

*Impact of a Department of Education on  
Federal Science and Technology Activities*

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**Impact of a  
Department of Education  
on Federal Science &  
Technology Activities**

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# FOREWORD

One of the Office of Technology Assessment's (OTA) primary functions is to anticipate and advise Congress on the potential long-range impacts of technologies, and as a corollary, to anticipate and advise Congress of the long-range impacts on technology of proposed actions. In the latter sense, the proposals to create a Department of Education, which Congress is currently considering, could have significant effects on graduate science and engineering training in this Nation. Therefore, this report examines a range of congressional options available for ensuring that the integrity of the educational process for professional scientists and engineers is maintained in order to preserve this important national resource.

This report reviews how three key elements in the science education process will fare under a new department. These are: the programs of the National Science Foundation's Science Education Directorate; general support programs for graduate science and engineering training across the country; and educational analysis and research which should be the responsibility of an appropriate Federal agency. Key criteria to be utilized in these evaluations are presented for the use of congressional committees. Specific options with regard to higher education in science and engineering and with regard to those educational research and development functions—important for inclusion in the new department—are also presented.

Given the important and far-reaching consequences which could ensue if higher education in science and engineering in this country is not carefully nurtured, OTA is pleased to make this assessment available to the Congress during its deliberations on the proposed Department of Education. .



RUSSELL W. PETERSON  
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Chapter I

# Congressional Summary

## Congressional Summary

On July 18, 1978 the Senate Governmental Affairs Committee marked up a bill to create a new Cabinet-level institution—the Department of Education. This is the first step in a potentially extended congressional process which may lead to formation of a major new governmental entity. To assist Congress in its deliberations on certain aspects of this action, the Office of Technology Assessment (OTA) has examined the potential long-term impacts, both positive and negative, of such a department on three science and technology-related areas:

- Science education programs currently housed in the National Science Foundation (NSF), but slated for transfer in the proposals for the new department;
- Graduate science and engineering education training across the country; and

- Educational analysis and research activities which should be the responsibility of an appropriate Federal agency.

Members of the community most concerned with science and technology issues, including a significant percentage of Congress, will want assurances prior to approval of a new department that the functions mentioned above will not be adversely impacted.

This report assesses potential impacts in each of these areas; suggests appropriate criteria which Congress may utilize to examine the science and technology-related aspects of the proposed department; and spells out the possible congressional options for dealing with science and technology educational issues if such a department is finally approved.

### NSF SCIENCE EDUCATION DIRECTORATE PROGRAMS

Probably the key element in the debate about the new department, vis-a-vis science and engineering, is whether the NSF Science Education Directorate programs proposed for transfer will suffer or be enhanced by such a transfer. The importance of this question cannot be measured simply by the seemingly small amount of dollar resources allocated to these efforts in the 1979 budget for NSF. By these standards, the programs might seem to be insignificant, but it has been estimated that the potential impact of these efforts is greatly magnified when the worldwide replication of such science curricula and other science education leadership programs is taken into account. For example, over 70 developed and underdeveloped countries utilize NSF science curricula currently. Thus, NSF science education programs affect not only the quality of the future U.S. supply of trained scientists and engineers, but also the worldwide supply of such human resources, which are so necessary for fur-

ther development and advancement of all societies. Because of this important multiplicative factor, much of the Congress' concern and hence OTA'S, centers on the possible impact of the proposed department on NSF Science Education Directorate programs. The bulk of this report discusses congressional options for dealing with these science education activities in a manner that will be consistent with a plan to create a Department of Education.

The administration proposal and the Senate bill have both suggested that most of NSF's science education programs be moved to the new department—\$56.18 million of the \$77.6 million requested in NSF's budget for FY 79. The scientific education community has not supported this move—viewing it as of doubtful benefit to the goals of maintaining high scientific standards, involving the support of the scientific community, and having high visibility which is easier to main-

tain in a small agency. OTA suggests that the Congress may wish to consider the following options with regard to these types of programs:

### Option 1

#### **Leave the NSF Science Education Directorate intact.**

If creating a Department of Education that encompasses the entire spectrum of educational programs is of utmost importance, then clearly the motivation for including programs in science education at the postsecondary level would be great. However, the challenge will be to coordinate the new department in such a way as to ensure a comprehensive and integrated educational system in the United States. Previous attempts to accomplish this goal via the HEW programs in education were not successful. The difficulties of HEW in this regard should be examined carefully.

### Option 2

#### **Allow the new department to begin operations without the NSF Science Education Directorate programs. Move appropriate NSF activities after careful evaluation of their potential for successful operation in the new departmental setting.**

The National Foundation on the Arts and Humanities (NFA&H) was originally planned for inclusion in the new department. Because the agency is self-sufficient and successful, it has been proposed that it not be transferred until after the proposed Education Department is operating and can specify a definite need for NFA&H functions. The same reasoning could be applied to NSF.

### , Option 3

#### **Move selected parts of the NSF Science Education Directorate on an individually assessed basis as soon as a department is formulated.**

This option corresponds with the current thinking of the administration and the Senate bill. Following is a description of the Directorate's programs and the pros and cons of transfer. There are five specific programs:

1. **Advanced Scientific Training, Minorities, Women, and the Handicapped** in Science. This program constitutes 25 percent of the Directorate's budget. It has been argued that because this program is directed at aspiring scientific professionals it belongs in NSF. Current proposals have not suggested transfer of this activity.
2. **Science and Society.** This program has several components aimed at increasing the public's understanding of science. These efforts are inserted into both the formal educational system and informal educational processes, via television. The administration and Senate bill have recommended that part of the program be transferred and part remain at NSF. NSF is very much opposed to splitting the program components because such a split may inhibit the goals upon which the entire effort was initially based.
3. **Science Education Research and Development.** This R&D function is aimed at understanding the learning process. This logically serves the objectives of the new department and could increase the speed with which new information would be disseminated within the educational process. The National Institute of Education would be enhanced by the transfer.
4. Support for College and Secondary **School Students.** As a faculty improvement program this is considered a strong candidate for transfer since it is aimed at professional training and enrichment. However, NSF fears that some of its current support from university faculty members would be lost with transfer. The issue must be decided based on the relative importance of the establishment of the department versus the maintenance of successfully operating programs.
5. **Institutional Support to Upgrade Undergraduate Science Teaching.** The five areas included in this program are: a) assistance to undergraduate science education; b) minority institutions; c) science improvement; d) undergraduate instructional improvement; and e) resource centers for science and engineering. Because these are all aimed at institutional support it is likely

that transfer to the new department would strengthen the higher education division.

#### Option 4

##### **Move the entire Directorate to the Department of Education.**

Although this alternative was initially considered it has been abandoned because several of the programs (as discussed above) do not substantively apply to education. Any reorganization should be designed to maximize benefits of current and potential work; the dismantling of currently effective programs, not integrally related to education, would be the eventual result if the entire Science Education Directorate were transferred.

#### CRITERIA FOR CONGRESSIONAL EVALUATION

The wisdom of transferring some or all of the NSF Science Education Directorate programs to

the new department can be evaluated by utilizing the following five criteria:

- Ž How important is building up the new department versus maintaining successfully operating programs?
- How will the goal of the program be affected by being housed in the new department?
- What is the present quality and effectiveness of the programs versus their potential increased or decreased performance in a new setting?
- What are the political and administrative considerations involved with transfer and subsequent smoothness of operation?
- How important is the continued involvement of the scientific community, which is more likely if the functions remain in NSF?

### GRADUATE SCIENCE AND ENGINEERING TRAINING

Should most or all the NSF Science Education Directorate programs be transferred, the status of postsecondary education in the new department will be of prime importance. If the policy of the department indicates an orientation mainly toward elementary and secondary education, it is possible that graduate training in the sciences and engineering will suffer adversely. Since much of the Nation's economic and social development depends on technological advances provided by trained scientists and engineers, this issue would be of importance and concern to Congress. Congress has two options for ensuring that the proposed Department of Education places appropriate emphasis on graduate training:

#### Option 1

**Make it an explicit part of the department's mission to support and improve graduate training in all areas, including science and engineering.**

#### Option 2

**Create a high-level post in the new department responsible for this function, such as an Assistant Secretary for Graduate Education.**

### EDUCATIONAL ANALYSIS AND RESEARCH

To ensure that the new department has sufficient programs for studying the educational proc-

ess itself, the following elements should be included:

- educational statistics
- research on education
- administrative research

Since the Department of Health, Education, and Welfare already has programs underway addressing the first two of these areas—the National Center for Educational Statistics and the the National Institute of Education—the Congress need only assure their transfer to the new department in order to have adequate coverage.

To address administrative research needs the Congress could consider the following option:

**Establish in the new department an administrative and research function that reports directly to an Assistant Secretary for Administrative and Management Policy.**

Chapter II

Science and Technology Activities  
of the Federal Government  
in Relation to a New  
Department of Education

**Prepared by Charles V. Kidd**, Professor of Public Policy  
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# Science and Technology Activities of the Federal Government in Relation to a New Department of Education

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## INTRODUCTION

What would be the effects of a new Department of Education on the science education and research, and educational R&D functions of the Federal Government? The answer to this question obviously depends upon the functions, activities, and organization of the new department. The proposal now being most seriously considered would establish a relatively narrowly defined agency by putting the existing Education Division of the Department of Health, Education, and Welfare (HEW), plus some other education activities of HEW, and some education functions from other agencies (of which the most significant would be transfer of the Science Education Directorate of the National Science Foundation (NSF)) into a new Department of Education. This proposal, embodied in the Pen bill (S. 991, see the appendix, and H.R. 9618 identical) and endorsed with some minor reservations by the administration is analyzed in this paper.

## A DEPARTMENT OF EDUCATION AND THE SCIENCE EDUCATION DIRECTORATE OF THE NATIONAL SCIENCE FOUNDATION

When attention is centered on the effect of establishing a Department of Education on the R&D functions of Government (including graduate training in the sciences), the most important single consideration by far is whether the Science Education Directorate of NSF should be transferred in whole, in part, or not at all to the proposed department.

### BACKGROUND

#### The Written Record

The case for transfer first appeared in one paragraph of a significant report by Rufus Miles,

Jr., *A Cabinet Department of Education* (American Council on Education, 1977, page 90):

The Education Directorate of the National Science Foundation is that part of the Foundation which is most directly related to the pedagogical functions of educational institutions, as distinguished from their research functions. It is concerned with fostering needed innovations in curriculum materials, techniques for the teaching of science, and the use of technological advances for instruction, as well as with the general improvement in the quality of scientific and technical manpower. It constitutes less than ten percent of the total program of the National Science Foundation, most of which is, of course, devoted

to research. It is now time to transfer this small component to the new Department of Education, if one is established. It is unlikely that this transfer would meet with strong opposition from any influential source. 1

The Science Education Directorate is, as Miles notes, more directly related to the pedagogical functions of educational institutions than to their research functions, and the functions of the division are adequately stated. The budget for the division is, as Miles points out, less than 10 percent of the total NSF budget. However, these considerations hardly constitute a full and satisfactory base for the conclusion that "it is now time to transfer this small component to the new Department of Education." The central reason advanced by Miles for transfer is that the functions of the Directorate are more directly related to the pedagogical than to the research functions of educational institutions. This formulation accepts as conclusive a rationale that is, in fact, the issue to be debated. It actually makes a proposition to be tested rather than establishing a case.

