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Director of Government Affairs

April 21, 1982

Ms. Thelma Duggin
Deputy Assistant to the President
Office of Public Liaison
128 OEO Building
Washington, D. C. 20500

Dear Thelma:

Please find enclosed:

- . Analysis of President Reagan's Executive Order 12320 and Report on Implementation (DRAFT), and
- . Legality of a Set-Aside for Black Colleges and Universities in Federal Higher Education Financial Aid Programs.

These two documents are shared with you for your information and review. I am ready to meet with you and discuss the issues raised.

Sincerely,

Niles C. White

NCW/rmj

Encls.

DRAFT

ANALYSIS OF PRESIDENT REAGAN'S EXECUTIVE ORDER 12320

AND

REPORT ON IMPLEMENTATION

Prepared by

The Office of Government Affairs
UNITED NEGRO COLLEGE FUND, INC.

Niles C. White, Director

INTERNAL DOCUMENT-----NOT FOR DISTRIBUTION

April, 1982

EXECUTIVE SUMMARY

President Reagan has committed his Administration to significantly increasing HBC&Us' participation in Federally sponsored programs through Executive Order 12320, which he signed on September 15, 1981.

A First Annual Federal Plan has been drafted after an Initial Policy Review was completed in November, 1981.

As of April 13, 1982, the Draft Annual Plan projects estimated decreases in Federal funds for HBC&Us during FY 1982. These decreased funds seem likely to reduce student financial assistance by 10 to 20 percent for UNCF institutions in FY 1982. It is anticipated that Title III HEA funds to UNCF institutions will also decline. An increase in R&D funding in both science and non-science areas is estimated at between 7 and 12 percent.

UNCF presidents will be asked to assess the Executive Order budgetary and program plans. This report has been prepared to provide:

1. A better understanding of the Executive Order 12320, its implementation and continuing operation.
2. Assistance to UNCF member colleges in determining the impact of the Annual Federal Plan on their institutions.
3. Analysis of government activities concerned with HBC&Us as a background for commentary and assessment of the Annual Federal Plan.
4. Data needed by UNCF member institutions for effective transmittal of their needs and goals to President Reagan.
5. Preparation for UNCF faculty and administrators for their role in the dialogue between Executive Agencies and the White House Initiative staff.

Although every effort has been made to collect all the data required for a complete analysis, there are omissions in agency reports. Aggregate figures available may or may not reflect such omissions.

ACKNOWLEDGEMENTS

The White House Initiative staff, located within the Department of Education, has been most helpful in the analysis of this program and by their provision of the preliminary data which is summarized in this report.

Particular thanks and acknowledgements are due Dr. Margaret J. Seagears, newly appointed Director of the White House Initiative and also Director, Office of External Relations, Office of Post-secondary Education, Department of Education. Dr. Seagears inherited the seven month old Executive Order responsibility in the midst of the preparation and presentation of the First Annual Federal Plan to the President, the Vice President and the Cabinet Council on Human Resources. Dr. Seagears is committed to open communication and cooperation with Historically Black Colleges and Universities (HBC&U) Presidents for the accomplishment of this vitally important Presidential Order.

Acknowledgement is also made of the assistance of the approximately sixty Agency Representatives and Liaisons who are part of the White House Initiative.

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I.

INTRODUCTION AND OVERVIEW

While campaigning in 1980, President Reagan committed himself and his future administration to the support of Historically Black colleges and Universities (HBC&Us). Both privately and in public statements, such as:

I can understand why Blacks are so deeply concerned about the diminishing share of financial support and overregulation of Black institutions of higher learning by Mr. Carter's Department of Education. The plight of the Black colleges reminds us all of unfinished work of bringing all disadvantaged groups into the mainstream of America. This is the message of Black College Day. I support it, I applaud it, and, if I am elected President, I will not forget it.

Additionally, in an October 13, 1980 letter to Lionel Hampton, President Reagan committed himself to ". . . increase the Black colleges' share of the Federal budget . . ."

Executive Order 12320

President Reagan took the first step toward fulfilling these commitments when, on September 15, 1981, he issued Executive Order 12320 (Appendix A). At that time he reiterated that his was a "serious commitment to protecting these unique educational institutions . . ." and adding, "I am happy today to sign a new Executive Order that will strengthen the federal commitment to historically Black colleges . . ."

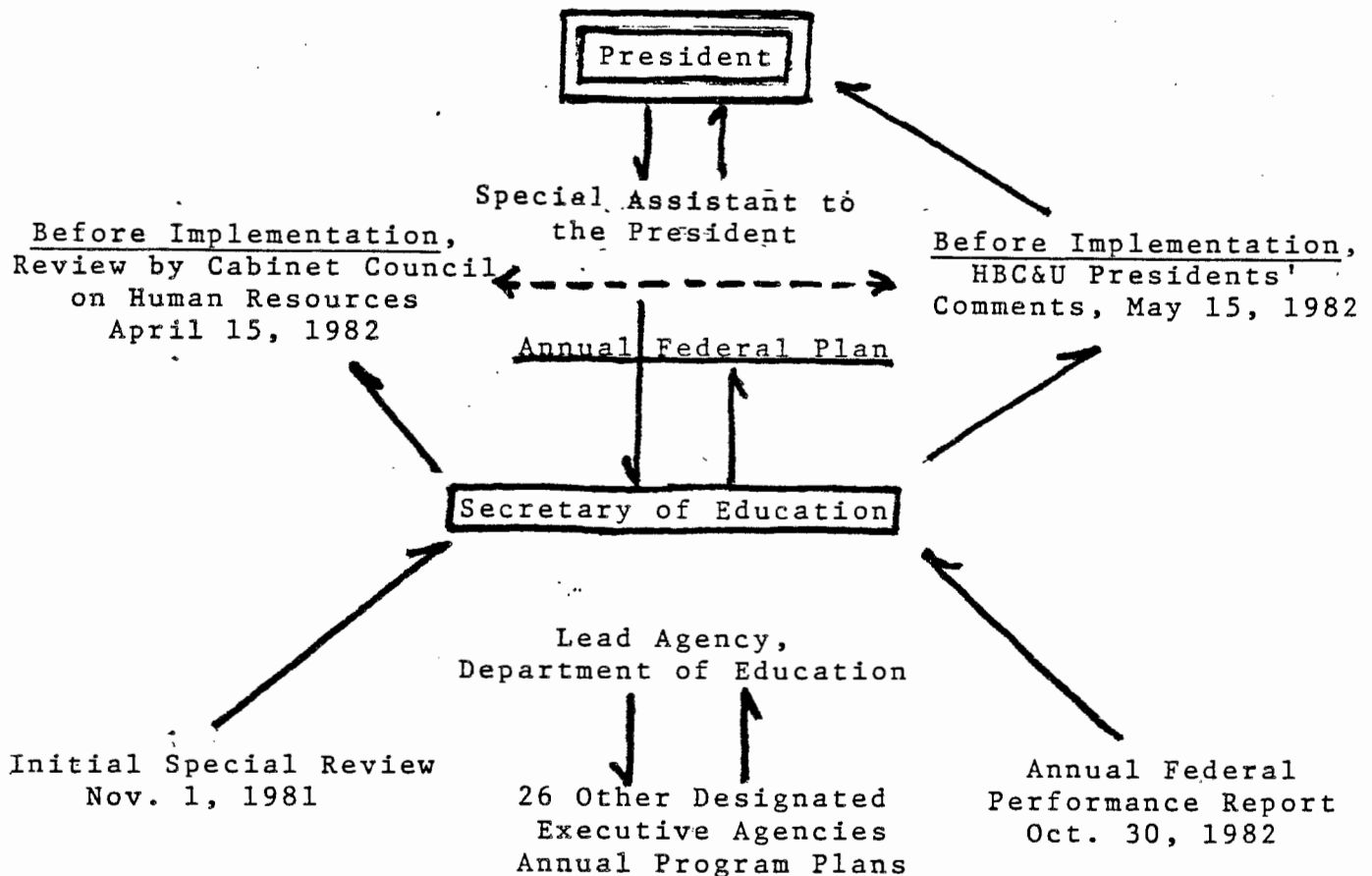
President Reagan stated further,

Our commitment takes several forms. First the Executive Order commits us to increase Black college participation in federally sponsored programs. Secondly, this Order mandates government-wide coordination to ensure that these colleges and universities are given a full opportunity to participate in federally sponsored programs.

This administration believes in setting measurable objectives To ensure that the Annual Federal Plan called for in this Order gets results, I am

directing Secretary of Education Bell to submit an Annual Performance Report on Executive Agency Actions to carry out their plans. This is 'management by objectives' in action.

The Executive Order mandates a series of actions which constitute a process. The diagram below shows the flow of communications, initiated by President Reagan, which has been set in place to operationalize this program:



Each of the planning steps in this process establish measurable and time-oriented objectives which must be accomplished. The schedule of reporting activities set deadlines for the completion of each step (Table I).

Barriers to participation and problems of past under representation of HBC&Us are a concern of this Administration. New and feasible solutions are being sought through the Executive Order.

TABLE I

CALENDAR OF WHITE HOUSE INITIATIVE REPORTING ACTIVITIES

<u>TIME LINE</u>	<u>REPORTING ACTIVITY</u>
April 15, 1982	First Annual Federal Plan Transmitted to White House
May 15, 1982	Report of Comments to First Annual Federal Plan by Presidents of Historically Black Colleges and Universities
July 15, 1982	Report of Mid-Year Progress by Agencies on FY 1982 Estimates
October 30, 1982	Report of Agency Performance for FY 1982 by Actual Dollars
November 15, 1982	Report of Second Annual Agency Plans as Estimated for FY 1983
December 15, 1982	Draft of Second Annual Federal Plan Forwarded to Historically Black Colleges and Universities for Comments
January 30, 1983	Second Annual Federal Plan Transmitted to White House
March 30, 1983	Report of Mid-Year Progress by Agencies on FY 1983 Estimates
June 1, 1983	Report of Agency Performance for FY 1983 by Actual Dollars

First Annual Plan Goal

The draft First Annual Federal Plan for FY'82 established the estimated goal of obligating \$542,859,000 before September 30, 1982. This is a 5.7 percent of all estimated Federal funds to institutions of higher education. Two criteria are hereby set in place for measuring the accomplishment of the goals . . . the total dollar amount to HBC&Us and the percentage of all funds for higher education obligated to HBC&Us.

The President, Vice President and the Cabinet Council on Human Resources will assess the adequacy of Annual Federal Plans submitted by each Executive Department and Agency, based on the Executive Order mandate.

The mandate of the Executive Order calls for a "significant increase" in Black college participation in Federally sponsored programs.¹ Therefore: (1) the absolute dollar amount of obligations for FY 1982 should be greater than the dollar amount obligated in FY 1981. (2) The percentage of dollars obligated in FY 1982 to HBC&Us compared to the percentage of dollars obligated to all higher education institutions should be a greater percentage. (3) Both the absolute and the percentage amounts should be "significantly" increased.

Annual Federal Performance Report

At the end of each fiscal year, an "Annual Federal Performance Report on Executive Agency Actions to Assist Historically Black Colleges" shall be submitted to the President, as mandated in Section 7 of Executive Order 12320. This report shall include performance appraisals of Executive Agency actions during the

¹"Section 1. The Secretary of Education shall supervise Annually the development of a Federal program designed to achieve a significant increase in the participation by historically Black colleges and universities in Federally sponsored programs." (Underlining added) (Appendix A).

preceding year to assist HBC&Us and also include appropriate recommendations for improving the Federal response directed by the Order.

Annual Plans from Executive Agencies were submitted to the Secretary of Education before January 15, 1982 as required by the Plan. The First Annual Federal Performance Report ("report card") will be submitted on October 30, 1982.

Presidents of HBC&Us will be given the opportunity to comment on the proposed Annual Federal Plan each year. Close cooperation on a continuing basis with the White House Initiative Program staff will enable UNCF presidents to participate as full partners in the mandated review process.

Communication of UNCF Member Institutions' Needs and Goals

Each UNCF college should set forth its needs and goals for each fiscal year. This should be done now for FY 1982, FY 1983 and FY 1984. These needs (essential minimum) and goals (desirable optimum) may be set in each of the areas of budgetary concern such as:

1. Student Assistance
2. Facilities and Equipment
3. Faculty and Curriculum
4. Research and Development
5. Personnel Activities
6. Other Institutional Assistance

Outreach assistance may be requested to prepare and track applications for these funds. In addition, new and innovative approaches should be prepared and discretionary funds be found to demonstrate the feasibility of these programs (see Section II), Issues, pp. 18-19 for details on planning).

Uncertainty of the Data

Every effort has been made to cross-check the data included in this report. It is important to understand that all FY 1982 data are very preliminary estimates which may vary considerably by the close of the fiscal year on September 30, 1982.

About \$211 million or 53.4 percent of the \$398 million going to HBC&Us in FY 1979 was in the form of student financial assistance.² The "Draft First Annual Federal Plan," estimates aid to students at \$192,700,000. This projected decrease is small, but some budgetary analysts have questioned the FY 1981 reported \$193 million and believe that the FY 1981 amount of student financial assistance was about \$215 million.

There is also a serious question about the "Research and Development -- Non-Science" area increase from approximately \$149 million to approximately \$177 million. It is thought that Howard University's general operating expenses are included in these figures. Excluding the amounts to Howard University would reduce these totals to approximately \$15 million for FY 1981 and to an estimated \$32 million for FY 1982. This \$17 million increase seems an anomaly in view of the present budget cutbacks.

These two examples illustrate the central communication problem faced by UNCF presidents. It is important to understand the problem before formulation of the questions.

Purpose Of This Report

This report has been prepared in order to provide:

1. A better understanding of the Executive Order 12320, its implementation and continuing operation.
2. Assistance to UNCF member colleges in determining the impact of the Annual Federal Plan on their institutions.
3. Analysis of Government activities concerned with HBC&Us as a background for commentary and assessment of the Annual Federal Plan.
4. Data needed by UNCF member institutions for effective transmittal of their needs and goals to President Reagan.

²Report on the President's Black College Initiative for Fiscal Year 1979, Department of Education.

5. Preparation for UNCF faculty and administrators for their role in the dialogue between Executive Agencies and the White House Initiative staff.

II. ISSUES

Background

In 1969 President Nixon directed Executive Agencies to improve Federal cooperation with HBC&Us. He mandated "Annual Survey Reports" by the Federal Interagency Committee on Education (FICE) regarding the participation of HBC&Us in Federal higher education programs. FICE reports documented that the percentage of Federal funds obligated to HBC&Us compared with the percent obligated to all higher education institutions (HEIs) rose from 3.3 percent in FY 1970 to a peak of 5.5 percent in FY 1974. The percentage of funds to HBC&Us declined in subsequent years (see Tables II and III).

HBC&Us Income Sources

It is important to note that somewhat more than one-half of the funds obligated to HBC&Us have been in the form of student financial aid. Since it is direct aid to students, student assistance money is apportioned to colleges and universities according to per capita enrollment and the income levels of these students. Thus, for most HBC&Us, student assistance funds have been an unpredictable income source. Since student aid funds typically cover less than half of the educational costs of students at HBC&Us, additional monies must be generated to meet the total cost.

Therefore, it has been vital for many HBC&Us, particularly the UNCF private institutions, to receive institutional assistance from the Federal government. State supported HBC&Us receive state funds to help meet their total costs. Private institutions rely on private sector contributions, alumni giving, and endowment income. For the UNCF institutions, endowments are typically

TABLE II

FEDERAL FUNDS OBLIGATED TO BLACK COLLEGES AND TO
 ALL INSTITUTIONS OF HIGHER EDUCATION
 FISCAL YEARS 1970 - 1978

<u>Fiscal Year</u>	<u>Historically Black Colleges</u>	<u>All Institutions of Higher Education</u>	<u>Percent Obligated to Black Colleges</u>
1970	\$121,298,800	\$3,667,923,999	3.3
1971	159,365,500	3,888,306,000	4.1
1972	242,226,400	4,637,637,000	5.2
1973	239,672,800	4,492,567,000	5.3
1974	266,896,000	4,852,814,000	5.5
1975	233,144,300	4,849,590,000	4.8
1976	264,754,000	5,380,022,000	4.9
TQ	84,614,000	1,710,760,000	4.9
1977	341,621,000	6,468,630,000	5.3
1978	361,297,000	7,051,424,000	5.1

Source: Federal Interagency Committee on Education

NOTE:

For purposes of deriving trend data, a constant universe of 100 black institutions has been identified as recipients of Federal funds during the period 1970-1978. Amounts obligated to Alabama Lutheran Academy, Lomax-Hannon College, and Clinton Junior College have been omitted from the 1978 total, since these schools have not been consistently present in past FICE reports. Hence, the 1978 total to historically Black colleges presented in this table differs from previous years in that respect.

TABLE III
 FEDERAL OBLIGATIONS TO INSTITUTIONS OF HIGHER EDUCATION
 AND HISTORICALLY BLACK COLLEGES AND UNIVERSITIES:
 FY 1973-80

Fiscal Year	Total Obligations (Dollars in Thousands)		
	All Institutions	Black Colleges and Universities	Black Colleges and Universities as Percent of Total
1973	3,839,102	223,474	5.8
1974	4,480,372	308,944	6.9
1975	4,547,191	280,851	6.2
1976	5,402,764	365,141	6.8
1977	6,489,735	450,550	6.9
1978	7,471,843	482,961	6.5
1979	7,603,888	<u>a/</u>	<u>a/</u>
1980	8,319,815	437,186	5.3

a/ Data are not available for FY 1979 because of reporting errors by the Department of Education.

Source: National Science Foundation.

small and although alumni giving is increasing rapidly, the per capita annual gifts are relatively small.

However, this Administration's policy of targeting funds to the "truly needy" recognizes that a Federal "safety net" is required to continue to provide support to the neediest and the UNCF institutions who serve them.

