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EXECUTIVE OFFICE OF THE PRESIDENT

OFFICE OF MANAGEMENT AND BUDGET

WASHINGTON, D.C. 20503

DECISION

MAR 12 1975

MEMORANDUM FOR THE PRESIDENT

SUBJECT: HEW Support for Training of Biomedical
and Behavioral Researchers

In the attached memorandum (Attachment A), Secretary Weinberger appeals your 1976 Budget decisions on Federal subsidies for training biomedical and behavioral researchers. The 1976 Budget called for:

- in 1975, no new predoctoral support programs and a limit on institutional training grants--as opposed to individual fellowships--to "instances in which there is a need to create training environments that do not currently exist"; and
- in 1976, support limited to 1,100 individual postdoctoral fellowships, and no new predoctoral support or institutional training grants.

HEW needs your decisions by Thursday, March 13, in order to draft legislation and prepare testimony for Senate hearings on March 17.

Background. The appropriations authorization for HEW programs that subsidize the training of biomedical and behavioral researchers expires June 30, 1975. This legislation was the response of Congress to the Administration's proposal in 1974 to eliminate completely all HEW support for training researchers.

The 1974 budget decision was based on the still valid concerns of:

- the inequity of providing substantial Federal subsidies (\$200 million annually) for students in the life sciences, but not in other fields;

- the apparent surplus of qualified researchers as shown by increasing numbers of "approved but unfunded" research proposals;
- the absence of specific programming objectives for training in relation to research needs; and
- the existence of general predoctoral student support programs in the Office of Education.

While other agencies have gotten out of the support for training researchers, HEW has not. Attachment B contains a more detailed staff paper on this issue.

The 1976 Budget limit of 1,100 new fellowships was selected because it brings the number of trainees roughly in line with the number of new researchers supported annually on research grants. Individual fellowship support was chosen as consistent with the Administration's general higher education policy of concentrating support on students, with tuition to reflect institutional training costs. Moreover, postdoctoral support does not further increase the already excess supply of researchers. This approach also avoids institutions' becoming as directly dependent on Federal funds for faculty salaries.

Options: We see three options:

-- Option 1: Reaffirm the 1976 Budget decision--no new predoctoral training support in 1975 and 1976, 1,100 individual postdoctoral fellowships in 1976 and no institutional training grants.

-- Option 2: Fund training programs on the same basis as in prior years in both 1975 and 1976--HEW will determine levels of predoctoral and postdoctoral support and the extent to which institutional training grants are employed.

-- Option 3: Fund training programs on the same basis as in prior years in 1975 only. For 1976, limit Federal support to the 1,100 individual postdoctoral fellowships.

Considerations: We believe the following considerations bear upon your decision:

- for 1975, Congress has apparently rejected your \$32 million rescission proposal which reflected no new predoctoral support and limiting institutional training grants, and the appropriations will have to be spent;
- Secretary Weinberger's memorandum indicates his desire to use predoctoral support and institutional training grants as "excellent mechanisms for having an influence over the flow of researchers into priority areas." The 1,100 postdoctoral awards limit "prevents me from managing our training efforts in the most efficient manner" and "... it is totally unrealistic to expect Congress to accept this restrictive approach";
- in the past, HEW's "shortage specialties" have been practically the same as before the shortage concept was introduced. This reflects lack of agreement on a meaningful concept of "shortages"; and
- the supply of Ph.D. life scientists is growing at an unprecedented rate. The Labor Department has tentatively forecast a surplus of Ph.D.'s in the life sciences for the 1976 - 1980 period ranging from 15% to 25%.

Recommendation: We recommend that you approve Option 3, largely reflecting:

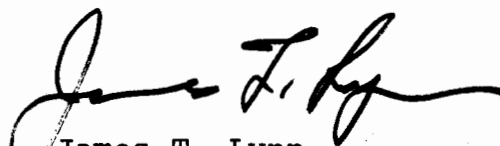
- a desire to cooperate, in light of the rejection by Congress of the Administration's rescission proposals affecting support of research training;
- the program merits, i.e., the considerations of equity and supply, underlying the 1976 budget are still valid; and
- submission of an Administration bill for 1976 may force a discussion in Congress of the issue on the substantive program merits and equity considerations.

Decision:

☐ Option 1: Reaffirm the training decisions announced in the 1976 Budget.

☐ Option 2: Allow HEW discretion in 1975 and 1976 within the final appropriation levels (HEW request).

MAJ Option 3: Allow HEW discretion within the 1975 appropriation level. In 1976, reaffirm the training decision to limit support of 1,100 postdoctoral fellowships (OMB recommendation).


James T. Lynn
Director

Attachments

TAB

A

THE SECRETARY OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D. C. 20201

MAR 5 1975

MEMORANDUM FOR THE PRESIDENT

The Department of Health, Education and Welfare's biomedical and behavioral research training programs are authorized by The National Research Service Award Act. This Act, which was enacted in July 1974, authorizes appropriations in only FY 1975 for pre- and post-doctoral fellowships and institutional awards. Consequently, the Department will be requesting an extension of the appropriation authorization for FY 1976 and beyond. Mr. Ash's legislative directive to the Department specified that we seek amendments in this Act to support only post-doctoral research fellows through national competition. This legislative directive was consistent with current FY 1975 budget policy to eliminate pre-doctoral fellowships and to limit new institutional awards, and with the FY 1976 budget proposal of making new awards only for 1100 post-doctoral fellows.

While I agree that we should restrict the Federal effort in research training, the OMB directive seriously damages the Department's ability to manage the programs efficiently and to assure the necessary number of qualified biomedical and behavioral researchers. Over the last few years, I have been restructuring the Department's research training support. The Department, particularly through the National Institutes of Health, has emphasized post-doctoral fellowships and increasingly has targeted institutional awards and pre-doctoral fellowships in those research areas in short supply.

This redirection was in response to our perception of changing research manpower needs. In the 1960's the rapid growth in research grants necessitated substantial and wide-spread institutional research training development awards. While an insufficient total number of researchers is no longer the problem, we believe some institutional awards are still needed to develop research training capacity in new and very promising research areas and in areas of chronic short supply of qualified researchers such as epidemiology, genetics and nutritional science. These are crucial areas for a comprehensive Federal research effort. However, as they are less attractive to young researchers and training institutions, special Federal institutional awards are warranted. Likewise, we believe that pre-doctoral training support is an important

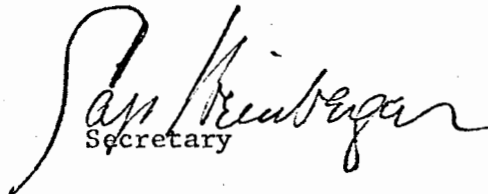
component of the total research training program. Since the Alcohol, Drug Abuse and Mental Health Administration supports pre-doctoral fellows for their thesis research, such support provides an excellent mechanism for having an influence over the flow of researchers into priority areas.

Institutional awards and pre-doctoral fellowships should be directed only for those research areas for which it can be shown that additional training capacity is needed. Post-doctoral fellowships should not be so restricted. They should be awarded on merit through national competition with priority given to shortage areas. On this latter point we have no disagreement with the OMB guidance in any respect.

While we have no argument in general with OMB's objective to restrict substantially pre-doctoral training and institutional awards, their request that we submit to Congress legislative amendments that would limit research training awards only to post-doctoral fellowships and the related budget decision to restrict new awards in FY 1976 to post-doctoral fellows prevents me from managing our training efforts in the most efficient manner. In addition, it is totally unrealistic to expect the Congress to accept this restrictive approach. Accordingly, I request that you permit the Department to submit amendments that allow institutional awards and pre-doctoral fellowships limited to those scientific areas in which existing training capacity is substantially inadequate and in which we cannot expect rapid improvement without Federal support.

