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NSF RELEASES FY 1994 BUDGET; FACES APPROPRIATIONS COMMITTEES

Faced with hearings before its House and Senate appropriations subcommittees, the National Science Foundation (NSF) released its FY 1994 budget prior to the official announcement of President Clinton's detailed budget plans, which are now due sometime the week of April 5.

At its appearance before the House VA, HUD, and Independent Agencies appropriations subcommittee on March 26, NSF Director Walter Massey delivered the overall budget picture. A few days later, NSF Deputy Director Fred Bernthal told the rest of the story at a press conference called by the Foundation.

The proposed budget provides NSF \$3.18 billion, a \$446.6 million or 16 percent increase over its FY 1993 enacted level and an 8.2 percent increase if you assume passage of the President's stimulus package by the Congress that includes \$206 million for NSF (NSF assumed this in its presentation and called it the revised current plan). Massey described the FY 1994 proposed budget as "an excellent, well-balanced budget proposal that will greatly enhance the overall quality of the nation's science and engineering enterprise."

For Research and Related Activities the FY 1994 total is \$2.2 billion, a \$345.8 million or 18.6 percent increase over the FY 1993 enacted level. Assuming the \$197.2 million in the stimulus package for research, the increase is reduced to 7.2 percent. The division of this increase among the directorates is noted in the chart on page three.

The research budget is driven by two commitments: to enhance the nation's fundamental science and engineering capability and to support the strategic research initiatives identified by the Federal Coordinating Council on Science, Engineering, and Technology (FCCSET) process and by NSF. Increases for the FCCSET strategic research initiatives -- advanced manufacturing, advanced materials and processing, biotechnology, global change, and high performance computing and

communications (HPCC) -- equal \$200 million above the FY 1993 enacted level, \$112 million of which comes in the stimulus package. What NSF identifies as strategic research now accounts for over 50 percent of the foundation's research funds.

SBE Up 19 Percent Over FY 1993 Enacted Level

The Social, Behavioral and Economic Sciences Directorate will receive \$106.9 million, an increase of 19 percent over FY 1993 enacted and 8 percent over the current revised plan. For the breakdown by program area see the chart on page 3. The Social, Behavioral and Economic Research Division, which is now made up of five clusters, received a 7.1 percent increase over the revised amount.

The increases will pay for: an expansion of the cognitive science initiative, now called Intelligent Systems; increased support of the FCCSET initiatives in HPCC, Advanced Manufacturing, and Math and Science Education; a new NSF strategic initiative called Civil Infrastructure; and enhancements of award sizes across all programs.

The other divisions of the SBE Directorate received the following: International programs gets a \$3 million increase to \$19 million; while Science Resource Studies, given the bulk of the directorate's increase in FY 1993, is proposed for level funding in FY 1994, at \$12.7 million.

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The proposed budget includes \$556.1 million for the Education and Human Resources Directorate, an increase of \$68.6 million or 14 percent over the FY 1993 enacted and revised level. (EHR did not receive any funds in the stimulus package.) Large increases are proposed for: a major expansion to 8 cities of the Urban Systemic Initiative; enlarged support for undergraduate curricula development; increased targeted and model experimental projects for women and persons with disabilities; a new program, called Model Institutions for Excellence, to provide support for selected minority institutions to serve as models for recruitment and retention of underrepresented students in science and engineering undergraduate programs. Four million in new funding will be provided for the Graduate Traineeship program to fund the first year of a new class of trainees.

House Subcommittee Hearing

Appearing before new chairman Rep. Louis Stokes (D-OH), Massey was encouraged by the general support from the members of the subcommittee for the FY 1994 budget. However, Stokes warned that if the subcommittee received an insufficient allocation from the full appropriations committee, the NSF's funds in the stimulus package would be remembered during FY 1994 funding deliberations.

In the detailed directorate-by-directorate approach to the hearing employed by the House subcommittee, Stokes inquired of Cora Marrett, Assistant Director for SBE, whether she thought the new directorate was being treated fairly by NSF. She noted, that within the context of tight overall

budgets, SBE had done well. "There is no sense of unfairness," Marrett responded.

Questioned specifically by Rep. Alan Mollohan (D-WV) whether increased funds for NSF research would mean more grants or larger grant sizes, Massey explicitly favored the latter. Mollohan also asked if NSF planned to conduct more applied research. Massey said no, although he admitted the Foundation had moved toward a balanced approach between individual investigator initiated research and directed or strategic research that would also include more partnerships with industry and other agencies, such as the National Institute on Standards and Technology (NIST).