Variance Between Data Sources

The FICE data on funds flowing to HBC&Us directly as grants, contracts, and cooperative agreements and indirectly as student assistance, did not include annual support to Howard University which is appropriated specifically by the Congress for that institution in lieu of an endowment. National Science Foundation reports, however, have included those Congressional appropriations for the general operating expenses of Howard University (see Table IV). The inclusion or exclusion of the dollar amount for Howard University's operating expenses in the total funds going to HBC&Us makes a very significant difference, both in the absolute dollar amount and the percentage amount going to HBC&Us of the total funds going to all HEIs. An analysis of these payments to Howard University for FY 1974 through FY 1982 is provided in Table IV.

Research and Development

Federal agencies have tended to consider the HBC&Us a homogeneous group. The fact is, however, that these institutions vary greatly in size, urban/rural location and curriculum. The priority which UNCF members share is their dedication to teaching. Although faculty research is carried out at all HBC&Us, only a few have the extensive laboratories, equipment and specialized faculty necessary for large-scale research projects.

The Draft of the First Annual Federal Plan assumes that the greatest potential for increased support to HBC&Us is in research and development grants and contracts, because only about two percent

TABLE IV
ANALYSIS OF FEDERAL PAYMENT TO HOWARD UNIVERSITY
FOR GENERAL OPERATING EXPENSES

Fiscal Year	Amount
1974	\$ 62,146,000
1975	81,700,000
1976	86,558,000
1977	88,043,000
1978	99,118,000
1979	113,393,000
1980	121,983,000
1981	133,983,000
1982	145,200,000
1983 (estimate)	145,200,000

Source: "House Justifications for Appropriations Estimates,"
House of Representatives, Committee on Appropriations.

of the approximately five billion dollars of Federal R&D activities at all HEIs go to the HBC&Us.

The accompanying Table V, "Ten Leading Historically Black Colleges and University Recipients of Federal Obligations, FY 1980," not only indicates the significance of Howard University's total Federal fund recipients, but also indicates the fact that in FY 1980 Howard University and nine other HBC&Us received more than one-half of all Federal funds going to all 105 HBC&Us. This is largely because of their enrollment and R&D capacity.

The Draft of the First Annual Federal Plan has not targeted the priority concerns in those policy, legislative, regulatory and funding areas which may be changed immediately. UNCF institutions have urgent priority concerns vital to maintaining and enhancing the quality of education and the institutions themselves. Longer term concerns, such as new legislation and building R&D capacity are largely FY 1983 and FY 1984 issues.

TABLE V

TEN LEADING HISTORICALLY BLACK COLLEGE AND UNIVERSITY
RECIPIENTS OF FEDERAL OBLIGATIONS, FY 1980

Institution	Federal Obligations (Dollars in Thousands)
1. Howard University*	\$166,146
2. Meharry Medical College	14,334
3. Jackson State University	12,719
4. Tuskegee Institute	10,038
5. Southern University and A&M College, All Campuses	9,981
6. North Carolina A&T State University	8,046
7. Tennessee State University	7,951
8. Prairie View A&M University	7,306
9. Alabama A&M University	6,954
10. South Carolina State College	6,270
TOTAL	\$249,745
Leading 10 as percent of total	57.1%

*Howard University receives substantial appropriations from Congress each year for general operating expenses. This amount was \$121,983,000 in FY 1980.

Source: National Science Foundation

UNCF Priorities

The UNCF institutions are most vitally affected by changing Federal policy in the following areas:

1. Student financial assistance. Nearly 90 percent of the students attending HBC&Us receive financial assistance from a variety of Federal programs. These funds represent slightly more than 50 percent of the total going to HBC&Us if the special appropriations for Howard University's operating costs are excluded. By contrast, only about 35 percent of the funds going to all other HEIs is for student aid.

Emphasis of legislative proposals by this Administration, because of competing national priorities such as reducing Federal budgetary deficits and the control of inflation, has been to shift away from direct student aid programs such as Pell Grants, toward the Guaranteed Student Loan program. The proposed reductions in Work/Study coupled with no funding in NDSL and SEOG may bring a 30-50 percent HBC&Us student financial aid reduction for FY 1983 as compared with FY 1979 and 1980 levels.

It is interesting to note that the proposed "Work Plan" for the White House Initiatives staff states that "although the Executive Order is specifically designed to direct assistance to institutions and not to individuals, per se, it should be recognized that Federal student assistance programs from several Federal agencies provide a major source of assistance to students who attend historically Black colleges and universities." . . . "Although the overall level of funds available for student assistance is scheduled for reduction, the Administration's policy of targeting funds on the neediest students should lessen any negative impact on students at these colleges and universities."

There are other possible sources of student financial assistance such as the expansion of ROTC programs on UNCF campuses and increased private sector scholarship support. The cuts proposed by the Administration are so large and so imminent that appeal to the Department of Education for targeting of funds remaining after the cuts to HBC&Us is certainly justified by the Executive Order. The White House Initiative staff might either assume responsibility for monitoring this process or assign it.

2. Strengthening developing institutions. President Reagan stated at the Executive Order signing ceremony, . . . "We've made certain that in an era of budget cuts, Black colleges and universities will actually receive a \$9.6 million increase in Federal Title III funds." Recent Regulations by the Administration regarding Title III of the Higher Education Act may adversely impact on all HBC&Us and particularly on the UNCF members. The report, "An Analysis of the Administration's FY 1983 Budget Proposals for Student Financial Aid and Title III Regulations,"¹ details the regulatory barriers which may seriously jeopardize this vitally important program funding for many UNCF members. The White House Initiative staff in the Department of Education should assist in remedying this adverse impact on UNCF institutions.

3. New combinations of program authorities and innovative demonstration projects. Given the above shortages of student aid and institutional assistance funds, the financial viability of UNCF members have entered a crisis period. Recent heavy reliance on traditional student assistance programs has generated dependence on funding patterns at HBC&Us which are more volatile than the patterns found at HEIs in general.

For example, while UNCF colleges are being underutilized as a national resource, a critical shortage of engineers, scientists, skilled technicians, and teachers in these fields has been identified by the National Science Foundation, the Department of Defense and the Congress. Twenty-six UNCF member institutions now offer dual-degree engineering programs, and all 42 institutions have programs in the sciences. By utilizing these UNCF resources, government and industry can help meet a national need as well as significantly increase the very low percentage of minorities represented in the fields of engineering and science. Research, development and discretionary funds should be used now for new combinations of program authorities to launch innovative projects. Some Federal departments and agencies have established by regulation that HBC&Us need not compete for contracts, by allowing contracting officers to cite the Executive Order 12320 as the basis for sole source procurement.

4. Stimulation of initiatives by the private sector. Corporations and other institutions, including voluntary organizations, can strengthen the HBC&Us by grants, gifts, sub-contracting arrangements and joint ventures between HBC&Us and other contractors. Joint ventures and other

¹United Negro College Fund Office of Government Affairs, March, 1982.

collaborative efforts would be encouraged between groups of smaller institutions as well as between larger and smaller universities, with business and industry. Discretionary funds may be used to provide seed money for faculty, student exchanges, internships and work/study opportunities.

5. Targeting other federal funds to UNCF institutions. The fundamental problem of operationalizing this Executive Order is the "know-where," "know-who" and "know-how" required to deliver Federal funds from the more than 350 different programs which provide opportunities for grants, contracts, and cooperative agreements for higher education institutions. UNCF colleges should have a target amount set for each and every program.

6. Technical assistance plans. Substantial technical assistance is required for UNCF members in the development of applications and the monitoring of the fund award process. The technical assistance plans and strategies by Executive agencies vary greatly in substance and in sensitivity to the priorities and needs of the UNCF institutions. Too often the "strategy" is to add the college presidents' names to the agency mailing list. The ensuing flood of mostly irrelevant agency documents is seen by the Presidents as a "tactic" with no measurable result forthcoming.

An analysis of agency barriers indicates that five categories of barriers are most often cited by agency representatives. These are:

- a. Communications
- b. Resources
- c. Technical
- d. Grantsmanship
- e. Regulatory

Other barriers are attitudes, budgets and mutual misunderstanding. Although these have now been identified, they have not yet been remedied. UNCF presidents' comments the proposed Federal Annual Plan will include more categories and many other specific examples of barriers and blocks to the application for funds and the approval of these programs for funding.

It is clear that a variety of outreach activities by Executive Agencies are required. Technical assistance, workshops, agency "open houses," campus familiarization visits, attendance at conferences and meetings are all necessary to eliminate these barriers.

Programs which support the strengthening of the curriculum at UNCF institutions are a high priority. The National Science Foundation (NSF) strategies designed to achieve measurable program goals and/or objectives for FY 1982 includes:

- a. Outreach Activities
- b. Internal Policies and Procedures Improvements
- c. Technical Assistance

The NSF Technical Assistance Plan for HBC&Us says that the NSF will provide "opportunities for HBC&Us to gain the necessary technical expertise for developing proposals that are well organized, scientifically sound, and fully competitive in the Foundation's peer review process for evaluation process is critical if the HBC&Us are to increase their share of research support on a continuing basis. Technical assistance activities by the Foundation will include the consideration of conducting a series of proposal writing workshops, and using the Intergovernmental Personnel Act to familiarize faculty from HBC&Us with the working structure of the Foundation."

The Plan goes on to state, "The Foundation also recognizes that the HBC&Us have a wide range of R&D capability already in existence. This agency shall build upon this capability by providing support to those institutions that: (a) have already established quality research programs but need equipment updating, etc., and, (b) those that have an interest in research activities but lack adequate resources to properly initiate or bring activities up to an acceptable level."

For more details on the NSF commitment to the development of activities to meet the requirements and objectives of President Reagan's Executive Order, see Appendix F.

III.

ANALYSIS OF PRESIDENT REAGAN'S EXECUTIVE ORDER 12320

Purpose

Executive Order 12320 directs the Secretary of Education, in order to advance the development of human potential, to strengthen the capacity of historically Black colleges and universities in providing quality education, and overcoming the effects of discriminatory treatment. To accomplish this mission, the President mandated the Secretary to undertake a series of activities on behalf of historically Black colleges and universities.

Initial Special Review

The Executive Order calls for "Prior to the development of the First Annual Federal Plan, the Secretary of Education shall supervise a special review by every Executive agency of its programs to determine the extent to which historically Black colleges and universities are given an equal opportunity to participate in Federally sponsored programs. The review examine unintended regulatory barriers, determine the adequacy of the announcement of programmatic opportunities of interest to these colleges, and identify ways of eliminating inequities and disadvantages."

The special review provided for in Section 4 (above) was to take place not later than November 1, 1981. On November 1, 1981, the Secretary submitted to the President the results of an initial Special Review of each Executive agency to determine the extent to which HBC&Us are given an equal opportunity to participate in Federally sponsored activities. This review determined that 27 agencies provide the majority of Federal funds available

to all institutions of higher education, including HBC&Us. These Executive Agencies became the special focus of the determination of FY 1981 actual obligations and the FY 1982 estimated obligations.

The review determined the levels of expenditures for FY 1979 and FY 1980 and end-of-year estimate for FY 1981. The specific steps taken to obtain the data was the preparation of two questionnaires (see Appendix B for one sample questionnaire) which were sent to 80 Executive Agencies.

"Barriers" mean regulations, procedures, practices or requirements which have the effect, whether or not intended, of limiting or precluding the participation of historically Black colleges and universities in Federal programs.

"Federally sponsored programs" mean all programs and activities sponsored by Federal agencies in which colleges and universities are eligible to participate, including, but not limited to, such activities as grants, contracts, pre- and post-application technical assistance, personnel recruitment, faculty - staff exchanges, cooperative education, internships and other similar programs.

Specific instructions were provided to Agency Representatives and Liaisons in order to try and ensure the accuracy and consistency of the data. The Assistant Secretary for Postsecondary Education circulated a memorandum to the heads of Federal Executive Departments and Agencies requesting additional data to supplement the information gathered during the initial Special Review. This information was provided to him by November 13, 1981 (see Appendix B for a copy of this questionnaire and Section VI of this report for additional details).

The Assistant Secretary requested a copy of OMB Circular A-11, Section 46.6, which contains in-depth information on total outlays benefiting HBC&Us. This budget submission form was sent to the Assistant Secretary along with the answers to his other questions.

Federal Annual Plan

The President mandated that the Secretary of Education was to establish Annual Plans with each Executive Agency "designated" by the Secretary's criteria. Based on the special review, the Secretary of Education determined that there are 27 Federal agencies which provide most of the Federal funds for HEIs and that HBC&Us derive 98 percent of their Federal funds from these same 27 "designated" agencies. The Agency Annual Plans are to show specifically how each will increase the ability of the HBC&Us to participate in Federally sponsored programs by stating measurable objectives and strategies to achieve them.

Each agency is responsible for developing estimated goals to be reached. The Secretary, in consultation with participating Executive agencies shall then undertake a review of the Agency Plans and develop an integrated "Annual Federal Plan for Assistance to Historically Black Colleges."

The above Annual Federal Plan, with comments by presidents of HBC&Us, will then be presented for consideration by the President, and the Cabinet Council on Human Resources (composed of the Vice President, the Secretaries of Health and Human Services, Agriculture, Labor, Housing and Urban Development and Education, the Attorney General, the Counsellor to the President and the White House Chief of Staff).

Participating Executive Agencies were required to submit their Annual Plans to the Secretary of Education not later than January 15, 1982. The "First Annual Federal Plan for Assistance

to Historically Black Colleges" developed by the Secretary of Education was to be ready for consideration by the President, the Vice President, and the Cabinet Council on Human Resources not later than March 31, 1983.

The "Calendar of White House Initiative Reporting Activities" received April 13, 1982, now calls for the transmittal of the First Annual Federal Plan on April 15, 1982 (Table I).

UNCF Presidents' Comments and Assessment

Section 5 of the Executive Order states "The Secretary of Education shall ensure that each president of a historically Black college or university is given the opportunity to comment on the proposed Annual Federal Plan prior to its consideration by the President, the Vice President, and the Cabinet Council on Human Resources."

The "Report of Comments to the First Annual Federal Plan by Presidents of HBC&Us" is not to be completed by May 15, 1982, after the submission of the Plan to the President and the Cabinet Council on Human Resources.

The newly appointed Director (Appendix G) of the White House Initiative is committed to improving communication, expanding cooperation and participation with and by HBC&U presidents. The future dates for Reporting Activities (see Table I) allow sufficient time for the presidents to assess the Plan and its implementation.

Other important Sections of the Executive Order are Section 6 which calls for the stimulation of initiatives by the private sector businesses and institutions; and Section 3 which requires a mid-year progress report of achievements (see Table I), and an Annual Performance Report, i.e., the "Report Card" measuring each agency's performance.

Executive Order Implementation

The Secretary of Education is responsible for the development of the Federal program designed to achieve significant increases in HBC&Us participation. This program is called the White House Initiative (WHI). This government-wide WHI serves as a framework for individual agencies' activities. A WHI office was established in the Department of Education with the responsibility for the operation of this program. The White House Initiative staff of 12 persons with an annual budget of \$500,000 of non-programatic funds from the Department of Education will enforce compliance.

WHI office staff members will assist each agency in the implementation of its strategies to increase participation by HBC&Us in its programs during FY 1982 and for future years. WHI staff will assist each HBC&U in the identification of appropriate Federal funding sources and the preparation of applications for Federal funds.

IV.

REPORT ON FY 1979, FY 1980 AND FY 1981 OBLIGATIONS AND ESTIMATES

There were some omissions and reporting errors during these years which seriously limit the validity of detailed analysis and its ability to illuminate the issues (see Appendix C for details). As can be seen from the questionnaire, each agency was asked to respond with three sets of computations. The sets of figures requested were the actual funds expended from that agency for FY 1979 and FY 1980 for all HEIs; the actual funds expended for FY 1979 and FY 1980 for HBC&Us and the percentage which the HBC&U part was of the whole HEI amount. The same computations for FY 1981 were estimated by 27 agencies.

Analysis of Data

However, some general statements may be made about the data reported which serve as indications of what was occurring during this period.

As was mentioned previously, about 53 percent of the total funds were for student financial assistance in FY 1979. The student financial assistance shows a downward trend during this period, although many Executive Agencies increased their Federal program dollar obligations from year to year.

The number of Executive Agencies who are increasing their funding obligations--that is to say, increases in FY 1980 over FY 1979 and increases in estimates for FY 1981 over FY 1980, is declining, however.

Most importantly, HBC&Us are receiving a decreasing percentage share of total dollars and for HEIs, despite some absolute dollar amount increases.

The estimates for FY 1981 indicate that less than ten departments and agencies provided more than 95 percent of all HBC&U funds. The top five agencies who reported total expenditures and the amounts they allocated were:

1. The Department of Health and Human Services (HHS): \$44,748,318;
2. The Department of Agriculture (USDA) \$19,270,000.
3. The Department of Labor (DOL): \$10,003,575.
4. The Department of Defense (DOD): \$5,558,000.
5. The National Aeronautics and Space Administration (NASA): \$3,600,000.

Of the ten Federal agencies who were the main funding sources for HBC&Us, only USDA, HUD, DOL and TVA provided funding to the HBC&Us which represented more than five percent of all their higher education institution funding. That is to say, with the exception of these four agencies, all Federal agencies allocated HBC&Us less than five percent of all the monies they allocated for higher education institutions in general.

Of the top five Federal funding sources for HBC&Us listed above, the Department of Health and Human Services, and the Department of Defense provides less than two percent of their total HEI funding to the HBC&Us.

