

**Interagency Working Group  
on U.S. Government-Sponsored  
International Exchanges and Training**



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## FOREWORD

This publication, in both electronic and printed form, constitutes the second *Annual Report* of the Interagency Working Group (IAWG) on United States Government-Sponsored International Exchanges and Training. The *FY 1998 Annual Report* contains an inventory of U.S. Government-sponsored international exchanges and training programs funded and/or conducted by 13 federal departments and 28 independent agencies/organizations. The inventory was conducted this year using a new data management system (FEDS) which provided more accurate, consistent and reliable data collection and retrieval. The system will be greatly expanded and refined next year through the use of the World Wide Web. The narrative portion of the *Annual Report* includes this year, for the first time, three individual country field studies, each of which provides an important perspective on these exchanges and training programs – that of a United States diplomatic mission abroad.

Since our *FY 1997 Annual Report*, the IAWG, begun under Executive Order 13055, has received a legislative mandate. The Omnibus Consolidation Act (PL-105-277) amended the Mutual Educational and Cultural Affairs Act (The Fulbright-Hays Act) of 1961 to include a new subsection, subsection (g), creating the IAWG and defining its membership and tasks. The full text of this amendment may be found in the Appendices.

In addition to attempting to carry out the specific tasks assigned to the IAWG, the Working Group has taken a proactive role in relating the function of the IAWG to the foreign policy process. During the past year, the IAWG undertook an in-depth discussion of the *International Affairs Strategic Plan* (IASP) and how it relates to the conduct of international exchanges and training programs. Members of the IAWG pointed out that concepts important to international exchanges and training were not clearly evident in the IASP. Among the concepts left un-addressed were “mutual understanding” (the crux of the Fulbright-Hays Act itself), “the advancement of science” and “human capacity development.” How these concepts, important to members of the IAWG, are reconciled within the IASP will be the subject of further discussion.

More directly related to the exigencies of the foreign policy process was the IAWG’s positive interest in and material contributions toward the policy-making process on the Southeast Europe Initiative/The Stability Pact for the Balkans. Members of the IAWG contributed to the most comprehensive and accurate compilation to date on exchanges and training programs past and present, an assessment of needs and capabilities, and future plans and ideas relating to exchanges and training programs in the countries of Southeastern Europe. The Working Group’s efforts on this issue marked an important watershed in making the IAWG more directly relevant to the planning and

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conduct of foreign policy and to the ability of U.S. Government agencies in the field to mount more focused and effective programming.

We have made excellent progress toward the tasks outlined in our enabling legislation, and the quality of participation in IAWG activity and discussion continues to grow. Without this active participation, hard work and support by the member agencies of the IAWG, our organization would be but a hollow shell. The work undertaken so far by the Working Group and its staff is the best proof of the wisdom of the Administration and the Congress in creating this vehicle for the coordination of federal international exchanges and training programs.

The *Annual Report* that follows presents the important efforts undertaken so far. Much remains to be done. We have made a good start and the IAWG has now achieved the momentum necessary to carry out our mandate. In the years to come we will look back on this period as one which began the process of making U.S. Government-sponsored international exchanges and training more efficient, more effective, and more central to our national interests.

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## CHAPTER 1: OVERVIEW

President Clinton created the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) on July 15, 1997, to recommend measures for improving the coordination, efficiency, and effectiveness of United States Government-sponsored international exchanges and training. The subsequent Omnibus Consolidated and Emergency Appropriations Act, 1999, (Public Law 105-277, Division G, "Foreign Affairs Reform and Restructuring Act of 1998," section 2414) reaffirms this mandate and provides a statutory basis for the IAWG's operations.

The IAWG is currently comprised of members from over 20 federal departments and agencies. The IAWG Executive Committee includes representatives from the Departments of Defense, Education, Justice, and State, the United States Agency for International Development and the United States Information Agency.<sup>1</sup> Representatives from over 40 federal departments and agencies work with the IAWG in addressing its mandates.

Specifically, the IAWG is tasked to:

- establish a clearinghouse to improve data collection and analysis of international exchanges and training;
- promote greater understanding of and cooperation on common issues and challenges faced by U.S. Government departments and agencies conducting international exchanges and training programs;
- identify administrative and programmatic duplication and overlap of activities by the various United States Government agencies involved in government-sponsored international exchanges and training programs;
- develop initially and assess annually a coordinated strategy for all government-sponsored international exchanges and training programs, including an action plan with the objective of achieving a minimum of 10 percent cost savings;
- develop recommendations on performance measures for all United States Government-sponsored international exchanges and training programs; and
- develop strategies for expanding public and private partnerships in, and leveraging private sector support for, United States Government-sponsored international exchanges and training activities.

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<sup>1</sup> The United States Information Agency (USIA) will be integrated into the U.S. Department of State on October 1, 1999, and will cease to exist as an independent agency.

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Additionally, the IAWG addresses specific concerns of member and associated organizations, explores common challenges, and provides guidance and information as needed.

The IAWG sees fulfilling its mandates as an ongoing process. The first year of the IAWG's existence laid the foundation for future activities and outlined immediate needs and priorities. As with the *FY 1997 Annual Report*, the *FY 1998 Annual Report* will provide findings and accomplishments from the past year and outline strategies and priorities for the coming year.

## THE YEAR IN REVIEW

In its first *Annual Report* (1997) the IAWG outlined the approach that it would take to address its statutory mandates and the needs of its member organizations. The IAWG has met many of its goals.

### Data Collection

The *FY 1997 Annual Report* called for the creation of a new data collection system. Subsequently, the IAWG:

- revised the data collection survey to eliminate superfluous requests for information, to standardize participant categories, and to ease the data reporting burden on federal organizations;
- developed a new electronic data management system -- the Federal Exchanges Data System -- to enable easier electronic transmission, management, and reporting of exchanges and training data. The data management system will be integrated with the IAWG's website in Fall 1999 to allow for Internet submission of exchanges and training data. More information on this system can be found in Chapter 2, section 2.

For the FY 1998 Inventory of Programs, the IAWG collected and analyzed information on more than 180 international exchanges and training programs from 13 federal departments and 28 independent agencies/organizations. The U.S. Government developed, directed or supported these programs with a total cost to the federal government of approximately \$950 million. The total number of foreign and U.S. participants exceeds 141,000. Many departments and agencies did not report any or all financial contributions from other sources, though such partnership is evidenced by over \$650 million in contributions from non-U.S. Government entities that were reported.

### Clearinghouse Activities

The IAWG fulfills its clearinghouse responsibilities in three primary ways: through its clearinghouse websites, through the creation of an annual Inventory of Programs, and through staff consultations.

In its *FY 1997 Annual Report* the IAWG established a plan to create two clearinghouse websites, one for interagency use and the other open to the public. The IAWG also made the integration of the data collection mechanism with the interagency site a priority.

The IAWG has created both sites. The pass code protected interagency site includes, but is not limited to, the following:

- Information on the IAWG
- Links to member and cooperating organizations
- Links to non-governmental organizations (NGOs) that are partners in international exchanges and training activities
- Meeting information, including member contact information, agendas, minutes, surveys
- Staff papers and action plans
- Annual reports, special reports and pre-IAWG inventory data
- International affairs planning documents and links to agency strategic plans
- Program administration information
- Links to U.S. embassies abroad and foreign embassies in the U.S.
- Travel information
- General reference information

The public site, [www.iawg.gov](http://www.iawg.gov), includes all of the above information except IAWG meeting materials and internal documents. While the IAWG began recording "hits" to these sites only in mid-1999, the two sites combined registered over 9,000 in the first three months of their existence.

As noted above, the FY 1997 Inventory of Programs was placed on the Working Group's websites to broaden access to this information. With the introduction of the web-based data collection mechanism, the IAWG will create a system in which agencies can not only submit data, but also retrieve data reports tailored to their specific needs through the World Wide Web. Over 2,000 copies of the *FY 1997 Annual Report*, which included the Inventory of Programs, were distributed over the past year. Supplemental regional reports with region- and country-specific inventory data were distributed to IAWG member agencies and U.S. Missions overseas.

The clearinghouse websites also create a forum for the IAWG to share critical information with policy makers. Recently the IAWG created a section within its website devoted entirely to reporting on the U.S. Government's exchanges and training activities in Southeastern Europe. The site focuses on past initiatives, needs and capabilities, and ideas for future programming. As the United States, the European Union, and other nations begin reconstruction efforts in Kosovo and the region and address lingering concerns about regional stability, this resource should prove useful in directing available resources to meet U.S. goals in the region.

As information about the IAWG becomes more widely disseminated, its staff offices are receiving a greater number of requests for information and assistance. To track these requests, the IAWG staff created a database of inquiries. Since the creation of the database in February 1999, the IAWG staff has received numerous inquiries from federal agencies, NGOs and individuals. Over half of these inquiries are requests for more information on international exchanges and training activities; one quarter seek administrative guidance or information resources; and the remainder are requests for copies of IAWG reports.

## **Common Issues and Challenges**

The *FY 1997 Annual Report* identified several priority areas where the IAWG can address common issues and challenges by facilitating information sharing, identifying best practices, and developing recommendations for more efficient operations. The report identified five major areas for immediate attention:

- Planning and Coordination
- Budget Transfers
- Insurance
- Data Management
- Visa Usage

The State Department has already instituted mechanisms for policy/program coordination at the worldwide level (International Affairs Strategic Plan (IASP)) and at the country level (the Mission Performance Plan (MPP) process). The IAWG concluded that its most useful contribution to planning and coordination issues will be in ensuring that exchange and training policy concerns are addressed in review of the International Affairs Strategic Plan. Beyond this, the IAWG focused on addressing administrative efficiencies and best practices in the remaining four areas. Detailed discussions on the IAWG's activities in these areas can be found in Chapter 2.

## Duplication and Overlap

In its *FY 1997 Annual Report*, the IAWG identified three approaches to identifying duplication and overlap:

- Conduct a detailed study of two types of programs -- academic exchanges for graduate students and business/entrepreneurial development training programs in Central and Eastern Europe and the New Independent States -- focusing on identifying overlap and complementary programming;
- Review international visitors programs and rule of law/administration of justice programs for administrative overlap and potential improvements in coordination; and
- Conduct two country studies to examine international exchanges and training programs and activities at the Mission level.

The IAWG determined that to effectively pursue all these areas, the first two duplication studies should be delayed one year. These studies will be addressed in the *FY 1999 Annual Report*. The international visitors and rule of law studies are addressed in Chapter 3. The IAWG expanded its field studies to include three countries: Dominican Republic, Poland, and South Africa. Synopses of these studies are included in Chapter 4 and the full country studies appear in Appendix 5.

## Partnerships

The IAWG dedicated itself to engaging agencies that have more fully explored public-private sector partnerships and to developing strategies to expand cooperation and leveraging on a government-wide scale. The IAWG views this as a long-term, continuing project that will yield extensive benefits to all stakeholders in exchanges and training programs. The activities of the IAWG in this area are outlined in Chapter 5.

## Performance Measures

Statutorily, the IAWG is not required to address performance measures for U.S. Government-sponsored international exchanges and training programs for another year. However, the IAWG has begun to examine this issue both through its country field studies and as a distinct mandate. The steps taken to date are addressed in Chapter 2, section 5.

## **NEW MANDATES**

The Omnibus Consolidated and Emergency Appropriations Act, 1999, (Public Law 105-277, Division G, section 2414) contains three new mandates for the IAWG:

### **Linking Programs to Foreign Policy Goals**

The IAWG is now required to identify how each government-sponsored international exchange and training program promotes United States foreign policy. To fulfill this mandate, the IAWG referred to the U.S. International Affairs Strategic Plan (IASP), which establishes a framework for U.S. foreign policy goals. The Plan identifies seven overarching national interests and 16 strategic goals that guide the international activities of all federal departments and agencies. For the FY 1998 Inventory of Programs, the IAWG asked federal organizations to identify which of the national interests outlined in the International Affairs Strategic Plan are addressed by their programs. The IAWG also gave organizations the option of identifying additional interests (such as the advancement of science) that are addressed but are not articulated as "national interests" in the IASP. The results of these queries are included for each program in the Inventory of Programs (See Appendix 3, section 3). Over the next year, the IAWG plans to elevate its strategic focus to address how the continuing decline in real resources within the foreign affairs budget (the 150 account) is diminishing the ability of all U.S. Government agencies to use international exchanges and training effectively in support of a multiplicity of U.S. foreign policy interests. The IAWG will seek to articulate a broad policy encouraging continued use of international exchanges and training as a key foreign policy tool.

### **ATLAS/Mandela Programs in South Africa**

The IAWG was tasked to "report on the feasibility and advisability of transferring funds and program management for the ATLAS or the Mandela Fellows programs, or both, in South Africa from the Agency for International Development to the United States Information Agency." The IAWG was asked to address, within this report, the capabilities of the South African Fulbright Commission to manage such programs and the cost effectiveness of consolidating such programs under one entity. To address this mandate, the IAWG worked with representatives of the two agencies concerned to review the administration of the ATLAS and Mandela programs and programming environment in South Africa. The IAWG's report is included in Appendix 6.

### **Ten Percent Cost-Savings**

As part of its coordinated strategy for all U.S. Government-sponsored international exchanges and training programs, the IAWG is tasked to include an action plan "with the objective of achieving a minimum of 10 percent cost savings through greater efficiency, the consolidation of programs, or the elimination of programs, or the elimination of duplication, or any combination thereof." The IAWG has considered this mandate extensively and included suggestions for achieving greater efficiency and cost-savings throughout this report. However, there are several issues that should be considered when developing this action plan.

The first and most important issue is defining the targeted "10 percent". The question remains "10 percent of what?" The IAWG has had consistent difficulty in collecting accurate financial data from federal organizations. Many agencies do not explicitly tie financial data to their exchanges and training activities because these activities may be small components of larger programs. The definition of exchanges and training activities also creates

confusion as to what expenditures should be reported. The IAWG did not include a firm figure for exchange and training expenditures in its *FY 1997 Annual Report*, and will not be able to do so in the future as long as agencies continue their current accounting practices and the scope of programs and activities that fall within the definition of "U.S. Government-sponsored international exchanges and training programs" remains as broad and all-encompassing as it is.

The second issue concerns the baseline data used by legislators to develop the 10 percent target. The most recent aggregated, government-wide data available at the time this mandate was drafted was the U.S. Information Agency's *FY 1995 International Exchanges and Training Activities of the U.S. Government*. Significant reductions were made to the foreign affairs budget and most other government budgets in FY 1996. Therefore, an FY 1999 mandate based on FY 1995 data ignores cost reductions and savings achieved in the interim and does not reflect current funding realities.

The IAWG compared financial statistics reported by eight federal departments and agencies that appeared to have centralized and complete reporting capabilities and represented diverse size and scope of programming. The table below shows financial data reported by these organizations in FY 1995 and FY 1998.

**Table 1: Reported FY 1995 & 1998 International Exchanges & Training Expenditures**

Agency	FY 1995 <sup>2</sup>	FY 1998	Percent Change
<b>Department of Agriculture</b>	\$6,960,569	\$7,245,560	+ 4%
<b>Department of Education</b>	\$13,702,000	\$12,780,622	(7%)
<b>Department of Health and Human Services</b>	\$77,322,262	\$73,212,114	(6%)
<b>Department of Justice</b>	\$57,627,495	\$53,305,349	(8%)
<b>Federal Trade Commission</b>	\$995,000	\$552,669	(45%)
<b>Inter-American Foundation</b>	\$1,094,200	\$563,235	(49%)
<b>U.S. Information Agency</b>	\$364,772,826	\$295,295,940	(19%)
<b>Woodrow Wilson International Center for Scholars</b>	\$764,443	\$531,959	(31%)
<b>TOTAL</b>	<b>\$523,238,795</b>	<b>\$443,487,448</b>	<b>(15%)</b>

\*Note: ( ) indicate reduction.

The numbers above indicate that, overall, these eight departments/agencies reported average reductions to their international exchanges and training expenditures of 15 percent from FY 1995 to FY 1998 (the most recent data collected by the IAWG). Additionally, USAID reports an overall cost savings far in excess of 15 percent during the same base period, attributable, in large part, to a 60 percent reduction in its health and accident insurance rates, and a significant shift from long-term academic training to less expensive short-term technical training linked to Missions' strategic objectives.

<sup>2</sup> U.S. Information Agency, *1995 Annual Report -- International Exchange and Training Activities of the U.S. Government*.

Despite differences in interpretation of the 10 percent mandate, the IAWG has identified four areas in which efforts can be made to achieve cost savings: administrative efficiencies, duplication and overlap, partnership and leveraging, and alternate program methodologies.

### Administrative Efficiencies

In Chapter 2: Building Efficiencies in Program Administration, the IAWG explores four different areas that it previously identified as administrative challenges to organizations implementing exchanges and training programs.

- Budget Transfers: How can budget transfers be made more efficient and effective?
- Insurance: To what extent are U.S. Government agencies providing health insurance to exchanges and training participants? Would a centralized system increase efficiency and decrease costs?
- Visa Usage: Can policy clarification and better communication among policy makers and program administrators save staff time and prevent program disruptions?
- Data Management: Are there examples of data management systems throughout the government exchanges and training community that demonstrate information management "best practices"?

The chapter also addresses the IAWG's initial efforts to identify performance measurement issues and develop recommendations thereon.

### Duplication and Overlap

The IAWG is committed to studying apparent instances of program duplication to determine the degree of overlap and to distinguish between desirable complementary programming and unnecessary duplication. Often, however, the IAWG is finding that what may appear duplicative from a cataloging of on-going activities is actually useful complementarity. For example, a money laundering training program offered by the Department of Justice for law enforcement personnel might be the appropriate complement to a USAID-financed program training judges in technical aspects of economic crime. To the extent that real duplication is discovered, the elimination or adaptation of duplication can make valuable resources available for other exchanges and training efforts without impairing the ability of the exchanges and training community to address critical needs. This area is addressed in Chapter 3.

### Partnerships and Leveraging

The majority of all international exchanges and training programs are administered in coordination with non-U.S. Government partners -- foreign governments, international organizations, private sector organizations. The IAWG believes that each of these categories of potential partnerships needs to be explored further to identify cost-sharing opportunities as a legitimate means of achieving cost savings. Promoting U.S. private sector and foreign involvement in programming and cost-sharing allows the U.S. Government to increase returns on exchanges and training programs even with static or declining expenditures. Partnership issues are addressed in Chapter 5.

### Alternate Approaches to Exchanges and Training

One of the most effective ways to reduce costs associated with exchanges and training activities, without sacrificing effectiveness and diminishing outcomes, is to utilize more cost effective approaches to sharing ideas, developing

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skills, and fostering mutual understanding and cooperation. Alternate exchange and training methodologies are already employed by many government organizations for cost-savings reasons as well as for other purposes, i.e., consistent quality of training programs, easier accessibility, and longer-term sustainability of exchanges and training activities without continuing U.S. Government involvement. Methodologies include, but are not limited to:

- *Third-country training:* Training activities are conducted in a third country to save costs associated with transportation, English language training, and other logistics, as well as to provide exposure to institutions compatible with those of the home country and to facilitate wider access to programming.
- *In-country training:* Host country nationals are trained in their country of residence, either by U.S. experts, in-country resident experts, or both. This allows broader access to training opportunities through part-time scheduling options, encourages growth and sustainability of in-country training capacities, and generates cost savings similar to or greater than those realized with third-country training.
- *Distance learning and other technology-based experiences:* Information is shared or training is conducted through use of teleconferences, video conferences, CD-ROM or similar media, and/or the Internet, eliminating the costs associated with travel. Distance learning events allow local access to prominent, capable subject matter experts who could otherwise not be tapped for in-country training, and permits shared learning by students across greater distances. Substantial cost savings may be realized once initial infrastructure acquisition and distribution is amortized.
- *Train-the-trainer:* Small numbers of participants receive intensive, in-depth training, often in the U.S. or third countries, and return home to provide the same training to secondary participants in their country of residence or throughout their region. Training of trainers is a frequent component of skills development training, e.g., for teachers. Over time, this approach generally provides large multiplier effects.

The IAWG believes that significant cost reductions have been and will continue to be achieved through utilizing alternate methodologies, and that with this understanding the adoption should be encouraged as broadly as possible. However, in applying a strict interpretation to its mandate, the IAWG fails to capture information that would support this conviction. Both the Executive Order and the legislation that provide the IAWG's mandate define international exchanges and training activities as "the movement of people between countries...". Of the alternate methodologies outlined above, only third-country training can be fully captured under this definition. Therefore, the IAWG is omitting a significant number of exchanges and training activities from its annual inventory. Without this information, the IAWG is not able to address cost-savings achieved or the full scope and impact of U.S. Government exchanges and training activities. It should also be noted that even third-country training is difficult to capture under the current mandate because overseas Missions are not directly queried by the IAWG. It is often the overseas Mission, and not the Washington department/agency staff, which coordinates third-country training. This applies even more to most in-country training.

To address this problem, the IAWG proposes gradual inclusion of the above listed types of activities into the annual Inventory of Programs. This inclusion would incorporate several approaches. First, the IAWG will need to develop definitions of these alternate approaches to help agencies communicate information on them. Second, agencies that have a centralized data collection mechanism for in-country training activities would be encouraged to include available quantitative data on these programs in their annual inventory submissions. Third, agencies who use alternate training methodologies whose end recipients are not easily counted would be asked to describe and give examples of their use of these programs in their organizations' inventory narrative. For those agencies for which collecting information on alternate methodologies of training would pose an inordinately high burden and cost and raise questions of data reliability, the IAWG will work with them to develop a reasonable way to reflect their use of alternate methodologies. One potential approach would be to sample specific activities or types of activities in one or two countries of operation.



## OVERVIEW

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By gradually expanding the types of program activities and participants reflected in its annual Inventory of Programs, the IAWG seeks to provide the fullest possible presentation of U.S. Government-sponsored international exchanges and training activities, provide a better view of cost-savings achieved through increasing program yield, while limiting the data collection costs imposed on contributing organizations.

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## CHAPTER 2: BUILDING EFFICIENCIES IN PROGRAM ADMINISTRATION

### INTRODUCTION

Administrative efficiency is critical to the success and sustainability of international exchanges and training programs. Low-cost program administration enables scarce resources (both human and financial) to be committed to program implementation, thus enhancing program results. Additionally, program efficiencies migrate from international exchanges and training activities into other operations of government agencies. Best practices, in many instances, can be applied broadly and benefit a wide range of programs and activities.

This chapter explores four different areas previously identified by the IAWG as administrative challenges to organizations implementing exchanges and training programs:

- Section 1: Budget Transfers -- This section addresses the extent and efficiency of budget transfers for international exchanges and training activities.
- Section 2: Data Management -- This section outlines the IAWG's data management efforts, provides profiles of four data management systems used to increase the efficiency of international exchanges and training programs, and discusses lessons learned in order to assist other government agencies in addressing their own data management needs.
- Section 3: Visa Usage and Administration -- This section outlines visa issues and challenges identified by administrators of international exchanges and training programs and guidance provided by U.S. Government visa experts.
- Section 4: Insurance -- This section provides updated information on how agencies address insurance requirements for international exchanges and training program participants and examines whether there are elements of various approaches to insurance or an entire model that could be adopted by agencies to increase efficiency and achieve cost-savings

Additionally, Section 5 presents an overview of performance measurements, including definitions, parameters, present practices, and problems as identified by member agencies and departments. Per statutory requirements, the IAWG will submit final recommendations regarding performance measurement in its *FY 1999 Annual Report*.

## SECTION 1: BUDGET TRANSFERS

A number of U.S. Government departments and agencies which administer extensive international exchanges and training programs do so with monies provided by an interagency transfer of funds. Given the prevalence of this practice, the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) organized a study group to review the budget transfer issue. The IAWG focused on several areas, including oversight rationale, logistics, performance measurement, and Embassy-level transfers, in an attempt to determine the extent and the effectiveness of budget transfers in the realm of international exchanges and training activities.<sup>3</sup>

Budget transfers involve a significant expenditure of U.S. Government (USG) funds. In FY 1998, for example, the U.S. Agency for International Development (USAID) and the Department of State transferred more than \$330 million to 11 agencies.

For this report, the IAWG defines a budget transfer as a transfer of appropriated money from one U.S. Government agency to another. (IAWG designates the “transferor” agency as the one with the appropriated funding; the “transferee” agency is the one which receives the transferred funds.) Where the goal involves foreign policy, Congress appropriates money to a foreign affairs agency with the expectation that the foreign affairs agency will provide policy oversight. Thus, Congress appropriates funding to Agency A [the transferor], generally (unless earmarked) leaving to its discretion decisions regarding which type of program to fund, e.g., securities regulation or immunization programs, whether to contract or grant these funds directly to one or more private sector entities, or to transfer funds to another (generally domestic) agency with substantial technical expertise in the target area. In some unusual cases, Agency A transfers the funding to Agency B, which then onward transfers the funds to one or more additional agencies C, D, E, etc.

Transfers of funds authorized under the Foreign Assistance Act of 1961, as amended, which include nearly all of the transfers reviewed by the IAWG, including International Military Education and Training (IMET) funds provided to the Department of State for transfer to the Department of Defense, are made in accordance with various provisions of the Act covering coordination requirements, transfer mechanisms, and criteria which must be met before release of funds.

Some transferee agencies have suggested that Congress may wish to reevaluate the efficacy of budget transfers. Some agencies believe that oversight can be achieved in more efficient ways, perhaps through Embassy working groups or interagency oversight committees. The current system, they say, can be burdensome. Agencies experience difficulties when the transfer of funds is delayed or when short program deadlines require that activities be initiated with their own appropriations. This practice ties up a portion of their budget as they await funding -- by transfer or reimbursement -- from the transferor agency pursuant to one of the transfer mechanisms outlined in Section 632 of the Foreign Assistance Act or in transfer at the field level.

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<sup>3</sup> The IAWG budget transfer study group excluded science agencies from this review for the following reasons: a) Congress sees no need for foreign policy oversight of science agency spending. b) Coordination regarding science policy already exists under the direction of the White House (e.g., the National Science and Technology Council and the President’s Committee of Advisors on Science and Technology). c) Most science-oriented transfer funds are used primarily on domestic projects; international input is minimal, if not incidental. d) It is axiomatic that the larger the pool of potential information, the more difficult it is to achieve closure on a study. The IAWG does not have the investigative or auditing resources of the General Accounting Office (GAO), and therefore must focus on a narrow field of study.

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Most budget transfers transpire either through a lump-sum transfer prior to commencement of activities or through reimbursement for a specific activity or set of activities. Section 632 of the Foreign Assistance Act allows for at least three types of transfers, each giving a different level of control to transferor and transferee agencies. Specifically, they are:

- Section 632 (a) transfers, lump-sum transfers which comprise an obligation of funds and delegate substantial program oversight to the receiving agency. These comprise the great bulk of transfers under review.
- Section 632 (a) allocations, which do not constitute an obligation of funds but rather establish an account against which the transferee agency can draw down over the period that funds are available, creating obligations. These types of transfers have historically been used to avoid “topping off” appropriations to the legislative branch, e.g., when the Library of Congress or the General Accounting Office were transferees, or in other cases where the transferee has legal or administrative difficulties in receiving a full transfer.
- Section 632 (b) transfers, lump-sum transfers comprising an obligation of funds which do not delegate substantial program oversight to the receiving agency.

Each type of transfer has certain advantages and disadvantages to the agencies involved. None, however, resolves the problem of delayed provision of funding, which has many causes, not the least of which are contained within the enabling legislation.

The Office of Management and Budget (OMB), per OMB Circular No. A-34, offers a reimbursement fund arrangement that some agencies use to avoid tapping their own appropriated funds in advance of payment by the transferor. This reimbursable account provides a transferee agency with funds over and above its original appropriation to cover the costs associated with executing the program.

In addition, different agencies have different views on the appropriate sources of funding for administrative costs of both transferor and transferee agencies: Who should bear the administrative burden of the budget transfer process, transferor agencies or transferees? Should budget transfers for specific programs include funds for program administration?

Some agencies argue that since certain appropriations, e.g., Support for East European Democracy Act (SEED) and Freedom Support Act (FSA) funds, generally come with the authority (referred to as “transfer authority”) to transfer a certain percentage (usually five percent) of these funds to Operating Expenses for administrative purposes, one could conclude that Operating Expense funds were not intended to cover these program administration costs. Following this logic, they conclude that Congress should appropriate additional administrative monies along with additional program funds.

Smaller transferee agencies fear that their base budget will be thought “fat” if they are able to administer transferred programs without additional administrative monies. One transferee agency, for example, deducts an administrative fee from the transferred money to pay for the staff and incidental expenses incurred in running the “contracted” programs. Larger transferee agencies which have operational units handling programs funded from their own appropriations report that they absorb the administrative costs of transferred programs. Neither State nor USAID withholds a portion of individual transfers to cover their handling expenses, nor do they add any additional money to the transferred amount to cover the administrative expenses of operating the transfer program. USAID may, however, with the agreement of the Department of State, take some or all of the legislatively specified “transfer authority” off the top of the specific account and convert it to Operating Expense funding for the purpose of paying USAID administrative expenses in a region, above and beyond those amounts which would normally be provided to that region from USAID Operating Expense appropriations. It would appear to be reasonable to ask whether transferee agencies might qualify for a portion of this amount.

Where a transferee agency has an infrastructure -- staff and facilities -- barely adequate to handle its own appropriated programs, it must seek to obtain the additional costs of transferred programs from either the transferred funds or from its own appropriations. Given that most agencies assume that a contractor or grantee should use a part of the contractor grant for administrative expenses (and that, in fact, the USG establishes overhead rates for each contractor and grantee), to do the same for intragovernment transfers does not seem out of line. However, there is obviously no consistent practice for administrative costs in budget transfers.

Different types of funding go through different review processes, which derive from provisions of the Foreign Assistance Act of 1961, as amended. A sizeable portion of the budget transfers reviewed by the IAWG are of FSA and SEED funding. For these types of funding, budgetary allocations are made by the respective State Department Coordinators for these regions, based upon requests made by all eligible agencies. Once budget allocations are made, USAID is charged with implementing any approved budget transfers, based upon proposals received from transferee agencies. All proposals are reviewed by the State Coordinator for the region for adherence to policy guidelines, and by USAID staff for technical and financial accountability. Once approved, USAID prepares transfer documentation, selecting the appropriate Section 632 instrument based on the type of relationship negotiated among the participating agencies.

Perhaps the most complicated set of transfers involves FSA monies. Congress appropriated \$770,798,000 in FY 1998 to USAID specifically for FSA programs. In consultation with the Special Coordinator for the New Independent States, USAID passed some of this funding (\$201,419,412) to other U.S. Government agencies. In some instances, the U.S. Government agencies that receive this money then pass it on to other federal agencies or to various non-government organizations (NGOs) and universities. The 1998 Omnibus Appropriations Act's placement of the Director of USAID under the direct supervision of the Secretary of State (rather than merely subject to the foreign policy guidance of the Secretary, as was the case in the past), creates the possibility of expanding State's oversight role with respect to all assistance administered by USAID, including FSA, SEED, Economic Support Funds (ESF), and Development Assistance (DA) programs.

For Economic Support Funds, the process is somewhat different. ESF, by law, are jointly programmed by the Department of State and USAID. In practice, the joint Washington programming process focuses most heavily on ESF country allocations; only in rare cases do Washington agencies coordinate on the nature and content of individual activities, which are generally established through consultation at the field level. To the extent that budget transfers are agreed upon either in Washington or at the field level, the transfer process is initiated through proposals from transferee agencies, which are reviewed by the Department of State for policy adherence and by USAID for technical and financial accountability. Once approved, USAID again prepares transfer documentation, selecting the appropriate Section 632 instrument based on the type of relationship negotiated among participating agencies.

The allocation of Development Assistance funds has historically fallen almost exclusively under the purview of USAID. Recent legislative changes have spurred detailed discussions between USAID and the Department of State on future coordination processes. As of the writing of this report, DA is allocated by the USAID budget office to USAID geographic bureaus, primarily for onward allocation to field missions, and to USAID/Washington offices which administer special or global programs. Other agencies can, and frequently do, submit proposals for interagency transfers to USAID bureaus, offices, and missions; after proposal review for technical and financial adequacy, USAID processes transfer documentation, again selecting the appropriate Section 632 transfer instrument.

Until recently, most foreign assistance appropriations were "one-year" funds, i.e., they had to be obligated, although not actually spent, within the year of appropriation. FSA money appropriated prior to 1996, was an exception. Congress appropriated early FSA funds as "no-year" money, i.e., it did not have to be obligated on any

specific schedule. Funding for the IMET program is another exception; Congress provides it with a \$1 million fiscal year bridge. (A fiscal year bridge covers new fiscal year costs incurred by an agency as it awaits its appropriation from OMB.) Since 1996, most foreign assistance appropriations have been “two-year” money, i.e., the money does not have to be obligated before the end of the second fiscal year. Once funds are obligated by execution of a contract, grant, or budget transfer, they are generally available until expended. The exception is funds made available under Section 632(a) allocations; under these arrangements, funds are not actually obligated until expenditures are charged. In these cases, expenditures as well as obligations must take place within the specified obligation period, i.e., currently two years for most funding categories.

IAWG examined budget transfers involving the Departments of State, Treasury, Defense, and Justice, the U.S. Agency for International Development, and the U.S. Information Agency. With the exception of the Department of Treasury, all of the aforementioned are designated as members of the Working Group in the enabling legislation.

The IAWG attempted to make as complete a study as possible. However, the report does have certain limitations: 1) We made no attempt to track exhaustively all the money transferred, even in the small field of study. 2) All foreign assistance funding flows through the same four committees of Congress. Funding for domestic agencies, however, flows through different committees. The reality that appropriations for the various agencies receiving transfers are provided by separate committees is an external factor beyond the mandate of the IAWG. With funding arranged through more than one congressional committee, achieving congressional consensus on legislative intent as it relates to budget transfers becomes more of a challenge. 3) Our review specifically excluded fully contractual relationships between agencies, i.e., Resource Support Service Agreements (RSSAs) or Participating Agency Service Agreements (PASAs) or fund transfers by open-bid contract between U.S. Government agencies, such as the Department of Energy’s contracts with Department of Defense laboratories.

Possible administrative cost-savings that might occur by eliminating the “middle-man” (the transferor agency) are noted in the report’s findings on the 10 percent savings directive of the enabling legislation.

## **ISSUE I: OVERSIGHT RATIONALE**

Historically, Congress has appropriated funds for U.S. Government-sponsored international exchanges and training programs to the foreign affairs agencies, through the 150 account. Increasingly, however, specialized expertise of primarily domestic U.S. Government agencies is needed to administer certain types of international programs. It should be noted that both legislation and long-standing Executive branch policy require that private sector organizations be used for the administration of U.S. Government-financed programs to the maximum extent practicable. The growth in reliance on USG agencies for program implementation reflects the reality that USG employees of domestic agencies may be particularly appropriate for teaching professional counterparts in host country governments how best to conduct the business of their own governments. Congress believes that the foreign affairs agencies should maintain oversight of programs that affect U.S. foreign policy. Hence, the use of budget transfers.

