

Subject: **REVIEW AND CLEARANCE OF FOREIGN AFFAIRS RESEARCH
SUPPORTED BY HHS GRANTS AND CONTRACTS**

20-60-00 Purpose

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20-60-00 **PURPOSE**

To provide policy and procedures for review and clearance by the Department of State of proposed HHS-financed grants and contracts for potentially sensitive research programs and studies in the social, behavioral and medical sciences dealing with international relations or with foreign areas and peoples conducted **abroad or** in the United States.

20-60-10 **REVIEW AND CLEARANCE POLICY**

- A. The President has **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 (Presidential letter of August 2, 1965, Vol. 1, Weekly **Comp. Pres. Docs.** 43).
- B. In **compliance** with this policy, all grants and contracts for potentially sensitive (as defined below) research dealing with foreign areas and peoples conducted abroad or in the United States, and **financed by HHS funds, will be reviewed and cleared by the Department** of State for consistency with U.S. foreign policy objectives.

Exceptions: Grants of the National Institutes of Health and the Alcohol, **Drug Abuse, and Mental Health Administration** are exempt from these provisions. Grants and contracts that are routinely **cleared with a policy bureau** in the **Department** of State (such as Special Foreign Currency **Program projects cleared by the Bureau of Oceans** and International **Environmental** and Scientific Affairs) are also **exempt from these provisions.**

20-60-20 **REVIEW AND CLEARANCE PROCEDURES**

- A. Prospective research projects are either "non-sensitive" or "potentially sensitive." The definition of **"potentially sensitive"** projects is given in paragraph B.3 below. Operating Divisions (**OPDIVs**) should review each **proposed** project **and** make an initial **determination** as to whether it is non-sensitive or potentially sensitive.

For prospective projects which are non-sensitive, OPDIVs should follow existing clearance procedures, such as transmittal of the project **agreement for host country signature through Department of State (OES) channels.**

For proposed projects which fit the definition of "potentially sensitive", the procedures described in paragraph B below apply. OPDIVs should **send** information on such projects to the Office of International Affairs (OIA), OS, through designated channels, for review and transmission to State for clearance (do not send the information directly to State).

In respect to all such prospective projects, OPDIVs should not, if practicable, enter **into** contract or grant negotiations until **Department** of State clearance has been given. In all cases, no firm commitments should be made until such clearance is **given.**

B. Clearance of Potentially Sensitive Projects

1. Information on potentially sensitive projects, as defined in paragraph 3 below, must be submitted through official **channels to** OIA for submission to the Department of State Research Council for review in accordance with Department of State requirements (Policies and Procedures for **Department of State Review** and Coordination of **Government-sponsored Research on Foreign Affairs**, dated January, 1982).
2. The **Secretary of State has created the Department of State Research Council** to assist him in formulating policies for State **Department review and clearance of project proposals.**
3. Project Sensitivity
 - a. Potentially sensitive projects are those which involve **foreign** travel or contact with foreign nationals and which:
 - (1) 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);
 - (2) Involve large-scale or formalized surveys or interviews:
or
 - (3) Are conducted by large teams or which cover **extensive** or **remote** areas of a foreign country.

- b. 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.
- c. Projects less likely to be sensitive are those which:
 - (1) **Deal** with historical rather than **contemporary** subjects unless **there are contemporary** implications;
 - (2) Gather information in the host country through documentary investigation rather than **interviews** or questionnaires;
 - (3) Have the approval of interested agencies of the host country **government**;
 - (4) Involve professional participation by host country nationals as researchers; or
 - (5) Are not designed to contribute specifically to the operating mission of an agency of the **U.S. Government**.
- 4. It is the responsibility of the sponsoring OPDIV to determine according to the criteria in paragraph 3 above, which proposed **projects may be potentially sensitive and, with respect to these projects, to provide the Office of International Affairs with the following information:**
 - a. Title of the proposed project, and a brief description, including the objectives of the research, and, when not otherwise obvious, the reasons for involving the foreign **country**, and any benefit of the research to that country.
 - b. **Sponsoring** agency or agencies and name and **telephone number** of contact.
 - c. Name of grantee or contractor, estimated cost (including information of any funding by other agencies), and principal researchers, including foreign researchers, if any.
 - d. Detailed **information on the proposed project:** questions to be investigated, methods, schedules, types of findings anticipated, countries or regions covered.

- e. 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.
 - f. Extent to which discussion with a U.S. **diplomatic** mission has already **been** held in the formulation of the project proposal.
 - g. Security classification, **if any, of project and proposed** disposition of reports.
5. **The Director, OIA, is the HHS focal point for clearance of** potentially sensitive projects with the **Department** of State Research Council, and is responsible within **HHS** for: making a further review of foreign affairs research projects **submitted to OIA for potential foreign relations** sensitivity, in accordance with paragraph above: **deciding which projects need State Department** clearance: and submitting the latter to State for review.
6. When OIA has received indication of clearance or **non-**clearance **from the Department of State, OIA will so** inform the appropriate OPDIV.