Department of Education

The recently formed Department of Education apparently did not have any data for FY 1979 (see Appendix C). The Education Department at the time of this survey did not report total dollar obligations for FY 1980 or estimates for FY 1981. They did, however, report that their obligations to HBC&Us were less than 1.5 percent in FY 1980 and less than 2 percent is estimated for FY 1981. The NSF reports that Howard University was dominant among leading recipients of Federal support in FY 1980. The major part of the funds going to Howard University for their general

operating expenses come from the Department of Education's budget. The total to Howard was \$166 million for FY 1980, of which approximately \$122 million was for general operating expenses. Howard University's total share was 36 percent of the entire amount of all Federal funds going to all HBC&Us in FY 1980 (see Table IV, pg. 13 and Table V, pg. 15).

Significance of the Data to UNCF Presidents and Institutions

UNCF presidents should have detailed analyses of all Federal department and agency program obligations by "Catalog of Federal Domestic Assistance" (CFDA), with their assigned numbers, in order to understand where Federal funds are coming from and going to, on a continuing basis. This information is available from the Office of Management and Budget (OMB), if not obtainable from the WHI office at the present time. The need for information as to specific agency performance will vary from institution to institution. For further details regarding individual agency performance, see Appendix C.

V.

FIRST ANNUAL FEDERAL PLAN FOR FY 1982

President Reagan said that ". . . this Order mandates government-wide coordination to ensure that these colleges and universities are given a full opportunity to participate in federally sponsored programs." The mission of the Executive Order is to achieve a "significant increase" in HBC&Us participation in Federally sponsored programs. As part of this process to significantly increase participation, the First Annual Federal Plan has been drafted, and a copy of this draft was received on April 13, 1982. This section of the report is based on the estimate of obligations to be made by Executive Agencies before September 30, 1982, i.e., the end of this fiscal year.

Funding Summary

TABLE VI

ALL INSTITUTIONS AND HISTORICALLY BLACK COLLEGES AND UNIVERSITIES
FY 1981 AND FY 1982: (\$ in 000's)

	1981	1982 ⁽¹⁾	Difference	Percent change
Funds to Institutions of Higher Education	\$10,074,953	\$9,503,131	-\$571,822	-5.7%
Funds to historically Black Colleges and Universities	544,794	542,859	1,935	-0.4%
Percentage of funds to historically Black colleges and universities	5.4%	5.7%	0.3%	

(1) 1982 Figures are estimates only.

The Executive Order and remarks by the President and members of his Administration on many occasions, have raised HBC&Us' expectations of a significant increase in funds going to them in FY 1982 and each following year during President Reagan's administration. The Draft of the "First Annual Plan" indicates that there is a variance between those expectations and the estimated obligations planned for this year. As will have been noted above, the projected absolute dollar obligations show an estimated decline in support of \$1,935,000. The planned 0.3 percentage estimated increase to HBC&Us relative to all HEIs is not very "significant."

Table VII and Table VIII below gives the FY 1981 actual expenditures by Federal agencies and their FY 1982 estimates. They also show both the absolute dollar increase or decrease and the percent increase or decrease of planned estimates for FY 1982 over FY 1981.

TABLE VII

Number and percent increase in funding levels to historically Black colleges and universities: FY 1981 actual versus FY 1982 estimates.

AGENCY	FY 1981 ACTUAL	FY 1982 ESTIMATES	Dollar INCREASE	Percent INCREASE
Agriculture	\$34,036,000	\$38,320,000	\$4,284,000	12.6%
Defense	6,189,000	6,688,000	499,000	8%
Education	416,920,000	424,138,000	7,218,000	1.7%
Housing and Urban Dev.	375,000	771,000	396,000	106%
Transportation	712,000	1,839,000	1,127,000	158%
Treasury	0	200,000	200,000	— %
Agency for International Development	1,435,000	4,000,000	2,565,000	179%
Appalachian Regional Commission	124,000	189,000	65,000	52.4%
Central Intel- ligence Agency	192,000	363,000	171,000	89%
International Communication Agency	412,000	415,000	3,000	.07%
Veterans Administration	305,000	1,259,000	954,000	320%
Justice	142,000	250,000	108,000	76%

Source: Draft "First Report on the Annual Federal Plan," The Secretary of Education.

TABLE VIII

Number and percent decrease in funding levels to historically Black colleges and universities: FY 1981 actual versus FY 1982 estimates.

AGENCY	FY 1981 ACTUAL	FY 1982 ESTIMATES	Dollar DECREASE	Percent DECREASE
Commerce	\$354,000	\$323,000	31,000	9%
Energy	2,790,000	1,178,000	1,612,000	58%
Health and Human Services	62,191,000	51,670,000	10,521,000	17%
Interior	1,140,000	0	1,140,000	100%
Labor	6,482,000	3,273,000	3,209,000	50%
Environmental Protection Agency	1,114,000	804,000	310,000	28%
Equal Employ- ment Opportun- ity Commission	0	0	0	(1)
National Endowment for the Humanities	1,063,000	0	1,063,000	100% (2)
National Science Foundation	4,490,000	3,230,000	1,260,000	28%
Nuclear Re- gulatory Com- mission	88,000	84,000	4,000	5%
Small Business Administration	375,000	0	375,000	100%

(1) The agency has \$115,000 available to employ individuals as expert witnesses in court cases.

(2) No funds will be available for awards to institutions of higher education in FY 1982.

Three agencies, -- the Department of State, the National Aeronautics and Space Administration, and the National Credit Union Administration -- reported level funding and both years. The National Endowment for the Arts did not respond to the survey.

Source: Draft "First Report on the Annual Federal Plan," The Secretary of Education.

The Draft First Annual Federal Plan shows Executive agency funding by seven categories:

1. Research and Development - science
2. Research and Development - non-science
3. Program Evaluation
4. Training
5. Facilities and Equipment
6. Fellowships, Traineeships, Recruitments and IPAs
7. Student tuition assistance, Scholarships and Aid

A glossary of the definitions used in data gathering is contained in Appendix D.

An analysis of each Executive agency obligation for FY 1981 and estimates for FY 1982 is contained in Appendix E. This analysis also shows the percentage of funds to HBC&Us, for both fiscal years. Because of the tentative nature of the Draft estimates planned for FY 1982, meaningful comparisons cannot be made at this time.

The Draft does not indicate whether this data follows the FICE reporting practice of excluding operating funds for Howard University or whether a policy decision has been made to change this practice and follow the NSF reporting procedure of including Howard University's general operating expenses in the funds shown as obligated to all HBC&Us. If Howard's funding is included for FY 1981 and the FY 1982 estimates, then for comparative purposes with the traditional FICE reporting procedures and amounts reported by them since FY 1970, the FY 1981 total would be approximately \$411,000,000 rather than the \$544,794,000 indicated by the White House Initiative staff. The FY 1982 estimated obligations would be approximately \$398,000,000 rather than the nearly \$543,000,000 estimated by the White House Initiative staff.

In this case, the Annual Federal Plan Draft of April 13, 1982, would show a significant decrease of about \$13 million rather than the approximately \$2 million decrease projected.

As noted above, a 5.7 percent decrease in funding levels for all HEIs is forecast for this year. The estimated 3 percent decline forecast for HBC&Us would still be less than the 5.7 percent decrease for all HEIs.

IT IS NOT UNREASONABLE TO ANTICIPATE THAT THERE WILL BE A FY 1982 DECREASE OF \$10 MILLION IN THE AREA OF STUDENT FINANCIAL ASSISTANCE, because:

1. Somewhat more than 50 percent of the estimated total obligations are for student aid.
2. Recent trends show declines in student aid each year.
3. The present policy is to further reduce student aid.

Given the reliance of UNCF institutions on student financial assistance funds, and the magnitude of the possible decrease, either this Draft First Annual Federal Plan requires amendment to conform with the Executive Order or UNCF institutions must raise the funds from private sources to cover this Federal funding shortfall.

The probable consequences of the present Draft Annual Federal Plan would be to reduce Federal funding for HBC&Us (excluding Howard University's operating costs) to about the FY 1979 total of \$394,443,000. It is important to note that all of the above numbers are in constant dollars with no adjustment for inflation.

There are some gains in various categories of assistance which will enhance institutional development and growth:

1. Research and development funding in both science and non-science categories will increase by 10.6 in FY 1982;
2. The Agency for International Development projects a 179 percent increase of funds, and the Department of Transportation increased its funding level by 158 percent;
3. The Department of the Treasury, which provided no funds in FY 1981, intends to make an award of \$200,000 in FY 1982;

4. Not shown is the new Department of Agriculture Facilities Bill which will provide, if funds are appropriated, \$10 million a year for five consecutive years for the historically Black Land-Grant Colleges and Universities established by the Second Morrill Act of 1890.

Other Supportive Activities

Many Federal departments and agencies reported non-quantifiable support of importance in implementing the Executive Order. Some examples will indicate the range and depth of this kind of important liaison activity:

1. The Department of Education supports the National Advisory Committee on Blacks in Higher Education and Black Colleges and Universities which has developed and published more than 13 volumes and 9 Fact Sheets of statistical information and analysis concerning the past, present and projected needs of Blacks in Higher Education. All activity including quarterly meetings of the Advisory Committee is supported from non-programmatic funds totaling \$325,300 in FY 1981 and a projected \$302,100 in FY 1982.
2. The National Science Foundation has plans to bring together all agencies and departments with strong research and development funds, such as the Departments of Defense, Energy, and Agriculture, and the Nuclear Regulatory Commission to identify potential strategies to increase the participation of historically Black colleges and universities in research and development activities.
3. The National Center for Education Statistics is compiling a comprehensive, statistical report assembling all available historical data related to the establishment, growth, operation and participation of historically Black colleges and universities in Federal programs.
4. The National Science Foundation has prepared, as a part of its Minority Research Initiative (Appendix F), a Directory of Black Scientists who can serve as review candidates for evaluation of proposals in scientific areas. Similar directories are available in other Federal agencies.

VI.

CONCLUSIONS AND RECOMMENDATIONS

The terms of reference for President Reagan's Executive Order and the meaning of the White House Initiative require a new set of definitions and perspectives. There are important differences presently between UNCF priorities, on the one hand, and the issues and recommendations to be considered by the President, as set forth in the "Draft Frist Annual Federal Plan,"* on the other hand.

The Calendar of White House Initiative Reporting Activities (Table I) calls for a "Report of Comments to First Annual Federal Plan by Presidents of Historically Black Colleges and Universities" to be completed by May 15, 1982.

The UNCF presidents may comment on any aspect of the Plan including the terms of reference and definitions, in order to facilitate accuracy of subsequent communications. For example:

1. Base-line data. As was seen from the above, FICE reports have excluded Howard University's operating funds, whereas NSF reports include these amounts. It was established in 1969 (when FICE surveys were begun) and continued through until the present time, that this amount be excluded. The amount is so relatively large, \$145 million for FY 1982 out of an estimated \$543 million, that its inclusion would tend to distort the trends. Both NSF and FICE agree, however, that total Federal obligations have continued to decline since 1974.
2. Definition of Terms. It is important to recognize that the estimates of Federal fund commitments represent only "obligations" of funds. Obligations differ from expenditures in that obligations are funds allocated during one fiscal year to be spent by the recipient either partially or entirely during that fiscal year or subsequent fiscal years.

*Note: The final First Annual Federal Plan has not yet been completely formulated and released. All comments and references made herein are therefore to the Draft received April 13, 1982.

3. Detailed Analysis by Program. The First Annual Federal Plan goal is to obligate \$542,859,000 to HBC&Us before September 30, 1982. This amount represents 5.7 percent of all funds to higher education institutions (HEIs). An analysis of this amount by Departments and Agencies with FY 1981 comparisons is included in the Appendix E. A further breakdown by program within each Department and Agency is required for detailed comment. Such a breakdown may best be done based on the "Catalog of Federal Domestic Assistance" (CFDA) with CFDA number assigned to each program. It is this analysis of where the money is coming from which will provide some indication of where it is going that should be commented on in detail, by UNCF Presidents.
4. Office of Management and Budget Role. Since this is a long-term Plan and the FY 1983 budget is already being debated by the Congress while the FY 1984 budget is in process of preparation by the Administration, the Office of Management and Budget (OMB) has an essential role to play in the implementation of the Executive Order. OMB not only reviews Department and Agency plans for future fiscal years, but monitors and double-checks on procurement plans which are the basis of all budgets. OMB could then ensure that budgets for future years submitted by Federal Agencies contained HBC&Us' targeted amounts and the White House Initiative "report card" could be regularly compared with OMB findings and budget plans as a double check on the accomplishments. Since OMB has the responsibility for budgetary accountability, it should monitor the whole process on a continuing basis.
5. Other Possibilities. Numerous opportunities may be found for increasing the participation of UNCF member institutions in Federally sponsored programs. Each UNCF president will be invited soon to comment on the First Annual Federal Plan. Some possible examples of areas most open to significant increases are:
 - a. Establishment of a set-aside of student assistance for low-income minority students attending HBC&Us. Federal financial aid policies have the greatest effect on HBC&Us of all HEIs. The financial aid program office could develop financial outreach activity which will provide greater technical assistance to HBC&Us.

- b. Require each agency to identify resources which would increase the R&D capabilities of HBC&Us by providing them with laboratory equipment, facilities and incentives to attract researchers.
- c. Require Departmental Secretaries and Agency Heads to set aside a certain amount of their discretionary funds for historically Black colleges and universities' activities.
- e. Target the 27 Executive Agencies for minimum spending goals. Each Federal department and agency's budget obligation to HBC&Us may be increased by ten percent or more.

On October 30, 1982, the "First Annual Federal Performance Report on Executive Agency Actions to Assist Historically Black Colleges" will be presented to the President. This "report card" will have the actual FY 1982 obligations to HBC&Us from each Executive Agency.

At that same time, each UNCF president may prepare a "report card" for all HBC&Us and measure where his institution ranked in the distribution of Federal funds among all HBC&Us for FY 1982.

The conclusion of this report is that present FY 1982 estimates indicate a decline in Federal funds for UNCF institutions. Of the 100 HBC&Us surveyed by FICE in 1978, 14 private institutions received less than \$1.0 million dollars. The FY 1982 results may significantly increase the numbers of UNCF members in all lower category amounts (see Table IX).

TABLE IX
 PROJECTED DISTRIBUTION OF FEDERAL FUNDS
 AMONG HISTORICALLY BLACK COLLEGES
 FOR FISCAL YEAR 1982

<u>Amount of Support</u>	<u>Number of Institutions</u>		
	<u>Public</u>	<u>Private</u>	<u>Total</u>
More than \$10 million	1	3*	4
\$7.5 million to \$9.99 million	5	0	5
\$5.0 million to \$7.49 million	8	2	10
\$3.0 million to \$4.99 million	15	5	20
\$2.0 million to \$2.99 million	6	10	16
\$1.0 million to \$1.99 million	4	18	22
Less than \$1.0 million	0	23	23
TOTAL	39	61	100

*Howard University is counted as a private institution and is projected to receive a total of \$190 million in FY 1982.

Dangers of Loss of Federal Funds

There is a very real, current urgency to mount efforts to counter the trends now revealed as planned patterns by the analysis of estimated obligations for FY 1982.

The immediate effects of a failure to meet the Draft First Annual Federal Plan goal could be:

1. Faculty and staff layoffs.
2. Faculty and staff salary cuts.
3. Deferral of physical plant maintenance and postponement of new construction.
4. Cash flow shortage resulting in loss of endowment capital.
5. Forced closing or merger of some institutions.

Close cooperation on a continuing basis will enable UNCF presidents to participate as full partners in the White House Initiative planning and implementation. A tripartite partnership of UNCF members, the Federal Government, and the private sector can both implement the Executive Order 12320 and carry out the intention of President Reagan, in letter and in spirit.

APPENDIX A

EXECUTIVE ORDER 12320

Issued by

PRESIDENT RONALD REAGAN

September 15, 1981

Source: Federal Register, Vol. 46, No. 180.

Presidential Documents

Title 3—

Executive Order 12320 of September 15, 1981

The President

Historically Black Colleges and Universities

By the authority vested in me as President by the Constitution of the United States of America, in order to advance the development of human potential, to strengthen the capacity of historically Black colleges and universities to provide quality education, and to overcome the effects of discriminatory treatment, it is hereby ordered as follows:

Section 1. The Secretary of Education shall supervise annually the development of a Federal program designed to achieve a significant increase in the participation by historically Black colleges and universities in Federally sponsored programs. This program shall seek to identify, reduce, and eliminate barriers which may have unfairly resulted in reduced participation in, and reduced benefits from, Federally sponsored programs. This program will also seek to involve private sector institutions in strengthening historically Black colleges.

Sec. 2. Annually, each Executive Department and those Executive agencies designated by the Secretary of Education shall establish annual plans to increase the ability of historically Black colleges and universities to participate in Federally sponsored programs. These plans shall consist of measurable objectives of proposed agency actions to fulfill this Order and shall be submitted at such time and in such form as the Secretary of Education shall designate. In consultation with participating Executive agencies, the Secretary of Education shall undertake a review of these plans and develop an integrated Annual Federal Plan for Assistance to Historically Black Colleges for consideration by the President and the Cabinet Council on Human Resources (composed of the Vice President, the Secretaries of Health and Human Services, Agriculture, Labor, Housing and Urban Development, and Education, the Attorney General, the Counsellor to the President, and the White House Chief of Staff).

Sec. 3. Each participating agency shall submit to the Secretary of Education a mid-year progress report of its achievement of its plan and at the end of the year an Annual Performance Report which shall specify agency performance of its measurable objectives.

Sec. 4. Prior to the development of the First Annual Federal Plan, the Secretary of Education shall supervise a special review by every Executive agency of its programs to determine the extent to which historically Black colleges and universities are given an equal opportunity to participate in Federally sponsored programs. This review will examine unintended regulatory barriers, determine the adequacy of the announcement of programmatic opportunities of interest to these colleges, and identify ways of eliminating inequities and disadvantages.