The only early statement opposing the transfer has been made by Charles Saunders on behalf of the American Council on Education as an umbrella organization, and seven associates of higher education, including the Association of American Universities and the National Association of State Universities and Land Grant Colleges, to which all universities conducting substantial amounts of research belong. The statement opposing the transfer reads as follows:

We would oppose transfer of the National Science Foundation's Education Directorate (or for that matter any other part of that appropriately independent Foundation). Most members of the higher education community believe that the location of the Education Directorate within the National Science Foundation affirms the importance of the interdependence of science education and scientific research. To separate the two would inevitably damage the quality of both, by depriving them of their mutually supportive relationship. These programs should be developed

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<sup>1</sup>U.S. Senate, Committee on Governmental Affairs, "Department of Education Act of 1977," Committee Print, 95th Congress, 1st session, U.S. Gov't Print. Off., Washington, D. C., Oct. 12 and 13, 1977, p. 174. Miles later indicated that he had not thought in detail of the pros and cons of transfer of functions performed by the NSF Science Education Directorate.

and administered with a sensitivity to the science and research environment on campus in which they will function. They should be staffed by professionals, some on temporary assignments from colleges and universities, who are familiar with existing NSF academic science research and training programs and with emerging educational needs and training opportunities. A staff in a separate department, isolated from the Foundation's research environment, in our view, would neither bring the same perceptions and experience to these programs nor attract the quality of experienced individuals drawn to them by the unique research environment of the Foundation. We see no reason to disrupt the present relationship, with the reduced effectiveness which would be bound to occur, for the sake of adding another agency to the new Department of Education.<sup>2</sup>

The interdependence of science education and scientific research is a good general point, but as will be noted below, it is useful to look at specific aspects of the Science Education Directorate of NSF. To separate specific programs might or might not "inevitably damage the quality of both by depriving them of their mutually supportive relationship." The precise nature of the potential disruption, if any, that would follow the transfer of specific kinds of activities now carried on by NSF must be examined. The importance of developing and administering the programs of the NSF Science Education Directorate "with a sensitivity to the science and research environment on campus in which they will function" is also a weighty consideration, but it must be applied to specific programs.

Turning to the strongest opinion expressed in the legislative branch, the Pen bill (S. 991), proposed in Sec. 7(a) 12 that the Science Education Directorate be transferred. The Humphrey bill (S. 225) Sec. 8(d) had the more cautionary proposition that there be:

. . . transferred to the Secretary all functions of the National Science Foundation which the Director of the Office of Management and Budget determines relate to instructional personnel development programs, instructional pro-

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<sup>2</sup>U.S. Senate, Committee on Governmental Affairs, creating a Department of Education, hearings before a committee of the whole (March 21, 1978). Statement by: Chades B. Saunders, Jr., Director of Governmental Affairs, American Council on Education (p.5).



gram development, and programs in computer innovations designed for use in education.<sup>3</sup>

There are no analyses accompanying the bills and no statements by the sponsoring Senators or Representatives indicating why the various positions have been taken. A range of bills have been introduced in the House, but serious consideration was deferred until early August, pending the establishment of a final position by the administration and passage in the Senate. In the first congressional hearings on a new department,<sup>4</sup> none of the Senators mentioned the issue. Nor did representatives of the National Education Association (NEA), nor any of the six former Commissioners of Education, mention the issue. While the question has been debated more thoroughly in later congressional hearings, it has thus far not been one of the central issues related to creation of a new departments

Finally, there is the position of the administration, which constitutes the most careful analysis of the issues. James T. McIntyre, Jr., Director of the Office, of Management and Budget (OMB), presented the summary views of the administration on formation of a new Department of Education in the form of comments on the Pen bill (S. 991) before the Senate Committee on Governmental Affairs on April 14, 1978. The administration's position recommended transfer of some of the functions of the Science Education Directorate:

Although we do not advocate the transfer of the entire Science Education Directorate from the National Science Foundation, we think that a Department of Education responsible for improving educational quality should directly involve science education programs designed to upgrade school and college curricula. However, we think that the graduate training and scholarship programs, which recruit and prepare scientists for the Nation's scientific research effort, should remain in NSF, as well as some smaller education programs directed at improving communications between the scientific and nonscientific communities.

The administration position was elaborated by the Office of Science and Technology Policy

(OSTP) in testimony given to the same Committee on April 18 by Philip M. Smith, Assistant Director of OSTP. He outlined the rationale for the President's proposals by first stating the advantages and disadvantages of transferring programs:

Transferring the science education programs would have the following **advantages**:

- A Department of Education, which assumes the responsibility for improving the overall quality of schools and school curricula, should be given responsibility for involving talent, program expertise, and information within the scientific communities.
- Transfer of science education responsibility will improve the likelihood of enlarging Federal impact on the quality of science education programs offered in all the Nation's schools and colleges. The NSF has not had the resources to demonstrate fully and disseminate the products developed with its research and development funds.
- A major department with a mandate to report annually on the "condition of education" and with an annual budget for education programs in excess of \$12 billion may be in a better position to articulate appropriate Federal policies and to reallocate available resources to meet all educational needs, including science education.
- Consolidating those Federal educational programs aimed specifically at improving access of minorities, women, and the handicapped will emphasize the administration's commitment to alleviating problems of inequity and discrimination in education.

The proposed transfers could have the following **disadvantages**:

- Transferring science education programs from NSF could reduce the involvement of the science and research communities in science education.
- An agency without scientific and research talent operating at its helm would be less sensitive to and supportive of science education programs. In contrast, both the

<sup>3</sup>U.S. Senate, op. cit., p.421:S.225, Sec 8(d).

<sup>4</sup>Ibid., S.991, S.255, S.300, S.894, and S. 1685.

<sup>5</sup>Hearings to date: 3/20/78; 4/14 & 4/18/78; 4/27/78; 5/8/78; 5/16 & 5/17/78.

Director and Deputy Director of NSF were trained as research scientists.

- The substantive link between science education programs and basic research programs would be reduced by separating these programs. Science focuses on the creation of new knowledge, and teaching it effectively depends on that knowledge. To minimize this potential disadvantage, the proposed Department of Education would have to work closely with NSF and assure continued scientific input.
- Policies relating to increasing access to and participation in education, which dominate most Federal education programs, might take priority over the policies stressing high standards, excellence, and competition, which are stressed by NSF officials and the NSF Board.

In weighing these advantages and disadvantages, OSTP came to the conclusion that programs should be transferred:

. . . in those cases where there is a desirability of implementing on a wide basis activities characterized by knowledge dissemination, the widespread introduction of new educational technologies, the training of professionals such as teacher training programs or special assistance programs to help improve the opportunities for sectors of our society such as minorities, women and the handicapped.

On the other hand, OSTP:

. . . concluded that it is desirable to have a continuing role for NSF in those programs most closely related to science such as the fellowships or those programs where there is a close tie between science and learning. We expect therefore that the NSF will have a continuing and important role in educational research specifically directed at science, knowledge and understanding for both formal education and in broader education of our citizenry concerning science and technology.

Applying these principles to specific programs produced the following proposal, which for the first time stated the details of the President's plan for disposition of the Science Education Directorate:

Disposition	Millions of dollars
Faculty development, undergraduate programs, minority, women, and handicapped programs, R&D, proposed for transfer. . . .	\$56.3
Graduate research training and science and society programs remaining at NSF . . . . .	<u>\$21.3</u>
Total . . . . .	\$77.6

**Personnel:** Approximately 90 transfer, approximately 30 remain at NSF.

In summary, the written record to date states three positions:

- Transfer the whole education Directorate (Rufus Miles, Jr., in *A Cabinet Department of Education*);
- Transfer none of the functions of the Directorate (American Council on Education testimony of March 21, 1978); and
- Transfer part of the functions of the Directorate (administration position as stated by OMB and OSTP on April 14 and 18, 1978). (Among all of these documents, only the OSTP statement presented an extended discussion of the issues.)

The discussion in the following pages is an independent effort to provide a fuller analysis of the considerations that would lead to any one of these three possible choices. The following text assesses the possible effects of such reorganization on the Federal educational R&D programs, and graduate science and engineering activities.

### The Functions of the Science Education Directorate

The content and magnitude of the programs of the NSF Science Education Directorate are shown in table 1, which is derived from the President's budget proposal for fiscal year 1979.

### Criteria for Deciding to Transfer Programs

The basic issue is the standard one encountered in all reorganization proposals: what concepts and missions of Government are to serve as the guiding, primary principles for organization? When NSF was established and as it has evolved, science has been considered as a valid central organizing principle. Now, education has become a relatively more significant

**Table I.—Possible Effects of Federal Educational R&D Programs and Graduate Science and Engineering Activities**

Program description	FY 1979 Budget request (in millions)
<b>Advanced scientific training, and minorities, women, and the handicapped in science</b> .....	<b>\$17.3</b>
Fellowships and traineeships, predoctoral and postdoctoral. ....	14.8
Minorities, women, and handicapped in science .....	2.5
<b>Science and society</b> .....	<b>5.4</b>
Public understanding of science. ....	2.4
Ethics and values in science and technology .....	1.3
Science for citizens. ....	1.7
<b>Science education R&amp;D and information dissemination</b> .....	<b>12.7</b>
Research in science education .....	3.9
Development in science education .....	7.8
Information dissemination .....	1.0
<b>Support for college and secondary school students and teachers</b> .....	<b>12.5</b>
Secondary school student science training .....	2.3
Faculty improvement .....	10.2
<b>Institutional support</b> .....	<b>29.7</b>
Comprehensive assistance to undergraduate science education .....	14.9
Minority institutions science improvement. ....	5.0
Resource centers for science and engineering. ....	2.8
Undergraduate instructional improvement. ....	7.0
<b>Grand total</b> .....	<b>\$77.6</b>

function, and the relative importance of science and education as principles guiding the organization of the Federal Government have to be worked out. The question is whether the set of functions relating to science, and performed by NSF, should be redivided in order to form a more unified set of educational functions in a new Department of Education.

The advantages and disadvantages of transfer noted in the OSTP testimony should be borne in mind. They and other relevant considerations can be stated in the form of questions.

### **1. Importance of a New Department**

- What relative weight should be given to establishing a well-rounded new department as contrasted with maintaining the quality and continuity of operating programs?

### **2. What Relative Weight Should be Given to the Conflicting Values of Pluralism and Coherence?**

- Should pluralistic maintenance of programs in the same field in a number of agencies be given greater weight if there is a greater component of experimentation in the program? or,
- Should coherence—consolidation of programs in the same field in one agency—be given greater weight if there is greater significance to the building of a new administrative structure and administration of programs which have relatively fixed guidelines?

### **3. The Education and Science Environments**

- Will the program flourish best in an atmosphere colored by education or by science?
- Is the program primarily an education program with an incidental science content, or the reverse?
- Is the program directed at professional educators or professional scientists?
- Should educators or scientists have the primary voice in the development, administration, and evaluation of the program?
- Can the optimum mix of educational and scientific influences be attained best in NSF or in a new department?

### **4. Quality and Effectiveness of Programs**

- What relative weight should be given to the past effectiveness of programs in their current setting as contrasted with the potential effectiveness in a new setting?

### **5. Administrative Considerations**

- Are circumstances such that the function can be administered most efficiently in NSF

or in a new department?

- What attention will be paid to the function at the top of the agency?
- What are the prospects for budgetary support?
- Where are the best people available to administer and advise on 'the program, currently and in the future?

#### **6. Political Considerations**

- What political and administrative costs and benefits are generated by transferring programs or by keeping them in NSF?

For several reasons, it is difficult to produce fully persuasive answers to most of these questions. Different persons and groups are inclined to put different weights on various criteria. For example, those who place great weight on the potentialities of a new department for infusing all of education at the Federal level with new leadership and ideas, and for achieving a new coherence for education in the Federal structure incline to favor transfer of most or all of the functions of the Science Education Directorate. Those who place great weight on the need for leadership and scientists, participation of the scientific community, and national competition on the basis of quality recommend that none or few of the functions be transferred.

The structure of the new department is not known yet and it maybe created without detailed specifications. Clear choices are hard to make because it is not known how the transferred functions would fit into the administrative structure of a new department, and hence, whether they would have relatively high or relatively low status, visibility, and access to power. Finally, the quality of potential leadership in a new department is unknown. The administration has recognized the significance of such questions. The OSTP testimony noted that:

There are many details to be worked out effectively and we are committed to help in this regard to ensure that programs are transferred effectively and that they receive prominence and attention in the Department of Education. Clearly, science programs within a Department having so many elements need to be carefully organized. A broadly based Department would facilitate the type of functional organization that is desirable. This Office will participate in planning and effec-

ting transfers of science education programs to assure an orderly transition.

#### **The Meaning of "Transfer"**

Transfer of the functions of the Science Education Directorate can mean amendment of the National Science Act to remove the authority of NSF to conduct activities of the type transferred to a new department, or it can mean transfer of money, people, and current activities to a new department while leaving the NSF statutory authority intact. The primary advantage of the latter course is that it provides flexibility. If functions were transferred to a new department it would be advantageous in some cases to carry on complementary activities in NSF. For example, OSTP pointed out that a new department might not be able to do everything that ought to be done in science education, but that, "the safeguard is that NSF would retain its current broad statutory authority for support of science education." In case things went poorly in the new department, the existence of basic statutory authority in NSF would permit retransfer of functions.

