

# Proposed Fiscal Year 1997 Budgets for Social and Behavioral Science Research

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In the 1960s Jimmy Breslin immortalized the ineptitude of the 1962 New York Mets, a team that lost 120 of 162 games, in a book entitled *Can't Anybody Here Play This Game?* As Washington awaits the true arrival of Spring and perhaps, in some not too distant future, a major league baseball team, Breslin's title can serve as a metaphor for the budgetary politics of the past year.

## Can't Anybody Here Play This Game?

More than six months into Fiscal Year 1996 the Departments of Commerce, Education, Health and Human Services, Housing and Urban Development, Interior, Justice, Labor, State, and Veterans' Affairs still await their final appropriation. The same holds true for such independent agencies as the Environmental Protection Agency, National Aeronautics and Space Administration, National Science Foundation, National Endowment for the Humanities, and the United States Information Agency. This is also the reason this budget analysis issue appears more than four months into the calendar year.

Looking back on 1995, the expected confrontations between a Democratic President and a new Republican congressional majority occurred most dramatically over spending decisions on federal programs. The year began with the President proposing a budget that projected large deficits far into the future, virtually taunting congressional Republicans to bring a vote on a constitutional amendment to balance the budget in seven years.

Although the amendment passed the House, it failed in the Senate by one vote. Undaunted, the GOP never wavered from its commitment. Using the tools of the congressional budgetary process, the House of Representatives, in particular, went about the business of reducing the federal government's role in order to end deficits. First, they produced a \$17.3 billion FY 1995 rescission bill, that although originally vetoed by the President, subsequently passed at a slightly reduced level. This served as the first shot in the upcoming budget war.

While the House Republicans concentrated on fulfilling their *Contract With America*, the normal budgetary process soon fell hopelessly behind schedule. House-Senate agreement on a budget resolution did not occur until July. Yet the pressures for budget reduction remained great. NSF Director Neal Lane was asked at an appropriation hearing what the Foundation would do if forced to take a twenty percent cut. The House Science Committee threatened NSF's Social, Behavioral and Economic Science Directorate with extinction. The Congress put the National Endowment for the Humanities on a path to elimination. The National Institutes of Health faced a 5 percent budget reduction. The House Republicans produced task force reports recommending the abolition of the Departments of Commerce, Education, Energy, and Housing and Urban Development. In acting to display their own frugality, the Congress voted to abolish its own Office of Technology Assessment. This agency provided Congress with scientific and technological studies and here-

tofore had enjoyed bipartisan support. In a direct attack on the White House, the Republicans tried to abolish the President's Council of Economic Advisers. It was saved with the help of former Chairs, such as Alan Greenspan, who has advised presidents of both parties.

As we moved into the summer, the Senate began demonstrating an unwillingness to accept many of the draconian cuts voted by the House. At the same time, the balance-the-budget pressure persisted and the President decided to revise his budget submission and support the idea. Eventually he worked his way down to agreeing with the Republicans to accomplish this task in seven years, but made clear his priorities would be different. Congress began passing appropriations bills, but the cuts combined with legislative riders unacceptable to the White House led to vetoes. In addition, the House and Senate GOP were often at odds. One example was the Senate's refusal to accept stringent restrictions on advocacy by non-profit groups. Congress eventually passed a reconciliation bill that would have begun reducing the growth in entitlement programs, such as Medicare and Medicaid. The president vetoed that and gained politically.

The Republicans also spent the year refusing to increase the limit on the Debt Ceiling. They threatened to use the extension as a vehicle to achieve many of their other priorities. Treasury Secretary Robert Rubin became adept at using the financial means at his disposal to avoid a government default. Eventually, in March 1996, the Republicans abandoned their plans to create mischief with the debt limit and agreed to an extension until September 1997. At the same time, agreement was finally reached to give the President the Line-Item Veto. The new presidential power does not take effect until January 1997, when the Republicans hope to replace President Clinton with President Dole. There are already constitutional challenges to the new law arguing that the legislative branch cannot cede this part of its power of the purse to the executive.

### **Continuing Resolutions by the Dozen**

By the time Fiscal Year 1996 began on October 1, 1995 deadlock prevailed. Congress passed the first, of what would grow to a dozen, continuing resolutions (CR) that gave the Administration and Congress six weeks to settle their differences. They could not. The government shut down. After 6 days it reopened. After another three weeks of negotiations, no agreement occurred and those government agencies without appropriations shut down again on December 16. After much public outcry, Congress began, in early January to selectively pass full year appropriations for those agen-

cies deemed essential. One of those lucky agencies was the National Institutes of Health, which received a significant increase in funding due to the tireless efforts of its House Subcommittee Chairman Rep. John Porter (R-IL). Since the second government closing there have been eight more CRs.

The shutdowns, the continuing resolutions, and a week of poorly plowed snow, created significant disruptions for those agencies still without FY 1996 funding. They have had to figure out whether programs can be funded and competitions held. In addition, delays have occurred in grant processing and disbursements to State and local governments, and other entities such as school boards. The CRs have kept many agencies on short leashes and reduced their spending authority.

*Finally on April 25, almost 7 months after the fiscal year began and following the passage of a thirteenth stop-gap funding measure, the President and Congress agreed on an Omnibus Appropriations bill. It included funding for nine Departments and numerous independent federal agencies, such as the National Science Foundation. In reaching the compromise, the Republican congressional majority could tout its \$23 billion reduction in discretionary spending from FY 1995 totals. The President could argue that his priorities in education, training, law enforcement, and science and technology remained largely intact.*

### **Fiscal Year 1997**

In the meantime, the process for FY 1997 needed to commence. President Clinton presented an outline of his proposed budget on February 5. The White House flushed out the details on March 18. Appropriations committees began hearings even before the President's detailed budget appeared. In this election year, Congress hopes to adjourn by October 4. Embarrassed by their failure to finish the FY 1996 appropriations process on time, the congressional leadership will push hard to move quickly this year. Whether the House and Senate can work more cooperatively than last year and whether they can reach agreement with a President whose likely re-election opponent is the Republican leader of the Senate will likely make this year as interesting as the previous one.

In examining the overall budget picture proposed by the President, the limits on discretionary spending congressional staff love to tell advocates about is evident. There is a short-lived \$4 billion increase for FY 1997 to \$543.5 billion. Spending then declines slightly, about \$6 billion a year from 1998–2000. In the final two years of the glidepath to a balanced budget by 2002, discretionary spending falls from \$538 billion to \$527

billion. At the same time, the President's priorities include investing in education and training; the environment; science and technology; law enforcement; and a limited tax cut for the middle class. All this suggests a lot of other things will have to go.

### Overall Research and Development

Although science and technology is a presidential budget priority in FY 1997, the proposed budget of \$72.7 billion amounts to a \$1.2 billion, or two percent, increase. Projections made by the American Association for the Advancement of Science and others find that research and development budgets will decline by 17 to 20 percent from now until 2002. This decline demonstrates the restraints under which budget games are now played.

The defense-civilian ratio remains about 53–47 (\$38.3 to \$34.4 billion), still not the 50–50 goal the Administration once declared it would meet. Basic research support grows by \$268 million to \$14.3 billion, a 2 percent boost. Applied research jumps \$622 million to \$14.8 billion, a four percent rise. On the civilian side, basic research grows by the same 2 percent, while applied goes up 5 percent. On the defense side, basic is up 3 percent to \$1.2 billion, while applied jumps only 1 percent to \$3.7 billion. Not adopting Frank Press' suggestion to remove the weapons development part of the budget from the S&T presentation, the Administration proposes a \$3 million increase in this category to \$32.6 billion.

Among the initiatives promoted by the National Science and Technology Council, the Administration's R&D coordinating body, High Performance Computing and Communications across the agencies receives a 3 percent boost to \$1.1 billion, while the Global Change Research Program goes up 8 percent to \$1.9 billion. The Administration continues to push the Partnership for a New Generation of Vehicles, that will be more fuel efficient and improve efficiency, safety and emissions. The budget also includes \$434 million for research and development on educational technology to improve learning in schools, workplaces, and homes.

### NSF and NIH

In last year's budget resolution, the new congressional majority had hoped to maintain funding for the **National Science Foundation** and perhaps provide it an increase in future years. The NSF's final FY 1996 budget wound up \$50 million below its FY 1995 spending level. *In the final FY 1996 budget agreement, NSF received a \$40 million addback to its research account.* The research account thus increased slightly by 1.4

percent. For FY 1997, the proposed budget suggests a brighter picture. The research increase approaches 6.8 percent. However, NSF proposes to eliminate its research facilities program and move the \$50 million instrumentation program into the research account, reducing the research increase from \$158 million to \$108 million. The proposed increase for the total NSF budget is \$106 million, as the \$50 million for research facilities modernization is eliminated.

The Social, Behavioral and Economic Sciences (SBE) directorate received a slight increase of \$3.0 million for FY 1996. For FY 1997, the proposed increase is \$10 million; percentage-wise about the same for the other research directorates. A major new cross directorate initiative in Learning and Intelligent Systems heads the list of initiatives. The Human Capital Initiative will continue to receive priority. In addition, a number of new centers—on violence research, environmental decision making, and global change—will focus SBE's resources.

As mentioned above, the **National Institutes of Health** led a charmed life in FY 1996. Faced with indications that some in Congress wanted to reduce NIH's funding, its advocates went to work. With the strong support of Rep. Porter, they achieved, not only a 5.7 percent increase, but the certainty of full year funding when many of the other research agencies were learning to live with uncertainty and ambiguity. For FY 1997, the Administration proposes a 4 percent increase. A large proportion of this will go toward construction of a new clinical center on the NIH campus. The increases for the research institutes are mostly in the 2 percent range. Rep. Porter has already announced that he will seek a 6.5 percent increase for NIH in FY 1997. As we have seen, the Chairman can be a persuasive fellow.

### Other Agencies

Last year saw the arrival of a Director for the Office of Behavioral and Social Sciences Research. Norman Anderson has given the social and behavioral sciences a voice within the Director's office at NIH. He hopes to increase support for research in these areas in all the institutes. The social and behavioral sciences have made good progress in achieving visibility and funding in the effort to confront and conquer the AIDS pandemic.

Once again the Administration has asked for a major increase in the National Research Competitive Grants program at the **Department of Agriculture**. Always caught in the trade-off with the Special Grants favored by individual Members of Congress, the Na-

tional Research Initiative program remains a long way from its original goal of \$500 million. The social science component, Markets, Trade and Policy, continues to grow slowly.

The **Department of Commerce** survives, albeit without its dynamic leader. The Census Bureau remains a source of controversy as it gears up to conduct the 2000 enumeration. Pressure to cut costs necessitate spending money to save. Congress seems reluctant to buy this proposition. A bill to move Census out of Commerce into a new Federal Statistical Service with the Bureau of Labor Statistics and the Bureau of Economic Analysis has been proposed.

