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RELEASED

**Selected Contracting
And Consulting Activities
Of The Office Of Education** B-164031(1)

Department of Health, Education,
and Welfare

*BY THE COMPTROLLER GENERAL
OF THE UNITED STATES*

089807

JUNE 30, 1970



COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548

B-164031(1)

Dear Mrs. Green:

This is our report summarizing certain information you requested in a meeting with members of our staff on October 28, 1969, concerning contracting and consulting activities of the Office of Education, Department of Health, Education, and Welfare.

We discussed many of the matters included in this report with responsible officials of the Office of Education, but we did not obtain written comments from the Office of Education nor the Department of Health, Education, and Welfare.

We plan to make no further distribution of this report unless copies are specifically requested, and then we shall make distribution only after your agreement has been obtained or public announcement has been made by you concerning the contents of the report.

Sincerely yours,

A handwritten signature in cursive script that reads "James B. Stacks".

Comptroller General
of the United States

The Honorable Edith Green
House of Representatives

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D I G E S T

WHY THE REVIEW WAS MADE

Congresswoman Edith Green asked the General Accounting Office (GAO) to obtain information about contracting and consulting activities of the Office of Education. GAO gave particular attention to:

- the number and amount of contracts awarded by the Office of Education; also GAO classified them by program, type of contract, and type of organization,
- salaries of key personnel at research organizations supported in whole or in part by the Office of Education,
- methods used by the Office of Education to hire consultants,
- type of work performed by certain consultants outside their Office of Education activities, and
- the extent to which consultants were used by firms under contract with the Office of Education.

The Office of Education and the Department of Health, Education, and Welfare have not been given an opportunity to formally examine and comment on this report.

SS

FINDINGS AND CONCLUSIONS

The Contracts and Grants Division of the Office of Education is responsible for administering contracts but has not maintained a list of open contracts nor have all the branches within the Division. (See p. 5.)

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During fiscal year 1969 the Division administered 1,328 open contracts in the amount of \$276 million. Of these contracts, 478 in the amount of \$36 million were awarded during fiscal year 1969. (See p. 5.) Of the \$276 million, \$164 million (59 percent) was for educational research and research training. Of the \$164 million, \$107 million was for support, in whole or in part, of nine research and development centers and 20 regional educational laboratories. (See p. 6.)

GAO analyzed 40 contracts and found that:

- 25 were awarded to nonprofit organizations and 15 to profitmaking organizations;
- 17 were fixed-price, 15 were cost-plus-fixed-fee, and 8 were cost-reimbursable-no-fee, and
- 27 were awarded on the basis of one proposal and 13 on the basis of more than one. (See p. 7.)

The research and development centers budgeted 940 salaried positions for fiscal year 1969; 66 of which had an annual salary of \$20,000 or more. The regional educational laboratories budgeted 1,400 salaried positions for fiscal year 1969; 112 of which had an annual salary of \$20,000 or more.

The annual salaries of the directors (or codirectors) of the centers and laboratories ranged from \$16,400 to \$36,000 and averaged \$24,800 for the centers and \$30,926 for the laboratories. This is comparable to GS-15 through GS-17 for Federal employees. (See p. 12.)

The Office of Education hires individual consultants on a per diem basis, by contract, or by purchase order. The Office used 578 individual consultants--on a per diem basis--for the period June 28 through December 13, 1969, at a cost of \$314,000. GAO did not attempt to determine the number hired by contract or purchase order but found that 1,000 individuals, known as field readers, were hired by contract and paid about \$377,500 during fiscal year 1969. They performed such tasks as reviewing and evaluating reports, reading proposals for projects to be funded by the Office of Education, and conducting site visits to evaluate Office of Education programs. (See p. 14.)

GAO's review of the records of 10 consultants employed by the Office of Education showed that five were associated with colleges or universities, one was self-employed, one was employed by a consulting firm, one by a law firm, one by the New Jersey department of education, and the other by the Ford Foundation. (See p. 14.)

Consultants are also hired by Office of Education contractors. GAO's review of five contracts with four firms in the total amount of \$1,084,000, showed that \$238,000 was spent for consultant services. The highest daily rate for these consultants was \$200. One contractor paid several consultants \$250 or \$500 for each paper written for the contractor. (See p. 19.)

The Office of Education has not established a limit for amounts paid contractors' consultants nor does it have standard reporting requirements for documenting the consultants' work. (See p. 25.)

RECOMMENDATIONS OR SUGGESTIONS

GAO discussed with the Office of Education the need for a central record of all open contracts and grants, which would include a brief description of the work to be done. Furthermore, in a previous report to the Commissioner of Education, GAO recommended that the Office of Education require grantees to maintain records showing the results of consultant services on projects funded under title III of the Elementary and Secondary Education Act of 1965. (See pp. 7 and 25.)

AGENCY ACTIONS AND UNRESOLVED ISSUES

The Office of Education is developing a central list of contracts and grants awarded during fiscal year 1970 and has plans to implement a management information system by June 1970. The system will show amount of the contract or grant, name of the contractor or grantee, date of completion, purpose of the contract or grant, and other pertinent information. (See p. 7.)

The Office of Education is having some contractors and grantees document work done by consultants. (See app. IX.) Furthermore, the Office has suggested to the Department of Health, Education, and Welfare that a uniform Department-wide policy be established on documentation required of contractors' and grantees' consultants. This matter was still under consideration at the close of the review, and GAO plans to determine at a later date what action has been taken. (See p. 25.)

CHAPTER 1

INTRODUCTION

As agreed to with Congresswoman Edith Green, the General Accounting Office obtained information on the contracting activities of the Office of Education and its use of consultants and contractors. We did not examine into the propriety of contract awards or the adequacy of the administration of the contracts. The scope of our review is described on page 27 of this report.

The Office of Education is a constituent agency of the Department of Health, Education, and Welfare responsible for administering various support and assistance programs in the educational field. The Office of Education's Contracts and Grants Division is responsible for developing contract and grant management policy and procedures and directing the negotiation and administration of contracts and grants. The Contracts and Grants Division includes seven contracting branches which negotiate, award, and administer approved contracts and grants within their area of responsibility. A listing of the seven branches and the number and amount of open contracts administered by each branch during fiscal year 1969 appears on page 5 of this report.

During fiscal year 1969 the seven contracting branches administered approximately 1,328 open contracts totaling about \$276,275,000. These contracts supported approximately 42 different programs administered by the Office of Education and were awarded to universities, profitmaking and nonprofit organizations, and individuals. Over half of the total amount of the contracts was administered for the Bureau of Research¹ by a branch of the Contracts and Grants Division. A major portion of Bureau of Research contracts were for the support of regional educational laboratories and research and development centers funded under the cooperative research program of the Office of Education.

¹The Bureau of Research is now the National Center for Educational Research and Development.

CHAPTER 2

ANALYSIS OF CONTRACT DATA

The Contracts and Grants Division did not maintain a central listing of open contracts nor did the individual contracting branches within the Division have complete listings of contracts for which they were responsible. For instance, although the Division maintained a contracts and grants control log to show the contracts awarded by the seven branches during fiscal year 1969, the log was incomplete because it did not show open contracts which were awarded in prior fiscal years and because it did not show contract amendments. However, the Bureau of Research maintained a Current Project Information Document that listed open contracts and grants that had been awarded by that Bureau and included a brief description of the contract and grant work. Because of the lack of central records, we had to compile information on the number and amount of open contracts in fiscal year 1969 by using those records that were available and by examining the contract files.

The following table shows, by contracting branch, the number and amount of contracts that were open during fiscal year 1969 and the number and amount of contracts that were awarded during fiscal year 1969, as compiled by us.

<u>Contracting branch</u>	<u>Contracts open during fiscal year 1969</u>		<u>New contracts awarded during fiscal year 1969</u>	
	<u>Number of contracts</u>	<u>Amount</u>	<u>Number of contracts</u>	<u>Amount</u>
Administrative Contracts	71	\$ 4,199,368	31	\$ 1,914,580
Research	389	182,831,189	48	4,363,049
Higher Education	457	29,845,139	205	9,218,850
Elementary and Secondary Education	41	4,826,807	17	1,143,626
Education Personnel De- velopment	20	1,947,183	4	132,936
Adult, Vocational and Library Programs	193	42,032,734	57	14,525,717
Education of the Handi- capped	<u>157</u>	<u>10,592,285</u>	<u>116</u>	<u>4,863,639</u>
Total	<u>1,328</u>	<u>\$276,274,705</u>	<u>478</u>	<u>\$36,162,397</u>

The above data does not include contracts awarded by the Office of Education under program number 033 (Assistance for School Construction--Public Law 81-815). Although the Contracts and Grants Division is responsible for approving these contracts, the contract files are located at the regional offices of the Office of Education responsible for administering the contracts. There were 22 such contracts awarded during fiscal year 1969, totaling \$5,554,370. We did not attempt to determine whether there were other contracts awarded or administered by the regional offices because an official of the Office of Education informed us that regional offices generally did not award or administer contracts and grants in excess of \$50,000 and that the number of such contracts would be insignificant.

We also compiled the number and amount of contracts by Office of Education programs. (See app. I). This data showed that, of the total amount (\$276,274,705) of open contracts in fiscal year 1969, approximately \$163,694,130, or 59 percent, was for program number 010 (Educational Research and Research Training--Public Law 89-10). Relatively large amounts were for two other programs--\$13,886,632 for program 085 (Research and Training Programs and Experimental or Pilot Programs Designed to Meet the Special Vocational Education Needs of Youth--Public Law 88-210) and \$22,331,934 for program 089 (Training and Skill Development Programs--Training Facilities and Services--Public Law 87-415).

