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Congress of the United States

JOINT COMMITTEE ON THE ORGANIZATION OF THE CONGRESS

(CREATED PURSUANT TO S. CON. RES. 2, 117TH CONGRESS)

December 12, 1966

MEMORANDUM

To: Vice Admiral Paul E. Trimble
United States Coast Guard
Chairman, Department of Transportation Task Force

From: W. DeVier Pierson
Chairman, Working Group on Office of Legislative Affairs and
Office of General Transportation Liaison
Department of Transportation

Enclosed are the following papers pursuant to your authority to this working group and Mr. Boyd's request of December 8, 1966:

1. Proposal for Office of Legislative Affairs including rationale, mission, functions, organization and staffing and discussion of an organizational issue.

2. Proposal for Office of General Transportation Liaison including rationale, mission, functions, organization and staffing.

3. Comparative table of staffing for legislative and Congressional liaison functions from the Departments of Commerce, Interior, Housing and Urban Development, and Health, Education and Welfare.

4. Summary of organization and functions of legislative and Congressional liaison-industrial and intergovernmental relations of the same four departments.

Although the working group discussed the Task Force proposal to place the Office of Legislative Affairs, the Office of General Transportation Liaison and the Office of Public Information under an Assistant Secretary for Public Affairs, it has made no specific proposal inasmuch as the matter has already been presented by the Task Force to Mr. Boyd. There is, however, a feeling that the organizational concept should endeavor to reconcile the two major objectives of (1) achieving close coordination among these three offices and (2) permitting direct access between the offices and the Secretary.

Members of the working group were Edward W. Stimpson, Assistant Administrator for Congressional Liaison, FAA; Robert Carnahan, Congressional Liaison Officer, FAA; Ralph R. Lovering, Office of General Aviation Affairs, FAA; Captain F. M. Fisher, USCG Congressional Liaison Officer; Robert L. Froman, Bureau of Safety, CAB; Byron Kupp, Office of the Under Secretary for Transportation, Department of Commerce.

OFFICE OF GENERAL TRANSPORTATION LIAISON
DEPARTMENT OF TRANSPORTATION

RATIONALE

The Office of General Transportation Liaison should function as the staff arm of the Secretary in the coordination of departmental relationships with the transportation industry, associations and organizations, including labor organizations, and officials of state and local governments.

The creation of this office reflects a growing awareness on the part of all federal departments as to the problem of "communications" with industry groups and other levels of government. The organizational response is varied. In general, departments have carried out this function through program and operating personnel. Department level support, often quite limited, has usually been through offices of public affairs, public information and Congressional liaison. However, departments which administer grant-in-aid programs, extensive regulatory activities and provision of facilities and services have or are beginning to develop central staff capability to coordinate intergovernmental industry and community relations. Examples are the creation of the position of HUD Assistant Secretary for Demonstration Cities and Intergovernmental Relations and placement of department-wide intergovernmental relations responsibility in the HEW Office of Field Coordination.

Elements of DOT also have substantial contact with other levels of government. Some activities of the modal administrations -- such as the Interstate Highway Program of the Bureau of Public Roads and the Aid-to-Airport program of FAA -- are by their nature intergovernmental relations activities. These programs should grow increasingly intermodal in their concept. The interrelationship of airport facilities, interstate highways and high-speed ground transportation is one vivid example. This development

portends a growing DOT responsibility in relationships with state and local governments, regional compacts and governmentally created transportation authorities.

In view of the DOT organizational concept of coordination of transportation policy by the Secretary and substantial autonomy in operations by the modal administrations, it is particularly important that a focal point exist to coordinate intergovernmental and industry contacts. Such contacts at secretarial level are both necessary and inevitable in view of the highly competitive, aggressive and regulated nature of the transportation industry.

The activities of the modal administrations should be continued as they relate to a single mode of transportation. For example, the Office of General Transportation Liaison would not supplant the FAA Office of General Aviation Affairs in its contacts with governmental officials, organizations, institutions and associations directly concerned with aviation. Nor would it alter the present relationship of the Bureau of Public Roads with industry and state highway officials.

The guideline for industry and governmental contact should be that responsibility remains with the modal administration unless --

1. The matter relates to more than one mode of transportation.
2. The matter relates to activities of the Office of the Secretary of Transportation.
3. The matter is of such national importance, public concern or political sensitivity that the Secretary of Transportation desires to participate directly.

MISSION.

The Office of General Transportation Liaison has the following mission:

1. Foster understanding of the mission and activities of DOT by other Federal officials, state and local government officials, and by organizations, institutions, and associations concerned with transportation.
2. Advise the Secretary, the Office of the Secretary, and the modal administrations of the views of these groups toward DOT policies and programs and of general transportation problems.
3. Provide information and assistance to these groups in their dealings with DOT and other departments and agencies of the Federal Government.

FUNCTIONS.

In order to accomplish its mission, the Office should be organized to carry out the following functions:

1. Provide the primary point of continuing communications between the Secretary and organizations of the transportation industry and state and local governments.
2. Promote understanding and acceptance of DOT's missions, activities, and problems by the general transportation community.
3. Make recommendations to the Secretary on matters of transportation policy based on the views of industry or state and local governments.

4. Develop and execute programs which stimulate interest in and support for DOT policy among federal, state, and local officials; educational institutions; civic and service clubs; and business, professional and industrial organizations.

5. Advise the Secretary as to industry views on proposed legislation or other current transportation problems and provide information on industry attitudes on proposed legislation to the Office of Legislative Affairs.

6. Speak to various industry and governmental groups and attend meetings and conventions of such groups.

7. As requested by the Secretary, review speeches to be delivered by the Secretary and other DOT officials -- including modal administrations -- with recommendations as to the views of industry on the matters contained therein.

8. Digest and disseminate to appropriate DOT offices, industry and state and local governmental views on current transportation problems as contained in speeches, interviews and newspaper and magazine articles.

9. Assist industrial and governmental groups to participate in federal programs or to resolve problems relating to relationships with various federal agencies and departments.

10. Act as the DOT liaison representative with the Advisory Commission on Intergovernmental Relations, the Bureau of the Budget, universities, and other centers of study in the field of intergovernmental relations.

11. Administer a system for insuring prompt and responsive replies to communications from state and local officials and the transportation industry to the Secretary. This includes:

- a. Acknowledgment of correspondence addressed to the Secretary and referred to the Office for handling.
- b. Determination of the action office, establishment of reply dates and follow-up.
- c. Clearance of outgoing correspondence as may be requested.
- d. Referral of items to be handled by a modal administration with requests for information copies of responses where appropriate.

12. Coordinate the industry and state and local governmental aspects of all major news releases or public announcements involving proposed legislation, major organizational or policy changes, relocation or termination of facilities, grants, contract awards, or the establishment, commissioning and dedication of transportation facilities.

13. Advise the Secretary on current labor-management problems in the transportation industry, including views of union and management officials, schedules of contract expirations, compilation of economic and other data on existing or potential work stoppages, etc.

14. Provide staff support for the Secretary, as requested, for his participation on various councils, commissions and committees which have membership from other departments and agencies of the Federal Government, state and local governments and private industry.

15. Provide or supplement staff secretariat services for such transportation advisory committees as may be established through legislation, by the President, or by the Secretary.

ORGANIZATION AND STAFFING.

A proposed organizational table with staff positions and grade levels is attached. The office is headed by a Director (GS-18) and a Deputy (GS-17) with administrative and secretarial support.

The two largest divisions within the Office are the Industry Liaison Division and the Government Liaison Division. Each is headed by a Chief (GS-17). The functions of the two divisions are quite similar -- both as to nature of activity and the necessity for field operations. The Director should make most effective use of the personnel of both divisions in accomplishing the Office mission without artificial divisional autonomy.

The Labor-Management Division, headed by a Chief (GS-17) and two supporting positions, is more advisory than liaison. However, staff support for this responsibility of the Secretary is assigned to this office because of the need to draw on information accumulated through industry liaison in properly advising the Secretary.

The Secretariat Services Division has a Chief (GS-16) and one supporting secretary (GS-3) to provide secretariat service for such advisory committees and councils as may be created.

No precise parallels can be drawn with staffing patterns of other departments since responsibility for this function is normally dispersed among several offices. However, the growth of grant-in-aid programs has resulted in the commitment of an increasing number of personnel for this purpose. Both HUD and HEW have created new offices with responsibility for intergovernmental relations. As DOT encourages more comprehensive transportation planning on a regional, state and community basis, the responsibilities of this office may be expected to grow.

The working group recommends that not all the 30 staff positions be immediately filled but that they be available as the office evaluates its

OFFICE OF GENERAL TRANSPORTATION LIAISON

Director's Office

Director (GS-18)	1
Deputy (GS-17)	1
Administrative Assistant (GS-12)	1
Secretary (GS-9)	1
Secretary (GS-8)	1
	<u>5</u>

Industry Liaison Division

Chief (GS-17)	1
Representative (GS-15)	1
Representative (GS-15)	1
Representative (GS-14)	1
Secretary (GS-8)	1
Steno-Typist (GS-6)	1
Clerk-Typist (GS-5)	1
	<u>7</u>

Labor-Management Division

Chief (GS-17)	1
Representative (GS-15)	1
Secretary (GS-8)	1
	<u>3</u>

Government Liaison Division

Division Chief (GS-17)	1
Senior Liaison Officer (GS-16)	3
Liaison Officer (GS-15)	2
Liaison Officer (GS-14)	2
Secretary (GS-8)	1
Secretary (GS-7)	2
Clerk-Typist (GS-5)	2
	<u>13</u>

Secretariat Services Division

Chief (GS-16)	1
Secretary (GS-8)	1
	<u>2</u>

Total	30
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OFFICE OF LEGISLATIVE AFFAIRS

DEPARTMENT OF TRANSPORTATION

RATIONALE

The Office of Legislative Affairs should function as the staff arm of the Secretary in the preparation, presentation and passage of the DOT legislative program as well as serving as the DOT focal point for continuous contact with Congress.

The working group surveyed the legislative and congressional liaison organization of the Departments of Commerce, Interior, HUD, and HEW. (See attached statements). Organizational philosophies varied from a small, informal coordinating organization (Interior), a separate congressional liaison office with legislative coordination in the Office of the General Counsel (Commerce and HUD) to an integrated responsibility for both legislative coordination and congressional liaison in a single Office of Legislative Affairs (HEW). The DOT office would more nearly parallel the HEW concept.

Substantial congressional contact between the Office of the Secretary and the Congress -- both legislative and non-legislative -- is anticipated. This will involve communications with a large number of congressional committees. Obvious examples are the DOT budget (Appropriations), automobile and highway safety measures (Commerce and/or Public Works), transportation investment decisions (Commerce and/or Public Works), reorganization plans

(Government Operations), transportation labor disputes (Senate Labor and Public Welfare and House Education and Labor), urban transportation problems (Banking and Currency), and transportation revenue measures (House Ways and Means and Senate Finance).

The DOT Act gives the Secretary a mandate to develop national transportation policy with congressional concurrence. An adequately staffed Office of Legislative Affairs to support this activity is essential.

The proposed mission, functions, organization and staffing of the Office assumes delegation of congressional liaison responsibility to the modal administrations when the matter relates to a single mode. The two existing administrations -- FAA and Coast Guard -- have well organized offices performing these functions incident to their own operations. We assume that similar capability will be established in the new Federal Highway Administration and Federal Railroad Administration, although these administrations may initially rely in part on the DOT office. We do not believe that the creation of the DOT Office of Legislative Affairs will initially reduce the responsibilities or workload of the Congressional Liaison Offices of the administrations.

It is of paramount importance that the DOT office have a close and harmonious relationship with its counterparts in the modal administrations. This necessitates properly defined guidelines as to primary responsibility for handling legislative preparation and congressional liaison. We believe the Secretary of Transportation will participate directly in all major legislation of the Department, including that relating to a single administration. With respect to more routine congressional contacts, DOT should have primary responsibility in the following instances:

1. Matters relating to more than one mode of transportation or more than one modal administration.
2. Matters relating to the Office of the Secretary.
3. Matters of such national importance, public concern or political sensitivity that the participation of the Secretary is desirable.

MISSION.

Although the Office of Legislative Affairs is assigned functions in legislative preparation beyond the narrower activity of congressional liaison, the Office is not the initiator of departmental policy. The DOT legislative program will evolve from policy determinations of the President, the Secretary, the Transportation Policy Council, and the modal administrations. The Secretary will receive advice from the Office of Transportation Policy Planning and other staff offices in reaching these decisions. The primary role of the Office of Legislative Affairs is to relate that policy to a specific legislative program.

The mission of the Office is as follows:

1. Translating desired DOT policy into legislation by coordination of legislative proposals and preparation of bills, advice as to methods and timing of presentations, and coordination of the preparation of supporting data for Congressional use.
2. Obtaining Congressional support for DOT sponsored legislation.
3. Assisting in obtaining favorable Congressional action on DOT appropriations.
4. Informing all DOT elements of Congressional views or action which may affect their operations.
5. Creating a favorable Congressional climate for DOT programs and activities by response to inquiries and assistance in the solution of problems of Members of Congress and their constituents.

FUNCTIONS.

In order to accomplish the mission set forth above, the Office should be organized to carry out the following functions:

Legislative:

1. Coordinate annual requests by the Secretary to the various DOT offices and the modal administrations for legislative proposals for the next session and consolidate the proposals into a departmental legislative program for review by the Secretary and submission to the Bureau of the Budget.
2. Seek clearance for proposed legislation from the Bureau of the Budget.
3. Advise the Secretary on the implementation of desired DOT policy into legislation, including an assessment of current Congressional attitudes on the proposed legislation, the type of bill to be introduced (i.e., designing it for referral to a particular committee, substantive legislation vs. reorganization plan, etc.), timing, and recommended points of contact before and after introduction.
4. Route departmental proposals to General Counsel for drafting of legislation and review draft to evaluate consistency with policy goals.
5. Review legislation drafted by the modal administrations with recommendations to the Secretary as to its consistency with DOT policy.
6. Coordinate the preparation of witness statements for

congressional hearings on proposed legislation or other matters of concern to DOT; circulate statements to other offices for comments; review proposed statements of modal administration witnesses for consistency with DOT policy.

7. Prepare background and supporting data for DOT witnesses and as requested by Members of Congress or their staff.

8. Report on proposed legislation for the Department as requested by committees of Congress or the Bureau of the Budget.

9. Review proposed or enacted legislation or other major congressional developments and provide information to DOT elements as to its affect.

10. Review and prepare digests of the Congressional Record on matters of DOT interest and make appropriate distribution to other offices.

11. Review the DOT budget and proposed statements before the Appropriations Committee with comments on Congressional attitudes.

12. Monitor status of legislation and appropriations requests and advise the Secretary as to problem areas.

Congressional Liaison:

1. Monitor committee hearings and floor debates on matters of DOT interest.

2. Coordinate the handling of Congressional inquiries or requests to the Secretary -- by letter or phone -- in the following manner:

a. On matters judged to be of DOT concern, acknowledge for the Secretary; determine the action office; set answer date; follow up on inquiry; clear outgoing correspondence where indicated; and maintain permanent file.

b. On matters appropriate for handling by a modal administration, route call or correspondence to the administration for handling with directions for an information copy of the reply.

3. Handles inquiries or requests addressed to a modal administration and referred to DOT because of their nature in the manner set forth in 2(a) above.

4. Coordinate arrangements for DOT supported travel for Members of Congress and Congressional staffs.

5. Promote understanding and acceptance of DOT's missions, activities, and problems by Members of Congress.

6. Provide guidance and leadership to DOT staff in their contacts with the Congress, individual Congressmen, and Congressional committees.

7. Promote an awareness of Congressional views among program administrators which will assist them in reaching program decisions.

8. In conjunction with the Congressional liaison offices of the modal administrations, coordinate the Congressional aspects of all major news releases or public announcements involving proposed legislation, major organizational or policy changes, relocation or discontinuation of facilities, grants, contract awards, or the establishment, commissioning and dedication of DOT facilities.

ORGANIZATION AND STAFFING.

A proposed organizational table with staff positions and grade levels is attached. The office is headed by a Director (GS-18) and a Deputy (GS-17). It has a Legislative Division headed by a Division Chief (GS-16) and supported by attorneys and administrative personnel charged with the legislative preparation, reporting and reference functions outlined above. The Congressional Liaison Division is headed by a Congressional Liaison Officer (GS-16) supported by other personnel to carry out the liaison functions described above.

Although two divisions have been created in the office for organizational purposes, the legislative and liaison functions are so interrelated that they cannot be effectively departmentalized in practice. Actually, the divisions reflect the "internal" and "external" sides of the same function. The Director is expected to exercise wide latitude in the assignment of job functions to achieve the mission of the office and a pattern of divisional autonomy would not be desirable.

The proposed staffing of 18 positions is consistent with the survey of other departments. The HEN Office of Legislative Affairs has a total of 24 positions. It is more difficult to make the comparison in other departments where the legislative functions are conducted in the Office of the General Counsel.

However, the total personnel allocation for the legislative and congressional relations functions in the Department of Commerce is approximately 15 positions. All departments surveyed show a Congressional Liaison staff of equal or larger size than that proposed for DOT.

However, the working group recommends that not all positions be filled until the office has been in operation for some time and has had an opportunity to evaluate its total responsibilities and workload. In particular, it will take some time to adjust the relative responsibilities of the DOT office and those of the modal administrations.

OFFICE OF LEGISLATIVE AFFAIRS

Director's Office

Director (GS-18)	1
Deputy (GS-17)	1
Secretary (GS-9)	1
Secretary (GS-8)	1
	<u>4</u>

Legislative Division

Division Chief (GS-16)	1
Attorney (GS-15)	1
Attorney (GS-13)	1
Attorney (GS-12)	1
Research Assistant (GS-10)	1
Secretary (GS-8)	1
Secretary (GS-7)	1
Steno-Typist (GS-5)	1
Clerk-Typist (GS-4)	1
	<u>9</u>

Congressional Liaison Division

Liaison Officer (GS-16)	1
Assistant Liaison Officer (GS-15)	1
Assistant Liaison Officer (GS-15)	1
Secretary (GS-8)	1
Clerk-Typist (GS-6)	1
	<u>5</u>

Total	18
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ORGANIZATIONAL ISSUE

The working group prepared its recommendations as to the Office of Legislative Affairs on the assumption that the Office would have responsibility for legislative coordination as well as Congressional liaison. It is our understanding that the DOT Task Force has so recommended to Mr. Boyd and that the tentative DOT budget for the various offices makes this assumption. A majority of the working group supports this concept.

An alternative would be the more traditional pattern of assigning responsibility for legislative coordination to the Office of the General Counsel and limiting the role of the Office of Legislative Affairs to the function of Congressional liaison. It is not believed that this alternative would materially alter the staffing patterns of the Office of the Secretary. It would reduce the staff requirements of the Office of Legislative Affairs and increase those of the Office of the General Counsel.

Arguments in favor of placing this responsibility in the Office of Legislative Affairs are as follows:

1. It would permit better coordination of the legislative program from its inception through passage by Congress since all staff responsibilities would be carried out in a single office.

2. It would maximize the flow of legislative proposals to the Office of the Secretary because of the continuing contact of the Office of

Legislative Affairs with Congress and its anticipated close relationship with the office having responsibility for industrial and intergovernmental contacts.

3. It is in a better position to review proposed legislation and to supervise the preparation of witness statements and supporting data because of a greater awareness of Congressional views and a responsibility for expressing the departmental viewpoint after introduction of the legislation.

4. It can provide more meaningful information to other DOT offices on proposed or enacted legislation because of more sensitivity to the political ramifications of these measures on future operations.

5. The General Counsel's office should be concerned with legal drafting and research -- its resources should not be dissipated on legislative judgments.

Arguments in favor of placing this responsibility in the Office of the General Counsel are as follows:

1. Preparation of legislative reports is technical in nature and would distract from the external activities required in the Congressional liaison function.

2. Most of the work is essentially legal and establishing a legal capability in another office is an unnecessary duplication.

3. The General Counsel can be more objective in legislative coordination and reporting because he is not involved in continuous Congressional contact.

4. The focal point for legislative clearance should be at the level of a Presidential appointee.

5. The legislative and Congressional liaison functions are separated in most departments and it has been a workable arrangement.

Under either alternative, the working group agrees that responsibility for the drafting of bills, for monitoring the preparation of regulations for publication in the Federal Register and for the compilation of legislative histories may logically be assigned to the Office of the General Counsel. The performance of these functions in this Office would not interrupt the proposed responsibilities of the Office of Legislative Affairs.

The working group believes that the most essential elements in the effective performance of these functions are (1) the personality and working relationship of the individuals involved and (2) the Secretary's conception of the Office of the General Counsel. If the General Counsel's Office is to be assigned purely technical legal functions, the legislative coordination and preparation should be performed in an Office of Legislative Affairs or a similar organizational unit. If the function is to be assigned to the Office of the General Counsel, it is imperative that the two offices work in extremely close coordination at all stages of the legislative process.

ORGANIZATION OF LEGISLATIVE AND CONGRESSIONAL LIAISON FUNCTIONS

COMPARATIVE TABLE

Force		Interior		Housing & Urban Dev.		HEW
Allocations:		Congressional Liaison:		Congressional Liaison:		Legislative Affairs:
Asst. to Sec. (GS-18)	1	Assist. to Sec. (GS-17)	1	Spec. Assist. to Sec. (GS-)	1	Assist. Sec. (Level 14)
Officer (GS-15)	2	Cong. Liaison Officer		Deputy (GS-16)	1	Dep. Assist. Sec. (GS-17)
Asst. (GS-12)	1	(GS-15)	2	Cong. Liaison Off. (GS-14)	1	Spec. Assist. (GS-15)
(7)	3	Exec. Assist. (GS-11)	1	Cong. Liaison Off. (GS-13)	1	Spec. Assist. (GS-14)
	7	Secretary (GS-9)	1	Press Releases (GS-9)	1	Spec. Assist. (GS-13)
		Secretary (GS-5)	3	Secretary (GS-)	5	Spec. Assist. (GS-11)
			8		10*	Cong. Liaison Off. (GS-17)
General Counsel		Legislation:		*Additional personnel detailed		Secretary (GS-)
Counsel (GS-15)	1	(under General Counsel)		during session		Other personnel
()	1	No specific allocation				Total
()	1			Legislation:		
time				(under General Counsel)		
man-years)	2			No specific allocation		
()	3					
	8					
Total	15					

Congr. Leg. Aff. Staff CAPT Morgan
working group (cc)

30 November 1966

MEMORANDUM FOR MR. TOM MCGARRY

Subj: Congressional Liaison; Department of Interior

I visited Mr. Robert C. McConnell, Assistant to the Secretary (Congressional Liaison) on Tuesday, 29 November 1966 to discuss the organization of his office.

Mr. McConnell works directly for Secretary Udall. His staff consists of:

- Mr. McConnell
- Mr. Burnett
- Mr. Gause
- Two secretaries
- One Executive Assistant
- One stenographer
- One clerk
- One delivery boy

Until five years ago, the Department of Interior had no Congressional Liaison office. The present organization was set up by Mr. McConnell who has issued no directives to date.

Telephone inquiries and incoming letters are referred to appropriate persons in each of the bureaus and administrations under the Department. A record of the telephone calls are kept by his office. Copies of the outgoing letters are routed to the Congressional Liaison office for review and filing.

This office follows major legislation regarding the Department. Close contact is maintained with the chairmen and staff members of their committees. At appropriate times contacts are made with various Congressmen to seek their assistance in the passage of a bill. Industry representatives in favor of the bill are invited to a conference in the Secretary's office and asked to contact Congressmen also.

The Legislative Council's office is responsible for drafting legislation and arranging for the appearance of witnesses. Mr. McConnell works closely with this office regarding the introduction and political aspects of various bills.

F. M. FISHER, JR.

CONGRESSIONAL, LEGISLATIVE AND INDUSTRIAL RELATIONS
IN THE DEPARTMENT OF COMMERCE

CONGRESSIONAL RELATIONS

Congressional relations were handled in the Office of the General Counsel until 1963. At that time, the position of Special Assistant to the Secretary for Congressional Relations was established with a separate office for this function. The office is headed by Paul Southwick (GS-18), who came from the White House staff. There are two Congressional Liaison Officers (GS-15) who spend full time on the Hill. They were formerly attached to the General Counsel's Office. The office staff also includes an Administration Assistant (GS-12) and three secretaries.

The Congressional Relations Office is charged with the responsibility of coordinating all congressional contacts by departmental officials. The Office receives all Congressional correspondence directed to the Secretary, acknowledges it, designates the action office and maintains files and follow-up.

Southwick feels a major function of the office is to make the operating elements more aware of political considerations in program decisions and their timing. He works with designated liaison individuals in the operating elements to coordinate advance notice on grants, appointments, program changes, etc.

The Office does not have responsibility for the preparation of legislation. However, it works closely with the General Counsel's Office in scheduling witness appearances. It then participates in efforts to secure passage of the legislation through congressional contacts at each stage following introduction of the bill.

Southwick reports directly to the Secretary as his Special Assistant. There is a separate public information office and a feeling exists that there might be better coordination between the two offices.

LEGISLATIVE PREPARATION

The Office of General Counsel has responsibility for the coordination and preparation of the Department's legislative program. Direct responsibility is with an Assistant General Counsel (GS-15) and two Attorneys (GS-14 and GS-13) working under him. The General Counsel estimates an additional two man years in part-time efforts of other attorneys and the Legislative Division of the General Counsel's Office is served by approximately three secretaries.

The Office requests proposed legislation from the various operating elements each year, consolidates the requests in a proposed legislative program for the Department, and submits it to the Bureau of the Budget each fall. It is responsible for BOB legislative clearance. It reviews drafts of legislation prepared by the legal staff of the operating elements and drafts department-level legislation. This legislation is prepared by other attorneys in the General Counsel's Office who are expert in the subject matter and then reviewed for departmental clearance by the Legislative Division.

The General Counsel's Office is responsible for the coordination and review of witness statements for the Secretary or other key departmental officials. It assembles supporting data for such testimony, although it coordinates with the Congressional Relations Office on timing of hearings and subsequent contacts.

The Office has responsibility for legislative reporting and estimates of reports on approximately 2,000 bills each session as requested by Congressional committees and/or the Bureau of the Budget. It also maintains a legislative reference service and prepares digests and legislative histories on request.

INDUSTRIAL AND GOVERNMENTAL RELATIONS

It is difficult to compare the industrial relations function of the Department of Commerce with other Departments since the Secretary of Commerce is the President's principal representative with industry. Consequently, much of his personal time and that of his immediate staff is devoted to industrial contacts. Coordination of representation on various industry committees and appearances at industry meetings is handled in the Secretary's Office by a Special Assistant.

Considerable attention is given to industry relations by the operating elements in the normal performance of their functions. However, no office at the Secretarial level is charged with the responsibility of coordinating these contacts or speaking for the Secretary.

Responsibility for relations with state and local governments is also diffused in the Department. The Office of Congressional Relations participates when the contact is Congressionally inspired. Otherwise, most contact is by the operating elements and the various field offices.

DEPARTMENT OF INTERIOR

Congressional Liaison:

This office relies on designated individuals in each Bureau or Administration for response to telephone calls and incoming letters. Unless noted on routing slips, all letters are signed by the heads of the Bureaus or the Administrators. Important or sensitive matters, and matters encompassing several Bureaus or Administrations are coordinated by this office for signature by the Secretary.

Proposed legislation is assembled and drafted by the General Counsel. This is routed to the Secretary for approval via the Congressional Liaison Office. The General Counsel is responsible for obtaining the approval of the Bureau of the Budget and for preparation of statements for witnesses before Congressional Committees.

The General Counsel also reviews all proposed and enacted legislation which may affect the Department of Interior and reports his findings to appropriate offices. A legislative reference service is provided by the General Counsel's office.

The Liaison Office accompanies witnesses to the Hill and makes all contacts with Congressmen and staff members regarding legislation.

Staffing of the Congressional Liaison Office is shown on Enclosure 4.

DEPARTMENT OF INTERIOR

Industry and Government Liaison:

With the exception of the mining industry and the electrical power field, the Department has very little Industry Liaison. Relations with these industries are generally on the Bureau or Administration level. Congressional Liaison has limited contact with members of this group when legislation is involved.

Federal, State and Community liaison is also handled on a Bureau - Administration level.

In some cases, Government Liaison functions are exercised by an Assistant Secretary (Such as the Assistant Secretary for Fish and Wildlife and Parks). Again, Congressional Liaison becomes involved when legislation is pending on the Hill.

As indicated above, Department of Interior has no Office of Industry and Government Liaison. These functions are performed as collateral duties by the heads of Bureaus and Administrations, and/or by Assistant Secretaries.

DEPARTMENT OF INTERIOR

SECRETARY OF INTERIOR

ASSISTANT TO SECRETARY

(Cong. Liaison) GS-17

(Executive Asst GS-11)

(Secy GS-5)

(Secy GS-5)

LIAISON OFFICER GS-15

(Steno-Typist GS-9)

LIAISON OFFICER GS-15

(Clerk-Typist GS-5)

(Messenger GS-4)

MEMORANDUM

FILE
OFC-OD
NO 100

TO: Operating Agency Heads, Assistant Secretaries,
Staff Offices, and Regional Directors

FROM: The Secretary

SUBJECT: Responsibility for Intergovernmental Relations

DATE: 3 23 1966

As a means of making our programs more responsive in States, cities, and counties and to step up cooperative action, I am giving increased attention to intergovernmental relations. In order to insure adequate attention to these relationships and to the review of the effects of the Department's programs upon States and localities, an Intergovernmental Relations Staff is being established in the Office of Field Coordination.

The major thrust of this activity will be through the Regional Offices of the Department.