Both the legislative and appropriations committee in Congress have indicated continuously their intent to maintain such funding. If we do not present a realistic position, we are unlikely to make progress toward agreed objectives. The Senate Subcommittee on Health has invited us to testify on March 11 as to our position on the extension of this legislation. I believe my approach represents a method of constraining the Federal role and Federal training expenditures.

Finally, I request that as a result of this legislative decision the Department be permitted to allocate the FY 1976 budget between the various research training programs in order to assure the most efficient use of Federal dollars. I emphasize that no additional funds are being requested.


Secretary

TAB

B

Department of Health, Education, and Welfare

Subject: Biomedical and Behavioral Research Training

Background. In the 1974 Budget, the Administration proposed to phase out Federal support for the training of biomedical and behavioral researchers by the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA). This decision was based on several considerations, including:

- the inequity of providing Federal subsidies for students in the biomedical or behavioral sciences while graduate students in other fields do not benefit from special Federal support;
- the lack of programming objectives for training, e.g., need or "shortages" in relation to research plans;
- the inappropriateness of federally subsidizing medical clinical specialty training which increases personal income potential of physician specialists, when the Federal priority is on primary care;
- the apparently adequate supply of research scientists as shown by the continuing surplus of "approved, but unfunded" research proposals; and
- the existence of general graduate student support programs in the Office of Education.

Training programs were begun in 1947, but expanded sharply in the 1960s. Because of their large institutional support components, they are considered vital by most research institutions and medical schools. Since 1967, NIH and ADAMHA research training support has averaged about \$200 million annually. Support is made to the pre- and post-Ph.D and M.D. levels in all fields--life sciences, physical sciences, social sciences and the arts and the humanities. Generally, it is concentrated in life sciences disciplines and takes the form of institutional grants or individual fellowships.

Congress responded to the Administration proposal by introducing specific mandatory authorizing legislation for the research training programs. Ostensibly, in an

attempt to "head off" the legislation, HEW initiated a new more limited program of postdoctoral individual fellowships in designated "shortage" specialties. The selection of individual postdoctoral support was based on the existence of other sources of predoctoral student support and the lower attrition rate of students from research careers, once they have made a career commitment signified by a doctorate. Individual support is consistent with the Administration's higher education policy of concentrating support on students; it costs less than institutional awards; and it maintains greater Federal flexibility, since institutions do not become dependent on these funds directly for faculty salaries.

Congress was, however, not deterred by the new fellowship program and enacted the "National Research Service Award Act," which was approved on July 12, 1974. It authorized pre- and postdoctoral individual and institutional support for 1975 only and added a number of program reforms such as a three-year limit on support and a service or payback requirement. The Act also limited the award of training grants or fellowships after July 1, 1975, to specialty fields designated as "in need of training" by the National Academy of Science according to a required study of the research manpower situation.

Key Facts. The 1976 Budget proposes to limit support in 1975 to postdoctoral fellowships, i.e., no more predoctoral training grants, and, in 1976, to limit the program to 1,100 postdoctoral fellowships as a "national prize" program for the most meritorious applicants, as determined through nation-wide competition. In 1975, Congress added \$32 million in research training funds to the Administration's request. Although the Administration requested Congress to rescind these increases, Congress has declined to do so, thereby forcing the obligation of these funds. HEW was advised of the budget decision not to make new predoctoral training support and to limit institutional, as opposed to individual fellowship awards, but Secretary Weinberger will apparently appeal the predoctoral and institutional awards decisions.

The National Research Service Award Act expires on June 30, 1975. The National Academy of Science's study is behind schedule and it will probably merely endorse the old programs, by field, as being in need of training. The 1976 legislative program includes a proposal to modify the legislation in accord with the Administration's budget proposal for a national program of 1,100 postdoctoral awards.

Current Position. No new arguments have been advanced to rationalize the need or appropriateness of Federal research training support. In fact, recent data about the research scientist supply indicate that the supply of biomedical researchers is growing significantly, despite the decline in NIH support from \$171 million in 1969 to \$152 million in 1974. While graduate enrollments in the sciences and engineering have declined in total from 1971 to 1973, graduate enrollment in the life sciences has increased and is projected to increase at a faster rate in 1974. The attached table shows some of the relevant indicators.

At a review of Federal research and development programs for the 1976 budget, the Science Advisor acknowledged the budgetary pressures for research funding that are created by subsidizing the growth in the supply of scientists. He also considered it appropriate to reassess the need for further Federal research training subsidies in view of the apparently ample supply of researchers in the life and social sciences.

In the near future, HEW will be presenting legislation to extend and modify expiring research training laws and possibly a budgetary proposal to reallocate the increased 1975 funds for institutional and predoctoral support. In view of the already severe budgetary pressures on the NIH and ADAMHA research budgets, and the promising picture of the supply of researchers, the effect of perpetuating such subsidies would be to increase the supply of researchers further and thereby make the future problem worse or to supplant private expenditures by individual students with Federal subsidies.

Attachment

Indicators of the Supply of Research Scientists

	<u>1969</u>	<u>1970</u>	<u>1971</u>	<u>1972</u>	<u>1973</u>	<u>1974</u>
<u>U.S. Medical School Graduates</u>	8,059	8,367	8,974	9,551	10,391	11,580
<u>Ph.D's Granted in Sciences</u>						
All Sciences	15,993	17,822	19,005	19,035	18,938	N/A
Life Sciences	4,116	4,564	5,051	4,984	5,068	N/A
<u>Number of Biomedical Scientists</u>	58,800	62,300	66,800	75,661	79,800	N/A
<u>Medical School Faculty Salaries:</u>						
Clinical Departments:						
Professor	N/A	N/A	\$33,500	\$35,200	\$36,900	\$39,300
Associate Professor			27,500	29,100	30,500	32,400
Assistant Professor			23,100	24,900	26,000	26,800
Average, all ranks			27,300	29,100	30,300	32,600
Nonclinical Departments:						
Professor			23,600	24,400	25,700	28,100
Associate Professor			19,000	19,500	20,400	22,100
Assistant Professor			15,500	16,000	16,500	17,700
Average, all ranks			19,100	19,600	20,300	23,300
<u>New Approved NIH Research</u>						
<u>Grants</u>						
Funded (Percent)	68%	51%	50%	57%	37%	51%
Unfunded (Percent)	32%	49%	50%	43%	63%	49%

THE WHITE HOUSE
WASHINGTON

March 13, 1975

Dianna,

Re: HEW memo due at 10:00 this morning:

Seidman says "Favor Option II"

Bill Baroody says "okay".

PWL

THE WHITE HOUSE

WASHINGTON

March 13, 1975

MR. PRESIDENT:

The attached memorandum has been staffed and generated the following comments:

Baroody -- okay.

Buchen (Lazarus) -- Support Option #3.

Cannon -- Option 3.

Marsh -- Option 3.

Seidman -- Option 2. Flexibility is required.

Greenspan -- See attached comments.


Friedersdorf -- Concurs with memo.