At the **Department of Education**, the Office of Educational Research and Improvement has been treated well, as both parties acknowledge the federal government's role in research, statistics and assessment. The Administration would also like to promote educational technology and OERI prospers as a result in the FY 1997 budget proposal. International education slogs along, with grudging acknowledgment that it is useful for Americans to understand the global situation and to learn to speak more than English to compete in this interdependent world. Fellowship support for Graduate Education continues to diminish as a number of programs face elimination. The Administration and Congress have reached consensus on terminating small programs that helped prospective social scientists pay for their graduate training.

The **Department of Housing and Urban Development** continues to "reinvent" itself as it hopes to fend off those who would demolish it altogether. The Office of Policy Development and Research plays a role in evaluating the reinvention and continues to produce the American Housing Survey. At the **Department of Justice**, the research and development budget reflects a desire to discover new technologies to combat crime. Although the Administration supports research and data collection, the core budgets for the National Institute of Justice and the Bureau of Justice Statistics have not been provided substantial increases in a long time. Policy research at **Health and Human**

**Services** has suffered budget declines in recent years. Its agenda of health care reform and welfare reform research and evaluation is in the midst of reformulation.

At the **Department of Labor**, the Bureau of Labor Statistics continues its research into the redefinition of the Consumer Price Index. It has maintained its support for the National Longitudinal Survey of Labor Market Experiences. A proposed revision of job training programs, still in a House-Senate conference committee, retains a federal role for research support, but funding levels are unclear.

The **National Endowment for the Humanities** (NEH) continues to face an uncertain future. It survived the appropriations process, but there are many opponents who still relish the opportunity to kill NEH and the National Endowment for the Arts and get the federal government out of the business of supporting artists and scholars who are not "true" producers for economic growth. Pressure is still on to move the **United States Information Agency** into the State Department. In the past two years, exchange programs have suffered budgetary declines and the future of the Fulbright program is under debate.

In 1995 the social, behavioral and economic sciences community demonstrated its ability to communicate and advocate for its programs and funding during the attack on NSF's SBE directorate. As budgets continue to tighten, the Congress and the Administration will both seek targets for reduction and elimination. COSSA will remain vigilant in protecting and defending the importance of research, particularly in the social, behavioral and economic sciences.

As Neal Lane has suggested, this cannot happen only in Washington, you must convince the public and decision makers of the importance of government support for research as well. The efforts that social and behavioral scientists made in 1995 helped thwart the attack on research. Social, behavioral and economic scientists are often in unique positions to convince policymakers of the contributions of the research conducted by scholars in these disciplines. Take advantage of those opportunities and create some that are not apparent.

HOW TO INTERPRET BUDGET FIGURES

COSSA's budget issue provides figures for Fiscal Year 1977 budget authority, modifying this number to account for stipulated carryovers and various technical adjustments. All figures in the agency tables are in millions of (current) dollars. There is some rounding error. The "current 1996" numbers reflect the final appropriations for those agencies whose funding bills have been signed into law. For agencies that have not received final FY 1996 appropriations, the figures indicate, except where noted, the estimates provided in the President's budget submission to Congress.

Two types of data are compiled in the following tables. The first four columns provide recent and current budget figures, while the latter three columns provide comparisons of numerical data. Printed below is a sample table:

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96/ A-FY95	% Change C-FY96/ P-FY96	% Change C-FY97/ C-FY96
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Column 1 provides actual spending figures for FY 1995. Column 2 provides the Administration proposal for FY 1996 funding. Column 3 offers estimated FY 1996 expenditures, thereby reflecting congressional changes to presidential proposals. Finally, Column 4 provides the Administration's funding recommendation for FY 1997.

The last three columns offer comparative information. Column 5 shows the percentage change from Actual FY 1995 spending to Current FY 1996 spending. Column 6 compares Current FY 1996 funding with Proposed FY 1996 funding, thereby reflecting congressional modifications to the Administration's budget. Finally, Column 7 compares Proposed FY 1997 funding with Current FY 1996 funding, thereby illustrating Administration budget priorities as gauged against current spending.

**Department of Agriculture**

The new Undersecretary for Research, Education, and Economics has responsibility for the four agencies that focus on these missions: the Agricultural Research Service, the Cooperative State Research, Education and Extension Service, the Economic Research Service, and the National Agricultural Statistics Service. These agencies conduct research and education on matters related to the environment, conservation, human nutrition, plant and animal diseases, food safety, agricultural trade, and rural development. The recently-passed Farm Bill includes an authorization of \$100 million for a Fund for Rural America. Up to two-thirds of the fund may be used for research and education programs. The actual money will have to be provided in appropriations.

*Cooperative State Research, Education, and Extension Service*

The Cooperative State Research, Education and Extension Service (CSREES) resulted from the merger

of the Cooperative State Research Service and the Extension Service. The new agency is USDA's major partner with the nation's universities in their conduct of research and support for agriculture at institutions of higher education. The components of the program supported by CSREES include competitive grants, special grants of national significance and those supported by individual Members of Congress, and formula payments (Hatch Act payments to State Agricultural Experiment Stations).

The National Research Competitive Grants Program (NRI) provides a wide range of merit reviewed research awards across six components. Originally, it was hoped that the NRI would reach \$500 million in funding, but slow growth in domestic budgets has killed that vision. The Administration is once again asking for a significant increase. The Markets, Trade and Policy component is the smallest, and it has grown slowly over the years.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Hatch Act.....	171.3	171.3	168.8	168.8	-1%	-1%	0%
NRI.....	103.1	130.1	96.8	130.0	-6%	-25%	+34%
MTP.....	(3.7)	(6.5)	(4.0)	(6.5)	+8%	-38%	+63%
Special Grants.....	46.0	15.1	49.9	44.1	+8%	+230%	-12%

*Economic Research Service*

The mission of the Economic Research Service (ERS) is to provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. Its major functions are research and data base

development, situation and outlook analysis, staff analysis, and development of economic and socioeconomic indicators. The small increase proposed for FY 1997 will go for data acquisition and analysis of farm prices and pesticide use linked to environmental conditions and economic performance.

Actual FY 1995	Proposed FY 1995	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
53.9	54.7	53.1	54.9	-1%	-3%	+3%

*National Agricultural Statistical Service*

The National Agricultural Statistical Service (NASS) was created in 1862 to provide useful, timely, and unbiased statistics and other information about the nation's food and agricultural industry. NASS' primary activities are to conduct surveys which include the collection, summarization, analysis, and publication of

reliable, agricultural forecasts and estimates. The large increase for FY 1997 includes \$17.5 million to fund the 1997 Census of Agriculture. This program, currently in the Department of Commerce, will be consolidated with the current NASS agricultural survey. The rest of the increase will fund data collection on integrated pest management.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY95- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
81.4	89.8	81.1	102.6	<-1%	-10%	+27%

**Department of Commerce**

The tragic death of Commerce Secretary Ron Brown casts a pall over a Department targeted for elimination by the Republicans.

*Bureau of the Census*

Although the Census Bureau does not have an extramural research program, it does award some contracts for outside research. More important, though, the agency is a key source of statistical data for social science research. The Salaries and Expenses figure funds the agency's current economic, demographic and social statistics programs as well as research on survey methods and techniques and data systems development. The Periodic Censuses and Programs account supports the costly "ramp-up" to the 2000 Census.

The FY97 request aims to support several Bureau priorities: reduce costs and improve the accuracy of the decennial census, remedy weaknesses in key monthly economic statistics, improve measurements of growth sectors of the economy, modernize the industrial classification system, and move forward with the Continuous Measurement program to provide consistent annual data on communities of all sizes. The Bureau recently unveiled its design plan for the 2000 Census, which includes the controversial use of sampling (see *Update*, March 4). Legislation is currently before the House to merge Census, Bureau of Economic Analysis, and the Bureau of Labor Statistics into a Federal Statistical Service. The figures below include total direct program funds only.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Economic Statistics .....	83.4	101.2	82.8	98.5	<-1%	-18%	+19%
Demographic Statistics ....	49.2	50.0	47.6	48.7	-3%	-5%	+2%
Survey Development .....	3.4	3.5	3.4	3.5	0%	-3%	+3%
Total Salaries and Expenses .....	136.0	154.8	133.8	150.7	-2%	-14%	+13%
Total Periodic Censuses and Prog. ....	141.7	193.5	150.3	248.7	+6%	-22%	+65%

*Bureau of Economic Analysis*

The Bureau of Economic Analysis (BEA) prepares, develops, and interprets the economic accounts of the United States. BEA has four principal programs: national economic accounts, analysis of economic trends, international economic accounts, and regional economic accounts. BEA has developed a long-term strategic plan

for maintaining and improving the quality of GDP and other economic accounts. The plan aims to develop new and improved measures of outputs and prices; better measures of investment, saving, and wealth; and improved measures of international transactions. The figures below are for direct programs.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
46.8	51.5	45.9	53.5	-2%	-11%	+17%

*Economic Development Administration*

The Economic Development Administration (EDA) provides grants and loans to economically-distressed areas for economic development planning purposes. A small portion of the EDA budget goes to support research and evaluation activities. These include studies

of national and regional economic and industrial trends that will increase knowledge about the causes of economic distress and approaches to alleviating such problems. Since 1984, thirty-eight EDA grants have been awarded to geographers. Figures below are for EDA research and evaluation activities.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
1.4	1.5	0.5	1.5	-64%	-66%	+200%

*National Oceanic and Atmospheric Administration*

Two programs of the National Oceanic and Atmospheric Administration (NOAA) provide significant support for social science research in areas such as marine economics, cultural anthropology, geography, political science, law, and sociology. The National

Marine Fisheries Program supports research on commercial and recreational fishing in the United States. The National Sea Grant Program awards funds to approximately 30 institutions for research and education activities concerning development of marine resources.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
National Marine Fisheries Service (total) .....	307.6	295.6	281.6	305.6	-9%	-5%	+9%
National Sea Grant Program .....	49.0	49.4	53.3	48.8	+8%	+8%	-8%

**Department of Defense**

Three large programs conduct social and behavioral science research within the Department of Defense: the Cognitive and Neural Sciences Division of the Office of Naval Research; the Life and Environmental Sciences Directorate of the Air Force Office of Scientific Research (AFOSR); and the U.S. Army Research Institute for the Behavioral and Social Sciences. At ARI, the Research and Advanced Concepts Office funds

extramural research in areas of human factors, training methodologies, and manpower. At AFOSR, the Human Performance Project within the Life Sciences Directorate supports research on perception and recognition, spatial orientation, and cognition. ONR's Cognitive and Neural Sciences division funds research on learning models, human memory, and virtual environments for training.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY96	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Cognitive and Neural Sciences, Office of Naval Research .....	17.5	17.7	16.7	16.8	-5%	-6%	+<1
U.S. Army Research Institute for the Behavioral and Social Sciences .....	2.8	2.7	2.8	2.9	0%	+4%	+4%
Human Performance Project, Air Force Office of Scientific Research ...	9.2	9.7	8.8	9.7	-4%	-9%	0%

*National Security Education Program*

The National Security Education Program (NSEP), created by Congress in 1991, converts money slated for defense and intelligence purposes into a trust fund to support undergraduate scholarships, graduate fellowships, and institutional grants. These programs develop advanced expertise in languages and knowledge of regions not widely studied by Americans. Since its inception, NSEP has been plagued by bureaucratic delays and several brushes with death on Capitol Hill. The latest of these was a provision, incorporated into the Fiscal Year 1996 defense appropriations bill, that now requires grantees to serve two years in the Defense Department or in the intelligence community or repay the grant in full. The founders of NSEP had designed it to allow grantees to fulfill program requirements by working in any branch of the federal government or in education. Foreign study advocates say that this will be devastating for the program, and working with Sen. Paul Simon (D-IL), were able to delay the new service obligations until late 1996. NSEP and its allies hope the delay will give them time to seek an outright repeal of the provisions. The President's FY 1997 request seeks to spend \$5 million of the trust fund, down from the FY 1996 allocation of \$7.5 million.

