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LOOKING BACK ON 1993: CLINTON, CONGRESS, THE AGENCIES, AND SOCIAL SCIENCE *HS*

After barely defeating a major deficit reduction package known as Penny-Kasich and making some progress on legislation that had languished for most of the year, the first session of the 103rd Congress ended in late November. President Clinton, having won the NAFTA battle, seemed on the upswing again in what has been a roller coaster ride of a first year presidency. The agencies, having finally received their FY 1994 allocations (although rescissions are still looming), began receiving their preliminary allocations from the Office of Management and Budget on their FY 1995 budget proposals and soon realized that "the crunch" had indeed arrived. In addition, measures to implement the National Performance Review's calls for reinventing government are moving forward. Unfortunately, the year long Joint Committee on Congressional Reform has not produced any consensus on how to change that institution.

For social and behavioral science and their relationships with the Federal government, 1993 brought new victories, new personnel, and in some places, even new funds. It was a year of change that saw the continued elevation of these sciences in the national public policy arena. Appointments of social scientists to key positions in the government, such as Donna Shalala, Alice Rivlin, Laura Tyson, David Ellwood, Mary Jo Bane, and Katharine Abraham enhanced these prospects.

Penny-Kasich and Rescissions

Resources could become even tighter if the budget cutting mood of the Congress continues. The \$90 billion (\$7 billion in the first year) deficit reduction package sponsored by Reps. Tim Penny (D-MN) and John Kasich (R-OH) failed passage in the House by only six votes. Included in the bill was a proposal to create a Department of Science by combining the Departments of Commerce and Energy, EPA, NSF, NASA, NIST, and OSTP in order to save duplicative administrative and research costs. Although the idea of a science department is not new, this particular manifestation received no

congressional hearings or discussion and was simply included in a major cost cutting measure. The larger proposal also included a provision to reduce overhead costs for university research by \$220 million in the first year by capping rates at 50 percent. In response to Penny-Kasich, the House passed rescissions totaling \$2.5 billion in year one, including reducing by \$10 million the NSF academic infrastructure program. The Senate did not act on a rescissions package, but is expected to consider one when it returns next year.

OBSSR and NIH

The major victory for social and behavioral science in 1993 was the creation of the Office of Behavioral and Social Science Research (OBSSR) in the office of the Director of NIH. The office, a provision of the National Institute of Health Revitalization Act that passed in June, will give increased visibility and funding for health-related research in these disciplines. Unfortunately, in the six months since enactment NIH has moved slowly to establish the office and select a director. Recent comments by new NIH Director Harold Varmus (who was finally confirmed on November 19) suggest that implementing this office is not a priority and further delays are expected, even though one of the major functions of the office, a report on NIH support for these disciplines is due to the Congress in February.

The appropriations increase was 5.2 percent for most of the research institutes (for full details of FY 1994 appropriations see chart on page three).

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The days of unbridled congressional funding support for NIH do indeed appear to be over.

NSF: New Leadership, New Headquarters, New Money, New Warnings

The National Science Foundation enjoyed success in the appropriations process, its 11 percent increase was one of the largest for any agency in the government. It moved to a sparkling new building in the Northern Virginia suburbs. A distinguished new leader was confirmed, Neal Lane, the former provost of Rice University. The SBE directorate moved forward as an integral part of NSF under the able leadership of Cora Marrett and the new Director of the Social, Behavioral and Economic Research Division, Allan Kornberg.

However, discussion of NSF this year cannot ignore the language in the report of the Senate appropriations subcommittee, chaired by Sen. Barbara Mikulski (D-MD), that called for NSF to focus more on "the transfer of knowledge and technology for broader national goals and objectives." After some initial doom-and-gloom reactions to the report from those in the science community, the year-end reaction was that Mikulski's challenge provides NSF the opportunity to better define its role and mission and that the agency can survive and prosper.

Further illumination of this will occur as the Congress returns to deliberation over a new NSF reauthorization act. The bill emerged from the House Science Subcommittee in October, following testimony by COSSA President William Julius Wilson in the Spring, but has stalled since. The full

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House committee expects to resume the process early in the new year, and the Senate may begin its scrutiny as well.

OSTP: The Elevation of Social and Behavioral Science

The Office of Science and Technology Policy saw its new leader, John Gibbons, appointed early in the administration. Unfortunately, the four Associate Directors were not fully on board until late in the year. This delayed implementation of the policy unveiled in the president's technology report released in the Spring. The new National Science and Technology Council (see story on page five) was announced at the end of November. The attempt to centralize coordination of the science and technology budget will have to wait until FY 1996.