Of the \$163,694,130 for program 010, about \$107,101,002, or 65 percent, was for the support of the nine research and development centers and the 20 regional educational laboratories which were supported, in whole or in part, by the Office of Education.

According to an Office of Education memorandum, the organizations to which contracts are awarded are mainly non-profit institutions and educational institutions although they include international unions, profitmaking organizations, industrial associations, and individuals. The contracts awarded are predominantly of a cost-reimbursable type, but include other types, such as fixed-price.

Because of the large volume of contracts and the lack of central records, we did not attempt to determine, for all contracts, the types of contracts awarded or the types of organizations to which they were awarded. However, we did analyze 40 contracts which were selected on the basis that they appeared to assist the Office of Education in the operation of its programs. The selection of the contracts is not necessarily a representative one.

Data regarding the 40 contracts is presented in appendix VIII. The data shows that:

- 25 contracts were awarded to nonprofit organizations and 15 were awarded to profitmaking organizations,
- 15 were cost-plus-fixed-fee contracts, eight were cost-reimbursement-no-fee contracts, eight were fixed-price-no-fee contracts, and nine were fixed-price-plus-fee contracts, and
- 27 contracts were awarded on the basis of one proposal--19 unsolicited and eight solicited--and 13 contracts were awarded on the basis of more than one proposal.

We discussed with officials of the Office of Education the need for the Office to maintain a central listing of contracts and grants similar to that being maintained by the Bureau of Research. The officials have informed us that procedures have been implemented to provide a central computerized listing of contracts and grants awarded during fiscal year 1970.

They have informed us also that the Office of Education is currently developing a single management information system similar to that used in the Bureau of Research and plans to implement the system by June 1970. The system will show the amount of contract and grant awards, name of the contractor or grantee, date of completion, purpose of the contract or grant, and other pertinent information on all contracts and grants awarded by the Office of Education.

CHAPTER 3

SELECTED INFORMATION ON CENTERS AND LABORATORIES

The research and development center program was started in 1963 as part of the cooperative research program of the Office of Education. Research and development centers are designed to concentrate human and financial resources on a particular problem area in education over an extended period of time in an attempt to make a significant contribution toward the understanding and improvement of educational practices in the problem area. There are currently nine research and development centers operating under contract with the Office of Education. The research and development centers are nonprofit organizations based at universities.

The Cooperative Research Act, as amended by title IV of the Elementary and Secondary Education Act of 1965, authorized the Commissioner of Education to create a new set of institutions whose central mission was to speed the intelligent application and widespread utilization of the results of educational research. The Office of Education, pursuant to the act, awarded contracts to establish and operate 20 regional educational laboratories. The laboratories are operated by independent, nonprofit corporations with their own governing boards and managements. Five of these laboratories were closed during calendar year 1969, leaving 15 laboratories still active.

CONTRACT AWARDS

The cumulative amounts of contract awards to the nine research and development centers and the 20 regional educational laboratories were \$33,955,933 and \$73,145,069, respectively, through June 30, 1969. Contract awards to the centers and laboratories were \$8,900,147 and \$23,513,042, respectively, for the fiscal year ending June 30, 1969. (See apps. II and III.) These organizations also received funds for the construction of facilities from the Office of Education through grants which we did not analyze. Through fiscal year 1969, the Office of Education had made available about \$18.6 million for this purpose.

With the exception of The Johns Hopkins University Research and Development Center and the Education Development Center (regional educational laboratory at Newton, Massachusetts), each of the centers and laboratories operates under cost-reimbursement contracts. The Johns Hopkins University Research and Development Center operates under a grant.

We were informed by an official of the Office of Education that each research and development center is required to provide some support for the operation of the center although the exact percentage is not specified. He informed us also that Johns Hopkins had indicated a willingness to enter into an arrangement for sharing in the cost of operating a center but was unwilling to do so under a cost-reimbursement contract. The reason was that Johns Hopkins had several cost-reimbursement contracts with Government agencies that did not provide for sharing in the contract costs and it did not want to establish a precedent of entering into a cost-sharing arrangement under that type of contract. As a result, the Office of Education awarded a grant to Johns Hopkins for the operation of the Research and Development Center. The terms and conditions of the grant are generally the same as the terms and conditions of the cost-reimbursement contracts awarded to the other centers.

The Education Development Center at Newton, Massachusetts, operates under a cost-reimbursement contract but also receives a fee (2 percent of total estimated direct and indirect annual costs). It is the only center or laboratory that receives such a fee. Officials of the Office of Education informed us that the fee was allowed because the Center was an existing organization when it was awarded a contract to operate a regional educational laboratory and because it received fees in its dealings with other Government agencies. The total fees allowed on contracts awarded the Center since June 1967 amounted to \$45,463. The fee allowed for the fiscal year 1969 contract was \$19,109.

BUDGET DATA

We have included as appendixes IV and V the budget data for the 1969 fiscal year of the centers and laboratories. This data covers the fiscal year ended January 31, 1970, for the centers and the fiscal year ended November 30,

1969, for the laboratories. The budget data was based on the budgets submitted by the centers and laboratories in support of their fiscal year 1969 contract negotiations. An Office of Education official informed us that the budget data submitted by some of the centers and laboratories might not include all sources of operating funds. We did not attempt to determine the total amount of funds received from other sources (local and other Federal). However, the official informed us that the budgets from which we derived the information included substantially all the support received by the centers and laboratories with the exception of the laboratory at Newton, Massachusetts.

The Office of Education provided funds approximating 80 percent of the total support for the nine centers in fiscal year 1969 based on the budget data for that year. The support ranged from approximately 62 percent for the center at the University of Georgia to 92 percent for the center at Johns Hopkins, as shown below.

<u>Center</u>	<u>Percentage of support</u>
University of Pittsburgh	75
University of Oregon	73
The University of Wisconsin	88
University of Georgia	62
University of California, Berkeley	88
Stanford University	85
University of Texas	87
University of California, Los Angeles	89
The Johns Hopkins University	92

The Office of Education provided funds approximating 90 percent of the total support for 19 of the 20 laboratories in fiscal year 1969 based on budget data submitted to the Office of Education for that year. Of these laboratories, 14, including the five laboratories that were closed, received their entire support from the Office of Education. We were informed by an Office of Education official that the other laboratory, Education Development Center at Newton, Massachusetts, received support from several other sources and that the Office of Education support represented

only 12 to 13 percent of its total operating budget. The budget data shown in appendix V for this laboratory represents only the amount budgeted for work performed for the Office of Education.

SALARY INFORMATION

We analyzed the salaries of key personnel of the research and development centers and educational laboratories that received financial assistance from the Office of Education. This analysis was based on the budget data submitted in support of fiscal year 1969 funding. The budget data for the centers showed all budgeted positions regardless of the source of support (local, Office of Education, other Federal). The budget data for the laboratories, however, showed only those budgeted positions that received some support from the Office of Education. Thus, the laboratories may have had additional employees supported by sources other than the Office of Education.

The nine centers budgeted approximately 940 salaried positions for fiscal year 1969. Sixty-six of these positions were authorized at an annual salary of \$20,000 or more. Appendix VI lists the salary for each director or codirector of the centers and shows the percentages of the salaries that were supported by the Office of Education. For fiscal year 1969 the salaries for these positions ranged from \$16,400 to \$31,012 and averaged \$24,800.

As appendix VI shows, the percentage of directors' salaries supported by the Office of Education varies from center to center. We were informed by an official of the Office of Education that it did not have a general policy as to the amount of a director's salary that would be supported by Office of Education funds. He explained that each center was informed, prior to the annual negotiations, of the approximate support the Office of Education would provide for the year. The center could then allocate its support among the salaries of the director and other personnel and other costs, according to its own policy. He also said that, since the centers are based at universities, each university would absorb some of the salaries of the key personnel in order to help it retain these individuals in case the center should be discontinued.

The 20 laboratories budgeted approximately 1,400 salaried positions, 112 of which were authorized at an annual salary of \$20,000 or more. Appendix VII lists the salary for each laboratory director and shows the percentage of

his salary that has been supported by the Office of Education. The annual salaries of the directors for fiscal year 1969 ranged from \$26,138 to \$36,000 and averaged \$30,926.

A comparison of the average salary for the research center directors (\$24,800) with the salary for Federal civil service employees, effective the first pay period in July of 1969, showed that the average salary fell within the salary range of a GS-15. The lowest salary paid to a director (\$16,400) was within the salary range of a GS-13, and the highest salary paid to a director (\$31,012) was within the salary range of a GS-17.

A similar comparison for laboratory directors showed that the average salary (\$30,926) fell within the salary range of a GS-16 and GS-17. The lowest salary paid to a laboratory director (\$26,138) was within the salary range of a GS-15 and GS-16, and the highest salary paid to a director (\$36,000) exceeded the GS-18 salary range.

We also compared the center and laboratory directors' salaries with the salaries of the Commissioner of Education and the Associate Commissioner, National Center for Educational Research and Development. No center or laboratory director received a salary in excess of the salary of \$38,000 for the Commissioner of Education, and only four laboratory directors received salaries in excess of the salary of \$33,495 for the Associate Commissioner, National Center for Educational Research and Development.

CHAPTER 4

METHODS USED BY THE OFFICE OF EDUCATION

TO HIRE INDIVIDUAL CONSULTANTS

Consultants may be hired by the Office of Education on a per diem basis, under contract, or by purchase order. The policy of the Office of Education is to hire individual experts or consultants under contracts or purchase orders only when the services required cannot be obtained by appointment on a per diem basis in accordance with personnel regulations. Each of these methods is discussed below.