**Department of Education**

Under attack and targeted for extinction by some from the new Republican majority, the Department of Education suffered severe reductions during the FY 1996 congressional appropriations process. Yet, President Clinton made clear that he would not sign any appropriation bill that did not restore most of those cuts. Thus, the Labor, HHS, Education Appropriations bill never passed the Senate. *In the final agreement, Congress restored some of the funds the House had previously cut, but not all.*

*Office of Education Research and Improvement (OERI)*

The Office of Education Research and Improvement

(OERI) supports programs that help build knowledge about what works in education and stimulate improvements in educational policy and practice. The research line was increased by the Congress for FY 1996, with the House expecting OERI to absorb the research functions of other parts of the Department. The Senate has funded those other programs, but the OERI increase should survive. The \$108 million requested for FY 1997 will fund the five research institutes, the national research centers, an expanded field initiated studies, the national dissemination system including the regional laboratories, and the Education Research Information Clearinghouses (ERIC).

The National Center for Education Statistics' (NCES) funding has remained stagnant in recent years. NCES has begun some new programs including a new longitudinal study of the subsequent work lives of college graduates. However, NCES has had to prioritize and reduce the frequency of some of its surveys. The \$50 million for FY 1997 would allow for some increases. The National Assessment for Educational Progress (NAEP) compiles nationally representative data on the condition of American education. The funding for FY 1997 will support preparations for the reading, writing, and civics exams in 1998.

Both the Administration and the Congress agreed to eliminate support for research libraries in FY 1995. The Department of Education now limits its funding for libraries to helping public libraries convert to the technological age. The Fund for Improvement in Education provides discretionary funding to the Secretary to support projects designed to assess educational reform efforts, including meeting state designed and implemented learning standards. FY 1997 funds will help State and Local education agencies design and implement character education programs. The Civics Education program provides significant numbers of students the opportunity to develop an in-depth understanding of the U.S. constitution.



	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research and Improvement .....	86.2	97.6	107.0	108.0	+24%	+10%	+<1%
National Center for Educational Statistics ...	48.2	57.0	46.2	50.0	-4%	-19%	+8%
National Assessment of Educational Progress ....	32.8	38.0	32.6	32.8	<-1%	-14%	+<1%
Fund for Improvement in Education .....	36.8	36.0	37.6	40.0	+2%	+4%	+6%
Civics Education .....	4.5	4.5	4.0	4.0	-11%	-11%	0%

*International Education and Foreign Language Studies*

These programs support comprehensive language and area study centers within the United States, research and curriculum development, and opportunities for American scholars to study abroad. The Institute for International Public Policy is a new component of these programs. It helps prepare minority students for

careers in the U.S. foreign service and private voluntary international organizations by supporting graduate study in international studies. With discretionary funding squeezed, these programs survive because they serve important economic, diplomatic, defense and other security interests of the United States. However, increases will become rare.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Domestic Programs .....	52.3	52.3	50.5	52.3	-3%	-3%	+3%
Overseas Programs .....	5.8	5.8	4.8	5.8	-17%	-17%	+21%
Institute for International Public Policy .....	1.0	1.0	0.9	1.0	-8%	-8%	+9%

*Fund for the Improvement of Postsecondary Education*

The Fund for the Improvement of Postsecondary Education (FIPSE) supports projects to stimulate institutions of higher education to identify and pursue

improvements in educational quality. The Fund awards discretionary grants and contracts to a wide variety of institutions concerned with postsecondary education. This program spreads its grants widely and is thus popular with Congress.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
17.5	17.5	15.0	18.0	-14%	-14%	+20%

*Graduate Education*

A year-long fight to save the categorical programs that support graduate students in the social sciences ended with mixed success. The Javits Fellowship program received funds for completion of current award commitments. The Patricia Roberts Harris Fellowship program was eliminated, although efforts are underway to continue funding for already existing fellows. The Javits program provides funding for almost 400 students in the social sciences, arts, and humanities. Harris Fellowships supported over 850 minority and women students at the Masters and Ph.D. level.

The Law School Clinical program will receive some funding for FY 1996 to complete awards already in

progress. After these run out, the program will die. The Legal Training for the Disadvantaged Program will be cut off in FY 1996. Both the President and Congress have reached a consensus on these programs.

What will survive is the Graduate Assistance in Areas of National Need (GANN) program, which provides funds to institutions to support over 1,100 graduate students. It receives a slight increase in FY 1997. The Administration is expected to propose an expanded GANN program that might absorb the Javits and Harris programs. Difficulty may arise since GANN and Harris make awards to institutions who choose the recipients, while Javits awards go directly to the students.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Patricia Roberts Harris Graduate Fellowships ...	10.1	0	0	0	-100%	0%	0%
Jacob K. Javits Fellowships .....	6.8	0	5.9	0	-13%	+100%	-100%
Faculty Development Fellowships .....	0.2	3.7	0	0	-100%	-100%	0%
Graduate Assistance in Areas of National Need .....	27.3	27.3	27.3	30.0	0%	0%	+10%
Civics Education .....	4.5	0	4.5	4.5	0%	+100%	0%
Law School Clinical Experience .....	13.2	0	5.5	0	-58%	+100%	-100%
Legal Training for the Disadvantaged .....	3.0	0	0	0	-100%	0%	0%

*National Institute on Disability and Rehabilitation Research*

The National Institute on Disability and Rehabilitation Research (NIDRR) awards discretionary grants for support of rehabilitation research and training centers, rehabilitation engineering research centers, and

research and demonstration projects that address diverse issues in rehabilitation. These include the causes and consequences of disability and ways to improve educational, employment, and independent living opportunities for people with disabilities. The budget has remained stable for the past two years.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
70.0	70.0	70.0	70.0	0%	0%	0%

*Office of Bilingual Education and Minority Language Affairs*

The research and evaluation activities supported by the Office of Bilingual Education and Minority Language Affairs (OBEMLA) include: data collection on Limited English Proficiency (LEP) persons and educational services available to them; evaluation of bilingual education programs; research to improve the effectiveness of those programs; and longitudinal studies of LEP students. Studies funded by OBEMLA have

four goals: to help identify effective methods for teaching English and content areas; to describe alternative instructional programs; to examine effective teacher-training; and to determine capacity-building strategies of local educational agencies operating bilingual programs.

The following figures are for the support services budget, which includes the research and evaluation numbers. The proposed funding for research and evaluation was unavailable.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
14.3	15.3	9.7	14.3	-32%	-37%	+47%

**Department of Health and Human Services**  
*Health Care Financing Administration*

Through its Research, Demonstrations, and Evaluation program, the Health Care Financing Administration (HCFA) supports projects to develop and implement new health care financing policies and to evaluate the impact of HCFA's programs on its beneficiaries, providers, States, customers and partners.

The FY 1997 budget requests \$55.3 million for the Research, Demonstrations and Evaluation program. In addition to basic research, this budget funds the Medicare Current Beneficiary Survey and the Information, Counseling and Assistance Grants program. Basic research funds support research and demonstration in the areas of monitoring and evaluating health system performance, and improving health care financing delivery mechanisms.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY97
74.8	69.0	53.1	55.3	-29%	-23%	+4%

*Policy Research (ASPE)*

The Office of the Assistant Secretary for Planning and Evaluation (ASPE) supports grants for policy research related to income security, health economics and financing, and social services policy. ASPE is the principal HHS agency with the authority and flexibility to conduct research on broad issues of national policy.

The FY 1997 budget request includes \$9.0 million for Policy Research to support grants for research on issues of national significance. Priority issues include those related to health care and welfare reform, at-risk children and youth, aging and disability, improved access to health care and support services, and increased family support and independence.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
9.0	12.0	9.0	9.0	0%	-25%	0%

*Administration for Children and Families*

The Administration for Children and Families (ACF) administers the nation's social welfare programs—both discretionary and entitlement—including Head Start, foster care, child welfare services, AFDC, JOBS, child support enforcement, and four major block grant programs. The President's budget requests \$34.29 billion for ACF in FY 1997.

cial needs adoptions, institutional placements, guardianship, and relative care to be conducted. For FY 1997 the budget requests \$39.2 million for the consolidated programs, with \$13.0 million of the total requested for research.

For Children and Family Services the FY 1997 request is \$5.25 billion, an increase of \$435.0 million over FY 1996. The FY 1997 budget request for Head Start is \$3.98 billion, an increase of \$350.0 million over last years policy level.

The Social Services and Research and Demonstration program funds award contracts, cooperative agreements and grants. The FY 1997 budget request for this account is \$10 million. \$1 million of that is designated for research. Projects currently funded include: the JOBS (Job Opportunities and Basic Skills Training program) evaluation, a long term study of the processes, impacts, cost-effectiveness of the JOBS program; the ACF Responsible Fatherhood initiative addressing parental responsibility and; the Parents' Fair Share Demonstration testing the effects of requiring non-custodial fathers of children to AFDC to participate in employment and other services that are designed to increase the fathers' earnings enabling them to adequately support their children.

The budget request also consolidates four currently funded discretionary programs: Adoption Opportunities, Section 426 Research and Demonstration, Section 426 Training, and Child Abuse and Neglect discretionary grants into Child Welfare Innovative Programs. The consolidation is designed to allow research, demonstrations, and evaluations in areas such as spe-

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Social Services .....	2.8	0	n/a	1.0	n/a	n/a	n/a
Head Start Research .....	5.0	n/a	5.0	5.0	0%	n/a	0%
Child Welfare Innov. Program .....	—	n/a	0	13.0	n/a	n/a	n/a
Abandoned Infants .....	(1.0)	(n/a)	(0)	(0)	-100%	n/a	0%
Child Abuse & Neglect ...	(3.0)	(n/a)	(4.0)	(0)	+35%	n/a	-100%
Adoption Opportunities .....	(0.2)	(n/a)	(0)	(0)	-100%	0%	n/a
Child Welfare Research .....	(1.4)	(n/a)	(0)	(0)	n/a	0%	n/a

*Office of Public Health and Science*

The Office of Public Health and Science (OPHS) is the nation's primary agency for health services and research. While its components have individual mandates and foci, they respond collectively to the overall agenda and priorities set by the Secretary of Health and Human Services.

