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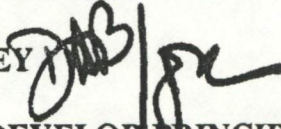
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THE WHITE HOUSE
WASHINGTON

June 26, 1992

MEMORANDUM FOR AMBASSADOR BARTHOLOMEW

FROM: D. ALLAN BROMLEY 
SUBJECT: CISET STUDY TO DEVELOP PRINCIPLES AND GUIDELINES
FOR INTERNATIONAL SCIENCE AND TECHNOLOGY

Thank you for your memorandum of May 30, 1990 discussing the CISET study on principles and guidelines for international S&T. I am pleased to hear your positive views on the need to articulate the foreign and economic policy goals of the United States as they relate to international S&T activities supported by Federal agencies.

I read with great interest your suggestion on approaching the issue through the NSC, starting with a working group of the OES PCC. While I believe CISET would be the most appropriate mechanism to develop the report, I would be willing to discuss a PCC approach as well. I appreciate your support for having Tom Ratchford head up the study in the OES PCC, although I have difficulty with the reporting structure implicit in that arrangement. If we do not agree that CISET should lead the effort, I suggest we consider creating an ad hoc PCC, chaired by Tom, building on the OES PCC work you have initiated concerning Russia and on CISET studies related to Western Europe, Eastern Europe and developing countries.

Given the considerable effort this exercise will require, its importance to foreign and economic policies relating to international S&T, and the delays experienced so far in its launch, we need to review the schedule for the study as well. The time frame should allow technical agencies to devote sufficient attention to the report, since it will no doubt have a substantial influence on their future S&T activities.

I would be pleased to discuss this further with you.

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20506

July 24, 1992

MEMORANDUM FOR D. ALLAN BROMLEY

FROM: TOM RATCHFORD

SUBJECT: BARTHOLOMEW MEMORANDUM

Your note to me asks to discuss the May 30, 1992 memorandum to you from Reg Bartholomew. In his memorandum to you, Reg suggests the international S&T principles and guidelines study be done through an OES PCC Working Group chaired by me and reporting to Buff Bohlen.

Attached, for discussion purposes, is a draft reply. It expresses a preference for using Ciset but a willingness to discuss options. The options include working through the PCC process, but eschewing the route of reporting through Buff.

I would be happy to discuss this in more detail at your convenience.

*Please type up
memo in final form
for signature.*

"Document Control"

TYPE: ACTION

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STATUS I

DIRECTORATE STATUS

FROM: PEARSON, W. Robert: U.S. DEPARTMENT OF STATE

TO: DR. D.A. BROMLEY

DATE OF
CORRESPONDENCE: 06/01/92

SUBJECT: HE IS FORWARDING A MEMORANDUM FROM UNDERSECRETARY
BARTHOLOMEW TO DR. BROMLEY CONCERNING A PROPOSED
STUDY ON INTERNATIONAL SCIENCE AND TECHNOLOGY BY
CISSET.

DIRECTORATE

STAFF

ASSIGNED: INTERNATIONAL/POLICY

ASSIGNED:

ACTION

STAFF

REQUIRED: AS NECESSARY

ACTION:

SENDER'S DUE DATE:

OSTP DUE DATE: 06/18/92

STAFF DUE DATE

DATE COMPLETED:

DATE COMPLETED/DEPT:

COPIES TO: D. Allan Bromley

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WHITE HOUSE TRA

REMARKS:

T:

*Jim R. discuss
with DDB*

OSTP RECEIVED: 06/1
FILE: P-INTERNATION

CENTRAL FILES:



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United States Department of State

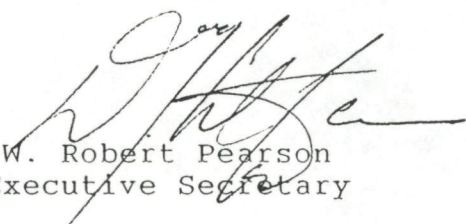
Washington, D.C. 20520

June 1, 1992

MEMORANDUM FOR BRENT SCOWCROFT
THE WHITE HOUSE

SUBJECT: Ciset Study on International Science and Technology

Please transmit the attached memorandum from Under Secretary Bartholomew to Dr. Bromley concerning a proposed study on international science and technology by the Committee on International Science, Engineering and Technology (Ciset).


