



DEPARTMENT OF STATE

Washington, D.C. 20520

January 16, 1978

MEMORANDUM FOR: Agency Representatives for Interagency  
Coordination of External Foreign Affairs  
Research

SUBJECT: Approval of Policies and Procedures

I appreciate very much the constructive comments of those participating in the December 7, 1977, meeting of our Interagency Committee on Foreign Affairs Research. Based on comments at and after the meeting, we have revised the two draft documents that were the subject of our discussion. The new versions are attached, and we hope you will find them acceptable. We will assume that to be the case unless we hear from you by close of business February 10, 1978.

We have, I believe, taken significant steps toward clarification, simplification and integration of older procedures. To avoid overloading the new documents with exceptions and qualifications, I would suggest that you consult us anytime you feel your agency faces special circumstances not adequately provided for. In some cases it may be appropriate to develop supplementary procedures on a bilateral basis.

Among other things, we have sought to make the two documents both more readily distinguishable and more closely linked. The "Policies and Procedures" paper is the more basic one; the "Summary of Procedures" paper mirrors the substance of the other but focuses on procedures and uses a different ordering and more telegraphic style. Listed below are the major changes made in the "Policies and Procedures" paper. When necessary, these are reflected in the "Summary" paper.

1. As a preamble to the "Policies and Procedures," we have added a "Purpose" paragraph indicating the nature of the document.

2. In Section IV.A, we have eliminated the distinction between classified and unclassified projects. This means that the military and foreign affairs agencies have greater discretion in determining which projects not involving foreign travel or contact with foreign nationals should be submitted for review.

State Dept. review completed

-2-

At the same time, we have provided additional guidance on project sensitivity by amending Section IV.D.

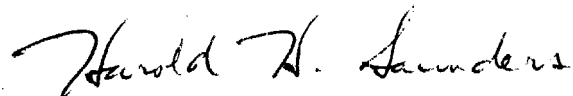
3. In Section IV.B we have eliminated for all domestic agencies the requirement that the American Ambassador be informed in advance through State Department channels of the arrival of funded researchers in a country. At the same time, we have included references to foreign travel in Section VII dealing with the consultative services available to agency representatives.

4. We have clarified reporting responsibilities in the case of multi-agency collaborative programs and projects--Section VI, footnote 4.

5. We have been explicit about eliminating DSRC review and clearance where other established State Department or Embassy clearance procedures are used--Section VI, footnote 5. Please note, however, that we ask you to inform us in writing about alternative clearance channels being used by your agency and the categories of projects involved. Note also that use of alternative clearance channels does not relieve agency representatives of the responsibility for sharing with us information and products associated with projects so cleared, as specified in Sections VI.B and C.

6. We have added Section VI.D so that this basic document encompasses the full range of coordination activities discussed at our meeting.

I appreciate your cooperation in these matters and am sure we shall all benefit from our work together. Do not hesitate to contact us whenever you believe we can be helpful on foreign affairs research matters of concern to you.



Harold H. Saunders

Attachments:

1. Policies and Procedures
2. Summary of Procedures

January 16, 1978

POLICIES AND PROCEDURES  
FOR  
DEPARTMENT OF STATE REVIEW AND COORDINATION  
OF  
GOVERNMENT-SPONSORED RESEARCH ON FOREIGN AFFAIRS<sup>1/</sup>

Purpose: To state the source and nature of the Secretary of State's responsibilities for the review and coordination of Government-sponsored research on foreign affairs; to specify the concomitant responsibilities and procedures agreed to by sponsoring agencies.

I. DEFINITION OF GOVERNMENT-SPONSORED FOREIGN AFFAIRS RESEARCH

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. (A more detailed definition is provided in Annex I.) In-house research is not included.

II. AUTHORIZATION AND ORGANIZATION

A. Mandate

A letter from the President to the Secretary of State, dated August 2, 1965, established the responsibility for the review for sensitivity reasons of Government-sponsored research on foreign affairs. It said:

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.

