

MIW
8235

LARES

Liberal Arts Research Newsletter

January 7, 1987

LARES Vol. XXII, No. 1

Telephone: 625-4801

Hours: 8:30-4:30, M-F

Editor: Geri H. Malandra

I. GENERAL ANNOUNCEMENTS:

1. From the Director: The location is the same--404 Johnston Hall, but there are two new faces in the Research Development Office. Geri Malandra will be the first full-time professional since the inception of the office. I will divide my time between ORD and my academic department of Communication Disorders. Between us we hope to provide a service to scholars in the CLA community. As you will see from this newsletter, ORD is the repository of information about funding opportunities within the university and from external sources. We will publish information about sources of funding, telephone numbers to call for information and deadlines for receipt of applications. We will also periodically publish information about agencies that may be less well known to our faculty and, whenever we can, we will use these pages to bring special research opportunities to your attention. At the very least, we will serve as friendly intermediaries between faculty members seeking sources of funding, and agencies that are looking for appropriate research that fits their mission. To do this intelligently, we will solicit faculty help by asking questions about your research interests and activities so that we can direct your attention to new research initiatives when we hear of them. There is much more information than can be included in LARES, so we encourage you to call or visit our office if you want to explore ideas and opportunities we mention only briefly.

We will also be available to consult about grant preparation and to look at budgets and prose with a critical eye if you think that would be useful. We may also be able to help in interpreting reviewers' critiques that are sent to principal investigators, or in locating program officers who have such information.

Our purpose is to help CLA faculty members find the resources they need to initiate and carry out research. We are eager to work with you; please let us know when and in what ways we can be helpful. -- Jerry Siegel

2. ORD continues to administer its Travel Fund for seeking sponsored research support from extramural agencies. If you wish to apply for funds, simply send us a letter with the pertinent details--there is no application form. The fund can be used to support the development of research proposals (travel, duplication of proposals) and, in some cases, funds may be available to support currently funded projects. We encourage you to call us if you have questions about the fund.

3. ORD offers assistance in the development of research proposals in other ways. Through the SPIN system we have access to a national data base of information about sources of funds for sponsored research; searches can be conducted by agency or program type or by area of research interest. Our office library (which we hope to expand) includes a variety of information about public and private funding sources. ORD staff is also available to consult at any stage in the proposal development process, the earlier the better.

4. The Office of International Education publishes a comprehensive listing of funding opportunities for international activities. It is available from OIE, 624-5580.

II. FUNDING NOTES

Intramural

1. Applications must be submitted to the CLA Faculty Travel fund by January 12 for travel that will take place between March 16 and June 15. Applicants may apply for funds for a trip even when they have missed the deadline but must submit the application before taking the trip. Call Gerri Perreault, 624-9839, for additional information.

2. Visiting Faculty applications for 1987-1988 are due on January 12. Proposals may be made for visits no longer than one quarter. The competition is limited to exceptionally well-qualified individuals who can make a significant contribution to the intellectual life of the University. Decisions will be announced by mid-February. Gerri Perrault can answer questions, 624-9839.

3. CLA has requested nominations for two teaching awards, both with a deadline of January 20. The CLA Distinguished Teaching Awards and the University Morse-Amoco Awards recognize distinguished teaching and outstanding contributions to undergraduate education, respectively. Nominations are also due on January 20 for the John Tate Award for Undergraduate Academic Advising. Nominations for these awards should be submitted to the CLA Office of Faculty Affairs, 624-9839.

4. The Office of International Education will make another round of development grants for international travel and per diem, honoraria for visitors and conference and/or registration fees for meetings outside the U.S.

Applications are due on February 15 for activities that will begin in April, May or June. The program has a matching provision, requiring that OIE support be matched by another institutional source (department, college, professional society, foundation, or governmental agency). Questions should be directed to Elaine Randolph, OIE Development Grant Coordinator, 624-0360

5. Applications, due March 2, are now being accepted for CLA Scholarly Conference Funds. This support can be used to help defray the cost of conferences held locally and organized by faculty of the College. Proposals will be judged on the basis of the conference's promise of high scholarly quality, its appeal to a significant number of faculty, and its potential for a demonstrable impact upon faculty scholarship and instruction. The CLA Office of Academic Affairs, 624-9839, can answer questions. Additional assistance in conference development is available through the University's Department of Professional Development and Conference Services. This assistance can include program planning, budget development, facilities, and necessary administrative follow through. In some cases, for conferences which receive grants from CLA Conference funds, recipients may be eligible for additional financial support from CEE funds dedicated to innovative scholarly programming. Call 625-6616 for more information about PDCS services.

Extramural

1. The NEH Division of Fellowships and Seminars' Travel to Collections Program provides support to humanities scholars who must travel to carry out their research. The stipend is \$750 and there are now no geographical restrictions--travel may be national or international. The next deadline for applications is January 15 for travel to begin after June. Deadlines will fall every six months, so a second 1987 deadline will be July 15. Application materials are available from NEH at (202) 786-0463.

2. Other NEH programs in the Fellowships and Seminars Division with upcoming deadlines include Summer Seminars for College Teachers--March 1; Summer Seminars for Secondary School Teachers--April 1; Fellowships for University Teachers, providing 6 to 12 consecutive months of support (the maximum stipend is \$27,500)--June 1. Additional information about these programs is available in the ORD office; application materials can be obtained by calling the NEH number noted above.

3. Other NEH programs with winter and spring deadlines include the Research Division's Conferences Program--February 15, (202) 786-0204; Publication Subventions--April 1, (202) 786-0207; Editions and Translations--June 1, (202) 786-0207; Humanities, Science and Technology--June 1, (202) 786-0210; and the Education Division's Exemplary Projects in Undergraduate and Graduate Education, (202) 786-0384. Additional information, guidelines and application forms will be available in the ORD office.

4. The Minnesota Humanities Commission has established four 1987 deadlines to consider applications for its Visiting Fellowship Program. The

program provides support for independent scholars to serve as visiting lecturers in academic institutions. Applications may propose individual lectures, lecture series, or a whole course. An award cannot exceed \$2,000. This year, the Commission no longer requires a cash match; instead, "in-kind" contributions can be used to match Commission funds. Deadlines are: January 16, April 30, July 31, and October 23, 1987. Award announcements will be made approximately four to five weeks later. For further information, contact the MHC at 224-5739. Application forms are available in the CLA Academic Affairs office, 624-9839.

5. The CIC Foreign Language Enhancement Program (FLEP) will award 16 scholarships to graduate students pursuing foreign language study this summer under the Traveling Scholar Program. Scholarships of up to \$1500 will be awarded to cover living expenses incurred while attending any CIC host institution. The application deadline is February 16. Interested graduate students should call the CLA Office of Faculty Affairs, 624-9839.

6. The National Science Foundation provides a number of research opportunities for women through its Research Initiation and Career Advancement Awards, and Research Planning Grants. Research Initiation Awards are one-time awards intended to provide opportunities for women scientists to become actively engaged in research as independent investigators. The awards are consistent with general funding levels in specific disciplinary programs, and deadlines are in accordance with the target date for each program. Career Advancement awards are intended to expand the research opportunities of women scientists, particularly for upper-level junior faculty women. The deadline for this program is January 15. Research Planning Grants are available to investigators who have not previously served as a principal investigator on a federal award or who have had an interruption in their independent research career. Grants can be used for salary, travel to conferences or major research centers to consult with other investigators, and preliminary work to determine the feasibility of a proposed research project. The deadline for this program is January 15. For further information the NSF number is (202) 357-7734. Guidelines for these and other NSF programs will be available in the ORD office.

III. AWARDS

The following faculty were awarded grants and contracts in the period April to December, 1986. This list is much longer than usual because of the hiatus in publication of LARES. Entries are in approximate chronological order of award announcements.

| NAME & DEPARTMENT | PROJECT | AGENCY | AMOUNT |
|--|---|--|------------|
| Richard E. Sykes Speech- Communication | Self-Regulation of Alcohol Abuse among Tavern Patrons | ADAMHA-Natl. Inst. of Mental Health | \$ 176,685 |

January 7, 1987

LARES, Vol. XXII, No. 1

| | | | |
|---|--|--|---------|
| Mark Landa Linguistics | Campus Program for Japanese Teachers | Council on Inter- nat. Ed. Exchange | 47,047 |
| Thomas J. Bouchard Psychology | Psychological and Medical Study of Twins Reared Apart | Koch Industries | 50,000 |
| Ronald E. Anderson Sociology | Inclusion of Environmental Questions in 1985 Minn. Fall Survey | Minnesota Planning Agency | 2,590 |
| Luke-Jon Tierney Statistics | Asymptotic Methods for Bayesian and Likelihood Analysis | National Science Foundation | 58,000 |
| Donald A. Berry Theoretical Stat. | Sequential Alloca- tion of Experiments | National Science Foundation | 43,850 |
| Morris Eaton Statistics | Topics in Multi- variate Statistical Analysis | National Science Foundation | 33,800 |
| David Lane Statistics | Develop Methods for ID of Drug-Induced Iatrogenic Disease | American Medical Association | 29,600 |
| William D. Sudderth Theoretical Stat. | Topics in Abstract Gambling | National Science Foundation | 26,100 |
| William Coulson Classical Studies | Kavousi Project, Phase III | David & Lucille Packard Foundation | 30,000 |
| Travis Thompson Psychology | Behavioral Ap- proaches to Drug Dependence | ADAMHA-Natl. Inst. on Drug Abuse | 149,020 |
| Susan Henley Robert Crudek Psychology | Research Fellow- ship | DHHS-Public Health Service | 10,552 |
| Edward Griffin American Studies | American Studies Institute | USIA Summer Program | 45,337 |
| James Jordan Economics | Information Flows Intrinsic to the Stability of Economic Equilibria | National Science Foundation | 37,376 |

January 7, 1987

LARES, Vol. XXII, No. 1

| | | | |
|---|--|---|---------|
| F. Gerald Kline Journalism | Minorities in Broadcasting Training Prog. | Minneapolis Foundation | 28,500 |
| Jeanette Gundel Larry Hutchinson Michael Kac Linguistics | Generating and Parsing an Engineering Sublanguage of English | Control Data Corp. | 71,761 |
| J. Bruce Overmier Psychology | Center for Research in Human Learning | NIH-Natl. Inst. of Child Health and Development | 224,055 |
| Travis Thompson Psychology | Behavioral Effects of Methadone | ADAMHA-Natl. Inst. of Drug Abuse | 114,824 |
| Goran Stockenstrom Scandinavian Lang. | August Strindberg, "The Occult Diary" (1896-1908), A Critical Edition | National Endowment for the Humanities | 1,050 |
| Ronald Anderson Will Craig Sociology | Survey of Outdoor Recreation by Minn. Residents | Minnesota Dept. of Natural Resources | 9,973 |
| Ronald Anderson Theodore Anderson Sociology | Participation in 1986 Fall Survey Recreation | Minnesota Dept. of Transportation | 3,850 |
| Ronald Anderson Sociology | Inclusion of Cross Country Ski Questions in 1986 Fall Survey | Minnesota Dept. of Natural Resources | 2,000 |
| Thomas Sargent Economics | Studies in Macroeconomic Dynamics | National Science Foundation | 43,630 |
| Leonid Hurwicz Economics | Information and Incentives in Resource Allocation Mechanisms | National Science Foundation | 26,267 |
| Leonid Hurwicz for Quoqiang Tian Economics | Doctoral Dissertation Fellowship | Alfred P. Sloan Foundation | 12,007 |

January 7, 1987

LARES, Vol. XXII, No. 1

| | | | |
|---|---|---|---------|
| Christopher Sims Economics | Dynamic Quantitative Macroeconomics | National Science Foundation | 22,939 |
| Michael Metcalf Western European Area Studies | National Resource Centers and Fellowships Program | U.S. Dept. of Education | 161,717 |
| Mary Jo Nissen Psychology | Procedural and Declarative Learning | U.S. Navy | 97,800 |
| Gloria R. Leon Psychology | Research in Psychotherapy | ADAMHA-Natl. Inst. of Mental Health | 38,723 |
| Norman Garmezy Psychology | Children Vulnerable to Psychopathology | ADAMHA-Natl. Inst. of Mental Health | 33,706 |
| Travis Thompson Psychology | Drugs, Learning and Behavior in the Mentally Retarded | ADAMHA-Natl. Inst. of Mental Health | 24,710 |
| Ronald Anderson Theodore Anderson Sociology | HECB January 1986 Survey | Minn. Higher Education Coordinating Board | 7,110 |
| Robert Leik Family Studies | Displaced Homemaker Program Evaluation | Minn. Dept. of Economic Security | 36,606 |
| Thomas Noonan Russian and East European Stud. | Minnesota Project in Critical Area Studies | U.S. Dept. of Education Office of Postsecondary Ed. | 64,998 |
| Christine Hastorf Anthropology | Matching Funds for NSF PYA Award | Various Private Donors | 2,500 |
| John Chipman Economics | Economic Analysis of the Effects of Price and Interest Rate Changes | National Science Foundation | 85,042 |
| Leonid Hurwicz Economics | Collaborative Research on Informational Aspects of Distributed Computing | National Science Foundation | 75,486 |