There would appear to be no advantages to be gained by repealing the statutory authority of NSF to carry out transferred functions.

### **SPECIFIC PROGRAMS**

#### **Advanced Scientific Training, Minorities, Women, and the Handicapped in Science**

The fellowship and traineeship portion of the program of the Science Education Directorate was initially the sole NSF activity in the educational area. It developed during the 1960's when there was a clear and urgent need to provide a strong Federal stimulus to the training of scientists for an expanding national research program and for an expanding system of higher education. Now there are not general shortages of scientists, although there are specific foreseeable needs of some magnitude. The fellowship and traineeship item (including programs for women, minorities, and the handicapped) now comprises only about 25 percent of the total budget of the Science Education Directorate. Using the argument that a Federal stimulus to the production of scientists is no longer an urgent priority warranting a

separate program in NSF, the program could be transferred to the new department and administered as a segment of a broader fellowship program.

However, there are considerations which argue for continued administration of the fellowship and traineeship program by NSF. For example, the relationships between research and requirements for academic staff on the one hand and the flow of highly trained scientists and engineers continues to be complex, dynamic, and impossible to predict with precision. These characteristics of the system make it important to link support of basic research with fellowships and traineeships in science and engineering. In addition, the Nation needs a central point where attention is paid to the content of graduate and postdoctoral education, to future supply and demand, to the interrelationships between research and graduate education, and to the quality of graduate and postdoctoral programs in the sciences. Another significant consideration is that there are still specific shortages that can be best detected and relieved if the education and training program is closely linked to the research function. Finally, the traineeship and fellowship program of NSF is designed not to improve general access to higher education as a social imperative, but to sustain the quality of personnel in fields of direct significance to NSF and to symbolize the national interest in sustaining high quality in graduate education in the sciences.

All in all, there seems to be no more reason to transfer the NSF trainee and fellowship programs than to transfer similar programs conducted by other agencies, such as NIH.

The case for keeping the \$2.5 million program for minorities, women, and the handicapped in NSF is short and powerful. Every major agency of the U.S. Government should be sensitive to and involved with the national effort to do away with discrimination, and the most direct way to do this is to have a specific program directed to that end. The new department will not need the small NSF program to expose it to all aspects of affirmative action or to demonstrate its commitment to doing away with discrimination.

The case for transfer is also short and powerful. Recall that the OSTP testimony stated:

Consolidating those Federal educational programs aimed specifically at improving access of

minorities, women, and the handicapped will emphasize the administration's commitment to alleviating problems of inequity and discrimination in education.

## Science and Society

Science and technology play an influential role in most aspects of modern life and a dominant role in many fields. The power of science and technology make it important that the public at large understand the essential nature of science and technology, and that the power of science and technology be used with a sense of responsibility and within an ethical framework that provides appropriate guides and constraints. Attention to these matters is a proper concern of the Federal Government, and the concern is made concrete by the group of NSF activities called science and society, funded at a level of \$6 million.

These NSF programs are educational in a very broad sense and could therefore be considered as a logical part of a new department.

On the other hand, the relationships between science and society can best be pondered and studied in the context of scientific and technological activities. Strong links between philosophers, social scientists, biological and physical scientists, and engineers are necessary for effective study of the relationships among science, technology, and society. These links can be forged more effectively in an atmosphere where science rather than education is the dominant theme. The role of science in society is changing. NSF should be both aware of the change and, to a degree, an agent of change. The programs under consideration serve this purpose. Accordingly, NSF has urgent and continuing interests in pursuing these matters, whereas no such stimulus would appear to exist in a Department of Education.

Questions of ethics and values and of public understanding of science involve sensitive issues, which are best approached with oversight provided by independent, informed advisors. The National Science Board performs this function.

It has been recommended that the public understanding of science program within the science and society program be divided; the formal education component moving to the new department and the science policy and broader educational component remaining. It's likely that

such division would weaken both aspects. The program was designed to provide the public with information about science and to draw upon the scientific expertise available to NSF.

Finally, there does not appear to be a function or program in a Department of Education into which these NSF activities would fit easily.

### **Science Education R&D**

The Nation needs a broadly based, intellectually vigorous, well-financed, well-directed, and well-advised research program on the important and intractable problem of understanding the learning process. The potentiality of developing such a program would exist in a new Department of Education, and this is one of the reasons for establishing a department. Transfer of the NSF science education R&D programs would add specialized talent, funds, and an informed constituency to the broader effort in the new department. If the program were transferred it would obviously be placed in the National Institute for Education (NIE), which is designed to foster such efforts.

To be useful, the products of research and development on science and education have to be disseminated. NSF has concentrated on research, and its efforts at dissemination have not been outstanding. Indeed, there is a statutory bar to dissemination of curricula by NSF. Accordingly, the dissemination function could be performed better by a department with the propensity, skills, and resources to mount large-scale dissemination programs.

However, there are countervailing considerations which argue for leaving this program in NSF. First, there is a possibility that the gains outlined above would not be realized. NIE has encountered difficulties which have not been entirely overcome. The transfer might well impair the effectiveness of the NSF programs rather than elevate the level of the NIE activity. In addition, the NSF program for science education R&D has been of high quality and, within the areas selected for emphasis, a success. The curriculum development efforts have been clearly superior to those sponsored by the Office of Education. The people involved in the programs have been national leaders. There is much to be

said for maintaining diverse approaches to education R&D because the complexity and experimental nature of the subject makes different approaches desirable. The training curricula developed by the Department of Defense and the language-training curricula and teaching methods developed by the Department of State are other examples of successful specialized efforts.

If program effectiveness, quality, and maintenance of diversity are given primary weight, the case for leaving the program in NSF is strong.

### **Support for College and Secondary School Students and Teachers**

The NSF faculty improvement program, funded at a proposed level of \$10.2 million, has a long record of success. Utilizing such devices as summer workshops led by experienced scientist teachers, the quality of science instruction in schools and colleges has been upgraded.

Similarly, the \$2.9 million program for secondary school science training has been productive in identifying and encouraging talented young high school students to choose science majors in college.

The strength of the case for transferring these programs to a new department depends heavily upon decisions as to priorities among NSF missions. There is continuing tension between the doctrine that support of the best science is the central role of NSF and the doctrine that improvement of science education at the secondary and college level is an important goal. While the research support goal—and particularly support of basic research—remains the central mission of NSF, a moderate investment in science education is good for the country and good for NSF. More pragmatically, administration of these programs broadens the political support base of NSF beyond the scope of the relatively few institutions with investigators who claim the majority of research funds. From NSF's perspective it would be deleterious to lose a program that serves a wider community.

But even if science education below the graduate level is accepted as an important NSF function, two questions remain. How well can NSF perform the function as compared with a new

Department of Education, and how well might each of the agencies support the function?

Divorcing such programs as improvement of secondary school science training and science faculty professional development from NSF could have serious adverse consequences for the quality of the programs. One of the strengths of these programs as administered by NSF is that they have effectively involved a number of groups of scientists. The participation of high school science teachers, undergraduate teachers, active research scientists, and others expert in theories of learning and teaching have brought unprecedented spark and quality to these efforts. This has not happened to the same degree in similar programs sponsored by the Office of Education, and transfer of the NSF programs to a new department poses a clear danger that the productive, imaginative NSF approaches would be submerged and flattened out. The history to date of efforts along these lines in the Office of Education does not provide grounds for optimism.

However, it is not certain that transfer would have such adverse consequences for these programs. A major reason for establishing a new department is to attract a new and diverse group with fresh ideas as both staff and advisers.

Moreover, the case for transfer is strengthened by the fact that these programs are not closely linked to the research and graduate education mission of NSF.

This suggests that other grounds be explored as the basis for decision, and two candidates appear. One is the desirability of providing a broad base for the new department. Inclusion of a mandate to design and administer programs for science education would bring an interesting, vigorous, and important activity into the department. The generally accepted doctrine that each department in the executive branch should have a scientific component applies to the new department. On these grounds, transfer of the science education activity of NSF would be called for.

The second criterion is administrative feasibility and efficiency. Given the complexity, magnitude, political sensitivity, and social significance of the problems to be solved as a new department concentrates upon the attainment of equal **access** to postsecondary education and to equity in sharing the cost of postsecondary education, it

would be prudent to avoid taking on additional tasks of an essentially peripheral character, particularly if they are being well-performed elsewhere. It would be unfortunate if transfers into the new department were made to give the appearance of a comprehensive department at the expense of the quality of performance of significant programs. On these grounds, the function would be kept in NSF.

The decision rests on the weight to be given to the various criteria.

### **Institutional Support**

NSF now administers a group of programs that have as a common objective provision of resources to upgrade undergraduate science teaching. These programs are: comprehensive assistance to undergraduate science education, minority institutions, science improvement, undergraduate instructional improvement, and resource centers for science and engineering.

The case for leaving these programs in NSF rests primarily on the grounds that NSF has served a valuable innovative function, has nurtured the programs effectively, administered them well, and secured increasing budgetary support.

On the other hand, there are solid reasons for transferring the function. Of all the functions of the Science Education Directorate, it is the most remote from the central research and graduate education mission of NSF. Conversely, these programs would fit into related programs for institutional support that would be carried on by a new department.

With respect to both the programs for science education R&D and programs for institutional support, prospects for future financing in both NSF and the new department have to be weighed. Looking first at NSF, it is clear that these two programs are far from the top of NSF priorities. Given the immediate urgency of many lines of investigation of the highest scientific significance that are inadequately funded, and of unmet needs for research related to pressing national problems, it seems unlikely that long-range goals for better secondary school and college education in science will be given high priority by NSF. The fact that these programs would be part

of a department with a budget in excess of \$12 billion might well make it possible to increase the appropriation substantially if this seemed desirable in competition with other important activities. On the other hand, there is no assurance that this would actually happen. Given the set of priorities facing a new Department of Education, the likelihood of sustained top-level attention to and budgetary support for a small program of secondary and college science education seems remote. The new staff may be more than fully occupied with matters of greater significance in the hectic months that are an inevitable phase of the establishment of a new Federal department.

### AN ALTERNATIVE APPROACH POSTPONEMENT OF TRANSFER?

There is an alternative to immediate transfer of programs. That is, programs can be left in NSF for the time being and the question of transfer can be reconsidered later. This is the course that has been recommended by the administration for the National Foundation on the Arts and Humanities for its own programs:

We recommend against the inclusion of the Arts and Humanities Endowments in S. 991 at this time. We believe, however, that the option of transferring these programs should be reserved for future consideration.

The statement went on to outline why transfer is not recommended at this time:

Locating the endowments and most education programs within the same department offers opportunities to enhance the quality and diversity of American education. A close alliance between the arts, culture, and education could foster new ways for learning to take place,

On the other hand, elimination of the independent status of the Endowments might significantly alter their existing missions, reduce their visibility, and undermine the effectiveness of their advocacy role.

Analogous considerations apply to the programs of the NSF Science Education Directorate, and the central question is the weight that they should be given. A further factor to be considered is the difficulty of assimilating and effectively administering a substantial number of small programs during the period of stress and confusion that seems to be inevitable when a large Federal Cabinet department is created.

However, there is a rejoinder to this proposal:

1. Once a major Cabinet department is established, it is difficult to transfer programs thereafter.
2. The NSF programs are so small in the context of a new department that the increment of administrative problems created by their immediate transfer, even during a hectic period, would be minor.



## EDUCATIONAL RESEARCH AND DEVELOPMENT FUNCTIONS TRANSFERRED FROM HEW

Apart from the question of the implications for science and technology of transfers to a new Department of Education from agencies other than HEW, there are some important considerations relating to the status in a new department of educational research and development now conducted in HEW.

All of the reports' on a new department and all of the bills introduced thus far properly stress such matters as advice to the President on long-range goals and priorities, policies to foster the development of educational resources, conduct of surveys to collect, analyze, and disseminate relevant information, and provision of leadership by conducting studies and making recommendations to facilitate the continuing development of the American educational system. (See, for example, See, 6, *Functions* of S. 991, A Bill to Establish a Department of Education.) There is, in addition, the function of investigating the educational process itself. Effective performance of these functions requires a strong analytical and research capability in the department. This in turn necessitates an appropriate administrative structure.

Three kinds of analytical and research functions can be distinguished.

