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CONGRESS LOOKS AT NSF FUNDING AND STRUCTURE

STOKES REITERATES SUPPORT FOR VIOLENCE RESEARCH AT NSF APPROPRIATIONS HEARING *HS*

At the annual appearance of the National Science Foundation before the House VA, HUD, Independent Agencies appropriations subcommittee on March 22, Chairman Rep. Louis Stokes (D-OH) questioned NSF about its plans for a Center on Violence Research. The support for a Center surfaced in the letter from Stokes and his Senate counterpart, Sen. Barbara Mikulski (D-MD), approving the NSF's 1994 operating plan. NSF, as requested, will present a report to the Congress on the feasibility of establishing a Center in early May, according to Cora Marrett, Assistant Director for Social, Behavioral and Economic Sciences.

The rest of the hearing focused on NSF Director Neal Lane's defense of NSF's FY 1995 budget request. He told the House panel that "hard choices had been made among high priorities." As he did before the Senate panel, (see *Update*, March 21), Lane stressed the importance of conducting basic research in strategic areas.

Stokes inquired as to the most important issues facing NSF. Lane responded that preserving the "core values" of excellence based on merit review of scientifically sound proposals was among his foremost concerns. To achieve this the NSF "must examine ourselves," according to Lane. A strategic planning process led by the Assistant Directors will conduct this examination and report to the National Science Board in June.

Stokes asked if Lane planned any organizational changes. The Director began his reply by suggesting that recent changes (including the creation of the Directorate for Social, Behavioral and Economic Sciences) occurred "for good reasons." However, Lane acknowledged the necessity for examining NSF's structure and how it incorporates the cross-cutting, multidisciplinary, strategic research initiatives that are receiving the lion's share of budgetary attention (75 percent of the FY 1995 increment according to Lane).

"Entitlement Mentality"

The presence of National Science Board Chairman James Duderstadt, President of the University of Michigan, led to another discussion of the administration's "pause" on indirect costs. In contrast to the Senate hearing where Sen. Mikulski appeared sympathetic to the universities' arguments against the pause, Rep. Jerry Lewis (R-CA), Ranking Republican on the Subcommittee, expressed concern with the "entitlement" mentality of universities on this issue.

Lewis also raised the issue of population research related to Global Change. Lane noted NSF's support for human dimensions of global change. Marrett cited research on migration and the administration's proposal for integrated assessments of the impact of social and behavioral phenomena on the biological and physical dimensions of global change.

Once again the Education and Human Resources (EHR) Directorate faced the question of

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what has been accomplished with the major increases in funding Congress has lavished upon it in recent years. Assistant Director for EHR Luther Williams responded that six of 33 programs in the directorate had been evaluated, another six would be evaluated this year, and another seven next year. This included the first evaluations of the state systemic initiative programs which have been the focus of EHR's education reform efforts in recent years. Williams reported that the evaluations indicated that EHR programs had worked so far.

Stokes questioned the small increase (3 percent) for EHR, particularly its specific programs targeted at minorities. Lane mentioned that it was a question of priorities and the need to carry out further evaluations that precluded a larger increment in FY 1995. Stokes also expressed concern about NSF's decision not to fund any new graduate traineeships.

REAUTHORIZATION BILL EMERGES FROM HOUSE SCIENCE COMMITTEE: FACILITIES BOOSTED AT EXPENSE OF RESEARCH *HS*

Authorization bills provide the basis for the existence of federal programs. They also set funding levels for these programs. However, the appropriations process, from the President's proposed budget to the decisions made by the appropriators, determines the actual funds available to a federal agency.

On March 23, the House Science, Space and Technology Committee, chaired by Rep. George

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Brown (D-CA), sent a two-year National Science Foundation (NSF) reauthorization bill to the House floor with a significant boost for the Academic Facilities and Instrumentation Modernization program. This program, which received \$105 million in FY 1994 and only \$55 million in the proposed FY 1995 budget, is authorized at \$150 million for FY 1995 and \$200 million for FY 1996. Science Subcommittee Chair Rep. Rick Boucher (D-VA) argued that he believed, based on a strong record of hearings, that the need justified the significant increment for this program in the legislation.

Facilities Gain at Expense of Research

The Research and Related Activities authorization for FY 1995 is \$2.28 billion, below the President's request of \$2.35 billion. The authorized level for the Directorate for Social, Behavioral and Economic Sciences (SBE) is \$106.5, as compared to \$112.5 in the President's budget request. Education and Human Resources is authorized at the FY 1994 level for FY 1995 and at the FY 1995 requested level in FY 1996. Clearly, the authorization raids the research and education budget to fund the increase for facilities.

