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**GOVERNMENT GUIDELINES FOR  
FOREIGN AREA RESEARCH**

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media serves the greatest general good, and abroad. The best guarantee that government-supported research will be of high quality is to have its results exposed to peer-group judgment; open publication is the most effective means for this purpose. To assure maximum feasible publication of research results and to minimize the risk that research publications will be misconstrued as statements or indicators of public policy, government agencies should give careful attention to the language and places in which their support is acknowledged and their responsibility for accuracy, findings, interpretations, and conclusions asserted or disclaimed. The researcher should be given a clear understanding of the agency's position on these matters before entering into the contract.

## A. GUIDELINES FOR RESEARCH CONTRACT RELATIONS BETWEEN GOVERNMENT AND UNIVERSITY

**A1.** *The Government has the responsibility for avoiding actions that would call into question the integrity of American academic institutions as centers of independent teaching and research.*

A large portion of government-supported contract research carried out by American universities is long-range, unclassified and of academic interest to the faculties concerned; it poses no more serious challenges to academic integrity than do public and private research grants. The issues of acknowledgment and classification may pose problems and are dealt with below in paragraphs A2 and A3. In addition, there are certain specialized research needs—sometimes involving foreign sensitivities—for which Government agencies should continue to use or develop their own capabilities or those of non-academic institutions in order, among other things, to avoid possible embarrassment to academic research personnel and institutions.

**A2.** *The fact of Government research support should always be acknowledged by sponsor, university, and researcher.*

Covert support to institutions of higher education is contrary to national policy,\* on the broad and vital principle that it runs contrary to the spirit of our institutions, and on the pragmatic basis that it may reduce the reliability and credibility of the research project's conclusions and eventually result in damage to the reputation of our scholarly community.

**A3.** *Government-supported contract research should in process and results ideally be unclassified, but the practical needs of the nation in the modern world may require that some portion be subject to classification; the balance between making work*

\* As stated in the report of the committee chaired by Under Secretary of State Katzenbach which was accepted by the President on March 29, 1967. See *The Department of State Bulletin*, April 24, 1967, p. 665.

*public or classified should incline whenever possible toward making it public.*

The free flow of ideas is basic to our system of democracy and to academic freedom. There are other reasons why the government should make generally available the results of its contract research: to do so not only results in the advancement of learning and public enlightenment, but also subjects government-supported research to the closest possible professional scrutiny.

Nevertheless, other responsibilities of the government sometimes must prevail. Material which cannot be declassified must sometimes be used in research required for important purposes. There are other reasons why the use of confidential limitations is as legitimate a practice in the government as it is in the private sector, where the substance of information is sometimes withheld even when its existence is known. In exploring alternative courses of action, the government often needs research-based analysis and reflection which, if made public, could produce serious misunderstandings and misapprehensions abroad about U.S. intentions. To abandon restrictions of these sorts altogether would impose serious limitations on the agencies' use of contract research.

However, to the maximum extent feasible, agencies should design projects in such ways that only those portions requiring restrictive treatment are so treated. If classification is necessary, the university is its own judge of whether or not it wishes to contract for research in this category. In any case, the researcher should always be notified in advance of entering into the contract if the project is to be classified or if the results will need to undergo final review for possible security classification or administrative control.

**A4.** *As a general rule, agencies should encourage open publication of contract research results.*

Subject to the ordinary canons of confidentiality and good taste which pertain in responsible privately-supported academic research, and subject to paragraph 3 above, open publication of research results in government or private

**A5.** *Government agencies that contract with university researchers should consider designing their projects so as to advance knowledge as well as to meet the immediate needs of policy or action.*

Few agencies have as their central mission the advancement of knowledge for its own sake or for its general utility. Most agencies that contract for research look to research—and rightfully so—for assistance in carrying out specific missions or tasks in policy or action, in short, for applications of scholarly knowledge. It is therefore often assumed that these agencies consume a tailored product and do not contribute to the nation's intellectual capital. Consumers they certainly are; however scholars, as they work on applied problems, may also collect new data and gain new insights into the theoretical and methodological strengths and weaknesses of their scholarly fields; thus they generate as well as apply scholarly knowledge. Agencies should entertain research proposals and encourage research designs which permit such contributions to basic knowledge to the maximum degree consistent with the project's sensitivity and mission-related purpose.

**A6.** *The government agency has the obligation of informing the potential researcher of the needs which the research should help meet, of any special conditions associated with the research contract, and generally of the agency's expectations concerning the research and the researcher.*

The researcher has a right to prior knowledge of the use to which the agency expects to put research even though, as in the case of privately-supported research, no assurances can be given that it will in fact be used or that other uses will not also be made of it, by either the supporting agency or others.