The Department of Defense-run IMET program, which handles over 8,000 students per year, provides a textbook example of the budget transfer process. IMET’s original purpose was to expose foreign military personnel to the U.S. military establishment. A congressional initiative in 1990, expanded IMET’s purpose beyond military-to-military ties. The Expanded IMET, known as E-IMET, provides training to civilian leaders in the areas of military justice, human rights, resource management, and civilian control of the military. (At times, the Congress directs that some countries get only E-IMET training while requiring that a certain minimum percentage of the funding for other countries be devoted to E-IMET training.) The training of military officers is not a traditional role for a Foreign Office. Congress believes, however, that State’s oversight is essential. Thus, funding for both IMET and

E-IMET programs are appropriated to State. Implicit in State's oversight role is making certain that IMET complements -- or at least doesn't interfere with -- other programs designed to further U.S. national interests abroad. Additional opportunities exist for State to ensure that non-E-IMET programs conducted by other U.S. Government agencies, and funded in the 150 account, remain distinct from, but complementary to, E-IMET programs in civil-military relations and other congressionally-mandated topics. (USAID's Center for Democracy, which features civilian-military training, makes sure that its own programming does not interfere with E-IMET operations.)

The following chart shows the major pass-through programming paths for USAID and the Department of State for FSA, SEED, ESF and other funds. These agencies spent \$254 million of the total amount shown on international exchanges and training programs:

<b><u>FROM</u></b>	<b><u>TO</u></b>	<b><u>AMOUNT</u></b>
USAID	Department of Justice (FSA)	\$ 2,468,412
USAID	Department of Treasury (SEED/FSA)	\$36,425,864
USAID	Department of State (SEED/FSA/ESF)	\$52,763,000
USAID	U.S. Information Agency (SEED/FSA)	\$75,472,000
USAID	Department of Commerce (FSA)	\$10,500,000
USAID	Department of Agriculture (FSA)	\$ 8,300,000
USAID	Trade and Development Agency (FSA)	\$ 7,800,000
USAID	Department of Energy (FSA)	\$35,110,000
USAID	National Science Foundation	\$ 1,300,000
USAID	Environmental Protection Agency	\$ 1,600,000
USAID	Department of State (INR) <sup>4</sup>	\$ 4,500,000
Department of State	USAID	\$10,300,000*
Department of State (D/S) <sup>5</sup>	Department of Justice	\$ 844,358
Department of State (INL) <sup>6</sup>	Department of Justice	\$28,597,981
Department of State (INL)	Department of Treasury	\$ 4,659,321
Department of State (PM) <sup>7</sup>	Department of Defense	\$50,000,000
<b><u>TOTAL</u></b>		<b><u>\$330,640,936</u></b>

\*Represents carry-over funds from the previous year.

## **ISSUE II: LINKAGE LOGISTICS**

In general, Congress appropriates funds authorized under the Foreign Assistance Act to all recipient agencies based on general plans and program concepts that the recipient agency outlines before the start of the two-year budget process in its presentation to Congress. Unless interagency transfers are ongoing, it is relatively unlikely that foreign assistance agencies would consult potential transferee agencies about which projects will ultimately be funded. Even in the case of ongoing transfers, foreign assistance agencies may be hesitant to promise continuing transfers in budget request documentation provided to the Congress. The absence of any performance measurement of the transferee's projects compounds the disconnection.

<sup>4</sup> Bureau of Intelligence and Research. Some of these funds may have been transferred to State from USAID.

<sup>5</sup> Bureau of Diplomatic Security

<sup>6</sup> Bureau of International Narcotics and Law Enforcement Affairs

<sup>7</sup> Bureau of Political-Military Affairs

One of the difficulties the IAWG faced in its study of budget transfers is that there apparently is no single procedure used for all transfers. While not entirely at opposite ends of the spectrum, IMET and FSA (discussed above) illustrate two different budget transfer processes.

### **International Military Education and Training (IMET) Program**

IMET occupies a centralized programming position in the Defense Security Cooperation Agency (DSCA) of the Department of Defense (DOD). State's Bureau of Political-Military Affairs (PM) conducts its oversight. DOD assigns an officer to PM to serve as a manager/coordinator for security assistance planning at State. Embassies in the field initiate two-year training plans to identify their security assistance (IMET/Foreign Military Sales (FMS)/Foreign Military Financing Program (FMF)) training requirements initially. The two-year training plans are incorporated into the Unified Command's Theater Engagement Plans (TEP), either by Security Assistance Officers (SAO) or a Defense Attaché (DATT). Regional military Unified Commands or Commanders-in-Chief provide focus to the SAOs. The country security assistance plan is incorporated into the Embassy Mission Performance Plan (MPP) which goes to the Department of State. PM coordinates the attention given to these plans by the State regional bureaus and the DSCA, which receives a copy of the plan directly from the SAO or DATT. PM/DSCA provides its version of the plan to State's Office of Resources, Plans, and Policy (S/RPP). S/RPP submits the final plan through the State budget process. State then transfers the money to the Department of Defense.

The initial planning drafts are based on the appropriation provided for the previous year. Transferee agencies may request increases which would allow them to execute the full final draft. OMB must approve any increases before the budget is submitted to Congress. S/RPP, for example, requested \$56 million for FY 1999 -- an increase of \$6 million over FY 1998. OMB approved \$53.2 million; Congress appropriated \$50 million. (In FY 1997, Congress appropriated \$43.6 million.) Congress designated \$1 million of this amount as "no-year" funding to ease the pressure for logistical funds (travel and incidental expenses) for students at the beginning of the fiscal year. (No-year funding refers to money that does not need to be obligated prior to the end of a fiscal year.)

In addition to the above funds, the DOD directly receives approximately \$29 million of the FMF appropriation plus non-appropriated funds based on an administrative fee charged for handling Foreign Military Sales. These funds pay for the DOD personnel who run the program, the SAOs, and the DSCA staff. It also pays for PM personnel to attend security assistance events. DSCA reports that State is very efficient in passing the appropriated funds through after the budget is approved. OMB must apportion the budget, of course, but DSCA usually receives the funds within a month of the budget approval.

During a Continuing Resolution (CR), DOD has the authorization to draw funds directly from OMB without having them first pass through State. These funds are subject to restrictions built into the CR.

Good management at the Department of State combined with a one-to-one working relationship between DSCA and PM contribute to the efficiency with which money is transferred to IMET at the beginning of the fiscal year. Unlike FSA programs, IMET has the advantage of operating a program that exists within only one department. The money for FSA programs is appropriated to USAID, but USAID must deal with multiple agencies involved in the apportionment and obtain policy clearance from State.

### **ISSUE III: PERFORMANCE MEASUREMENT**

Performance measurement is dealt with in section 5 of this chapter. Suffice it to say here that each budget transfer program is subject to the Government Performance and Results Act (GPRA) of 1993, for which each U.S. Government agency has developed different types of performance measurements. The quality of performance

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measurement for programs administered with transfer funds probably will not exceed the average for the transferee agency; it may even fall well below the average for the following three reasons:

Reason 1: Program, and even project, designs are generally conceived by the foreign affairs agencies, occasionally (but not always) in response to congressional earmarks or Executive branch directives. Domestic transferee agencies usually have been implementing similar programs with their own funding and thus have their own concepts of what is important. With program design originating in one set of agencies and program implementation by another agency, there is not always clear agreement on project objectives in the foreign policy context.

Reason 2: The transferred program often does not represent the *raison d'être* for that agency's existence. It is logical to assume that the transferee agency would be less focused on matching outcomes with the transferor's strategic goals than it would be if the goals were its own. The transferee agency focuses its efforts on providing Congress with performance measurements for those programs that do fall within its domestic mandate.

Reason 3: Over time, more and more budget transfers have been executed as Section 632 (a) transfers. Under this type of transfer, the transferor agency shifts virtually full accountability for the funds, including GPRA reporting, to the receiving agency. Transfer agreements under Section 632 (a) generally require only quarterly or semi-annual reporting to the transferor agency.

The budget transfer or pass-through procedure can be difficult to follow, especially when some transferee agencies contract out much of the actual activities. Incorporating yet another layer in the process can discourage, or at least complicate, performance measurement. A misconnection often occurs between the strategic goals found in a Mission Performance Plan and the activities designed by domestic agencies and supervised by Washington, or assigned for action to their representatives overseas; the outcomes or products of the activities are not being measured against the strategic goals that spawned them. Any measurement done by the transferee agency usually involves program evaluation rather than performance measurement in the GRPA sense.

## ISSUE IV: OVERSIGHT EFFECTIVENESS

The budget transfer study indicates that personnel constraints in the transferor agencies can severely limit program oversight; in fact, personnel shortages in transferor agencies are a primary reason for the increasing use of Section 632 (a) transfers, which shift accountability to the transferee agency. Even though the Department of State's Bureau of Political-Military Affairs supervises the Department of Defense's E-IMET program, that oversight appears to focus primarily on funding and not on performance measurement. E-IMET programmers, however, are beginning to understand the concept of performance measurement and to act accordingly.

The IAWG considers the Department of State's oversight of Defense's IMET program as a best practice, based on the information made available to the Working Group. DOD (the transferee) details an officer to State's Bureau of Political-Military Affairs (transferor) to study the IMET program full time. Still, the sheer size of the program (hundreds of activities, thousands of exchange/trainees) makes in-depth Washington oversight virtually impossible.

Personnel shortages in the foreign affairs agencies are a contributing factor to the growth of interagency transfers as well. Effective oversight depends almost entirely on the manpower assigned to it. Where the transferor agencies have neither the numbers nor types of staff required to effectively oversee programs, they are increasingly inclined to shift oversight to transferee agencies which have not been affected by reductions in the 150 account. Increasingly offices which oversee transferred funds report that the most they can expect to accomplish is verification that the

transferred money has been spent. To assure at least this level of control was the reason cited by one transferor agency for shifting from lump-sum transfer to reimbursement for transferee funds spent on authorized programs.

The oversight office typically focuses more of its time and attention on activities within its own organization than on activities distributed to other agencies. No specific party is yet being held responsible for making sure that program outcomes are measured against the goals that initiated the activities, where funds are provided by budget transfers.

## ISSUE V: EMBASSY-LEVEL TRANSFERS

For project budget transfers at the Embassy level which use the transferor agency's own appropriation, agreements are prepared and registered in Washington. Money is transferred to the transferee agency at the Washington level as reimbursement for monies expended by its office at the Embassy. The South Africa Country Report (see Appendices) describes the manner in which USIS (the field name for USIA) and USAID operate under this arrangement. State, OMB (except for its reimbursement fund authorization), and Congress are not involved in this process because the money used is not from "banked" funds. The team visit to South Africa reported that budget transfers funded at least 25 percent of the Binational Commission programming. (See the box in the South African trip report for details on fiscal management made possible by OMB's "reimbursement account.")

Transactional money transfers for services are the more frequent type of budget transfers that occur at the Embassy level. USAID might provide payment via a Memorandum of Understanding (MOU), followed up by a funding citation from a specific USAID project account, e.g., to a USIS allotment in Country X for English-language training of its exchange candidates. Such transfers are not a matter of policy concern at the Washington level.

MOUs negotiated in the field must be filed with headquarters, but the details of the transfers remain at the field level. All foreign affairs agencies are aware of the practice and encourage this support for a high-profile program.

The bottom line is that there is much synergy taking place at the Embassy level that is not implemented through or even reported to Washington. Based on information gathered by the IAWG team visits to South Africa, the Dominican Republic and Poland, this interagency cooperation appears to be expanding. None of these embassies has reached the efficiency level that the General Accounting Office found in Central America<sup>8</sup>, however. Successful Embassy interagency cooperation largely depends on the management of the Embassy Front Office. Where the Ambassador or Deputy Chief of Mission actively encourages coordinated program oversight in areas of common interest, e.g., law enforcement, democracy/governance, all resulting programs are more efficient. Budget transfers, actual or *de facto*, can be particularly effective in this context.

## CONCLUSION

Budget transfers are intended to ensure that foreign affairs agencies maintain oversight of programs that affect foreign policy. The decentralization that results from budget transfers, however, limits the ability of the transferor agencies to ensure that actual programs are fully supportive of foreign policy interests. For most agencies (USAID is an exception), oversight mechanisms are concentrated in Washington; programs are not. The bulk of resources to support administrative oversight come from general agency appropriations; only in certain exceptional cases can program funding be used for administrative oversight expenses.

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<sup>8</sup> See 1999 GAO report, Foreign Assistance: U.S. Rule of Law Assistance to Five Latin American Countries (GAO/NSIAD-99-195), et.al.

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Because of legislative and administrative complexities both transferor and transferee agencies face long delays before receiving already appropriated funds. IAWG found this delay can last nine months or more; this delay affects both full transfers and interagency allocation agreements on which reimbursements are based. The delay undermines programming efficiency and generates frustration at all levels, but particularly at the transferee agencies. Some agencies, e.g., USIA, use the Office of Management and Budget's replenishment fund procedure to avoid drawing down their own appropriated funds through advances. This procedure presupposes a firm transfer agreement, but it is very useful once the transferor has obligated the designated funds based on the agreement.

For agencies without field staffs, decentralization virtually guarantees that the performance measurement of programs funded by budget transfers is the exception, not the rule. The paucity of oversight resources and the focus of the transferee agencies on program evaluation contribute to the lack of performance measurements.

Field level interagency budget coordination, which usually involves relatively small amounts of money, can enable agencies to act quickly to take advantage of mutually recognized targets of opportunity. The face-to-face interaction of the key managers (which could include personnel from Embassy components and local organizations) helps to ensure a smooth transfer of funds. An efficient synergy occurs, in part, because the program designers, implementers, and financiers are located at the Mission and require minimal additional approvals or authorizations from Washington and because the various parties involved work together to achieve a common goal. Under the aegis of Mission Performance Plans, such micro-programming encourages effective performance and lends itself to performance measurement.

Budget transfers (usually from foreign affairs agencies to domestic agencies) were developed to give foreign affairs agencies policy oversight of specific programs to be ultimately implemented by domestic agencies in pursuit of specific U.S. foreign policy interests. A number of agencies represented on the IAWG (mostly domestic agencies which receive funding transfers) believe this arrangement causes major implementation difficulties. Problems cited include, but are not limited to, the following: 1) transferee agencies often face long delays before receiving promised funds; these delays undermine program efficiency; 2) funding delays, coupled with short implementation deadlines, make new contracting problematic within the necessary timeframe; some agencies must either use their own appropriations to initiate implementation, or rely on existing contractors and grantees to advance the money for programming, risking non-reimbursement; and 3) transferor and transferee agencies have different established monitoring processes; as a result, program monitoring and reporting may not reflect the foreign policy objectives for which funding was transferred.

The IAWG reviewed the budget transfer process involving some \$330 million that the U.S. Agency for International Development and the Department of State transferred to 11 agencies in FY 1998. Based on this sample, a group of the agencies represented on the IAWG (primarily domestic agencies receiving budget transfers) concluded that the pursuit of greater administrative efficiency would lead to the recommendation that funds be appropriated directly to the transferee agencies, in effect, eliminating the "middle man," thus speeding the flow of funds. (With no reporting on the amount of government resources devoted to the budget transfer process, the IAWG cannot quantify the amount of any savings achievable from elimination of budget transfers.)

Foreign affairs agencies represented in the IAWG disagree. In their view, the solution posed to achieve administrative efficiency would have policy costs. Until now, the Congress has generally appropriated funds associated with the pursuit of foreign policy objectives within the 150 account. Legislative history indicates that this practice was designed to give the foreign affairs community policy oversight of budget allocations for international programs, as well as to avoid creating entitlements for international programs administered by domestic agencies. In the views of some agencies, these remain appropriate objectives, which should be balanced against possible administrative efficiency gains.

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Agencies represented in the IAWG appear to agree that budget transfers at the country-level work well and at a low cost in many instances. In addition, such transfers provide the country team with significant flexibility to respond quickly to programming opportunities. Given that transfers at the field level often involve the provision of funding citations or other actions short of full interagency transfers, there may be lessons at the field level which could be usefully applied to the interagency process. The IAWG will review these concerns over the coming year to determine what lessons might be identified and applied to simplify the transfer processes.

Over the next year, the IAWG will seek to identify specific recommendations for simplifying the budget transfer process to the maximum extent practicable. These recommendations might include, but would not be limited to, suggestions for changes in authorization and appropriation processes for specific programs.

## SECTION 2: DATA MANAGEMENT

When compiling the FY 1997 Inventory of Programs, the IAWG discovered that there is no consistent approach to data management among federal agencies. Only one-third of federal agencies contacted reported that they use fully automated systems to manage and report information on their international exchanges and training programs. While this discovery had immediate implications for the IAWG's ability to collect data for its annual Inventory of Programs, inconsistent data management practices throughout government raise additional concerns. Increasing the administrative efficiency of international exchanges and training programs requires effective automated data management systems. Such systems enhance planning and coordination and provide valuable reporting tools. It is not uncommon to hear managers of international exchanges and training programs complain that they spend nearly as much time reporting on their programs as they do running them. A well-designed, automated system would alleviate this imbalance by enabling near instantaneous report generation capabilities and would provide an attractive tool for analyzing program activities and resource allocations.

In its *FY 1997 Annual Report*, the IAWG indicated that it would revise and improve its own data collection process as well as seek out best practices in data management in other agencies to share with the exchanges and training community at large. An update on the IAWG's progress in creating a new data management system as well as four profiles of other federal exchanges and training data management systems appear below. Three profiles look at unique data management systems implemented by agencies in Washington, D.C. The fourth profile outlines a simple data management system implemented in the field overseas. Each profile presents a brief overview of the data management system, addresses specific challenges faced by the implementing organization, and provides lessons learned. Through examining these profiles, the IAWG hopes that agencies can learn from the experiences of their colleagues and develop ideas on how data management systems could increase their own administrative and programmatic efficiency.

### Federal Exchanges Data System (FEDS)

The Interagency Working Group has developed a new data collection system called the Federal Exchanges Data System or FEDS. The IAWG used two elements of the system, the FEDS/dc (data collection) application and the FEDS/hq (headquarters) application and database to prepare the FY 1998 Inventory of Programs. The final phase of the system, FEDS/www (World Wide Web) will be deployed in October 1999, and will be used to create the FY 1999 Inventory of Programs. In developing FEDS, the IAWG created an updated, user-friendly system through which data could be entered by end-users, transmitted to the IAWG, and automatically loaded into a centralized database. While the system has not been trouble free, it is a vast improvement over the IAWG's previous data collection system and provides a solid bridge to the FEDS/www end product. FEDS/www will establish an

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interactive Internet data submission system that will not only enable users to submit information to the IAWG, but also will enable them to generate simple reports from the FEDS database.

The IAWG faced several challenges in developing its data collection application:

- the system needed to be operated by a wide variety of users with varying expertise, computer hardware, and operating systems;
- the development timeline was short;
- the system needed to eventually support a web interface; and
- no components from the existing (obsolete) data management system could be used.

Working with an independent contractor, the IAWG developed a three-phase approach that would allow for staggered development, initial maximum deployment, and eventual full utilization across all operating platforms.

The FEDS/dc system provides agencies with a windows-based, automated system for collecting and reporting data to the IAWG. A survey of agencies determined that the majority had computer systems running on Windows 95 or 98. FEDS/dc was developed to run on these operating systems, but is incompatible with computer systems running on Windows 3.1 or NT or Macintosh systems. The eventual deployment of FEDS/www will eliminate this incompatibility and allow users on all platforms to electronically submit and retrieve data through the Internet. The very limited number of users that do not have Internet access will submit written data to the IAWG.

After the initial rapid deployment of FEDS/dc, the IAWG and its contractor began developing an enhanced version of the FEDS/dc system for use by the IAWG staff only. Hence, the creation of FEDS/hq. While the user interface of this system was almost exactly the same as the FEDS/dc system, it allows the IAWG staff to edit data submitted by agencies. The FEDS/hq system also includes management tools that enable the IAWG staff to track the status of data submissions (from draft to approval) and generate simple reports. A separate report writing application was purchased (Business Objects) and customized for more advanced reporting.

FEDS/www will build upon lessons learned through the two previous FEDS phases. Agency feedback will be considered in order to develop the most user-friendly and efficient data entry system possible. Deployment on the web, through the pass-code protected IAWG interagency website, will allow for secure data entry and submission by all agencies, regardless of their computer hardware or operating systems. For the first time the database's web interface will give agencies direct access to data, enhancing the flow of information among agencies and supporting the clearinghouse function of the IAWG.

In addition to implementing a new system, the IAWG sought to ease reporting requirements on federal agencies. The IAWG reviewed the data that had previously been collected and eliminated requests for information that did not directly contribute to the IAWG's reports. Where possible, the IAWG adopted existing classifications (from J visa guidelines) for participant and field of activity identification. The IAWG enhanced the instructions to provide agencies with guidance on and a rationale for the data request. Agency responses to these changes have been very positive.

## **PROFILE 1: U.S. Agency for International Development -- Training Results and Information Network (TraiNet)**

The U.S. Agency for International Development's Training Results and Information Network (TraiNet) is a distributed management information system designed to support the planning and monitoring of agency-sponsored training of foreign nationals. TraiNet incorporates a results-oriented approach to ensure that USAID training

programs are linked to strategic objectives and intermediate results, as well as to organizational performance improvement.

TraiNet, which is slated for full deployment by the end of fiscal year 1999, allows training information to be shared easily among USAID missions, contractors, and central offices in Washington. TraiNet is designed to:

- standardize training, planning, and related contractor performance monitoring;
- provide a simplified means of processing participants by eliminating duplicative forms and reports, allowing contractors to submit data electronically;
- eliminate redundant training data systems while providing a standard for reporting Agency-funded training.

TraiNet captures specific information on the training activity, the individuals trained, funding, and results. Funding information captures USG as well as foreign government and private sector cost-sharing. The results reporting section contains training expectations and assessments and catalogs anecdotal information on results of the training exercise. Results are linked to strategic objectives and specific performance goals.

The TraiNet system is a great stride toward improving efficiency and communication in USAID. Through implementing TraiNet, USAID has been able to eliminate at least five previously required forms, reduce data management duplication, and provide a systematic mechanism for cataloging results. TraiNet is also used to enter health insurance enrollment data for U.S.-based training participants and to prepare each Mission's Results Review and Resource Request (R4). Across the board, TraiNet reduces both government and contractor workloads and promotes better data management practices.

### *Challenges*

USAID faced several challenges when developing TraiNet, especially during the planning stages. First, USAID needed to redesign the way it implements training. The Agency gathered stakeholders to discuss approaches to training and to seek consensus on common definitions and terminology that could be incorporated into the new system. All parties invested significant time and attention to coalition building from the beginning of the planning process.

Second, USAID needed to adapt policy and procurement regulations in order to support full deployment of the system, working not only within the USAID structure, but also with external government controls. Finally, a system of this scope and size, designed to be in use for many years needed a plan for continuous improvement. Neither technical environments nor regulations are static. Therefore, USAID had to anticipate future adaptations and upgrades.

USAID faced a particular technical challenge. The realm of users to whom TraiNet would be deployed used different systems comprised of a wide variety of technical configurations. USAID had to decide whether to develop to the lowest common denominator, or to develop to a higher level of technical capability with the assumption that users would eventually reach this level. USAID chose the first approach and developed to the lowest common denominator -- a 16-bit application that would run using Windows 3.1 and would require a system with only 8MB RAM. While this offered immediate and complete accessibility to all end-users, it did sacrifice leveraging some of the capabilities of a 32-bit system, like Windows 95.

The lengthy TraiNet development process involved the participation of many stakeholders (overseas Mission staff, contractors, Agency managers). Keeping all these entities informed of the process and helping them to develop a bridge from old data management practices to the new system was a significant challenge. Stakeholders needed regular updates on system development to maintain both wide support for the system and trust in the Agency elements and contractor developing the system.

### *Lessons Learned*

Planning: USAID received high marks for the degree to which TraiNet, in both the planning and implementation phases, became integrated with policy and regulations. USAID rewrote ADS 253 -- the Automated Directives System, which is USAID's internal guidance document -- to mandate the use of TraiNet. The Agency also ensured consistency in language and definitions by matching language in new, electronic handbooks and TraiNet. USAID then modified its acquisition regulations to include the stipulation that any contractor engaging in training on behalf of the agency must comply with ADS 253. Therefore, regulations that govern internal operations and external regulations directly support the use of the TraiNet system. To round out this planning, USAID obtained approval from the Office of Management and Budget to retire forms that became obsolete because of TraiNet and addressed all the necessary Paperwork Reduction Act requirements. This all yielded a smoother more complete implementation and resulted in significant cost savings.

TraiNet also resulted in the elimination of duplicative data systems within the Agency. This occurred because USAID achieved consensus among stakeholders about standard data requirements. As deployment continues, duplicative contractor data systems could also be eliminated, eventually resulting in significant savings for USAID partners.

Client Orientation: One of the most important aspects of creating a data management system that will be accepted and supported by end-users is clearly defining and agreeing upon system requirements. USAID enlisted Missions and contractors to define the requirements for the system, and released pilot versions to "early adopter" Missions for further testing and refinement. USAID's choice of contractor, Development InfoStructure (DEVIS), also reflected this client orientation. Armed with extensive international development experience, including a familiarity with USAID programs and operations, DEVIS understood the needs of end-users and worked smoothly and effectively with them.

Team Work: TraiNet involved collaboration between the Human Capacity Development Division of USAID, which has broad responsibility for training programs, and the Information Resource Management Office, which handles technology for the Agency. Cooperation between a "program" office and a "technology" office plays a major role in creating a system that is both technologically feasible and responsive to program imperatives. At some point in the project, the technology staff will play a critical role in maintaining and supporting the system, so its involvement in and support of the project from the beginning is crucial.

Transparency and Incremental Development: The project planners instituted a system of transparent planning and visible achievements. They designed the implementation process in such a way that small, incremental milestones clearly demonstrated that progress on the system was taking place. This helped maintain management support and allowed for periodic process evaluation. Incremental development also allows for product evolution during the development phase. By reviewing the product at different milestones during development, corrections and enhancements can be made with minimal disruption to subsequent milestones.

## **PROFILE 2: Department of Justice -- International Training Database**

The National Institute of Justice (NIJ) has created a pilot data management system that can collect, analyze, and report on international training activities of all the agencies within the Department of Justice. This is a significant achievement considering the structure of the Department, which has a number of agencies, such as the Federal Bureau of Investigation and the Drug Enforcement Administration, and a wide range of international training activities, including the Department of Justice's International Criminal Investigative Training Assistance Program

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(ICITAP) and the Overseas Prosecutorial Development Assistance and Training (OPDAT) program. By pooling training data in one central repository, the system facilitates program analysis and enhances the policy, planning, and coordination activities of the Department.

NIJ collects training data submissions from Justice agencies quarterly. The data are entered, managed, and reported using a Microsoft Access database. The data submitted identify the agency implementing the training, the dates of training, the general focus of the training, the training topic, the country in which training is conducted, the numbers of individuals trained and their country of origin, sources and amounts of funding, and sources and types of support from other agencies and organizations. Point of contact information is also included for reference and follow-up. All training is counted, including in-country, third-country, and that which is conducted in the United States. The system does not identify the number of trainers used for any given activity.

While NIJ data collection parameters do not correspond with the IAWG's current data collection process (which counts only people who cross borders and includes American trainers), the NIJ database provides a complete picture of training activities to decision makers at Justice. For the first time, policy makers are able to compare the distribution of training activities, funding, and individuals trained across agency lines and geographic regions. The system enables policy makers to ensure that efforts are directed to priority areas and to evaluate per-capita training costs.

Finding a common denominator among dissimilar training programs presents a challenge for departments and agencies seeking to evaluate or compare training activities. The NIJ system addresses this issue by tracking the number of hours of training provided through a given activity. This information provides the Department of Justice with the necessary common denominator to evaluate level of effort and develop cost associations across dissimilar training programs. Additionally, counting both the number of training hours and the number of trainees provides a more complete picture of the training experience. For example, the Department is able to differentiate between a two-hour lecture for 20 people and a 30-hour seminar for 20 people.

The database also includes information on training conducted via teleconferences and digital video conferences. Tracking and quantifying information from these "alternative approaches" to training, indicates that the Department of Justice recognizes that these training approaches reduce costs while still supporting foreign policy goals.

### *Challenges*

Probably the greatest single challenge faced by the Department when designing and implementing this system was achieving the acceptance and cooperation of the many contributing agencies. Because there is no single, unified technical infrastructure among the Department's agencies, the system had to be designed to be deployable across different systems. The contractor hired to design and deploy the system, B-Tech ACS, had to assess configuration issues at each agency and customize an approach that would allow the software to run compatibly with existing systems. Additionally, the user interface needed to be designed to be simple and user-friendly so as not to unduly burden reporting agencies.

A second challenge is that the system was created from a weaker prototype version that had never been deployed. This put additional burdens on both the NIJ and contractor staff. Instead of starting from scratch, the staff had to review the prototype design, upgrade it to run on more recent software, and decide which elements to keep and which to remove.

A final challenge is one faced by most data collection and management systems: different approaches and interpretations by end-users. A few end-users of the NIJ system have expressed concern about how the system



arrives at particular figures. The assumption is that some activities are not accurately represented. This is often attributed to misunderstandings and/or differing interpretations on the part of individual end- users.

### *Lessons Learned*

Goals: Always keep the desired end product in mind. It is important to determine what data needs will be, the types of queries anticipated, and the kind of reports needed to generate prior to designing a data management system.

Communication: It is critical to keep the lines of communication open before, during, and after the process is completed, so that adjustments can be made and a cooperative atmosphere maintained. NIJ emphasizes the importance of looking at the end reports required by the Department *and* determining the types of data agencies can accurately report. A feasibility check with agencies at the beginning of the systems development process contributes to acceptance of and support for the final data management system.

Technical Configuration: Know configuration issues up front. Assess the types of systems employed by the end-user and develop a plan for the integration of the data management system.

Client Orientation: Systems must be user-friendly to succeed. Because data collection mechanisms always place some additional data entry responsibilities on the end-user, it is critical that these added responsibilities not create too much of a burden. A clear user interface that has as much automatic data field population as possible seems to be the best approach.

## **PROFILE 3: U.S. Information Agency / Bureau of Information: I Bureau Project Tracker**

USIA's Information (I) Bureau launched the Project Tracker system in FY 1997 to monitor and manage Information Bureau exchange and training programs provided to overseas Posts, including the Speakers and Specialists program, the Professionals-in-Residence program and a variety of tele- and digital video conferences. The system enables staff at headquarters and in the field to track a project from initial request through results reporting, and provides the only automated accounting system that tracks Post-specific program funding allocations. The I Bureau Project Tracker system streamlined the administration of I Bureau programs, enhanced information sharing and project planning throughout the Bureau, and reduced the amount of paperwork and staff time needed for project implementation.

Posts send programming requests to the Information Bureau, where a Regional Program Officer (RPO) logs them into the system. The RPO sets an initial budget, categorizes the project by strategic objective, and assigns the project to a thematic area office for implementation. The I Bureau Project Tracker system creates a central repository for information on the program and also tracks staff responsiveness and efficiency by setting target dates for the early phases of each project (e.g., initial response to Post, assignment of project officer) and tracking all project activities.

The Project Tracker system also serves as a program resource center by housing a database of some 2,400 speakers and specialists who have participated in I Bureau-sponsored events. The database includes information on and links to all the speakers' and specialists' previous I Bureau programs and includes copies of reports and evaluations.

The I Bureau uses an innovative system called "I Bucks" to allocate program funds to individual USIS posts. Posts can design and develop specific programming requests that will draw down these funds. Posts can also pool I Bucks for multi-Post regional programs. The I Bureau Project Tracker system records I Bucks allocations by Post and logs expenditures so that the balance of funds can be tracked for each Post.

The system automatically creates all the grant documents needed to arrange speaker programs. As these documents are created, the system subtracts the project costs from the relevant Post's I Bucks account. If a speaker or specialist is being shared among countries, the I Tracker system automatically prorates the program among those Posts' accounts. The system provides a continuous measurement of actual costs against budget projections to help avoid exceeding project budgets.

### *Challenges*

The I Tracker system, unlike all but one of the other systems profiled here, was designed and implemented internally. Its scope at the initial design and implementation phase was more limited than the system's current range. This created challenges, as new components and features were added to the system on an as-needed basis. Because of the manner in which the system was developed, the system's design and user interface appear cluttered and confusing. A number of end-users find it difficult to use. The designer has taken steps to correct this by incorporating help screens and data entry worksheets. However, an overall systems redesign, to streamline the incorporation of the many new functions that were added and improve the user interface, has never taken place.

Offices throughout the I Bureau use the I Tracker system for a variety of purposes: (budget allocation, project planning and implementation, obligation document processing, research and reporting, etc.). Depending on their area of responsibility, end-users have different requirements and preferences for the design of the user interface. They also have different levels of operational proficiency. Meeting the needs of the user community and providing them with the training and support needed to effectively use the system is a continuing challenge.

The design and implementation of the I Bureau Project Tracker System has rested largely in the hands of one employee who has extensive expertise with the application used to build the system -- Claris FileMaker Pro. Neither the I Bureau nor the Agency technology office supports this application. Although a committee made decisions regarding the design and implementation of the system, the technical expertise rests largely with this one individual. That individual is now moving on to a new assignment, leaving a vacuum of technical expertise. This presents a challenge for the Bureau, in that they have a system in place, but no in-house staffer capable of fully assuming responsibility for the maintenance of the system or able to add complex additional components if needed.

### *Lessons Learned*

Streamlining Program Administration: Incorporating multiple functions (resource allocation, project planning, evaluation) into one system or linking systems together creates efficiency and provides a more complete resource/tool for the end-user. The Project Tracker system is notable because it generates all necessary grant documents and captures most relevant program and budget data from project request through evaluation.

Sustainability: The I Bureau selected a database application that supports expansion and adaptation to evolving user and institutional needs. However, the Bureau is now looking at ways to sustain the system now that the system architect and expert is leaving. The lesson here is to ensure that systems are built on a stable foundation of expertise and that institutions have the staff resources (either contractual or direct hire) to maintain and adapt systems as needs change. This requires both planning and an institutional commitment to the system.

Client Orientation and Institutional Commitment: Interactive systems are only as strong as the people that use them. An organization-wide commitment to utilize a data management system is crucial. The organization should make the system as accessible to and comfortable for the end-user as possible. Design task-appropriate and clear user interfaces. Systems training and orientation materials should be readily available to all end-users.

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## PROFILE 4: U.S. Information Service (USIS) Bangkok -- Grantee List

The USIS Bangkok grantee database, in use since 1997, provides an excellent example of a fast, easy, and inexpensive approach to basic data management. The system, which records all individuals sent from Thailand abroad under the sponsorship of the U.S. Government, was created to guard against program duplication and to ensure the appropriate distribution of training and exchange opportunities. By reviewing the Grantee List, Mission representatives can avoid providing programming to an individual that has already benefited from similar USG-sponsored activities. The List also provides a useful overview of programs at Mission.

Using Microsoft Access, a USIS program assistant created and maintains the database. Database fields include the participant's name, title, place of employment, type of U.S. Government program, program start and end dates, funding agency and sending agency. Agencies sponsoring international exchanges and training programs that involve travel abroad, provide the necessary data to USIS for entry into the system. USIS then provides each Mission section with a printout of the Grantee List quarterly. Currently, approximately 10 agencies represented at the Mission contribute information to the database.

### *Challenges*

While this system represents a solid first step toward automated data management, it lacks the full automation that would make it truly useful and efficient. Incompatibility of computer systems at Mission is a major problem. The Grantee List is located on the USIS network at the Mission. There are several other networks at Mission and many of them are classified. The inability to connect these networks to enable data entry and retrieval by the end-user inserts a "middle man" in the data management flow. End-users with classified systems on their desktop may not have an easily accessible unclassified system. Thus, the process requires paper or e-mail data submissions, places a data entry burden on one staff member, and does not allow for easy retrieval of information by the Mission end-user.

One of the greatest challenges facing multi-agency data collection systems is user responsiveness. The information available in a system is only as good as the information entered into the system, more frequently stated as "garbage in, garbage out." USIS Bangkok has indicated that the biggest challenge facing them in making this system a viable management tool is getting participant information from the different Mission elements.

