. Joseph Rhatigan, Employee/Management Relations Officer
(name of employee)
3. P.O. Boc DE Agana, Guam 96910
(office address)
4. 472-8901
(telephone number)

B. 1. () The Applicant is not presently receiving Federal financial assistance subject to Part 86 and, consequently, has not designated a responsible employee or adopted grievance procedures pursuant to 45 C.F.R. 86.8 but will do so immediately upon award of such assistance and will immediately notify the Director, its students and employees of the name, office address, and telephone number of the employee so designated.

ARTICLE V - SELF-EVALUATION. (Check the appropriate box.)

A. () The Applicant has completed a self-evaluation as required by 45 C.F.R. 86.3(c) and has not found it necessary to modify any of its policies and practices or to take any remedial steps to come into compliance with Part 86.

B. () The Applicant has completed a self-evaluation as required by 45 C.F.R. 86.3(c) and has ceased to carry out any policies and practices which do not or may not meet the requirements of Part 86 and is taking any necessary remedial steps to eliminate the effects of any discrimination which resulted or may have resulted from adherence to such policies and practices.

C. () The Applicant has not completed the self-evaluation required by 45 C.F.R. 86.3(c) but expects to have it completed by _____ insert date

D. () The Applicant is not required to conduct a self-evaluation under 45 C.F.R. 86.3 since it did not receive any Federal financial assistance to which Part 86 applies prior to July 21, 1976.

Date:

8/15/79

Department of Education

(Insert name of Applicant)

By

Mary Elaine Cadigan

Mary Elaine Cadigan, Director of Education

(This document must be signed by
an official legally authorized
to contractually bind the Applicant.)

Director of Education

(Insert title of authorized official.)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

PROTECTION OF HUMAN SUBJECTS
ASSURANCE/CERTIFICATION/DECLARATION☒ ORIGINAL ☐ FOLLOWUP ☐ REVISION☒ GRANT ☐ CONTRACT ☐ FELLOW ☐ OTHER☒ NEW ☐ RENEWAL ☐ CONTINUATION
APPLICATION IDENTIFICATION NUMBER (if known)

STATEMENT OF POLICY: Safeguarding the rights and welfare of subjects at risk in activities supported under grants and contracts from DHEW is primarily the responsibility of the institution which receives or is accountable to DHEW for the funds awarded for the support of the activity. In order to provide for the adequate discharge of this institutional responsibility, it is the policy of DHEW that no activity involving human subjects to be supported by DHEW grants or contracts shall be undertaken unless the Institutional Review Board has reviewed and approved such activity, and the institution has submitted to DHEW a certification of such review and approval, in accordance with the requirements of Public Law 93-348, as implemented by Part 46 of Title 45 of the Code of Federal Regulations, as amended, (45 CFR 46). Administration of the DHEW policy and regulation is the responsibility of the Office for Protection from Research Risks, National Institutes of Health, Bethesda, Md 20014.

1. TITLE OF PROPOSAL OR ACTIVITY

Capacity Building for Statistical Activities

2. PRINCIPAL INVESTIGATOR/ACTIVITY DIRECTOR/FELLOW

Dr. Jeff E. Shafer, Data Systems Consultant

3. DECLARATION THAT HUMAN SUBJECTS EITHER WOULD OR WOULD NOT BE INVOLVED

☒ A. NO INDIVIDUALS WHO MIGHT BE CONSIDERED HUMAN SUBJECTS, INCLUDING THOSE FROM WHOM ORGANS, TISSUES, FLUIDS, OR OTHER MATERIALS WOULD BE DERIVED, OR WHO COULD BE IDENTIFIED BY PERSONAL DATA, WOULD BE INVOLVED IN THE PROPOSED ACTIVITY. (IF NO HUMAN SUBJECTS WOULD BE INVOLVED, CHECK THIS BOX AND PROCEED TO ITEM 7. PROPOSALS DETERMINED BY THE AGENCY TO INVOLVE HUMAN SUBJECTS WILL BE RETURNED.)

☐ B. HUMAN SUBJECTS WOULD BE INVOLVED IN THE PROPOSED ACTIVITY AS EITHER: ☐ NONE OF THE FOLLOWING, OR INCLUDING: ☐ MINORS, ☐ FETUSES, ☐ ABORTUSES, ☐ PREGNANT WOMEN, ☐ PRISONERS, ☐ MENTALLY RETARDED, ☐ MENTALLY DISABLED. UNDER SECTION 6. COOPERATING INSTITUTIONS, ON REVERSE OF THIS FORM, GIVE NAME OF INSTITUTION AND NAME AND ADDRESS OF OFFICIAL(S) AUTHORIZING ACCESS TO ANY SUBJECTS IN FACILITIES NOT UNDER DIRECT CONTROL OF THE APPLICANT OR OFFERING INSTITUTION.