CONSULTANTS HIRED ON A
PER DIEM BASIS

For the period June 28 through December 13, 1969, the Office of Education utilized the services of 578 individual consultants who were appointed through the personnel office on a per diem basis. The total fees paid to these consultants amounted to approximately \$314,000.

To obtain an indication as to the principal occupation of some of these consultants, we reviewed appointment files for 10 of the consultants who worked for the Office of Education in 1969. Following is a listing showing, for each consultant, his principal occupation, the total fees received in 1969, and the daily rate.

<u>Principal employment</u>	<u>Fees for 1969</u>	
	<u>Amount</u>	<u>Daily rate</u>
Self-employed. Performs educational planning and development services for the United Scholarship Service and for the Coalition of American Indian Citizens	\$ 2,000	\$ 50
Program Officer, Public Education, Division of Education and Research, Ford Foundation, New York, N.Y.	13,222	100

<u>Principal employment</u>	<u>Fees for 1969</u>	
	<u>Amount</u>	<u>Daily rate</u>
Assistant Professor of Education and Pediatrics, University of Kansas Medical Center	\$ 2,861	\$ 80
President, Central Texas College	2,500	100
Assistant Dean, Special Projects, Laney College, Oakland, California	2,966	100
President, University of Iowa	5,352	100
Lawyer--member of Cleveland law firm, Jones, Day, Cockley and Reaves	1,700	100
Employed with a consulting firm. Performs comprehensive educational consulting work involving curriculum instruction, labor relations, and educational management	9,088	128
Assistant Commissioner for Vocational Education, State Department of Education, Trenton, New Jersey	2,075	100
Adjunct professor at Long Island University (C.W. Post campus) in course on problems of education of disadvantaged and maladjusted children	3,752	75

CONSULTANTS HIRED BY CONTRACT

Contracts for a specific purpose

During our review of the contract data within the Office of Education, we noted several contracts which appeared to have been awarded to individuals for consultant services. The total amount of these contracts is relatively minor when compared to the total amount of contracts awarded by the Office of Education. We did not attempt to

determine the exact number or amount of contracts with individuals; however, the following examples illustrate the types of services for which such contracts are awarded:

<u>Amount</u>	<u>Purpose of contract</u>
\$17,095	Preparation of a booklet describing ways in which community participation might be secured in the planning and implementation of compensatory education programs.
2,575	A survey of the extent of involvement of private and parochial school children in title I, Elementary and Secondary Education Act.
5,570	Preparation of a written report for a comprehensive system for assessment and evaluation of educational personnel needs, as related to the Educational Personnel Development Act.

Contracts for field readers

The Office of Education awards "technical and/or professional service" contracts to individuals who serve as field readers (non-Government specialists). For certain Office of Education programs, field readers perform the following services as requested by the Office of Education:

1. Review and evaluation of individual proposals involving financial support from the Office of Education for projects or programs in research, development, demonstration, or dissemination.
2. Review and evaluation of reports.
3. Serve in evaluation sessions as qualified non-Federal individuals and provide appraisals of a group of proposals.
4. Conduct site visits for such purposes as:
 - a. Evaluating the present and/or potential qualifications of an individual, institution, or

organization responsible for a project or program of interest to the Office of Education.

- b. Making evaluations and/or recommendations regarding the scope, methods, plans, prospects, and other aspects of a grantee's or contractor's project or program.
- c. Making evaluations and/or recommendations regarding utilization of staff and other factors regarding coordination of a grantee's or contractor's efforts with those of other activities.

Approximately 1,000 field readers were paid a total of about \$377,500 by the Office of Education during fiscal year 1969.

CONSULTANTS HIRED BY PURCHASE ORDER

Purchase orders are used to procure supplies or services of \$2,500 or less and may be issued to a firm or to an individual. During fiscal year 1969 the Office of Education awarded 374 purchase orders amounting to approximately \$276,000. We did not attempt to determine the extent that these orders were used for the procurement of consultant services. The following are examples of purchase orders that were issued for consultant services:

<u>Amount</u>	<u>Purpose</u>
\$2,475	To provide analytic system review and recommendation relative to the selection of an automated information retrieval system for implementation within the Educational Resources Information Center.
600	To produce a set of questionnaires for inclusion in the School Staffing Survey and an analysis plan which could identify "inner city" schools.

Amount

Purpose

\$2,500 To edit and compile research for the National Advisory Council on the Education of Disadvantaged Children Annual Report to be submitted to the President and the Congress. The contractor also was to draw together into one coherent report the results of four separate research projects completed by other consultants and contract researchers of the National Advisory Council of 1968.

CHAPTER 5

INFORMATION ON CONSULTANTS HIRED BY CONTRACTORS

From the contracts listed in appendix VIII, we selected five contracts with four different firms to obtain an indication of the extent that contractors employed consultants in the performance of contract work for the Office of Education. Our examination of these five contracts showed that approximately \$238,000 of the total contract amount of \$1,084,000 was expended for consultant services. We obtained information on the use of consultants from each of the contractors. In addition, we analyzed the fiscal year 1969 budgets for the regional educational laboratories and the research and development centers to determine the extent that they used consultants in their work. Details follow.

SOCIAL EDUCATIONAL RESEARCH AND DEVELOPMENT, INC.

On April 2, 1968, Social Educational Research and Development, Inc., Silver Spring, Maryland, was awarded a cost-plus-fixed-fee contract in the amount of \$91,572 for a survey of effective vocational education programs. The vouchers submitted for payment to the Office of Education showed that the contractor had paid approximately \$21,800 for consultant services through December 1968.

We visited the contractor to obtain information on the \$21,800 spent for consultant services. Our review of the vouchers and other documents supporting the contractor's payments to consultants showed that 27 consultants were used on the project. The consultants were used for such purposes as editing and proofreading reports, writing reports, and conducting studies of vocational education programs. Only one consultant was paid in excess of \$100 a day. He was paid at the rate of \$14.30 an hour, or about \$114 for an 8-hour day.

A contractor official informed us that the contractor does not normally pay consultants in excess of \$100 a day. The official also said that the contractor follows the

policy of limiting payments to consultants to 20 percent of the annual salary received by the consultants from other employers.

SYRACUSE UNIVERSITY RESEARCH CORPORATION

The Syracuse University Research Corporation, Syracuse, New York, was awarded a cost-plus-fixed-fee contract on December 9, 1968, in the amount of \$150,774, to prepare a report for the Organization for Economic Cooperation and Development¹ entitled "Some Aspects of Educational Research and Development in the United States." The vouchers submitted for payment to the Office of Education showed that the contractor had paid approximately \$8,200 for consultant services through July 31, 1969.

We requested the contractor to furnish us information on the names of the consultants, rates of compensation, and a description of duties of the consultants. The information submitted showed that 21 consultants were used on the project for such purposes as assisting the project research coordinator in research and administration, conducting field interviews with high-level personnel at university centers, federally funded educational research and development centers, and educational laboratories; and preparing reports. None of the consultants were paid in excess of \$100 a day.

INSTITUTE FOR EDUCATIONAL DEVELOPMENT

On April 1, 1969, a fixed-price contract in the amount of \$141,884 was awarded to the Institute for Educational Development, New York, N. Y., for a study of the impact of research on utilization of communications media for educational purposes.

We requested the contractor to furnish us information concerning the use of consultants. The information submitted showed that \$13,232 was paid to consultants through December 31, 1969. Of this amount, \$405, or \$15 per person, was paid to 27 people for responding to a lengthy structured

¹An international assembly of 21 nations.

interview. The remaining \$12,827 was paid to 23 consultants. Four of these consultants were paid at a rate in excess of \$100 a day. The highest rate was \$200 a day.

ACADEMY FOR EDUCATIONAL DEVELOPMENT, INC.

Two contracts were awarded during 1968 to the Academy for Educational Development, Inc., New York, N.Y. Under both contracts the contractor budgeted a significantly large amount for consultant services. We were unable to determine for either contract the amount paid for consultant services in our review of the vouchers submitted to the Office of Education for payment because these vouchers did not break out expenses for consultant services as a separate item.

We visited the contractor to obtain information on the use of consultants under both contracts. We noted that for both contracts the contractor's records in support of payments to consultants were incomplete. In many cases, the only support for payment to consultants consisted of a brief memorandum from either the consultant or a contracting official requesting payment for services rendered. We were unable to determine by examining the contractor's records for some consultants the exact period of time for which the services were rendered or the purposes for which they were hired. It was necessary to obtain much of this information through discussions with contractor officials.

Following is the information we obtained on the contractor's use of consultants under the two contracts.

Contract No. OEC-0-8-980797-4634

This contract, a cost-reimbursement contract for \$200,000, was awarded to the Academy for Educational Development, Inc., on June 30, 1968, for the purpose of establishing a National Planning Congress to improve higher education in the United States.

The contractor's records showed that, for the period July 1968 through November 1969, the Office of Education was billed \$47,000 for consultant fees. The contractor also billed the Office of Education for about \$16,000

during this same period for travel and other expenses of consultants.

The contractor's records supporting payments to consultants showed that nine consultants were used consistently throughout the period of the project. Of the consultant fees of \$47,000 billed to the Office of Education for the period July 1968 through November 1969, \$30,000 was paid to these nine consultants.

We were unable to determine from the contractor's records the purposes for which the consultants were hired. However, we were able to obtain a description of their duties through discussions with the contractor's project officer. He informed us that the project was divided into segments (economics of education, State colleges, Federal agencies' roles in higher education, educational associations, etc.) and that a consultant was employed to handle each segment. These consultants were responsible for organizing seminars and meetings, running the seminars, and compiling or writing reports on the results of their efforts.

Only one consultant was paid at a rate in excess of \$100 a day. He was paid at a rate of \$125 a day.