The new Associate Director for Science, M.R.C. Greenwood, will soon appoint the new Assistant Director for social and behavioral sciences, a position that will be on the same level as assistant directors for the physical sciences and life sciences. She has stressed the administration's commitment to elevating the social and behavioral sciences to a position of importance in implementation of OSTP's vision of science and technology policy.

Other Actions

The reauthorization of the **Office of Education Research and Improvement** passed the House and emerged from the Senate Labor and Human Resources Committee, but remains bogged down over disagreements on the power of an advisory or policy making board. Field initiated studies remains the poor relation (less than \$1 million) in a laboratory and center dominated education research budget.

The **Agriculture Department** is on the verge of reorganizing its research enterprise. Despite administration attempts to increase considerably the National Research Initiative Competitive Grants Program (NRI), the Congress still insists on supporting special grants that cut into the proposed increases for NRI. The social science proportion of NRI remains stagnant.

Despite the intense interest in the U.S. crime and violence problem, funding for research at the **Justice Department** decreased for FY 1994. In addition, leadership positions at the research and

FISCAL YEAR 1994 APPROPRIATIONS FOR SOCIAL AND BEHAVIORAL SCIENCE RESEARCH

(all figures in millions)

Agency	FY93 Funding	FY94 Proposed	FY94 Appropriations
National Science Foundation			
Research and Related Activities	1,859.0	2,204.0	1,998.5
Academic Infrastructure	50.0	55.0	110.0
Education and Human Resources	487.5	556.1	569.6
Dept. of Health and Human Services			
Centers for Disease Control	1,662.5	2,161.8	2,051.1
Asst. Sec. for Planning and Evaluation	8.0	15.9	12.0
Nat. Inst. for Health (total)	10,327.0	10,668.0	10,955.8
Nat. Inst. for Child Health and Human Development	527.8	539.5	555.2
Nat. Inst. for Aging	399.5	392.6	420.3
Nat. Inst. for Nursing Research	48.5	49.0	51.0
Nat. Inst. on Alcohol Abuse and Alcoholism	176.4	173.6	185.6
Nat. Inst. on Drug Abuse	404.2	407.1	425.2
Nat. Inst. of Mental Health	583.1	576.0	613.4
Department of Agriculture			
National Research Initiative	97.5	130.2	112.1
Economic Research Service	58.9	51.5	55.2
Dept. of Commerce/Census Bureau			
Periodic Censuses and Programs	169.9	130.9	110.0
2000 Census Planning	13.8	23.1	8.1
Department of Education			
Education Research	74.0	90.8	78.0
Education Statistics	48.6	60.0	48.6
Assessment	29.3	65.0	29.3
Harris Fellowships	20.4	21.8	20.4
Javits Fellowships	7.9	8.7	7.9
International Programs	55.1	58.1	59.1
Dept. of Housing and Urban Development			
Policy Development and Research	25.0	35.0	35.0
Department of Justice			
National Institute of Justice	23.0	23.0	22.5
Bureau of Justice Statistics	21.4	21.4	20.9
Juvenile Justice	72.3	73.5	107.0
Department of Labor			
Bureau of Labor Statistics	274.9	280.4	282.0
Natl. Endowment for the Humanities			
	177.5	177.5	177.5
Ofc. of Science and Technology Policy			
	6.2	5.2	4.5
Smithsonian Institution			
Total	295.6	299.6	302.3
Woodrow Wilson Center	6.3	6.3	6.3
U.S. Information Agency			
Educational and Cultural Exchanges	223.4	242.9	217.6
U.S. Institute of Peace			
	10.9	10.9	10.9

statistics agencies remain unfilled by presidential appointees.

The Census Bureau faced increasing criticism and funding reductions from its appropriators this year. Although some of the plans for the 2000 Census may be at risk, the Bureau is mainly hampered by a lack of a presidential appointment to the Director's post. Two panels of the National Research Council examining prospects for the 2000 Census and beyond issued interim reports, but appeared not to have satisfied Congress's desire for a less costly 2000 Census.

An information infrastructure applications bill passed the House with a provision for research on the social and legal implications of the new information highway. The Senate bill has stalled over White House objections to excessive micromanagement.

1994 looms as the year of health care reform, welfare reform, and more calls for deficit reduction in an ever-tighter budget picture, all in the context of oncoming Congressional elections where the party holding the presidency usually loses seats.

