Have you ever really focused on the words United States? The United States is a union of States, the several States joined together, the States united.

The Constitution created and is intended to preserve that union. To that end, the Constitution (1) requires the National Government to guarantee certain things to the States and (2) makes it possible for the National Government to do certain things for the States.

### The Nation’s Obligations to the States

The Constitution places several obligations on the National Government for the benefit of the States. Most of them are found in Article IV.

#### Republican Form of Government

The Constitution requires the National Government to “guarantee to every State in this Union a Republican Form of Government.”

The Constitution does not define “Republican Form of Government,” and the Supreme Court has regularly refused to do so. The term is generally understood to mean a “representative government.”

The Supreme Court has held that the question of whether a State has a republican form of government is a political question. That is, it is one to be decided by the political branches of the government—the President and Congress—and not by the courts.

### Political Dictionary

- enabling act
- act of admission
- grants-in-aid program
- revenue sharing
- categorical grant
- block grant
- project grant

#### After the Civil War, the “Republican Form of Government” figured prominently as laws were broadened to help recognize African American voting rights.

### Block Scheduling Strategies

Consider these suggestions to manage extended class time:

- Discuss the nation’s obligations to the States with the class. For each obligation, have students decide whether they find the obligation to be a necessity for maintaining a federalist government. List obligations on the chalkboard, and ask volunteers for historical examples. Lead a discussion on whether each obligation increases or decreases the power of the Federal Government.

- Point out that one of the main aspects of cooperative federalism is that the Federal Government gives money to the States in the form of grants. Have students create graphic organizers comparing characteristics of federal grants. Then ask them to consider how categorical grants can be used by the Federal Government to support an agenda, and to write a paragraph evaluating how this practice can affect the division of powers in a federal system of government.
**Reading Strategy**

**Drawing Inferences**
Tell students that the relationship between the National Government and the States involves cooperation. Have them find evidence, as they read, to support that statement.

**Background Note**

**Political Talk**
The way that ordinary Americans have used the term United States shows how popular attitudes toward the concept of federalism have changed over time. From the birth of the nation until the Civil War, for example, people generally used the name as a plural noun—saying “The United States are . . .” This usage emphasized the individuality of the States at a time when people thought of themselves primarily as citizens of their particular State. Since then, people have referred to the nation in the singular—saying “The United States is . . .”—a usage stressing the singularity of the Union rather than the separateness of the States.

**Point-of-Use Resources**

**Guided Reading and Review** Unit 1 booklet, p. 29 provides students with practice identifying the main ideas and key terms of this section.

**Lesson Planner** For complete lesson planning suggestions, see the Lesson Planner booklet, section 2.

**Political Cartoons** See p. 16 of the Political Cartoons booklet for a cartoon relevant to this section.

**Answer to . . .**

**Interpreting Tables** The community appeals to local government; if it cannot respond, it appeals to first State and then federal organizations. This process demonstrates that while States have particular responsibilities, if they cannot meet them the National Government has the responsibility to help.

**Organizing Information**

To make sure students understand the main points of this section, you may wish to use the double web graphic organizer to the right.

Tell students that a double web compares and contrasts information. Ask students to use the double web to outline the roles of the National Government and those of the State governments, and to show how these governments affect each other.

**Teaching Tip** A template for this graphic organizer can be found in the Section Support Transparencies, Transparency 2.
in the city. In 1968, again at the request of the governors involved, federal troops were sent into Chicago and Baltimore to help put down the violence that erupted following the assassination of Martin Luther King, Jr.

Normally, a President has sent troops into a State only in answer to a request from its governor or legislature. If national laws are being broken, national functions interfered with, or national property endangered, however, a President does not need to wait for such a plea. The ravages of nature—storms, floods, drought, forest fires, and such—can be more destructive than human violence. Here, too, acting to protect the States against “domestic Violence,” the Federal Government stands ready to aid stricken areas.

Respect for Territorial Integrity

The National Government is constitutionally bound to respect the territorial integrity of each of the States. That is, the National Government must recognize the legal existence and the physical boundaries of each State.

The basic scheme of the Constitution imposes this obligation. Several of its provisions do so, as well. For example, Congress must include, in both of its houses, members chosen in each one of the States. Recall, too, that Article V of the Constitution declares that no State can be deprived of its equal representation in the United States Senate without its own consent.