As part of the Department of Health and Human Services' (HHS) reinvention and streamlining processes, the Office of the Assistant Secretary for Health (OASH) merged with the Office of the Secretary, eliminating an entire layer of management. The new Office of Public Health and Science (OPHS) is headed by the Assistant Secretary for Health (ASH) and serves as a senior advisor for public health and science to the Secretary.

The activities of the former OASH are now incorporated in the General Departmental Management

budget. This funds policy and legal advice and supports research to develop policy initiatives and enhance existing programs in the Department. The ASH provides leadership to several OPHS program offices including: the Adolescent Family Life Program, the Office of Disease Prevention and Health Promotion, the Office of Research Integrity, the Office of Women's Health Activities, and the Office of HIV/AIDS Policy.

The President's FY 1997 budget request provides \$165 million for General Department Management. This includes an appropriation of \$145 million for intra-agency transfers of \$20 million in one-percent evaluation funds.

The following pages present the budgets of specific OPHS components with activities relevant to the social and behavioral research community.

**HIV/AIDS BUDGET BY PHS COMPONENT (thousands)**

	<b>% Change Actual FY 1995</b>	<b>% Change Proposed FY 1996</b>	<b>% Change Current FY 1996</b>	<b>Proposed FY 1997</b>	<b>C-FY96- A-FY95</b>	<b>C-FY96- P-FY96</b>	<b>P-FY97- C-FY96</b>
FDA .....	72.8	74.0	72.7	72.7	0%	-2%	0%
HRSA .....	661.2	782.0	792.5	835.7	+20%	+1%	+5%
IHS .....	3.6	4.0	3.6	3.8	0%	-10%	+5%
CDC .....	588.7	625.0	583.4	616.9	<-1%	-6%	+6%
NIH .....	1,333.8	1,408.0	1,407.8	1,431.9	+6%	<-1%	+2%
SAMHSA .....	24.0	24.0	14.3	11.9	-40%	-40%	-17%
AHCPR .....	9.0	11.0	6.6	4.7	-26%	-39%	-28%
OHAP/OMH/OCR .....	6.0	n/a	4.5	4.7	-25%	n/a	+5%

**Agency for Health Care Policy and Research**

The Agency for Health Care Policy and Research (AHCPR) serves as the Office of Public Health and Science's research arm and is responsible for studies on medical effectiveness, patient outcomes, health care delivery and costs, and technology assessment. AHCPR directly contributes to improving the management of this nation's health care enterprises through its generation and dissemination of information that improves the delivery of health care. Results of AHCPR's health services research and clinical practice guidelines are used daily by health care providers. Its data collection and analysis are important to health policy analysis.

The FY 1997 request for AHCPR is \$143.8 million, an increase of \$17.4 million over the FY 1996

policy level. The request includes \$49 million for the Health Care Systems Cost and Access program (HCSCA), formerly the Research on Health Care Costs, Quality and Access program. Included is \$45 million, an \$29.7 million increase, to support the second year of the Medical Expenditure Panel Surveys (MEPS). MEPS is an interrelated series of survey that in the past was collected every 10 years. As part of the Department of Health and Human Services's Survey Integration Plan, MEPS will be converted to an ongoing continuous survey. MEPS is the only survey that provides the Federal Government or the private sector with detailed information regarding the health care services used by families and individuals.

	<b>Actual FY 1995</b>	<b>Proposed FY 1996</b>	<b>Current FY 1996</b>	<b>Proposed FY 1997</b>	<b>% Change C-FY96- A-FY95</b>	<b>% Change C-FY96- P-FY96</b>	<b>% Change P-FY97- C-FY96</b>
TOTAL .....	159.4	193.5	125.2	143.8	-21%	-35%	+15%

### Centers for Disease Control and Prevention

The Centers for Disease Control and Prevention (CDC) is the lead agency within the Office of Public Health and Science (OPHS) for federal disease prevention and health promotion efforts. CDC's activities include detection, control and prevention of infectious diseases (especially HIV/AIDS), chronic diseases, and environmental and occupational health conditions. Although extramural support for social and behavioral science is not widespread, CDC often uses these researchers as staff and consultants. Consistent with the strategies articulated in the *Healthy People 2000* report, emphasis is placed on expanding proven prevention services which are targeted to childhood and other health problems particularly affecting the poor and disadvantaged. FY 1996 funding is complete.

The total FY 1997 budget request for the CDC is \$2.3 billion, an increase of \$75 million over FY 1996. The budget also requests a total of \$617 million, a \$34 million or 6 percent increase over FY 1996, for CDC's HIV/AIDS prevention programs. Of the total budget request, \$319 million is for national outreach and education, technical assistance and research.

Also included in the President's budget request for FY 1997 for the CDC is \$32 million from the Violent Crime Reduction Trust Fund to continue three programs authorized by the Violent Crime Control and Enforcement Act of 1994. States will receive \$29 million as part of the Prevention Block Grant for rape prevention and education, and \$3 million will be awarded for domestic violence demonstration projects.

### National Center for Health Statistics

For the National Center for Health Statistics, the request is \$90 million for FY 1997. The FY 1997 request includes an increase of \$10 million for a total of \$14.5 million for the National Health and Nutrition Examination Survey (NHANES). NHANES is an important part of national surveillance for behavioral and environmental risk factors to health, undiagnosed preventable illness, nutritional status and other critical issues. It is a consolidation of data efforts by multiple agencies and departments within the federal government. The most recent NHANES survey was conducted from 1988-94, however, the survey will be converted to a continuous monitoring survey beginning in 1998.

As part of the Department's new survey integration plan to provide a more comprehensive data collection

and analysis that is responsive to the rapid pace of the health care industry, NHANES will be linked to the Medical Expenditure Panel Survey (MEPS) and the National Health Interview Survey (NHIS).

### National Center for Injury Prevention and Control

The National Center for Injury Prevention and Control (NCIPC), established in June 1992, is the lead federal agency for injury prevention. For FY 1997 the budget requests \$43 million for the National Center for Injury Prevention and Control (NCIPC). The NCIPC is the only national center that coordinates research on the cause of, risk factors for, and solutions to a broad range of violence-related and accidental injuries. These injuries include homicides, suicides, youth violence, family and intimate violence, injuries from fires and burns, motor-vehicle crashes, and playground and day-care settings. The center works closely with other federal agencies; national, state, and local organizations; state and local health departments; and research institutions. The agency was established in June 1992 after the completion of a congressionally requested study by the National Academy of Sciences that recommended the creation at CDC of a national injury control center to provide leadership in injury control in the United States.

The center uses science to understand the causes of injury and how it occurs; applies the findings from scientific studies to create programs to prevent injuries and; works to bring together into a successful partnership the varied groups dedicated to solving the injury problem in the U.S. In addition, the NCIPC also administers a grants program for extramural research. Individual studies, small projects of two or more related studies, and Injury Control Research Centers are also funded by the center.

### Prevention Centers

CDC's Prevention Centers program provides grants to academic institutions to fund applied research. Each center's theme reflects its area of expertise or the needs of the population. The President's FY 1997 budget request includes \$7.12 million for the Prevention Centers, a decrease of \$993,000 from the FY 1996 level. The CDC will continue to fund academic-based centers for research and demonstration in disease prevention and health promotion. Thirteen centers were supported by CDC in 1995. The agency will support a new center focusing on teen pregnancy in 1996.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
<b>Total CDC</b> .....	2,125	2,184	2,112	2,240	-1%	-3%	+1%
(NCHS) .....	(81)	(84)	(78)	(86)	-4%	-7%	+10%
(Injury/Violence Control) .....	(44)	(45)	(43)	(43)	-2%	-4%	0%
(Chronic Disease) .....	(241)	(244)	(268)	(268)	+12%	+11%	<-1%
(Prevention Centers) .....	(8)	(7)	(8)	(7)	0%	+14%	-12%

**National Institutes of Health**

The National Institutes of Health (NIH) is the primary source of funding for biomedical research. NIH supports behavioral and social science primarily, but not solely, under the rubric of "health and behavior" research in its constituent institutes. Institutes which are the most supportive of social and behavioral research include the National Institute on Aging (NIA), the National Institute of Child Health and Human Development (NICHD), the National Institute on Aging Research (NINR), the National Institute on Alcohol Abuse and Alcoholism (NIAAA), the National Institute on Drug Abuse (NIDA), and the National Institute on Mental Health (NIMH). Its FY 1996 funding is complete.

The FY 1997 budget continues the Administration's high-priority investment in biomedical and behavioral research, with a proposed budget of \$12.4 billion for NIH, a \$467 million or 4 percent, increase over FY 1996. NIH's two highest priorities are the funding of health research through research project grants (RPGs) and the construction of the new Clinical Research Center. In FY 1997, NIH will support 6,827 competing RPGs, an increase of 2.6 percent or 207 competing RPGs over FY 1996. Support for top priorities will be provided through small increases or decreases of support for other

mechanisms. Research support activities will remain slightly above last year's level, after sustaining a 7.5 percent reduction from the FY 1995 level.

An additional \$99 million is targeted to five research areas that have been identified for emphasis by the Administration: research on the biology of brain disorders; new approaches to pathogenesis; the study of disease origins and development; new preventive strategies against disease; genetics of medicine; and advanced instrumentation and computers in medicines and research.

The President's budget also emphasizes the Administration's commitment to revitalize both the operations and facilities of the Warren G. Magnuson Clinical Center. The Center, the largest of its kind in the world, is the core clinical research facility at NIH. A total of \$310 million is requested for construction of a new, state-of-the-art Clinical Research Center on the NIH campus to replace the 500-bed hospital component and build some additional associated laboratories.

The budget also increases spending by \$10 million, or 2.4 percent, over FY 1996, supporting 14,749 individual and institutional full-time research training positions. The increase will allow NIH to provide a 2.2 percent across-the-board stipend increase, the first stipend increase since FY 1994.