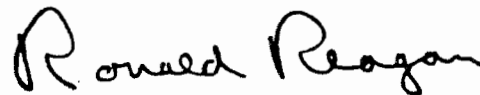
Sec. 5. The Secretary of Education shall ensure that each president of a historically Black college or university is given the opportunity to comment on the proposed Annual Federal Plan prior to its consideration by the President, the Vice President, and the Cabinet Council on Human Resources.

Sec. 6. The Secretary of Education, to the extent permitted by law, shall stimulate initiatives by private sector businesses and institutions to strengthen historically Black colleges and universities, including efforts to further improve their management, financial structure, and research.

Sec. 7. The Secretary of Education shall submit to the President, the Vice President, and the Cabinet Council on Human Resources an Annual Federal Performance Report on Executive Agency Actions to Assist Historically Black Colleges. The report shall include the performance appraisals of agency actions during the preceding year to assist historically Black colleges and universities. The report will also include any appropriate recommendations for improving the Federal response directed by this Order.

Sec. 8. The special review provided for in Section 4 shall take place not later than November 1, 1981. Participating Executive agencies shall submit their annual plans to the Secretary of Education not later than January 15, 1982. The first Annual Federal Plan for Assistance to Historically Black Colleges developed by the Secretary of Education shall be ready for consideration by the President, the Vice President, and the Cabinet Council on Human resources not later than March 31, 1982.

Sec. 9. Executive Order No. 12232 of August 8, 1980, is revoked.



THE WHITE HOUSE,
September 15, 1981.

[FR Doc. 81-27177
Filed 9-15-81; 1:25 pm]
Billing code 3195-01-M

THE WHITE HOUSE

Office of Media Liaison

For Immediate Release

September 15, 1981

REMARKS OF THE PRESIDENT
AT LUNCHEON HONORING BLACK COLLEGE SUPPORTERS

THE PRESIDENT: Good afternoon. We are gathered today because all of us want to nourish and protect an American institution that has served this nation well. I am, of course, referring to the traditional Black colleges and universities.

Hundreds of thousands of young Americans received training at these schools over the last 100 years, expanding their opportunities as individuals and laying the foundation for social progress. It should never be forgotten that when educational opportunities were denied elsewhere, these institutions offered hope to the Black Americans--hope for a better life and hope that someday they would break the bonds of prejudice and discrimination.

These educational institutions did their job well. They have produced 50 percent of the Black business executives, 75 percent of the Black military officers, 80 percent of the Black judges, and 85 percent of the Black physicians in this country.

The Black colleges and universities in America have offered Black citizens a variety of opportunities to develop their skills and talents. It is through such diversity that freedom flourishes. And it is through the education they offer that individuals can make themselves into the type of people they choose to be, not what some central planner says they should be.

In the pursuit of equal opportunity for Black Americans, economics becomes as important as education. For a long period of our history, Black people were prevented the chance of bettering themselves not only because they were denied the opportunity to learn, but because job opportunities were limited as well.

It will do no good to educate young people if there are no jobs for them once they get out of school. And you, more than any of our citizens, know how important a vibrant economy is to the progress of Black Americans particularly, and all Americans as well.

America's declining economy cut Black family income. From 1959 to 1969 the median family income of Blacks, after adjusting for inflation, rose at 5 percent per year, but from 1969 to 1979 it stopped going up and actually dropped.

MORE

I believe that our economic program will provide more opportunity for all Americans, including Black college graduates. Most Black progress has occurred during times of prosperity in America, and we are working to create a new era of prosperity for everyone.

Economic dislocation hurts institutions as well as individuals. America's colleges and universities have been hard pressed to maintain standards in the face of inflation that increases the cost of everything from books to typewriters.

With this in mind and with a serious commitment to protecting these unique educational institutions, we have made certain that in an era of budget cuts Black colleges and universities will actually receive a \$9.6 million increase in Federal Title III funds—a jump of almost 8 percent.

In our continuing review of Executive Orders, we found a need to improve upon an existing order on historically Black colleges. I am happy today to sign a new Executive Order that will strengthen the Federal commitment to historically Black colleges, while seeking new ways for the private sector to increase its support for these vital institutions.

Our commitment takes several forms:

First the Executive Order commits us to increase Black college participation in federally sponsored programs.

Secondly, this order mandates government-wide coordination to ensure that these colleges and universities are given a full opportunity to participate in federally sponsored programs.

Now, we all know that the Federal Government has a troublesome history of issuing reports with no teeth in them. This Administration believes in setting measurable objectives—and then turning loose the creative resources to meet them. To ensure that the Annual Federal Plan called for in this Order gets results, I am directing Secretary of Education Bell to submit an Annual Performance Report on Executive Agency Actions to carry out their plans. This is "management by objectives" in action. The "report card" prepared by Secretary Bell will be reviewed by the Cabinet Council on Human Resources, the Vice President, and me.

To reinforce this Administration's commitment, I am asking Vice President Bush to play a special role. The Vice President will work with the heads of Federal agencies to help ensure the fullest cooperation possible in conducting a special policy review to serve as a basis for all our future planning on Black colleges and universities. He will then discuss the findings with the Presidents of the historically Black colleges.

Finally, this Executive Order breaks new ground by calling on the Secretary of Education to encourage private sector initiatives in assisting historically Black institutions. The Federal Government's role can be to provide equal opportunity, but the private sector has an even greater potential, and a challenging responsibility, to provide direct assistance to these institutions.

MORE

We should remember that, just as in the past, the future success of these schools will depend, more than anything else, on the efforts of Black Americans. What has been accomplished already is a tremendous source of pride.

But now is not the time to rest on past accomplishments. The future depends on an even stronger commitment to excellence and diversity in education. To paraphrase the motto of the United Negro College Fund, let us recognize that America's historically Black college is a terrible thing to waste.

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APPENDIX B

SPECIAL AGENCY REVIEW

November, 1981

Source: Assistant Secretary for Higher Education, U.S. Department
of Education.

I

INTRODUCTION

Executive Order No. 12320 requires each Federal agency designated by the Secretary of Education to establish an annual plan to increase the ability of historically Black colleges and universities to participate in federally sponsored programs. The Order also requires the Secretary of Education to supervise a review of these agency plans and to develop an integrated Federal plan. To carry out the Order , each agency shall examine its legislation, regulations, policies and procedures for each program for which higher education institutions are eligible to participate to identify unintended barriers, inadequate communication, and any other inequities that work to the disadvantage of these institutions. Each agency shall devise specific and measurable ways to identify, reduce, and eliminate these barriers.

II

Response to the questions below will provide a preliminary backdrop on how your agency is presently working with historically Black colleges and universities.

- A. What percent of program dollars are given annually to historically Black colleges and universities by your agency?
- B. It is necessary for special set asides to be made for historically Black institutions by your agency?
- C. Do your present regulations encourage historically Black colleges and universities to seek funding from your agency?
- D. Are there any special regulations in your agency that give special consideration to historically Black colleges and universities?

- E. Are there procedures, regulations or other barriers which prevent the participation of historically Black colleges and universities in your programs?
- F. Are present announcement policies of your agency providing adequate information to historically Black institutions about programs that would be of interest to these colleges and universities?
- G. Outline steps that could be taken to increase by 10% to 20% programmatic opportunities for historically Black institutions that are interested in your agency's programs.
- H. As advocates for increasing the historically Black colleges and universities' participation in your agency program, could your agency eliminate inequities and disadvantages that these colleges and universities presently face in working with your agency?
- I. Does your agency conduct annual or other periodic reviews of its regulations, policies and administrative procedures to ensure greater participation of historically Black colleges and universities in the programs the agency sponsors?
- J. What are some immediate steps your agency can take to ensure that the implementation of Executive Order No. 12320 will be successful in your agency?
- K. Outline a plan of action that will increase your agency's ability to provide an equal opportunity for historically Black colleges and universities to participate in the programs sponsored by your agency.

III

OMB Circular A-11 Section 46.6 requests in-depth information on total outlays benefiting traditional Black colleges and universities.

Please submit a copy of your agency's Budget Submission form that was submitted to OMB on this section.

A. Describe below the level of participation of historically Black colleges and universities in all of your agency's programs for which postsecondary or higher education institutions are eligible to participate. This description shall include the actual outlay for all Higher Education Institutions (HEIs) and the actual outlay for all Historically Black Colleges and Universities (HBCUs). A percentage should be calculated to determine the amount of the total allocation which was received by the Historically Black Colleges and Universities.

ACTUAL FY 1979			ACTUAL FY 1980			ESTIMATE FY 1981		
All HEIs	HBCUs	%	All HEIs	HBCUs	%	All HEIs	HBCUs	%

B. Where there has been relatively low participation (less than ten percent) by historically Black colleges and universities, describe below your agency's assessment of the reason(s) for the low participation. This description shall:

1. Identify barriers by examining legislative, regulatory or procedural policies that may have resulted in reduced participation of these institutions in your agency's programs.

LIST OF BARRIERS

CFDA NO.	NAME OF PROGRAM	DESCRIPTION OF BARRIER

C. Describe below your agency's plan for reducing or eliminating barriers.

LIST OF BARRIERS	PLAN FOR ELIMINATING BARRIERS

D. Describe below your agency's plan (using measurable objectives) for increasing the participation of historically Black colleges and universities in your agency's program.

E. Describe below your agency's plan for involving the private sector in strengthening the historically Black colleges and universities.

The agency shall complete this review and submit it to the Secretary of Education not later than November 11, 1981. The report shall be sent to:

Mr. Milton Bins
Executive Director
White House Initiative on Historically Black
Colleges and Universities
Department of Education
Room 3034, FOB 6
400 Maryland Avenue, S.W.
Washington, D.C. 20202

APPENDIX C

SPECIAL REVIEW

AGENCY PERFORMANCE REPORT

November, 1981

Source: White House Initiative, U.S. Department of Education.

Agency Performance Based on FY 80-81 Ranking of Percentage
Change In HBCU Funding

Department/Agency	ANNUAL PROGRAM DOLLARS TO HBCUs (% of ALL HEIs) (\$000)			ANALYSIS OF ANNUAL CHANGES IN FEDERAL AGENCY HBCU CONTRIBUTIONS		
	FY'79	FY'80	FY'81	% CHANGE FY'79 to FY'80	% CHANGE FY'80 to FY'81	% CHANGE FY'79 to FY'81
1. National Credit Union Administration	Not Available	\$ 4,700 (100%)	\$ 31,000 (60%)	Not Available	+ 559.6	Not Available
2. Department of the Treasury	\$ 7,269 (19.2%)	\$ 4,000 (8.9%)	\$ 16,086 (37.4%)	- 45.0	+ 302.2	+ 121.3
3. Department of the Defense	\$ 1,747,000 (0.7%)	\$ 2,978,000 (1.0%)	\$ 5,558,000 (1.7%)	+ 70.5	+ 86.6	+ 218.2
4. Department of Labor	\$ 4,974,547 (13.6%)	\$ 5,490,714 (15.8%)	\$10,003,575 (24.9%)	+ 10.4	+ 82.2	+ 101.1
5. Tennessee Valley Authority	\$ 19,922 (1.1%)	\$ 186,500 (6.3%)	\$ 296,290 (8.3%)	+836.2	+ 58.9	+1,387.3
6. Agency for International Development	\$ 3,445,000 (0.8%)	\$ 956,000 (0.2%)	\$ 1,153,000 (0.2%)	- 72.3	+ 20.6	- 66.5
7. Department of Commerce	Not Available	\$ 446,389 (0.3%)	\$ 506,260 (0.6%)	Not Available	+ 13.4	Not Available
8. Department of Agriculture	\$16,360,000 (12.5%)	\$17,785,000 (12.5%)	\$19,270,000 (14.9%)	+ 8.7	+ 8.4	+ 17.8
9. Department of Energy	\$ 1,000,000 (0.4%)	\$ 2,100,000 (0.8%)	\$ 1,900,000 (0.7%)	+110.0	- 9.5	+ 90.0
10. Department of Health and Human Services	\$ 42,413,250 (1.7%)	\$50,957,492 (1.9%)	\$44,748,318 (1.7%)	+ 20.2	- 12.2	+ 5.5
11. National Aeronautics and Space Administration	\$ 2,333,000 (2.3%)	\$ 4,595,000 (2.6%)	\$ 3,600,000 (1.9%)	+ 97.0	- 21.7	+ 54.3
12. Appalachian Regional Commission	\$ 812,392 (10.7%)	\$ 1,083,167 (26.9%)	\$ 123,390 (13.6%)	+ 33.0	- 88.6	- 84.8

Agency Performance Based on FY 80-81 Ranking of Percentage
Change In HBCU Funding

Department/Agency	ANNUAL PROGRAM DOLLARS TO HBCUs (% of ALL HEIs)			ANALYSIS OF ANNUAL CHANGES IN FEDERAL AGENCY HBCU CONTRIBUTIONS		
	FY'79	FY'80	FY'81	% CHANGE FY'79 to FY'80	% CHANGE FY'80 to FY'81	% CHANGE FY'79 to FY'81
13. Department of Housing and Urban Development	\$ 8,617,000 (10.1%)	\$15,450,000 (17.7%)	\$ 1,021,000 (14.2%)	+ 79.3	- 93.4	- 88.2
14. Department of Trans- portation	\$ 1,410,562 (6.8%)	\$ 1,042,882 (4.0%)	Not Available	- 26.1	Not Available	Not Available
15. National Science Foundation	\$ 6,395,675 (1.0%)	\$ 3,150,900 (0.4%)	Not Available	- 50.7	Not Available	Not Available
16. Central Intelligence Agency	Not Available	Not Available	Not Available (<1%)			
17. Department of Education	Not Available	Not Available (<1.5%)	Not Available (<2.0%)			
18. Department of Interior	Not Available	Not Available	Not Available (<4.0%)			
19. Department of State	Not Available	Not Available	Not Available			
20. General Services Administration	Not Available	Not Available	Not Available			
21. National Endowment of the Arts	Not Available	Not Available (<1%)	Not Available			
22. National Endowment the Humanities	Not Available	1,560,915 (2.8%)	Not Available			

Agency Performance Based on FY 80-81 Ranking of Percentage
Change In HBCU Funding

<u>Department/Agency</u>	<u>ANNUAL PROGRAM DOLLARS TO HBCUs (% of ALL HEIs)</u>			<u>ANALYSIS OF ANNUAL CHANGES IN FEDERAL AGENCY HBCU CONTRIBUTIONS</u>		
	<u>FY'79</u>	<u>FY'80</u>	<u>FY'81</u>	<u>% CHANGE FY'79 to FY'80</u>	<u>% CHANGE FY'80 to FY'81</u>	<u>% CHANGE FY'79 to FY'81</u>
23. Nuclear Regulatory Commission	Not Available	Not Available	\$ 83,823 (5.2%)			
24. Small Business Administration	Not Available	Not Available	533,129 (5.1%)			
25. ACTION	None	None	None			
26. Equal Employment Opportunity Commission	None	None	None			
27. Environmental Protection Agency	Not Available	Not Available	Not Available			
28. Veterans Administration	Not Available	Not Available	Not Available			
29. Smithsonian	Not Available	Not Available	Not Available			
30. International Communication Agency	Not Available	2.0%	2.0%			

APPENDIX D

DEFINITIONS

December 17, 1981

Source: White House Initiative.

DEFINITIONS

For the purposes of this Report, the following definitions were used in data-gathering:

- (1) HIGHER EDUCATION INSTITUTIONS: Any institution of higher education in the United States and territories that offers at least two years of college-level studies. Institutions to be included in the definition are listed in the Education Directory published annually by the National Center for Education Statistics. Approximately 3300 institutions qualify under the definition.
- (2) HISTORICALLY BLACK COLLEGES AND UNIVERSITIES: Those institutions of postsecondary education that were originally founded or whose antecedents were originally founded for the purpose of providing educational opportunities for individuals of the "Negro or Coloured" race, which continue to have as one of their primary purposes the provision of postsecondary opportunities for Black Americans as students.
- (3) RESEARCH AND DEVELOPMENT: This area is broken down into science and non-science categories. Science Research and Development is defined as studies, observation and other activities based on identification, description, experimental investigation, and theoretical explanation of physical or biological phenomena; Non-science Research and Development is defined as studies and other activities based on observation, identification, experimental investigation, and explanation of social and behavioral phenomena.
- (4) PROGRAM EVALUATION: Funded department or agency assessments of its programs and activities.
- (5) TRAINING: Utilization of professional educational personnel to prepare agency personnel for appropriate knowledge and application of agency's mission(s) and function(s).
- (6) FACILITIES AND EQUIPMENT: Disbursements for direct, indirect, incidental or related costs resulting from or necessary to the construction of, acquisition of, major repairs to, or alterations in structures, works, facilities or land for college use.
- (7) FELLOWSHIPS, TRAINEESHIPS, RECRUITMENTS AND IPAS: This includes, but is not limited to, IPAs, cooperative education, faculty and student internships, visiting professors, management interns, and summer faculty research for which the institutions or clientele of the institutions receive some direct benefits. The category also includes the hiring of individuals for the review of proposals and program applications.
- (8) STUDENT TUITION ASSISTANCE, SCHOLARSHIP AND AID: Federal funds obligated to a college or university, or individual for payment to students or for payment of student charges (e.g., tuition, room and board.)

Source: White House Initiative on Historically Black Colleges and Universities, Instructions and Guidelines, December 17, 1981: (Instructions and Guidelines for Development of Agency Annual Plans for FISCAL YEAR 1982), pages 3-6.

APPENDIX E

1982 EXECUTIVE AGENCY FUNDING ESTIMATES

April, 1982

Source: Draft First Report on the Annual Federal Plan, Secretary of Education.