Contract No. OEC-0-8-080571-3683

This contract, a cost-reimbursement contract for \$500,000, was awarded to the Academy for Educational Development, Inc., on May 1, 1968, for assisting the Commission on Instructional Technology in the preparation of a report on a study of a new instructional technology. The Commission was established by the Commissioner of Education as authorized by title III of the Public Broadcasting Act of 1967. The contractor was to act as professional and administrative staff and fiscal agent for the Commission in conducting the study and preparing the report.

The contractor's records showed that, for the period June 1, 1968, to December 31, 1969, the Office of Education was billed about \$148,000 for consultant fees and about \$13,000 for consultants' travel and other expenses.

Our analysis of the contractor's payments to the consultants showed that a large portion of the fees was for the writing of papers. We identified payments for 109 papers amounting to approximately \$56,000. In most cases, the fees paid were at a rate of \$250 or \$500 per paper. Only one consultant was paid at a daily rate in excess of \$100. He received \$150 a day.

Our analysis showed also that 14 consultants were used consistently during the period of the project. Payment of fees to these consultants amounted to approximately \$52,000. A contractor official informed us that six of these consultants were permanent members of the Commission for Instructional Technology and that these members read papers, made evaluations and comments on the papers, and helped develop conclusions on the project. Duties of the other consultants were:

1. One consultant acted as the chief administrator for the contractor's project officer. He also assisted in planning and conducting meetings of the Commission. The Office of Education was billed \$10,588.77 for the consultant's services, plus a \$950 honorarium.
2. The services of one consultant--a lieutenant colonel in the U.S. Air Force who at the time was a professor of instructional technology at the U.S. Air Force Academy--were obtained for a 4-month period, under an agreement with the Air Force, for the purpose of doing an in-depth study of instructional technology in the armed services. According to the agreement the Air Force continued to pay the lieutenant colonel his salary for the 4-month period (\$7,148) and billed the Academy for this amount. The Academy, in turn, billed the Office of Education for the amount of the salary. The Academy also billed the Office of Education for travel costs (\$4,326.46) and an honorarium (\$525) which it had paid to the lieutenant colonel. We were informed that the honorarium was paid to the lieutenant colonel for the inconvenience of having to move to Denver where an office of the Academy for Educational Development was located. In the past, the

Comptroller General has ruled (B-131371, July 17, 1957) that amounts paid to members of the armed services similar to the honorarium mentioned above must be returned to the U.S. Treasury. We are looking into this matter to see if this was done.

3. The other consultants were hired mainly to conduct studies on various subjects and participate in meetings and the general planning of the project.

USE OF CONSULTANTS BY RESEARCH AND
DEVELOPMENT CENTERS AND REGIONAL
EDUCATIONAL LABORATORIES

Appendix IV shows the total amount (\$107,615) budgeted for fiscal year 1969 by the research and development centers for consultant fees. This amount includes fees supported by local and other Federal sources as well as the Office of Education. Appendix V shows the total amount (\$1,142,326) budgeted for fiscal year 1969 by the regional educational laboratories for consultant fees supported by the Office of Education. Data on consultant fees supported by other sources (local, other Federal, etc.) were not available.

We did not visit any of the centers or laboratories for the purpose of reviewing the rates paid to consultants or the adequacy of the supporting documentation. However, we did review audit reports by the Department of Health, Education, and Welfare Audit Agency on the results of its review of several regional educational laboratories. In several of the reports, the Audit Agency indicated that the documentation supporting payments to consultants was inadequate. The Audit Agency has not conducted reviews of the research and development centers.

OFFICE OF EDUCATION'S POLICY
REGARDING THE USE OF CONSULTANTS
BY CONTRACTORS

We discussed with officials of the Office of Education its policies regarding the use of consultants by contractors including the centers and laboratories. We were informed that generally the selection of the consultants and the amount to be paid was left up to the contractor. Furthermore, the Office of Education has not established a limit as to the amount to be paid consultants used by contractors, nor does it have any standard reporting requirements on contractors' use of consultants.

Office of Education officials informed us that, although contractors were not required to keep documentation on their use of consultants, the Office recently sent a letter to appropriate Department of Health, Education, and

Welfare officials recommending the establishment of a uniform Department-wide policy on the documentation to be required of grantees and contractors concerning their use of consultants. This recommendation resulted from a previous GAO report issued to the Commissioner of Education in September 1969 on the results of our examination into title III, Elementary and Secondary Education Act, projects being operated at certain local educational agencies in Massachusetts. In the report we noted that, when grantees hired consultants, they did not always receive written reports regarding the consultative services furnished and did not require the consultants to otherwise document the results of the services furnished.

In commenting on that report, the Commissioner stated that he shared our views regarding the benefits of recording the results of consultant services rendered on title III projects. In an administrative bulletin to all chief State school officers dated January 1970, the Office of Education emphasized the importance of documenting the results of consultations and required that such documentation be included in the grantee's records so that other local educational agencies and interested persons could review and obtain the benefits of such information. (See app. IX.)

Although our review of the use of consultants by contractors, research and development centers, and regional educational laboratories was limited, we believe that the extensive use of consultants by these organizations warrants the establishment of a uniform policy on the documentation of results of work performed by consultants. An official of the Department of Health, Education, and Welfare informed us on May 20, 1970, that this matter was still under consideration. We believe that the Department of Health, Education, and Welfare should take action on the Office of Education's recommendation for the establishment of a uniform Department-wide policy on this matter, and we plan to determine at a later date whether this has been done.

CHAPTER 6

SCOPE OF REVIEW

Our review was directed toward obtaining information concerning contracting and consulting activities of the Office of Education, as agreed to during a meeting on October 28, 1969, with Congresswoman Green. Our work was performed mainly at the Office of Education. We also visited two contractors--Social Educational Research and Development, Inc., Silver Spring, Maryland, and the Academy for Educational Development, Inc., New York, N.Y.

We used the available records and contract files of the Office of Education to compile information on the number and amount of contracts which were open during fiscal year 1969. We examined personnel records, contract and purchase order files, and other pertinent documentation to obtain information on the methods used by the Office of Education to hire consultants and the principal employment of selected consultants. In addition, we examined the Office of Education's files to obtain budget information for the research and development centers and the regional educational laboratories, including salary data for key personnel.

We discussed with appropriate officials of the Office of Education the Office's policies regarding the use of consultants by contractors. Also, we visited two contractors and talked with officials concerning the use of consultants.

APPENDIXES

U. S. OFFICE OF EDUCATION

SUMMARY OF OPEN CONTRACTS BY PROGRAM

FISCAL YEAR 1969

Program No.	Program description	Total contracts (note a)		Contracting branch			
		Number	Amount	Administrative contracts		Research	
				Number	Amount	Number	Amount
007 (Public Law 85-864)	New Educational Media Research and Experimentation	3	\$ 563,456			3	\$ 563,456
010 (Public Law 89-10)	Educational Research and Research Training	317 (52)	163,694,130 (4,798,151)	14 (6)	\$1,317,788 (506,932)	294 (40)	160,846,176 (3,613,947)
013 (Public Law 85-864)	Language and Area Centers	260 (133)	12,760,534 (6,403,205)				
014 (Public Law 85-864)	Language Research and Studies	65 (31)	5,725,220 (1,418,362)			3	83,019
015 (Public Law 85-864)	Conduct an Institute for Advanced Studies	11	638,747				
016 (Public Law 85-864)	Dissemination of Information on New Educational Media	13	1,603,383	1	100,000	12	1,503,383
017 (Public Law 83-480)	International Education Trainee Program	31 (13)	199,918 (44,482)				
018 (Public Law 81-920)	Civil Defense Adult Education Program	54	8,093,796				
019 (Public Law 87-715)	Captioned Films for the Deaf	139 (102)	8,821,599 (3,181,579)				
020 (Public Law 85-864)	New Educational Media Research and Experimentation	1	419,305			1	419,305
032 (Public Law 88-164)	Research and Demonstration Projects in Education of Handicapped Children	9 (9)	1,005,254 (1,005,254)				
037 (Public Law 88-352)	Civil Rights Training Institutes	17	2,242,236			1	126,955
039 (Public Law 88-452)	Adult Basic Education Programs	1	69,469				
042 (Public Law 85-864)	Disadvantaged Youth Institutes	1	52,404			1	52,404
051 (Public Law 85-864)	Testing Students in Nonpublic Schools (note b)	14	-	14	-		
056 (Public Law 89-10)	Supplementary Educational Centers and Services	1	155,474			1	155,474
057 (Public Law 89-10)	Educational Research and Demonstration	5 (1)	890,905 (200,000)			5 (1)	890,905 (200,000)
058 (Public Law 89-10)	Educational Research and Training	1	18,991				
059 (Public Law 89-10)	Grants/Contracts to Strengthen State Departments of Education	1	161,393				
065 (Public Law 88-204)	Administration of State Plans	1 (1)	3,500 (3,500)	1 (1)	3,500 (3,500)		
068 (Public Law 87-256)	Foreign Language Training and Area Studies	1 (1)	1,200 (1,200)				
085 (Public Law 88-210)	Research and Training Programs and Experimental or Pilot Programs Designed to Meet the Special Vocational Education Needs of Youth	37	13,886,632			36	13,833,560
088 (Public Law 87-415)	Training and Skill Development Programs--State Administration	1	34,566				