NEW NSF DIRECTOR OFFERS SUPPORT FOR SOCIAL SCIENCE *HS*

Neal Lane, the new director of the National Science Foundation (NSF) met with the Directorate for Social, Behavioral and Economic Sciences (SBE) Advisory Committee on November 29 and offered his strong support for these disciplines. Lane's appearance, scheduled for a brief greeting, was extended through an informal lunch with the 14 member group.

While admitting he had "a lot to learn about this Directorate," Lane acknowledged its importance to comprehending the "human dimensions" of change, whether it be global or technological. He noted the challenges of "human complexity" faced by SBE research in comparison to the physical and natural sciences. He also assured the committee that Presidential Science Advisor Jack Gibbons "appreciates the breadth of science," including the SBE sciences.

Lane described the Clinton administration's policy of shifting the research and development budget away from defense in favor of research in the civilian sector. He noted the increased

NSF's LOUTTIT RETIRES *HS*

After 18 years at the National Science Foundation, where he led the Division of Behavioral and Neural Sciences in the old Biological, Behavioral and Social Science Directorate and the Division of Behavioral and Cognitive Sciences in the new Social, Behavioral and Economic Sciences Directorate, Dick Louttit retired on December 3. Prior to his arrival at NSF, Louttit began his government career at the National Institute of Mental Health. He had previously taught at the University of Massachusetts.

At a retirement dinner on December 2, Dick's many friends and colleagues from NSF, NIMH and the social and behavioral science community feted his service to those government agencies and to the behavioral and social sciences. Cora Marrett and Mary Clutter, the two Assistant Directors whom Dick served at NSF, were effusive in their praise for his hard work and good fellowship. Many of the people Dick mentored over the years also described their affection for him. COSSA wishes Dick and his wife a healthy and happy retirement in their hilltop home in Gore, VA.

emphasis by the administration and Congress for accountability of scientific research funding, with Assistant Director for SBE Cora Marrett adding that a Directorate-sponsored colloquium on the economic returns of research will be held next spring. Lane said that key elements of NSF's efforts would be more mission directed research, partnerships, and international collaborations.

Discussing the new National Science and Technology Council (NSTC) (see next story) and its role in setting priorities for science and technology policy, Lane responded to concerns of committee members by declaring that the administration's commitment to fundamental science and engineering is "real." However, Lane added that he wondered how fundamental scientific research could be integrated into the substantive issues that the NSTC will consider. He expressed his opinion that the new Council would be "less rigid" than the previous administration's approach to coordinated initiatives. Committee chair Marta Tienda of the University of Chicago expressed some concern that the NSTC would further enhance a top down approach to defining scientific research, rather than the approach

where individual investigators define what research was conducted. Lane said that despite these changes at the national level of science policy, he believed there would be little change in terms of what scientists actually did in their laboratories.

Asked about the directives to the NSF in the report of the Senate Appropriations Subcommittee chaired by Sen. Barbara Mikulski (D-MD) (see *Update*, September 13), Lane responded that NSF is paying attention to the report's calls for a "transformation" of the agency. Lane added that he wants to move away from the dichotomy between strategic research and curiosity-driven research established by the Subcommittee in favor of the term "discovery" to describe scientific research supported by NSF. He acknowledged that the new NSTC would clearly make choices that would define "strategic" research linked to national goals.

The Advisory Committee also heard reports from the Division of Science Resources Studies, directed by Ken Brown, and the Division of International Programs, directed by Marcel Bardon. The reports addressed the problems of trying to upgrade these divisions in an era of scarce resources.

The committee also discussed the role of the SBE sciences in NSF's growing instrumentation program. As the program rules limit each university to submitting only two proposals, and the assumption is made that SBE requests would be small, some predict that universities would opt for proposals for large instruments in the physical and natural sciences. The SBE Directorate is working to change the rules to allow for a more fair consideration of SBE proposals. NSF expects the solicitation announcement for the program to be available on December 15.

John McTague, Vice President-Technical Affairs at Ford Motor Company, joined the committee replacing Dale Compton, the Lillian Gilbreth Distinguished Professor of Industrial Engineering at Purdue University. McTague, a chemist, was a member of the President's Council of Advisers on Science and Technology (PCAST) during the Bush administration and served as Acting Presidential Science Adviser during the Reagan administration. His appointment continues Marrett's policy of appointing some committee members from outside of the social sciences.