### *Lessons Learned*

Ease of Development: The most important lesson learned from USIS Bangkok is that any system, regardless of how simple and straightforward, is better than no system at all. Basic database development and reporting is possible with only a few hours of formal training. The Grantee List provides valuable information to Mission elements and promotes information sharing, efficiency, and coordination.

Institutional Commitment: Support at the highest levels is necessary for any database system to yield results. Responsiveness to data requests can not be optional, but must become standard operating procedure in order to fully achieve the ultimate goals of automated data management systems -- increased efficiency and cost effectiveness.

## Data Management Summary Lessons Learned

The profiles provided above demonstrate a range of systems and approaches to data management through the USG exchanges and training community. While every agency has unique systems requirements and information

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management needs, the lessons learned by the various agencies have much in common and provide a useful checklist for agencies that are upgrading existing systems or implementing new ones.

#### Institution-Wide Planning and Support

- *Needs assessment:* Clearly define the organization's data management needs. Discuss the organization's approach to programming and define goals, definitions, and terminology.
- *Consensus building and partnership:* Strive for consensus among stakeholders on the above.
- *Scope:* Determine the scope and size of a system that would best support the organization's goals. Develop realistic timelines, not only for systems development, but also for institutional planning, coalition building, and user training.
- *Institutional commitment:* Ensure that the organization provides adequate staff and financial resources not only for the development and implementation of the system, but also for long-term maintenance and enhancement. Demonstrate potential efficiencies and cost-savings to managers and decision makers early and often.

#### Systems Development

- *Cooperation:* Create a solid partnership between the organization's technical staff, program staff, and any contract organizations working on systems development. Clearly define the roles and responsibilities of each entity.
- *Approach:* If using an external developer, ensure that the developer has an understanding not only of the organization's technical needs, but also its goals, objectives, and programming approaches. If developing the system in-house, ensure that the system can be supported by the organization's existing architecture and staff. If not, incorporate the need for external assistance into the organization's long-term plan.
- *Incremental development:* Develop the system incrementally, with a series of project milestones. Seek feedback from stakeholders throughout the development process so that corrections and enhancements can be made as the project progresses.

#### Client Orientation and Supportability

- *Buy-in:* Communicate proactively with end-users throughout the development process. Explain project goals, timelines, and the impact of the new system on the end-user.
- *User interface:* Design a system that is clear and simple to use with automated "help" features that will assist the end-user. Design the system in such a way as to limit redundant data entry.
- *Training and support:* Develop a plan for initial and on-going user training and support.

#### Impact Assessment

- *Policies and procedures:* Determine if implementation of the new data management system will require modifications of existing policies and procedures. Consider paperwork reductions issues and the retirement of obsolete forms.
- *System redundancy:* Assess the redundancy of existing systems to determine if some systems can be phased out or if their functions can be incorporated into the new system.
- *Maintain support:* Track results of system implementation to demonstrate new capabilities and increased efficiency.

## SECTION 3: VISA USAGE ISSUES AND ADMINISTRATION

In its *FY 1997 Annual Report*, the IAWG identified visa usage issues as one of the primary "common issues and challenges" facing administrators of international exchanges and training programs. The IAWG pledged to 1) gather more data from U.S. Government agencies regarding visa usage issues, 2) examine visa usage issues across government, and 3) seek legal guidance and interpretation from the U.S. Information Agency's Office of the General Counsel on use of the J visa.<sup>9</sup>

Federal agencies use several different types of visas for their international exchanges and training programs. It is not always clear which visa will best suit the program sponsor or participant. Selecting the wrong visa can have long-term legal, programmatic, and administrative ramifications. Visa usage challenges and issues may consume valuable staff time, delay program implementation, hinder achieving program goals, and consequently damage relationships with both foreign and U.S. partners and participants.

To address visa usage issues, the IAWG formed the Visa Usage Study Group, comprised of representatives from eight federal agencies. The creation of this Study Group should clarify visa regulations for government administrators, air concerns of the federal international exchanges and training communities, facilitate positive communication among stakeholders, and promote administrative efficiencies for all agencies.

Over the last year, the Visa Usage Study Group surveyed federal departments and agencies about their use of visas in implementing international exchanges and training programs. The Study Group received 35 returned surveys representing 30 federal departments/agencies. Based on these survey results and subsequent issue identification activities of the Study Group, the IAWG developed both a visa issue identification paper and a formal Request for Guidance that was sent to USIA's Office of the General Counsel (USIA/GC), the Department of State's Bureau of Consular Affairs and the Immigration and Naturalization Service (INS).

The surveys provided insight into visa issues faced by federal agencies. The most important finding is that agencies have a wide variety of needs and experiences with regard to non-immigrant visas. While the majority of respondents indicated that they have not faced serious impediments to program implementation because of visa regulations, a significant number have encountered difficulties in obtaining visas for foreign participants. Because of the complexity and diversity of international exchanges and training programs sponsored by the U.S. Government, one visa is unlikely to meet the wide variety of existing needs. The Study Group survey found that federal organizations use six different visas to facilitate exchanges and training programs. While the majority of the respondents use the J visa, which is traditionally associated with international exchanges and training, others also or alternatively use A, B, G, H, O, and TN visas.<sup>10</sup> In some instances, these visas appear more appropriate than the J. In others, agencies believe there is no completely ideal visa choice. The Visa Usage Study Group focused its

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<sup>9</sup> As of October 1, 1999, the United States Information Agency will be consolidated with the U.S. Department of State. The Department of State will subsequently administer the J visa program. The "J" exchange visitor program is designed to promote the interchange of persons, knowledge, and skills in the fields of education, arts, and sciences. Participants include students at all academic levels; trainees obtaining on-the-job training with firms, institutions, and agencies; teachers of primary, secondary, and specialized schools; professors coming to teach or do research at institutions of higher learning; research scholars; professional trainees in the medical and allied fields; and international visitors coming for the purpose of travel, observation, consultation, research, training, sharing, or demonstrating specialized knowledge or skills, or participating in organized people-to-people programs.

<sup>10</sup> "A" visa = government officials; "B" visa = business/pleasure; "G" visa = representative to international organizations; "H" visa = temporary worker; "O" visa = temporary worker with extraordinary ability/achievements; and "TN" visa = professionals under NAFTA.

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activities largely on clarifying use of the J visa and examining some alternatives for situations in which the J visa posed significant challenges.

## **The J Visa**

As stated above, the primary visa used by U.S. Government entities to support international exchanges and training programs is the J visa. This visa was conceived and promulgated as a tool to facilitate educational and cultural exchanges under the rubric of the Fulbright-Hays Act of 1961, as the "cornerstone of U.S. public diplomacy, an integral part of foreign policy." Today many USG-funded international exchanges and training activities have grown beyond the traditional conception of "public diplomacy". Many of these exchanges and training activities have traditionally used the J visa. And more are likely to use it as cooperation among nation-states increases to solve global problems. However, there are several operational issues of concern regarding the J visa. These issues fall into five main categories: duration of program, multiple entries, residency requirements, application time, and taxes. Many of these categories are interwoven and can not be addressed discretely. Taxation, however, is a somewhat discrete issue that will be addressed by the Study Group in subsequent conversations with other interested government agencies.

## **Program Duration Issues**

### Short-Term Visits for Conferences and Workshops

Several agencies have encountered difficulties using J visas for short-term travel (one-day conference presentations, one-week seminar participation) because of the amount of paperwork and lead-time necessary to generate the J visa and because of the J visa two-year home residency requirement. Some short-term activities are of an ad hoc nature. The agency may not have the lead-time necessary to process a Form IAP-66, required for the issuance of a J visa. Additionally, if a U.S. Government agency is organizing a conference, it may require an individual speaker to be in the United States for only a day or two. The speaker may be wary of the two-year home residency requirement that would result from use of a J visa for this short-term stay. Therefore, it would be much more logical to bring the participant to the United States on a B visa. However, as a speaker at a conference, the participant will likely receive honoraria above and beyond associated expenses (M&IE). This "earned income" is still not allowed under current B visa regulations. However, Congress has amended the B visa legislation to allow for "academic honoraria." Regulations have yet to be written<sup>11</sup>, though, and a 30 percent withholding requirement is applied to "earned income" under visas other than J, F, and M.<sup>12</sup> (A 14 percent withholding requirement applies to J, F, and M visas.) Withholding requirements invoke a cumbersome tax ID number (TIN) designation required by the Internal Revenue Service (IRS). What is the alternative? An H visa would be an unworkable alternative because of the documentation requirements and H visa ceilings. The TN visa, available only for Canada and Mexico, is restricted to certain professionals. While easier to obtain for Canadians (TN visas for Mexican nationals require a labor condition application and petition to be filed with the Immigration and Naturalization Service (INS)), it does not resolve the tax payment requirements set up by the IRS.

The IAWG raised the above issues in its Request for Guidance. Both USIA/GC and State believe that it is implicit in the Immigration and Nationality Act that government-funded exchange programs use the J visa. However, both also indicated that the use of a B visa is permitted under certain circumstances. For example, in certain instances --

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<sup>11</sup> Despite the lack of updated regulations, some academic organizations have begun paying honoraria to B visa holders based on passage of the new law.

<sup>12</sup> "F" visa = students; "M" visa = students (vocational or non-academic).

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particularly for short conferences -- where the USG sponsor does not have an exchange program related to the purpose of the meeting, a B-1 visa may be used in lieu of a J visa. If honoraria from a non-academic institution are involved, a B visa would not be appropriate and a J or H-1(B) visa should be used. However, existing practices provide for B visa holders to receive payments from non-academic institutions through grants, stipends, or payment to his or her foreign employer.

### Long-Term Programs

Long-term government-to-government programs that involve non-government employees pose challenges in almost all areas mentioned above. Participants in some long-term, international projects (especially those categorized as megascience projects) may be required to live in the United States or travel and work frequently in the United States for periods that can exceed six years. J visa duration limitations can hinder a participant's ability to work and reside where necessary to see a project through to the end.<sup>13</sup> Also, multiple entry requirements can pose difficulties, especially if they are unanticipated, by limiting the mobility and flexibility of program participants. However, alternate visas are not always well-suited either. Participants who come to the United States for long-term projects or training often bring dependents who want or need to work and go to school. J visa dependents are the only non-immigrant dependents permitted to work in the United States. Large, long-term, multi-national projects can be threatened if foreign participants in the U.S. are not given the same rights and benefits as U.S. participants abroad.

In response to concerns raised in the Request for Guidance, USIA/GC stated that "current *practice* [emphasis added] permits participation in government-sponsored international science projects<sup>14</sup> in excess of six years." In these cases, the J visa, when designated as a multi-entry visa and with its provisions for dependent employment, would be acceptable. However, this provision may not address individualized or foreign government-sponsored science projects. The Study Group will seek further clarification on these cases from USIA/GC. Tax reciprocity also remains an issue and will be discussed with the IRS.

## **J Waiting Period and Other Requirements**

The residency requirement of the J visa, while generally appreciated by the exchange community, can pose problems for certain types of programs. The challenge to short-term program participants is mentioned above. Additionally, the 12-month waiting period (to receive a second J visa) can hinder the ability of government agencies to develop U.S.-based follow-on activities. Flexibility of residency requirements is desired by many federal agencies.

USIA/GC has indicated that there are exceptions to the 12-month wait requirement. This requirement does not apply to individuals who are in the U.S. for less than six months or individuals here under the *Short-Term Scholar* category. The requirement applies to individuals who are currently in the United States in J status who wish to enter the *Professor or Research Scholar* category. This situation occurs frequently among students in J status who are seeking ways to extend their time in the U.S. Also, some research scholars move from program to program in order to extend their stays. Experience has shown that the longer visitors remain in the United States, the less likely it is that they will return home.

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<sup>13</sup> In the IAWG's *FY 1997 Annual Report*, it was noted that the Organization for Economic Cooperation and Development (OECD) Megascience Forum has identified mobility of scientific personnel as an administrative barrier to international cooperation and identified visa issues as a sub-component of this barrier. Such an administrative barrier could cause the United States to be a less viable host to international megascience projects.

<sup>14</sup> USIA/GC defines 'international science projects' as "those conducted pursuant to international agreements and thus covered under State Department Circular 175 and require congressional notification pursuant to the Case-Zablocki Act."

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In response to the Study Group's Request for Guidance, USIA/GC indicated that it is possible to design a special J visa for researchers or professors that would not have a 12-month restriction, but that this would not be needed since the "12-month rule is an exercise of discretion to effect policy concerns by the Agency."

USIA/GC's response to the Request for Guidance also made it clear that the return residency requirement is a fundamental aspect of the J visa. The State Department, in its response to the Request for Guidance, questioned whether Congress would ever allow a government-sponsored J visa program without a home residency requirement.

## **Additional Challenges to Using the J Visa**

Renewing or extending J visas is often necessary with little notice prior to the expiration of the IAP-66/I-94. However, this is not an easy process for some agencies. When this point was raised in the Request for Guidance, USIA/GC indicated that Responsible Officers and Alternate Responsible Officers (which can be government or non-governmental organization employees) must take steps to process extensions in a timely manner if the extension is to be processed within the program lengths established by regulations. USIA/GC has indicated that it wants to work with the sponsor community to solve problems in this area. USIA/GC suggests that program sponsors intensify efforts to educate participants about the INS and our laws /regulations, improve their computer tracking systems, and flag those visas nearing expiration. USIA/GC has taken steps to permit easy reinstatement to program status for certain persons who are trying to continue their original program objective and who have inadvertently permitted the IAP-66 to expire. However, USIA/GC notes that the INS has asserted that reinstatement to "valid program status" may not necessarily reinstate the exchange visitor to valid immigration status. USIA/GC is working with INS to rationalize their respective rules on this subject.

Several agencies have indicated that their exchange participants have been required by consular sections abroad to pay application fees for the J visa. Two types of fees can be charged to J visa holders: reciprocity fees and machine readable fees. Government-sponsored J visa applicants are exempt from reciprocity fees, which can range into the hundreds of dollars. If a mistake is made and later corrected, refunds can take several months. This can result in considerable financial burden for applicants. Machine readable fees (approximately \$45) are charged to all applicants except those applicants in G1 (USIA) and G2 (USAID) programs. While fees incorrectly levied against government-sponsored applicants may be a problem of individual consular officers, the discrepancy between overseas consulates occurs frequently enough to be an overarching concern. If fees are mistakenly charged, the State Department Bureau of Consular Affairs should be notified. Agencies conducting programs using contract organizations should designate a representative from that contract organization as an Alternate Responsible Officer under the agency's "G" program. This effectively extends the "G" numbers to all the United States Government participants which the NGO facilitates. In the interim period, agencies may attach a letter of explanation to their IAP-66 forms indicating that the program, while not under a "G" number, is sponsored by the United States Government. However, consular officers are not required to waive the applicable fees in these cases.

Responses to the Study Group's survey highlighted a potential hurdle in dealing with the issue of J visa fees: Only 12 of the 35 agencies responding to our survey indicated that they have a "G" number for their exchanges and training programs. The Study Group will assess this situation further and work with agencies and USIA/GC to see if this situation needs to be addressed.



## Conclusion

The Visa Usage Study Group's Request for Guidance raised the issue of creating a new visa classification or a new sub-category of J visa that would address the concerns of the government sponsor community. The INS expressed that it would be cautious in advocating the creation of any new visa classification because it would make the existing body of law more complex and difficult to administer. Responses from both the State Department Bureau of Consular Affairs and the U.S. Information Agency Office of the General Counsel suggest that the IAWG consider regulatory as opposed to legislative actions to address concerns. USIA/GC has indicated a willingness to meet with the IAWG to discuss visa usage challenges and to review current policies with concerned agencies. USIA/GC has also offered assistance to the IAWG in reviewing issues that should be addressed with the INS and IRS.

The IAWG views visa usage review as an ongoing process and looks forward to working with colleagues at the State Department/U.S. Information Agency and the Immigration and Naturalization Service to develop a deeper understanding of visa policies and regulations and to discuss concerns of government administrators of international exchanges and training programs.

## SECTION 4: INSURANCE

In its *FY 1997 Annual Report*, the IAWG noted that the issue of health and accident insurance for participants in U.S. Government-funded international exchanges and training programs concerned many agencies.<sup>15</sup> The rising cost of health care, in particular, caused agencies to worry that a serious illness or accident could make an exchange or training participant a public charge if he or she is not covered by insurance.

An analysis of information that the United States Information Agency (USIA) gathered in 1995 from a variety of government agencies in support of a National Performance Review (NPR) exercise revealed that the amount and cost of insurance provided by the federal government varied widely. There was no consistent approach throughout the federal government to provide insurance coverage, and there were even some inconsistencies within individual agencies.

The NPR exercise, combined with the interest of member agencies, prompted the IAWG to take a closer look at the provision of insurance. In its *FY 1997 Annual Report*, the Working Group decided to approach the issue on several fronts. The IAWG would 1) evaluate and update the data collected by USIA in 1995; 2) determine whether there were elements of various approaches or an entire model that could be adopted by other agencies to increase efficiency and achieve cost savings; 3) examine the issue of standardizing health insurance coverage for all exchange and training visitors with J visas funded directly or indirectly by the U.S. Government; 4) examine standardizing benefits such as treatment of pre-existing conditions, follow-up therapy and treatment after the coverage period.

In FY 1998, the IAWG decided that its first step toward addressing the aforementioned issues would be to conduct an insurance survey among the various U.S. Government agencies which sponsor international exchanges and training programs. The IAWG focused on those agencies which contributed to the inventory section of the *FY 1997*

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<sup>15</sup>The purpose of providing health insurance to participants in U.S. Government-funded programs is to allow them to fully take advantage of the program in which they have been selected. This coverage is not intended, however, to provide health care which may be needed, but is not available in a participant's home country. Nor is it to be used to take care of an illness that occurred prior to a participant's involvement in an international exchange or training program.

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*Annual Report.* The survey enabled the IAWG to collect more comprehensive and up-to-date information regarding insurance coverage and costs as well as to determine the extent of compliance with the J-1 visa requirements.

## Insurance Requirements

Legislation effective on September 1, 1994 (22 CFR part 514.14) requires all U.S. Government agencies to provide for the health care needs of foreign participants in all exchange programs making use of the J-1 visa. The regulations set forth standards to which both public and private entities must adhere to be "designated" as exchange sponsor organizations.

The legislation mandates the following minimum coverage: \$50,000 per accident or illness; \$7,500 coverage for the repatriation of remains; and \$10,000 coverage for medical evacuation. A waiting period for pre-existing conditions, reasonable as determined by industry standards, and a deductible not in excess of \$500 per accident or illness is permitted. Accompanying dependents entering the United States on a J visa must also be covered.

Policies may not exclude from coverage dangers or perils inherent to the exchange activity. For example, an insurance policy secured to cover flight training participants may not exclude injury arising from operation of small aircraft. Additional health coverage may be made available to participants but at no cost to the U.S. Government. The participants would have to elect to purchase supplemental coverage at their own expense.

The regulations allow for self-insurance by federal, state, or local governments, state colleges and universities, and public community colleges. USIA, for example, has a self-insurance program. A non-governmental sponsor may elect to self-insure or to accept full financial responsibility for the above requirements, but must first obtain permission from a federal agency.

Sponsors are not themselves required to provide or pay for the required coverage of exchange visitors or their accompanying spouse or minor dependents, although the sponsor may choose to do so. The responsibility to obtain coverage rests with the exchange visitor. If exchange visitors *willfully* fail to secure insurance coverage for themselves and accompanying spouses/dependents, their programs must be terminated. The sponsor's obligation is limited to informing the exchange visitor of the insurance requirement and terminating the visitor's program if the visitor *willfully* fails to remain in compliance.

The use of the term "willful" is intended to lessen the perceived burden on sponsors and to allow them to sanction only those cases of intentional noncompliance with the regulations. In cases where visitors inadvertently or negligently fail to obtain the necessary coverage or allow coverage to elapse, the sponsor can counsel and work with the exchange visitor to bring him or her into compliance.

Insurance coverage must encompass the period of time that an exchange visitor will actively participate in the sponsor's exchange visitor program, as indicated by the begin and end dates shown on the IAP-66 Form (visa application). Certain practical difficulties may arise under that provision. For example, an exchange student on a USIA program may come to the United States with no insurance coverage and will only be able to participate in the university's insurance plan when he or she enrolls and pays the required premium. Similarly, when this student completes his or her course of studies, he or she may choose to leave the school but remain in the United States for a period of time to travel and sightsee. For purposes of the insurance regulation, USIA considers the exchange visitor to be "participating" in the sponsor's exchange visitor program only during that period of time between actual enrollment and that point when the student departs the school upon completion of his or her studies. Similarly, in the case of those who come to the United States on USIA-designated training programs, the agency views the trainee as a "participant" only during the period of time between when the trainee actually begins

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training and when the training is completed. In other words, the insurance regulation does not require "portal-to-portal" coverage, even though such coverage is highly desirable.

## **FY 1998 Insurance Survey**

As mentioned previously, the IAWG conducted a survey of insurance coverage among various agencies to get a broad picture of how agencies were handling the issue and to determine whether a study group on insurance needed to be formed for more in-depth analysis.<sup>16</sup>

The information provided in the survey highlights the different approaches undertaken by agencies regarding the provision of insurance. Most agencies that responded to the survey indicate that they do not automatically provide insurance to their exchange and training participants. Some agencies offer coverage to certain individuals or in certain instances. The Department of Justice's International Criminal Investigative Training Assistance Program, for example, provides health insurance (but not accident insurance) to foreign nationals coming to the United States for a training period of more than one week. The Woodrow Wilson International Center for Scholars provides insurance only to participants who will be at the center for at least three months; those who will be there for two months or less must obtain their own insurance.

Several agencies reported that they provide information and/or advice to participants regarding insurance coverage. The non-profit group that administers the health insurance program for non-employees at the National Institute of Health's Fogarty International Center, for example, offers suggestions to individuals who are ineligible for insurance because they did not sign up within 30 days of their arrival as required.

The amounts and costs of coverage vary from one agency to another. For example, the Federal Aviation Administration, which does not automatically provide insurance to participants, requires at least \$50,000 in coverage per accident/illness. The U.S. Trade and Development Agency, which automatically provides insurance, obtains coverage for \$25,000 per accident/illness. Deductibles vary among agencies from \$0 to \$500. The monthly costs of coverage ranged from an average of \$50.00 per participant, as reported by USIA, to an average of \$154, for a Department of Agriculture program. Although costs and coverage vary from agency to agency, from program to program, and, in some cases, depend on the age of the participant, the average cost borne by the U.S. Government to insure participants in FY 1998 was \$97.00; the cost in FY 1995 was \$103.00. (The figures listed are intended to give a general idea of insurance costs for the two fiscal years mentioned. They do not reflect an exact agency-to-agency or program-to-program cost comparison for the two fiscal years.)

Monitoring compliance with the J-1 visa requirements for insurance varied among agencies that provided insurance as well as those which did not provide insurance: some did not address the compliance issue at all; one requires participants to guarantee in writing that they are aware of the need to provide for their own accident and health insurance; one asks participants if they have insurance; another sends a letter to the participant's home office which explains that the home office is responsible for providing the visitor and his or her family with the appropriate amount and type of insurance coverage.

The survey shows the great diversity that exists among international exchanges and training programs and their participants. Because of the different needs and expectations of the participants, the IAWG believes it would not be feasible to offer a "one-size-fits-all" standardized policy for all agencies. Each agency needs to make its own determination regarding the type of insurance, if any, it will offer. Agencies on the high end of costs for insurance may wish to review the types of insurance that other agencies offer as a way to save money. The IAWG believes

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<sup>16</sup> See Appendix 4 for copy of survey form and summary results by federal department/agency.

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that agencies should be more vigorous in terms of providing information to participants who are not automatically covered and in monitoring compliance with the J-1 visa requirements.

After reviewing the responses to the survey, the IAWG decided to forgo the formation of a study group on insurance for this fiscal year. The relatively small number of agencies/programs reporting that they either provided or offered insurance did not necessitate a more in-depth study.

## **SECTION 5: PERFORMANCE MEASUREMENT**

Congress tasked the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) with developing "recommendations on common performance measures for all United States Government-sponsored international exchange and training programs." The IAWG decided to use a two-part approach to address this congressional mandate. First, for the FY 1998 report, the IAWG presents an overview of performance measurements, including definitions, parameters, present practices, and problems as identified by member agencies and departments. Second, for the FY 1999 report, the IAWG will submit final recommendations regarding performance measurements based, in part, on the information included in this FY 1998 report.

The Government Performance and Results Act (GPRA) of 1993 requires every U.S. Government agency to produce both a strategic plan and annual performance plan; the first performance plans accompanied the FY 1999 budget presentation to Congress. Performance plans establish the intended performance measures to assess progress toward achieving the announced goals. Agencies must submit their first reports on performance plans, which will cover the FY 1999 time period, by March 31, 2000.

Focusing on performance measurement, the IAWG dedicated its efforts to determining how federal agencies with international exchanges and training activities are responding to the congressional mandate. The IAWG uses the same definition of performance measurement that the General Accounting Office (GAO) devised. The GAO recognizes the special problems involved with measuring goals that are affected by external factors beyond the control of the government.

The IAWG examined one of these external factors in its study on budget transfers in section 1 of this chapter.

In the international exchanges and training arena, congressional appropriations are often actually spent on programs operated by an agency (B) which obtained the funds via a transfer from the agency (A) that received the appropriations. "A" has the mandate but usually does not have the resources to measure the program performance. The program is administered from Washington, but is operated outside Washington in most cases. "B" is not tasked to provide performance measurement of its operations and thus seldom does. Exceptions were noted only in agencies that put high priority on performance measurement for activities funded through direct appropriations.

### **Program Evaluation vs. Performance Measurement**

Government projects are not created in a vacuum; they address specific needs. The purpose of any program is to produce an outcome that responds to a perceived need. Currently, federal agencies primarily use program evaluation to assess the effectiveness of their operations. GPRA aims to supplement program evaluation, which focuses on the activity itself, with performance measurement, which focuses on the outcome. In other words, a program evaluation addresses how well (or badly) a program was executed; performance measurement focuses on how well (or badly) the program meets the need for which it was created. Performance measurements won't replace

program evaluation. However, program evaluation will no longer drive the budget process. Instead, program evaluation will focus on identifying problems, which will be useful information for inspections and audits.

In addition to recognizing that the outcome stage is where “evaluation” of goal fulfillment makes the best sense, GPRA highlights the fact that the traditional program evaluation process takes too long to provide agency managers with timely feedback for the purpose of budget planning. Under GPRA, feedback through performance measurement will be available annually, not years after the program has been completed. The data being measured will be fresh, not out-dated.

Program evaluation frequently misidentifies activity as progress. A program evaluation focuses on how well or how poorly a program was administered. It might, for example, praise a project director who produced more exchange/training programs with fewer problems than was the case in the previous evaluation. Determining whether a program outcome has been effective in reducing the need for the program -- as outlined in an agency’s strategic goals -- has taken a subordinate role to the evaluation of the activity’s operational efficiency.

Performance measurement differs from program evaluation. Performance measurements focus on whether a program has achieved its objectives, expressed in measurable standards. Program evaluation steps back and takes a longer and broader view. Because of its ongoing nature, performance measurement serves as an early warning system to management and as a vehicle for improving accountability to the public. Program evaluation is a more in-depth, studied examination. Both aim to improve service delivery and program effectiveness.

## Performance Measurement

The GAO provided the following guidance for producing performance reports in its 1997 publication *Managing for Results: Analytic Challenges in Measuring Performance* (GAOIHHS/GGD-97-138, May 30, 1997):

- Identify goals: specify long-term strategic goals and annual performance goals that include the outcomes of program activities,
- Develop performance measures: select measures to assess programs’ progress in achieving their goals or intended outcomes,
- Collect data: plan and implement the collection and validation of data on the performance measures, and
- Analyze data and report results: compare program performance data with the annual performance goals and report the results to agency and congressional decision makers.

Specifically, performance measurement monitors and reports on the ongoing monitoring and reporting of program accomplishments. Performance measures may address the type or level of program activities conducted (process), the direct products and services delivered by a program (outputs), and/or the results of those products and services (outcomes). A “program” may be any activity, project, function, or policy that has an identifiable purpose or set of objectives.

The GAO reviewed the performance plans submitted for FY 1999 and confirmed that many agencies face a common challenge: setting measurable goals for outcomes affected by complex systems or circumstances beyond government control. (*Ibid*) Subsumed is the need to filter out the external factors; assumed is the expectation that their existence will be footnoted in the performance report.

The GPRA focus on outcomes presents problems for international exchanges and training activities and for many scientific research programs. Most international exchanges and training programs can point to their support of U.S. national interests to justify their existence. Identifying and measuring a causal relationship between a successful

exchange or training effort and a specific goal or objective, however, may be impossible to accomplish in the short term. It might be months or years, for example, before an exchange participant can implement something that he or she learned on a U.S. Government-sponsored program. GPRA demands an annual measurement, but it might take longer than that to demonstrate that the strategic goal that spawned the program has been satisfied.

One solution to this quandary is to measure intermediate outcomes, specifically attitudes, behaviors, and conditions. The following scenario demonstrates how this might work. Say, for example, that a foreign government's regulatory office resists engaging in regular communications with the U.S. Government's counterpart. The U.S. Government arranges an exchange program for a representative of the foreign government's regulatory office. The logistics of the program are flawless: the visitor meets with the appropriate people, he or she develops important contacts, the visitor enjoys the hotel and travel arrangements, the escort-interpreter provides excellent interpretation, etc. After the exchange returns home, the USG personnel notice an immediate reduction in the resistance from that office. Although a more modern regulatory system may not develop immediately, the intermediate outcome -- a change in attitude -- is certainly a positive step.

But, what if, in the same scenario, the aforementioned exchange returns and an improvement in communications does *not* ensue? The need for better communications obviously still exists. With a successful performance measurement in place, rapid feedback would help agency planners assess whether another type of program would be more likely to have a positive result. Instead of assuming that either the logistically successful exchange should be continued or that the lack of a positive effect should cancel further efforts, planners can quickly reprogram the funds for a program that will address the acknowledged need from another direction.<sup>17</sup>

Some outcomes are self-measuring -- that is, they are expressed objectively and quantitatively -- and thus do not require the use of additional measures. For example, a performance goal to staff 300 airport control towers on a 24-hour basis in a given year would not require additional measures.

Other outcomes require the definition of specific performance measures in order to assess progress towards the outcomes. An outcome to increase civic participation in local, regional, and national politics in Africa, for example, would require a benchmark measure of civic participation at the beginning of the performance year, definitions of civic participation, and agreed upon parameters of what local, regional and national politics consist.

Whether self-measuring or not, outcomes and measures should be objective and precise and should allow for the assessment of performance. The measures should also be clearly related to the performance they are to evaluate. While the number of measures for each outcome at a given organizational level should not be excessive, it is critical that they represent the important dimensions of the performance that produced that outcome.

### **Looking Ahead: Criteria for the *FY 1999 IAWG Annual Report***

IAWG's recommendations on common performance measures for U.S. Government-sponsored international exchanges and training programs are not required until the *FY 1999 IAWG Annual Report*. In next year's report, those recommendations will be predicated on the following:

1. Performance measurement *is not*:
  - Program evaluation.

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<sup>17</sup> Downsizing is not GPRA's primary interest; GPRA's goal is efficient measurement of project outcome effectiveness in meeting identified needs.

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- An assessment of the year's program activities.
- Responsible for external factors.
- Concerned with programs.

2. Performance measurement requires:

- Articulated long-term strategic goals.
- Specified annual performance goals.
- Benchmarked measurements of performance.
- Reliable collection and validation of data.
- Agreed upon performance standards.

3. Performance analysts do well to remember:

- Performance measurement is concerned with products or outcomes.
- Outcomes/products can be either intermediate or end results.
- Intermediate outcomes are attitudes, behaviors, and conditions.
- Performance standards are not to be confused with final exam scores.
- Work plans are not synonymous with performance measurement.

4. Where programmers have limited, if any, control, over the influence of external factors there are strategies to reduce, if not eliminate, that influence outcome measures:

- Select a mix of outcome goals over which the agency has varying levels of control.
- Redefine the scope of a strategic goal to focus on a more narrow range of activities.
- Disaggregate goals for distinct target populations for which there are different expectations.
- Use data on external factors to adjust statistically for their effect on the desired outcome.

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## CHAPTER 3: DUPLICATION STUDIES

### INTRODUCTION

One of the primary responsibilities of the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) is to identify administrative and programmatic duplication and overlap in order to increase administrative and programmatic efficiencies. In its *FY 1997 Annual Report*, the IAWG identified four areas where the potential for duplication and overlap exist: graduate-level academic programs, rule of law/administration of justice programs, international visitors programs, and business/entrepreneurial development programs in Eastern Europe and the New Independent States (NIS). The IAWG decided to review these four areas in two phases. For this year's report, the IAWG elected to study the rule of law and international visitors programs. The *FY 1999 Annual Report* will address graduate-level academic programs and business/entrepreneurial development programs in Eastern Europe and the NIS.

### SECTION 1: RULE OF LAW/ADMINISTRATION OF JUSTICE PROGRAMMING

In the IAWG's *FY 1997 Annual Report*, the Working Group indicated it would examine rule of law/administration of justice programs for duplication and complementarity. In addition, the IAWG would determine whether, and in what way, administrative efficiency and coordination could be increased. In view of the extensive study underway by the General Accounting Office (GAO)<sup>18</sup> on rule of law, and in order not to duplicate that study itself, the IAWG decided to focus on the basic framework of rule of law/administration of justice programming and to highlight the coordination efforts undertaken by the major agencies involved. The IAWG will review rule of law programming after the GAO completes its studies and the two-year rule of law project, overseen by the Senior Coordinator for the rule of law (assigned to the Department of State), ends.

The GAO I notes that Congress appropriated most of the rule of law programming funds (which totaled \$218 million in FY 1998 and at least \$970 million during fiscal years 1993 to 1998) to three agencies: the U.S. Agency for International Development (USAID), the Department of State, and the U.S. Information Agency (USIA). Much

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<sup>18</sup> The GAO study is being issued in three volumes: *Foreign Assistance: Rule of Law Funding Worldwide for Fiscal Years 1993-98* (GAO/NSIAD-99-158 [cited as GAO I]); *Foreign Assistance: U.S. Rule of Law Assistance to Five Latin American Countries* (GAO/NSIAD-99-195 [cited as GAO II]); and a third [cited as GAO III] underway on coordination of rule of law programming at the Washington level.



of this funding is then transferred to other agencies who are responsible for managing the actual programs.<sup>19</sup> (See Chapter 2, section 1 of this report for more information on budget transfers.) Broadly speaking, these programs focus on criminal law (judicial and court operational assistance), civil government and military reform, democracy, human rights, and legislative reform.

The GAO cites the following specific programming topics as illustrative of the breadth and creativity of U.S. Government (USG) operations in the rule of law/administration of justice arena:

- Law enforcement (technical training and assistance for police, prosecutors, public defenders, and other personnel in law enforcement related entities, such as the U.S. Customs Service): police management, investigative capabilities, detection and identification of firearms, development of criminal investigations units, maritime law enforcement, detection of counterfeit currency, antinarcotics, antiterrorism.
- Judicial and court operations: modernized court administration, innovative advocacy procedures, training for judicial personnel, improved access to the justice system, legal aid services, alternative dispute resolution/mediation/arbitration procedures, exchange programs concerning legal education.
- Civil government and military reform: improved understanding between civil and military agencies, court-martial structure, funding to support multinational forces and police monitors in Haiti, training on government ethics and corruption, professional skills for maritime and military personnel, military law.
- Democracy and human rights: electoral reforms, promotion of democracy and human rights, citizen participation in government, free press.
- Law reform: help in developing/documenting/revising constitutions, laws, codes, regulations, and other guidance on the rule of law.
- Special education: intellectual property rights, drug rehabilitation, domestic and gender violence.