January 7, 1987

LARES, Vol. XXII, No. 1

| | | | |
|--|---|--|---------|
| Marcel Richter Economics | Foundations of Rational Choice: Modeling Large Economies | National Science Foundation | 31,900 |
| Lung-Fei Lee Economics | Microeconomic Models with Limited Dependent Variables | National Science Foundation | 22,890 |
| Michael Metcalf Western European Area Studies | University Linkage Program for the Netherlands | U.S.I.A. | 49,973 |
| John Sullivan Political Science | Collaborative Research on Attitudinal Tolerance and Civil Liberties | National Science Foundation | 82,007 |
| Charles Fletcher Psychology | Computing Support for Basic Research in Perception and Cognition | Air Force Office of Scientific Research | 95,316 |
| Goran Stockenström Scandinavian Lang. | August Strindberg, "The Occult Diary," Critical Edition | National Endowment for the Humanities | 884 |
| William Malandra S. and S.W. Asian Studies | National Resource Centers and Fellowships | U.S. Dept. of Education | 23,371 |
| William Wright Center for Austrian Studies | University Affiliations Program with Karl Franzens Univ. Graz | U.S.I.A. | 49,912 |
| Seymour Geisser R. Dennis Cook Statistics | Diagnostic Methods and Robust Procedures | National Science Foundation | 62,356 |
| Thomas Bouchard David Lykken Elke Eckert Psychology | A Psychological and Medical Study: Twins Reared Apart | The Pioneer Fund | 112,000 |
| Thomas Bouchard David Lykken Psychology | A Psychological and Medical Study of Twins Reared Apart Film Project | Pioneer Fund | 20,000 |

| | | | |
|--|---|---|---------|
| Phil Ackerman Psychology | Individual Difference in Learning and Cognitive Abilities | Office of Naval Research | 26,198 |
| Charles Speaks Communication Disorders | Preparation of Speech Language Pathologists and Special Educators | U.S. Dept. of Education | 85,449 |
| Seymour Geisser Statistics | Predictive Methods | NIH-General Medical Studies | 79,968 |
| Rudolph Vecoli Immigration Hist. Research Center | Survey, Collect and Preserve the Records of the Order of Sons of Italy of America | Sons of Italy Foundation | 17,281 |
| Christine Hastorf Anthropology | Presidential Young Investigator Award | National Science Foundation | 40,700 |
| | Matching Funds for PYI Award | Various Industrial Donors/UM Found. | 19,300 |
| John Chipman Economics | Domestic Structural Adjustment to International Economic Disturbances | Stiftung Volkswagenwerk | 442 |
| Rene Dawis Lloyd Lofquist Psychology | Vocational Assessment Program | Minnesota Dept. of Jobs and Training | 168,719 |
| Norman Garmezy Psychology | Studies of Stress- Resistant Children: Resilience Factor | ADAMHA-Natl. Inst. of Mental Health | 164,191 |
| Travis Thompson Psychology | Behavioral Effects of Methadone | ADAMHA-Natl. Inst. of Drug Abuse | 6,088 |
| Gary Jahn Adele Donchenko Russian and East European Studies | International Research and Studies Program | U.S. Dept. of Education | 76,230 |

January 7, 1987

LARES, Vol. XXII, No. 1

| | | | |
|--|--|---|--------|
| Rudolph Vecoli Immigration Hist. Research Center | A Century of European Migration 1830-1930 in Comparative Perspective | National Endowment for the Humanities | 15,000 |
| Sheila McNally Marilyn Chiat Art History | The Medieval Mediterranean: Cross Cultural Contacts | Minnesota Humanities Commission | 8,250 |
| Chip Peterson Joseph Schwartzberg Frederick Smith Inst. of International Stud. | Social Capitalism and Poverty: Exploring the Adaptability of a Colombian Model to Minnesota | Emma B. Howe Memorial Foundation | 25,000 |
| James Dickey Statistics | Generalized Dirichlet Distributions in Bayesian Inference | National Science Foundation | 71,200 |
| Rudolph Vecoli Immigration Hist. Research Center | Survey, Collect and Preserve the Records of the Order of Sons of Italy of America | Natl. Archives Natl. History Publications and Records Commission | 26,636 |
| Steven Schomberg Thomas Trow Summer Session/GLA | U. of Minnesota Summer Arts Program | Minnesota Dept. of Education | 21,000 |
| David Hollister Esther Wattenberg Miriam Cohen Social Work | Child Welfare Services Training Grant | Office of Human Development Services | 35,000 |
| Robert McCaa History | Microfilming Historical Parral, Chihuahua Archives | University of Texas, El Paso | 3,000 |
| Robert Leik Family Studies | Head Start Family Impact Project | Parents in Community Action (Head Start) | 51,646 |
| Rudolph Vecoli Immigration History Research Center | A Century of European Migration 1830-1930 | National Endowment for the Humanities (matching funds) | 22,000 |

| | | | |
|--|---|---|---------|
| Gordon Legge Psychology | The Role of Supra- threshold Contrast in Vision | NIH-Natl. Eye Institute | 75,800 |
| Richard Sykes Speech Communication | Self-Regulation of Alcohol Abuse among Tavern Patrons | NIH-Natl. Inst. on Alcohol Abuse and Alcoholism | 19,969 |
| Gordon Legge Psychology | Psychophysics of Reading: Normal and Low Vision | NIH-Natl. Eye Institute | 154,547 |
| James Tracy History | Conference on the Rise of Merchant Empires | Bigelow Foundation | 10,000 |

IV. RESEARCH NOTES AND FUNDING TRENDS:

1. The University of Minnesota was ranked tenth among major universities in total obligations of federal research dollars expended in fiscal year 1985, according to a National Science Foundation report. In 1985, the University received \$142,497,000; 55% of these funds came from the Department of Health and Human Services, 15% from the National Science Foundation, 10.1% from the Department of Energy, and lesser amounts from other agencies.

According to a study of leading research universities conducted at the Institute for Policy Research and Evaluation at Pennsylvania State University, the federal government contributes the largest portion of research funds in most fields: 82.65% in physical sciences, 72.35% in earth sciences, 68.54% in life sciences, 82.08% in computer sciences, and 45.53% in social sciences. Only in humanities fields is the federal contribution markedly less than support from other sources. For the humanities, the federal government contributes 28.77%; additional support comes from nonprofit organizations--42.38%, endowments--20.09%, industry--1.38%, and state and local sources--7.0%.

2. The fiscal year 1987 appropriation to the National Institutes of Health included substantial increases over FY 1986 levels for all program areas. The largest increase went to the allergy institute (60% for a total of \$546 million), reflecting the government's AIDS research initiative. Other increases of note include: Child Health--23.1% (\$367 million total), Eye--16.1% (\$217 million total), Environmental--10.8% (209 million total), and Aging--18.2% (\$177 million total).

3. "Foundations Face Growing Worry: Giving Away Money Fast Enough." According to this recent Wall Street Journal article, foundation investments have produced a windfall of profits this year which foundations must spend,

since tax law requires them to give away at least 5% of their assets each year. Foundations generally set their grant budgets at the beginning of the year, before they know the value of their assets for that year, so the Internal Revenue Service allows a year to make adjustments. Thus, the 1986 profits were not reflected in 1986 funding decisions; it is expected that outlays will increase substantially in 1987.

For example, the Carnegie Corporation of New York acquired \$100 million more than anticipated in 1986, a 27% increase in assets. However, its 1986 grants budget increased only 8%. Carnegie plans to spend an extra \$10 million in 1987 to make up the difference in its obligation to spend at least 5% of its assets.

The Kellogg Foundation may spend money sooner than it had originally planned for research in five new areas: rural America; water resources, particularly in the Great Lakes Basin; information technology; philanthropy and volunteerism; and science education.

A few foundations are making large, one-time capital grants that they would not have made before. In September, the Ford Foundation board approved a \$30 million increase in its budget, mostly to provide between \$1 million and \$5 million matching grants to help longtime Ford recipients build endowments and lessen dependence on Ford Foundation operating funds.

V. DEADLINES

1. Intramural

| DATE | OFFICE | PROGRAM |
|-------------|-----------------------------------|------------------------------------|
| January 12 | CLA | Faculty Travel-McMillan Fund |
| January 12 | CLA | Visiting Faculty Proposals |
| January 20 | CLA | Horace T. Morse-Amoco Award |
| January 20 | CLA | John Tate Award, Academic Advising |
| February 15 | Office of International Education | Development Grants |
| March 2 | CLA | Scholarly Conferences |
| April 10 | CLA | Faculty Travel-McMillan Fund |

2. Extramural

| DATE | AGENCY | PROGRAM |
|------------|-------------------------|---|
| January 15 | NEH | Travel to Collections |
| January 15 | NSF | Economics, Geography and Regional Science, History and Philosophy of Science, Law and Social Science, Sociology, Political Science, Linguistics |
| January 15 | NSF | Research Opportunities for Women |
| January 15 | Smithsonian Institution | Fellowships in Residence |

January 7, 1987

LARES, Vol. XXII, No. 1

| | | |
|-------------|-------------------------------------|---|
| January 16 | Minnesota Humanities Commission | Visiting Fellowships, Independent Scholars |
| January 16 | MHC | General grants (drafts) |
| January 16 | National Research Council | Ford Foundation Postdoctoral Fellowships for Minorities |
| January 29 | U.S.I.A. | University Affiliations Program |
| January 31 | American Anti-Quarian Society | Visiting Research Fellowships |
| February 1 | NSF | Memory and Cognitive Processes, Ethics and Values Studies, Linguistics |
| February 1 | NIH | Independent Research and Transition (FIRST) Awards |
| February 1 | Newberry Library | D'Arcy McNickle Center for the History of the American Indian Fellowships |
| February 1 | AAUW | Research and Project Grants for Women |
| February 6 | MHC | General grants (final) |
| February 15 | NEH, Research | Regrants: Conferences, International Research, Selected Areas |
| February 26 | CIC | Foreign Language Enhancement Scholarships |
| February 28 | Dr. M. Aylwin Cotton Foundation | Fellowships for Mediterranean Studies; Publication grants |
| March 1 | Newberry Library | Short-term Residential Fellowships |
| March 1 | Woodrow Wilson International Center | Kennan Institute Short-term Visiting Fellowships |
| March 1 | Social Science Research Council | Berlin Program for Advanced German and European Studies |
| March 15 | National Institute on Aging | Research Conferences Proposals |
| March 20 | NEH | Public Humanities Programs |
| March 21 | National Gallery of Art | Visiting Senior Fellowships |
| April 1 | NEH, Education | Central Disciplines |
| April 1 | NEH, Research | Publication Subventions |
| April 17 | MHC | General grants (draft) |
| April 30 | MHC | Visiting Fellowships for Independent Scholars |
| May 1 | NEH, Education | Exemplary Programs in Undergraduate and Graduate Education |
| May 1 | NEH, Challenge Grants | |
| May 1 | MHC | General grants (final) |

| | | |
|--------|--|--|
| June 1 | NEH, Fellowships | Fellowships for University Teachers; Fellowships for College Teachers and Independent Scholars |
| June 1 | NEH, Research | Editions; Translations |
| June 1 | Wenner-Gren Foundation for Anthropological Research | Senior Scholar Research Stipends; Small Grants Program |

RESEARCH INFORMATION SHEETS:

ORD has a library of information brochures that cover most aspects of preparing research grant proposals. These include:

1. THE RESEARCH PROCESS: PRELIMINARY STAGES
2. SOURCES OF FUNDING AND THE FUNDING SEARCH
3. PROPOSAL WRITING: STAGES AND STRATEGIES WITH EXAMPLES
4. GUIDE TO BUDGET PREPARATION
5. GRANTS ADMINISTRATION
6. CONTRACTS

Due to the length of this issue of LARES, we cannot include a full order form for these brochures. If you would like to order one, just drop us a note or call 625-4801.

LARES

Liberal Arts Research Newsletter

College of Liberal Arts
Office of Research Development
205 Johnston Hall
101 Pleasant Street S.E.
University of Minnesota
Minneapolis, Minnesota 55455

MIW
9 R2558

LARES

Liberal Arts Research Newsletter

March 4, 1987

LARES, Vol. XII, No. 2

Telephone: 625-4801
Hours: 8:30-4:30, M-F

Editor: Geri H. Malandra

I. GENERAL ANNOUNCEMENTS

1. Ongoing ORD Services. Our Travel Fund is available to those seeking sponsored research support from extramural agencies. Its primary purpose is to assist in the development of research proposals for external funding. Funds may be used to visit an agency to discuss a proposal, to consult with colleagues at other institutions in the development of collaborative proposals and, in some cases, to assist in covering unanticipated overhead costs of current sponsored projects. There is no deadline or application form. We encourage you to call us if you have questions about the fund.

As you begin to plan future research activities, please keep in mind the searches for funding sources that are possible through our SPIN (Sponsored Research Information Network) system. This national database provides access to information about federal and nonfederal agencies and organizations. Through its extensive index system, searches can be tailored to very specific topics or expanded to cover a broad range of general areas of interest. SPIN sends us printouts of information we request at the conclusion of the search; this takes about a week. We can provide some information more quickly if the request is urgent.

In addition, we can obtain up-to-date information on new and changed federal programs through Legislate, a service that connects us to Congress, the Federal Register and other Washington-based information sources. Please let us know if there are programs you are interested in tracking.

Our resource library is gradually expanding and being updated. We have extensive files on foundations, federal agencies, and individual research opportunities, as well as a number of reference books on grant seeking. We welcome inquiries and browsers.

Many people begin in late winter and early spring to plan future research projects. We have begun meeting with individuals and departments to

March 4, 1987

LARES, Vol. XII, No. 2

discuss plans and determine ways in which we can assist them in developing proposals. We encourage you to call on us, the sooner the better, for our assistance.

