

November 18, 1965

Procedures
for Department of State Review
of Government-Sponsored Foreign Affairs Research

"Although with very few exceptions these studies have not been sponsored by the State Department, we acknowledge the contribution that the behavioral and social sciences can make to the work of officials struggling with the complex problems of foreign policy.... The Department has reaped some benefits from the research of others and, in general, has welcomed the increased interest of other departments in social and political research on foreign affairs."

From the Secretary of State's testimony
before the Pascell Subcommittee, House
Foreign Affairs Committee, August 4, 1965.

A. Definition of government-sponsored foreign affairs research.

Government-sponsored foreign affairs research is defined as research programs and studies in the social and behavioral sciences dealing with international relations, or with foreign areas and peoples, whether conducted in the United States or abroad, which are supported by contracts or grants awarded by agencies of the United States. In-house research is not included.

B. Responsibilities for review and clearance.

1. Department of State responsibility for clearance of foreign affairs research. The Department of State will review Government-sponsored foreign affairs research in accordance with the President's letter of August 2, 1965 to the Secretary of State:

"I am determined that no Government sponsorship of foreign area research should be undertaken which in the judgment of the Secretary of State would adversely affect United States foreign relations. Therefore I am asking you to establish effective procedures which will enable you to assure the propriety of Government-sponsored social science research in the area of foreign policy."

State Dept. review completed

Under the procedures set forth herein, developed pursuant to the President's letter, the Department of State will be responsible for formulating policies for review and clearance of foreign affairs research and for clearing research projects submitted to it for that purpose by other government agencies.

2. Other agencies' responsibilities.

- a. To facilitate review of foreign affairs research, certain responsibilities set forth in these procedures remain with the agencies sponsoring foreign affairs research.
- b. Each agency will designate a clearance point to be responsible for reviewing projects, providing information, making determinations as to clearance required, and submitting projects to the State Department for review in conformance with these procedures.

C. Categories of research.

1. Projects required to be submitted to and cleared by the State Department. This category consists of projects involving foreign travel or contacts with foreign nationals sponsored by the military and foreign affairs agencies.* Certain exceptions are specified in subsection 2 and 3 below. Projects will be considered cleared unless other State action is communicated to the agency within 15 days after the required information is received by the Department for review.
2. Projects requiring review and determination by the clearance point within an agency as to whether such projects need be submitted to the State Department for clearance. The clearance point within an agency is responsible for submitting to the State Department for clearance projects falling under this subsection when it determines that the conduct of such research might have potentially adverse effects on U.S. foreign relations. Projects thus submitted will be considered cleared unless other State action is communicated to the agency within 15 days after the required information is received by the Department for review.

The clearance point will transmit information items 1, 2, 3, 6, and 7 to the State Department on projects it determines do not require State Department clearance. The State Department

* The Department of Defense, the United States Information Agency, the Arms Control and Disarmament Agency, the Agency for International Development, and the Central Intelligence Agency.

reserves the right to request further information on projects not submitted for clearance under this subsection and to require submission for clearance of any such projects.

The types of projects under this subsection are as follows:

- a. Projects, either classified or unclassified, involving foreign travel or contact with foreign nationals, which are sponsored or subsidized by domestic agencies. With respect to projects not submitted for clearance, the agencies will insure that the Ambassador is informed through State channels sufficiently in advance of the arrival of contractor personnel in a country so that he may transmit timely advice to Washington.
 - b. Projects, either classified or unclassified, involving foreign travel, but with contact limited to U.S. official personnel. In each case, notification to the Ambassador will be required as under C.2.a.
 - c. Projects, either classified or unclassified, to be conducted initially in the United States with no foreign national contacts, but which might later involve foreign travel and contact with foreign nationals. Where travel is subsequently decided upon, the project travel plans will be submitted to the State Department for approval as required under C.1.
 - d. Unclassified projects not involving foreign travel or contact with foreign nationals.
 - e. Any other type project which, upon agreement between the Department of State and another agency, is made subject to the review procedures in this subsection.
3. Projects not requiring State Department clearance. Projects under this category need not be submitted to the State Department for clearance but information items 1, 2, 3, 6, and 7 shall be furnished to the Department at the time specified in section I or quarterly at the discretion of an agency. The Department retains the option to request additional information or to review a project.
- a. Classified projects to be conducted entirely in the U.S. with no contacts with foreign nationals. The Department of State shall be consulted before such a project is declassified and such projects shall thereupon be treated in accordance with category 2.
 - b. Routine renewals and amendments to projects already cleared by the State Department or, in the case of field research, which include provision for continuing coordination with the embassy.

c. Modification or extension of existing in-country research projects or programs carried out by agreement with the host country and with the approval of the U.S. Ambassador. Such modifications and extensions are considered cleared upon certification of this approval to the Department of State by the U.S. Ambassador.

4. Research in progress before August 2, 1965 other than that covered in C.3.c. above. In order to expedite review of this category, the Department of State may provide each agency with a listing of all foreign affairs research projects and programs currently known to the Department of State. The Department of State may indicate what additional information, if any, it seeks about these projects and may also request information on all on-going projects and programs which may not appear on the listing. Any such project or program will be considered cleared unless the Department of State informs the agency that it needs to be reviewed.