The overall levels for the Foundation reflect the President's proposed budget of \$3.2 billion for FY 1995 and a six percent increase (the same as from FY 1994 to proposed FY 1995) for FY 1996 to \$3.4 billion.

In an attempt to limit the practice of earmarking appropriations to specific universities, the bill includes a provision that in the future any university that accepts an earmarked appropriation for a facility cannot participate in the NSF facilities program. Sherwood Boehlert (R-NY), Ranking Republican on the Science Subcommittee, led an unsuccessful effort to enact a stronger restriction, prohibiting earmarking recipients from receiving any NSF grants. Chairman Brown, the chief House opponent of earmarking, reluctantly opposed Boehlert's amendment saying it went too far.

Boehlert offered another unsuccessful amendment to reduce the FY 1995 authorization by \$50 million, arguing he was simply following the recommendations of the House Budget Committee.

Rep. Robert Walker (R-PA), Ranking Republican on the full Science Committee, succeeded in getting the committee to adopt an

amendment endorsing the administration's "pause" on the indirect costs of research paid by the NSF.

The bill still includes a provision pushed by Boehlert regarding undergraduate education at research universities. It requires those universities who receive a grant from NSF in FY 1995 to provide information regarding their efforts to improve undergraduate teaching. The provision now included in the bill is much less onerous and burdensome than the proposal included in an earlier version.

MIKULSKI URGES NIH STRUCTURE FOR NSF *MB*

At a Senate hearing on NSF reauthorization, Sen. Barbara Mikulski (D-MD) said, "NSF should be structured less like a university and more like NIH." The March 23 hearing, held by the Labor and Human Resources Committee, chaired by Sen. Edward Kennedy (D-MA), was the first official Senate action on this issue.

In advocating a new structure for the Foundation, the Maryland Senator said: "NIH is grouped around strategic areas to treat and cure diseases and illness. Research institutes, such as NIH, range in research activities -- from the basic aspects of life to the most applied activities that lead to stunning breakthroughs. Structuring research in this way allows us to think of initiatives in an organized manner and yet be flexible enough to move where scientific opportunity takes us." Mikulski reiterated her call for NSF to expand its support for "industrially oriented research" around national goals that "help our economy and workforce."

Responding to the call for an NIH-like structure, Lane was noncommittal, saying only that NSF is currently conducting an internal review that is likely to produce a more multidimensional structure and greater mechanisms for collaboration. Lane said that this process would be completed by May and referred to the National Science Board, with a definitive recommendation made by July. Lane agreed with Mikulski that it is important for NSF to be more efficient, but warned against changing structures too frequently and of adding an additional layer of bureaucracy. Lane added that the rationale for shaping an organization around disciplines is that scholars think in such a manner.

Mikulski was concerned with the gap between the congressional reauthorization process and NSF's

internal planning efforts, saying "this train is going to leave," and that if NSF wanted to be consulted in the congressional deliberations over the Foundation's future, "there has to be a quicker step."

Kennedy agreed with Mikulski, urging Lane to try to expedite the internal planning process. Kennedy said he did not want to "rearrange the deck chairs," but did want to take a "hard look" at the structure of NSF.

Much of the discussion at the hearing focused on NSF's education programs. Kennedy's Labor and Human Resources panel has primary jurisdiction over this aspect of the Foundation. The Senate Commerce, Science, and Transportation Committee, chaired by Sen. Ernest Hollings (D-SC), shares jurisdiction over NSF research.

NICHD ANNOUNCES NEW ADOLESCENT HEALTH STUDY *SP*

Responding to a congressional directive to study the health of adolescents in the United States, the National Institute of Child Health and Human Development (NICHD) recently announced funding of a new study, "ADD HEALTH: A National Longitudinal Study of Adolescent Health." The study will focus on the forces that promote good health among adolescents, as well as those that place them at risk. NICHD estimates its cost to be \$4.3 million per year over five years.

"ADD HEALTH," the first national, comprehensive study of the determinants of adolescent health, "will seek to understand how social and environmental factors, elements of family life, aspects of school experience, and interpersonal relationships impact the health and well-being of adolescents," stated the principal investigator for the study, J. Richard Udry of the University of North Carolina, Chapel Hill. Udry, the Kenan Professor of Maternal and Child Health and Sociology, has 30 years of experience studying adolescent behavior, and will conduct the study with other researchers in the fields of adolescent medicine, adolescent health behavior, health services research, sociology, psychology and demography.