I have asked Edmund Baxter, Director of Field Coordination to give priority attention to these responsibilities.

In addition to working through Regional Offices of the Department, the Intergovernmental Relations Staff will work closely with associations representing officials of State and local governments. There will be periodic consultation with Governors, Mayors, county executives, and other officials. One purpose of these consultations will be to bring their perspective to bear on policies and programs in the fields of health, education, and welfare.

Our demands and problems of today, whether in the cities, in rural areas, or in isolated pockets of poverty, call for the kind of working relationships with all levels of government which can pinpoint needed people-centered resources in an orderly fashion.

The Intergovernmental Relations Staff will provide a focal point through which attention can be given to the impact of HEW programs, or in some cases the lack of it, at State and local levels. It will be concerned with accelerating the impact of all the Department's programs at State and local levels and with finding ways to eliminate barriers which may inhibit effective relationships with State, interstate, and local levels of government. Priority will be given to the responsiveness of the Department's programs to the needs of cities.

The assignment of this function to the Office of Field Coordination does not reduce the responsibility of other Departmental officials for maintaining relationships with State and local agencies with whom they work. Instead, it is my desire that heads of Agencies and Staff Officers strengthen their own relationships with the agencies and the professional groups with whom they are closely associated. They should keep the Office of Field Coordination and the Intergovernmental Relations Staff informed on significant policy questions and operating problems which have major impact on intergovernmental relations.

A handwritten signature in dark ink, appearing to read "Robert F. Kennedy", is centered on the page. The signature is fluid and cursive, with a large initial "R" and "F".

UNITED STATES GOVERNMENT

Memorandum

TO : Chief of Staff

DATE: 2 August 1966

FROM : Captain Harry L. MORGAN

SUBJECT: Meeting of sub group on Organization and Management

1. Subject officer attended a meeting in Mr. Dean's office at 1400 to discuss the proposed organization of the Secretary of DOT's office. Present were:

Mr. Alan Dean, Chairman, FAA
Mr. Cece Mackey, Under Secretary of Commerce for Transportation
Mr. Jeff Harris, BOB (In lieu of Art Kallen who is on 3 weeks leave)
Mr. Bud Olson, FAA
Mr. Gene Weithoner, FAA
Captain H. L. MORGAN and Commander Dave LAUTH, USCG

Mr. Dean returned from leave for the meeting, and will be in on the 3rd and 4th of August for DOT work.

2. After discussion of Alternative A and C (copies of the latter have been furnished the group), it was concluded that

- A. CDR. Lauth and Mr. Olson would develop a common concept paper for the organization of the Secretary of DOT's office, and position papers to present the differences in the original concept papers. During the discussion, it became clear that only the handling of the PFB function was a matter of disagreement, and an organization that would be developed, susceptible to inserting overlays to show the difference in organizational responsibilities for the PFB function in the two concepts.
- B. The decision as to which concept would be adopted depended on the Secretary of DOT, and the Senior task force was not in a position to make this decision. As only the FAA, Commerce, and Coast Guard have been involved in the development of the two concept papers, the decision would have to await designation of the Secretary. Mr. Mackey indicated support for our concept and Mr. Harris privately indicated Art Kallen's support for it. I suggested he study both PFB approaches, confer with appropriate BOB personnel, and advise me of which concept met BOB requirements for PFB - no doubt in my mind but that Alternative B or C is closest.
- C. The FAA has a GS 14 arriving tomorrow to start writing position descriptions for billets which are common to both alternatives. I advised the group that Mr. Queen would like to meet this civilian



To Chief of Staff
From CAPT H. L. MORGAN dtd 2 August

classifier, and work with him, as time permits.

3. Mr. Dean also asked the group to work up a list of necessary actions, and a time estimate, based on 3 Oct. for Secretarial designation, and 1 Jan. for establishment of the DOT. Examples cited were: departmental seal, stationary space for Secretary, NTSB, possibly the Office of Accident Investigation, budget preparations, advance funds to us up the capital rotating fund for administrative services. I agreed to make up a list, and confer with FAA, at our next meeting of this group, scheduled regularly for 1400 each Monday. Mr. Dean stated BCB has not felt it necessary to establish the necessary budget working group yet, but asked the Coast Guard to work with FAA on preliminary planning. Mr. Pete Alexander of FAA will be their representative, and I suggested Cdr. Boswell as ours. Tentatively it was agreed they would meet next week for preliminary planning and discussion.

4. Pending matters before this working group were briefly discussed

- A. Corps of Engineers functions, Great Lakes Pilotage Administration functions were being developed by me for the group. I stated I hoped to have position papers in the next week or two, for these functions.
- B. It was agreed that the Hearing Examiner Office would be dropped from the organization chart, and covered by the functional statements.
- C. Mr. Mackey was to develop an organization and functional description of the Federal Rail Administration.
- D. The working group on the rotating capital fund was developing working papers. BCB was to check on a technical amendment to authorize advance funds for this function.
- E. Commerce was developing functional statement for the Office of International Affairs, and Emergency Transportation Planning.
- F. Mr. Dean was conferring with Mr. Phillips, Regional GSA director, on availability of space for FAA personnel from National Airport and Dulles and Eastern Region FAA officer, who would move out to accommodate the Secretary's staff on the 8th floor of the FAA building. Also, discussions were underway for temporary space for the NTSB, Rail Administration, and other DOT staff requirements at the temporary buildings between 1st and 2nd St. and Indiana Ave. Ultimate location in the FAA area for the future DOT headquarters was also under consideration. It was decided that while the task force on Organization and Management had no mandate to get into these areas, this group was the only one available to work on the necessary details for arranging for establishment of the DOT. Mr. Dean has discussed this with Dr. Zwick, and has been given verbal instructions to proceed with the necessary planning, short of the decision or budgetary stages.

To Chief of Staff

5. The meeting broke up on a happy note - despite the fact that FAA is still pushing for its concept of organization, and we ours. It was evident Mr. Dean was going to try to persuade Mr. Boyd, and Dr. Zwick of the merits of Alternative A, and has not yet accepted the facts of life on PPB. Conversely, I have not altered in my views that our PPB system is closest to what BOB wishes, and will reaffirm this position via Mr. Harris. It is doubtful that a solution to this impasse can be obtained until the Secretary is designated.

HARRY L. MORGAN

MEMO ROUTING SLIP		NEVER USE FOR APPROVALS, DISAPPROVALS, CONCURRENCES, OR SIMILAR ACTIONS		ACTION	
1 TO		INITIALS	CIRCULATE		
VADM. TRIMBLE <i>for info.</i>		DATE	COORDINATION		
2			FILE		
C - info. <i>[Signature]</i>			INFORMATION		
3			NOTE AND RETURN		
Cath Morgan			PER CONVERSATION		
4			SEE ME		
			SIGNATURE		
REMARKS					
<p>This was written by Alen Dean at Mr. Boyd's request, last summer. It reflects Dean's philosophy on multi-year, annual budgets, and allocations of resources.</p>					
FROM				DATE	
H.L.M.				18 JAN	
				PHONE	

DD FORM 95
1 OCT 50

REPLACES DD FORM 94, 1 FEB 50 AND DD FORM 95, 1 FEB 50 WHICH WILL BE USED UNTIL EXHAUSTED.

July 14, 1966

DEPARTMENT OF TRANSPORTATION
HOW THE SECRETARY AND UNDER
SECRETARY WILL USE THEIR TIME

The successful administration of an executive department or large independent agency is, in large measure, dependent upon the way in which the Secretary and Under Secretary (or Administrator and Deputy Administrator) relate their efforts and plan the use of their time. It is, therefore, appropriate to draw upon what has been learned in other departments and agencies in planning for the most effective sharing of the total burden of departmental leadership between the Secretary and the Under Secretary.

The estimates of allocations of time and the definition of roles set forth in the following paragraphs are based on three assumptions: (1) That the Secretary and Under Secretary are personally compatible individuals who are prepared to work together as a team; (2) That the Under Secretary is prepared to function with a substantial degree of anonymity and self-effacement, and to accept the fact that the Secretary, as is the official held primarily accountable for results, will be the chief recipient of credit for the Department's successes; and (3) That there is only one office involved--that of the Secretary--and that consistent with this concept there must be a high degree of flexibility and interchangeability between the two top officials of the Department in carrying out the total leadership function.

How the Secretary Will Spend His Time

Experience indicates that the heaviest demands upon the Secretary's time will be from sources external to the Department. More specifically, these external demands will come from the following sources:

1. The President. The Secretary should personally handle the bulk of the direct relationships with the President and key White House staff. The Under Secretary normally participates only when the Secretary is not available or the level of White House staff involved does not warrant the direct involvement of the Secretary. The amount of time consumed by the White House varies with the President, with the Department, and with the times. It must be assumed that

under President Johnson the Secretary of a new department with a major policy role will welcome an unusually heavy burden of White House liaison. Furthermore, as a member of the President's Cabinet the Secretary must be prepared to give counsel on matters not strictly within his Department and to serve on such Sub-Cabinet groups or Task Forces as the President may establish.

2. Heads of Other Agencies. Considerations of protocol and effectiveness require that the Secretary personally handle much of the direct dealings with the heads of other departments and independent agencies. With the sensitive relationships which will exist with HUD, State, Defense, and the regulatory commissions, the Secretary must expect to spend substantial amounts of time in contacts with his peers in such agencies. He must also serve as the principal point of contact with the Director of the Bureau of the Budget, and, to a lesser extent, the Chairman of the Civil Service Commission and the Administrator of General Services. Membership on high level interagency committees will also need to be handled, at least in part, by the Secretary.
3. The Congress. The Department is most effective in its relations with the Congress when the Secretary himself undertakes to establish and maintain close relationships and continuing communications with the heads of the appropriate substantive and appropriations committees. The dealings with rank and file congressmen can be taken care of by the Under Secretary, the assistant secretaries, and legislative liaison staff, although from time to time the Secretary will find it necessary to work with individual members of Congress other than those in key committee capacities. The workload in this area must be expected to be extremely heavy during the first year of the Department. It may be complicated by uncertainty over, or changes in, committee jurisdiction, and there may be a period in which the various programs of the Department fall under more than one substantive committee or more than one appropriations subcommittee.
4. The Industry. The principal trade associations and heads of particularly important transportation enterprises will hope to have access to the Secretary and will expect him to take the initiative in soliciting their views. Major industry conventions

and meetings will also provide important opportunities for the Secretary to set forth policies, programs, and objectives, and he will find it desirable to accept a reasonable number of invitations to appear before and speak to such industry conclaves. Since it is possible to overdo the speechmaking, at the cost of other elements of the Secretary's job, it is necessary to take special care in selecting the occasions on the Secretary to speak to or meet with industry conferences.

5. Representatives of Foreign Nations. Heads of Ministries of Transportation, or equivalent agencies of other nations, will expect to be received and often to be entertained by the Secretary. Considerations of protocol and international relations will require the setting aside of time, including occasional foreign visits, to the maintenance of good relationships with transportation-oriented foreign officials. The demands from this source should, however, be reasonably light.
6. Relations With the Press. The various publicity media will seek to hear from the Secretary directly, and he will need to take advantage of the fact that what he says will tend to be newsworthy. Press conferences are an important tool of the Secretary, as are interviews with representatives of individual newspapers and periodicals who seek to develop articles on the Secretary or the activities of his Department. He must, therefore, be willing to spend the time needed to assure that the Department, and its programs, receive adequate and favorable press and other coverage.

The demands of the above types of external relationships must be expected to require as much as two-thirds of the total time of the Secretary. The remaining one-third of the Secretary's time will relate to the internal administration of the Department. Here, his time will be consumed primarily by the following matters or types of activity:

1. Selection of Policies and Goals. The Secretary will inevitably become the advocate of policies and goals aimed at fostering a balanced, safe, and efficient national transportation system. However much advice he receives from external sources, the Transportation Policy Council of the Department, and the individual heads of administrations

and offices, he must make the decisions. This calls for the devotion of enough time to understand problems, consider alternatives, and arrive at and state his decisions.

2. Selection of Key Personnel. The Secretary must play a strong and personal role in seeing to it that the Department has as assistant secretaries, heads of staff offices, and administrators of operating elements the best men that can possibly be attracted to these jobs. The more successful a Secretary is in attracting and holding a high-quality top team, the less time he will have to devote to the details of internal administration. The number of external crises generated by the errors or omissions of key staff will also be held down if they are able and sensitive people.
3. Meeting with Principal Staff. The Secretary must be accessible to the heads of the operating administrations, the assistant secretaries, and the directors of staff offices. He should make it clear that matters which can be dealt with by the Under Secretary should be handled at that level, but he cannot shut himself off from direct, personal contacts. He must also be prepared to preside over meetings of top departmental officials in which major matters of policy, or program or strategy are under discussion.
4. Meeting with Employees. While the Secretary will always be a remote figure to many who work in the Department, he must be prepared to devote time to winning the respect and loyalty of rank and file employees. This requires occasional attendance at special functions, visits to work locations and field offices, participation in awards ceremonies, and occasional meetings with the representatives of employee groups.
5. Establishment of Management Philosophy. Although he should rely heavily on the Under Secretary for day-to-day internal administration, the management philosophy of the Department must be that of the Secretary. He must, therefore, devote enough time to internal organization and operations to understand and guide the over-all managerial and administrative systems of the Department.

6. Allocation of Resources. The details of resources review and allocation should be left to the Under Secretary and other officials, but such important decisions as those relating to the funding levels and the balance between major programs reflected in the annual budget must represent the informed position of the Secretary. The President will expect the Secretary to be able to defend his estimates at meetings with the Chief Executive and the Director of the Bureau of the Budget during the budget review process. The Appropriations Committees will also look to the Secretary to carry the burden of making the Department's case when major funding issues are involved.

How the Under Secretary Will Spend His Time

A classic and practicable relationship between the Secretary and the Under Secretary casts the latter in the role of the inside man. This means that, while the Secretary may devote as much as two-thirds of his time to matters of external origin or focus, the situation is approximately reversed with respect to the Under Secretary. That is, only about one-third of his time should be devoted to meeting demands originating from outside the Department. Obviously, the Under Secretary must spend some time on all of the activities previously described for the Secretary. When the Secretary is absent from the Capital, on leave, ill, or attending to higher priority or more urgent demands, the Under Secretary becomes an alter ego and fills in. Thus, the Under Secretary may need to meet with a committee chairman because the Secretary has been called to the White House or is attending a conference in London.

The internal departmental activities to which the Under Secretary should be expected to devote the greater portion of his efforts will involve such functions as the following:

1. The Administrative Implementation of Policy Decisions. Once the Secretary has made a decision, the Under Secretary is expected to set in motion the train of actions required to convert the decision into reality. These implementation efforts may involve any aspect of the administrative process, such as assignment of staff, allocation of funds, or the modification of organization. Naturally, the Under Secretary keeps the Secretary informed as to any measures required to carry out a policy which are sufficiently significant to be of interest to the Secretary.

2. Daily Oversight of Staff. The heads of the operating administrations and elements of the Office of the Secretary will often go to the Under Secretary with their problems and recommendations. This will be due in part to his greater accessibility, in part to a desire to avoid burdening the Secretary, and in part to get advice as to whether and when a matter should receive the attention of the Secretary.
3. Resource Management. If Alternative A of the proposed plan for the organization of the Office of the Secretary is adopted, the Under Secretary would chair the Resources Review Committee and oversee the formulation of multi-year programs and annual budgets to carry out the policies and objectives of the Secretary and the Administration. Resource allocation receiving his attention would include such matters as personnel strength and supergrades. Because resources programing is time consuming and yet demands the attention of a very high level of management, there is really no other official to whom the Secretary can look for authoritative oversight, other than the Under Secretary.
4. Dealing With Rank and File Employees. Although, as indicated before, the Secretary must do some things to avoid an image of undue aloofness and to engender loyalty and enthusiasm, the vast majority of matters involving employees--grievances, appeals, employee organizations--will be handled by the Under Secretary. This is a natural part of the Under Secretary's focus on internal administration and resources, including manpower resources.

Honorable Alan S. Boyd, Under Secretary of
Commerce for Transportation

18 November 1966

Vice Admiral Paul E. Trimble, USCG, Chairman,
Inter-Agency DOT Task Force

Assignment of Assistant Secretaries

1. The Task Force generally agrees that three of the authorized Assistant Secretary positions be utilized as follows:

- a. Assistant Secretary for Public Affairs.
- b. Assistant Secretary for Transportation Policy Development.
- c. Assistant Secretary for Safety and Technology.

2. Alternatives are recommended for each of these proposals that expand or restrict the individual assignments. However, the basic need for these three Assistant Secretaries is not changed by any of the modifications. Detailed comments on each are covered in paragraphs 5-7 below.

3. Because the Task Force is not unanimous in its recommendations for the fourth Assistant Secretary position, three alternatives are offered:

- a. An Assistant Secretary for International Transportation and Defense Affairs.
- b. An Assistant Secretary for Safety.
- c. An Assistant Secretary for Metropolitan and Regional Transportation Development.

Specific comments are contained in paragraphs 8-10.

4. The Task Force is unanimous in recommending that the Assistant Secretary for Administration should be the principal management staff official in the Department, and as such should exercise direction over the Department's administrative management functions. Further definition of this assignment and alternatives is covered in paragraph 11.

Memorandum to: Honorable Alan S. Boyd

5. Assistant Secretary for Public Affairs

- a. It is anticipated that this Assistant Secretary would have general supervision over:
 - (1) Office of General Transportation Liaison.
 - (2) Office of Legislative Affairs (includes Congressional liaison).
 - (3) Office of Public Information.

The functions of these offices would be essentially as outlined in the Draft Recommended Organization Plan for the Office of the Secretary, with certain modifications.

- b. Such an assignment would preferably require an individual with some background and knowledge of current national transportation requirements, together with experience in dealing with industry, government and legislative officials.
- c. This recommendation is consistent with your desire for a senior staff official who will have responsibility for "communicating" on transportation matters.

6. Assistant Secretary for Transportation Policy Development

- a. This is undoubtedly a key position in the new Department. An essential element to the concept is having an Office of Transportation Policy Planning, essentially as recommended in the Draft Recommended Organization Plan for the Office of the Secretary, under the general supervision of this Assistant Secretary. ✓
- b. One modification to this position would place the Office of International Transportation Affairs and Emergency Transportation under this Assistant Secretary. Such an alternative is recommended by two members of the Task Force. Paragraph 8 has related comments on this.
- c. An additional modification would have an Office of Program Evaluation also under this Assistant Secretary. A corollary of this proposal would place an office of Budget Preparation under the Assistant Secretary for Administration. However, this modification would not change the basic qualifications of the proposed Assistant Secretary position.

Memorandum to: Honorable Alan S. Boyd

- d. Irrespective of any of the above-noted modifications which you might consider, the general qualification requirements for this position would remain the same. He would be the Secretary's principal transportation programs planning assistant and advisor.

7. Assistant Secretary for Safety and Technology

- a. This Assistant Secretary would have under his general supervision at least an Office of Research and Technology, essentially as described in the Draft Recommended Plan of Organization, and an Office of Noise and Pollution Abatement.
- b. An alternative to this recommendation is to remove the safety emphasis of the position and concurrently establish an Assistant Secretary for Safety (see paragraph 9). This would change the title to Assistant Secretary for Technology.
- c. Whether or not the safety responsibility is included in this position, it nevertheless will require a person who is knowledgeable and competent in the field of technical research management and evaluation. This position is not one of research management per se. However, he will be the principal advisor and staff official to the Secretary in matters relating to technological development and research in the transportation and transportation safety field.

8. Assistant Secretary for International Transportation and Defense Affairs

- a. This alternative recommendation contemplates an Assistant Secretary having supervision over an Office of International Transportation Affairs and an Office of Emergency Transportation, both essentially as described in the Draft Recommended Organization Plan.
- b. Although this recommendation is not supported by the entire Task Force, it is strongly advocated by the Task Force representatives from both the Coast Guard and Federal Aviation Agency. It reflects the conclusions of these agencies, which are heavily

Memorandum to: Honorable Alan S. Boyd

involved in international transportation policies and programs, that these policies and programs must be consistent with domestic and total national transportation policies and programs. The scope of involvement in international affairs is indicated in attachment No. 1.

- c. Those who oppose this recommendation do so on the basis that international policy and program matters should be handled in the frame of reference of total national transportation policies and programs. They see the "international" aspects of transportation problems as being primarily "foreign" policy problems appropriately within the purview of the State Department and the transportation aspects as being appropriately assigned to functional offices handling similar domestic problems.
- d. Task Force members support associating both the Office of International Affairs and the Office of Emergency Transportation as closely as possible.

9. Assistant Secretary for Safety

- a. This is a second alternative proposed for the fourth Assistant Secretary. As one of the major reasons for establishment of the Department, specifically mentioned by the President, safety coordination and leadership within the Department may justify the assignment of an Assistant Secretary to this function.
- b. Although this alternative is not recommended by a majority of the Task Force, it is strongly recommended by at least two of the Task Force. All Task Force members recommend that the importance of safety be reflected in either an individual Assistant Secretary, or in combination with the responsibilities for transportation technology.
- c. If this alternative is adopted, the Offices of International Transportation Affairs and Emergency Transportation could be assigned to the Assistant Secretary for Transportation Policy Development, or they could be assigned as Offices reporting directly to the Secretary.

Memorandum to: Honorable Alan S. Boyd

10. Assistant Secretary for Metropolitan and Regional Transportation Development

- a. This recommendation is strongly supported by two members of the Task Force. The need for this Office is based on the fact that metropolitan and regional transportation problems are among matters of highest priority to the new Department. If the Secretary is going to provide the leadership and secure the results that should be expected in these areas, he should provide in his organization specific means to secure such leadership and direction. The recommendation is intended to meet this objective.
- b. If this alternative is adopted, the Office of International Transportation Affairs and the Office of Emergency Transportation would be placed under the general supervision of the Assistant Secretary for Transportation Policy Development.

11. Assistant Secretary for Administration

- a. The Task Force agrees with the functional description for this Office, but is divided with respect to the role of the Assistant Secretary for Administration when it comes to the Planning, Programming and Budgeting System. Essentially, it is divided on Alternatives A, B and C as proposed in the Draft Plan of Organization, and an additional Alternative D, which proposes an Office of Program Evaluation and Office of Budget Preparation (see paragraph 6c).
- b. Whether or not a budget responsibility of some measure is to be reflected in the assignment to the Assistant Secretary for Administration, this position will require, in the opinion of the Task Force, a person with a broad and mature background in Federal Government executive management.

12. Considerations Related to Decisions on Alternatives on the Planning, Programming, and Budgeting Systems.

In deciding on qualifications for and assignment of Assistant Secretaries to positions in the Department, the impact of decisions on how the PPBS might operate should be considered. For example, should

Memorandum to: Honorable Alan S. Boyd

the functions of the Office of Program and Budget Review be assigned to the Assistant Secretary for Transportation Policy Development, his range of qualifications would differ from those necessary if the budget function were assigned elsewhere.

A review of the discussion on Issue No. 1 on pages 15-47 of the Recommended Organization Plan of 21 October 1966 will be helpful in locating the Office of Budget and Program Review. Alternatives A, B and C.

13. Assignment of Level IV or V Positions

The four positions provided by the Act should be considered in conjunction with the assignment of the Assistant Secretaries. The following suggestions for use of these positions are under consideration by the Task Force:

1. Deputy Under Secretary.
2. Deputy Administrator for Highways.
3. Deputy Administrator for Railroads.
4. Director of the Office of Program and Budget Review (under Alternative A).
5. Director for International Transportation and Defense Affairs (If not under one of the Assistant Secretaries).

P. E. TRIMBLE

Attachment

FOR DISCUSSION PURPOSES AND OFFICIAL USE ONLY

RECOMMENDED ORGANIZATION PLAN
FOR
OFFICE OF THE SECRETARY
DEPARTMENT OF TRANSPORTATION

Submitted by:

Study Group on Organization

Enar B. Olson - Chairman, FAA
CDR David F. Lauth - USCG
Byron Nupp - Commerce Dept.

October 21, 1966

RATIONALE FOR
OFFICE OF THE GENERAL COUNSEL

This Office has the usual Departmental responsibilities for providing expert legal advice and assistance to the Secretary. Because of Coast Guard military personnel responsibilities, the General Counsel will have special responsibilities equivalent to the Judge Advocates General of the other armed forces.

FUNCTIONAL STATEMENT FOR
OFFICE OF THE GENERAL COUNSEL

MISSION. To provide the legal advice and assistance required by the Office of the Secretary and those organizations which do not maintain legal staff and establish Department-level policies for all legal work in the Department.

SPECIAL RELATIONS.

- a. The primary program agencies of the Department have authority, responsibility and resources necessary to meet their respective legal support requirements. The Department's Office of the General Counsel provides the legal services and advice required by organizations which do not maintain legal staffs.
- b. Responsibility for drafting legislation of concern only to a major operating element is the responsibility of that element. Such draft legislation is coordinated with the Department General Counsel for legal consistency from a total Department standpoint
- c. Performs review functions in matters concerned with the Uniform Code of Military Justice.

FUNCTIONAL STATEMENT FOR
OFFICE OF PUBLIC INFORMATION

MISSION. To provide an effective public information program at the Secretarial level of the Department and provide policy direction, review, and coordination of all information programs in the Department in order to present a unified Department of Transportation image to the public.

FUNCTIONS. Is the principal staff element in the Office of the Secretary with respect to:

- a. Arranging public statements and press interviews of Secretarial officials and officials of staff offices, preparing upon request texts of public statements.
 - b. Providing special assistance to the immediate Office of the Secretary in speech preparation.
 - c. Maintaining a news room, arranging for distribution of press releases, and making provision for facilities for press conferences.
 - d. Coordinating the public information policies of the operating elements to achieve a consistent Departmental policy.
- (9)

- e. Review of other Departmental publications from the standpoint of the public information policies of the Department.
- f. Establishing effective relations with the press and other communications media.

SPECIAL RELATIONS.

- a. Operating Agencies. Each agency will be responsible for the conduct of public information activities connected with its programs and will be responsible to the Office of Public Information only for consistency with Departmental policies.
- b. Research Reports and Publications. This Office will only be responsible for conformity with public information policy and not for substantive content of reports.

RATIONALE FOR
OFFICE OF TRANSPORTATION POLICY PLANNING

It is believed that an Office such as this is of major importance in providing the Secretary with a staff resource fully responsive to the Secretary and having a "total transportation" orientation, to give leadership and direction to Departmental responsibilities for:

- a. Identifying national transportation needs and problems.
 - b. Developing transportation plans, policies and mission definitions for program planning, and for use in the Planning, Programming and Budget System concept.
 - c. Conducting economic, environmental, statistical and related studies in transportation.
 - d. Provide leadership to Department responsibilities related to development of criteria for investment standards.
 - e. Provide an input of proposed legislation required in support of transportation plans covering more than one mode.
 - f. Providing economic, environmental, statistical and similar analytic support to the Transportation Policy Council.
- 101

It is anticipated that the effective functioning of such an Office will be of critical importance to the Secretary's ability to achieve the major purposes for establishing a Department of Transportation. An essential consideration in staffing such an Office is believed to be the inclusion of a substantial percentage of personnel having program knowledge background from the operating elements of the Department, balanced by top level transportation specialists, including economists, statisticians and persons with a transportation operations background, who are new to the Department.

This Office is not to do the program and policy planning essential to the individual operation elements of the Department. It is to provide leadership and direction to transportation program and policy planning efforts in the Department which reflect major involvement with more than one major transportation mode.

FUNCTIONAL STATEMENT FOR
OFFICE OF TRANSPORTATION POLICY PLANNING

MISSION. To provide Department level staff leadership in:

- a. Identifying national transportation needs and problems.
- b. Developing proposed solutions and goals for meeting these requirements.
- c. Establishing Department missions and goals for use in the Department PPBS activities.
- d. Establishing Department-level planning policies to be followed in the planning activities of all program agencies of the Department.

FUNCTIONS. Is the principal staff element in the Office of the Secretary with respect to:

- a. Conducting economic, social and statistical analyses of transportation requirements relative to the total environment and project the future needs of a total transportation system, both domestic and international.
- b. Preparing and periodically updating statements of missions and objectives to meet projected requirements.

- c. Reviewing the long-range programs of the operating elements to insure that they are in realistic compliance with Departmental goals and objectives.
- d. Evaluating public and private investment in transportation systems, develop criteria for investment standards, assess adequacy of transportation investment, and relate transportation needs to investment requirements.
- e. Reviewing and inventorying existing policies and legislation affecting transportation, and periodically propose changes and adjustments to conform with Department objectives and missions.
- f. Preparing, in cooperation with the Office of the General Counsel, expert testimony for appearances of Departmental representatives in Congressional hearings involving revision of regulatory statutes, transportation tax measures, or other legislative objectives not involving a major operating agency. Similarly, prepare testimony for appearances in such regulatory proceedings as the Secretary may direct.
- g. Providing representation and staff support for the Secretary in his role in the Water Resources Council concerning transportation investment criteria in multiple

purpose water resource projects.

h. In cooperation with the Department of Housing and Urban Development, developing recommended means and procedures for the unified Federal approach to urban transportation problems required in the President's message.

i. Providing special staff support for the Transportation Policy Council.

RELATIONSHIPS.

a. The Office will work closely with the Transportation Policy Council in the development of Departmental goals and by providing an analytic capability to assist in the evaluation of the long range plans of the operating agencies.

b. The Office will maintain liaison with the Office of Research and Technology to insure that technical developments in transportation and related fields are included in Departmental plans, and that activities in field of social science research are coordinated.

c. The Office will provide program data in support of the Department's legislative programs including an assessment of the need for legislation from a policy standpoint.