Rep. Jerry Lewis (R-CA), the Ranking Republican on the Subcommittee, cited last year's PCAST report and wondered about providing incentives to "change the faculty culture" to better integrate teaching and research.

Senate Subcommittee Hearing

On April 1, in a hearing shortened by Senate floor activity on the President's stimulus package, the NSF's proposed budget received strong support from Subcommittee chair Sen. Barbara Mikulski (D-MD) and new Ranking Republican, Sen. Phil Gramm (R-TX). Massey was also praised effusively for his good work as director on his next to last day in office before assuming his new position as Provost and Senior Vice President of the University of California system.

Mikulski praised the work of the NSB Commission on the Future of NSF for providing "a road map for how the basic research community must respond to the economic and technological opportunities we have at the beginning of a new century." Calling the new budget "a navigational chart," she echoed Stokes' concerns about the subcommittee's allocation, calling it the key to whether NSF's significant increase could be accommodated.

Gramm issued a ringing endorsement of the "excellent" budget and committed himself to "vigorously support" its enactment. He noted that the share of the budget devoted to science and technology had decreased from 5.2 percent to 1.9 percent in the past 25 years and suggested he wanted to reverse that situation.

CONSORTIUM OF SOCIAL SCIENCE ASSOCIATIONS

Executive Director:	Howard J. Silver
Government Affairs:	Susan Persons
Public Affairs:	Michael Buckley
Administrative Officer:	Karen Carrion

President: William Julius Wilson

The Consortium of Social Science Associations represents more than 185,000 American scientists across the full range of the social and behavioral sciences, functioning as a bridge between the research world and the Washington community. Update is published fortnightly. Individual subscriptions are available from COSSA for \$60; institutional subscriptions, \$120, overseas mail, \$120. ISSN 0749-4394. Address all inquiries to COSSA, 1522 K Street, NW, Suite 836, Washington, D.C. 20005. Phone: (202) 842-3525, Fax: (202) 842-2788

NATIONAL SCIENCE FOUNDATION PROPOSED FY 1994 BUDGET

Spending by Directorate

	FY 1992 <u>Actual</u>	FY 1993 <u>Revised</u>	FY 1994 <u>Request</u>	% difference <u>FY93 - FY94</u>
Biological Sciences	274.3	291.5	311.9	7.0%
Computer and Information Science and Engineering	210.4	262.9	296.0	12.6%
Engineering	258.1	296.8	323.0	8.8%
Geosciences*	380.8	421.0	448.5	6.5%
Math and Physical Sciences	622.3	660.4	718.4	8.8%
Social, Behavioral, and Economic Sciences	85.9	98.9	106.9	8.0%
Education and Human Resources	441.4	511.6	556.1	8.7%

Social, Behavioral, and Economic Sciences Directorate FY 1994 Proposal

	FY 1992 <u>Actual</u>	FY 1993 <u>Revised</u>	FY 1994 <u>Request</u>	% difference <u>FY93 - FY94</u>
Social, Behavioral, and Economic Research (SBER)				
Economic, Decision & Management Sciences	21.5	22.3	23.7	6.3%
Social and Political Sciences	14.6	16.1	17.3	7.4%
Anthropological & Geographic Sciences	13.5	14.0	14.7	5.0%
Cognitive, Psychological & Language Sciences	12.8	13.2	14.7	10.5%
Science, Technology and Society	3.7	4.6	4.9	5.4%
Total SBER	66.0	70.3	75.3	7.1%
International Cooperative Scientific Activities	13.1	15.9	18.9	18.8%
Science Resource Studies	6.9	12.7	12.7	0.0%
Total SBE	86.0	98.9	106.9	8.0%

* Excludes Arctic Research Program, which for FY 1994 is part of a new Office of Polar Programs which combines NSF's Arctic and Antarctic programs.

(all figures in millions)

Mikulski's questions focused on NSF's willingness to change in response to defense conversion opportunities, the need for increased industrial participation, greater emphasis on strategic research, and significant spending on HPCC. She asked NSF to provide specific examples of how the research had been translated into technologies.