CLINTON ANNOUNCES WHITE HOUSE SCIENCE COUNCILS *HS*

As part of a promised effort to elevate science and technology (S&T) policy to the level of economic and national security policy, President Clinton has announced the creation of the National Science and Technology Council (NSTC). Patterned after existing economic and national security councils, the NSTC will coordinate the S&T policy making process, integrate policy across the Federal government, and ensure S&T are considered in the development and implementation of Federal policies and programs.

The membership of the Council includes: the President as Chair, the Vice-President, the Secretaries of Commerce, Defense, Energy, Health and Human Services, State and Interior, the Administrators of NASA and EPA, the Directors of NSF and OMB, the President's National Security Adviser, and the Assistants to the President for Science and Technology Policy, Economic Policy, and Domestic Policy. Omitted from this list are the Directors of NIH and the National Institute of Standards and Technology, as well as the Secretaries of Agriculture and Education, although they may be designated by the President to participate in NSTC activities.

The Council will function as the supervisor of S&T policy that will be developed through inter-agency committees. There may be as many as nine panels, focusing on such broad topics as Fundamental Science and Engineering Research, Education and Training, and Health, Safety and Food. Each committee will have a Chair from a designated agency and a co-chair from the White House. Each committee will include subcommittees.

Unlike the Federal Coordinating Council on Science, Engineering and Technology (FCCSET) utilized in the Bush administration, the Clinton model seeks to give the new NSTC greater authority to coordinate and, in conjunction with OMB, "make recommendations on research and development budgets that reflect national goals." The NSTC will also oversee the National Space Council and the National Critical Materials Council.

The President also announced the re-establishment of the President's Council of Advisers on Science and Technology (PCAST). The council will consist of 16 members, the Assistant to the President for Science and Technology will chair, and 15 "distinguished individuals from the nonfederal

sector" will be appointed by the President. One of the nonfederal members will serve as co-chair. These outsiders "shall be representative of the diverse perspectives and expertise in the Nation's investments in science and technology." PCAST will assist the NSTC in securing private sector involvement in its activities.

SENATE CRIME BILL INCLUDES RESEARCH AND EVALUATION *MS* PROVISIONS

Amidst provisions expanding the use of the death penalty, increasing the number of police in communities, enhancing penalties for gun use in crimes, banning certain assault weapons, providing protection against terrorism, expanding crime victims' rights, and trying to deal with gangs and juvenile crime, the comprehensive crime bill passed by the Senate at the end of the first session of the 103rd Congress last month includes a number of sections funding commissions, studies, and data collections in the social and behavioral sciences.

The bill establishes four commissions. A 25 member Commission on Crime and Violence will develop a comprehensive and effective crime control plan to serve as a blueprint for actions in the 1990s. To produce the "blueprint" the commission shall conduct a "comprehensive study of the economic and social factors leading to or contributing to crime and specific proposals for legislative and administrative actions to reduce crime and the elements that contribute to it."

Another commission of 15 members will study the Causes of the Demand for Drugs in the United States. Included in its mandate are studies of: the socio-economic characteristics of potential illicit drug users and traffickers; environmental factors such as the correlation between unemployment, poverty and homelessness on drug experimentation and use; the aspects of, and changes in, philosophical or religious beliefs, cultural values, attitudes toward authority, status of basic social units (such as families) and traditions that contribute to illicit drug use and abuse; the physiological and psychological factors that contribute to the desire for illicit drugs; and a review of the drug strategies used by governments to address the causes of illicit drug use and abuse.

A 29 member National Commission to Support Law Enforcement will study, conduct surveys, and

recommend changes regarding issues facing law enforcement agencies such as: the sufficiency of funding, conditions of employment, the status of research and training, the effectiveness of information-sharing systems, intergovernmental cooperation, and the impact of the criminal justice system.

A Commission on Violence in the Schools will also be established with 22 members who "are specially qualified to serve on the Commission by reason of their education, training, expertise or experience in sociology, psychology, law, law enforcement, and ethnography, urban poverty, including health care, housing, education, and employment." This commission will: define the causes of violence in the schools; define the scope of the problem; provide data on a State-by-State basis; investigate how youth gangs contribute to the problem; examine the extent of weapons in schools; explore the contribution of the school environment to the problem; and review the effectiveness of current approaches to dealing with school violence.