Similarly, substantive materials relating to regulatory activities will be furnished. The General Counsel will provide legal analysis of proposed plans and programs as required.

d. Each of the major operating elements of the Department has responsibility, authority, and resources to conduct the planning and analytic studies which relate essentially to the mode of transportation for which it has primary Department mission responsibility. The Office of Transportation Planning provides such cognizance and coordination of long-range transportation planning activities in all organizations of the Department as is essential to secure a coordinated and balanced total approach to meeting national transportation needs. A formalized program of rotation of staff into the Office of Transportation Planning from the major program agencies of the Department is followed to provide the necessary current program expertise required in the Office of Transportation Planning.

RATIONALE FOR
OFFICE OF RESEARCH AND TECHNOLOGY

Hearings in Congress in support of the Department of Transportation, and Committee reports on the bill, have emphasized the importance attached to the Secretary's responsibilities in research and development. It is believed the Secretary should have a separate staff focal point to provide leadership and support for his following responsibilities:

- a. Identifying and coordinating research and technological needs and priorities.
- b. Securing maximum total transportation utilization of research and technological development programs in operating agencies.
- c. Encouraging and supporting transportation research in the private Sector.
- d. Control or conduct of selected transportation research and development projects.
- e. Department level liaison with the President's Committee on Scientific and Technical Development.

Each of the operating elements of the Department must continue to have the resources, authorities and responsibilities for accomplishing or securing the research and technological development essential to its minimum accomplishment. However, there are selected areas of research, such as human factors and equipment research related to safety, which are of importance to more than one major mode of transportation. The importance of this responsibility strongly justifies establishing a separate staff office in the Office of the Secretary for these matters, rather than combining it with some other major responsibility. This is an area to which the Secretary may wish to have an Assistant Secretary devote his full attention.

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FUNCTIONAL STATEMENT FOR
OFFICE OF RESEARCH AND TECHNOLOGY

MISSION. To provide leadership in transportation research and development in the Department, coordinate the operating agencies' research programs, identify research needs and priorities, manage research facilities consistent with program objectives, and encourage and support transportation research in the private sector to promote the improvement of the total transportation system.

FUNCTIONS. Is the principal staff element in the Office of the Secretary with respect to the following:

- a. Identifying at the Department level research needs and priorities on problems of significant concern to more than one operating agency of the Department.
- b. Assuring that effective and efficient research programs are developed to meet identified and approved needs.
- c. Maintaining a current inventory of research and technological development effort taking place in the Department and provide coordination of the research and technological development efforts of the several operating

elements to secure maximum effective utilization of resources and knowledges.

d. Promoting and encouraging research and technological development by the private Sector in transportation systems.

e. Maintaining close liaison with other government agencies involved in research activities to become aware of development which may have application in the field of transportation.

f. Conducting such research and technological development as is determined by the Secretary to be most effectively and efficiently performed by this Office.

g. Representing the Department on the President's Committee on Scientific and Technical Development and provide representation to industry and inter-Government organizations for which Department-level representation is appropriate.

SPECIAL RELATIONS.

a. Research and technological development requirements of importance to only one operating agency of the

Department are a responsibility of that Agency.

b. The Office of Research and Technology is primarily to identify research needs and see to it that approved needs are accommodated, rather than conduct research and technological work. It provides recommendations and special staff advice to the Transportation Policy Council in securing resolution as to how to accomplish given research goals and projects. It will be responsible for the conduct of only those projects which cannot be effectively and efficiently accomplished elsewhere.

c. The Office of Transportation Policy Planning will be responsible for all applied social science research concerned with policy and planning. The Office of Research and Technology will emphasize research and development in the physical sciences, including medical and biological aspects, and such original social science research as may be related to its physical research and development objectives; for example, sociological applications of medical findings in safety research.

d. This Office will maintain close liaison with the operating agencies, the Office of Transportation Policy

Planning, the Transportation Policy Council, and the Office of Program and Budget Review to encourage the use of technological advances in present programs and future plans.

RATIONALE FOR
OFFICE OF INTERNATIONAL TRANSPORTATION AFFAIRS

Although all of the operating elements of the Department which have responsibilities for programs outside the United States will be expected to continue to provide leadership and direction to international responsibilities in their respective transportation fields, there is a need to provide positive leadership and direction from the Departmental level to international responsibilities viewed in a total transportation frame of reference.

The Department of Transportation will, for the first time, create an organization framework within which United States interests can be brought into focus from essentially a total transportation standpoint. United States policy and program decisions relating to one mode of international transportation often have important bearing on another mode. Top government policy relating to the extent and emphasis of technical assistance programs in the field of transportation must be considered by the Office of the Secretary.

Although all Departmental policy concerning international matters must be subservient to major Department transportation

policies for which the Office of Transportation Policy Planning is the key Departmental staff office, it is believed that international transportation affairs will be of such level of concern as to warrant a separate staff office, rather than including these functions in the Office of Transportation Policy Planning.

Certain aspects of the international picture, such as the Technical Assistance Programs, promotion of U. S. products abroad, and representation at international transportation conferences strongly support the conclusion that a separate office is needed to provide leadership in developing policy and Departmental guidelines in matters which are primarily international rather than domestic.

This Office should be a high level office concerned with seeing to it that policies relating to international matters are established, objectives are set, and programs are established. This is in contrast to being an office that accomplishes these objectives. It is anticipated that the operating elements will continue to carry on essentially as they have in the past on

international matters but now being subject to policy guidance from a total transportation standpoint.

It is anticipated that an Office of International Transportation Affairs will take the initiative in becoming the focal point for interdepartmental leadership in transportation matters.

It is believed that special attention should be given to the decision whether or not to place the Office of International Transportation Affairs under an Assistant Secretary with no other major responsibilities; under an Assistant Secretary who has jurisdiction over another office, such as the Office of Emergency Transportation; or whether to have the Career Director of the Office report directly to the Secretary and Under Secretary. Each of the three alternatives offer certain advantages in terms of stature in dealing with other governments and agencies.

(12)

FUNCTIONAL STATEMENT FOR
OFFICE OF INTERNATIONAL TRANSPORTATION AFFAIRS

MISSION. To provide leadership and coordination of international transportation responsibilities and activities of the Department and to assure that such activities are effectively coordinated with the State Department and other agencies. Provide for effective representation of the Department in international conferences and negotiations.

FUNCTIONS. Is the principal staff element in the Office of the Secretary with respect to:

- a. Maintaining effective communication with the State Department and agencies of the Federal Government to facilitate the coordination of Departmental policies and activities in the field of international transportation.
- b. Establishing Departmental international transportation policy guidelines.
- c. Providing for Departmental participation in international transportation bodies such as IMCO and ICAO and arrange for representation at international conferences relating to transportation matters, utilizing the

staffs of the operating elements to the maximum feasible extent.

d. Providing leadership in establishing an interdepartmental committee on International Transportation Policy chaired by the Secretary of Transportation.

e. Establishing policy and provide direction to Departmental participation in Technical Assistance Programs.

SPECIAL RELATIONSHIPS.

a. The appropriate operating element of the Department has the primary responsibility to develop United States position papers, and provide representation to international meetings which relate to the modal transportation area for which it has primary mission responsibility. However, because of the responsibility and authority of the Office of International Transportation Affairs for leadership and direction of the total international transportation program of the Department, very close coordination is required between the operating elements and the Office of International Affairs to insure that position papers and U. S. representation in a single modal area are consistent with an overall transportation posture for the United States.

In any event, the Secretary should at an early date clearly establish the responsibilities and inter-relationships on legislative programs of such offices as the Office of Legislative Affairs, Office of Transportation Policy Planning, the General Counsel, and whatever office is given overall responsibility for the legislative program. The relationship and responsibilities of the operating agencies vis-a-vis Congress, the Executive Office of the President, and the Office of the Secretary must also be covered in this statement of management policy.

2. Supervisory role of an Assistant Secretary.

It is important that the role of an Assistant Secretary, particularly with respect to his responsibilities for the "supervision" of major offices which may report through him to the Secretary, be established and understood, if full potential of Assistant Secretaries and Office Heads is to be secured by the Secretary.

To a very considerable extent, the head of each major office component in the Office of the Secretary should be regarded as part of the immediate staff of the Secretary.

The Assistant Secretaries are very much in the nature of personal assistants to the Secretary to help him provide leadership and direction to broad areas of his total responsibilities. They are not established to carry out a major "supervisory" role as this is understood in the usual management situation.

The basic legislation on the Department of Transportation recognizes that assignments given to Assistant Secretaries should be expected to periodically change, to reflect changing emphasis in transportation affairs. This means that the heads of each of the offices recommended in this study should be regarded as major staff officials for the Secretary. In this context, there should be considerable flexibility and fluidity in communications as among the Secretary, Under Secretary, Assistant Secretaries, Office Heads, and Heads of Operating Agencies. Each of the Office Heads should be expected to exercise leadership and policy direction for the Secretary in their respective areas of responsibility, working within only the broadest of guidelines from any Assistant Secretary. It is believed this philosophy should be expressed and stressed while the

Office of the Secretary is being organized.

3. Top level policy attention to Contracting and Logistics Management in the Department.

The Department of Transportation will have some of the largest procurement, contracting, and logistics management programs in the Federal Government. For the most part, these are responsibilities primarily of the operating elements. However, because of the tremendous sums of money and inventory values involved from a total Department standpoint, it is believed that the Secretary will, in his own self interest, find it essential to give some top level policy guidance and control to these activities in the Department as a whole. To exercise the responsibility, he will need some highly qualified staff expertise in these activities.

Such a staff is not of the size or stature to justify separate organizational status. However, the Secretary should be aware of his major responsibilities in these areas. This study recommends that the staff "expertise" in these areas be located in the immediate staff of the Assistant Secretary for Administration.

UNITED STATES GOVERNMENT

FEDERAL AVIATION AGENCY

Brif Filed on 11/15/66

Memorandum

DATE: November 15, 1966

SUBJECT: Dissenting Views on Working Group Recommendation
Concerning Organization of Financial Management Function

FROM : H. B. Alexander, FAA Member

TO : Mr. William J. Armstrong, Working Group Chairman

This is to further explain my position on Project 5 - Organization and Staffing for Financial Management for the Department of Transportation. It is requested that this memorandum accompany the Working Group Report on this subject. I also want to make it clear that this represents my own professional judgment since I have not had an opportunity to discuss the final Working Group recommendation with my front office.

The Working Group is recommending a comprehensive Controller-type organization reporting directly to the immediate office of the Secretary. My disagreement lies solely in the supervisory relationship of this organization and not in its function.

Obviously, a separate financial management organization is one of the alternative choices and offers the advantage of a powerful financial management and review mechanism with ready access to the Secretary. It appears to me, however, to have some distinct disadvantages. First, the fragmentation of administrative management functions makes the Secretary or Under Secretary the lowest common supervisor for resolution of problems between administrative management organizations. Second, it complicates the coordination between the necessarily related administrative functions of financial, personnel and other managerial functions.

The alternative offered by the FAA representative would maintain the same functions in the financial management organization, but have it report to the Assistant Secretary for Administration. This alternative would tend to eliminate the disadvantages of the separate controllership without, in my opinion, any real diminution of effective financial management. Coordination of related administrative systems would be enhanced and the Secretary's span of control would be simplified.

H. B. Alexander
H. B. Alexander

Byrd File
Organization
DOT File
November 14, 1966

RECOMMENDATIONS OF BUDGET AND FINANCE WORKING GROUP
ON PROJECT 5 OF ITS CHARTER
ON
ORGANIZATION AND STAFFING FOR FINANCIAL MANAGEMENT
FOR THE DEPARTMENT OF TRANSPORTATION

Rejected
by Dist
Force
11/17

The Budget and Finance Working Group has considered Project 5 of its approved charter (Organization and Staffing for Financial Management for the Department of Transportation) and submits the following recommendations:

6/6/67

- 1) That there be established a Chief Financial Officer at the Assistant Secretary level to provide staff assistance and support to the Secretary in the field of financial management.
- 2) That the Chief Financial Officer be designated as Controller or Assistant Secretary (Controller) and that, preferably, he be a career official.
- 3) That the Chief Financial Officer be responsible for providing leadership, direction and policy guidance for the Department as a whole for the functions of programming, budgeting, accounting, financial reporting and auditing.
- 4) That, under the Chief Financial Officer, there be four Offices--
 - a) Office of Budget and Program Review
 - b) Office of Accounting Policy
 - c) Office of Financial Reporting
 - d) Office of Audit

Functions of the Chief Financial Officer

It is recommended that the functions of the Chief Financial Officer encompass the following--

- . Prescribing and updating departmentwide policies, principles, standards and requirements for programming, budgeting, accounting, financial reporting and auditing.
- . Assuring, for the Secretary, that the requirements imposed upon him by statute for the development of adequate systems of financial management and internal control, especially Section 113 of the Budget and Accounting Procedures Act of 1950, are met in all respects.
- . Providing leadership and direction for conducting throughout the Department a continuing program for modernizing, simplifying, and improving systems of programming, budgeting, accounting, financial reporting, and auditing.
- . Formulating proposals for the most effective and economical execution of financial plans, including modification, curtailment, elimination, or expansion of programs and financial plans for review by the Transportation Policy Council and other top officials in the decision-making process.
- . Providing for development and maintenance of a Department budget system in accordance with executive branch policies and direction, including implementation of the Secretary's substantive program and allocation decisions by continuous maintenance and periodic updating of a 5-year program and financial plan, preparation of the annual budget request on the basis of that plan, and development and maintenance of an operating budget system for budget execution throughout the Department. Maintenance of the 5-year plan and other elements of the budget process

- should be closely coordinated with the work on longer range plans, economic studies, program proposals and alternatives, and cost/effectiveness analyses performed by the Department's program policy planning unit.
- . Providing for development and maintenance throughout the Department of accounting systems that are appropriately integrated with the budget processes, consistent with executive branch policies, and conforming to the accounting principles and standards prescribed by the Comptroller General.
 - . Providing for use of financial reports, developed in appropriate relationship with program, statistical, and other reports under a management information and control system that will satisfy internal management needs and external reporting requirements in an efficient manner.
 - . Providing such coordination of audit programs in the entire Department as is required by Federal programs and policy.
 - . Assuring, through appropriate current inspection and audit techniques, that the financial management systems of the Department are functioning in accordance with the Secretary's policies, principles, standards, and requirements.
 - . Assuring for the Secretary that those operating elements which are large enough to maintain their own full range of financial management functions are organized and staffed in a fashion to provide for appropriate coordination of programming, budgeting, accounting, financial reporting, and auditing.

- .. Providing, in appropriate collaboration with the Department's Director of Personnel Training, for an active and vigorous training program for financial management personnel throughout the Department.
- . Maintaining liaison with congressional appropriations committees on budget matters and with the central financial control agencies (General Accounting Office, Treasury Department, Bureau of the Budget) in all matters relating to financial management, including Department-level representation to the General Accounting Office on GAO audits, and approval by the Comptroller General of all Department accounting systems. Recently there have been strong pressures from the legislative branch for approval of accounting systems, as required by the 1950 Act. [See House Government Operations Subcommittee Report: "The heads of departments and agencies should take immediate action to see that their subordinates involved in financial management proceed with dispatch to institute accounting systems in accordance with standards prescribed by the Comptroller General and to submit such systems to him for approval. Target dates agreeable to the Comptroller General should be proposed and adhered to."] ;
- . Maintaining liaison with professional financial management associations, such as the Institute of Internal Auditors, American Institute of CPA's, Federal Government Accountants Association, and others, and assuring appropriate participation by Department financial management staff in seminars, symposia and other meetings and activities designed to provide an interchange of information and stimulate adoption of new and improved techniques and procedures.

Basic Concepts Underlying Above Recommendations

- (1) The basic concepts of organization as set forth in Section I of the October 21, 1966, report of the "Study Group on Organization" are observed--
- . The Assistant Secretaries and other staff officers of the Secretary will...provide guidance...rather than exercising line authority over a particular Administration....
 - . The heads of the operating elements will be charged directly with line responsibility for executing the programs....
 - . Each major element will be delegated the authority and responsibilities and provided with sufficient resources to enable them to be essentially self-sufficient in matters of internal administration.
 - . Essentially they [the operating elements] require only major policy and program direction from the Office of the Secretary.
 - . Only those authorities essentially required to enable the Secretary to effectively exercise his leadership role in the Department will be retained at the level of the Office of the Secretary.
- (2) The major operating elements, in accordance with the organizational concepts enumerated above, (especially the concept that they shall "...be essentially self-sufficient in matters of internal administration") and in recognition of their diverse and unique programs, shall perform the full range of financial management functions (budgeting, accounting, financial reporting, and auditing) in the manner best suited to their management needs, but in conformance with the Secretary's policies, principles, standards, and requirements.

- (3) Other operating elements that are not large enough to warrant "in-house" performance of the full range of financial management functions shall be "serviced" by a centralized office established for that purpose. (This is to be dealt with in Project 3.)

Staffing

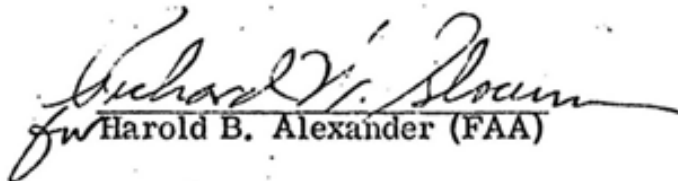
The Chief Financial Officer's organization should be staffed with a relatively small but highly qualified group of individuals in the various specialty areas. A suggested staffing pattern is set forth in the attachment.

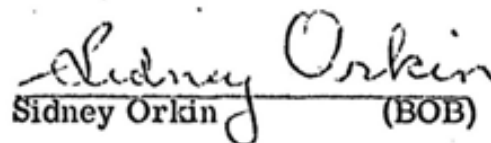
Views of Working Group

The Working Group is unanimous in its agreement with the recommendations contained in this report except for one point. This has to do with the organizational location of the Chief Financial Officer. One member believes that the Chief Financial Officer should be under the Assistant Secretary for Administration. (See his memorandum attached.)

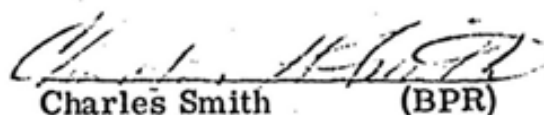
Respectfully submitted,

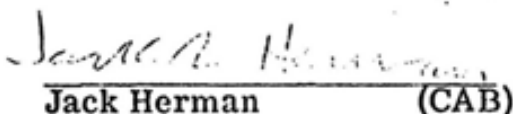
WORKING GROUP:

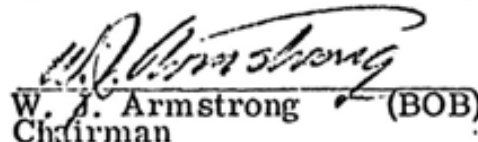

Harold B. Alexander (FAA)


Sidney Orkin (BOB)


Cdr. William Boswell (CG)


Charles Smith (BPR)


Jack Herman (CAB)


W. J. Armstrong (BOB)
Chairman

Suggested Staffing Pattern for the
Chief Financial Officer's Organization

Office of the Chief Financial Officer

- 1 Head of Office
- 1 Deputy
- 1 Staff Assistant
- 2 Secretarial and Stenographic

Office of Budget and Program Review

- 1 Head of Office
- 7 Budget and Program Analysts
- 3 Secretarial and Stenographic

Office of Accounting Policy

- 1 Head of Office
- 3 Systems Accountants
- 2 Secretarial and Stenographic

Office of Financial Reporting

- 1 Head of Office
- 3 Report Analysts
- 2 Secretarial and Stenographic

Office of Audits

- 1 Head of Office
- 3 Auditors
- 2 Secretarial and Stenographic

Honorable Alan S. Boyd, Under Secretary of
Commerce for Transportation

18 November 1966

Vice Admiral Paul E. Trimble, USCG, Chairman,
Inter-Agency DOT Task Force

Assignment of Assistant Secretaries

1. The Task Force generally agrees that three of the authorized Assistant Secretary positions be utilized as follows:

- a. Assistant Secretary for Public Affairs.
- b. Assistant Secretary for Transportation Policy Development.
- c. Assistant Secretary for Safety and Technology.

2. Alternatives are recommended for each of these proposals that expand or restrict the individual assignments. However, the basic need for these three Assistant Secretaries is not changed by any of the modifications. Detailed comments on each are covered in paragraphs 5-7 below.

3. Because the Task Force is not unanimous in its recommendations for the fourth Assistant Secretary position, three alternatives are offered:

- a. An Assistant Secretary for International Transportation and Defense Affairs.
- b. An Assistant Secretary for Safety.
- c. An Assistant Secretary for Metropolitan and Regional Transportation Development.

Specific comments are contained in paragraphs 8-10.

4. The Task Force is unanimous in recommending that the Assistant Secretary for Administration should be the principal management staff official in the Department, and as such should exercise direction over the Department's administrative management functions. Further definition of this assignment and alternatives is covered in paragraph 11.

Memorandum to: Honorable Alan S. Boyd

5. Assistant Secretary for Public Affairs

- a. It is anticipated that this Assistant Secretary would have general supervision over:

(1) Office of General Transportation Liaison.

(2) Office of Legislative Affairs (includes Congressional liaison).

(3) Office of Public Information.

The functions of these offices would be essentially as outlined in the Draft Recommended Organization Plan for the Office of the Secretary, with certain modifications.

- b. Such an assignment would preferably require an individual with some background and knowledge of current national transportation requirements, together with experience in dealing with industry, government and legislative officials.
- c. This recommendation is consistent with your desire for a senior staff official who will have responsibility for "communicating" on transportation matters.

6. Assistant Secretary for Transportation Policy Development

- a. This is undoubtedly a key position in the new Department. An essential element to the concept is having an Office of Transportation Policy Planning, essentially as recommended in the Draft Recommended Organization Plan for the Office of the Secretary, under the general supervision of this Assistant Secretary.
- b. One modification to this position would place the Office of International Transportation Affairs and Emergency Transportation under this Assistant Secretary. Such an alternative is recommended by two members of the Task Force. Paragraph 8 has related comments on this.
- c. An additional modification would have an Office of Program Evaluation also under this Assistant Secretary. A corollary of this proposal would place an office of Budget Preparation under the Assistant Secretary for Administration. However, this modification would not change the basic qualifications of the proposed Assistant Secretary position.

- d. Irrespective of any of the above-noted modifications which you might consider, the general qualification requirements for this position would remain the same. He would be the Secretary's principal transportation programs planning assistant and advisor.

7. Assistant Secretary for Safety and Technology

- a. This Assistant Secretary would have under his general supervision at least an Office of Research and Technology, essentially as described in the Draft Recommended Plan of Organization, and an Office of Noise and Pollution Abatement.
- b. An alternative to this recommendation is to remove the safety emphasis of the position and concurrently establish an Assistant Secretary for Safety (see paragraph 9). This would change the title to Assistant Secretary for Technology.
- c. Whether or not the safety responsibility is included in this position, it nevertheless will require a person who is knowledgeable and competent in the field of technical research management and evaluation. This position is not one of research management per se. However, he will be the principal advisor and staff official to the Secretary in matters relating to technological development and research in the transportation and transportation safety field.

8. Assistant Secretary for International Transportation and Defense Affairs

- a. This alternative recommendation contemplates an Assistant Secretary having supervision over an Office of International Transportation Affairs and an Office of Emergency Transportation, both essentially as described in the Draft Recommended Organization Plan.
- b. Although this recommendation is not supported by the entire Task Force, it is strongly advocated by the Task Force representatives from both the Coast Guard and Federal Aviation Agency. It reflects the conclusions of these agencies, which are heavily

Memorandum to: Honorable Alan S. Boyd

involved in international transportation policies and programs, that these policies and programs must be consistent with domestic and total national transportation policies and programs. The scope of involvement in international affairs is indicated in attachment No. 1.

- c. Those who oppose this recommendation do so on the basis that international policy and program matters should be handled in the frame of reference of total national transportation policies and programs. They see the "international" aspects of transportation problems as being primarily "foreign" policy problems appropriately within the purview of the State Department and the transportation aspects as being appropriately assigned to functional offices handling similar domestic problems.
- d. Task Force members support associating both the Office of International Affairs and the Office of Emergency Transportation as closely as possible.

9. Assistant Secretary for Safety

- a. This is a second alternative proposed for the fourth Assistant Secretary. As one of the major reasons for establishment of the Department, specifically mentioned by the President, safety coordination and leadership within the Department may justify the assignment of an Assistant Secretary to this function.
- b. Although this alternative is not recommended by a majority of the Task Force, it is strongly recommended by at least two of the Task Force. All Task Force members recommend that the importance of safety be reflected in either an individual Assistant Secretary, or in combination with the responsibilities for transportation technology.
- c. If this alternative is adopted, the Offices of International Transportation Affairs and Emergency Transportation could be assigned to the Assistant Secretary for Transportation Policy Development, or they could be assigned as Offices reporting directly to the Secretary.

Memorandum to: Honorable Alan S. Boyd

10. Assistant Secretary for Metropolitan and Regional Transportation Development

- a. This recommendation is strongly supported by two members of the Task Force. The need for this Office is based on the fact that metropolitan and regional transportation problems are among matters of highest priority to the new Department. If the Secretary is going to provide the leadership and secure the results that should be expected in these areas, he should provide in his organization specific means to secure such leadership and direction. The recommendation is intended to meet this objective.
- b. If this alternative is adopted, the Office of International Transportation Affairs and the Office of Emergency Transportation would be placed under the general supervision of the Assistant Secretary for Transportation Policy Development.

11. Assistant Secretary for Administration

- a. The Task Force agrees with the functional description for this Office, but is divided with respect to the role of the Assistant Secretary for Administration when it comes to the Planning, Programming and Budgeting System. Essentially, it is divided on Alternatives A, B and C as proposed in the Draft Plan of Organization, and an additional Alternative D, which proposes an Office of Program Evaluation and Office of Budget Preparation (see paragraph 6c).
- b. Whether or not a budget responsibility of some measure is to be reflected in the assignment to the Assistant Secretary for Administration, this position will require, in the opinion of the Task Force, a person with a broad and mature background in Federal Government executive management.

12. Considerations Related to Decisions on Alternatives on the Planning, Programming, and Budgeting Systems.

In deciding on qualifications for and assignment of Assistant Secretaries to positions in the Department, the impact of decisions on how the PPBS might operate should be considered. For example, should

Pl. Plan. Budget System

Memorandum to: Honorable Alan S. Boyd

the functions of the Office of Program and Budget Review be assigned to the Assistant Secretary for Transportation Policy Development, his range of qualifications would differ from those necessary if the budget function were assigned elsewhere.

A review of the discussion on Issue No. 1 on pages 15-47 of the Secretary's Organization Plan of 21 October 1966 will be helpful in locating the Office of Budget and Program Review. Alternatives A, B and C.

10. Assignment of Level IV or V positions

The four positions provided by the Act should be considered in conjunction with the assignment of the Assistant Secretaries. The following suggestions for two of these positions are under consideration by the Task Force:

1. Deputy Under Secretary.
2. Deputy Administrator for Highways.
3. Deputy Administrator for Railroads.
4. Director of the Office of Program and Budget Review (under Alternative A).
5. Director for International Transportation and Defense Affairs (If not under one of the Assistant Secretaries).

P. E. TRIMBLE

Attachment

Honorable Alan S. Boyd, Under Secretary
of Commerce for Transportation

21 December 1966

Vice Admiral Paul E. Trimble, USCG,
Coordinator DOT Working Groups

Recommended organization, functional statements, and staffing for
the Office of the Secretary of Transportation

1. The attached recommendations on organization, functions, and staffing for the OST are based on the general organization plan you tentatively approved on 13 December 1966. They were developed on the basis of recommendations of the DOT Task Force, working groups, and guidance from your office.
2. By copy hereof, the Chairman of the DOT legal group is requested to review the recommendations to anticipate any legal problems, particularly the functions of the Office of Hazardous Materials.
3. Subject to your approval, it is intended to use these recommendations for OST personnel planning purposes.

P. E. TRIMBLE

Mr. Boyd

January 23, 1966

M. Cecil Mackey
Cecil Mackey

Task Force on the Department of Transportation

Attached for your information is the latest revised edition of the work done by the Subcommittee on Organization and Management of the Department of Transportation. The work now being done by the Subcommittee is a crash effort to develop recommendations from those areas which will affect or be affected by the draft bill.

Present plans are to have a draft bill out of the parent committee and ready for circulation to the other agencies by Tuesday, February 1.

I am also attaching a copy of an issue paper on urban transportation. This is a revised version of the paper drafted by Charlie Zwick, representing his understanding of the decision reached at the meeting Wednesday night, January 26 with Secretary Connor, Charlie Schultze, and Joe Califano.

I am attaching an extra copy of the material for your transmittal to Secretary Connor.

Attachments

MC Mackey:arb

cc:
✓ Mr. Boyd - 2
Mr. Bridwell
File
Chron

TASK FORCE ON THE DEPARTMENT OF TRANSPORTATION
Subcommittee on Organization and Management

General Concept of Organization and Management

In attempting to design an organization structure for the Department of Transportation the Task Force can divide the job into two phases. These are (1) study and development of recommendations concerning the organizational and management features of the Department which will be affected by the text of the legislation; and (2) the development and description of an organization in sufficient detail to meet the needs of testimony before the Congress and to serve as a starting point and guide for the Secretary after the establishment of the Department. In view of the tight schedule for clearance of the legislation, the first phase of this job is now critical and is receiving priority attention from the Subcommittee. No decisions with respect to organization can, however, be made without initial agreement on some general concepts concerning the structure and management of the Department. The members of the Subcommittee, who met Tuesday, January 25, representing the Bureau of the Budget, Under Secretary of Commerce for Transportation, and the Federal Aviation Agency, agree on the following conceptual statement:

The Department must initially be administered through a group of program oriented administrations and corporations each one of which will report directly to the Secretary and Under Secretary. All other officials (such as the Assistant

Secretaries) will be regarded as staff to the Secretary and will assist him in the general leadership of the Department and its external relationships.