These topics are of concern whether the audience is civilian or military. Civilian and military infrastructures obviously differ from one another, but there is sufficient overlap, especially at the ministry levels, that coordination among United States Government agencies providing rule of law programming in the same country is very important.

## Coordination Efforts

IAWG country field study teams found that program staffs recognize the value of coordinating their efforts.<sup>20</sup> At the logistical level, the Embassy law enforcement committees are responsible for coordination. At the policy level, Washington must establish the rules. The Department of Defense, through the Defense Security Cooperation Agency (DSCA), and USAID are setting an excellent example of how to minimize duplication and overlap by developing a Memorandum of Understanding that will define their roles, delineate their interests and

<sup>19</sup> GAO I (page 9): These three entities accounted for more than 91 percent of all rule of law funding, or \$884 million, in fiscal years 1993-1998. Although they provide small amounts of funding, almost all rule of law assistance provided by Justice, Treasury, and other departments and agencies were funded through interagency transfers and reimbursements from USAID, and, to a lesser extent, State.

<sup>20</sup> For more information on IAWG Country Field Studies, see Chapter 4. The completed studies are included in the Appendices.

responsibilities, and establish clear lines of communication. The negotiations are also focusing on giving program staffs from various agencies an opportunity to talk to one another on topics of mutual interest and concern. These efforts will help agencies minimize duplication, maximize complementarity, and address issues essential to the national interest. Still, the possibility remains that foreign recipients may be confused or annoyed if approached by two different U.S. Government organizations seeking information and/or offering assistance.

President Clinton initially resisted imposing formal mechanisms for coordination for fear that they would stifle the flexibility, and possibly the effectiveness, of programs.<sup>21</sup> In 1993, however, he issued a Presidential Review Directive (PRD #26) to study the issue of coordination in response to concerns expressed by members at hearings of the House International Relations Committee. As a result of that review, the National Security Council determined that the difficulties encountered in coordinating the democracy assistance programs did not warrant the formal directive process that a Presidential Decision Directive would require. Instead, the National Security Council directed the Department of State to lead an Interagency Working Group on Democracy and Human Rights. In 1995, the Department of State announced such a group would be created to provide broad policy and priority coordination and to support interagency efforts aimed at specific countries. The IAWG found no evidence that this group was formed. However, the Department of State began a rule of law initiative in 1997 geared to China which is now under the supervision of the East Asia and Pacific Bureau and the Senior Coordinator for the rule of law.

In February 1999, a Senior Coordinator for the rule of law, coming from the Department of Justice, was assigned to the Department of State's Undersecretariat of Global Affairs with a two-year mandate to "get the rule of law initiative off the ground." His agenda was established by the Counselor to the Secretary of State (and is detailed in the rule of law backgrounder in the Appendices). One of his early decisions was to focus on four countries where resources are already identified (Nigeria, Colombia, Ukraine, Indonesia). Participation in the continuing coordination efforts of major rule of law programs is a significant element of his responsibilities. A snapshot of progress will soon be available in GAO III. Another snapshot has been prepared by the Department of Justice and titled "Map of the World, July 30, 1999."

Washington-based oversight decreases with field-initiated transfers of funds from one agency to another for specific programs. At the same time, however, success stories from the field, e.g., Guatemala and El Salvador per the GAO II, demonstrate that intense oversight by Ambassadors can produce well-coordinated rule of law initiatives involving USG agencies, interested third-country governmental efforts, and international agency programs. The Department of State has created a Moscow Assistance Coordinator position to facilitate coordination of U.S. Government programming in Russia; a USAID program handles follow-up activities with the U.S. Information Agency business exchangees. The IAWG 1999 country field studies found an increase in the number of law enforcement working groups at the Embassy level. These working groups coordinate and oversee U.S. Government programs involving the rule of law and the administration of justice.

Coordination at the Embassy level enhances program efficiency; coordination at the Washington level can also, but sometimes is more difficult to attain. Illustrations of why this is so include:

- Pass-through appropriations, which involve more than one U.S. Government agency, may contribute to the efficiency at U.S. Missions but may not have the same effect in Washington.<sup>22</sup>
- With no single Washington agency and no single office controlling the process, as can be arranged in an Embassy, disputes arise and are difficult to settle.

<sup>21</sup> See Appendix 7: Rule of Law Background Notes.

<sup>22</sup> See Chapter 2, section 5 on how coordination issues affect performance measurement.

- Confusion can occur when Washington-based program staffs, who may be spread among several USG agencies, oversee the non-governmental organizations (NGOs) and private sector partners contracted to run the field programs. Contractors do not need "country clearance" from the Embassy which may then not be aware of the ramifications of Washington-initiated programming.

At a December 7, 1995, congressional hearing<sup>23</sup> where senior managers of the Departments of State and Justice, the U.S. Agency for International Development, and the U.S. Information Agency testified, then-Representative Lee Hamilton commented on the difficulties often faced by bureaucracies in attempts to coordinate activities. He said, "I am told we had a lot of trouble setting this meeting up today and that we get into disputes, for example, on the order of who speaks first. Those things make me a little nervous and the number of times I heard the word 'coordination' in your testimony made me nervous too, because we don't coordinate these things very well as a rule when...dealing with one, two, three, four agencies or departments of government, or at least that is my experience."

Not all is troublesome, however. In one area -- the culture of democracy -- coordination so far has been less essential because fewer agencies have been involved and the likelihood of duplication or overlap has been minimal. Programs directed toward the public culture<sup>24</sup> differ from those focused on the workings of democracy. Yet, both are necessary. As Penn Kemble, Deputy Director of USIA at the time, said at the aforementioned hearing, "A police force with expert technical skills won't accomplish much if it doesn't get cooperation and respect from local citizens. Gaining that kind of legitimacy may require changes in public attitudes that can only be achieved with support from...forces that sometimes lie beyond the ready reach of American professionals in the law enforcement field."

The Department of State's Mission Program Plan (MPP) requirement at each U.S. Embassy, followed up by interagency committees, such as law enforcement working groups, can help to ensure that similar programs reinforce rather than duplicate one another. The MPP concept is still being refined; as it now functions all agencies represented in the Embassy must incorporate their plans into a single document for review in Washington. Agencies without representation overseas are not included in this structure. The MPP's list of national interests currently do not take into account the goals of specialized agencies such as the National Science Foundation, the National Institutes of Health, and the Department of Education.

## Coordination Evaluation

The decision to create a Senior Coordinator in the Department of State reflects the traditional role of that Department to formulate and direct the foreign policy of the United States under the direction of the President. In general, Congress has not expanded the mandates of the domestic departments to include foreign relations, even though the expertise required to operate many of the international exchanges and training programs rests outside the traditional foreign affairs departments and agencies. This has a major effect on the Department of State in that overseeing large and diverse programs operated by other agencies with a limited number of personnel is virtually impossible. Confusion, delay, and a virtual void in performance measurement occur when one agency/department receives the appropriation from Congress, but another agency/department operates the program. (See Chapter 2, section 1, on budget transfers.) Tracing the money trail can be a confusing exercise. One Department of Justice element, for example, told the IAWG that all of its rule of law funds came from the Department of State -- a conclusion based, in part, on the fact that State's Inspector General had conducted an audit of Justice's rule of law programs. However, since over half of these funds had been appropriated under the Freedom Support Act (FSA)

<sup>23</sup> Further House hearings on the rule of law are scheduled for fall of 1999.

<sup>24</sup> The term "public culture" encompasses the way peoples of foreign countries see themselves, the way they see the United States, and the way they respond to American policies and actions.

and the Support for Eastern European Democracy Act (SEED), those funds came from USAID Foreign Assistance Act appropriations.

Embassies cannot resolve Washington-level problems. Domestic Washington agencies with direct ties to sister foreign government units do develop training and exchange relationships and/or programs without informing the Embassy. Embassy programmers reported on the difficulty of tracking these elusive operations, let alone coordinating them. Specifics on rule of law programs as viewed from the Embassy level appear in the reports on team visits to South Africa, the Dominican Republic, and Poland.

## Conclusion

Unproductive duplication represents unnecessary expense and work. With budgets and personnel reduced, complementarity is the aim where goals overlap. Increased numbers of interagency working groups, at the Washington and the Embassy levels, provide a useful mechanism for distributing information as well as highlighting neglected areas and problems that need special attention.

Interagency Embassy law enforcement coordination committees are generally doing a worthwhile job of overseeing the work of diverse agencies. Limited comparable centralized oversight in Washington makes Embassy coordination essential which in turn means all affected agencies must be included in the coordination process. When well-run, these committees can focus efforts to find the best use of U.S. Government resources to further agreed-upon national interests.

The core of the debate over coordination is about effective communication of policy, not about efficient delivery of services. Of course, coordination can occur at the latter level of operations with little thought of policy. At the conception and planning level though, coordination is meaningless and execution fruitless in the absence of clear policy understanding and acceptance. Policy direction must drive execution. The choice is not between Embassies doing more and Washington doing less. On the contrary, Washington must do more in the way of policy clarification and resolution in order for the field to do more and better delivery of services.

## SECTION 2: INTERNATIONAL VISITORS PROGRAMS

In its *FY 1997 Annual Report*, the IAWG indicated that it would examine U.S. Government-sponsored international visitors programs to see if efficiencies and savings can be achieved by eliminating administrative duplications. The IAWG noted that existing international visitors programs run the gamut of programming profiles, from simple, ad hoc consultations to highly formatted exchange programs and are topically specialized to reflect the area of expertise of the sponsoring federal agency.

The IAWG broadly defines international visitors programs as those programs in which participants meet with, or observe the operations of, professional counterparts and/or tour relevant facilities with the goal of sharing ideas, experiences, and approaches. Mutual understanding is enhanced through exposure to U.S. culture and values. Visitor programs can include, but are not limited to, meetings, briefings, tours, and opportunities for professional observation.

An initial review by the IAWG identified nearly 30 U.S. Government-sponsored international visitors programs. The majority of these programs do not use USG funds to cover program expenses. The only USG contributions are staff time (program oversight, meeting/training time) and agency resources (conference/meeting facilities, briefing

materials). The major exception is the United States Information Agency's International Visitors Programs, which supported 4,365 visitors in FY 1998 at a cost to the U.S. Government of \$41,442,000. This program provides full support and a highly structured program of professional visits, consultations, and professional development activities in cities throughout the United States. (More information on this program can be found in the USIA part of the inventory, which appears in the Appendices.)

## Federal Sponsors of International Visitors

Department of Commerce	U.S. Coast Guard
Bureau of the Census	Department of the Treasury
Bureau of Economic Analysis	Bureau of Engraving and Printing
National Institute of Standards and Technology	Office of Thrift Supervision
Department of Defense	Internal Revenue Service
Joint Chiefs of Staff	Environmental Protection Agency
Department of Health and Human Services	Federal Communications Commission
Department of Housing and Urban Development	Federal Deposit Insurance Corporation
Department of the Interior	Federal Emergency Management Agency
Department of Labor	Federal Energy Regulatory Commission
Department of Transportation	Federal Trade Commission
Federal Aviation Administration	National Archives and Records Administration
Federal Highway Administration	Nuclear Regulatory Commission
Federal Railroad Administration	Social Security Administration
	Tennessee Valley Authority
	United States Information Agency

Agencies approach the administration of international visitors programs differently. Many larger programs use in-house or external contractors to plan and administer the programs. Smaller programs designate one or two agency employees to administer these programs as part of a larger portfolio of responsibilities. As mentioned previously, the structure of each program differs widely. USIA, for example, sponsors visitors to the United States for programs that range from one or two days to several weeks, individually or in groups. Larger programs often begin with an orientation in Washington and include program activities in three to four U.S. cities. Visitors are nominated by interagency committees at the U.S. Mission in the visitors' home country. Topics and fields of interest are selected to best meet U.S. foreign policy goals in each country. Visitors are chosen because of their decision-making role or activities in their particular field and their ability to share and positively utilize information gained through their program.

Many international visitors programs are shorter-term and more ad hoc in nature. For instance, a foreign regulatory agency may contact the Federal Energy Regulatory Commission (FERC) and indicate that a team of regulatory officials will be in Washington to attend a conference. The foreign agency requests a schedule of consultations with particular officials within the Commission as part of the group's Washington schedule. An official from FERC contacts colleagues in the Commission to set up appointments. No funds are expended. While the consultations serve U.S. foreign policy goals, FERC provides them as a professional courtesy to foreign counterparts.

Because of the diversity of programming approaches, content and objectives, the IAWG determined that it would be inadvisable to recommend a unified approach to international visitors programs or to try to establish a central administrative mechanism for them. In this case, decentralized and specialized administration of these programs

appears to work well. However, the IAWG believes that program efficiency could be greatly enhanced at the staff level by increasing communication among administrators of international visitors programs. International visitors program administrators would benefit from the creation of a forum for sharing lessons learned, communicating best practices, and discussing common challenges and issues.

On June 24, 1999, the IAWG convened the first meeting of the International Visitors Roundtable. Twenty-one representatives from 16 government agencies attended. The first meeting provided representatives with the opportunity to introduce themselves, briefly review each agency's international visitors program, and raise topics for future Roundtable discussions. A second Roundtable meeting will be scheduled for Fall 1999 to continue discussions.

At the first International Visitors Roundtable meeting, agency representatives raised a wide variety of common issues and expressed interest in meeting again to discuss them in more detail. These include:

- Program administration requirements and staff resources
- Lead-time needed to plan programs
- Program content and development
- Selection/screening of appropriate visitors
- Appropriate timing of visitor programs
- Obtaining program feedback

As a result of the International Visitors Roundtable, the IAWG:

- distributed a list of Roundtable attendees to facilitate continued dialogue among members;
- created an international visitors program-specific FAQ sheet on its interagency website to address questions raised during the first Roundtable meeting; and
- is compiling a *Directory of U.S. Government-Sponsored International Visitors Programs* to provide administrators of these programs with contact and program information and resources for the administration of international visitors programs. The Directory will be distributed in Fall 1999.

The IAWG believes that its efforts to facilitate communication among U.S. Government international visitors program administrators will result in the adoption of best practices and provide a forum for addressing common challenges and issues with the result of increasing the efficiency of international visitors program administration.

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## CHAPTER 4: COUNTRY FIELD STUDIES

### INTRODUCTION

The Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) conducted three country field studies in Spring 1999 to expand its review of USG-sponsored international exchanges and training programs and to develop an action plan on these activities. While gathering and analyzing data for the FY 1997 report, the IAWG concluded that an examination of these programs at the field level would provide a broader and clearer picture of exchanges and training programs. The field studies would be used to determine whether any lessons learned in the field could be applied to the international exchanges and training community at large. The IAWG also determined that trip analyses could provide recommendations to Congress and the President as a means to enrich the dialogue on the general state of federally-sponsored international exchanges and training.

Field study teams consisted of representatives of IAWG Executive Committee departments and agencies with an IAWG staffer who served as rapporteur. Participants on the teams included individuals from the U.S. Agency for International Development, the U.S. Information Agency and the Departments of Justice, Defense, and Education.

The IAWG chose countries that are geographically diverse and that offer different perspectives on international exchanges and training programs. The South Africa study (April 17-26, 1999) not only provided insight into the workings of a large and active southern hemisphere Mission, but also offered a developing world perspective and a chance to review the activities of a Binational Commission. The Dominican Republic study (April 25-30, 1999) afforded a view from a small western hemisphere Mission that sponsors a wide variety of programs. The Poland study (May 8-15, 1999) allowed the study team to view international exchanges and training programs in a country that has undergone major political and economic transitions.

In preparation for the country field studies each IAWG field study team identified, then communicated with, the appropriate control officers at Mission prior to leaving the United States. Team members closely coordinated with the Mission staff who would be responsible for setting up the appropriate appointments with various agencies and organizations in-country that engaged in international exchanges and training programs, and, in some cases, with individuals who participated in these programs.

Each team spent one week in-country to address the following seven goals as related to international exchanges and training programs:

- 1) Verify the FY 1997 and 1998 inventories of exchanges and training programs.
- 2) Determine the level of in-country coordination and information-sharing on exchanges and training programs in the field, and examine programs for complementarity, synergy, duplication and/or overlap issues.
- 3) Identify administrative and programmatic “best practices” related to exchanges and training from program officers, Mission colleagues, and host-country contacts.
- 4) Identify performance measurement standards within exchanges and training programs.
- 5) Observe the degree of host country input into exchanges and training program operations.
- 6) Learn about private sector initiatives and the degree of support solicitations received in-country by USG agencies conducting exchanges and training.
- 7) Collect suggestions from U.S. Mission staff regarding the strategy and action plan (for 10 percent savings recommendations) for the IAWG *FY 1998 Annual Report*.

Synopses of each study are presented below. Full texts of the country field studies can be found in Appendix 5, at the end of this report.

## **SOUTH AFRICA SYNOPSIS**

The IAWG team’s visit to South Africa, from April 17 to April 26, 1999, provided an opportunity to learn about the inner workings of a Binational Commission at the field level. The high-profile nature of the Binational Commission leadership (which consists of U.S. Vice President Al Gore and South African President Thabo Mbeki) has contributed to the creation and/or increase of international exchanges and training programming by agencies that had not previously focused on South Africa.

In addition to the Binational Commission, the team focused on programs spread among the 26 agencies which had reported exchanges and training programs involving South Africa in FY 1997.

After returning home, the six-member IAWG team reported the following observations:

- One week is insufficient time to explore any more than the immediate Embassy staff resources and the largest programs.
- Field personnel are little interested in the source and evaluation of macro-programming. Their interests tend to lie in the operation of the programs.
- Frequent disconnects were found in field participant counts and Washington program inventories.
- The Embassy was unaware of many programs reported in Washington by agencies without field representatives. These programs are often Washington-based training operations coordinated directly with South African counterpart institutions with little or no Embassy involvement.



- Where funding sources and program implementation responsibilities lie with different agencies, performance measurement is not occurring on a routine basis.
- The Binational Commission concept is excellent, but its life span is uncertain because it has no appropriated budget or Washington-based staff.
- Field-level synergy works when the Deputy Chief of Mission oversees interagency coordination.
- South Africa's prominence in Southern Africa gives it a natural advantage for hosting U.S.-sponsored multinational U.S. international exchanges and training programs.
- The degree of South African Government input into designing exchanges and training programs is greatest when programs are planned at the field level.
- Private initiative material and financial support from South African sources are rare.
- Cost-savings are likely to come only from direct program curtailment or elimination. Some savings can result from centralization of logistics, but these will be overwhelmed as new programs mature and expand.
- The idea of encouraging more U.S. universities to carry more of the costs for long-term training at times meets with resistance from some South Africans. This stems from the fact that internationally known U.S. universities are less likely to reduce their costs than lesser known schools and, given a choice, some South Africans would rather return with a degree from the former.
- A single clearinghouse or interagency committee for all Embassy grants would enhance efficiency and ensure that duplication and missed opportunities are kept to a minimum.
- For future trips, at least those with more lead time, IAWG sherpas should be encouraged to communicate to the agency field programmers the nature and purpose of IAWG country field studies. This would increase field representatives' understanding of the IAWG and therefore make field studies more time-efficient.
- The IAWG definition of exchanges and training should be broadened to include distance learning programs. The team also feels that when U.S. trainers train host-country students in-country, these students, though not crossing international borders themselves, should be considered as part of the U.S. international training effort. (USAID does not agree with this conclusion, citing the inordinate amount of time and cost that would be required to collect and analyze such input data, as compared with the data's usefulness in supporting the Mission Performance Plan and overall performance results. Moreover, in some instances it will be impossible to collect data on in-country training-of-trainer events as they take place far removed from a monitoring site.)
- The "best practices" should be brought to the attention of Washington programmers for possible applications to other programs.

## DOMINICAN REPUBLIC SYNOPSIS

The IAWG Dominican Republic field study team spent April 25 to April 30, 1999 in-country. A democratic island nation, the Dominican Republic contains a broad cross-section of federal programs.

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The IAWG team learned that the lack of a central source of exchange and training information at the Mission complicated the verification of the IAWG data inventory. With a number of agencies with Dominican programming having no field presence, the team relied generally on information gathered from program offices in Washington.

The Dominicans welcomed partnership in the planning and implementation of exchanges and training programs. They expressed interest in more opportunities for greater participation in training, particularly if the training came with additional resources that would enable them effectively to implement many ideas that they had learned through specialized training. Dominicans repeatedly applauded the efforts of their USG partners and the benefits accrued from participation in exchanges and training programs. The ability to step away from their normal tasks and challenges and immerse themselves in training and education environments that enhance their ability to effect positive change in their workplaces, and with their constituents, was viewed affirmatively.

At the conclusion of their trip, the IAWG study team members suggested that the following steps be taken:

- Recognize the value of international exchanges and training in projecting U.S. national interests and institute an international strategic goal of sustaining and promoting international exchanges and training, a global anchor to mutual understanding and human capacity development.
- Review the IAWG definition of training in the broad context of activities that support the Mission Performance Plan process and better reflect U.S. Government investment, rather than training and exchanges defined in the narrow context of a “border crossing.”
- Develop a pilot project in which appropriate Mission personnel capture all training and exchange data using a common, government-wide format.
- Require all Mission Country Teams to develop and maintain a common database of information on international exchanges and training.
- Require the adoption of a “train-the-trainer” component to all appropriate training programs.
- Provide Mission field officers with greater flexibility in financing, promoting, and delivering training and exchange programs.
- Provide field-controlled training and exchange funds that are not function-specific but allow the Mission Country Teams to use whatever tools necessary to achieve a Mission Performance Plan goal.
- Explore the feasibility of developing or utilizing local in-country learning centers to fill some training needs.
- Conduct longitudinal studies to track training and exchange benefits over time.

## **POLAND SYNOPSIS**

In May 1999, the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) sent a team representing four federal agencies and the IAWG to Warsaw, Poland, to conduct a one-week study of international exchanges and training programs from the field perspective. There is a rich historical relationship between Poland and the United States that has included extensive exchange and training

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activities. Poland is currently undergoing a dramatic transformation as the country achieves its goals of democratization and conversion to a market economy. Many U.S. Government-sponsored programs implemented over the past decade have been designed to facilitate achieving these goals. The IAWG's country study provides insight into programming unique to Poland, and may be illustrative of the potential life cycle of exchanges and training programs in other countries undergoing similar transformations.

The IAWG study team made the following observations:

- More than 25 federal departments and agencies reported implementing exchanges and training programs with Poland in the past two fiscal years. However, the data reported to the IAWG is incomplete. Omissions can be traced to the definition of exchanges and training activities, the IAWG's reporting criteria, the *ad hoc* nature of many programs, inadequate personnel and data management resources, and the lack of clear mandates to collect and report information on participants.
- While there are few mechanisms for formal coordination of USG exchanges and training programs, there are informal coordination methods in place that work well. There is some potential for duplication and overlap, but increased communication (both at the Mission and in Washington) and the implementation of enhanced data management practices would reduce the risk of duplication.
- Personnel in Poland face the same challenges in measuring program results as their counterparts in Washington. Long-term results are difficult to anticipate and measure. Expectations of performance measurement must be clearly communicated by funding and implementing agencies. Data management systems are needed to reduce the burden of results tracking and reporting.
- The government and people of Poland are highly receptive to exchanges and training programs with the United States and knowledgeable about the many opportunities available to them. Host country input in general is quite high.
- The private sector and non-governmental organization (NGO) community is still not yet in a position to provide significant cost-sharing to U.S. Government programming, though some examples do exist. Institutionalization of relationships with the private sector could enhance partnership activities and create stable, long-term relationships.
- Efficiency and cost-cutting recommendations from the Mission centered on increasing administrative efficiencies, enhancing coordination and guarding against duplication. Employing alternate methodologies for exchanges and training, such as in-country training and distance education, are also used to reduce costs while maintaining program yield. Counting in-country and third-country training activities is recommended for the future.
- Poland provides a testing ground to determine how best to bridge the critical transition from recipient to partner. In spite of Poland's growing relationship with the European Union, the United States has a meaningful role. Poles continue to look to the United States as an important guide and ally. U.S. Government-sponsored exchanges and training programs are critical to maintaining this relationship.

## CONCLUSION

While each of the countries studied provides a unique snapshot of international exchanges and training programs, there are common findings among them. These findings assist the IAWG to identify priority areas for action.

First and foremost, all three country study teams found that the scope of exchanges and training activities in the field diverges from that quantified by the IAWG. The IAWG, by considering only those participants that cross borders, omits a large quantity of exchange and training participants from its inventories, and in some instances adds to the confusion over definitions of exchanges and training activities. The three country field study teams independently recommended that the IAWG re-evaluate its operational definition of exchanges and training in the context of U.S. Government resource allocation and consider the wide range of program methodologies and approaches used to achieve USG foreign policy objectives. It is understood that such a re-evaluation needs to be made in the context of the cost of obtaining comprehensive and reliable data. To support efficient program administration and valid data analysis, the cost of data collection can not outweigh its value and reliability.

Second, each team noted that a centralized coordination function, be it a data management system or an international exchanges and training team, would enhance coordination and communication at U.S. Missions and would help prevent duplicative programming. Existing mechanisms are useful to a certain degree, but usually do not involve information sharing and coordination at the individual program/activity level. This level of information sharing and coordination is necessary to achieve true complementarity.

Third, the teams found that while USG programs are well received in each country, and cooperation with host-government counterparts is extensive, host-country private sector contributions and partnerships are limited. However, this may be in part due to the internal economic situations in the countries selected for the study. It would be interesting to study public-private partnerships in a more economically developed country to see if the level of partnership differs significantly.

Finally, all three study teams noted that performance measurement is not occurring on a routine basis and is not addressed systematically at Missions. Delineation of responsibilities in this area is needed, especially for programs that are funded by one agency and implemented by another. Explicit guidance from Washington counterparts regarding performance measurement would assist Missions in addressing this critical concern.

It is notable that the common findings above also represent common challenges for field representatives and their Washington counterparts. Centralized coordination, public-private partnerships, and performance measurement are among the top concerns faced by IAWG member organizations and other agencies in the implementation of international exchanges and training programs. Sharing lessons learned and best practices between Missions and their Washington counterparts can help the exchanges and training community at large to overcome these challenges and improve program implementation and results.

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## CHAPTER 5: PARTNERSHIPS

Public Law 105-277, the legislative mandate of the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG), tasks the IAWG to “develop strategies for expanding public and private partnerships in, and leveraging private sector support for, United States Government-sponsored international exchanges and training activities.” This mandate is rooted in the Administration’s directive that partners join hands to create a federal government that works better, spends taxpayer dollars thoughtfully and more efficiently, and delivers results about which Americans care.

Mindful of this directive, the IAWG has set forth work goals to (1) establish an on-line interagency forum/dialogue on public-private partnership; (2) examine existing public-private partnerships operations; (3) discover how these relationships enhance and expand upon federal international exchanges and training programs; (4) assist IAWG members in the formulation of partnership and leveraging strategies; and (5) document best practices in partnership.

For over half a century, the U.S. Government has had a strong presence in successful international exchanges and training programs. In the international exchanges and training forum, partnerships are essential to the achievement of federal program goals. The inventory of programs featured in the IAWG’s *FY 1998 Annual Report* includes more than 180 international exchanges and training programs with over 141,000 participants and represents approximately \$950 million in federal funds and over \$650 million in cost-sharing funds.

Whatever motives the various stakeholders have in participating in partnership, they often share goals, such as advancing mutual understanding and/or supporting democratic pluralism. The IAWG defines a **partner** as an entity which has established a formal relationship with a funded U.S. Government agency to cooperate on a specific training activity, exchange, research project, or joint mission which seeks to promote the sharing of ideas, develop skills, and foster mutual understanding and cooperation. Partners are linked by memoranda of understanding, protocols, bilateral accords, grants, contracts and cooperative agreements or administrative directives.

The types of partnerships that the Working Group has identified through the annual inventory are:

- United States Government with foreign governments and/or international organizations
- United States Government departments and agencies working together
- United States Government with nonprofit private sector
- United States Government with for-profit private sector

- United States Government working with two or more of the above sectors

This year, the Working Group laid the groundwork for expansion of the public-private dialogue on partnership. IAWG staff met with a group of private sector partners at the Washington headquarters of the Alliance for International Educational and Cultural Exchange. The Alliance is an association of nonprofit organizations from the U.S. international educational and cultural exchange community. Its stated mission is “to formulate and promote public policies that support the efforts and programs of the international exchange community.” The Alliance provides exchange-related facilitative and support services to more than 60 full members, affiliates, and subscriber organizations.

The joint meeting introduced private sector partners to the mission of the IAWG and its specific legislative mandate on partnership. A partnership plan developed from this meeting: to stay engaged, to share information, to collaborate on issues affecting both partnership sectors, and to develop a joint Alliance-IAWG instrument -- a survey for distribution across the country to Alliance members and other private sector groups with interest (or potential interest) in international exchanges and training. [See Alliance-IAWG Public-Private Survey Form in the Appendices.] Information gained can help further identify federal programs that offer the greatest leveraging possibilities.

As in previous reporting years, FY 1998 data revealed that few agencies have the capacity to implement their international exchanges and training activities exclusively using in-house staff and facilities. Indeed most programs are administered in cooperation with partners -- foreign governments, other federal agencies, or private sector organizations, for example. To capture a clearer snapshot of partnership from the federal angle, the IAWG focused its public sector efforts on the development of a second partnership survey, currently in distribution to U.S. Government program managers. [See Public-Private Partnership Survey Form in the Appendices.]

To report on the results of the two partnership surveys and highlight 1998 federal programs that have been successful in their efforts, the IAWG is constructing a website on partnership issues. This site is designed to spotlight the role of partnership and detail partnership best practices in federal programming. Programs with high domestic visibility through their close connections with businesses and community organizations throughout the United States, such as the partnership examples from last year's IAWG report -- the Special American Business Internship (SABIT) program of the Department of Commerce, the Environmental Protection Agency's Brownfield Partnerships, and the U.S. Information Agency's Bureau of Educational and Cultural Affairs -- will be included, with an update on their progress.

The IAWG emphasizes that perhaps not all programs and activities listed in the annual inventory are appropriate candidates for partnerships and/or private sector support; not all agencies represented in the Working Group can garner private sector support. In previous years, we have noted that legal restraints on fundraising, for example, restricted some federal entities from designing and implementing training activities which are public-private efforts.

Clearly federal programs engage different audiences and advance different policy goals but most achieve their results through relationships with core constituents. Last year we reported that some federal agencies are better positioned than others to tap private sector resources. The National Endowment for the Arts (NEA), the National Endowment for the Humanities (NEH), and the National Endowment for Democracy, for example, were cited as federal entities specifically established to complement and encourage private sector involvement within their respective spheres of influence. NEA and NEH are able to garner support through challenge and matching grants, as well as adding sponsors to established projects. The National Park Service benefits from its own nonprofit arm, the National Park Foundation, that directly receives contributions from the private sector to support and expand the Park Service's work. The Foundation encourages corporate, philanthropic, and foundation/club support for various programs and arranges contributions of in-kind gifts of products and services.

## PARTNERSHIPS

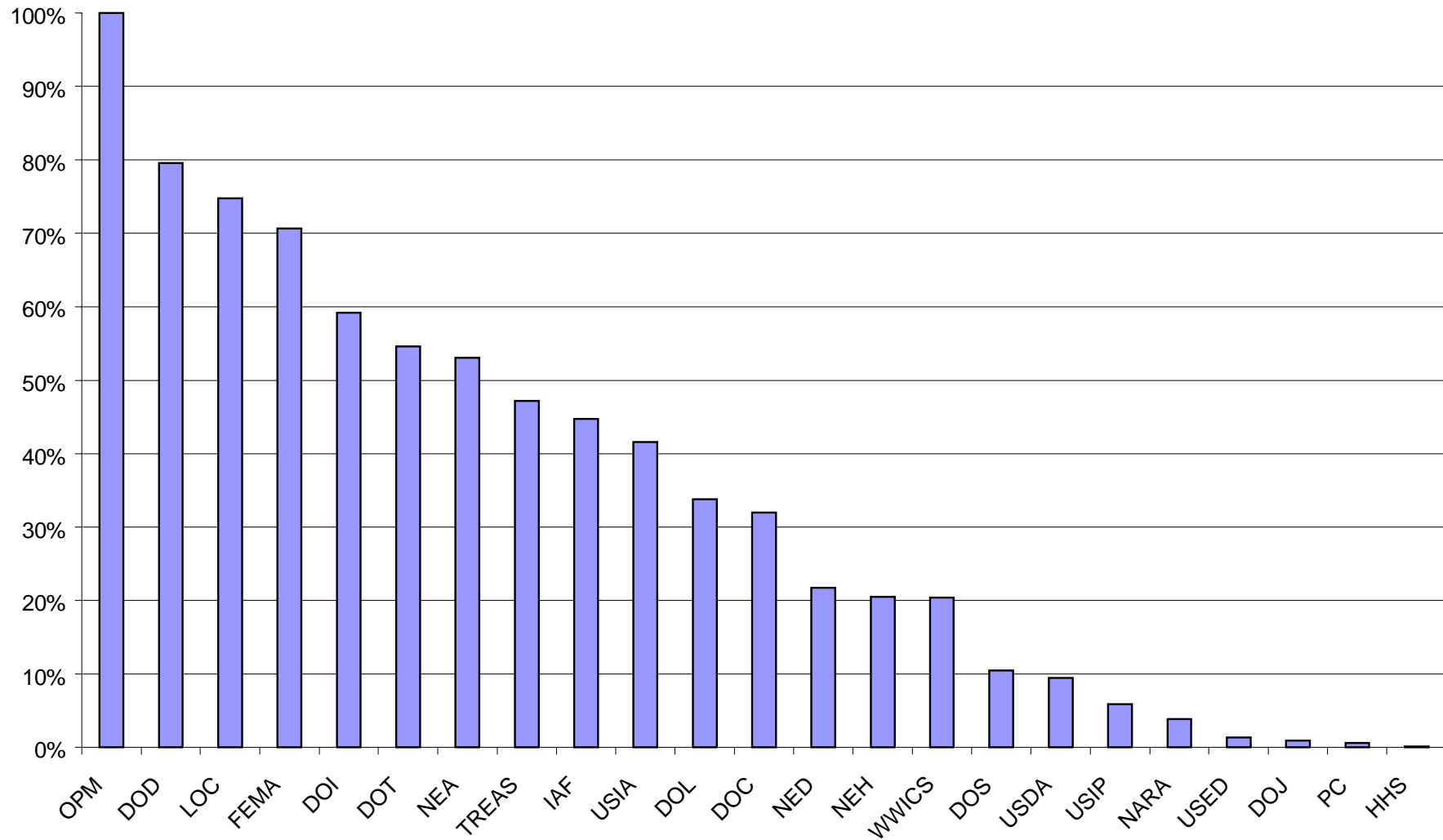
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Our ultimate goal, of course, will be to provide a full accounting of partnership achievements realized in the United States and abroad. It is intended that this body of information will help ensure success in establishing future partnerships that will meet the needs of new audiences from new areas. As we go forth in the new millennium, the Working Group continues to stress that effective partnership-building in the future will depend upon the innovation and creative abilities of federal managers to forge productive relationships with their constituent organizations.

Government-sponsored programs must continue to seek new partnerships. As state and local governments, business and civic groups, research and educational communities expand their international contacts, the federal government must remain active in its pursuit of cooperative projects, based on mutual interest with guidelines for appropriate involvement, with these groups.