### COLLECTION AND ANALYSIS OF EDUCATIONAL STATISTICS

The National Center for Educational Statistics (NCES) carries primary responsibility for collection and analysis of educational statistics. NCES is a unit reporting to the Secretary of HEW, and it would become a part of any new department. The primary problem to be solved here is to secure funds and staff adequate to give the Nation statistical information that is—to take a rough but usable measure—as complete and useful as that available in the health field. Currently the resources for collection and analysis of statistics are 2 to 3 times as plentiful in health as in education even though total national expenditures for education—\$120 billion in 1976—almost equal those for health—\$140 billion.

**Table 2.—Resources for Health  
and Educational Statistics**

	Staff		Appropriation (in millions)	
	No.	Index	Amt.	Index
<b>National Center for Educational Statistics. . . . .</b>	<b>180</b>	<b>100</b>	<b>\$14</b>	<b>100</b>
<b>National Center for Health Statistics</b>	<b>550</b>	<b>300</b>	<b>\$34</b>	<b>240</b>

This disparity will not be redressed unless there is a stronger administrative voice for education, and for the research function as part of the educational enterprise. The National Center for Educational Statistics should be transferred to the department, and its independence from any operating division should be retained. It should be responsible to a high official in the department. For example, Senator Pen's bill, S. 991, provides for an Assistant Secretary for Evaluation and Planning, and others have advocated that such a position be established. This Assistant Secretary would be the appropriate official to supervise and protect NCES, and to ensure that it is responsive to the needs of those whom it would serve both within and outside the department.

The same goal should be sought if the chosen route is strengthening of the education function in HEW rather than establishment of a new department.

### ADMINISTRATIVE RESEARCH

A second analytical and research function is to improve administrative efficiency. Creation of a new Department of Education would require an intensive analytical effort on the distribution of functions, allocation of staff functions, the organization of the Office of the Secretary, lines of authority and responsibility, etc., while the details of the new organization were being worked out. A continuing program of analysis

will be required to keep the administrative structure and process well-tuned. There should be a central point of guidance, stimulus and, to some degree, performance of this function near the top of any new department. Most proposals and most students of organization advocate that an Assistant Secretary for Administration be named by statute. For example, Senator Pen's bill S. 991, proposes an Assistant Secretary for Administrative and Management Policy. The same goal should be sought for administrative research if there is an elevation of the status of education within HEW rather than creation of a new department. That is, establishment of a position of Assistant Secretary for Administration, or a post of comparable rank, to deal with administration of the enhanced education component of HEW.

## RESEARCH ON EDUCATION

The third kind of research and analysis is concerned with the process of education itself—how people learn and how the learning process can be made more effective. This includes, among other things, curriculum development, and learning technology. This kind of research is also concerned with structures and processes for education, the management and organization of education, the financing, and the economics of education. This kind of research in HEW is centered in NIE. All of those who have considered the matter agree that the entire Education Division, including NIE, would become a part of any new Department of Education.

As far as organizational shifts are concerned, the desirability of transferring the science education activities of the Science Education Directorate of NSF to a new department, and specifically to NIE, has been analyzed above. If the National Foundation on the Arts and Humanities were transferred, it also would seem desirable to place their educational development activities in NIE.

Improvement and diffusion of learning technology would be an important aspect of science and technology in a new Department of Education. In fact, the opportunity to exploit more effectively such techniques as satellite communication, educational TV through the use of broadcast and cable, computer-assisted learning, and museum exhibits and demonstrations is one of the soundest reasons for setting up a Department of Education. However, the strengthening of these activities will depend primarily upon the firmness with which the techniques are advocated, the attitude of Congress towards funding, and the technical administrative and political skill of those who will operate the programs. Structural problems appear to be minor, and few, if any, transfers of functions from agencies other than the Education Division of HEW are called for.

If general policies and specific lines of research are to be chosen wisely in this most difficult area, NIE must retain its semiautonomous status and it would have to have high status within a new department. One sound way to ensure this status is to make the Assistant Secretary for Research (or for Evaluation, Planning, and Research) also the Director of NIE. It would not seem adequate to have NIE report to an Assistant Secretary.

In conclusion, the needs in research on education are substantive as well as structural. The report of the National Academy of Sciences to the National Institute of Education, *Fundamental Research, and the Process of Education* (Washington, D. C., 1977) states the central problem:

The application of science and technology to improve education is of great importance. On the whole, however, we believe that the Federal Government has adopted policies that encourage superficial and wasteful research that has the appearance of relevance but lacks the substance of general principles. We recommend a significant redistribution of emphasis toward more fundamental research in education and toward a more measured approach to education R&D of all kinds. (p. 66.)

## SHOULD A NEW DEPARTMENT OF EDUCATION BE CREATED?

This report centers on the effects of establishment of a new Department of Education on the R&D function, and thus assumes, as the basis of that analysis, that such a department may come into being. However, another aspect of the effects of a new department on the R&D functions should be considered. That is, could potential effects upon R&D arising from the creation of a new department be either so favorable or so adverse as to constitute significant arguments for or against establishment of a department? (Recall that a large Department of Education and Science that would include the entire NSF is not under discussion at this point. If such a department were seriously considered, the effects of reorganization upon the R&D function would be a central issue. )

To answer this question, the significance of the effects of creation of a new department on the R&D function must be put in the context of the important issues to be decided before a department is created. Some of the central questions are these;

1. Would a Department of Education be so small as to complicate rather than simplify the tasks of the President?
2. Would secondary education dominate a Department of Education?
3. Would the harm done by disagreements over what should be in a department outweigh the potential benefits from reorganization?
4. Is education as the focus for a new department more urgent than health or income maintenance?
5. Would creation of a Department of Education lead to the assumption of increasing power by the Federal Government over education?

In comparison with such questions, the potentially positive or negative effects of creation of a new department on the R&D function are minor and the case for or against a new department should be made with subsidiary attention to potential effects upon the R&D function.

If a department is not created, most of the functions performed by the NSF Science Educa-

tion Directorate and the educational R&D functions performed by HEW will continue to be performed well. There is a very strong case for reorganizing HEW to lift the status of education and to create clear lines of authority and responsibility if a new department is not created.

### HEW'S EDUCATION DIVISION

It is worthwhile considering briefly the Office of Education programs that the programs of the NSF Science Education Directorate would join in a new department. There are 44 substantial programs in OE.<sup>6</sup> They deal with student support, institutional support, and professional enhancement. The major groups of OE programs have little to do with each other. They do not form an integrated whole. None of them are specifically directed at science or science education. Therefore transfer would not represent completion of a logical scheme, nor would the NSF programs be integrated with the diverse OE programs. Rather they would form a fourth program segment, unrelated to the other three.

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<sup>6</sup>The following are now in HEW's Education Division: Basic Opportunities Grants; Supplemental Opportunities Grants; Work Study; Direct Loan Programs; Incentive Grants for State Scholarships; Special Programs for the Disadvantaged; Developing Institutions Program; Language Training & Area Studies; University Community Services; Aid to Land Grant Colleges; State Postsecondary Education Commissions; Veterans Cost of Instruction; Cooperative Education; Construction Grants & Interests; Intercultural Centers; College Teacher Fellowships; Graduate/Professional Opportunities; Legal Training for Disadvantaged; Public Service Fellowships; Mining Fellowships; Law School Clinical Experience; Wayne Morse Chair of Law & Politics; Library Resources; Metric Education; Gifted & Talented; Community Schools; Career Education; Consumer Education; Women's Educational Equity Arts in Education; Packaging & Dissemination of Education's TV Programming; Teacher Corps; Teacher Centers; Planning & Evaluation; Guaranteed Student Loan Program; Health Professions Loan Program; Facilities Education Loan & Insurance; Research and Development-Dissemination & Resources; Basic Skills; Education & Work; Finance & Productivity; School Problem-Solving Educational Equity; Postsecondary Improvement-Extending Educational Opportunity & Improving Programs in personnel and instruction; Extending Resources Beyond Campuses; Lifelong Learning; Educational Statistics; Statistical Services; Institute for Museum Services; Educational Policy Research Centers; Support for Advisory Councils.

## A DEPARTMENT OF EDUCATION AND SCIENCE

Research and development functions of the Federal Government would be fundamentally affected by a new Department of Education only if the concept were modified to establish a Department of Education and Science. This would involve shifting the entire National Science Foundation (and perhaps some other science activities) to the new department, and a large-scale redistribution of some current functions of HEW. One possibility along this line has been put forward in a report of the Carnegie Council on Policy Studies in Higher Education, *Federal Reorganization Education and Scholarship* (March 1977, p. 9). The Council proposed transferring the income-maintenance functions of HEW to the Labor Department to create a Department of Labor and Human Resources, splitting off the health functions of HEW and concentrating health functions from other agencies to form a Department of Health, and creating a Department of Education and Science by drawing together educational functions from other departments and shifting NSF to the new department. Other configurations such as a Department of Education, Health, and Science, can be easily imagined. The Carter administration has not proposed any such fundamental changes. The problems of designing a relatively simple and modest Department of Education are so difficult that there is no inclination at present to take on the additional political and administrative complexities of fitting together a Department of Education and Science, and of working out the disposition of the health and income maintenance functions of HEW.

It also seems clear that serious initiatives along these lines will apparently not originate in Congress in the absence of a proposal from the administration.

There are powerful reasons for not shifting NSF to a Department of Education and Science. There are also powerful arguments for not shifting the scientific activities of other agencies to a Department of Education and Science. In addition to the fundamental desirability of attaching an appropriate research and development activity to each major Federal department, there is the pragmatic consideration that centralization would put "too many eggs in one basket" in the appropriation process. These considerations are well summarized on pages 69-71 and on pages 100-101 in the Miles report. '

Nevertheless, continuing attention to the **pros** and cons of such large-scale shifts can contribute to pending decisions by exposing alternatives which will raise considerations relevant to the current debate. For example, the Carnegie Council, after reviewing the advantages of large-scale shifts of functions, came to the conclusion that, "We are doubtful of the need to create a new Cabinet-level Department of Education." (page 2). These reasons were given: (1) such a department would be small; (2) education will be an area of relative stability as compared with such fields as energy, health care, and income maintenance; (3) creation of such a department would imply that the Federal Government is assuming basic responsibility for education; and, (4) a department of this kind might give more attention to elementary and secondary education than to higher education.

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'Rufus Miles, Jr., A Cabinet Department of Education, monograph published by the American Council on Education, 1976, Wash., D.C.

## CONCLUSIONS

This report considers in depth the considerations bearing upon transfer of all or part of the Science Education Directorate of the National Science Foundation to the new Department of Education as proposed by Senator Pen's S. 991. Representatives of the scientific and the academic communities have been skeptical about the wisdom of transferring any of the functions of the Directorate; OMB and the White House have supported transfer of those functions that are not closely linked to graduate training and research.

This analysis suggests that the wisdom of transferring each program within the NSF Science Education Directorate be evaluated separately, and the criteria suggested are:

1. How important is building up the new department versus maintaining successfully operating programs?
2. How will the goal of the program be affected by being housed in the new department?
3. What is the present quality and effectiveness of the programs versus their potential increased or decreased performance in a new setting?
4. What are the political and administrative considerations involved with transfer and subsequent smoothness of operation?
5. How important is the continued involvement of the scientific community?

The desirability of building a new department that is comprehensive, well-rounded, and capable of forming a highly integrated educational system must be weighed against the value of pluralism—allowing educational programs to exist in a number of agencies when the educational function is closely and productively linked to other functions such as research, defense, or foreign affairs.

### THE NSF SCIENCE EDUCATION DIRECTORATE PROGRAMS

Five programs in NSF's Science Education Directorate must be considered. OMB'S plan

would transfer \$56.3 million of NSF's fiscal year 1979 budget of \$77.6.

### Advanced Scientific Training, Minorities, Women, and the Handicapped in Science

This program constitutes 25 percent of the Science Education Directorate's budget. It can be argued that there is no more reason to transfer this program than to transfer the analogous program at the National Institutes of Health. It is likely that such functions would be more efficiently performed by NSF—the agency involved in research and advanced training. Most informed observers agree. The OMB plan does not suggest that this program be moved.

### Science and Society

This program has several components, all aimed at increasing the public's understanding of science. Most of these efforts are aimed at informal education of all age groups outside of school. However, formal education is also supported. The informal education function could be considered the responsibility of NSF and not appropriate to a department concerned with education rather than science. The administration proposal recommends that the program should be split, with formal educational activities moving to the new department. NSF contends strongly that it should be deeply involved with the social effects of science and that transfer would weaken both programs by taking them out of a scientific environment.