According to Udry, the study begins with the administration of a short questionnaire to all seventh through twelfth grade students in a scientifically-chosen sample of 160 middle and high schools nationwide. Students will participate

voluntarily and with their parent's consent. Administrators at each school will provide information about the school's characteristics. A second, more extensive interview will be conducted with 19,000 students in their homes. Also, a parent of each adolescent in the study will complete a questionnaire. One year later, both the adolescent and parent will be interviewed again. Information on the neighborhood and community will be collected separately.

To learn about the context of an adolescents' life, questions will center on friendships, activities, family relationships, and grades in school. Questions regarding health-related behaviors will address smoking, exercise, nutrition, drinking, fighting, seat belt and helmet use, drug use, violence, suicide, sex and contraception. "ADD HEALTH" will also measure height and weight, blood pressure, use of health services, hospitalizations, days lost from school through illness, emergency room visits, injuries, physical disability, mental health, sleep and eating disorders, as well as other aspects of health.

COSSA, working in coalition with the American Anthropological Association, the American Sociological Association, the American Psychological Association, the Federation of Behavioral, Psychological and Cognitive Sciences, the Alan Guttmacher Institute, the National Council on Family Relations, and the Society of Behavioral Medicine, recently held a briefing for research, health, and education associations interested in the study. Approximately 20 groups participated, with an additional 30 requesting briefing information. COSSA is also working with the Congressional Caucus for Women's Issues to arrange an "ADD HEALTH" briefing in April for congressional staff.

In light of concerns in recent months of research involving human subjects, Christine Bachrach, Chief of the Demographic and Behavioral Sciences Branch of NICHD, reported that "ADD HEALTH" is in full compliance with the Federal Regulations for the Protection of Human Subjects of Biomedical and Behavioral Research. Additionally, "Every effort to protect the confidentiality of the participants will be utilized, including the use of computer technology that allows the adolescent to enter responses to sensitive questions directly into the computer instead of telling them to an interviewer," Bachrach said.

NIH RELEASES BLUEPRINT FOR HEALTH AND BEHAVIOR RESEARCH ^{SP}

The *NIH Implementation Plan for Health and Behavior Research 1993: Report to Congress*, a report due in April, 1992 and completed in September, 1993, has finally been released to Congress and the public. Prepared by the Office of Disease Prevention of the Office of the Director, NIH, the plan provides a blueprint for the expansion of "health and behavior" research at each Institute, Center, and division of NIH. Traditionally, much of the social and behavioral research at NIH has come under the rubric of "health and behavior."

Over the past decade Congress has repeatedly urged NIH to increase the amount of health and behavior research conducted at NIH. The report "details an implementation plan for behavioral research efforts over the next five to ten years," as stated by Ruth Kirschstein, acting NIH Director at the time the report was written. It describes specific initiatives, prioritizes them on a scale from low to medium to high, and assesses their annual cost.

Although this document is useful as it provides the NIH perspective of what should be done to increase health and behavior research and how much it will cost, it is not necessarily what will be done. One reason for the delay in releasing the report was the possibility that its analysis might imply a definite commitment to implementing the initiatives cited. To ensure that confusion did not occur, NIH issued an addendum to the report, stating that "the body of the attached report contains professional judgment spending estimates.... The professional judgment estimates as outlined in the Implementation Plan represent what the Institutes and Centers consider to be optimal funding levels for health and behavior studies, without regard to actual funds available, or competing high priorities. As such, these estimates do not represent actual spending levels, budget request levels, or the recommended spending levels of the Director of NIH, the Secretary of Health and Human Services, or the President."

Among the priorities for research initiatives at the National Institute on Aging are: social and behavioral aspects of long-term care, cognitive processes and functioning among the elderly, and the relationships between health behaviors and physiological responses to stress.

Studying the effects of warning labels, economics of alcohol consumption, and the prevention of alcohol related problems are part of the agenda for the National Institute of Alcohol Abuse and Alcoholism. At the National Institute on Drug Abuse, initiatives include: risk factor research -- determinants of differential patterns of drug use, and research on the consequences of drug use.

The National Institute on Child Health and Human Development's agenda cites: studies examining the interplay of biological and behavioral factors in predicting healthy reproductive outcomes, identification of psychosocial risk factors, the behavioral effects of anabolic steroids, and research on behavioral and social intervention strategies to promote healthy lifestyles and compliance with therapeutic interventions.