Don

THE CHAIRMAN OF THE
COUNCIL OF ECONOMIC ADVISERS
WASHINGTON

March 13, 1975

MEMORANDUM FOR JERRY JONES

FROM: Alan Greenspan 

Subject: Response to OMB Memo "HEW Support for
Training of Biomedical and Behavioral Researchers"

Option 3 is probably the most prudent course. Option 2 is inappropriate because it retains the principle that HEW should "manage" the medical training money by allocating it to institutions or fields of study that it considers important. I agree with the OMB position that "shortages" are difficult to identify and that in any event, subsidizing training for these purposes is not a useful remedy. I am also opposed to institutional training grants and much prefer direct aid to students. The more medical schools are forced to depend on tuition the more they are likely to meet the needs of students rather than of the doctors who run them. Although Option 1 would be my preference, I agree with OMB that Congressional pressures make it unrealistic.

I would like to see further study, including CEA, OMB, and other agencies along with HEW, of medical training and financing.



STAFFING

THE WHITE HOUSE

ACTION MEMORANDUM

WASHINGTON

LOG NO.:

Date: March 12, 1975

Time: 8:00 p.m.

FOR ACTION:

Bill Baroody *gr*

Phil Buchen *gr*

Jim Cannon *gr*

Jack Marsh

Bill Seidman *gr*

Alan Greenspan

Max Friedersdorf *gr*

cc (for information):

FROM THE STAFF SECRETARY

DUE: Date: Thursday, March 13, 1975

Time: 10:00a.m.

SUBJECT:

ACTION REQUESTED:

☐ For Necessary Action

☒ For Your Recommendations

☐ Prepare Agenda and Brief

☐ Draft Reply

☒ For Your Comments

☐ Draft Remarks

REMARKS:

We apologize for the short time return requested but as you will note the President's decision is needed by tomorrow in order for HEW to prepare testimony and draft legislation. Unfortunately, we received the memorandum at 8:00 p.m., March 12.

Thank you.

12³⁰ P - Marsh has not looked at it yet.

3/13 3p w/P

PLEASE ATTACH THIS COPY TO MATERIAL SUBMITTED.

If you have any questions or if you anticipate a delay in submitting the required material, please telephone the Staff Secretary immediately.

H. R. COLE JR.
For the President

THE WHITE HOUSE

ACTION MEMORANDUM

WASHINGTON

LOG NO.:

Date: March 12, 1975

Time: 8:00 p.m.

FOR ACTION: Bill Baroody
Phil Buchen
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Alan Greenspan
Max Friedersdorf
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Thank you.

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Jerry H. Jones
Staff Secretary



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

Received 8:30
March 12, 1975

DECISION

MAR 12 1975

MEMORANDUM FOR THE PRESIDENT

SUBJECT: HEW Support for Training of Biomedical
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- in 1975, no new predoctoral support programs and a limit on institutional training grants--as opposed to individual fellowships--to "instances in which there is a need to create training environments that do not currently exist"; and
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The 1974 budget decision was based on the still valid concerns of:

- the inequity of providing substantial Federal subsidies (\$200 million annually) for students in the life sciences, but not in other fields;

- the apparent surplus of qualified researchers as shown by increasing numbers of "approved but unfunded" research proposals;
- the absence of specific programming objectives for training in relation to research needs; and
- the existence of general predoctoral student support programs in the Office of Education.

While other agencies have gotten out of the support for training researchers, HEW has not. Attachment B contains a more detailed staff paper on this issue.

The 1976 Budget limit of 1,100 new fellowships was selected because it brings the number of trainees roughly in line with the number of new researchers supported annually on research grants. Individual fellowship support was chosen as consistent with the Administration's general higher education policy of concentrating support on students, with tuition to reflect institutional training costs. Moreover, postdoctoral support does not further increase the already excess supply of researchers. This approach also avoids institutions' becoming as directly dependent on Federal funds for faculty salaries.

Options: We see three options:

- Option 1: Reaffirm the 1976 Budget decision--no new predoctoral training support in 1975 and 1976, 1,100 individual postdoctoral fellowships in 1976 and no institutional training grants.
- Option 2: Fund training programs on the same basis as in prior years in both 1975 and 1976--HEW will determine levels of predoctoral and postdoctoral support and the extent to which institutional training grants are employed.
- Option 3: Fund training programs on the same basis as in prior years in 1975 only. For 1976, limit Federal support to the 1,100 individual postdoctoral fellowships.

Considerations: We believe the following considerations bear upon your decision:

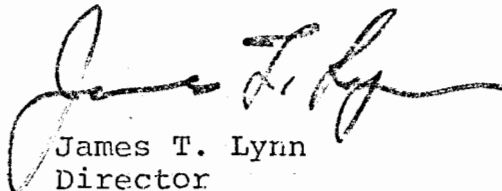
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- the supply of Ph.D. life scientists is growing at an unprecedented rate. The Labor Department has tentatively forecast a surplus of Ph.D.'s in the life sciences for the 1976 - 1980 period ranging from 15% to 25%.

Recommendation: We recommend that you approve Option 3, largely reflecting:

- a desire to cooperate, in light of the rejection by Congress of the Administration's rescission proposals affecting support of research training;
- the program merits, i.e., the considerations of equity and supply, underlying the 1976 budget are still valid; and
- submission of an Administration bill for 1976 may force a discussion in Congress of the issue on the substantive program merits and equity considerations.

Decision:

- ☐ Option 1: Reaffirm the training decisions announced in the 1976 Budget.
- ☐ Option 2: Allow HEW discretion in 1975 and 1976 within the final appropriation levels (HEW request).
- ☐ Option 3: Allow HEW discretion within the 1975 appropriation level. In 1976, reaffirm the training decision to limit support of 1,100 postdoctoral fellowships (OMB recommendation).



James T. Lynn
Director

Attachments

THE SECRETARY OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D. C. 20201

MAR 5 1975

MEMORANDUM FOR THE PRESIDENT

The Department of Health, Education and Welfare's biomedical and behavioral research training programs are authorized by The National Research Service Award Act. This Act, which was enacted in July 1974, authorizes appropriations in only FY 1975 for pre- and post-doctoral fellowships and institutional awards. Consequently, the Department will be requesting an extension of the appropriation authorization for FY 1976 and beyond. Mr. Ash's legislative directive to the Department specified that we seek amendments in this Act to support only post-doctoral research fellows through national competition. This legislative directive was consistent with current FY 1975 budget policy to eliminate pre-doctoral fellowships and to limit new institutional awards, and with the FY 1976 budget proposal of making new awards only for 1100 post-doctoral fellows.

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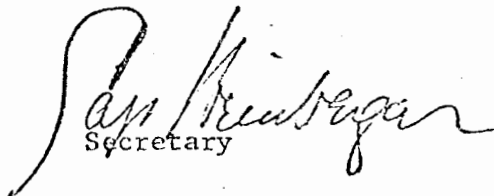
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Finally, I request that as a result of this legislative decision the Department be permitted to allocate the FY 1976 budget between the various research training programs in order to assure the most efficient use of Federal dollars. I emphasize that no additional funds are being requested.


Secretary

Department of Health, Education, and Welfare

Subject: Biomedical and Behavioral Research Training

Background. In the 1974 Budget, the Administration proposed to phase out Federal support for the training of biomedical and behavioral researchers by the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA). This decision was based on several considerations, including:

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Key Facts. The 1976 Budget proposes to limit support in 1975 to postdoctoral fellowships, i.e., no more predoctoral training grants, and, in 1976, to limit the program to 1,100 postdoctoral fellowships as a "national prize" program for the most meritorious applicants, as determined through nation-wide competition. In 1975, Congress added \$32 million in research training funds to the Administration's request. Although the Administration requested Congress to rescind these increases, Congress has declined to do so, thereby forcing the obligation of these funds. HEW was advised of the budget decision not to make new predoctoral training support and to limit institutional, as opposed to individual fellowship awards, but Secretary Weinberger will apparently appeal the predoctoral and institutional awards decisions.