### Science Education Research and Development

This R&D function is aimed at understanding the learning process. This is clearly within the purposes of the new department and would increase its knowledge and expertise in the area. Ideally this topic would be studied in depth and results widely disseminated. At present this is a high-quality program and transfer might undermine the strong professional support that now characterizes the program. Diversity of approach to this important problem is encouraged by support through NSF. The National Institute of Education would be enhanced by this NSF project but it would lose the prestige and strength of NSF

oversight. The administration proposes transfer in order to build a coherent new structure.

### **Faculty Improvement**

Because this is a faculty improvement program not related to research or graduate training, it is a strong candidate for transfer. NSF fears that improvement of the capacity of teachers to teach science would be weakened and that the broad institutional base of the program productively balances the properly elitist base of the NSF research program.

### **Institutional Support to Upgrade Undergraduate Science Teaching**

This program could logically be transferred because of its remoteness from the central research and graduate education mission of NSF. Transfer of the five subareas (1) assistance to undergraduate science education; (2) minority institutions; (3) science improvement; (4) undergraduate instructional improvement; and (5) resource centers for science and engineering would strengthen the new department's higher education division. The effectiveness of the program might decline if it were taken out of a setting where broad participation of scientists is assured,

## **IS POSTPONEMENT THE COURSE?**

No one knows precisely what transition problems a new department would face, but they will be severe. No one can assess how well it will work or its importance in higher education. For these reasons it has been suggested that no functions should be transferred from NSF until the proposed Department of Education has been established and takes definite shape. The wisdom of transfers could then be more firmly assessed. The transfer of the National Endowment on the Arts and Humanities has been postponed on this basis. The argument is equally valid for the NSF functions.

## **ANALYTIC AND RESEARCH FUNCTIONS**

Three kinds of analytic and research functions should be performed by a new department: (1) collection and analysis of educational statistics; (2) administrative research; and (3) research on education. The National Center for Educational Statistics in HEW should be transferred, fortified, and made to report directly to the appropriate Assistant Secretary. Administrative efficiency could be improved through an analytic and research function reporting directly to an Assistant Secretary for Administrative and Management Policy. Finally, HEW's National Institute of Education now conducts research on education and it should be a part of the new department.

# APPENDIX

APPENDIX

95TH CONGRESS  
1st Session

S. 991

IN THE SENATE OF THE UNITED STATES

MARCH 14 (legislative day, FEBRUARY 21), 1977

Mr. RIBICOFF (for himself, Mr. MAGNUSON, Mr. HUMPHREY, Mr. PELL, Mr. NUNN, Mr. ALLEN, Mr. BARTLETT, Mr. BAYH, Mr. BELMONT, Mr. CHILES, Mr. CHURCH, Mr. CLARK, Mr. CRANSTON, Mr. DECONCINI, Mr. DOMENICI, Mr. EAGLETON, Mr. FORD, Mr. HART, Mr. HEINZ, Mr. HOLLINGS, Mr. INOUE, Mr. JACKSON, Mr. KENNEDY, Mr. MCGOVERN, Mr. MATSUNAGA, Mr. MELCHER, Mr. MUSKIE, Mr. PEARSON, Mr. RANDOLPH, Mr. SASSER, Mr. SPARKMAN, Mr. STAFFORD, Mr. STONE, Mr. WEICKER, and Mr. WILLIAMS) introduced the following bill; which was read twice and referred to the Committee on Governmental Affairs

A BILL

To establish a Department of Education, and for other purposes.

1 *Be it enacted by the Senate and House of Representa-*  
2 *tives of the United State of America in Congress assembled,*  
3 That this Act may be cited as the "Department of Education  
4 Act of 1977".

PINDINGS AND PURPOSES

5 SEQ. 2. The Congress finds that—

6 (1) education is of fundamental importance to the  
7 Nation and it is appropriate to reassess the condition of  
8 VII

2

1 education in our Nation to insure that all Americans have  
2 an equal opportunity for quality education;

3 (2) existing Federal programs in support of educa-  
4 tion are fragmented and often duplicative and should be  
5 better coordinated in order to promote quality education;

6 (3) the role and importance of education increases  
7 as our society becomes more complex and new technolo-  
8 gies and advancements are developed to meet changing  
9 needs;

10 (4) public policy toward education is vital to the  
11 present and long-range interests of the United States;

12 (5) education must be broadly conceived in terms  
13 of all those forces, institutions, and agencies which func-  
14 tion as educating influences in the United States; goals  
15 and institutions should be enhanced; and

16 (6) it is essential therefore to establish a Depart-  
17 ment of Education to provide Federal leadership, to  
18 insure effective enforcement of equal opportunity legis-  
19 lation in education, to weigh and consider major educa-  
20 tional policy issues confronting the Nation, and to  
21 facilitate a continuing renewal of the educating institu-  
22 tions and policies of the United States.

DEPARTMENT OF EDUCATION ESTABLISHED

23 SEC. 3. There is established an executive department  
24 which shall be known as the Department of Education  
25 (hereinafter referred to as the "Department").  
26



## OFFICERS

1  
2 **SEC. 4.** (a) The Department shall be administered by  
3 a secretary of Education (hereinafter referred to as the  
4 "Secret/~ly" ), who shall be appointed by the President,  
5 by and with tilt' advice and consent of the Senate, and who  
6 shall receive compensation at the rate prescribed for level  
7 I of the Federal Executive Salary Schedule under section  
8 5312 of title 5, United States Code. The Department shall  
9 be administered under the supervision and direction of the  
10 Secretary.

11 (b) There shall be in the Department an Under Secre-  
12 tary of Education who shall be appointed by the President  
13 by and with the advice and consent of the Senate. The  
14 Under Secretary shall perform such duties and exercise  
15 such powers as the Secretary shall prescribe. During the  
16 absence or disability of the Secretary, or in the event of a  
17 vacancy in the office of the Secretary, the Under Secretary  
18 shall act as Secretary. The Under Secretary shall receive  
19 compensation at the rate prescribed for level III of the  
20 Federal Executive Salary Schedule established under sec-  
21 tion 5314 of title 5, United States Code.

22 (c) There shall be in the Department a General Counsel  
23 and four Assistant Secretaries of Education as follows:

24 (1) Assistant Secretary of Education for Legislative  
25 and Public Affairs;

1 (2) Assistant Secretary of Education for Admin-  
2 istrative and Management Policy;

3 (3) Assistant Secretary of Education for Evalua-  
4 tion and Planning; and

5 (4) Assistant Secretary of Education for Intergov-  
6 ernmental Relations.

7 Each of such Assistant Secretaries shall be appointed by  
8 the President, by and with the advice and consent of the  
9 Senate. Each such Assistant Secretary shall perform such  
10 duties and exercise such powers as the Secretary shall pre-  
11 scribe. During the absence or disability, or in the event of a  
12 vacancy in the office of the Secretary or of the Under Secre-  
13 W, an Assistant Secretary determined according to such  
14 order as the Secretary shall prescribe shall act as Secretary.  
15 Each Assistant Secretary and the General Counsel shall  
16 receive compensation at the rate prescribed for level IV  
17 under section 5315 of title 5, United States Code.

## POWERS AND DUTIES OF THE SECRETARY

18 Sec. 5. (a) The Secretary shall be responsible for  
19 the exercise of all functions of the Department, and shall  
20 have authority to direct and supervise all personnel and  
21 activities thereof.

22 (b) (1) The Secretary is authorized to appoint and  
23 fix the compensation of such officers and employees, and  
24

1 prescribe their functions, as may be necessary to carry out  
2 the purposes and functions of this Act.

3 (2) The Secretary may obtain the services of experts  
4 and consultants in accordance with the provisions of section  
5 3109 of title 5, United States Code.

6 (c) The Secretary may promulgate such rules and  
7 regulations as may be necessary to carry out the functions  
8 vested in the Secretary or in the Department, and may  
9 delegate authority for the performance of any such func-  
10 tion to any officer or employee under the Secretary's  
11 direction and supervision.

12 (d) The Secretary shall cause a seal of office to be  
13 made for the Department, of such design as the President  
14 shall approve, and judicial notice shall be taken thereof.

15 FUNCTIONS OF THE DEPARTMENT

16 Sec. 6. (a) It is the principal function of the Depart-  
17 ment to promote the cause and advancement of education  
18 throughout the United States.

19 (b) In addition to any other function of the Secretary  
20 under the provisions of this Act, the Secretary is authorized  
21 to—

22 (1) advise the President with respect to the prog-  
23 ress of education, including the recommendation of  
24 long-range goals and priorities;

1 (2) develop and recommend to the President ap-  
2 propriate policies and programs to foster the ordl'rly  
3 growth and development of the educational facilities  
4 and resources of the United States especially in the light  
5 of long-range requirements;

6 (S) exercise leadership at the direction of the Presi-  
7 dent in coordinating Federal activities affecting edu-  
8 cation;

9 (4) conduct continuing comprehensive surveys,  
10 and to collect, analyze, and disseminate relevant infor-  
11 mation, data, and statistics, concerning education in the  
12 United States;

13 (5) provide information and such other assistance  
14 as may be authorized by the Congress to aid in the  
15 maintenance of efficient school, college, and university  
16 or other education systems;

17 (6) encourage comprehensive planning by State  
18 find local governments, especially with respect to coor-  
19 dinating Federal, State, and community educational  
20 activities at the local level; and

21 (7) provide leadership by conducting studies, mak-  
22 ing recommendations, and administering discretionary  
23 programs to facilitate the continuing development of the  
24 American educational system.

## TRANSFER OF FUNCTIONS AND AGENCIES

1           Sec. 7. (a) There are transferred to the Secretary, all  
2 functions of the Secretary of Health, Education, and **Wcl-**  
3 fare or the Commissioner of Education, as the case may be-

4  
5           (1) with respect to and being administered by the  
6 Secretary through the Education Division of the Depart-  
7 ment of Health, Education, and Welfare;

8           (2) with respect to and being administered by the  
9 Secretary through the Office of Child Development of  
10 the Department of Health, Education, and Welfare  
11 regarding Headstart;

12           (3) any advisory committee in the Department of  
13 Health, Education, and Welfare giving advice to and  
14 making recommendations which concern education  
15 primarily;

16           (4) under section 394 of the Communications Act  
17 of 1934; relating to Federal grants for the construction  
18 of television and radio broadcasting facilities to be used  
19 for educational purposes;

20           (5) with respect to and being administered by the  
21 Secretary through the Office of Civil Rights for the  
22 enforcement of those provisions of law and education  
23 orders which apply to educational institutions, including  
24 title VI (insofar as it relates to educational financial

1 assistance) and titles VII and IX of the Education  
2 Amendments of **1972** and Executive Order 11246 (in-  
3 sofar as it pertains to employer's holding Federal con-  
4 tracts in education) ;

5           (G) with respect to all functions of the National  
6 Foundation on the Arts and the Ilumanities including  
7 all functions of the National Endowment for the Arts  
8 and all functions of the National Endowment for the  
9 Humanities;

10           (7) with respect to all Federal laws concerning the  
u relationship between Gallaudet College, Howard Uni-  
12 versity, and American Printing House for the Blind, and  
13 the Department of Health, Education, and Welfare;

14           (8) with respect to the operation of schools for  
15 dependents of members of the Armed Force by the  
16 Secretary of Defense;

17           (9) with respect to the operation of schools for  
18 Indian children being administered by the Secretary of  
19 the interior through the Bureau of Indian Affairs;

20           (10) with respect to the National School Lunch  
21 Act, and the operation of the Graduate School, being  
22 administered by the Secretary of Agriculture:

23           (11) with respect to title IV of the Housing Act of  
24 1950 relating to college housing, being administered by

1       **(12) with respect to and being** administered by the  
2       Director of the National Science Foundation, the Educa-  
3       tion Directorate.

4       (b) In any case where all of the functions of any agency  
5       or office are transferred pursuant to this Act, except any  
6       committee transferred under subsection (a) (3) of this sec-  
7       tion, such agency or office shall lapse.

8       (c) All officers, employees, assets, liabilities, contracts,  
9       records, property, leases, obligations, and commitments and  
10      unexpended balances of appropriations, allocations, and other  
11      funds which the Director of the Office of Management and  
12      Budget determines are to be employed, held, or used pri-  
13      marily in connection with any office, agency, bureau, founda-  
14      tion, or function transferred under the provisions of this Act,  
15      we hereby transferred to the Department.