**NIH FUNDING (INCLUDING AIDS)**

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research Project Grants ...	6,219.8	6,229.0	6,606.5	6,815.6	+6%	+6%	+3%
Research Centers .....	1,006.0	1,034.0	1,038.1	1,043.8	+3%	0%	+1%
Research Training .....	380.5	391.0	395.3	404.9	+4%	+1%	+2%
R & D Contracts .....	923.2	803.0	770.8	763.6	+7%	-4%	-1%
Intramural Research .....	1,240.7	1,272.0	1,299.4	1,297.1	+5%	+2%	0%
Research Support .....	518.7	521.0	481.2	482.6	-7%	-8%	0%
Other Research .....	504.3	788.0	551.7	551.2	+9%	-30%	+0%
Extramural Construction ..	17.9	n/a	23.0	2.0	+28%	n/a	-91%
Library of Medicine .....	129.9	150.0	141.4	146.6	+11%	-7%	+4%
Office of the Director .....	238.6	258.0	260.5	251.5	+9%	+1%	-3%
Buildings. & Facilities .....	114.1	n/a	146.1	420.0	+28%	n/a	+187%
Infrastructure .....	(111.6)	n/a	(123.1)	(110.0)	+10%	n/a	-11%
Clinical Research Center ..	(2.5)	n/a	(23.0)	(310.0)	+820%	n/a	+1,248%
<b>TOTAL</b> .....	11,284.1	11,764.1	11,939.0	12,406.3	+6%	-1%	+4%

*Office of the Director*

NIH continues to respond to the increased public interest by emphasizing areas such as the women's health research, minority health research, social and behavioral sciences that transcend the boundaries of the individual NIH Institutes, Centers, and Divisions (ICD). The FY 1997 budget request for these and the other offices in the Office of the Director (OD) is \$157.3 million.

**The Office of Behavioral and Social Science Research (OBSSR)** was established in recognition of the substantial influence of behavioral and social factors on health. The office, which has been in operation since July 1995, is charged with coordinating social and behavioral research conducted or supported by NIH. The FY 1997 request for OBSSR is \$2.3 million, a portion of which will be used to support research grants, workshops and conferences, in consultation with the NIH institutes and centers.

The OBSSR will work closely with all of the ICDs to enhance their behavioral and social science research portfolios, helping them to identify promising research directions. The office emphasizes four areas of research: the identification of new behavioral and social risk factors for disease; the interactions of biological, behavioral, and social factors; the development of new behavioral, preventative, social and treatment approaches for health problems; and basic behavioral and social sciences research to accelerate advances in other areas. Despite only being in operation since July 1995, the office has many activities underway, including a draft definition of behavioral and social science. Once the definition is final, it will be used across NIH to evaluate and monitor the funding of social and behavioral research.

The FY 1997 budget request for the **Women's Health Initiative (WHI)**, a 15-year project involving 164,500 women ages 50–79, is \$56.8 million. The community prevention study, one-third of the WHI, aimed at evaluating strategies to achieve healthy behavior, is being conducted with the CDC. It is one of the largest prevention studies of its kind. Carried out by the Office of Disease Prevention, the WHI is scheduled for completion in 2004.

For the **Minority Health Initiative (MHI)**, the President's budget request for FY 1997 is \$62.6 million. The MHI goal is to increase research aimed at improving minority health, including continuing support for eight projects in the Minority Youth Initiative that are focusing on strategies for decreasing the incidents of violence-related injuries and deaths, as well as unintended pregnancies for youths ages 10–18. Both the Women's Health Initiative and the Minority Health Initiative support the inclusion of minorities as subjects in all NIH-supported clinical research projects.

The **Academic Research Enhancement Award (AREA)**, managed by the Office of Extramural Research, receives funding to provide opportunities for educational faculty from non-intensive research institutions to participate in biomedical and behavioral research effort. The FY 1997 budget request for AREA is \$13.6 million, allowing for 143 awards, 13 above last year's level.

In FY 1997 NIH will continue to maintain the **Director's Discretionary Fund (DDF)** that allows for quick response by the NIH Director to new and emerging high priority research opportunities. These funds will also support the Shannon Awards. The FY 1997 budget request for DDF is \$8.4 million.

	% Change Actual FY 1995	% Change Proposed FY 1996	% Change Current FY 1996	Proposed FY 1997	C-FY96– A-FY95	C-FY96– P-FY96	P-FY97– C-FY96
OBSSR .....	2.2	2.0	2.3	2.3	+4%	+17%	0%
Women's Health Initiative .....	56.9	57.0	56.8	56.8	<-1%	<-1%	0%
Minority Health Initiative .....	58.2	63.0	62.8	62.6	+8%	>-1%	<-1%
AREA .....	12.7	n/a	14.1	13.6	+11%	n/a	-4%
Science Education .....	1.7	n/a	1.9	1.8	+11%	n/a	-6%

*Office of AIDS Research*

The Office of AIDS Research (OAR) has overall responsibility to plan, coordinate, evaluate, and fund the AIDS research program at NIH, which is carried out in each of the ICDs. The President's FY 1997 budget request for AIDS research is \$1.43 billion, a 1.7 percent increase over the FY 1996 level. The OAR's

budget is based on the FY 1997 Plan for HIV-Related Research through which the OAR has refocused scientific priorities and shifted resources to meet them. Behavioral research at OAR is slated for a \$6.2 million increase over FY 1996. The \$1.43 billion request represents a single consolidated amount for all AIDS research to the OAR for distribution. The OAR, under

the NIH Revitalization Act of 1993, receives all funds available for AIDS activities of the NIH directly from the President and the Office of Management and Budget. The OAR Director transfers AIDS funds to the ICDs in accordance with the Plan's comprehensive plan for AIDS research developed along with the Institutes.

NIH AIDS research is divided into five major scientific categories: natural history and epidemiology;

etiology and pathogenesis; therapeutics; vaccines; and behavioral and social sciences research. AIDS research in the behavioral and social sciences focuses on: (1) improving primary prevention of HIV infection through behavior change interventions; (2) developing the basic science that underlies behavior change interventions; and (3) addressing the individual and societal consequences of HIV and AIDS.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research Projects .....	614.7	643.1	680.4	733.0	+11%	+6%	+8%
Research Centers .....	107.7	122.7	118.6	118.5	+10%	-3%	0%
Other Research .....	34.8	44.0	38.0	36.7	+9%	-14%	-4%
Research Training .....	20.1	20.5	20.8	21.0	+3%	+2%	+1%
Intramural Research .....	200.9	197.5	185.9	172.6	-7%	-6%	-7%
R&D Contracts .....	268.0	288.8	277.9	266.4	+4%	-4%	-4%
Research Management & Support .....	60.6	60.3	56.3	55.8	-7%	-7%	-1%
NLM .....	2.7	3.2	3.2	3.3	+17%	0%	5%
OD .....	24.4	27.6	26.6	24.6	+9%	-4%	-8%
<b>TOTAL .....</b>	<b>1,333.9</b>	<b>1,407.8</b>	<b>1,407.8</b>	<b>1,431.9</b>	<b>+6%</b>	<b>0%</b>	<b>+2%</b>

**Health and Behavior Research at NIH**

Much of the social and behavioral research supported by the National Institutes of Health comes under the rubric of "health and behavior." Each institute allocates a certain proportion of its overall funds to intramural and extramural research on the behavioral components of diseases and disorders. This amount historically has been small, totaling 3-4 percent. Current estimates of social and behavioral research conducted at NIH are approximately 8 percent. This number presents a deceiving increase however, due to the addition of the former ADAMHA institutes, which bring significant social and behavioral portfolios to the NIH.

In past years, the NIH has prepared a table illustrating proposed funding of health and behavior research at each institute. That table is not available at press time. The Office of Behavioral and Social Science Research has been directed by Congress to report the extent to which NIH's institutes conduct and support research in these disciplines. Because of the delay in establishing the Office, that report has not been completed.

Following is a list of individual institutes and a note on their health and behavior research areas:

**National Cancer Institute (NCI):** NCI supports research on behavioral and social approaches to the prevention of cancer, promotion of good health practices, and treatment of cancer patients and their families. Particular attention is paid to tobacco use, diet, and nutrition.

**National Heart, Lung, and Blood Institute (NHLBI):** Health and behavior activities at NHLBI

include research and training—primarily through the Behavioral Medicine Branch—on disease prevention, etiology, diagnosis, treatment, and rehabilitation.

**National Institute of Dental Research (NIDR):** NIDR funds research on oral conditions, including pain, disease prevention, and epidemiology, recognizing the contribution of social, psychological, economic, and environmental factors in oral health promotion and disease.

**National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK):** Behavioral research supported by NIDDK relates to treatment compliance, disease-stress relationship, eating behavior, and disease control through behavior modification.

**National Institute of Neurological Disorders and Stroke (NINDS):** NINDS supports behavioral research related to the nervous system, including studies of sensory perception, cognitive functioning, recovery of function after nervous system damage, and sleep, as well as behavioral factors in the etiology and treatment of nervous system disorders.

**National Institute of Allergy and Infectious Diseases (NIAID):** NIAID supports very little behavioral and social research, even though the spread of AIDS and other sexually transmitted diseases has increased the institute's awareness of the value of such research, especially with regard to prevention. One area of health and behavior research at NIAID is psychosocial factors affecting medical treatment compliance.

**National Institute of General Medical Sciences (NIGMS):** NIGMS supports basic, undifferentiated



research and research training, not targeted to any specific discipline or disease. While some support has been provided for health and behavior research, it is not a significant amount.

**National Institute of Child Health and Human Development (NICHD):** NICHD is one of the institutes with the greatest support for social and behavioral research related to factors influencing human development throughout the lifespan. Health and behavior research includes human learning and behavior, population dynamics, and mental retardation and developmental disabilities.

**National Eye Institute (NEI):** Health and behavior is a very minor focus at NEI, which specializes in research on blinding eye disease, visual disorders, mechanisms of visual function, preservation of sight, and the needs of blind people.

**National Institute of Environmental Health Sciences (NIEHS):** NIEHS examines the effects of environmental agents on human health and well-being, with particular attention to behavioral and neurological effects of exposure to toxic substances.

**National Institute on Aging (NIA):** NIA provides significant support for research on social and behavioral factors related to the aging process and to specific diseases and conditions of the aged. NIA research on health and behavior investigates how good health, effective functioning, and productivity can be prolonged, and disability and dependence postponed.

**National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMSD):** NIAMSD supports basic and clinical research on the debilitating disorders of the musculoskeletal system and the skin. Health and behavior research includes investigations of behavioral factors related to diet, exercise, and injury, as well as health services research.

**National Institute of Deafness and Other Communication Disorders (NIDCD):** NIDCD supports research on the behavioral components of hearing and other communication disorders.

**National Center for Research Resources (NCRR):** NCRR provides a wide range of resources to improve

the research environment. Although its support is non-categorical, NCRR does support health and behavior research.

**National Library of Medicine (NLM):** NLM uses the principles and methodologies of the social and behavioral sciences to improve utilization of health care information by health professionals. Activities include development of computer systems and training programs, evaluation of the impact of such systems, and evaluation of informational needs.

**National Institute on Alcohol Abuse and Alcoholism (NIAAA):** NIAAA supports basic and applied research related to the etiology, prevalence, prediction, diagnosis, prognosis, treatment, management, and prevention of alcoholism or other alcohol-related problems.

**National Institute of Mental Health (NIMH):** NIMH supports and conducts a nationwide program of research and research training on mental disorders and their treatments.