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## Percentage of Total Program Costs Leveraged From Non-USG Sources By Agency





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## CHAPTER 6: CONCLUSION

In early FY 1999, the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) established a set of goals and priorities concerning issues to be addressed in the FY 1998 report. Many of these goals were first introduced in the FY 1997 report; others were added in response to the congressional mandate. The IAWG addressed the majority of these goals; if not in their entirety, then as stepping stones leading to a path of further exploration.

One of the more challenging mandates that Congress assigned to the IAWG is to “develop a coordinated and cost-effective strategy for all United States Government-sponsored international exchanges and training programs, including an action plan with the objective of achieving a minimum of 10 percent cost savings through greater efficiency, the consolidation of programs, or the elimination of duplication, or any combination thereof.”

As noted in the overview of this report, the IAWG believes that there are different ways to address this mandate. For reasons outlined before, there is no solid and reliable baseline against which to measure 10 percent. The IAWG also reviewed exchanges and training data submitted by eight federal departments and agencies and found that this sample of USG entities has already reduced international exchanges and training expenditures by an average of 15 percent from FY 1995 to FY 1998. However, additional efficiencies can be achieved.

While the IAWG did not have sufficient data to identify specific amounts or percentages of money that might be saved, it did highlight the areas where substantial savings most likely could occur. In some cases, however, the IAWG determined that any cost-savings probably would be minimal at best. The IAWG also identified “best practices” that agencies could consider adopting and/or adapting to make their international exchanges and training programs more efficient, effective, and productive.

Following are synopses of the IAWG’s findings, observations, conclusions, and recommendations on increasing efficiencies and/or achieving cost-savings in program administration, duplication and overlap, partnerships and leveraging, alternate methodologies, and country field studies. Future activities, where appropriate, are also discussed.

## ADMINISTRATIVE EFFICIENCIES

The IAWG believes that enhancing administrative efficiency is the best way to reduce costs and increase overall efficiency while preserving program yield and effectiveness.

### Budget Transfers

In the *FY 1997 Annual Report*, the IAWG stated that it would identify within participating agencies best practices from the perspective of budget sharing and accounting. As the IAWG study group began reviewing the process of budget transfers for the FY 1998 report, it focused more specifically on determining the extent and effectiveness of budget transfers as used for international exchanges and training programs.

Budget transfers (usually from foreign affairs agencies to domestic agencies) were developed to give foreign affairs agencies policy oversight of specific programs to be ultimately implemented by domestic agencies in pursuit of specific U.S. foreign policy interests. A number of agencies represented on the IAWG (mostly domestic agencies which receive funding transfers) believes this arrangement causes major implementation difficulties. Problems cited include, but are not limited to, the following: 1) transferee agencies often face long delays before receiving promised funds; these delays undermine program efficiency; 2) funding delays, coupled with short implementation deadlines, make new contracting problematic within the necessary timeframe; some agencies must either use their own appropriations to initiate implementation, or rely on existing contractors and grantees to provide the money for programming, risking non-reimbursement; and 3) transferor and transferee agencies have different established monitoring processes; as a result, program monitoring and reporting may not reflect the foreign policy objectives for which funding was transferred.

The IAWG reviewed the budget transfer process involving some \$330 million that the U.S. Agency for International Development and the Departments of State and Defense transferred to eleven agencies in FY 1998. Based on this sample, a group of the agencies represented on the IAWG (primarily domestic agencies receiving budget transfers) concluded that the pursuit of greater administrative efficiency would lead to the recommendation that funds be appropriated directly to the transferee agencies, in effect, eliminating the "middle man," and, presumably, speeding the flow of funds. (With no reporting on the amount of government resources devoted to the budget transfer process, the IAWG cannot quantify the amount of any savings achievable from elimination of budget transfers.)

Foreign affairs agencies represented on the IAWG disagree with this conclusion. In their view, the solution posed to achieve administrative efficiency would have high policy costs. Until now, the Congress has generally appropriated funds associated with the pursuit of foreign policy objectives within the 150 account. Legislative history indicates that this practice was designed to give the foreign affairs community the first "policy" cut at budget allocations for international programs, as well as to avoid creating entitlements for international programs administered by domestic agencies. In the views of some agencies, these remain appropriate objectives, which would need to be carefully balanced against administrative efficiency gains.

Agencies represented in the IAWG appear to agree that budget transfers at the field-level appear to work well and at a low cost. In addition, such transfers provide the Country Team with significant flexibility to respond quickly to programming opportunities. Given that transfers at the field level often involve the provision of funding citations or other actions short of full interagency transfers, there may be lessons at the field level which could be usefully applied to the interagency process. The IAWG will review these concerns over the coming year to determine what lessons might be identified and applied to simplify the transfer processes.

Over the next year the IAWG will seek to identify specific recommendations for simplifying the budget transfer process to the maximum extent practicable. These recommendations might include, but would not be limited to, suggestions for changes in authorization and appropriation processes for specific programs.

### **Data Management**

One of the challenges USG agencies face in terms of international exchanges and training programs is keeping track of the wide variety of data associated with these programs, e.g., numbers and types of participants, funding allocations, grant documents, research and reporting. In its *FY 1997 Annual Report*, the IAWG said it would review best practices in data collection, tracking, and reporting mechanisms throughout the federal government.

The IAWG studied various data collection/management tools operating in FY 1998. It found that effective automated data management systems could increase administrative efficiency of international exchanges and training programs. Such systems enable managers of these programs to have access to information that would allow them to produce ad-hoc reports and to analyze program activities and resource allocations. Without automated data management systems, an agency's personnel can spend countless hours assembling statistics and responding to a variety of requests for information. Data management also allows agencies to use this information to determine possible areas of duplication and/or overlap. The cost savings of such a system primarily occurs in the decrease of staff time needed to process and analyze data.

The IAWG found several examples of innovative data management practices that reflect a wide range of needs, capabilities, and expenditures. The Report includes a synthesized set of recommendations for creating a solid, sustainable data management system that hopefully will provide a useful tool to agencies in the early planning stages of such a system and a review checklist for agencies that have already begun the process.

The IAWG itself is enhancing its system to provide broader access to member agencies to facilitate the submission and retrieval of data. By October 1, 1999, the IAWG expects its website, which contains extensive data on international exchanges and training programs as well as the entire text of the *Annual Report*, to include a mechanism for agencies to submit data on their international exchanges and training activities directly to the IAWG. This web interface will ease data submission and also give agencies direct access to inventory data, enhancing the flow of information among agencies and supporting the clearinghouse function of the IAWG.

The IAWG encourages agencies to adopt automated methods of data management to achieve greater efficiencies and to incorporate the lessons learned from other agencies into their data management planning and implementation processes in order to maximize the benefits of their systems.

### **Visa Usage Issues and Administration**

The IAWG formed a study group to clarify visa regulations for government administrators, air concerns of the federal international exchanges and training communities, facilitate positive communication among stakeholders, and promote administrative efficiencies for all agencies.

The group concentrated on the advantages and disadvantages surrounding the use of the J visa, which is the primary visa used for international exchanges and training programs. The study group issued a Request for Guidance to clarify use of the J visa and examine alternatives for situations in which the J visa poses significant challenges.

## CONCLUSION

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The IAWG believes that policy clarification and better communication among policy makers and program administrators will save staff time and prevent program disruptions. The IAWG's visa study group will continue to examine visa policies and regulations in roundtable discussions with colleagues in the General Counsel's office of USIA/State and the Immigration and Naturalization Service on issues raised in the Request for Guidance. The IAWG also will work with the GC at USIA/State to ensure that government J visa sponsors have access to the most up-to-date information on J visa regulations and that they have a mechanism for addressing procedural and regulatory concerns. Given the concerns expressed by USAID and a number of other agencies increasingly using the partnership or scientific cooperation model of relationships with other countries that the J visa is less and less appropriate to their evolving relationships with individuals in these countries, the IAWG will work cooperatively with these organizations and USIA/Department of State and the INS to explore ways to address these agencies' needs and concerns.

Another issue for the study group to examine is melding the preparation of the IAP-66 form with data management. The visa study group will look at plans underway for the centralized electronic production of the IAP-66. Such a system could produce cost savings in terms of reducing or eliminating the tremendous amount of paper now generated with the use of the IAP-66.

## Insurance

In the *FY 1997 Annual Report*, the IAWG noted that many agencies expressed an interest in reviewing insurance programs used in international exchanges and training programs. For this year's report, the IAWG sent a survey to agencies regarding their provision, if any, of insurance. The survey results indicated that most agencies do not automatically provide insurance coverage to participants in their exchanges and training programs. Based on the aforementioned survey results, and the different needs and expectations of the participants, the IAWG concluded that it would not be feasible to offer a "one-size-fits-all" standard policy for all agencies. Each agency needs to make its own determination regarding the type of insurance, if any, it would offer. However, the IAWG recommends that agencies review their internal insurance policies and practices to ensure that they provide adequate and easily understood insurance information to program participants and verify compliance with coverage requirements for those participants entering the United States using a J visa.

In terms of possible cost-savings, the IAWG suggests that agencies on the high end of insurance costs review the types of insurance offered by other agencies. The IAWG will act as a conduit for information on various policies and programs upon request.

Additionally, the IAWG will provide information to agencies on an innovative insurance model suggested by USAID in which private vendors compete to offer a coverage pool from which agencies can purchase coverage for program participants. The "pool" concept could enable interested agencies to benefit from a larger risk pool and more competitively negotiated rates. The "pool" approach enabled USAID to lower insurance costs on average from \$200 to \$80 per participant month.

## Performance Measurement

The Omnibus Consolidation and Emergency Appropriations Act, 1999 (PL-105-277) changed the timetable for the IAWG's report on performance measurement as originally set in the Executive Order (13055) establishing the IAWG. The IAWG will now report on this issue next year. In this *FY 1998 Annual Report*, the IAWG presents an overview of performance measurements, including definitions, parameters, present practices, and problems. The *FY 1999 Annual Report* will look at the performance standards developed by various federal agencies to see how they

comply with the Government Performance and Results Act (GPRA), identify approaches that could be useful to agencies administering international exchanges and training programs, and make recommendations for action, favoring cross-agency consistency of approach to designing performance measures wherever possible.

## DUPLICATION STUDIES

The identification and elimination of unproductive duplication and the coordination of overlapping and/or complementary programs can reduce costs and increase administrative and programmatic efficiency. The IAWG originally identified four areas that warranted review for programmatic and/or administrative duplication and overlap. The IAWG addressed the first two areas -- international visitors and rule of law/administration of justice -- over the past year. Graduate-level academic programs and entrepreneurial/business development programs in the NIS and Central and Eastern Europe will be addressed in the *FY 1999 Annual Report*.

### Rule of Law/Administration of Justice Programming

In conducting its initial study of rule of law/administration of justice programming in the *FY 1997 Annual Report*, the IAWG learned that the General Accounting Office (GAO) was preparing a study on this issue. While preparing the *FY 1998 Annual Report*, the IAWG further learned that GAO's study was being conducted in three phases. Once GAO completes all of its studies, the IAWG will revisit the issue of rule of law programming and determine if additional review is warranted. The establishment of a Senior Coordinator for the rule of law may make additional IAWG attention unnecessary. Meanwhile, the IAWG reviewed general issues and concerns surrounding rule of law programming and looked at coordination efforts among some agencies. It concluded that interagency law enforcement coordination committees at the Embassy are doing a worthwhile job of overseeing the work of diverse agencies, thus minimizing the likelihood of duplicative programming.

### International Visitors Programs

The IAWG determined that because of the great depth and breadth of international visitors programming, content, and objectives throughout the federal government, it would be ill-advised to view them as one single unit. The IAWG decided to focus on building a network of administrators of international visitors programs with the goal of enhancing communication and providing a forum for sharing information. By working together, administrators of these programs can address common issues and challenges and share programming and administrative best practices to enhance the efficiency and effectiveness of these programs.

\* \* \* \* \*

In general, the IAWG believes that in areas where multiple agencies are conducting a wide range of programs, a formal centralized coordinating mechanism (such as those established at the Department of State for rule of law programs and assistance programs in the NIS and Central and Eastern Europe) provides an effective tool to guard against program duplication and to promote appropriate resource allocation. A central coordinating mechanism can also provide a resource for sharing best practices and addressing common issues and challenges. To the extent that these types of coordinating mechanisms do not already exist, the IAWG can serve as a forum for vetting issues of concern to all relevant agencies involved with exchanges and training.

## COUNTRY FIELD STUDIES

The IAWG determined that any in-depth examination of international exchanges and training programs must include a review of field operations. To that end, the IAWG sent teams (consisting of representatives of IAWG member agencies and staff) to visit South Africa, the Dominican Republic, and Poland. All of the teams found the trips to be a useful exercise as a means of providing a mechanism for synthesizing the various aspects of international exchanges and training programs and obtaining Mission perspective thereon. Country field studies also enable the IAWG to examine interagency coordination, cooperation, and programming in a contained setting. Lessons learned in the field provide insight into larger-scale relationships in Washington. The IAWG plans to continue conducting country field studies for inclusion in the *FY 1999 Annual Report*.

## PARTNERSHIPS

Congress tasked the IAWG with developing “strategies for expanding public and private partnerships in, and leveraging private support for, United States Government-sponsored international exchanges and training activities.”

For over half a century, a strong U.S. Government presence as a sponsor, initiator, and partner has contributed to successful exchanges and training programs that promote broad national interests. In the international exchanges and training forum, partnerships are essential to the achievement of federal program goals and cost-sharing or reduction with cooperating stakeholders.

As state and local governments, business and civic groups, research and educational communities expand their international contacts, the federal government must remain active in its pursuit of cooperative projects with these groups.

The IAWG laid the groundwork for expanding the public-private dialogue on partnerships over the past year by meeting with a group of private sector exchange and training partners at the Alliance for International, Educational, and Cultural Exchange (Alliance); introducing private sector partners to the mission and mandate of the IAWG; and distributing a joint Alliance/IAWG survey to assist in the development of a partnership plan. In the future, the IAWG plans to construct a partnership link on the website to include: results and insights from the FY 1998 clearinghouse data; results of partnership surveys; and highlights of best practices in public-private partnerships. The IAWG also will assist USG departments and agencies in the development of partnership strategies.

The IAWG believes that promoting U.S. private sector and foreign involvement in programming and cost-sharing allows the U.S. Government to increase returns on exchanges and training programs, even with static and declining expenditures.

## CLEARINGHOUSE

The IAWG plans to continue its clearinghouse activities. These activities will be enhanced by adding a report-querying mechanism to the Internet-based data collection system. This will allow IAWG members to generate simple reports on activities contained within the IAWG database.

## CONCLUSION

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The IAWG will also seek to augment its websites. Current plans include the addition of links to information on non-U.S. international exchanges and training activities, including activities of international organizations; more best practices profiles; and regional/country-specific inventories of programs.

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# APPENDICES

## APPENDIX 1: EXECUTIVE ORDER 13055

Federal Register  
Volume 62, Number 139  
July 21, 1997

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Title 3--  
The President

### **Executive Order 13055 of July 15, 1997**

Coordination of United States Government International Exchanges and Training Programs

By the authority vested in me as President by the Constitution and the laws of the United States of America, and in order to improve the coordination of United States Government International Exchanges and Training Programs, it is hereby ordered as follows:

Section 1. There is hereby established within the United States Information Agency a senior-level Interagency Working Group on United States Government- Sponsored International Exchanges and Training ("the Working Group"). The purpose of the Working Group is to recommend to the President measures for improving the coordination, efficiency, and effectiveness of United States Government-sponsored international exchanges and training. The Working Group shall establish a clearinghouse to improve data collection and analysis of international exchanges and training.

Sec. 2. The term "Government-sponsored international exchanges and training" shall mean the movement of people between countries to promote the sharing of ideas, to develop skills, and to foster mutual understanding and cooperation, financed wholly or in part, directly or indirectly, with United States Government funds.

Sec. 3. The Working Group shall consist of the Associate Director for Educational and Cultural Affairs of the United States Information Agency, who shall act as Chair, and a comparable senior representative appointed by the respective Secretary of each of the Departments of State, Defense, Education, and the Attorney General, by the Administrator of the United States Agency for International Development, and by heads of other interested executive departments and agencies. In addition, representatives of the National

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Security Council and the Director of the Office of Management and Budget shall participate in the Working Group at their discretion. The Working Group shall be supported by an interagency staff office established in the Bureau of Education and Cultural Affairs of the United States Information Agency.

Sec. 4. The Working Group shall have the following responsibilities:

- (a) Collect, analyze, and report data provided by all United States Government departments and agencies conducting international exchanges and training programs;
- (b) Promote greater understanding of and cooperation on, among concerned United States Government departments and agencies, common issues and challenges faced in conducting international exchanges and training programs, including through the establishment of a clearinghouse for information on international exchange and training activities in the governmental and nongovernmental sectors;
- (c) In order to achieve the most efficient and cost-effective use of Federal resources, identify administrative and programmatic duplication and overlap of activities by the various United States Government agencies involved in Government-sponsored international exchange and training programs, and report thereon;
- (d) No later than 1 year from the date of this order, develop initially and thereafter assess annually a coordinated strategy for all United States Government-sponsored international exchange and training programs, and issue a report on such strategy;
- (e) No later than 2 years from the date of this order, develop recommendations on performance measures for all United States Government-sponsored international exchange and training programs, and issue a report thereon; and
- (f) Develop strategies for expanding public and private partnerships in, and leveraging private sector support for, United States Government-sponsored international exchange and training activities.

Sec. 5. All reports prepared by the Working Group pursuant to section 4 shall be made to the President, through the Director of the United States Information Agency.

Sec. 6. The Working Group shall meet on at least a quarterly basis.

Sec. 7. Any expenses incurred by a member of the Working Group in connection with such member's service on the Working Group shall be borne by the member's respective department or agency.

Sec. 8. If any member of the Working Group disagrees with respect to any matter in any report prepared pursuant to section 4, such member may prepare a statement setting forth the reasons for such disagreement and such statement shall be appended to, and considered a part of, the report.

Sec. 9. Nothing in this Executive Order is intended to alter the authorities and responsibilities of the head of any department or agency.

William J. Clinton  
THE WHITE HOUSE,  
July 15, 1997

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## **APPENDIX 2: OMNIBUS CONSOLIDATED AND EMERGENCY APPROPRIATIONS ACT, 1999, (PUBLIC LAW 105-277, DIVISION G, "FOREIGN AFFAIRS REFORM AND RESTRUCTURING ACT OF 1998," SECTION 2414)**

### **WORKING GROUP ON UNITED STATES GOVERNMENT-SPONSORED INTERNATIONAL EXCHANGES AND TRAINING**

Section 112 of the Mutual Educational and Cultural Exchange Act of 1961 (22 U.S.C. 2460) is amended by adding at the end the following new subsection:

(g) WORKING GROUP ON UNITED STATES GOVERNMENT-SPONSORED INTERNATIONAL EXCHANGES AND TRAINING (1) In order to carry out the purposes of subsection (f) and to improve the coordination, efficiency, and effectiveness of United States Government-sponsored international exchanges and training, there is established within the United States Information Agency a senior-level interagency working group to be known as the Working Group on United States Government-Sponsored International Exchanges and Training (in this section referred to as the "Working Group").

(2) For purposes of this subsection, the term "Government-sponsored international exchanges and training" means the movement of people between countries to promote the sharing of ideas, to develop skills, and to foster mutual understanding and cooperation, financed wholly or in part, directly or indirectly, with United States Government funds.

(3) The Working Group shall be composed as follows:

(A) The Associate Director for Educational and Cultural Affairs of the United States Information Agency, who shall act as Chair.

(B) A senior representative of the Department of State, who shall be designated by the Secretary of State.

(C) A senior representative of the Department of Defense, who shall be designated by the Secretary of Defense.

(D) A senior representative of the Department of Education, who shall be designated by the Secretary of Education.

(E) A senior representative of the Department of Justice, who shall be designated by the Attorney General.

(F) A senior representative of the Agency for International Development, who shall be designated by the Administrator of the Agency.

(G) Senior representatives of such other departments and agencies as the Chair determines to be appropriate.

(4) Representatives of the National Security Adviser and the Director of the Office of Management and Budget may participate in the Working Group at the discretion of the Adviser and the Director, respectively.

(5) The Working Group shall be supported by an interagency staff office established in the Bureau of Educational and Cultural Affairs of the United States Information Agency.

(6) The Working Group shall have the following purposes and responsibilities:

(A) To collect, analyze, and report data provided by all United States Government departments and agencies conducting international exchanges and training programs.

(B) To promote greater understanding and cooperation among concerned United States Government departments and agencies of common issues and challenges in conducting international exchanges and training programs, including through the establishment of a clearinghouse for information on international exchange and training activities in the governmental and nongovernmental sectors.

(C) In order to achieve the most efficient and cost-effective use of Federal resources, to identify administrative and programmatic duplication and overlap of activities by the various United States Government departments and agencies involved in Government-sponsored international exchange and training programs, to identify how each Government-sponsored international exchange and training program promotes United States foreign policy, and to report thereon.

(D)(i) Not later than 1 year after the date of the enactment of the Foreign Relations Authorization Act, Fiscal Years 1998 and 1999, the Working Group shall develop a coordinated and cost-effective strategy for all United States Government-sponsored international exchange and training programs, including an action plan with the objective of achieving a minimum of 10 percent cost savings through greater efficiency, the consolidation of programs, or the elimination of duplication, or any combination thereof.

(ii) Not later than 1 year after the date of enactment of the Foreign Relations Authorization Act, Fiscal Years 1998 and 1999, the Working Group shall submit a report to the appropriate congressional committees setting forth the strategy and action plan required by clause (i).

(iii) Each year thereafter the Working Group shall assess the strategy and plan required by clause (i).

(E) Not later than 2 years after the date of the enactment of the Foreign Relations Authorization Act, Fiscal Years 1998 and 1999, to develop recommendations on common performance measures for all United States Government-sponsored international exchange and training programs, and to issue a report.

(F) To conduct a survey of private sector international exchange activities and develop strategies for expanding public and private partnerships in, and leveraging private sector support for, United States Government-sponsored international exchange and training activities.

(G) Not later than 6 months after the date of the enactment of the Foreign Relations Authorization Act, Fiscal Years 1998 and 1999, to report on the feasibility and advisability of transferring funds and program management for the Atlas or the Mandela Fellows programs, or both, in South Africa from the Agency for International Development to the United States Information Agency. The report shall include an assessment of the capabilities of the South African Fulbright Commission to manage such programs and the cost effects of consolidating such programs under one entity.

(7) All reports prepared by the Working Group shall be submitted to the President, through the Director of the United States Information Agency.

(8) The Working Group shall meet at least on a quarterly basis.

(9) All decisions of the Working Group shall be by majority vote of the members present and voting.

(10) The members of the Working Group shall serve without additional compensation for their service on the Working Group. Any expenses incurred by a member of the Working Group in connection with service on the Working Group shall be compensated by that member's department or agency.

(11) With respect to any report issued under paragraph (6), a member may submit dissenting views to be submitted as part of the report of the Working Group.

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## APPENDIX 3: INVENTORY OF PROGRAMS

The FY 1998 Inventory of U.S. Government-Sponsored International Exchanges and Training Programs is prepared by the Interagency Working Group (IAWG) in response to Executive Order 13055, issued by President Clinton on July 15, 1997, and the FY 1999 Omnibus Consolidated and Emergency Appropriations Act (Public Law 105-277, section 2414). The inventory, which features a wide variety of programs and federal government organizations, can be used as a resource for international exchanges and training activities.

To improve on previous years' data collection and reporting efforts, the IAWG revised its Data Reporting Worksheet, incorporating recommendations of IAWG members. Following are the changes that were made:

- Country/region lists were amended to reflect Department of State standards.
- Participant categories and fields of activity were made consistent with J visa codes/categories.
- Greater flexibility and detail were incorporated into program classification mechanisms.
- Information requests that do not directly contribute to the IAWG's reports were eliminated.
- Each department/agency was required to report on how each of its programs addresses U.S. foreign policy goals.

The IAWG also developed a new and improved windows-based data submission application to reduce the burden that data collection poses on federal agencies. The IAWG held a roll-out demonstration of the software at the U.S. Information Agency's headquarters for representatives of federal agencies and departments who report on international exchanges and training. The response to the software was overwhelmingly positive. The combination of modified reporting requirements and an improved electronic data collection mechanism has enabled the IAWG to continue to refine and improve the annual inventory. However, the inventory remains a work in progress. Many agencies continue to face data management challenges that inhibit their ability to fully report international exchanges and training activities. Additionally, many agencies do not routinely collect information on non-U.S. Government contributions to programs or do not compile financial data for exchanges and training components of larger programs.

The FY 1998 inventory presents accurate information on those activities reported by agencies, indicates if the information is complete, and provides any additional comments relevant to the nature of the information collected. The following categories of information appear in the inventory of programs:

## INVENTORY OF PROGRAMS

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- Summary of participant information: Charts showing U.S. and foreign participants by federal sponsor, world region, and by region/country. Summary information on program classifications and national interests addressed.
- Agency contact information: Mailing addresses, public inquiry phone numbers, and website information are provided for each agency.
- Total U.S. Government funding: The sum of all USG funds (agency appropriation and interagency transfers) expended for a given program/activity.
- Agency appropriation: U.S. Government funds allocated for program/activity implementation from the implementing agency's appropriated budget. This category does not include staff salaries or overhead costs.
- Interagency transfers: U.S. Government funds provided for program/activity implementation by an agency other than the implementing agency.
- Foreign governments', private sector (U.S. and foreign), and international organizations' contributions: Financial contributions or cost-sharing provided by non-U.S. Government sources. (This information is often not quantified or collected by agencies.)
- Total funding: The combination of all sources of funding.
- Total number of U.S. and foreign participants: Separate totals of U.S. and foreign program/activity participants who crossed international borders to participate in an exchange or training program. This number does not include program participants who did not travel outside their country of residence. U.S. participants can include, but are not limited to, government employees, contractors, grant recipients, and private-sector partners. Several agencies did not report information on U.S. trainers and technical advisors.
- National interests addressed: The FY 1999 Omnibus Consolidated and Emergency Appropriations Act mandated that the IAWG identify how each government-sponsored international exchanges and training program promotes United States foreign policy. The State Department, through its International Affairs Strategic Plan, has identified the following fundamental objectives that directly affect Americans: National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement; Democracy and Human Rights; Humanitarian Response; and Global Issues. Many programs implemented by the U.S. Government serve a number of these national interests. Each program summary includes information on the national interests addressed by the program. (Agencies supplied their own definitions of national interests for programs that did not fit within the State Department's designations.)

The national interests listed below were provided in State Telegram 049508: Mission Program Plan -- Substantive Guidance. Strategic goals, as articulated by the Department of State, are included as examples if they further define the stated national interests.

1. **National Security:** The operational definition of national security refers to threats or potential threats of a military nature by nation states or groups of nation states against the United States or "vital" U.S. interests abroad (e.g., access to vital oil supplies). Deployment of U.S. Forces (e.g., for peacekeeping activities or

securing a humanitarian operation) does not by itself indicate that U.S. national security is at stake. Goals include:

- Ensuring that local and regional instabilities do not threaten the security and well-being of the United States or its allies.
- Eliminating the threat to the United States and its allies from weapons of mass destruction or destabilizing conventional arms.

2. **Economic Prosperity:** The strategies for promoting U.S. prosperity include, but are not limited to, opening markets through international, regional, and bilateral agreements; promoting market reforms and growth in developing and transitional economies, particularly in the big emerging markets; promoting global economic stability and growth; and directly promoting U.S. exports.

3. **American Citizens and Borders:** To protect the welfare of U.S. citizens living or traveling abroad, the U.S. Government routinely warns people of potential threats to their security and safety. It also prepares the nation for emergency situations, promotes host government respect for the rights of American citizens, helps reduce hazards to those traveling abroad, and protects and assists U.S. citizens residing and visiting the host country.

Also included in this category is the control of U.S. borders. While permitting and facilitating certain kinds and levels of interest in travel and immigration to the United States, the government enforces restrictions and prohibitions designed to preclude or restrict entry or residence not deemed to be in the U.S. national interest.

4. **Law Enforcement:** The U.S. Government believes in the protection of the nation and its citizens from drugs, international crime, and/or terrorism. In some countries improving the rule of law and the ability of host governments to combat crime may be essential elements of a strategy to secure democracy, establish an environment for investment and economic growth, or protect U.S. national security interests.

5. **Democracy and Human Rights:** The U.S. supports democracy building abroad both for its own sake -- because it is consistent with our values -- and to advance other national interests. One of its goals is to increase foreign government adherence to democratic practices and respect for human rights.

6. **Humanitarian Response:** U.S. values emphasize the need for a humanitarian response to certain situations. The U.S. will invest resources abroad to minimize human suffering, even when no other national interest is at stake. For example, programs may be directed to avert future humanitarian crises in a country or to improve local health conditions, unrelated to any global infectious disease threat.

7. **Global Issues -- Environment, Population, and Infectious Diseases:** Activities under this category are developed to have an impact on the global or U.S. environment, global population growth, and/or curtailing the risk of infectious disease to the U.S. population. Goals include:

- Securing a sustainable global environment in order to protect the United States and its citizens from the effects of international environmental degradation.
  - Stabilizing world population growth.
  - Protecting human health and reducing the spread of infectious diseases.
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## INVENTORY OF PROGRAMS

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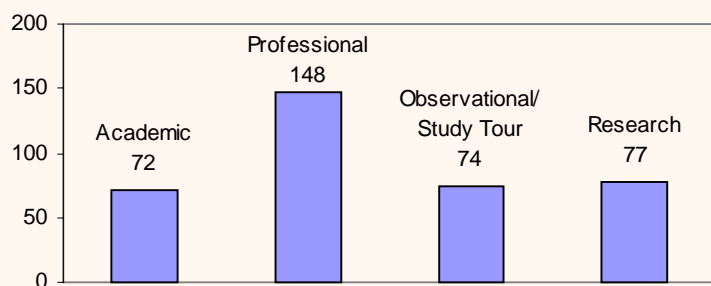
\* \* \* \* \*

Country-specific information and information on participant fields of study and categories is available upon request.

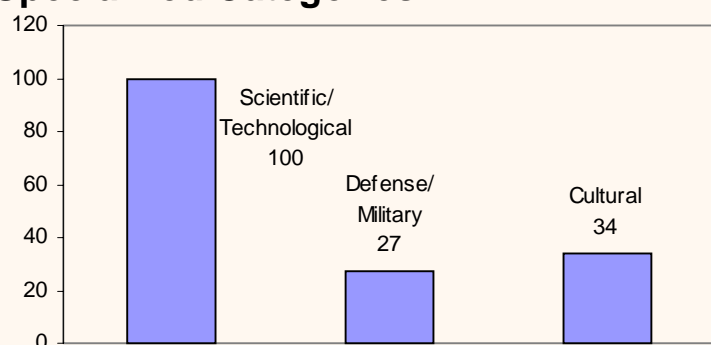


## SECTION 1: SUMMARY INVENTORY INFORMATION

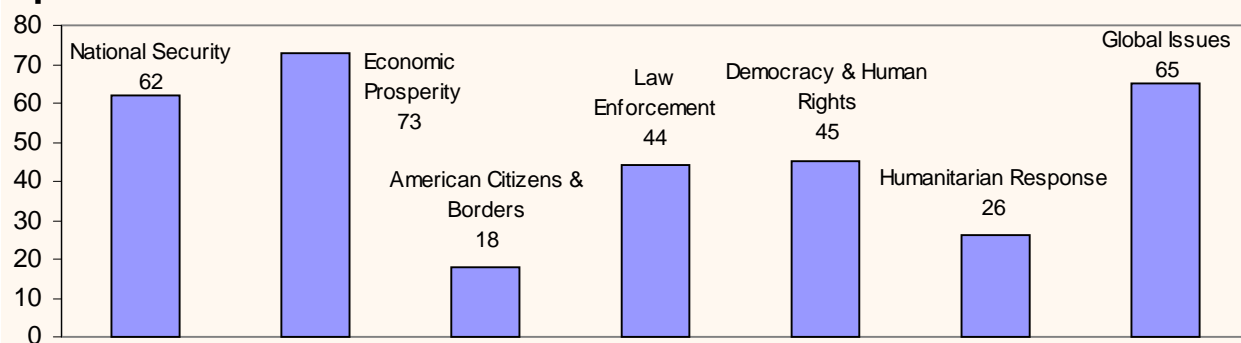
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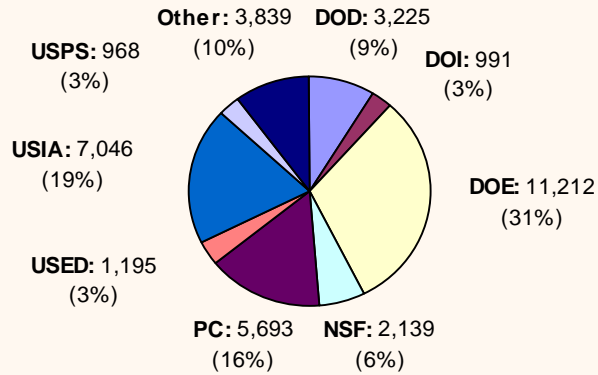
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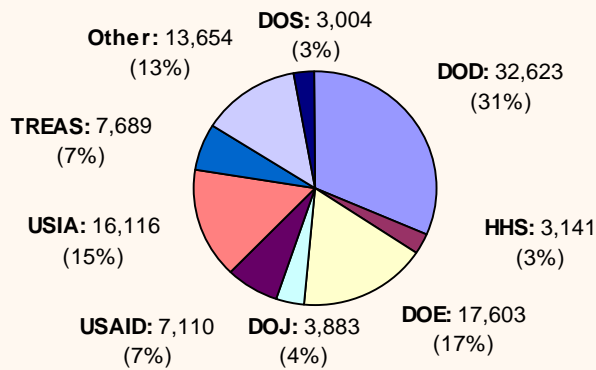
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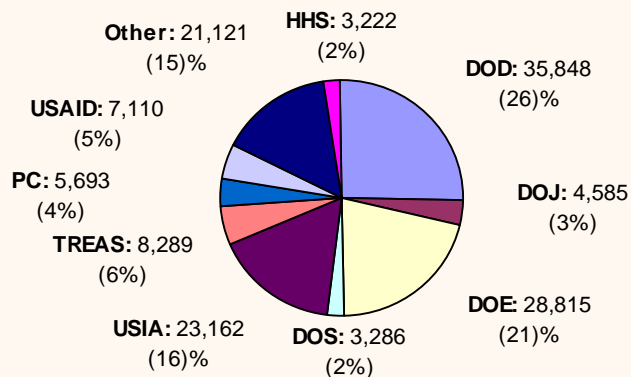
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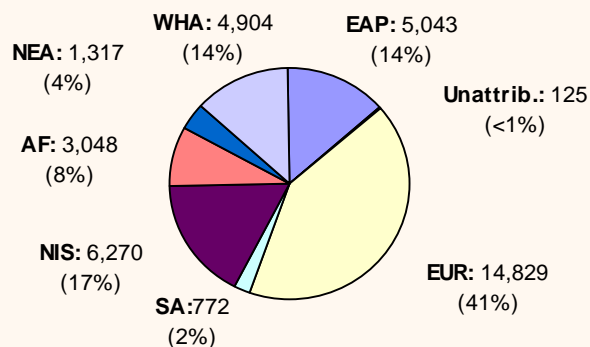
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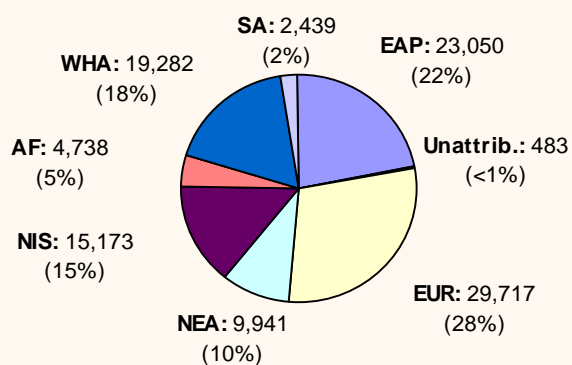
## Participants By Federal Sponsor: Total U.S. & Foreign