#### 16                            ADDITIONAL, TRANSFERS

17      SEC. 8. The President is authorized to transfer to the  
18      Department of Education any other agency or instrumental-  
19      ity of the Federal Government which the President deter-  
20      mines has functions relating to education and should be  
21      transferred to the Department of Education to promote eff-  
22      ciency in Government and to carry out the purposes of this  
23      Act. Such transfers shall incorporate, to the extent deemed  
24      desirable, the recommendations of the Federal Interagency  
25      Committee on Education as provided by section 12 (c) and

1      shall be completed within one hundred and eighty days after  
2      the date of enactment of this Act. A report describing such  
3      transfers shall be submitted to the Congress *not* later than  
4      thirty days thereafter.

#### 5                            TRANSFERRED PERSONNEL

6      SEC. 9 Each officer or employee of the United States  
7      or any department or agency thereof who is transferred at  
8      any time to the Department of Education shall be deemed,  
9      effective as of the date of such transfer, to be an officer or  
10     employee of the Department. No reappointment of any  
11     such officer or employee shall be required because of his  
12     transfer to that Department. Except as otherwise specifi-  
13     cally provided by this section, no such officer or employee  
14     shall be reduced in rank, grade, seniority, or rate of com-  
15     pensation because of any such transfer.

#### 16                            PROVISIONS OF LAW APPLICABLE TO THE DEPARTMENT

17      SEC. 10. Except to the extent inconsistent with this  
18      Act, all provisions of law applicable to the executive de-  
19      partments generally shall apply to the Department.

#### 20                            REDESIGNATION OF THE DEPARTMENT OF HEALTH, 21                            EDUCATION, AND WELFARE

22      SEC. 11. **(a) The Department** of Health, Education,  
23      and Welfare is hereby redesignated the Department of  
24      Health and Welfare, and the secretary of Health, Edu-

1 cation, and Welfare is hereby redesignated the Secretary  
2 of Health and Welfare.

3 (b) Any reference to the Department of Health,  
4 Education, and Welfare or the Secretary of Health, Edu-  
5 cation, and Welfare in any other law, rule, regulation, cer-  
6 tificate, directive, instruction, license, or other official paper  
7 in force on the effective date of this Act shall be deemed  
8 to refer and apply to the Department of Health and Wel-  
9 fare and the Secretary of Health and Welfare, respectively.

10 FEDERAL INTERAGENCY COMMITTEE ON EDUCATION

11 SEC. 12. (a) There is hereby established a Federal  
12 Interagency Committee on Education (hereinafter referred  
13 to in this Act as the "Committee").

14 (b) The Committee shall study and make such recom-  
15 mendations as may be necessary to assure effective coordi-  
16 nation of Federal programs affecting education, including—

17 (1) development of Federal programs in accord-  
18 ance with the educational goals and policies of the  
19 Nation;

20 (2) consistent administration of policies and prac-  
21 tices among Federal agencies in the conduct of similar  
22 programs;

23 (3) full and **effective communication** among Fed-

1 **eral** agencies to avoid unnecessary duplication of ac-  
2 tivities with respect to education;

3 (4) adequate procedures for the availability of in-  
4 formation on educational matters requested by the Sec-  
5 retary;

6 (5) recommendations for the improvement of  
7 Federal programs for the purpose of aiding students in  
8 their transition from school to work; and

9 (6) full and effective cooperation with the Secre-  
10 tary on sicj studies and analyses as are necessary to  
11 carry out the purpose of this Act.

12 (c) The Committee shall, within 90 **days** of the enact-  
13 ment of this Act or the appointment and qualification of all  
14 Committee members, whichever is earlier, reconmend to the  
15 President the transfer of such additional responsibilities as  
16 may be appropriate.

17 (d) The Committee shall be composed of the Secretary,  
18 who shall be the Chairperson, and one appropriate represent-  
19 ative of each of the following agencies: The Department  
20 of State, the Department of Defense, the Department of  
21 Agriculture, the Department of Commerce, the Department  
22 of Labor, the Department of Health and Welfare ( as redesi-  
23 gnated by section 11 of this Act), the Department of Housing  
24 and Urban Development, the National Science Foundation,  
25 the National Aeronautics and Space Administration. The

1 **Committee shall** also include the Chairpersons of the National  
2 Endowment for the Arts, and the National Endowment for  
3 the Humanities of the Department.

4 (e) The Chairperson may invite Federal agencies, in  
5 addition to the agencies which are represented on the Com-  
6 mittee under the provisions of subsection (d) of this section,  
7 to designate representatives to participate in meetings of the  
8 Committee on matters of substantial interest to such agencies  
9 which are to be considered by the Committee.

10 (f) The Director of the Office of Management and  
11 Budget, the Chairperson of the Council of Economic Ad-  
12 visers, and the Executive Director of the Domestic Council  
13 may each designate a staff member to attend meetings of  
14 the Committee as observers.

15 (g) The Committee shall meet at least six times in  
16 each year and shall prepare an annual report to the Secretary  
17 concerning its recommendations.

18 (h) Each Federal agency which is represented on the  
19 Committee under the provisions of subsection (d) of this  
20 section shall furnish necessary assistance to the Committee  
21 in accordance with section 214 of the Act of May 3, 1945  
22 (31 U.S.C. 691).

#### 23 NATIONAL ADVISORY COMMISSION ON EDUCATION

24 SEC. 13. (n) There is established a National Advisory  
25 Commission on Education (hereinafter referred to as the

1 “National Commission”) composed of fifteen members  
2 appointed by the President, by and with the advice and  
3 consent of the Senate, from among individuals—

4 (1) who have a demonstrated commitment, in  
5 public or private industries or organizations, for the  
6 enhancement and development of the educational needs  
7 and goals of the Nation;

8 (2) who have competence in assessing the progress  
9 of educational agencies, institutions, and organizations  
10 in meeting those needs and achieving those goals; and

11 (3) who are experienced with the policies or ad-  
12 ministration of State and local educational agencies and  
13 of institutions of higher education.

14 Members shall be appointed for terms of three years, except  
15 that (A) in the case of initially appointed members, as  
16 designated by the President, five members shall be appointed  
17 for terms of one year, five members shall be appointed for  
18 terms of two years, and five members shall be appointed for  
19 terms of three years, and (B) any member appointed to  
20 fill a vacancy shall serve the remainder of the term for  
21 which the member’s predecessor was appointed.

22 (b) The National Commission shall—

23 (1) assist the Secretary in the formulation of Fed-  
24 eral policy with respect to the appropriate role of the  
25 Federal Government in each action;

- 1           **(2) review the administration of, general regula-**  
 2           **tions for, and operation of Federal education programs;**  
 3           (3) advise the Secretary and other Federal offi-  
 4           cials with respects to the educational needs and goals of  
 5           the Nation and assess the progress of the renewal of ap-  
 6           propriate agencies, institutions, and organizations of the  
 7           Nation in order to meet those needs and achieve those  
 8           goals;  
 9           (4) conduct objective evaluations of specific educa-  
 10          tion programs and projects in order to ascertain the  
 11          effectiveness of such programs and projects in achieving  
 12          the purpose for which they are intended;  
 13          (5) make recommendations (including recommen-  
 14          dations for changes in legislation) for the improvement  
 15          of the administration and operation of Federal education  
 16          programs;  
 17          (6) consult with Federal, State, and local and other  
 18          education agencies, institutions, and organizations with  
 19          respect to assessing education in the United States and  
 20          the improvement of the quality of education, including-,  
 21                (A) areas of unmet needs in education, national  
 22                goals, and changing education priorities, and the  
 23                means by which those areas maybe met, developed,  
 24                and achieved;  
 25                (B) specific means of improving the quality

- 1           and effectiveness of teaching, curriculums, and edu-  
 2           cational media and of raising standards of scholar-  
 3           ship and levels of achievement;  
 4           (7) conduct national conferences on the assess-  
 5           ment, improvement, and renewal of education, in which  
 6           national and regional education associations and or-  
 7           ganizations, State and local education officers and ad-  
 8           ministrators, and other education-related organizations,  
 9           institutions, and persons (including parents of children  
 10          participating in Federal educational assistance programs)  
 11          may exchange and disseminate information on the im-  
 12          provement of education;  
 13          (8) conduct, and report on, comparative studies  
 14          and evaluations of education systems in foreign coun-  
 15          tries; and  
 16          (9) advise and assist in the coordination of all  
 17          Federal educational advisory committees, councils or  
 18          commissions.  
 19          (c) The National Commission shall make an annual  
 20          report, and such other reports as it deems appropriate, to the  
 21          President and to the Congress, concerning its findings, recom-  
 22          mendations, and activities.  
 23          (d) In carrying out its responsibilities under this sec-  
 24          tion, the National Commission shall take, together with the  
 25          Secretary, whatever action is necessary to carry out section

1 448 of the General Education Provisions Act, to devise a  
 2 manageable and effective advisory structure for the De-  
 3 partment. The National Commission shall advise the Secre-  
 4 tary on the number of advisory bodies that are necessary  
 5 and the manner in which such bodies relate to one another.  
 6 The National Commission shall consult with the National  
 7 Advisory Council on the Education of Disadvantaged  
 8 Children, the National Advisory Council on Education  
 9 Professions Development, the National Council on Educa-  
 10 tion Research, and such other advisory councils and com-  
 11 mittees as may be appropriate to carry out its functions  
 12 under this subsection. All Federal agencies are directed  
 13 to cooperate with the National Commission in carrying  
 14 out its functions under this subsection.

15 (c) The National commission is authorized to pro-  
 16 cure such technical assistance as may be required to carry  
 17 out its functions and the secretary shall, in addition, make  
 18 available to the National commission such secretarial, cleri-  
 19 cal, and other assistance and such pertinent data prepared  
 20 by the Department as the National Commission may re-  
 21 quire to carry out its functions.

22 (f) Members of the National Commission who are not  
 23 in the regular full-time employ of the United States shall,  
 24 while attending meetings or conferences of the National  
 25 Commission or while otherwise engaged in the business of

1 the National Commission, be entitled to receive compensa-  
 2 tion at a rate fixed by the Secretary, but not exceeding the  
 3 rate specified at the time of such service for grade GS-18  
 4 under section 5332 of title 5, United States Code, including  
 5 traveltime, and while so serving on the bus-mess of the  
 6 National Commission away from their homes or regular  
 7 places of business they may be allowed travel expenses, in-  
 8 eluding per diem in lieu of subsistence, as authorized by  
 9 section 5703 of title 5, United States Code, for persons em-  
 10 ployed intermittently in the Government service.

11 (g) The president shall nominate members to the Na-  
 12 tional Commission not later than thirty days after the date  
 13 of enactment of this Act.

14 OFFICE OF THE INSPECTOR GENERAL

15 SEC. 14. (a) As used in this section—

16 (1) the term “Inspector General” means the In-  
 17 spector General of the Department;

18 (2) the term “Deputy” means the Deputy In-  
 19 spector General of the Department; and

20 (3) the term “Federal agency” means an agency  
 21 as defined in section 552 (e) of title 5, United States  
 22 Code, but shall not be construed to include the General  
 23 Accounting Office.

24 (b) There is hereby established in the Department an  
 25 Office of Inspector General.



1 (c) There shall be the head of the Office an Inspec-  
 2 tor General who shall be appointed by the President, by and  
 3 with the advice and consent of the Senate, solely on the  
 4 basis of integrity and demonstrated ability and without re-  
 5 gard to political affiliation. The Inspector General shall report  
 6 to and be under the general supervision of the Secretary or,  
 7 to the extent such authority is delegated, the Under Secre-  
 8 tary, but shall not be under the control of, or subject to  
 9 supervision by, any other officer of the Department.

10 (d) There shall also be in the Office a Deputy In-  
 11 spector General appointed by the President, by and with  
 12 the advice and consent of the Senate, solely on the basis of  
 13 integrity and demonstrated ability and without regard to  
 14 political affiliation. The Deputy shall assist the inspector  
 15 General in the administration of the Office and shall, during  
 16 the absence or temporary incapacity of the Inspector Gen-  
 17 eral, or during a vacancy in that office, act as Inspector  
 18 General.

19 (c) The Inspector General or the Deputy may be  
 20 removed from office **by the president**. The President shall  
 21 communicate the reasons for any such removal to both  
 22 Houses of Congress.