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Current Position. No new arguments have been advanced to rationalize the need or appropriateness of Federal research training support. In fact, recent data about the research scientist supply indicate that the supply of biomedical researchers is growing significantly, despite the decline in NIH support from \$171 million in 1969 to \$152 million in 1974. While graduate enrollments in the sciences and engineering have declined in total from 1971 to 1973, graduate enrollment in the life sciences has increased and is projected to increase at a faster rate in 1974. The attached table shows some of the relevant indicators.

At a review of Federal research and development programs for the 1976 budget, the Science Advisor acknowledged the budgetary pressures for research funding that are created by subsidizing the growth in the supply of scientists. He also considered it appropriate to reassess the need for further Federal research training subsidies in view of the apparently ample supply of researchers in the life and social sciences.

In the near future, HEW will be presenting legislation to extend and modify expiring research training laws and possibly a budgetary proposal to reallocate the increased 1975 funds for institutional and predoctoral support. In view of the already severe budgetary pressures on the NIH and ADAMHA research budgets, and the promising picture of the supply of researchers, the effect of perpetuating such subsidies would be to increase the supply of researchers further and thereby make the future problem worse or to supplant private expenditures by individual students with Federal subsidies.

Attachment

Indicators of the Supply of Research Scientists

	<u>1969</u>	<u>1970</u>	<u>1971</u>	<u>1972</u>	<u>1973</u>	<u>1974</u>
<u>U.S. Medical School Graduates</u>	8,059	8,367	8,974	9,551	10,391	11,580
<u>Ph.D's Granted in Sciences</u>						
All Sciences	15,993	17,822	19,005	19,035	18,938	N/A
Life Sciences	4,116	4,564	5,051	4,984	5,068	N/A
<u>Number of Biomedical Scientists</u>	58,800	62,300	66,800	75,661	79,800	N/A
<u>Medical School Faculty Salaries:</u>						
Clinical Departments:						
Professor	N/A	N/A	\$33,500	\$35,200	\$36,900	\$39,300
Associate Professor			27,500	29,100	30,500	32,400
Assistant Professor			23,100	24,900	26,000	26,800
Average, all ranks			27,300	29,100	30,300	32,600
Nonclinical Departments:						
Professor			23,600	24,400	25,700	28,100
Associate Professor			19,000	19,500	20,400	22,100
Assistant Professor			15,500	16,000	16,500	17,700
Average, all ranks			19,100	19,600	20,300	23,300
<u>New Approved NIH Research</u>						
<u>Grants</u>						
Funded (Percent)	68%	51%	50%	57%	37%	51%
Unfunded (Percent)	32%	49%	50%	43%	63%	49%

THE WHITE HOUSE

WASHINGTON

March 13, 1975

MEMORANDUM FOR:

JERRY JONES

FROM:

MAX L. FRIEDERSDORF *M. L. F.*

SUBJECT:

HEW Support for Training of
Biomedical and Behavioral Researchers

The Office of Legislative Affairs concurs with subject memo.

THE WHITE HOUSE

ACTION MEMORANDUM

WASHINGTON

LOG NO.:

Date: March 12, 1975

Time: 8:00 p.m.

FOR ACTION: Bill Baroody
Phil Buchen
Jim Cannon
Jack Marsh
Bill Seidman
~~Alan Greenspan~~
Max Friedersdorf

FROM THE STAFF SECRETARY

cc (for information):

DUE: Date: Thursday, March 13, 1975 Time: 10:00a.m.

SUBJECT:

ACTION REQUESTED:

☐ For Necessary Action☒ For Your Recommendations☐ Prepare Agenda and Brief☐ Draft Reply☒ For Your Comments☐ Draft Remarks

REMARKS:

We apologize for the short time return requested but as you will note the President's decision is needed by tomorrow in order for HEW to prepare testimony and draft legislation. Unfortunately, we received the memorandum at 8:00 p.m., March 12.

Thank you.

PLEASE ATTACH THIS COPY TO MATERIAL SUBMITTED.

If you have any questions or if you anticipate a delay in submitting the required material, please telephone the Staff Secretary immediately.

Jerry H. Jones
Staff Secretary



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

Received 8 pm
March 12, 1975

DECISION

MAR 12 1975

MEMORANDUM FOR THE PRESIDENT

SUBJECT: HEW Support for Training of Biomedical
and Behavioral Researchers

In the attached memorandum (Attachment A), Secretary Weinberger appeals your 1976 Budget decisions on Federal subsidies for training biomedical and behavioral researchers. The 1976 Budget called for:

- in 1975, no new predoctoral support programs and a limit on institutional training grants--as opposed to individual fellowships--to "instances in which there is a need to create training environments that do not currently exist"; and
- in 1976, support limited to 1,100 individual postdoctoral fellowships, and no new predoctoral support or institutional training grants.

HEW needs your decisions by Thursday, March 13, in order to draft legislation and prepare testimony for Senate hearings on March 17.

Background. The appropriations authorization for HEW programs that subsidize the training of biomedical and behavioral researchers expires June 30, 1975. This legislation was the response of Congress to the Administration's proposal in 1974 to eliminate completely all HEW support for training researchers.

The 1974 budget decision was based on the still valid concerns of:

- the inequity of providing substantial Federal subsidies (\$200 million annually) for students in the life sciences, but not in other fields;

- the apparent surplus of qualified researchers as shown by increasing numbers of "approved but unfunded" research proposals;
- the absence of specific programming objectives for training in relation to research needs; and
- the existence of general predoctoral student support programs in the Office of Education.

While other agencies have gotten out of the support for training researchers, HEW has not. Attachment B contains a more detailed staff paper on this issue.

The 1976 Budget limit of 1,100 new fellowships was selected because it brings the number of trainees roughly in line with the number of new researchers supported annually on research grants. Individual fellowship support was chosen as consistent with the Administration's general higher education policy of concentrating support on students, with tuition to reflect institutional training costs. Moreover, postdoctoral support does not further increase the already excess supply of researchers. This approach also avoids institutions' becoming as directly dependent on Federal funds for faculty salaries.

Options: We see three options:

-- Option 1: Reaffirm the 1976 Budget decision--no new predoctoral training support in 1975 and 1976, 1,100 individual postdoctoral fellowships in 1976 and no institutional training grants.

-- Option 2: Fund training programs on the same basis as in prior years in both 1975 and 1976--HEW will determine levels of predoctoral and postdoctoral support and the extent to which institutional training grants are employed.

-- Option 3: Fund training programs on the same basis as in prior years in 1975 only. For 1976, limit Federal support to the 1,100 individual postdoctoral fellowships.

Considerations: We believe the following considerations bear upon your decision:

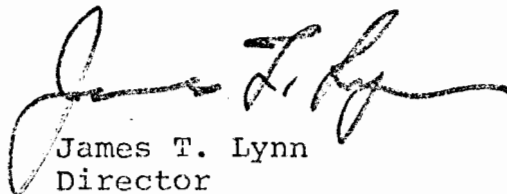
- for 1975, Congress has apparently rejected your \$32 million rescission proposal which reflected no new predoctoral support and limiting institutional training grants, and the appropriations will have to be spent;
- Secretary Weinberger's memorandum indicates his desire to use predoctoral support and institutional training grants as "excellent mechanisms for having an influence over the flow of researchers into priority areas." The 1,100 postdoctoral awards limit "prevents me from managing our training efforts in the most efficient manner" and "... it is totally unrealistic to expect Congress to accept this restrictive approach";
- in the past, HEW's "shortage specialties" have been practically the same as before the shortage concept was introduced. This reflects lack of agreement on a meaningful concept of "shortages"; and
- the supply of Ph.D. life scientists is growing at an unprecedented rate. The Labor Department has tentatively forecast a surplus of Ph.D.'s in the life sciences for the 1976 - 1980 period ranging from 15% to 25%.