Admitting New States

Only Congress has the power to admit new States to the Union. As part of the National Government’s guarantee of respect for each State’s territorial integrity, the Constitution places only one restriction on that power. A new State cannot be created by taking territory from one or more of the existing States without the consent of the legislature(s) of the State(s) involved.

Congress has admitted 37 States since the original 13 formed the Union, as the map on the next page shows. Five States (Vermont, Kentucky, Tennessee, Maine, and West Virginia) were created from parts of already existing States. Texas was an independent republic before admission. California was admitted shortly after being ceded to the United States by Mexico. Each of the other 30 States entered the Union only after a longer period of time, frequently more than 15 years, as an organized territory.

Admission Procedure

The process of admission to the Union is usually fairly simple. The area desiring Statehood first asks Congress for admission. If and when Congress chooses, it passes an enabling act, an act directing the people of the territory to frame a proposed State constitution. A convention prepares the constitution, which is then put to a popular vote in the proposed State. If the voters approve, the Constitution is submitted to the legislatures of the existing States for approval or rejection.

Preparation for Standardized Tests

Have students read the passages under “Admitting New States” on this and the following page and then answer the question below.

What would be the final obstacle to an area achieving Statehood?

A. the failure of the President to sign an act of admission
B. not receiving an enabling act from Congress
C. not meeting certain requirements set by Congress
D. opposition by the American people

Interpreting Political Cartoons

Whether or not Puerto Rico should become the 51st State has been the subject of continuing debate. What does the cartoon suggest about the issue?

A. Congress has admitted 37 States since the original 13 formed the Union in 1789.
B. Puerto Rico is a territory of the United States.
C. Puerto Rico should become a State.
D. Puerto Rico is not a State.

Answer to . . .

Possible answer: It suggests that Puerto Rico should not be a State, as there is no room on the flag for another star.
**Activity**

**Extended Class Periods**

**Time** 90 minutes.

**Purpose** Debate the issue of federal grants-in-aid.

**Grouping** Teams of four students.

**Activity** Have half of the teams list arguments supporting federal grants-in-aid and the other half list arguments opposing them. Encourage groups to use information obtained from local education, health, transportation, law enforcement, and other agencies receiving these grants to support their arguments.

**Roles** Team leader, recorder, researcher, spokesperson.

**Close** Ask for two teams to volunteer to debate the issue for the class. Have the class evaluate the arguments of each team and vote on the “winner.” (If time permits, allow additional teams to participate in a debate.)

![Block Strategy](Average)

**Point-of-Use Resources**

- **Government Assessment Rubrics**
  - Class Discussion, p. 26

- **Block Scheduling with Lesson Strategies** Additional activities for Chapter 4 can be found on p. 21.

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**Territorial Expansion of the United States**

**KEY**
- Original Thirteen States
- The United States, 1783
- Louisiana Purchase, 1803
- Ceded by Britain, 1818
- Ceded by Spain, 1819
- Adjusted by Webster-Ashburton Treaty, 1842
- Texas Annexed, 1845
- Oregon Territory, 1846
- Ceded by Mexico, 1848
- Gadsden Purchase, 1853
- Purchased From Russia, 1867
- Hawaii Annexed, 1898
- Territories

**SOURCE:** Historical Statistics, Vol. 2

**Interpreting Maps** Thirty-seven States have joined the original 13. When did your State join the Union? How much of the nation’s present area did the United States cover at that time?

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**Answer to . . .**

**Interpreting Maps** Answers will vary, but should accurately reflect data about the student’s State.
response to Taft’s concern, Arizona removed the recall section from the document. In 1912 Congress passed, and the President signed, another act of admission for Arizona. Almost immediately after admission, however, the new State amended its new constitution to provide for the recall of judges. That provision remains a valid part of Arizona’s constitution today.

Cooperative Federalism
Remember, federalism produces a dual system of government, one in which two basic levels operate over the same people and the same territory at the same time. As a result of this complex arrangement, competition, tensions, and conflict are a regular and ongoing part of American federalism. In short, the American governmental system is much like a tug-of-war, a continuing power struggle between the National Government and the several States.

The American federal system also involves a broad area of shared powers. That is, in addition to the two separate spheres of power held and exercised by the two basic levels of government, there are large and growing areas of cooperation between them. These areas include the funds that the Federal Government grants to the States as well as the various services that the States perform for the Federal Government.

Federal Grants-in-Aid
Perhaps the best-known examples of this intergovernmental cooperation are the many federal grants-in-aid programs—grants of federal money or other resources to the States and/or their cities, counties, and other local units. Many of these governments are regularly strapped for funds; these grants often help them perform a large share of their everyday functions.