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINESHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
DEPARTMENT OF AGRICULTURE								
1981 Funds to HEI	\$ 555,077	\$ 4,350	\$ 224	\$ 10,739	\$ 6	\$ 34,880	\$ 2,299	\$ 607,575
1981 Funds to HBCU	31,343	42	224	654	6	941	826	34,036
% Funds to HBCU	5.6%	1.0%	100%	6.1%	100%	2.7%	35.9%	5.6%
1982 Funds to HEI	\$ 589,221	\$ 3,652	\$ 196	\$ 11,018	\$ 6	\$ 33,440	\$ 2,299	\$ 639,832
1982 Funds to HBCU	35,315	49	196	756	6	1,172	826	38,320
% Funds to HBCU	6.0%	1.3%	100%	6.9%	100%	3.5%	35.9%	6.0%
DEPARTMENT OF COMMERCE								
1981 Funds to HEI	\$ 66,900	\$ -0-	\$ -0-	\$ -0-	\$ 4,300	\$ 4,300	\$ -0-	\$ 75,500
1981 Funds to HBCU	136	-0-	-0-	-0-	-0-	218	-0-	374
% Funds to HBCU	.2%				0%	5.1%	-0-	.5%
1982 Funds to HEI	\$ 17,500	\$ -0-	\$ -0-	\$ -0-	\$ 4,068	\$ 3,898	\$ -0-	\$ 25,466
1982 Funds to HBCU	87	-0-	-0-	-0-	-0-	236	-0-	323
% Funds to HBCU	.5%				0%	6.1%		1.3%
DEPARTMENT OF DEFENSE								
1981 Funds to HEI	\$ 258,000	\$ 300	\$ -0-	\$ 212,092	\$ 20,640	\$ -0-	\$ -0-	\$ 491,032
1981 Funds to HBCU	3,971	300	-0-	1,200	718	-0-	-0-	6,189
% Funds to HBCU	1.5%	100%		.6%	3.5%			1.3%
1982 Funds to HEI	\$ 300,000	\$ 130	\$ -0-	\$ 228,426	\$ 24,000	\$ -0-	\$ -0-	\$ 552,556
1982 Funds to HBCU	4,413	130	-0-	1,292	853	-0-	-0-	6,688
% Funds to HBCU	1.5%	100%		.6%	3.6%			1.3%

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINESHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
DEPARTMENT OF EDUCATION								
1981 Funds to HEI	\$ 103,156	\$ 373,106	\$ -0-	\$ 326,729	\$ 87,399	\$ 16,891	\$3,373,600	\$4,280,881
1981 Funds to HBCU	26,178	148,713	-0-	24,819	23,215	995	193,000	416,920
% Funds to HBCU	25.4%	39.9%		8%	26.6%	6%	6%	9.7%
1982 Funds to HEI	\$ 80,856	\$ 346,109	\$ -0-	\$ 281,580	\$ 75,280	\$ 14,312	\$3,222,500	\$4,020,637
1982 Funds to HBCU	25,406	177,157	-0-	20,979	6,903	993	192,700	424,138
% Funds to HBCU	31.4%	51.2%		7%	9%	7%	6%	10.5%
DEPARTMENT OF ENERGY								
1981 Funds to HEI	\$ 385,840	\$ 20,378	\$ 146	\$ 2,582	\$ 59,325	\$ 634	\$ 210	\$ 469,115
1981 Funds to HBCU	1,537	462	-0-	108	657	4	22	2,790
% Funds to HBCU	0.4%	2.3%	0%	4.2%	1.1%	0.6%	10.5%	
1982 Funds to HEI	\$ 301,364	\$ 7,458	\$ 100	\$ 260	\$ 100	\$ 513	\$ 225	\$ 310,020
1982 Funds to HBCU	1,090	35	-0-	-0-	-0-	10	43	1,178
% Funds to HBCU	0.4%	0.5%	0%	0%	0%	1.9%	10.5%	0.4%
DEPARTMENT OF HEALTH AND HUMAN SERVICES								
1981 Funds to HEI	\$2,143,368	\$ 21,061	\$ 1,198	\$ 14,202	\$ 8,300	\$ 585,665	\$ -0-	\$2,773,794
1981 Funds to HBCU	21,869	903	206	1,923	5,858	31,432	-0-	62,191
% Funds to HBCU	1.0%	4.3%	17.2%	13.5%	70.6%	5.4%		2.2%
1982 Funds to HEI	\$2,154,722	\$ 500	\$ 1,028	\$ 2,600	\$ 37,900	\$ 482,226	\$ -0-	\$2,678,976
1982 Funds to HBCU	21,788	150	128	458	850	28,296	-0-	51,670
% Funds to HBCU	1.0%	30.0%	17.2%	17.6%	2.2%	5.9%		1.9%

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINERSHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT								
1981 Funds to HEI	\$ -0-	\$ 3,424	\$ -0-	\$ -0-	\$ -0-	\$ 193	\$ 1,674	\$ 5,291
1981 Funds to HBCU	-0-	117	-0-	-0-	-0-	41	217	375
% Funds to HBCU		3.4%				21.2%	13.0%	7.1%
1982 Funds to HEI	\$ -0-	\$ 3,424	\$ -0-	\$ 40	\$ -0-	\$ 22	\$ 2,000	\$ 5,486
1982 Funds to HBCU	-0-	450	-0-	40	-0-	22	259	771
% Funds to HBCU		13.1%		100%		100%	13.0%	4.1%
DEPARTMENT OF INTERIOR								
1981 Funds to HEI	\$ 67,354	\$ -0-	\$ -0-	\$ 7	\$ -0-	\$ 1,233	\$ -0-	\$ 68,594
1981 Funds to HBCU	1,022	-0-	-0-	-0-	-0-	118	-0-	1,140
% Funds to HBCU	1.5%			0.0%		9.6%		1.7%
1982 Funds to HEI	-0-	-0-	-0-	-0-	-0-	-0-	-0-	-0-
1982 Funds to HBCU	-0-	-0-	-0-	-0-	-0-	-0-	-0-	-0-
% Funds to HBCU								
DEPARTMENT OF LABOR								
1981 Funds to HEI	-0-	6,046	161	\$ 15,883	\$ 6,547	\$ -0-	-0-	\$ 28,637
1981 Funds to HBCU	-0-	2,715	-0-	1,892	1,875	-0-	-0-	6,482
% Funds to HBCU		44.9%	0.0%	11.9%	28.6%			22.6%
1982 Funds to HEI	-0-	262	-0-	6,650	6,209	-0-	-0-	13,121
1982 Funds to HBCU	-0-	-0-	-0-	870	2,403	-0-	-0-	3,273
% Funds to HBCU		0.0%		13.1%	38.7%			24.9%

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINESHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
DEPARTMENT OF STATE								
1981 Funds to HEI	\$ -0-	\$ 32	\$ -0-	\$ 412	\$ -0-	\$ -0-	\$ -0-	\$ 444
1981 Funds to HBCU	-0-	-0-	-0-	52	-0-	-0-	-0-	52
% Funds to HBCU		0.0%		12.6%				11.7%
1982 Funds to HEI	\$ -0-	\$ -0-	\$ -0-	\$ 487	\$ -0-	\$ -0-	\$ -0-	\$ 487
1982 Funds to HBCU	-0-	-0-	-0-	52	-0-	-0-	-0-	52
% Funds to HBCU				10.7%				10.7%
DEPARTMENT OF TRANSPORTATION								
1981 Funds to HEI	\$ 16,916	\$ 4,640	\$ 310	\$ 3,266	\$ 4	\$ 1,515	\$ 718	\$ 27,369
1981 Funds to HBCU	177	307	-0-	124	-0-	92	12	712
% Funds to HBCU	1.0%	6.6%	0.0%	3.8%	0.0%	6.1%	1.7%	2.6%
1982 Funds to HEI	\$ 5,883	\$ 4,529	\$ 510	\$ 2,797	\$ 3	\$ 1,299	\$ 671	\$ 15,692
1982 Funds to HBCU	200	900	500	100	1	103	35	1,839
% Funds to HBCU	3.4%	19.9%	98.0%	3.6%	33.3%	7.9%	5.2%	11.7%
DEPARTMENT OF TREASURY								
1981 Funds to HEI	\$ -0-	\$ -0-	\$ -0-	\$ 32	\$ -0-	\$ -0-	\$ -0-	\$ 32
1981 Funds to HBCU	-0-	-0-	-0-	-0-	-0-	-0-	-0-	-0-
% Funds to HBCU				0.0%				0.0%
1982 Funds to HEI	\$ -0-	\$ -0-	\$ -0-	\$ 266	\$ -0-	\$ -0-	\$ -0-	\$ 266
1982 Funds to HBCU	-0-	-0-	-0-	200	-0-	-0-	-0-	200
% Funds to HBCU				75.2%				75.2%

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINEESHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
AGENCY FOR INTERNATIONAL DEVELOPMENT								
1981 Funds to HEI	\$ 78,312	\$ -0-	\$ -0-	\$ -0-	\$ -0-	\$ 885	\$ -0-	\$ 79,197
1981 Funds to HBCU	1,370	-0-	-0-	-0-	-0-	65	-0-	1,435
% Funds to HBCU	1.7%					7.3%		1.8%
1982 Funds to HEI	78,978	-0-	-0-	-0-	-0-	1,022	-0-	80,000
1982 Funds to HBCU	3,865	-0-	-0-	-0-	-0-	135	-0-	4,000
% Funds to HBCU	4.9%					13.2%		5.0%
APPALACIAN REGIONAL COMMISSION								
1981 Funds to HEI	\$ -0-	\$ -0-	\$ -0-	\$ 604	\$ 206	\$ -0-	\$ -0-	\$ 890
1981 Funds to HBCU	-0-	-0-	-0-	88	36	-0-	-0-	124
% Funds to HBCU				14.6%	12.6%			13.9%
1982 Funds to HEI	\$ -0-	\$ -0-	\$ -0-	\$ -0-	\$ 789	\$ -0-	\$ -0-	\$ 789
1982 Funds to HBCU	-0-	-0-	-0-	-0-	189	-0-	-0-	189
% Funds to HBCU					24.0%			24.0%
CENTRAL INTELLIGENCE AGENCY								
1981 Funds to HEI	\$ -0-	\$ 45	\$ -0-	\$ -0-	\$ -0-	\$ 669	\$ -0-	\$ 714
1981 Funds to HBCU	-0-	45	-0-	-0-	-0-	147	-0-	192
% Funds to HBCU		100%				22.0%		26.9%
1982 Funds to HEI	\$ -0-	\$ 53	\$ -0-	\$ -0-	\$ -0-	\$ 880	\$ -0-	\$ 933
1982 Funds to HBCU	-0-	53	-0-	-0-	-0-	310	-0-	361
% Funds to HBCU		100%				35.2%		38.9%

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINEESHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
ENVIRONMENTAL PROTECTION AGENCY								
1981 Funds to HEI	\$ 75,509	\$ -0-	\$ -0-	\$ 450	\$ -0-	\$ 181	\$ -0-	\$ 76,140
1981 Funds to HBCU	1,102	-0-	-0-	2	-0-	10	-0-	1,114
% Funds to HBCU	1.5%			0.4%		5.5%		1.5%
1982 Funds to HEI	70,955	-0-	-0-	153	-0-	702	-0-	71,810
1982 Funds to HBCU	700	-0-	-0-	2	-0-	102	-0-	804
% Funds to HBCU	1.0%			1.3%		14.5%		1.1%
EQUAL EMPLOYMENT OPPORTUNITY COMMISSION								
1981 Funds to HEI	-0-	115	-0-	-0-	-0-	22	-0-	137
1981 Funds to HBCU	-0-	-0-	-0-	-0-	-0-	-0-	-0-	-0-
% Funds to HBCU		0.0%				0.0%		0.0%
1982 Funds to HEI	-0-	115	-0-	-0-	-0-	22	-0-	137
1982 Funds to HBCU	-0-	-0-	-0-	-0-	-0-	-0-	-0-	-0-
% Funds to HBCU		0.0%				0.0%		0.0%
INTERNATIONAL COMMUNICATIONS AGENCY								
1981 Funds to HEI	-0-	2,981	-0-	-0-	-0-	3,964	-0-	6,945
1981 Funds to HBCU	-0-	350	-0-	-0-	-0-	62	-0-	412
% Funds to HBCU		11.7%				1.6%		5.9%
1982 Funds to HEI	-0-	2,683	-0-	-0-	-0-	4,600	-0-	7,283
1982 Funds to HBCU	-0-	315	-0-	-0-	-0-	100	-0-	415
% Funds to HBCU		11.7%				2.2%		5.7%

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINEESHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
NATIONAL SCIENCE FOUNDATION								
1981 Funds to HEI	\$ 704,360	\$ 52,260	-0-	-0-	-0-	\$ 14,300	-0-	\$ 770,920
1981 Funds to HBCU	3,430	120	-0-	-0-	-0-	940	-0-	4,490
% Funds to HBCU	0.5%	0.2%				6.6%		0.6%
1982 Funds to HEI	\$ 670,900	\$ 49,400	-0-	-0-	-0-	\$ 13,600	-0-	\$ 733,900
1982 Funds to HBCU	2,240	110	-0-	-0-	-0-	880	-0-	3,230
% Funds to HBCU	0.3%	0.2%				6.5%		0.4%
NUCLEAR REGULATORY COMMISSION								
1981 Funds to HEI	\$ 868	\$ -0-	-0-	\$ 219	-0-	\$ 17	-0-	\$ 1,104
1981 Funds to HBCU	84	-0-	-0-	-0-	-0-	4	-0-	88
% Funds to HBCU	9.7%			0.0%		23.5%		8.0%
1982 Funds to HEI	\$ 500	-0-	-0-	\$ 236	-0-	\$ 12	-0-	\$ 748
1982 Funds to HBCU	80	-0-	-0-	1	-0-	3	-0-	84
% Funds to HBCU	16.0%			0.4%		25.0%		11.2%
VETERAN'S ADMINISTRATION								
1981 Funds to HEI	\$ 1,934	\$ 36,967	-0-	\$ 1,070	-0-	\$ 741	\$ 4,900	\$ 45,612
1981 Funds to HBCU	-0-	211	-0-	-0-	-0-	25	69	305
% Funds to HBCU	0.0%	0.6%		0.0%		3.4%	1.4%	0.7%
1982 Funds to HEI	\$ 1,680	\$ 22,005	-0-	\$ 96,500	-0-	-0-	\$ 4,300	\$ 124,485
1982 Funds to HBCU	-0-	-0-	-0-	1,200	-0-	-0-	59	1,259
% Funds to HBCU	0.0%	0.0%		1.2%			1.4%	1.0%

AGENCY FUNDING (\$ IN 000'S)

NOTE: 1982 FIGURES ARE ESTIMATES.

	RESEARCH & DEVELOPMENT-- SCIENCE	RESEARCH & DEVELOPMENT-- NON-SCIENCE	PROGRAM EVALUATION	TRAINING	FACILITIES & EQUIPMENT	FELLOWSHIPS TRAINESHIPS RECRUITMENTS & IPA'S	STUDENT TUITION ASSISTANCE, SCHOLAR- SHIPS & AID	TOTAL
DEPARTMENT OF JUSTICE								
1981 Funds to HEI	-0-	\$5,151	\$424	-0-	-0-	\$143	-0-	\$5,718
1981 Funds to HBCU	-0-	142	-0-	-0-	-0-	-0-	-0-	142
% Funds to HBCU		2.8%	0%			0%		2.5%
1982 Funds to HEI	-0-	\$18,300	\$200	-0-	-0-	\$130	-0-	\$18,630
1982 Funds to HBCU	-0-	250	-0-	-0-	-0-	-0-	-0-	250
% Funds to HBCU		1.4%	0%			0%		1.3%
SMALL BUSINESS ADMINISTRATION								
1981 Funds to HEI	-0-	-0-	-0-	-0-	-0-	\$9,567	-0-	\$9,567
1981 Funds to HBCU	-0-	-0-	-0-	-0-	-0-	375	-0-	375
% Funds to HBCU						3.9%		3.9%
1982 Funds to HEI	-0-	-0-	-0-	-0-	-0-	\$10,000	-0-	\$10,000
1982 Funds to HBCU	-0-	-0-	-0-	-0-	-0-	-0-	-0-	-0-
% Funds to HBCU						0%		0%
TOTALS								
1981 Funds to HEI	\$4,638,682	\$573,368	\$2,463	\$591,376	\$202,083	\$683,412	\$3,383,569	\$10,074,953
1981 Funds to HBCU	95,772	155,350	430	31,037	32,505	35,554	194,146	544,794
% Funds to HBCU	2.1%	27.1%	17.5%	5.2%	16.1%	5.2%	5.7%	5.4%
1982 Funds to HEI	\$4,452,982	\$458,620	\$2,034	\$633,861	\$148,355	\$575,116	\$3,232,163	\$9,503,131
1982 Funds to HBCU	98,252	179,599	824	26,125	11,205	32,932	193,922	542,859
% Funds to HBCU	2.2%	39.2%	40.5%	4.1%	7.6%	5.7%	6.0%	5.7%

APPENDIX F

PROPOSALS OF THE NATIONAL SCIENCE FOUNDATION
TO PROMOTE THE FULL PARTICIPATION OF MINORITIES AND WOMEN
IN SCIENCE AND ENGINEERING

January, 1982

Source: National Science Foundation.

PROPOSALS OF THE NATIONAL SCIENCE FOUNDATION
TO PROMOTE THE FULL PARTICIPATION OF MINORITIES AND WOMEN
IN SCIENCE AND ENGINEERING

Prologue

Creativity knows no color line. Ability is not an inherent function of an individual's ethnic background. Intelligence, intuition, and insight are not determined by one's race or sex. Shame upon us if we do not assure for those who follow that opportunity knows no such barrier.

