

**SENATE PANEL FUNDS  
NSF SLIGHTLY ABOVE  
HOUSE LEVEL** *HS*

The Senate VA, HUD, Independent Agencies Appropriations Subcommittee, chaired by Sen. Christopher 'Kit' Bond (R-MO) produced a bill on July 10 that provided the National Science Foundation with funding for FY 1997 above the House passed levels. The bill emerged from the full Senate appropriations committee the following day and currently awaits full Senate consideration, expected the week of July 29.

NSF's FY 1997 appropriation goes to the Senate floor with a total of \$3.275 billion. This is \$22 million above the House passed level (not including the 0.4 percent across-the-board cut, see *Update*, July 15), and \$55 million above last year's appropriation. For Research and Related Activities, the Senate committee's bill provides \$2.432 billion, \$1 million above the House passed allocation, and a \$118 million increase, or 5.1 percent, over FY 1996. The Senate, as the House did, agreed with the administration's proposal to eliminate the academic research facilities modernization program. Again concurring with the House, the Senate committee includes \$50 million for research instrumentation in the Research and Related Account. The Committee report emphasizes the need for NSF to continue its efforts to "enhance the linkages between research and education through innovative programs and activities."

In the full committee, Sens. Barbara Mikulski (D-MD), Bob Kerrey (D-NE), and Conrad Burns (R-MT) sponsored a successful amendment that added \$5 million over the Subcommittee's original recommendation to NSF's Education and Human Resources (EHR) account. The additional funds will enhance support for the Experimental Program to Stimulate Competitive Research (EPSCOR) and informal science education. This increase sets the EHR account, as the bill goes to the Senate floor, at

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**HOUSE FUNDS COMMERCE,  
JUSTICE, STATE PROGRAMS** *MS*

By a 246-179 vote, the House adopted on July 24 its Fiscal Year 1997 appropriations bill for the Departments of Commerce, Justice, and State.

For the **Census Bureau**, the bill allocates \$133.6 million for Salaries and Expenses. This is \$17.0 million below the Administration request, and equal to current funding. This account supports ongoing economic and demographic statistical programs conducted by the Bureau. The report accompanying the bill urges the agency to re-evaluate and reprioritize its programs with the aim of streamlining its efforts.

The legislation appropriated \$205.1 million for **Periodic Censuses and Programs**, which supports decennial and other cyclical programs. The House amount is a reduction of \$43.6 million from the request and an increase of \$55.0 million above current funding. For the 2000 decennial census, which has a costly ramp-up in the years preceding the survey, the House provided only half of the Bureau's requested increase. The report said that the Appropriations Committee "is concerned that the Census Bureau does not have a plan in place that accurately predicts and

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**INSIDE UPDATE...**

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## SENATE AGRICULTURE APPROPRIATIONS BILL PASSES: NRI CUT

On July 24, the Senate passed the FY 1997 Agriculture Appropriations bill. The House bill passed on June 12. Reconciling the differences between the two bills will occur in a conference committee that will hold staff-level meetings in August, with the final determinations coming in September when Congress returns from its recess.

The Senate made some slight shifts in the funding of the research accounts in the bill. It reduced to \$93.9 million support for the **National Research Initiative Competitive Grants** program (NRI). This is \$1.8 million below the House passed figure, which was the same as the FY 1996 funding level. The hoped-for growth in this program -- the President had asked for \$130 million for next year -- toward the original authorization of \$500 million continues to be frustrated. In cutting the NRI's funding, the Senate also lowered support for the **Markets, Trade and Policy** component to \$3.9 million, slightly below the \$4 million FY 1996 figure, also voted by the House for FY 1997.

The Senate provided \$47.1 million for **Special Grants**, almost \$3 million above the House level, although a reduction of about \$700,000 from FY 1996. Included in the Special Grants are \$644,000 (same as the House) for the Rural Policies Research

Institute. The final figure for Special Grants is likely to be higher than either the House or Senate number, since each chamber usually supports different projects and then all of them are accepted in the final bill. The Senate included \$939,000 for continuation of the Geographic Information Systems project, the same as last year, and slightly above the House allocation of \$750,000.