The history of grants-in-aid programs goes back more than 200 years, to the period before the Constitution. In the Northwest Ordinance of 1787, the Congress under the Articles of Confederation provided for the government of the territory beyond the Ohio River. Looking forward to the existence of new States on that frontier, the Congress set aside sections of land for the support of public education in those future States. On through the nineteenth century, States received grants of federal lands for a number of purposes: schools and colleges, roads and canals, flood control work, and several others. A large number of the major State universities, for example, were founded as land-grant colleges. These schools were built with money obtained from the sale of public lands given to the States by the Morrill Act of 1862.

Congress began to make grants of federal money quite early, too. In 1808, it gave the States $200,000 to support the militia. Cash grants did not come to play a large role, however, until the Depression years of the 1930s. Many of the New Deal programs aimed at bringing the nation out of its economic crisis were built around grants of money.

Since then, Congress has set up hundreds of grants-in-aid programs. In fact, more than 500 are now in operation. Dozens of programs function in a variety of areas: in education, mass transit, highway construction, health care, on-the-job training, and many others.

Students Make a Difference

“Everyone is talking about the rebirth of Detroit,” says Jaimee Callupe in a piece she wrote for the Detroit Free Press. She belongs to an organization that is helping to make positive changes in the city. Through City Year Detroit, Jaimee has “joined 50 other young people in the effort to improve our city.”

Although City Year is part of federally supported AmeriCorps, City Year programs focus on local needs. Jaimee has been spending her year of community service teaching and running an after-school program as well as working in gardens and demolishing abandoned buildings. She is happy to be part of her city’s progress. Jaimee concludes her article by inviting others to contribute: “If you’re 17–24 and have time and inclination to make your community better, … join us—you are very welcome.”

Federal funding 58.5%  
State and local funding 41.5%

Careers in Government—Grant Writer
The Federal Government grants more than $330 billion each year to State and local governments. Usually, federal officials base their decisions on grant proposals submitted by State and local governments. Grant writers are the people who review the requirements of grant programs, gather information, and prepare written proposals—which can run to hundreds of pages—that make the case for their State or locality being awarded the funds. With so much money at stake, a good grant writer is worth his or her weight in gold.

Skills Activity Direct pairs of students to write mock grant proposals for funding a specific school program. Then have individual students write paragraphs explaining why they would or would not be interested in a career as a grant writer. (Average)
Customize for...

**English Language Learners**
Organize students into small groups. Have each student create a visual of an example of one of the types of grants—categorical, block, or project. Have each group exchange their visuals with those of another group, then work together to determine which type of grant each visual represents.

**Less Proficient Readers**
Divide the class into three groups. Assign each group one of the three types of grants described in the section, *categorical grants, block grants,* and *project grants.* Have students create a political cartoon of the grant they have been assigned that illustrates the way money is allocated and spent in each case. Encourage students to share their drawings with the class.

**Point-of-Use Resources**
- The Living Constitution
  - Federalism, p. 8
- Close Up on Primary Sources
  - The Northwest Ordinance (1787), p. 68
- Basic Principles of the Constitution
  - Transparencies 44-50, *Federalism*

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Grants-in-aid are based on the National Government’s taxing power. The Constitution gives Congress that power in order

> “to pay the Debts and provide for the common Defense and general Welfare of the United States. . . .”

—Article I, Section 8, Clause 1

Today, these grants total some $275 billion, and account for about 25 percent of all State and local government spending each year.

In effect, grants-in-aid blur the division of powers line in the federal system. They make it possible for the Federal Government to operate in many policy areas in which it would otherwise have no constitutional authority—for example, in such fields as education, low-income housing, local law enforcement, and mental health.

Critics of grants-in-aid have long made this point. They also argue that the grants often give Washington a major—and they say an unwarranted—voice in making public policy at the State and local levels.

**Revenue Sharing**
A quite different form of federal monetary aid, known as revenue sharing, was in place from 1972 to 1987. Under this program, Congress gave an annual share of the huge federal tax revenue to the States and their cities, counties, and townships. Altogether, those “shared revenues” amounted to more than $83 billion over the years the program was in force.

Virtually no strings were attached to this money. In fact, Congress placed only one major restriction on the use of the funds. The money could not be spent for any program in which discrimination on the basis of race, sex, national origin, age, religious belief, or physical disability was evident. Otherwise, the “shared revenues” could be used very largely as the States and their local units chose to spend them.

