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# LARES

## Liberal Arts Research Newsletter

September 17, 1987

LARES, Vol. XIII, No. 1

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

Editor: Geri H. Malandra

### I. GENERAL ANNOUNCEMENTS

From the Director. I spent most of this summer avoiding the hazardous rays of the sun, safely indoors, preparing a grant application to the National Institutes of Health to support my own research. The application is due in Washington by October 1. In June when trees and shrubs and plants were flowering, that seemed manageable. By early September, as the deadline loomed, it seemed hardly possible. As of this writing I am still working on the last details but I expect to meet the deadline, providing those folks in Washington with some research prose and pretensions to chuckle over.

I haven't written an individual grant in several years and I had forgotten how mischievous and time consuming the process can be. The substantive portion calls for Specific Aims, Significance, a report of Progress, and, finally, the Design of the proposed research. I dutifully began at the beginning and announced the aims and goals of the proposed research, and then proceeded through the remaining sections, building tension and excitement with each succeeding paragraph. However, when I reached what I thought was the end of this literary journey and reread my Aims, I discovered that they no longer had much to do with the Significance or the Design. They seemed to have wandered in by accident from quite a different proposal and so I started over and rewrote the first two sections. That exercise put the experiments I had proposed into a new perspective and invited a reworking of the Design section. And so it went until, finally, the imminence of the October deadline persuaded me to end.

The process of organizing my ideas and recording them in a coherent document was a valuable one, I have decided, regardless of the outcome. All in all, it has been a useful intellectual activity. I was driven back into some old literature I thought I knew quite well, only to find new insights and to emerge with a new appreciation of the sagacity and foresight of the scholars who set the scene for my current interests.

I do hope that I succeed in my application. The funding will help me to push the research ahead and it will provide some summer salary. I will be

able to buy new equipment for my laboratory and to get some technical help with the computer developments. It will also allow me to support several graduate students for a significant portion of their graduate careers, a prospect I very much enjoy, and it will give me the chance to introduce them to the questions and research problems that have occupied me for the past several years.

Furthermore, I hope I succeed because it would then be possible for me not to spend another such summer for a couple of years. I understand that this past summer was quite warm and that we had a record rainfall during July. I missed it. I was rewriting my Specific Aims around that time. JS

From the Editor. Fall is the busiest time in the grant cycle. Many private foundations and public agencies have established application deadlines during this period, as have a number of programs within the University of Minnesota. This issue of LARES describes as many of these opportunities as we can fit in, but there are many others for which we have no room. As soon as we have up-to-date information, we regularly send notices about programs with specific disciplinary foci to appropriate departments. Our library also includes publications which list grant opportunities in all areas of the liberal arts. We encourage you to call if you need information about a program we have not mentioned.

Since LARES was last published, a considerable number of grants and fellowships have been awarded to CLA faculty. The list is long, as you will see, contributing to the extra size of this issue. We are eager to list all awards, both those going through the University as well as those awarded to individuals. In the latter case, we depend on you to let us know about your successes. We offer our assistance in preparing proposals for individual fellowships and grants, and look forward to working with you during the coming year. GHM

## II. FUNDING NOTES

### Internal

1. **Graduate School Grant-in-Aid of Research, Artistry and Scholarship.** October 5 is the deadline for applications for research funds to be awarded at the fall meetings of the General and Health Sciences Research Advisory Committees. General areas of support include personnel such as graduate or undergraduate research assistants, equipment, supplies, and limited travel. In most cases, grants provide "seed" money for developing projects to the point of attracting more complete, external funding. Applications are accepted from faculty members who hold regular appointments. Information and application forms are available in the Graduate School Associate Dean's Office; contact Lori Wallin (625-2356).

2. **CLA Travel/McMillan Travel Fund.** The fall application deadline is October 10 for funds to cover transportation and living expenses of trips during the period December 16, 1987 - March 15, 1988 to conduct research or

present the results of scholarly or creative activity at major national or international conferences. CLA faculty, administrative staff and graduate students are eligible to apply. Detailed information and application forms are available in the CLA Faculty Affairs Office, 624-9839.

3. **Graduate School Faculty Summer Research Fellowships.** Monday, November 9 is the deadline for 1988 Faculty Summer Research Fellowship applications. The purpose of the program is to encourage research and artistic creation by enabling members of the faculty to devote full time to intensive work on their projects for one summer term of approximately five weeks. Awards will be \$4,000 each. Information and application forms are available from Lori Wallin (625-2356).

4. **Office of International Education Development Grants.** Grants 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 November 15 for January, February and March activities. Information and application forms are available from the OIE Development Grant Coordinator, 624-5580.

5. **McKnight Land Grant Fellowships.** Nominations for this program are due in the Graduate School Friday, October 30. Each department may nominate one candidate, who may will have completed no more than three years in a tenure track position at the University of Minnesota (i.e., a nominee could be in the beginning of the fourth year at the time of nomination). Faculty being recommended for tenure are not eligible. Additional information is available in the Graduate School Dean's office (625-3394).

6. **Bush Sabbatical Program.** Supplementary sabbatical income is provided for mid-career faculty who seek to integrate research and undergraduate teaching. Tenured faculty who are eligible for a regular University Sabbatical Furlough may apply. Women and members of minority groups are especially encouraged to apply. Applications are first evaluated by the college; CLA has established a November 30 deadline for its internal review. CLA forwards its recommendations to the Office of Educational Development Programs to meet a mid-January deadline. Information about the CLA review process are available in the Faculty Affairs office, 624-9839; application forms and additional information about the program are available in the EDP office, 625-0088.

7. **Single Quarter Leave.** This program is designed to advance special studies, research, scholarly writing, and self-improvement programs that will enrich and strengthen individual knowledge and understanding of scholarship and/or university teaching for faculty members with regular appointments. Applications reviewed first by the college; November 30 will be the CLA deadline for applications for Single Quarter Leaves. CLA will then forward its recommendations to the Office of the Vice President for Academic

Affairs for final review in early January. Direct questions about the CLA review process to the Faculty Affairs Office 624-9839; when available, application materials will be distributed to each department.

8. **Computing Services.** Several central University organizations provide computing services in support of faculty and graduate student research. When this research is funded by external agencies, the University expects those grants and contracts to fully pay for computing services. Faculty who occasionally might need limited support to complete the research started as a funded project, or when doing a pilot project which will lead to a full scale research proposal for external funding may apply for a University computing grant. For an initial, non-refundable payment of \$50 by a user the program provides central computing facilities of \$1,000. (Extensions beyond the \$1,000 limit are sometimes provided.) These grants are administered by a Computer Grants Committee chaired by Lawrence Liddiard, ACSS, 100 Lauderdale Computer Facility (625-4016).

Grants are also available to use the Supercomputing facilities. These are administered separately. For further information on these, call the Office of the Minnesota Supercomputer Institute (625-1818).

### External

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

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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 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 Humanities Center Fellowships.** October 15 is the deadline for applications for 1988-89 residency fellowships at the NHC. These fellowships are available to scholars in all fields of the humanities, and also in fields normally associated with the social sciences and arts, as long as proposed work has a humanistic dimension. The program is open both to scholars of demonstrated achievement as well as to younger scholars (up to ten years beyond the Ph.D.) who plan to work at the NHC for an academic year. Applicants submit the Center's form, a curriculum vitae, a 1000-word project proposal, and three letters of recommendation. For application material write to:

Kent Mullikin, Assistant Director  
National Humanities Center  
7 Alexander Drive  
Research Triangle Park, NC 27709  
Telephone: (919) 549-0661.

4. **American Philosophical Society.** The APS grants about \$400,000 a year in support for scholarly research in all areas of knowledge. Grants may cover living costs while away from home; microfilms, photostats and photographs; consumable supplies; and necessary foreign and domestic travel. The maximum grant that will be made for a full professor is \$2,500. The APS will also consider making supplemental grants for travel if an applicant has received other grants (e.g., NEH, Guggenheim, SSRC) that do not include travel that is necessary to the applicant's research program. Deadlines for applying are: October 1, December 1, February 1, April 1, and August 1. Decisions are made within three months. For application forms, briefly describe your project and proposed budget in a letter to:

Committee on Research  
American Philosophical Society  
104 South Fifth St.  
Philadelphia, PA 19106.

5. **J. Paul Getty Postdoctoral Fellowships in the History of Art and the Humanities.** This program is designed to advance the discipline of art history by supporting the work of outstanding young scholars who show promise of making a substantial and original contribution to the history of the visual arts. Applications are especially encouraged from scholars proposing to explore connections among the humanistic disciplines. Foreign candidates are welcome. Candidates in related fields of the humanities are eligible if their work will contribute to art history. The 1988-89 fellowships are reserved for those who have received their Ph.D. degree or equivalent qualification since January 1982.

Each year 20 fellowships are awarded, ten through designated institutions and ten through an open competition. Awards provide a \$23,000 stipend for twelve months. Institutional awards will be made by Bryn Mawr College, Columbia University, Institute of Fine Arts--New York University, The Johns Hopkins University, Princeton University, Stanford University,

University of California--Berkeley, University of Michigan, University of Pennsylvania, Yale University. Each institution has its own application procedure, and must be contacted directly. ORD has information about whom to contact in each case. Applications for the open competition are submitted directly to the Getty Grant Program, for a December 10 deadline. Application forms for the open competition are available from:

Getty Grant Program  
401 Wilshire Boulevard, Suite 1000  
Santa Monica, CA 90401-1455  
Tel.: (213) 393-4244

6. **Bush Foundation Artists Fellowships.** The program is designed for artists of exceptional talent and demonstrated ability. Applicants must be residents of Minnesota, and at least 25 years old. Students are not eligible. Awards will be made in the following categories: Literature (fiction and non-fiction writers, poets, playwrights); deadline is October 30. Music composers; deadline is November 6. Choreographers; deadline is November 6. Visual artists (painters, sculptors, graphic artists, photographers, film and videomakers and those working in multimedia and/or performance art); deadline is November 13. For further information and to request application forms, write to:

Bush Artist Fellowships  
E-900 First National Bank Building  
St. Paul, MN 55101  
221-5222.

6. **Social Science Research Council. Grants for Advanced International Research.** Grants are available for periods usually ranging from two months to one year to individuals with Ph.D. degrees or equivalent research experience for research in the humanities or social sciences. These programs are designed to support research in one country, comparative research between countries in an area, and comparative research between areas. Grants may be used for travel, research, and maintenance expenses. Program areas include: Africa, Comparative Studies of Muslim Societies, Japan, Korea, Latin American and the Caribbean, the Near and Middle East, Russia and the Soviet Union, South Asia, and Southeast Asia. Grant amounts and desired focus vary according to the program; ORD has additional information. The deadline in all cases is December 1.

**Advanced Research Fellowships in Foreign Policy Studies.** These support up to two years of research on the processes of U.S. foreign policy making, including examination of forces and institutions that are not the typical focus in this area: Comparative studies of policy-making processes; analysis of influences of institutions, groups or broad societal forces on these processes; use of theories and insights from diverse social science disciplines. The program permits--but does not require--fellows to acquire additional training through formal course work, tutorials, or supervised study. Awards will not exceed \$35,000. Deadline for applications is December 1. Application materials for all SSRC programs area available from:

Social Science Research Council  
Fellowships and Grants  
605 Third Avenue  
New York, NY 10158  
(212) 661-0280

8. **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

9. **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

10. **National Council for Soviet and East European Research.** The NCSEER invites proposals for funding under its program of research and related activities for 1988. This program focuses on the operation of and long-term prospects for the Soviet and East European economies, including defense; long-term developments in Soviet and East European foreign policies, especially as they affect the U.S.; long-term trends in Soviet and East European societies. In addition to basic research, the Council invites proposals that may include: meetings, seminars, workshops, conferences; provisions for research assistants, contact and cooperation among individual scholars and between them

and specialists in government and private enterprise; acquisition and maintenance of research materials; dissemination of research data. ORD has additional program information. Deadline: November 1. For application guidelines, contact:

The National Council for Soviet and East European  
Research  
1755 Massachusetts Ave. N.W.  
Washington, DC 20036  
(202) 387-0168.

11. **German Marshall Fund.** Approximately 12 fellowships of up to \$28,000 are available for one year's full time research on projects that seek to improve the understanding of significant contemporary economic, political and social developments involving the U.S. and Western Europe. Fellowships are also given for research during one academic term, but short-term projects of three-months or less will not be funded. Projects should involve the comparative analysis of a specific issue in more than one country or explore an issue in a single country in ways that have relevance for other countries. Scholars of all levels beyond the Ph.D. are eligible; the Fund particularly wishes to support younger scholars who have and the doctorate for two to seven years. The application deadline is November 15. Program information and application forms are available from:

The German Marshall Fund of the United States  
Research Fellowship Program  
11 Dupont Circle  
Washington, DC 20036  
(202) 745-3950.

(The Fund also makes awards for short-term U.S.-European Travel. A maximum of \$1,000 will be awarded to scholars from universities or research institutions in Europe or North America who have been invited to participate in a conference on U.S.-European Economic Issues and Relations, Employment, Environment, Immigration organized by a government agency, corporation, union, public interest group or international organization on the other side of the Atlantic. There is no application form; applications must be received by the Fund no less than six weeks, but no more than six months, before the conference dates. Contact ORD for additional information, or the Fund at the above address, asking for information on Short Term Travel Awards.)

12. **American Academy in Rome.** Applications for Rome Prize Fellowships are invited from junior scholars in many fields of the fine arts and humanities, including classical and post-classical studies, and history of art. The program requires residence at the Academy. Applications are due November 15. ORD has additional information and sample application forms. You may also contact the Academy directly at:

American Academy in Rome  
41 East 65th St.  
New York, NY 10021  
(212) 517-4200.

13. **The Mary Ingraham Bunting Institute.** Fellowships are available to women in academic or professional fields, in creative writing, or in the arts (visual, performing, and music). Applicants must have had their doctorates at least two years prior to appointment. Awards include a stipend of \$17,600, office or studio space, auditing privileges, and access to the libraries and other resources of Radcliffe College and Harvard University. Deadline for applying: October 15. Additional program information and application materials may be obtained from:

The Mary Ingraham Bunting Institute  
Fellowship Program  
Radcliffe College  
10 Garden Street  
Cambridge, MA 02138  
(617) 495-8212.

14. **Rockefeller Foundation: Changing Gender Roles in Post-Industrial Society.** October 1 is the deadline for letters of interest in this program, designed to lead to new understanding and recognition of the interrelationships of gender with other important phenomena in post-industrial societies. The competition is open to men and women trained in the social sciences, humanities, law, and related natural sciences. Projects should address the social, legal, economic, psychological, political, philosophical, and historical dimensions of the changing status and perception of women. Gender research on minority group populations will be given priority. Consequences and policy implications of changing gender roles is a critical focus. Application procedures are available from the Foundation:

The Rockefeller Foundation  
Gender Roles Program  
1133 Avenue of the Americans  
New York, NY 10036  
(212) 869-8500.

**Rockefeller Foundation Fellowships in the Humanities.** For 1988-89, fellowships will be offered as year-long residencies at host institutions selected for their potential to promote individual scholarship in the humanities. Each institution selects scholars to receive Rockefeller Foundation Fellowship stipends. Resident fellowships make outstanding resources accessible to individual scholars, stimulate exchange within and between disciplines, and strengthen emerging areas of inquiry in the humanities. They are meant to serve scholars who are testing disciplinary boundaries or moving into new fields of inquiry. There are 21 residency sites, with programs in Afro-American Studies, History of Medicine, Women's Studies, Islamic Society and Civilization, Film, History of Science, and much

more. Applications are submitted directly to the host institution. ORD has a complete list of residency sites and contact information. Application deadlines, eligibility, and stipends may vary according to the host institution.

15. **Kellogg National Fellowship Program.** This program provides opportunities for qualified professionals in academic, public or private sector settings to stretch their perspectives, explore new interdisciplinary pathways, and develop a richer knowledge and experience background. The goal is to prepare people for expanded leadership roles in a society where issues grow more complex each year. Awards of up to \$35,000 for a three-year period, plus 12 1/2 % of annual salary (not exceed a total for three years of \$20,000) will be made to up to 50 people who have leadership potential. Fellows will then carry out nondegree, interdisciplinary, self-directed activities to take them beyond the confines of their profession. They will also participate in Foundation-sponsored seminars to explore a wide variety of problems and issues to develop leadership skills. (These fellowships are not awarded for pursuit of basic research or to complete a degree.) ORD has a sample application form. The deadline is December 18. Additional information is available from:

Applications  
Kellogg National Fellowship Program  
W.K. Kellogg Foundaiton  
400 North Avenue  
Battle Creek, MI 49017-3398  
(616) 968-1611.