In addition, an April 27, 1977, memorandum to all Department and Agency heads from the Special Assistant to the President for National Security Affairs assigns to the Secretary of State "responsibility for

<sup>1/</sup> This document replaces the "Procedures for Department of State Review of Government-Sponsored Foreign Affairs Research" adopted on November 18, 1965, and published in the Federal Register (Vol. 31, No. 7, January 12, 1966, pp. 358-60).

-2-

the coordination of foreign affairs external research...including information exchange, documentation, publication and other activities required to minimize duplication of effort; joint funding; measures to assure quality, utility and availability; and other matters requiring interagency consultation."

This document is designed to assist in the discharge of both the Secretary's coordination responsibilities and his responsibility to avoid adverse effects on U.S. foreign relations. As his representative in the discharge of these responsibilities, the Secretary has designated the Director of the Bureau of Intelligence and Research (INR).

B. Department of State Research Council

To implement the President's 1965 directive, the Secretary of State created the Department of State Research Council (DSRC) and designated the Director of INR as Chairman to assist him in formulating policies for State Department review and clearance of project proposals submitted by other Government agencies. In addition to its Chairman, the DSRC is composed of the Director of the Policy Planning Staff, the Legal Adviser, and, as appropriate, representatives of the regional and functional bureaus. The DSRC and its Chairman are assisted by the Office of External Research (INR/XR).

C. DSRC Chairman

The Chairman of the DSRC is responsible for final clearance of proposed projects submitted by sponsoring agencies. The Chairman keeps the Secretary of State informed of the DSRC's major deliberations and actions. The Chairman may issue guidelines to aid agencies in fulfilling the requirements of these procedures.

III. PURPOSE AND LIMITS OF REVIEW

The DSRC will review research projects only for the purpose of avoiding adverse effects on U.S. foreign relations. The risks of possible adverse effects on foreign relations will be weighed against the value of the research project to the U.S. Government. Because the sponsoring agency is the best judge of the value of a proposal to its own mission, its views will be carefully considered. If the DSRC questions the propriety of any research project, it will consult with the sponsoring agency before making a final determination. Clearance of projects by the DSRC is not necessarily an endorsement of the need, method, or value of the project.

-3-

IV. CRITERIA FOR REVIEW AND CLEARANCE

A. Military and Foreign Affairs Agency<sup>2/</sup> Projects

All foreign affairs research projects that at any stage involve foreign travel or contact with foreign nationals in the United States or abroad, must be submitted for review. Such other projects as the sponsoring agency determines may have potential adverse effects on U.S. foreign relations (see IV.D.2 below) should be submitted for review.

B. Domestic Agency<sup>3/</sup> Projects

Domestic agencies must determine, on the basis of potential sensitivity as described in section IV.D. below, which of their foreign affairs research projects should be submitted for review.

C. All Agencies--Continuing Programs and General Purpose Grants

1. Agency representatives will keep the DSRC informed about continuing foreign affairs research programs carried out by research organizations receiving principal support from their agencies. After consultation with an agency, the DSRC may ask to review specific projects. In cases where such research organizations are not required to clear their research plans or projects with sponsoring agencies, the DSRC shall not require review of specific projects. However, the DSRC should be kept informed of all foreign affairs research projects undertaken as part of these programs.

2. Grants to academic institutions for general purposes (such as expansion of facilities, faculty, or curriculum) need not be submitted to the DSRC for review. However, the DSRC should be informed about such grants if any funds are to be used to support foreign affairs research by the recipient institution.

D. Project Sensitivity

1. Potentially sensitive projects are those which involve foreign travel or contact with foreign nationals and which:

<sup>2/</sup> Arms Control and Disarmament Agency, Agency for International Development, Department of Defense, Central Intelligence Agency, Department of State, U.S. Information Agency, Overseas Private Investment Corporation.

<sup>3/</sup> Grants of the National Science Foundation, the National Endowment for the Humanities, and the National Institutes of Health, as well as grants awarded under the Fulbright-Hays program or the National Defense Education Act, have been exempted from provisions of this section.

a. Deal with the authority, effectiveness, or policies of a foreign government, with the nature and relationships of politically significant internal institutions, or with the attitude of the people toward the government (especially if the government is characterized by instability);

b. Involve large-scale or formalized surveys or interviews; or

c. Are conducted by large teams or which cover extensive or remote areas of a foreign country.