**National Institute on Drug Abuse (NIDA):** NIDA is the lead Federal agency and predominant source of funding in support of research on drug abuse, dependence, and addiction.

**National Institute of Nursing Research (NINR):** NINR examines biological and behavioral factors that influence health and the environment in which health care is delivered. Major areas of attention at NINR include responses to illness, family care giving, reproductive health, and health promotion.

*National Institute on Aging*

The National Institute on Aging (NIA) provides strong support for social and behavioral science research through its Behavioral and Social Research Program (BSR). BSR integrates research on the process of growing older, the interrelationship between older people and social institutions, and the impact of the changing age composition of the population. Social and behavioral research is also supported by NIA's program in Neuropsychology and Neuroscience of Aging, as well the programs of the Gerontology Research Center and in Epidemiology, Demography and Biometry.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research Project Grants ...	266.5	269.2	283.8	293.0	+6%	+5%	+3%
Research Centers .....	57.0	56.9	57.6	57.6	+1%	+1%	0%
Other Research .....	13.1	14.4	13.4	13.4	+3%	-7%	0%
R&D Contracts .....	22.3	22.2	22.9	22.9	+3%	+3%	0%
Intramural Research .....	38.2	40.5	40.3	40.3	+6%	<-1%	0%
Research Management and Support.....	22.4	23.1	20.8	20.8	-7%	-10%	0%
<b>TOTAL .....</b>	<b>432.2</b>	<b>447.6</b>	<b>452.1</b>	<b>461.5</b>	<b>+5%</b>	<b>+1%</b>	<b>+2%</b>

*National Institute of Child Health and Human Development*

The National Institute of Child Health and Human Development (NICHD) is a major source of NIH funds for the social and behavioral sciences. NICHD supports research and training on maternal and child health as well as population research. The institute has four main components: the Center for Research for Mothers and Children; the Center for Population Research (both extramural programs); and the Intramural Research Program, which conducts clinical and prevention research; and the National Center for Medical Rehabilitation Research (NCMRR).

NICHD's major research efforts concern: infant mortality, SIDS, women's health, contraceptive development and evaluation, minority health including normative behavioral research, vaccine development, AIDS, congenital abnormalities, mental retardation, and the development of orthotics and prosthetics as well as on basic science support emphasizing developmental biology, neuroscience, and molecular medicine. It is currently supporting a major study of adolescent health.

The President has requested \$603.7 million for NICHD, a 1 percent increase over FY 1996 appropriations.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Total Research Grants .....	379.3	390.0	397.4	408.8	+5%	+2%	+3%
Research Centers .....	47.4	49.0	47.4	47.4	0%	-3%	0%
Training .....	18.1	18.3	18.7	18.9	+3%	+2%	+2%
R & D Contracts .....	67.6	72.5	74.9	71.7	+11%	+3%	-4%
Intramural Research .....	75.6	75.7	76.7	76.7	+<1%	+1%	0%
Research Management & Support .....	29.5	30.4	27.4	27.4	-7%	-10%	0%
<b>TOTAL .....</b>	<b>570.3</b>	<b>586.9</b>	<b>595.2</b>	<b>603.7</b>	<b>+4%</b>	<b>+1%</b>	<b>+1%</b>

*National Institute for Nursing Research*

The National Institute of Nursing Research (NINR) addresses a number of critical public health and patient care questions which have major effects on morbidity, mortality, quality of life, and cost of care. NINR's mission is to support research and research training to reduce the burden of illness and disability; improve health-related quality of life; and establish better approaches to promote health and prevent disease.

A dominant theme of the NINR research portfolio is the linkage of biological and behavioral research. Future program objectives include research on pain; behavioral symptoms of Alzheimer's Disease; genetics (counseling, educating, and supporting patients and families in decision making); health behaviors in young children; emerging infections such as HIV/AIDS and tuberculosis (prevention, adherence, symptom management and treatment); and undeserved populations.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research Grants .....	42.2	n/a	44.9	46.0	+6%	n/a	+3%
Research Training .....	4.0	4.4	4.3	4.4	+8%	-1%	+1%
Research Contracts .....	457.0	n/a	848.0	817.0	+86%	n/a	-4%
Intramural Research .....	1.2	1.3	1.2	1.2	+5%	-3%	0%
Research Management & Support .....	4.8	5.0	4.4	4.4	-8%	-11%	0%
Research Projects .....	38.8	n/a	40.9	42.0	+5%	n/a	3%
<b>TOTAL .....</b>	<b>52.6</b>	<b>55.1</b>	<b>55.8</b>	<b>56.9</b>	<b>+6%</b>	<b>+1%</b>	<b>+2%</b>

*National Institute on Alcohol Abuse and Alcoholism*

The National Institute on Alcohol Abuse and Alcoholism (NIAAA) supports basic and applied research related to the etiology, prevalence, prediction, diagnosis, prognosis, treatment, management, and prevention

of alcoholism or other alcohol-related problems. The institute supports a wide variety of disciplines, including anthropology, economics, epidemiology, psychology, and sociology. Most social and behavioral science research is funded through the Clinical and Prevention Research Division, the Alcohol Research Centers, and,

to a lesser degree, the Biometry and Epidemiology Division.

The President's FY 1997 budget request for NIAAA is \$202.6 million, an increase of \$4.0 million, or 2 percent, over the FY 1996 appropriation.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research Projects .....	108.8	115.8	115.8	120.9	+6%	0%	+4%
Research Centers .....	19.9	21.0	21.0	21.0	+5%	0%	0%
Other Research .....	13.8	14.4	14.4	14.1	+5%	0%	-2%
Training .....	5.2	5.4	5.4	5.5	+3%	0%	+2%
R & D Contracts .....	8.9	8.7	8.7	8.0	-2%	0%	-8%
Intramural Research .....	19.9	20.9	20.9	20.8	+5%	0%	-1%
Research Management. & Support .....	13.4	12.3	12.3	12.3	-7%	0%	0%
(Clinical Trials) .....	(17.0)	(—)	(18.0)	(18.5)	+6%	—	+3%
<b>TOTAL .....</b>	<b>189.8</b>	<b>198.6</b>	<b>198.6</b>	<b>202.6</b>	<b>+5%</b>	<b>0%</b>	<b>+2%</b>

*National Institute on Drug Abuse*

The National Institute on Drug Abuse (NIDA) is the lead Federal agency and predominant source of funding in support of research on drug abuse, dependence, and addiction. Through the intramural research program and through research grants and contracts at universities and other research institutions across the country, NIDA seeks to explore the scientific basis for the development of effective biomedical, behavioral, and psychosocial approaches to the prevention and treatment of drug abuse. NIDA research includes studies on the causes and consequences, the prevention and treatment, and the biological, social, behavioral, and neuroscientific basis of drug abuse and addiction. NIDA is also charged with the development of medications to treat drug addiction and for supporting research on the

relationship between drug use and AIDS, tuberculosis, and other medical problems.

NIDA research has identified specific behavioral, psychosocial, and cultural factors that influence drug use, and these findings are used to design and test a range of prevention strategies. NIDA supports a number of large-scale efforts to identify the most effective prevention strategies to implement community- and nation-wide. Outreach and behavior change strategies are also being developed. NIDA prevention initiatives focus on high-risk groups such as runaways, school dropouts, adolescents showing psychiatric disturbance, unmarried pregnant women and parenting youth, juvenile delinquents, and women and men in the sex trade.

The President's FY 1997 budget request for NIDA is \$312.0 million, 2 percent above the FY 1996 appropriation.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research Projects .....	175.9	179.7	187.2	193.4	+6%	+4%	+3%
Research Centers .....	22.7	25.3	23.7	24.4	+4%	-6%	+3%
Other Research .....	14.3	11.5	15.3	15.5	+7%	+34%	+1%
Training .....	7.6	8.0	8.8	9.6	+15%	+10%	+10%
R & D Contracts .....	25.2	29.1	27.5	25.6	+9%	-5%	-7%
Intramural Research .....	19.1	19.8	19.8	19.8	+4%	0%	0%
Res. Mgmt. & Support ....	24.6	25.4	22.8	23.0	-7%	-10%	+1%
(Clinical Trials) .....	(28.8)	(33.4)	(29.3)	(29.9)	+2%	-12%	+2%
<b>TOTAL .....</b>	<b>289.6</b>	<b>298.7</b>	<b>305.1</b>	<b>312.0</b>	<b>+5%</b>	<b>+2%</b>	<b>+2%</b>

*National Institute of Mental Health*

The National Institute of Mental Health (NIMH) supports and conducts a nationwide program of research and research training on mental disorders, their treatments and services. Developing knowledge about

the human brain is fundamental to the mission of NIMH. Unlocking the secrets of the human brain has been called one of the last frontiers of science and medicine in this century. NIMH has taken a strategic approach to conquering mental disorders through its four

National Plans: The National Plan for Schizophrenia Research; Approaching the 21st Century: Opportunities for NIMH Neuroscience Research (also called the decade of the Brain Plan); the National Plan for Research on Child and Adolescent Mental Disorders; and Caring for People with Severe Mental Disorders: A National Plan of Research to Improve Services. The NIMH national research plans define investigative areas which warrant major, sustained investment now and in the future. NIMH also funds research on cross-cutting issues such as prevention, rural mental health research, populations with special needs (including women), psychotherapeutic medication development, and AIDS. Other Institute activities are designed to

educate professionals and the public while encouraging other federal, national, foreign, state and local organizations to promote mental health and destigmatize mental illness.

NIMH also supports behavioral science investigators at the beginning stages of their career through its B-START (Behavioral Science Track Award for Rapid Transition) program. Research areas supported by the program include: behavioral, social, and environmental factors in mental illness; biology; neuroscience; and diagnosis, treatment, prevention, and control of mental illness.

FY 1997 budget request for NIMH is \$578.1 million, an increase of 2% over FY 1996.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Research Projects .....	275.4	293.1	292.0	302.1	+6%	0%	+3%
Research Centers .....	54.6	55.7	57.9	57.9	+6%	+4%	0%
Other Research .....	58.1	53.9	61.4	61.4	+6%	+14%	0%
Total Training .....	27.0	27.7	27.7	27.7	+3%	0%	0%
R&D Contracts .....	11.6	10.4	13.0	12.5	+11%	+24%	-4%
Intramural Research .....	83.2	86.4	87.4	87.4	+5%	+1%	0%
Research Mgmt. and Support .....	30.6	31.2	28.3	29.2	-8%	-9%	+3%
<b>TOTAL .....</b>	<b>540.6</b>	<b>558.6</b>	<b>567.8</b>	<b>578.1</b>	<b>+5%</b>	<b>+2%</b>	<b>+2%</b>

**Office of Population Affairs**

*Adolescent Family Life*

The Office of Adolescent Family Life focuses on improving adolescent health by supporting demonstration grants, including projects to provide a one-on-one case management approach; to encourage comprehensive health, education and social services; and to prevent adolescent pregnancy and sexually transmitted diseases. This office supports research projects that can improve understanding of the issues surrounding adolescent sexuality and parenting.