### III. AWARDS

In fiscal year 1986 CLA faculty submitted 139 proposals requesting \$13,280,885; 81 were funded for a total of \$4,362,479; 35 are still pending. In fiscal year 1987, 143 proposals were submitted, requesting \$14,488,616; decisions on over of half of these are still pending. The following faculty were awarded external grants and contracts in the period mid-June to mid-September, 1987:

NAME & DEPARTMENT	PROJECT	SOURCE	AMOUNT
Phil Ackerman Psychology	Individual Difference in Learning and Cognitive Abilities	Office of Naval Research	\$ 49,984

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Donald Berry School of Statistics	Sequential Allocation of Experiments	National Science Foundation	51,340
John Borchert Geography/CURA	Government Revenues and Expenditures Study	Northwest Area Foundation	3,500
Thomas Bouchard David Lykken Leonard Heston Psychology	Genetic and Environmental Determinants of Behavior	Seaver Institute	50,000
Thomas Bouchard David Lykken Elke Eckert Psychology	A Psychological and Medical Study: Twins Reared Apart and Adoptive	Pioneer Fund	100,000
Kathryn Chaloner Kinley Larntz Applied Statistics	Mathematical Sciences: Optimal Bayesian Design	National Science Foundation	63,757
Frederick Cooper Center for Ancient Studies/Anthropology	Handbook of Greek Architecture	National Endowment for the Humanities	80,228
Patience Dirx Psychology	Individual Differences in Adjustment to Multiple Sclerosis	National Multiple Sclerosis Soc.	8,052
Charles Fletcher Psychology	Computing Support for Basic Research in Perception and Cognition	AFOSR	59,900
Patricia Frazier (Eugene Borgida) Psychology	Research Fellowship Award	National Institute of Mental Health	9,552
Norman Garmezy Psychology	Children Vulnerable to Psychopathology	National Institute of Mental Health	34,020
Seymour Geisser R. Dennis Cook Statistics	Mathematical Sciences: Diagnostic Methods and Robust Procedures	National Science Foundation	66,200
Seymour Geisser Statistics	Predictive Methods	National Institute of General Medical Sciences	93,138

Philip Gersmehl Geography	Evaluating Soil Productivity in Different Regions of the United States	National Science Foundation	54,446
Christine Hastorf Anthropology	Presidential Young Investigator Award	National Science Foundation	62,500
	Matching Funds	National Geographic	10,620
	Matching Funds	Control Data	26,880
Betsy Hirsch Psychology	A Twin Study of Normal Aging	National Institutes of Health	99,485
Leonid Hurwicz Economics	Information and Incentives in Resource Allocation Mechanics	National Science Foundation	28,531
	Collaborative Research on Informational Aspects of Distributed Computing	National Science Foundation	34,987
Gary Jahn Adele Donchenko Russian and East European Studies	Minnesota Project on Russian Language Instruction Improvement	U.S. Department of Education	66,579
James Jordan for Clara Ponsati-Obiols Economics	Doctoral Dissertation Fellowship	Alfred P. Sloan Foundation	12,055
James Jordan Economics	Information Flows Intrinsic to the Stability of Economic Equilibrium	National Science Foundation	40,900
Patrick Kehoe David Backus Economics	International Business Cycles: Theory and Evidence	National Science Foundation	89,796

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David Knoke Sociology	A Comparative Study of Labor Policy Domains in the United States and Germany	National Science Foundation	83,203
Robert McCaa for W. Thomas White History	Topics in Minnesota History	Minnesota Humanities Commission	2,000
Mary J. Nissen Psychology	Procedural and Declarative Learning	U.S. Navy	39,000
Thomas Noonan Russian and East European Studies	The Minnesota Project in Critical Area Studies	U.S. Department of Education	64,997
J. Bruce Overmier Patricia Broen Center for Research in Learning	Center Funding	National Institute of Child Health and Human Dev.	233,071
Mark Pitt Economics	World Bank XVII Second University Development Project	MUCIA	194,685
Mark Pitt Mark Rosenzweig Economics	Fertility, Child Health and Gender Inequality	Rockefeller Foundation	37,520
Paul Reynolds David Knoke Sociology	Reliability of Organizational Measures	National Science Foundation	87,660
Thomas Rose Studio Arts	Siah Armajani's Place-- Humphrey Institute Plaza Project	Dayton Hudson Foundation	7,000
Mark Rosenzweig Economics	Supply-Demand Determinants of Births	Yale University (National Institute of Child Health)	32,614
Christopher Sims Economics	Dynamic Quantitative Macroeconomics	National Science Foundation	42,032
Charles Speaks Communication Disorders	Preparation of Educational Audiologists	U.S. Department of Education	76,964

Charles Speaks Communication Disorders	Preparation of Speech Language Pathologists and Special Educators	U.S. Department of Education	80,049
Joseph Stemberger Linguistics	Phonological Underspecification in Language Production	National Science Foundation	72,366
William Sudderth Theoretical Statistics	Mathematical Sciences: Topics in Abstract Gambling Theory	National Science Foundation	29,621
John Sullivan for Elizabeth Theiss- Morse Political Science	Doctoral Dissertation Research	National Science Foundation	7,000
Travis Thompson Psychology	Drugs, Learning and Behavior in the Mentally Retarded	National Institute of Mental Health	124,972
Travis Thompson Psychology	Behavioral Effects of Methadone and Cocaine	National Institute of Drug Abuse	96,588
Luke-jon Tierney Statistics	Mathematical Sciences: Asymptotic Methods for Bayesian and Likelihood Analysis	National Science Foundation	80,878
James Tracy History	The Rise of Merchant Empires	National Endowment for the Humanities	20,000

In addition:

A gift of \$50,000 has been donated to the Immigration History Research Center by Kaale H. Lehtinen.

#### IV. PROFILES AND TRENDS

1. **The MacArthur Foundation.** Best known for its fellowship program which awards scholars (selected only by nomination by an anonymous network of sources) in all fields five years of no-strings-attached financial support, the high-profile foundation is only nine years old. Since it was established in 1978, the MacArthur Foundation has made grants worth a total of more than \$450 million. In 1986, it authorized \$121 million in grants, more than all

but two other philanthropies in the U.S., and almost double the \$63 million it committed the previous year.

Last year, grants were distributed in six established programs and two exploratory areas: \$27.9 million for general grants; \$27.3 for environmental and conservation programs world-wide; \$17.1 million for cultural and community activities in Chicago, and Palm Beach County, Florida; \$13.8 million for grants in international peace and security, to strengthen research and academic programs in the field and to increase public understanding of security issues; \$12.7 million for exploratory programs in literacy and population; \$12.3 million for grants in health, especially mental health and the biology of parasitic diseases, and \$8.1 million for fellowships for "exceptionally creative" individuals.

According to Foundation officials, the fellowship program, although the smallest, best represents the organization's goals: searching for creativity and supporting it where it is found. Foundation President, John E. Corbally, says the program "symbolizes how we would like to be known in the world--as a place that pays more attention to releasing the potential of people than to producing lengthy sets of research documents and reports...If you look carefully at many of our grants, you will see that essentially they are more a bet on people than on institutions, more a sign of our faith in them than an expectation that they will accomplish this or that particular thing."

The Foundation has what it describes as a "hands-on" board, and is committed to limiting its staff size. It thus depends heavily on consultants and technical advisers as they are needed. In addition, "monitors" are hired to see that the Foundation is providing appropriate support to its grant recipients. Also, it has established an evaluation office that will scrutinize programs and assess their impact. Collaboration among individual scholars and institutions is encouraged.

Support for individuals includes **Research and Writing Grants in International Peace and Security**. This program aims to encourage productive reformulation of international peace and security issues, to foster integrated consideration of various policy areas, and to broaden and strengthen the community of scholars and writers engaged in innovative policy-oriented work on international peace and security. Typical grants range from one year to eighteen months in duration, providing between \$10,000 and \$60,000 for a single applicant or up to \$100,000 for a team project. Proposals are accepted for two deadlines each year: September 30 and February 15. There is no application form; ORD has information about the format that is expected. To receive a brochure about the program, and to submit a proposal, write to:

Grants for Research and Writing in International  
Peace and Security  
The John D. and Catherine T. MacArthur Foundation  
140 South Dearborn St., Suite 700  
Chicago, IL 60603

2. **The Russell Sage Foundation.** The Russell Sage Foundation is the principal American foundation devoted exclusively to research in the social

sciences. Located in New York City, it is a research center, a funding source for studies by others, and an active member in the nation's social science community. It also publishes a small number of books that derive primarily from the work of its grantees and scholars-in-residence. Founded in 1907 for "the improvement of social and living conditions in the United States," the Foundation turned exclusively to social science research following World War II. Russell Sage directs its efforts not only toward inquiries that contribute to more informed and rational policy formation, but also to basic research on improvements in methodology, data, and social science theory.

The Foundation now pursues three principal programs: (1) **social analysis of poverty**, fostering new analytic strategies that offer insights into the nature of poverty and the reasons for its persistence; (2) **behavioral economics**, an interdisciplinary effort to examine the consequences of introducing into economics information from neighboring social sciences about the nature of human motivation and decision making, and the complexities of economic institutions; and (3) **research synthesis**, encouraging effective use of statistical methods for detecting the significant generalizations that can be derived from multiple studies of the same social problem or program. (The Foundation is now phasing out previous programs in the social perception and management of risk and in institutional responses to gender role changes.)

There is no application form to seek funds; a brief letter of inquiry is advised to determine whether the Foundation's present interests and funds permit consideration of a proposal for research or a term of residence at the Foundations. Applications should summarize the project's objectives, the work plan, the qualifications of persons engaged in the work, and an estimated budget. After consideration of this letter, the Foundation will indicate whether or not a detailed proposal should be submitted. Applications are considered throughout the year and should be addressed to:

Russell Sage Foundation  
112 East 64th Street  
New York, NY 10021

3. **New NIH PHS 398 Application Forms.** NIH has issued a revised application form 398, which must be used for all receipt deadlines of October 1 and thereafter. This affects applications for RO1 new, competing continuation and supplemental awards, Research Career Development Awards, and Institutional National Research Service Awards. Changes affect human subjects and vertebrate animals certification, designation of key personnel, budget calculations, and the checklist. New instructions also make it clear that page limitations must be strictly followed. ORTTA has detailed information about the changes; we strongly advise consulting staff there if you have any questions about use of the new forms. ORD has a supply of new 398 kits.

4. **The NIH Review Process.** Applying to the NIH can be a time-consuming, even intimidating experience. The experience of NIH reviewers can help applicants understanding the review process, and prepare more competitive proposals. The following brief description of the review process suggests some common-sense strategies for applicants to consider:

GRANT WORKSHOP: PLAYING THE NIH GRANT REVIEW GAME

What goes on behind the closed doors of the study sections that review grant proposals to the National Institutes of Health? The key to making the system work for you is to understand the study panel's workload, said Belmont, Mass., grant consultant Liane Reif-Lehrer.

Speaking at a Boston seminar on NIH proposal writing, Reif-Lehrer said each of the 15 panel members of a typical study section may be required to review as many 100 proposals per grant cycle. In addition, each panel member must file a written report on as many as 20 proposals that have been assigned to them as primary or secondary reviewers.

Reif-Lehrer, a former NIH grant reviewer and Harvard Medical School faculty member, said that reviewers may not have time to get beyond the half-page abstracts of some proposals. "Sometimes you cannot physically read all those grants," she said.

Making matters worse, reviewers see very few proposals within their area of expertise. "I had to do a lot of homework on every grant that I reviewed," she said. "I had to take six weeks ... off from doing research to review the grants."

Reif-Lehrer said the workload hurts proposals reviewed at the end of the day. "Your grants are reviewed by human beings ... who get tired," she said. "They're very fair, they try very hard. But they are human."

Her advice: In this frenetic environment, a clearly presented proposal has a strong advantage. "If you help the reviewer by writing things clearly ... you are really doing a lot for yourself," she said.

An open vote determines whether the proposal is approved. The panel members then assign, by secret ballot, a priority score (from 100 to 500) for the project. The sheer volume of proposals has made competition for grants far tougher, she said. The days of funding proposals with scores of 250 and below are over.

The 65 study sections represent the first step of NIH's two-tiered review process. Review by an institute's advisory council comes next. NIH's new application forms, which will be issued this month (see box), allow an applicant to request a particular study section.

The best way for prospective grantees to understand the process is to sit on the committees as an ad hoc reviewer, Reif-Lehrer said. However, she doesn't recommend this for researchers lacking tenure because the heavy workload "will detract from your research program."

**PUBLIC HEALTH SERVICE SET TO ISSUE  
NEW GRANT APPLICATION FORM THIS MONTH**

The Public Health Service's new grant application form, due out this month, reflects years of debate over four controversial issues. Applicants will be required to provide additional information on human subject protections, animal welfare precautions, the percent of the principal investigator's time devoted to the research project and their indirect cost rate.

There is also a strict page limit on the aims, background, progress report and design sections of the proposal.

Applicants have a choice of whether to use the new forms for the next deadline cycle. Reif-Lehrer feels that it's probably a good idea, but cautions proposal writers to be careful because neither they nor the reviewers are familiar with the format.

**GRANT WORKSHOP: PLAYING THE NIH GRANT REVIEW GAME (Cont.)**

The half-page abstract is a critical part of the proposal, Reif-Lehrer said. "Its often the first thing that's read by the primary reviewer." And it may be the only part of the proposal that some reviewers have time to read.

Reif-Lehrer's advice on the abstract: Don't write the abstract until the proposal is done, so it reflects the contents of the application. Present the information in the abstract in the same order that it appears in the full proposal, for quick reference by section members during their discussions. Emphasize the health relatedness of the project. Avoid summaries of past accomplishments.

Also: Use NIH's language to respond to questions. If the form asks for the broad, long term objectives of the project, she said, begin the response with the statement "the broad, long term objectives are." That's the format NIH wants, she said. "Use as much of the wording as you possibly can."

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**ADMINISTRATIVE CHECKLIST FOR NIH GRANT PROPOSALS**

This is Reif-Lehrer's proposal writer's checklist for administrative detail.

Is the **budget** realistic for the work proposed?

Does the **justification** allow reviewers to relate each phase of the project to the budget?

Have you included **letters** outlining commitment of consultants, collaborators and subcontractors?

Have you filled out and obtained **signatures** for the cover page?

Have you provided the necessary information and **forms** concerning human studies, humane treatment of vertebrate animals, other grant support and other assurances (DNA, civil rights, handicapped individuals, scientific fraud)?

For acknowledgment of application receipt and review board assignment, fill out **postcards**.

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As for the proposal, Reif-Lehrer advises her clients to spend most of their time outlining their ideas before they begin writing. One of the questions that applicants often overlook is why they are uniquely qualified to perform the research. She also said that numbers speak louder than opinions and suggests that applicants use data to strengthen their arguments where they can.

Reif-Lehrer said proposals should avoid medical language. The proposals are reviewed primarily by non-physicians who have to consult a medical dictionary every time they see an unfamiliar medical term. "It is setting up an antagonism with the panel," she said. Reif-Lehrer suggests that applicants do research on the makeup of the panel "and take an educated guess as to who is going to read your grant and write for the reviewer."

It is also important to remember that NIH is in business to improve health, not to fund good science, Reif-Lehrer said. Grant proposals must show health benefits. "Funding good science is only a means and not an end at NIH," she said.

The pink sheets containing the panel's summary review of the proposal can provide strong clues about the panel's thinking, she said. If the critique questions the capability of the principal investigator, it may be appropriate to resubmit the proposal with a collaborator. If the critique contains criticisms about the protocol or data analysis, the applicant--after a little more homework--may be able to resubmit.

V. DEADLINES

Sept. 30	ACLS	Fellowships
Sept. 30	MacArthur Foundation	Grants for Research and Writing in International Peace and Security
October 1	NEH	Summer Stipends
October 1	NEH	Humanities Instruction in Institutions of Higher Education
October 1	NEH	Research: Interpretive Research (Projects; Humanities, Science and Technology)
October 1	ACLS	Travel Grants for Humanists for International Meetings
October 1	American Philosophical Society	Research Grants
October 1	Guggenheim	Fellowships
October 1	International Research and Exchanges Board	(IREX) Short-term Travel Grants to the USSR and Eastern Europe
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 1	Wilson Center	In-residence Fellowships for Advanced Research
October 5	Graduate School	Grants in Aid of Research, Artistry and Scholarship
October 5	Graduate School	Hill Visiting Faculty Fellowships
October 10	CLA	CLA Travel/McMillan Travel Fund
October 15	IREX	Collaborative Activities
	IREX	Travel Grants for Senior Scholars
October 15	National Humanities Center	Fellowships
October 16	Minnesota Humanities Commission	General Grants (draft) for Nov. 6 final deadline
October 23	MHC	Visiting Scholar Fellowships
October 30	Graduate School	McKnight Land Grant Professorships
November 1	NEH	Research: Texts (Reference Materials; Tools; Access)
November 1	Nat'l Council on Soviet and East European Research	Research Proposals
November 6	MHC	General Grants, Final Proposals

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November 9	Graduate School	Faculty Summer Research Fellowships
November 30	CLA	Single Quarter Leave (internal CLA deadline)
November 30	CLA	Bush Sabbaticals (internal CLA deadline)
November 15	OIE	International Development Grants
December 1	Social Science Research Council	Grants for Advanced International Research; Advanced Research Fellowships in Foreign Policy Studies
December 1	American Philoso- phical Society	Research Grants
December 10	Getty Foundation	Postdoctoral Fellowships in the History of Art and the Humanities: Open Competition
December 15	ACLS	Grants-in-Aid
December 18	Kellogg Foundation	National Fellowships

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8/12/87

# LARES

## Liberal Arts Research Newsletter

November 18, 1987

LARES, Vol. XIII, No. 2

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

Editor: Geri H. Malandra

### I. GENERAL ANNOUNCEMENTS

From the Editor. Recently I received one of those good news-bad news award announcements that say, "We are pleased to tell you that we have selected you to receive a research grant for 1988-89, pending availability of funds. Congratulations on reaching this stage of the selection process; we will not know until next spring whether funds will be sufficient to support all awardees."

Under the best of circumstances, this kind of letter generates mixed emotions, and makes it difficult to plan ahead. Recent financial events in New York and Washington have not decreased my uneasiness as I, and many others, wonder what private and public funding for research will be like in the next year. There is general agreement that the stock market crash will not affect foundation grant programs for the coming year. It is too soon to tell what will happen further in the future.

As for public funding, Congress faces the now usual deficit-reducing budget battle. At present, most major programs would be at least level funded, with substantial increases in some areas of NSF and modest increases recommended for other divisions in many agencies. If Congress and the White House act quickly, there may be no need for major cuts in discretionary programs. However, if action is not taken by November 20, there will be automatic spending cuts when the Gramm-Rudman-Hollings deficit reduction law goes into effect. "Worst case" scenarios would reduce or even eliminate new research awards at many federal agencies.

Such uncertainties can easily lead to hesitation, and missed opportunities. I have talked with many people who, for one reason or another, thought about applying for fellowships or grants too late. For example, the NEH Fellowship program (an excellent source of research support for humanists and social scientists with interests in humanities subjects) falls on June 1, fully eighteen months before a research or sabbatical year would normally begin. Since many other funding programs have September or October deadlines, it is easy to forget how early NEH is. Those early fall

deadlines are also easy to forget in the midst of summer activities. The trouble is that the lost time cannot be recovered.