Recommendation: We recommend that you approve Option 3, largely reflecting:

- a desire to cooperate, in light of the rejection by Congress of the Administration's rescission proposals affecting support of research training;
- the program merits, i.e., the considerations of equity and supply, underlying the 1976 budget are still valid; and
- submission of an Administration bill for 1976 may force a discussion in Congress of the issue on the substantive program merits and equity considerations.

Decision:

- ☐ Option 1: Reaffirm the training decisions announced in the 1976 Budget.
- ☐ Option 2: Allow HEW discretion in 1975 and 1976 within the final appropriation levels (HEW request).
- ☐ Option 3: Allow HEW discretion within the 1975 appropriation level. In 1976, reaffirm the training decision to limit support of 1,100 postdoctoral fellowships (OMB recommendation).



James T. Lynn
Director

Attachments

THE SECRETARY OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D. C. 20201

MAR 5 1975

MEMORANDUM FOR THE PRESIDENT

The Department of Health, Education and Welfare's biomedical and behavioral research training programs are authorized by The National Research Service Award Act. This Act, which was enacted in July 1974, authorizes appropriations in only FY 1975 for pre- and post-doctoral fellowships and institutional awards. Consequently, the Department will be requesting an extension of the appropriation authorization for FY 1976 and beyond. Mr. Ash's legislative directive to the Department specified that we seek amendments in this Act to support only post-doctoral research fellows through national competition. This legislative directive was consistent with current FY 1975 budget policy to eliminate pre-doctoral fellowships and to limit new institutional awards, and with the FY 1976 budget proposal of making new awards only for 1100 post-doctoral fellows.

While I agree that we should restrict the Federal effort in research training, the OMB directive seriously damages the Department's ability to manage the programs efficiently and to assure the necessary number of qualified biomedical and behavioral researchers. Over the last few years, I have been restructuring the Department's research training support. The Department, particularly through the National Institutes of Health, has emphasized post-doctoral fellowships and increasingly has targeted institutional awards and pre-doctoral fellowships in those research areas in short supply.

This redirection was in response to our perception of changing research manpower needs. In the 1960's the rapid growth in research grants necessitated substantial and wide-spread institutional research training development awards. While an insufficient total number of researchers is no longer the problem, we believe some institutional awards are still needed to develop research training capacity in new and very promising research areas and in areas of chronic short supply of qualified researchers such as epidemiology, genetics and nutritional science. These are crucial areas for a comprehensive Federal research effort. However, as they are less attractive to young researchers and training institutions, special Federal institutional awards are warranted. Likewise, we believe that pre-doctoral training support is an important

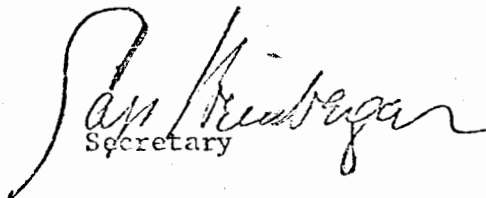
component of the total research training program. Since the Alcohol, Drug Abuse and Mental Health Administration supports pre-doctoral fellows for their thesis research, such support provides an excellent mechanism for having an influence over the flow of researchers into priority areas.

Institutional awards and pre-doctoral fellowships should be directed only for those research areas for which it can be shown that additional training capacity is needed. Post-doctoral fellowships should not be so restricted. They should be awarded on merit through national competition with priority given to shortage areas. On this latter point we have no disagreement with the OMB guidance in any respect.

While we have no argument in general with OMB's objective to restrict substantially pre-doctoral training and institutional awards, their request that we submit to Congress legislative amendments that would limit research training awards only to post-doctoral fellowships and the related budget decision to restrict new awards in FY 1976 to post-doctoral fellows prevents me from managing our training efforts in the most efficient manner. In addition, it is totally unrealistic to expect the Congress to accept this restrictive approach. Accordingly, I request that you permit the Department to submit amendments that allow institutional awards and pre-doctoral fellowships limited to those scientific areas in which existing training capacity is substantially inadequate and in which we cannot expect rapid improvement without Federal support.

Both the legislative and appropriations committee in Congress have indicated continuously their intent to maintain such funding. If we do not present a realistic position, we are unlikely to make progress toward agreed objectives. The Senate Subcommittee on Health has invited us to testify on March 11 as to our position on the extension of this legislation. I believe my approach represents a method of constraining the Federal role and Federal training expenditures.

Finally, I request that as a result of this legislative decision the Department be permitted to allocate the FY 1976 budget between the various research training programs in order to assure the most efficient use of Federal dollars. I emphasize that no additional funds are being requested.


Secretary

Department of Health, Education, and Welfare

Subject: Biomedical and Behavioral Research Training

Background. In the 1974 Budget, the Administration proposed to phase out Federal support for the training of biomedical and behavioral researchers by the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA). This decision was based on several considerations, including:

- the inequity of providing Federal subsidies for students in the biomedical or behavioral sciences while graduate students in other fields do not benefit from special Federal support;
- the lack of programming objectives for training, e.g., need or "shortages" in relation to research plans;
- the inappropriateness of federally subsidizing medical clinical specialty training which increases personal income potential of physician specialists, when the Federal priority is on primary care;
- the apparently adequate supply of research scientists as shown by the continuing surplus of "approved, but unfunded" research proposals; and
- the existence of general graduate student support programs in the Office of Education.

Training programs were begun in 1947, but expanded sharply in the 1960s. Because of their large institutional support components, they are considered vital by most research institutions and medical schools. Since 1967, NIH and ADAMHA research training support has averaged about \$200 million annually. Support is made to the pre- and post-Ph.D and M.D. levels in all fields--life sciences, physical sciences, social sciences and the arts and the humanities. Generally, it is concentrated in life sciences disciplines and takes the form of institutional grants or individual fellowships.

Congress responded to the Administration proposal by introducing specific mandatory authorizing legislation for the research training programs. Ostensibly, in an

attempt to "head off" the legislation, HEW initiated a new more limited program of postdoctoral individual fellowships in designated "shortage" specialties. The selection of individual postdoctoral support was based on the existence of other sources of predoctoral student support and the lower attrition rate of students from research careers, once they have made a career commitment signified by a doctorate. Individual support is consistent with the Administration's higher education policy of concentrating support on students; it costs less than institutional awards; and it maintains greater Federal flexibility, since institutions do not become dependent on these funds directly for faculty salaries.

Congress was, however, not deterred by the new fellowship program and enacted the "National Research Service Award Act," which was approved on July 12, 1974. It authorized pre- and postdoctoral individual and institutional support for 1975 only and added a number of program reforms such as a three-year limit on support and a service or payback requirement. The Act also limited the award of training grants or fellowships after July 1, 1975, to specialty fields designated as "in need of training" by the National Academy of Science according to a required study of the research manpower situation.

Key Facts. The 1976 Budget proposes to limit support in 1975 to postdoctoral fellowships, i.e., no more predoctoral training grants, and, in 1976, to limit the program to 1,100 postdoctoral fellowships as a "national prize" program for the most meritorious applicants, as determined through nation-wide competition. In 1975, Congress added \$32 million in research training funds to the Administration's request. Although the Administration requested Congress to rescind these increases, Congress has declined to do so, thereby forcing the obligation of these funds. HEW was advised of the budget decision not to make new predoctoral training support and to limit institutional, as opposed to individual fellowship awards, but Secretary Weinberger will apparently appeal the predoctoral and institutional awards decisions.