Observations and Issues

Consistent with the above concept statement, the following observations and issues are presented to the Task Force for consideration.

1. Number of Under Secretaries. The creation of a second Under Secretary would serve little useful purpose and is inconsistent with the governing provisions/ most other executive departments. It is suggested that the draft legislation provide for only a single Under Secretary whose rights of succession should be clearly stated.

2. Number of Assistant Secretaries. It is suggested that the bill as circulated for clearance to the agencies not include a specific number of Assistant Secretaries. If, however, a number is included, four (which would be consistent with the HUD Act) would most likely meet the needs of the Department.

3. Assistant Secretary for Administration. Provision should be made for an Assistant Secretary for Administration using language identical with that in Section 4(b) of the HUD Act.

4. Number of Executive Salary Act Positions. The legislation should keep both the level and number of Executive Pay Act positions flexible until the work on organization planning is much further advanced.

5. Special Positions. The Federal Aviation Agency now has 23 so-called Special Positions for which salaries may be set at levels not to exceed that of GS-18 without regard to the provisions of the Classification Act. It is recommended that the Secretary be furnished with a sufficient number of "Special" positions to meet his needs in organizing the Department. The resolution of this matter will require consultation with the Civil Service Commission.

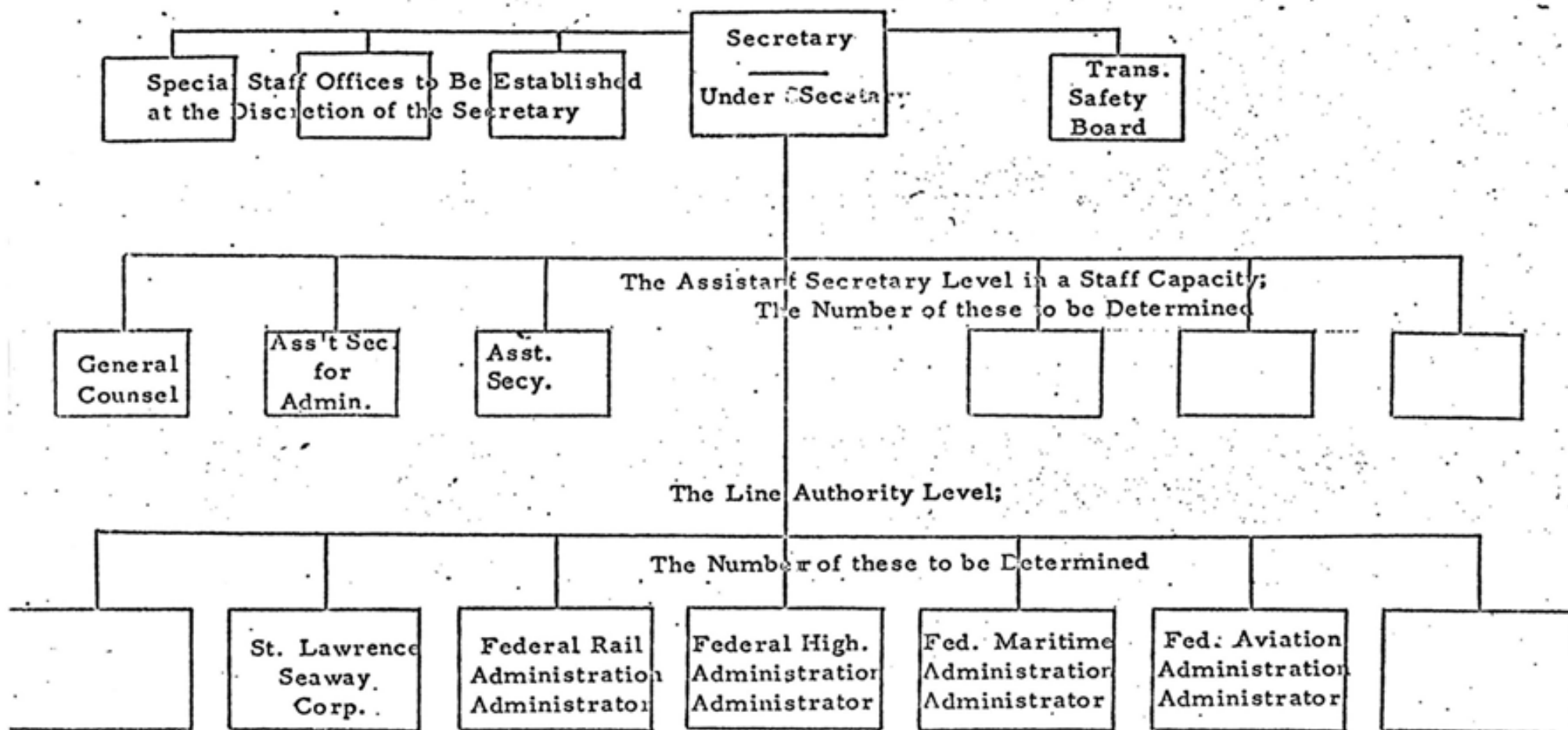
6. Supergrade and P.L. 313 Positions. The Bureau of the Budget staff will consult with the Civil Service Commission concerning any provisions relating to supergrades and P.L. 313 positions which should be incorporated in the legislation.

7. Provision for Heads of the Administrations and their Powers. The existing statutory agencies, administrations, and bureaus to be incorporated in the new Department will be abolished and all their functions and powers transferred to the Secretary. This alternative gives the Secretary the greatest flexibility and would result in the heads of the Administrations being appointed by him.

However, it will be necessary to include language in the Act which will give adequate assurance that operating agencies will not be disrupted and that the Secretary will exercise his powers over the internal organization of the Department with due regard to the impact upon the continuing and effective performance of essential service.

8. Transportation Safety Board. The need for this Board is of course dependent upon a firm decision to move transportation safety functions to the new Department. Should these functions be placed in the Department the Board would be the logical place to handle both the appeal from adverse certificate actions and the determination of probable cause. It is dubious that the Board should itself conduct accident investigations, although the Board should have the power to conduct hearings and request or direct supplementary investigations. It will also have to be decided whether the members of the Board are appointed by the President or the Secretary, and decisions will be needed as to the number of members, their terms of office, their eligibility for reappointment, and the conditions under which they may be removed.

DEPARTMENT OF TRANSPORTATION



The Preceding Organization Chart Was Suggested By Mr. Alan Dean, And Accepted By The Members Of His Sub-Group At a Meeting 1/25/66.

Cover
7/26

URBAN TRANSPORTATION: AN ISSUE PAPER

One of the most complex problems that must be resolved in establishing the Department of Transportation is the division of responsibility between DOT and HUD with regard to Urban Transportation.

Ultimately, DOT should be responsible for the following activities related to Urban Transportation:

- (1) Overall technical criteria for Government investments in urban transportation facilities.
- (2) R&D on Urban Transportation facilities and equipment.
- (3) Detailed planning and engineering of specific systems.
- (4) Urban Transportation demonstration activities.
- (5) Financing the development or improvement of urban transportation systems.

Ultimately, HUD should be responsible for the following activities related to Urban Transportation:

- (1) Overall general planning criteria for Government investment in urban facilities. In the case of transportation facilities, both public transit and urban highways should be under the perview of the department.

- (2) Studies of the inter-relationships between various patterns of urban development and transportation requirements, including development of planning methodology, techniques of system analysis and model building which relate transportation to overall community development.
- (3) Certification of the adequacy of urban development plans, including plans for all forms of urban transportation, as a basis for Federal financial assistance.
- (4) Demonstrations designed to provide information useful in the preparation of plans, and in making planning decisions, including decisions on transportation plans.

It is clear that these responsibilities are highly inter-related and must be carried out in close cooperation between the two Departments if governmental efficiency is to be obtained. Currently, HUD carries out activities in the public transit area which logically should be part of DOT. Similarly, the Bureau of Public Roads is responsible for general urban highway planning, which logically should be in HUD.

Because of the complexity of these interactions, it is proposed that only minimal changes in responsibilities between the two Departments will be undertaken initially. As soon as DOT is created and a Secretary of Transportation named, the heads of the two agencies should undertake joint staff analyses, with the objective of recommending to the President in more precise detail how these several functions should be allocated between the two Departments. A joint report of the two Secretaries, with recommendations, should be made to the President not later than one year after the enactment of the legislation establishing the Department of Transportation. The President should make any necessary reassignments of functions (under authority to be obtained in the legislation authorizing the establishment of the Department) not later than two years after enactment of the aforesaid legislation.

Any demonstration activities underway in HUD (at the time of the enactment of the legislation) relating to technological aspects of urban transportation should be transferred to DOT.

EXECUTIVE OFFICE OF THE PRESIDENT
BUREAU OF THE BUDGET
WASHINGTON, D. C. 20503

18 October 1966

MEMORANDUM FOR: VADM Paul E. Trimble, USCG, Chairman,
Department of Transportation Task Force.

Subject: Designation and duties of Interagency DOT Task Force

1. You are designated Chairman of the interagency Department of Transportation Task Force composed of a representative from each of the following:

Department of Commerce
Federal Aviation Agency
Coast Guard
Bureau of Public Roads
Civil Aeronautics Board
Interstate Commerce Commission
Civil Service Commission
Bureau of the Budget

The head of each agency will designate the member to represent his agency.

I expect you to call on other agencies as necessary to staff the working groups.

✓ 2. The Task Force shall, through such working groups and other arrangements as it determines to be necessary, develop plans and proposals for:

A. Organization and staffing the Department in accordance with the establishing act and related legislative history.

B. Major elements of a personnel program for the Department.

C. Space, furnishings, equipment, supplies, services, and other administrative actions needed to establish the Department.

D. Budget and accounting concepts for the Department.

E. Financing for the remainder of fiscal year 1967.

F. Issuance of executive orders, directives, delegations, and other legal documents needed to establish the Department, and maintain continuity of existing operations.

G. Keeping the public and employees informed on progress in establishing the Department.

3. The Task Force shall be terminated by the Secretary at such time as he determines that it has accomplished its purpose or other satisfactory arrangements are made.



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Congress of the United States

JOINT COMMITTEE ON
THE ORGANIZATION OF THE CONGRESS

(CREATED PURSUANT TO S. CON. RES. 2, 87TH CONGRESS)

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MARY MCINNES
STAFF ASSISTANT

November 14, 1966

Admiral Paul E. Trimble
Assistant Commandant, U.S.C.G.
Coast Guard Headquarters Bldg.
13th and E Streets, N.W.
Washington, D. C.

Dear Admiral Trimble:

Enclosed is the memorandum on potential congressional relationships of the Department of Transportation. I hope you and Mr. Boyd can make some use of it.

I regret to say that I will have to be out of town until the end of the week. I am also enclosing a few random thoughts on the organizational problems to be discussed at the Task Force meetings during the week.

I appreciate very much the chance to meet with you on this most interesting project and look forward to rejoining the Task Force next week.

With kindest regards, I am

Sincerely,



W. Devier Pierson
Chief Counsel

WDP/mj

Enclosures

11/14/66

THE DEPARTMENT OF TRANSPORTATION AND THE CONGRESS

DOT will have the necessary departmental relationships with individual members of Congress on items of interest to them, their districts and/or their constituents. More important, the Department will have continuing contact each session with the following Congressional committees:

1. The legislative committees with jurisdiction over components of DOT for the consideration of department-sponsored legislation and Congressional oversight of the administration of existing laws.
2. The Appropriations Committees and the subcommittees thereof with jurisdiction over DOT's components for the consideration of annual appropriations.
3. The Government Operations Committees for reorganization plans requiring Congressional approval and oversight of the administration of existing laws.

The attached table provides a breakdown of significant transfers to DOT, approximate level of appropriations for fiscal year 1967, committees with legislative jurisdiction and the Appropriations subcommittees with jurisdiction. For planning purposes, the table includes the Maritime Administration although that agency was not transferred. It also lists the urban transportation responsibility pending the one-year study with HUD. It does not project budget needs for the Office of the Secretary, the National Transportation Safety Board or other responsibilities resulting from DOT's creation. Transfers not involving a major Congressional relationship were not included.

The table indicates that DOT will be in contact with a number of committees of both Houses. A more detailed analysis is as follows:

Under Secretary of Commerce for Transportation

A strong and friendly relationship between the Secretary of Transportation and the Commerce Committees of both Houses is of obvious importance. The DOT Act, particularly Sections 4 (b) (2) and Section 7 relating to Congressional approval of national transportation policies and investment standards, insures that frequent contact with these committees is unavoidable as such policies are developed. Most new legislation - such as modifications to automobile safety laws and future transportation research and development projects - will also be referred to the Commerce Committees. A good clientele relationship is to be devoutly wished.

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These committees have for many years had general jurisdiction over the various modes of transportation. There is no likelihood or apparent interest in the creation of a Committee on Transportation in either House.

Both committees have been generally friendly to transportation matters. But attention should be given to cultivation of new committee members. For example, there will be two vacancies on the Senate Committee in the 90th Congress from Senator Neuberger's retirement and Senator Bass's defeat. The party ratio may shift because of the Republican Senate gain of three so that one vacancy may be filled by a Republican.

Jurisdiction for general transportation appropriations is with the State, Justice, Commerce and Judiciary Subcommittee of both Appropriations Committees. The appropriations situation will be discussed later in this memorandum.

Bureau of Public Roads

The budget for BPR - and particularly the interstate highway system - is by far the largest item in DOT's total budget. Jurisdiction rests with the Public Works Committees. There is absolutely no prospect of Public Works giving up this jurisdiction so that DOT's legislative jurisdiction will be divided between Public Works and Commerce for the foreseeable future.

The relationship with Public Works as the authorizing committee is particularly important because of the Interstate Highway System being funded on a trust fund basis. The basic law provides authorization through 1972 to indicate a commitment to complete the system. However, the Secretary of Transportation will have the responsibility for revising cost estimates and then requesting a level of authorization for subsequent years. This may be a major investment decision. The Public Works Committees have authority to either increase or reduce this authorization - and may authorize for either a single year or for a multi-year basis. This will have substantial impact on BPR contracts.

Since the law provides contract authority, the authorization is the key legislative step. Annual appropriations are on an after-the-fact basis with no discretion to the Appropriations Committee since contract obligations already virtually incurred must be honored. As a result, budget presentations to the Appropriations Committees are not as significant.

The Public Works Committees also have oversight jurisdiction over the highway program. While the Committees have normally not intruded in highway routing decisions, the dispute with Senator Cannon over the California-Nevada route is an example of possible exceptions. Although the Interstate Highway Program itself has been generally popular, highway construction under the Appalachian and similar projects may be more politically volatile in the next session.

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New revenue measures may be required to increase earmarked taxes for the Highway Trust Fund in order to keep it on a "pay as you go" basis. Previous Administration proposals have been rejected and other formulas have been discussed. DOT may wish to sponsor revenue legislation which would be referred to the Ways and Means Committee of the House and the Finance Committee of the Senate. This would involve substantial additional legislative contact.

Federal Aviation Agency

FAA has the largest operating budget in DOT which is a part of the administrative budget funded from general revenues. In view of the FAA Administrator's autonomy in safety matters, the Secretary's major area of control would seem to be budget and investment decisions. The agency has been well funded - primarily because of strong sponsorship by Senators Monroney and Magnuson on both the Commerce Committee and the Independent Offices Subcommittee of the Appropriations Committee. With respect to operating funds and the aid-to-airports program, more difficulty might result from requests for less funds rather than more.

However, there is potential political difficulty looming with respect to FAA construction of a supersonic transport. SST lost rather than gained Congressional support during the past year and the attitudes of new members are unknown. Some members feel it has too high a national priority. There was talk of a specific authorization bill for the SST - which would have forced the issue. The Administration successfully opposed such a bill and it would appear wise to avoid such an authorization which would focus on the controversy. This also indicates that there is little to gain and potential danger in an overall FAA authorization.

Civil Aeronautics Board

Since most CAB functions remain independent of DOT, little legislation is foreseen in the near future. It is anticipated that the entire CAB budget will still be handled by the Independent Offices Subcommittees.

Interstate Commerce Commission

The ICC safety functions will be the nucleus of the new Federal Railroad Administration and little immediate legislation is foreseen. In the event new projects such as high speed rail are eventually handled by FRA, its legislative responsibilities would increase.

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Automobile and Highway Safety

The DOT Act does not specify whether the activities of the National Traffic Safety Bureau and the National Highway Safety Bureau - separately or on a consolidated basis - will be conducted under the direct supervision of the Secretary or by the Federal Highway Administration. If the activities are consolidated, there will be a division of legislative jurisdiction between the Commerce and Public Works Committees. The competition for this jurisdiction became evident this year when the Automobile Safety Bill was divided into two bills in the Senate in order that the Public Works Committee could keep highway jurisdiction. This would seem to cause some difficulty in subsequent safety proposals and it seems desirable that an agreement be reached to that the Commerce Committees may eventually take jurisdiction over the field.

Since Appropriations in either instance would be handled by the Senate, Justice, Commerce and Judiciary Subcommittee, there would be no jurisdictional difficulty. Although the Safety Act is a low budget item, the appropriation for 1967 was well below the authorization provided in the law. Care should be taken next year to obtain a level of funding more consistent with the importance of this new program.

Coast Guard

This is the only DOT component with an annual authorization. The authorization has been authorized by the House Merchant Marine and Fisheries Committee and the Senate Committee spends much less time considering it. The Coast Guard feels the authorization is helpful because of the strong clientele relationship which has been developed.

Consideration was given this year by the Joint Committee on the Organization of Congress to recommended the abolishing of the House Merchant Marine and Fisheries Committee and the consolidation of its jurisdiction into the Commerce Committee. However, the proposal was abandoned in the face of pressures from Committee members and the maritime industry. It is extremely unlikely the proposal will be resurrected as a floor amendment in the Reorganization Bill to be considered next session. Such consolidation might have proved beneficial to DOT since it would encourage consideration of Maritime activities in the context of other transportation matters.

Jurisdiction over Coast Guard Appropriations is with the Treasury - Post Office Subcommittee. Other than the fact that the subcommittee has a comparatively small workload, this jurisdiction seems unrealistic in view of the transfer to DOT. It is impossible for that subcommittee to consider the appropriation along with other transportation funding requests. However, the Coast Guard is a popular item with the subcommittees in both Houses and change is unlikely in the next session.

Maritime Administration

DOT may wish to make the inclusion of the Maritime Administration a major part of its legislative program - perhaps in 1967. Senator Magnuson has announced he will begin hearings on the proper location of the Maritime Administration in January. The House is the more difficult battleground. However, the Senate also has reservations about inclusion of the subsidy function as evidenced by the DOT bill as it passed the Senate.

Although the attitudes of the House Merchant Marine and Fisheries Committee and the Senate Commerce Committee would be persuasive, the reorganization plan would be considered by the Government Operations Committees of each House. The Secretary is well aware of the legislative problems in the House Committee.

Urban Transportation

The one-year study to be conducted in conjunction with HUD could result in the inclusion of this function in DOT. Urban transportation legislation is presently handled by the Banking and Currency Committees. Appropriations are handled by the Independent Offices Subcommittees since HUD has been historically under the jurisdiction of that Subcommittee as an outgrowth of HEFA. In the event it is determined that the transportation aspects of this field are pre-eminent, it would be logical for the Commerce Committees to assume jurisdiction. This may involve a jurisdictional dispute with Banking and Currency.

Appropriations

Responsibility for DOT appropriations is sharply divided between the State, Justice, Commerce, and Judiciary Subcommittee and the Independent Offices Subcommittee. Since Appropriations Subcommittees of both Houses are so autonomous and full committee markup produces so little change from subcommittee recommendations, this is not a division which is bridged at the full committee level. Unless subcommittee jurisdictions are realigned, one subcommittee (S.J.C. and J) will consider general transportation projects and highway matters, including the Interstate Highway System financing, while another subcommittee (Independent Offices) will consider FAA, CAB, ICC and urban transportation projects. A third (Treasury, Post Office) will consider the Coast Guard Appropriation. Obviously, no one subcommittee can become the pre-ennial appropriations sponsor for all of DOT's activities under this division.

Chairman Mahon has given some consideration to restructuring the House Appropriation subcommittees because of HUD and DOT. The Independent Offices Subcommittee has become enormously overworked - its area of responsibility includes HUD, NASA, FAA and the Veterans Administration as well as

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smaller agencies. But each subcommittee - and particularly its chairman - is extremely jealous of its jurisdiction. Revamping the structure will be most difficult. The Senate, while it is not required to do so, will follow the lead of the House and will take no action unless the House subcommittees are reconstituted.

The present division seems unfortunate. Innovative new legislation should ideally be considered in the context of existing programs of the various modes. The Interstate Highway System funding creates less problem because appropriation action is not as significant in view of contract authority under substantive legislation.

It is not a critical problem for the present. In fact, a case can be made for the "divide and conquer" theory - that a higher level of appropriations can be secured by separating the requests for funds among a number of subcommittees. This would seem less valid in DOT's situation because its present programs subject to annual appropriations are not particularly costly from an overall budget standpoint and a continuously sympathetic ear for the funding of new programs is of more fundamental importance.

One solution would be the creation of a new subcommittee on Commerce and Transportation to consider items from those two Departments. This would greatly relieve the workload of the Independent Offices Subcommittee.

While the Secretary may wish to make recommendations to Chairman Mohon - and they should be made before January - this will eventually become an internal committee decision beyond DOT's control.

Miscellaneous

In addition to the legislative and committee relationships described above, additional responsibilities imposed on the Secretary by various sections of the DOT Act will probably require appearances before other committees. Responsibilities imposed by Section 4 (a) with respect to Labor - Management relations may bring him before the House Committee on Education and Labor and the Senate Committee on Labor and Public Welfare. The strong admonition under Section 4 (f) for consultation with the Secretaries of the Interior, Housing and Urban Development, and Agriculture, and the states on measures involving natural beauty - coupled with the requirement to refrain from the use of public parks, recreational areas and refuges if at all possible - will very likely require appearances before the Interior, Agriculture and Banking and Currency Committees of both Houses. Transportation mergers may well involve the Secretaries with the Judiciary Committee. Obviously, transportation problems cut across the jurisdiction of so many Congressional committees that the Secretaries' legislative contacts will necessarily exceed departmentally-sponsored legislation and annual appropriations.

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Water Resource Projects

This is an extremely important and highly sensitive area. The exclusion in Section 7 of water resource projects from transportation investments in which the Secretary may develop standards and criteria and the statutory recognition of the present rate method of economic evaluation of water resource projects combines to make effective DOT participation most difficult. However, the Secretary can be expected to actively participate as a member of the Water Resources Council in the consideration of navigation features. This should also involve appearances before the Public Works Committees of each House and the Appropriations Committees funding the projects.

Amendment of Section 7 may well be an eventual part of the DOT legislative program. The success of such an effort would probably require some shift in membership of both Houses and certainly could not be considered during the next session.

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Assistant Secretary for Administration

I have no comment here except the feeling already indicated that the Office of Program and Budget Review should not be included under the jurisdiction of this Assistant Secretary. 11

General Counsel

The functions of the General Counsel are largely self-explanatory. However, the point was made both in Congressional hearings and in the Committee report that DOT should have an Office of Transportation mergers so that the Secretary would be adequately informed on the transportation implications of a proposed consolidation. It would seem logical to house such an office under the General Counsel since he would have responsibilities in coordination with the Department of Justice and FTC. Of course, economic background on mergers might well come from the Office of Transportation Policy Planning and general information from the Office of Industrial and Governmental Relations.

I hope this has not rambled too much since I am dictating it before leaving and will not have an opportunity to see it in transcribed form.

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I believe there is considerable merit in placing responsibility for proper contacts with Congress, the public, industry, other levels of government and other agencies of the Federal government under the supervision of an Assistant Secretary who can coordinate these activities. DOT cannot afford to take a public position in one of these sectors which is inconsistent with that in another.

Assistant Secretary for Special Projects

It was suggested last week that one assistant secretary should be chosen as a generalist rather than because of background in the specific areas under his jurisdiction. This makes considerable sense. I have designated this proposed roving shortstop as Assistant Secretary "for Special Projects" in the hope that a better name can be found.

It would seem acceptable to place responsibility for the Office of International Transportation Affairs and the Office of Emergency Transportation under the supervision of this Assistant Secretary. It was noted that these activities should not by any means command the full time of an Assistant Secretary - they are expected to operate on a relatively autonomous basis. However, their inclusion under the jurisdiction of any of the three other assistant secretaries would seem to overload their responsibilities and I propose they be included here.

However, the main thrust of this Assistant Secretary's mission would be special assignments from the Secretary and Undersecretary which require immediate attention at the secretarial level. Possible examples are transportation labor disputes, assistance to the Secretary on important projects before the Water Resources Council, the Urban Mass Transportation study, coordination with the Departments of Interior, HUD, and Agriculture on use of national parks, recreational areas and preserves as required under Section 4 (f), coordination with the Department of Commerce on the Appalachian Regional Commission, etc.

The concept would be that some of these responsibilities might normally fall within the jurisdiction of other offices or another assistant secretary - such as Transportation Policy Planning or Industrial and Governmental Relations - but that this Assistant Secretary would act as a general trouble-shooter at the Secretary's discretion. Since all assistant secretaries are staff rather than line positions, this would not seem inconsistent with the general organizational framework.

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Although this Assistant Secretary would doubtlessly be concerned in part with safety matters, it would seem unwise to specify safety in designation of his position. The law is most explicit in assigning safety functions to the National Transportation and Safety Board and to the modal administrations. Designating an Assistant Secretary for Safety under these circumstances would be unnecessary feather-ruffling.

It would seem logical for this Assistant Secretary and - presumably with an engineering orientation - to supervise a telecommunications office for the purposes discussed last week.

Considerable Congressional attention was also given to the question of noise abatement and minority views were written on the committee report urging the creation of an Office of Noise Abatement. A small office with this function might be acceptable in connection with the much larger commission of the Office of Research and Technology. In the event this is not practical, the obligation for seeking solutions to the noise abatement problem should be stated loud and clear for legislative consumption.

Assistant Secretary for Public Affairs

There was some discussion as to whether a better name could be found. I make no brief for a particular name, but believe the contemplated duties justify the assignment of an Assistant Secretary.

The Department will have considerable contact with Congress for the reasons I have outlined in separate memorandum. There is no question but what the proposed Office of Legislative Affairs will be a busy one. It also seems desirable to place the Office of Public Information under this Assistant Secretary rather than directly under the Secretary.

I was impressed with the argument last week that the proposed Office of General Transportation Liaison should not be a policy-making office but a "communications" office with industry and other levels of government. The name of the office itself seems unfortunate and difficult for the public to understand. I suggest the "Office of Industrial and Governmental Relations" as one alternative. Whatever the name, it would seem essential to have an office which would be in continuous contact with the transportation industry, users, state and local government. As was pointed out, there is also a substantial inter-agency obligation at the Federal level. The Secretary is under various sections of the Act required to consult and work with the Secretaries of Labor, Interior, Housing and Urban Development, and Agriculture. He will also have considerable contact with the independent regulatory bodies, the Water Resources Council, etc.

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With respect to assignments of the Assistant Secretaries, you may wish to consider the following:

Assistant Secretary for Transportation Policy Planning

The objection was raised at the last meeting that transportation policy itself is the reason for DOT and the function of the Secretary. This is true. On the other hand, proper study underlying eventual policy determinations is a key staff function. It would seem to merit the attention of an assistant secretary and the designation for "transportation policy planning" rather than "transportation policy" might be a better indication that he was providing staff assistance to the Secretary, Undersecretary and Transportation Policy Council rather than making the final decision.

The scope of this responsibility is so great that giving this Assistant Secretary responsibility over several additional offices - such as the Agency Transportation or International Transportation Affairs - would seem unwise. His basic function should be over the Office of Transportation Policy Planning.

However, it does seem that this is the logical location for the accumulation of external statistical data from other government agencies and private industry. Much information must be accumulated by the Office of Transportation Policy Planning in order to plan on an informed basis. I suggest designating a Bureau of Transportation Statistics to be under the jurisdiction of this Assistant Secretary and to act as a collecting point for information the Secretary needs. The Assistant Secretary might well have the responsibility of seeing that information, as needed, was also collected from the Office of Research and Technology, the Office of Industrial and Governmental Relations (proposed later), the Office of International Transportation Affairs, etc.

From the standpoint of good Congressional relations, consideration might also be given to either the creation of an Office of Passenger Transportation or a strong statement assigning this responsibility to the Assistant Secretary for Transportation Policy Planning. Consideration was given to the statutory creation of such an office and the committee report specified its expectation that responsibility for studying passenger transportation problems will be carried on at the highest possible level in the Department.

Assistant Secretary for Research and Technology

There is no question that Congressional intent was that opportunities for coordinating the research activities of the transportation matters - both from the standpoint of safety and technological advancement - was an important reason for the Act. It seems to clearly justify the attention of an Assistant Secretary who would supervise the activities of the Office of Research and Technology.

11/14/66

MEMORANDUM:

TO: Admiral Paul E. Trimble, Assistant Commandant, U.S.C.G.

FROM: W. DeVier Pierson, Chief Counsel, Jt. Cmte. on the Org. of Congress

RE: Organization of the Office of the Secretary, Department of Transportation, and assignments of Assistant Secretaries.

Since it will not be possible for me to meet with the Task Force this week, I submit the following comments for your consideration. Attached is an organizational chart of the Secretary's office in line with these comments. It does not include a number of items which would naturally be added to the total chart.