W. Robert Pearson
Executive Secretary

Attachment:
As stated.



United States Department of State
Under Secretary for International Security Affairs
Washington, D.C. 20520

May 30, 1992

MEMORANDUM FOR: D. Allan Bromley
The White House

FROM: Reginald Bartholomew

SUBJECT: Ciset Study on International Science and Technology

Your April 27 memorandum is very much in line with my own thinking in this area. Several months ago I asked the OES bureau to move out in this general direction through the NSC committee system -- starting with an analysis of our science and technology interests with Russia and the other newly independent states, particularly our goals for the upcoming visit of President Yeltsin. That process is already yielding some very useful results, thanks in part to what I understand is OSTP's strong interest and support.

My sense in deciding to initiate the process in the NSC system was it would be more appropriate to carry out the full effort there -- starting at the PCC (OES) level -- because, as you point out, what we want to do with other countries in science and technology cooperation in the future may lead us to consider adjustments to national security and foreign policy.

That is why I think the points you make in your memorandum are very important. In particular, I was impressed by your argument that we need to single out two areas for study as part of the process of arriving at a decision on whether new Administration policy is needed:

-- Changes over the past four decades in the distribution of centers of research, flows of scientists and engineers, and commercial importance of R & D; and,

-- Agency-by-agency review of their current international science and technology activities and how such activities relate to their specific technical missions.

Allan, it seems to me that, rather than launching a whole new exercise in Ciset at this stage, we should move full speed ahead with the PCC process and, in particular, focus on these two areas through a special study. In this respect, I think your idea of having Tom Ratchford head up such a study group is an excellent one. I have also discussed it with Buff Bohlen and, if you agree, I see no reason why he should not proceed to pull together a PCC subcommittee to begin drafting a study of the above two areas. Once concluded -- and I hope we could have it by July 1 -- this study would then be fed into the full PCC effort that Buff chairs, which I would see producing a final product for the Deputies Committee to approve in late November.

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20506

April 27, 1992

MEMORANDUM FOR AMBASSADOR BARTHOLOMEW

FROM: D. ALLAN BROMLEY 
SUBJECT: REQUEST FOR Ciset Study to Develop Principles
AND GUIDELINES FOR INTERNATIONAL SCIENCE AND
TECHNOLOGY

As you know, the last four decades have seen a remarkable degree of international activity and cooperation in science and technology (S&T) by the Federal Government. In this endeavor, we have tried both to foster goodwill and cooperation among countries, and to facilitate the conduct of research that is inherently international in scope.

These four decades have seen fundamental changes in the distribution of centers of research, flows of scientists and engineers, and commercial importance of research and development. We need to continue to adjust to these changes in our national policies, foreign policy development, and in our technical agencies.

The U.S. Government has, as you know, hundreds of international agreements promoting and facilitating cooperation in S&T, both at the technical agency level and at the U.S. Government level. I am of the opinion that there is a need for a clear articulation of foreign and economic policy goals of the United States as they relate to international S&T activities. In addition, there is a need within each technical agency to review their international S&T activities in light of their mission and overall U.S. foreign and economic policy.

In your capacity as Chair of the Committee on International Science, Engineering and Technology (Ciset), I am requesting the creation of an Ad Hoc Working Group of Ciset to prepare a report which will address these issues. This report, including recommended actions, would be due July 1, 1992, and a draft principles and guidelines for the conduct of international S&T would be delivered by October 1, 1992. A draft State of Roles and Objectives describing specific functions, structure, and tasks is attached for your reference.

The Ciset is the appropriate forum for discussing these important topics, considering its mandate to increase the overall effectiveness and productivity of Federal efforts in international science, engineering and technology. Additionally, because this exercise will cut across agency boundaries, a forum of this type is needed to provide the necessary overview and expertise.

Ambassador Bartholomew

April 27, 1992

Page two

If you feel that an Ad Hoc Working Group of Ciset is not the appropriate venue for this study, and that these issues should be more appropriately addressed in some other forum, I would be pleased to discuss this further with you.

I look forward to your positive response.