2. Procedures in Applying for External Funds through the University of Minnesota--the BA-23 Form and ORTTA. The BA-23 Form (Application for External Research or Training Support) must accompany all proposals for external funding that go through the University of Minnesota. The form makes it possible for the Office of Research and Technology Transfer and Administration (ORTTA) to initiate the steps necessary to administer grant applications and awards. It also ensures that investigators have secured required approvals from department and collegiate officers for proposed activities of the grant. Unless the form is submitted with a grant proposal, it is difficult to keep track of the grant's progress, and if an award is received, to set up accounts and other structures for its administration.

ORTTA carries the responsibility for the administrative aspect of the University's research, training and public service projects funded by external sources. ORTTA staff provide assistance in interpreting program guidelines, preparing complex budgets, negotiating contracts with sponsoring agencies, administering funds for successful proposals, and monitoring changes in regulations in agencies. ORTTA also negotiates indirect cost rates for the University with agencies. (Indirect cost rates and their application to grants can be confusing and, at times, frustrating. We will discuss these in detail in a future issue of LARES. Please call us and/or ORTTA if you have any questions about how and when to include them in a grant proposal.)

II. FUNDING NOTES

Intramural

1. Applications for the spring round of CLA Faculty Travel funds should be submitted by April 10. Applicants may apply for funds after the deadline, but must submit the application before taking the trip. Call Gerri Perreault, 624-9839, for additional information and application forms.

2. The Office of International Education will make another round of development grants that may cover international travel, honoraria for visitors and conference and/or registration fees for meetings outside the U.S. Applications are due May 15 for activities that will begin in July, August or September. Questions should be directed to Elaine Randolph, OIE Development Grant Coordinator, 624-0360.

Extramural

1. **NEH.** Many NEH programs have spring deadlines. Important programs include are listed below; ORD has additional program information:
Fellowship and Seminars Division--**Fellowships for University**

Teachers (June 1, 1987) provide support for faculty to undertake full-time study, research or independent work for periods ranging from several weeks to one year; **Fellowships on the Foundations of American Society** (June 1, 1987) provide support for teachers to pursue independent study and research related to the events and achievements of the founding period. Applications are submitted through the Fellowships for University Teachers Program; **Summer Seminars for Secondary School Teachers** (April 1, 1987) provide support for master teachers and scholars at colleges and universities to design and direct summer seminars.

Research Division--Editions (June 1, 1987) grants support various stages of the preparation of authoritative and annotated editions of sources of significant value to humanities scholars and general readers; **Translations** (June 1, 1987) grants support the translation into English of works that will provide insight into the history, literature, philosophy, and artistic achievements of other cultures; **Conferences** (July 1, 1987) supports conferences that enable both American and foreign scholars to advance research on topics of major importance in the humanities.

Education Division--The Education Division has very recently been reorganized into two major program headings, **Humanities Instruction in Institutions of Higher Education** (April 1, 1987) and **Humanities Instruction in Elementary and Secondary Schools** (May 15, 1987). The latter will retain a focus on summer institutes and projects designed to improve humanities teaching in elementary and secondary schools. The former will combine efforts that were previously distributed among several programs: projects to reform the curriculum, projects to enhance the knowledge and expertise of humanities faculty in colleges and universities, and projects to provide access to humanities instruction for those who are not served by the traditional structures of higher education. Please note that the next deadline for this program will be October 1, 1987. We encourage those interested in developing a proposal in this area to consult with us early in their planning process.

2. **NSF.** NSF recently announced a new program, **Research Experiences for Undergraduates (REU)**, designed to provide talented undergraduate students with opportunities to participate in active mathematics, science and engineering research. There are two types of REU awards. (1) **REU Sites**, grants to initiate and support undergraduate research participation sites involving at least 8 students, of whom half are expected to come from outside the host institution. These projects could be carried out during the summer months, during the academic year, or both. Although the March 1 deadline has passed, another will be announced for late fall, 1987, and we encourage you to consider this program for the future. (2) **REU Supplements**, supplements to ongoing NSF research awards to provide research training experiences for one or two additional undergraduates. Supplement requests can be submitted at any time up to May 15, 1987. ORD has additional program information.

NSF's Directorate for Biological, Behavioral and Social Sciences (BBS) has announced the extension of a joint program with NIH designed to encourage the broadened use of supercomputers by biological, social and economics scientists. NSF will make awards of up to 25 hours of CPU time to promote the exploratory use of supercomputers by researchers, including those

March 4, 1987

LARES, Vol. XII, No. 2

who have little or no supercomputer experience but anticipate that CPU time might make a significant impact on their research. The deadline for receipt of applications is April 30, 1987. Questions should be directed to Dr. Edward Zapolski at NSF (202) 357-7652 or Dr. Suzanne Stimler at NIH (301) 496-5411.

3. **Minnesota Humanities Commission.** The MHC has three deadlines in 1987 (April 30, July 31 and October 23) for its **Visiting Scholar Fellowships** program. Support is provided for independent scholars to serve as visiting lecturers to give lectures, lectures series or whole courses in academic institutions. Awards will not exceed \$2,000. The Commission no longer requires a cash match; instead, in-kind contributions can be used to match MHC funds. Please note that a BA-23 form (Application for External Research or Training Support) must be completed for the University, and submitted as usual through the Research Development Office and ORA. Applications can be obtained from Gerri Perrault, 624-9839.

4. **The Commission on Schools of the North Central Association of Colleges and Schools** has issued a request for proposals describing research studies pertinent to the relationship between regional accreditation or evaluation and quality education. Possible areas of focus would be: the relationship between accreditation/evaluation activities and a school's ability to implement goals; the relationship between accreditation/evaluation activities and student success rates. There is no fixed schedule for allocations for such projects. Additional information can be obtained from the Commission office in Boulder, Colorado at (303) 497-0261.

III. AWARDS

The following faculty were awarded grants and contracts in the period December 31, 1986 to February 15, 1987. In the first half of fiscal year 1987 (beginning on July 1, 1986 up to December 31), CLA faculty have received a total of 80 grants and contracts, for a total of \$7,342,625.

| NAME & DEPARTMENT | PROJECT | SOURCE | AMOUNT |
|--|---|--------------------------------|---------|
| Marilyn Chiat Ancient Near East and Jewish Studies | Medieval Mediterranean Cross-Cultural Contacts | Spanish Ministry of Culture | \$ 770 |
| Gregory Chu Geography | Maps of Minnesota Endangered Species | MN Dept. of Nat. Resources | 5,000 |
| Richard Depue Psychology | Studies of Persons at Risk for Depressive Disorders | ADAMHA - NIMH | 152,612 |

March 4, 1987

LARES, Vol. XII, No. 2

| | | | |
|--|--|----------------------------------|---------|
| Norman Garmezy Psychology | Risk and Protective Factors in the Major Mental Disorders | MacArthur Found. | 423,250 |
| Elden Johnson for Barbara Withrow Anthropology | Dissertation Research: Development of Hawaiian Chiefdoms | NSF | 10,000 |
| Russell Menard History | Implicit Ethnographies: Conference on the Encounter between Euro- peans and Non-Europeans in the Wake of the Columbian Voyages | Spanish Ministry of Culture | 4,000 |
| Michael Metcalf Ray Wakefield Dutch Area Studies | Dutch Area Studies Program | Dutch Ministry of Culture | 1,490 |
| Mark Rosenzweig Economics | Comparative Study of Health, Morbidity and Mortality | NICHHD-NIH | 71,350 |
| Roberta Simmons Sociology | Bone Marrow Donor Registry | American Red Cross | 10,816 |
| Frederick Smith CURA | Commission on Poverty in Minnesota Project | MN Dept. of Jobs and Training | 12,039 |
| Travis Thompson Psychology | Drugs, Learning and Behavior in the Mentally Retarded | ADAMHA-NIMH | 124,972 |
| | Opioid Mechanisms in Self-Injury | NIH-NICHHD | 92,141 |

(Note: We would be happy to list fellowship awards that investigators receive individually. We welcome and encourage you to let us know about any you or your colleagues have received.)

In addition, the following CLA faculty have been awarded single-quarter leaves during 1987-1988:

| NAME & DEPARTMENT | PROJECT |
|-----------------------------|---|
| Joseph Altholz History | The Religious Periodical Press in Britain 1760-1900 |
| Bernard Bachrach History | War and Society in Pre-Crusade Europe |

March 4, 1987

LARES, Vol. XII, No. 2

- Alan Burns
English A novel, the third in a sequence of three
- Thomas Clayton
English Shakespeare's Coriolanus: A Prospective Commentary with Special Emphasis on "Citizenship"
- Tom Conley
French & Italian Analogy and Image in French Literature of the 16th Century
- Marcia Eaton
Philosophy "Sentimental" as a Term of Aesthetic and Ethical Assessment
- Morris Eaton
Statistics The Assessment of Predictive Distributions Obtained from Improper Priors
- Genevieve Escure
English The Acquisition of Standard Dialects of Speakers of Other Dialects
- John Evans
History The Impact of War on Roman Women
- Shirley Garner
English Shakespearean Tragedy and Gender
- Edward Griffin
English/American Stud. The Predicament of Captivity in American Culture
- Mei-Ling Hsu
Geography China's Urban System in the 1980s and a Projection for the Year 2000
- Wesley Jacobsen
East Asian Studies Toward a Linguistic Theory of Event: Time, Modality and Participant Structure in the Japanese Language
- Ruth-Ellen Joeres
German/Adv. Fem. Stud. The Process of Self-Identification in 19th Century German Women Writers
- Diane Katsiaficas
Studio Arts Images of Passage
- Carol Klee
Spanish/Portuguese A Sociolinguistic Analysis of the Acquisition of Spanish by Adult Quechua-Speakers in the Peruvian Andes
- Carl Malmquist
Sociology Investigation into Various Types of Homicides
- Byron Marshall
History/E. Asian Stud. Post-World War II Reforms in Japanese Higher Education: The American Impact on the Japanese Intellectual Elite

March 4, 1987

LARES, Vol. XII, No. 2

- | | |
|---|--|
| Mary Jo Maynes History | Working-Class Lifecourse and Working-Class Autobiography in 19th Century France and Germany |
| J. Kim Munholland History | The Americans and the Free French in New Caledonia 1940-1945 |
| Gary Oehlert Statistics | Smoothing a Sparse Regression |
| Martin Sampson Political Science | Culture and Foreign Policy |
| Gerald Sanders Linguistics | On the Nature and Functions of Paraphrase Relations in Language |
| Wade Savage Philosophy | The Emerging Consensus in Philosophy of Science Concerning the Nature of Scientific Theories |
| Robert Solotaroff English | The Short Stories of Bernard Malamud |
| Geneva Southall Afro-American & African Studies | Compositions of Dorothy Rudd Moore: A Performance and Oral Research Project |
| Madelon Sprengnether English | The Repression of the Mother from Freud's Psycho- analytic Theory |
| Constance Sullivan Spanish & Portuguese | Juan de Mal Lara's Interpretations of Verbal Folklore in Spain: An Analysis of the <u>Filosofia vulgar</u> (1568) |
| Phillip Tichenor Journalism | Perceptions of Editors in Western Europe of the Role of the Press in Community Development |
| Luke Tierney Statistics | Computational Methods for Bayesian Statistical Analysis |
| James Tracy History | The Rise of Holland, Vol. II: A Province at War, 1572 - 1609 |
| George Wright English | Studies in Nineteenth-Century Poetic Meter |

IV. AGENCY TRENDS AND PROFILES

The FY 1988 Budget and Research Funding. As the FY 1988 budget process begins there are unexpected changes and anticipated consistencies in the Administration's proposals for the sciences, education and humanities. Among the positive changes is the proposed 16.7% increase in the budget for

March 4, 1987

LARES, Vol. XII, No. 2

the National Science Foundation, where priorities include increasing investment in education and human resources; establishing science and technology centers (including at least one in the social and behavioral sciences), and increasing support for disciplinary programs. NSF has requested a \$40 million (16%) increase for the Directorate for Biological, Behavioral and Social Science. The Administration was convinced to support these proposed increases on the basis of the importance of basic research to the nation's competitive standing; "competitiveness," usually linked to trade issues, has been extended to encompass such issues as education, training, research and technology.

At NIH, where the Administration has attempted to trim budgets for several years, the picture is less encouraging and somewhat confusing. This year (FY 1987) NIH funding is projected to be about \$6.5 billion. For FY 1988, the Administration is requesting \$8.3 billion. However, as part of that proposal, Congress is asked to appropriate the special sum of \$2.7 billion for "future year commitments," those funds to "remain available until expended." Congress is not expected to approve this special sum, since it provides leeway in the number of new grants awarded that Congress has tried to discourage before. Thus, if the special \$2.7 billion is not approved, NIH would end up with less than its FY 1987 allocation. (It is also possible that some portion of FY 1987 funds would be deferred for expenditure in FY 1988; this might make up for some of that loss.)

As anticipated, the Administration has once again proposed substantial cuts in the budget for the Department of Education, promoted by Secretary of Education William Bennett who has become well known for his support of "tough, lean" budgets. In FY 1987, Congress appropriated \$19.5 billion for education programs; for FY 1988, the Administration requests "only" \$14 billion and also asks Congress to rescind \$2.5 billion in FY 1987 funds. Slated for elimination through rescissions and zero funding are all graduate fellowship programs and programs in international education and foreign language studies. The Department also asks for a large reduction in both FY 1987 and FY 1988 for the Fund for the Improvement of Postsecondary Education (FIPSE).