The agenda of the National Institute of Mental Health includes research on: ingestive behaviors and eating disorders, the interaction and comorbidity of mental and physical disorders, and the relation of health and behavior issues for women over their life cycle.

Whether or not Congress responds to these specific initiatives with targeted spending, and how these initiatives fair in competition with biomedical research at each of the institutes, remains to be seen. To obtain a copy of the report, contact Dr. John Kalberer, NIH, Federal Building, Room 6C10, 7550 Wisconsin Avenue, Bethesda MD 20892. Phone: (301) 496-1508.

GOALS 2000 BILL RESTRUCTURES EDUCATION RESEARCH *HS*

The "Goals 2000: Educate America Act" makes sweeping changes in the Office of Educational Research and Improvement (OERI). The legislation, approved by Congress and signed by President Clinton on March 30, creates five national research institutes "to carry out a program of high-quality and rigorously evaluated research and development."

All five institutes, will become operational on October 1, 1995. Two of the Institutes -- Student Achievement, Curriculum, and Assessment and Education of At-Risk Students -- receive the bulk of the authorized funding. Each of these receives an authorization of \$30 million. The other three -- Governance, Finance, Policy Making and

APPROPRIATIONS CHAIR NATCHER DIES; OBEY TO BE NEW LEADER *MS*

Rep. William Natcher (D-KY), chairman of the House Appropriations Committee, died on March 29 at age 84. He will be replaced as chair by Rep. David Obey (D-WI) who was selected by House Democrats in a close contest over Rep. Neal Smith (D-IA), current chair of the Appropriations Subcommittee on Commerce, Justice, and State.

In addition to Obey bringing a combative and partisan style to the post, other changes are likely. At press time, it appeared that Smith will take over the Labor, Health and Human Services, and Education Appropriations Subcommittee chair left vacant by Natcher's death. Rep. Allan Mollohan (D-WV) is expected to become chair of the Commerce panel. Future issues of *Update* will report on these developments in greater detail.

Management, Early Childhood Development Education, and Postsecondary Education, Libraries, and Lifelong Education -- will split the remainder of the \$100 million authorization. The Assistant Secretary for OERI will appoint the director of each institute.

The bill significantly expands support for field initiated studies. Now funded at less than \$1 million, these investigator initiated research proposals are authorized at 20 percent of the amount provided the institutes for FY 1996 and FY 1997 and 25 percent for the two years following.

The National Research and Development Centers created within each institute must be funded at a minimum of \$1.5 million. These competitively granted awards will last for 5 years, with a renewal option for another 5 years.

The legislation also creates a National Educational Research Policy and Priorities Board composed of 15 members appointed by the Secretary. Five members will be education researchers nominated by the National Academy of Sciences, five will be school based professional educators, and five will be from the public or state and local education policymaking institutions. The Assistant Secretary will serve ex-officio and other government officials such as the Directors of the National Science Foundation and National

WOMEN AND AIDS COALITION SEEKS LEADER *SP*

The National Organizations Responding to AIDS (NORA), a coalition convened by the AIDS Action Council and comprised of 150 health, labor, religious, professional, and advocacy groups, is seeking a chair for its Women and AIDS subcommittee. For more information, contact Elizabeth Harrell of COSSA at (202) 842-3525.

Endowment for the Humanities may also serve as ex-officio members of the Board. Board members will serve 6 year terms and will select their own chair from among the appointed, voting members. The Secretary is prohibited from replacing Board members before the expiration of their terms. The Board will hold quarterly meetings.

The goal of the Board will be to approve a Research Priorities plan developed in concert with the Assistant Secretary of OERI. The Board can hire an Executive Director, but other staff will be assigned by the Assistant Secretary. The Board must review all grants over \$500,000.

The bill also includes provisions for: creating two new Regional Laboratories; a \$20 million teacher research program; a \$5 million minority-focused civics education program; and an \$11 million new international education program for leading educators in civics, government and economics.

These programs have now been authorized; getting appropriations to match the spending levels in the bill will be a difficult effort in a very tight budget climate.

EDUCATIONAL PARTNERSHIPS GUIDE AVAILABLE *MB*

The Office of Educational Research and Improvement (OERI) has released three new publications aimed at helping schools and communities start educational partnerships linking schools to community and social service agencies, cultural institutions, businesses, and higher education institutions.