Attachment

**STATEMENT OF ROLES AND OBJECTIVES
FOR THE
AD HOC WORKING GROUP OF THE
COMMITTEE ON INTERNATIONAL SCIENCE,
ENGINEERING, AND TECHNOLOGY
ON
PRINCIPLES AND GUIDELINES FOR
INTERNATIONAL SCIENCE AND TECHNOLOGY**

The Ad Hoc Working Group on Principles and Guidelines for International Science and Technology (hereinafter referred to as the Working Group) is hereby established under the Committee on International Science, Engineering, and Technology (CISSET) of the Federal Coordinating Council for Science, Engineering, and Technology (FCCSET) by action of the FCCSET Chairman.

Purpose

The purpose of the Working Group is to review the conduct of international science and technology activities sponsored and supported by the United States Government through its technical agencies. The Working Group will draft guidelines and principles for use by Federal agencies in their conduct of international science and technology programs and activities, and recommend through the CISSET to the FCCSET whether the principles and guidelines be recommended to the President for possible incorporation into an executive order.

Functions

Reporting to and under the direction of the Chairman of CISSET, the Working Group will review:

- o the changing environment for international science and technology, including national security, economic, and domestic policy considerations;
- o the role of international science and technology in research and development programs of technical agencies;

The Working Group will review and recommend principles and guidelines with respect to:

- o effectiveness of present policies and organization in utilizing science and technology in support of foreign policy objectives;

- o the scope and effectiveness of government role in providing foreign science and technology information for U.S. Government, universities and industry;
- o the role of science and technology exchanges (mobility) in civilian technology transfer;
- o the role and utility of both umbrella and agency level science and technology agreements;
- o the process for review, approval, and implementation of international science and technology agreements including the utility of a "model" agreement, the interagency approval process, and documentation and reporting on activities under the agreements;
- o the role of international cooperation in megaprojects from both a domestic and foreign policy perspective;
- o U.S. government practices for addressing foreign proposals for technology cooperation, particularly when the proposals cut across multiple agencies and include private sector participation;
- o agency procedures for handling proposals from foreign principal investigators;
- o existing legislation including the effectiveness and value of the Title V reporting requirements; and
- o emerging S&T relationships with Eastern & Central Europe & CIS.

Structure and Membership

The Associate Director for Policy and International Affairs in the Office of Science and Technology Policy will serve as Chairman of the Working Group.

The following departments and agencies are represented on the Working Group:

National Security Council
Office of Management and Budget
United States Trade Representative
National Space Council
Agency of International Development
Department of Agriculture
Department of Commerce
Department of Defense

Department of Energy
Department of Health and Human Services
Department of Interior
Department of State
Department of Transportation
Environmental Protection Agency
National Aeronautics and Space Administration
National Science Foundation
Nuclear Regulatory Commission

Responsibility of the Working Group Chairman

- o Hold regular meeting of the Working Group and approve agendas;
- o appoint individuals as necessary to take responsibility for completing reports or other necessary documents to be drafted by the Working Group;

Products and Delivery Times

- 1) A study of the issues outlined above including recommended action; due July 1, 1992;
- 2) Proposed guidelines and principles for the conduct of international science and technology; due October 1, 1992.

Termination Date

The Working Group shall terminate on November 1, 1992, unless otherwise extended by the FCCSET Chairman.

Determination

I hereby determine that the formation of the Ad Hoc Working Group of the Committee on International Science, Engineering, and Technology on Principles and Guidelines for International Science and Technology is in the public interest in connection with the performance of duties imposed on the Executive Branch by law and that such duties can best be performed through the advice and council of such a group.

Recommended:

Approved:

Chairman, Ciset Date

Chairman, FCCSET Date

THE WHITE HOUSE
WASHINGTON

April 28, 1992

Jan
Dear Secretary Watkins:

Thank you for your letter of January 16 regarding the need for Administration-wide principles for international science and technology (S&T) collaboration. I am pleased to learn of efforts within your own department to address issues related to international agreements. It is my firm belief that improvements to agency procedures, operations, and goals must come from within.

I have been considering your suggestion for a White House-initiated study and strategy for handling of international S&T efforts. What you have suggested is consistent with my efforts to create, within the FCCSET Committee on International Science, Engineering and Technology (CISET), an Ad Hoc Working Group to look at the need for and possible development of principles and guidelines to guide international S&T activities of the technical agencies. My staff is coordinating these efforts with the staff of the National Security Council and the Department of State.