John B. Slaughter

This report is transmitted to the Congress in response to a requirement in the Foundation's authorizing legislation for fiscal year 1981. That legislation stated that the Director shall prepare a report proposing a program at the Foundation to promote the participation of minorities in science and technology. It is clear, however, that women will also benefit from such a program, a point confirmed by the Director's Committee on Equal Opportunities in Science and Technology, which was established by the authorizing legislation. Consequently, the proposals in this report address the participation of both minorities and women in science and engineering.

Since its establishment in 1950, the National Science Foundation has been authorized and directed "...to initiate and support basic scientific research and programs to strengthen scientific research potential and science education programs at all levels...." This cannot be achieved without the full development of the Nation's intellectual resources. There is evidence that the participation of minorities and women in the scientific and engineering workforce is low, evidence that the full science and engineering capabilities of the Nation are not being adequately developed and used.

In addition, the Nation is facing shortages of highly skilled personnel in particular areas of science and technology. Minorities and women are valuable resources that must be developed and utilized in addressing these shortages. In the future, the need for trained individuals capable of filling national needs for scientists and engineers will require full development of all human resources, including minorities and women. The

Foundation is committed to facilitating full participation of minorities and women both in its programs and, more generally, in the Nation's pool of scientists and engineers.

The United States can ill afford to have any segment of its populace underinvolved in scientific and technological activities. The future health of the Nation depends upon the productivity of its industrial enterprise which, in turn, draws upon a well trained and productive work force. The relative absence of women and racial minorities in science and technology weakens national capabilities in industrial output, business growth, and national defense. A strong and expanding economy, one that competes effectively in world markets, can be maintained only if steps are taken to eliminate the barriers and encourage the fuller participation of women and minorities in all aspects of the Nation's scientific and technological endeavors.

There are many indications of obstacles to full participation in science and engineering by minorities and women. The Foundation's Division of Science Resources Studies (SRS) is preparing the Biennial Report on Women and Minorities in Science and Engineering which will examine in detail differences in education and employment by sex, race, and field of science. This report, which will be available in early 1982, will be an important quantitative description of the dimensions of the problems faced by women and minorities.

The Foundation's authorizing legislation for fiscal year 1981 provided for several programs that addressed the participation of minorities and women in science and technology. These programs were reduced by rescissions in fiscal year 1981 and were deleted from the Foundation's budget request for fiscal year 1982 as part of the Administration's program

for economic recovery. Consequently, the proposals in this report refer to activities that will be undertaken in the Foundation's other ongoing programs. In addition, the Foundation will encourage other institutions and the private sector to increase their efforts to achieve greater participation of minorities and women in science and engineering.

The legislation requiring this report states that the report shall contain budgetary and legislative recommendations. Budgetary requests that may be necessary will be made in the Foundation's annual budget submissions to the Office of Management and Budget and to the Congress. Legislative recommendations are not necessary at this time. At present, the Foundation's existing permanent legislation is sufficient to encompass programs and activities that the Foundation contemplates.

The Science and Technology Equal Opportunities Act states "...that it is in the national interest to promote the full use of human resources in science and technology and to insure the full development and use of the scientific talent and technical skills of men and women, equally, of all ethnic, racial, and economic backgrounds," and further that "...it is the policy of the United States to encourage men and women, equally, of all ethnic, racial, and economic backgrounds to acquire skills in science and mathematics, to have equal opportunity in education, training, and employment in scientific and technical fields, and thereby to promote scientific literacy and the full use of the human resources of the Nation in science and technology."

The Foundation is committed to implementing these statements through the proposals that follow. The remainder of the report contains a series of proposals that, when taken together, comprise a continuing effort to address barriers to participation by minorities and women in the

Foundation's programs. Each of these activities is an essential element in the Foundation's commitment to the full engagement of the talents of minorities and women in carrying out its mission to strengthen the Nation's scientific potential.

NSF Personnel. The problems of low participation of minorities and women in science and engineering must be addressed by the Foundation's staff, particularly its division directors and program officers. The Foundation's Federal Equal Opportunity Recruitment Plan is the basis for addressing the issue of the representation of minorities and women on the Foundation's staff. Their representation is indicative of the Foundation's commitment to improving the employment of minorities and women on its staff and it provides a valuable resource for firsthand experience and contacts for addressing some of the problems in the scientific and engineering communities. Appendix tables indicate the current status of minorities and women on the Foundation's professional staff. The Foundation uses a variety of methods--advertisements, mailings, and contacts at professional meetings and special interest groups--to seek qualified minorities and women for its professional staff.

The Foundation currently uses approximately 110,000 reviewers for external peer review of proposals. Foundation policy (Circular 132) states that "...to the extent possible, reviewers should reflect a balance among various characteristics such as geography, type of institution, minority group, etc...." Steps are being taken to increase the numbers of minorities and women in the pool of qualified scientists and engineers from which reviewers are drawn. The NSF Office of Equal Employment Opportunity has developed a Directory of Black Scientists--Peer Review Candidates for

use by the Foundation's program officers. That directory will be expanded to include other minorities and women, with information on specific areas of research expertise.

Advisory panels and committees are also part of the Foundation's review system. Foundation policy on the composition of its advisory committees, as stated in Circular 109, requires that "...the membership of each committee and each panel shall be selected to provide reasonably balanced representation for women and ethnic minorities...." The Foundation's assistant directors, division directors, and committee management staff have been asked to review these panels and committees to determine the extent of participation by minorities and women and to encourage their increased participation.

Program Announcements. Program announcements vary in the degree to which they provide information especially helpful to new proposers. Program officers and other Foundation officials who prepare program announcements are now required to include in them a statement of NSF's policy with respect to the full participation of minorities and women in program announcements. These officials have also been directed to increase the efforts to disseminate information on NSF programs and on proposal preparation to minority and women's institutions and organizations.

Staff orientation. Staff awareness of the barriers to participation in science and engineering is essential to an effective Foundation program. Assistant directors have been directed to improve staff sensitivity and awareness on these issues through:

- Presentations at the directorate and/or division level concerning the data available on the participation of women and minorities in the cognizant fields and on the barriers they may face.

- Encouraging site visits and presentation of NSF programs to minority, women's, and two-year institutions and to minority and female faculty members at majority institutions. Program officers have been instructed to encourage participation in the Foundation's activities and programs through discussion of individual proposals, the mechanics of proposal preparation and submission, becoming a reviewer or panel member, and the "rotator" program at NSF.
- Staff participation in regional proposal development workshops for minority institutions, panels on career opportunities and recruitment efforts for minorities and women, meetings of minority and women's professional societies, and meetings related to other Federal programs concerning minorities and women.

Technical assistance. There are several means available to assist potential applicants in writing more competitive proposals. The first is discussion between the proposer and the appropriate program officer about ideas for a proposal and the mechanics of proposal preparation, submission, and review.

Foundation programs have experimented with guides for new proposers; some examples are proposal development kits and model proposals. The Foundation is considering a series of proposal workshops involving former Foundation employees (rotators) and/or NSF staff who will provide to potential proposers information about the procedures involved in proposal submission and evaluation.

Further, the Foundation hopes to develop opportunities under the Intergovernmental Personnel Act to acquaint minority and women scientists and engineers or administrators with NSF. For example, key administrators involved with science and engineering from schools which contribute

significantly to the pool of minorities and women in science and engineering might spend several months in residence at NSF. They would become thoroughly familiar with NSF and would learn about the mechanisms by which research is evaluated and supported. They would be exposed to the policies and procedures for the awarding of grants and contracts and to the development of Federal science policy.

Proposal selection criteria. In order to provide fair and equitable selection of the most meritorious research proposals for support, the Foundation has defined four general criteria for their review and evaluation. In brief, these criteria are competence of the research performer, the intrinsic merit of the proposed research, its utility or relevance, and the effect of the research on the structure of science and engineering. The first three are criteria used to assess the merit of the proposal.

The last criterion, the effect of the research on the structure of science and engineering, relates to whether the proposed research will contribute to improvements in the Nation's scientific and engineering research, education, and personnel base. This criterion includes questions relating to participation of minorities and women, the distribution of resources with respect to types of institution and geographical area, stimulation of underdeveloped fields, and the use of interdisciplinary approaches. This last criterion is used to select proposals deemed meritorious under the first three criteria. When applied systematically, this criterion is expected to generate increased attention to minorities and women as research performers.

Supplemental funding. Directorates are encouraged to set aside supplemental funds for specific research awards with elements that

specifically encourage the participation of minorities and women. For example, funds may be added to support the efforts of talented undergraduates or high school students on the research project, with special encouragement for minority and female students.

Another form of supplemental funding to increase the participation of minorities and women in science and technology is the Foundation's Small College Faculty Opportunity Awards. A faculty member at an institution with limited research opportunities may arrange to work at another institution with an investigator who holds or is applying for an NSF research grant. The principal investigator benefits from the collaboration with the small college faculty member and receives supplemental funding to cover the additional costs resulting from the expanded research. Program managers are encouraged to serve as facilitators for such collaborative arrangements by bringing established researchers and small college faculty together so that they may explore areas of potential mutual research interest.

Focused programs. In conjunction with the activities of its research programs, the Foundation provides support for the Minority Research Initiation (MRI) program. This program provides support for full-time minority faculty members who are nationals of the United States, who have had no previous Federal research support, and who wish to establish quality research efforts on their campuses. By providing funds for an initial research grant, the program increases the capability of minority faculty members to compete successfully for support from the Foundation and other sources. A program to address the problems women face, also managed in conjunction with the current activities and resources of the Foundation's research programs, is currently under consideration.

The Minority Graduate Fellowship program, a program that provides fellowship support to members of ethnic minority groups that traditionally have been underrepresented in the advanced levels of the Nation's science and engineering talent pool, will continue at a reduced level in FY 1982 because of budget constraints.

A program that will continue because of funding in prior years is the Research Centers for Science and Engineering. This program consists of four geographically dispersed resource centers located at graduate-degree granting institutions with enrollments of more than 800 minority students from low income families. These centers support: recruitment of minority faculty, minority graduate and undergraduate assistantships, faculty research programs, summer enrichment programs for high school students, teacher workshops, science programs for community groups, and Saturday Science Academies for elementary and junior high school students.

The Resource Centers include activities that address the fact that many minority students and girls drop out of science programs at the junior high and high school levels. It is at this level that career interests are formed and choices are made with regard to science and mathematics courses that determine whether a student will become part of the pool from which future scientists and engineers will be drawn. The evidence shows that once a student drops out of a science/mathematics track, he or she is unlikely to reenter. Maintaining student interest and continuing study in secondary school science and mathematics is all the more important when one recognizes that 18-24 year olds as a proportion of the total population will drop by over 20% between now and 1995. If the number of students prepared for science and engineering careers is not to decrease in absolute

terms, then the proportion of adequately prepared 18-24 year olds must increase. Prime sources for this increase are minorities and women, groups underrepresented in these careers.

The number of students enrolling in science and mathematics drops markedly in the senior high schools. Less than 50% take science beyond the tenth grade. Even fewer girls and substantially fewer minorities continue in science. This situation is compounded by a weakening in the quality of instruction evidenced by shortages of qualified mathematics and physical science teachers, with the shortages being particularly acute in urban schools serving large minority populations. In summary, secondary school science and mathematics comprise a significant gateway to scientific and technological careers and so must be considered with reference to long-term strategies for increasing the representation of women and minorities in these careers. It is up to the states and local governments to decide what specific resources should be provided for science and mathematics education in the schools--and to provide them. However, the National Science Foundation does have a legislative mandate to evaluate the status and needs of science and to make available the results of such evaluations to research and educational programs.

In the course of the last decade, the Foundation has established and gained experience from a variety of programs specifically designed to encourage the participation of minorities and women in science and engineering. The appendix tables include material providing the chronology of the development of these programs; a summary of their purposes, objectives, and activities; and budget histories. As the Foundation proceeds to strengthen its policies and activities to encourage minorities

and women to participate more fully in its research programs, the knowledge and experience gained from the programs supported over the last decade will be put to effective use.

The Foundation will review these programs to determine what can be integrated into the policies and operations of the research directorates. The review will determine what activities that were supported by these focused programs can be supported by the research directorates, and what management techniques used in the past in fostering the participation in science of previously underrepresented groups may be used throughout the Foundation.

In August 1981, the National Science Board issued a statement on science and engineering education, which reads in part:

"The National Science Board proposes a core of activities focused on people, especially those who will bear major responsibility for the future excellence of our scientific and technological enterprise. These activities will build the human resource base for science and engineering and express the Foundation's determination to encourage and assist all students, with particular determination to tap the underused talents of minorities and women."

In an accompanying implementation statement, the Director of NSF identified major tasks facing the Nation: "One is to enlarge the Nation's pool of trained scientific and technical talent by encouraging minorities and women to enter that pool." The implementation statement concludes with selected, high-leverage activities the Foundation can undertake, including "...encouragement of science interests in minorities and women..." through "...setting examples, testing prototypes, and providing incentives."

Planning is currently underway to establish a commission that will examine these and other critical issues of science and engineering education.

On September 15, 1981, President Reagan signed an Executive Order to strengthen the capacity of historically black colleges and universities to provide quality education. The National Science Foundation is participating in the development of a Federal program, required by the Executive Order, to achieve a significant increase in participation by these institutions in Federally sponsored programs. NSF and other Federal agencies are charged with examining unintended regulatory barriers, determining the adequacy of the announcement of programmatic opportunities of interest to these colleges, identifying ways of eliminating inequities and disadvantages that have reduced participation in and benefits from Federally sponsored programs, and helping black colleges and universities establish linkages with Federal R&D agencies and private corporations that support university research and academic science and engineering. The arrangements that the Foundation establishes with the historically black colleges and universities will serve as a model for its relationships with other institutions with high enrollments of other minorities and women, such as women's colleges and community colleges that have large enrollments of Hispanics or Native Americans.

Data Collection. There are substantial data on the participation rates of minorities and women in science and technology, but only anecdotal information is available on the level of their participation in the Foundation's programs. More comprehensive, accurate information is necessary for the Foundation to assess adequately its policies and programs to encourage the participation of minorities and women. In January 1981, the Foundation began to collect data on the gender of principal

investigators. In October 1981, it began the collection of data, submitted on a voluntary basis, on the race and/or ethnic origin of Principal Investigators/Project Directors. Because collection of these data is in its initial stages, it will be some time before reliable information on patterns of participation of minorities and women are available.

Collection of data on gender for a complete fiscal year will not be complete until October 1982; those on race or ethnicity for a complete fiscal year will not be available until October 1983. In addition to these new data collections on applicants for research support, NSF has long-standing data available on the gender and race/ethnic status of applicants and awardees of its graduate, minority graduate, and postdoctoral fellowships and on the participation of minority, women's, and two-year institutions in the Foundation's programs.

These data allow NSF to monitor its performance in the following ways. First, information on the pool of proposers will indicate where special efforts might be directed to encourage women and minorities to apply to the Foundation's programs. Second, statistics will be available on the success of minorities and women who apply for grants. Third, issues may be identified that require closer examination by the Foundation.

The Foundation traditionally has relied on its Division of Science Resources Studies (SRS) as a data resource. SRS collects systematic information on degrees, graduate enrollments, postdoctorate appointments, and employment of doctorate-holding scientists and engineers. Through its regular surveys, and through special studies, it collects a considerable amount of data on women and minorities in science and engineering and periodically publishes special reports on this subject. In the next post-censal Survey of Experienced Scientists and Engineers (1982), SRS will

enlarge its samples to improve the reliability of the data it collects on minorities and women. SRS is responsible for preparing the first statistical Biennial Report on Women and Minorities in Science and Engineering, mentioned earlier, as required by the Foundation's authorizing legislation for FY 1981. These data will enable the Foundation and other organizations to determine, for example, differences in participation, by field, by women and minorities.

Management. Implementing the proposals discussed above throughout the research directorates requires a management structure that will ensure that adequate attention is paid to these issues, monitor the Foundation's progress, and provide a framework for developing and establishing new initiatives. A management structure will be established that will involve, at a minimum, a contact person in each directorate with responsibility for working within the directorate on issues relating to the participation of minorities and women, and a Foundation-wide committee that will meet on a regular basis to share information, review the status and progress of the Foundation's efforts, and make recommendations to the Director and the Assistant Directors.

The Foundation has two committees that provide advice and assistance concerning the proposals described above. The charge to the National Science Board Committee on Minorities and Women in Science is to consider the Foundation's education and research programs, as well as other initiatives and special efforts to increase the flow into science and engineering of ethnic minorities, women, the disadvantaged, and the physically handicapped. It forwards recommendations to the National Science Board, which in turn sets policy for the Foundation.

The NSF Committee on Equal Opportunities in Science and Technology was established in accordance with the authorizing legislation for FY 1981. Its responsibility is to provide advice to the Foundation concerning the implementation of the provisions of the Science and Technology Equal Opportunities Act and other policies and activities of the Foundation to encourage the full participation of women, minorities, and other groups currently underrepresented in scientific, engineering, professional, and technical fields.

Other sectors. The primary focus of the Foundation's activities is the performance of research carried out by the scientists and engineers, primarily in the Nation's universities and colleges. The proposals described here to increase the participation of women and minorities in the Foundation's programs concern primarily the academic community. In addition, the Foundation is considering how to encourage other sectors of society--Federal agencies, state and local governments, professional societies, private organizations and foundations, and industry--to promote similar goals. The following are actions being considered by the National Science Foundation and other Federal agencies that support scientific research and development:

- (1) Development of a rationale that coordinates current Federal support of minorities and women in science and technology based on national needs in science and engineering manpower, technological productivity, economic recovery, and national security.
- (2) Identification of opportunities within current Federal budgets that support the participation and contributions of minority and women scientists and engineers.

- (3) Development of approaches and models demonstrating creative ways for the Federal and private sectors to work together in supplementing activities that result in increased contributions by minorities and women to science and technology. The Foundation's staff is also examining programs supported by private corporations and foundations.
- (4) Establishment of a mechanism that monitors progress and stimulates the exchange of successful approaches undertaken by Federal agencies in support of contributions by minorities and women to science and technology.