Education of the handicapped		Elementary and secondary education		Contracting branch Education personnel development		Adult, vocational, and library programs		Higher education	
Number	Amount	Number	Amount	Number	Amount	Number	Amount	Number	Amount
2	\$ 439,857	3	\$ 850,615	2	\$ 102,366			2	\$ 137,328
(1)	(379,787)	(2)	(72,791)	(2)	(102,366)			(1)	(122,328)
								260	12,760,534
								(133)	(6,403,205)
								62	5,642,201
								(31)	(1,418,362)
				11	638,747				
				4	24,500			27	175,418
								(13)	(44,482)
						54	\$ 8,093,796		
139	8,821,599								
(102)	(3,181,579)								
9	1,005,254								
(9)	(1,005,254)								
		16	2,115,281						
						1	69,469		
								1	18,991
		1	161,393						
								1	1,200
								(1)	(1,200)
						1	53,072		
						1	34,566		

U. S. OFFICE OF EDUCATION

SUMMARY OF OPEN CONTRACTS BY PROGRAM

FISCAL YEAR 1969 (continued)

Program No.	Program description	Total contracts (note a)		Contracting branch			
		Number	Amount	Administrative contracts		Research	
				Number	Amount	Number	Amount
089 (Public Law 87-415)	Training and Skill Development Programs--Training Facilities and Services	75 (6)	\$ 22,331,934 (3,366,663)				
091 (Public Law 89-329)	Contracts to Encourage Full Utilization of Educational Talent	11	822,411				
094 (Public Law 89-329)	College Library Resources, Special-Purpose Awards	1	7,500			1	\$ 7,500
095 (Public Law 89-329)	Training in Librarianship	26 (6)	4,188,260 (546,102)			26 (6)	4,188,260 (546,102)
099 (Public Law 81-152)	Miscellaneous Contracts (note c)	95 (56)	5,315,925 (2,982,219)	41 (24)	\$2,778,080 (1,404,148)	5 (1)	160,792 (3,000)
100 (Public Law 88-452)	Project Follow-Through	2 (1)	260,285 (114,185)				
215 (Public Law 89-10)	Conduct Educational Program for Migratory Children and Migratory Agriculture Workers	1 (1)	426,150 (426,150)				
301 (Public Law 81-920)	Civil Defense Education Program	4 (4)	191,709 (191,709)				
335 (Manpower Training	23	5,830,149				
((23)	(5,830,149)				
336 (and	10	3,769,036				
((10)	(3,769,036)				
337 (1	136,989				
((1)	(136,989)				
338 (Institutional Training	1	354,470				
(Public Law 87-415)		(1)	(354,470)				
417 (Public Law 89-329)	To Encourage Full Utilization of Educational Talent	83 (22)	9,458,308 (1,091,973)				
451 (Public Law 89-329)	To Encourage Full Utilization of Educational Talent	2	417,933				
604 (Public Law 89-10)	Recruitment of Personnel and Information on Education of the Handicapped	2 (2)	199,282 (199,282)				
619 (Public Law 90-538)	Preschool and Early Education Program for Handicapped Children	1 (1)	27,737 (27,737)				
620 (Public Law 90-538)	Handicapped Children's Early Education Assistance	1 (1)	70,000 (70,000)				
721 (Public Law 89-329)	Fellowship and Graduate Programs	1	1,151,000				
823 (Public Law 85-864)	Institute of International Studies--Research (NDEA-VI)	4	273,515				
	Cumulative total	1,328	\$276,274,705	71	\$4,199,368	389	\$182,831,189
	Fiscal year 1969 total	(478)	(36,162,397)	(31)	(1,914,580)	(48)	(4,363,049)

^aFigures represent the amount of the basic contract plus the amount of amendments dated prior to July 1, 1969. Cumulative total--consists of (1) contracts awarded during fiscal year 1969 and (2) contracts awarded prior to fiscal year 1969 but still open in fiscal year 1969. The number of contracts and amounts in parentheses represent contracts awarded in fiscal year 1969.

^bThese are call-type contracts. A unit price was negotiated for each contract for testing services. The total amount of the contract will not be known until the testing has been completed.

^cMiscellaneous contracts for personnel or professional services, any service to be rendered by a university, college, or other educational institution, or services for which it was impracticable to secure competition.

Education of the handicapped		Elementary and secondary education		Contracting branch Education personnel development		Adult, vocational, and library programs		Higher education	
Number	Amount	Number	Amount	Number	Amount	Number	Amount	Number	Amount
						75	\$22,331,934		
						(6)	(3,366,663)		
								11	\$ 822,411
3	\$ 28,556	18	\$1,013,083	2	\$ 30,570	22	1,167,544	4	137,300
		(13)	(530,500)	(2)	(30,570)	(12)	(876,701)	(4)	(137,300)
		2	260,285						
		(1)	(114,185)						
		1	426,150						
		(1)	(426,150)						
						4	191,709		
						(4)	(191,709)		
						23	5,830,149		
						(23)	(5,830,149)		
						10	3,769,036		
						(10)	(3,769,036)		
						1	136,989		
						(1)	(136,989)		
						1	354,470		
						(1)	(354,470)		
								83	9,458,308
								(22)	(1,091,973)
								2	417,933
2	199,282								
(2)	(199,282)								
1	27,737								
(1)	(27,737)								
1	70,000								
(1)	(70,000)								
				1	1,151,000				
								4	273,515
157	\$10,592,285	41	\$4,826,807	20	\$1,947,183	193	\$42,032,734	457	\$29,845,139
116	(4,863,639)	(17)	(1,143,626)	(4)	(132,936)	(57)	(14,525,717)	(205)	(9,218,850)

APPENDIX II

U. S. OFFICE OF EDUCATION

SCHEDULE OF CONTRACT AWARDS FOR RESEARCH AND DEVELOPMENT CENTERS
FROM PROGRAM INCEPTION THROUGH FISCAL YEAR 1969

<u>Contract No.</u>	<u>Center</u>	<u>Date of basic contract</u>	<u>Cumulative amount of contract awards (note a)</u>	<u>Fiscal year 1969 contract amounts</u>
OEC-4-10-158	University of Pittsburgh Learning Research and Development Center	3-19-64	\$ 6,815,397	\$1,454,332
OEC-4-10-163	University of Oregon Center for the Advanced Study of Educational Administration	3-26-64	3,681,766	518,759
OEC-5-10-154	The University of Wisconsin Wisconsin Research and Development Center for Cognitive Learning	8- 6-64	5,271,092	1,212,562
OEC-6-10-061	University of Georgia Research and Development Center in Educational Stimulation	8-18-65	3,308,903	1,302,760
OEC-6-10-106	University of California, Berkeley Center for Research and Development in Higher Education	9- 1-65	3,562,092	938,128
OEC-6-10-078	Stanford University Stanford Center for Research and Development in Teaching	9- 1-65	3,785,258	995,432
OEC-6-10-108	University of Texas Research and Development Center for Teacher Education	9-15-65	3,307,239	823,159
OEC-4-6-061646- 1909	University of California, Los Angeles Center for the Study of Evaluation	6-20-66	2,690,251	809,415
OEG-2-7-061610- 0207	The Johns Hopkins University (note b) Center for the Study of Social Organization of Schools	8-25-66	<u>1,533,935</u>	<u>845,600</u>
Total			<u>\$33,955,933</u>	<u>\$8,900,147</u>

^aIncludes the amount of the basic contract plus the amounts of amendments dated prior to July 1, 1969.

^bThis center receives its financial support under grants; all other centers receive their support under negotiated cost-reimbursement contracts.

APPENDIX III

U. S. OFFICE OF EDUCATION

SCHEDULE OF CONTRACT AWARDS FOR REGIONAL EDUCATIONAL LABORATORIES
FROM INCEPTION OF PROGRAM THROUGH FISCAL YEAR 1969

<u>Contract No.</u>	<u>Laboratory</u>	Cumulative amount of contract awards (note a)	Fiscal year 1969 contract amounts
OEC-3-7-062909-3070	Appalachia Educational Laboratory, Charleston, West Virginia.	\$ 3,476,351	\$ 903,906
OEC-1-7-062868-3060	Center for Urban Education, New York, N.Y.	9,289,844	2,633,794
OEC-2-7-062938-3058	Central Atlantic Regional Educational Laboratory Washington, D.C. (note b)	1,756,205	390,000
OEC-3-7-062875-3056	Central Midwestern Regional Educational Laboratory, Inc., St. Ann, Missouri	4,726,145	1,766,268
OEC-3-7-061391-3061	Cooperative Educational Research Laboratory, Inc. Northfield, Illinois (note b)	1,490,580	270,000
OEC-1-7-061440-3062	Eastern Regional Institute for Education Syracuse, New York	2,815,173	998,700
OEC-4-7-062931-3064	Far West Laboratory for Educational Research and Development, Berkeley, California	4,128,911	1,685,170
OEC-3-7-061465-3071	Michigan-Ohio Regional Educational Laboratory Detroit, Michigan (note b)	1,721,172	384,500
OEC-3-7-062876-3076	Mid-Continent Regional Educational Laboratory Kansas City, Missouri	3,378,896	937,713
OEC-4-7-062871-3059	Northwest Regional Educational Laboratory Portland, Oregon	5,333,794	1,863,473
OEC-2-7-062556-3079	Regional Education Laboratory for the Carolinas and Virginia, Durham, North Carolina	2,078,559	820,000
OEC-1-7-062867-3053	Research for Better Schools, Inc., Philadelphia, Pennsylvania	6,936,224	2,700,000
OEC-4-7-062828-3063	Rocky Mountain Educational Laboratory, Greeley, Colorado (note b)	1,874,395	346,000
OEC-4-7-062100-3074	South Central Regional Educational Laboratory, Little Rock, Arkansas (note b)	1,622,500	320,067
OEC-2-7-062869-3077	Southeastern Educational Corporation, Hapeville, Georgia	2,628,644	670,000
OEC-4-7-062113-3072	Southwest Educational Development Laboratory Austin, Texas	4,888,107	1,709,715
OEC-4-7-062865-3073	Southwest Regional Laboratory for Educational Research and Development, Inglewood, California	7,194,451	2,486,726
OEC-4-7-062827-3078	Southwestern Cooperative Educational Laboratory Albuquerque, New Mexico	2,685,612	867,355
OEC-3-7-062870-3069	Upper Midwest Regional Educational Laboratory Minneapolis, Minnesota	2,653,300	800,000
OEC-1-7-062805-3063	Education Development Center, Inc., Newton, Massachusetts	2,466,206	959,655
		<u>\$73,145,069</u>	<u>\$23,513,042</u>

^aAll contracts on this schedule were awarded on March 1, 1967. Included in the cumulative amount of contract awards is the amount of these basic contracts, the amount of contracts awarded prior to the date of these awards, plus the amount of any amendments dated prior to July 1, 1969.