We send reminders about these deadlines to appropriate departments, and list them in LARES. This month, we are also trying something new: a tear-off summary of some major deadlines for a whole year (see the pink sheet at the end of this issue). Although the unstable financial scene may well temper enthusiasm, it should not discourage anyone from seeking a grant or fellowship for a worthy project. If you are in doubt, call us. We will do our best to predict where funding trends will go and to remain optimistic about the good news-bad news mail. GHM

## II. FUNDING NOTES

### Internal

1. **Office of International Education Development Grants.** Grants 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 February 15 for April, May, and June activities; May 15 for July, August, and September activities. Information and application forms are available from the OIE Development Grant Coordinator, 624-5580.

2. **Bush Sabbatical Program.** Supplementary sabbatical income is provided for mid-career faculty who seek to integrate research and undergraduate teaching. Tenured faculty who are eligible for a regular University Sabbatical Furlough may apply. Women and members of minority groups are especially encouraged to apply. Applications are first evaluated by the college; CLA has established a November 30 deadline for its internal review. CLA forwards its recommendations to the Office of Educational Development Programs to meet a January 11 deadline. Information about the CLA review process is available in the Faculty Affairs office, 624-9839; application forms and additional information about the program are available in the EDP office, 625-0088.

3. **Single Quarter Leave.** This program is designed to advance special studies, research, scholarly writing, and self-improvement programs that will enrich and strengthen individual knowledge and understanding of scholarship and/or university teaching for faculty members with regular appointments. Applications reviewed first by the college; November 30 will be the CLA deadline for applications for Single Quarter Leaves. CLA will then forward its recommendations to the Office of the Vice President for Academic Affairs for final review in early January. Direct questions about the CLA review process to the Faculty Affairs Office 624-9839; application materials will be distributed to each department.

4. **Research Expeditions (REX) Program.** REX is an innovative program in Extension Classes that facilitates adult volunteer involvement in University of Minnesota faculty research. The program provides capable adult assistance in research fieldwork, greater community exposure for faculty research work, and a small stipend to the project for each volunteer participant. Interested faculty should call REX program director, Claire Walter-Marchetti at 624-9345, or secretary Susan Gorman at 626-0214, for information or a proposal form. To include new research proposals in the 1988 REX brochure, faculty must submit proposals by December 1, 1987.

External

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 must 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.

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

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 must be sent 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 deadline: 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.

2. **American Philosophical Society.** The APS grants about \$400,000 a year in support for scholarly research in all areas of knowledge. Grants may cover living costs while away from home; microfilms, photostats and photographs; consumable supplies; and necessary foreign and domestic travel. The maximum grant that will be made for a full professor is \$2,500. The APS will also consider making supplemental grants for travel if an applicant has received other grants (e.g., NEH, Guggenheim, SSRC) that do not include travel that is necessary to the applicant's research program. Deadlines for applying are: December 1, February 1, April 1, and August 1. Decisions are made within three months. For application forms, briefly describe your project and proposed budget in a letter to:

Committee on Research  
American Philosophical Society  
104 South Fifth St.  
Philadelphia, PA 19106.

3. **J. Paul Getty Postdoctoral Fellowships in the History of Art and the Humanities.** This program is designed to advance the discipline of art history by supporting the work of outstanding young scholars who show promise of making a substantial and original contribution to the history of the visual arts. Applications are especially encouraged from scholars proposing to explore connections among the humanistic disciplines. Foreign candidates are welcome. Candidates in related fields of the humanities are eligible if their work will contribute to art history. The 1988-89 fellowships are reserved for those who have received their Ph.D. degree or equivalent qualification since January 1982.

Each year 20 fellowships are awarded, ten through designated institutions and ten through an open competition. Awards provide a \$23,000 stipend for twelve months. Institutional awards will be made by Bryn Mawr College, Columbia University, Institute of Fine Arts--New York University, The Johns Hopkins University, Princeton University, Stanford University, University of California--Berkeley, University of Michigan, University of Pennsylvania, Yale University. Each institution has its own application procedure, and must be contacted directly. ORD has information about whom to contact in each case. Applications for the open competition are submitted directly to the Getty Grant Program, for a December 10 deadline. Application forms for the open competition are available from:

Getty Grant Program  
401 Wilshire Boulevard, Suite 1000  
Santa Monica, CA 90401-1455  
Tel.: (213) 393-4244

4. **Social Science Research Council. Grants for Advanced International Research.** Grants are available for periods usually ranging from two months to one year to individuals with Ph.D. degrees or equivalent research experience for research in the humanities or social sciences. These programs are designed to support research in one country, comparative research between countries in an area, and comparative research between areas. Grants

may be used for travel, research, and maintenance expenses. Program areas include: Africa, Comparative Studies of Muslim Societies, Japan, Korea, Latin America and the Caribbean, the Near and Middle East, Russia and the Soviet Union, South Asia, and Southeast Asia. Grant amounts and desired focus vary according to the program; ORD has additional information. The deadline in all cases is December 1.

**Advanced Research Fellowships in Foreign Policy Studies.** These support up to two years of research on the processes of U.S. foreign policy making, including examination of forces and institutions that are not the typical focus in this area: Comparative studies of policy-making processes; analysis of influences of institutions, groups or broad societal forces on these processes; use of theories and insights from diverse social science disciplines. The program permits--but does not require--fellows to acquire additional training through formal course work, tutorials, or supervised study. Awards will not exceed \$35,000. Deadline for applications is December 1. Application materials for all SSRC programs area available from:

Social Science Research Council  
Fellowships and Grants  
605 Third Avenue  
New York, NY 10158  
(212) 661-0280

**5. University of California, Los Angeles Ethnic Studies Fellowships for Postdoctoral and Visiting Scholars.** Support for postdoctoral and senior scholars (to supplement sabbatical support) is available for work to be conducted in one of three centers: Asian American Studies Center, American Indian Studies Center, and the Center for Afro-American Studies. The deadline for applications is December 31. For additional information, contact:

Asian American Studies Center Institute of American Cultures Lucie Cheng, Director 3232 Campbell Hall UCLA Los Angeles, CA 90024 (213) 825-2974	American Indian Studies Charlotte Heath, Director 3220 Campbell Hall  (213) 825-7315	Afro American Studies Claudia Mitchell- Kernan, Director 3111 Campbell Hall  (213) 825-7403
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**6. Rockefeller Foundation Fellowships in the Humanities.** For 1988-89, fellowships will be offered as year-long residencies at host institutions selected for their potential to promote individual scholarship in the humanities. Each institution selects scholars to receive Rockefeller Foundation Fellowship stipends. Resident fellowships make outstanding resources accessible to individual scholars, stimulate exchange within and between disciplines, and strengthen emerging areas of inquiry in the humanities. They are meant to serve scholars who are testing disciplinary boundaries or moving into new fields of inquiry. The 21 residency sites and application deadline for each are listed below. Applications are submitted directly to the host institution. ORD has contact information. Application deadlines, eligibility, and stipends vary according to the host institution.

Afro-American Studies Program/Rites and Reason--Brown University, 1/15/1988  
Women's Studies Research Center--Duke University/University of North Carolina,  
12/31/87  
Institute for Medical Humanities--University of Texas Medical Branch, 1/15/88  
Center for the Study of Islamic Societies and Civilizations--Washington  
University, 1/15/88  
Women's Studies Program (rural women)--University of Iowa, 2/1/88  
Francis C. Wood Institute for the History of Medicine--College of Physicians  
of Philadelphia, 1/15/88  
Institute for the Study of Applied and Professional Ethics--Dartmouth College,  
12/1/87  
Schomburg Center for Research in Black Culture--New York Public Library,  
2/1/88  
D'Arcy McNickle Center for the History of the American Indian--Newberry  
Library, 2/1/88  
Institute for Research on Women--Rutgers University, 12/1/87  
Southwest Institute for Research on Women/Women's Studies--University of  
Arizona, 1/15/87  
Southeast Asia Program--Cornell University, 12/1/87  
School of Social Science, Institute for Advanced Study--Princeton University,  
12/1/87  
Center for the Humanities (Narrative)--Wesleyan University, 2/1/88  
Center for Near Eastern and North African Studies--University of Michigan,  
1/15/88  
The History of Science in Western Civilization Program--University of  
Oklahoma, 1/11/88  
The National Museum of African Art and the Center for Asian Art--Smithsonian  
Institution, 2/15/88  
Center for the Study of Civil Rights, Woodson Institute for Afro-American and  
African Studies--University of Virginia, 1/1/87  
Chinese Popular Culture Project--University of California, Berkeley, 2/1/88  
Wisconsin Center for Film and Theater Research--University of Wisconsin,  
Madison, 1/15/88  
Film and Video Department-Whitney Museum of American Art, 1/1/88

**7. National Endowment for the Humanities: Travel to Collections.**

The next deadline is January 15, 1988 to apply for funds to work at libraries, archives or other research collections in this country or abroad during the period June 1 to November 30, 1988. Awards offer \$750. The application process is relatively simple, but requires a letter from the library or archive confirming the availability of materials to be studied. For information and application forms call (202) 786-0463.

**8. National Endowment for the Humanities: Summer Seminars for**

**College Teachers.** March 1, 1988 is the deadline (January 1 is an informal deadline for preliminary proposals) to apply to direct a summer seminar in 1989. This program provides support for six- to eight-week seminars in which college teachers can enrich their knowledge of the subjects they teach, work

with distinguished scholars and with other college teachers who share similar interests, and undertake an individual project. Seminars are characterized by the scholarly and teaching quality of their directors, the breadth and appeal of the seminar topics to teachers of undergraduate students, the significance of the topics to the humanities, and their promise of engendering collegiality and promoting intellectual stimulation for participants. Prospective directors are strongly encouraged to discuss their proposed seminars with NEH staff well before the application deadline. NEH staff will work closely with applicants in planning proposals, and will review and critique preliminary drafts of proposals. The telephone number is (202) 786-0463.

**9. American Antiquarian Society Visiting Research Fellowships.**

Fellowships of from one to three and six to twelve months' duration will be available at the American Antiquarian Society for tenure during the period June 1, 1988 to May 31, 1989. All awards are for research in American history and culture through 1876. Special support is available for scholars working in early American bibliography or printing and publishing history and American literary studies. The application deadline is January 31, 1988. ORD has additional information. For application forms, contact the American Antiquarian Society, 185 Salisbury St., Worcester, MA 01609-1634; phone: (617) 752-5813 or 755-5221.

**10. Smithsonian Institution/Renwick Gallery Senior Fellowships in the History of 20th-Century American Art, Craft and Design.** A new program offers fellowships carrying a stipend of \$19,000 for up to twelve months of work by postdoctoral scholars or candidates who possess a substantial record of professional accomplishment in the study of 20th-century American art, craft, or design. Proposals concentrating on post-1930 crafts developments or their historical antecedents are especially encouraged. Preference will be given to proposals dependent upon Smithsonian resources. The deadline for applying is January 15, 1988 for projects to begin on or after June 1, 1988.

The Smithsonian Institution offers senior postdoctoral residency fellowships in many other fields for scholars who have held the degree for more than seven years. The stipend is \$25,000 per year. Postdoctoral residency fellowships are available for those who have held the Ph.D. for less than seven years; the stipend is \$19,000. Disciplines include: Anthropology and Archaeology, History of Science, History of Art, and Social and Cultural History, and Folklife of the U.S.

For more information about any of these programs, and application forms, write or call: Office of Fellowships and Grants, Smithsonian Institution, Suite 7300 L'Enfant Plaza, Washington, DC 20560; (202) 287-3271.

**11. Minnesota Humanities Commission.** The Minnesota Humanities Commission welcomes applications for projects (conferences, lectures or lecture series, exhibits, film and video) that link humanities scholarship in a wide range of fields with a public audience. Application deadlines for 1988 are:

(preliminary draft)	January 15, 1988	(final)	February 5, 1988
	April 15, 1988		May 6, 1988
	July 22, 1988		August 12, 1988
	October 14, 1988		November 4, 1988

(Please contact us for deadlines for the Media Grant Category.)

The MHC continues to fund an Independent Scholars program, providing funds to bring scholars into a department to offer a lecture or course on subjects not regularly taught at the applicant institution. Deadlines for this program are:

January 15, 1988  
April 29, 1988  
July 29, 1988  
October 21, 1988

For further information about any of these programs, contact Tom Trow, CLA Community-Cultural Affairs, 624-1359, or the MHC, 580 Park Square Court, 400 Sibley St., St. Paul, MN 55101-1938; 224-5739.

**12. Newberry Library Fellowships in the Humanities.** The Newberry Library offers many postdoctoral and senior residency fellowships in a wide range of humanities fields. These include NEH residency fellowships (deadline: January 15, 1988), Lloyd Lewis Fellowships in American History (deadline: January 15, 1988), Short-term Resident Fellowships for Individual Research (deadline: March 1, 1988), D'Arcy McNickle Center for the History of American Indian Fellowships (deadline: February 1, 1988), and others. For additional program descriptions, call ORD. For application forms, write to: Committee on Awards, The Newberry Library, 60 West Walton St., Chicago, IL 60610.

**13. Institute for Intercultural Studies.** The Institute for Intercultural Studies, established in 1944 by Margaret Mead, is a nonprofit corporation concerned with advancing knowledge of the behavior, customs, psychology, and social organization of the various peoples and nations of the world, with special attention to those peoples and those aspects of their life which are likely to affect intercultural and international relations. Grants are made normally in amounts under \$2,000, concentrated on research. Completed applications must be received by February 15, 1988. ORD has a sample application form and program information, or you may contact: The Institute for Intercultural Studies, Inc., c/o Sloane & Hinshaw, Suite 1C, 145 East 74th St., New York, NY 10021; (212) 737-1011.

**14. Harry Frank Guggenheim Foundation.** This foundation sponsors an international program of scientific research and scholarly study concerning, in Mr. Guggenheim's words, "Man's Relation to Man." Its long-term aim is to improve the human social condition through a better understanding of the causes and consequence of dominance, aggression, and violence. Grants are made to individuals for individual projects, either through an institution on behalf of the researcher, or directly to the individual. Most awards range

from \$15,000 to \$25,000 for periods of one or two years. Applications are due February 1, 1988 for a decision by June. ORD has sample application and program information, or contact: The Harry Frank Guggenheim Foundation, 527 Madison Ave., New York, NY 10022-4301; (212) 644-4907.

15. **National Research Council Postdoctoral Fellowships for Minorities.** Approximately thirty-five awards will be made to scientists, engineers and scholars in the humanities who show greatest promise of future achievement in academic research and scholarship in higher education. Groups eligible include American Indians and Alaskan Natives, Black Americans, Mexican Americans/Chicanos, Native Pacific Islanders, and Puerto Ricans. The deadline for submitting applications is January 15, 1988. Inquiries should be directed to: The Fellowship Office, National Research Council, 2101 Constitution Avenue, Washington, DC 20418.

### III. AWARDS

The following faculty were awarded external grants and contracts in the period mid-September to early November, 1987:

NAME & DEPARTMENT	PROJECT	SOURCE	AMOUNT
Rene Dawis David Weiss Psychology	Vocational Assessment Program	Minnesota Dept. of Jobs & Training	\$168,353
Patience Dirkx Travis Thompson Psychology	Predictors of Individual Differences in Adjustments to MS	U.S. Dept. of Education	49,987
Nina Etkin Anthropology	Medical Anthropology in Nigeria	National Science Foundation	49,580
Norman Garmezy Psychology	Studies of Stress- Resistant Children: Resilience Factor	National Institute of Mental Health	104,746
Robert Kvavik Political Science	International Travel	MUCIA	8,000
William Malandra South and Southwest Asian Studies	Title VI Foreign Language and Area Studies Fellowships	U.S. Department of Education	24,675

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J. Kim Munholland Western European Area Studies Center	National Resource Centers and Fellowship Program	U.S. Department of Education	168,638
Chip Peterson Institute of International Studies	Social Capitalism and Poverty	Emma B. Howe Memorial Foundation	25,000
Mark Rosenzweig Kenneth Wolpin Economics	Parent Demographic Behavior: Child Health and Development	Natl Inst of Child Health and Human Development	119,160
Charles Speaks Communication Disorders	Handicapped Personnel Prep-Leadership	U.S. Department of Education	86,746

In addition:

Nancy Armstrong (English) has been awarded a Rockefeller residency fellowship at Wesleyan University.

John Archer (Humanities) received a short-term grant from the American Institute of Indian Studies for research in India in connection with his work on prototypes for the modern suburb in eighteenth- and nineteenth-century colonial and indigenous cultures.

Jeffrey Brooks (History) has received a Guggenheim Fellowship and a research contract from the National Council for Soviet and East European Research, for his work on the development of Soviet attitudes about the United States in the early twentieth century.

Travis Thompson (Psychology) and John R. Sheppard (Dight Laboratories) have been awarded a one-year, \$30,000 grant by the Joseph P. Kennedy, Jr. Foundation for "New Development Research Projects in Mental Retardation."

Dennis Valdes (Chicano Studies) received a Rockefeller Foundation residency fellowship for research in 1987-88 at the Walter P. Reuther Library, Detroit.