Thank you for bringing this important issue to our attention and I look forward to working with you to bring about real and substantial improvements to our international S&T endeavors.

Sincerely,



D. Allan Bromley
The Assistant to the President
for
Science and Technology

The Honorable James D. Watkins, USN (Retired)
The Secretary of Energy
Washington, DC 20585

THE WHITE HOUSE
WASHINGTON

November 2, 1992

MEMORANDUM FOR AMBASSADOR WISNER

FROM: D. ALLAN BROMLEY *DB*

SUBJECT: CISET STUDY OF U.S. OBJECTIVES FOR INTERNATIONAL
S&T IN THE POST COLD WAR FOREIGN POLICY SETTING

The U.S. Government is involved in a wide variety of international programs, and has hundreds of international agreements promoting and facilitating cooperation in S&T. Further, we see our foreign policy to be increasingly interlaced with S&T considerations. Much of our policy framework and our technical agency programs derive, however, from the period immediately following the Second World War. I believe there is a need to critically examine the adequacy of current U.S. Government policies regarding S&T activities with international implications. Such an examination will not only focus on the integration of science and technology with U.S. foreign and economic policy objectives, but also on how our policies affect the health of S&T in the United States.

In your capacity as Chairman of the Committee on International Science, Engineering, and Technology (CISET), I am requesting that you establish an Ad Hoc Working Group of CISET to prepare a report which addresses these issues. The attached overview provides a conceptual framework for the study.

I have asked my staff to work with yours to a draft Statement of Roles and Objectives for the working group. I would also be pleased to receive your recommendation on who should be its chairman.

I look forward to your positive response.

U.S. OBJECTIVES FOR INTERNATIONAL S&T IN THE POST COLD WAR FOREIGN POLICY SETTING

A CISET STUDY

PURPOSE

A CISET working group would conduct a one-year study of the adequacy of current U.S. government policies regarding S&T activities with international implications, and the integration of science and technology with foreign and economic policy objectives of the United States. On the basis of appropriate review of the international science and technology activities sponsored by the U.S. Government, using existing materials to the extent possible, the working group would develop recommendations to Federal agencies for their conduct of international S&T programs and activities.

METHODS

The working group would approach its mandate in two stages. The first would be to inventory and evaluate existing policies and means of integrating science, technology and foreign policy. The second stage would, based on this evaluation, develop recommendations for implementation by the agencies.

Analysis and Evaluation

To provide a basis for effective evaluation, the group would first inventory and review technical agency S&T activities. It would utilize CISET and NSC reports and compendia, as well as agency reports and documentation in this effort. This initial exercise would include an examination of:

- flows of S&T personnel (including students and post-doctoral researchers) to and from the United States, and the effects of agency policies and programs on these flows;
- the scope and effectiveness of the government role in providing foreign S&T information to government agencies, universities and industry;
- the role and utility of both umbrella S&T agreements and agency-level S&T agreements, and the desirability and feasibility of developing a model bilateral S&T agreement;
- U.S. government practices for addressing foreign proposals for technology cooperation, particularly when the proposals cut across multiple agencies and

include private sector participation; and

- emerging S&T relationships in developing and industrialized countries, including the former Soviet Union and Central and Eastern Europe.

Recommendations

Based on the results of the activities described above, the Working Group would develop a series of recommendations for action for technical agency policies and programs that will strengthen U.S. science and technology; and to better enhance the integration of science and technology and foreign policy. Recommendations would address increased effectiveness of:

- Policies and organization in using science and technology in support of foreign policy objectives;
- Policies and programs in using foreign policy tools to advance national science and technology objectives; and
- International programs of Federal agencies in enhancing U.S. science and technology.

The subject of study for this Working Group extends into areas of some sensitivity in terms of agency mandates and historical approaches to science and technology. The critical nature of the issue, however, and the potential long-term and positive impacts on U.S. approaches to international science and technology, warrant the extensive effort that will be needed for success. Working together with the agencies, one year should provide a realistic time frame to accomplish the objectives of the Working Group.