Transportation Policy Council

I believe that a single Council is more desirable than two committees operating at this level. The distinction between fundamental policy decisions on transportation needs and the allocation of financial resources to meet these needs can be overdrawn. Decision making is often a blend of both. The "cabinet" concept of making a critical examination of high-level policy decisions by a Transportation Policy Council - a composite of the leadership of the Secretary and the Undersecretary with the individual expertise of the modal administrators - seems an ideal approach to DOT's principal assignment of leadership and coordination. I fear that division of this responsibility by the creation of a second council or committee would be unrealistic and artificial.

Office of Program and Budget Review

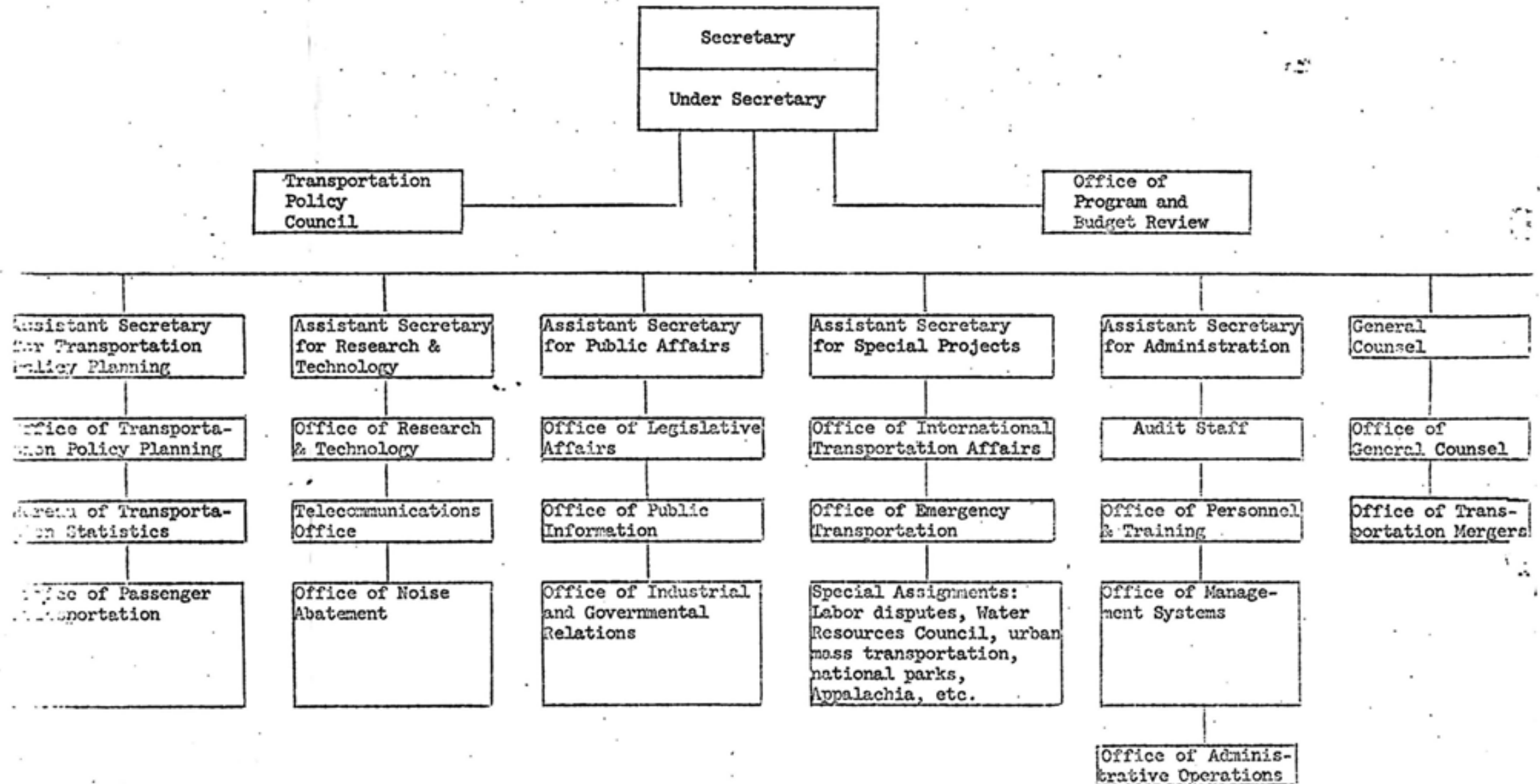
I am a strong advocate of placing this Office and its responsibilities under the planning-programming-budgeting concept directly under the Secretary and Undersecretary rather than the Assistant Secretary for Administration. This is not a comptrollers office. It is a key tool in policy making and should work in close support of the Transportation Policy Council. Its inputs will come from the Office of Transportation Policy Planning, the Office of Research and Technology and the PPB units of the modal administration. While it is quite true that many decisions cannot rationally be made on a cost-effectiveness basis, the opportunity to accept or discard the conclusions should flow uninterrupted to the Secretary, Undersecretary and Transportation Policy Council. It would seem that immediate supervision of this Office might well be a stated function of the Undersecretary.

DEPARTMENT OF TRANSPORTATION

Congressional Committee Jurisdictions

<u>Transfers to DOT</u>	<u>Appropriations Fiscal Year 1967</u>	<u>Legislative Jurisdiction</u>	<u>Appropriation Subcommittee</u>
Under Secretary of Commerce for Transportation (including high speed ground and trans- portation R&D)	\$ 25,000,000	Commerce	State, Justice, Commerce and Judiciary
Bureau of Public Roads	4,188,000,000	Public Works	State, Justice, Commerce and Judiciary
(Trust Fund Revenues)	_____	Ways & Means (House) Finance (Senate)	_____
Federal Aviation Agency	904,000,000	Commerce	Independent Offices
Civil Aeronautics Board (safety functions)	3,400	Commerce	Independent Offices
Interstate Commerce Commission (safety functions)	5,000	Commerce	Independent Offices
National Traffic Safety Bureau	10,000	Commerce	State, Justice, Commerce and Judiciary
National Highway Safety Bureau	10,000	Commerce	State, Justice, Commerce and Judiciary
Coast Guard	492,000,000	Merchant Marine & Fisheries (House) Commerce (Senate)	Treasury - Post Office
Maritime Administration	310,000,000	Merchant Marine & Fisheries (House) Commerce (Senate)	State, Justice, Commerce and Judiciary
Urban Transportation	135,000,000	Banking & Currency	Independent Offices
Reorganization Plans	_____	Government Operations	_____

OFFICE OF THE SECRETARY
DEPARTMENT OF TRANSPORTATION



UNITED STATES GOVERNMENT

FEDERAL AVIATION AGENCY

Memorandum

DATE: June 8, 1966

Discussion with Alan Boyd regarding
SUBJECT: the functions and organization of the Office of
the Secretary of Transportation

FROM : Associate Administrator for Administration

TO : Files

The following notes are from a discussion with Alan Boyd on Wednesday,
June 8, 1966.

1. I initially informed Alan of the steps being taken to organize a full-time task group to inventory the functions of the Office of the Secretary of the Department of Transportation, to present alternative groupings of these functions in secretarial offices and to develop clear-cut statements of the respective roles of the operating agencies and the Secretary's office in each policy, program and administrative area. Alan generally concurred in the arrangements being set up and a time schedule looking toward some preliminary documents for review being available around the end of June.
2. "I also indicated that the task group would be guided by the over-all concepts of the organization and management paper and that because of the heavy burdens expected to be placed on the Secretary we intended to be careful about imposing on his office functions better performed in the operating agencies. In other words, the burden of proof would be on the assignment of a responsibility or function to the Office of the Secretary. Alan strongly endorsed this approach. He said that he thought the Secretary should deal with the long range over-all matters of transportation policy and program, with major resource allocation matters and with such external affairs as congressional liaison and public relations. He felt that the Secretary should definitely not get into the details of operations best left to the modal administrations."

3. Alan suggested that special attention be given to arrangements for supporting advisory committees and industry groups established to assist the Department. This would include support of conferences held in connection with departmental matters. I pointed out that this was an essential function of the Secretary and that it could either be performed out of the Executive Secretariat or through some office of industry relations or the equivalent. Alan suggested that we consider alternatives for meeting this need.
4. Alan stressed the importance of congressional liaison. He agreed that this was one function of the Department in which the Secretary should take unquestioned leadership with the operating administrations only handling those portions of the congressional liaison job as were clearly appropriate for performance at the administration level. He especially emphasized the importance of quick response to congressional communications and a willingness to give firm, clear answers. He stated that he was occasionally embarrassed by the long period of time it took for letters of reply involving congressional mail to get to him for signature. He said that the Congressional Liaison Staff must really know what is going on because frequently what the Congressman wants is a good firm no which he can relay to constituents who are pushing him on a matter.
5. Alan also stressed the public information function as being particularly important to the Secretary. He thought that during the early months of the Department there should be a stream of press releases, photographs and other materials indicating tangible evidence of progress in transportation matters, including cooperation between the various operating administrations. He suggested a potential key member of that staff. He also indicated that the Secretary will have an urgent need for good speech writers and that provision should be made for this function.
6. We discussed the importance of information and data systems keeping to keep the Secretary informed on major matters of policy and program accomplishment. He said that a Mr. Gunther, who is a consultant to Scheff Lang, will be calling me at Alan's direction to discuss this matter.

7. We talked about the organization of motor vehicle safety functions and Alan confirmed what I had previously told Bridwell and Haddon, namely that these functions should fit under the Federal Highway Administrator. (Not to be confused with the present Bureau of Public Roads.)
8. We discussed the potential of the Aeronautical Center, and particularly the desirability of creating at an early date a consolidated DOT Medical and Human Factors Research Center utilizing the CAMI Building at Oklahoma City. I pointed out that this research facility would probably have to report directly to an assistant secretary concerned with research and technology. Alan agreed that this approach was desirable.
9. Alan feels strongly that there should be some kind of board of directors which would get the assistant secretaries and heads of modal administrations together frequently during the early months of the Department. He feels that this will help create a one DOT approach on the part of the key officials of the Department. He also thinks it would be appropriate to move staff from the operating administrations to various key positions in the Secretary's office and then return them after tours of two years or so. I pointed out that this made a lot of sense and that there were no serious obstacles to working out such an arrangement.



Alan L. Dean

Dave Laith, Coast Guard Commander

Byron Napp, from Mackey's office

Bud Olson - FAA

Discussion
with
Kord.

Notes

1. PR man. Tom

Gary (was BPI
& ATA) - Good
man. Might
be set up section

1. Gentle on dtd
systems

2. See support
to conference
& advisory com

3. Congressional
Liaison. Need
for adequate staff
Need to know what
Congress wants

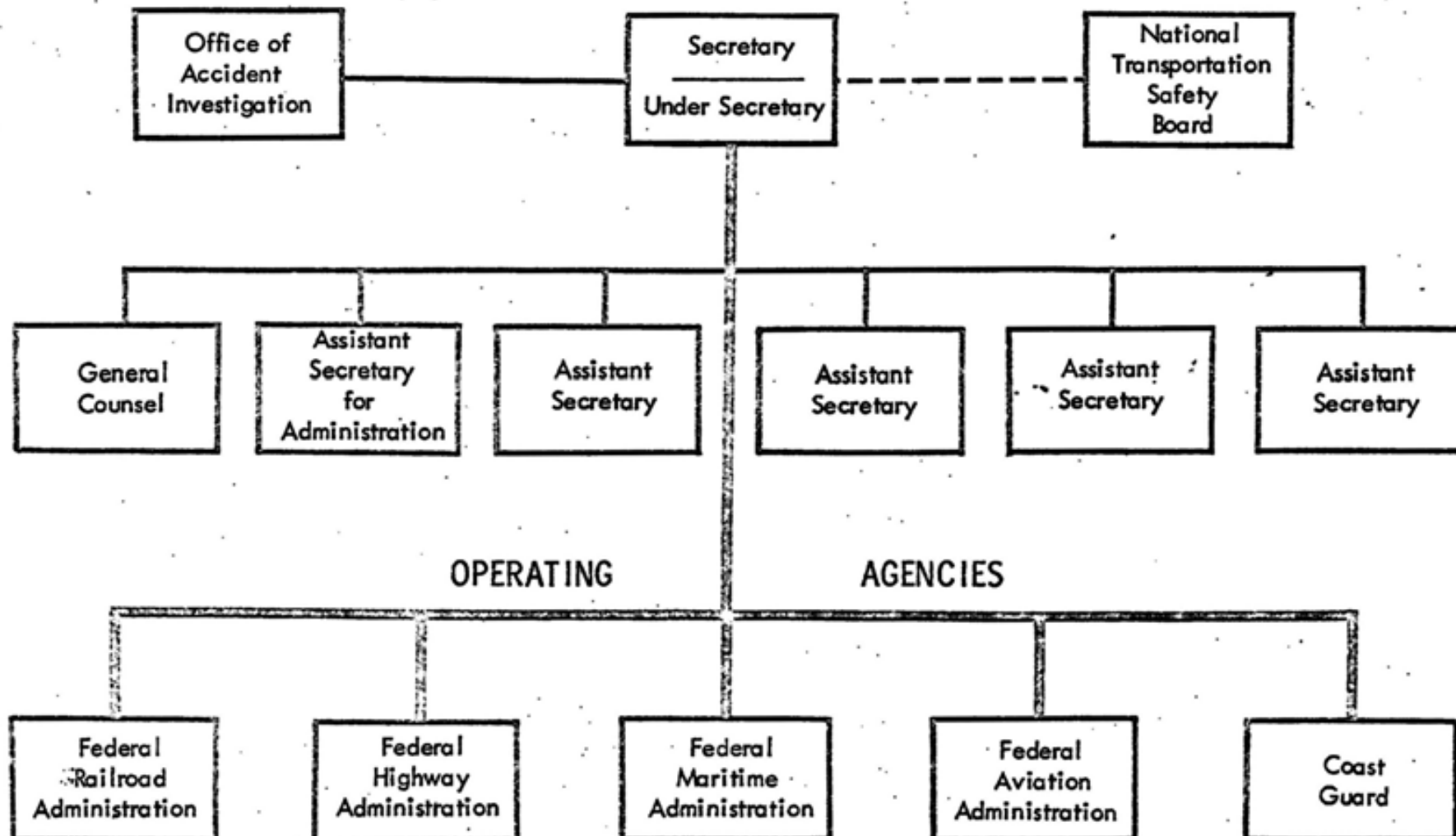
5. Public Information
function good speaker
writers

6. See should
deal with the
long range overall
matters, Cong.
reason, resource
allocation,

7. Strong PR
set up. Emphasis
on... for...

6-29-66

DEPARTMENT OF TRANSPORTATION



INT. AFFAIRS

30-01

Mr. Rex M. Whitton
Federal Highway Administrator

November 8, 1966

32-03

A. F. Ghiglione A. F. Ghiglione
Deputy Director for Operations

BPR Foreign Activities

In accordance with your request there is attached a brief summary of our foreign activities during the 1966 fiscal year. You will note that I have included a discussion of the Inter-American Highway and Central American country activities on pages 6 through 8. In all of these foreign activities we employ many local native laborers, technicians, and engineers. For instance, in Yemen, we at one time had 1,700 Yemeni on the project payroll.

The attached tabulation shows only those personnel brought into the country by Bureau of Public Roads.

Attachment

cc:
Foreign Projects Div. ✓
Inter-American
Chron
Reader File - 911

AFGhiglione:abf 11-8-66

BRIEF REPORT OF ACTIVE FOREIGN PROJECTS

AS OF NOVEMBER 1, 1966

BRAZIL

The Bureau of Public Roads is operating in Brazil under a Participating Agency Service Agreement with the U.S. Agency for International Development. The country, being very large in land area, is divided in two parts, South and Northeast.

South Brazil (Headquarters - Rio de Janeiro)

1. Highway Construction Program. There are three construction projects of grading and paving, a total of 647 kilometers underway this year.

Total estimated cost: \$63,000,000

2. Highway Maintenance Program. Developing a mechanized highway maintenance program involving purchase of equipment and spare parts, establishment of shops and warehouses and operation.

Total estimated cost: \$17,100,000

BPR Personnel: 5

NOTE: The USAID and Brazilian officials have been insisting on the establishment of a "high level" BPR team of five top engineers, GS-16 and GS-15 grades, to assist top administrators of Brazil in the reorganization and operation of a countrywide highway department. Loan funds are being made available.

Northeast Brazil (Headquarters - Recife)

1. Construction consists of grading, surfacing and paving (572 kilometers of grading and surfacing, 406 kilometers of which is paving).

A loan of \$18,400,000 and an AID grant of \$2,000,000

2. Development of mechanized maintenance and purchase of equipment for each of the nine Northeast States. About 65 percent of equipment is of Brazil manufacture and 35 percent U.S. manufacture. Approximately 16,000 kilometers of "seasonal" roads are to be converted to "all weather" roads.

AID loan: \$20,000,000 - Cruzeiro loan equivalent: \$2,700,000

3. Feasibility study on three principal highways.

AID grant: \$350,000

BPR Personnel: 20, but 4 positions vacant

4. Participant training. Eighty Brazilian engineers have spent about six weeks in the United States inspecting State highway construction and maintenance during the operation of this program. The BPR engineers and State highway departments arranged trips.

BURUNDI (Headquarters - Bujumbura)

Under a BPR Participating Agency Service Agreement with USAID, a maintenance and training program is underway. This consists of purchase of needed equipment and tools, establishment of repair shop and warehouse and training of Nationals.

Current PIO/C: \$325,000

1967 FY PIO/T: 58,000

BPR Personnel: 2

LAOS (Headquarters - Vientiane)

Under a BPR Participating Agency Service Agreement with USAID, a force account construction, maintenance and training program is underway. The force account construction consists of grading, draining and surfacing 275 kilometers from Vientiane (Government of Laos capital) to Luang Prabang (Royal capital). The training of Laotian Nationals is stressed, and a force account construction program is admirably suited to carry out classroom and "on-the-job" training.

Estimated cost, AID financed: \$10,000,000

PIO/T, AID financed: \$1,000,000

BPR Personnel Approved: 50 - now 2 vacancies

PERU (Headquarters - Lima)

Under a BPR Participating Agency Service Agreement with USAID, the projects consist of BPR engineers acting as advisors to the Peruvian Highway Department and in inspecting and monitoring construction projects and feasibility studies.

During fiscal year 1966, Peru had 650 kilometers under construction at an estimated cost of \$525,000,000.

In fiscal year 1967, USAID and Export-Import Bank are jointly financing a 235-kilometer construction project from Tarapato to Rio Nieva for \$35,000,000. The total cost is expected to be about \$43,400,000.

BPR Personnel: 3 engineers

PHILIPPINES (Headquarters - Manila)

This is one of the oldest projects now operative and started as a rehabilitation program after World War II. A \$15,000,000 Development Loan Fund loan for highway maintenance equipment is now 95 percent complete. The Philippine Government has requested the extension of BPR participation until December 1967, then the program will phase out, turning operations over to the Philippine Highway Department.

BPR Personnel: 4

SUDAN (Headquarters - Khartoum)

Under a BPR Participating Agency Service Agreement with USAID, the work consists of BPR personnel acting as advisors to the Government of Sudan on two small force account projects. One construction contract for grade, drain and asphaltic surfacing on 183 kilometers of highway from Khartoum, south to Wad Medani. Contract started as 35 percent USAID funds and 65 percent counterpart funds (PL 480) for a total of about \$5,000,000. Under new contract terms, the job will now be finished with an AID grant of about \$3,000,000.

BPR Personnel Now: 5

but under new contract, probably: 15

YEMEN (Headquarters - Taiz)

Under BPR Participating Agency Service Agreement with USAID, the project was Road Construction, Maintenance and Training. The construction phase consisted of 421 kilometers of standard grade, drained and surfaced highway, completed this year. Due to inability of the Yemen Government to finance maintenance, the BPR had to do the work. Now, an account has been established under a joint type of administration whereby Yemen finances the labor required. Since this was a force account type of construction, "on-the-job" training of Nationals was well accomplished, except in the top echelon area. There were no top caliber Yemeni to train, sometimes because of their short tenure of office.

Total Cost of Road: \$13,000,000

Total Cost of Plant: 6,000,000

Grand Total: \$19,000,000

BPR Personnel (maximum): 45

BPR Personnel Now: 12

DOMINICAN REPUBLIC (Headquarters - Santo Domingo)

This project has had a combination of sponsors. First, four BPR engineers and equipment specialists assisted in organization and training Nationals on use of equipment financed by an Export-Import Bank loan of \$4,000,000. In early fiscal year 1966, the BPR worked under a Participating Agency Service Agreement with USAID on a continuing basis, as local unsettled conditions resulted in interest on loan payment default and the Export-Import Bank withheld credit. The matter has now been resolved.

USAID Grant: \$1,361,000

Export-Import Bank Loan: \$4,000,000

BPR Personnel: 4

Four more positions approved and candidates being recruited.

IRAN (Headquarters - Tehran)

The Bureau of Public Roads furnished technical assistance to the Iranian Government beginning in 1957. The program stresses maintenance and training. Technical BPR personnel are financed by the Government of Iran.

The fourth Export-Import Bank loan of \$4,500,000 has been obligated to December 31, 1966. Due to slow delivery of purchased equipment, a time extension to September 15, 1967, has been requested by the Government of Iran of the Export-Import Bank.

Fourth Export-Import Bank Loan: \$4,500,000

BPR Personnel: 14 (To be reduced to 12 this calendar year.)

BOLIVIA (Headquarters - La Paz)

Under a BPR Participating Agency Service Agreement with USAID, the program consists of a road construction, maintenance and training project.

This operation is just getting underway, and BPR has one temporary-duty engineer and one temporary-duty equipment specialist on the site.

PIO/T's have been approved for fiscal year 1967 as follows:

USAID Grant: \$125,000

USAID Loan: 220,130

Total: \$345,130

New Loan Authorized for Procurement of Equipment:: \$4,000,000

BPR Personnel Approved: 6 (Under Recruitment)

Temporary Duty: 2 on Board

The following projects were closed out in 1966, and no BPR personnel are now in the country:

Jordan

Nepal

Spain

Equipment purchases and/or short term advisory services were carried out in the following countries during 1966:

Argentina

Gabon

Bolivia

Gambia

Paraguay

Togo

Central African Republic

Turkey

Chad

Guyana

CENTRAL AMERICA AND PANAMA - Regional Office Personnel - 6

The Bureau of Public Roads maintains a regional office in San Jose, Costa Rica with division offices in each country responsible for the Inter-American Highway program and other highway programs as detailed below. The Inter-American Highway has been funded two-thirds through BPR appropriation and one-third through Export-Import Bank loans.

BPR - total	\$170,000,000
Country matching	\$100,000,000

The program is nearing completion with work only remaining in three countries as detailed below:

Guatemala - BPR Personnel - 5

Inter-American Highway - 4 years work remaining

BPR	\$8,000,000
Guatemala	\$4,000,000

Nicaragua - BPR Personnel - 4

Inter-American Highway - 1 year's work remaining

BPR	\$1,000,000
Nicaragua	\$ 500,000

Access Road Projects

Construction of approximately 609 kilometers of access and farm-to-market roads in various zones of the country which is being financed by the Inter-American Development Bank. BPR advises and oversees Ministry of Public Works administration of program.

IDB Funds	\$17,062,425
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Plan Vial Program

Construction and reconstruction of approximately 268.5 kilometers of part of the National network of farm-to-market roads. This project is financed by the Development Loan Fund and the Agency for International Development and the Export-Import Bank of Washington. BPR in same advisory and certifying position as above.

DLF Funds	\$4,300,000
Eximbank Funds	\$2,000,000
AID Funds	\$ 190,000

Rama Road Projects

The Rama Road will be completed this year. It has been built with 100 percent United States financing in accordance with an agreement that was originally developed between President Roosevelt and Anastasio Somoza in 1942. To date \$12,850,000 has been appropriated to the State Department and then transferred to the Bureau of Public Roads for this 158-mile highway. BPR administers program utilizing Nicaraguan engineers and personnel.

Costa Rica - BPR Personnel - 11

Inter-American Highway - 4 years work remaining

BPR	\$17,600,000
Costa Rica	\$ 8,300,000

Plan Vial Program

BPR provides technical advice and supervision to the Government of Costa Rica in their plan vial, a program including construction and reconstruction of approximately 670 kilometers of national and regional highways. Improvement of the highway maintenance organization and its operations is also required. The project is being financed in part by the International Bank for Reconstruction and Development, International Development Association, and the Agency for International Development.

IBRD Funds	\$5,500,000
IDA Funds	\$5,500,000
AID Funds	\$2,100,000

Feeder Roads

BPR cooperates with the Government of Costa Rica in the project consisting of construction and reconstruction of approximately 617 kilometers of farm-to-market roads which are being financed in part by the Inter-American Development Bank and the Agency for International Development.

IDB Funds	\$4,000,000
AID Funds	\$1,300,000

Panama - BPR Personnel - 6

Inter-American Highway - 1 year's work remaining

BPR	\$3,000,000
Panama	\$1,800,000

2. Darien Gap (Pan American Highway)

The Bureau of Public Roads represents the United States on the three country committee responsible for surveying the 460-mile missing link in the highway between North and South America.

Finance - Organization of American States \$3,000,000

Memorandum

DATE: December 14, 1966

SUBJECT: Proposed Organization, Office of Public Information

FROM : Charles G. Warnick

TO : Alan S. Boyd
Under Secretary for Transportation

In response to your request, we have prepared a brief summary comparing the proposed DOT Office of Public Information and those in three existing Executive Departments.

For the purposes of comparison, we selected Health, Education and Welfare because it is similar to DOT in total employment; Interior because of its extensive field activities and geographical dispersion; and Labor because of its diverse types of overlapping national programs.

To put the comparison in a general perspective:

- 1) The Department of Transportation will have 90,000 employees; 24 initially are proposed for the Office of Public Information.
- 2) HEW has 99,077 employees; 21 are in the Office of Public Information. The Office's annual budget appropriation is \$248,000.
- 3) Labor has 9,725 employees; 45 serve in the Public Information Office whose budget appropriation is \$520,060.*
- 4) Interior has 63,000 employees; 29 are in the Public Information Office whose appropriation annually is \$170,095.

A precise breakdown of their respective staffing and grade levels is attached. Also attached are the organizational charts of the four Offices of Public Information.

*Almost half of Labor's Public Information employees are engaged in providing art, graphics, exhibit design and construction, and photographic services to the constituent agencies. More than half the budget goes for these visual services.

A more meaningful comparison, perhaps, lies in the relationship between the proposed DOT Office's areas of responsibility and those of the other three Offices. The basic similarity is that in each case, the principal information executive in the Department is the Secretary's key advisor on public information activities and reports directly to him. The following major functions were common to DOT's and the other Departmental Public Information Offices:

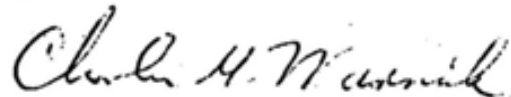
- 1) Providing liaison and general policy guidance to information sections of the constituent operating agencies;
- 2) Preparation of news releases and arrangements for press conferences;
- 3) Preparation of speeches for the Secretary and policy review of speeches to be given by other Department officials;
- 4) Liaison with members of all press media;
- 5) Preparation of various publications, pamphlets, and brochures; and
- 6) Supervision of the Departmental exhibits program.

There appear to be five major differences between the proposed functions of DOT's Public Information Office and those of the three other Departments:

- 1) DOT is the only one of the four primarily responsible for employee information. In the other Departments, this is considered a Personnel function. We included the employee information function as an important part of the Office because we feel it essential to have a well-integrated information program for employees and the general public alike.
- 2) DOT is the only one that provides for the administration of a motion picture program (including slides and filmstrips). While DOT's modal agencies would continue their existing film programs, we included the function to accommodate the occasional requirements to satisfy across-the-board DOT films.
- 3) DOT is the only one that provides for a centralized Speakers' Bureau.
- 4) DOT is the only one that would provide the Department's Annual Report. Apparently this is seen in the other three departments as a Management Services function.

- 5) DOT does not -- like Interior and Labor -- provide for photographic and printing support services. We understand that these will be furnished to the Department by FAA's Publishing and Graphics Division.

Regardless of what the initial structure looks like, we should be willing to change the structure whenever and however the needs of the new Department require. In effect, what we are proposing is an Office of Information which can easily adopt changes dictated by experience.