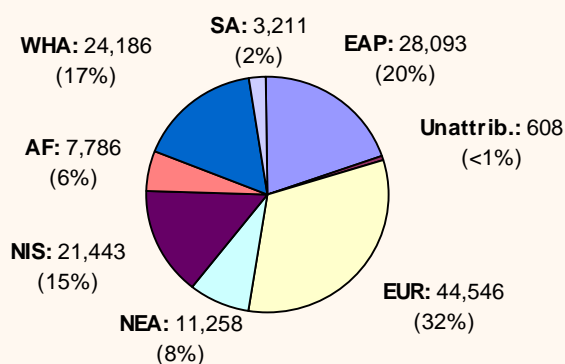
### Participants By World Region: U.S. Participants Traveling To



### Participants By World Region: Foreign Participants Traveling From



### Participants By World Region: Total U.S. & Foreign



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**SECTION 2: PARTICIPANTS BY REGION/COUNTRY****Unattributable**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Unattributable	125	483	608
<b>TOTAL</b>	<b>125</b>	<b>483</b>	<b>608</b>

**INVENTORY OF PROGRAMS**

**EAST ASIA AND PACIFIC - EAP**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Australia	409	1,091	1,500
Brunei	0	29	29
Cambodia	3	36	39
China	933	5,402	6,335
Cook Islands	3	2	5
East Asia and Pacific Regional	38	280	318
East Asia and Pacific Unspecified	0	6	6
Fiji	1	24	25
French Polynesia	0	7	7
Hong Kong (Special Administrative Region)	61	122	183
Indonesia	165	279	444
Japan	1,786	6,193	7,979
Kiribati	42	7	49
Korea, North	8	91	99
Korea, South	297	1,619	1,916
Laos	16	166	182
Macau	1	6	7
Malaysia	26	1,580	1,606
Marshall Islands	8	19	27
Micronesia, Federated States of	61	15	76
Mongolia	76	265	341
Myanmar (Burma)	3	13	16
Nauru	19	4	23
New Caledonia	2	6	8
New Zealand	66	244	310
Niue	0	8	8
Palau	23	16	39
Papua New Guinea	84	65	149
Philippines	214	580	794
Samoa (Formerly Western Samoa)	50	106	156
Singapore	85	1,295	1,380
Solomon Islands	62	83	145
Taiwan	165	1,088	1,253
Thailand	157	1,729	1,886
Tokelau	1	0	1
Tonga	39	53	92
Tuvalu	6	7	13
Vanuatu	30	11	41
Vietnam	103	503	606
<b>TOTAL EAP:</b>	<b>5,043</b>	<b>23,050</b>	<b>28,093</b>

**INVENTORY OF PROGRAMS**

**EUROPEAN AFFAIRS - EUR**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Albania	30	403	433
Austria	568	288	856
Belgium	265	370	635
Bosnia-Herzegovina	230	758	988
Bulgaria	334	908	1,242
Croatia	255	676	931
Cyprus	38	353	391
Czech Republic	433	687	1,120
Denmark	135	410	545
Eastern Europe Regional	4	129	133
Estonia	175	532	707
European Affairs Unspecified	0	206	206
European Union	94	116	210
Finland	161	220	381
France	1,760	2,137	3,897
Germany	2,724	4,086	6,810
Greece	188	843	1,031
Greenland	23	0	23
Guernsey	0	1	1
Hungary	403	1,285	1,688
Iceland	23	64	87
Ireland	81	252	333
Isle of Man	0	1	1
Italy	769	1,625	2,394
Jersey	2	1	3
Latvia	281	537	818
Liechtenstein	0	16	16
Lithuania	266	619	885
Luxembourg	17	10	27
Macedonia (Former Yugoslav Republic of )	139	535	674
Malta	7	51	58
Monaco	6	1	7
NATO	15	36	51
Netherlands	307	1,067	1,374
Norway	133	565	698
Poland	520	1,396	1,916
Portugal	126	235	361
Romania	402	1,318	1,720
Serbia and Montenegro	9	100	109
Slovakia	249	1,019	1,268
Slovenia	89	467	556
Spain	304	673	977
Sweden	363	471	834
Switzerland	830	274	1,104
Turkey	164	821	985
United Kingdom	1,861	2,973	4,834
Vatican (Holy See)	9	21	30
Western Europe Regional	37	161	198
<b>TOTAL EUR:</b>	<b>14,829</b>	<b>29,717</b>	<b>44,546</b>

**INVENTORY OF PROGRAMS**

**NEAR EASTERN AFFAIRS - NEA**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Algeria	0	57	57
Bahrain	19	214	233
Egypt	235	3,236	3,471
Iran	0	80	80
Iraq	15	8	23
Israel	256	1,418	1,674
Jordan	161	458	619
Kuwait	18	949	967
Lebanon	47	276	323
Libya	1	12	13
Morocco	264	296	560
Near Eastern Regional	49	106	155
Near Eastern Unspecified	0	60	60
Oman	16	124	140
Qatar	8	125	133
Saudi Arabia	36	1,615	1,651
Syria	25	64	89
Tunisia	46	325	371
United Arab Emirates	32	237	269
West Bank and Gaza	55	136	191
Yemen	34	145	179
<b>TOTAL NEA:</b>	<b>1,317</b>	<b>9,941</b>	<b>11,258</b>

**INVENTORY OF PROGRAMS**

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**NEW INDEPENDENT STATES - NIS**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Armenia	162	453	615
Azerbaijan	74	216	290
Belarus	120	432	552
Central/Caucasus Regional	4	0	4
Georgia	100	841	941
Kazakhstan	364	674	1,038
Kyrgyzstan	127	460	587
Moldova	119	620	739
NIS Regional	186	44	230
Russia	3,924	7,951	11,875
Tajikistan	4	129	133
Turkmenistan	87	210	297
Ukraine	849	2,662	3,511
Uzbekistan	150	481	631
<b>TOTAL NIS:</b>	<b>6,270</b>	<b>15,173</b>	<b>21,443</b>



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**INVENTORY OF PROGRAMS**

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**SOUTH ASIA- SA**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Afghanistan	0	6	6
Bangladesh	46	156	202
Bhutan	63	2	65
India	355	1,640	1,995
Maldives	0	20	20
Nepal	191	100	291
Pakistan	58	247	305
South Asia Regional	18	0	18
South Asia Unspecified	0	44	44
Sri Lanka	41	224	265
<b>TOTAL SA:</b>	<b>772</b>	<b>2,439</b>	<b>3,211</b>

**INVENTORY OF PROGRAMS**

**SUB-SAHARAN AFRICA - AF**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Africa Regional	3	221	224
Africa Unspecified	0	1	1
Angola	5	35	40
Benin	87	107	194
Botswana	22	90	112
Burkina Faso	86	21	107
Burundi	0	7	7
Cameroon	162	63	225
Cape Verde	37	12	49
Central African Republic	0	11	11
Chad	18	21	39
Comoros	0	14	14
Congo (Brazzaville)	1	25	26
Cote d'Ivoire	109	111	220
Democratic Republic of The Congo	1	6	7
Djibouti	2	6	8
Equatorial Guinea	0	10	10
Eritrea	44	46	90
Ethiopia	69	204	273
Gabon	72	7	79
Gambia, The	68	4	72
Ghana	209	219	428
Guinea	91	103	194
Guinea-Bissau	14	43	57
Kenya	171	246	417
Lesotho	75	10	85
Liberia	6	15	21
Madagascar	59	139	198
Malawi	120	108	228
Mali	154	126	280
Mauritania	50	12	62
Mauritius	8	41	49
Mozambique	21	154	175
Namibia	136	106	242
Niger	115	45	160
Nigeria	29	228	257
Reunion	1	0	1
Rwanda	4	69	73
Sao Tome And Principe	0	9	9
Senegal	170	227	397
Seychelles	0	13	13
Sierra Leone	1	4	5
Somalia	0	1	1
South Africa	329	1,033	1,362
Sudan	0	12	12
Swaziland	6	21	27
Tanzania	154	249	403
Togo	75	41	116
Uganda	70	124	194
Zambia	104	153	257

INVENTORY OF PROGRAMS

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Zimbabwe	90	165	255
<b>TOTAL AF:</b>	<b>3,048</b>	<b>4,738</b>	<b>7,786</b>

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**INVENTORY OF PROGRAMS**

**WESTERN HEMISPHERE AFFAIRS - WHA**

<b>Country/Locale</b>	<b>Americans To</b>	<b>Visitors From</b>	<b>Total Participants</b>
Anguilla	4	2	6
Antigua and Barbuda	7	56	63
Argentina	246	1,277	1,523
Aruba	3	23	26
Bahamas	6	56	62
Barbados	39	75	114
Belize	55	86	141
Bermuda	12	27	39
Bolivia	191	328	519
Brazil	379	959	1,338
British West Indies	1	1	2
Canada	469	3,541	4,010
Caribbean Regional	103	62	165
Cayman Islands	0	3	3
Chile	161	572	733
Colombia	61	1,211	1,272
Costa Rica	148	298	446
Cuba	14	12	26
Dominica	10	26	36
Dominican Republic	210	415	625
Ecuador	229	292	521
El Salvador	138	701	839
French Antilles (Martinique, Guadeloupe, French Guiana)	4	1	5
Grenada	6	28	34
Guatemala	208	409	617
Guyana	36	169	205
Haiti	107	378	485
Honduras	218	539	757
Jamaica	142	363	505
Latin America Regional	158	165	323
Mexico	611	2,458	3,069
Montserrat	1	0	1
Netherlands Antilles	7	17	24
Nicaragua	176	328	504
Panama	186	598	784
Paraguay	186	200	386
Peru	122	2,353	2,475
St. Kitts and Nevis	8	23	31
St. Lucia	6	61	67
St. Vincent and The Grenadines	5	20	25
Suriname	29	33	62
Trinidad and Tobago	37	92	129
Turks and Caicos Islands	0	1	1
Uruguay	39	243	282
Venezuela	116	592	708
Virgin Islands, British	5	5	10
Western Hemisphere Affairs Unspecified	5	183	188
<b>TOTAL WHA:</b>	<b>4,904</b>	<b>19,282</b>	<b>24,186</b>

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Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$7,245,560*	\$4,058,572*	\$3,186,988*	\$304,000*	\$123,000*	\$236,600*	\$96,432	\$8,005,592*	1,195

\*Figures include estimates for Cochran Middle Income Fellowship Program.



## DEPARTMENT OF AGRICULTURE

1400 Independence Avenue, SW • Washington, DC 20250  
Office of Communications: 202-720-4623 • [www.usda.gov](http://www.usda.gov)

The **Department of Agriculture (USDA)** works to improve and maintain farm income and to develop and expand markets abroad for agricultural products. The Department helps to curb and to cure poverty, hunger, and malnutrition. It works to enhance the environment and to maintain production capacity by helping landowners protect the soil, water, forests, and other natural resources. Rural development, credit, and conservation programs are key resources for carrying out national growth policies. Department research findings directly or indirectly benefit all Americans. The Department, through inspection and grading services, safeguards and ensures standards of quality in the daily food supply.

### Foreign Agriculture Service (FAS)

The **USDA Scientific Cooperation Program** provides financial support for international cooperation in research efforts that benefit U.S. agriculture and forestry. The program funds scientific exchanges and longer-term collaborative research between U.S. and foreign scientists. Scientists submitting proposals must be affiliated with U.S. universities, federal or state agencies, or private non-profit organizations.

In FY 1998, the Scientific Cooperation Program promoted international cooperation on economically and environmentally sustainable agricultural and forestry systems to help secure safe and adequate food supplies. Mutual benefit was attained through a variety of activities, from short-term exchange visits of U.S. and foreign scientists to longer-term collaborative research. American and foreign researchers cooperated on projects directed at potential threats to U.S. agriculture and forestry, development of new technologies, and enhancement of trade in foreign markets.

Examples of funded proposals included collaborative research on food safety; small farmer needs; water and soil quality environmental issues; value-added products; and phytosanitary barriers to trade.

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,823,760	231	240
National Interests Addressed:	Economic Prosperity; Global Issues; Food Security	

\* \* \* \* \*

The **Cochran Middle Income Fellowship Program** provides short-term training in the United States for agriculturalists from 47 eligible countries (middle income, emerging democracies, and emerging markets). Training programs are developed for mid- to senior-level agricultural specialists and administrators from public and private sectors concerned with agricultural trade, management, marketing, policy, and technology transfer. The program works closely with USDA agencies, U.S. agricultural trade and market development associations, universities, and agribusinesses to implement training. The program is administered in collaboration with USDA Agricultural Affairs Officers in American embassies abroad.

The program's major Government Performance and Results Act goals are to assist with developing sustainable long-term markets for U.S. agricultural products, and to assist, through training and education, with resolving market access and World Trade Organization (WTO) policy issues, specifically sanitary and phytosanitary (SPS) topics.

In FY 1998, the program initiated new activities in Guatemala, Costa Rica, and Bosnia; provided training for 567 international participants from 48 countries; provided food safety, SPS, and biotechnology training to 53 participants from 18 countries; and had a direct link to export sales of over \$25 million in U.S. agricultural commodities. In addition to U.S. Government funding (direct appropriations and budget transfers from the U.S. Agency for International Development), the Cochran Program leveraged over \$620,000 in non-governmental contributions in order to extend the program to additional participants.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$4,421,800*	0	567
National Interests Addressed:	Economic Prosperity; Democracy and Human Rights; Humanitarian Response; Global Issues; Agricultural Food Self-sufficiency	

\* \* \* \* \*

The **Food and Agriculture Organization (FAO) Fellowship Training Program** arranges academic and technical training programs for FAO participants in a wide range of agricultural subjects including resource management, crop production, forestry, animal science, aquaculture, nutrition, food safety, agricultural policy, management and agribusiness development. In addition, U.S. study tours for senior- and mid-level government officials are arranged to familiarize them with the latest developments in agriculture, exchange views with U.S. counterparts, visit laboratories, and attend scientific meetings and seminars.

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Utilizing the expertise of USDA agencies, agricultural universities, agribusinesses and other private sector entities, USDA successfully arranged and provided training in the United States for 157 participants. These programs help establish scientific and business linkages with U.S. agriculture.

In addition to scientific and technical upgrading in their area of expertise, many foreign university agricultural faculty involved in nonacademic programs arranged by USDA, collaborated with U.S. universities in the development of course outlines and materials for use upon their return to their home universities. For many of these programs, the U.S. Land Grant universities and other training providers made in-kind contributions such as salary and benefits of their professors and researchers, laboratory costs, waiver of indirect costs, etc. In some cases, these in-kind contributions amounted to one-third to one-half of the total program costs.

In close collaboration with FAO, USDA will continue to increase emphasis on tailoring academic and training programs to better meet the specific needs of each Fellow in the most cost-effective way.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	157
National Interests Addressed:	Economic Prosperity; Food Security	

Total USG Funding	Agency Appropriation	Inter-agency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$14,955,885*	\$8,053,612*	\$6,902,273*	\$3,631,482*	\$1,769,531*	\$1,227,515*	\$407,000*	\$21,991,413*	2,072*

\*Figures include estimates for certain programs.

\*\*Figures below include funds expended for larger programs that include exchange and training components.



# DEPARTMENT OF COMMERCE

14th and Constitution Avenue, NW • Washington, DC 20230  
Office of Public Affairs: 202-482-6001 • [www.doc.gov](http://www.doc.gov)

The **Department of Commerce** fosters and promotes the foreign and domestic commerce of the United States. The Department provides a wide variety of programs through the competitive free enterprise system. It offers assistance and information to increase America's competitiveness in the world economy; administers programs to prevent unfair foreign trade competition; provides social and economic statistics and analyses for business and government planners; provides research and support for the increased use of scientific, engineering, and technological development; works to improve our understanding and benefits of the Earth's physical environment and oceanic resources; grants patents and registers trademarks; develops policies and conducts research on telecommunications; provides assistance to promote domestic economic development; and assists in the growth of minority businesses.

The Department's international activities are designed to encourage international economic development and technological advancement through cooperative research and the training of professionals in business, science, and technology fields.

## Bureau of the Census (BUCEN)

### International Programs Center (IPC)

The U.S. Bureau of the Census began its program of international technical assistance in the 1930s; its formal training program began in 1947. Over the years, BUCEN, through its international programs, has been instrumental in establishing the official statistical offices of a number of countries.

In response to requests from developing countries around the world, the International Programs Center provides technical assistance, training and training materials, methodological development and

materials, and statistical software in all aspects of censuses, surveys, and information systems (including sample design, data collection, data processing, analysis, and dissemination).

Specifically, the IPC:

- Offers short- and long-term technical assistance to developing countries.
- Provides practical, applied training in statistics and related topics to participants from developing country statistical offices around the world. The training is offered both in the U.S. and overseas.
- Distributes statistical software designed and developed by BUCEN to meet the needs of statistical agencies.
- Develops and distributes training and methodological materials to developing countries.
- Evaluates, analyzes, produces estimates and projections, and makes available demographic data for all countries of the world.
- Compiles and assesses data on HIV/AIDS prevalence in countries in Asia, Africa, and Latin America.
- Hosts 350-400 foreign visitors annually, many of whom are from the developing world.
- Exchanges statistical publications with 130 countries and several international organizations.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,631,000*	78*	440*
<b>National Interests Addressed:</b>	Economic Prosperity; Democracy and Human Rights; Global Issues	

\* \* \* \* \*

## Bureau of Economic Analysis (BEA)

The BEA, a major federal statistical agency, produces the national, international, and regional economic accounts of the United States, including such statistics as the gross domestic product, state personal income, and the balance of payment accounts. BEA has a **Foreign Training Program** that focuses on national accounts. The training seminars run for eight weeks and cost about \$300 per week. BEA holds the courses in Washington, and will tailor special programs in Washington to specific needs.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	22
<b>National Interests Addressed:</b>	National Accounting Issues	

\* \* \* \* \*

## Bureau of Export Administration (BXA)

The **Nonproliferation and Export Control Cooperation Program (NEC)** focuses on proactive initiatives with the NIS, Baltic Republics, and Central Europe. Funded under the Cooperative Threat Reduction Program (Department of Defense) and the Nonproliferation and Disarmament Fund (Department of State), these initiatives include technical exchanges in all five export control functional areas of legislative and regulatory framework, licensing procedures, preventive enforcement mechanisms, industry-government relations, and automation support. The establishment and strengthening of foreign export control systems will increase opportunities for U.S. trade in high-tech goods and technology with these countries. Additionally, it will enhance the effectiveness of U.S. export enforcement by extending into these countries improved capabilities to stop the proliferation of materials and technologies needed to make nuclear, biological, and chemical weapons and their delivery systems.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,840,000**	61	195
National Interests Addressed:	National Security; Economic Prosperity	

\* \* \* \* \*

## Patent and Trademark Office (PTO)

The PTO offers various programs to provide technical assistance to developing countries and to countries moving to a market economy. Programs focus on establishing adequate systems in these countries for the protection of intellectual property rights. They also provide intellectual protection enforcement training. The goal of the programs is to provide advice and expertise to these countries with the desired outcome being the reduction of losses resulting from piracy of U.S. intellectual property.

The FY 1998 **Visiting Scholars Program** provided participants from Argentina, the Bahamas, China, Egypt, Ghana, Jamaica, Laos, Lesotho, Moldova, Panama, Peru, the Philippines, Romania, South Korea, United Arab Emirates and Venezuela with two weeks of classroom and hands-on study of various aspects of the administration of intellectual property law, patent and trademark examination and copyright protection, and an opportunity to gain an understanding of the important role of intellectual property protection as a tool for economic development.

Another highlight is the Intellectual Property Enforcement Training Programs in South Africa, Latvia, Belize, China, and Hong Kong. These programs usually last for one week.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$245,000*	36*	128*
National Interests Addressed:	Economic Prosperity; Law Enforcement; Protection of Intellectual Property Rights	

\* \* \* \* \*

## International Trade Administration (ITA)

The **Special American Business Internship Training Program (SABIT)** exposes executives from the former Soviet Union to market-based management and scientific skills by placing them in U.S. companies for hands-on training for a period of two to six months.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,497,773	0	242*
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Democracy and Human Rights; Global Issues; Market Access and Commercial Development	

\* \* \* \* \*

The **American Management and Business Internship Training Program (AMBIT)** administered by the ITA in collaboration with the International Fund for Ireland, helps to improve the productive abilities of industry in Northern Ireland and the Border Counties of Ireland. The program provides hands-on training in U.S. firms for managers and technical experts from the Northern Ireland region, and represents one of several USG economic initiatives announced by President Clinton in November 1994 to demonstrate America's interest in supporting the economic development of the region. Participating U.S. firms provide interns with a three-week to six-month training or development program relating to management or production techniques.

To date, over 60 U.S. companies and 70 managers and technical experts from the region have participated in the program. According to participant feedback, the AMBIT program has spawned four new joint ventures with four others under development.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$41,000	0	15
<b>National Interests Addressed:</b>	Economic Prosperity; Promotion of U.S. Exports to Northern Ireland and Border Counties of Ireland	

\* \* \* \* \*

## National Oceanic and Atmospheric Administration (NOAA)

The NOAA has the primary responsibility within the federal government to provide climate forecasts and products to the nation.

### National Marine Fisheries Service (NMFS)

The NMFS has been working extensively on many fronts, with resource managers, non-governmental organizations (NGOs), and in-country scientists to build capacity to enhance marine turtle conservation and recovery. Through the **Capacity Building for Marine Turtle Conservation and**

**Recovery Program,** NMFS scientific staff have traveled to developing countries in Latin America, the Caribbean, southeast Asia, the Middle East, and Africa. Staff have hosted nationals from these areas and provided information exchange/capacity building programs. Efforts have focused on enhancing resource survey efforts, improving enforcement capabilities, and transferring biological technology such as satellite telemetry techniques for monitoring sea turtle movements. NMFS has been providing funds for these activities from its Recover Protected Species funds. These activities are ongoing.

The goal of the Capacity Building for Marine Turtle Conservation and Recovery Program is to build capacity, internationally, and to enhance marine turtle protection and survival. The focus of the program is training and information exchange to enhance resource survey efforts and to transfer biological technology. Improving the capability of persons charged with managing and protecting marine turtles, especially in developing countries, is paramount to the effective recovery and conservation of these long-lived, highly migratory species.

In FY 1998, NMFS convened a training workshop on satellite bio-telemetry, bringing together eight participants from the wider Caribbean region for a five-day session. The training consisted of several components including hands-on field training on attaching transmitters to sea turtles and classroom training on interpreting and analyzing satellite telemetry data. The workshop provided a forum for interaction among leading researchers studying the endangered hawksbill turtle in the Caribbean. NMFS also provided hands-on training to a number of scientists, government researchers, and graduate students from the South Pacific. This training covered the following: assessing disease in marine turtles, conducting necropsies, handling stranded turtles, conducting in-water research, tagging sea turtles, measuring sea turtles, collecting blood samples for biological research, assessing habitat use, and analyzing data. These opportunities are a unique experience for participants and provide specialized training that is not available in their countries.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$113,400**	3	14
National Interests Addressed:	Economic Prosperity; Global Issues; Advancement of Science	

\* \* \* \* \*

The NMFS **International Turtle Excluder (TED) Technology Transfer Program** provides technical assistance to foreign nations on the correct installation and use of TEDs in the shrimp industry to protect sea turtles from drowning in shrimp nets.

Training in TED technology was provided to 10 countries: Honduras (2 sessions); Mexico, Nicaragua, Suriname, Brazil, Costa Rica, Nigeria, Guatemala, and Venezuela (for these 2 sessions the foreign representatives came to the United States (Pascagoula, Mississippi). A total of 24 inspection sites were made in 17 countries: Mexico (3), Nicaragua (3), Honduras (2), Guyana (2), Suriname (2), and one each in Panama, El Salvador, Ecuador, Thailand, Brunei, Trinidad, Venezuela, Colombia, Brazil, Costa Rica, Nigeria, and Guatemala. Three studies to determine the level of incidental catch of sea turtles in shrimp trawl fleets were evaluated in Tunisia, Costa Rica, and Colombia.

U.S. trainers also traveled to Kenya for a regional sub-Saharan Africa training program. Thirty Kenyan government officials received in-country training during this regional training session.

As of the end of June 1998, 41 countries were certified to export shrimp to the United States. Of these 41 countries, 18 countries have adopted TED programs and the remaining 23 countries have demonstrated that their fishing environments do not pose a threat to sea turtles.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$100,000*	28*	23*
National Interests Addressed:	Economic Prosperity; Global Issues; Advancement of Science	

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## Office of Oceanic and Atmospheric Research

A U.S.-China Data and Information Meeting of the **U.S.- China Marine and Fisheries Science and Technology Protocol Meeting** occurred September 14 - 18, 1998. It provided for the exchange and development of oceanographic data and defined cooperative activities for the immediate future.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$12,000*	6*	0*
National Interests Addressed:	Economic Prosperity; Global Issues; Advancement of Science	

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The **U.S. - China Marine and Fisheries Science and Technology Protocol** meets every two years and identifies a group of activities in integrated coastal management fisheries, aquaculture, and climate and marine environmental services that is of interest to both countries. The Protocol has conducted collaborative research and exchange on marine protected area management and other topics such as shrimp disease and genetics, algae culture and genetics, marine fish culture and genetics, and scallop disease and genetics. Another component of the agreement provides for the exchange of scientists and educators between American and Chinese high schools. Other cooperation includes increased coastal management, air-sea interaction, diving physiology, and ocean data exchange.

Program Goals: To obtain new information on aquaculture and fisheries management and technology, to exchange literature between the two countries, to establish electronic data base on Chinese fishery statistics (NOAA library), and to collaborate on projects on a broad range of aquacultural and fishery topics.

Accomplishments in FY 1998: Several Chinese scientists collaborated with American scientists in the United States on harmful algal blooms, coastal resource and nutrient modeling, shellfish genetics, and shrimp disease diagnostics and control. One Chinese teacher provided expertise and training to U.S. high school students. One U.S. delegation of scientists visited the PRC to discuss coastal modeling and further cooperation.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$46,000*	14*	13*
National Interests Addressed:	Economic Prosperity; Global Issues; Advancement of Science	

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**U.S.-Japan Cooperative Program in Natural Resources (UJNR)** is one of the oldest and most effective cooperative programs between Japan and the United States. The UJNR is comprised of 18 panels; 9 which focus on marine activities are headed by NOAA. The remaining panels deal with terrestrial sciences and are headed by the U.S. Department of Agriculture.

The principal aims of the UJNR are to develop and conserve natural resources cooperatively, share information and results of research activities, and provide a continuing forum for applied science and technology cooperation.

The 16th Administrative Session of the UJNR occurred at NOAA's Pacific Marine Environmental Laboratory in Seattle, Washington, in FY 1998. Forty participants (26 Americans and 14 Japanese) took part in the three-day program. The two-fold purpose of this particular meeting was to assess the focus and visibility of the UJNR in the next century and to explore ways to realign current priorities, panel structure, and activities to meet future public policy and technological needs. Improving UJNR outreach activities to secure increased funding and new membership was also addressed. The UJNR Panel Meeting occurred in New Hampshire. The program also provided for a four-month exchange of two American master's students to conduct aquaculture research in Japan.

The primary reason for the UJNR's success over the past thirty years is its communication network. The free exchange of information, equipment, and personnel ensures that panels are bounded only by their imaginations. Panel results benefit domestic programs of both the United States and Japan, as well as the relations between the two countries. This program has increased communication and collaboration among technical specialists; exchanges of information, data, and research findings; exchanges of equipment, materials, and samples; and hundreds of bilateral study missions.

Future plans include applying technologies to environmental protection and increasing awareness of global environmental issues. The technical subjects of the UJNR are, and will continue to be, of great importance, particularly as our countries begin to build the framework for a new economic partnership in the 21st century.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$20,000*	2*	44
National Interests Addressed:	Economic Prosperity; Global Issues; Advancement of Science	

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The **National Sea Grant College Program** is a network of 29 university-based programs in coastal and Great Lakes states involving more than 300 institutions nationwide in research, education, and outreach concerning coastal, marine, and aquatic issues. The program is supported by the Department of Commerce in partnership with the states and private industry. During FY 1997, the Hawaii/Pacific component of the Sea Grant Program involved several exchanges with East Asian and Pacific Island countries. During FY 1998, six U.S. scientists traveled to Asia for the purpose of furthering U.S. aquaculture technology.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$8,000	6	0
<b>National Interests Addressed:</b>	Economic Prosperity; Global Issues; Advancement of Science	

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### National Environmental Satellite, Data, and Information Service (NESDIS)

The **Climate Data Management Program** is designed to provide practical experience in processing and managing databases of meteorological data for climate applications, for effective data exchanges on an international basis and for analysis of climatological information to assess risks of natural hazards. Average duration of program is five months. Training and practical experience is specific to individual needs, ranging from one week to one year.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$24,000*	1	2
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Global Issues; Advancement of Scientific Data Exchange in Meteorology and Climatology	

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The **U.S.-Russia Cooperation in Meteorological and Climate Data Exchange** is carried out through the work of the National Climatic Data Center. The Center is a part of NOAA's National Environmental Satellite, Data, and Information Services (NESDIS). The National Climatic Data Center exchanges meteorological and climate data and prepares high quality data sets for global change research. Activities include exchanging data, preparing computer software systems to quality control the data, and researching observation practices to adjust data for biases and making resulting data sets available for research. The Center seeks to make meteorological/climate data available to the research community worldwide using a common quality control procedure for research studies in climate global change and the monitoring of long-term change in the environment.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$35,000	3	4
<b>National Interests Addressed:</b>	Global Issues	

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The **People's Republic of China-U.S. Protocol on Cooperation of Atmospheric Sciences and Technology** was developed in 1979 between NOAA and the China Meteorological Administration. Other U.S. participants in this agreement include the National Aeronautics and Space Administration, the National Science Foundation, and various academic institutions. Areas of cooperation include climate/monsoon studies, mesoscale meteorology, satellite meteorology, atmospheric chemistry, meteorological modernization, and training/participation.

The program's objective is to identify and promote projects of benefit to both countries and forge closer ties with the People's Republic of China in the area of science.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$14,200	0	3
National Interests Addressed:	Global Issues	

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The **Cooperative Institute for Research in the Atmosphere (CIRA)** seeks to increase NOAA satellite data utilization. Training is provided for foreign scientists on site at Regional Meteorological Training Centers (RMTC) in Costa Rica and Barbados.

Now both Costa Rica and Barbados have incorporated use of satellite imagery in their meteorology courses offered at local universities.

In FY 1998, CIRA participated in a scientific exchange to share meteorological workstation development technologies. Two visiting computer scientists from China worked on the development of web-based satellite data display and training capabilities at CIRA.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$30,000**	2*	32*
National Interests Addressed:	Scientific Exchange	

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## National Weather Service (NWS)

The NWS of NOAA provides daily forecasts and warnings for severe weather events such as hurricanes, tornadoes, winter storms, floods, and tsunamis.

The **National Weather Service International Activities Office** responds to requests for training in meteorology, operational hydrology, and related disciplines. These requests are sent by the

United Nations World Meteorological Organization (WMO) and are funded by the United States under the WMO Voluntary Cooperation Program. Fellowships are awarded to candidates designated by their respective governments, through the Permanent Representative with WMO, who is normally the director of the National Meteorological or Hydrometeorological Service in the requesting country concerned. The studies and training fall into the following broad categories: basic university studies, post-graduate studies, non-degree university studies, specialized training courses, on-the-job training, as well as technical training for operation and maintenance of equipment. The majority of requests involve short-term training (specialized training courses and on-the-job training).

Four-month fellowships at the International Desks of the National Centers for Environmental Prediction (NCEP) in Camp Springs, Md., provide an excellent on-the-job training forum for visiting operational meteorologists. Students at the South American, Tropical (for Central American and Caribbean countries) and African Desks gain insight into interpretation of NCEP's numerical weather prediction model output and provide useful model verification and operational feedback. During the training, the visiting Fellows are exposed to a broad spectrum of meteorological products, and analysis and forecasting techniques.

The U.S. gains from the participation of these visiting students. Our global weather prediction models are constantly revised, with each of the changes requiring a thorough evaluation. A change or modification in the model that reaps some benefits over a particular region, could result in less than favorable benefits over other regions on the globe. The visiting Fellows bring knowledge and expertise from their region which the U.S. uses to subjectively evaluate the models, thus allowing us to identify and correct substantial problems with the models. The benefits of having a cadre of well trained meteorologists are innumerable. For example, the U.S. consumes considerable produce from these regions, which directly depend on accurate forecasting for successful harvest. These forecasters contribute to the safety and protection of U.S. interests abroad. Hundreds of flights, local and international carriers, originate daily in the Caribbean Basin and South America. The safety of U.S. citizens depends on proper aviation support, as provided by the International Desks.

Students trained: at the South American Desk, 63 (since 1988); at the Tropical Desk, 41 (since 1992); at the African Desk, 24 (since 1995).

The **World Meteorological Organization's Technical Cooperation Program** ensures, through collaborative efforts of member nations, for their mutual benefit, the enhancement and development of the capabilities of the national Meteorological and Hydrological Services so that they can contribute to, and participate efficiently in, the implementation of WMO programs, for the benefit of the global community and in support of national socioeconomic development activities.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$206,341	0	46
National Interests Addressed:	National Security; Economic Prosperity	

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## National Telecommunications and Information Administration (NTIA)

### Office of Spectrum Management

The Office of Spectrum Management conducts training in radio frequency spectrum management for citizens of developing countries. A large majority of the participants are employed by their governments as regulators and technical specialists in radio frequency spectrum management; others are employed by telecommunications carriers or private industry. The program seeks to improve international goodwill and understanding by educating and training the spectrum management personnel of developing nations in modern spectrum management techniques.

Training courses facilitate future negotiations and foster future support for U.S. policy positions on international spectrum management issues.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	21*
National Interests Addressed:	National Security; Economic Prosperity	

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## National Institute of Standards and Technology (NIST)

The NIST, with funding from international organizations and other countries, or as part of Agreements or Protocols for Cooperation, brings scientists from institutions worldwide to the United States as exchange visitors. The visitors conduct research, usually at the Ph.D. level, in the areas of chemistry, physics, and engineering measurement sciences. NIST continues to participate with the Department of State in bilateral standards and technology cooperative programs with Poland, Hungary, the Czech Republic, the Slovak Republic, India, Slovenia, Egypt, and Croatia. NIST also has numerous ongoing collaborative programs with institutions and universities throughout the world. NIST scientists are provided opportunities for study and/or research abroad in fields relevant to their work at NIST.

**The Foreign Guest Researcher Program** of NIST provides foreign scientists an opportunity to work with NIST scientists and engineers on projects of mutual interest. The research is typically at the Ph.D. level in the areas of chemistry, physics, and engineering measurement sciences.

The average program length of a J-1 Exchange Visitor to NIST is approximately 16 months; the average length of a Foreign Visitor Program is one day.