Last, but perhaps not least, is the budget proposal for the National Endowment for the Humanities. While minuscule within the trillion-dollar national budget, this agency's \$138.5 million budget receives greater attention than budgets for many larger federal agencies. Unlike those of other agencies, NEH's budget is appropriated by Congress down to the divisional level. This gives Congress particularly strong influence on NEH's priorities and, especially in recent years, the power to deflect Administration attempts to limit and modify important programs. This year, the ritual continues. The Administration has requested about 8% less (\$126.9 million) for FY 1988 than was appropriated in FY 1987. With Democratic control of both houses this year, it is unlikely that this request will be honored.

March 4, 1987

LARES, Vol. XII, No. 2

V. DEADLINES

1. Intramural

| DATE | OFFICE | PROGRAM |
|----------|-------------------------------------|------------------------------|
| March 2 | CLA | Scholarly Conferences |
| April 10 | CLA | Faculty Travel-McMillan Fund |
| May 15 | International Education Programs | Development Grants |

2. Extramural

| DATE | AGENCY | PROGRAM |
|----------|--|--|
| March 10 | National Endowment for the Arts | Design Advancement Grants for Individuals |
| March 15 | National Institute on Aging | Research Conferences Proposals |
| March 15 | National Historical Publications and Records Commission | Publications Program Fellowships in Historical Editing |
| March 20 | NEH, General | Public Humanities Programs |
| March 21 | National Gallery of Art | Visiting Senior Fellowships |
| March 31 | Department of Education | Discretionary Program: Foreign Languages |
| April 1 | NEH, Education | Humanities Instruction in Institutions of Higher Education |
| April 1 | NEH, Research | Publication Subventions |
| April 1 | NEH, Fellowships | Directors, Summer Seminars for Secondary School Teachers |
| April 1 | Office of Naval Research | Young Investigator Program |
| April 1 | American Council of Learned Societies | China Conference Travel Grants |
| April 1 | First Amendment Fund | Awards for Research on Freedom of the Press |
| April 15 | National Research Council | Research Associateship Program |
| April 17 | Minnesota Humani- ties Commission | General grants (drafts) |
| April 30 | NSF/NIH | Supercomputer Use by Biological, Behavioral and Social Scientists |
| April 30 | MHC | Visiting Scholar Fellowships |

March 4, 1987

LARES, Vol. XII, No. 2

| | | |
|----------|-----------------------------------|--|
| April 30 | IREX | Short-term Research Abroad (U.S.S.R., Eastern Europe) Grants for Collaborative Activities and New Exchanges |
| April 30 | Organizataion of American States | Fellowships |
| May 1 | NEH, Challenge | Challenge Grants |
| May 1 | MHC | General grants (final) |
| May 10 | NIH | Fogarty International Center, Senior International Fellowships |
| May 15 | NSF | Research Experiences for Undergraduates Supplements |
| June 1 | NEH, Fellowships | Fellowships for University Teachers Fellowships for College Teachers and Independent Scholars Constitutional Fellowships |
| June 1 | NEH, Research | Texts: Editions, Translations |
| June 1 | Wenner-Gren | Postdoctoral Training Fellowships Senior Scholar Research Stipends Small Grants Program |
| June 1 | NIH | New Research Grants |
| June 1 | NIH | FIRST Awards |
| June 1 | NIH | Research Career Development Awards |
| June 1 | NIH | Support of Scientific Meetings |
| June 1 | NIMH | |
| | NIAAA | Small Grants Program |
| | NIDA | |
| June 15 | CIES-Fulbright Scholar Program | Australasia, India, Latin America |

(Note: This is only a partial listing of grant and fellowship opportunities. Please call or write if you have questions about specific agencies or foundations; there are simply too many programs to list here.)

RESEARCH INFORMATION SHEETS

ORD has a number of information brochures that you may order by section or subsection. (Just use the order form at the end of the newsletter.) Some sections are quite long and specialized. If you do not find such items helpful, we would appreciate your returning the materials to us. Although these brochures were prepared a little more than a year ago, the information presented is still useful. We do plan to edit them this year; we welcome suggestions about content, format, etc.

I. THE RESEARCH PROCESS: PRELIMINARY STAGES

- A. Diagrammatic representation of stages in proposal writing:
planning sponsored research
- B. Glossary of terms used in sponsored research
 - a. Basic definitions
 - b. Glossary of legislative and federal budget terms
 - c. Diagrams of the Congressional budget and appropriation process
- C. First steps:
 - a. Literature search: rationale
 - b. Preparing an abstract: preapplication proposal format

II. SOURCES OF FUNDING AND THE FUNDING SEARCH

- A. An overview of types of grants; internal and external sources of funds summarized
- B. Funding search: print and electronic guides
- C. The Sponsored Program Information Network (SPIN): how to use it and examples of printed output describing funding sources
- D. Evaluating the results of your search for funding opportunities; follow-up procedures and the rationale and procedures for directly contacting funding agencies
- E. Funding sabbaticals at the University of Minnesota

III. PROPOSAL WRITING: STAGES AND STRATEGIES WITH EXAMPLES

- A. An overview: clarification of stages and proposal format. What should a good proposal look like?
- B. Writing tips and editing
- C. Title and Abstracts: their importance and how to write them; examples
- D. Proposal checklist and evaluation form: tests for assessing your application
- E. Proposal review: assessment of criteria and review procedures
- F. Processing your application at the University of Minnesota: services, bureaucracy and the BA-23 form
- G. Special considerations for applying to the National Endowment for the Humanities: "The Art of the Fellowship Proposal"

IV. GUIDE TO BUDGET PREPARATION

- A. An overview of budget preparation: sample budgets, allowable costs, direct and indirect costs, bibliography
- B. Budgetwriter: a computerized program for the IBM PC and Lotus 1-2-3 for writing and calculating University of Minnesota budgets (not available at this time)

V. GRANTS ADMINISTRATION

- A. Bibliography
- B. Grant management: technical and fiscal accountability
 - 1. The research grant and the regulatory process
 - 2. Basic government regulations
 - 3. Fiscal accountability: allowable versus unallowable costs
 - 4. Fiscal accountability: time-relatedness of costs
 - 5. Fiscal accountability: budget revisions
 - 6. Conflict of interest
 - 7. Effort reporting
 - 8. Program accountability
- C. Public policy: policies governing civil rights, affirmative action, environmental impact, flood insurance, historic properties, relocation assistance, architectural barriers, and student unrest
- D. Regulation of research risks
- E. Disclosure policies
 - 1. Patents, copyrights, privacy (summary)
 - 2. Patent and patent rights
 - 3. Patent rights under government contracts
 - 4. University patent policies and practices
 - 5. Patent licensing agreements
 - 6. Patent clauses in industrial contracts
 - 7. Copyright clauses in industrial contracts
 - 8. Software licensing agreements

VI. CONTRACTS

- A. A chart comparing legal and administrative requirements of grants versus contracts
- B. Basic information on research funded by means of contracts: advantages and disadvantages, rights and responsibilities, essential elements of a contract

Materials are adapted for use by CLA faculty from instructional materials prepared by the National Council of University Research Administrators and the Society for Research Administrators. Ideas for improving these materials are welcome.

University Archives
10 Walter Library
Atn: Barbara Wagner

Liberal Arts Research Newsletter
College of Liberal Arts
Office of Research Development
205 Johnston Hall
101 Pleasant Street S.E.
University of Minnesota
Minneapolis, Minnesota 55455



-----fold here-----fold here-----

To order special information brochures check items requested:

_____ Sponsored Project Management. A Guide for Faculty and Staff

List here any sections or subsections of research information brochures you would like to receive:

Questions? Call 625-4801.

MIW
9 R235 2

LARES

Liberal Arts Research Newsletter

May 6, 1987

LARES, Vol. XII, No. 3

Telephone: 625-4801
Hours: 8:30-4:30, M-F

Editor: Geri H. Malandra

I. GENERAL ANNOUNCEMENTS

1. From the Director.

(Editor's note: We hope that LARES can become a publication that presents many points of view on a variety of issues related to research. To start, Jerry Siegel offers the following reflections on the "two cultures" as they appear at the University of Minnesota. This column is not just for one-way communication. We solicit your reactions, rebuttals, and discussion of other topics that can be printed here.)

The Office of Research Development serves the College and the last few months I've been forced to wander out of my niche in Communication Disorders and into the expansive world of the liberal arts. It has been educating.

I started my education about the diversity in our college a couple of years ago when I was a member and then chairman of the College's promotion and tenure committee. We differ from discipline to discipline in some ways that, in my naivete, surprised me. The two departments I know best, Psychology and Communication Disorders, for example, place a premium on publication in prestigious, high quality journals. In my department, when I fill out the record of my accomplishments at the end of the year, in anticipation of a lavish merit increase, I am required to separate refereed from nonrefereed publications, and it is quite clear that a pound of journal articles weighs much more than a pound of book chapters.

Working in ORD these past months, I have learned that in other departments, and perhaps in the humanities generally, serious scholars are continually questing for THE BOOK, rather than for scholarly articles. The humanities scholar may have a book in the works for a period of years; social science scholars seem more concerned with getting their work out and are more anxious about timely publication. In the social sciences, books are often summaries of the research of others. One's own research appears in periodicals in articles that rarely exceed twenty pages.

Another difference I've become aware of is with respect to collaborative work. I sense that humanities scholars are inclined to work alone, and that

scholarship truly is an independent enterprise in most cases, a communion between the scholar and his texts. I've been reared in a tradition that celebrates collaboration. Publishing with students is an indication of successful teaching in my department, as evidence that students are being brought into the research process and are contributing while learning. I'm not sure whether there is intrinsic merit in collaborative research, but I have done it for so long I can hardly imagine working in any other way. I recall trying to reassure members of the promotion and tenure committee that joint publication didn't mean that a social science faculty member was incapable of carrying out independent research.

The expectations and the traditions in the diverse fields of liberal arts differ and that has taken some getting used to. I think it is fortunate that Geri Malandra and I in this office have backgrounds that fall within these two communities. I hope that makes us more accessible and useful. I don't yet understand the source of these differences, but I have the tentative feeling that, paradoxically, science seems to breed community scholarship, while humanities promotes scholarly isolation. Or maybe I've got that all wrong. I suppose you'll let me know.

Jerry Siegel

2. Ongoing ORD Services. Our Research Development Fund is available to those seeking sponsored research support from extramural agencies. Its primary purpose is to assist in the development of research proposals for external funding. Funds may be used to visit an agency to discuss a proposal, to consult with colleagues at other institutions in the development of collaborative proposals, to prepare manuscripts of proposals and to photocopy them for submission to agencies. Occasionally, these funds may also be used to assist in covering unanticipated overhead costs of current sponsored projects. There is no deadline or application form. We encourage you to call us if you have questions about the fund.

As you begin to plan future research activities, please keep in mind the searches for funding sources that are possible through our SPIN (Sponsored Research Information Network) system. This national database provides access to information about federal and nonfederal agencies and organizations. Through its extensive index system, searches can be tailored to specific topics or expanded to cover a broad range of general areas of interest. SPIN sends us printouts of information we request at the conclusion of the search; this takes about a week. We can provide some information more quickly if the request is urgent.

II. FUNDING NOTES

Intramural

1. The Office of International Education has announced deadlines for development grants that may cover: establishment of collaborative research, training or service; educational exchanges of faculty; completion of individual research of an international nature; curriculum development;

international seminars and other programs held at the University of Minnesota or involving international scholars outside the University; participation in international professional conferences held outside the U.S.

Applications are due May 15 for activities that will begin in July, August or September; August 15 for October, November and December activities; November 15 for January, February and March activities. Questions should be directed to the OIE Development Grant Coordinator, 624-5580.

Extramural

1. **NEH.** Several important NEH programs have late spring, summer and early fall deadlines (see below). ORD has additional program information:

Fellowship and Seminars Division--**Fellowships for University Teachers** (June 1, 1987) provide support for faculty to undertake full-time study, research or independent work for periods ranging from several weeks to one year; **Fellowships on the Foundations of American Society** (June 1, 1987) provide support for teachers to pursue independent study and research related to the events and achievements of the founding period. Applications are submitted through the Fellowships for University Teachers Program. **Travel to Collections** (July 15, 1987) grants enable individual scholars to travel to use the research collections of humanities materials in libraries, archives, museums or other repositories.

Research Division--**Editions** (June 1, 1987) grants support various stages of the preparation of authoritative and annotated editions of sources of significant value to humanities scholars and general readers; **Translations** (June 1, 1987) grants support the translation into English of works that will provide insight into the history, literature, philosophy, and artistic achievements of other cultures; **Conferences** (July 1, 1987) supports conferences that enable both American and foreign scholars to advance research on topics of major importance in the humanities.

Education Division--The Education Division has recently been reorganized into two major program areas, **Humanities Instruction in Institutions of Higher Education** (October 1, 1987) and **Humanities Instruction in Elementary and Secondary Schools** (May 15, 1987). The latter will retain a focus on summer institutes and projects designed to improve humanities teaching in elementary and secondary schools. The former will combine efforts that were previously distributed among several programs: projects to reform the curriculum, projects to enhance the knowledge and expertise of humanities faculty in colleges and universities, and projects to provide access to humanities instruction for those who are not served by the traditional structures of higher education. We encourage those interested in developing a proposal in this area to consult with us early in their planning process.

Trends at NEH. Over the past year, the success rate for applications to the Fellowship and Seminars Division has increased. Currently, about one in seven applications for NEH Fellowships is funded;

approximately one in three applications for Seminars receives funding. Compared with previous years, when success rates were in the one to twelve range, these statistics are encouraging. NEH is especially eager to see applications for its summer seminar programs, both for college and high school teachers. Moreover, the Endowment is trying to change the geographic profile of the seminars program, to encourage more applications from Big Ten schools. Areas of special interest include art history, history of religion, political theory, and literature/language programs. In the Research Division, approximately twenty percent of applications are successful. The division is especially interested in seeing applications in history of music, history of art, translation projects for Asian literary or historical works, and projects in European history.