The hearing ended after only 45 minutes as the chairwoman rushed off to the Senate floor to defend the president's stimulus package. Further questions from the subcommittee will be submitted in writing to elicit written responses from NSF.

SOCIAL AND BEHAVIORAL SCIENCE COMMUNITY HONORS MASSEY

At a March 24 reception, Walter Massey, outgoing director of the National Science Foundation (NSF), was honored by representatives of the social and behavioral sciences. Massey is leaving NSF in early April to become Provost and Senior Vice President of the University of California system (see *Update*, February 8).

The reception was co-sponsored by COSSA, the American Psychological Association (APA), and the Federation of Behavioral, Psychological, and Cognitive Sciences, and honored Massey's service, particularly his October 1991 creation of the NSF directorate for the Social, Behavioral, and Economic Sciences (SBE).

After brief remarks by COSSA Executive Director Howard J. Silver, APA President Frank Farley, and Federation Executive Director David Johnson, Massey expressed his appreciation to the social and behavioral science community for its support during his two-year tenure. Massey told the audience of over 60 that some within the Foundation had initially expressed concerns over the establishment of SBE, but said that in less than two years SBE has more than proven its worth. Massey gave much credit for this to Cora Marrett, Assistant Director for SBE.

COSSA TESTIFIES ON USDA NATIONAL RESEARCH INITIATIVE

COSSA Executive Director Howard J. Silver presented testimony on March 24 to the House Agriculture, Rural Development, FDA and Related

Agencies Appropriations Subcommittee chaired by Rep. Richard Durbin (D-IL). This is the seventh year COSSA has gone before this panel to discuss the contributions and needs of social scientists who focus on the problems and opportunities in rural America.

The testimony advocated the need for increased funding for the Markets, Trade and Policy (MTP) component of the National Research Initiative Competitive Grants (NRI) program administered by the Cooperative State Research Service (CSRS) at the U.S. Department of Agriculture.

Silver called the \$4 million appropriated for MTP in FY 1992 and 1993 "a significant initial step in bringing a national research focus to trade and rural policy issues." However, the \$4 million represents only 4 percent of total funding for the NRI, he said. Silver argued for \$13 million in FY 1994 for MTP and noted that President Clinton's *A Vision of Change for America* proposed to significantly increase the NRI over the next five years.

In arguing for the increase, Silver noted that MTP supported research expectations across an extremely broad range of topics under two programs: Market Assessments, Competitiveness and Technology Assessments, and Rural Development. He also cited the COSSA Congressional seminar "Rural Policies for the 1990s," held in March 1992, where it was pointed out that only 1 in 15 Americans residing in rural America lives on a farm. This necessitates the development of a rural research program focused on social and economic questions apart from an agricultural research program focused on how to grow better crops.

Silver also referred to the recent GAO report *Rural Development: Rural America Faces Many Challenges*, which echoed many of the arguments made at the seminar that the issues of rural America are issues of human resource allocation, empowerment, economics, "people related" problems such as education and health care, and environmental problems. He stated that all of these are addressed by social and behavioral science researchers.

COSSA also endorsed funding for a proposed new CSRS initiative on "Strengthening the Rural Workforce." This proposal would support research to help keep jobs and skilled workers in rural areas, assure stability and development of families and

youth in a multicultural society, and maintain and utilize the productive capacity of the aging population.

HOUSE AGRICULTURE COMMITTEE REVIEWS RESEARCH PRIORITIES

The Department Operations and Nutrition Subcommittee of the House Agriculture Committee began a series of hearings to examine the research priorities of the U.S. Department of Agriculture. Subcommittee Chair Rep. Charles Stenholm (D-TX) stated the keys to doing "better research with less money" were "relevance" to consumers and users and "accountability" to funders. The hearing also focused on possible reorganization of the Department's research efforts to meet Secretary of Agriculture Mike Espy's vision of a USDA that is "science-based and user-friendly."

Zerle Carpenter of Texas A&M, director of the Texas Agricultural Extension System, and James Fischer of Clemson University, director of the South Carolina Agricultural Experiment Station, discussed the roles of the Cooperative Extension Service (CES) and the State Agricultural Experiment Stations in the agricultural research nexus. The important roles in research and dissemination these play have changed in the last decade as the emphasis shifted away from production agriculture toward social, economic and environmental questions. Carpenter noted that the most highly visible current programs of the CES focus on societal issues. Fischer cited the utilization of geographic information systems to help rural communities.