4. DECLARATION OF ASSURANCE STATUS/CERTIFICATION OF REVIEW

☐ A. THIS INSTITUTION HAS NOT PREVIOUSLY FILED AN ASSURANCE AND ASSURANCE IMPLEMENTING PROCEDURES FOR THE PROTECTION OF HUMAN SUBJECTS WITH THE DHEW THAT APPLIES TO THIS APPLICATION OR ACTIVITY. ASSURANCE IS HEREBY GIVEN THAT THIS INSTITUTION WILL COMPLY WITH REQUIREMENTS OF DHEW Regulation 45 CFR 46, THAT IT HAS ESTABLISHED AN INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS AND, WHEN REQUESTED, WILL SUBMIT TO DHEW DOCUMENTATION AND CERTIFICATION OF SUCH REVIEWS AND PROCEDURES AS MAY BE REQUIRED FOR IMPLEMENTATION OF THIS ASSURANCE FOR THE PROPOSED PROJECT OR ACTIVITY.

☐ B. THIS INSTITUTION HAS AN APPROVED GENERAL ASSURANCE (DHEW ASSURANCE NUMBER _____) OR AN ACTIVE SPECIAL ASSURANCE FOR THIS ONGOING ACTIVITY, ON FILE WITH DHEW. THE SIGNER CERTIFIES THAT ALL ACTIVITIES IN THIS APPLICATION PROPOSING TO INVOLVE HUMAN SUBJECTS HAVE BEEN REVIEWED AND APPROVED BY THIS INSTITUTION'S INSTITUTIONAL REVIEW BOARD IN A CONVENED MEETING ON THE DATE OF _____ IN ACCORDANCE WITH THE REQUIREMENTS OF THE Code of Federal Regulations on Protection of Human Subjects (45 CFR 46). THIS CERTIFICATION INCLUDES, WHEN APPLICABLE, REQUIREMENTS FOR CERTIFYING FDA STATUS FOR EACH INVESTIGATIONAL NEW DRUG TO BE USED (SEE REVERSE SIDE OF THIS FORM).

THE INSTITUTIONAL REVIEW BOARD HAS DETERMINED, AND THE INSTITUTIONAL OFFICIAL SIGNING BELOW CONCURS THAT:

EITHER ☐ HUMAN SUBJECTS WILL NOT BE AT RISK; OR ☐ HUMAN SUBJECTS WILL BE AT RISK.

5. AND 6. SEE REVERSE SIDE

7. NAME AND ADDRESS OF INSTITUTION

Guam Department of Education, P.O. Box DE Agana, Guam 96910

8. TITLE OF INSTITUTIONAL OFFICIAL

Director of Education

TELEPHONE NUMBER.

472-8904

SIGNATURE OF INSTITUTIONAL OFFICIAL

DATE

MARY ELAINE CADIGAN

8/15/79

HEW-586 (REV. 4-75)

ENCLOSE THIS FORM WITH THE PROPOSAL OR RETURN IT TO REQUESTING AGENCY.

5. INVESTIGATIONAL NEW DRUGS - ADDITIONAL CERTIFICATION REQUIREMENT

SECTION 46.17 OF TITLE 45 OF THE Code of Federal Regulations states, "Where an organization is required to prepare or to submit a certification . . . and the proposal involves an investigational new drug within the meaning of The Food, Drug, and Cosmetic Act, the drug shall be identified in the certification together with a statement that the 30-day delay required by 21 CFR 310.3(a)(2) has elapsed and the Food and Drug Administration has not, prior to expiration of such 30-day interval, requested that the sponsor continue to withhold or to restrict use of the drug in human subjects, or that the Food and Drug Administration has waived the 30-day delay requirement; provided, however, that in those cases in which the 30-day delay interval has neither expired nor been waived, a statement shall be forwarded to DHEW upon such expiration or upon receipt of a waiver. No certification shall be considered acceptable until such statement has been received."

INVESTIGATIONAL NEW DRUG CERTIFICATION

TO CERTIFY COMPLIANCE WITH FDA REQUIREMENTS FOR PROPOSED USE OF INVESTIGATIONAL NEW DRUGS IN ADDITION TO CERTIFICATION OF INSTITUTIONAL REVIEW BOARD APPROVAL, THE FOLLOWING REPORT FORMAT SHOULD BE USED FOR EACH IND: (ATTACH ADDITIONAL IND CERTIFICATIONS AS NECESSARY).