2. NSF. NSF has been planning a major initiative to improve science and engineering instruction at every level of the American educational system. Anticipating a substantial increase in its federal appropriation this year, the agency has already begun to implement a strategic plan for FY 1987 to FY 1991, "Enhancing the Quality of Science, Mathematics, and Engineering Education in America." (Copies of the plan are available in the ORD office.) NSF is eager to learn what faculty in social and behavioral sciences need to do a more effective job of undergraduate education. The Directorate of Science, Mathematics and Engineering Education welcomes brief (five-page) preliminary statements of need: projects might include laboratory instruction and instrumentation, course and curriculum development, undergraduate research participation, or comprehensive proposals to work in all these areas simultaneously. NSF officials have stressed their willingness to consider these proposals outside of already established program areas and deadlines. If you have an idea, now is the time to discuss it with the agency.

The Presidential Young Investigators program will be continued. However, the deadline for applications has been moved forward to October 1. Guidelines will be available this summer. If you or your department is interested in nominating someone, please let us know; we will send you the necessary information as soon as we can. In the meantime, we have copies of last year's guidelines. They are not expected to change substantially; let us know if you would like to see them.

3. Minnesota Humanities Commission. The MHC has two more deadlines in 1987 (July 31 and October 23) for its Visiting Scholar Fellowships program. Support is provided for independent scholars to serve as visiting lecturers to give lectures, lectures series or whole courses in academic institutions. Awards will not exceed \$2,000. The Commission no longer requires a cash match; instead, in-kind contributions can be used to match MHC funds. Please note that a BA-23 form (Application for External Research or Training Support) must be completed for the University, and submitted as usual through the Research Development Office and ORA. Applications can be obtained from Gerri Perrault, 624-9839; Tom Trow (624-1359) can provide useful information about the Commission.

4. Fulbright Scholar Program. The Council for International Exchange

of Scholars (CIES) is the principal private agency administering the Fulbright scholar grants for advanced research and university teaching funded by the U.S. Information Agency. CIES is now accepting applications for 1988-1989 Fulbright Scholar awards, which will include more than 300 grants in research and 700 grants in university lecturing for periods ranging from three months to a full academic year. There are openings in over 100 countries and, in some instances, the opportunity for multi-country research is available. Scholars in all academic ranks are eligible to apply. Eligibility requirements include U.S. citizenship, a Ph.D. or comparable professional qualifications, university or college teaching experience, and for some assignments, proficiency in a foreign language. Under a new policy, scholars are not limited to two Fulbright awards. Deadlines are: June 15, 1987 for travel to Australasia, India, and Latin America; September 15, 1987 for travel to Africa, Asia, Europe, Middle East, and lecturing awards to Mexico, Venezuela, and the Caribbean; February 1, 1988 for work in France, Italy, and Germany Travel-Only Awards. You should contact CIES, 11 Dupont Circle N.W., Washington, DC 20036, (202) 939-5401 or our Office of International Education (624-5580) for additional information and application forms.

5. Residency Fellowships. The Institute for Research in the Humanities of the University of Wisconsin-Madison invites applications for one or more post-doctoral fellowships during the academic year 1988-89. Candidates must have a Doctor's degree by the time of application, and must intend to pursue research in Madison in some aspect of the humanities. The stipend is approximately \$17,000. Applications and supporting letters will be due October 15, 1987. For additional information, contact the Institute for Research in the Humanities, 1401 Observatory Dr., Madison, WI 53706.

The University of Edinburgh, Institute for Advanced Studies in the Humanities invites applications for Visiting Research Fellowships, 1988-90. Applications may come from established scholars as well as from younger scholars holding a doctorate. Fellowships of between one and six months will be tenable from October 1988-May 1989 in any field of the humanities; from March 1989-September 1989 in connection with the Institute's multidisciplinary project 1789-1989: Evolution or Revolution?; and October 1989-1990 in any humanities discipline. About 25 Fellows are elected each year. Limited stipends are available. For additional information, contact Professor Peter Jones, Institute for Advanced Study in the Humanities, University of Edinburgh, Hope Park Square, Edinburgh EH8 9NW.

6. Looking Ahead. Two important funding sources for humanities research have fall deadlines. They are listed here, with addresses and phone numbers. Ordinarily, mail inquiries are preferred.

American Council of Learned Societies (September 30, 1987)
Office of Fellowships and Grants
228 East 45th St.
New York, NY 10017
(212) 697-1505

May 6, 1987

LARES, Vol. XII, No. 3

John Simon Guggenheim Memorial Foundation (October 1, 1987)
90 Park Avenue
New York, NY 10016
(212) 687-4470

Our research information brochure II.E. "Funding Sabbaticals at the University of Minnesota," has additional information about these and many other programs.

III. AWARDS

The following faculty were awarded external grants and contracts in the period February through April, 1987.

| NAME & DEPARTMENT | PROJECT | SOURCE | AMOUNT |
|--|--|---|---------------------|
| Phil Ackerman Psychology | Individual Difference in Learning and Cognitive Abilities | Office of Naval Research | \$ 23,765 |
| Dwight Burkhardt Psychology | Vision and Intraretinal Potentials | NIH-National Eye Institute | 85,407 8,448 |
| William Coulson Leslie Denny Classical Studies | The Future of the Past: New Roles for the Classics in American Life and Learning | Minnesota Humanities Commission | 9,733 |
| Robert Cudeck for Susan Henley Psychology | Research Fellowship Award | Health Resources & Services Admin. Div. of Nursing | 10,552 |
| Christine Hastorf Anthropology | Presidential Young Investigator Award-- Political Stratifica- tion and its Effect on Natural Resources | National Science Foundation | 21,800 |

May 6, 1987

LARES, Vol. XII, No. 3

| | | | |
|--|--|--|---------|
| Elden Johnson Anthropology | Prehistory of the Eastern/Dakota in Minnesota | Northwest Area Foundation | 55,962 |
| Robert Kvavik International Programs | Malaysian Project | MUCIA Prime/Indiana University | 7,646 |
| Ruth Kanfer Psychology | Ability/Motivation Interactions in Complex Skill Acquisition | Air Force Office of Scientific Research | 19,988 |
| William Malandra for Marilyn Chiat Religious Studies | Jews, Christians and Moslems--Visiting Scholar | Minnesota Humanities Commission | 1,500 |
| William Malandra South and Southwest Asian Studies | NDFL Foreign Language Fellowships | Department of Education | 24,675 |
| J. Kim Munholland Western European Area Studies | Western European Area Studies Center | Department of Education | 158,938 |
| J. Kim Munholland Ray Wakefield Western European Area Studies | Dutch Area Studies Program | Dutch Ministry of Culture | 800 |
| Mark Rosenzweig Economics | Supply-Demand Determinants of Births and their Consequences | NICHD/Yale University Prime | 32,212 |
| Travis Thompson Psychology | Opioid Mechanisms in Self-Injury | NIH-National Institute of Child Health | 9,434 |
| Charles Speaks Communication Disorders | Training Grant | Department of Education | 288,907 |
| Peter Wells Center for Ancient Studies | Recreating Our Past | Minnesota Humanities Commission | 7,100 |

In addition:

The Center for Learning, Perception and Cognition has received a \$40,000 grant from the National Science Foundation, to conduct a Research Experience for Undergraduates program this summer. Directed by Patricia Broen, the program will bring undergraduates from the University and other institutions to the Center to work on research projects and in seminars with faculty members.

Elizabeth Belfiore (Classics) has received an American Council of Learned Societies Fellowship for 1987-88 to write a book on Aristotle's Poetics.

Ruth-Ellen Joeres (German) has been awarded an NEH Summer Stipend for 1987 to work on a book about the process of self-identification among 19th-century German women writers.

Gordon Legge (Psychology) is the recipient of a NIH Merit Award. He may receive a commitment of eight to ten years of continuous research grant support from his primary research grant from the National Eye Institute.

Carla Phillips (History) has been selected to receive a Guggenheim Memorial Fellowship for 1987, to work on studies of the Spanish wool trade from 1350 to 1780.

IV. INTERNAL AWARDS

Bush Sabbatical Awards. Fourteen CLA faculty received Bush Sabbatical Awards (out of a total of 24 for the entire university) for leaves in 1987-88. They include:

- John S. Adams (Geography), "Geographical Structure of Soviet Cities: How Ideology Shapes Centrally Planned Urbanization"
- Ronald Aminzade (Sociology), "Democracy, Industrialization, and the Origins of Political Parties: A Comparative Urban Study of 19th Century France"
- W. John Archer (Humanities), "The Nineteenth-Century 'Romantic' Suburb: Ideology and Aesthetics in Built Form"
- Terence Ball (Political Science), "Intergenerational Justice"
- Nina Etkin (Anthropology), "Health in Rural Northern Nigeria: Indigenous and Western Medicines in Transition"
- John K. Evans (History), "The Impact of War on Roman Women"
- Philip Gersmehl (Geography), "Communicating Regional Differences in Land Capability"
- George Green (History), "An Historiographic Analysis of Explanations of the 1930s Depression in the American Economy"
- Stephen Gudeman (Anthropology), "Autaky and the Market in the Columbian Andes"
- Thomas Lane (Studio Arts), "Forming Molten Glass with Mold"
- Michael Metcalf (History), "Denmark and the Danes: A History"

May 6, 1987

LARES, Vol. XII, No. 3

Ronald Sousa (Spanish & Portuguese), "Rethinking Portuguese History in the Post-Revolutionary Era

Charles Walcott (Political Science), "Organizing the White House: The Institutionalization of Presidential Governance from Hoover through Johnson"

Constance Weil (Geography), "The Diffusion of Oral Rehydration Therapy in Bolivia;" "Japanese Trade and Investment in Latin America;" travel to Central America and the Caribbean

CLA Scholarly Conferences for 1987-1988.

| Department | Project Director | Conference Title and Date |
|----------------------------------|--|--|
| Center for Ancient Studies | Peter S. Wells | Perception and Presentation of the Past October 14-16, 1987 |
| Studio Arts | Wayne E. Potratz | Visions and Revisions October 21-24, 1987 |
| German & Art History | Heidrun Suhr Gerhard Weiss Charles Haxthausen | Culture & Metropolis: Berlin from 1900 to the Present October 8-11, 1987 |
| Humanities | Richard Leppert Bruce Lincoln | Discursive Strategies and the Economy of Prestige April 7-10, 1988 |
| Center for Humanistic Studies | Nancy Kobrin Joel Weinsheimer | "Multiculturalism" April 28-30, 1988 |
| Research in Learning Center | J. Bruce Overmier Phillip Ackerman Ruth Kanfer | Learning & Individual Differences: Abilities and Motivation Winter, 1988 |
| Sociology and East Asian Studies | Jeffrey Broadbent Edward Farmer | Managing Change: East Asian Development & U.S. Trade May 14-15, 1988 |
| Spanish & Portuguese | Carol Klee | Sociolinguistic Research on Spanish and Europe, Latin America, and the U.S. March 4-5, 1988 |
| Theater Arts | Barbara Reid | The Development of the New American Plan: Past, Present and Future August 13-16, 1987 |

V. DEADLINES1. Extramural

| DATE | AGENCY | PROGRAM |
|----------|---|---|
| May 10 | NIH | Fogarty International Center, Senior International Fellowships |
| May 15 | NSF | Research Experiences for Undergraduates Supplements |
| June 1 | NEH, Fellowships | Fellowships for University Teachers Fellowships for College Teachers and Independent Scholars Constitutional Fellowships |
| June 1 | NEH, Research | Texts: Editions, Translations |
| June 1 | Wenner-Gren | Postdoctoral Training Fellowships Senior Scholar Research Stipends Small Grants Program |
| June 1 | NIH | New Research Grants |
| June 1 | NIH | FIRST Awards |
| June 1 | NIH | Research Career Development Awards |
| June 1 | NIH | Support of Scientific Meetings |
| June 1 | NIMH | |
| | NIAAAA | Small Grants Program |
| | NIDA | |
| June 15 | CIES-Fulbright Scholar Program | Australasia, India, Latin America |
| July 1 | ACLS | Travel Grants for Humanists: International Meetings Abroad |
| July 1 | NEH | Research Programs: Conferences |
| July 1 | NSF | BBS: Social and Developmental Psychology |
| July 1 | Office of Naval Research | Young Investigator Program |
| July 15 | NEH | Fellowship Programs: Travel to Collections |
| July 15 | National Archives and Records Admin. | Publications Program |
| July 24 | Minnesota Humanities Commis. | General Grants: Drafts |
| July 31 | MHC | Visiting Scholar Fellowships |
| August 1 | NSF | BBS: Ethics and Values Studies; Anthropology; Linguistics; Memory and Cogni- tive Processes |

May 6, 1987

LARES, Vol. XII, No. 3

| | | |
|------------|----------------|--|
| August 14 | MHC | General Grants: Final Proposals |
| August 15 | NSF | BBS: Economics; Geography & Regional Sciences; History and Philosophy of Science; Law and Social Science; Sociology; Political Science |
| Sept. 10 | NIH | Senior International Fellowships |
| Sept. 15 | CIES-Fulbright | Africa, Asia, Europe, Middle East, lecturing awards to Mexico, Venezuela, & the Caribbean |
| Sept. 30 | ACLS | Fellowships |
| October 1 | Guggenheim | Fellowships |
| October 1 | NIH | FIRST Awards; New Research Grants; Small Grants Program |
| October 1 | NSF | Presidential Young Investigator Awards |
| October 1 | Of. Naval Res. | Young Investigator Program |
| October 16 | MHC | General Grants (draft) for Nov. 6 final deadline |
| October 23 | MHC | Visiting Scholar Fellowships |

(Note: This is only a partial listing of grant and fellowship opportunities. Please call or write if you have questions about specific agencies or foundations; there are simply too many programs to list here.)