Nothing is more conducive to bad relations between researcher and government agency than failure to establish mutual understanding in advance concerning a research project. The best research designs are often those that emerge from extensive discussion between potential contractor and supporting agency; if elements of the design cannot or should not be completed until the project is under way, this prospect should be explicitly acknowledged and provided for.

A1. *The government should continue to seek research of the highest possible quality in its contract programs.*

As scholars have much to contribute in assessing the quality of research designs and the capabilities of colleagues, their advice should be sought at key stages in the formulation of projects. Advice can be obtained through consultants, advisory panels, independent review, or utilization of staff scientists.

for unclassified projects which either deal with very sensitive matters or easily lend themselves to misunderstanding and misrepresentation.

B5. *The government should encourage cooperation with foreign scholars in its contract research programs.*

Cooperation with local scholars not only adds valuable viewpoints to a foreign area research project, but also goes far to remove antagonisms and suspicions. This cooperation must, in large part, be the responsibility of the American scholars who carry on the projects, but the government should, where legislation permits, look favorably upon research proposals that contain provisions for cooperative ventures and should otherwise seek to facilitate and encourage these ventures within the limits imposed by local resources and needs. The supporting agency should encourage and assist American researchers to distribute to those foreign colleagues who have cooperated in the research copies of open publications arising from the project. The supporting agency should also consider distribution of such publications to other interested persons and institutions in the host country, either directly through appropriate sections of the U.S. Embassy or by submitting copies to the FAR Secretariat for transmittal to the Embassy.

**B. GUIDELINES FOR THE CONDUCT OF FOREIGN AREA RESEARCH UNDER GOVERNMENT CONTRACT**

B1. *The government should take special steps to ensure that the parties with which it contracts have highest qualifications for carrying out research overseas.*

Some of the points to be considered in assessing qualifications are professional competence, area experience, language competence, and personal alertness to problems of foreign sensitivity. Scholars in the same field or discipline are usually in the best position to judge the qualifications of a given researcher. Whenever feasible, consultation with academic experts should be a part of the process of contracting for foreign area research.

B2. *The government should work to avert or minimize adverse foreign reactions to its contract research programs conducted overseas.*

All other things being equal, government-supported projects are more likely than private ones to be misinterpreted by both government and nongovernment institutions in foreign countries. Sponsoring agencies should keep in mind that ordinarily research supported by government will be held abroad to have a very practical purpose—often a purpose more immediate and direct than the agency intended, or even imagined. Thus, some combinations of topic, place, time, and agency support result in sensitivity so great as to make pursuit of some research projects actually harmful. While the existing procedures for review of government-supported foreign area research projects in the social and behavioral sciences have clarified and alleviated many of the problems, the supporting agency should always be on the watch to ensure that its research projects do not adversely affect either U.S. foreign relations or the position of the private American scholar.

B3. *When a project involves research abroad it is particularly important that both the supporting agency and the researcher openly acknowledge the auspices and financing of research projects.*

(See paragraph A2 above.) One source of difficulty for the scholar overseas is the unfounded suspicion that all American researchers are covertly supported by the U.S. Government. A policy of full disclosure of support will help to eliminate the suspicion of all American research—whether private or government, classified or unclassified—and will allow that which is supported by the government to be judged on its own merits. If the research is of such a character, as in opinion sampling, that the objectivity of its research techniques is substantially destroyed when respondents know of the project's auspices, then it is doubly important that either the host government or collaborating local researchers, or both, be fully informed about the nature of the project.

B4. *The government should under certain circumstances ascertain that the research is acceptable to the host government.*

In most cases the open acknowledgment of auspices and financing discussed in paragraph B3 is sufficient to satisfy the interest of the host government in the research. In some cases it is desirable to take specific steps to inform the host government. For example, when the U.S. Government supports a classified research project involving substantial field work abroad by scholars associated with American universities, sufficient information about the project should be communicated to the host government to convey a true picture of the character and purpose of the project. Similar steps may often be desirable

B6. *Government agencies should continue to coordinate their foreign area research programs to eliminate duplication and overloading of any one geographic area.*

Agencies planning projects will continue to make use of the various FAR facilities for information exchange and consultation in order to ascertain whether similar projects have already been completed or are underway and in order to coordinate with other agency plans where feasible. Since the proliferation of American researchers overseas has been one source of irritation, government agencies should continue to ensure that their programs do not arouse foreign sensitivities by concentrating too many researchers and research projects in any one overseas area.

B7. *Government agencies should collaborate with academic associations on problems of foreign area research.*

Professional scholarly associations, both American and international, and especially those related to specific areas, have much experience with the problems of research abroad, and they have an interest like that of the government in ensuring that research relationships across national boundaries flow smoothly. Government agencies, through such mechanisms as the FAR, should consult with these associations on the problems involved to arrive at mutually agreeable procedures and solutions.