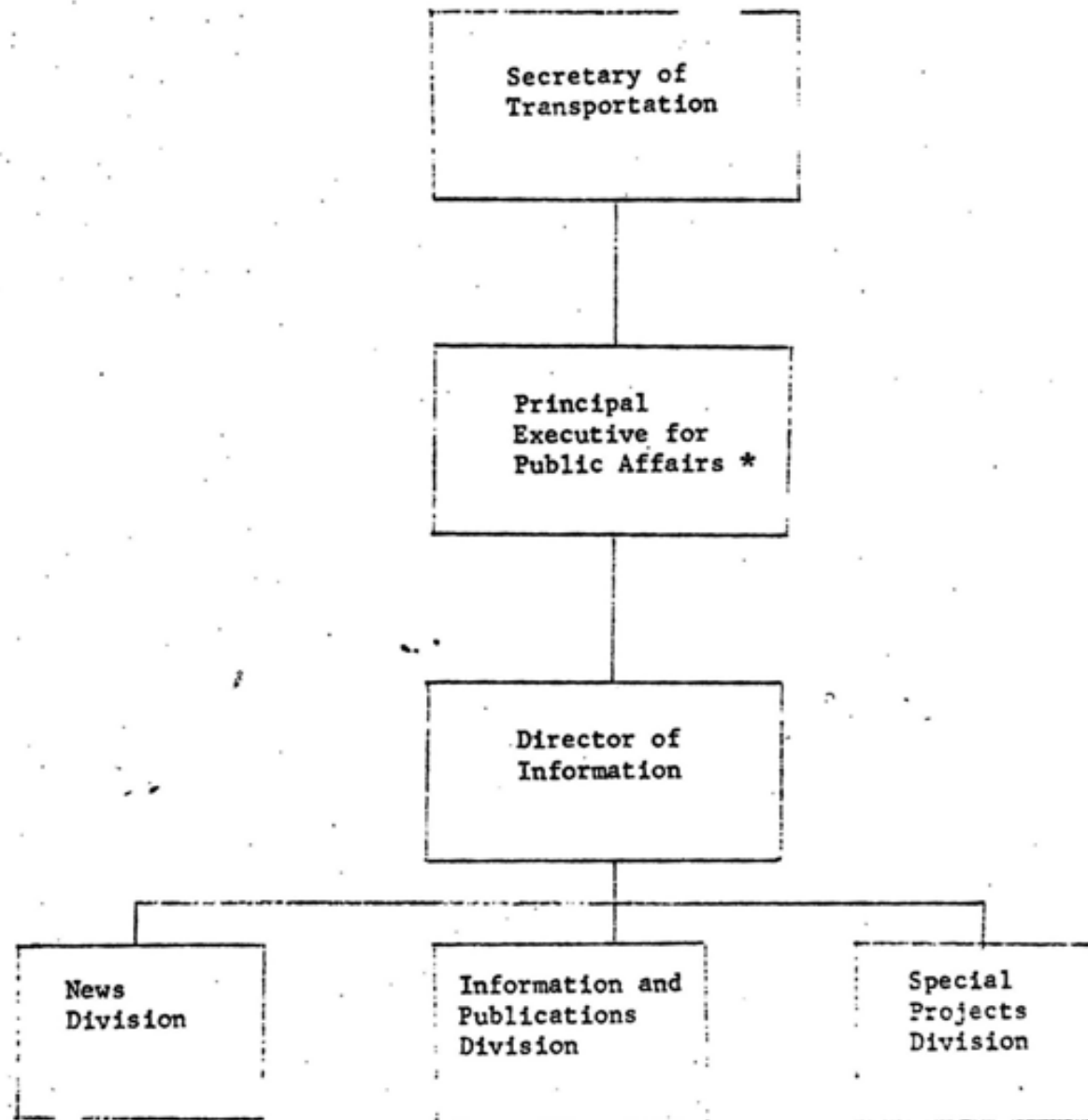
Charles G. Warnick

Attachments

Proposed Organization of Information Functions
Department of Transportation

Principal Executive (GS-18 or executive level)	1
Secretary (GS-10)	1
Director of Information (GS-17)	1
Secretary (GS-9)	1
Administrative Assistant (GS-9)	<u>1</u>
	5
<u>News Division</u>	
Chief (GS-16)	1
Public Information Specialist (GS-15)	1
Public Information Specialist (GS-14)	1
Secretary (GS-8)	1
Information Assistant (GS-8)	1
Clerk-Typist (GS-5)	<u>1</u>
	6
<u>Information and Publications Division</u>	
Chief (GS-16)	1
Writer-editor (GS-14)	1
Writer-editor (GS-14)	1
Secretary (GS-8)	<u>1</u>
	4
<u>Special Projects Division</u>	
Chief (GS-16)	1
Speechwriter (GS-15)	1
Speechwriter (GS-15)	1
Writer-editor (GS-14)	1
Audio-Visual Expert (GS-14)	1
Artist (GS-13 or GS-14)	1
Secretary (GS-8)	1
Secretary (GS-6)	1
Clerk-Typist (GS-5)	<u>1</u>
	9

Total: 24



* This position may be designated Assistant Secretary for Public Affairs, Special Assistant for Public Affairs, or Assistant to the Secretary for Public Affairs.

Organization of Information Functions
Department of Health, Education and Welfare

Assistant to the Secretary for Public Affairs (GS-17)	1
Staff Assistant (GS-14)	1
Secretary (GS-9)	1
Director of Public Information (GS-16)	1
Secretary (GS-9)	1
Staff Assistant (GS-7)	1
Deputy Director of Public Information (GS-15)	1
Secretary (GS-7)	1
Special Projects Officer (GS-15)	1
General Writer (GS-12)	1
Administrative Officer (GS-12)	1
Clerk-Typist (GS-5)	<u>1</u>
	12

Editorial Branch

Chief (GS-15)	1
Writer/Editor (GS-13)	2
Secretary (GS-6)	<u>1</u>
	4

Programs Branch

Chief (GS-15)	1
Secretary (GS-7)	<u>1</u>
	2

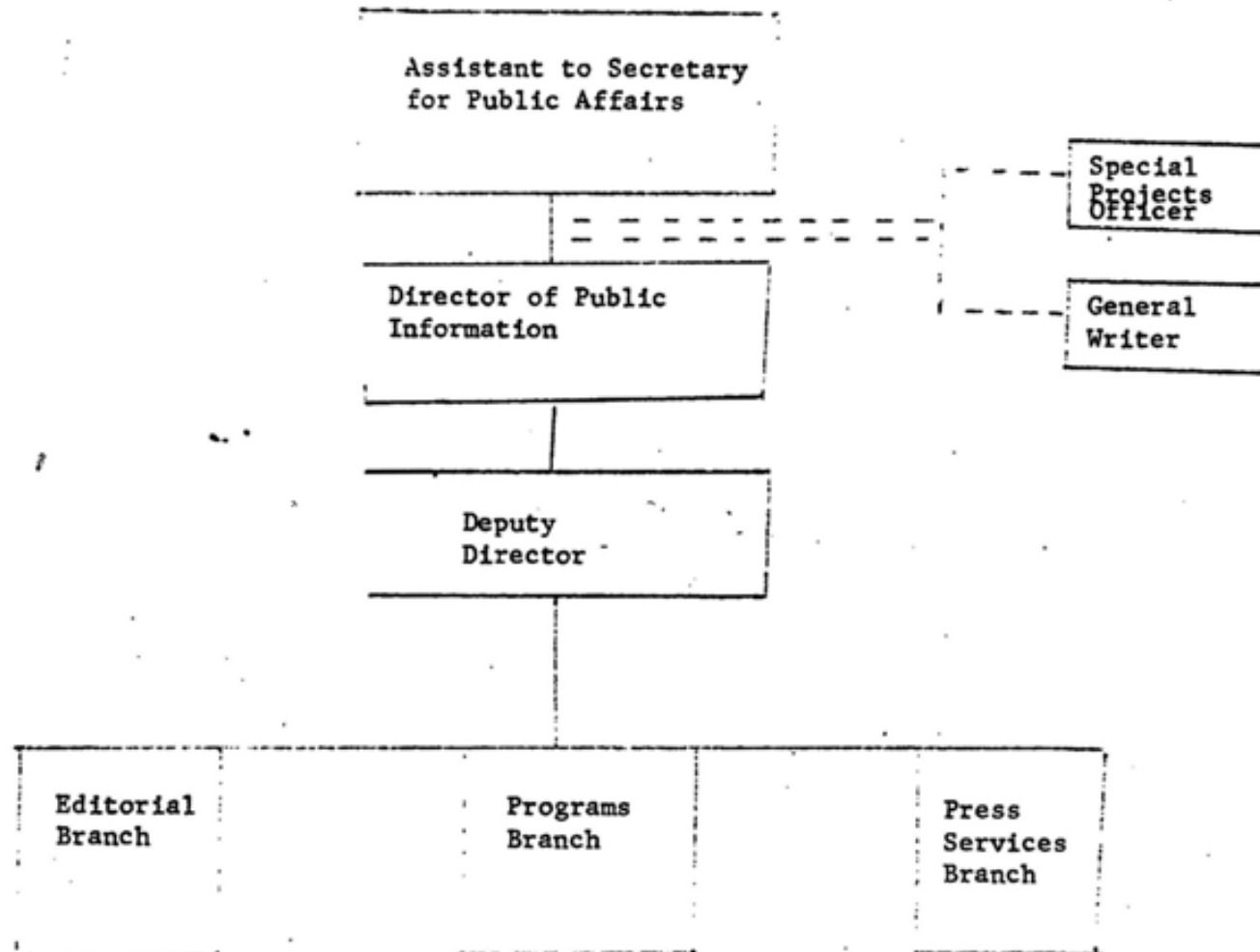
Press Services Branch

Chief (GS-15)	1
Information Specialist (GS-11)	1
Secretary (GS-7)	<u>1</u>
	3

Total	21
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FY 1967 Budget	\$248,000
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DEPARTMENT OF HEALTH, EDUCATION AND WELFARE



Organization of Information Functions
Department of Labor

Director of Information (GS-17)	1
Secretary (GS-9)	1
Deputy Director of Information (GS-15)	1
Secretary (GS-7)	1
Special Assistant (GS-13)	1
Editorial Clerk (GS-5)	1
	<u>6</u>

Editorial Services Division

Writer/Editor (GS-13)	1
Public Information Specialist (GS-13)	2
Writer/Editor (GS-12)	1
Information Specialist (GS-7)	1
Editor (GS-12)	1
Clerk-Typist (GS-5)	1
	<u>7</u>

Publications Division

Editor (GS-13)	1
Editorial Clerk (GS-5)	1
	<u>2</u>

Special Activities Division

Public Information Officer (GS-14)	1
Secretary (GS-6)	1
	<u>2</u>

Administrative Division

Administrative Officer (GS-13)	1
Secretary (GS-5)	1
Clerk-Typist (GS-4)	1
Publications Supply Clerk (chauffeur) (GS-3)	1
	<u>4</u>

(cont'd)

Arts and Graphics Services Division

Branch of Art and Design

Chief (GS-11)	1
Illustrator (GS-9)	3
Illustrator (GS-6)	1
Illustrator (GS-5)	1
Production Specialist (GS-7)	1
Clerk-Typist (GS-4)	1

Branch of Graphics

Chief (GS-9)	1
Supervising Illustrator (GS-7)	1
Draftsman (GS-5)	2
	<u>12</u>

Exhibits Services Division

Chief (GS-13)	1
Supervising Exhibits Specialist (GS-12)	1
Cabinet Maker (GS-9)	2
Illustrator (GS-7)	1
Exhibits Specialist (GS-7)	1
Exhibits Specialist (GS-5)	1
	<u>7</u>

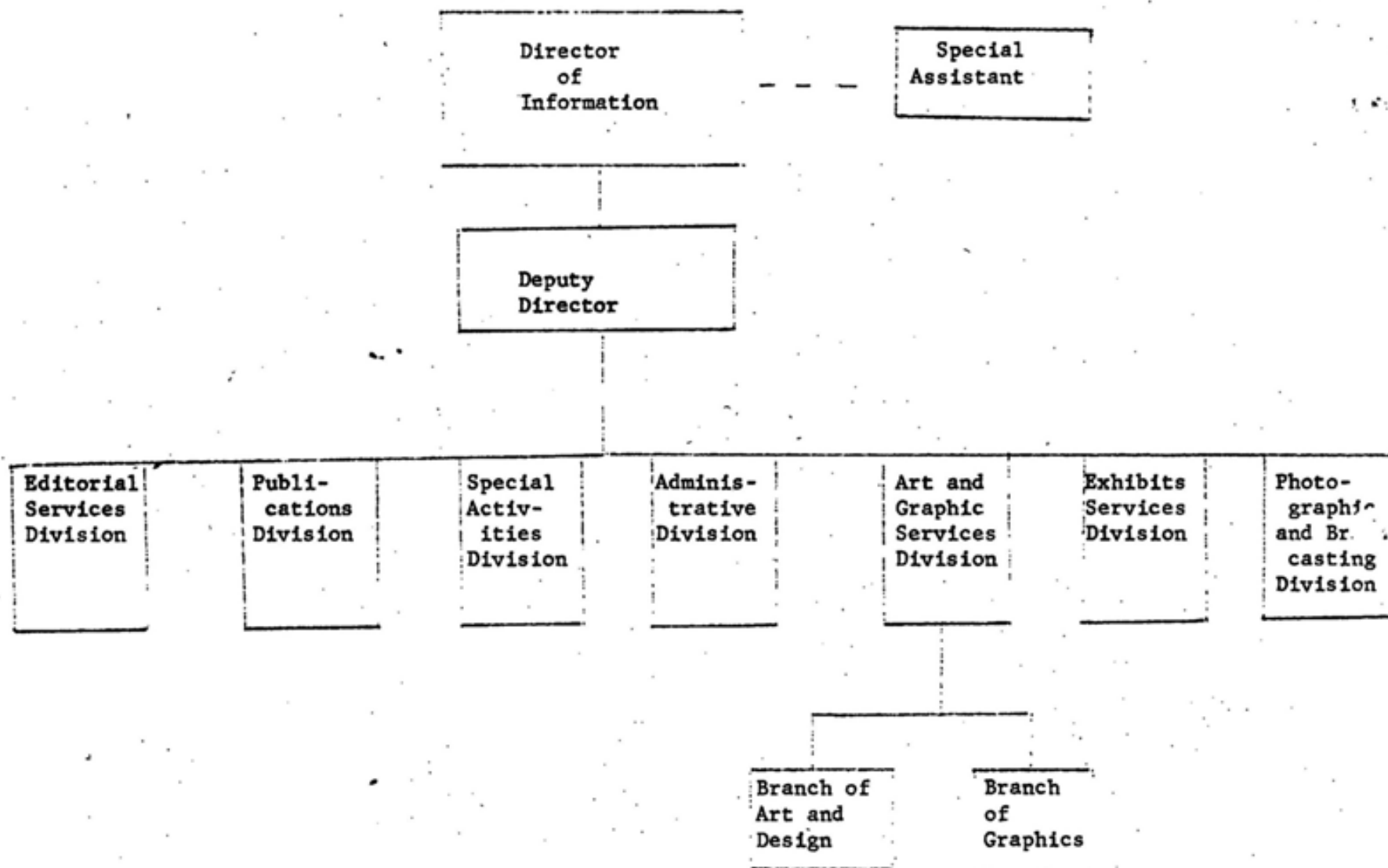
Photographic and Broadcasting Division

Chief (GS-13)	1
Photographer (GS-9)	1
Photographer (GS-6)	2
Photographer (GS-5)	1
	<u>5</u>

Total 45

FY 1967 Budget \$520,060

DEPARTMENT OF LABOR



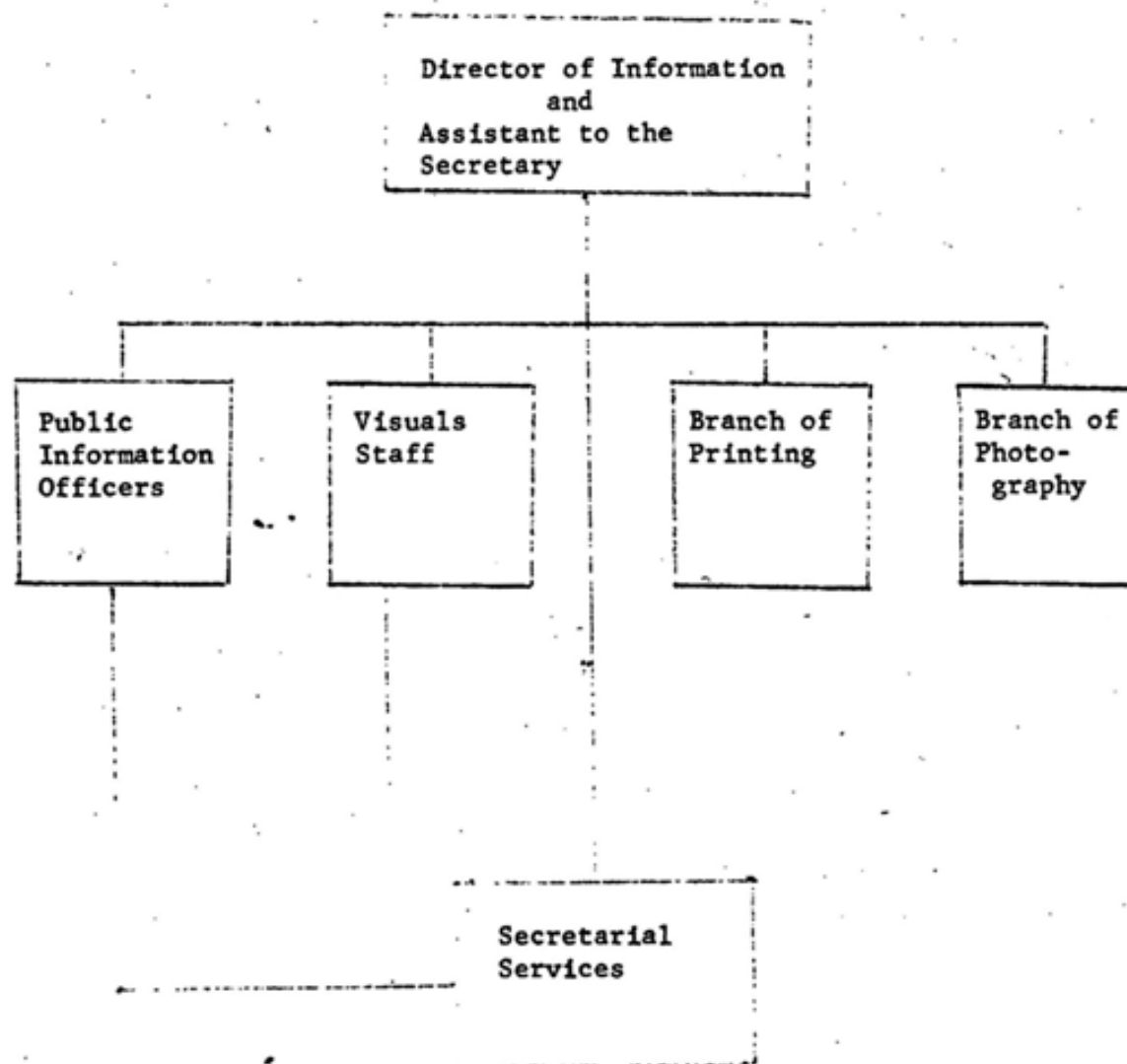
Organization of Information Functions
Department of the Interior

Director of Information & Assistant to the Secretary (GS-18)	1
Deputy Director of Information (GS-16)	1
<u>Secretarial Services (also assist Public Information Officers and Visuals Staff)</u>	
Administrative Assistant (GS-11)	1
Research Assistant (GS-8)	1
Secretary (GS-7)	2
Clerk-Typist (GS-5)	1
Clerk (GS-4)	1
Clerk (GS-3)	<u>1</u>
	9
<u>Public Information Officers</u>	
Public Information Officers (GS-15)	3
Public Information Specialist (GS-14)	1
Public Information Specialist (GS-12)	1
Writer/Editor (GS-7)	<u>1</u>
	6
<u>Visuals Staff</u>	
Visual Information Officer (GS-14)	1
Visual Information Specialist (GS-13)	<u>1</u>
	2
<u>Branch of Printing</u>	
Chief (GS-13)	1
Assistant Chief (GS-11)	1
Assistant to the Chief (GS-9)	1
Printing and Publications Clerk (GS-5)	2
Printing Assistant (GS-5)	1
Clerk (GS-5)	1
Clerk (GS-4)	<u>1</u>
	8
<u>Branch of Photography</u>	
Chief Photographer (GS-9)	1
Photographer (GS-7)	1
Photographer (GS-5)	1
Clerk-Typist (GS-2)	<u>1</u>
	4
Total	29

FY 1967 Budget

\$170,095

DEPARTMENT OF THE INTERIOR



UNITED STATES GOVERNMENT

Memorandum

PO-2

1301

DATE: 2 December 1966

TO : Mr. Charles G. Warnick, Chairman
Information Working Group

FROM : VADM Paul E. TRIMBLE USCG, Chairman
Department of Transportation Task Force

SUBJECT: Proposed organization, Office of Public Information

1. The proposal for initial organization of information functions in the Department of Transportation submitted by your working group has been reviewed by the Senior Task Force. You and the members of your group are commended for the fine work you have done on this project, as indicated by the clarity and depth of your report.

2. Your proposed organization is approved in principal with the following recommended exceptions:

a. In a previous discussion the Task Force recommended that one of the available Assistant Secretaries be designated as Assistant Secretary for Public Affairs with supervisory authority over the Offices of Public Information, General Transportation Liaison and Congressional Liaison. Therefore, it is recommended that the duties and functions of the Principal Executive of the Office of Public Affairs be combined with the Director of Information and assigned to the Director, Office of Public Information. This officer would be the principal advisor to the Secretary on information matters under the general supervision of the Assistant Secretary for Public Affairs.

b. The function assigned to the Office of Information of the keeping employees aware of the activities, plans, and policies of the Department should be clearly described as a news letter type of advisory rather than the formal dissemination of policy to employees through the directive system of the Office of Personnel.

c. The function of maintaining information liaison with industry should be clarified as news issuing rather than the two-way communication responsibility of the Office of General Transportation Liaison.

3. Subject to the above comments the proposed organization chart and staffing schedule is accepted, with the exception that the "Principal Executive for Public Affairs" would be the Assistant Secretary for



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

COMDT (PO-2) memo 1301 of 2 December 1966

Public Affairs and his principal advisor on information matters would be the Director, Office of Information.

Paul E. Trimble

PAUL E. TRIMBLE

Attachment

Approved for Planning

ALAN S. BOYD



THE UNDER SECRETARY OF COMMERCE
FOR TRANSPORTATION
WASHINGTON, D.C. 20230

DEC 6 1936

MEMORANDUM

TO: VADM Paul E. Trimble USCG, Chairman
Department of Transportation Task Force

FROM: Alan S. Boyd
Under Secretary for Transportation

SUBJECT: Proposed Organization, Office of Public Information

Please ask Mr. Warnick to develop a brief statement comparing the proposed organization, Office of Public Information, with similar functions in at least three other Departments. The statement should include a brief analysis of comparative responsibilities, staffing, grade levels, and budget.

I would like to have this information by December 14.

I also would like the reports of the congressional liaison and industry liaison functions by that date with a similar comparative analysis.

See Warnick to Boyd 12/14
+ his file
FD

UNITED STATES GOVERNMENT

FEDERAL AVIATION AGENCY

Memorandum

DATE: November 25, 1966

SUBJECT: Proposal for Initial Organization of Information Functions

FROM : Information Working Group

TO : VADM Paul E. Trimble, USCG, Chairman
Department of Transportation Task Force

The Information Working Group unanimously supports the attached charter for the initial organization of information functions within the DOT and submits it to you for Task Force consideration.

The Working Group also recommends that the Task Force give serious consideration to recommending to the Secretary-designate that a black-and-white film be produced which would serve to introduce the Secretary to all employees of the Department following his confirmation. Through existing film clips of highways, trains, airplanes, etc., this film would also serve to familiarize the employees with the functions that make up the DOT. It is estimated that 100 prints of the film would allow all the modal agencies to present the film to their employees soon after the Department becomes active. Costs of production of such a film are being explored and preliminary script work is being done in the event the film suggestion is approved.

Recommendations for the initial organization of the legislative affairs and industry liaison functions of the DOT are being developed by Mr. Thomas F. McGarry's ad hoc group and will be forwarded to the Task Force shortly.



Charles G. Warnick
Director, Information Services
Federal Aviation Agency

Attachment (14 copies)

DRAFT ORGANIZATION AND FUNCTIONAL STATEMENT FOR
PROPOSED INFORMATION FUNCTIONS OF THE
DEPARTMENT OF TRANSPORTATION

The following proposal for the initial organization of Information functions in the emerging Department of Transportation is designed to get this office into effective operation as quickly as possible and with a minimum staff. It is designed to operate through the formative period of the Department. Since the Department eventually will be dealing on a day-to-day basis with critical problems affecting all Americans and actually changing their way of life, additions and changes will be required. Experience will determine what the changes should be, but this proposal should establish an effective office for at least a year.

Public Law 89-487, which liberalizes the release of public information by the Federal Government, becomes effective July 4, 1967. The Department of Transportation should begin operations under the spirit of this Act, and it will be the responsibility of the Office of Public Affairs to see that it does so.

The Office of Public Affairs will provide news and information services to industry groups. It will provide editorial services within the Office of the Secretary of Transportation, but it will not be responsible for Industrial or Congressional liaison.

* * * *

Principal Executive of the Office of Public Affairs

This executive (see organization chart) should serve on the immediate staff of the Secretary, participate with him in policy decisions, and have ready access to him at all times. It is imperative that this executive be placed at the highest level within the Department where he will have complete and thoroughly accurate, up-to-the-minute information as to the Secretary's thinking on critical matters. This will enable him to reflect accurate views at all times to the public. A survey indicates that this is a policy which has been adopted by virtually all Departments and Agencies of the Federal Government.

The principal executive will serve as the principal adviser to the Secretary and the top staff on all major public and employee information matters. He will in effect be the Secretary's press secretary, and will

advise on all public appearances, speeches, and meetings with private or public news media. He will also supervise the preparation of the Secretary's speeches and review for Departmental policy speeches by the heads of modal agencies. It will also be the responsibility of the principal executive to recommend to the Secretary production of audio-visual materials, publications, and releases explaining to the public the responsibilities of the Department, how it fits into the Federal Government complex, how it deals with other government bodies, and how its actions will benefit the Nation. This top aide to the Secretary will also serve as his liaison man with the modal agencies on major matters of public and employee information. The Office of Public Affairs will be required to review all actions being contemplated by the various DOT agencies when they are of a controversial nature or when they deal with a matter which eventually will go to the Secretary for a decision. The principal executive of the Office of Public Affairs will also serve as the Secretary's principal information liaison with

industry groups. This position should be established as a GS-18 or executive level position. A GS-10 secretarial position should be established.

Director of Information

Working closely with the principal executive of the Office of Public Affairs will be a Director of Information. This position should be established as a GS-17. A GS-9 secretarial position should be established for the Director. It will be the responsibility of the Director to supervise the day-to-day operations of the office and to keep the principal executive fully informed on all projects and their status. He will supervise the preparation of news and employee information releases. He will be responsible for such administrative duties as budget, procurement, personnel, etc. An administrative assistant (GS-9) will be assigned to this office to assist in these duties.

The Director will also assist the principal executive in maintaining liaison with the offices of information of the various agencies. Those

DOT component agencies which do not have public affairs capability in the beginning will be served by the Director of Information.

Under the office of the principal executive and his assistant will be a News Division, an Information and Publications Division, and a Special Projects Division.

News Division

The News Division will be staffed by a Chief (GS-16), his secretary (GS-8), two public information specialists (GS-14 and GS-15), and a clerk-typist (GS-5). An information assistant (GS-8) also should be assigned to this office to answer phone inquiries and maintain photo and research files. This Division will be responsible for the hard newsreleases of the Department, will maintain a news room and also will be responsible for the setting-up of proper mailing lists and the logistics of press conferences. Many news releases will be issued from this Division as the Department organizes, appointments are made, and policy statements are developed. The Chief of this

Division should also assist in maintaining liaison with the public affairs offices of the modal agencies. Serving the trade publications of industry with hard news will be an important responsibility for him.

Information and Publications Division

The Information and Publications Division will be staffed by a Chief (GS-16), and his staff will be composed of two writer-editors (GS-14) and a secretary (GS-8). It will be this Division's responsibility to keep all Department of Transportation employees aware of the activities plans, and policies of the Department as they evolve. The Division can make use of the various agency employee publications now in existence to disseminate this information, and will be responsible for the publication of a weekly news letter designed primarily for the employees of the Office of the Secretary. This Division will transmit to the modal agencies information from the Office of the Secretary for inclusion in employee publications. Eventually, this Division will study the advisability of a Department of Transportation periodical which would

go to all employees of the Department. This Division also will be responsible for the preparation of pamphlets and brochures explaining the new Department to employees as well as the public, and will be responsible for handling routine inquiries from the general public regarding the Department.

Special Projects Division

The Special Projects Division will be headed by a Chief (GS-16); a writer-editor (GS-14); an audio-visual expert (GS-14); an artist (GS-13 or GS-14) who also will be responsible for assisting the Information and Publications Division; a secretary (GS-8); a secretary (GS-6) and a Clerk-Typist (GS-5). For purposes of initial organization, two speech writers (GS-15) can be attached to this Division, but they will be responsible primarily to the principal executive of the Office. Additional speech writers may be added later, if required. This Division will be responsible for audio-visual aids and the logistics of arranging for seminars and meetings with industry. A speakers'

bureau will also be established and maintained within this Division.

This Division will also be responsible for writing the Department's annual reports to the Congress and assisting budget personnel in making budget presentations more effective.

APPROVED: _____

VADM Paul E. Trimble, USCG
Chairman, DOT Task Force

DATE: _____

D R A F T

Office of Public Affairs

Principal Executive (GS-18 or executive level)	1
Secretary (GS-10)	1
Director of Information (GS-17)	1
Secretary (GS-9)	1
Administrative Assistant (GS-9)	<u>1</u>
	5
<u>News Division</u>	
Chief (GS-16)	1
Public Information Specialist (GS-15)	1
Public Information Specialist (GS-14)	1
Secretary (GS-8)	1
Information Assistant (GS-8)	1
Clerk-Typist (GS-5)	<u>1</u>
	6
<u>Information and Publications Division</u>	
Chief (GS-16)	1
Writer-editor (GS-14)	1
Writer-editor (GS-14)	1
Secretary (GS-8)	<u>1</u>
	4
<u>Special Projects Division</u>	
Chief (GS-16)	1
Speechwriter (GS-15)	1
Speechwriter (GS-15)	1
Writer-editor (GS-14)	1
Audio-Visual Expert (GS-14)	1
Artist (GS-13 or GS-14)	1
Secretary (GS-8)	1
Secretary (GS-6)	1
Clerk-Typist (GS-5)	<u>1</u>
	9

Total: 24

Memorandum

TO : VADM Paul E. Trimble, USCG, Chairman
Department of Transportation Task Force

DATE: Nov. 1, 1966

FROM : Thomas F. McGarry 

In reply refer to:

SUBJECT: Information Working Group report

Transmitted herewith are ten copies of the recommended charter of the Public and Employee Information Working Group for your comments and approval.