23 (f) The Inspector General and the Deputy shall each  
 24 be subject to the provisions of subchapter III of chapter 73,

1 title 5, United States Code, notwithstanding any exemption  
 2 from such provisions which might otherwise apply.

3 (g) It shall be the duty and responsibility of the  
 4 inspector General—

5 (1) to supervise, coordinate, and provide policy  
 6 direction for auditing and investigative activities relat-  
 7 ing to programs and operations of the Department;

8 (2) to recommend policies for, and to conduct,  
 9 supervise, or coordinate other activities carried out or  
 10 financed by the Department for the purpose of promot-  
 11 ing economy and efficiency in the administration of, or  
 12 preventing and detecting fraud and abuse in, its pro-  
 13 grams and operations;

14 (3) to recommend policies for, and to conduct,  
 15 supervise, or coordinate relationships between, the De-  
 16 partment and other Federal agencies, State and local  
 17 governmental agencies, and nongovernmental entities  
 18 with respect to (A) all **matters relating to the promo-**  
 19 **tion of economy and efficiency in the administration of,**  
 20 **or the prevention and detection of fraud and abuse in,**  
 21 **programs and operations administered or financed by the**  
 22 **department, or (B) the identification and prosecution**  
 23 **of participants in such fraud or abuse; and**

24 (4) to keep the Secretary and the Congress fully  
 25 and currently informed, by means of the reports re-

1     quired by subsection (i) and otherwise, concerning fraud  
 2     and other serious problems, abuses, and deficiencies re-  
 3     lating to the administration of programs and operations  
 4     administered or financed by the Department, to recom-  
 5     mend corrective action concerning such problems, abuses,  
 6     and deficiencies, and to report on the progress made in  
 7     implementing such corrective action.

8     (h) In carrying out the responsibilities specified in sub-  
 9     section (g) (1), the Inspector General shall have authority  
 10    to approve or disapprove the use of outside auditors or to  
 11    take other appropriate steps to insure the competence and  
 12    independence of such auditors.

13    (i) In carrying out the duties and responsibilities pro-  
 14    vided by this section, the Inspector General shall give par-  
 15    ticular regard to the activities of the Comptroller General of  
 16    the United States with a view to avoiding duplication and  
 17    insuring effective coordination and cooperation.

18    (j) The Inspector General shall, not later than March 31  
 19    of each year, submit a report to the Secretary and to the  
 20    Congress summarizing the activities of the Office during the  
 21    preceding calendar year. Such report shall include, but need  
 22    not be limited to-

23           (1) identification and description of significant  
 24    problems, abuses, and deficiencies relating to the admin-

1     istration of programs and operations of the Department  
 2     disclosed by such activities;

3           (2) a description of recommendations for corrective  
 4     action made by the Office with respect to significant  
 5     problems, abuses, or deficiencies identified and described  
 6     under paragraph (1) ;

7           (3) an evaluation of progress made implementing  
 8     recommendations described in the report or, where ap-  
 9     propriate, in previous reports; and

10          (4) a summary of matters referred to prosecutive  
 11     authorities and the extent to which prosecutions and  
 12     convictions have resulted.

13    (k) The Inspector General shall make reports on a  
 14    quarterly basis to the Secretary and to the appropriate com-  
 15    mittees or subcommittees of the Congress identifying any  
 16    significant problems, abuses, or deficiencies concerning which  
 17    the Office has made a recommendation for corrective action  
 18    and on which, in the judgment of the Inspector General,  
 19    adequate progress is not being made.

20          (1) The Inspector General shall report immediately  
 21     to the Secretary and to the appropriate committees or sub-  
 22     committees of the Congress whenever the Office becomes  
 23     aware of particularly serious or flagrant problems, abuses,  
 24     or deficiencies relating to the administration of programs  
 25     and operations of the Department. The Deputy and Assist-

1 **ant** Inspectors **General shall have particular** responsibility  
 2 for informing the Inspector General of such problems,  
 3 abuses, or deficiencies.

4 (m) The Inspector General (A) may make such addi-  
 5 tional investigations and reports relating to the administra-  
 6 tion of the programs and operations of the Department as  
 7 arc, in the judgment of the Inspector General, necessary or  
 8 desirable, aud (B) shall provide such additional information  
 9 or documents as may be requested by either House of Con-  
 10 gress or, with respect to matters within their jurisdiction,  
 11 by any committee or subcommittee thereof.

12 (n) Notwithstanding any other provision of law, the  
 13 reports, information, or documents required by or under  
 14 this section shall be transmitted to the Secretary and the  
 15 Congress, or committees or subcommittees thereof, by the  
 16 Inspector General without further clearance or approval.  
 17 The Inspector General shall, insofar as feasible, provide  
 18 copies of the reports required under subsections (j) and  
 19 (k) to the Secretary sufficiently in advance of the due date  
 20 for their submission to Congress to provide a reasonable  
 21 opportunity for comments of the Secretary to be appended  
 22 to the reports when submitted to Congress.

23 (0) In addition to **the authority** otherwise provided by  
 24 this section, the Inspector General in **carrying out** the pro-  
 25 visions of this section, is authorized—

1 (1) to have access to all records, reports, audits,  
 2 reviews, documents, papers, recommendations, or other  
 3 material available to the Department which relate to pro-  
 4 grams and operations with respect to which the Inspec-  
 5 tor General has responsibilities under this section;

6 (2) to request such information or assistance as  
 7 may be necessary for carrying out the duties and re-  
 8 sponsibilities provided by this section from any Fed-  
 9 eral, State, or local governmental agency or unit thereof;

10 (3) to require by subpoena the production of all  
 11 information, documents, reports, answers, records,  
 12 accounts, papers, **and other data and documentary evi-**  
 13 **dence necessary in the performance of the functions as-**  
 14 **signed by this section, which Subpena, in the case of con-**  
 15 **tumacy or refusal to obey, shall be enforceable by order**  
 16 **of any appropriate United States district court;**

17 (4) to have direct and prompt access to the Secre-  
 18 tary when necessary for any purpose pertaining to the  
 19 performance of functions and responsibilities under this  
 20 section;

21 (5) in the **event that a budget request for the Office**  
 22 **of Inspector General is reduced, before submission to**  
 23 **Congress, to an extent which the Inspector General**  
 24 **deems seriously detrimental to the adequate performance**

1 of the functions nabdated by this section, the Inspector  
2 General shall so inform the Congress without delay;

3 (6) to select, appoint, and employ such officers and  
4 employees as may be necessary for carrying out the  
5 functions, powers, and duties of the Office subject to the  
6 provisions of title 5, United States Code, governing  
7 appointments in the competitive service, and the provi-  
8 sions of chapter 51 and subchapter III of chapter 53 of  
9 such title relating to classification and General Schedule  
10 pay rates;

11 (7) to obtain services as authorized by section 3109  
12 of title 5, United States Code, at daily rates not to exceed  
13 the equivalent rate prescribed for grade GS-18 of the  
14 General Schedule by section 5332 of title 5, United  
15 States Code;

16 (8) to the extent and in such amounts as may be  
17 provided in advance by appropriations Acts, to enter  
1 8 into contracts and other arrangements for audits, studies,  
19 analyses, and other services with public agencies and  
20 with private persons, and to make such payments as may  
21 be necessary to carry out the provisions of this section.

22 (p) (1) Upon request of the Inspector General for k-  
23 **formation** or assistance under subsection (o) (2), the head  
24 of any Federal agency involved shall, insofar as is **practicable**,

1 **and** not in contravention of any existing statutory restriction,  
2 or regulation of the Federal agency from which the informa-  
3 tion is requested, furnish to the Inspector General, or to an  
4 authorized designee, such "reformation or assistance.

5 (2) Whenever information or assistance requested un-  
6 der subsection (o) (1) or (o) (2) is, in the judgment of the  
7 Inspector General, unreasonably refused or not provided, the  
8 Inspector General shall report the circumstances to the Sec-  
9 retary and to the appropriate committees or subcommittees  
10 of the Congress without delay.

11 (3) In the event any record or other information re-  
12 quested by the Inspector General under subsection (o) (1)  
13 or (o) (2) is not considered to be available under the  
14 provisions of section 552a(b) (1), (3), or (7) of title 5,  
15 United States Code, such record or information shall be  
16 available to the Inspector General in the same manner and  
17 to the same extent it would be available to the Comptroller  
18 General.

19 (q) The Secretary shall provide the Inspector General  
20 and his stall with appropriate and adequate office space at  
21 central and field office locations of the Department, together  
22 with such equipment, office supplies, and communications  
23 facilities and services as may be necessary for the operation  
24 of such offices, and shall provide necessary maintenance

1 servies for such offices and the equipment and facilities  
2 located therein.

3 (r) (1) The Inspector General shall receive compen-  
4 sation at the rate provided for level IV of the Executive  
5 Schedule by section 5315 of title 5, United States Code.

6 **(2) The** Deputy shall receive compensation at the rata  
7 provided for level V of the Executive Schedule by section  
8 5316 of title 5, United States Code.

9 (s) There are hereby transferred to the Office of In-  
10 spector General the functions, powers, and duties of the  
11 Office of Inspector General in the Department of Health,  
12 Education, and Welfare established under title II of the Act  
13 entitled "An Act to authorize conveyance of the interests  
14 of the United States in certain lands in Salt Lake County,  
15 Utah, to Shriners' Hospitals for Crippled Children, a Colo-  
16 rado corporation," approved October 15, 1976 (90 Stat.  
17 2429) which the Director of the Office of Management and  
18 Budget determines to be principally involved in education.

19 (t) The personnel, assets, liabilities, contracts, prop-  
20 erty, records, and unexpended balances of appropriations,  
21 authorizations, allocations, and other funds employed, held,  
22 used, arising from, available or to be made available, of  
23 any office or agency the functions, powers, and duties of

1 which are transferred under subsection (s) are hereby  
2 transferred to the Office of Inspector General.

3 (u) Personnel transferred pursuant to subsection (t)  
4 shall be transferred in accordance with applicable laws and  
5 regulations relating to the transfer of functions except that  
6 classification and compensation of such personnel shall not  
7 be reduced for one year after such transfer.

8 (v) In any case where all functions, powers, and  
9 duties of any office or agency are transferred pursuant to  
10 this subsection, such office or agency shall lapse. Any per-  
11 son who, on the effective date of this section, held a position  
12 compensated in accordance with the Executive Schedule,  
13 and who, without a break in service, is appointed in the  
14 Office to a position having duties comparable to those per-  
15 formed immediately preceding such appointment shall con-  
16 tinue to be compensated in the new position at not less than  
17 the rate provided for the previous position, for the duration  
18 of service in the new position.

#### 19 SAVINGS PROVISIONS

20 SEC. 15. (a) All orders, determinations, rules, regula-  
21 tions, permits, contracts, certificates, licenses) and privi-  
22 leges-

23 (1) which have been issued, made, granted, or  
24 allowed to become effective in the exercisc of functions  
25 which are transferred under this Act, by (A) any

1 agency or office or part thereof, any functions of which  
2 are transferred by this Act, or (B) any court of com-  
3 petent jurisdiction, and

4 (2) which are in effect at the time this Act takes  
5 effect, shall continue in effect according to their terms  
6 until modified, terminated, superseded, set aside, or  
7 repealed by the Secretary of Education by any court  
8 of competent jurisdiction, or by operation of law.

9 (b) The provisions of this Act shall not affect any  
10 proceedings pending at the time this section takes effect  
11 before any agency or office, or part thereof, functions of  
12 which are transferred by this Act; but such proceedings,  
13 to the extent that they relate to functions so transferred,  
14 shall be continue before the Department of Education. Such  
15 proceedings, to the extent they do not relate to functions so  
16 transferred, shall be continued before the agency or office,  
17 or part thereof, before which they were pending fit the  
18 time of such transfer. In either case orders shall be issued in  
19 such Proceedings) appeals shall be taken therefrom and Pay-  
20 ments shall be made pursuant to such orders, as if this Act  
21 had not been enacted; and orders issued in any such pro-  
22 ceedings shall continue in effect until modified, terminated,  
23 superseded, or repealed by the Secretary of Education, by a  
24 court of competent jurisdiction, or by operation of law.

25 (c) (1) Except as provided in paragraph (2)–

1 (A) the provisions of this Act shall not affect suits  
2 commenced prior to the date this section takes effect,  
3 and

4 (B) in all such suits proceedings shall be had,  
5 appeals taken, and judgments rendered, in the same  
6 manner and effect as if this Act had not been enacted.