DEADLINES

December 1	Social Science Research Council	Grants for Advanced International Research; Advanced Research Fellowships in Foreign Policy Studies
December 1	American Philosophical Society	Research Grants
1	NSF: BBS	Archaeology; Cultural Anthropology; Physical Anthropology
December 15	ACLS	Grants-in-Aid
December 18	Kellogg Foundation	National Fellowships
[December-February]	Rockefeller Foundation	Residency Fellowships]
January 1	NSF: BBS	Systematic Anthropological Collections; Social and Developmental Psychology;
15	NSF: BBS	Decision, Risk, and Management Science; Economics; Geography and Regional Science; History and Philosophy of Science; Political Science; Sociology
15	NEH	Travel to Collections
15	Minnesota Humanities Commission	General Grants (Drafts) Visiting Scholars Program
February 1	NSF: BBS	Ethics and Values Studies; Linguistics; Memory and Cognitive Processes
1	NIH	Research Grants
1	APS	Research Grants
5	MHC	General Grants (Final)
March 1	NEH	Summer Seminars for College Teachers: Directors
1	ACLS	Travel Grants: International Meetings
3	Graduate School	Grants-in-Aid
7	U.S. Department of Education	FIPSE Final Proposals (by invitation only)
April 1	NEH	Humanities Instruction in Institutions of Higher Education
1	NEH	Summer Seminars for Secondary School Teachers: Directors
1	APS	Research Grants
16	MHC	General Grants (Drafts)
29	MHC	Visiting Scholars Program
May 7	MHC	General Grants (Final)
June 1	NEH	Fellowships for University Teachers
1	NEH	Research: Texts (Editions, Translations)
1	NIH	Research Grants

July	1	NSF: BBS	Archaeology; Cultural Anthropology; Physical Anthropology; Social and Developmental Psychology
	15	NEH	Travel to Collections
August	1	APS	Research Grants
Sept.	15	CIES-Fulbright	Research/Lectures in Europe
	15 (approx)	NEH	Summer Stipends: Internal Deadline
	30	ACLS	Fellowships
October	1	ACLS	Travel Grants: International Meetings
	1	Guggenheim	Fellowships
	1	Woodrow Wilson Center	Residency Fellowships
	1	NEH	Summer Stipends
	1	NIH	Research Grants
	5	Graduate School	Grants in Aid
	15	National Humanities Center	Residency Fellowships
November	2	U.S. Dept. of Ed.	Title VI Undergraduate International Studies and Foreign Language Program
	9	Graduate School	Faculty Summer Research Fellowships
	15	Office of International Education	Development Grants
	16	U.S. Dept. of Ed.	FIPSE Preliminary Proposals
	30	Bush Sabbaticals	CLA Deadline
	30	Single Quarter Leave	CLA Deadline

PLEASE CONTACT ORD FOR INFORMATION ABOUT THESE, OR OTHER GRANT PROGRAMS.

#### IV. PROFILES AND TRENDS

##### **The Spencer Foundation.**

The Foundation was established by Lyle M. Spencer, founder and president of Science Research Associates, an educational publishing firm that is now an IBM company. Since its founding in 1968, the foundation has made grants totaling \$67 million. It supports research that gives promise of yielding new knowledge leading to the improvement of education. The Foundation is interested in a wide variety of disciplinary and interdisciplinary approaches, though by direction of its charter it gives emphasis to the behavioral sciences; and it defines education broadly to include all the situations and institutions in which education proceeds, across the entire lifespan, in the United States and around the world. The Foundation is also interested in a wide variety of research areas, including what the anthropologist might call cultural knowledge, what the political scientist might call socialization, and what the economist might call the production and distribution of knowledge. Its ultimate goal is to contribute significantly to the enhancement of educational opportunity for all people. Projects in a wide variety of research formats are supported, from relatively low-cost individual efforts extending over a few months to more extensive collaborative efforts extending over several years.

The Spencer Foundation accepts inquiries at any time. All that is needed to initiate a proposal is a brief letter describing a contemplated research project, its relation to previous scholarship, and its potential contribution to the theory or practice of education. Estimates of personnel, budget, and time requirements should be included, along with a curriculum vitae of the principal investigator, and telephone numbers to facilitate communication. If the contemplated research appears to be of potential interest to the Foundation, three copies of a more detailed proposal will be requested. Letters of inquiry should be sent to: Marion M. Faldet, Vice President, The Spencer Foundation, 875 N. Michigan Ave., Chicago, IL 60611 (Telephone: 312-337-7000.)

The Foundation also conducts a small grants program intended to facilitate scholars in pursuing exploratory research, problem-finding research, pilot research, modest research projects, and the initial phases of larger investigations. Grants may range from \$1,000 to an upper limit of \$7,500, and may not extend beyond a year's duration. Inquiries about the small grants program should be addressed to: Coralie Novotny, Administrator, Small Grants Program, The Spencer Foundation, 875 N. Michigan Ave., Chicago, IL 60611.

(ORD has the annual report, and descriptions of funded programs.)

# LARES

## Liberal Arts Research Newsletter

January 15, 1988

LARES, Vol. XIII, No. 3

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

Editor: Geri H. Malandra

### I. GENERAL ANNOUNCEMENTS

1. From the Editor. From January 27 to February 12, I will be in India, presenting a paper and working with a collaborator on a forthcoming book. Jerry Siegel will be in the office Tuesday and Thursday mornings. At other times he can be reached at 624-3322, in his Communication Disorders office. During this time, you can also have BA-23 forms signed in the Dean's office. Our phone will be forwarded to the Faculty Affairs office. GHM

2. From the Director--Why I Became a Director of Research Development Rather than a Surgeon. In my first year at college I took a biology course in which I had to dissect a frog. The students sat at a long table on which were distributed a number of large bell jars. Inside each jar was a live specimen--in other words, a frog. My live specimen was charming and intelligent. I immediately formed a nice rapport with it. It hopped from one side to the other of the jar and pressed its face against the surface, its big bulgy eyes staring out at me. My specimen liked and trusted me.

Immediately in front of me was another specimen, a sister or cousin to the one in the jar, but already less fortunate. The one on the table was fastened to a board with pins. It had been "pithed" by the instructor with a sharp needle and was already a goner. That was the one I was supposed to dissect. The student next to me was a frail girl, surely not cut out for this sort of work, I thought, but she had her sleeves rolled up and insisted that she would do her own pithing. She plunged right into her frog, wielding the scalpel with cheerful enthusiasm. On the other side of me was a big strapping fellow. He also had his sleeves rolled up, with a pack of cigarettes tucked under his muscular t-shirt sleeve. He picked up the scalpel, boldly bent over his front, made the first cut, and then passed out.

That left me. My female partner was already doing a heart transplant; my macho partner was sitting quietly in a corner, dreaming of a meadow

somewhere; and I hadn't started the assignment. I picked up the sharp, glittering scalpel, mentally drew a line where I would make the first cut, looked in the book to sure it was right, and then addressed the specimen.

I would have been all right, but rather than proceeding directly with the dissection, I chanced to look up and saw my victim's cousin or sister, pressed against the side of the bell jar, staring at me and at the ill fated relative splayed out on the board. It caught my eye with a soulful look that reminded me of a doleful aunt on my father's side of whom I had always been fond.

My specimen was no longer an indifferent, anonymous creature and I could not make that first cut. I didn't have in mind to liberate all of the frogs from bell jars. My only thought was to escape. My enthusiastic partner had already neatly isolated all of the organs and vessels in her frog and was waiting for the instructor to approve. She was clearly bored and disdainful that I had still made no progress on my dissection.

"Barbara," I said. "I can't seem to get the hang of this. Could you help me out?" Her face lit up. She pushed me out of the way and assumed command, humming to herself with enthusiasm. She didn't even look up when I slunk away from the table and out of the room, careful not to look at the specimen in the bell jar as I fled.

Next semester the macho fellow and I took the course again, but we pretended not to recognize each other. G. M. Siegel

## II. FUNDING NOTES

### Internal

1. **Office of International Education Development Grants.** Grants 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 February 15 for April, May, and June activities. Information and application forms are available from the OIE Development Grant Coordinator, 624-5580.

2. **Graduate School Grants-in-Aid.** March 3 is the deadline for applications for research funds, covering personnel such as graduate or undergraduate research assistants, equipment, supplies, and limited travel. In most cases, grants provide "seed" money for developing projects to the point of attracting more complete, external funding. Applications are accepted from faculty members holding regular appointments. Information and application forms are available in the Graduate School Research Office; contact Lori Wallin (625-2356).

3. **CLA Travel/McMillan Travel Fund.** The spring application deadline is April 10 for funds to cover transportation and living expenses during the period June 16 to December 15 for research or to present the results of scholarly or creative activity at major national or international conferences. CLA faculty, administrative staff, and graduate students are eligible to apply. Detailed information and application forms are available in the CLA Faculty Affairs Office, 624-9839.

4. **CLA Scholarly Conference Fund.** Applications are due March 2 for funds 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. For application forms and additional information, call the Faculty Affairs office, 624-9839.

5. **Consulting for Liberal Arts/Computer Research.** Two consultants are available through ACSS, and are eager to help liberal arts faculty plan computer-related research on both mainframe and microcomputers. Examples of projects these consultants have assisted include analyzing a medieval manuscript and maintaining the data from an archaeological dig. They can help you select the best computational tools for your project, and can assist you in using them. In addition, if you need programming, they can help design a program and find a programmer to write the program. Initial consulting is free, for example, to get you started using GENCORD, TEXTAL, LTTRCNT, or WRDSTAT (programs to set up concordances, and analyze texts in a variety of ways); more extensive help will cost about \$30.00 per hour. On-line computer time is available through ACSS's regular computer grant program. For further information, contact: Tom Rindflesch, 625-8332.

### External

1. **CIC Graduate Scholarships for Foreign Language Study.** The CIC Foreign Language Enhancement Program (FLEP) will award 18 scholarships to graduate students pursuing foreign language study this summer under the Traveling Scholar Program. Scholarships of up to \$1,500 will be awarded to cover living expenses incurred while attending any CIC host institution. This program is intended to help students take advantage of language offerings not available to them at their home university. The application deadline is February 19, 1988. For more information, contact Associate Dean Frederick Asher, Faculty Affairs Office, 624-9839.

2. **The United States Information Agency** is seeking applications for grants to support international educational and cultural activities designed to contribute to long-term communication and understanding between the United States and other countries on themes and subjects of interest to the agency.

Last year 100 awards were made, ranging from \$3,000 to \$3 million, with most falling in the \$20,000 to \$300,000 range. Funding is generally not available for research, publications, youth-related activities, or student exchanges. There is no deadline, but proposals should be submitted four months before the project start date. USIA staff encourages preliminary inquiries. For additional information, contact: Raymond Harvey, Private Sector Programs, Educational and Cultural Affairs Bureau, USIA, 301 4th St., N.W., Washington, DC 20547, (202) 485-7348.

3. **American Council of Learned Societies Travel 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. All programs administered by ACLS require U.S. citizenship or permanent residence. Additional information or application forms must 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.

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

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 must be sent 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 deadline: March 1, 1988 for meetings July-December, 1988.

4. **American Philosophical Society.** The APS grants about \$400,000 a year in support for scholarly research in all areas of knowledge. Grants may cover living costs while away from home; microfilms, photostats and photographs; consumable supplies; and necessary foreign and domestic travel. The maximum grant that will be made for a full professor is \$2,500. The APS will also consider making supplemental grants for travel if an applicant has received other grants (e.g., NEH, Guggenheim, SSRC) that do not include travel that is necessary to the applicant's research program. Deadlines for applying are: December 1, February 1, April 1, and August 1. Decisions are made

within three months. For application forms, briefly describe your project and proposed budget in a letter to:

Committee on Research  
American Philosophical Society  
104 South Fifth St.  
Philadelphia, PA 19106.

5. **National Endowment for the Humanities: Summer Seminars for College Teachers.** March 1, 1988 is the deadline (January 1 is an informal deadline for preliminary proposals) to apply to direct a summer seminar in 1989. This program provides support for six- to eight-week seminars in which college teachers can enrich their knowledge of the subjects they teach, work with distinguished scholars and with other college teachers who share similar interests, and undertake an individual project. Seminars are characterized by the scholarly and teaching quality of their directors, the breadth and appeal of the seminar topics to teachers of undergraduate students, the significance of the topics to the humanities, and their promise of engendering collegiality and promoting intellectual stimulation for participants. Prospective directors are strongly encouraged to discuss their proposed seminars with NEH staff well before the application deadline. NEH staff will work closely with applicants in planning proposals, and will review and critique preliminary drafts of proposals. The telephone number is (202) 786-0463.

6. **National Endowment for the Arts Fellowships for Creative Writers: Fiction, Poetry, and Belles Lettres.** Fellowships of \$20,000 will be awarded to published creative writers of exceptional talent to enable them to set aside time for writing, research, or travel, and generally to advance their careers. Applicants must satisfy eligibility requirements including publications of a substantial corpus since January 1, 1978. The application deadline is March 3. For application forms and information, contact: National Endowment for the Arts, Literature Program, Room 723, 1100 Pennsylvania Ave., N.W., Washington, DC 20506, (202) 682-5451.

7. **International Research and Exchanges Board (IREX) Developmental Fellowships.** Fellowships are offered to faculty, postdoctoral researchers, and Ph.D. candidates for Soviet or Eastern European language and area studies. This program prepares fellows to undertake field research in the USSR and Eastern Europe and to establish working relationships with Soviet and East European colleagues and institutions. The program provides disciplinary fellowships, fellowships for the study of Soviet nationalities, and fellowships to develop dual area competence. The application deadline is February 15. For further information, contact Barbara Sassone, IREX, 126 Alexander St., Princeton, NJ 08540-7102, (609) 683-9500.

8. **The Newberry Library Resident Fellowships.** The library, founded in 1887, is a privately endowed independent research institution located in Chicago. Comprising more than one million volumes and five million

manuscripts, it has a strong general collection embracing history and the humanities within Western Civilization from the late Middle Ages to the early twentieth century. Fellowship programs include Short-Term Resident Fellowships for Individual Research, Resident Fellowships for Unaffiliated Scholars, American Society for Eighteenth-Century Studies Fellowships, and others. The application deadlines for all programs is March 1 or October 15, 1988. ORD has additional program information. For application forms, write to the Committee on Awards, Newberry Library, 60 W. Walton St., Chicago, IL 60610, (312) 943-9090.

### III. AWARDS

In the period July to November, 1987, 63 proposals requesting \$7,907,711 (some multi-year projects) were submitted by CLA faculty. In the same period, 30 awards were received for a total of \$1,306,947. Recent awards include:

NAME & DEPARTMENT	PROJECT	SOURCE	AMOUNT
Irving Biederman Psychology	Human Image Understanding	SUNY/Air Force Office of Research	\$ 70,000
Joseph Galaskiewicz Sociology	Institutional Response to Third-Party Government	Association of American Colleges	\$ 2,000
Robert Kvavik International Programs	Pilot Internship Program	MUCIA	\$ 1,000
Jeylan Mortimer Sociology Will Craig CURA	Work Experience and Adolescent Well-Being	National Institute of Mental Health	\$172,996
Mary J. Nissen Psychology	Procedural and Declarative Learning	U.S. Navy	\$ 94,410
Michael Page International Education	Fulbright Scholar Enrichment Program	U.S.I.A.	\$ 3,000
Mary Ann Yodelis Smith Journalism	Minorities in Broadcasting Training Program	Minneapolis Foundation/WCCO	\$ 23,800

Mark Snyder Psychology	Media Influences of Volunteerism	Gannett Foundation	\$ 45,000
	Role of Olfactory Perception in Social Interaction	Fragrance Foundation	\$ 31,792
Charles E. Speaks Communication Disorders	Preparation of Speech Language Pathologists	U.S. Dept. of Education	\$ 5,400
John Sullivan Political Science	Attitudinal Tolerance and Civil Liberties	National Science Foundation	\$ 7,000
Travis Thompson Psychology	Behavioral Approaches to Drug Dependence	National Institute of Drug Abuse	\$153,442

In addition:

John Borchert (Geography) and Will Craig (CURA) received \$3,500 from the Northwest Area Foundation for their study of "Local Government Revenue and Expenditures for the Northwest Area."

Nina Etkin (Anthropology) has received a Fulbright award to conduct research in Nigeria.

Geri Malandra (ORD) has received travel grants from the American Council of Learned Societies and the Smithsonian Institution to present a paper at an international seminar in India.

Russell Menard (History) has received a National Endowment for the Humanities Fellowship for University Teachers, to work on "The Origins of American Slave Society: Race and Class in the Carolina-Georgia Low Country, 1670-1790."

The Western European Area Studies Center (J. Kim Munholland, Director) has received a \$275,000, five-year grant from the Andrew W. Mellon Foundation to encourage the development of area expertise, high levels of disciplinary training and language skills to advance current and future scholarship in Western European Area Studies.

#### IV. TRENDS AND PROFILES

1. **Indirect Cost Recovery from Sponsored Programs: A CLA Increase.** Provost and Vice President for Academic Affairs Rogert Benjamin recently reported that the State Legislature has lowered the indirect cost recovery offset, resulting in increased allocations of indirect cost recoveries. These funds have been distributed to academic units, based on a formula developed by the Senate Committee on Research and approved by the University Senate.

For 1987-88, the College of Liberal Arts received a total indirect cost allocation of \$754,604 an increase of \$484,773 over the \$269,831 allocated in 1986-87. In the same period, the "formula allocation" increased from \$62,550 to \$95,014. (Remaining funds are expended on matches, set-ups, and faculty development and research. See the attached tables, pp. 13-15, for more complete data.)

The formula for allocation is applied against indirect costs generated by expenditures on external grants in the previous year. The increase thus reflects a healthy increase in sponsored research by CLA faculty.

2. **NIH: A Private Research Institute?** In a surprise announcement embedded in a request for FY 1989 funding, federal budget officials have drafted a proposal to convert the National Institutes of Health into a private research center, financed with money from government, industry, and foundations (see attached clipping, p. 12). According to this proposal, NIH would be a "free-standing research institute" comparable to Rockefeller University. Office of Management and Budget officials said the proposed change would have several purposes: to permit more collaboration with industry; to increase salaries for the best scientists in the institutes; and to free them from "bureaucratic constraints that may threaten the 'scientific pre-eminence' of the agency." The purpose is, apparently, not to save money but, instead, to attract and retain scientists of the highest caliber. (Concern has been expressed about federal salary ceilings, which keep senior scientists' pay lower than that of their colleagues in non-government institutions.)

Last year, the administration requested \$5.1 billion for NIH; Congress appropriated \$6.2 billion. Of that amount, approximately \$4.4 billion was distributed in grants to researchers outside the government, while \$657 million was used for intramural research within NIH institutes.