D. Continuous programs of research.

1. Programs of contract organizations. Apart from the handling of research projects as specified in C. above, government agencies shall keep the Department of State informed about continuous foreign affairs research programs carried out by research organizations receiving their principal support from such agencies. After consulting with an agency, the Department of State may ask to clear specific projects in accordance with section C. of these procedures.
2. Plans and projects not requiring clearance. In cases where research organizations receiving their principal support from agencies are not required to clear their research plans or projects with sponsoring agencies, the Department of State shall not require clearance of research programs. However, the sponsoring agency, the Department of State, and each of the major research organizations concerned shall determine jointly the best means for keeping the Department of State informed of all foreign affairs research carried out by such organizations and individuals.
3. Contract programs of agency field offices. Similarly, the Department shall be kept informed about contract research programs carried out through field offices of agencies. Individual projects carried out under such programs shall be reviewed in accordance with section C. of these procedures.

E. Grants to academic institutions.

Grants to academic institutions for general purposes (such as construction of facilities, expansion of faculty or unspecified research in an academic discipline) related to foreign affairs research will not be subject to Department of State clearance. Agencies shall keep the Department informed about such general purpose grants.

F. Other research activities.

1. Conferences and consortia. The definition of foreign affairs research includes government-sponsored conferences with foreign nationals dealing with questions of foreign affairs research and studies of or support for academic research consortia.
2. Informal contacts with foreign nationals. Informal communications of contractors with foreign nationals in the U.S. are not subject to Department of State clearance. However, agencies may consult with the Department of State about the propriety of such contacts, particularly when they are carried out by members of research organizations clearly identified as institutions created specifically to serve the agency.

G. Travel by contractors and grantees.

1. Information on travel. It would be helpful if agencies inform the Department of State about travel and work abroad of their contractors and grantees even when the Department has not required clearance for such activities.
2. Travel for private purposes. The Department of State will not concern itself with the foreign travel of contractors and grantees that is not directly related to government-sponsored foreign affairs research. This includes attendance at professional meetings abroad and field work abroad on privately supported research.

H. Reports.

The clearance point within an agency is responsible for insuring that the contents of unclassified research projects will not adversely affect U.S. foreign relations. Should the clearance point have any question concerning the propriety of an unclassified research report, it should consult with the State Department concerning

disposition and possible classification of such reports. The release of Department of Defense classified studies to foreign government will continue to be the responsibility of the Military Information Control Committee.

I. Information required from sponsoring agency.

As a general rule information will be submitted to the State Department by agencies before a grant is awarded or a contract is concluded. Agencies are responsible for consulting with the Department of State on the propriety of unclassified invitations for bids or publicity of any kind. Arrangements for communication of information on project proposals may vary depending on the agency and sometimes on particular projects. Such details will be worked out with agencies by the Chairman of the Research Council (see below).

Sponsoring agencies shall submit the following information:

1. Title of project and brief description.
2. Sponsoring agency or agencies (including information of any funding by other agencies).
3. Contractor, estimated cost, and principal researchers.
4. Detailed information on project: questions to be investigated, methods, schedules, types of findings anticipated, countries or regions covered.
5. If the project involves field work abroad, names of researchers and indication of time of proposed field work and extent and types of contact with foreign nationals.
6. Extent to which discussion with a U.S. diplomatic mission has already been held in the formulation of the project proposal.
7. Classification of project and proposed disposition of reports.

J. Review and clearance actions.

1. Department of State review process.

a. Types of clearance actions.

- (1) Cleared.
- (2) Cleared with conditions.
- (3) Not cleared (with statement of reasons).

- b. Once cleared, there will normally be no further State Department action, although other agencies remain under obligation to inform the Department of changes in the character of the research, and, in the event of substantial changes or significant developments in the research, the Department retains the option to review the project.

2. Criteria for State Department actions.

- a. Research projects will be reviewed only for the purpose of avoiding adverse effects upon United States foreign relations.
- b. The risks of possible adverse effects on foreign relations will be weighed against the value to the United States government of the research project. Because the sponsoring agency is the best judge of the value of a proposal to its own mission, its views will be taken fully into account.
- c. If the Department of State questions the propriety of any research project, it will consult with the sponsoring agency before making a final determination.
- d. Clearance of research projects by the State Department is not necessarily an endorsement of the need, method, or value of the project.

3. Policy formulation and clearance in the Department of State.

- a. The Secretary of State has created a Foreign Affairs Research Council (RC), with the Director of Intelligence and Research as Chairman, to assist him in formulating policies for State Department review and clearance of project proposals. The Council is composed of the Chairman of the Policy Planning Council, the Deputy Assistant Secretary for Politico-Military Affairs, and, as appropriate, representatives of the regional and functional bureaus. The RC is assisted by the Bureau of Intelligence and Research and its Office of External Research.
- b. The Foreign Affairs Research Council may from time to time issue guidelines to agencies to aid them in fulfilling the requirements of these procedures.
- c. The Chairman of the Foreign Affairs Research Council will act for the Department on clearances, doing so on the basis of information from and discussion with sponsoring agencies and on the basis of policies and procedures approved by the Council and, when appropriate, after discussion of individual projects by the Council. The Chairman will keep the Secretary

of State informed of major questions before the Council and of important actions by the Council.

4. Appeals. An agency may request a review of a decision, in which case the Foreign Affairs Research Council will consider the agency's appeal and will act promptly on it. Should the decision still be unsatisfactory to an agency, an agency head may consult with the Secretary of State.

K. Requirements of the Federal Reports Act of 1942 and Budget Circular A-40.

The requirements set forth in these procedures do not relieve agencies from their responsibilities under the Federal Reports Act of 1942 and Bureau of the Budget Circular No. A-40.

L. Review of Procedures.

No later than six months after the effective date of these procedures, November 18, 1965, the Department of State in consultation with the interested agencies will review these procedures and make any necessary changes to improve them. Subsequent reviews of these procedures will take place as deemed necessary by the Department of State.

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