National Institute of Justice Studies Mandated

Other provisions in the bill mandate two National Institute of Justice (NIJ) studies. One will examine the recidivism rates of individuals under the influence of alcohol or alcohol in combination with other drugs, with participation in a residential treatment program as an independent variable. In conjunction with this study, NIJ will conduct a nationwide assessment regarding the use of alcohol or combinations of drugs and alcohol "as a factor in violent, domestic, and general criminal activity." The second NIJ study will examine the feasibility of establishing a clearinghouse to provide information to facilitate the transfer of prisoners in State correctional institutions to other prisons in order to allow inmates to serve their sentences at institutions located closer to their families.

The legislation also requires the Attorney General to collect, through the crime victimizations survey conducted by the Bureau of Justice Statistics (BJS), and publish annually, data on the use of excessive force by law enforcement officers. In addition, the bill orders a study of the impact of the ban on semiautomatic assault weapons on violent and drug trafficking crime.

A section of the crime bill titled Safe Homes for Women includes a provision calling for the NIJ to contract with the National Research Council or a nonprofit private entity "to develop a research

agenda to increase the understanding and control of violence against women, including rape and domestic violence." The Senate requires that the agenda focus primarily upon preventive, educative, social and legal strategies. In addition, NIJ and the BJS shall study how the States may develop centralized databases on the incidence of domestic violence offenses within a State.

As part of the Violence Against Women Act Improvements section the Attorney General, through NIJ and BJS, shall provide for a national baseline study on campus sexual assault, defining the scope of the problem and the effectiveness of institutional and legal policies in addressing these crimes and protecting victims.

The bill also grants funds to States to develop plans for analyzing the role of race in their criminal justice systems in order "to ensure that racial and ethnic bias have no part" in such systems. Finally, the bill calls on the President to convene "as soon as possible" a national summit on violence in America.

NIH HEALTH AND BEHAVIOR PANEL LOOKS AT TUBERCULOSIS *SP*

The NIH Health and Behavior Coordinating Committee (HBCC) recently held its first in a series of forums to address behavioral and social conditions fostering the development of treatment-resistant strains of tuberculosis and problems related to the delivery of treatment. This effort by the HBCC is in response to an NIH-wide initiative on tuberculosis which emphasized the development of new drugs, but neglected the social and behavioral aspects of tuberculosis.

The HBCC was formally chartered in 1993 and assumes the functions, activities, and membership of the ad hoc NIH Working Group on Health and Behavior that was established in 1981. The charge of the HBCC is to 1) facilitate the sharing of programmatic and scientific information on health and behavior research; 2) provide a forum for considering new program initiatives; 3) serve as a point of contact between the NIH and other governmental, private, professional, and scientific agencies and organizations concerned with health and behavior research; 4) respond to requests for information about NIH health and behavior activities; and 5) make recommendations concerning research needs the NIH Director.

EDITOR'S NOTE

This is the final issue of *Update* for 1993, with publication resuming in mid-January. The entire staff at COSSA extends its warm wishes for the holiday season.

The discussion was based upon the presentation of Esther Sumartojo of the Division of Tuberculosis Elimination at the Centers for Disease Control and Prevention (CDC), "When Tuberculosis Treatment Fails: A Social Behavioral Account of Patient Adherence." She began her talk by answering the question, "Why has tuberculosis, a treatable and curable disease, proved so resistant to elimination?" She identified patient adherence to treatment, which is widely acknowledged as a behavioral problem, as the critical factor. Sumartojo said that issues involving patient adherence to TB need the attention of behavioral and social scientists because of changes in the epidemiology of the disease.

She cited several reasons for the increase in the number of cases of TB: 1) the emergence of HIV/AIDS; 2) large numbers of immigrants from countries where TB rates are high; 3) adverse social conditions including poverty, homelessness, and substance abuse; 4) deterioration of the health-care infrastructure; and 5) an emergence of drug-resistant and multi-drug resistant strains of TB.

According to Sumartojo, "Additional research on adherence predictors is needed, but it should reflect the complexity of the problem. This research requires a theory-based approach, which has been essentially missing from studies on adherence and tuberculosis. Research also needs to target predictors for specific groups of patients."

Sumartojo stated that her presentation had two goals: 1) to provide background information for adherence researchers interested in tuberculosis and to stimulate both tuberculosis specialists and behavioral scientists to conduct studies in this area; and 2) to challenge those who work directly with patients to take an innovative and comprehensive approach to programming.

For more information, contact Esther Sumartojo, Ph.D., Centers for Disease Control and Prevention, National Center for Prevention Services, Division of Tuberculosis Elimination, (E-10), Atlanta, GA 30333.

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