2. Projects which involve neither foreign travel nor contact with foreign nationals may also be sensitive if they deal with subjects under active negotiation or currently in dispute.

3. Projects less likely to be sensitive are those which:

a. Deal with historical rather than contemporary subjects unless there are contemporary implications;

b. Gather information in the host country through documentary investigation rather than interviews or questionnaires;

c. Have the approval of interested agencies of the host country government;

d. Involve professional participation by host country nationals as researchers; or

e. Are not designed to contribute specifically to the operating mission of an agency of the U.S. Government.

## V. REVIEW AND CLEARANCE PROCEDURES

### A. Time Required

Fifteen working days are normally allotted for DSRC review of agency projects. Projects will be considered cleared unless other DSRC action is communicated to the agency within 15 working days after the required information is received for review.

### B. Information Required

1. Title and brief description of project.

2. Name of sponsoring agency or agencies (including information on any funding by other agencies).

-5-

3. Contractor, estimated cost, and principal researchers.
4. Detailed information on project: hypotheses to be investigated, methods, schedules, types of findings anticipated, countries or regions covered.
5. If project involves field work abroad, names of researchers, indication of time of proposed field work, and extent and types of contact with foreign nationals.
6. Extent to which discussion with U.S. diplomatic mission has already been held in the formulation of project proposal.
7. Classification of project and proposed disposition of reports.

C. Types of Clearance Actions

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

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

D. Appeals

An agency may request reconsideration of a decision, in which case the DSRC will accept the agency's appeal and act promptly on it. Should the decision still be unsatisfactory to an agency, the agency head may consult with the Secretary of State.

VI. AGENCY RESPONSIBILITIES<sup>4/</sup>

A. Submission of Projects for Review

Agency representatives will be responsible for collecting information on projects their agencies propose to support, making determinations as

<sup>4/</sup> To avoid duplicate reporting, or failure to report, in cases of collaborative programs and projects involving two or more agencies, that agency which actually signs contract or grant agreements should assume these responsibilities.

-6-

to which projects require DSRC clearance, and submitting appropriate project information to the DSRC for review before a contract is signed or grant awarded.<sup>5/</sup>

B. Timely Reporting on All Projects

To maintain a current inventory of Government-sponsored research projects, information on each project, whether or not previously reviewed by the DSRC, should be reported to XR's Research Services staff (RS) within 10 working days after the awarding of a contract or grant, or as soon thereafter as possible.

1. Classified project information should be submitted on Foreign Affairs Research Summary form DS-1728, or comparable agency form.

2. Unclassified project information should be submitted on the Smithsonian Science Information Exchange Project Form, or comparable agency form.

3. Variations on the above reporting procedures will be worked out with individual agencies as necessary.

C. Submission of Completed Studies

Agency representatives should ensure that 3 copies of all studies and reports (classified or unclassified) delivered to the agency as products of its external research projects (whether reviewed by the DSRC or not) are sent to INR/XR/RS for inclusion in the Foreign Affairs Research Documentation Center for lending to qualified requesters from other Government agencies.

D. Other

Agency representatives should supply annual funding information on their agencies' programs, serve as facilitators of cooperative projects, and otherwise be available for consultation on matters of interagency coordination.

<sup>5/</sup> This is not required in those cases where agencies use other established procedures to clear their research projects with a policy bureau in the Department of State (e.g., PL-480 programs) or with a U.S. Embassy (e.g., A.I.D. projects initiated and funded by field missions). However, the coordination representatives should inform the Chairman of the DSRC by memoranda of the clearance arrangements being used by their agencies in such cases.



VII. STAFF ASSISTANCE

The staff of INR/XR/RS is available for advance consultation on the possible sensitivity of projects and associated foreign travel. Since topics of no apparent sensitivity on general principle may prove to be quite sensitive in a particular time or place, advance consultation often serves to expedite projects and assure that a proposed study can in fact be carried out. Agency representatives having doubts about the potential sensitivity of projects or associated foreign travel are encouraged to seek consultation.