RESEARCH INFORMATION SHEETS

ORD has a number of information brochures that you may order by section or subsection. (Just use the order form at the end of the newsletter.) Some sections are quite long and specialized. If you do not find such items helpful, we would appreciate your returning the materials to us. Although these brochures were prepared a little more than a year ago, the information presented is still useful. We do plan to edit them this year; we welcome suggestions about content, format, etc.

I. THE RESEARCH PROCESS: PRELIMINARY STAGES

- A. Diagrammatic representation of stages in proposal writing: planning sponsored research
- B. Glossary of terms used in sponsored research
 - a. Basic definitions
 - b. Glossary of legislative and federal budget terms
 - c. Diagrams of the Congressional budget and appropriation process
- C. First steps:
 - a. Literature search: rationale
 - b. Preparing an abstract: preapplication proposal format

II. SOURCES OF FUNDING AND THE FUNDING SEARCH

- A. An overview of types of grants; internal and external sources of funds summarized
- B. Funding search: print and electronic guides
- C. The Sponsored Program Information Network (SPIN): how to use it and examples of printed output describing funding sources
- D. Evaluating the results of your search for funding opportunities; follow-up procedures and the rationale and procedures for directly contacting funding agencies
- E. Funding sabbaticals at the University of Minnesota

III. PROPOSAL WRITING: STAGES AND STRATEGIES WITH EXAMPLES

- A. An overview: clarification of stages and proposal format. What should a good proposal look like?
- B. Writing tips and editing
- C. Title and Abstracts: their importance and how to write them; examples
- D. Proposal checklist and evaluation form: tests for assessing your application
- E. Proposal review: assessment of criteria and review procedures
- F. Processing your application at the University of Minnesota: services, bureaucracy and the BA-23 form
- G. Special considerations for applying to the National Endowment for the Humanities: "The Art of the Fellowship Proposal"

IV. GUIDE TO BUDGET PREPARATION

- A. An overview of budget preparation: sample budgets, allowable costs, direct and indirect costs, bibliography
- B. Budgetwriter: a computerized program for the IBM PC and Lotus 1-2-3 for writing and calculating University of Minnesota budgets (not available at this time)

V. GRANTS ADMINISTRATION

- A. Bibliography
- B. Grant management: technical and fiscal accountability
 1. The research grant and the regulatory process
 2. Basic government regulations
 3. Fiscal accountability: allowable versus unallowable costs
 4. Fiscal accountability: time-relatedness of costs
 5. Fiscal accountability: budget revisions
 6. Conflict of interest
 7. Effort reporting
 8. Program accountability
- C. Public policy: policies governing civil rights, affirmative action, environmental impact, flood insurance, historic properties, relocation assistance, architectural barriers, and student unrest
- D. Regulation of research risks
- E. Disclosure policies
 1. Patents, copyrights, privacy (summary)
 2. Patent and patent rights
 3. Patent rights under government contracts
 4. University patent policies and practices
 5. Patent licensing agreements
 6. Patent clauses in industrial contracts
 7. Copyright clauses in industrial contracts
 8. Software licensing agreements

VI. CONTRACTS

- A. A chart comparing legal and administrative requirements of grants versus contracts
- B. Basic information on research funded by means of contracts: advantages and disadvantages, rights and responsibilities, essential elements of a contract

Materials are adapted for use by CLA faculty from instructional materials prepared by the National Council of University Research Administrators and the Society for Research Administrators. Ideas for improving these materials are welcome.

University Archives
10 Walter Library
Attn: Barbara Wagner

Liberal Arts Research Newsletter
College of Liberal Arts
Office of Research Development
205 Johnston Hall
101 Pleasant Street S.E.
University of Minnesota
Minneapolis, Minnesota 55455



-----fold here-----fold here-----

To order special information brochures check items requested:

_____ Sponsored Project Management. A Guide for Faculty and Staff

List here any sections or subsections of research information brochures you would like to receive:

Questions? Call 625-4801.

LARES

Liberal Arts Research Newsletter

June 10, 1987

LARES, Vol. XII, No. 4

Telephone: 625-4801
Hours: 8:30-4:30, M-F

Editor: Geri H. Malandra

I. GENERAL ANNOUNCEMENTS

1. Summer Hours: ORD will be open all summer, with the exception of the weeks of August 3-7 and August 24-28. During these weeks, and on any other days when the office must be empty, messages can be left in the CLA Faculty Affairs office. Also, through mid-July, if ORD staff cannot be reached at our number, you can call Jerry Siegel in his Communication Disorders office (624-3322).

2. From the Editor. This is the last issue of LARES for the year; publication will resume in September, when we will continue to use this space to discuss issues related to research and its support. Response to our editorial on the differences between humanities and social science research has been lively, suggesting substantive points that should be discussed in greater detail in future issues of LARES. We have, for example, neglected the special problems that scholars in the fine and performing arts encounter when searching for research funding. Moreover, even within our very general framework there is room for clarification and elaboration.

Professor George Wright's (English) comments on collaborative research and publication in the humanities represent the views of many we heard from:

Collaborative research is not unheard of in the humanities; teams sometimes work on special kinds of projects--editorial, bibliographical, or historical. But criticism of art, music, or literature is usually a lonelier enterprise, because it typically rests on subjective interpretation and insight. Schools of critics sometimes work closely together, but collaboration on interpretive essays or books is rare.

But why is that so hard to grasp? Teams of musicians or architects may perform symphonies or design buildings, but

pianists may play with or without orchestras, and poets and composers almost never team up. Different work gets done in different ways, in academia as elsewhere.

As for books vs. articles, the issue is not clear cut. Some articles in the humanities have had major impact in their field, but normally a book will show better than an article whether the skillful analytical or speculative work of a critic or scholar can be sustained over a long and complex course. Again, there are analogies in the arts: short stories or novels, sonatas or symphonies, small or large paintings. Many artists do both, but only a very exceptional one (e.g., Van Gogh or Poe) makes a major reputation on the basis of smaller-scale art.

Since this the last issue for the year, it may be appropriate to include some brief summer reading, in the form of two short offprints that explore in other modes the question of what humanities and social science research is, what scholars actually do in their various fields, and how their activities are valued by people in the academy. The first (p. 10) argues an old point, but one worth reconsidering, that, for humanists at least, the term "research" may be seriously misapplied and perhaps overestimated. The second (p. 11), a response to the rejection of Harvard University Professor Samuel P. Huntington for membership in the National Academy of Sciences, indicates that among the social and behavioral sciences there is also skepticism in some quarters about what constitutes valid research. Taken together, these essays suggest that while the issues at hand may not have right or wrong answers, they deserve consideration. This reflection can assist all of us in understanding better what our colleagues face.

II. TRENDS IN SPONSORED RESEARCH AT THE UNIVERSITY OF MINNESOTA AND IN THE COLLEGE OF LIBERAL ARTS

1. Expenditures. In FY 1986 (July 1, 1985 to June 30, 1986), total University of Minnesota external support expenditures were \$151.6 million. This reflects an increase of 14% over the FY 1985 total of \$133.1 million. In the same period, the College of Liberal Arts external support expenditures increased 18%, from \$3.483 million in FY 1985 to \$4.108 million in FY 1986. (External support expenditures, the money actually spent on sponsored projects, are considered to be a more reliable measure of long-term trends than are numbers of proposals submitted or awards made each year.)

2. Sources of Support. Across the university in FY 1986, 76% of external support expenditures came from federal sources (41.9% from the National Institutes of Health alone), 21% from private sources, and 3% from state and local agencies. In the College of Liberal Arts the proportion varies significantly: in sponsored research alone (as distinguished from sponsored training and public service), 55% of expenditures came from federal sources, 37% from private sources, and 8% from state and local agencies.

3. Proposals. In FY 1986 university faculty submitted 2,763 proposals requesting \$435 million, an increase of less than 1% in number but 22% in amount over FY 1985. In CLA, 140 proposals requesting a total of \$13.307 million were submitted in FY 1986, an increase of 9.4% over the 128 submitted in FY 1985, and 38.7% over the \$9.951 million in dollars requested in the last fiscal year. The large percentage increase in requests reflects the submission of several multi-million-dollar, multi-year proposals in FY 1986. (By comparison, the Institute of Technology experienced an even more asymmetrical increase: the numerical change in proposals submitted was 0.5%, but total dollars requested increased by 48.5%.)

4. Trends. As the table (below) shows, over the past three fiscal years, proposals from and awards to CLA have gradually increased. Statistics for the first half of FY 1987 indicate that this trend should continue.

College of Liberal Arts
Sponsored Research
FY 1984-FY 1987

| | FY 1984 | | FY 1985 | | FY 1986 | | FY 1987 (7/1/86-12/31/86) | |
|-------------------------------|---------|----------|---------|----------|---------|----------|------------------------------|----------|
| | # | \$ | # | \$ | # | \$ | # | \$ |
| Proposals submitted | 116 | \$10.025 | 128 | \$ 9.591 | 140 | \$13.307 | 80 | \$ 7.343 |
| Awards* | 68 | \$ 2.969 | 67 | \$ 2.827 | 77 | \$ 4.170 | 47 | \$ 2.379 |
| External support expenditures | | \$ 3.085 | | \$ 3.483 | | \$ 4.108 | | NA |

*Awards = awards made in same period as proposals submitted; this is not a measure of success of proposals in that period, but of proposals submitted earlier. Because of the length of time required for decisions to be made, these figures reflect overlapping cycles of requests, awards, and expenditures.

(Statistics are based on reports from the Office of Research and Technology Transfer Administration. For more detailed information, see 1986 Levels and Trends in Sponsored Programs at the University of Minnesota, April 1987. Copies are available at ORTTA and may be requested by telephone at 624-0353.)

III. FUNDING NOTES

Intramural

1. The Office of International Education has announced deadlines for development grants that may cover: establishment of collaborative research, training or service; educational exchanges of faculty; completion of individual research of an international nature; curriculum development; international seminars and other programs held at the University of Minnesota or involving international scholars outside the University; participation in international professional conferences held outside the U.S. Applications are due August 15 for October, November and December activities; November 15 for January, February and March activities. Questions should be directed to the OIE Development Grant Coordinator, 624-5580.

Extramural

1. **American Council of Learned Societies 1987-1988 Fellowships and Grants.** The general programs of the ACLS support postdoctoral research in the humanities; research in the social sciences with a predominantly humanistic emphasis will also be considered. The Ph.D. or its equivalent is required. Younger scholars and independent scholars are encouraged to apply. The Area Programs, sponsored jointly by the Social Science Research Council, support postdoctoral and predoctoral research and study in the humanities and social sciences. All programs administered by ACLS require U.S. citizenship or permanent residence. Additional information or application forms may be obtained by writing to the address below; requests for application forms must include the following information: citizenship or permanent residence, highest academic degree received, academic or other position, field of specialization, proposed subject of study, period of time for which support is requested, and the specific program under which application is contemplated. For the programs with September 30 deadlines, requests for application forms must be received by ACLS no later than September 25, 1987.

American Council of Learned Societies
228 East 45th St.
New York, NY 10017-3398

ACLS Fellowships for research in the humanities. Six to 12 months of support between July 1, 1988 and December 31, 1989. Maximum award: \$15,000. **Deadline: September 30, 1987.**

ACLS/Ford Fellowships for humanistic research on social issues of particular interest to the Ford Foundation. Six to 12 months of support between July 1, 1988 and December 31, 1989. Maximum award: \$15,000. **Deadline: September 30, 1987.**

ACLS Research Fellowships for Recent Recipients of the Ph.D. for research in the humanities for applicants whose Ph.D. will have been conferred between

June 10, 1987

LARES, Vol. XII, No. 4, p. 5

January 1, 1985 and December 31, 1987. Same tenure as above. Maximum award: \$10,000. Deadline: September 30, 1987.

ACLS Grants-in-Aid to support expenses of humanistic research in progress. Grants to be expended between April 15, 1988 and April 15, 1989. Maximum award: \$3,000. Deadline: December 15, 1987.

ACLS Grants for Travel to International Meetings for scholars in humanistic disciplines to participate in international meetings held outside North America. (Written requests for applications should be directed to the ACLS Travel Grant Office and, in addition to the information listed above, should set forth the name, dates, place and sponsorship of the meeting as well as a brief description of the nature of the applicant's scholarly interests and proposed role in the meeting.) Note new deadlines: October 1, 1987 for meetings January-June, 1988, March 1, 1988 for meetings July-December, 1988.

For additional information about these and other ACLS programs, you may contact ORD, or write to ACLS at the address given above and request the general program description. For information about ACLS/SSRC programs, write to:

Office of Fellowships and Grants
Social Science Research Council
605 Third Avenue
New York, NY 10158

2. **Guggenheim Fellowships.** Fellowships are awarded to scholars of high intellectual and personal qualifications who have already demonstrated unusual capacity for productive scholarship or unusual creative ability in the arts. The Fellows are usually between 30 and 45 years old, but there are no age limits. Appointments are ordinarily made for one year, but in no case for a period shorter than 6 consecutive months. Amounts of grants are adjusted to the needs of the Fellows; teachers receiving sabbatical leave on full or part sabbatical salary are eligible for appointment. Guggenheim fellowships may not be held concurrently with other fellowships. (In 1987, the Foundation awarded 273 fellowships for a total of \$6,336,000. There were 3,421 applicants.) Deadline for application for 1988 fellowships is October 1, 1987. Application forms must be requested directly from the foundation:

John Simon Guggenheim Memorial Foundation
90 Park Avenue
New York, NY 10016
(212) 687-4470

3. **National Endowment for the Humanities.** Fellowships Division--**Travel to Collections** (July 15, 1987) grants enable individual scholars to travel to use the research collections of humanities materials in libraries, archives, museums, or other repositories.