In an era of declining resources and increasing need for trained scientific and technological personnel, it is imperative that the Foundation coordinate its efforts, experience, and resources with those of other sectors to increase the participation of minorities and women in science and engineering.

The Foundation is committed to the plan described above to promote the full participation of minorities and women in science and engineering. It is only through such a commitment to the substantial portion of the population represented by minorities and women that the Foundation can realize its responsibility to promote the health of science to develop the Nation's full scientific research potential.

The Foundation asserts that even tacit acceptance of the underrepresentation of racial minorities and women as a normal measure of the Nation's human resources in science and technology is inimical to the health of the economy and the future of society. The Foundation seeks the

active support of those institutions, both public and private, involved in scientific and technological activities, in developing and implementing programs designed to improve opportunities for minorities and women and to eliminate those barriers which limit their fuller participation.

APPENDIX

CHRONOLOGICAL MILESTONES IN PROGRAMMING FOR MINORITIES AND WOMEN

- 1950 o Foundation-wide policy of nondiscrimination
- 1968 o Special projects, experimental projects, studies, etc.
- 1972 o College Science Improvement Program (COSIP)-D institutional support for historically black, four-year colleges
 - o COSIP-D Research Initiation Grants for faculty members at minority institutions
- 1973 o COSIP-D extended to historically black, two-year colleges
- 1974 o COSIP-D converted to Minority Institution Science Improvement Program (MISIP), eligibility extended to about 250 institutions serving minorities underrepresented in science
 - o Minority Institutions Traineeships
 - o Formalized program of studies and experimental projects (two years only)
- 1975 o National Science Board Committee on Minorities and Women in Science formed
- 1976 o Science Career Workshops for women
 - o Science Facilitation Projects for women
- 1977 o Resource Centers in Science and Engineering
 - o Minority Component added to Student Science Training and Undergraduate Research Program
 - o Visiting Women Scientists (planning context)
- 1978 o Minority Fellowships
 - o Transfer of Research Initiation in Minority Institutions (RIMI - formerly Research Initiation Grants) to research directorates.*
 - o Visiting Women Scientists (implementation)
- 1979 o Special thrusts introduced in all science education programs
- 1980 o Research Apprenticeships for Minority High School Students
 - o MISIP transferred to Department of Education
- 1981 o Minority Research Initiation*
 - o National Research Opportunity Grants and Visiting Professorships for Women planned*

- o NSF Committee on Equal Opportunities in Science and Technology formed

*Programs with research directorate involvement.

Table I. NSF Employment Data

NSF BLACK EMPLOYMENT

Grade	September 30, 1975			September 30, 1981			September 30, 1980 Government-Wide %
	Total Employees	Blacks No.	%	Total Employees	Blacks No.	%	
9-11 (women)	123 (90)	22 (12)	17.9	131 (104)	37 (31)	28.2	10.1
12-13 (women)	116 (39)	4 (3)	3.4	128 (59)	22 (13)	17.2	6.2
14-15 (women)	354 (37)	14 (2)	4.0	382 (53)	21 (5)	5.5	4.3
16-SES (women)	136 (4)	1 (0)	0.7	116 (7)	2 (0)	1.7	5.0
Total GS 9-SES (women)	729 (170)	41 (17)	5.6	757 (223)	82 (48)	10.8	7.8
Total all Employees (women)	1,229 (618)	260 (213)	21.2	1,217 (647)	284 (233)	23.3	14.5

A-3

Salary range GS 9 through SES: \$18,585 - \$50,112.50

Table II. NSF Employment Data

NSF MINORITY EMPLOYMENT

Grade	September 30, 1975			September 30, 1981			September 30, 1980 Government-Wide %
	Total Employment	Minorities No.	%	Total Employment	Minorities No.	%	
9-11 (women)	123 (90)	24 (14)	19.5	131 (104)	39 (31)	29.8	16.5
12-13 (women)	116 (39)	9 (6)	7.8	128 (59)	26 (15)	20.3	10.4
14-15 (women)	354 (37)	20 (3)	5.6	382 (53)	32 (5)	8.4	7.8
16-SES (women)	136 (4)	3 (0)	2.2	116 (7)	3 (0)	2.6	7.0
Total GS 9-SES (women)	729 (170)	56 (23)	7.7	757 (223)	100 (51)	13.2	12.9
Total all Employees (women)	1,229 (618)	283 (222)	23.0	1,217 (647)	315 (246)	25.9	14.5

A-4

Minorities include: Black Americans; Hispanics; Asian Americans and Pacific Islanders; and Alaskan Natives and American Indians. NSF has no Alaskan Natives or American Indians employed.

Although Asian Americans are overrepresented in the Science and Engineering national pool when compared to their presence in the general population, they are underrepresented in NSF's S & E workforce based on the national pool mix.

There are a total of 11 Asians and 9 Hispanics (3 of whom are women) in grades GS-9 through SES. Of NSF's total workforce 14 are Asians (3 of whom are women) and 18 are Hispanic (10 of whom are women). There are no Indians or Alaskan Natives employed by NSF.

Table III. NSF Employment Data

NSF WOMEN EMPLOYMENT

Grade	September 30, 1975			September 30, 1981			September 30, 1980 Government-Wide %
	Total Employees	Women No.	%	Total Employees	Women No.	%	
9-11 (minority women)	123	90 (14)	73.2	131	104 (31)	79.4	33.2
12-13 (minority women)	116	39 (6)	33.6	128	59 (15)	46.1	12.4
14-15 (minority women)	354	37 (3)	10.5	382	53 (5)	13.9	6.7
16-SES (minority women)	136	4 (0)	2.9	116	7 (0)	6.0	6.2
Total GS 9-SES (minority women)	729	170 (23)	23.3	757	223 (51)	29.5	21.5
Total all Employees (minority women)	1,229	618 (222)	50.3	1,217	647 (246)	53.2	45.1

Salary range GS 9 through SES: \$18,585 - \$50,112.50

**MINORITY* FOCUSED PROGRAMS
AT THE
NATIONAL SCIENCE FOUNDATION**

	HISIP	RCSE	RIMI	HIGT	MGF	HIS
BY INITIATED	1972	1977	1972	1974	1978	1976
PURPOSE	<ul style="list-style-type: none"> Strengthening Science Education at Minority Institutions** 	<ul style="list-style-type: none"> Increased participation in Science by Minority Students & Students from Low-Income Families 	<ul style="list-style-type: none"> Increased Research Activities at Minority Institutions 	<ul style="list-style-type: none"> Increased Participation in Science by Minority Graduate Students 	<ul style="list-style-type: none"> Increased Participation in Science by Minority Students at Graduate Level 	<ul style="list-style-type: none"> Increased Participation in Science by Minority Students
SPECIFIC OBJECTIVES	<ul style="list-style-type: none"> Improved Science Preparation Increase in Number of Science Majors Improved Institutional competitiveness in Non-Targeted Programs 	<ul style="list-style-type: none"> Increase in Number of Student Applicants Increase in Number of Science Doctorates Provision of Role Models Provision of Academic/Research Career Options for Minority Faculty 	<ul style="list-style-type: none"> Increased Participation in Research Activities by Faculty at Minority Institutions 	<ul style="list-style-type: none"> Improved Access of Graduate Students at Minority Institutions to Careers in Science and Technology 	<ul style="list-style-type: none"> Increase in Number of Practicing Minority Scientists at the Master's and Doctorate Levels 	<ul style="list-style-type: none"> Identifying, Attracting, Encouraging, Motivating and Preparing Minorities for Scientific Careers
ELIGIBILITY FROM	Accredited Two- and Four-Year Minority Institutions	Graduate Degree Granting Institutions with at least 800 of Target Students	Faculty at Minority Institutions	Graduate Science Degree-Granting Minority Institutions	Graduating Seniors and First Year Minority Science Graduate Students	Academic and Non-Profit Institutions
TARGET AUDIENCE	Minority Institutions	Minority Students or Students from Low-Income Families, Their Parents, Teachers, Institutions & Communities	Minority Institutions	Minority Science Graduate Students at Eligible Institutions	Graduating Seniors and First Year Minority Science Graduate Students	Minority High School Students(a) Minority College Science Students(b)

* Minority includes American Indian, Black, Mexican American, Puerto Rican, or any other disadvantaged ethnic minority underrepresented in science.
** Minority Institution - more than 50% minority enrollment.

MINORITY FOCUSED PROGRAMS AT THE NATIONAL SCIENCE FOUNDATION

	MISIP	RCSE	RIMI	MIGI	MGF	MIS
SUPPORTABLE ACTIVITIES	Science Planning (a) Single Focused Science Projects (b) Comprehensive Basic Science Improvement (c) Cooperative Science Improvement (d)	-Planning (1977) (a) -Pre-College Level -Community-Focused -Activities Focusing on Participating Regional Institutions (b) -Academic/Research Programs	Research-related Activities	Traineeships	Fellowships	-Secondary School Student Science Training (SST) (a) -Undergraduate Research Participation (URP) (b) -Other Projects Focusing on Objectives Above (c) -Research Apprenticeships for Minority High School Students
TYPES OF AWARDS	Planning (a) Special Projects (b) Institutional (c) Cooperative (d)	Planning (1977 only) (a) Resource Center (b)	One Time Research Award	Traineeships	Fellowships	SST Grants (a) URP Grants (b) Special Project Grants (c) RAMMIS Grants (d) None Specified (a) " " (b) " " (c) \$50,000/yr (d)
MAXIMUM SIZE AND DURATION	\$20,000/12 mos. (a) \$50,000/24 mos. (b) \$300,000/36 mos. (c) \$300,000/36 mos. (d)	\$50,000 (1977 only) 6 mos. (a) \$2.8 mil/5 yrs. (b)	\$20,000/15 mos. (FY 72-77) (a) \$35,000/36 mos. (b)	FY 1974 \$3000 Stipend & \$3000 COE*-\$6000/yr/3yrs (a) FY 1977 \$3600 Stipend & \$3400 COE*-\$7000/yr/3yrs (b)	\$4800 Stipend & \$3400 COE*-\$8200/yr/3 yrs	
NUMBER OF AWARDS THROUGH FY 1981	Introduced in (1977) = 9 (a) (1979) = 14 (b) (1972) = 188 (c) (1974) = 6 (d)	16 (1977 only) (a) 4 (b)	325	FY 1974 30 at 7 Institutions (a) FY 1977-78 92 at 18 Institutions (b)	268	17 (a) 24 (b) 1 (c) 61 (d)
AVERAGE AWARD SIZE	\$ 20,000 (a) \$ 37,000 (b) \$200,000 (c) \$240,000 (d)	\$48,000 (a) \$2.8 mil. (b)	\$20,000 (a) \$32,000 (b)	\$6000 (FY 74) (a) \$7000 (b)	\$7,300	\$33,000 (a) \$14,000 (b) \$60,000 (c) \$31,060 (d)

NSF FOCUSED WOMEN'S PROGRAMS

	Science Career Workshops	Science Career Facilitation Projects	Visiting Women Scientists Program
FY INITIATED	1976	1976	1977
PURPOSE	<ul style="list-style-type: none"> o To develop and test methods to attract women to and retain them in scientific careers 	<ul style="list-style-type: none"> o To develop and test methods to attract women to and retain them in scientific careers 	<ul style="list-style-type: none"> o To develop and test methods to attract women to and retain them in scientific careers
SPECIFIC OBJECTIVES	<ul style="list-style-type: none"> o To provide factual information and practical advice on careers in science o To stimulate development of continuing institutional programs to provide science career information and advice 	<ul style="list-style-type: none"> o To facilitate the entry or reentry of women with at least a bachelor's degree in science into careers in science or into graduate education in science by means of specially designed training projects o To aid in the institutionalization of such projects 	<ul style="list-style-type: none"> o To develop and carry out a pilot Visiting Women Scientists Program, designed to motivate women students at the secondary level to consider careers in science and prepare themselves appropriately
ELIGIBILITY POOL	<ul style="list-style-type: none"> o Two- and four-year colleges, universities, and not-for-profit organizations 	<ul style="list-style-type: none"> o Four-year colleges and universities offering at least bachelor's degrees in science 	<ul style="list-style-type: none"> o Research Triangle Institute, a not-for-profit organization, was selected through a competitive RFP procedure and awarded a contract
TARGET AUDIENCE	<ul style="list-style-type: none"> o Women undergraduate & graduate students majoring in science o Unemployed or underemployed women scientists 	<ul style="list-style-type: none"> o Unemployed or underemployed women with at least a bachelor's degree in science 	<ul style="list-style-type: none"> o Female high school students o Teachers and counselors to a lesser degree

	SCIENCE CAREER WORKSHOPS	SCIENCE CAREER FACILITATION PROJECTS	VISITING WOMEN SCIENTISTS PROGRAM
SUPPORTABLE ACTIVITIES	One- or two-day workshops Initiation of Continuing Activities	Development of curriculum, recruiting participants, conducting training, counseling participants, placement of participants, evaluation	Design of Program Implementation (Pilot program and one follow-up program)
TYPES OF AWARDS	Non-renewable grants	Grants with a limited number of renewals possible	One contract for entire project
MAXIMUM SIZE AND DURATION	1976-78: \$10,000 1979: \$12,000 1980-81: \$20,000 No max. for duration	1976-79: no max 1980-81: \$100,000 for new awards, \$150,000 for renewal awards New awards: 24 mos. Renewal awards: 36 mos.	Not applicable
NUMBER OF AWARDS THROUGH FY 1981	135	53	Original contract awarded in 1977; amendment in 1978
AVERAGE AWARD SIZE	1976-78: 9,520 1979 : 11,738 1980-81: 19,550	\$92,225	Not applicable

**Summary of the Funding History of Minority Programs at the National Science Foundation
FY 1972 - FY 1981**

(Dollars in Millions)

<u>Programs</u>	<u>1972</u>	<u>1973</u>	<u>1974</u>	<u>1975</u>	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>Total</u>
Minority Institutions Science Improvement Program ^{1/}	\$5.0	\$4.2	\$5.6	\$4.5	\$4.5	\$5.1	\$ 4.7	\$ 5.0	\$-0- ^{2/}	\$-0- ^{2/}	\$38.6
Research Initiation in Minority Institutions ^{3/}	.6	.8	.9	1.0	1.2	1.0	1.4	.5	1.0	-0-	8.4
Minority Research Initiation	-	-	-	-	-	-	-	-	-	1.5	1.5
Resource Centers for Science & Engineering	-	-	-	-	-	.8	2.8	2.8	2.8	2.8	12.0
Minority Graduate Fellowships	-	-	-	-	-	-	.5	.7	1.1	1.8	4.1
Minority Institutions Graduate Traineeship	-	-	.6	-	-	.9	.9	1.3	1.1	1.4	6.2
Research Apprenticeships for Minority High School Students	-	-	-	-	-	-	-	-	.6	1.0	1.6
Total	\$5.6	\$5.0	\$7.1	\$5.5	\$5.7	\$7.8	\$10.3	\$10.3	\$6.6	\$8.5	\$72.4

^{1/} Predecessor - College Science Improvement Program (COSIP-D)

^{2/} MISIP transferred to Department of Education

^{3/} Prior to 1976 this program was known as Research Initiation Grants (RIGS)

**Summary of the Funding History of Women in Science Program
FY 1976 - FY 1981**

(Dollars in Millions)

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>Total</u>
Science Career Workshops	\$.2	\$.2	\$.2	\$.3	\$.3	\$.4	\$1.6
Science Career Facilitation Projects	.7	.7	.6	.7	.7	1.5	4.9
Visiting Women Scientists Project	-	<.1	.4	-	-	-	.4
Special Projects	-	-	<.1	.2	-	<.1	.2
Total	\$.9	\$.9	\$1.2	\$1.2	\$1.0	\$1.9	\$7.1

APPENDIX G

CURRICULUM VITAE OF DR. MARGARET J. SEAGEARS

DIRECTOR, WHITE HOUSE INITIATIVE

MARGARET J. SEAGEARS
5300 Columbia Pike, Apt. 315
Arlington, Virginia 22204
Home: (703) 998-7842
Office: (202) 245-2671

EDUCATIONAL BACKGROUND

Ed.D Education Administration, Virginia Polytechnic
 Institute & State University

A.M.S. Montessori Teacher Training Certification, Cornell
 University

M.S. University of Puerto Rico, cum laude

M.A. Columbia University, cum laude

B.S. New Jersey State Teacher's College
 Howard University

Honorary University of Puerto Rico, L.L.D.
 World University, L.L.D.
 Woman of Year - 1975

POST GRADUATE

Fellow, Rutgers University, Passaic, New Jersey
Fellow, Glassboro State Teacher's College, New Jersey
Harvard University
Mary Mount College, New York

MAJOR AREAS OF STUDY

- Public Administration
- Economic Theory and Policy
- Political Analysis
- Administration and Supervision
- International Affairs
- Government and History
- Community Service Planning
- Education Planning
- Reading Specialist
- Elementary Education

"She became a well known figure throughout our island, through positions of high trust which she occupied in civic, cultural and human welfare organizations. She appeared in many public forums, in the press, and on television and radio programs."

Director, Office of External Relations
Office of Postsecondary Education

I direct the activities of (four) formerly separate staff offices in the Office of Postsecondary Education. These offices are the Community College Unit, the National Advisory Committee on Black Higher Education, the College and University staff and the accreditation Eligibility Agency and Evaluation Staff. These units are relocated intact into a consolidated Office of External Relations under the overall direction of the incumbent who reports directly to the Assistant Secretary for Postsecondary Education.