As indicated by the enclosed, the Working Group has addressed itself exclusively to the area of public and employee information. It is the unanimous position of the group that it should not and could not, at least as now constituted, deal with the areas of the offices of Legislative Affairs and General Transportation Liaison.

Also transmitted herewith are ten copies of a list of specific projects and activities that Working Group would like to undertake immediately, if approved by the Task Force.

Finally, I also enclose ten copies of two proposed White House press releases prepared in the form of a report from the Task Force to the President and a response from the President.

Enclosures

cc: Working Group




BUY U.S. SAVINGS BONDS REGULARLY ON THE PAYROLL SAVINGS PLAN

Memorandum

TO : VADM Paul E. Trimble, USCG, Chairman
Department of Transportation Task Force

DATE: Nov. 8, 1966

In reply refer to:

FROM : Thomas F. McGarry 

SUBJECT: Information Working Group meeting

The Public and Employee Information Working Group met at the Bureau of Public Roads offices Monday, November 7, to discuss the charter and projects and activities which the Task Force approved November 1, and the significance to our plans of the President's announcement that he would nominate Mr. Boyd as Secretary.

The Working Group decided to defer further planning for providing interim public information services to the Secretary-designate until it had more information on Mr. Boyd's plans. The Chairman is to discuss this with Mr. Boyd. It similarly deferred action on the several activities it had planned to undertake.

The various members of the task force were assigned the responsibility for primary liaison with each of the other working groups. By copy of this memorandum I am informing the chairmen of each working group of our liaison assignments, which are as follows:

NTSB - Mr. Slattery of CAB and Messrs. Warnick and Feldman of FAA.

Rail Administration - Mr. Stull of the Office of the Under Secretary for Transportation and Mr. Baylor of ICC.

Highway Administration - Messrs. McGarry and Siems of the Bureau of Public Roads.

Personnel Management - Capt. Heckman of the USCG.

Space, Furnishings, Services - Messrs. Warnick and Feldman of FAA.

Budget, Accounting, Financing - Mr. McGarry of BPR.

(More)



BUY U.S. SAVINGS BONDS REGULARLY ON THE PAYROLL SAVINGS PLAN.

Legal Documents, Delegations, Directives - Messrs. Warnick and Feldman of FAA.

Radio Frequency & Communications - Capt. Heckman of USCG.

Personnel Security - Mr. Baylor of ICC.

Emergency Planning - Mr. Stull, Office of the Under Secretary for Transportation.

Unassigned Functions - Messrs. Warnick and Feldman of FAA.

For most working groups the Information Working Group will simply be available to provide what services they might require. However, it expects to work more closely with the NTSB, Railway and Highway groups and make recommendations for the organization and operations of the information functions in each.

Captain Heckman reported that he now has available photographic portraits of all the members of the Task Force.

cc:

Members of Information Working Group
Chairmen of each working group

Memorandum

TO : VADM Paul E. Trimble, USCG, Chairman
Department of Transportation Task Force

DATE: Nov. 2, 1966

FROM : Thomas F. McGarry

In reply refer to:

SUBJECT: Information Working Group charter and activities

Enclosed is a copy of the charter for the Public and Employee Information Working Group as it was approved by the Task Force yesterday, and a copy of a list of proposed projects and activities for the group which the Task Force also approved.

By copy of this memorandum I am sending the enclosed to each member of the Task Force, each member of the Information Working Group, and to the chairmen of all other working groups.

Enclosures

CAV
Ch...



BUY U.S. SAVINGS BONDS REGULARLY ON THE PAYROLL SAVINGS PLAN

Recommended Charter *
For
Public and Employee Information Working Group

MISSION

The Public and Employee Information Working Group will address itself to three primary objectives:

1. Providing interim public and employee information services to the interagency Department of Transportation Task Force, including service to the affected agencies on the significance and progress of the establishment of the Department, and to the Secretary and Department when appointed and established, until dissolved at the discretion of the Secretary.

2. Developing proposals for the interim operation of the Office of Public Information in the Department pending the establishment of a permanent organization and the appointment of permanent staff.

3. Developing a proposal, with alternatives, for the organization, staffing and operations of the permanent Office of Public Information in the Department.

SPECIFIC OBJECTIVES

The following specific tasks will be undertaken within the framework of the primary objectives:

* Approved by Task Force, November 1, 1966.

Primary Objective 1

- A. Announce an information center for press queries. (Accomplished by DOT press release No. 1)
- B. Develop a program for operation of information service by working group.
- C. Develop minimum information materials for use of the information service, affected agencies and Task Force.
- D. Establish appropriate liaison with Task Force and working groups to keep informed of their progress, to provide service and to understand policy on release of information.

Primary Objective 2

- A. Develop plans for the orderly transition from the working group to the interim operation of Office of Public Information in Department of Transportation.
- B. Prepare plans for materials to be prepared and issued by the interim office.

Primary Objective 3

- A. Draft objectives of information program.

(More)

- B. Develop a proposal, with alternatives, for organization, functions and staffing of Office of Public Information.
- C. Prepare draft Departmental Orders on organization and authority, including the relationship of information offices of the various agencies.
- D. Develop budget parameters.

**Proposed Projects and Activities
for
Public and Employee Information Working Group**

Organization Study: Collect information on and study organization and operations of information offices of selected Federal departments and agencies.

Task Force Liaison: Contact chairman of each working group to outline the services the Information Working Group can provide, and the information and material it needs.

Presidential Statement: Draft and process a message from the President addressed to the employees of all agencies to be transferred to or affected by the creation of the Department of Transportation, restating job-security provisions of the legislation and the Administration's commitment to insuring an orderly and considerate transfer of functions and employees to the new department.

Progress Report: Prepare in the form of a White House press release a report from the Task Force on its organization, objectives and general progress.

Background Memorandum: Prepare in the form of a memorandum to editors a comprehensive statement on (1) the role of transportation in the United States, (2) the history and rationale of a Department of Transportation, and (3) an analysis of the DOT legislation, including details on affected agencies, to be distributed selectively to the press and industry, and to interested agencies.

Employee Newsletter: Publish on an irregular basis for optional use by agencies material for a newsletter from the Task Force to all employees reporting progress, public statements, background material, etc.

Motion Picture: Prepare, to point of adding introduction by Secretary before copying and distributing, script and footage for motion picture on organization and objectives of DOT.

(More)

Transportation Booklet: Prepare, for early publication by interim Office of Public Information, a general booklet on the history and role of United States transportation, with emphasis on the role of the Federal Government, significance of the DOT and coordinated transportation planning, including basic statistics on transportation by mode. Possibly could be published earlier in mimeographed "Background Memorandum" form.



THE UNDER SECRETARY OF COMMERCE
FOR TRANSPORTATION
WASHINGTON, D.C. 20230

January 20 1967

MEMORANDUM

To: Vice Admiral Paul E. Trimble
Assistant Commandant, USCG

From: *L. K. Bridwell*
Lowell K. Bridwell
Acting Under Secretary for Transportation

Subject: Explosives and Dangerous Articles

I talked with Secretary Boyd prior to his departure Wednesday, January 18, regarding the location within the Department of Transportation of the responsibilities for explosives and dangerous articles. I had before me in the discussion the memorandum of January 13 from the Chairman of the DOT Legal Working Group.

I also brought to Secretary Boyd's attention the December 1964 report of the Task Force Committee to the Policy and Planning Committee, ICC, Transportation of Dangerous Commodities.

Based upon the above stated information, it was Secretary Boyd's decision that the responsibility for testing, evaluating, and developing proposed regulations should be placed in the Office of the Assistant Secretary for Research and Technology. Accordingly, the unit under the direction of Bill Byrd at the ICC should be transferred to the Assistant Secretary's Office.

Each Modal Administration is to assign one or more persons to the Office of the Assistant Secretary to carry out fully the procedural participation discussed on page 3 of the Legal Task Group's opinion of January 13.

In order to fully comply with the statute, each Modal Administrator can promulgate regulations based upon the suggestions of the Assistant Secretary for Research and Technology and with the assurance that one or more persons responsible to each Modal Administrator has fully participated in the development of the Assistant Secretary's suggested regulations.

This represents a final decision on Secretary Boyd's part regarding the location in the Department of the ICC unit responsible for this function.

To the extent that individuals in Mr. Byrd's office do not have the background, experience or training to participate in this modified responsibility in the Office of the Assistant Secretary for Research and Technology, they can be transferred to the Modal Agencies.

Rail - Paul F. Martineau
Explosive Agent (Rail)

Hwy - Charles S. Loucks
Chief, Operations and
Training Branch,

January 12, 1967

MEMORANDUM TO: Vice Admiral Paul E. Trimble
United States Coast Guard
Chairman, Department of
Transportation Task Force

FROM: William K. Byrd, Chief
Section of Explosives and
Other Dangerous Articles
Interstate Commerce Commission
Chairman, Working Group
Office of Hazardous Materials

SUBJECT: Explosives and Other Dangerous Articles --
Proposed Method of Issuing Regulations
and Special Permits.

In accordance with your request, I have enclosed the original and six copies of the recommendations of the Working Group regarding the subject matter.


BYRD

RECOMMENDED METHOD FOR PROCESSING AND ISSUING REGULATIONS
AND SPECIAL PERMITS FOR TRANSPORT OF HAZARDOUS MATERIALS

The Working Group on Hazardous Materials has reviewed the mechanisms whereby regulations and special permits for transportation of hazardous materials can be handled in an effective, uniform and expeditious manner, with appropriate input from the modal Administrators. The most appropriate method of handling would be by the Office of the Assistant Secretary for Research and Technology. However, since it appears from the review of the Legal Working Group that certain statutory limitations may prevent this, we are recommending procedures which will still provide efficient operation.

In this review, the Working Group on Hazardous Materials assumed that the Office of Hazardous Materials will be located in the Office of the Assistant Secretary for Research and Technology. It is further assumed that the Office of Hazardous Materials will prepare regulations for issuance by modal Administrators. We believe that special permits, which are not regulations, may appropriately be issued by the Director, Office of Hazardous Materials. This will be further discussed at a later point in this memorandum.

Modal representation and modal input into the regulations themselves was discussed in detail. To solve the problem of modal representation, we recommend that a Hazardous Materials Regulations Committee be established with the following representation: ;

Chairman -----	Director, Office of Hazardous Materials
Vice Chairman -----	Assistant Director Office of Hazardous Materials
Secretary -----	Chief, Safety Standards Division, Office of Hazardous Materials
Member -----	As designated by the Railroad Administrator

Member -----	As designated by the Highway Administrator
Member -----	As designated by the Aviation Administrator
Member -----	As designated by the Commandant, U.S. Coast Guard

The committee would be established to recommend reasonable and effective revisions of the Hazardous Materials Regulations. The committee would also consider petitions and other related matter for recommendation as to adoption by the modal Administrators. The Office of Hazardous Materials would furnish technical and administrative advice as to the provisions of proposed regulations in addition to the format and codification of such regulations.

Proposed revisions of the regulations could be initiated by the Committee, staff members through the respective modal Administrators, or by petitions from the general public in accordance with the Administrative Procedure Act and any rules of practice which may be published by the Department of Transportation. Proposed revisions would be submitted to the Secretary of the Committee in writing with sufficient copies for each member of the Committee. The Committee would also provide a "clearing house" function by evaluating each proposed regulation to determine whether it should be handled as a general Departmental regulation or as a specific carrier regulation by a particular modal Administrator. All actions agreed to by the Regulations Revision Committee would be submitted by the Director, Office of Hazardous Materials, to the modal Administrators for review, approval, and issuance.

Where Committee recommendations may be inconsistent with Department policy, the final decision will be made by the Assistant Secretary, Office of Research and Technology upon receipt of recommendations from the Director, Office of Hazardous Materials.

The approvals by the modal Administrators could be administratively handled by a Hazardous Materials Board

consisting of members appointed by each modal Administrator. Each member would have the authority to approve regulatory actions in the name of the Administrator. The establishment of such a Board would assure coordination and cooperative effort between modes, as well as provide an orderly and expeditious means of retaining responsibility for regulatory actions within the Administrations. If public hearings or sworn oral testimony might be involved in a rule-making proceeding, these Board members, along with the modal representatives, could provide the necessary modal coordination.

The Working Group recommends that special permits be issued by the Director, Office of Hazardous Materials.

The problem of issuance of special permits creates numerous difficulties if they are not issued by a single office. Special permits are issued to shippers. Transportation under such permits is often performed by more than a single mode. In the opinion of the working group, special permits are not regulations but provide a means to gain experience upon which future regulation may be based. The special permit program is also a means by which emergency situations may be solved such as immediate shipments of munitions by the Defense Department or when hazardous materials are necessary to continue the operation of a plant or manufacturing facility. In most cases of this nature delay in issuance of permits could be embarrassing to the Department and may be contrary to public interest. Copies of every permit issued would be sent to each modal Administrator in order to enable him to provide additional requirements peculiar to that mode if necessary. It is anticipated that additional permit provisions would only be needed in connection with air and water shipments. In over 90 percent of the special permits now being issued no additional permit provisions are needed. In 1966, over 1600 special permits were issued or renewed.

The working group recommends that the general regulations for shipments involving classification, packaging, and identification of dangerous materials shipments, and the general carrier regulations applying to all modes of transport be published as a single document agreed to and approved by each modal Administrator or his representative. This appears to be the simplest and most feasible method of assuring

uniformity and efficiency in promulgation of the regulations. It appears unnecessary, and certainly burdensome to require four duplicate sets of these general regulations to be published individually by each modal Administrator. Specific carrier regulations, such as are presently utilized by the Coast Guard and the Federal Aviation Agency in addition to general labeling, classification and packaging regulations applicable to all modes could be published by the modal Administrator after a review for consistency by the Office of Hazardous Materials. For example, the transportation by water of hazardous materials in bulk is one involving ship construction and should properly be left to the Coast Guard for regulation.

The modal representatives assigned to the Office of Hazardous Materials should be people who are well qualified in the fields of handling of hazardous materials for their particular mode. The working group visualized that each of these representatives would be required to work full time in this field of endeavor. Their specific duties should include the following:

- (1) Review, for modal considerations, the regulations prepared by the Office of Hazardous Materials.
- (2) Review regulatory proposals made by the modal elements for uniformity between modes.
- (3) Provide modal approval of general shipper and carrier regulations.
- (4) Assist the Director, Office of Hazardous Materials, in coordination of research efforts in materials classification, packaging design and testing, and accident investigation.
- (5) Assist the Director, Office of Hazardous Materials, in the review of international proposals for regulation of transportation of hazardous materials.
- (6) Identify hazardous materials problem areas arising in the individual modes.

Pertaining to the Hazardous Materials Working Group Recommendations submitted on December 30, 1966, a number of provisions were included in the activities of the Technical Division and the Training and Operations Division to assure continuity of operations during the transitional period upon the creation of the new Department of Transportation. The work involving accident reports and the obtaining of data from the various field staffs would naturally be assumed by the staffs of the modal Administrators upon completion of the transition period. The Office of Hazardous Materials should not be involved in the detail work of the modal staffs, either at the Headquarters or field level, but should receive a consolidated data report periodically reflecting the overall conditions regarding explosions, fires, leaking and damaged containers. Such data is necessary in arriving at reasonable and yet effective future regulations. Our December 30, 1966, recommendation at page 26 provides for the Headquarters staffing required for each mode to handle the work regarding accident reports and field reports.

UNITED STATES GOVERNMENT

FEDERAL AVIATION AGENCY

Memorandum

DATE: DEC 22 1966

SUBJECT: Promulgation of regulations on
explosives and other dangerous
articles

FROM : Chairman, Legal Working Group

TO : VADM. Paul E. Trimble
Coordinator, DOT Working Groups

This is in response to your request for our opinion regarding the promulgation within the Department of Transportation of regulations governing the marking, packing, loading and transportation of explosives and other dangerous articles (EODA).

At the present time, pending the effective date of the Department of Transportation Act, EODA regulations are adopted and published by three separate Federal agencies as follows:

- (1) The Interstate Commerce Commission promulgates EODA regulations governing rail and motor carriers and shippers under the authority of the Act of June 25, 1948, 18 U.S.C. 834;
- (2) The Commandant of the Coast Guard promulgates EODA regulations governing their carriage by vessels under the authority granted the Secretary of the Treasury by 46 U.S.C. 170; and
- (3) The Administrator of the Federal Aviation Agency promulgates EODA regulations under the authority of Title VI of the Federal Aviation Act, 49 U.S.C. 1354, 1421 et seq.

When it becomes effective, Section 6(e)(4) of the Department of Transportation Act will transfer the ICC EODA rule-making functions to the Secretary of Transportation with the accompanying requirement in Section 6(f)(3) of the Act that the Federal Railroad Administrator "shall carry out the functions, powers, and duties of the Secretary pertaining to railroad and pipeline safety" and that the Federal Highway Administrator "shall carry out the functions, powers, and duties of the Secretary pertaining to motor carrier safety." Section 6(b)(1) of the Act will transfer the Coast Guard to the Department of Transportation and vest in the Secretary all of the functions of the Secretary of the Treasury and the other officers and offices of the Department of the Treasury. Section 6(c)(1) of the Act will transfer to the Federal Aviation Administrator the functions "pertaining to aviation safety as set forth in" Title VI, among others, of the Federal Aviation Act.

In summary, under the clear language of the DOT Act provisions on the promulgation of EODA regulations, the Federal Railroad Administrator "shall carry out" the function for rail carriers, the Federal Highway Administrator "shall carry out" the function for motor carriers, the Secretary of Transportation will have the rule-making authority for vessels, and the Federal Aviation Administrator will have the authority for air commerce. One conclusion becomes immediately apparent. While the statutory language can be read to authorize the Secretary to promulgate EODA regulations for vessels, and there may be a difference of opinion on the meaning of the clause "shall carry out" with respect to the authority of the Federal Railroad and Highway Administrators, it is obvious that the EODA rule-making authority for aviation will be vested in the Federal Aviation Administrator upon the effective date of the DOT Act since that authority is contained in a Title transferred directly to the Administrator by the Act.

A review of the legislative history of the DOT Act reveals that the Congress contemplated promulgation of all EODA regulations at the level of the modal Administrators and the Commandant of the Coast Guard. There can be no doubt that EODA regulations are safety regulations within the purview of the Federal Railroad Administrator for rail carriers and the Federal Highway Administrator for motor carriers. The statutory amendments which made express provision for the carrying out of safety functions at the modal heads level were added to the Bill in the Senate. In Report No. 1659, the Senate Committee on Government Operations listed the responsibilities of the Secretary of Transportation as the development of national transportation policies and programs, dissemination of transportation information, promotion and undertaking of research and development, evaluation of proposals for the investment of Federal funds, and the coordination of the Federal transportation activities. The Committee went on to state:

"In view of the vast area of heavy responsibilities and functions which will be vested in the Secretary, the committee deemed it in the public interest to vest sole authority for all transportation safety decisions in the modal Administrators and in the National Transportation Safety Board. Safety is highly technical in nature and requires the knowledge, experience and judgment of highly trained and experienced technical specialists. By vesting sole authority for safety matters in trained experts, the committee believes that any possible semblance of political influence will be eliminated, and the Secretary will be free to devote his efforts to the numerous other duties, functions, and responsibilities which would be vested in him. Furthermore, this action would be entirely consistent with the administration's proposal to vest primary overall responsibility for transportation safety in the National Transportation Safety Board.

"Although the safety functions pertaining to rail, pipeline, and highway safety would not be further transferred from the Secretary to the respective Administrators, as is the case with the FAA, the committee amendment would require that they be carried out by these Administrators." (At Pages 11-12).

The Committee action was explained on the floor of the Senate as follows:

"In general, all of the functions, powers, and duties now vested in the transferred agencies, or in those from which such functions have been transferred, would be transferred to and vested in the Secretary of Transportation. However, the amended bill provides for further distribution of some of these functions by assigning them to the operating modal units, the National Transportation Safety Board, or the Maritime Board. The purpose of this arrangement was to vest in the Secretary the general administration and promotional functions, powers, and responsibilities incident to the operation of the Department, while the actual performance of some of these functions, especially those requiring expertise in the area of safety, are assigned to appropriate units within the Department.

"By vesting sole authority for safety matters in trained experts - as proposed by this bill - committee believes that any possible semblance of political influence will be eliminated. At the same time, this arrangement will allow the Secretary to devote his major efforts to the numerous other responsibilities attendant to the organization and operation of a Cabinet-level Department." (112 Congressional Record 23418.)

While the DOT Act and its legislative history discloses promulgation responsibility for EODA regulations at the level of the modal Administrators, this does not mean that the Secretary of Transportation is without authority in this area. As the head of the Department of Transportation, he is the official ultimately responsible for the actions of the Department and is authorized to take appropriate steps, within the statutory limits, to insure that such actions are proper.

EODA regulations are, necessarily, a subject which merits attention at the Secretary level. The provisions of these regulations which are applicable to shippers must, obviously, be uniform. Since many of the articles shipped may be transported on more than one mode of transportation, it is equally obvious that the regulations of the modal Administrators applicable to carriers must be uniform except where the peculiarities of the particular mode of transportation require a variance. Again, the adoption of such a variance must take into consideration the needs of the other modes of transportation. These factors require close coordination and cooperation in the promulgation of all EODA regulations. With the several promulgating officials in the one department, the necessary coordination should be facilitated. Where, for some reason, this coordination is not successful, the Secretary would be readily available to assist in the resolution of the matter by the performance of his coordination function. Such a procedure was apparently contemplated by the Congress in its enactment of the DOT Act, since it is clear that, by that Act, Congress intended to provide a single entity for the overall coordination of these transportation matters. As explained by Senator Jackson,

"The placing of these duties in modal Administrators and the Maritime Board will free the Secretary to carry out the vital responsibilities and duties as to coordination, development of transportation policy, promotional functions, and administration entrusted to him by this Act. It will also insure that these technical matters requiring the highest degree of expertise receive adequate attention, free from any partisan political considerations." (112 Congressional Record 23421.)

The necessary uniformity of the EODA regulations, and their compatability among the several modes of transportation, can be achieved by a number of methods. The one readily apparent, and the simplest, would have the Secretary of Transportation imposing on each modal Administrator and the Commandant of the Coast Guard a requirement that each such official coordinate his promulgation of an EODA regulation with the other modal heads. There would be no need for any further formal declaration of the subject. In the event the coordination were not achieved, the rule-making official would be forced to bring the matter to the Secretary's attention.

The method outlined above assumes the equal availability of technical knowledge to each modal head. That availability could be assured by establishing the technical unit, composed entirely of Government employees, either separately or in any one of the Department's organization units with each modal unit paying its share of the salaries and other costs and the technical unit head reporting to the four modal heads. Another method would have the technical unit established under an Assistant Secretary, for example, the Assistant Secretary for Technology. This technical unit would be responsible for the acquisition of the necessary technical data and transmission of the data to the modal heads responsible for the drafting and promulgation of the regulations.


Charles J. Peters, GC-10

OFFICE OF RESEARCH AND DEVELOPMENT

Statement of Functions

MISSION. To provide leadership in transportation research and development in the Department, coordinate the research programs of the Administrations and Agencies of the Department, identify research needs and priorities, manage research facilities consistent with program objectives, and encourage and support research in the private sector to promote the improvement of the total transportation system.

FUNCTIONS. Is the principal staff element in the Office of the Secretary with respect to the following:

- a. Identifying at the Department level research needs and priorities on problems normally significant concern to more than one program administration or agency of the Department, or beyond their scope.
- b. Assuring that effective and efficient research programs are developed to meet identified and approved needs.
- c. Maintaining a current inventory of research and technological development effort taking place in the Department and providing coordination of the research and technological development efforts of the program administrations and agencies of the Department to secure maximum effective utilization of resources and knowledges.
- d. Promoting and encouraging research and technological development by the private sector in transportation systems.

- e. Maintaining close liaison with other government agencies involved in research activities to become aware of development which may have application in the field of transportation.
- f. Providing such analytic studies involving technological, economic, and social considerations as are determined by the Secretary to be most effectively and efficiently conducted by this office.
- g. Provide representation to industry and inter-Government organizations for which Department-level representation is appropriate.

SPECIAL RELATIONS.

- a. Research and technological development requirements of importance to only one program administration or agency of the Department are primarily a responsibility of that organization.
- b. The Office of Research and Development is primarily to identify transportation research needs which either are beyond the scope of a program administration or agency, or which are not presently being reasonably accommodated; and to see to it that approved needs are accommodated. This is in contrast to an emphasis on conducting research and technological development work. This office provides recommendations and special staff advice to the Transportation Policy Council in securing resolution as to how to accomplish given research goals and projects. It will be responsible for the conduct of only those projects which cannot be effectively and efficiently accomplished elsewhere.

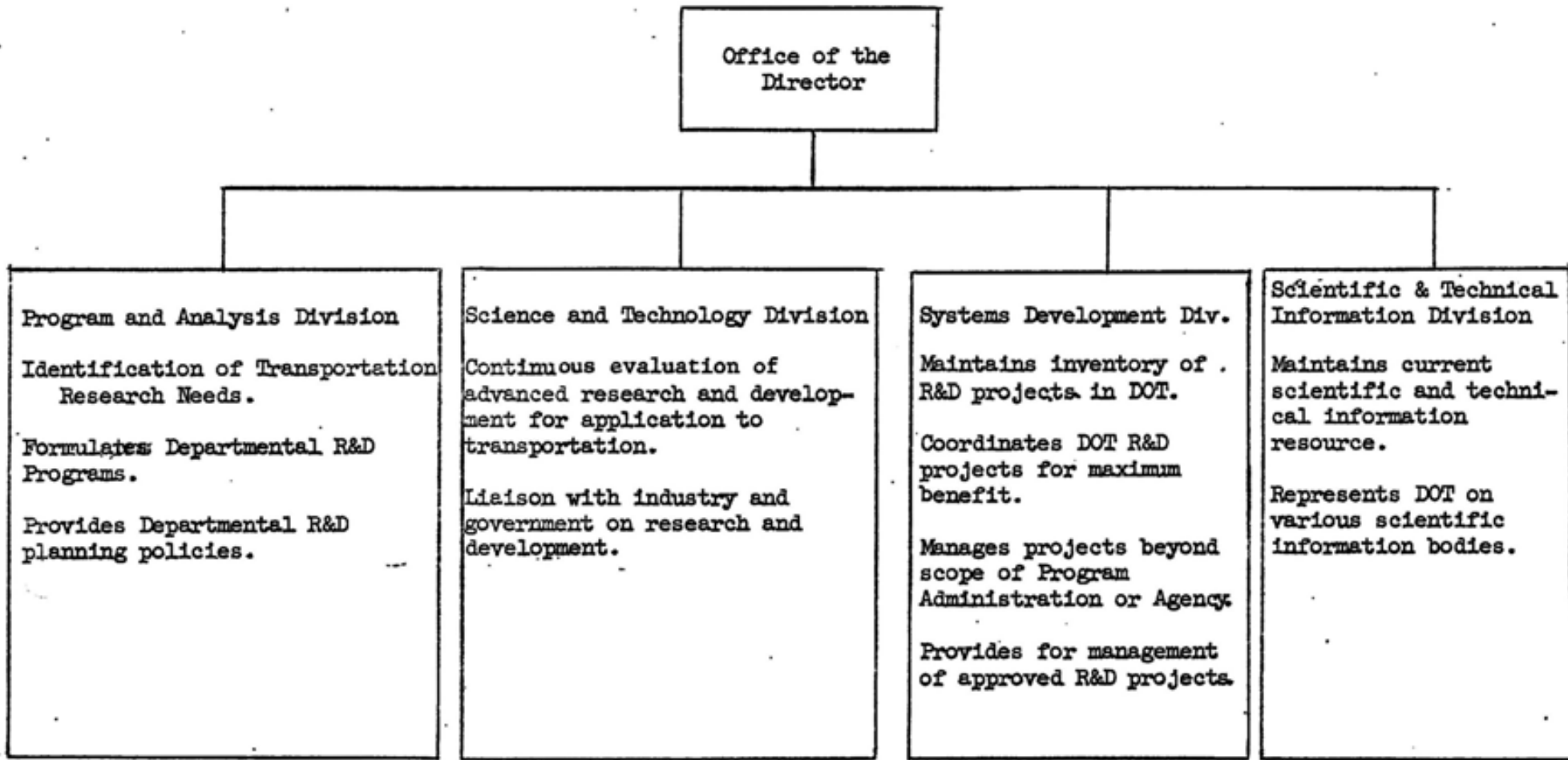
c. The Office of Transportation Planning will be responsible for all applied social science research concerned with policy and planning.

The Office of Research and Development will emphasize research and development in the physical sciences, including medical and biological aspects, and only such original social science research as may be related to its physical research and development objectives; for example, sociological applications of medical findings in safety research.

d. This office will maintain close liaison with the Program Administrations and Agencies, the Office of Transportation Policy Planning, the Transportation Policy Council, and the Office of Program and Budget Review to encourage the use of technological advances in present programs and future plans.