^bLaboratory was closed during calendar year 1969.

APPENDIX IV

U. S. OFFICE OF EDUCATION

SCHEDULE OF FISCAL YEAR 1969 BUDGET DATA FOR RESEARCH AND DEVELOPMENT CENTERS (note a)

Contract No.	Center	Fiscal year 1969 budget (note b)			Component of budget		
		Office of Education support	Local support	Total support	Salaries and wages	Number of positions authorized annual salary of \$20,000 or more (note c)	Consultant services (note d)
OEC-4-10-158	University of Pittsburgh, Learning Research and Development Center (note e)	\$1,792,483	\$ 601,013	\$ 2,393,496	\$1,175,710	9	\$ 12,300
OEC-4-10-163	University of Oregon, Center for the Advanced Study of Educational Administration	650,297	244,258	894,555	516,013	5	8,500
OEC-5-10-154	The University of Wisconsin Wisconsin Research and Development Center for Cognitive Learning	1,248,004	173,166	1,421,170	775,243	4	17,950
OEC-6-10-061	University of Georgia, Research and Development Center in Educational Stimulation	815,000	497,543	1,312,543	696,852	18	2,000
OEC-6-10-106	University of California, Berkeley Center for Research and Development in Higher Education	962,797	135,282	1,098,079	593,503	6	1,300
OEC-6-10-078	Stanford University, Stanford Center for Research and Development in Teaching	995,432	171,134	1,166,566	607,398	6	45,300
OEC-6-10-108	University of Texas, Research and Development Center for Teacher Education	842,425	128,534	970,959	624,241	11	6,345
OEC-4-6-061646-1909	University of California, Los Angeles Center for the Study of Evaluation	810,000	102,698	912,698	498,390	3	12,000
OEC-2-7-061610-0207	The Johns Hopkins University Center for the Study of Social Organization of Schools	<u>714,880</u>	<u>62,110</u>	<u>776,990</u>	<u>347,491</u>	<u>4</u>	<u>1,920</u>
Total		<u>\$8,831,318</u>	<u>\$2,115,738</u>	<u>\$10,947,056</u>	<u>\$5,834,841</u>	<u>66</u>	<u>\$107,615</u>

^a Fiscal year 1969--February 1, 1969, to January 31, 1970.

^b Information based on budget data submitted by Research and Development Centers for fiscal year 1969. According to an Office of Education official, some centers may receive other Federal or local support which is not reported.

^c Some positions, \$20,000 or more, are totally or partially supported by local support.

^d The amount shown for consultant services does not include consultants' travel and per diem.

^e The Office of Education support includes \$91,752 from other Federal sources (Office of Naval Research, Follow-Through program). Office of Education support is \$1,700,731.

U. S. OFFICE OF EDUCATION

SCHEDULE OF FISCAL YEAR 1969 BUDGET DATA FOR REGIONAL EDUCATIONAL LABORATORIES (note a)

Contract No.	Regional Educational Laboratory	Fiscal year 1969 budget (note b)			
		Office of Education support	Other Federal support	Local support	Total support
OEC-3-7-062909-3070	Appalachia Educational Laboratory Charleston, W. Va.	\$ 1,000,000	\$ -	\$ -	\$ 1,000,000
OEC-1-7-062868-3060	Center for Urban Education, New York, N.Y.	2,700,000	132,000	135,000	2,967,000
OEC-2-7-062938-3058	Central Atlantic Regional Educational Laboratory, Washington, D.C. (note e)	390,000	-	-	390,000
OEC-3-7-062875-3056	Central Midwestern Regional Educational Laboratory, Inc., St. Ann, Mo.	1,700,000	210,180	103,291	2,013,471
OEC-3-7-061391-3061	Cooperative Educational Research Lab- oratory, Inc. (note e) Northfield, Ill.	300,000	-	-	300,000
OEC-1-7-061440-3062	Eastern Regional Institute for Educa- tion, Syracuse, N.Y.	1,050,000	-	-	1,050,000
OEC-4-7-062931-3064	Far West Laboratory for Educational Research and Development, Berkeley, Calif.	1,700,000	419,570	119,756	2,239,326
OEC-3-7-061465-3071	Michigan-Ohio Regional Educational Laboratory, Detroit, Mich. (note e)	400,000	-	-	400,000
OEC-3-7-062876-3076	Mid-Continent Regional Educational Laboratory, Kansas City, Mo.	970,000	-	45,000	1,015,000
OEC-4-7-062871-3059	Northwest Regional Educational Lab- oratory, Portland, Ore.	1,700,000	-	-	1,700,000
OEC-2-7-062556-3079	Regional Education Laboratory for the Carolinas and Virginia, Durham, N.C.	880,000	-	-	880,000
OEC-1-7-062867-3053	Research for Better Schools, Inc. Philadelphia, Pa.	2,701,477	-	-	2,701,477
OEC-4-7-062828-3063	Rocky Mountain Educational Laboratory, Inc., Greeley, Colo. (note e)	350,888	-	-	350,888
OEC-4-7-062100-3074	South Central Regional Educational Laboratory, Little Rock, Ark. (note e)	350,000	-	-	350,000
OEC-2-7-062869-3077	Southeastern Educational Corporation Hapeville, Ga.	670,000	-	-	670,000
OEC-4-7-062113-3072	Southwest Educational Development Laboratory, Austin, Tex.	1,700,000	1,262,882	-	2,962,882
OEC-4-7-062865-3073	Southwest Regional Laboratory for Educational Research and Develop- ment, Inglewood, Calif.	2,700,000	-	-	2,700,000
OEC-4-7-062827-3078	Southwestern Cooperative Educational Laboratory, Albuquerque, N. Mex.	870,000	-	-	870,000
OEC-3-7-062870-3069	Upper Midwest Regional Educational Laboratory, Minneapolis, Minn.	800,000	-	-	800,000
OEC-1-7-062805-3963	Education Development Center, Inc. Newton, Mass. (note f)	974,594	-	225,512	1,200,106
	Total	\$23,906,959	\$2,024,632	\$628,559	\$26,560,150

^a Fiscal year 1969--December 1, 1968, to November 30, 1969.

^b Information based on budget data submitted by laboratories for fiscal year 1969. According to an Office of Education official, some laboratories may receive other Federal or local support which is not reported to the Office of Education.

^c These figures are components of the budget supported with Office of Education funds.

Component of budget (note c)

Salaries and wages	Number of positions authorized annual salary of \$20,000 or more (note d)	Consultant costs	
		Fees	Travel and per diem
\$ 489,579	3	\$ 36,550	\$ 19,650
1,352,800	11	75,500	3,700
203,265	5	53,002	5,201
847,990	9	120,145	22,186
202,400	2		1,000
589,235	4	51,425	17,050
1,378,655	13	54,320	25,492
243,324	4	5,400	4,115
568,000	5	86,900	26,600
743,500	14	251,300	38,800
522,991	4	19,200	9,014
773,761	4	70,000	-
188,914	4	38,980	28,796
245,836	2	5,500	2,884
420,896	4	40,703	8,944
989,663	5	68,751	34,376
1,419,500	6	100,000	10,000
508,515	3	20,725	-
484,578	6	11,425	10,805
509,155	4	32,500	27,050
<u>\$12,682,557</u>	<u>112</u>	<u>\$1,142,326</u>	<u>\$295,663</u>

^dSome positions, \$20,000 or more, are not totally supported by the Office of Education.

^eLaboratory was closed during calendar year 1969. Budget figures shown for these laboratories are not for a full fiscal year.

^fThe Office of Education provides only 12 to 13 percent of the total support for this laboratory.

APPENDIX VI

U. S. OFFICE OF EDUCATION

SALARY SCHEDULE FOR DIRECTORS OF RESEARCH AND DEVELOPMENT CENTERS

FISCAL YEAR 1969 (note a)

<u>Contract No.</u>	<u>Center</u>	<u>Yearly base salary</u>	<u>Percent of salary supported by Office of Education</u>
OEC-4-10-158	University of Pittsburgh Learning Research and Develop- ment Center (note b)	\$30,000 22,450	- 33
OEC-4-10-163	University of Oregon Center for the Advanced Study of Educational Administration	20,000	50
OEC-5-10-154	The University of Wisconsin Wisconsin Research and Develop- ment Center for Cognitive Learning	25,210	41
OEC-6-10-061	University of Georgia Research and Development Center in Educational Stimulation	22,962	-
OEC-6-10-106	University of California, Berkeley Center for Research and Develop- ment in Higher Education	31,012	58
OEC-6-10-078	Stanford University Stanford Center for Research and Development in Teaching	29,565	65
OEC-6-10-108	University of Texas Research and Development Center for Teacher Education (note b)	29,503 24,163	42 37
OEC-4-6-061646- 1909	University of California, Los Angeles, Center for the Study of Evaluation	16,400	42
OEG-2-7-061610- 0207	The Johns Hopkins University Center for the Study of Social Organization of Schools	21,534	50

^aFiscal year 1969--February 1, 1969, to January 31, 1970.