MAJOR DUTIES AND RESPONSIBILITIES OF INCUMBENT:

The incumbent provides direction and liaison to institutions, accrediting associations, State, Federal and local agencies and Congress regarding the programs and Advisory Committees in OER. The incumbent reviews and recommends procedures, policies, and issues relative to the applicable programs, as well as promulgates, interprets, and provides for dissemination of policy. Incumbent recommends long range goals and plans for the program and Advisory Committees to the Assistant Secretary, plan, convenes, supports and implements the mandates of the applicable programs and Advisory Committees/Boards; evaluates and monitors state, local and regional policies designed to promote equal educational opportunities for Blacks and other minorities; incumbent directs the drafting of regulations, issue papers, reports, annual directory and other reports as needed; provides staff support for the work of the National Advisory Committees/Boards; conducts appropriate and approved research and articles; draft testimony and budgets for OMB and Congressional approval; represents the Assistant Secretary, upon request, at meetings and conferences. The incumbent meets with chancellors, presidents, state directors and others to assist in planning programs, strategies and articulation of the government intent and role of the applicable programs and Advisory Committees/Boards. Also, oversees technical assistance to the constituents involved in the applicable programs and the Advisory Committees/Boards; and performs other related tasks as required or assigned.

BACKGROUND

Twenty years of leadership experience in program direction and management; cutting red tape and streamlining operations; staff supervision and motivation; public policy analysis and recommendations (foreign and domestic); liaison with U.S. and foreign leaders.

PROFESSIONAL EXPERIENCE

Administrator, Presidential Commission on Federal Laws
Northern Mariana Islands (NMI)
Department of the Interior, Washington, D.C. 20240
8/79 -

I serve as Administrator of the Presidential Commission on Federal Laws impacting on the Northern Mariana Islands (NMI). My Commission's purpose is to survey the laws of the United States and to make recommendations to the Congress of those laws which should be made applicable, and those laws which should not be made applicable to the Northern Mariana Islands. I coordinate the overall direction of the Commission staff; maintain liaison with the Commission, Government agencies, and NMI Government officials. I write legal briefs and analyses of public laws as they affect the work of the Commission. I prepared a preliminary budget for the Commission's operation. I developed the criteria for determining the applicability of U.S. laws to the Northern Mariana Islands.

Chair, Task Force on Sex Discrimination
Department of the Interior, Washington, D.C. 20240
9/78

As Chairperson, I developed a comprehensive plan to review the U.S. Code for areas bearing on sex-related issues. These issues included statutes, regulations, guidelines and other directives affecting employment policies, upward mobility, affirmative action, federal grants and compliance, and public information. To accomplish this mission, I organized Bureau committees within the Interior Department - all of which were reportable to me. I also served as Assistant Chairperson to the Interior Department Senior Executive Service Committee. I prepared and designed objectives for the SES program and prescribed eligibility requirements and procedures for the identification, development and placement of program participants.

"She brings to bear a wide variety of well-honed skills, including those of administrator, researcher, writer, and educator."

Consultant/Expert, Office of the Commissioner
Office of Education
Department of Health, Education and Welfare
Washington, D.C. 20202
12/77

As consultant to the Commissioner for Education and Community Liaison, I developed, reviewed, and analyzed policy and legislation relating to the mission of the U.S. Office of Education. I developed mechanisms which allowed State and local governments, general public, education associations and other constituency groups to participate in Office of Education planning, policy and program development. I scheduled and coordinated meetings for officials of the Office of Education (OE) and HEW with major national educational organizations as the American Association of School Administrators, the Chief State School Officers, the Education Commissions of the States, etc. I directed the development of policies, program, procedures, and systems for the integration and coordination of the Office of Education Program Activities with those of state and local governments and with Federal agencies. I coordinated meetings for the U.S. Commissioner of Education with other governmental agencies including the U.S. Congress, the White House, Office of Management and Budget, the Labor Department, and other federal agencies.

Director and Chief Administrative Officer
Escuelas Las Nereidas Montessori Center
McLeary, Ocean Park, Puerto Rico 00914
1961 - 1977

As Director and Chief Administrative Officer of Las Escuelas Nereidas Montessori School I administered, directed, coordinated and planned the development, implementation, and evaluation of all school programs from early childhood to college. This involved analyses and balancing of the student's needs and national educational goals plus a knowledge and understanding of local and federal regulations, EEO policies, principles and procedures. I was totally responsible for the managerial and administrative functions which encompassed personnel management. I was directly responsible for the management and development of in-service training and personnel counseling.

Escuelas Las Nereidas Montessori Center - continued

I planned, managed, and allocated and administered the entire school budget of over \$1/2 million in the achievement of balance among educational programs, services, maintenance, salaries, etc. I develop admission standards; criteria for faculty recruitment; evaluation of employee performance and made final determinations of departmental research programs; conducted adult education programs and directed staff and parent programs. I maintained liaison and effected relationships with local, federal and community groups, delivering numerous speeches before civic and educational committees in the process.

OTHER PROFESSIONAL EXPERIENCES

- | | |
|-----------|---------------------------------------------------------------------------------------------------------------------------|
| 1979 | Conducted workshops, seminars: <u>Management Skills</u>
Department of the Interior Federal Women's Program |
| 1978-1979 | Conference Coordinator, U.S. Office of Education
Department of Health, Education and Welfare
Washington, D.C. 20202 |
| 1977-1978 | Lecturer, Career Image, Garfinckels, Washington, D.C. |
| 1976-1976 | Consultant, University Sagrado Corazon,
Puerto Rico |
| 1976-1976 | Consultant, Department of Instruction, San Juan,
Puerto Rico |
| 1974-1977 | Professor and Director Internship Training
Montessori, Teacher College, Puerto Rico |
| 1973 | President and Founder, Montessori Teacher Training
College, Puerto Rico |
| 1964-1970 | Coordinator of Curriculum and Instruction,
Las Nereidas |
| 1965 | Consultant, Pennsylvania Private School
Accreditation Team |
| 1962-1973 | Principal and Reading Specialist, Escuela
Las Nereidas, Puerto Rico |
| 1962-1965 | Reading Specialist, Davis Clinic, Puerto Rico |

OTHER PROFESSIONAL EXPERIENCES - continued

- 1959-61 Assistant Principal, Virgin Islands Board of Education, St. Thomas, Virgin Islands
- 1950-59 Kindergarten Primary Specialist, Passaic New Jersey Board of Education, Passaic, New Jersey
- 1953 Selected by Passaic, New Jersey Board of Education to Metropolitan School Study Council, Columbia University, New York
- 1950 Consultant, Guidance Guild, Passaic, New Jersey

AWARDS, HONORS AND CERTIFICATIONS

- 1980 "Who's Who of International Women," Cambridge, England
- 1980 World's Who's Who of Women
- 1980 "Personalities of the South," American Biographical Institute
- 1979 "Who's Who of American Women"
- 1978 Listed as one of Washington, D.C.'s Ten Outstanding Career Women, WASHINGTON STAR
- 1975-77 Chairperson, Puerto Rico Bicentennial
- 1975 Women of the Year, International Year of the Woman, Puerto Rico
- 1974 CARE Award for Distinguished Service, Puerto Rico
- 1973 Outstanding Service Award, Society for Mental Retardation, Puerto Rico
- 1972 Kiwanis Award for Outstanding Contribution, Puerto Rico
- 1967 Cum Laude, University of Puerto Rico
- 1965 Girl Scout Award of Excellence for Outstanding Leadership and Service, San Juan, Puerto Rico
- 1960 Civic Award for Community Service, St. Thomas, Virgin Islands
- 1953 Cum Laude, Columbia University
- 1952 Fellow, Glassboro State Teacher's College, New Jersey

AWARDS, HONORS AND CERTIFICATIONS - continued

- 1951 Fellow, Rutgers University, Passaic, New Jersey
- 1949 Fellow, Vassar Family Institute, Vassar College,
Poughkeepsie, New York

CIVIL AND POLITICAL ACTIVITIES/ORGANIZATIONS

American Association of University Women .
Foreign Policy Association
American Political Science Association
National Association for Child Development
International School Association
International Platform Association
Vice President, Business and Professional Women's Club,
Passaic, New Jersey
Board Member: Community Chest; Red Cross; Girl Scouts of America
St. Thomas, Virgin Islands
Board Member: American Cancer Society, San Juan, Puerto Rico
National Urban League
NAACP
Society for the Study of Black History
Founder, Puerto Rico Children's Theatre
Founder, Festival of Arts, Puerto Rico
Capitol Hill Club, Washington, D.C.
Director: C.A.R.E. (Cooperative American Relief Everywhere)

SUMMARY OF PROFESSIONAL CERTIFICATES

Administrator of Schools
Executive Leadership and Management
Secondary School Principal
Elementary School Principal
Elementary School Teacher
Montessori Teacher Trainer
Montessori School Teacher

RECENT TREATISES AND LECTURES

- Principal Speaker, Your Career Image, Government Women's Week, Washington, D.C. (1978)
- Dynamic Supervision.
- Conference Commentator (1978)
- Contexts for Change and Strategy
- Leadership in Administration
- Program Planning and Evaluation
- Imperative New Perspectives for Education
- Bureaucracy and It's Dysfunctions
- Theories of Management
- Formal and Informal Organizations
- Universities and Continuing Educators Career
- Aging, Women and Productivity; Montessori: Keys to Life
- International Understanding through Education
- The Global Perspective: The New Imperative
- The Analysis of Goals in Complex Organizations
- Authority and Decision-Making: A Comparative Analysis

ARTISTIC ACCOMPLISHMENT

- 1934 Dr. Bell's Conservatory of Music, Passaic, New Jersey
- 1949 Evelyn Hunt's Music Workshop, Vassar College

"In a relatively short period of time, she became one of the leading women of the community. She was in the forefront of every responsible effort to improve the education, health and well-being of our citizens...she established a close rapport with our heavily Spanish speaking citizens, by dedicating her impressive talents of leadership, administrative ability and compassion to their service. I know of no other "continental" who was able to bridge the differences between our Spanish and English speaking people with such finesse."

THE LEGALITY OF A SET-ASIDE FOR
BLACK COLLEGES AND UNIVERSITIES
IN FEDERAL HIGHER EDUCATION
FINCNCIAL AID PROGRAMS

PREPARED BY
THE OFFICE OF GOVERNMENT AFFAIRS
THE UNITED NEGRO COLLEGE FUND

NILES CURTIS WHITE, DIRECTOR

APRIL, 1982

THE LEGALITY OF A SET-ASIDE FOR BLACK COLLEGES AND UNIVERSITIES IN FEDERAL HIGHER EDUCATION FINANCIAL AID PROGRAMS

Introduction

The 102 historically black colleges and universities are still the primary producers of black baccalaureate degree graduates. These institutions and their students suffer disproportionately from poverty rooted in the legacy of slavery and segregation. Their students are heavily dependent on federal student financial aid to support their education and are negatively affected disproportionately by any disruptions or reductions in such aid. The institutions are heavily dependent on federal institutional aid to maintain and improve the quality of their programs and are affected negatively by reductions or uncertainty in such support.

Legal Analysis

Two recent Supreme Court decisions are relevant to the issue of legal authority to enact a set-aside in education appropriations for black colleges and universities. In University of California Board of Regents v. Bakke [438 U.S. 265 (1978)] the Supreme Court considered whether the Davis Medical School violated Title VI of the Civil Rights Act of 1964 and/or the Fourteenth Amendment when it reserved a fixed number of slots for "disadvantaged" students, all of whom were members of a racial or ethnic minority group. The Court ruled against the

Medical School's special admissions program and ordered Bakke admitted to the school. But the six separate opinions on the legal issues in the case gave support to the enactment of a set-aside specifically devoted to black students.

Because four justices held the Davis program illegal and four held it legal, Mr. Justice Powell's opinion admitting Bakke but upholding the notion that a university may justify the preferential consideration of race in the admissions process in the interest of creating a diverse student body so long as a fixed number of openings for minority students was not required, becomes most significant. He emphasized, however, that the problem was not that the Davis faculty was not legally competent to establish absolute racial preferences such as required in employment cases "to make [the victims] whole for injuries suffered on account of unlawful employment discrimination." [438 U.S. at 30] He noted that "such [racial] preferences also have been upheld where a legislative or administrative body charged with the responsibility made determinations of past discrimination by the industries affected, and fashioned remedies deemed appropriate to rectify the discrimination." [438 U.S. at 30] Essentially, Powell and at least four other Justices (Brennan, Marshall, White, and Blackmun) would find a set-aside to remove the effect of past discrimination legal if it was established by a legislative or administrative body of competent constitutionality.

In Fullilove v. Klutznick [100 S.Ct. 2758 (1980) at 2772] the Supreme Court considered precisely the issue of whether a set-aside enacted by a competent legislative body could pass constitutional muster and decided in the affirmative. Congressman Parren Mitchell succeeded in having an amendment added to the Public Works Employment Act of 1977, section 103(f)(2) of the Act which states:

Except to the extent that the Secretary determines otherwise, no grant shall be made under this Act for any local public works project unless the applicant gives satisfactory assurance to the Secretary that at least 10 per centum of the amount of each grant shall be expended for minority business enterprises. For purposes of this paragraph, the term "minority business enterprise" means a business at least 50 per centum of which is owned by minority group members or, in case of publicly owned business, at least 51 per centum of the stock of which is owned by minority group members. For the purposes of the preceding sentence minority group members are citizens of the United States who are Negroes, Spanish-speaking, Orientals, Indians, Eskimos, and Aleuts.

The Fullilove plaintiffs -- several associations of construction contractors and subcontractors -- claimed that the provision on its face violated the Equal Protection Clause of the Fourteenth Amendment and the equal protection component of the Due Process Clause of the Fifth Amendment.

By a six to three vote, the Supreme Court affirmed a lower court decision upholding the validity of the set-aside. Chief Justice Burger delivered the opinion of the Court. Burger found that:

The program was designed to ensure that, to the extent federal funds were granted under the Public Works Employment Act of 1977, grantees who elect to participate would not employ procurement practices that Congress had decided might result in perpetuation of the effects of prior discrimination which had impaired or foreclosed access by minority businesses to public contracting opportunities. (100 S.Ct. 2758 (1980).at 2772)

Having identified the objectives of the statutory provision, the Chief Justice embarked upon a two-step analysis: first, to determine whether the objectives of the legislation were within the power of Congress; and second, to determine "whether the limited use of racial and ethnic criteria in the context presented, is a constitutionally permissible means for achieving the congressional objectives" in light of the equal protection component of the Due Process Clause of the Fifth Amendment. (100 S.Ct. 2758 (1980) at 2772)

Interestingly enough, even though Justice Stevens was one of the three dissenters his principal concern was that "Negroes, Spanish-speaking, Orientals, Indians, Eskimos, and Aleuts" were all included in the set-aside. He did not think that all of these groups shared "a relevant characteristic" while he understood that blacks because of the legacy of slavery deserved a preference. (100 S.Ct. 2758 (1980) at 2811, 2814)

CONCLUSIONS

The holdings in Bakke and Fullilove set out a number of legal principles which make it possible to enact a set-aside for black colleges that would withstand legal and constitutional challenges.

The set-aside must be firmly rooted in the history of past racial discrimination in the allocation of federal and state financial assistance in higher education. There is ample evidence in the history of exclusion of black colleges and universities from the federal land grant program, exclusion of their faculty from peer review panels, unequal financing at the state level of their faculties, equipment, plants and students, as well as the general history of segregation in the case law as cited by Justice Douglas in Jones v. Alfred Mayer Co. [392 U.S. 409, 445-456 (1967)] to provide a basis for a congressionally enacted set-aside for black higher education institutions:

Some badges of slavery remain today. While the institution has been outlawed, it has remained in the minds and hearts of many white men. Cases which have come to this Court depict a spectacle of slavery unwilling to die. We have seen contrivances by States designed to thwart Negro voting, e.g., Lane v. Wilson, 307 U.S. 268. Negroes have been excluded over and over again from juries solely on account of their race, e.g., Strauder v. West Virginia, 100 U.S. 303, or have been forced to sit in segregated seats in courtrooms, Johnson v. Virginia, 373 U.S. 61. They have been made to attend segregated and inferior schools, e.g., Brown v. Board of Education, 347 U.S. 483, or have been denied entrance to colleges or graduate schools because of their color, e.g., Pennsylvania v. Board of Trusts, 353 U.S. 230;

Sweatt v. Painter, 339 U.S. 629. Negroes have been prosecuted for marrying whites, e.g., Loving v. Virginia, 388 U.S. 1. They have been forced to live in segregated residential districts, Buchanan v. Warley, 245 U.S. 60, and residents of white neighborhoods have denied them entrance, e.g., Shelley v. Kraemer, 334 U.S. 1. Negroes have been forced to use segregated facilities in going about their daily lives, having been excluded from railway coaches, Plessy v. Ferguson, 163 U.S. 537; public parks, New Orleans Park Improvement Assn. v. Detiege; 358 U.S. 54; restaurants, Lombard v. Louisiana, 373 U.S. 267; public beaches, Mayor of Baltimore v. Dawson, 350 U.S. 877; municipal golf courses Holmes v. City of Atlanta, 350 U.S. 879; amusement parks, Griffin v. Maryland, 378 U.S. 130; buses, Gayle v. Browder, 352 U.S. 903; public libraries, Brown v. Louisiana, 383 U.S. 131. A state court judge in Alabama convicted a Negro woman of contempt of court because she refused to answer him when he addressed her as "Mary," although she had made the simple request to be called "Miss Hamilton," Hamilton v. Alabama, 376 U.S. 650.

The pattern of federal funding noted in the various reports on black colleges ordered by Presidents Nixon, Carter, and Reagan added to the pattern of denials and deprivations since 1967 provide additional support.

Remedying the effects of discrimination in elementary, secondary, and higher education for blacks from the compulsory ignorance of slavery to the inferior education of segregation would be both legally and morally correct. In addition, it would add to the number of productive black citizens who could add to the economic base needed for economic development of the black community.