The National Research Service Award Act expires on June 30, 1975. The National Academy of Science's study is behind schedule and it will probably merely endorse the old programs, by field, as being in need of training. The 1976 legislative program includes a proposal to modify the legislation in accord with the Administration's budget proposal for a national program of 1,100 postdoctoral awards.

Current Position. No new arguments have been advanced to rationalize the need or appropriateness of Federal research training support. In fact, recent data about the research scientist supply indicate that the supply of biomedical researchers is growing significantly, despite the decline in NIH support from \$171 million in 1969 to \$152 million in 1974. While graduate enrollments in the sciences and engineering have declined in total from 1971 to 1973, graduate enrollment in the life sciences has increased and is projected to increase at a faster rate in 1974. The attached table shows some of the relevant indicators.

At a review of Federal research and development programs for the 1976 budget, the Science Advisor acknowledged the budgetary pressures for research funding that are created by subsidizing the growth in the supply of scientists. He also considered it appropriate to reassess the need for further Federal research training subsidies in view of the apparently ample supply of researchers in the life and social sciences.

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Attachment

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<u>Number of Biomedical Scientists</u>	58,800	62,300	66,800	75,661	79,800	N/A
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<u>Grants</u>						
Funded (Percent)	68%	51%	50%	57%	37%	51%
Unfunded (Percent)	32%	49%	50%	43%	63%	49%

THE WHITE HOUSE

ACTION MEMORANDUM

WASHINGTON

LOG NO.:

Date: March 12, 1975

Time: 8:00 p. m.

FOR ACTION: Bill Baroody
Phil Buchen
Jim Cannon
Jack Marsh
Bill Seidman
Alan Greenspan
Max Friedersdorf
FROM THE STAFF SECRETARY

cc (for information):

DUE: Date: Thursday, March 13, 1975

Time: 10:00a. m.

SUBJECT:

ACTION REQUESTED:

☐ For Necessary Action

☒ For Your Recommendations

Prepare Agenda and Brief

Draft Reply

☒ For Your Comments

☐ Draft Remarks

REMARKS:

We apologize for the short time return requested but as you will note the President's decision is needed by tomorrow in order for HEW to prepare testimony and draft legislation. Unfortunately, we received the memorandum at 8:00 p. m., March 12.

Thank you.

PLEASE ATTACH THIS COPY TO MATERIAL SUBMITTED.

If you have any questions or if you anticipate a delay in submitting the required material, please telephone the Staff Secretary immediately.

Jerry H. Jones
Staff Secretary



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

DECISION

MAR 12 1975

MEMORANDUM FOR THE PRESIDENT

SUBJECT: HEW Support for Training of Biomedical
and Behavioral Researchers

In the attached memorandum (Attachment A), Secretary Weinberger appeals your 1976 Budget decisions on Federal subsidies for training biomedical and behavioral researchers. The 1976 Budget called for:

- in 1975, no new predoctoral support programs and a limit on institutional training grants--as opposed to individual fellowships--to "instances in which there is a need to create training environments that do not currently exist"; and
- in 1976, support limited to 1,100 individual postdoctoral fellowships, and no new predoctoral support or institutional training grants.

HEW needs your decisions by Thursday, March 13, in order to draft legislation and prepare testimony for Senate hearings on March 17.

Background. The appropriations authorization for HEW programs that subsidize the training of biomedical and behavioral researchers expires June 30, 1975. This legislation was the response of Congress to the Administration's proposal in 1974 to eliminate completely all HEW support for training researchers.

The 1974 budget decision was based on the still valid concerns of:

- the inequity of providing substantial Federal subsidies (\$200 million annually) for students in the life sciences, but not in other fields;

- the apparent surplus of qualified researchers as shown by increasing numbers of "approved but unfunded" research proposals;
- the absence of specific programming objectives for training in relation to research needs; and
- the existence of general predoctoral student support programs in the Office of Education.

While other agencies have gotten out of the support for training researchers, HEW has not. Attachment B contains a more detailed staff paper on this issue.

The 1976 Budget limit of 1,100 new fellowships was selected because it brings the number of trainees roughly in line with the number of new researchers supported annually on research grants. Individual fellowship support was chosen as consistent with the Administration's general higher education policy of concentrating support on students, with tuition to reflect institutional training costs. Moreover, postdoctoral support does not further increase the already excess supply of researchers. This approach also avoids institutions' becoming as directly dependent on Federal funds for faculty salaries.

Options: We see three options:

-- Option 1: Reaffirm the 1976 Budget decision--no new predoctoral training support in 1975 and 1976, 1,100 individual postdoctoral fellowships in 1976 and no institutional training grants.

-- Option 2: Fund training programs on the same basis as in prior years in both 1975 and 1976--HEW will determine levels of predoctoral and postdoctoral support and the extent to which institutional training grants are employed.

-- Option 3: Fund training programs on the same basis as in prior years in 1975 only. For 1976, limit Federal support to the 1,100 individual postdoctoral fellowships.

Considerations: We believe the following considerations bear upon your decision:

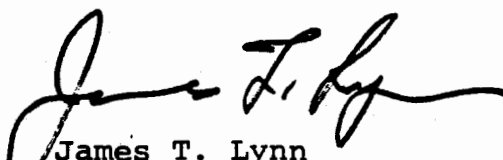
- for 1975, Congress has apparently rejected your \$32 million rescission proposal which reflected no new predoctoral support and limiting institutional training grants, and the appropriations will have to be spent;
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- the supply of Ph.D. life scientists is growing at an unprecedented rate. The Labor Department has tentatively forecast a surplus of Ph.D.'s in the life sciences for the 1976 - 1980 period ranging from 15% to 25%.

Recommendation: We recommend that you approve Option 3, largely reflecting:

- a desire to cooperate, in light of the rejection by Congress of the Administration's rescission proposals affecting support of research training;
- the program merits, i.e., the considerations of equity and supply, underlying the 1976 budget are still valid; and
- submission of an Administration bill for 1976 may force a discussion in Congress of the issue on the substantive program merits and equity considerations.

Decision:

- ☐ Option 1: Reaffirm the training decisions announced in the 1976 Budget.
- ☐ Option 2: Allow HEW discretion in 1975 and 1976 within the final appropriation levels (HEW request).
- ☒ Option 3: Allow HEW discretion within the 1975 appropriation level. In 1976, reaffirm the training decision to limit support of 1,100 postdoctoral fellowships (OMB recommendation).


James T. Lynn
Director

Attachments

THE SECRETARY OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D. C. 20201

MAR 5 1975

MEMORANDUM FOR THE PRESIDENT

The Department of Health, Education and Welfare's biomedical and behavioral research training programs are authorized by The National Research Service Award Act. This Act, which was enacted in July 1974, authorizes appropriations in only FY 1975 for pre- and post-doctoral fellowships and institutional awards. Consequently, the Department will be requesting an extension of the appropriation authorization for FY 1976 and beyond. Mr. Ash's legislative directive to the Department specified that we seek amendments in this Act to support only post-doctoral research fellows through national competition. This legislative directive was consistent with current FY 1975 budget policy to eliminate pre-doctoral fellowships and to limit new institutional awards, and with the FY 1976 budget proposal of making new awards only for 1100 post-doctoral fellows.