^bThese centers have codirectors.

U. S. OFFICE OF EDUCATION

SALARY SCHEDULE FOR DIRECTORS OF REGIONAL EDUCATIONAL LABORATORIES

FISCAL YEAR 1969 (note a)

<u>Contract No.</u>	<u>Laboratory</u>	<u>Yearly base salary</u>	<u>Percent of salary supported by Office of Education</u>
OEC-3-7-062909-3070	Appalachia Educational Laboratory Charleston, West Virginia	\$31,500	100
OEC-1-7-062868-3060	Center for Urban Education New York, N.Y. (note b)	30,000	90
OEC-2-7-062938-3058	Central Atlantic Regional Educational Laboratory Washington, D.C. (note c)	30,000	100
OEC-3-7-062875-3056	Central Midwestern Regional Educational Laboratory, Inc. St. Ann, Missouri	30,000	100
OEC-3-7-061391-3061	Cooperative Educational Research Laboratory, Inc. Northfield, Illinois (note c)	34,500	100
OEC-1-7-061440-3062	Eastern Regional Institute for Education Syracuse, New York	30,000	100
OEC-4-7-062931-3064	Far West Laboratory for Educational Research and Development Berkeley, California	33,000	100
OEC-3-7-061465-3071	Michigan-Ohio Regional Educational Laboratory Detroit, Michigan (note c)	28,350	100
OEC-3-7-062876-3076	Mid-Continent Regional Educational Laboratory Kansas City, Missouri	32,000	100
OEC-4-7-062871-3059	Northwest Regional Educational Laboratory Portland, Oregon	33,000	100
OEC-2-7-062556-3079	Regional Education Laboratory for the Carolinas and Virginia Durham, North Carolina	30,000	100
OEC-1-7-062867-3053	Research for Better Schools, Inc. Philadelphia, Pennsylvania	36,000	100
OEC-4-7-062828-3063	Rocky Mountain Educational Laboratory, Inc. Greeley, Colorado (note c)	28,000	100
OEC-4-7-062100-3074	South Central Regional Educational Laboratory Little Rock, Arkansas (note c)	30,000	100
OEC-2-7-062869-3077	Southeastern Educational Corporation Hapeville, Georgia	30,000	100
OEC-4-7-062113-3072	Southwest Educational Development Laboratory Austin, Texas	30,000	100
OEC-4-7-062865-3073	Southwest Regional Laboratory for Educational Research and Development Inglewood, California	34,000	100
OEC-4-7-062827-3078	Southwestern Cooperative Educational Laboratory Albuquerque, New Mexico	26,138	100
OEC-3-7-062870-3069	Upper Midwest Regional Educational Laboratory Minneapolis, Minnesota	27,040	100
OEC-1-7-062805-3963	Education Development Center, Inc. Newton, Massachusetts (note d)	35,000	12-1/2

^aFiscal year 1969--December 1, 1968, to November 30, 1969.

^bThis director receives the other 10 percent of his salary (\$3,000) for teaching at a college.

^cLaboratory was closed during calendar year 1969.

^dThe Director's salary is included in overhead expenses and is charged in accordance with the overhead rate. The Office of Education provides only 12 to 13 percent of the total support for this Laboratory. Accordingly, the percent of Office of Education support for this director's salary would be approximately 12-1/2 percent.

U. S. OFFICE OF EDUCATION

SCHEDULE OF INFORMATION ON SELECTED CONTRACTS

<u>Contract No.</u>	<u>Contractor and location</u>	<u>Program number (note a)</u>	<u>Date of award</u>	<u>Period of performance</u>
<u>Bureau for Education of the Handicapped</u>				
OEC-0-9-089028-0710	Operations Research, Inc., Silver Spring, Md. (Profit organization)	010	8- 7-68	8-19-68 to 5- 1-70
OEC-0-9-482025-3726	American Institute for Research, Pittsburgh, Pa. (Nonprofit organization)	032	5-26-69	6- 2-69 to 11-30-70
OEC-0-9-002173-4450	Organization for Technical & Social Innovation Cambridge, Mass. (Profit organization)	032	6-12-69	6-12-69 to 10-11-70
OEC-0-9-180001-4565	Robert R. Mullen and Co., Washington, D.C. (Profit organization)	604	6-16-69	6-16-69 to 6-15-70
OEC-0-9-180002-4473	Surveys and Research Corp., Washington, D.C. (Profit organization)	604	6-16-69	6-16-69 to 6-15-70
OEC-0-8-010009-4420	Ohio State University, Columbus, Ohio (Nonprofit organization)	099	6-20-68	6-20-68 to 10-30-68
OEC-0-8-032001-4529	Michigan State University, East Lansing, Mich. (Nonprofit organization)	099	6-24-68	6-24-68 to 12-23-68
OEC-0-8-070566-4392	Council for Exceptional Children, National Education Association, Washington, D.C. (Nonprofit organization)	099	6- 3-68	6- 3-68 to 7- 5-68
<u>Bureau of Elementary and Secondary Education</u>				
OEC-2-6-001005-1005	American Historical Association, Washington, D.C. (Nonprofit organization)	010	5- 3-66	5- 3-66 to 6-30-71
OEC-0-8-001714-1714	University of Pittsburgh, Pittsburgh, Pa. (Non-profit organization)	100	8-24-67	7-10-67 to 6-30-69
OEC-0-9-405001-0780	Academy for Educational Development, Inc., Washington, D.C. (Nonprofit organization)	099	9-19-68	9-19-68 to 12-16-68
OEC-0-9-420139-1373	Syracuse University Research Corp., Syracuse, N.Y. (Nonprofit organization)	010	12- 9-68	10- 1-68 to 5-31-69
OEC-0-9-502004-2472	Battelle Memorial Institute, Columbus, Ohio (Non-profit organization)	099	1-17-69	2- 1-69 to 7- 1-70
OEC-0-9-502013-2808	American Institute for Research, Pittsburgh, Pa. (Nonprofit organization)	099	3-17-69	3- 1-69 to 4-15-69
OEC-0-9-116932-3459	National Computer System, Minneapolis, Minn. (Profit organization)	099	3-25-69	3-25-69 to 1-31-70
OEC-0-9-502005-4354	Battelle Memorial Institute, Columbus, Ohio (Non-profit organization)	099	6- 6-69	6- 6-69 to 7- 1-70
OEC-0-9-522101-4531	Arkansas Department of Education, Little Rock, Ark. (Nonprofit organization)	215	6-18-69	6- 1-69 to 6-30-70
OEC-0-9-526616-4731	Bio-Dynamics, Inc., Cambridge, Mass. (Nonprofit organization)	100	6-30-69	6-30-69 to 6-30-70
OEC-0-9-480633-4655	University of Pittsburgh, Pittsburgh, Pa. (Non-profit organization)	010	6-24-69	6-30-69 to 6-30-70
OEC-0-9-099018-4647	Resource Management Corp., Bethesda, Md. (Profit organization)	010	6-30-69	6-30-69 to 8-31-70

Type of contract (note b)	Basis of award (note c)	Amount of contract (note d)	Profit or fee percentage (note e)	Purpose of contract
CPFF	Multiple-solicited proposals	\$ 379,787	10	A study of the need for educational manpower for handi-capped children and youth
CPFF	Single-unsolicited proposal	111,618	8	Evaluation of a program to train teachers to manage so-cial and emotional problems in the classroom
CPFF	Multiple-solicited proposals	233,001	8	Evaluation of State-administered program for the handi-capped
CPFF	Single-unsolicited proposal	140,456	4.1	A proposal for more effective help from the Federal Gov-ernment in assisting the handicapped children to become national assets
CPFF	Single-unsolicited proposal	58,826	9.3	A special education information center
CNF	Single-unsolicited proposal	15,000	None	Conduct a "Conference in the Evaluation of State Plan Programs for the Education of the Handicapped"
FP	Single-unsolicited proposal	9,850	None	Survey and analysis of current projects in the Bureau for Education of the Handicapped
FP	Single-unsolicited proposal	3,706	None	A conference on "New Opportunities and Directions for the Preparation of Personnel for Special Education"
CNF	Single-unsolicited proposal	777,824	None	A proposal for a consortium of professional associations to supervise studies of special programs for improvement of instruction in education
CNF	Multiple-solicited proposals	146,100	None	National evaluation of project follow-through
FP	Single-solicited proposal	15,000	None	An overview of 40 to 50 pages on the Commissioner's as-sessment report on the state of the education's profes-sions
CPFF	Single-unsolicited proposal	150,774	5.4	"Some Aspects of Educational R&D in the U.S.--Report for the Organization for Economic Cooperation and Development Review"
FP	Multiple-solicited proposals	179,480	10	To determine the effectiveness and efficiency of school assistance in federally affected areas
FP	Single-solicited proposal	12,439	8	Improving evaluation reports of federally supported edu-cation programs
CNF	Single-solicited proposal	302,950	None	1969 Survey of compensatory education
FP	Multiple-solicited proposals	19,990	10	Study of pinpoint disaster provisions of Public Laws 81-874 and 81-815
FP	Multiple-solicited proposals	426,150	None	Implementation of the migrant student record transfer system
FP	Single-unsolicited proposal	114,185	7	To provide technical assistance to the health care compo-nent of project follow-through
FP	Single-unsolicited proposal	30,788	None	Plan and design an evaluation program for measuring the effectiveness of EPD (Education Professions Development) programs administered by EPD Branch
FP	Multiple-solicited proposals	71,578	9.6	Analysis of effectiveness of Teacher Corps