The **Economic Research Service** received \$53.1 million from the Senate, almost \$1.1 million below the House level, and \$22,000 below the FY 1996 level. The Committee report directs the ERS to conduct a comprehensive survey of conservation tillage. The **National Agricultural Statistics Service** received \$98.1 million, a \$17 million increase over FY 1996. The House provided NASS with \$100.2 million. The increase is to cover funding for the Census of Agriculture which will be transferred from the Department of Commerce (a bill to accomplish the move passed the House on July 22 by voice vote). Since the Census is budgeted at \$17.5 million, the Senate allocation assumes some belt tightening at NASS. The Senate restored \$5 million the House had cut from **Hatch Act** formula payments. The Senate level is the same as FY 1996, \$168.7 million.

## PETERSEN TO LEAVE NSF FOR KELLOGG FOUNDATION

Anne Petersen, Deputy Director of the National Science Foundation since July 1994, has announced her resignation. She will leave the Foundation in mid-September to join the W.K. Kellogg Foundation as Senior Vice President for Programs. Prior to her NSF position, Petersen served as Vice President for Research and Dean of the Graduate School at the University of Minnesota.

The first woman to serve as NSF Deputy Director, Petersen was its Chief Operating Officer, managing the Foundation's reinvention process, promoting many of its new activities, and representing it to governmental and non-governmental bodies. NSF Director Neal Lane, informing the National Science Board of Petersen's imminent departure, noted that "Anne's creativity, drive, intellect, and insight were always evident -- and proved invaluable in these often challenging times." He called her contribution to NSF "immense."

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The Consortium of Social Science Associations (COSSA), an advocacy organization for federal support for the social and behavioral sciences, was founded in 1981 and stands alone in Washington in representing the full range of social and behavioral scientists. *Update* is published 22 times per year. Individual subscriptions are available from COSSA for \$65; institutional subscriptions, \$130, overseas mail, \$130. 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.



As a psychologist, with a Ph.D. in Statistics, Petersen was an important and effective champion for the social and behavioral sciences, in both NSF's internal and external operations. She played a key role in maintaining support for the Social, Behavioral and Economic Science Directorate as it faced attacks during the past two years. She also has been actively involved in government-wide activities relating to child development and adolescence research, and recently completed service on the National Institute of Child Health and Human Development Advisory Council. She also chaired an inter-agency committee concerned with research on learning.

The Kellogg Foundation is one of the nation's leading private research foundations. Located in Battle Creek, Michigan, it has supported many pathbreaking programs in such areas as youth development, higher education, agriculture and health. In her new position, Petersen will provide leadership for the foundation's programming and future planning.

Since the NSF Deputy Director must be confirmed by the Senate, it is likely that Petersen's replacement will not be on board until sometime next year.

## HEARINGS EXPLORE BALANCED BUDGET'S IMPACT ON SCIENCE

HS

Although witnesses claimed that trying to predict the impacts of six year budget projections are "guesswork," and have "always been unreliable," the House Science Committee held two days of hearings on July 23 and 24, exploring the impact on science and technology of the plans to balance the budget produced by the President and Congress. Both Science Committee Chairman Rep. Robert Walker (R-PA) and Ranking Democrat Rep. George Brown (D-CA) expressed concern that the forecasts for the out-years (FY 1998-2002) indicated severe funding difficulties for federal support of civilian science in the years ahead.

The Republicans on the committee focused on the steep declines in the President's budgeted numbers for science in FY 1998-FY 2002. Al Teich, Director of Science and Policy Programs, the American Association for the Advancement of Science, noted that his organization's analysis predicted a 20 percent

drop in funding for S&T under the President's budget. The projections in the Congressional budget resolution would lead to a 23 percent drop in federal support, according to the AAAS analysis. NASA and NSF fare better under the congressional plan, while the Departments of Energy and Commerce are favored by the President's scenario. This led Brown to deem both budget plans "equally distasteful." He also admitted that each year for the past five years, the five year estimates had changed.

Some of the Republicans, such as Rep. Dave Weldon (R-FL), used the hearing to question the President's commitment to balancing the budget. According to the Congressional Budget Office analysis of the White House plan, the President will need to make more reductions in the final two years than he expected. Since the administration refuses to specify where those reductions will come from now, the GOP has criticized the whole proposal. Sen. Christopher 'Kit' Bond (R-MO), Chairman of the Appropriations Subcommittee with NSF and NASA in its jurisdiction, lent his support to Walker's concerns calling the out-year numbers "real," that require "an appropriate planning process."

Walker wanted to hear from the Office of Management and Budget on these issues, but was left frustrated by their unwillingness to provide a witness for the hearings. Without OMB and a witness from the Office of Science and Technology Policy, NSF Director Neal Lane, NASA Administrator Dan Goldin, and Energy Research Office Director Martha Krebs, represented the agencies facing the daunting task of planning for an uncertain, but perhaps difficult funding future.