3. **BNS at NSF: Consolidation of Programs.** According to a recent report by the Consortium of Social Science Associations, the Division of Behavioral and Neural Sciences in the Directorate of the Biological, Behavioral and Social Sciences at NSF is operating under an "experimental realignment" during FY 1988. The realignment combines smaller programs into a total of four large programs in order to "improve interaction among program officers with substantively related areas of responsibility and encourage innovation. The four consolidated programs are:

a. Anthropology Program. Supports research in cultural and social anthropology, archaeology, and physical anthropology.

b. Biological Basis of Behavior Program. Supports both laboratory and field research on all biological factors that underlie the behavior of animals, and includes the study of animal behavior per se. A special emphasis is directed toward understanding the neural and endocrine factors responsible for the processes of learning and memory.

c. Language, Cognition, and Social Behavior Program. Supports psychological and linguistic research in all areas of human social, linguistic, and cognitive behavior and the development of behavior in children. Research is supported in the areas of perception, attention, learning, memory, thought, concept formation, attitude formation, personality, emotion, interpersonal processes, social cognition, and social influence. Also included is research on the syntactic, semantic, phonological, and phonetic properties of languages, psychological processes in the production and perception of speech; and the biological foundations of language, cognition, and social behavior.

d. Neuroscience Program. Supports research on all aspects of nervous system development, including factors that influence the formation, growth, and aging of the nervous system; how neurons and glia differentiate and regenerate, and their biochemical and biophysical properties; the generation and transmission of signals by the neuron, molecular, cellular, and physiological mechanisms involved in sensory transduction, neural coding and information processing; and the pathways and mechanisms that process neural activity.

The new division will also include a Studies of Science Program, which will incorporate Ethics and Values in Science and History and Philosophy of Science (the latter being moved from the Social and Economic Science Division). In addition, a new Division of Instrumentation and Resources will be created around the beginning of the new year.

The realignment will not change the scope of the division's interests and, for the moment, there are no fiscal implications of the "experiment," since the nine present BNS program accounts still exist in the FY 1989 budget request from NSF. Moreover, the same number of review panels will continue to operate. It is possible that a more formal reorganization, that would require external (Congressional) consideration, may be proposed during the 1988 calendar year.

4. **More Budget Control to Federal Grantees?** An interagency committee has recommended that the government allow university administrators to make budget changes without waiting for approval from officials in Washington. The revolutionary delegation of budget control--a key feature of an 18-month federal experiment involving 10 Florida universities--could be adopted nationally before the end of the year, if predictions by NIH Grants Policy staff are accurate. The proposal has been sent to the Office of Management and Budget for final approval and, if adopted, could be quickly issued as a

policy letter rather than waiting for a formal change in OMB's grant administration circular A-110.

The change would allow research administrators to transfer funds freely among budget line items such as travel, equipment and laboratory renovation without obtaining prior approval from federal officials, a process that can take weeks. The projects would still be audited after-the-fact by their federal sponsors.

Related recommendations would allow grantees to: automatically carry over grant funds from one budget year to another, rather than returning the money to the government; unilaterally extend the closing date of the grant by up to 12 months; seek reimbursement for pre-award costs of grant projects.

Federal agencies involved in the experiment included: NIH, NSF, the Office of Naval Research, and the Energy and Agriculture Departments. Together, these agencies award approximately 90 percent of all federal research grants to universities.

V. DEADLINES

Internal

February 15	OIE	Development Grants
March 2	CLA	Scholarly Conference Fund
March 3	Graduate School	Grants-in-Aid
April 10	CLA	McMillan/CLA Travel Fund

External

February 1	American Philo- sophical Society	Research Grants
February 1	AAUW	Research and Project Grants for Women
February 5	MHC	General grants (final)
February 15	NEH, Research	Regrants: Conferences, International Research, Selected Areas
February 19	CIC	Foreign Language Enhancement Program
March 1	ACLS	Grants for Travel to International Meetings
March 1	NEH	Summer Seminars for College Teachers (Directors)
March 1	Social Science Research Council	Berlin Program for Advanced German and European Studies
March 7	U.S. Dept. of Education	FIPSE Final Proposals (by invitation only)
April 1	American Philo- sophical Society	Research Grants

April 1	NEH, Education	Humanities Instruction in Institutions of Higher Education
April 1	NEH, Fellowships	Summer Seminars for School Teachers (Directors)
April 1	NEH, Research	Publication Subventions
April 15	MHC	General grants (draft)
April 29	MHC	Visiting Fellowships for Independent Scholars
May 1	NEH	Challenge Grants
May 6	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

# Budget Plan Would Privatize National Institutes of Health

THE NEW YORK TIMES,  
DECEMBER 16, 1987

By ROBERT PEAR

Special to The New York Times

WASHINGTON, Dec. 15 — Federal budget officials have drafted a proposal to convert the world-famous laboratories of the National Institutes of Health into a private research center financed with money from the Government, industry and foundations, according to confidential budget documents.

Under the proposal, which is being studied for possible inclusion in President Reagan's 1989 budget, the laboratories would be placed "in the private sector" as a "free-standing research institute" similar to Rockefeller University in Manhattan, the documents say.

The proposal would alter the structure of one of the most successful medical research enterprises in the world; a scientist there was a co-discoverer of the AIDS virus and researchers there are leaders in studying the genetics of cancer and the biology of heart disease and other fields.

## Strains Over Financing

Officials at the Office of Management and Budget said today that the proposal had several purposes: to permit more collaboration with the biotechnology industry, to increase salaries for the best scientists at the institutes and to free them from bureaucratic constraints that may threaten the "scientific pre-eminence" of the agency.

Over the years, there have often been tensions between the institutes and the budget office, which has tried to cut spending for health research below the levels favored by Congress.

But budget officials said the new proposal was not designed to save money or reduce the budget deficit by the sale of the institutes' assets. Rather, they said it would help the institutes attract and retain superb scientists.

## Proposal Is Denounced

Some scientists expressed concern that the proposed change could impair the quality of biomedical research performed at the N.I.H. campus, because scientists there would be distracted from their work and obliged to help raise money from private sources, including food, drug and chemical companies.

Dr. Philip Leder, chairman of the department of genetics at Harvard Medical School, who worked at the institutes for 20 years, said the proposal represented "an abdication of the Government's responsibility to conduct research at the highest level of sophistication."

The commercial potential of genetics and other basic sciences has grown immensely in recent years as industry applies the fruits of biomedical research to help cure diseases and to develop new forms of plant and animal life.

The proposal has not been approved by Mr. Reagan or his budget director, James C. Miller Jr. But aides to Mr. Miller said he had encouraged them to

develop the idea further.

Exactly how the transfer would be made is not clear. The budget officials said they would probably ask the Department of Health and Human Services to work out details, subject to approval by Congress next year. Apparently the proposal would not involve outright sale of the institutes' assets to private investors, and the Government would continue to provide money to the N.I.H. in its new incarnation. But many staff scientists would be removed from the Federal payroll and would work for the new private research university, according to the proposal.

N.I.H. staff members who review applications from outside the agency for government grants would remain on the Government payroll and the Government would continue to operate the National Library of Medicine, on the N.I.H. campus. So the Government would presumably retain some of the N.I.H. land and buildings.

## \$6.2 Billion Budget

The idea for a "National Institutes of Health University" was given impetus by the recent disclosure that one of the Government's top AIDS researchers, Dr. Robert C. Gallo, was looking into the possibility of leaving the National Cancer Institute to establish a virus research laboratory at a private university with financial support from a biotechnology company.

For the last fiscal year, President Reagan requested \$5.1 billion for the health institutes, but Congress appropriated \$6.2 billion.

About \$4.4 billion of that amount was distributed in grants to researchers outside the Government. But \$657 million was used for research in laboratories directly owned and operated by the National Institutes of Health as part of its "intramural research" program.

The new proposal is consistent with Mr. Reagan's effort to transfer Government activities to private industry whenever possible.

The National Institutes of Health began 100 years ago as a one-room research laboratory on Staten Island. It is now part of the Public Health Service, which in turn is part of the Department of Health and Human Services.

## Likely Skepticism in Congress

The latest proposal would be subject to approval by Congress, although lawmakers have not yet been informed of it. Many members of Congress have supported and protected the N.I.H., and they could be expected to scrutinize the proposal with some skepticism.

The budget documents note that the Department of Health and Human Services "has consistently sought minimal executive branch oversight of N.I.H. spending plans" for its laboratories and other activities. "As a private institution, the N.I.H. intramural program would not be subject to executive branch financial controls," one of the documents says.

As part of the Government, N.I.H. laboratories "face numerous administrative constraints including personnel ceilings, Federal pay scale caps and statutory restrictions which place it at a disadvantage relative to universities" and other recipients of Federal research grants, the documents say.

"Placing the N.I.H. intramural laboratories in the private sector would remove, in one sweep, the need for administrative requirements which may threaten continued N.I.H. pre-eminence."

The documents also say: "As a private research institute, N.I.H. could award degrees, but its success would not depend on it. The N.I.H. University could finance itself through Federal research and training funds from the Department of Health and Human Services, National Science Foundation, Veterans Administration and Defense Department," as well as with funds from foundations and businesses.

Dr. Donald S. Fredrickson, who was director of the National Institutes of Health from 1975 to 1981, said the proposal could "destroy the integrity of an operation that is working well." As now constituted, he said, the N.I.H. can serve as "an action arm of the Government," drawing on a cadre of virologists, molecular biologists and other experts to work on urgent problems, like the search for a vaccine against the AIDS virus.

## Pay Issue Is Raised

Dr. Otis R. Bowen, the Secretary of Health and Human Services, has asserted that Government pay schedules prevent the institutes from offering competitive salaries to highly qualified scientists who could earn more at medical schools or in private industry. He has proposed salaries up to \$110,000 a year for top scientists at the institutes. Storm Whaley, a spokesman for the N.I.H., said the current maximum was about \$83,400.

There would be no statutory limit on the amounts that could be paid to scientists under the proposal to convert the laboratories to a private entity.

A senior official at the Department of Health and Human Services said he had urged officials at the Office of Management and Budget to proceed cautiously. "You don't tinker with an international flagship of health research until you have every i dotted and every t crossed," he said.

The budget office predicted correctly that biomedical researchers would be surprised by the proposal. "Many members of the research community and Congress would interpret this as an attempt to disband N.I.H.," and would "thus oppose it initially," according to a confidential assessment by the budget office.

But, it continues, "Some in the research community who believe that N.I.H. scientists are insulated from competition, because they receive direct appropriations, might welcome a proposal to put N.I.H. on a more competitive research footing with public and private universities."

SCHEDULE I

1987-88 INDIRECT COST RECOVERY FUND ("FY88ICR" IN SYMPHONY - 10/26/87)

(A) TOTAL ICR FUND BUDGETED	_____	27,027,660	
(B) STATE OFFSET	_____	(8,000,000)	
(C) AVAILABLE ICR FUND (A-B)	_____	19,027,660	
(D) ITEMS BUDGETED FOR SYSTEM-WIDE FUNCTIONS	_____	(7,833,344)	
1. ORTTA	_____	(2,312,456)	
2. Departmental Administration	_____	(2,626,050)	
3. Research Animal Resources	_____	(2,046,000)	
4. Graduate School Research Ctr	_____	(516,688)	
5. Undergraduate Research Program	_____	(200,000)	
6. Radiation & Environmental Health	_____	(132,070)	
(E) FUND AVAILABLE FOR CAMPUS DISTRIBUTION	_____	11,194,316	
(F) PRORATED DISTRIBUTION TO DULUTH & MORRIS (based on FY86 data)	_____	(369,504)	
1. Duluth Campus	_____	(361,690)	
2. Morris Campus	_____	(7,806)	
(G) FUND AVAILABLE FOR T.C. CAMPUS	_____	10,824,812	
(H) ITEMS BUDGETED FOR T.C. CAMPUS-WIDE FUNCTIONS	_____	(4,757,297)	
1. Library Acquisition	_____	(2,750,813)	
2. Solid & Hazardous Waste Program	_____	(1,050,695)	
3. High Tech Computing	_____	(947,789)	
a - Research grant for faculty/grad studs			
b - Networking (TC & CIC)			
(I) (G) - ((H)	_____	6,067,515	
(J) CARRY-OVER ICR FUND FROM 86-87	_____	4,653,100	
(K) AVAILABLE ICR FUND FOR T.C. COLLEGIATE UNITS	_____	10,720,623	
(L) FUND ALLOCATED AS OF 10/26/87	_____	(12,071,427)	
**** 1. Formula Distribution (33% of (K))	_____	(3,573,541)	***** see column (16) in SCHEDULE II
2. Allocations as of 10/26/87	_____	(9,297,886)	
a. Matches	(2,070,793)	*****	see column (13) in SCHEDULE II
b. Setups	(3,983,664)	*****	see column (14) in SCHEDULE II
c. Others	(1,094,164)	*****	see column (15) in SCHEDULE II
d. FY87 Deficit	(549,265)		
(O) BALANCE AS OF 10/26/87	_____	(2,150,804)	

\*\*\*\* Total \$ for Formula Distribution to collegiate units is 1/3 of FY88 ICR budget minus system/campus wide expenses plus 1/3 of carry-over ICR fund from FY87.



SCHEDULE III

January 15, 1988

OCT. 20, 1987 - BERIT in Lotus2

INCOME FROM INDIRECT COST RECOVERY BY COLLEGE (Research & Non-Research)

UNIT	FY76	FY77	FY78	FY79	FY80	FY81	FY82	FY83	FY84	FY85	FY86	FY87
	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)
IAPHE:				524,879		676,667						
AGRICULTURE	296,521	316,673	433,371		571,299		588,661	627,942	698,916	781,509	767,630	892,831
FORESTRY	29,946	20,132	17,583		58,559		47,860	25,184	51,371	37,790	83,997	97,049
HOME ECONOMICS	63,137	46,445	29,896		24,331		17,328	42,627	36,613	63,180	42,845	135,129
SPECIAL PROGRAMS	93,543	52,660	16,616		32,328		48,102	35,550	44,979	64,678	94,129	103,437
BIOLOGICAL SCIENCES	423,889	498,435	573,459	732,327	1,025,816	995,216	1,113,630	1,270,871	1,321,795	1,404,145	1,614,718	1,613,534
CONT EDUC & EXT	27,119	39,837	31,356	53,498	62,102	76,847	64,381	62,465	45,738	15,714	6,512	13,451
EDUCATION	546,516	512,510	489,300	515,589	741,695	791,360	536,970	594,748	578,753	717,792	594,717	689,110
GENERAL COLLEGE	10,395	21,444	38,439	26,110	37,970	32,620	41,813	54,617	30,952	24,000	26,953	34,972
GRADUATE SCHOOL	385,991	312,847	405,462	548,889	473,223	501,392	618,024	748,930	734,257	768,647	791,966	732,954
HHH INSTITUTE									5,103	6,427	18,807	2,234
LAW(incl library)	15,684	6,694	1,044	928	(478)	2,227	3,545	1,332	16,179	20,587	4,046	10,090
LIBERAL ARTS	459,327	510,495	670,249	789,756	971,541	807,054	620,137	589,047	386,837	451,732	539,885	747,254
MANAGEMENT	12,335	23,253	31,348	32,006	22,370	53,061	41,219	7,576	31,036	114,706	95,567	34,013
TECHNOLOGY	1,881,428	2,061,178	2,198,858	2,611,287	3,103,866	3,554,321	3,942,938	4,317,891	4,686,060	4,881,695	5,522,637	5,877,671
UNIVERSITY COLLEGE	1,981	15,870	9,557	1,499				1,600	1,004		4,685	(5,174)
HEALTH SCIENCES:				458,340		244,851						90,743
DENTISTRY	214,063	188,785	151,462	168,714	195,140	235,925	344,150	281,071	257,284	383,418	413,522	349,360
MEDICAL SCHOOL	4,262,335	4,251,294	4,412,323	4,952,493	6,348,192	6,585,001	7,271,047	7,465,996	7,610,637	8,544,711	9,510,107	11,725,891
MEDICINE-DULUTH											336,661	389,815
NURSING	45,828	60,555	58,727	76,883	85,188	103,699	55,722	28,473	17,130	24,079	18,482	25,788
PHARMACY	70,883	58,831	64,005	81,009	108,249	130,198	131,397	113,784	132,633	151,392	184,532	235,005
PUBLIC HEALTH	579,409	493,798	664,382	1,003,153	1,227,342	1,580,935	1,968,574	2,022,844	2,541,305	2,961,501	4,273,131	4,226,357
VETERINARY MED	78,352	101,390	113,907	81,884	105,541	138,975	121,920	133,269	160,379	171,130	275,185	292,560
SPECIAL PROGRAMS	211,385	331,439	349,785		413,947		205,127	274,059	206,634	231,466	259,055	2,014
COORDINATE CAMPUSES:												
CROOKSTON	916	1,975		111	40	231	260	2,795			1,995	1,814
DULUTH	131,508	148,972	212,071	264,121	347,648	444,394	463,483	504,493	553,503	566,995	399,013	432,940
MORRIS	32,667	14,900	40,853	15,125	46,263	136	433	3,088	9,520	5,677	14,954	421
WASECA	2,191	3,336	3,546	3,663	7,709	7,322	7,514	7,060	3,448	772	1,742	2,126
OTHER MISC.	179,237	229,940	245,528	53,636	318,256	254,234	379,725	679,487	418,562	49,227	543,326	426,514
TOTAL	9,976,586	10,323,600	11,263,127	112,995,820	116,328,137	117,216,666	118,633,960	119,816,799	120,500,620	122,443,050	126,440,799	129,179,963

LARES, Vol. XIII, No. 3, p. 15

# LARES

## Liberal Arts Research Newsletter

March 15, 1988

LARES, Vol. XIII, No. 4

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

Editor: Geri H. Malandra

### I. GENERAL ANNOUNCEMENTS

**1988 and 1989 Federal Budgets: Good or Bad News?** This year, results of the FY 1988 budget process and the start of work on the FY 1989 budget have overlapped since the FY 1988 budget, which should have been in place last October 1, was finally approved as a \$600 billion continuing resolution just before Christmas. Instead of the dozen-or-so regular appropriations bills which normally provide funds to government agencies, this single bill included all areas at once. The good news is that despite dire predictions, increases were made in some parts of most agency budgets. The bad news is that the increases were less than expected and needed.