*All submissions of information and documents and requests for assistance should be directed to:*

*Office of External Research, INR/XR/RS  
Attn: Deputy Director for Research Services  
Room 432, SA-6  
Department of State  
Washington, D.C. 20520  
Tel: 235-8079*

## FOREIGN AFFAIRS RESEARCH

### Working Definition

#### Subject Matter

Foreign and domestic affairs are increasingly difficult to sort out, both in the U.S. and in other countries. Actions and attributes of the US, governmental and private, shape both foreign and domestic affairs. For these reasons, a broad rather than narrow definition of foreign affairs research is required if knowledge and analyses adequate to current and emergent realities are to be developed.

Therefore, a foreign affairs research program, project or activity is one that focuses, in part or entirely, on recent, contemporary, or future:

- Attributes, ideas or behavior of non-US individuals, groups, societies, or nations. This includes not only studies of discrete foreign areas or peoples but also multinational studies and cross-national comparative studies. It also includes more distant historical studies that draw parallels with or lessons applicable to the contemporary scene.
- Relations between and among nations or relations between and among individuals or groups located in different nations.
- Ways in which US individuals, groups, ideas, attributes or activities bear on the position or behavior of the US in international affairs.

#### Research Approaches and Methods

As in other categories of human and social affairs, knowledge about foreign affairs neither fits neatly into disciplinary categories nor emerges exclusively from a limited number of specifiable approaches, methods, techniques, etc.

- Generally, foreign affairs research uses the approaches and methods of one or more of the basic or applied social, behavioral, or policy sciences. But, alternatively or in addition, it may also use the approaches and methods of one or more of the humanities. It should be specially stressed that these approaches and methods can be applied to the foreign affairs aspects, uses, or implications of the physical and life sciences and of technologies (weapons, energy, industrial, agricultural, medical, etc.); studies of this nature are an increasingly important part of foreign affairs research.
- As in many other fields, foreign affairs research can be categorized as pure, exploratory, basic, applied, developmental, evaluative, policy, etc. All such categories should be included when foreign affairs is the subject matter.

January 16, 1978

SUMMARY OF PROCEDURES

AN OUTLINE  
OF  
RESPONSIBILITIES AND OPPORTUNITIES  
FOR  
AGENCY REPRESENTATIVES  
TO THE  
INTERAGENCY COMMITTEE ON FOREIGN AFFAIRS RESEARCH (IC/FAR)

Purpose:

This document, adopted by the representatives of participating agencies in the IC/FAR, serves as a summary statement of their cooperative activities and procedures for the coordination of foreign affairs research sponsored by the Federal Government. The principal objectives of coordination are to minimize duplication of effort; to facilitate joint funding and other arrangements for cooperative projects; to enhance the quality, utility and availability of research products; to provide an overview of the allocation of resources; and to avoid research activities that will have adverse effects on U.S. foreign relations.

Most of the points summarized here are dealt with more extensively in a January 16, 1978, document titled "Policies and Procedures for Department of State Review and Coordination of Government-Sponsored Research on Foreign Affairs." Appropriate references to the "Policies and Procedures" are made in this summary.

A. ADVANCE REVIEW OF SENSITIVE PROJECTS

1. Responsible for arranging State review and clearance of their agencies' proposed projects likely to arouse foreign sensitivities.

Agency Representatives should:

- a. Determine which projects their agencies propose to support require State review and clearance in accordance with section IV of the "Policies and Procedures."
  - b. For projects requiring review and clearance, submit to INR/XR/RS (prior to contract or grant award) the information specified in section V.B. of the "Policies and Procedures."
  - c. Inform project managers in their agencies of results of State review and clearance actions.
  - d. Provide INR/XR/RS with information on Continuing Programs and General Purpose Grants as specified in section IV.C. of the "Policies and Procedures."
2. Opportunity to solicit State Department views in doubtful cases.

Agency Representatives may consult with the INR/XR/RS staff in case of doubt concerning the sensitivity of agency projects or associated foreign travel.

-2-

B. SHARING INFORMATION ON CURRENT PROJECTS

1. Responsible for contributing information on their agencies' newly initiated projects for Government-wide inventory of current projects.