The goals, objectives, and rationale of the Exchange Visitor Program are: to gain access to unique foreign technical knowledge and skills; to develop working relationships with and insight into the character and quality of the work in foreign institutions; and to support a U.S. Government policy of assisting certain countries with economic development; to participate in programs with other U.S. Governmental and international agencies such as the United Nations Industrial Development Organization.

The goals, objectives, and rationale of Foreign Visitor Program are: to learn about similar institutions/programs in other countries; to familiarize foreign visitors with NIST mission and programs; to promote the U.S. system for metrology and standards; and to promote cooperation.

Summary of 1998 accomplishments: NIST hosted over 817 international visitors from 71 countries and over 630 foreign guest researchers from 69 countries. Through the exchange scientist program, NIST researchers and their international partners carried out coordinated joint activities in all fields of measurement science.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$5,287,171*	0	391*
National Interests Addressed:	Economic Prosperity	

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NIST's **Special American Business Internship Training (SABIT) Standards Program** centers on practices, standards, testing and other conformity assessment procedures between U.S. companies and New Independent States (NIS) countries, as a means of increasing U.S. trade in the region. The program provides opportunities for U.S. companies to foster effective business relationships in the NIS, and has contributed to increased U.S. business understanding of commercial conditions in the NIS region. Each six-week session focuses on a vital sector of the economy and is comprised of 20-25 experts from throughout the NIS. Each group spends two weeks at NIST, meeting with U.S. regulatory and technical agencies and with private sector organizations; followed by four weeks of visits to individual companies, testing laboratories, and professional organizations. In collaboration with the Department of Commerce's SABIT Program, NIST trained 66 NIS experts in three sessions during FY 1998.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$40,000*	4*	66*
National Interests Addressed:	Economic Prosperity	

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NIST's **Standards in Trade Program** is designed to assist U.S. industry to overcome technical barriers to trade caused by restrictive normative standards, testing or other conformity assessment procedures, and by measurement problems in major existing or developing markets, and to encourage adoption of U.S. technology and concepts into standards and conformity assessment rules to facilitate and enhance trade. This program was originally authorized in 1989, expanded in 1995, and is funded on an annual basis.

The Standards in Trade Program provides technical assistance to government and private sector organizations through workshops, seminars, technical information, and meetings of technical experts. During FY 1998, 122 foreign representatives from 42 countries received training at NIST. NIST offered four two-week workshops and two one-week workshops; four two- and three-day seminars were conducted overseas.

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$765,000*	4*	122*
National Interests Addressed:	Economic Prosperity	

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## Technology Administration

**U.S. - Japan Manufacturing Technology Fellowship (MTF) Program** aims to strengthen the bilateral relationship between our countries and companies and to address the disparity between the number of Japanese engineers studying and working in the United States versus the number of U.S. engineers able to study and work in Japan.

The MTF Program has created new business opportunities and strengthened preexisting relationships between American and Japanese customers and suppliers. It offers American companies the opportunity to establish long-term relationships with their Japanese manufacturing counterparts. The MTF Fellow can open the channels of communication to the Japanese firm which can then be extended to senior management. Typically, Fellows spend six months to a year in this work-study internship program.

The Society of Manufacturing Engineers (SME) and Vanderbilt University have shared operational responsibilities. In 1997, SME delegated the MTF program's operational responsibilities to Vanderbilt's Center for U.S.-Japan Studies and Cooperation. The FY 1998 program was financed by the American and Japanese private sectors and the Japanese Government.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	1	0
National Interests Addressed:	Economic Prosperity	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$106,700,689	\$49,009,745	\$57,690,944	\$415,095,601	\$22,500	\$0	\$0	\$521,818,790	35,848



## DEPARTMENT OF DEFENSE

The Pentagon • Washington, DC 20301

Public Affairs: • [www.defenselink.mil](http://www.defenselink.mil)

The mission of the **Department of Defense (DOD)** is to provide the forces needed to deter war and protect the security of the United States. The Department of Defense maintains and employs armed forces to support and defend the Constitution of the United States against all enemies; ensures, by timely and effective military action, the security of the United States, its possessions, and areas vital to its interests; and upholds and advances the national policies and interests of the United States.

The major elements of these forces are the Army, Navy, Air Force, and Marine Corps. Under the President, who is also Commander in Chief, the Secretary of Defense exercises authority, direction, and control over the Department, which includes the Office of the Secretary of Defense, the Joint Chiefs of Staff, the Military Departments, the Unified Combatant Commands, the DOD Inspector General, the Defense Agencies, and the DOD Field Activities. To accomplish this mission the Department employs approximately 1.4 million service men and women, and some 724,000 civilian employees. In addition, there are 1.35 million Guard and Reserve personnel that are fully integrated into the National Military Strategy as part of the Total Force.

### ~ACADEMIC TRAINING~

#### Office of the Assistant Secretary of Defense (Strategy and Threat Reduction)

The **National Security Education Program (NSEP)** addresses areas and languages of the world critical to U.S. national security and under-represented in U.S. study. The program awards scholarships to U.S. undergraduates to study abroad in geographic areas critical to U.S. national security in which U.S. students are traditionally under-represented. The NSEP also awards fellowships to U.S.

graduate students to allow them to include study of foreign areas, languages, and other international fields crucial to U.S. national security. And, NSEP awards grants to U.S. institutions of higher education to build or enhance programs of study in foreign areas, languages, and other fields critical to U.S. national security.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$7,500,000	288	0
National Interests Addressed:	National Security	

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## Office of the Under Secretary of Defense (Personnel and Readiness)

The **Service Academy Foreign Student Program** reserves a maximum of 40 billets for foreign students at each Service Academy. Applicants must be academically qualified. In FY 1998, 106 of the available 120 slots were filled. Foreign governments are required to reimburse costs unless waived.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$7,423,498	0	106
National Interests Addressed:	National Security	

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The primary purpose of the **Reserve Officers Exchange Program** is to maintain an active relationship with countries that are dependent on cooperation in crisis and war. Every year Reserve officers from the armed forces of the United States, United Kingdom, and the Federal Republic of Germany receive training in their mobilization duties and have the opportunity to experience the host nation's sense of life. The officers familiarize themselves with the structure, organization, equipment, and operational doctrine of the armed forces of another country. The result is a Reservist better prepared to deal with his or her mobilization assignment, and a citizen who returns to the community with a better understanding of the people and policies of a major alliance partner. Many FY 1998 participants emphasized that the exchange gave them the opportunity to observe different aspects of their allies' military culture and to establish lasting professional relationships with the Reserve officers of the host nations.

The Reserve Officer exchange with the Federal Republic of Germany was initiated by a memorandum of understanding (MOU) between the Office of the Assistant Secretary of Defense for Reserve Affairs and the German Ministry of Defense in 1985. The exchange with the United Kingdom began in 1989 with a signed MOU between DOD and the U.K. Ministry of Defense. The first German exchange involved seven officers from each nation. This number was increased to fifteen in 1986 and has stabilized at approximately twenty since 1987 for both the Federal Republic Germany and the United Kingdom.



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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$188,298	42	38
National Interests Addressed:	National Security	

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## ~TECHNICAL/PROFESSIONAL TRAINING~

### Office of the Joint Chiefs of Staff

The Office of the Joint Chiefs of Staff delegates operational control for many training and exchange programs to Services and Commands while retaining oversight responsibility. For reporting purposes it is clearer to list the following here:

The **George C. Marshall European Center for Security Studies'** mission is to create a more stable security environment by advancing democratic defense institutions and relationships; promoting active, peaceful engagement; and enhancing enduring partnerships among the nations of the Americas, Europe, and Eurasia. This is accomplished through tailored advanced professional education and training of military and civilian officials and by applied research. The Center consists of five programs: Department of Defense and Security Studies, Foreign Area Officers Program, Foreign Language Training Center, Conference Center, and the Research Program.

The Department of Defense and Security Studies offers three executive education courses. These courses consist of post-graduate level studies that focus on how national security is formulated and maintained in democratic societies. There is a two-week Senior Executive Course for parliamentarians/general officers and their civilian equivalents, a fifteen-week Executive Course for lieutenant colonels, colonels, and their civilian equivalents, and a nine-week course entitled "Leaders for the 21st Century" for majors and captains and their civilian equivalents.

The eighteen-month Foreign Area Officer Program prepares U.S. and foreign military officers and Defense Department civilians for key assignments involving Central, Eastern, and Southern Europe; Russia; and Eurasian countries. The training includes advanced studies in Russian, Ukrainian, and other languages; political-military, military, and regional studies; and internships living and working in the countries of interest. Foreign Area Officer students gain additional experience through close interaction with executive course participants and attendance at selected Marshall Center conferences.

The Foreign Language Training Center offers classroom, in-country, and computerized language instruction in nine languages for military and civilian linguists. In addition to refresher training, specialized interpretation courses in technical vocabulary for on-site inspection compliance, peacekeeping, and joint and combined exercise participation prepare linguists for specific assignments. English and German as a Second Language are electives popular with Defense and Security Studies executive course participants.

The Conference Center organizes 15 conferences per fiscal year on a variety of security-related topics designed to engage participants in constructive discussion. The program includes multi-national, regional, and bilateral conferences and seminars. Part of the program is under the purview of the

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Partnership Support Program. Marshall Center Conference Teams work closely with the Marshall Center faculty and requesting countries to ensure that the conference purpose, objectives, and scope of attendance fulfill the needs of the participants.

The objectives of the Research Program are to conduct long term interdisciplinary international research projects; establish and maintain Central, Eastern and Southern European, Russian, and Eurasian contacts and research networks; engage academia of the region; assist in the development of materials that support course curricula and the conference program; and publish scholarly articles and books. The research program includes research workshops involving renowned scholars from throughout Europe and Eurasia.

The Marshall Center programs and activities support the U.S. National and Military Strategies by directly reinforcing the U.S. European Command Theater Engagement Strategy. Many of the course curricula and conference materials address the improvement of democracy, human rights, civilian control of the military, crime prevention, environmental issues, and other areas of interest in the International Affairs Strategic Plan.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$8,569,700	938	1,511
National Interests Addressed:	National Security	

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The **Asia-Pacific Center for Security Studies** is a regional studies, research, and conference center. The Center's mission is to enhance cooperation and build relationships through mutual understanding and study of comprehensive security issues among military and civilian representatives of the United States and Asia-Pacific nations. The Center provides a focal point where national officials and policy makers can gather to exchange ideas, explore pressing issues, and achieve a greater understanding of the challenges that shape the region's security environment. The Center complements the U.S. Pacific Command's strategy of constructive engagement and builds on the Command's strong bilateral relationships by focusing on the broader multilateral approach to addressing regional security issues.

The Center has three primary academic elements: the College of Security Studies, which is the central focus, and the Research and Conference divisions. College participants come from all nations in the region and consist of senior military and government civilian equivalents in security-related positions. They participate in one of three 12-week courses conducted during the year.

The College and conference programs engage both current and future decision makers within the region on a multitude of contemporary issues impacting the regional security environment.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$4,685,467	0	294
National Interests Addressed:	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement; Democracy and Human Rights; Humanitarian Response; Global Issues	

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The **Center for Hemispheric Defense Studies** helps to develop civilian specialists in defense and military matters by providing graduate-level programs in defense planning and management, executive leadership, civil-military relations, and interagency operations. Its multifaceted programs are tailored to requirements identified by governments and specialists from all of the Hemisphere's democracies, including the United States and Canada.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,831,000	0	135
<b>National Interests Addressed:</b>	National Security	

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The **Olmsted Scholar Program** annually provides educational grants for two years of graduate study and other educational experiences in a foreign country to three competitively selected career officers with regular commissions (one from each of the three military departments). The spouses of Scholars also receive grants for language training and to defray other expenses connected to their participation in their spouses' educational endeavors.

The Olmsted Scholars are nominated by their military services to study in foreign universities chosen by the grantees and approved by their services. The Olmsted Foundation Board of Directors has final say regarding these decisions. The Olmsted Scholars enroll as full-time students and study in a language other than English while interacting with the residents of the countries in which they are living. They must live on the economies of their host countries and contact American military installations and embassies for necessary administrative purposes only.

The Olmsted Program originated with its first class of military officers in 1960. Its purpose then and now is to broadly educate those young career military officers who exhibit extraordinary potential for becoming this country's future military leaders. Studying in a foreign university and becoming immersed in a foreign culture are seen as ways not only to challenge young officers, but to help them mature, while, at the same time, increasing their sensitivity to the interests, viewpoints, and concerns of people around the world. This sensitivity is invaluable as the officer receives increased responsibility and becomes ever more involved with leaders, both civilian and military, in the United States and other countries.

The Scholars comprise a growing body of talented and uniquely-educated officers, who, with the added dimension of their Olmsted Scholar experience, are a significant asset to the United States. They have been assigned to high level staffs of their services, including NATO, command assignments and the Joint Chiefs. As a group, they have followed a pattern of early promotion; many of the Scholars have achieved general officer and flag rank.

If an Olmsted Scholar has not earned an advanced degree after two years of study abroad, he or she, with Service permission, is eligible for partial assistance from the Foundation in completing requirements for an advanced degree at a university in the United States at any time, either immediately upon return from overseas or later between assignments.

Through the end of 1997, 310 Scholars, representing 39 Olmsted Scholar classes, have completed, are completing or are preparing for two years of study abroad. Their studies to date have been in 26 languages, at 107 different foreign universities, in 39 countries.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$9,000	27	0
National Interests Addressed:	National Security; Democracy and Human Rights	

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## ~PERSONNEL EXCHANGES~

### Office of the Deputy to the Under Secretary (Policy Support)

The **Defense Personnel Exchange Program.** Since World War II, the U.S. Military Departments and their counterparts in friendly foreign governments have entered into agreements establishing military personnel exchange programs. These agreements require each party to provide a reciprocal assignment of military personnel to substantially equivalent positions within the defense establishment of each participating government. Similar agreements call for the exchange of civilian personnel in programs covering scientists and engineers, intelligence analysts, and administrative and professional personnel. The Military Departments, the Office of the Secretary of Defense staff elements, and Defense Agencies participate in these civilian personnel exchange programs. These military and civilian personnel exchanges are designed to foster mutual understanding and cooperation between governments by familiarizing exchange program participants with the organization, administration, and operations of the other party. All such personnel exchange programs established by the DOD Components constitute the Defense Personnel Exchange Program.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,800,000	494	559
National Interests Addressed:	National Security	

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### Defense Security Cooperation Agency (DSCA)

The **International Military Education and Training (IMET) Program.** The professional and non-military training provided under the International Military Education and Training program exposes foreign students to the U.S. professional military organizations, procedures, and the manner in which it functions under civilian control. IMET's Information Program shows students the American way of life, including regard for democratic values, respect for an individual's civil and human rights, and belief in the rule of law. IMET spurred the creation of the Expanded IMET (E-IMET) program which provides

courses intended to foster greater respect for and understanding of the principle of civilian control of the military; improve military justice systems and procedures in accordance with internationally recognized human rights; introduce military and civilian participants to the U.S. judicial system, the two-party system, the role of a free press and other communications media, minority issues, the purpose and scope of labor unions, the U.S. economic system, educational institutions, and the way in which all of these elements of American democracy reflect the U.S. commitment to the basic principles of internationally recognized human rights; assist in the development of civil-military relations by instructing key military and civilian leaders on how to break down barriers that often exist between armed forces, civilian officials, and legislators of competing political parties; and modify existing civil-military mechanisms used by democracies to meet a country's unique circumstances. IMET facilitates the development of important professional and personal relationships that have provided U.S. access and influence in a sector of society which often plays a pivotal role in the transition to democracy.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$50,000,000	0	8,070
<b>National Interests Addressed:</b>	National Security; Law Enforcement; Democracy and Human Rights; Humanitarian Response	

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### **Foreign Military Sales Program/Foreign Military Financing Program (FMS/FMF)**

is a non-appropriated program through which eligible foreign governments purchase training available for sale from the U.S. Government. The purchasing government pays all training costs.

**Foreign Military Financing (FMF)** is a grant and loan program, and is distinct from Foreign Military Sales (FMS). In general FMF provides financing for FMS sales for selected countries. FMF enables key friends and allies to improve their defense capabilities by financing acquisition of U.S. military training. As FMF helps countries provide for their legitimate defense training needs, it promotes U.S. national security interests by enhancing interoperability with U.S. forces, strengthening coalitions with friends and allies, and cementing strong foreign military relationships with the U.S. armed forces.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	19,841
<b>National Interests Addressed:</b>	National Security	

\* \* \* \* \*

The **Professional Military Education (PME) Exchanges** sends officers for academic or full-year training in military staff schools abroad. Some of the U.S. officers attending the foreign staff schools are doing so under the auspices of a reciprocal PME Exchange Agreement between the U.S. Department of Defense and the foreign country's Ministry of Defense. Since the tuition costs are waived under the terms of the PME Exchange Agreements, the U.S. Government estimates its actual tuition costs incurred for the

reciprocal exchanges at \$647,896. The total number of U.S. military students attending full-year military staff schools abroad, but not under a reciprocal exchange agreement, was not determined.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$647,896	35	29
National Interests Addressed:	National Security	

\* \* \* \* \*

## Office of the Joint Chiefs of Staff

The **Military Contacts Program** works with the military forces of selected countries to help them develop into positive, constructive elements of democratic societies during their transition to democracy and free-market economies.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$5,137,784	1,334	1,641
National Interests Addressed:	National Security	

\* \* \* \* \*

The **State Partnership Program**. The foreign and security policy justification for these activities include (1) the need to engage NG and RC personnel in Active Component activities to maintain a unified U.S. fighting force, (2) the ability to ease operational tempo pressures on the Active Component through NG and RC participation, and (3) the growing ability of the NG and RC to provide specialized skills and expertise (civil affairs and certain other military specializations have been tasked in increasing quantity to the RC, for example).

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	17	349
National Interests Addressed:	Civil-Military Relations	

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## Department of the Air Force

**Aviation Leadership Program (ALP).** This program provides specialized undergraduate pilot training (SUPT) to a small number of select international students from friendly, less-developed countries. ALP consists of English language training, SUPT and necessary related training, as well as programs to promote better awareness and understanding of democratic institutions and the social framework of the

United States. The foreign and national security policy justification for the program centers on fostering military-to-military relations with potential air force leaders from participating countries.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$17,719,000	0	47
National Interests Addressed:	Democracy and Human Rights; Awareness of U.S. Social Framework	

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## Defense Threat Reduction Agency

**Chemical Weapons Convention Orientation.** This program provided chemical weapons (CW) inspectors a working knowledge of CW agreements. The course covered operations and procedures, site preparation guidelines, and the operating environment. It included group discussions on CW-related scenarios and situations.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,646	0	3
National Interests Addressed:	National Security	

\* \* \* \* \*

**Andrej Sakharov Academy Summer.** This course, which took place in Garmish, Germany, provided an opportunity for the Agency's Russian linguists to improve their understanding of written and spoken Russian and to broaden their knowledge of the former Soviet Union in a total immersion environment. For two weeks, the students spoke nothing but Russian during course activities and in their free time. Students were organized into groups according to the level of their linguistic ability. Three to four hours a day were allocated to group tutorials and two hours were allocated to lectures. Evening discussions were of a more casual nature than the lectures, involving the exchange of information and opinions.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$18,500	8	0
National Interests Addressed:	National Security	

\* \* \* \* \*

**Moscow State University Immersion Training.** This program included six courses: three Russian language courses and three courses on the current state of Russian society. Each two-week session consisted of six academic hours a day, five days each week. In the afternoons and on weekends, the

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students' educational experience continued in the form of informal conversation with tutors during cultural excursions.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$167,900	42	0
National Interests Addressed:	National Security	



Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$12,780,622	\$12,780,622	\$0	\$0	\$10,000*	\$165,000*	\$0	\$12,955,622	1,508

\*Figure represents contributions to Economic Education Program only.



# DEPARTMENT OF EDUCATION

400 Maryland Avenue, SW • Washington, DC 20202  
Office of Public Affairs: 202-401-1576 • [www.ed.gov](http://www.ed.gov)

The **Department of Education's** mission is to ensure equal access to education and to promote educational excellence throughout the nation.

## Office of Postsecondary Education

### International Education and Graduate Programs Service (IEGPS)

The IEGPS administers 14 programs to expand the international dimension of American education and to increase U.S. capabilities in the less commonly taught foreign languages and related area studies. IEGPS's mission includes the funding of foreign language and area training, curriculum development, research, and a wide range of international education activities.

Nine programs are conducted primarily in the United States: National Resource Centers, Foreign Language and Area Studies Fellowships, International Research and Studies, Language Resource Centers, Undergraduate International Studies and Foreign Language, Business and International Education, Centers for International Business Education, Technological Innovation and Cooperation for Foreign Information Access, and the Institute for International Public Policy. These programs are authorized by Title VI of the Higher Education Act (HEA) of 1965 as amended.

Five programs are conducted overseas. Four of these programs are authorized by the Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act): Doctoral Dissertation Research Abroad (DDRA), Faculty Research Abroad (FRA), Group Projects Abroad (GPA), and Seminars Abroad (SA). These programs favor projects that focus on any world area other than Western Europe. The American Overseas Research Centers (AORC) program is authorized by Title VI of the HEA.

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The **Fulbright-Hays Doctoral Dissertation Research Abroad (DDRA) Program**, through U.S. institutions of higher education, provides fellowships to doctoral candidates to go abroad to conduct full-time dissertation research in modern foreign languages and area studies.

The program trains U.S. academic specialists interested in teaching about world areas and foreign languages critical to the U.S. national interest.

For a detailed description of the program and its requirements consult the Code of Federal Regulations, Title 34, Chapter VI, part 662; the Federal Register, Volume 63, Number 168, Monday, August 31, 1998, pp. 46358-46363; or the Catalog of Federal Domestic Assistance, Program Number 84.022.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,802,137	81	0
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Improvement of Education in the United States	

\* \* \* \* \*

The **Fulbright-Hays Faculty Research Abroad (FRA) Program**, through U.S. institutions of higher education, provides fellowships to faculty members to enable them to conduct full-time research abroad in modern foreign languages and area studies.

The program helps to enable faculty members at U.S. institutions to maintain the professional skills necessary for their respective specialized fields through the support of their research projects overseas.

For a detailed description of the program and its requirements consult the Code of Federal Regulations, Title 34, Chapter VI, Part 663; the Federal Register, Volume 63, Number 168, Monday, August 31, 1998, pp.46358-46361, pp. 46364-46366; or the Catalog of Federal Domestic Assistance, Program Number 84.019.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$822,250	17	0
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Improvement of Education in the United States	

\* \* \* \* \*

The **Fulbright-Hays Group Projects Abroad (GPA) Program**, provides educational opportunities overseas for American teachers, students, and faculty at U.S. higher education institutions. It is intended to be a means of developing and improving modern foreign language and area studies at U.S. colleges and universities.

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Eligible applicants are institutions of higher education, state departments of education, private nonprofit educational organizations, and consortia of such institutions, departments, and organizations.

For a detailed description of the program and its requirements consult the Code of Federal Regulations, Title 34, Chapter VI, Part 664; the Federal Register, Volume 63, Number 168, Monday, August 31, 1998, pp.46358-46361, pp. 46366-46368; or the Catalog of Federal Domestic Assistance, Program Number 84.021.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,090,242	572	0
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Improvement of Education in the United States	

\* \* \* \* \*

The **Fulbright-Hays Seminars Abroad (SA) Program**, provides opportunities for qualified U.S. elementary and secondary school teachers, curriculum specialists, and college faculty to participate in short-term seminars abroad on topics in the social sciences and the humanities or on the languages of participating countries.

For a more detailed description of the program consult the Catalog of Federal Domestic Assistance, Program Number 84.018.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$961,826	115	20
<b>National Interests Addressed:</b>	Improvement of Education in the United States	

\* \* \* \* \*

The **American Overseas Research Centers (AORC) Program** provides grants to consortia of institutions of higher education that (1) receive more than 50 percent of their funding from public or private U.S. sources, (2) have a permanent presence in the country in which the center is located, and (3) are tax-exempt organizations.

The grants provide support to establish or operate overseas research centers that promote postgraduate research, exchanges, and area studies. Grants may be used to pay for all or a portion of the cost of establishing or operating a center or program, including faculty and staff stipends and salaries; faculty, staff, and student travel; operation and maintenance of overseas facilities; teaching and research materials; acquisition, maintenance, and preservation of library collections; bringing visiting scholars and faculty to a center to teach or conduct research; organizing and managing conferences; and publication and dissemination of materials for scholars and the general public.

For additional information, consult the Catalog of Federal Domestic Assistance, Program Number 84.274.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$524,269	92	0
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Improvement of Education in the United States	

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## Fund for the Improvement of Postsecondary Education (FIPSE)

The **European Community/United States of America Joint Consortia for Cooperation in Higher Education and Vocational Education Program** aims to add a new European Community/United States dimension to student-centered cooperation and to bring balanced benefits to both the European Community and the United States. The essential objectives are: promoting mutual understanding between the peoples of the European Community and the United States including broader knowledge of their languages, cultures, and institutions; improving the quality of human resource development and transatlantic student mobility, including the promotion of mutual understanding; encouraging the exchange of expertise in new developments in higher education and/or vocational education and training; forming or enhancing partnerships among higher education, vocational education, or training institutions, professional associations, public authorities, businesses and other associations as appropriate; and introducing an added-value dimension to transatlantic cooperation which complements bilateral cooperation between Member States of the European Community and the United States as well as other European Community and United States programs and initiatives in higher education and vocational training.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,600,000	90	85
<b>National Interests Addressed:</b>	Economic Prosperity; Democracy and Human Rights	

\* \* \* \* \*

## Office of Educational Research and Improvement (OERI)

The **International Education Exchange Program** provides support for education exchange activities in civics and government education and economic education between the United States and eligible countries in Central and Eastern Europe, the Commonwealth of Independent States, and any country that was formerly a republic of the Soviet Union. Award recipients make available to educators from eligible countries exemplary curriculum and teacher training programs in civics and economic education developed in the United States. The grantees help these countries to translate and adapt curricular programs in civics and economic education for students and teachers, and to translate and adapt training programs for teachers. Grantees provide for the exchange of ideas and experiences among educators and leaders through seminars on the basic principles of U.S. constitutional democracy and economics, and through visits to school systems, institutions of higher education, and nonprofit organizations which are conducting exemplary programs in civics and economic education. Grantees are also responsible for

determining the effects of educational programs on students' development of the knowledge, skills, and traits of character essential for the improvement of constitutional democracy.

The program is designed and implemented in collaboration with the United States Information Agency, which is specifically charged with ensuring that the assistance provided is not duplicative of other efforts. The appropriated funds for this program totals \$5 million for FY 1998. The funds are divided equally between activities in civics and government education, and activities in economic education.

The **Civics and Government Education Program** provides for a series of exchanges among educators and leaders in civics education in the United States and countries in Central Europe, Eastern Europe, Lithuania, Latvia, Estonia, Georgia, the Commonwealth of Independent States, and nations of the former Soviet Bloc. This program provides students, educators, and leaders with opportunities to learn civics education and to assist each other in improving education for democracy in their respective nations.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,490,000	130	165
<b>National Interests Addressed:</b>	Democracy and Human Rights	

\* \* \* \* \*

The **Economic Education Program's** mission is to help educators from eligible countries reform their educational systems and educate their citizens for the transition to a market economy, through professional development; materials translation, adaptation, and development; organizations development; and study tours, conferences, and other exchanges; and to help U.S. educators prepare our country's students to think, choose, and function effectively in a changing global economy, through multilateral exchanges with colleagues from countries making the transition to a market economy.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,489,898	98	43
<b>National Interests Addressed:</b>	Economic Prosperity	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	28,815



# DEPARTMENT OF ENERGY

1000 Independence Avenue, SW • Washington, DC 20585  
Public Information: 202-586-4670 • [www.doe.gov](http://www.doe.gov)

The **Department of Energy (DOE)**, in partnership with its customers, is entrusted to contribute to the welfare of the nation by providing the technical information and the scientific and educational foundation for the technology, policy, and institutional leadership necessary to achieve efficiency in energy use, diversity in energy sources, a more productive and competitive economy, improved environmental quality, and a secure national defense.

The Department of Energy's international activities promote international cooperation consistent with U.S. energy policy and foreign affairs/national security concerns. This collaboration benefits the United States in science and technology research and development through cost-sharing and scarce resource leveraging, enhances energy security, improves environmental quality, reduces the threat of nuclear proliferation, and improves the comparative position of U.S. industry in world trade.

Information provided on international activities has been divided by organizational element within the Department of Energy for U.S. participants. Data on foreign participants could not be broken out by organizational element and are presented in the aggregate. The data provided capture international travel for Department of Energy programs and include exchanges and training efforts. Other travel may also be included in the data. The Department did not provide financial data.

**Defense Programs** ensure the safety, reliability, and performance of nuclear weapons and provide infrastructure and the intellectual capability to maintain nuclear weapons stockpiles.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	1,840	See Note Below
<b>National Interests Addressed:</b>	National Security; Global Issues; Advancement of Science	

\* \* \* \* \*

**Energy Efficiency and Renewable Energy programs** involve research, development, and demonstration activities that promote the increased use of energy efficiency and renewable energy technologies in various sectors, such as building, industrial, transportation, and utility.

Activities include:

- providing information on advanced technologies, systems and partnership opportunities that promote energy efficiency, renewable energy, and pollution prevention;
- assisting U.S. industry to develop clean, renewable, and more economical sources of electricity; and
- providing case studies about technologies, such as solar thermal, biomass, fuel-cells, hydrogen, and high-temperature superconductors.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	684	See Note Below
<b>National Interests Addressed:</b>	Economic Prosperity; Global Issues; Advancement of Science	

\* \* \* \* \*

**Energy Information Administration Programs.** The Energy Information Administration (EIA), an independent agency within DOE, provides statistical and analytical expertise and support on domestic and international energy production, consumption, and supply issues. The EIA also develops extensive country energy profiles.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	34	See Note Below
<b>National Interests Addressed:</b>	Global Issues; Advancement of Science	

\* \* \* \* \*

**Environment, Safety, and Health Programs.** Environment, Safety, and Health serves as the Departmental advocate for protecting the environment and the health and safety of workers at DOE facilities and the public. The organization also ensures DOE conformance with applicable laws and requirements governing protection of the environment and conducts associated scientific and technical programs.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	90	See Note Below
<b>National Interests Addressed:</b>	Global Issues; Advancement of Science	

\* \* \* \* \*

**Environmental Management Programs.** In the Environmental Management office, the major programmatic areas are:

- environmental restoration, including remediation, decommission and decontamination work at DOE sites;
- waste management, including transportation, treatment and disposal of transuranic wastes generated at DOE facilities;
- science and technology to develop improved and more cost-efficient cleanup technologies; and
- material and facility stabilization, including stabilizing and safeguarding excess nuclear materials stored in various forms and locations and reducing the potential risks.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	291	See Note Below
<b>National Interests Addressed:</b>	Global Issues; Advancement of Science	

\* \* \* \* \*

**Fissile Materials Disposition Programs.** The Office of Fissile Materials Disposition develops strategies and implements activities to: (1) assure safe, secure long-term storage and disposition of surplus weapons-usable fissile materials (highly enriched uranium and plutonium); and (2) encourage reciprocal actions abroad, including with the former Soviet Union.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	200	See Note Below
<b>National Interests Addressed:</b>	National Security; Global Issues; Advancement of Science	

\* \* \* \* \*

**Fossil Energy Programs.** Fossil Energy undertakes and promotes activities related to research, development, demonstration, and implementation of affordable and environmentally sound fossil energy technologies. Increased focus on developing new concepts of fossil energy technologies that significantly reduce greenhouse gas emissions, contribute to the nation's energy security, and ensure the availability of affordable fossil fuels.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	333	See Note Below
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Global Issues; Advancement of Science	



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**Nonproliferation and National Security Programs.** The Office of Nonproliferation and National Security: (1) prevents the proliferation of nuclear weapons technology; (2) protects nuclear material and facilities; and (3) conducts research and development activities to support advanced technologies that aid in detecting and countering emerging proliferation threats. Existing activities include:

- assisting with securing nuclear materials in the former Soviet Union;
- establishing transparent and irreversible nuclear reductions; and
- controlling the export of nuclear technology and materials.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	2,738	See Note Below
<b>National Interests Addressed:</b>	National Security; Global Issues; Advancement of Science	

\* \* \* \* \*

**Nuclear Energy, Science, and Technology Programs.** The Office of Nuclear Energy, Science, and Technology: (1) addresses technology issues associated with existing nuclear power plants; (2) supports nuclear energy research and nuclear science education; (3) provides power systems for defense and deep space exploratory needs; (4) develops technologies for production and application of isotopes technologies; and (5) provides medical research and industrial isotopes.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	898	See Note Below
<b>National Interests Addressed:</b>	National Security; Global Issues; Advancement of Science	

\* \* \* \* \*

**Radioactive Waste Management Programs.** The Office of Civilian Radioactive Waste Management develops, constructs, and operates a system for spent nuclear fuel and high-level radioactive waste disposal, including a permanent geologic repository, interim storage capability, and a transportation system. Site characterization activities are being undertaken at Yucca Mountain as a possible permanent repository.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	54	See Note Below
<b>National Interests Addressed:</b>	Global Issues; Advancement of Science	

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**Science Programs.** The Office of Science funds basic research to: (1) advance the fundamental science and technology knowledge base; (2) train future scientists and researchers; (3) promote national energy security; and (4) maintain U.S. scientific leadership. Areas covered include:

- basic energy sciences research in materials and chemical sciences, engineering and geosciences, and energy biosciences;
- magnetic fusion energy;
- health and environmental research;
- high energy and nuclear physics; and
- computational and technology research in mathematical, informational, and computational sciences.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	4,050	See Note Below
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Global Issues; Advancement of Science	

\* \* \* \* \*

Note: The following data represent the number of **foreign participants** in DOE international activities, including visits and assignments of foreign nationals at DOE national laboratories and research institutions in support of energy and environment issues.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
Not Reported	n/a	17,603
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Global Issues; Advancement of Science	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$73,212,114	\$73,149,114	\$63,000	\$81,800	\$0	\$0	\$0	\$73,293,914	3,222



# DEPARTMENT OF HEALTH AND HUMAN SERVICES

200 Independence Avenue, SW • Washington, DC 20201  
Telephone: 202-690-6174 • [www.os.dhhs.gov](http://www.os.dhhs.gov)

The **Department of Health and Human Services** is the Cabinet-level department of the federal executive branch most concerned with people and most involved with the nation's human concerns. In one way or another, it touches the lives of more Americans than any other federal agency. It is literally a department of people serving people, from newborn infants to persons requiring health services to our most elderly citizens.

## Public Health Service (PHS)

The **Foreign Work/Study Program**, which is overseen by PHS's Office of International and Refugee Health, provides opportunities for PHS employees to have work/training experience in foreign institutions and/or international organizations.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$128,000	3	0
<b>National Interests Addressed:</b>	Global Issues	

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## Centers for Disease Control and Prevention (CDC)

The **Exchange Visitor Program** promotes and supports medical and scientific research and development. The CDC provides specialized training and work experience on topics such as epidemiology, diagnosis of selected infectious diseases, laboratory data management systems, scientific communications, biostatistics and training in basics of performing health surveys and assessments.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,517,901	0	82
National Interests Addressed:	Humanitarian Response; Global Issues	

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## Health Resources and Services Administration (HRSA)

The HRSA has the mandate to provide leadership by promoting the development of quality health care in the United States that can be delivered in an equitable way at a reasonable cost. Programs provide services to persons who might not otherwise receive care or assist in the development of resources needed to provide health care. HRSA's international activities reflect its domestic responsibilities.