7 No suit, action, or other proceeding commenced by or  
8 against any officer in the officer’s official capacity as an officer  
9 of any agency or office, or part thereof, functions of which  
10 are transferred by this Act, shall abate by reason of the en-  
11 actment of this Act. No cause of action by or against any  
12 agency or office, or part thereof, functions of which are  
13 transferred by this Act, or by or against any officer thereof  
14 in the officer’s official capacity shall abate by reason of the  
15 enactment of this Act. Causes of actions, suits, or other pro-  
16 ceedings may be asserted by or against the United States or  
17 such official of the Department of Education as may be  
18 appropriate and, in any litigation pending when this section  
19 takes effect, the court may at any time, on its own motion or  
20 that of any party, enter an order which will give effect to  
21 the provisions of this subsection.

22 (2) If, before the date on which this Act takes effect,  
23 any agency or office, or officer thereof in the officer’s official  
24 capacity, is a party to a suit, and under this Act-

1 (A) such agency or office, or any part thereof, is  
2 transferred to the Secretary of Education,

3 (B) any function of such agency, office, or part  
4 thereof; or officer is transferred to the Secretary of  
5 Education,

6 then such suit shall be continued by the Secretary of Educa-  
7 tion (except in the case of a suit not involving functions  
8 transferred to the Secretary of Education in which case the  
9 suit shall be continued by the agency, office, or part thereof,  
10 or officer which was a party to the suit prior to the effective  
11 date of this Act).

12 (d) With respect to any function transferred by this  
13 Act and exercised after the effective date of this Act, refer-  
14 ence in any other Federal law to any agency, office, or  
15 part thereof, or officer so transferred or functions of which  
16 are so transferred shall be deemed to mean the department  
17 or officer in which such function is vested pursuant to this  
18 Act.

19 (e) Orders and actions of the Secretary of Education in  
20 the exercise of functions transferred under this Act shall  
21 be subject to judicial review to the same extent and in the  
22 same manner as if such orders and actions had been by the  
23 agency or office, or part thereof, exercising such functions,  
24 immediately preceding their transfer, action upon the record,

1 relating to notice, hearings, action upon the record,  
2 or administrative review that apply to any function trans-  
3 ferred by this Act shall apply to the exercise of such func-  
4 tion by the Secretary.

5 (f) In the exercise of the functions transferred under  
6 this Act, the Secretary shall have the same authority as  
7 that vested in the agency or office, or part thereof, exer-  
8 cising such functions immediately preceding their transfer,  
9 and the Secretary's actions in exercising such functions shall  
10 have the same force and effect as when exercised by such  
11 agency or office, or part thereof.

12 (g) The Secretary, in addition to the authority to dele-  
13 gate and redelegate contained in any other Act in the exer-  
14 cise of the functions transferred in this Act to the Secretary  
15 may delegate any of such functions to such officers and  
16 employes of the Department, as the Secretary may desig-  
17 nate, may authorize such successive redelegations of such  
18 functions as the Secretary may deem appropriate and may  
19 make such rules and regulations as may be necessary to  
20 carry out functions of the Secretary.

#### 21 ADMINISTRATIVE PROVISIONS

22 SEC. 16. (a) The Secretary is authorized to establish  
23 a working capital fund, to be available without fiscal year  
24 limitation, for expenses necessary for the maintenance and  
25 operation of such common administrative services as the

1 secretary shall find to be desirable in the interest of economy  
 2 and efficiency in the Department including such services as  
 3 a central supply service for stationery and other supplies  
 4 and equipment for which adequate stocks may be main-  
 5 tained to meet in whole or in part the requirements of the  
 6 Department and its agencies; central messenger, mail, tele-  
 7 phone, and other communications services; office space,  
 8 central services for document reproduction, and for graphics  
 9 and visual aids; and a central library service. The capital  
 10 of the fund shall consist of any appropriations made for the  
 11 purpose of providing capital (which appropriations are  
 12 hereby authorized) and the fair and reasonable value of  
 13 such stocks of supplies, equipment, and other assets and  
 14 inventories on order as the Secretary may transfer to the  
 15 fund, less the related liabilities and unpaid obligations.  
 16 **Such** fund shall be reimbursed in advance from available  
 17 funds of agencies and offices in the Department or from  
 18 other sources, for supplies and services at rates which will  
 19 approximate the expense of operation, including the ac-  
 20 crual of annual leave and the depreciation of equipment.  
 21 The fund shall also be credited with receipts from sale or  
 22 exchange of property and receipts in payment for loss or  
 23 damage to property owned by the fund. There shall be  
 24 covered into the United States Treasury as miscellaneous  
 25 receipts any surplus found in the fund (all assets, liabilities,

1 and prior losses) considered above the timeouts transferred  
 2 or appropriated to establish and maintain such fund.

3 (b) In addition to the authority contained in any other  
 4 Act which is transferred to and vested in the Secretary as  
 5 necessary, and when not otherwise available, the Secretary  
 6 is authorized to provide for, construct, or maintain the follow-  
 7 ing for employees and their depcmlcuts stationed at remote  
 8 localities:

- 9 (1) emergency medical services and supplies;
- 10 (2) food and other subsistence supplies;
- 11 (3) motion picture equipment and film for recrea-  
 12 tion and training; and
- 13 (4) living and working quarters and facilities.

14 The furnishing of medical treatment under paragraph (1)  
 15 and the furnishing of services and supplies under paragraphs  
 16 (2) and (3) of this subsection shrill be at prices **reflecting**  
 17 **reasonable** value **as determined by the Secretary and the**  
 18 **proceeds** therefrom shall be credited to the **appropriation**  
 19 from which the expenditure **was made**.

20 (c) (1) The Secretary is authorized to accept, hold,  
 21 administer, and **utilize** gifts and bequests of property, both  
 22 real and personal, for the purpose of aiding or facilitating the  
 23 work of the Department. Gifts and bequests money and  
 24 the proceeds from sales of other property received as gifts or



1 bequests shall be deposited in the Treasury in a separate  
2 fund and shall be disbursed upon order of the Secretary.

3 (2) Upon the request of the Secretary the Secretary of  
4 the Treasury may invest and reinvest in securities of the  
5 United States or in securities guaranteed as to principal and  
6 interest by the United States any monies contained in the  
7 fund provided for in paragraph (1). Income accruing from  
8 such securities, and from any other property held by the  
9 Secretary pursuant to paragraph (1) shall be deposited to  
10 the credit of the fund, and shall be disbursed upon order  
11 of the Secretary.

12 (d) Nothing contained in this section is intended to  
13 amend, modify, or repeal any provisions of law administered  
14 by the Department of Health, Education, and Welfare which  
15 authorize the making of contracts for research.

#### 16 ANNUAL REPORT

17 Sec. 17. The Secretary shall, as soon as practicable after  
18 the end of (such fiscal year, prepare a report to the President  
19 for submission to the congress on the activities of the Depart-  
20 ment during the preceding fiscal year. Each such report  
21 shall also contain objective data regarding changing trends  
22 in education, including enrollments, expenditures, numbers of  
23 teachers and other categories of professional and related  
24 personnel; special needs of critical concern such as the dis-

1 advantaged, rural, and urban education, and progress made  
2 toward the continuing renewal of education; the results and  
3 outcomes of education and schooling, including the overall  
4 results on generally recognized standard examinations for  
5 entrance to undergraduate and graduate institutions; budget  
6 projections for five years based on actual or anticipated  
7 appropriations for the fiscal year in which the annual report  
8 is issued; recommendations as to the improvement of pro-  
9 grams for the handicapped, recommendations with respect  
10 to the advisory structure of the Department including  
11 the names and composition of advisory committees and conn-  
12 ous and the relationships the committees and councils bear to  
13 one another and recommendations as to the elimination of  
14 overlapping advisory committees and similar data.

#### 15 CONFORMING AMENDMENTS

16 Sec. 18. (a) Section 19 (d) (1) of title 3, United States  
17 Code, is amended—

18 (1) by striking out “Secretary of Health, Educa-  
19 tion, and Welfare”; and

20 (2) by inserting before the period at the end there-  
21 of a comma and the following: “Secretary of Health and  
22 Welfare, Secretary of Education”.

23 (b) Section 101 of title 5, United States Code, is  
24 amended—

1 (1) by striking out "Health, Education, and Wel-  
 2 fare." and inserting "Health and Welfare."; and  
 3 (2) by adding at the end thereof: "The Depart-  
 4 ment of Education."  
 5 (c) Section 5312 of title 5, United States Code, is  
 6 amended—  
 7 (1) by striking out  
 8 " (10) Secretary of Health, Education, and Wel-  
 9 fare  
 10 and inserting in lieu thereof  
 11 " ( 0) Secretary of Health and Welfare." ;  
 12 (2) by striking out " (13)" and inserting in lieu  
 13 thereof " (14)" ; and  
 14 (3) by inserting immediately after  
 15 " (12) Secretary of Transportation."  
 16 the following:  
 17 " (13) Secretary of Education." .  
 18 (d) Section 5314 of title 5, United States Code, is  
 19 amended—  
 20 by striking out  
 21 " (6) Under Secretary of Health, Education, and  
 22 Welfare."  
 23 and inserting in lieu thereof:

1 " (6) Under Secretary of Health and Welfare." ;  
 2 and  
 3 ~~is~~ by adding at the end thereof the following:  
 4 " (62) Under Secretary of Education."  
 5 (c) Section 5315 of title 5, United States Code, is  
 6 amended—  
 7 ( ) by striking out "Assistant Secretaries of  
 8 Health, Education, and Welfare 5)" and inserting in  
 9 lieu thereof the following: "Assistant Secretaries of  
 10 Health and Welfare (+)" ;  
 11 (2) by striking out "(General Counsel of the De-  
 12 partment of Health, Education, and Welfare." and in-  
 13 serting in lieu thereof the following: "General Counsel  
 14 of the Department of Health and Welfare." ; and  
 15 (3) by adding at the end thereof the following:  
 16 " ( +) Assistant Secretary of Education for Leg-  
 17 islative and Public Affairs.  
 18 " ( 5) Assistant of Education for Ad-  
 19 ministrative and Management Policy.  
 20 " (116) Assistant Secretary of Education for  
 21 Evaluation and Planning.  
 22 " (117) Assistant Secretary of Education for Inter-  
 23 governmental Relations.  
 24 " (118) General Counsel, Department of Education.

1 “ (119) Inspector General Department of Educa-  
2 tion.”.

3 EXPENDITURES AUTHORIZED

4 SEC. 19. The Secretary is authorized to make such  
5 expenditures **(including expenditures for personal serv-**  
6 **ices and rent at the seat of government find elsewhere, for**  
7 lawbooks, hooks of reference and periodicals, and for print-  
8 ing and binding) as may be necessary to carry out the pro-  
9 visions of this Act, and as may be provided for by the  
10 Congress from time to time.

11 APPROPRIATIONS AUTHORIZED

12 Sec. 20. Three are authorized to be appropriated such  
13 sums as may be necessary to enable the Department to carry  
14 out the **provisions** of this Act and to perform any other  
15 **duties which may be** imposed upon it by law.

16 EFFECTIVE?

17 SEC. 21. The provisions of this Act shall be effective on  
18 its date of enactment.

**A BILL**

To establish a Department of Education, and  
for other purposes.

By Mr. RIBICOFF, Mr. MAGNUSON, Mr.  
HUMPHREY, Mr. PELL, Mr. NUNN, Mr.  
ALLEN, Mr. BARTLETT, Mr. BATH, Mr. BELL-  
MON, Mr. CHILES, Mr. CHURCH, Mr. CLARK,  
Mr. CRANSTON, Mr. DeCONCINI, Mr. DOM-  
ENICI, Mr. EAGLETON, Mr. FORE, Mr. HART,  
Mr. HEINZ, Mr. HOLLINGS, Mr. INOUE, Mr.  
JACKSON, Mr. KENNEDY, Mr. MCGOVERN,  
Mr. MATSUNAGA, Mr. MELCHER, Mr. MUSKIE,  
Mr. PEARSON, Mr. RANDOLPH, Mr. SASSER,  
Mr. SPARKMAN, Mr. STAFFORD, Mr. STONE,  
Mr. WEICKER, and Mr. WILLIAMS

MARCH 11 (legislative day, FEBRUARY 21), 1977

Read twice and referred to the Committee on  
Governmental Affairs