NEH Summer Stipends provide support for college and university teachers to pursue two consecutive months in full-time study or research. The University may nominate three members of its faculty for Summer Stipends through an internal competition. The scope of support includes but is not limited to, the following: history, philosophy, languages, linguistics, literature, archaeology, jurisprudence, history and criticism of the arts, ethics, comparative religion and those aspects of the social sciences that employ historical or philosophical approaches. This last category includes cultural anthropology, sociology, political theory, international relations, and other subjects concerned with questions of value rather than quantitative matters. Short proposals for nomination will, as in past years, be submitted to the Graduate School for a September 11 deadline; three nominees will be notified by mid-September with their final proposals due at NEH October 1. Additional information will be available later this summer, when new NEH guidelines are published.

Research Division--Conferences (July 1, 1987) supports conferences that enable both American and foreign scholars to advance research on topics of major importance in the humanities.

Education Division--Humanities Instruction in Institutions of Higher Education (October 1, 1987) combines efforts that were previously distributed among several programs: projects to reform the curriculum, projects to enhance the knowledge and expertise of humanities faculty in colleges and universities, and projects to provide access to humanities instruction for those who are not served by the traditional structures of higher education. We encourage those interested in developing a proposal in this area to consult with us early in their planning process.

4. **Alexander von Humboldt Foundation.** The Foundation provides up to 480 research fellowships for highly qualified foreign scholars, not over 40 years old, holding doctorate degrees, to carry out a research project in the Federal Republic of Germany. Research in all disciplines is supported. Fellowships may last from 6 to 24 months; the value ranges from DM 2,700 to DM 3,500 monthly, plus family allowance, travel expenses, grants for language courses. Humanities scholars must have command of German. There is no fixed deadline for application. The Selection Committee meets in March, July, and November; it is recommended that applications be submitted at least 5 months prior to a target committee meeting. For additional information, contact ORD or:

Alexander von Humboldt-Stiftung
Jean-Paul-Str. 12
D05300 Bonn 2 (Bad Godesberg)
Federal Republic of Germany

5. **Wesleyan University Andrew W. Mellon Postdoctoral Fellowships in the Humanities.** Scholars who have received their Ph.D. degree within the last three years (between May 1, 1984 and November 1, 1987) in any field of humanistic inquiry may apply for these fellowships. Two Fellows will be appointed to the Wesleyan University Center for the Humanities. During 1988-1989 the Center will investigate aspects of narrative, broadly conceived. The fellowships carry a stipend of \$21,500 plus \$500 in support of research and instruction. **Deadline for application: November 1, 1987.** For application forms, write to:

The Director
The Center for Humanities
Wesleyan University
Middletown, CT 06457

IV. AWARDS

The following faculty were awarded external grants and contracts in the period May through early June, 1987:

| NAME & DEPARTMENT | PROJECT | SOURCE | AMOUNT |
|--------------------------------------|---|---|----------|
| William Coulson Classical Studies | Introduction to Biblical Archaeology (Independent Scholar) | Minnesota Humanities Commission | \$ 2,000 |
| Charles Fletcher Psychology | Experimental Investi- gations, Text Compre- hension Recall | National Insti- tute on Mental Health | 20,728 |
| Norman Fruman English | Summer Fellowship | Huntington Library | 3,000 |
| Patricia Hamp English | Individual Artist Fellowship | Bush Foundation | 29,000 |
| Edward Griffin American Studies | 1987 American Studies Institute for European Secondary School Teachers | U.S.I.A. | 49,843 |
| Mark Landa Linguistics | Campus Program for Japanese Teachers | C.I.E.E. | 43,603 |
| Matt McGue Psychology | A Twin Study of Normal Aging | National Insti- tute on Aging | 170,951 |

June 10, 1987

LARES, Vol. XII, No. 4, p. 8

| | | | |
|---|---|--|---------|
| Michael Metcalf Ray Wakefield W. European St. | Dutch Area Studies Program | Dutch Ministry of Culture | 510 |
| Madelon Sprengnether English | Award for Creative Non- fiction Prose | National Endowment for the Arts | 20,000 |
| Travis Thompson Psychology | Behavioral Approaches to Drug Dependence | National Insti- tute on Drug Abuse | 151,042 |
| Joel Wurl Immigration History Research Center | Fellowship in Archival Administration | National Historical Pub. and Records Commission | 25,700 |

In addition:

Evelyn S. Firchow (German) has been awarded an American Institute of India short-term fellowship to conduct research on archives of German orientalists.

Paul Murphy (History) has been selected by the Minnesota Humanities Commission to receive its Annual Public Lecture Award which includes a \$1,000 honorarium and a lecture, scheduled for September 10, 1987 at the Landmark Center.

Patricia Broen (Communication Disorders) will coordinate a National Science Foundation-funded Research Experience for Undergraduates program this summer at the Center for Research in Learning, Perception and Cognition.

V. DEADLINES

| | | |
|----------|---|---|
| June 15 | CIES-Fulbright Scholar Program | Australasia, India, Latin America |
| July 1 | NEH | Research Programs: Conferences |
| July 1 | NSF | BBS: Social and Developmental Psychology |
| July 1 | Office of Naval Research | Young Investigator Program |
| July 15 | NEH | Fellowship Programs: Travel to Collections |
| July 15 | National Archives and Records Admin. | Publications Program |
| July 24 | Minnesota Humanities Commis. | General Grants: Drafts |
| July 31 | MHC | Visiting Scholar Fellowships |
| August 1 | NSF | BBS: Ethics and Values Studies; Anthropology; Linguistics; Memory and Cogni- tive Processes |

June 10, 1987

LARES, Vol. XII, No. 4, p. 9

| | | |
|------------|----------------|--|
| August 14 | MHC | General Grants: Final Proposals |
| August 15 | NSF | BBS: Economics; Geography & Regional Sciences; History and Philosophy of Science; Law and Social Science; Sociology; Political Science |
| Sept. 10 | NIH | Senior International Fellowships |
| Sept. 15 | CIES-Fulbright | Africa, Asia, Europe, Middle East, lecturing awards to Mexico, Venezuela, & the Caribbean Fellowships |
| Sept. 30 | ACLS | |
| October 1 | ACLS | Travel Grants for Humanists for International Meetings |
| October 1 | Guggenheim | Fellowships |
| October 1 | NIH | FIRST Awards; New Research Grants; Small Grants Program |
| October 1 | NSF | Presidential Young Investigator Awards |
| October 1 | Of. Naval Res. | Young Investigator Program |
| October 16 | MHC | General Grants (draft) for Nov. 6 final deadline |
| October 23 | MHC | Visiting Scholar Fellowships |

(Note: This is only a partial listing of grant and fellowship opportunities. Please call or write if you have questions about specific agencies or foundations; there are simply too many programs to list here.)

VI. RESEARCH INFORMATION SHEETS

The following information brochures are available from ORD. Use the return mailer to order any you would like:

- I. THE RESEARCH PROCESS: PRELIMINARY STAGES
- II. SOURCES OF FUNDING AND THE FUNDING SEARCH
- III. FUNDING SABBATICALS AT THE UNIVERSITY OF MINNESOTA
- IV. PROPOSAL WRITING STAGES AND STRATEGIES WITH EXAMPLES
- V. GUIDE TO BUDGET PREPARATION
- VI. GRANTS ADMINISTRATION
- VII. CONTRACTS

SPONSORED PROGRAM MANAGEMENT: A GUIDE FOR FACULTY AND STAFF (ORTTA Publication)

Viewpoint: Research in the Humanities

Stefan Collini 349 TLS April 3 1987

Between them, Nietzsche and Morris Zapp provide much sound guidance through life, but it has to be said that there is one problem, at least, which finds them both a little wanting. They would neither of them wish me to affect the mask of impersonality, so let me state the problem in its frankly subjective form. I believe passionately in the value of those activities we call "the Humanities", yet when I see a compilation like the British Library's *Current Research in Britain (1986): The Humanities*, (386pp. £30. 0 7123 2031 8), I feel sick. I don't think this is just a matter of being hard to please or having a weak stomach. After all, when I hear the usual phrases in the annual addresses of Vice-Chancellors and College Presidents the world over – "deepening our understanding of ourselves and our history", "exploring the dimensions of human creativity", "the unflinching pursuit of truth, the cultivation of humane judgment" – I find myself only mildly uneasy at the hyperbole, and indeed sometimes, if the provision of cheap white wine at the reception has been unusually abundant, something like a tear of regimental pride wells up in the corner of my eye.

And yet when I go into the New Periodicals room of my university library I feel renewed reverence for that last librarian at Alexandria against whom the charge of arson is still pending. I know that this reaction, in particular, is ungracious to the point of bad faith. Over the years, I have been much instructed by what I have read in this room; I have sometimes come out with new respect for the way disciplined scholarship demands a range of human capacities, and at times even been abashed at the sheer quality of other people's work. Worse still, I have actually written the odd scholarly article myself, and I can't say I altogether regret it. Yet still the sight of those unstopably multiplying learned journals arouses in me some mixture of despair, shame and pyromania. At the very least I want to give a false name at the desk, and write rude words across the cover of the *Bulletin of the Institute of Historical Research*.

Now, Nietzsche and Morris Zapp do let one down a bit at this point. Not that the young Professor of Classical Philology at Basle didn't come to feel what was obviously a rather similar unease. It surely underlay his tirades against the industrious *Gelehrte* of his day: they had lost sight of the point of their activity, but "the habit of scholarship continues without it, and rotates in egotistic self-satisfaction around its own axis". The omnivorous scholar "often sinks so low that in the end he is content to gobble down any food whatever, even the dust of bibliographical minutiae". That's possibly a bit frank; perhaps there's something more judicious in his later work? "The proficiency of our finest scholars, their heedless industry" – yes, this sounds more like it – "their heads smoking day and night, their very craftsmanship: how often the real meaning of all this lies in the desire to keep something hidden from oneself! . . . scholarship today is a hiding place for every kind of discontent, disbelief, gnawing worm, *despectio sui*, bad conscience". Probably best to leave that bit out of the submission to the University Grants Committee.

David Lodge's Morris Zapp, even before he took up jogging, was rather more deeply implicated in the trends of his time, and had not become a full Professor at Euphoria State on account of a squeamish aversion to increasing the printers' work-load. His heart, of course, was in the right place, and he always had a proper concern for the positioning of other, more important, organs; yet even I find his proposed resolution of the existential dilemma we both share a little drastic. He planned, you will recall, a series of commentaries on the works of Jane Austen, and eventually upon every author in the canon, which would be "utterly exhaustive", leaving "simply nothing further to say". "The object of the exercise, as he had often to explain with as much patience as he could muster, was not to enhance others' enjoyment and understanding of Jane Austen, still less to honour the novelist herself, but to put a definitive stop to the production of any

further garbage on the subject After Zapp, the rest would be silence."

In both these responses, the baby/bath-water ratio seems a touch high. And yet there surely is a real issue here which is not just to be dissolved by references to an over-fastidious sensibility about the inevitable gap between ideal and reality or to the complacent ladder-kicking-away behaviour of the middle-aged and tenured. There is something wrong with our present practice of "Research in the Humanities". Or rather – since there is not just one form of that practice and "we" are a diverse lot – much of what is done under this rubric, and perhaps even more of what is said about what is or should be done, sends the mind reaching for terms like "incongruous" and "misconceived". Since this may not be a popular thing to say, or, far worse, may risk being popular in the wrong quarter, let me try first to dispel some possible misunderstandings.

First of all, I am not suggesting that people engaged in the cultivation of the Humanities (who are for the most part supported by institutions of higher education) shouldn't write things. Writing is an essential part of their activity, though more writing and less publishing may be a quite intelligible, even possibly healthy, state of affairs. Secondly, I do not think "more means worse". More means more, and I would have thought that it was undeniable that there was more good stuff as well as bad stuff written in these fields now than there was thirty years ago or even, in so far as the comparison can be made at all, 130 years ago. My response is not, I think, that of the late Roman patrician surveying the barbarians within the gates, which is so often disguised as the "more means worse" or "back to standards" argument (if it can be called an argument).

Nor, thirdly, are most of the topics written about in themselves trivial or pointless. Attempts to define *in advance* what is going to prove to be important or to have "point" nearly always end up being made to look silly by the unpredictable winds of intellectual change. An interest in Hegel would have seemed like an ostensive definition of a dead end in English-speaking philosophy thirty years ago, and intellectual history is full of examples of how pronouncements that a certain topic was exhausted were shortly followed by a period of unprecedentedly creative work on it. It is true that a special version of the general problem of diminishing returns applies to intellectual inquiry, but in practice (for reasons I'll try to spell out in a moment) this so often seems to come down to the quality of the work being done, not the quantity of previous work in the area. It is true that second-rate work on a new topic (especially if it requires a good deal of empirical legwork) may seem easier to justify than second-rate work on an old topic, but first-rate work on either embodies its own justification, and in effect changes the topic as well.