The massive Department of Health and Human Services, which includes the National Institutes of Health and the Alcohol, Drug Abuse and Mental Health Administration, received an overall 2.3% increase, largely for AIDS-related activities and human development services. NIH received \$6.7 billion, a \$0.5 billion or 8% increase over 1987, but much less than the \$7 billion expected. As a result, NIH will be able to fund about 6,100 new and competing continuation grants in 1988, approximately 300 less than in 1987, in order to continue existing funding commitments. And, after delays in specific funding decisions, researchers are now hearing that their newly funded projects will be cut by as much as 20%, as NIH spreads the losses across program divisions.

The National Science Foundation received a \$94 million, or 6%, increase over its 1987 appropriation. This was, however, \$176 million less than the administration request. Most of the increase is targeted at science education, while funds for research increased only 3.3%. The new Science and Technology Centers program received no money; although the competition will continue (300 proposals were received by mid-January), funding decisions will be postponed at least until the start of FY 1989 on October 1, 1988.

The Department of Education received a \$0.4 billion, or 3% increase, largely for literacy, anti-drug abuse, handicapped, and bilingual education

programs. Funds were actually reduced for foreign language studies, the Fund for the Improvement of Postsecondary Education, and higher education cooperative programs. The National Endowments for the Humanities and Arts were essentially level funded, once again after Administration requests to severely cut their budgets.

Looking ahead to the 1989 budget, someone has calculated that the President's \$1.09 trillion request works out to a spending rate of \$34,500 per second for the entire year. The Administration budget includes what appear to be healthy increases for many research and higher-education-related programs, especially those focusing on AIDS, basic research, science training, technology development, and drug abuse: a 19% increase for NSF; a 6.8% increase for NIH, and in a reversal of previous attempts to underfund or eliminate the Department of Education, a 4% increase.

However, the effects of the 1988 budget process will linger: a limitation was set on total spending increases of no more than 2% over the 1988 level for non-defense discretionary programs. With so little leeway, the President's request has been called "a complete fantasy," by one Congressional aide, and another Congressional staffer called the process a "zero-sum game." To increase one program, others must be diminished. In an election year, it is less likely than usual that Congress will be willing to set priorities that will be unpopular with one constituency or another. So, we should expect across-the-board reductions (or only small increases), instead of more dramatic increases or decreases in specific program budgets. This, unfortunately, means that the research belt-tightening which many investigators have experienced will continue. At least, because of the elections, there should be stronger motivation to complete the budget process in a more timely fashion than last year, so that program announcements and funding decisions will come out more or less on schedule.

## II. FUNDING NOTES

### Internal

1. **CLA Travel/McMillan Travel Fund.** The spring application deadline is April 11 for funds to cover transportation and living expenses during the period June 16 to December 15 for research or to present the results of scholarly or creative activity at major national or international conferences. CLA faculty, administrative staff, and graduate students are eligible to apply. Guidelines and application forms are available in the CLA Faculty Affairs Office, 624-9839.

2. **Office of International Education Development Grants.** Grants 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 July, August or September activities; August 15 for October, November or December activities. Information and application forms are available from the OIE Development Grant Coordinator, 624-5580.

**3. Research Explorations (Support for Faculty Research).** Research Explorations is an innovative research enhancement program that facilitates adult volunteer participation in University of Minnesota faculty research. Because participants (selected by the project leader) pay for their involvement in research, the project receives supplemental funding in the form of a modest stipend. The program provides capable public assistance in lab and field work, and greater community exposure for faculty research. Interested faculty or research assistants may call program director, Claire Walter-Marchetti at 624-9345, or secretary, Susan Gorman, at 626-0214, for more information or a proposal form.

### External

**1. National Endowment for the Humanities Fellowships for University Teachers.** June 1 is the annual deadline to apply for fellowships that provide junior and senior scholars with six to twelve months' support (a maximum stipend of \$27,500) for advanced study or research in history, philosophy, languages, linguistics, literature, archaeology, jurisprudence, the history, theory and criticism of the arts, ethics, comparative religion, and aspects of the social sciences that employ historical or philosophical approaches. Work supported by NEH Fellowships may contribute to scholarly knowledge, to the conception and substance of individual courses in the humanities, or to the general public's understanding of the humanities. Projects may address broad topics or focus on research in a specialized field. Applications are evaluated according to the quality of the applicant's work as a teacher, scholar, or interpreter of the humanities; the significance of the contribution the proposed project will make to thought and knowledge in the applicant's field and to the humanities generally; the conception, definition, organization, and description of the proposed project; and the likelihood that the applicant will complete the project. ORD will have application materials. Additional information can be obtained from: Division of Fellowships and Seminars, Room 316, NEH, 1100 Pennsylvania Ave., N.W., Washington, DC 20506.

**2. National Endowment for the Humanities Research Division Texts Program.** June 1 is also the deadline for two grant lines in this program:

**Translations.** Support is provided for individual or collaborative projects to translate into English works that provide insight into the history, literature, philosophy, and artistic achievements of other cultures

and that make available to scholars, students, teachers, and the public the thought and learning of those civilizations. Applications may propose to translate from any language, and the texts to be translated may be either primary sources or secondary works. Eligible projects include translations of significant single works, the complete works of a writer or school, and collections or anthologies. Applications must demonstrate that the texts to be produced will be of value to a diverse audience but are not likely to be commercially profitable. Awards are made for up to three years, and usually range from \$3,500 to \$100,000 per year.

**Editions.** Grants in this category support various stages in the preparation of authoritative and annotated editions of works and documents of significant value to humanities scholars and general readers. Support is provided for projects that make available important texts and documents that have been either previously unavailable or accessible only in seriously flawed editions. Applicants must demonstrate that the form (printed, microform, or a combination) proposed for the edition represents the most effective means of disseminating the material. (In order to encourage the preparation of editions of the letters and papers of American artists, NEH makes available small planning grants that allow scholars to conduct surveys of the type, quantity, importance, and location of existing documents.) Awards are made for up to three years and usually range from \$25,000 to \$100,000.

ORD has program descriptions and application forms. NEH encourages prior consultation about grant applications in these categories. For additional information, contact Division of Research Programs: Texts, NEH, Room 318, 1100 Pennsylvania Ave., N.W., Washington, DC 20506. Telephone: (202) 786-0207.

**3. American Philosophical Society.** The APS grants about \$400,000 a year in support for scholarly research in all areas of knowledge. Grants may cover living costs while away from home; microfilms, photostats and photographs; consumable supplies; and necessary foreign and domestic travel. The maximum grant that will be made for a full professor is \$2,500. The APS will also consider making supplemental grants for travel if an applicant has received other grants (e.g., NEH, Guggenheim, SSRC) that do not include travel that is necessary to the applicant's research program. Deadlines for applying are: April 1, August 1, December 1, February 1. Decisions are made within three months. For application forms, briefly describe your project and proposed budget in a letter to: Committee on Research, American Philosophical Society, 104 South Fifth St., Philadelphia, PA 19106.

**4. United States Institute of Peace.** The focus of the Institute is on questions of international peace and conflict resolution. It carries out this mandate with a program of grants supporting basic and applied research, education projects, training and symposia, and through publications. Current research interests include: the relationship between adherence to international human rights standards and international peace; perceptions of

peace across political systems and ideologies; negotiations; relationship between domestic political systems and the aggressive use of force; strengthening the non-use-of-force provisions of the UN Charter; and mediation of political change. There is also interest in developing curricula and materials on negotiation, mediation, and conciliation theory, teaching, and training. Applications may be submitted at any time. ORD has additional information about applications. You may contact the Institute at: United Institute of Peace, 1550 M St., N.W., Suite 700, Washington, DC 20005-1708. Telephone: (202) 457-1700.

5. **Center for the Humanities, Oregon State University 1988-89 Research Fellowships.** Up to four research fellows will be appointed for 1988-89, for work within the current theme, "Revolution in the Arts, Science, and Society." Residencies are available for either Fall (August-December) or Spring (January-May). In rare instances, a two-term residency may be considered. Research Fellows will pursue individual research writing. In addition, they will be expected to contribute to the intellectual vitality of the humanities at Oregon State through teaching one course or seminar, or by presenting a short series of public lectures or seminars. Stipends will range up to \$14,000 per term depending on sabbatical or other fellowship support and current salary. Travel allowances and other benefits may also be available. The application deadline is April 15, 1988. For application forms, write: Peter J. Copek, Director, Center for the Humanities, Oregon State University, Corvallis, OR 97331. Telephone: (503) 754-2450.

### III. AWARDS

Between mid-January and early March, 1988, we have received notice of awards to the following CLA faculty members:

NAME & DEPARTMENT	PROJECT	SOURCE	AMOUNT
Patricia Broen Communication Disorders	Familial Risk for Articulation Disorders	National Inst. Neurological, Communicative Disorders	\$ 70,188
Dwight Burkhardt Psychology	Vision and Intraretinal Potential	National Eye Institute	114,152
Richard Depue Psychology	Persons at Risk for Depressive Disorders	National Institute of Mental Health	138,157

Marcia Eaton Philosophy Harrison Fraker Architecture	Architecture and the (Ir)relevance of Beauty	Minnesota Humanities Commission	12,747
Robert Leik Family Studies Center	Disabled Homemaker Program	Minnesota Dept. of Jobs and Training	1,050
Gordon Legge Psychology	Psychophysics of Reading	National Eye Institute	152,520
Mark Rosenzweig Economics	Comparative Study of Health, Morbidity and Mortality	National Institute of Child Health	17,942 (first 3 months only)
Nancy L. Segal Psychology	New Studies of Twins and Twin Relationships	National Science Foundation	48,349
Mark Snyder Psychology	Motivational Foundations of Behavioral Confirmation	National Science Foundation	79,274
Rudolph Vecoli Immigration History	Records of the Order of the Sons of Italy	Sons of Italy Foundation	33,278

#### IV. PROFILES AND TRENDS

1. "Another Historian Is Up in Arms"--Political Bias at the National Endowment for the Humanities? The attached article from the New York Times (page 11) resurrects a question that many have asked about NEH practically since its inception. To what extent does political bias, either among program staff, NEH leadership, peer reviewers, or the National Council on the Humanities, affect funding decisions? In this case, a proposal to publish an issue of the Journal of American History on "The Significance of the Constitution for American Development" was rejected because, reviewers finally concluded, it would emphasize present values rather than historical antecedents of the Constitution.

The case sheds light on the review process, particularly the significance of interaction among reviewers. Initially, two panelists ranked the proposal "excellent," one "very good," one "some merit, but not recommended," and one, "not recommended." At the panel meeting, one panelist pointed out the emphasis on "present values;" this apparently convinced the

panel as a whole to reject the proposal. The program officer involved also pointed to the "unusual nature of the budget," reporting that "several panelists stated emphatically that public funds should not be used to underwrite what amounts to a free issue of the J.A.H. for the 11,500 members of the organization." As she put it, "Sometimes something comes up in the group that changes the minds of some panelists."

Because the proposal seemed so unusual, the staff called it to the attention of the National Council on the Humanities and to Lynn Cheney, Chairman of the Endowment. The Council formally reviews all proposals, and makes funding recommendations to the Chairman of NEH, who makes final decisions. In many cases, the Council and the Chairman follow the recommendation of reviewers as they apparently did with this proposal. In other cases, however, the Council and/or the Chairman can ignore the panel's advice and reject a recommended proposal.

Samuel Gammon, executive director of the American Historical Association, commented that he does not believe NEH applies political tests to grant proposals, but he acknowledged that "There is a feeling that they shouldn't go too far in supporting violently left-of-center or even left-of-center operations."

(NEH has a formal appeal procedure for applicants who believe their proposals received unfair or flawed reviews. The first step is to request from the appropriate program officer written reviews and summaries of panel discussions. Endowment staff will review the process and, if irregularities are found, a new review will be set up.)

**2. What to Do If Your Proposal Fails? Advice from the Federal Agencies.** According to a recent National Institutes of Health study of first-time grant applicants since the 1960s, if your grant application fails, the best response is to try again and keep on trying. Approximately half of all first-time applicants finally succeeded, even it took a while. Although it may be difficult to imagine waiting so long, in one case, two investigators who first submitted applications in 1970 were finally funded in 1986.

A similar study by the National Science Foundation shows that resubmitting proposals improves funding chances there, too. Among investigators who submitted applications to NSF in FY 1985, 36% were successful on first submittal; on resubmission another 27% were funded.

Another note of optimism for first-time applicants: NIH data show that new NIH applicants have as good a chance of being funded as previously funded investigators. According to the NIH study, success rates for first-timers are about the same as success rates for old-timers submitting new applications. This might discount the sense that an "old boys' network" determines most funding decisions.

Of course, the competition is severe for everyone. AT NIH in FY 1987, initial review groups evaluated over 14,113 new and competing regular research grants. 13,209 were recommended for funding but only 5,018 were actually funded.

To succeed, resubmitted proposals must take into account comments of reviewers and program staff. According to NIH and NSF grant officials, many

proposals have considerable scientific value but are unfundable for reasons ranging from lack of funds to a lack of program "fit." If an NIH review group finds an application scientifically meritorious but flawed, it often will recommend that the applicant make specific revisions and submit an amended application, which will be reviewed again, usually two cycles later.

Common reasons for disapproval of applications include: not following instructions; poor organization and writing; and unrealistic budgeting. Other factors may be: apparent lack of new ideas; an unfocused research plan; poor treatment of the literature; inadequate grasp and explanation of methodology; poorly detailed research goals; taking on too much; lack of sufficient experimental detail; an uncritical approach.

NIH and NSF automatically send to applicants copies of reviewers' comments, and encourage contact with the agency to discuss ratings and reasons for rejection. The Education Department and the National Endowment for the Humanities only send reviewers' comments and staff assessments upon written request of the applicant. As noted above, if all else fails, agencies have mechanisms for appeal and rebuttal, but officials note that decisions about intellectual or scientific merit are seldom overturned.

**3. Sponsored Programs at the University: Ten-Year Trends.** The attached tables (pp. 12-13) illustrate trends in sponsored research reported earlier by our Office of Research and Technology Transfer Administration. Overall, sponsored program expenditures at the University have increased from \$80 million in 1978 to over \$160 million in 1987, with a sharper increase since 1983. The number of proposals submitted in this period has ranged from just under 2,500 to just over 3,000; total dollars requested peaked in 1986 at about \$425 million. Because the size of proposals varies significantly, the number of proposals submitted and the amount requested do not correlate exactly year by year.

For the College of Liberal Arts, the pattern is slightly different. From 1978 to 1980, sponsored program expenditures ranged from just over \$4 million to just over \$5 million. Dollars requested and proposals submitted were also relatively high. From 1981 to 1984 there was a decline in dollars requested and in sponsored expenditures. However, since then, CLA, like the University as a whole, has experienced a steady increase in all three measures of sponsored research activity; in 1987, sponsored expenditures were nearly \$4.5 million. And, if CLA activity in 1988 equals in the second half year at the pace of the first half, the upward trend should continue.

**4. Peers and Media Influence Funders.** College of Liberal Arts faculty member Joseph Galaskiewicz (Sociology) has recently completed research on the behavior of grantmakers. Galaskiewicz, who has examined patterns in corporate grantmaking in Minnesota, has found that "an indirect network effect" exists. Even though individual funders independently evaluate proposals, it is likely that they will also consult colleagues in another corporation or foundation who may have additional information about potential grant recipients. He also has found that members of the same local grantmaker associations tend to think similarly, even if they do not know one another.

This similarity is particularly striking among grantmaking officers of "core corporate grantmakers in Minnesota."

These conclusions underscore the importance of conducting careful background research if a project seems appropriate for foundation or corporate support. [Story from Giving Forum, Minnesota Council on Foundations, February, 1988.]

V. DEADLINES

April 1	American Philo- sophical Society	Research Grants
April 1	ACLS	China Conference Travel Grants (June-August conferences)
April 1	NEH, Education	Humanities Instruction in Institutions of Higher Education
April 1	NEH, Fellowships	Summer Seminars for School Teachers (Directors)
April 11	CLA	McMillan/Travel Fund
April 15	Minnesota Humani- ties Commission	General grants (draft)
15	National Research Council	Senior and Postdoctoral Research Associateships
April 29	MHC	Visiting Fellowships for Independent Scholars
May 1	NEH	Challenge Grant (prelim due March 17)
1	NSF	International Cooperative Science programs
May 6	MHC	General grants (final)
May 10	NIH	Fogarty International Center Fellowships
May 15	Office of Inter- national Education	Development Grants (July, August, September activities)
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
July 1	NSF: BBS	Archaeology; Cultural Anthropology; Physical Anthropology; Social and Developmental Psychology
15	NEH	Travel to Collections
August 1	APS	Research Grants

August 15	OIE	Development Grants (October, November, December activities)
Sept. 15	CIES-Fulbright	Research/Lectures in Europe
15	(approx) NEH	Summer Stipends: Internal Deadline
30	ACLS	Fellowships
October 1	ACLS	Travel Grants: International Meetings
1	Guggenheim	Fellowships
1	Woodrow Wilson Center	Residency Fellowships
1	NEH	Summer Stipends (agency deadline)
1	NEH, Education	Humanities Instruction in Institutions of Higher Education
1	NIH	Research Grants
5	Graduate School	Grants in Aid
15	National Humanities Center	Residency Fellowships

THE NEW YORK TIMES WASHINGTON TALK THURSDAY, JANUARY 7, 1988

Endowment for Humanities

# Another Historian Is Up in Arms

By MARTIN TOLCHIN

Special to The New York Times

WASHINGTON, Jan. 6 — The Reagan Administration is being accused of exercising conservative bias on historical projects through the National Endowment for the Humanities.