*Family Planning Program*

The national family planning program, created in 1970, provides grants to public and private non-profit

agencies to support voluntary family planning projects. In addition to the services program, Title X also supports a program of training medical, professional, administrative and clerical personnel, an information and education program and a research program which focuses on family planning service delivery improvements. An estimated \$3.2 million for the program is allocated to service delivery research improvement activities. A review of current data collection activities in the program is now underway to examine the effectiveness and adequacy of these methods in providing the family planning services data required by Congress and the Department of HHS. The budget figures below reflect total budget authority for OAH and FPP. Funding for research is contained within these figures.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Adolescent Family Life .....	6.7	6.1	7.7	6.2	+15%	+26%	-19%
Family Planning Program .....	193.3	198.9	193.0	198.4	0%	-3%	+3%

**Department of Housing and Urban Development**

The Department of Housing and Urban Development (HUD) continues to exist despite cries from some Republicans at the beginning of 1995 to abolish it. It has suffered major budget cuts the past few years and continues to “reinvent” itself.

*Office of Policy Development and Research (OPDR)*

The Office of Policy Development and Research (OPDR) provides data and analysis to enhance deci-

sion making on housing and urban issues facing our nation. It develops reports to support program evaluations and data sets to support HUD’s mission of “creating communities of responsibility.” OPDR is responsible for maintaining current information on housing needs, market conditions, and existing programs, as well as conducting research on priority housing and community development issues. The biennial American Housing Survey is still a major source of this information.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96– A-FY95	% Change C-FY96– P-FY96	% Change P-FY97– C-FY96
42.0	42.0	34.0	45.0	-19%	-19%	+32%

**Department of Justice**

Attorney General Janet Reno has repeatedly stated her support for criminal justice research, and has instituted regular meetings with criminologists. In addition to the direct appropriations given below, the three agencies receive some funds under the Local Law Enforcement Block Grants. Under provisions in the bill, similar to those advocated by COSSA, up to three percent of the grants (\$503 million in FY 1996) can be given to the Attorney General for research, evaluation, and data collection activities, as well as administrative costs, relating to programs supported by the block grants. It is unclear how much money will go toward the research and data costs.

*Bureau of Justice Statistics*

The Bureau of Justice Statistics (BJS) collects, analyzes, publishes, and disseminates information on crime and the criminal justice system. It also provides support to State-level Statistical Analysis Centers to collect and report statistics on crime and justice to all levels of government and to share State data nationally. BJS also administers the National Criminal History Improvement Program, which implements the grant provisions of the Brady Handgun Act. The President’s FY 1997 request includes an increase of \$1.5 million for additional costs of the Census Bureau conducting BJS data collection activities.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96– A-FY95	% Change C-FY96– P-FY96	% Change P-FY97– C-FY96
21.4	21.4	21.4	22.9	0%	0%	+7%

*National Institute of Justice*

The National Institute of Justice (NIJ) sponsors basic and applied research for the improvement of Federal, State, and local criminal, civil, and juvenile justice systems; new methods for the prevention and reduction of crime and the detection, apprehension, and rehabilitation of criminals and the dissemination of the results of such research efforts. In addition, NIJ supports technological advances applicable to criminal justice. A major NIJ effort is supporting, along with the MacArthur Foundation, a Program on Human De-

velopment and Criminal Behavior. Conducted by the Harvard School of Public Health, the study aims to advance knowledge of the relationship between individual traits, family and school environments, and community characteristics as they contribute to the development of criminal behavior. Reflecting congressional interest in NIJ’s burgeoning less-than-lethal technology programs, recent increases, including the FY 1997 proposal, are slated for these projects. Support for NIJ’s social science components has remained stagnant.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96– A-FY95	% Change C-FY96– P-FY96	% Change P-FY97– C-FY96
26.0	27.7	30.0	41.0	+15%	+8%	+37%

*Office of Juvenile Justice and Delinquency Prevention*

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) develops, implements, and coordinates a comprehensive juvenile justice and delinquency prevention program. Most of its funds go

by formula grants to the states. There is a small amount of funding for research, evaluation, and data collection. Citing burdensome Federal mandates, some congressional Republicans have advocated turning the Office's programs back to the states in the form of block grants.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
150.0	144.0	144.0	144.0	-5%	<1%	+<1%

**Department of Labor**

Support for job training remains a top priority for the Clinton Administration. Although the Republican Congress eviscerated many of these programs, the Administration fought to restore significant amounts of the cuts. The Department's FY 1997 budget proposal reflects concern for the anxiety of American workers. Emphasis is on easing job transitions, enhancing worker protections, and making work pay. Legislation to revamp the job training system by turning most of its components back to the States remains stuck in a House-Senate conference committee.

pal fact finding agency for the Federal government in the broad field of labor economics and statistics. It collects, processes, analyzes, and disseminates economic and statistical data to the American public, Congress, other federal agencies, State and local governments, business and labor. Its statistical series provide some of the major indicators used in developing economic and social policy. BLS maintains its support for the National Longitudinal Survey of Labor Market Experiences. BLS also continues to work on revising the Consumer Price Index and the Administration has requested \$16.1 million for that purpose. The numbers below do not include trust fund transfers.

*Bureau of Labor Statistics*

The Bureau of Labor Statistics (BLS) is the princi-

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
297.1	320.3	291.8	320.4	-2%	-9%	+10%

*Employment and Training Administration*

Funded under the National Activities section of the endangered Job Training Partnership Act, support for research and evaluation at the Employment and Training Administration has declined significantly in recent years. The major activity is a multi-year evaluation of

the Job Corps. The Administration's proposed increase will provide funding for performance management studies related to contemplated National Skill Standards. In addition, new pilots and demonstration programs to reduce significant unemployment among out-of-school youth will need evaluation.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
9.2	12.6	6.2	10.2	-33%	-51%	+65%

**Department of Transportation**

*Bureau of Transportation Statistics*

The Intermodal Surface Transportation Efficiency Act of 1991 established the Bureau of Transportation Statistics. Its director is appointed by the President (subject to Senate confirmation) to serve a four year term. The bureau compiles transportation statistics, imple-

ments a long-term data collection program, and issues guidelines for information collection, coordination, and availability. The bureau is financed from the Highway Trust Fund, with the authority for FY 1995 and FY 1996 set at \$15 million and \$20 million respectively. The President's Budget for FY 1997 is set for \$25 million.

*Federal Highway Administration*

University Transportation Centers Program

Initiated in FY 1988 with a four-year allocation of \$20 million, this program now funds 13 university research centers at approximately \$6 million per year. In FY 1997 the Administration has increased the program's budget to \$12 million per year.

*Russian, Eurasian, and East European Research and Training*

This program, once a separate line item in the State Department budget has now become part of the Agency for International Development budget for Russian and East European support. It provides funding for advanced study and research projects in the area of the world in its title. The program has strong congressional support, which has allowed it to survive previous Clinton Administration attempts to de-fund it.

**INDEPENDENT AGENCIES**

**Agency for International Development**

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
7.5	0	5.0	5.0	-33%	+100%	0%

**National Archives and Records Administration**

The National Archives and Records Administration (NARA) manages a wide range of federal archives and records facilities. NARA also oversees the operation of the presidential libraries and supervises the declassifi-

cation of federal material. NARA now operates a new research facility in College Park, Maryland known as Archives II. In June 1995, former Kansas governor John Carlin was confirmed as Archivist, filling one of the longest-running vacancies in the Clinton Administration.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
190.8	195.3	195.9	192.6	+3%	+<1%	-2%

**National Endowment for the Humanities**

The National Endowment for the Humanities (NEH) supports scholarly research, research tool development, physical preservation of research sources, fellowships, seminars, and a wide variety of education and public programs. NEH also offers support for studies in humanistic aspects of science and technology and support for projects emphasizing historical scholarship. Most social science awards are in history, political science, anthropology, and linguistics.

As part of its *Contract With America*, House Republicans have targeted NEH for elimination. While NEH appears likely to survive, it is a weakened agency. The FY 1996 budget cuts were drastic for the research and education programs, as Congress wanted to lessen the severity of cuts on state humanities councils and preservation programs. Due to category changes, not all figures below were available.

	% Change Actual FY 1995	% Change Proposed FY 1996	% Change Current FY 1996	Proposed FY 1997	C-FY96- A-FY95	C-FY96- P-FY96	P-FY97- C-FY96
Research and							
Education .....	50.7	—	20.4	30.0	-60%	—	+47%
Public and Enterprise .....	24.6	—	14.0	19.5	-43%	—	+39%
Preservation and							
Access .....	22.0	—	16.5	21.0	-25%	—	+27%
Fed-State							
Partnerships .....	28.0	—	26.8	30.2	-5%	—	+14%
Treasury .....	11.9	—	6.0	6.3	-50%	—	+4%
Challenge Grants .....	13.8	—	9.7	11.5	-30%	—	+11%
Administration .....	20.7	—	16.9	17.6	-18%	—	+4%
<b>TOTAL .....</b>	<b>172.0</b>	<b>182.0</b>	<b>110.0</b>	<b>136.0</b>	<b>-36%</b>	<b>-40%</b>	<b>+24%</b>

**Smithsonian Institution**

The Smithsonian supports a wide range of scientific research, including extensive research in the social and behavioral sciences. Among its areas of particular interest are the history of cultures, technology, and the arts. The institution also acquires and preserves items of scientific, cultural, and historic im-

portance. The Woodrow Wilson International Center for Scholars facilitates scholarship of the highest quality in the social sciences and the humanities and communicates that scholarship to a wide audience both within and beyond Washington. The Center pursues this objective through fellowships, conferences, and publications.

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
Woodrow Wilson Center .....	8.8	10.0	5.8	5.8	-33%	-40%	0%
Total Smithsonian .....	313.9	329.8	311.2	328.7	<-1%	-6%	+6%

**United States Information Agency**

*Bureau of Educational and Cultural Affairs*

In recent years Congress has added numerous programs to those already supported by the United States Information Agency (USIA) educational and cultural affairs office. The programs now funded include: academic and visitor exchanges (including the Fulbright program); Hubert Humphrey Fellowships (one year of graduate training to mid-career professionals from developing countries); citizen exchanges conducted by non-governmental organizations; Congress-Bundestag program (mutual scholarships for year-long academic home stay programs between Germany and the U.S.); NIS/Central and East Europe Training Program (train-

ing for local government officials, scholars, and business leaders to foster growth of democratic institutions and economic pluralism); Edmund S. Muskie Fellowship program (scholarships for citizens of the New Independent States for graduate study in the U.S. in business Administration, economics, law, and public Administration); and the Near and Middle East Research and Training (assistance to graduate and post-doctoral studies by U.S. scholars in these areas). USIA receives transfers of funds from the Agency for International Development, a situation which may change as Congress considers sweeping changes and restructuring of foreign aid programs.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
275.3	252.7	200.0	202.4	-27%	-20%	+<1%

**United States Institute of Peace**

The United States Institute of Peace (USIP) is an independent, nonpartisan institution created and funded by Congress to promote research, education, and training on the peaceful resolution of international conflicts.