## Lane Recalls NSF Budget Doubling Proposal

Lane, who has evinced concern with the administration's downward slope for NSF in the coming years, noted that "budgeting has been and always will be an annual exercise for both the executive branch and Congress." As an example of the futility of relying on budget forecasts, he pointed to the example of President Reagan's plan, presented in the FY 1988 budget proposal, to double NSF's funding over six years. "By contrast to the projections in the current budget, the year-by-year estimates in the doubling plan were exhaustively discussed and studied," Lane remarked. "They were



explicitly endorsed by the President, made the centerpiece of a five-year plan developed by NSF, and they were approved by Congress with only minor modifications in authorizing legislation," he added. Yet, Lane said, "even with all this planning and bipartisan support, the estimates were revisited each year in the development of the President's budget and the annual appropriations process. In every year of the 'doubling period' both the President's request and corresponding appropriations fell short of the initial projections."

Walker still insisted that it was important to figure out "how you get there [balancing the budget] from here." He indicated that if the Science Committee's efforts to hold NSF harmless in the coming budget reductions were going to succeed, alternative cuts would be necessary. Furthermore, although previous attempts to severely reduce indirect costs had been taken off the table, Walker warned loudly "it's coming back," as an item tempting to congressional budget cutters.

### **CLINTON NOMINATES M.R.C. GREENWOOD TO SCIENCE BOARD**

On July 26, President Clinton announced his intention to nominate five new members of the National Science Board. Among the names to be submitted to the Senate for confirmation are M.R.C. Greenwood, former Associate Director for Science at the Office of Science and Technology Policy. Greenwood recently assumed the Chancellorship of the University of California at Santa Cruz, after serving as Dean of Graduate Studies at the University of California, Davis.

#### **Appreciative of Social and Behavioral Science**

During her tenure at OSTP, *Science in the National Interest* was produced to serve as a blueprint for national science policy. As an expert in physiology and nutrition, Greenwood became appreciative of the contributions of the social and behavioral sciences.

The other nominees are: John Armstrong, former Vice President of Science and Technology at IBM and an applied physicist by training; Stanley Jaskolski, the Chief Technical Officer and Vice President of

Technical Management for the Eaton Corporation in Cleveland, OH and an electrical engineer by training; Vera Rubin, a research astronomer with the Department of Terrestrial Magnetism of the Carnegie Institution of Washington; and Bob Suzuki, President of California Polytechnic University, Pomona, CA, whose Ph.D. is in aeronautics. Suzuki, according to the White House has concerned himself with advancing minority education and conducted research in both engineering and educational sociology.

The National Science Board has 24 members, appointed by the President with the advice and consent of the Senate. Members serve six year rotating terms and eight members are appointed every two years. The President has four more positions to fill. (A left-over vacancy, plus the remaining replacement slots). The NSB is the policy making body for the National Science Foundation and recommends overall national policies for promoting basic research and education in the sciences.

### **SAMUELSON AWARDED NATIONAL MEDAL OF SCIENCE**

Economist Paul Samuelson received the National Medal of Science at a July 26 White House ceremony. The institute professor emeritus at the Massachusetts Institute of Technology was honored for his nearly 60 years of fundamental contributions to economic science, education and policy. He helped establish both the agenda of modern economics and scientific standards for economic analysis of a wide range of problems including social security and the public debt, welfare and international trade.

The medals were established by Congress to honor individuals for contributions to the present state of knowledge in the sciences and engineering. Samuelson was one of eight recipients for 1996.



## SENATE NSF FUNDING

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\$624 million, \$12 million above the House mark and \$25 million above FY 1996.

The Committee recommended \$134 million for Salaries and Expenses (S&E), \$9 million above the House passed level. NSF was quite concerned that the House number for S&E would force it to consider cuts in personnel and other activities that could decrease the efficiency and effectiveness of the grant making process. There was also some consternation that such a cut would make more viable the House authorizers attempt to force NSF to eliminate a directorate.

Once the legislation passes the Senate floor, a House-Senate conference committee will need to reconcile the differences. Although the White House has expressed its unhappiness with some of the funding levels for EPA and HUD, since the Senate bill includes funding for the Corporation for National Service, the threat of a presidential veto does not loom large. Whether the bill finally gets enacted into law depends on the congressional schedule and how much confrontation the White House and Congress want. Time is certainly growing short as members seek to leave Washington and campaign for re-election. Unlike earlier reports that they would leave for the August recess and not return, it now appears Congress will come back in September hoping to complete as many of the appropriations bills as they can before the fiscal year begins on October 1 and adjournment occurs on October 2.