OFFICE OF RESEARCH AND DEVELOPMENT

Organization Chart



THE ORGANIZATION AND WORK OF
THE
OFFICE OF RESEARCH AND TECHNOLOGY
ASSISTANT SECRETARY FOR ^{Research} ~~SAFETY~~ AND TECHNOLOGY
DEPARTMENT OF TRANSPORTATION

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FOREWORD

The following material contains organization charts and mission statements for the proposed Office of Research and Technology, Assistant Secretary for ^{Research} ~~Safety~~ and Technology, Department of Transportation, and for each of the organizational units. It further proposes a staff and grade structure to assure that the responsibilities of the Office of Research and Technology are carried out. As soon as possible, firm detailed plans should be issued concerning the operations and responsibilities of the Office of Research and Technology.

R&D RESPONSIBILITIES - TRANSPORTATION ACT

Secretary of Transportation. The responsibilities and authorities of the Secretary of Transportation are spelled out in the Department of Transportation Act of October 15, 1966. The Act makes clear that the Secretary of Transportation has certain responsibilities in relating to the affairs of each of the Administrations, particularly for research and technology. These basic policies are reflected in the following quotations from the Act.

"Promote and undertake research and development relating to transportation."

"There are hereby transferred to and vested in the Secretary all functions, powers, and duties of the FAA and of the Administrator and other officers and offices thereof, including the development and construction of a civil supersonic aircraft."

"The Secretary is authorized to enter into contracts with educational institutions, public or private agencies or organizations, or persons for the conduct of scientific or technological research into any aspects of the problems related to the programs of the Department which are authorized by statutes."

"The Secretary shall require a showing that the institutions, agencies, organizations, or persons with which he expects to enter into contract pursuant to this subsection have the capability of doing effective work. He shall furnish such advice and assistance as he believes will best carry out the mission of the Department, participate in coordi-

nating all research initiated under this subsection, indicate the lines of inquiry which seem to him most important, and encourage and assist in the establishment and maintenance of cooperation by and between the institutions, agencies, organizations, or persons and between them and other research organizations, the Department, and other Federal Agencies."

"The Secretary may from time to time disseminate in the form of reports or publications to public or private agencies or organizations or individuals such information as he deems pertinent on the research carried out pursuant to this section."

"Nothing contained in this subsection is intended to amend, modify, or repeal any provisions of law administered by the Department which authorize the making of contracts for research."

Chief of Staff

2 August 1966

Captain Harry L. MORGAN

Meeting of sub group on Organization and Management

1. Subject officer attended a meeting in Mr. Dean's office at 1400 to discuss the proposed organization of the Secretary of DOT's office. Present were:

Mr. Alan Dean, Chairman, FAA
Mr. Cece Mackey, Under Secretary of Commerce for Transportation
Mr. Jeff Harris, BOB (In lieu of Art Kallen who is on 3 weeks leave)
Mr. Bud Olson, FAA
Mr. Gene Weithoner, FAA
Captain H. L. MORGAN and Commander Dave LAUTH, USCG

Mr. Dean returned from leave for the meeting, and will be in on the 3rd and 4th of August for DOT work.

2. After discussion of Alternative A and C (copies of the latter have been furnished the group), it was concluded that

- A. CDR. Lauth and Mr. Olson would develop a common concept paper for the organization of the Secretary of DOT's office, and position papers to present the differences in the original concept papers. During the discussion, it became clear that only the handling of the PFB function was a matter of disagreement, and an organization that would be developed, susceptible to inserting overlays to show the difference in organizational responsibilities for the PFB function in the two concepts.
- B. The decision as to which concept would be adopted depended on the Secretary of DOT, and the Senior task force was not in a position to make this decision. As only the FAA, Commerce, and Coast Guard have been involved in the development of the two concept papers, the decision would have to await designation of the Secretary. Mr. Mackey indicated support for our concept and Mr. Harris privately indicated Art Kallen's support for it. I suggested he study both PFB approaches, confer with appropriate BOB personnel, and advise me of which concept met BOB requirements for PFB & no doubt in my mind but that Alternative B or C is closest.
- C. The FAA has a GS 14 arriving tomorrow to start writing position descriptions for billets which are common to both alternatives. I advised the group that Mr. Queen would like to see this civilian d

To Chief of Staff
From CAPT H. L. MORGAN dtd 2 August

classifier, and work with him, as time permits.

3. Mr. Dean also asked the group to work up a list of necessary actions, and a time estimate, based on 3 Oct. for Secretarial designation, and 1 Jan. for establishment of the DOT. Examples cited were: departmental seal, stationary space for Secretary, NTSB, possibly the Office of Accident Investigation, budget preparations, advance funds to us up the capital rotating fund for administrative services. I agreed to make up a list, and confer with FAA, at our next meeting of this group, scheduled regularly for 1400 each Monday. Mr. Dean stated B B has not felt it necessary to establish the necessary budget working group yet, but asked the Coast Guard to work with FAA on preliminary planning. Mr. Pete Alexander of FAA will be their representative, and I suggested Cdr. Boswell as ours. Tentatively it was agreed they would meet next week for preliminary planning and discussion.

4. Pending matters before this working group were briefly discussed

- A.
- A. Corps of Engineers functions, Great Lakes Pilotage Administration functions were being developed by me for the group. I stated I hoped to have position papers in the next week or two, for these functions.
- B. It was agreed that the Hearing Examiner Office would be dropped from the organization chart, and covered by the functional statements.
- C. Mr. Mackey was to develop an organization and functional description of the Federal Rail Administration.
- D. The working group on the rotating capital fund was developing working papers. BOB was to check on a technical amendment to authorize advance funds for this function.
- E. Commerce was developing functional statement for the Office of International Affairs, and ~~Transportation~~ Transportation Planning.
- F. Mr. Dean was conferring with Mr. Phillips, Regional GSA director, on availability of space for FAA personnel from National Airport and Eastern Region FAA officer, who would move out to accommodate the Secretary's staff on the 8th floor of the FAA building. Also, discussions were underway for temporary space for the NTSB, Rail Administration, and other DOT staff requirements at the temporary buildings between 1st and 2nd St. and Indiana Ave. Ultimate location in the FAA area for the future DOT headquarters was also under consideration. It was decided that while the task force on Organization and Management had no mandate to get into these areas, this group was the only one available to work on the necessary details for arranging for establishment of the DOT. Mr. Dean has discussed this with Dr. Zwick, and has been given verbal instructions to proceed with the necessary planning, short of the decision or budgetary stages.

To Chief of Staff

5. The meeting broke up on a happy note - Despite the fact that FAI is still pushing for its concept of organization, and we ours. It was evident Mr. Dean was going to try to persuade Mr. Boyd, and Dr. Zwick of the merits of Alternative A, and has not yet accepted the facts of life on PIB. Conversely, I have not altered in my views that our P.B. system is closest to what DGB wishes, and will reaffirm this position via Mr. Harris. It is doubtful that a solution to this impasse can be obtained until the Secretary is designated.

HARRY L. MORGAN

DEC 13 1966

1. Office of Legislative Affairs (18), sell, not make legislation

Asst. Secretary for Public Affairs (cont'd)

2. Office of Transportation Liaison (30) - inter-governmental, labor, industry, trade management, etc., liaison.

3. Office of Public Information (22) - start out with it under an Assistant Secretary realizing there may be some problems in the relationship of the office with the Secretary vis-a-vis the Assistant Secretary. Special liaison will be necessary.

4. Office of ~~Rejuvenation~~ ^{Recreation} and Conservation (5) - tentative

Assistant Secretary for Transportation Policy Development (5)

1. Office of Transportation Policy Planning (50)

2. Office of Program and Budget Review (35 or alternative of 20-25) - Pursue on this basis but realizing this is a tentative or interim decision. Mr. Mackey and VADM Trimble to go into this and clarify issues. See what checks can be made to keep this office from making too many decisions without the Secretary's or Model Administrator's knowledge.

Assistant Secretary for International Affairs (5)

1. Office of International Affairs (25)

2. Office of Emergency Transportation (40)

(3. Office of Telecommunications Policy (10))

Assistant Secretary for Research and Technology (5)

1. Office of Research and Technology (40)

2. Office of Hazardous Materials (25-30)

3. Office of Noise Abatement (12)

Assistant Secretary for Administration (5)

1. Office of Personnel and Training (40) - questionable regards the percentage of people in training vs. Personnel.
2. Administrative Operations (100) - figure seems like it might be a little low
3. Audit Staff (8) -
4. ~~Office~~ ^{Off} of Procurement and Logistics (8)
5. ~~Office~~ ^{Off} of Equal Opportunity (8)
6. ~~Office~~ ^{Off} of Security (9)

GENERAL COUNSEL

General Counsel

1. Office of the General Counsel (40) - initial figure of 15 seemed too low. Authorize 40 but with the idea of building up slowly.

EXECUTIVE SECRETARIAT

Executive Secretariat

1. Will also serve as the Secretariat for the Policy Council
 2. Tentatively decided that the Secretariat will provide staffing for all Departmental Boards and Committees.
- *Reserving decision on functions and staffing of Secretariat pending receipt of study on the Executive Secretariat.

BOARD OF CONTRACT APPEALS

Board of Contract Appeals (12) - remains in OST as proposed.

RESOURCES REVIEW COMMITTEE

Resources Review Committee - delete from the organization

HEARING EXAMINERS

Hearing Examiners - Do not provide for in the organization of OST. Leave them in the various modal administrations and Coast Guard for now.

DECISIONS PENDING

1. Executive Secretariat - decision as to its functions and staffing

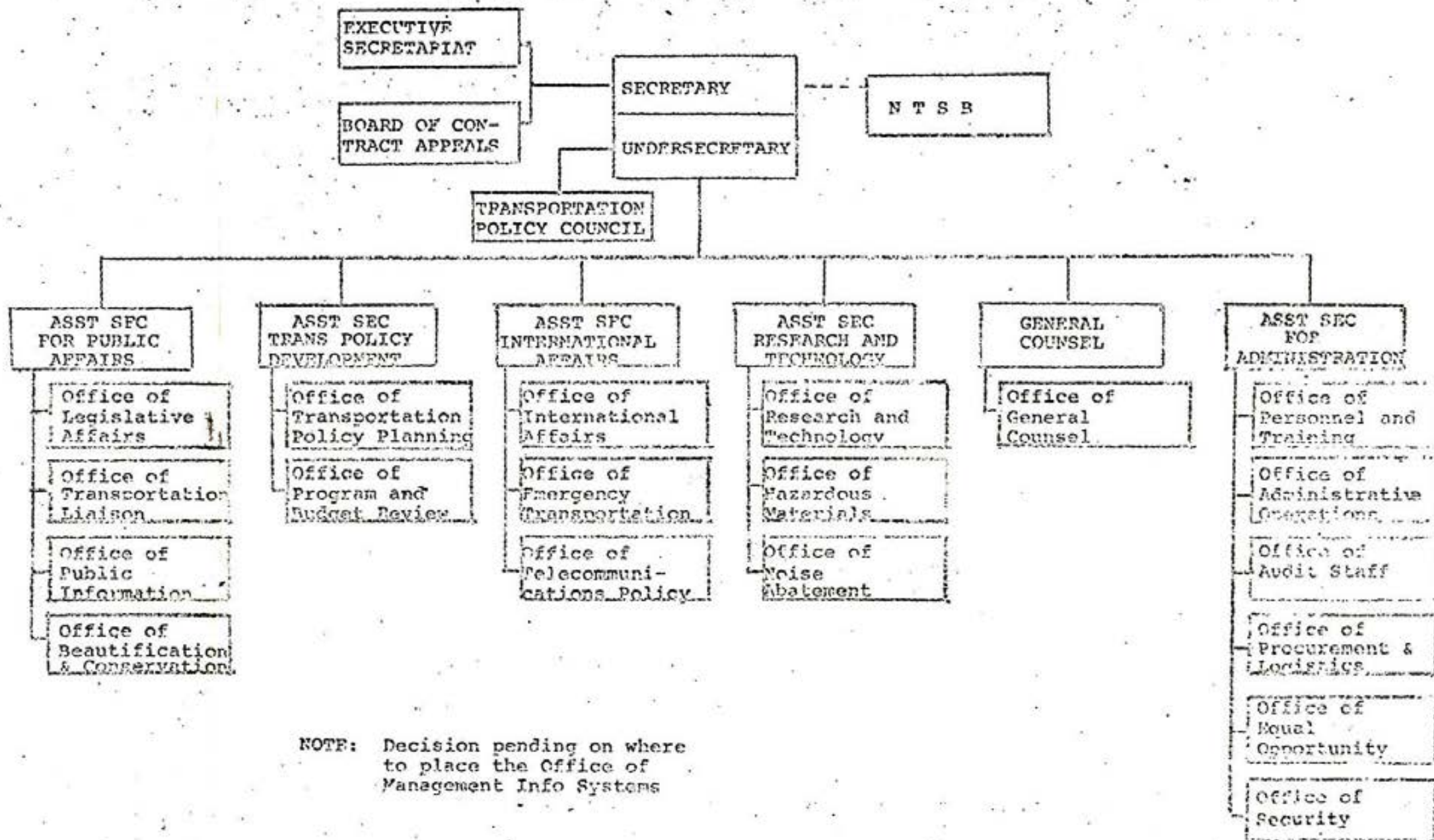
2. Management Information System ~~(MIS)~~ - where to place this in the organization is pending recommendations of study on Executive Secretariat. Could come under the

- a. Secretariat
- b. Assistant Secretary for Administration, or
- c. Office of Program and Budget Review

Attachment

Copy to:

Mr. Dana Scott, FAA ✓
Mr. Bridwell, Commerce ✓
Mr. Mackey, Commerce ✓



NOTE: Decision pending on where to place the Office of Management Info Systems

Memorandum

TO : Alan S. Boyd, Under Secretary for Transportation

DATE: December 16, 1966

FROM : *J. R. Abernathy*
J. R. Abernathy, Acting Director
Office of Transportation Research

In reply refer to:

SUBJECT: Progress Report - Study of Executive Secretariat Functions

The study of Executive Secretariat functions for the Department of Transportation is based on the papers "The Secretariat Functions," by John Gange and "Staff Work for the President and the Executive Branch," by Patterson and Bridges. It incorporates the results of investigation of the Executive Secretariat functions in the Department of Defense, State, and Treasury and the Office of Economic Opportunity.

Those functions recommended as appropriate for the Department of Transportation Secretariat are indicated in Tab 1. Those functions which were rejected or believed to deserve special comment are discussed in Tab 2. Tab 3 depicts a recommended organization of the Secretariat. Tab 4 is a proposed grade structure of the organization.

Every function which an Executive Secretariat performs must be based on the premise of flexibility and responsiveness to the desires of the Secretary. To be effective the Secretariat must stay removed from the decision-making process while providing coordination and information for the Office of the Secretary. A descriptive cliché is that the Executive Secretariat acts as a left hand for the Secretary offering knowledge but not wisdom.

Attachments

A Concept of the Executive Secretariat Function
in the Department of Transportation

I. Purpose

The Executive Secretariat is a staff organization in the Office of the Secretary to support and coordinate the activities and work of the Secretary, Under Secretary, and Assistant Secretaries of the Department of Transportation.

II. Functions

The Executive Secretariat effects support and coordination by: control of correspondence, gathering and disseminating information and servicing the Transportation Policy Council.

The major purpose of coordination is to insure an appropriate and sufficient flow of information to and from the Office of the Secretary. The information includes correspondence, minutes of meetings, discussions, decisions, and findings.

A. The Secretariat will maintain a registry of the paper work that flows through the Office of the Secretary.

B. The Secretariat will conduct an initial review of the information flowing into the Office of the Secretary. The Secretariat will determine an appropriate suspense date, designate the action office and identify other units of the organization which should contribute to a response. It shall also designate the lowest level of responsibility at which the action can be concluded.

C. The Secretariat will review all material forwarded for Secretarial action for completeness, style, and proper coordination. The degree to

which the Secretary desires the Secretariat to inject itself into the substance of the material will largely determine the role of the Secretariat. A more comprehensive review authority could include discretion in determining the appropriateness of the material, and the necessity for rewriting.

D. All directives and outgoing correspondence that originate in the Office of the Secretary will be routed through the Secretariat for review.

E. The Secretariat will synopsise, determine distribution of, and file all minutes and reports of activities within the Office of the Secretary such as committee and task forces.

F. The Secretariat will synopsise, organize by subject, file, and distribute appropriate memoranda relative to committee decisions, staff proposals, and agreements among Secretarial executives and organizations external to the Department.

G. The Secretariat will maintain direct liaison with the White House staff secretary as the principal department channel to the White House. Such liaison shall not preclude contact by other departmental personnel, however, the Secretariat will maintain a record of the subject discussed.

H. The Secretariat shall maintain a complete listing of councils, groups, committees for which Departmental representation is required together with a current listing of the names of representatives.

I. The Secretariat will provide full staff support for the Transportation Policy Council and such other groups as the Secretary may designate.

J. The Secretariat will coordinate with public affairs officers and appropriate executives to aid the Secretary in determining what appearances

and speeches he should make. The Secretariat will be responsible for coordination of the speech text prior to the submittal to the Secretary.

K. The Secretariat will collect and disseminate daily the schedules and itineraries for the Secretary, Under Secretary, Assistant Secretaries and Administrators on a current and projected basis.

L. The Secretariat will collect and index background and current information for the use of the Secretary, Under Secretary and Assistant Secretaries. The background information shall cover government-wide matters and opinions of well-informed people and industry regarding issues appropriate to the Department of Transportation. Sources of such information would be the Congressional Record, Federal Registers, Congressional Committee reports and hearings, Staff reports, Agency reports, Industry reports, and Newspaper clippings.

M. The Secretariat will maintain a file of synopses of all programs of interest to the Department of Transportation.

N. The Secretariat will furnish a duty officer for 24-hour coverage for the Office of the Secretary.

III. Organization

The Executive Secretary will be assisted by a Deputy, 11 professional, and 9 secretarial personnel. (See Tab 3)

A major element will consist of a group leader and line officers organized to parallel the organization of the Department. Initially a total of six line officers should be able to handle the work load. The line officers will be responsible for reviewing the paperwork associated with

their function and being fully familiar with the activities of the organizations for which they have coordinating responsibility. They may also be called upon to assist the members of the Transportation Policy Council. The primary administrative contact of the line officers will be the principal staff assistant in the organizational element. The line officer is expected to maintain other contacts to insure awareness of the status and developments within the organization. The line officers will operate from the Office of the Secretariat rather than offices of the modal or functional organization for which they are responsible.

An information and records group will have three professional employees. In addition there will be one professional employee to support and act as the recorder for the Transportation Policy Council.

IV. Services

The manning of the Secretariat is predicated on the acquisition of reproduction equipment that is capable of transmitting facsimiles between operating locations. Some consideration might be given to locating this equipment in the Secretariat, but it is recommended that it be located in and controlled by an office in Administrative Operations. The courier service and message center should also be operated by an office in Administrative Operations.

A central filing operation is contemplated in the Secretariat to give immediate accessibility to the information needed by the Office of the Secretary. It is recommended that an automated filing system be adopted.

V. Staffing

A. Qualifications

The professional qualifications of personnel in the Secretariat include the capability to read rapidly, to identify what is important, to write competently the first time, to speak effectively, to plan and to possess unusual stamina. Further attributes of this superhuman individual include total acceptance of anonymity, curiosity, readiness to experiment, sense of balance, sense of humor, energy, etc.

B. Recruitment

Near term recruitment would best be accomplished through the personal efforts of the Secretary and his staff. As an interim measure, personnel currently performing Executive Secretariat functions in other departments or subordinate organizations should be borrowed.

The management interns and high scorers on Civil Service Management exams might serve as good sources to develop a pool of qualified personnel for Secretariat assignments in the future.

A two year period of service is the maximum that should be expected.

VI. Implementation

A. Department of Transportation Order

B. Strong written and verbal statements from the Secretary of Transportation are required to insure willing and immediate support of the Secretariat.

ISSUES

1. Executive Secretariat or additional Staff Assistants?

It seems clear that the Executive Secretariat is a necessary element of a Departmental Organization today. It offers the following advantages:

- Centralization of functions
- Can cope with high volume operations
- Bias of informational inputs to the Secretary is minimized
- Continuity of operations is improved and assured
- Detailed tasks can be handled at lower levels of responsibility
- Provides readily identifiable contact point for the public and other agencies
- Eliminates non-essential demands on executives' time

The only readily apparent disadvantages are:

- More impersonal than Staff Assistants
- Could become a potential source of delay to the decision making process.

2. Will the Department operations require a 24 hour contact point?

This study assumes there will be such a requirement and provides that the Secretariat will furnish an off hour duty officer constantly available by telephone. If nothing else the 24 hour nature of operations in the transportation sector clearly requires a departmental capability for around the clock response.

Alternatives to the off-site duty officer concept would be an operations center, or an on-site duty officer. The type of response required does not

warrant an operations center or on-site duty officer at the present time since the department can have a 24 hour switchboard capability to reach the off-site duty officer. The Coast Guard Headquarters duty officer (a 24 hour operation), offers a further backup.

3. Should the Message Center be located in the Secretariat?

It does not appear essential that the message center be located within and controlled by the Secretariat. Support by a Message Center is required but it seems more appropriate that it be operated by the Assistant Secretary for Administration. Any special procedures needed can be specified by the Secretariat.

4. Should a File Center be located in the Secretariat?

A centralized and complete filing system within the Office of the Secretary is necessary to assure rapid and complete accessibility of information. Such a wide variety of topics makes it impractical to impose this requirement on a subordinate organization. An automated system to perform the complex task of cross referencing is recommended as an integral part of the filing system which should be instituted prior to activation of the Department.

5. Should the Executive Secretariat operate a Management Information System?

The Secretariat function would certainly utilize the outputs of a Management Information System, however, the management of a system of the size and scope which will be required by the Department seems incompatible with the Secretariat function.

6. Length of Service

Experience in other agencies indicates that there is a high turnover of personnel in a Secretariat. The necessary insulation from the decision process causes growing frustration that eventually results in Secretariat personnel seeking other work. Moreover, there are few opportunities for advancement inside the Secretariat, and the young men who find the job initially attractive remain until the educational experience has qualified them for executive positions elsewhere. The saturation point is reached in about two years.

7. Staff support for the Transportation Policy Council and other committees.

The Transportation Policy Council will undoubtedly be the most important committee function in the department. Its demands for qualitative and quantitative information can best be served by the combined resources of the Secretariat. Specific issues can be thoroughly staffed and coordinated by individual line officers. The permanent council recorder can draw on the knowledge of the Secretariat and in turn utilize the wisdom of the council. The anonymity of the Secretariat allows the best possible support with the least amount of bias.

Other committees will be provided complete staff support only at the direction of the Secretary. However, as noted in the concept paper, the Secretariat will maintain rosters of membership and synopses of meetings of other committees.

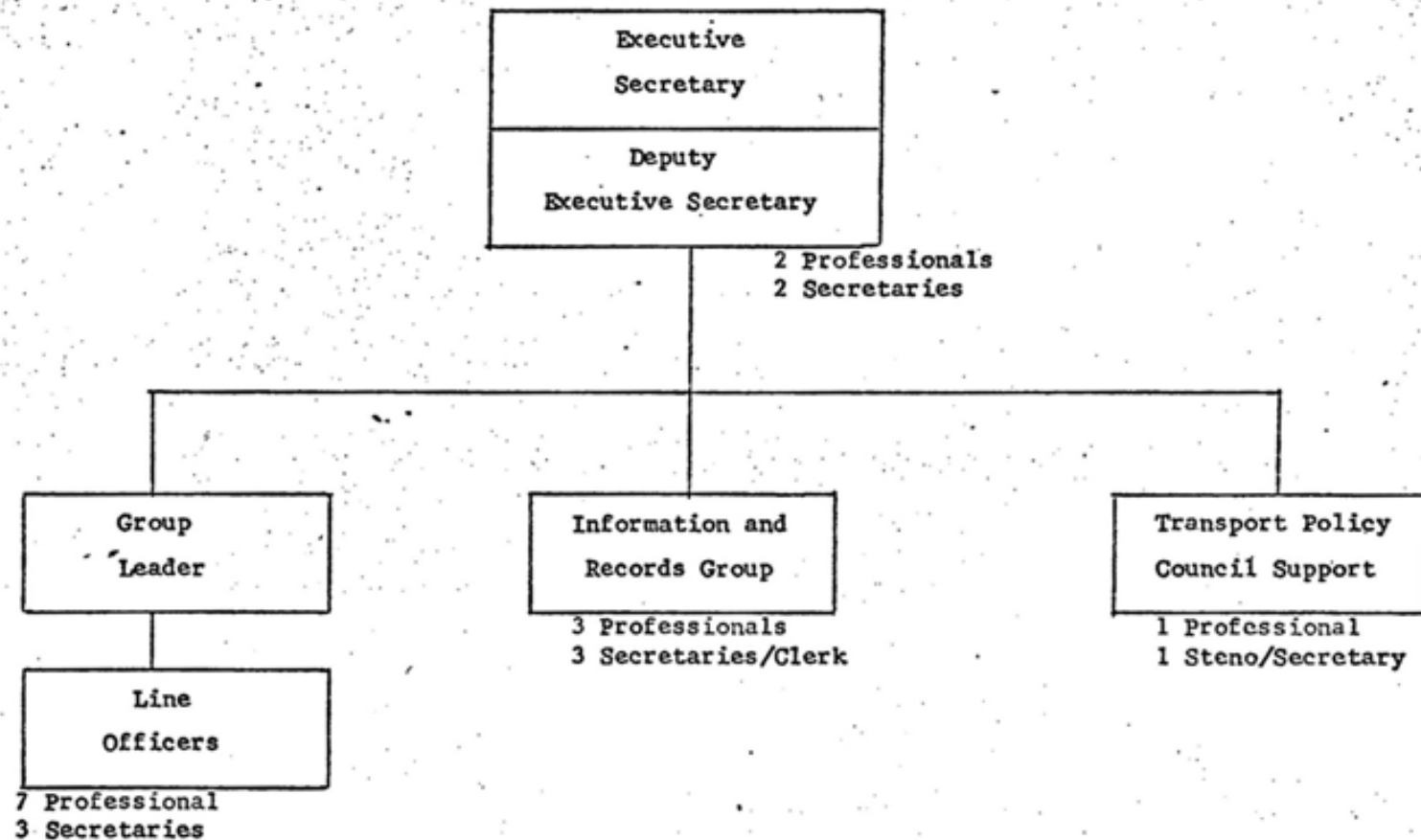
8. Should the Secretariat conduct routine briefings?

Current information collected by the Secretariat could be disseminated through regularly scheduled briefings. However, such briefings tend to become ritualistic and ineffective. Therefore, it is recommended that current material be regularly delivered to a designated staff assistant who would be responsible for selective briefing of his principal.

9. Should the Secretariat schedule appointments for the principal officers of the Department?

Appointments for the principal officers of the Department present a formidable screening task which the Secretariat has some capability to meet. However, it is recommended that the task be done by the personal staff of the principal because they are in a better position to anticipate the principal's wishes and invariably have sufficient experience to use all Departmental resources in the screening process. The Secretariat is better equipped for collating and disseminating appointment schedules and should have that responsibility.

EXECUTIVE SECRETARIAT ORGANIZATION



TOTAL
13 Professional
9 Secretarial/Clerical

EXECUTIVE SECRETARIAT

Table of Authorization

1	Executive Secretary (Political Appointment)	GS 17-18
1	Deputy Executive Secretary	GS 16-17
1	Group Leader	GS 15
6	Line Officer	GS 11-13
1	Recording Secretary	GS 14
3	Records Analyst	GS 11-13
6	Steno-Secretary	GS 7-9
3	Clerk-Steno	GS 5-7

DATE: December 20, 1966

Subject: Study of Executive Secretariat Functions

To: Associate Administrator for Administration

From: WADD: Paul E. Trimble, Coordinator, DOT Working Groups

As you requested, I have reviewed the December 16, 1966, "Progress Report - Study of Executive Secretariat Functions" sent by J. R. Abernathy to Under Secretary for Transportation Boyd. I have the following comments which I would appreciate your passing on to Mr. Boyd.

1. On the whole, the statement of functions proposed for the Executive Secretariat is sound. It would help if a positive statement were included concerning the facilitative role of staffs of this kind. An Executive Secretariat is valuable to the principal whom it serves only when it concentrates on easing his job and that of the people around him. An Executive Secretariat must make it easier, not harder, for matters to get to the principal in a form which permits prompt action. In doing this, a Secretariat can be concerned with format, adequacy of staff work, and priorities in the use of the Secretary's time. It must, however, avoid temptation to run the Department out of the Secretariat. Nor should it take advantage of proximity to the principal by advocating substantive courses of action or taking sides among the elements of the Department.
2. Because a Secretariat will remain facilitative only when it is leanly staffed, the buildup to the numbers indicated in the report be approached cautiously, and then only if it is verified that the pressures of clearly Secretariat work require such numbers. In this area, as in other elements of the Office of the Secretary, there is nothing wrong with stating an ultimate or maximum staffing estimate, but I am dubious that it will ever be necessary to have 13 professionals in the Executive Secretariat.

The line officer concept is particularly suspect and the staff in this area could be reduced with a more generalized use of the professionals.

3. Special attention will need to be given to the recruitment of the Executive Secretary. The right man will contribute greatly to making the life of the Secretary and other key officials tolerable. The wrong person (one who does not understand the basically facilitative role of an Executive Secretariat) can produce much unhappiness and frustration among the key officials of the Department.
4. In considering the use of a Duty Officer for twenty-four hour coverage, the paper should take note that there is a twenty-four hour Communications Center on the 10th floor of the FAA Headquarters Building. This Communications Center is staffed by high quality, professional personnel who could readily assist in providing the twenty-four hour capability discussed in the study. At present there is a reference to the Headquarters Coast Guard Duty Officer operation, but no mention of the FAA capability.
5. The distribution of responsibility between the Executive Secretariat and the Office of Administrative Operations seems generally sound.

Alan L. Dean