*Note:* Since USIP is not an executive branch agency,

the Administration's budget request is not binding. USIP can and does submit its own budget figures. While USIP's FY 1997 request (\$11.2 million) is identical to the White House's Office of Management and Budget, this has not always been the case.

Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
11.5	11.5	11.5	11.2	0%	0%	<-1%

**National Science Foundation**

The National Science Foundation (NSF) has always been hailed as an agency that supplies the United States with the scientific discoveries to keep it in the forefront of the world's powers. Support in the Congress

for its efforts has been bipartisan and laudatory. In the 1980s Presidents proposed double digit increases for its budget. Yet, for the most part, it never had any real champions willing to put it first on any list of priorities. Competing in the same appropriations subcom-



mittee with Veterans Affairs, NASA, HUD, and EPA, it has not had in recent years, the same kind of Member zeal that the National Institutes of Health engenders. During the 1980s and early 1990s NSF did receive, for the most part, decent increases, but usually not the double digits called for by the President. In 1994 Congress provided a 10 percent increase, more than requested by the President

With the drive for a balanced budget requiring significant squeezing of domestic discretionary federal funds, NSF is now caught in the vise of scarce resource allocations. This is the essence of budgetary politics. NSF Director Neal Lane recognizes this and has called for a more active scientific community to explain and advocate for itself. He understands that increased funding will not occur without greater public and decision maker comprehension of why enhanced investment in science is so important.

In the past few months, Lane has also described the current budgetary trends for science as an experiment to see if stagnating science budgets over the next six years will allow the U.S. to maintain its standing as the premier nation for scientific discovery. This is all occurring, just as we are entering "a golden age of discovery," according to Lane. Without significant new investment, Lane has declared, the nation "will be living on borrowed capital" in its pursuit of new fundamental knowledge.

The dispute over appropriations left NSF without a final FY 1996 appropriation more than halfway through the year. Although a House-Senate conference committee agreed to reduce NSF's FY 1996 budget by almost \$90 million, or 2.8 percent from the previous year's total, the President for various reasons vetoed the bill. *In the final appropriations agreement, the Administration and Congress agreed to increase NSF's FY 1996 appropriation by \$40 million, all of it added to the Research and Related Account.* The additional funds, reduce the cut for FY 1996 to just over \$50 million or 1.5 percent. The research total is \$2.314 billion, an increase of \$32.5 million or 1.4 percent. Without the addback, the Research and Related Activities account would have lost \$7.5 million from the previous year.

The proposed budget for FY 1997 is \$3.325 billion. This is a \$105 million increase or 3.3 percent over FY 1996. Interestingly, the proposed figure for FY 1997 is \$35 million below the figure the Administration requested for FY 1996. Also, comparing it to the FY 1995 total of \$3.27 billion, the request reflects a 2 percent increase over two years, demon-

strating again the tightening of the domestic discretionary spending noose.

For Research and Related Activities, NSF requests \$2.472 billion, an increase of \$158 million or 6.8 percent over the conference report level. All the directorates receive about the same increase, except Engineering. The differential is due to the larger increase in this directorate for the Small Business Innovation Research program. SBIR is a mandated program by Congress that requires agencies to spend a certain percentage of its resources on research conducted by small businesses.

However, the increase for research is not as generous as it appears. NSF has requested elimination of its Academic Research Infrastructure program. The \$100 million appropriated in FY 1996 would go for restoring research facilities (\$50 million) and providing new scientific equipment (\$50 million). The new budget proposes to abolish funding for facilities, but shifts the \$50 million for instrumentation into the research directorates. So the real increase for research is reduced to 2.5 percent.

#### *Social, Behavioral and Economic Sciences Directorate*

The Directorate for the Social, Behavioral and Economic Sciences (SBE) was created in 1991. In 1995, it faced a challenge to its existence by the House Science Committee. Although it survived, SBE still remains a small piece of the NSF pie. With the growing recognition of the importance of human factors in the problems facing this country and the world, the scientific community can not ignore SBE research contributions anymore. However, the growth of the directorate's funding has been hampered by proportionate percentage increases, since SBE starts with a small base. It has been helped somewhat in recent years by a Congress that recognizes the growing significance of the research it supports, and an NSF need to include human activities in the development of other Foundation-wide research programs. In the allocation process for FY 1996 it continued to grow, while most of the other directorates were reduced slightly.

The Social, Behavioral and Economic Research Division (SBER), now led by economist William Butz, provides the support for disciplinary and multi disciplinary research projects. It also supports the continuation of the major data bases in the SBE sciences. With help from Congress, the division's budget grew significantly from FY 1994 to FY 1995, (15 percent) to help pay for the Human Capital Initiative, the creation of a center on violence research, a center on environ-

**National Science Foundation**  
PROPOSED FY 1997 FUNDING

	Actual FY 1995	Proposed FY 1996	Current FY 1996	Proposed FY 1997	% Change C-FY96- A-FY95	% Change C-FY96- P-FY96	% Change P-FY97- C-FY96
<b>NSF SPENDING BY DIRECTORATE</b>							
Biological Sciences .....	301.0	324.0	305.0	326.0	+1%	-6%	+7%
Computers, Information Science, and Engineering .....	258.3	259.2	255.0	277.0	+<1%	-6%	+7%
Engineering .....	319.6	344.2	323.5	354.3	+1%	-6%	+10%
Geosciences .....	419.5	451.5	424.9	454.0	+1%	-6%	+7%
Math and Physical Sciences .....	644.7	698.3	660.9	708.0	+3%	-5%	+6%
Social, Behavioral, and Economic Sciences .....	113.8	122.9	116.8	124.0	+3%	-5%	+6%
Education and Human Resources .....	606.0	599.0	599.0	619.0	-1%	0%	+3%
<b>SOCIAL, BEHAVIORAL AND ECONOMIC SCIENCES DIRECTORATE</b>							
<b>Division of Social, Behavioral, and Economic Research ...</b>	84.9	91.7	86.5	93.0	+2%	-6%	+8%
<b>Division of International Cooperative Activities .....</b>	17.0	18.8	18.1	18.0	+6%	-4%	<-1%
<b>Division of Science Resource Studies .....</b>	11.9	12.4	12.1	13.0	+2%	-2%	+7%
<b>EDUCATION AND HUMAN RESOURCES DIRECTORATE</b>							
Systemic Reform .....	96.4	95.4	95.3	101.9	-1%	0%	+7%
EPSCOR .....	36.9	35.9	35.9	35.9	-3%	0%	0%
Elementary and Secondary and Informal Education .....	195.9	194.2	194.1	190.2	-1%	0%	-2%
Undergraduate Education .....	84.3	83.4	83.4	92.4	-4%	0%	+11%
Graduate Education .....	66.8	66.8	66.8	74.3	0%	0%	+11%
Research, Evaluation, and Communication .....	49.0	48.6	48.6	50.6	-1%	0%	+4%
Human Resource Development .....	76.8	74.8	74.8	73.8	-3%	0%	-1%

mental research, and enhanced research on integrated assessment and policy sciences as they relate to global environmental change. It will receive a \$3.0 million increase, from FY 1995 to FY 1996.

For FY 1997, SBE's request is \$124 million, a \$7.2 million or 6 percent increase over the FY 1996. The SBER would receive \$6.5 million of that increase. The bulk of the increase would go to two multi disciplinary research areas: Human Capital Initiative (HCI) and Learning and Intelligent Systems (LIS). Total support for HCI would reach \$14 million in FY 1997, including a requested \$4.4 million over FY 1996. According to NSF, HCI research will improve our understanding of the processes by which experiences in families, schools and the workplace interact with biological and psychological factors to generate individual and community productivity.

LIS is a new initiative that will enhance funding for cognitive research and support research on learning in natural and artificial systems. A multi-directorate initiative with the Computer and Information Science and Engineering and the Biological Sciences directorate, the research will help us understand learning processes in humans, machines, and human/machine systems.

In addition to these initiatives, SBER will continue to support research in human genetic diversity, human perception and decision making related to risk, development of digital libraries, and the impact of research and technology on the U.S. economy and society. It also will continue to support the National Center for Geographic Information and Analysis, the NSF Science and Technology Center for Cognitive Sciences, the new National Consortium for Research on Violence, the National Center for Environmental Decision Making Research, and Research Centers on the Human Dimensions of Global Change. The funding for these Centers will reach \$10.4 million in FY 1997, about 11 percent of the division's resources.

The two other divisions in SBE, Science Resource Studies and International would receive \$1 million increases each from FY 1996 to FY 1997.

### *Education and Human Resources*

After many years, Congress finally accepted NSF's argument that the Education and Human Resources (EHR) directorate grew too fast during the past ten years and actually decreased EHR's funding for FY 1996. It agreed that EHR needed time to absorb its new largesse and to evaluate the new programs it spawned. Chief among these were the systemic initiatives, first at the State level and now with Urban and Rural components as well, aimed at comprehensive

approaches to improving science and mathematics education from pre-kindergarten to the 12th grade. These initiatives continue to undergo systematic evaluations.

The Experimental Program to Stimulate Competitive Research (EPSCOR) is a favorite of small state Members of Congress who want the universities in their states capable of competing with the major research universities for NSF grants. The Undergraduate Education program is currently in the midst of a major review by an outside committee, chaired by former St. Olaf College President Mel George.

For FY 1997, systemic reform remains a major priority, as does improving undergraduate education. EPSCOR is held stable and in a decision sure to raise the ire of the science museum community, NSF has proposed a \$10 million reduction for Informal Science Education. The Research, Evaluation, and Communication division receives a slight increase, with all of it going for more evaluations. The research program has been stagnant for many years, although a new National Institute for Science Education has been established at the University of Wisconsin-Madison. The Human Resource Development division would be reduced by a slight \$1 million.

The proposed budget would increase support for graduate students. The Graduate Research Fellowship program would increase by \$2 million to \$55.8 million. Although the number of graduate fellows would remain constant at 2,360, the institutional allowance would increase. The Graduate Traineeship program would increase to \$17 million, providing about 150 new awards and continuations for about 570 traineeship position awarded in previous years. A new program to support a science education postdoctoral program for the production of K-12 and undergraduate level professionals would receive \$1.5 million to fund approximately 25 fellowships.

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*Howard J. Silver serves as the Executive Director of the Consortium of Social Science Associations. COSSA is the advocate in Washington for the social and behavioral sciences. He also chairs the Coalition for National Science Funding. He has testified before Congress many times and has written and spoken extensively on legislative-executive relations, the federal budget process and science policy, particularly as it affects the social and behavioral sciences. This report was prepared by the author with the assistance of the COSSA staff.*