None the less, some disquiet may be a legitimate response to the conception of "Research in the Humanities" underlying the British Library's compilation. The main reason for this, surely, is that the sense of "research" that is implied may not be altogether appropriate here. That sense is the one borrowed from the natural sciences, where research is usually thought of (wrongly, according to many philosophers and historians of science, and, indeed, to many practising scientists as well) as a matter of "pushing back the frontiers of knowledge". (This sense of the term brings stowaways with it: each "research project" in the British Library listing is given under the name of "the principal investigator".) But however far that description may be appropriate to the life of the lab, the not entirely dead metaphor it contains looks very unhappy in its new surroundings. "Frontiers" here suggests that "knowledge" is to be seen in geopolitical terms as an expanding imperial state; what is inside the "frontiers" is a secure possession, and the direction of advance is simply given by the lie of the land. "State-of-the-Art research" is just the West Coast version of the old policy of *Drang nach Wahrheit*: knowledge takes no prisoners, the compass provides all the justification needed, and there's no doubt where the front line is.

Moreover, "knowledge" itself is surely less

than ideal as a description of what we're after. The contrast with "understanding" indicates a lot of what it leaves out or misrepresents, and even a term like "cultivation" has a claim here, or would do had it not come to be so closely associated with images of affected connoisseurship and simple snobbery. "Knowledge" is too easily thought of as accumulated stock: it doesn't need to be discovered again, and it's there for anyone who wants to use it. But "understanding" underlines that it's a human activity, and so is inseparable from the people who do it. Notoriously, the possibilities of extending our understanding depend not just on what we already understand, but also on what sorts of people we have become.

Now, I don't pretend that it's easy to see what follows from this thought for the question of "Research in the Humanities", but giving it more salience in our reflections could at least make it harder for the language of Productivity-Speak to carry all before it. It can alert us, for example, to the overvaluation of a particularly narrow conception of "novelty" that is commonly involved. In Prodspeak, the publication of one's "new findings" is the only acceptable outcome of "research". It is true, of course, that there are large areas of the Humanities where reporting on "new findings" may seem a perfectly proper description for part of the activity – the unearthing of new sources is an obvious form of this. But for the most part, something more like "nurturing, animating, revising, and extending our understanding" would seem nearer the mark, and here it is harder to isolate the "new findings".

The truth is that there is often work by our predecessors which it may be right neither simply to repeat (even were that strictly possible) nor to repudiate and replace with something else. The proper response may be to acknowledge it, possess it, learn from it and allow it to inform our understanding. One trouble with this way of putting it is that it may seem vulnerable to the charges of rigidity and passivity; any suggestion of merely handing on our cultural inheritance makes us seem like rather indolent museum curators – and socially and culturally conservative ones, too, who are sure that everything worth preserving is already in the collection. But this is a misconception of what this kind of understanding involves. For each generation to repossess a cultural inheritance, in the fullest and not merely the bailliff's sense of that verb, is to modify and extend it. Apart from anything else, our understanding has to be different from that of previous generations just because it is ours: we fit it into the framework of other things we understand, we articulate it with our other concerns (which are far from purely intellectual), and we restate it in our idiom and for our audience. The Humanities, it has been well said, are inherently "conversational" subjects (which is one reason why the close connection with teaching is not simply a historical contingency), and conversing, unlike activities as different as haranguing or cataloguing, requires a constant, flexible, responsiveness.

Moreover, it can take a great deal of time and effort for any one individual just to get to the point where a genuine and imaginatively effective understanding of, say, Kant's philosophy or the legal arrangements of medieval England is possible. But during that time, and indeed even once there, our "principal investigator" may not have any "new findings" to publish, though a prolonged meditation on such topics, combined with wide reading in other fields and reflection on a variety of experience, may eventually issue in something very well worth having, even if not something that Prodspeak would call new.

This may take quite some time, but meanwhile there are, as we know, very strong economic and existential pressures on "researchers" in the Humanities to come up with some-

thing new *fast*. This gives an important role to what can properly be called intellectual fashion, which speeds up the business of slaying the fathers (and mothers) no end. New sausage-machines turn out different-looking sausages and plenty of 'em. Fashion and Prodspeak are mutually supportive.

The general point I am trying to make here is a very old one, and not in the least original to me. But, of course, it is part of the point itself that we do need to repossess such old truths and understand and state them anew in new circumstances. Some of those circumstances are very obvious, like the enormous expansion of higher education in this and many other countries in recent decades which, for Malthusian reasons, may have forced later arrivals to attempt to extract fresh yields from marginal or unfertile plots. But there are also less tangible circumstances, like the way in which public debate in modern liberal democracies has come to combine utilitarian valuations with a distrust of procedures that are not mechanically universalizable. It is a curious feature of such debate that where "understanding", and still more "cultivation", can be pilloried as "elitist", "research" retains an open and ostensibly democratic character: the stock of "knowledge" is accessible to all, and anyone can replicate the experiment (give or take a few IQ points and several years "training"). "Results" are seen as something objective, and so the role of the exercise of judgment is usurped by the kind of totting-up of "items published" that can be made intelligible to the average accountant-in-the-street.

Any suggestion of resisting this slide into an inappropriately utilitarian vocabulary is likely to look quixotic, and at times downright suicidal. But in fact, simply colluding with Prodspeak may be more fatal still, because our contribution to the GNP is, as Morris Zapp would remind us, "zilch". We don't best defend our activities by dressing them up as something they're not: the Humanities, as those Vice-Chancellors' addresses imply, are essential to our society's understanding of itself, but degrees of success in furthering an aim of this kind can only be measured qualitatively.

And this general point is connected, albeit rather deviously, with the unsteadiness of my response to the Sorcerer's Apprentice nightmare of the New Periodicals room. The more we talk the language of Prodspeak the more we have to live by it. Moreover, and more insidiously, the more we let it become the only acceptable justificatory language, the more it shapes and partly constitutes our own individual senses of identity. Shall we, for example, become unable to accommodate the thought that there may be more admirable qualities displayed in the decision *not* to publish the outcome of some extended rumination than to turn it into another "item" for the annual listing?

Meanwhile, those sodding forms keep coming round asking us "principal investigators" what our current "research projects" are, and forms have a way of imposing their own categories. I suppose it is, alas, unlikely that next year's list will contain entries like "Brooding on Wittgenstein" or "Trying to Get the French Revolution Straight". And here again neither Nietzsche nor Morris Zapp provides a very helpful model. I don't imagine Nietzsche was much of a one for filling in such forms, though if he had I would have liked to have seen the British Library's computer trying to decide how to classify "Self-Overcoming". I suppose Zapp, more of an adept at the jargon might try to get away with "Towards a General Theory of Gender Interaction: Some Comparative Findings". And me? Well, one year, it Mittyish protest, I'm going to put down "Rereading the Complete Works of Henry James with Special Reference to Getting to the End of *The Golden Bowl* This Time".

Herbert A. Simon, elected to the Academy in 1967, has recently published the following commentary.

GIVING THE SOFT SCIENCES A HARD SELL

Herbert A. Simon, special to the Boston Globe, May 3, 1987

Last week's rejection of Harvard University professor Samuel P. Huntington for membership in the National Academy of Sciences has elicited wide public debate. But what we should be thinking about are effective ways of relating the natural and the social sciences -- an issue that is vital not only to the academy but to the nation. In our society, many public policy matters are technical and complex and can be dealt with wisely only if good scientific and technical knowledge is brought to bear on them. I need only mention acid rain, nuclear energy, AIDS, SDI, teen-age pregnancy, creationism vs. evolution, tobacco and cancer, technological unemployment and treatment of mental illness -- culled from an infinitely longer list of topics the National Research Council, the academy's action arm, has considered in recent years.

Of course, we can't turn these matters over to the "experts." Even if the experts knew the answers -- which they often don't -- all important policy issues are as much matters of value as of fact, matters of balancing conflicting goals and interests and of allocating available resources. But if the experts can't decide these questions in a democracy, still we must have their input if we are not to make unnecessary and costly blunders.

A cooperative effort. The knowledge needed to think wisely about these issues does not come exclusively from any single field of science. Physicists and radiation biologists need to be heard on the topic of nuclear energy and disarmament; but scientists who study behavior need to be heard also. Three Mile Island and Chernobyl were not simply physical phenomena; they were examples of human failure under stress. They involved human organization and public reaction to cataclysms quite as much as they involve radiation and its medical consequences. Psychology, political science and sociology are as deeply involved as physics or biology in telling us how to prevent such disasters or deal with them when they occur.

Science is not a body of knowledge, of facts and theory; it is a collection of methods for gathering knowledge, drawing conclusions and testing both against facts. Science is a commitment to disciplining one's thoughts and imaginings with factual evidence. In the last four centuries, that commitment has gradually built up the marvelous picture of the cosmos, of elementary matter, of life, of the human mind and of a society that constitutes the basic science of today. It has also enhanced, and sometimes threatened, human life by constructing powerful technologies based upon scientific knowledge.

Social and behavior science is simply the same commitment to evidence, applied to the behavior of human beings -- of ourselves. Human behavior is observable in many ways and is analyzable by many techniques. It excited the interests of scientists from early times. The first mortality tables were published by John Graunt in 1662, and the first calculations of life annuities by the astronomer Halley in 1693, just seven years after he assisted Newton with the publication of "Principia." Adam Smith published his great book in 1776. Cournot's pathbreaking work on mathematical economics appeared in 1838, a generation before Maxwell wrote out the basic equations of electromagnetism.

It is therefore silly to debate whether social science is possible -- it has existed for 300 years at least. Today, it has tens of thousands of practitioners, committed to the discipline of evidence, about 175 of whom are members of the National Academy of Sciences. As a result of social science research, we know an enormous amount about the human species, ourselves, that early generations did not know. We apply a wide range of social science techniques -- opinion polling, psychological testing, economic analysis, learning theory, operations research -- to an equally wide range of important practical affairs: elections, personnel selection, business cycle management, education and business decision-making.

The number of questions to which social scientists don't know the answers is vast. But science never promises that it has the answers, only that, in trying to find them, it will submit to the discipline of evidence. The questions not answered by the physical and biological sciences are vast, too. When I chaired an academy committee, a few years ago, to advise the Senate on the revision of the Clean Air Act, I found that natural scientists were unable to estimate, within a factor of 100, the magnitude of the health effects of air pollution. All science, natural and social, strives to improve its answers, but only within the limits of the evidence it can produce. We are far from predicting the exact time of thunderstorms in Boston, or of the next earthquake in the San Andreas Fault, or the flutterings of the stock market in New York.

Doubts about social sciences. The value of applying the methods of science to physical and biological phenomena is nearly universally accepted. There is still some controversy about applying these methods to our own behavior. Despite the many facts that scientific research has revealed about the economy, about the workings of our political system and about the processes of the human mind when it is learning or solving problems, some people continue to doubt whether social science does or can exist.

I will not speculate about the origins of those doubts; whatever their source, they have had important social consequences. They led, for example, to severe cuts in social science budgets in the first years of the Reagan administration, cuts that have since been nearly, though not completely, restored. As a consequence, we now have poorer social statistics than we should have to understand what is going on in our society, and the pace of analysis of social phenomena has been somewhat slowed.

Among natural scientists, one can find a wide range of attitudes and beliefs about the social sciences, but a substantial majority of leading natural scientists welcome and support the application of scientific method to understanding human and social phenomena. Until about 15 or 20 years ago, only a small area of social science (mainly physiological psychology and physical anthropology) was represented in the National Academy of Sciences and the National Research Council.

By the decision of the natural science members, the NRC was broadened about 1965 to cover the whole scope of the social sciences, and, about 1970, the structure of the National Academy of Sciences was altered correspondingly. As I mentioned above, the social science membership of NAS has grown to 175, nearly 12 percent of the total NAS membership, a number roughly commensurate with the research PhD production of the several fields of science.

These changes were made for at least three major reasons. First, natural scientists recognized that a substantial body of researchers were applying the fundamental methods of science to human phenomena and striving to advance these methods. Second, associating these researchers with their natural science brethren in the National Academy of Sciences would strengthen their influence in their own disciplines and contribute to improvement in the methods of social science research.

Third, and most important, the National Research Council, required by its charter to advise the federal government, needed to be able to offer advice of the highest scientific quality over the whole range of questions involved in public policy. To provide responsible advice on air quality, economists were needed as well as atmospheric scientists and doctors. To advise on AIDS, the social and psychological factors that determined the spread of infection needed to be understood. To advise on armament policies, the psychology of "deterrents" need to be analyzed, as well as the physics of nuclear explosions.

The social and behavioral sciences are supported solidly in our universities. As we have seen, behavioral sciences have become an integral part of the federal structure for providing scientific and technical advice to government. Their research is funded, though not well or adequately. They face a great challenge to continue to advance, both to give us a deeper and more valid understanding of our own minds, hearts and social structures and to help steer public policies in directions consistent with a realistic knowledge of the world.

As they proceed in their task, the social sciences will continue to encounter skepticism from some quarters. Social scientists will also continue to work in close and cordial cooperation with many colleagues from physical and biological sciences who recognize the essential place they have in the whole picture of science. The best way for them to meet the skepticism they encounter and to justify the confidence their colleagues place in them is to do their work well.

University Archives
10 Walter Library
Attn: Barbara Wagner

Liberal Arts Research Newsletter
College of Liberal Arts
Office of Research Development
205 Johnston Hall
101 Pleasant Street S.E.
University of Minnesota
Minneapolis, Minnesota 55455



-----fold here-----fold here-----

To order special information brochures check items requested:

_____ Sponsored Project Management. A Guide for Faculty and Staff

List here any sections or subsections of research information brochures you would like to receive:

Questions? Call 625-4801.