U. S. OFFICE OF EDUCATION

SCHEDULE OF INFORMATION ON SELECTED CONTRACTS (continued)

<u>Contract No.</u>	<u>Contractor and location</u>	<u>Program number (note a)</u>	<u>Date of award</u>	<u>Period of performance</u>
<u>Bureau of Research</u>				
OEC-0-9-180700-0765	Bureau of Social Science Research, Inc., Washington, D.C. (Nonprofit organization)	010	9-10-68	9- 1-68 to 9-30-69
OEC-0-9-569006-3704	System Development Corp., Falls Church, Va. (Profit organization)	010	5-22-69	4-15-69 to 7-16-69
OEC-0-8-080346-2800	System Development Corp., Falls Church, Va. (Profit organization)	095	2-13-68	2-13-68 to 6-11-70
OEC-0-8-080469-3347	New York Institute of Technology, New York, N.Y. and Wash., D.C. (Nonprofit organization)	010	4-30-68	3-15-68 to 5-15-68
OEC-0-8-089015-3344	Social Educational Research and Development Inc., Silver Spring, Md. (note f) (Nonprofit organization)	010	4- 2-68	3-11-68 to 9- 1-68
OEC-0-8-080431-2999	University of Michigan, Ann Arbor, Michigan (Nonprofit organization)	010	2-16-68	2-16-68 to 2-28-69
OEC-1-7-071037-3596	E. F. Shelley & Co., Inc., New York, N.Y. (Profit organization)	010	5- 5-67	5- 5-67 to 6-30-69
OEC-1-7-071133-4423	Educational Testing Service, Princeton, N.J. (Nonprofit organization)	010	6-16-67	6-16-67 to 10-31-68
OEC-1-7-071344-5152	George Washington University, Washington, D.C. (Nonprofit organization)	010	6-30-67	6-30-67 to 11-30-68
OEC-0-8-980797-4634	Academy for Educational Development, Inc. New York, N.Y. (Nonprofit organization)	010	6-30-68	6-30-68 to 12-31-69
OEC-0-8-080571-3683	Academy for Educational Development, Inc. New York, N.Y. (Nonprofit organization)	007	5- 1-68	5- 1-68 to 9-20-69
OEC-0-9-420246-3462	Institute for Educational Development, New York, N.Y. (Nonprofit organization)	010	4- 1-69	4- 1-69 to 3-31-70
<u>Administrative Branch</u>				
OEC-0-9-009001-1381	Planning Research Corp., Washington, D.C. (Profit organization)	010	11- 1-68	12- 2-68 to 6- 1-69
OEC-0-9-097022-3741	Westat Research, Inc., Bethesda, Md. (Profit organization)	010	4-24-69	4-24-69 to 4-30-70
OEC-0-9-116914-4644	Aires Corporation, McLean, Va. (Profit organization)	099	6-30-69	7- 1-69 to 6-30-70
OEC-0-9-114065-1366	Computer Application, Inc., Silver Spring, Md. (Profit organization)	099	10-21-68	10-21-68 to 12-31-69
OEC-0-9-099004-3332	American Institute for Research, Pittsburgh, Pa. (Nonprofit organization)	010	3-12-69	3-12-69 to 3-31-70
OEC-0-9-016958-4627	Peat, Marwick, Mitchell & Co., Washington, D.C. (Profit organization)	099	6-30-69	6-30-69 to 6-30-70
OEC-0-9-116996-4687	Applied Data Research, Inc., Arlington, Va. (note g) (Profit organization)	099	6-24-69	6-24-69 to 7-31-69

Type of contract (note b)	Basis of award (note c)	Amount of contract (note d)	Profit or fee percentage (note e)	Purpose of contract
CPFF	Single-unsolicited proposal	\$ 54,865	5	Study alternate systems for public support of higher education and their sociological implications
FP	Multiple-solicited proposals	32,350	6.9	Analysis of nine sets of educational specifications for preservice and in-service teacher education
CPFF	Single-unsolicited proposal	271,717	6	Investigation, analysis, and evaluation of activities connected with operation of educational information service centers
FP	Single-unsolicited proposal	18,842	None	Proposal to develop a planning and evaluation design and guideline specifications for research personnel development grants program
CPFF	Multiple-solicited proposals	91,572	10	Survey of effective vocational education programs
FP	Single-unsolicited proposal	74,461	None	Identify factors associated with effective utilization of title III (Higher Education Act of 1965) funds granted to a selected group of institutions
CPFF	Single-unsolicited proposal	671,911	11.1	Provide systems management assistance to the Office of Education in the continuing development of a new comprehensive secondary school curriculum
CNF	Single-unsolicited proposal	49,924	None	Analyze distribution of Federal financial aid funds to American colleges and universities
CNF	Single-unsolicited proposal	95,065	None	Research for the evaluation of programs in the District of Columbia under title I of the Elementary and Secondary Education Act of 1965
CNF	Multiple-solicited proposals	200,000	None	Establishment of a National Planning Congress to improve higher education
CNF	Single-solicited proposal	500,000	None	Assisting commission on instructional technology in preparation of a report on a study of a new instructional technology
FP (with price escalation clause)	Single-unsolicited proposal	141,884	5.6	Study of the impact of research on utilization of media for educational purposes
FP	Multiple-solicited proposals	80,579	8.5	Furnish personnel services and facilities to perform analysis of 1968 survey of compensatory education
CPFF	Single-solicited proposal	141,505	10	Conduct elementary and secondary school staffing survey
CPFF	Single-solicited proposal	149,630	11.1	Guaranteed student loan ADP system--the contractor shall provide production support for the ongoing operation of this system
FP	Multiple-solicited proposals	179,308	None	Perform necessary keypunching, analysis and computer processing of higher education general survey III
FP	Multiple-solicited proposals	109,551	8	Develop a research design for a cooperative longitudinal study of demonstration education program
CPFF	Single-solicited proposal	297,448	8.3	Implementation of Office of Education financial management information system and manual of operational procedures
CPFF	Single-solicited proposal	34,085	9	Perform data collection surveys on students added to or dropped from the Upward Bound project

U. S. OFFICE OF EDUCATION

SCHEDULE OF INFORMATION ON SELECTED CONTRACTS (continued)

<u>Contract No.</u>	<u>Contractor and location</u>	<u>Program number (note a)</u>	<u>Date of award</u>	<u>Period of performance</u>
OEC-1-7-071052-2808	Bureau of Social Science Research, Inc., Washington, D.C. (Nonprofit organization)	010	6-28-67	5- 5-67 to 12-31-69

^aSee appendix I for description of program.

^bCPFF--Cost-plus-fixed-fee
 CNF--Cost-no-fee
 FP--Fixed price

^cFollowing are definitions of the basis of award listed on this schedule:

Multiple-solicited proposals--the Office of Education solicited proposals from more than one firm. Contract award was based on an evaluation of these proposals.

Single-solicited proposal--only one firm was requested to submit a proposal.

Single-unsolicited proposal--the firm, without being requested, submitted a proposal to the Office of Education for funding of a particular project. The contract was awarded after evaluation of this single proposal.

^dIncludes the amount of the basic contract plus the amount of amendments dated prior to July 1, 1969.

^eExcept as indicated, the percentage of fee or profit is a percentage of total costs proposed for the basic contract.

^fFee was computed by the contractor as a percentage of total estimated direct costs proposed for the basic contract.

^gContract was amended on July 30, 1969, to extend period of contract to June 30, 1970, and to increase contract price to a new estimated cost of \$276,458. Profit was computed by the contractor as a percentage of total estimated costs proposed for the basic contract excluding costs for travel and computer services.

<u>Type of contract (note b)</u>	<u>Basis of award (note c)</u>	<u>Amount of contract (note d)</u>	<u>Profit or fee percentage (note e)</u>	<u>Purpose of contract</u>
CPFF	Single-unsolicited proposal	\$ 118,981	8.7	Study of National Defense Education Act title IV fellowship program
Total		<u>\$6,513,180</u>		



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

JAN 19 1970

Our Reference: ADMINISTRATIVE BULLETIN
ESEA TITLE III

Series III No. 11

INFORMAL LETTER TO CHIEF STATE SCHOOL OFFICERS

Subject: Documentation of Results of Work Performed by
Consultants Under ESEA Title III

Recent reviews of ESEA Title III projects by the General Accounting Office have disclosed that grantees who utilized the services of consultants generally did not receive written reports describing and evaluating the consultative services furnished and did not require the consultants to otherwise document the results of services furnished.

One of the major purposes of Title III, ESEA, is to stimulate the development of exemplary elementary and secondary school programs which will serve as models for regular school programs. Therefore, documentation of consultant services and their effectiveness must be included in the grantee's records so that other LEAs and interested persons can review and obtain the benefits of such information.

Since substantial consultant costs are being incurred by many Title III projects, it is important in the interest of effective control and better evaluation of consultant services that reports of such consultations be required and that results of consultations be documented in the grantees' project records. It is recognized that the selection of consultants by grantees may vary by purpose as well as by the length of time a consultant is hired, and that these matters have a bearing on the extent to which the consultations can be documented. For example, one consultant may be hired for the evaluation of a Title III project and receive fees for several days' work; whereas another consultant may visit a project for one day only to discuss

strategy and problems with staff members. In the first example, the grant records must include a formal written report from the consultant (evaluation). In the second example, the grantee must prepare a memorandum concerning matters discussed with the consultant and must file the memorandum for the record.

This information should be transmitted to all current grantees and to new grantees as projects are funded so that the policy can be immediately implemented.

/s/ B. Alden Lillywhite
B. Alden Lillywhite
Acting Associate Commissioner for
Elementary and Secondary Education