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This redirection was in response to our perception of changing research manpower needs. In the 1960's the rapid growth in research grants necessitated substantial and wide-spread institutional research training development awards. While an insufficient total number of researchers is no longer the problem, we believe some institutional awards are still needed to develop research training capacity in new and very promising research areas and in areas of chronic short supply of qualified researchers such as epidemiology, genetics and nutritional science. These are crucial areas for a comprehensive Federal research effort. However, as they are less attractive to young researchers and training institutions, special Federal institutional awards are warranted. Likewise, we believe that pre-doctoral training support is an important

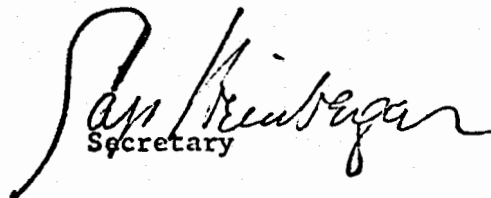
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Finally, I request that as a result of this legislative decision the Department be permitted to allocate the FY 1976 budget between the various research training programs in order to assure the most efficient use of Federal dollars. I emphasize that no additional funds are being requested.


Secretary

Department of Health, Education, and Welfare

Subject: Biomedical and Behavioral Research Training

Background. In the 1974 Budget, the Administration proposed to phase out Federal support for the training of biomedical and behavioral researchers by the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA). This decision was based on several considerations, including:

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At a review of Federal research and development programs for the 1976 budget, the Science Advisor acknowledged the budgetary pressures for research funding that are created by subsidizing the growth in the supply of scientists. He also considered it appropriate to reassess the need for further Federal research training subsidies in view of the apparently ample supply of researchers in the life and social sciences.

In the near future, HEW will be presenting legislation to extend and modify expiring research training laws and possibly a budgetary proposal to reallocate the increased 1975 funds for institutional and predoctoral support. In view of the already severe budgetary pressures on the NIH and ADAMHA research budgets, and the promising picture of the supply of researchers, the effect of perpetuating such subsidies would be to increase the supply of researchers further and thereby make the future problem worse or to supplant private expenditures by individual students with Federal subsidies.

Attachment

Indicators of the Supply of Research Scientists

	<u>1969</u>	<u>1970</u>	<u>1971</u>	<u>1972</u>	<u>1973</u>	<u>1974</u>
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THE WHITE HOUSE

ACTION MEMORANDUM

WASHINGTON

LOG NO.:

Date: March 12, 1975

Time: 8:00 p.m.

FOR ACTION: Bill Baroody
~~Phil Buchen~~
Jim Cannon
Jack Marsh
Bill Seidman
Alan Greenspan
Max Friedersdorf
FROM THE STAFF SECRETARY

cc (for information):

DUE: Date: Thursday, March 13, 1975Time: 10:00a.m.

SUBJECT:

ACTION REQUESTED:

☐ For Necessary Action☒ For Your Recommendations☐ Prepare Agenda and Brief☐ Draft Reply☒ For Your Comments☐ Draft Remarks

REMARKS:

We apologize for the short time return requested but as you will note the President's decision is needed by tomorrow in order for HEW to prepare testimony and draft legislation. Unfortunately, we received the memorandum at 8:00 p.m., March 12.

Thank you.

Support Option #3. -- Ken Lazarus (for Mr. Buchen)

PLEASE ATTACH THIS COPY TO MATERIAL SUBMITTED.

If you have any questions or if you anticipate a delay in submitting the required material, please telephone the Staff Secretary immediately.

Jerry H. Jones
Staff Secretary



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

*Received 10m
March 12, 1975*

DECISION

MAR 12 1975

MEMORANDUM FOR THE PRESIDENT

SUBJECT: HEW Support for Training of Biomedical
and Behavioral Researchers

In the attached memorandum (Attachment A), Secretary Weinberger appeals your 1976 Budget decisions on Federal subsidies for training biomedical and behavioral researchers. The 1976 Budget called for:

- in 1975, no new predoctoral support programs and a limit on institutional training grants-- as opposed to individual fellowships--to "instances in which there is a need to create training environments that do not currently exist"; and
- in 1976, support limited to 1,100 individual postdoctoral fellowships, and no new predoctoral support or institutional training grants.

HEW needs your decisions by Thursday, March 13, in order to draft legislation and prepare testimony for Senate hearings on March 17.

Background. The appropriations authorization for HEW programs that subsidize the training of biomedical and behavioral researchers expires June 30, 1975. This legislation was the response of Congress to the Administration's proposal in 1974 to eliminate completely all HEW support for training researchers.

The 1974 budget decision was based on the still valid concerns of:

- the inequity of providing substantial Federal subsidies (\$200 million annually) for students in the life sciences, but not in other fields;

- the apparent surplus of qualified researchers as shown by increasing numbers of "approved but unfunded" research proposals;
- the absence of specific programming objectives for training in relation to research needs; and
- the existence of general predoctoral student support programs in the Office of Education.

While other agencies have gotten out of the support for training researchers, HEW has not. Attachment B contains a more detailed staff paper on this issue.

The 1976 Budget limit of 1,100 new fellowships was selected because it brings the number of trainees roughly in line with the number of new researchers supported annually on research grants. Individual fellowship support was chosen as consistent with the Administration's general higher education policy of concentrating support on students, with tuition to reflect institutional training costs. Moreover, postdoctoral support does not further increase the already excess supply of researchers. This approach also avoids institutions' becoming as directly dependent on Federal funds for faculty salaries.

Options: We see three options:

-- Option 1: Reaffirm the 1976 Budget decision--no new predoctoral training support in 1975 and 1976, 1,100 individual postdoctoral fellowships in 1976 and no institutional training grants.

-- Option 2: Fund training programs on the same basis as in prior years in both 1975 and 1976--HEW will determine levels of predoctoral and postdoctoral support and the extent to which institutional training grants are employed.

-- Option 3: Fund training programs on the same basis as in prior years in 1975 only. For 1976, limit Federal support to the 1,100 individual postdoctoral fellowships.

Considerations: We believe the following considerations bear upon your decision:

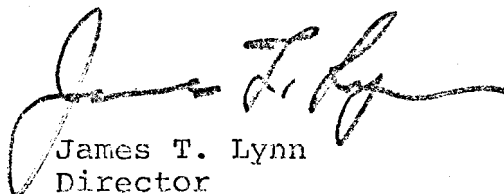
- for 1975, Congress has apparently rejected your \$32 million rescission proposal which reflected no new predoctoral support and limiting institutional training grants, and the appropriations will have to be spent;
- Secretary Weinberger's memorandum indicates his desire to use predoctoral support and institutional training grants as "excellent mechanisms for having an influence over the flow of researchers into priority areas." The 1,100 postdoctoral awards limit "prevents me from managing our training efforts in the most efficient manner" and "... it is totally unrealistic to expect Congress to accept this restrictive approach";
- in the past, HEW's "shortage specialties" have been practically the same as before the shortage concept was introduced. This reflects lack of agreement on a meaningful concept of "shortages"; and
- the supply of Ph.D. life scientists is growing at an unprecedented rate. The Labor Department has tentatively forecast a surplus of Ph.D.'s in the life sciences for the 1976 - 1980 period ranging from 15% to 25%.

Recommendation: We recommend that you approve Option 3, largely reflecting:

- a desire to cooperate, in light of the rejection by Congress of the Administration's rescission proposals affecting support of research training;
- the program merits, i.e., the considerations of equity and supply, underlying the 1976 budget are still valid; and
- submission of an Administration bill for 1976 may force a discussion in Congress of the issue on the substantive program merits and equity considerations.