Barbara Stowe, Dean of the College of Human Ecology at Kansas State University, noted that "the decade of the 1980s exemplified the urgent need for research that contributes to solutions of rural family and community pressures." She pointed out that social scientists within the land-grant system "have the ability to assess citizen attitudes and needs in ways that will provide an accurate information base for policy makers and community development organizations." "For too long," Stowe remarked, "we have neglected development of the social science information base that would help assure viable families and communities, and build a competent work force that will sustain the agricultural enterprise and related economic development."

EDITOR'S NOTE

President Clinton's Fiscal Year 1994 budget will be released during the week of April 5. As in previous years, COSSA will provide a detailed summary and analysis of the proposed FY 1994 budgets for over 40 federal agencies that support social and behavioral science research.

The next issue of *Update* will feature this analysis and will be published on April 30.

Also important to the subcommittee was the balance among formula grants, special (or earmarked) grants, and competitive grants. Stenholm cited figures from 1988-1993 noting that within the Cooperative State Research Service the mix had changed, with formula funding declining as a percentage of CSRS funding, and competitive and earmarked grants increasing significantly.

James Savage, assistant professor of political science at the University of Virginia, argued strongly against earmarked research funding and for a competitive merit review system of evaluating research proposals. The author of a Congressional Research Service study which analyzed trends in earmarking for universities and colleges from FY 1980-92, Savage noted that during this period about one-quarter of these earmarks, approximately \$625 million, had their origins in agriculture appropriations. This "greatly diffuses the Federal government's ability to set priorities and address national problems," Savage asserted.

Criticizing higher education associations for suggesting that agricultural research earmarks are different from possible earmarks at the National Institutes of Health and the National Science Foundation, Savage declared: "I believe this view of agricultural research within academia, where pork barrel is the accepted name of the game, helps to reduce agricultural research in general to second-class status within the academy." He did give credit to the academic community for promoting the expansion of competitive research programs, and acknowledged that the appropriations subcommittees have often greeted these efforts with hostility.

Savage also dismissed the argument made by CSRS administrators and some members of Congress that even earmarked grants are given some peer review. He called these reviews not very serious because the "agencies are afraid to

antagonize Members of Congress" who sponsor the earmarked grants.

Representatives of the National Association of State Universities and Land Grant Colleges (NASULGC), including its President Peter Magrath, testified in favor of an enhanced role for higher education and science through the land-grant/USDA partnership that would help fulfill Secretary Espy's vision.

COSSA TESTIFIES AT NIH REGARDING THE EXCLUSION OF WOMEN IN CLINICAL TRIALS

COSSA Associate Director for Government Affairs Susan Persons presented testimony at a March 29 hearing held by the Office of Research on Women's Health of the National Institutes of Health (NIH). The purpose of the hearing was to identify issues and strategies for increasing the recruitment and retention of women in clinical studies. A scientific meeting to address those issues will be held on July 12 and 13 in Bethesda, MD.

In September 1990, the NIH established the Office of Research on Women's Health (ORWH) to ensure that NIH-funded research addresses issues of women's health. The ORWH is committed to ensuring women's participation in clinical studies, and recently stated that "the exclusion of women from studies results in a lack of knowledge regarding gender differences and effective interventions for diagnosing, treating, and preventing diseases, disorders, and conditions in women."

Persons began her testimony by noting how little is known about barriers to the inclusion of women in clinical studies. While research on the biology of women's health has been slighted, she said, so has research on women's health behavior, including knowledge, beliefs and attitudes about science and medicine. She recommended that social and psychological research be conducted to identify barriers to the participation of women in clinical studies, with the goal of developing new methodologies to enhance women's participation.

After noting that specific research findings on women's participation in clinical trials was scarce, Persons discussed anecdotal evidence of barriers from researchers she contacted. The inability to access information about a study, and the phenomena of "physician as gatekeeper" were two

barriers that were often cited, she said. Persons spoke of instances where potential participants were denied information about a study, which led to a decision not to participate in one case, and to withdraw from a study in another case. She also cited "gatekeeping" by doctors -- keeping patients less than fully informed of medical knowledge on the assumption that it is too complex for them to understand or because it is critical of widely practiced research methods -- as also discouraging women's participation.