The guides build on research and evaluation data from OERI-funded programs. They note that partnerships are not the answer to every educational problem. They recommend that organizations from different sectors should develop partnerships if they share a concern about a problem that they can address by working together.

The publications are organized around major issues confronting partnership developers and include examples from actual partnerships. Some of the issues include: deciding on whether to create a partnership, steps to developing one, the role of evaluation and planning, and budgeting.

For more information, contact OERI at (202) 219-2132.

DIRKSEN CENTER ANNOUNCES CONGRESSIONAL STUDY GRANTS *MB*

The Everett McKinley Dirksen Congressional Leadership Research Center, a private nonpartisan nonprofit research and educational organization devoted to the study of Congress, especially congressional leadership, is calling for grant applications to study congressional leadership and other aspects of the legislative branch of government.

The competition is open to anyone with a serious interest in studying Congress. The Center seeks applications specifically from political scientists, historians, biographers, scholars of public administration or American studies, or journalists. Graduate students may also apply.

The Center's first interest is to fund the study of the leadership in the Congress, both House and Senate. Topics could include external factors shaping the exercise of congressional leadership, institutional conditions affecting it, resources and techniques used by leaders, and the prospects for change or continuity in the patterns of leadership.

The Center is also interested in soliciting proposals that link Congress and congressional leadership with the creation, implementation, and oversight of public policy. Some policy areas of interest include trade, regulation, the environment, labor relations, and technology development.

For deadlines and other information, contact the Center at (309) 347-7113.

SOURCES OF RESEARCH SUPPORT: NATIONAL SCIENCE FOUNDATION *kc*

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

**Directorate for Education and Human Resources
Course and Curriculum Development**

The National Science Foundation (NSF) provides leadership and support for the Nation's efforts to improve science education. This includes education leading to careers in these areas and to general scientific and mathematical literacy. The Foundation has a cohesive and comprehensive set of education and human resources activities addressing every level of education. The need to revitalize the content, conduct and quality of undergraduate education in science, mathematics, engineering and technology requires new and innovative approaches to all aspects of the undergraduate learning experience, but especially to introductory-level curricula, courses and laboratories.

Types of Projects: Of particular interest are projects that are designed to produce major changes and significant improvements in undergraduate science, mathematics, engineering and technology education beyond the recipient institution and that will produce materials usable by others. Proposals may focus on an individual course or address a curriculum encompassing several related courses. Proposals concerned with developing a comprehensive curriculum for first- and second-year students should include components that address the spectrum of interests of all students.

Current Priorities: The development of multi- and interdisciplinary courses and curricula are particularly encouraged. Both the development and teaching of such courses should reflect significant participation of and collaboration among faculty members in the relevant disciplines.

Project Size: The average Course and Curriculum Development (CCD) award in FY 1993 was \$110,000 (range \$30,000 to \$650,000) and 22 months in duration (range 12 to 48 months). The number and size of awards for FY 1995 will depend on the quality of the proposals received and the availability of funds. Projects may request support for up to five years.

Review Criteria: NSF grants are awarded on a competitive basis. In selecting proposals to be supported, the Foundation is assisted by reviewers who are mathematicians, scientists, engineers and technologists drawn primarily from the academic, research and professional practice communities, and also from professional associations. NSF evaluates proposals on the basis of four general criteria outlined in Grants for Research and Education in Science and Engineering (GRESE), which are as follows: **Performance Competence** - this criterion relates to the capability of the investigator(s), the technical soundness of the proposed approach, the adequacy of the institutional resources available, and the proposer's recent experiences in science, mathematics, engineering or technology education or research that is relevant to what is proposed; **Intrinsic Merit** - used to assess the quality, currency and significance of the scientific/technical content and related instructional activity of the project within the context of undergraduate science, mathematics and engineering education; **Utility or Relevance of the Project** - used to assess the appropriateness and impact of the project at the proposing institution; **Effect on the Infrastructure of Science, Mathematics, Engineering, and Technology** - relates to the potential of the proposed project to contribute to better understanding or improvement of the quality, distribution, or effectiveness of the Nation's scientific, mathematical or engineering research, education and human resources base.

Deadlines: Closing Date is June 6, 1994.

Contact: Robert F. Watson, Director, Directorate for Education and Human Resources, Undergraduate Education Division, National Science Foundation, 4201 Wilson Blvd., Room 835, Arlington, VA 22230, (703) 306-1670.

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