Decision:

- ☐ Option 1: Reaffirm the training decisions announced in the 1976 Budget.
- ☐ Option 2: Allow HEW discretion in 1975 and 1976 within the final appropriation levels (HEW request).
- ☐ Option 3: Allow HEW discretion within the 1975 appropriation level. In 1976, reaffirm the training decision to limit support of 1,100 postdoctoral fellowships (OMB recommendation).



James T. Lynn
Director

Attachments

THE SECRETARY OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D. C. 20201

MAR 5 1975

MEMORANDUM FOR THE PRESIDENT

The Department of Health, Education and Welfare's biomedical and behavioral research training programs are authorized by The National Research Service Award Act. This Act, which was enacted in July 1974, authorizes appropriations in only FY 1975 for pre- and post-doctoral fellowships and institutional awards. Consequently, the Department will be requesting an extension of the appropriation authorization for FY 1976 and beyond. Mr. Ash's legislative directive to the Department specified that we seek amendments in this Act to support only post-doctoral research fellows through national competition. This legislative directive was consistent with current FY 1975 budget policy to eliminate pre-doctoral fellowships and to limit new institutional awards, and with the FY 1976 budget proposal of making new awards only for 1100 post-doctoral fellows.

While I agree that we should restrict the Federal effort in research training, the OMB directive seriously damages the Department's ability to manage the programs efficiently and to assure the necessary number of qualified biomedical and behavioral researchers. Over the last few years, I have been restructuring the Department's research training support. The Department, particularly through the National Institutes of Health, has emphasized post-doctoral fellowships and increasingly has targeted institutional awards and pre-doctoral fellowships in those research areas in short supply.

This redirection was in response to our perception of changing research manpower needs. In the 1960's the rapid growth in research grants necessitated substantial and wide-spread institutional research training development awards. While an insufficient total number of researchers is no longer the problem, we believe some institutional awards are still needed to develop research training capacity in new and very promising research areas and in areas of chronic short supply of qualified researchers such as epidemiology, genetics and nutritional science. These are crucial areas for a comprehensive Federal research effort. However, as they are less attractive to young researchers and training institutions, special Federal institutional awards are warranted. Likewise, we believe that pre-doctoral training support is an important

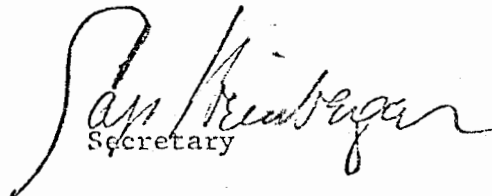
component of the total research training program. Since the Alcohol, Drug Abuse and Mental Health Administration supports pre-doctoral fellows for their thesis research, such support provides an excellent mechanism for having an influence over the flow of researchers into priority areas.

Institutional awards and pre-doctoral fellowships should be directed only for those research areas for which it can be shown that additional training capacity is needed. Post-doctoral fellowships should not be so restricted. They should be awarded on merit through national competition with priority given to shortage areas. On this latter point we have no disagreement with the OMB guidance in any respect.

While we have no argument in general with OMB's objective to restrict substantially pre-doctoral training and institutional awards, their request that we submit to Congress legislative amendments that would limit research training awards only to post-doctoral fellowships and the related budget decision to restrict new awards in FY 1976 to post-doctoral fellows prevents me from managing our training efforts in the most efficient manner. In addition, it is totally unrealistic to expect the Congress to accept this restrictive approach. Accordingly, I request that you permit the Department to submit amendments that allow institutional awards and pre-doctoral fellowships limited to those scientific areas in which existing training capacity is substantially inadequate and in which we cannot expect rapid improvement without Federal support.

Both the legislative and appropriations committee in Congress have indicated continuously their intent to maintain such funding. If we do not present a realistic position, we are unlikely to make progress toward agreed objectives. The Senate Subcommittee on Health has invited us to testify on March 11 as to our position on the extension of this legislation. I believe my approach represents a method of constraining the Federal role and Federal training expenditures.

Finally, I request that as a result of this legislative decision the Department be permitted to allocate the FY 1976 budget between the various research training programs in order to assure the most efficient use of Federal dollars. I emphasize that no additional funds are being requested.


Secretary

Department of Health, Education, and Welfare

Subject: Biomedical and Behavioral Research Training

Background. In the 1974 Budget, the Administration proposed to phase out Federal support for the training of biomedical and behavioral researchers by the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA). This decision was based on several considerations, including:

- the inequity of providing Federal subsidies for students in the biomedical or behavioral sciences while graduate students in other fields do not benefit from special Federal support;
- the lack of programming objectives for training, e.g., need or "shortages" in relation to research plans;
- the inappropriateness of federally subsidizing medical clinical specialty training which increases personal income potential of physician specialists, when the Federal priority is on primary care;
- the apparently adequate supply of research scientists as shown by the continuing surplus of "approved, but unfunded" research proposals; and
- the existence of general graduate student support programs in the Office of Education.

Training programs were begun in 1947, but expanded sharply in the 1960s. Because of their large institutional support components, they are considered vital by most research institutions and medical schools. Since 1967, NIH and ADAMHA research training support has averaged about \$200 million annually. Support is made to the pre- and post-Ph.D and M.D. levels in all fields--life sciences, physical sciences, social sciences and the arts and the humanities. Generally, it is concentrated in life sciences disciplines and takes the form of institutional grants or individual fellowships.

Congress responded to the Administration proposal by introducing specific mandatory authorizing legislation for the research training programs. Ostensibly, in an

attempt to "head off" the legislation, HEW initiated a new more limited program of postdoctoral individual fellowships in designated "shortage" specialties. The selection of individual postdoctoral support was based on the existence of other sources of predoctoral student support and the lower attrition rate of students from research careers, once they have made a career commitment signified by a doctorate. Individual support is consistent with the Administration's higher education policy of concentrating support on students; it costs less than institutional awards; and it maintains greater Federal flexibility, since institutions do not become dependent on these funds directly for faculty salaries.

Congress was, however, not deterred by the new fellowship program and enacted the "National Research Service Award Act," which was approved on July 12, 1974. It authorized pre- and postdoctoral individual and institutional support for 1975 only and added a number of program reforms such as a three-year limit on support and a service or payback requirement. The Act also limited the award of training grants or fellowships after July 1, 1975, to specialty fields designated as "in need of training" by the National Academy of Science according to a required study of the research manpower situation.

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Phil Buchen
Jim Cannon
Jack Marsh
☒ Bill Seidman
Alan Greenspan
Max Friedersdorf
FROM THE STAFF SECRETARY

cc (for information):

DUE: Date: Thursday, March 13, 1975

Time: 10:00a.m.

SUBJECT:

ACTION REQUESTED:

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Draft Reply

☒ For Your Comments☐ Draft Remarks

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Thank you.

Option 2. Flexibility is required.

JWS

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Jerry H. Jones
Staff Secretary

THE WHITE HOUSE
WASHINGTON

March 13, 1975

ADMINISTRATIVELY CONFIDENTIAL

MEMORANDUM FOR: JIM LYNN
FROM: JERRY H. JONES
SUBJECT: HEW Support for Training of
Biomedical and Behavioral Researchers

Your memorandum to the President of March 12 on the above subject has been reviewed and Option 3 -- Allow HEW discretion within the 1975 appropriation level. In 1976, reaffirm the training decision to limit support of 1,100 postdoctoral fellowships -- was approved. .

Please follow-up with the appropriate action.

Thank you.

cc: Don Rumsfeld