Persons discussed one study that analyzed barriers to women's participation in research studies and developed a new methodology to overcome this problem. However, because that study had not yet been published, a detailed description of its results was not available. The study, which used interview methods, focused on the sexual behavior of American women. It found that women of color were most comfortable being interviewed by like women, leading researchers to train women of color to collect data face-to-face with no assumptions regarding the participant's knowledge of anatomy and/or physiology or even assumptions about literacy. Because participants were uncomfortable with the research topic, interviews took place wherever subjects felt the most comfortable. Additionally, transportation and baby-sitting were provided.

Besides making the effort to train appropriate researchers, this community based study also made sure to include women from all levels of society. In the process of creating meaningful categories for analysis, efforts were made to match demographic characteristics such as education, marital status, number of children, etc. among the subjects. However not all black women were lumped together, as one "race" category. For example, a black woman from Haiti who had been in the United States for only a few months, was not placed in the same research category as a black woman who was born and raised here. Distinctions were made among white women also, for example, not assuming that all were of European descent.

Persons noted that this researcher's efforts are extraordinary in the conduct of qualitative as well as quantitative research, and demonstrate the kinds of sensitivities required to make standard research methodologies more conducive to the participation of women. She also noted that these adaptations will most likely yield information that is more valid and meaningful for women's health itself.

AMERICAN UNIVERSITY PRESIDENT TO LEAD U.S. INFORMATION AGENCY

President Clinton has selected American University President Joseph Duffey to head the U.S. Information Agency (USIA). Subject to Senate confirmation, Duffey will move to USIA in July.

Duffey will oversee an independent executive branch agency charged with promoting U.S. interests abroad through a wide range of information and educational programs. Of particular interest to social scientists are USIA's educational and cultural exchange activities, such as the Fulbright scholarship. A product of the Cold War era, USIA

faces the challenge of redefining the agency's mission in the context of sweeping international changes.

Clinton and Duffey's close association dates back to 1970 when Clinton, then a Yale law student, was a volunteer on Duffey's unsuccessful Senate bid. Duffey was an Assistant Secretary of State in the Carter administration, where he oversaw the international exchange programs that are now part of USIA. He later served as chairman of the National Endowment for the Humanities under both Presidents Carter and Reagan. Duffey was president of the University of Massachusetts system before coming to American in 1991.

SOURCES OF RESEARCH SUPPORT: NATIONAL INSTITUTES OF HEALTH

COSSA provides this information as a service and encourages readers to contact the agency for further information or application materials. Additional application guidelines and restrictions may apply.

Agency for Health Care Policy and Research

The Agency for Health Care Policy and Research (AHCPR) conducts and supports research, demonstration projects, and evaluations of health care services and systems delivering such services. The AHCPR announces a renewed interest in the role that market forces play in the provision and financing of health care. Earlier program notes on the role of market forces produced research that has contributed to the scientific knowledge on which current health care reform proposals are based. The program announcement emphasizes a need for short term research to assess key cost and financing issues that underlie efforts to reform our health care system.

Application Procedure: Applications are to be submitted on the grant application form PHS 398 (rev. 9/91), and will be accepted at the standard application deadlines as indicated in the application kit. Application kits are available at most institutional offices of sponsored research or the Office of Grants Inquiries, telephone (301) 496-7441. The completed original application and five legible copies must be sent or delivered to: Division of Research Grants, NIH, Westwood Building, Bethesda, MD 20892.

Budget: There is no specific limit for awards that are funded through this program announcement.

Deadlines: Applicants are encouraged to apply by the earliest possible submission date. The first due date is June 1, 1993. Thereafter, the due dates for applications are October 1, 1993 and February 1, 1994.

Contact: Michael Hagan (programmatic issues), (301) 227-8354; Ralph Sloat (fiscal matters), (301) 227-8447.

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CONTRIBUTORS

American Council of Learned Societies
American University
University of Arizona
Arizona State University
Brookings Institution
University of California, Berkeley
University of California, Los Angeles
University of California, San Diego
University of California, Santa Barbara
Carnegie-Mellon University
Center for Advanced Study in the Behavioral Sciences
University of Chicago
University of Cincinnati
University of Colorado
Cornell Institute for Social and Economic Research
Cornell University
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University of Wisconsin, Madison
University of Wisconsin, Milwaukee
Yale University

Consortium of Social Science Associations

1522 K Street, NW, Suite 836, Washington, DC 20005