Only a few weeks ago, several prominent historians criticized the Commission on the Bicentennial of the United States Constitution, saying it had emphasized such things as fireworks and "circuses" rather than academic projects in the celebration last year.

Now comes David Thelen, a history professor at Indiana University, who contends that "right wingers" in the Reagan Administration have captured the National Endowment for the Humanities, with ominous consequences for the country's academic community.

**Ideology and Aid**

At issue now is whether the Administration, through the endowment, is rejecting grants to applicants perceived as having less than sufficient credentials as conservatives. More generally, the dispute is also about whether historians should concentrate on the past or the present.

Professor Thelen, who is editor of The Journal of American History, charged that grant applicants must now pass an ideological litmus test. "The N.E.H. is not supporting good scholarship in American history that focused on the Bicentennial," he said, "and the reason appears to be that that right-wingers are deciding to place ideology above scholarly competence."

To the endowment, however, Professor Thelen is "a disgruntled applicant — a scholar scorned," in the

## Is there an ideological litmus test for U.S. grants?

words of Marguerite Sullivan, director of the endowment's Office of Public Affairs. She firmly rejected any implication that ideology played a role in the awarding of grants.

The dispute involves the endowment's rejection of Professor Thelen's request for \$13,520.71 to underwrite a special, 562-page double issue of his history journal. A major reason for the rejection, an N.E.H. official wrote Professor Thelen, was that the proposed journal illuminated "contemporary rights rather than 'originalist conceptions.'"

"Originalist theory," which focuses on the original intent of the founding fathers, is expounded by some conservatives, including Attorney General Edwin Meese 3d and Robert H. Bork, the Federal appellate Judge who was rejected by the Senate as a Supreme Court nominee.

The dispute has touched off a broader controversy involving the N.E.H. and the academic community. One leading historian said the academic community had adjusted to ideological shifts in various eras, moving from a more liberal approach in the Administrations of Presidents Johnson and Carter to a more conservative approach in the Reagan years.

"What has been going on throughout the 1980's is that these panels

have been heavily stacked by people on the right," said the historian, who declined to be named.

Professor Thelen's project, the newly published issue of the Journal of American History, is dedicated to "The Significance of the Constitution for American Development." Its contributors include a roster of distinguished scholars, including Walter LeFeber of Cornell University, Morton Keller of Brandeis University and Harry N. Scheiber of the University of California Law School at Berkeley. Cornell University Press plans to reprint the issue in hardback and paperback editions this spring.

The journal's grant application received a ringing endorsement from Michael Kammen, a professor of American history and culture at Cornell who is the author of a highly acclaimed constitutional work, "A Machine That Would Go Of Itself."

"I thought it was an excellent project, a worthwhile project," Mr. Kammen said.

The application itself was judged by a five-member panel made up of three historians and two editors of university presses.

**Panel's Original Vote**

At first, two of the panelists ranked the proposal "excellent," one "very good," one "some merit, but not recommended," and one "not recommended." The panel then met in Washington June 1, and rejected the proposal.

The panel was headed by Margot Backas, the endowment's assistant director of the texts program. Last September she wrote Professor Thelen, informing him of the reasons the application was rejected.

"The panelists were at first divided in their opinions," Ms. Backas wrote. "Two found it a well-conceived plan, with essays by some of the best political, legal and constitutional historians in the country, and edited by a scholar who was described by one panel member as 'the best in the history-journal business, with a great sense of innovation and rich imagination.' During the discussion, however, a number of negative points were aired."

"One panelist noted that although the idea of a special issue of the J.A.H. on the Constitution was an excellent one, the project description suggested that the editor was more interested in the illumination of contemporary rights than 'originalist conceptions,' which he found an unusual orientation for a journal of history. This concern was then echoed by one of the panel members who had originally supported the project."

"Of equal concern," Ms. Backas continued, "was the unusual nature of the budget." She said that "several panelists stated emphatically that public funds should not be used to un-

derwrite what amounts to a free issue of the J.A.H. for the 11,500 members of the organization.

The "originalist" theory of the Constitution is espoused by some conservatives who believe that constitutional interpretation should strictly adhere to the original intent of the founding fathers and those who adopted the amendments, rather than be guided by contemporary values. It has become a central tenet of Reagan Administration conservatives.

Ms. Backas wrote that "because of the unusual nature of the proposal, the staff called it to the attention of the National Council on the Humanities, asking for their guidance." In addition, Ms. Backas said, the staff called the proposal to the attention of Lynne Cheney, chairman of the endowment, before she made the final decision.

Professor Thelen wondered what happened between the panelists' initial enthusiasm for the project and their meeting when they voted it down. "Something at the meeting in Washington changed their minds," he said. "Something at the meeting caused them to focus on the 'presentist' and 'originalist' issues."

Ms. Backas responded, "Sometimes something comes up in the group that changes the minds of some panelists."

Professor Thelen said he believed that objections to the proposal on the grounds that it did not adhere to "originalist conceptions" of the Constitution represented the interjection of "right-wing political passions" into what should be a purely academic process. He said he could not understand why the decision received the unusual scrutiny of the humanities council and the N.E.H. chairman.

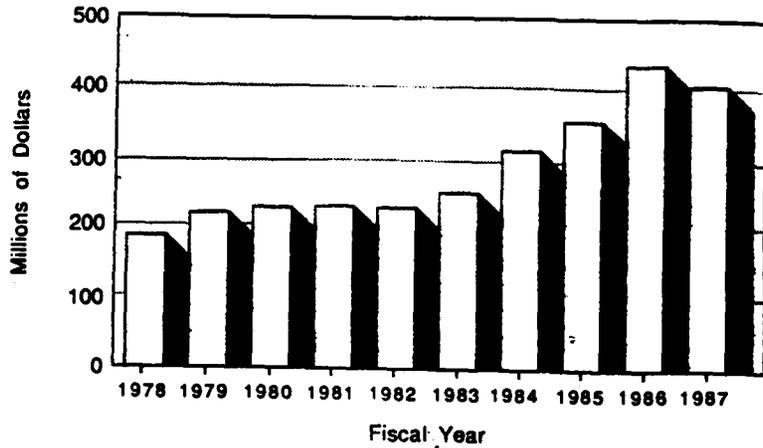
Dr. Herbert London, dean of the Gallatin Division of New York University, who served on the panel, recalled raising the question of the proposal's orientation. "The emphasis was on present values rather than on historical antecedents of the Constitution," he said. But Dr. London said he did not consider that criticism "political," and said he considered himself a "centrist."

Dr. Samuel Gammon, executive director of the American Historical Association, said he did not believe that the endowment applied political litmus tests to grant proposals, but said "There is a feeling that they shouldn't go too far in supporting violently left-of-center, or even left-of-center operations."

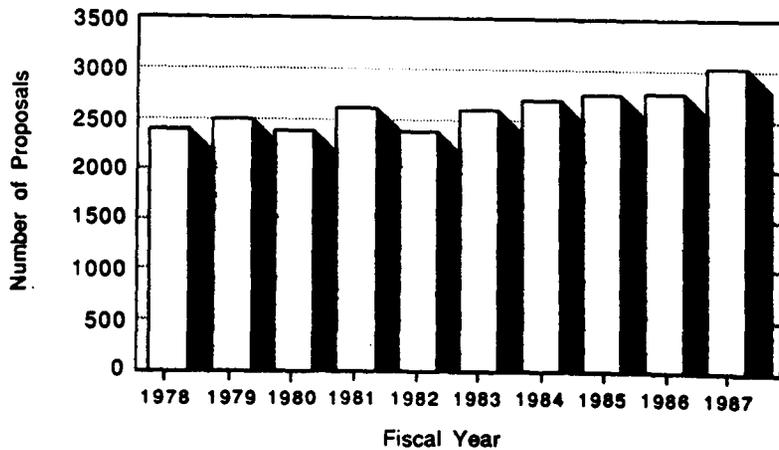
Ms. Backas said the proposal was rejected mainly because it did not envision a broader audience than the journal's readership. She said the panelists, who acted independently, did not believe that the endowment would be justified in subsidizing the journal's subscribers.

# University of Minnesota Proposal Activity

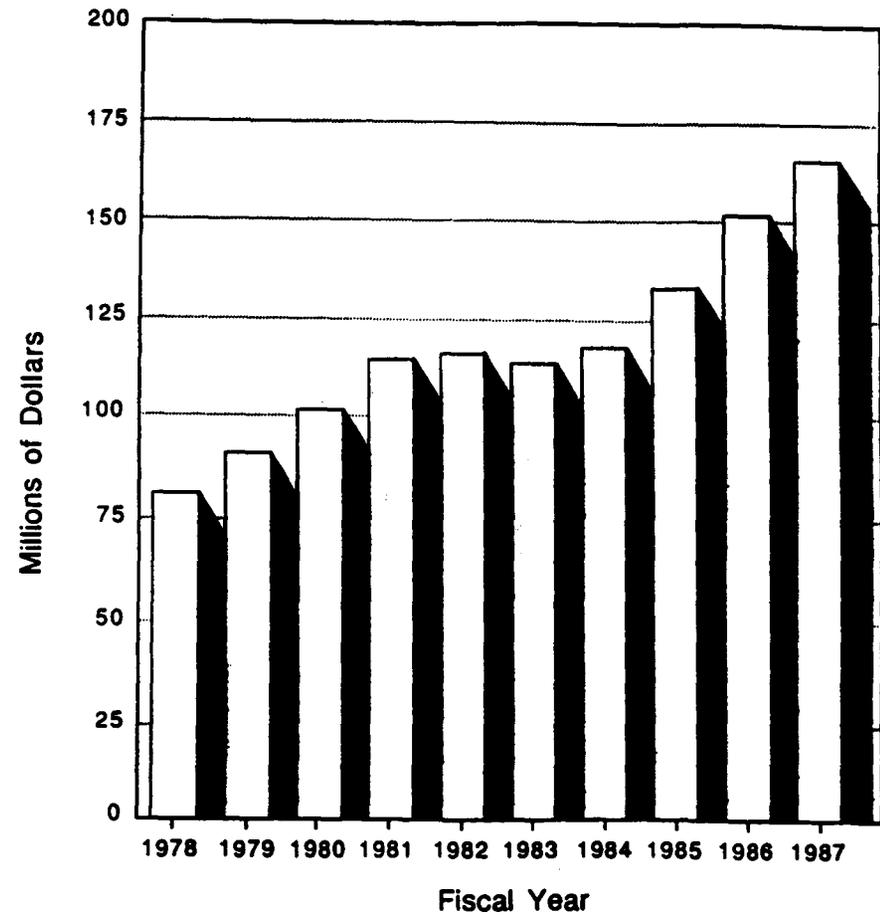
## Dollars Requested on Proposals



## Number of Proposals Submitted

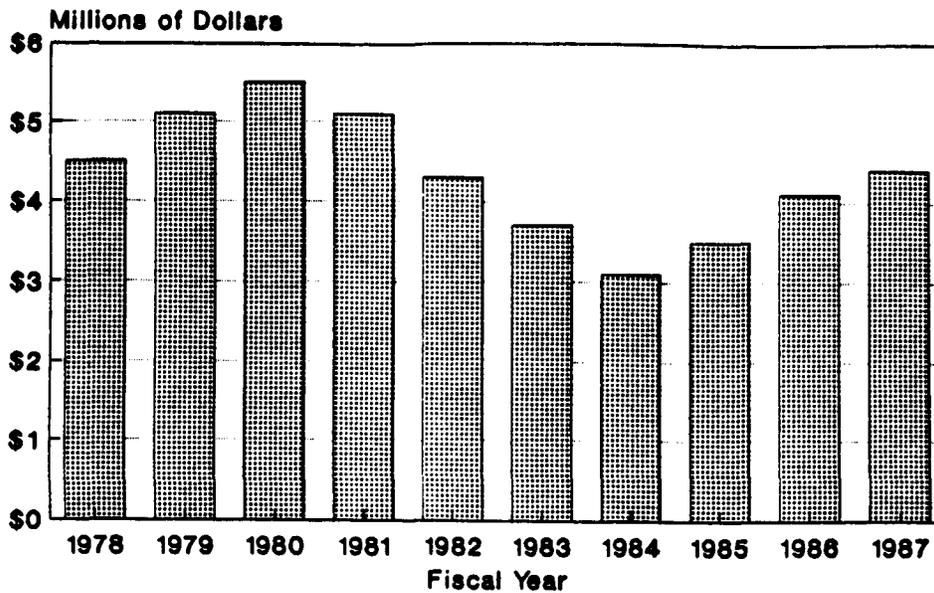


# University of Minnesota Sponsored Program Expenditures

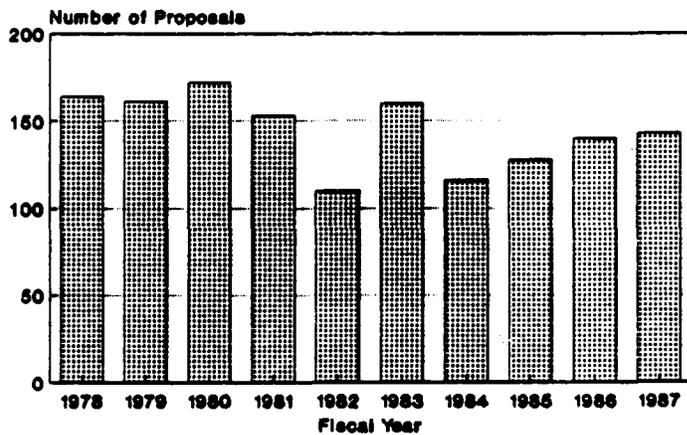


# College of Liberal Arts

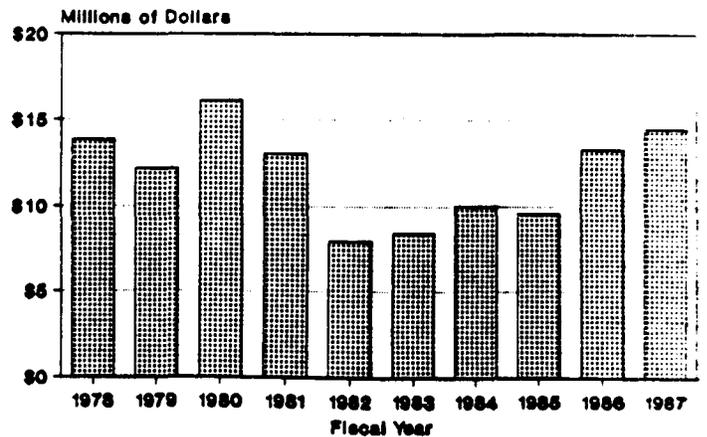
## Sponsored Expenditures



## Number of Proposals Submitted



## Dollars Requested on Proposals



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# LARES

## Liberal Arts Research Newsletter

May 25, 1988

LARES, Vol. XIII, No. 5

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

Editor: Geri H. Malandra

### I. FROM THE DIRECTOR.

#### Certainties.

Professor Shmuel Shulman, who is a visiting professor in Child Development, expressed deep regret when the early March thaw came and it appeared that all of the snow would soon disappear. He had never seen snow in his native Israel and he was reluctant to see the miracle disappear. He was also under some pressure from his three daughters to do something to avoid the calamity, and so he spoke to me. As a foreigner he couldn't be expected to realize that I had been in Minneapolis for only 27 years and so have very little influence on such local matters as the ebb and flow of snow. Nonetheless, his confidence in me inspired an uncharacteristic boldness and I assured him there would be at least one more snow storm, probably coincident with the state basketball tournament. Satisfied, he carried the news back to his family. They were momentarily reassured and we did have enough of a further sprinkling that my credibility as a soothsayer is not entirely damaged. I had some anxious moments, though.

My problem, I decided, was with my assuming an air of certainty. It simply doesn't sit well. Uncertainty is much more comfortable. It fits well with attitudes that make more of the search for answers than the answers themselves, with having learned to be very cautious not to interpret the data from the laboratory too dogmatically. Uncertainty drives our research and keeps us restlessly pursuing new ideas. It is also the name for that blessed period between having submitted a grant application or a manuscript, and the moment of certainty when we know whether or not we have been successful. I have come to celebrate uncertainty as a respite from the rigors of knowing something to be unquestionably true.

If you will forgive a bit of self advertisement, just these past few weeks I have achieved uncertainty concerning a pending grant application; a review of an article I submitted; the choice of a textbook for a course I'll be teaching in the fall; the topic for a proposed honors colloquium. These are small accomplishments, not doubt, but all in the right direction. Eventually, these will all fade into obscure and less interesting certainty, and will have to be replaced by bolder initiatives of some sort or another. In the long run, nothing succeeds like uncertainty. Jerry Siegel

FROM THE EDITOR.

Trends in CLA Research Grant Proposals and Awards.

**Proposals.** From July 1, 1987 to March 31, 1988 CLA faculty have submitted 113 proposals for external funding, requesting \$21,322,643. (This compares favorably with the total requested in 1985: 85 proposals for \$9,590,669, and in 1986: 140 for \$13,306,678.)

**Awards.** From July 1, 1987 through March 31, 1988, 70 awards were received for a total of \$4,394,667. (In 1986, total CLA sponsored research expenditures were \$4,108,368.)

In both categories, assuming the pace continues at this rate in the last quarter of the 1987-88 year, it appears that CLA will increase activity substantially over past years.

For the Future. While we prepare to enjoy the uncertainties and pleasures of summer, please keep two certainties in mind. First, deadlines for important fellowship opportunities--Guggenheim, American Council of Learned Societies, Fulbright--will fall in late September and early October. Second, our office will be open all summer to assist in finding sources of research funding, contacting agencies and foundations, and preparing grant and fellowship proposals.

Research Information Brochures. We are happy to announce that our research information brochures are back, updated and reprinted for easier reading. They should be available in early summer. Please see the order form/mailer on the last page.