## HOUSE COMMERCE, JUSTICE STATE FUNDING

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budgets for the costs of the Year 2000 Census, regardless of the methodology chosen." Congress has reacted with considerable skepticism toward the Bureau's plans to incorporate statistical sampling techniques into the survey (see *Update*, June 10), and the report calls upon the Bureau to provide a detailed budgetary plan before expending funds in this area. The report also expresses concern over the length of the long-form questionnaire, and calls upon the agency

to present a report documenting efforts to reduce the number of questions, the statutory justification for retaining other questions, and the sharing of survey costs among other federal data users.

The FY 1997 bill provides \$45.9 million for the economic and statistical analysis programs of the Commerce Department, which includes the **Bureau of Economic Analysis**. This amount is equal to current funding, and \$7.6 million below the request. As it has in the past, the House report prohibits the Department from using any of these funds to develop a "Green GDP" measure of environmental degradation. Research and Evaluation programs at the **Economic Development Administration** were level-funded at \$500,000. The President had asked for \$1.5 million.

For the **National Institute of Justice (NIJ)**, the bill continued the current funding level of \$30.0 million. NIJ will receive \$20 million in additional funding from the Local Law Enforcement Block Grants Program for research and design of new technologies. In recent years Congress has paid considerable attention to the law enforcement technologies component of NIJ, but has shown far less interest in the Institute's efforts to better understand the causes and prevention of crime through social and behavioral science research.

Funding for the **Bureau of Justice Statistics** was once again held flat at \$21.4 million. The **Office of Juvenile Justice and Delinquency Prevention** was funded at \$145.0 million, a \$1.0 million increase over current funding. Legislation is pending before both the House and the Senate to reshape the Office's structure and functions, and the appropriations bill would defer to any legislation enacted this year.

For the educational and cultural exchange programs at the **U.S. Information Agency (USIA)**, the House voted \$185.0 million, down \$14.7 million from current funding and \$17.4 million below the budget request. The report urged USIA to establish a mechanism for open competition for administering the Fulbright Program. USIA is also expected to receive approximately \$30.0 million, the same as current funding, as a transfer from the Foreign Operations appropriations bill to conduct Freedom Support Act programs.



Because of provisions in the bill relating to the Anti-Ballistic Missile Treaty and the Advanced Technology Program, the legislation may face a White House veto, if it is not changed in the Senate.

## COSSA SEMINAR BRINGS AGING DATA TO CONGRESS MB

A June 14 COSSA seminar, *Aging Well: Health, Wealth and Retirement*, brought research and data about our changing demographics to Capitol Hill. The event, attended by over 50 congressional and federal agency officials and others was held in the Rayburn House Office Building.

After a brief welcome by COSSA Executive Director Howard J. Silver, F. Thomas Juster, Professor in the Department of Economics at the University of Michigan, gave an overview of two major longitudinal studies of our aging population. Examining issues such as -- health, family structure, and retirement, the National Institute on Aging supports the Health and Retirement Survey (HRS) and the Asset and Health Dynamics Survey (AHEAD). They provide "an empirical database for a retirement aged cohort and older cohorts," Juster said. HRS interviewed approximately 7,700 people; AHEAD slightly more than 6,000. HRS examines a group that starts about one generation prior to AHEAD. HRS will soon incorporate the first-wave of baby boomers.

Both studies include information on respondents' job characteristics, economic status, physical and cognitive health, family transfers, and plans and expectations. In citing a few findings, Juster said there is a good sense of job security among those still in the work force. Yet most believed if they lost their job it was unlikely that they would obtain a new one. The pension data show that the greater pension benefits one has, the earlier you are likely to retire. Intergenerational transfers, Juster said, go from parents to children regardless of economic status. The data also indicate that the likelihood of transfers in this direction increase if you believe that your children are worse off than you were at that age.

### Most Elderly Sustained by Community

Beth Soldo, Professor and Chair of the Demography Department at Georgetown University,

discussed family structure and family transfers. Transfers, Soldo said, can be both formal and governmental from one generation to another, such as Social Security and Medicare, they can be informal across generations within a family, or they can be over a life cycle, such as saving for retirement over a number of years. The studies examined the intersection between public transfers and private efforts. According to the data, most elderly are sustained by and in the community. As time goes on, those in greater need receive more of their support from the public sector. Today's elderly, the parents of the baby-boom, receive a relatively high level of family support. Soldo said that this will change when the baby-boomers become dependent upon the smaller generation that followed them.