Agency Representatives should:

- a. Ensure that information on each project supported by their agencies is submitted to INR/XR/RS within ten working days following the award of a contract or grant in accordance with Section VI.B. of the "Policies and Procedures."
  - b. Submit annually to INR/XR/RS figures on the total obligations of their agencies for external foreign affairs research in the previous fiscal year so that an annual Foreign Affairs Research (FAR) funding table providing an overview of Government expenditures can be constructed.
  - c. Work with the INR/XR/RS staff to assure that appropriate program managers and other officials in the various agencies receive copies of the Government-wide inventory of current projects and of the annual FAR Funding Table.
2. Opportunity to maximize utility of available research funds by avoiding duplication of research already in progress and identifying possibilities for cooperative projects with other agencies.
    - a. Agency program and project managers can realize these benefits by consulting the Government-wide inventory and should be encouraged to do so.
    - b. In addition, agency representatives and program managers can use the inventory and the annual funding table to answer Congressional and other inquiries concerning duplication of effort and related matters.

-3-

C. SHARING PRODUCTS OF EXTERNAL RESEARCH PROJECTS

1. Responsible for depositing in INR's Foreign Affairs Research Documentation Center copies of studies and reports coming out of external foreign affairs research projects supported by their agencies through contract or grant arrangements.

Agency Representatives should:

- a. Ensure that three copies of all studies and reports delivered to the agency as products of its external research projects are sent to the Center in accordance with section VI.C. of the "Policies and Procedures."
- b. Work with the INR/XR/RS staff to assure that appropriate program managers and other officials in the various agencies receive copies of the periodic and occasional lists of the Center's holdings.

2. Opportunity to enlarge the circle of users of agency research products and to benefit from findings and conclusions paid for by other agencies.

Agency Representatives and Program Managers can realize these benefits by:

- a. Depositing copies of completed studies as noted above.
- b. Requesting copies of pertinent studies gleaned from scanning the periodic and occasional lists of Center holdings.
- c. Consulting the INR/XR/RS staff on the feasibility of preparing special lists of Center holdings on topics of particular interest.

-4-

D. COOPERATIVE RESEARCH EFFORTS

1. Responsible for arranging an appropriate response to other agencies' suggestions for cooperative efforts.

To the extent needed, Agency Representatives should act as "switching mechanisms" connecting research project officers in other agencies with counterparts in their own agencies when questions are posed concerning:

- a. The possibility of the queried agency participating in joint funding or other cooperative action concerning a specific project being planned.
  - b. The interest of the queried agency in participating in a proposed ad hoc research coordinating sub-group to develop a coherent program of external research on some general subject or theme. (Such sub-groups currently exist for international economics, technology and development as it relates to the 1979 UN Conference, and international terrorism.)
2. Opportunity to suggest projects, subjects or themes on which their agencies are supporting external research and would welcome cooperative efforts with others.

Agency Representatives can avail themselves of these opportunities by:

- a. Putting their agencies' project or program managers directly in touch with the representatives of other agencies in the IC/FAR network.
- b. Calling on the INR/XR Senior Program Managers (list on following page) for assistance with interagency contacts as well as for State reactions to cooperative efforts being suggested.

U.S. DEPARTMENT OF STATE  
BUREAU OF INTELLIGENCE AND RESEARCH  
OFFICE OF EXTERNAL RESEARCH (XR)

SUBJECT AREA RESPONSIBILITIES  
OF  
XR SENIOR PROGRAM MANAGERS

Regional Studies

East Asia and Pacific	Edward G. Griffin	632-8654
Europe	Eric Willenz	632-2225
American Republics	Daniel Fendrick	632-2758
Near East and South Asia	Edward G. Griffin	632-8654
Africa	Daniel Fendrick	632-2758

Global Studies

Oceans, Environmental and Science Affairs	William J. Trainor, Jr.	632-0805
Technology Transfer	William J. Trainor, Jr.	632-0805
International Economics	Warren H. Reynolds	632-0804
Political Military Affairs	Edward G. Griffin	632-8654
Nuclear Proliferation	William J. Trainor, Jr.	632-0805
International Organizations	Daniel Fendrick	632-2758
International Law	Daniel Fendrick	632-2758
International Terrorism and Narcotics	Eric Willenz	632-2225
Policy Processes and Analytical Methods	Eric Willenz	632-2225
Human Rights	Daniel Fendrick	632-2758