II. FUNDING NOTES--Internal

**\*\*\*New Indirect Cost Agreement.** The University has recently negotiated new Indirect Cost Rates with the Department of Health and Human Services. The Indirect Cost Rate (ICR) agreement is dated March 28, 1988. It is effective immediately, and the new date should be used on all applications. You should note that the new ICR agreement covers a 4-year period and will be in effect through June 30, 1990. Following are the new rates to be used for budgeting purposes:

	07/01/86 06/30/87	07/01/87- 06/30/88	07/01/88- 06/30/89	07/01/89 06/30/90
Research				
On-Campus	42.0	42.5	43.0	44.0
Off-Campus*	20.5	20.8	21.0	21.5
Other Sponsored Activity				
On-Campus	33.4	33.4	33.4	33.4
Off-Campus*	16.8	16.8	16.8	16.8
Instruction				
On-Campus	68.7	68.7	68.7	68.7
Off-Campus*	27.9	27.9	27.9	27.9

\*A project is considered off-campus if more than 50% of the direct salaries and wages of personnel employed on the project are incurred at a site neither owned or leased by the University of Minnesota.

In preparing proposal budgets in which the funding period crosses fiscal years, indirect costs should be calculated by prorating the direct cost base by the number of months in each year and then applying the appropriate indirect cost rates. For example, if total direct costs for the funding period 10/01/88 through 09/30/89 are \$48,000:

1. Determine the average direct costs per month,  $\$48,000/12 = \$4,000$ .
2. Multiply the direct costs per month times the number of months applicable to each fiscal year.

$$\text{FY 89} - \$4,000 \times 9 = \$36,000$$

$$\text{FY 90} - \$4,000 \times 3 = \$12,000$$

3. Apply the appropriate indirect cost rate for each fiscal year to these amounts, and sum the results to obtain the total budgeted indirect costs for the funding period.

$$\text{FY 89} - \$36,000 \times 43\% = \$15,480$$

$$\text{FY 90} - \$12,000 \times 44\% = \$5,280$$

$$\text{Total budgeted IDC} = \$20,760$$

[Source: ORTTA Newsletter]

Please call us, or the appropriate ORTTA Grant Administrator if you have questions about applying the ICR to a particular proposal or award.\*\*\*

1. **Office of International Education Faculty Grant Program.** Grants 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 or December activities; November 15 for activities beginning in January, February or March. Information and application forms are available from the OIE Development Grant Coordinator, 624-5580.

2. **Research Explorations (Support for Faculty Research).** Research Explorations is an innovative research enhancement program that facilitates adult volunteer participation in University of Minnesota faculty research. Because participants (selected by the project leader) pay for their involvement in research, the project receives supplemental funding in the form of a modest stipend. The program provides capable public assistance in lab and field work, and greater community exposure for faculty research. Interested faculty or research assistants may call program director, Claire Walter-Marchetti at 624-9345, or secretary, Susan Gorman, at 626-0214, for more information or a proposal form.

3. **Graduate School Grants-in-Aid.** The fall deadline will be October 3, 1988. New faculty should be encouraged to apply since the review committee favors them when resources are tight. Copies of the application form can be obtained from the Graduate School Research Office, 625-2356.

4. **McKnight Land-Grant Professorships.** These awards provide three years of support to outstanding young faculty. Individuals can be nominated as early as their first year at the University, but no later than the start of the fourth year. Nominations will be due October 28, 1988. Additional information is available from the Dean of the Graduate School.

5. **1988-89 Educational Development Program (EDP) Funds.** A total of \$180,000 will be available to support two to eight projects at \$20,000 - \$100,000 each that will result in improvements in curricular coherence and active learning in undergraduate liberal education offerings. Preliminary proposals will be due June 15, 1988. Invitations to submit a full proposal will be made by July 15, 1988, and final proposals will be due November 1, 1988. Projects may begin as early as December 15, 1988. Additional information is available from the EDP Office, 625-0088.

6. **CLA Faculty Travel and McMillan Travel Fund.** The next deadline will be October 10, 1988 to apply for support for travel between December 16, 1988 and March 15, 1989. Funds are available for transportation and living expenses in relation to travel to conduct research or present the results of scholarly or creative activity at a major national or international

conference. For further information and application forms, contact the CLA Faculty Affairs Office, 624-9839.

External

1. **National Endowment for the Humanities Fellowships and Seminars Division: Travel to Collections (July 15, 1988 deadline)** grants enable individual scholars to travel to use the research collections of humanities materials in libraries, archives, museums, or other repositories. ORD has application forms.

**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. Please let ORD know if you would like to receive application information.

**NEH Research Division--Conferences (deadlines: July 1, 1988, February 15, 1989)** supports conferences that enable both American and foreign scholars to advance research on topics of major importance in the humanities.

**NEH Education Division--Humanities Instruction in Institutions of Higher Education (deadline: October 1, 1988)** 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.

2. **American Philosophical Society.** The APS grants about \$400,000 a year in support for scholarly research in all areas of knowledge. Grants may cover living costs while away from home; microfilms, photostats and photographs; consumable supplies; and necessary foreign and domestic travel. The maximum grant that will be made for a full professor is \$2,500. The APS

will also consider making supplemental grants for travel if an applicant has received other grants (e.g., NEH, Guggenheim, SSRC) that do not include travel that is necessary to the applicant's research program. Deadlines for applying are: August 1, December 1, February 1, April 1. Decisions are made within three months. For application forms, briefly describe your project and proposed budget in a letter to: Committee on Research, American Philosophical Society, 104 South Fifth St., Philadelphia, PA 19106.

**3. American Council of Learned Societies 1988-1989 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, 1988.

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, 1989 and December 31, 1990. Maximum award: \$15,000. **Deadline: September 30, 1988.**

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, 1989 and December 31, 1990. Maximum award: \$15,000. **Deadline: September 30, 1988.**

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 January 1, 1986 and December 31, 1988. Same tenure as above. Maximum award: \$10,000. **Deadline: September 30, 1988.**

ACLS Grants-in-Aid to support expenses of humanistic research in progress. Grants to be expended between April 15, 1989 and April 15, 1990. Maximum award: \$3,000. **Deadline: December 15, 1988.**

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, 1988** for meetings January-June, 1989, **March 1, 1989** for meetings July-December, 1989.

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

**4. 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 1989 fellowships is **October 1, 1988**. Application forms must be requested directly from the foundation:

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

**5. 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 1989-1990 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, 1988 for travel to Australasia, India, and Latin America; September 15, 1988 for travel to Africa, Asia, Europe, Middle East, and lecturing awards to Mexico, Venezuela, and the Caribbean; February 1, 1989 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.

**6. Wesleyan Andrew W. Mellon Postdoctoral Fellowships in the Humanities.** Applications are invited from scholars who have received their Ph.D. degree between May 1, 1985 and November 1, 1988, for a year's residency at Wesleyan University's Center for the Humanities. During 1989-90, the Center will investigate aspects of narrative, broadly conceived. Themes for lecture series will be "Mass - Producing Narratives" and "Structures of Narrative." The stipend is \$24,500 plus \$500 for support of research and instruction. The application deadline is November 1, 1988. ORD has additional application information.

**7. Rockefeller Foundation Research Program on Women's Status and Fertility in Developing Countries.** This program supports research on the interrelations between fertility and women's status and roles in developing countries. Of interest are projects that would examine concepts such as gender inequality, female autonomy, women's roles or position, and patriarchy; clarify how these concepts should be defined and measured; and analyze how they relate to fertility. Most projects supported will be in the range of \$30,000 to \$50,000. The application deadline is July 15, 1988. ORD has additional application information. Inquiries may also be directed to: Population Sciences, The Rockefeller Foundation, 1133 Avenue of the Americas, New York, NY 10036.

**8. American Institute of Indian Studies 1989-90 Fellowship Programs.** A variety of fellowships are offered for research in India: Senior Research Fellowships, Short-Term Fellowships, Fellowships for Scholarly Development (for established scholars who have not worked in India before), Junior Fellowships, Translation Projects, and Performing Arts Fellows. The deadline for all applications is July 1, 1988, for projects which will begin after July 1, 1989. ORD has additional information; application forms may be obtained from the Department of South and Southwest Asian Studies, 192 Klæber Court, 624-7030.

**9. Jerome Foundation Arts Travel and Study Grants.** Grants will be awarded in Dance, Visual Arts, Theater, and Literature, to individuals working in these areas either as independent professionals or as staff of nonprofit organizations. The purpose of the program is to support significant periods of professional development. The program may allow for artist-to-artist

communication on aesthetic issues, the experience of seeing artistic work outside of Minnesota, time for reflection and individualized study, the development of future exhibitions and collaborations, and opportunities for artists to attend exhibitions of their work in other locations. The deadline will be October 3, 1988. ORD has additional information and application forms.

10. **NIH Application Assignment Suggestions.** Assignment of a grant proposal to the proper study section within NIH is a critical factor in the success of the application. NIH has recently announced that principal investigators of applications for research grants, research career development awards, and individual postdoctoral and senior fellowship may suggest the PHS component to which they could be appropriately assigned and up to three initial review groups (study sections) that they would prefer to have review their applications. These recommendations must be submitted in a letter of transmittal attached to the original copy of the application and should include justifications for each of the recommendations made. The Referral Section, Referral and Review Branch of the Division of Research Grants will consider these requests when determining the assignment.

### III. AWARDS

NAME & DEPARTMENT	PROJECT	SOURCE	AMOUNT
Thomas Bouchard David Lykken Else Eckert Psychology	Twins Reared Apart and the Adoptive Siblings of Twins	The Pioneer Fund	\$ 10,000
Jeffrey Broadbent Sociology	The Politics of Labor Policy: Japan, the United States, West Germany	CIES-Fulbright	\$ 45,000
Richard Depue Psychology	Studies of Persons at Risk for Depressive Disorders	National Institute of Mental Health	\$ 6,574 (increase)
Christine Hastorf Anthropology	Research Experience for Undergraduate Supplement	National Science Foundation	\$ 3,563
Susan Henly Robert Cudack Psychology	Research Fellowship Award	National Center for Nursing Research	\$ 10,552

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Mark Landa Linguistics	Campus Program for Japanese Teachers	Council on International Educational Exchange	\$ 46,460
Jack Levy Political Science	Great Power War Dataset 1495-1815	National Science Foundation	\$ 16,444
Marshall Scott Poole Speech Communication Geraldine De Sanctis Management	Group Decision Making and Group Decision Support Systems	National Science Foundation	\$ 61,004
Marshall Scott Poole Geraldine De Sanctis	Group Decision Making	NCR Corporation	\$ 37,000 (equipment)
Mark Rosenzweig Economics	A Comparative Study of Health, Morbidity and Mortality	National Institute of Child Health	\$ 58,611 (increase)
Amy Sheldon Linguistics	The Effect of Gender on Conversational Interactions of Preschool Children	Society for the Humanities, Cornell University	\$ 25,000

In addition:

Ron Akehurst (French and Italian) has been awarded a four-month residency in France by the Camargo Foundation.

Tom Conley (French and Italian) has been selected to participate in the Transatlantic Encounters program, an NEH Summer Institute, to take place at the Newberry Library this summer.

Norman Dahl (Philosophy) has been selected to be a participant at an NEH Summer Institute on "Aristotle's Metaphysics, Biology and Ethics" to take place at the University of New Hampshire.

Patricia Hampl (English) has been awarded a Guggenheim Fellowship for her project on "A Memoir of a Catholic Childhood."

Barbara Hanawalt (History) has been awarded a Guggenheim Fellowship for her work on "The Stages of Life in Late Medieval London."

Russell Menard (History) has received a 1988-89 NEH Fellowship for work on "The Origins of an American Slave Society."

Charlotte Ward (English) has been selected as a participant in an NEH Summer Institute on "Arthur of Avalon: Medieval and Modern" to take place at SUNY, Binghamton.

Tzvee Zahavy (Classics/Ancient Near East and Jewish Studies) has been awarded an NEH Summer Stipend for his research on "Rabbinic Polity in Late Antiquity."

#### IV. PROFILES AND TRENDS

1. **New History of Science and Social Science Opportunities at NSF.** The **National Science Foundation Biological, Behavioral and Social Sciences Directorate** will create two new fellowship programs. Recent Ph.D.s in history, sociology, anthropology, economics and other fields will be eligible for one-year fellowships in science, technology and science. Established scholars will be eligible to apply for two-year professional development awards designed to encourage collaboration between scholars in the history of science and host specialists in an area of science. The application deadline for both is expected to be **November 1, 1988**. The programs will accept proposals for historical, philosophical, normative and social science studies.

There is no specific set-aside for the fellowships. Funds will come from the \$2 million research budget of the newly reorganized Division of Instrumentation and Resources within the BBS Directorate. This division contains the \$15 million instrumentation and instrument development program which has supported acquisition of major specialized instruments for use by groups of neuroscience and biological research investigators. In the past, the program has accepted applications in behavioral as well as biological areas, and more are expected. Staff are currently studying what special instrumentation needs may exist in the social sciences. A new program announcement is expected in August. Additional information is available from the Studies in Science, Technology and Society Division, (202) 357-3495 and the Instrumentation and Instrument Development Division, (202) 357-7652. [Source: FGCW, April 18, 1988]

2. **The Rockefeller Foundation.** The Foundation's major priorities include: agricultural sciences, arts and humanities, equal opportunity for minority groups, health sciences, and population sciences. Types of grants range from capital gifts to fellowships and support for individual projects, publication, research and study.

The Foundation has reorganized its program structure into these divisions:

- International Program to Support Science-based Development
  - Agricultural Sciences
  - Health Sciences
  - Population Sciences
- Cooperative Initiatives in Health and Population
- Arts and Humanities
  - Extending International and Intercultural Scholarship
  - Increasing Artistic Experimentation Across Cultures
  - Improving International Perspectives in American Public Schools
- Equal Opportunity
  - Protecting Basic Rights
  - Equal Opportunity for the Poor

The Foundation carries out its programs through grants and fellowships, and through activities at its study and conference center in Bellagio, Italy. Most grants stem from proposals stimulated by Foundation staff members interacting with individuals and institutions identified as having expertise needed to accomplish tasks consistent with the Foundation's program design. In addition, the Foundation receives approximately 8,000 unsolicited proposals each year. Fellowships are awarded to individuals, for advanced training or to enable the individual to produce a specific piece of work. The Foundation has several fellowship programs:

- Advanced Training Fellowships in Agricultural, Health and Population Sciences
- Biotechnology Career Fellowships
- Research Program on Women's Status and Fertility
- Social Science Research Fellowships
- African Dissertation Internship Awards
- Changing Gender Roles Research Fellowships
- Arts and Humanities

ORD has additional information about the Foundation in general, and its specific programs. You may also contact the Rockefeller Foundation, 1133 Avenue of the Americas, New York, NY 10036.

V. DEADLINES

June	1	NEH	Fellowships for University Teachers
	1	NEH	Research: Texts (Editions, Translations)
	1	NIH	Research Grants
July	1	NSF: BBS	Archaeology; Cultural Anthropology; Physical Anthropology; Social and Developmental Psychology
	15	NEH	Travel to Collections
August	15	NSF	Social and Economics Sciences Target Date
Sept.	15	CIES-Fulbright	Research/Lectures in Europe
	11 (approx)	NEH	Summer Stipends: Internal Deadline
	30	ACLS	Fellowships
October	1	ACLS	Travel Grants: International Meetings
	1	Guggenheim	Fellowships
	1	Woodrow Wilson Center	Residency Fellowships
	1	NEH	Summer Stipends
	1	NIH	Research Grants
	3	Graduate School	Grants in Aid
	15	National Humanities Center	Residency Fellowships
November	2	U.S. Dept. of Ed.	Title VI Undergraduate International Studies and Foreign Language Program
	9	Graduate School	Faculty Summer Research Fellowships
	15	Office of International Education	Development Grants
	16	U.S. Dept. of Ed.	FIPSE Preliminary Proposals
	30	Bush Sabbaticals	CLA Deadline
	30	Single Quarter Leave	CLA Deadline
December	1	Social Science Research Council	Grants for Advanced International Research; Advanced Research Fellowships in Foreign Policy Studies
December	1	American Philosophical Society	Research Grants
	1	NSF: BBS	Archaeology; Cultural Anthropology; Physical Anthropology

December 15	ACLS	Grants-in-Aid
December 18	Kellogg Foundation	National Fellowships
[December-February]	Rockefeller Foundation]	Residency Fellowships
January 1	NSF: BBS	Systematic Anthropological Collections;
		Social and Developmental Psychology;
15	NSF: BBS	Decision, Risk, and Management Science;
		Economics; Geography and Regional Science;
		History and Philosophy of Science; Political
		Science; Sociology
15	NEH	Travel to Collections
15	Minnesota Humanities Commission	General Grants (Drafts)
		Visiting Scholars Program
February 1	NSF: BBS	Ethics and Values Studies; Linguistics;
		Memory and Cognitive Processes
1	NIH	Research Grants
5	MHC	General Grants (Final)
March 1	NEH	Summer Seminars for College Teachers:
		Directors
1	ACLS	Travel Grants: International Meetings
3	Graduate School	Grants-in-Aid
7	U.S. Department of Education	FIPSE Final Proposals (by invitation only)
April 1	NEH	Humanities Instruction in Institutions of
		Higher Education
1	NEH	Summer Seminars for Secondary School
		Teachers: Directors
16	MHC	General Grants (Drafts)
29	MHC	Visiting Scholars Program
May 7	MHC	General Grants (Final)

[Please note: this is just a partial list. We make every effort to report accurate deadline dates, but they are always subject to change. Always confirm the date with us or the funding agency before planning to prepare a proposal.]

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



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### RESEARCH INFORMATION SHEETS

ORD has revised its information brochures. Please indicate here which ones you would like to receive. They will be available in early summer.

- I. THE RESEARCH PROCESS: PRELIMINARY STAGES
- II. SOURCES OF FUNDING AND THE FUNDING SEARCH
- III. PROPOSAL WRITING: STAGES AND STRATEGIES WITH EXAMPLES
- IV. GUIDE TO BUDGET PREPARATION
- V. GRANTS ADMINISTRATION
- VI. CONTRACTS
  
- Sponsored Project Management. A Guide for Faculty and Staff (ORTTA Publication)