Discussing "transfers in the currency of time," Soldo said that the bulk of the care for frail elderly is provided by friends and family. Those without children are admitted to institutional settings far earlier than those with children. The HRS and AHEAD data reveal that Hispanics and African-Americans are far more generous with the relief they give their parents than whites, and the survey data suggest this could be attributed to those with higher incomes paying for provision of these services. Expanding on a point Juster had made, Soldo said that even with some level of disability and limited income, the elderly are twice as likely to be giving some aid to their children or to community or charitable groups as they are to be receiving financial transfers from their children. Soldo discussed how competition exists within families from situations such as both spouses having parents in need of assistance, often at the same time as their children have college tuitions to pay. Families are "in every sense of the word caught in the middle," she observed. Interestingly, she said, the data show that families find the resources needed by taking it out of their own consumption, rather than reducing the assistance they provide. The assistance provided is financed, in part, by reducing their own investments for their future.

Olivia Mitchell, professor at the Wharton School, University of Pennsylvania, discussed trends in age of retirement and savings for retirement. Mitchell is the chair of a technical panel advising the Social Security Administration on these issues. She said that survey data show that the rate of private saving for retirement is quite low, and forecasts show that most people



cannot sustain a several decade period of not working. Mitchell said that the modal age of applying for Social Security benefits is 62.5. The solvency of Social Security is threatened by projections of benefits far exceeding payroll taxes taken in, she said. One of the proposed solutions to this issue that Mitchell's panel considered was raising the retirement age. According to Mitchell, fewer than 10 percent of those taking benefits early are in poor health, and on the whole those taking early benefits are similar to those postponing them for several years. One difference, however, is that the median wealth for early takers is \$168,000 versus \$152,000 for postponers.

### A Two-Pillar System for Social Security?

A critical issue the technical panel examined was privatizing the Social Security system. One idea Mitchell cited was a "two-pillar system," with one pillar having a guaranteed minimum retirement benefit, and the other pillar an individual contribution plan. Her panel is using a range of social science research, including HRS and AHEAD, to study this issue. She said that many baby-boomers are pessimistic about Social Security and believe that an individual account system would reduce the political risk. A number of economists, according to Mitchell, believe that if people were given the responsibility of investing their own money, they would become more financially literate. Mitchell said that the HRS is seeking to better understand people's knowledge of financial facts, how their financial literacy relates to their financial decisions, and whether such an individual account would provide an adequate retirement income.

Raynard Kington, who is both a Ph.D. in economics as well as a M.D, discussed data on the relationship between health and wealth. According to Kington, who is Senior Natural Scientist at RAND and Assistant Professor of Geriatric Medicine at UCLA, one of the most challenging aspects of studying this relationship is that it is complex and two-way. Some, he said believe that improved economic status provides access to health services and information, while others see the causation differently, with healthier people able to work more frequently and accruing fewer medical expenses. The advantage of the HRS and AHEAD data, he said, is "we will be able to understand the temporal sequence of changes." Another benefit of the studies is that they measure

### SRCD BECOMES MEMBER OF COSSA

The Society for Research in Child Development (SRCD) has accepted the invitation of the COSSA Board of Directors to elevate its status within the Consortium from Affiliate to Member. Leaders of SRCD will now serve on the Board of Directors and Executive Committee of COSSA.

We look forward to our expanded relations with SRCD on issues of common concern.

wealth not income, a key distinction among the retired, Kington added.

Kington discussed survey results that look at several different measures of health. There are dramatic differences in household wealth between those who reported their health as excellent versus poor. This holds true both for couples and for those who report their health as improving. According to Kington, the studies show that this correlation exists over time. "Even after you control for income and a range of other factors related to health status, wealth seemed to have an independent relationship and sometimes, particularly in the older group, seemed to be more important than income." The HRS and AHEAD data examined health as it relates to hours worked, including decisions to leave the workforce. The evidence, he said, "is consistent with the belief that in older populations, health has an effect on economic status. That relationship dominates the relationship of economic status to health." Kington added that survey data also show that wealth made one less likely to engage in negative health habits, such as smoking and not exercising.

A lively discussion period followed, including comments on issues such as pension data, impact on the labor force of a later retirement age, and the size and scope of the role of grandparents in raising children. A full transcript of the event will be published by COSSA later this year.



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