- IND FORMS FILED: ☐ FDA 1571, ☐ FDA 1572, ☐ FDA 1573

- NAME OF IND AND SPONSOR _____

- DATE OF 30-DAY EXPIRATION OR FDA WAIVER _____
(IF FUTURE DATE REQUIRES FOLLOWUP REPORT TO AGENCY) _____

- FDA RESTRICTION _____

- SIGNATURE OF INVESTIGATOR _____ DATE _____

6. COOPERATING INSTITUTIONS - ADDITIONAL REPORTING REQUIREMENT

SECTION 46.16 OF TITLE 45 OF THE Code of Federal Regulations IMPOSES SPECIAL REQUIREMENTS ON THE CONDUCT OF STUDIES OR ACTIVITIES IN WHICH THE GRANTEE OR PRIME CONTRACTOR OBTAINS ACCESS TO ALL OR SOME OF THE SUBJECTS THROUGH COOPERATING INSTITUTIONS NOT UNDER ITS CONTROL. IN ORDER THAT THE DHEW BE FULLY INFORMED, THE FOLLOWING REPORT IS REQUESTED WHEN APPLICABLE.

USE FOLLOWING REPORT FORMAT FOR EACH INSTITUTION OTHER THAN GRANTEE OR CONTRACTING INSTITUTION WITH RESPONSIBILITY FOR HUMAN SUBJECTS PARTICIPATING IN THIS ACTIVITY: (ATTACH ADDITIONAL REPORT SHEETS AS NECESSARY).

INSTITUTIONAL AUTHORIZATION FOR ACCESS TO SUBJECTS

- SUBJECTS: STATUS (WARDS, RESIDENTS, EMPLOYEES, PATIENTS, ETC.) _____

NUMBER _____ AGE RANGE _____

NAME OF OFFICIAL (PLEASE PRINT) _____

TITLE _____ TELEPHONE _____

NAME AND ADDRESS OF COOPERATING INSTITUTION _____

- OFFICIAL SIGNATURE _____

NOTES: (e.g., report of modification in proposal as submitted to agency affecting human subjects involvement)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
ASSURANCE OF COMPLIANCE WITH SECTION 504 OF THE
REHABILITATION ACT OF 1973, AS AMENDED

The undersigned (hereinafter called the "recipient") HEREBY AGREES THAT it will comply with section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), all requirements imposed by the applicable HEW regulation (45 C.F.R. Part 84), and all guidelines and interpretations issued pursuant thereto.

Pursuant to § 84.5(a) of the regulation [45 C.F.R. 84.5(a)], the recipient gives this Assurance in consideration of and for the purpose of obtaining any and all federal grants, loans, contracts (except procurement contracts and contracts of insurance or guaranty), property, discounts, or other federal financial assistance extended by the Department of Health, Education, and Welfare after the date of this Assurance, including payments or other assistance made after such date on applications for federal financial assistance that were approved before such date. The recipient recognizes and agrees that such federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance and that the United States will have the right to enforce this Assurance through lawful means. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

This Assurance obligates the recipient for the period during which federal financial assistance is extended to it by the Department of Health, Education, and Welfare or, where the assistance is in the form of real or personal property, for the period provided for in § 84.5(b) of the regulation [45 C.F.R. 84.5(b)].

The recipient: [Check (a) or (b)]

a. ☐ employs fewer than fifteen persons;
A73

b. ☐ employs fifteen or more persons and, pursuant to § 84.7(a) of the regulation [45 C.F.R. 84.7(a)], has
A74 designated the following person(s) to coordinate its efforts to comply with the HEW regulation:

Department of Education		Department of Education	
Name of Designee(s) - Type or Print		P.O. Box DE	
C12		C42	
Department of Education		P.O. Box DE	
Name of Recipient - Type or Print		Street Address or P. O. Box	
A12	A41	A42	A71
(IRS) Employer Identification Number		Agana	
A1	A11	City	B41
B1	B11	B12	B41
C1	C11	Guam	96910
		State	Zip
		B42	B71

I certify that the above information is complete and correct to the best of my knowledge.

8/15/79
Date
B72 B77

x *Mary Elaine Cadigan*
Mary Elaine Cadigan, Director of Education
Signature and Title of Authorized Official
B78

If there has been a change in name or ownership within the last year, please PRINT the former name below:

NOTE: The 'A', 'B', and 'C' followed by numbers are for computer use. Please disregard.
PLEASE RETURN ORIGINAL TO: Office for Civil Rights, HEW, P. O. Box 8222, Washington, D.C. 20024.

**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 synopsisized 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.