Overall Program Direction

Director, E. Raymond Platig 632-1342  
Deputy Director, William J. Trainor, Jr. 632-0805  
Deputy Director for Research Services, Barbara W. Morlet 235-8079



### Interagency Coordination

In support of its objective of encouraging interagency coordination of foreign affairs research (see FAR Horizons, Winter 1977, page 7), the Department of State's Office of External Research (XR) has for 10 years compiled and produced, on an annual basis, the publication, Government-Supported Research on Foreign Affairs. The responses to a recent survey indicate that recipients of this publication use it for multiple alerting purposes and favor more frequent distribution. Therefore, starting with the fourth quarter of fiscal year 1977 it will be published on a quarterly basis and will cite information on newly initiated projects reported by Federal agencies during the 3-month period covered.

To accomplish this, XR plans to contract with the Smithsonian Science Information Exchange (SSIE) for the preparation four times a year, in camera-ready copy, of a report on Government-sponsored foreign affairs research projects recently indexed and stored in their computerized data base of research project information.

The new periodical will not only alert users to newly-reported foreign affairs research on a more timely basis but, by utilizing SSIE's sophisticated print capabilities, should provide them with a much more readable publication. Copies will be distributed throughout the Government and will be for sale by the Government Printing Office. Publication of the first issue is planned for early 1978.

-2-

Background on SSIE

The Smithsonian Science Information Exchange, a nonprofit corporation of the Smithsonian Institution, has been serving researchers and research program managers for more than 25 years as a national center for the collection, processing, and dissemination of prepublication information on research in progress. The SSIE system serves to facilitate effective research planning and management by providing a central source for the timely exchange of information about ongoing or recently completed projects. SSIE information helps in the avoidance of costly and undesired duplication and in closing the information gap between the time research efforts are instituted and the time published reports become available.

The Exchange works with more than 1,300 different organizations that sponsor research--Federal, state, and local government agencies; nonprofit associations and foundations; colleges and universities; as well as foreign organizations and individual investigators--to collect descriptions of current projects in all fields of the life and physical sciences. The basic document in the SSIE system is the single-page Notice of Research Project (NRP). Each NRP includes, to the extent that the information is registered with the Exchange, the supporting organization name and project number; performing organization name and address; name(s) and department of the investigator(s); project title and a narrative summary of the work to be performed. Dates covered by NRP, and in some cases the level of support, are also given.

-3-

This information is indexed and stored for computer retrieval. The active search file covers the two most recent fiscal years' information--more than 200,000 descriptions of work in progress in agriculture, behavioral science, biology, chemistry, earth science, electronics, engineering, materials, mathematics, medicine, the social sciences, and physics. Although only a small portion deals with Government-supported foreign affairs research, nevertheless some \$31 million was reported by Federal agencies in FY 1976 as being obligated for foreign affairs research projects (see FAR Horizons, Winter 1977).

Individual investigators and research managers use SSIE to:

- Avoid unwarranted duplication of research effort and expenditure.
- Locate possible sources of support for research on a specific topic.
- Identify leads to the published literature, or participants for symposia.
- Obtain information to support grant or contract proposals.
- Stimulate new ideas for research planning, or innovations in experimental techniques.
- Acquire source data for technological forecasting and development.
- Survey broad areas of research to identify trends and patterns or reveal gaps in overall efforts.
- Learn about the current work of a specific research investigator, organization, or organizational unit.

The Exchange offers a variety of user services for research program managers and individual investigators. These include: 1) custom

-4-

searches made in response to individual requests for information on specific subjects; 2) research information packages prepared on subjects of high current interest; 3) selective dissemination of information to users who wish to receive regular updates of custom searches or research information packages; and 4) on-line search service which is available to users who have access to a computer terminal and wish to search the file directly.

Complimentary brochures describing SSIE's full range of information services are available on request:

Dr. David F. Hersey, President  
Smithsonian Science Information Exchange  
Room 300, 1730 M Street, NW.  
Washington, D.C. 20036  
Telephone: (202) 381-4211

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