Needless to say, revenue sharing was quite popular with and strongly supported by many governors, mayors, and other State and local officials. It was opposed by the Reagan Administration, however, and fell victim to the financial needs of the deficit-ridden National Government. Various efforts to revive revenue sharing among today’s cash-strapped State and local governments have not won significant support in Congress, at least to this point in time.

**Types of Federal Grants**
Today, Congress appropriates money for three types of grants-in-aid. These include categorical grants, block grants, and project grants.

Over time, most grants have been categorical.

**Categorical grants** are made for some specific, closely defined purpose: for school lunches or for the construction of airports or wastewater treatment plants, for example. Categorical grants are usually made with conditions attached. These “strings” require the State to (1) use the federal monies only for the specific purpose involved, (2) make its own monetary contribution, often a matching amount but sometimes much less, (3) provide an agency to administer the grant,
and (4) obey a set of guidelines tailored to the particular purpose for which the monies are given.

Block grants have come into wide use over the last several years. They are made for much more broadly defined purposes than are categorical grants, such as health care, social services, or welfare. They are also made with fewer strings attached, so State and local governments have much greater freedom in deciding just how and on what to spend block grant dollars. Beginning in the Reagan years, from the 1980s on, many programs once supported by separate and fragmented categorical grants have been merged into broader block grants.

Congress also provides money for project grants. These are grants made to States, localities, and sometimes private agencies that apply for them. The Department of Health and Human Services makes many project grants—through its National Institutes of Health, for example, to support scientists engaged in research on cancer, diabetes, neurological disease, and other medical issues. Many State and local governments also apply for these grants to fund their job training and employment programs.

Other Forms of Federal Aid
The National Government aids the States in several other important ways. For example, the FBI gives extensive help to State and local police.

The army and the air force equip and train each State’s National Guard units. The Census Bureau’s data are essential to State and local school, housing, and transportation officials as they plan for the future.

Many other forms of aid are not nearly as visible. “Lulu payments,” for example, are federal monies that go to local governments in those areas in which there are large federal landholdings. These direct payments are made in lieu of—to take the place of—the property taxes that those local governments cannot collect from the National Government.

State Aid to the National Government
Intergovernmental cooperation is a two-way street. That is, the States and their local units of government also aid the National Government in many ways.

Thus, State and local election officials conduct national elections in each State. These elections are financed with State and local funds, and they are regulated largely by State laws. The legal process by which aliens can become citizens, called naturalization, takes place most often in State, not federal, courts. Those who commit federal crimes and are sought by the FBI and other federal law enforcement agencies are often picked up by State and local police officers and then held in local jails. And the examples go on and on.

Key Terms and Main Ideas
1. What are three obligations that the Constitution places on the National Government for the admission of a territory to propose a State constitution; an act of admission is the enabling act.
2. Explain the difference between an enabling act and an act of admission.
3. (a) What is a block grant? (b) How do block grants reflect cooperative federalism?
4. In what ways do the States aid the National Government?
5. Recognizing Ideologies If the Framers had been alive, how do you think they might have reacted when, only a few years ago, several States had to raise the legal drinking age to avoid losing a substantial portion of their federal grants for highway construction? Explain your answer.
6. Making Comparisons Suppose your State is to receive increased federal funding for a program to provide day care for some working parents. Is this funding likely to come as a categorical grant, a block grant, or a project grant? Why?
7. Expressing Problems Clearly In what type of situation would your State be most likely to need federal protection against “domestic violence”? Explain your answer.

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Answers to . . .
Section 2 Assessment
1. Obligations include a guarantee that each State will have a republican, or representative, form of government, protection against invasion or natural disaster, and respect for the territorial integrity of each State.
2. An enabling act is an act by Congress that directs the people of a territory to propose a State constitution; an act of admission is the congressional act which actually creates the new State.
3. (a) A grant that can be used for broad purposes by State and local governments, with few conditions attached. (b) They function at the State level but are funded by the National Government.
4. They regulate national elections, oversee naturalization procedures, and help capture federal criminal suspects.
5. Possible answer: They would disapprove, because the grant gives the Federal Government power within States.
6. Possible answer: Categorical grant, because providing daycare to poor working parents is a type of narrow purpose that is usually covered by categorical grants.
7. Possible answer: States are most likely to seek federal protection against domestic violence in cases of natural disaster.