The **International Health Affairs** office focuses on areas that parallel those in which the Agency has domestic interests and expertise. They include Hansen's disease, health manpower development and training, maternal and child health, nursing education, and HIV/AIDS.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	1	0
National Interests Addressed:	American Citizens and Borders; Humanitarian Response; Global Issues	

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## National Institutes of Health (NIH)

The NIH consists of 24 separate Institutes and Centers and is the principal biomedical research institute of the U.S. Government. The Fogarty International Center is the focal point for international programs at NIH.

The **Scholars-in-Residence Program** enables a small number of eminent U.S. and foreign scientists to work with the NIH community, and to conduct studies of international interest and importance in contemporary biomedicine and international health. The duration of the award is 12 months. The award may be divided into terms of at least 3 months over a four-year period.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$137,706	0	8
National Interests Addressed:	Global Issues	

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The **Senior International Fellowship (SIF) Program** is intended to enhance the exchange of ideas and information about the latest advances in the health sciences, including basic, clinical and public health sciences; permit U.S. scientists to participate abroad in ongoing study or research in the health sciences; and improve the research, education, and clinical potential of the Fellow's institution. The fellowship duration is three to twelve months with an average length of nine months.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$611,000	21	0
National Interests Addressed:	Advancement of Science (Health)	

\* \* \* \* \*

The NIH **Visiting Program** is the largest of the NIH scientific exchange programs. Program participants must be invited to the NIH by a senior intramural investigator who will sponsor the visitor's research training or experience. Visiting Program participants are funded by the NIH and are placed in one of two subcategories:

Fellows -- junior scientists with less than five years of relevant postdoctoral research experience, who come to NIH for research training. They receive a stipend and are not considered employees of the NIH.

Scientists -- scientists with more than three years of relevant postdoctoral research experience, who come to NIH to conduct collaborative research. They receive a salary, and are considered employees.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$67,177,826	0	2,261
National Interests Addressed:	Advancement of Science (specifically, biomedical research)	

\* \* \* \* \*

NIH **Guest Researchers** carry out independent research using NIH facilities and equipment, but without NIH funding. Typically, support is received from an outside organization, such as a U.S. private corporation or foundation (but not a U.S. Government source), a foreign government, or a private organization.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	99
<b>National Interests Addressed:</b>	Advancement of Science (specifically, biomedical research)	

\* \* \* \* \*

NIH **Special Volunteers** include post-graduate scholars and researchers who conduct research in biomedical and behavioral sciences, in collaboration with and under the direction of an NIH sponsor. Typically, support is received from an outside organization, such as a U.S. private corporation or foundation (but not a U.S. Government source), a foreign government, or a private organization.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	522
<b>National Interests Addressed:</b>	Advancement of Science (specifically, biomedical research)	

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The **International Research Fellowship (IRF) Program** provides opportunities for postdoctoral biomedical and behavioral scientists who are in the formative stages of their careers to extend their research experience in a laboratory in the United States. These fellowships serve to forge relationships between scientists in the United States and qualified scientists in other countries in order to solve health-related problems of mutual interest. The fellowship duration is one or two years with the majority of Fellows receiving a two-year fellowship.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$808,000	0	25
<b>National Interests Addressed:</b>	Advancement of Science (Health)	

\* \* \* \* \*

The **National Research Service Award (NRSA)** allows postdoctoral scientists, up to seven years beyond the doctoral degree, to pursue research in the United States or in a foreign institution. This program is administered by the categorical components of NIH.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$403,740	16	0
<b>National Interests Addressed:</b>	Global Issues	

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## National Institute on Drug Abuse (NIDA)

The **International Program** implements the NIDA mission through coordination with international and regional organizations, with other agencies of the U.S. Government, and with non-governmental organizations involved in research on drug abuse and its related health consequences. Through the International Visiting Scientist and Technical Exchange (INVEST) Program, NIDA fosters international research collaboration through technical consultation, scientific exchange, information dissemination and international communications networking, and research fellowships.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$663,000	36	91
National Interests Addressed:	Humanitarian Response; Global Issues; Advancement of Science	

\* \* \* \* \*

## National Cancer Institute (NCI)

The **Short-Term Scientists Exchange Program** promotes collaboration in cancer research between postdoctoral and, occasionally, pre-doctoral foreign scientists and NCI intramural and extramural scientists. These exchanges last from three months to one year. The program also allows foreign scientists to come to the U.S. or to another country for specialized training such as cancer registry.

The **Oncology Research Faculty Development Program** offers postdoctoral cancer researchers from lesser or under developed countries the opportunity to work with NCI intramural and extramural scientists for up to three years.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$670,481	4	50
National Interests Addressed:	Global Issues	

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## National Institute on Neurological Disorders and Stroke (NINDS)

The **International Neurological Science Fellowship Program** provides opportunities for junior or mid-career health professionals and scientists in the neurological sciences to enhance their basic or clinical science research skills in a research setting in the United States. Preference is given to applicants from developing countries who are currently working or planning careers in health organizations or health professional schools. Applicants must demonstrate that upon completion of the fellowship they will have the opportunity to use their newly acquired skills to teach or direct others, or to pursue research, upon return to their home country. The objective of this Fellowship Program is to prepare candidates for

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leadership positions in research, academic, and public health institutions. Three 12-month fellowships are available each year. They are awarded only to applicants of the highest quality.

During FY 1998, the NINDS supported three International Neurological Science Fellowships for individuals from China, Georgia, and Russia.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$94,460	0	3
<b>National Interests Addressed:</b>	Advancement of Science	



Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	349



# DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

451 Seventh Street, SW, Room 8118 • Washington, DC 20410  
Office of International Affairs: 202-708-0770 • [www.hud.gov](http://www.hud.gov)

The **Department of Housing and Urban Development (HUD)** is the principal federal agency responsible for programs concerned with the nation's housing needs, fair housing opportunities, and improvement and development of the nation's communities.

## Office of International Affairs

The Office of International Affairs helps HUD bring an international perspective to the Department's efforts to improve urban development in the United States. Through collaboration with other nations and partnering with various stakeholder groups, the office supports the creation and improvement of housing and urban development conditions in the United States and abroad.

HUD recognizes the importance of undertaking cooperative activities in areas that are of mutual interest to the U.S. and other nations. By exchanging information, sharing experiences, and promoting research activities related to housing, urban affairs, social development, and disaster mitigation, we further the agendas of the U.S. and other nations simultaneously. To encourage sustainable development and facilitate cooperation between countries, the Office of International Affairs focuses its efforts on enriching the programs of collaboration in housing and urban development as a part of Binational Commissions. The office also arranges appointments and coordinates visits for foreign government officials and scholars who are interested in studying U.S. policies and programs.

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	349
National Interests Addressed:	Economic Prosperity; Global Issues	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$469,410	\$444,350	\$25,060	\$477,440	\$24,432	\$179,316	\$0	\$1,150,598	1,203



# DEPARTMENT OF THE INTERIOR

1849 C Street, NW • Washington, DC 20240  
 International Affairs Office: 202-208-3048 • [www.doi.gov](http://www.doi.gov)

The mission of the **Department of the Interior** is to protect and provide access to our nation's natural and cultural heritage and honor our trust responsibilities to Native American tribes. The Department manages the nation's public lands and minerals, national parks, national wildlife refuges, and western water resources and upholds federal trust responsibilities to Native American tribes. It is responsible for migratory wildlife conservation; historic preservation; endangered species; surface-mined lands protection and restoration; mapping; and geological, hydrological, and biological science.

The Department has conducted international activities for almost 100 years for the following four purposes:

- To meet the Department's domestic responsibilities to protect migratory wildlife, reduce off-shore oil spills, obtain foreign science and technology beneficial to domestic programs (e.g., cross-border firefighting);
- To meet the Department's Congressionally mandated international activities (e.g., elephant, rhino and tiger protection, migratory bird preservation);
- To meet U.S. treaty obligations, such as the:
  - Convention on International Trade in Endangered Species of Wild Fauna and Flora;
  - Convention Concerning Protection of the World Cultural and Natural Heritage;
  - Convention on Nature Protection and Wildlife Preservation in the Western Hemisphere;
  - 1909 U.S.-Canada Boundary Waters Treaty;
  - 1944 Mexican Water Treaty;
  - Convention on Wetlands of International Importance; and
  - U.S.-Canada Migratory Bird Convention.
- To support U.S. foreign policy objectives at the request of the White House, the State Department or the U.S. Trade Representative, provide technical and scientific advisors in wildlife, water and park management, assess minerals, hazards and natural resources (e.g., water issues in the Middle East Peace Talks, the U.S.-South Africa and U.S.-Russia Binational Commissions, which are chaired by the Vice President).

## U.S. Geological Survey (USGS)

The USGS, through its **International Visitor Exchange Program** No. G5-0153, provides specialty training, research, and development opportunities in various fields of research and training, under the Mutual Educational and Cultural Exchange Act of 1961, for selected individuals from academic and professional fields abroad. Participation in projects includes, but is not limited to, the following scientific disciplines: biology, cartography, chemistry, engineering, geochemistry, geology, geophysics, hydrology, remote sensing, seismology, volcanology, and other related technical, managerial, and administrative support activities.

In FY 1998, the USGS hosted 88 foreign visitors in its International Exchange Program. USGS arranged for the program participants to be placed, not only at USGS installations, but at other federal and non-federal locations around the United States. The majority of these international visitors participated in important scientific research coordinated by USGS scientists. The following is a partial listing of these activities:

- International visitors from Russia, France, China, Italy, England, and Switzerland studied earthquake hazard research in the areas of heat flow studies, crustal structure, and waveform data at the San Andreas Fault.
- Volcano studies in the areas of volcano monitoring, mapping of new lava flows, sampling of active lava, and assisting in the rock processing laboratory were held at the Hawaiian Volcano Observatory. Studies were coordinated with visitors from Belgium, England, and Japan.
- German visitors studied Coastal and Marine Geology and the problems with natural and pollutant hydrocarbons. Studies were conducted along the Gulf of Fonseca in Central America on coral reef and mangrove destruction caused by Hurricane Mitch.
- USGS hosted international visitors from Russia who spent time at USGS Headquarters in Reston, Virginia, working on activities related to geographic information systems (GIS). These Russian visitors were instrumental in producing several geologic maps of Central America enabling detailed studies of landslides, flooding, volcano hazards, and environmental damages caused by Hurricane Mitch in Central America.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$284,580	807	88
National Interests Addressed:	Humanitarian Response; Global Issues	

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## The National Park Service (NPS)

The NPS sponsors cultural and educational exchanges under Exchange Program No. G5-0-206. NPS also maintains international programs of communication and cooperation regarding natural resource preservation and protection in response to the World Heritage Convention. As a complement to its domestic Volunteers in Parks (VIP) programs, NPS offers an **International Volunteers in Parks (IVIP) Program** which places foreign residents in U.S. parks as a means of providing them with in-the-field training regarding the U.S. park system and furthering international goals of biodiversity and

sustainable development. IVIP participants have training or ambitions to work in fields relating to parks in their home country. Potential participants in this program include graduate students doing thesis research or looking for more specific career directions within the environmental field as well as professionals looking for special skills or training they may not be able to receive in their country.

The IVIP program is based on three principles:

- The belief that the experience gained by the IVIPs in the United States will be valuable in any future relations that these individuals will have with parks in their countries of residence, and will further the goals of biodiversity and sustainable development in their countries.
- The contacts the IVIPs develop in the U.S. with park employees and park visitors will be an excellent cultural learning experience; participants will gain a better understanding of our country and governing processes.
- The NPS employees who work with the IVIPs will also have an interesting and educational experience as they work closely with people from differing cultures and with different professional backgrounds. This will help the NPS to work more sympathetically and more effectively with the ever-increasing number of foreign tourists visiting our parks every year.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$184,830	184	124
<b>National Interests Addressed:</b>	Global Issues	

Note: As part of its oversight duties, the Department of Interior's Office of Insular Affairs provides Department of State funds for training officials from the Marshall Islands, Federated States of Micronesia, and Palau. Other Interior offices and bureaus engage in training activities or exchanges, as appropriate, often under the auspices of another federal agency, such as the U.S. Department of Agriculture (for fire training exchanges) and the U.S. Information Agency. To avoid any duplication, the Department of Interior did not count these activities for purposes of this report.

The Department's Office of International Affairs serves as a primary point of contact to work with other Interior offices and bureaus in arranging meetings and giving presentations to foreign government officials and international non-governmental professionals. The Department does not fund these visits; costs are typically borne by foreign governments, international organizations, or private foundations.

In FY 1997, the Department facilitated over 1,375 participants engaging in international training and exchange activities which included the following: 1) 875 participants for USGS with U.S. Government funding of approximately \$317,000; 2) 393 participants for NPS with U.S. Government funding of approximately \$200,000; and 3) 104 participants for U.S. Fish and Wildlife Service with U.S. Government funding of approximately \$210,000. (Please note that the aforementioned figures replace those provided in the *FY 1997 Annual Report*.)

In FY 1998, the Department facilitated a similar number of training and exchanges. Due to changing priorities, NPS experienced a decrease in numbers of participants. The Fish and Wildlife Service managed approximately the same number of participants; however, statistical information was unavailable at the time of press. The Department's Office of Insular Affairs provided about \$90,000 to the Department of State to provide training for about 10 officials from the Marshall Islands, Federated States of Micronesia, and Palau (these figures are not represented in this year's *Annual Report*). Other Department of Interior offices and bureaus may have

facilitated training and exchanges, but lack statistical information. Most of such training and exchanges was facilitated in conjunction with other federal agencies.

Total USG Funding	Agency Appropriation	Interagency Transfer	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$53,305,349**	\$2,741,139**	\$50,564,210**	\$495,500**	\$0	\$0	\$0	\$53,800,849**	4,585*

\*Figures represent estimates.

\*\*Figures include funds expended for larger programs that include exchanges and training components.



## DEPARTMENT OF JUSTICE

950 Pennsylvania Avenue, NW • Washington, DC 20530  
Office of Public Affairs: 202-616-2777 • [www.usdoj.gov](http://www.usdoj.gov)

The **Department of Justice**, under the Attorney General, enforces federal laws and contributes to the fair and efficient administration of the federal justice system. The Department is responsible for detecting, apprehending, prosecuting, and incarcerating criminal offenders; upholding the civil rights of all Americans; enforcing laws to protect the environment; ensuring healthy business competition in our free enterprise system; safeguarding the consumer from fraudulent activity; enforcing the immigration laws of the United States; and representing the American people in all legal matters involving the U.S. Government.

The Department's international training activities assist the law enforcement and judicial communities of foreign nations in their efforts to develop self-sustaining institutions that will ensure open, reliable, and impartial justice for an entire population. Various entities within the Department of Justice apply their specialized expertise to offer international training, which supports specific U.S. foreign policy goals.

### Antitrust Division

The Antitrust Division promotes and protects the competitive process, and the U.S. economy, through the enforcement of the antitrust laws. The antitrust laws apply to virtually all industries and to every level of business, including manufacturing, transportation, distribution, and marketing. The laws prohibit a variety of practices that restrain trade, such as price-fixing conspiracies, corporate mergers likely to reduce the competitive vigor of particular markets, and predatory acts designed to achieve or maintain monopoly power.

With U.S. Agency for International Development (USAID) funding and in conjunction with the Federal Trade Commission (FTC), the Antitrust Division conducts international training activities to transfer U.S. knowledge and experience in competition policy and law enforcement, to facilitate the

development of sound competition policy and antitrust law enforcement in selected countries, and to promote the application of free market principles in transition economies. Technical assistance is provided by the Antitrust Division by placing two-person attorney/economist teams from the FTC and Antitrust Division in competition offices for extended periods, and short-term missions on specific competition issues, economic sectors, or current cases. The Antitrust Division also assists competition offices in developing and refining competition laws and related policies, and trains competition office staff on investigative techniques, legal and economic concepts, and analytical methods.

In FY 1998, the Antitrust Division, with the FTC, provided technical assistance to 23 national competition agencies in Eastern Europe, the New Independent States, Latin America, and the Caribbean. USAID provided funding for most programs, with some costs funded by the Antitrust Division. The Antitrust Division and FTC placed long-term advisors in Romania for twelve months to provide advice and assistance in competition policy enforcement mechanisms to the Competition Council.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$479,036	9	305*
<b>National Interests Addressed:</b>	Economic Prosperity; Law Enforcement	

\* \* \* \* \*

## Criminal Division

The **Office of Overseas Prosecutorial Development, Assistance, and Training (OPDAT)** works in coordination with and is funded by the Department of State's Bureau of International Narcotics and Law Enforcement Affairs (DOS/INL) and the U.S. Agency for International Development. OPDAT has been a key participant in U.S. efforts to strengthen democratic governments by helping to build justice systems that promote the rule of law and serve the public interest.

OPDAT provides global assistance for prosecutors and judicial officials by offering technical assistance, legal training, resources, and academic support. In addition to OPDAT training personnel, Resident Legal Advisors, who are experienced prosecutors, are stationed in countries where OPDAT has long-term rule of law programs.

OPDAT also serves as the Department of Justice's liaison with various private and public agencies that sponsor visits by foreign officials who are interested in a close examination of the U.S. federal legal system. Visitors with specific interests are given the opportunity to meet with practitioners from specialized components of the Justice Department to discuss such issues as money laundering, organized crime, asset forfeiture, narcotics and other drugs, ethics and public corruption, juvenile justice and delinquency prevention, civil rights, and international judicial assistance and extradition. The opportunity for comparative law dialogue which the visitors' program presents aids the Justice Department in its efforts to promote international legal assistance and cooperation.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$20,698,789**	130*	792*
<b>National Interests Addressed:</b>	Democracy and Human Rights; Law Enforcement	



\* \* \* \* \*

The **International Criminal Investigative Training Assistance Program (ICITAP)** supports U.S. foreign policy by providing developmental assistance to foreign criminal justice systems. ICITAP projects are developed under the policy direction of the Departments of Justice and State, with funding from the latter, to advance mid- and long-term U.S. policy objectives in law enforcement, promoting democracy and respect for human rights. All ICITAP efforts are based on internationally recognized principles of human rights and rule of law. ICITAP conducts two principle types of assistance projects: a) development of the institution and principles of policing, and b) rehabilitation or enhancement of specific law enforcement capabilities.

In the context of international peacekeeping missions, it is often necessary to effect rapid and radical change to the police as an institution. This involves changing institutional orientation from a police agency that functions in service to the State to one that adheres to the democratic principles of policing as a service and protection of the people. ICITAP projects in Panama, El Salvador, Haiti, Guatemala, Albania, Kosovo, and Bosnia are examples of these types of projects. In other programs, ICITAP provides technical assistance and training to one or more discrete aspects of a country's existing law enforcement organization, such as enhancement of forensic capabilities, expansion of criminal investigation skills and techniques, and development of internal discipline mechanics. ICITAP's programs in Bolivia, Colombia, Honduras, South Africa, and the NIS fall into this category.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$24,155,293**	343	135
<b>National Interests Addressed:</b>	American Citizens and Borders; Democracy and Human Rights; Humanitarian Response; Law Enforcement	

\* \* \* \* \*

## Drug Enforcement Administration (DEA)

The mission of the DEA is to enforce the controlled substances laws and regulations of the United States and bring to the criminal and civil justice system of the United States, or any other competent jurisdiction, those organizations and principal members of organizations, involved in the growing, manufacture, or distribution of controlled substances appearing in or destined for illicit traffic in the United States; and to recommend and support non-enforcement programs aimed at reducing the availability of illicit controlled substances on the domestic and international markets.

The International Training Section operates in coordination with the Department of State, Bureau of International Narcotics and Law Enforcement Affairs, to provide counter narcotics training to police officials worldwide. This section within DEA is responsible for planning, developing and conducting drug law enforcement schools for foreign law enforcement officials. Input from the respective DEA Country Office/U.S. Mission and the host country is utilized to customize the training programs and maximize exposure to those areas, which will be most beneficial to the DEA/U.S. Mission objectives.

DEA's International Training Section objectives are to upgrade drug law enforcement capabilities of foreign law enforcement agencies, to encourage and assist key countries in developing self-sufficient drug investigative training programs, to provide foreign officials with motivation, as well as necessary skills and knowledge required to initiate and continue high level drug investigations. Also to increase and foster regional cooperation and communication between the countries and between foreign police and DEA personnel.

During FY 1998, DEA's International Training Section conducted training programs for 1,800 police officials from 61 countries.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$3,194,574	0	1,800
<b>National Interests Addressed:</b>	Law Enforcement	

\* \* \* \* \*

## Federal Bureau of Investigation (FBI)

The FBI is the principal investigative arm of the United States Department of Justice. The Federal Bureau of Investigation is responsible for detecting and investigating crimes against the United States and performing other duties connected with national security. The FBI has increasingly had to respond to an unprecedented growth in transnational crime, and now maintains an active overseas presence that fosters the establishment of effective working relationships with foreign law enforcement agencies. Additionally, the FBI trains law enforcement officers in both basic and advanced investigative techniques and principles in an effort to promote country-to-country cooperation. Besides its participation in international working groups, the FBI is involved in the exchange of mid-level supervisory personnel from police agencies, and with INTERPOL which facilitates the rapid exchange of criminal investigative information on drug smuggling and other international crimes.

The International Training and Assistance Units I and II provide operational investigative support and infrastructure building for the U.S. Government through training of foreign law enforcement officials in all world regions. Training needs of foreign law enforcement agencies are identified through the FBI's Legal Attaches, the American Embassies, and foreign law enforcement representatives. The FBI conducts in-country training, U.S.-based practical case training at FBI Field Offices, and training at the FBI Academy in Quantico, Virginia, and overseas at the International Law Enforcement Academies (ILEA) in Hungary and South America.

In FY 1998, the FBI's International Training Units offered 119 courses to 3,756 participants representing 184 countries (not all participants cross borders to receive training). Although some courses are eight weeks in length, the average course duration is usually one to two weeks.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$3,663,478**	175	548
<b>National Interests Addressed:</b>	Law Enforcement	

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## Immigration and Naturalization Service (INS)

The INS conducts training for foreign law enforcement professionals on topics including intelligence, alien smuggling prevention, fraudulent document detection, and border patrol operations. In-country training is conducted in different world regions and at established academies such as ILEA in Budapest. The training is funded by a transfer from the Department of State, Bureau of International Narcotics and Law Enforcement Affairs.

Two training courses of 80 and 104 hours, respectively, were developed in order to support administration efforts to combat international migrant smuggling by providing technical and professional training for foreign border guard and immigration agencies in Eastern and Central Europe, Central America, and Africa.

Course one, "International Immigration Training Course," provides an overview of U.S. immigration functions and operations as well as technical, legal and managerial training to enhance participants' ability to effectively implement border security.

Course two, "Immigration Training Development Course," provides technical information on the process for designing, developing, managing delivery and evaluating a basic immigration law enforcement training program.

During FY 1998, the International Training Unit delivered eight training courses to approximately 300 senior- to mid-level managers from fifteen nations in Eastern and Central Europe, Central America, and Africa.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,077,384*	44*	300*
<b>National Interests Addressed:</b>	Economic Prosperity; American Citizens and Borders; Democracy and Human Rights; Humanitarian Response; Global Issues; Law Enforcement	

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## National Institute of Justice

The **Office of Justice Programs International Activities** fosters cooperation and collaboration between the Police Scientific Development Branch of the Home Office, United Kingdom, and the National Institute of Justice, U.S. Department of Justice, in the research, development, evaluation, and operational use of law enforcement technologies, and to allow participants to share ideas, develop skills, and foster mutual understanding in areas of mutual interest. Programs included discussions, presentations, and a series of field trips for on-site observation. Specific time limits for the exchanges are not specified but the last two exchanges were for six weeks. There is no requirement for exchanges to take place each year.

DEPARTMENT OF JUSTICE

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$36,795	1	3
National Interests Addressed:	Law Enforcement	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$445,135	\$0	\$445,135	\$123,000	\$0	\$0	\$104,000	\$672,135	147



## DEPARTMENT OF LABOR

200 Constitution Avenue, NW • Washington, DC 20210  
Public Information: 202-219-7316 • [www.dol.gov](http://www.dol.gov)

The purpose of the **Department of Labor** is to foster, promote, and develop the welfare of the wage earners of the United States, to improve their working conditions, and to advance their opportunities for profitable employment. In carrying out this mission, the Department administers a variety of federal labor laws guaranteeing workers' rights to safe and healthful working conditions, a minimum hourly wage and overtime pay, freedom from employment discrimination, unemployment insurance, and workers' compensation. The Department also protects workers' pension rights; provides for job training programs; helps workers find jobs; works to strengthen free collective bargaining; and keeps track of changes in employment, prices, and other national economic measurements. As the Department seeks to assist all Americans who need and want to work, special efforts are made to meet the unique job market problems of older workers, youths, minority group members, women, the handicapped, and other groups.

### Bureau of International Labor Affairs (ILAB)

#### National Administrative Office (NAO)

The NAO was established as mandated by the North American Agreement on Labor Cooperation (NAALC), a supplement to the North American Free Trade Agreement (NAFTA). NAALC promotes cooperative activities between the signatories in many labor areas including, but not limited to, workers' rights, occupational safety and health, human resource development, labor statistics, and labor-management relations. In addition to its many other functions under the NAALC, the NAO coordinates tri-national labor cooperative activities with Canada and Mexico. These activities can consist of seminars, training sessions, working groups and conferences, joint research projects, technical assistance projects, and any other such activities agreed upon by the Agreement signatories.

In FY 1997, the following workshops/conferences were held in Canada, Mexico, and the United States under the auspices of the NAALC agreement:

- Improving Children's Lives: Child and Youth Labor in North America (public conference)
- Women and Work in the 21st Century (public conference)
- Industrial Relations for the 21st Century (public conference)
- Income Security Programs (closed workshops)
- Occupational Safety and Health Petrochemical and Construction Study Tour
- Non-Standard Work and Changing Work Time Patterns and Practices in North America (closed workshop)

In FY 1998, NAO's **Cooperative Activities Program** featured the following conferences:

- Protecting Working Children in North America: A Shared Responsibility, October 15-16, 1997, in Ottawa, Ontario, Canada. The conference was hosted by the Canada NAO. It built on discussions at the conference on "Improving Children's Lives: Child and Youth Labor in North America." Topics addressed were 1) promoting programs to inform children and youth, their parents, employers and the community about legislation and employment rights; 2) balancing work and school; 3) providing adequate safeguards for the safety and health of working children and youth; and 4) recognizing family dynamics and the importance of access to adequate day care and social services and supports, and of meeting the basic and special needs of migrant workers and disadvantaged families.
- Labor Market Trends, April 1-2, 1998, in Guadalajara, Mexico. The conference was hosted by the Mexico NAO. The focus of this conference was to increase awareness of training programs and placement services carried out by the three governments; review current government programs and their capacity to respond effectively and rapidly to changing trends; assess government and workplace responses to long-term trends; and discuss future perspectives.
- Occupational Safety and Health Conference, May 20-22, 1998, in Mexico City, Mexico. In conjunction with the North American Occupational Safety and Health Week, a conference was held by the Mexican government to showcase the importance of the different elements of safety and health in the firms, and to exchange experiences in specific areas that promote a better preventive culture on the sectors of society.
- The Role of the New NAFTA Institutions: Regional Economic Integration and Cooperation, June 19-20, 1998, in Los Angeles, California. This conference was hosted by the NAO and the North American Integration and Development Center of the University of California, Los Angeles. Topics focused on the challenges of the new NAFTA institutions: NAFTA and the environment; NAFTA and labor cooperation; NAFTA and trade adjustment; and the future of NAFTA.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$80,135	23	40
<b>National Interests Addressed:</b>	Economic Prosperity; American Citizens and Borders; Democracy and Human Rights; Labor Standards	

\* \* \* \* \*

## Bureau of Labor Statistics (BLS)

### International Labor Statistics Center (ILSC)

The ILSC of the Bureau of Labor Statistics (BLS) conducts several seminars of 4-6 weeks' duration each year.\* The seminars are designed to strengthen the participants' abilities to collect and analyze economic and labor statistics. The participants are statisticians, economists, analysts, and other data users from countries all over the world. The Center will also arrange programs to meet the specific needs of individuals or groups. A course on Training of Trainers (TOT) is offered after several scheduled seminars as well. The Bureau charges tuition for participation in the seminars and special programs. Participants are sponsored by their own governments; the United Nations and its affiliated agencies; international organizations such as Asia Foundation; or, in some cases, by the U.S. Agency for International Development's country mission. In FY 1998, the ILSC cooperated with the Bureau of International Labor Affairs in offering statistical training as part of larger technical assistance efforts of the Department of Labor in Central and Eastern Europe and South Africa.

Seminars offered by the ILSC include:

- Labor Market Information
- Measuring Wages and Compensation
- Managing Information Technology
- Constructing Price Indexes
- Measuring Productivity
- Measuring Employment and Unemployment
- Projecting Tomorrow's Workforce Needs
- Economic Indicators
- Analyzing Labor Statistics

The BLS may conduct seminars overseas on request or provide experts to serve as consultants. In addition, the ILSC arranges appointments for international visitors to the Bureau. In FY 1998, the Center arranged appointments for approximately 300 short-term visitors. These visitors were not funded with Department of Labor appropriated funds. (Please note: these visitors are not reflected in statistical data compiled in this inventory.)

\* Funding for the ILSC is generated from the tuition paid by outside organizations for participants to attend the seminars offered. No monies appropriated to the BLS are used to fund participation in the ILSC seminars.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$365,000	0	84
National Interests Addressed:	Economic Prosperity	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$25,720,776	\$20,800,999	\$4,919,777	\$3,000,000	\$0	\$0	\$0	\$28,720,776	3,286



## DEPARTMENT OF STATE

2201 C Street, NW • Washington, DC 20520  
 Bureau of Public Affairs: 202-647-6575 • [www.state.gov/index.html](http://www.state.gov/index.html)

The **Department of State** advises the President in the formulation and execution of foreign policy. As Chief Executive, the President has overall responsibility for the foreign policy of the United States. The Department of State's primary objective in the conduct of foreign relations is to promote the long-range security and well-being of the United States. The Department determines and analyzes the facts relating to American overseas interests, makes recommendations on policy and future action, and takes the necessary steps to carry out established policy. In so doing, the Department engages in continuous consultations with the American public, the Congress, other U.S. departments and agencies, and foreign governments; negotiates treaties and agreements with foreign nations; speaks for the United States in the United Nations and in more than 50 major international organizations in which the United States participates; and represents the United States at more than 800 international conferences annually.

### Bureau of Intelligence and Research (INR)

The **Program for the Study of Eastern Europe and the Independent States of the Former Soviet Union (Title VIII)** was created by legislation in 1983 to redress the diminishing supply of U.S. experts on this region by providing stable, long-term financing on a national level. The program supports advanced research; graduate and language training (domestic and on-site); public dissemination of research data, methods and findings; and contact and collaboration among government and private specialists.

The Title VIII program operates on the basis of a competitive two-stage award process with the assistance of a legislatively mandated federal advisory committee. By strengthening and sustaining in the United States a cadre of experts on Eastern Europe and the independent states of the former Soviet Union, the program contributes to the overall objectives of the Freedom Support and Support for Eastern European Democracy programs. Funding is provided by the U.S. Agency for International Development.



Awards totaling \$4.8 million were made in FY 1998 to nine organizations.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$4,800,000	165	0
National Interests Addressed:	National Security; Democracy and Human Rights	

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## Bureau of Diplomatic Security (DS)

The goal of the **Antiterrorism Assistance Program (ATA)** is to improve the capabilities of foreign countries to overcome terrorist threats while promoting democratic and human rights values essential for free and stable societies. ATA training enhances the antiterrorism skills of foreign police, law enforcement, and security officials while adhering to and fostering human rights standards. It also provides a vehicle for continued contact and dialogue between U.S. and foreign security officials.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$19,000,000	0	1,238
National Interests Addressed:	Law Enforcement; National Security; American Citizens and Borders; Democracy and Human Rights	

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## Foreign Service Institute (M/FSI)

The **Foreign Diplomatic Training Program** at FSI continues to provide training for foreign diplomats from Micronesia under an agreement with the Department of the Interior, which has the mandate for this program. Over the past 10 years, the program has provided training to more than 100 Micronesian diplomats. The average duration of the program has been at least two weeks. The goal is to provide the training necessary to establish and improve diplomatic services for the Freely Associated States.

In 1998, 16 Micronesian diplomats (Palau - 8, Federated States of Micronesia - 4, Marshall Islands - 4) received training at FSI in consular affairs, with additional broad exposure to written and oral communications, negotiation, and international law of the sea. In addition, approximately 20 officials in each capital participated in a one-day workshop on the process of establishing national strategic and diplomatic goals and priorities.

The Compact of Free Associated States itself meets the national security needs of the United States, and at the same time provides support for Democracy and Human Rights. It also is a humanitarian response to the conditions in the Freely Associated States. This diplomatic training program is an integral part of the Compact treaty relationship.

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$119,777	3	16
<b>National Interests Addressed:</b>	National Security; Democracy and Human Rights; Humanitarian Response; Global Issues	

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## Bureau of International Narcotics and Law Enforcement Affairs (INL)

The **International Demand Reduction Training and Technical Assistance Program** seeks to reduce the worldwide demand for illicit drugs by motivating foreign governments and institutions into giving increased attention to the negative effects of drug abuse upon society. In addition, the program attempts to mobilize international opinion against the drug trade and mobilize regional and international support for counternarcotics policies, programs, and strategies.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,800,999	114	1,750
<b>National Interests Addressed:</b>	Law Enforcement; Health Issue – Drug Addiction	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$1,360,442*	\$697,826*	\$662,616	\$1,355,464**	Not Reported	\$2,574	\$276,768	\$2,995,248	2,721

\*Portions represent funds for larger programs that include exchanges and training components.

\*\* Estimated



# DEPARTMENT OF TRANSPORTATION

400 7th Street, SW • Washington, DC 20590  
Public Information: 202-366-5580 • [www.dot.gov](http://www.dot.gov)

The **Department of Transportation (DOT)** establishes the nation's overall transportation policy. Under its umbrella there are 10 administrations whose jurisdictions include highway planning, development, and construction; urban mass transit; railroads; aviation; and the safety of waterways, ports, highways, and oil and gas pipelines. Decisions made by the Department in conjunction with the appropriate State and local officials strongly affect other programs such as land planning, energy conservation, scarce resource utilization, and technological change.

As we approach the 21st Century, the Department of Transportation's importance to America is greater than ever -- making possible the efficient movement of people and goods that has produced America's prosperity. Transportation is about more than concrete, asphalt, and steel. It is about providing opportunity for all Americans. Hence, our goal continues to be the development of a transportation system that is safe, efficient, and convenient. Secretary of Transportation Rodney E. Slater submitted to Congress the Department of Transportation Strategic 5-Year Plan (1997-2002) which addresses the Secretary's agenda to prepare for the new century by building transportation systems that are international in reach, intermodal in form, intelligent in character, and inclusive in nature.

Created in 1967, DOT linked a variety of transportation functions and programs, some of which have existed for two centuries. DOT's 100,000 employees are deployed around the world, and work within the following agencies:

- United States Coast Guard
- Federal Aviation Administration
- Federal Highway Administration
- Federal Railroad Administration
- National Highway Traffic Safety Administration
- Federal Transit Administration
- St. Lawrence Seaway Development Corporation

- Maritime Administration
- Research and Special Programs Administration
- Bureau of Transportation Statistics
- Surface Transportation Board

A number of the Department's modal agencies are engaged in international cooperation, training, and exchange activities.

## Office of the Secretary/Office of International Transportation and Trade

The **TRANSPORT Project**, along with other cooperative projects, is administered under the auspices of the United States-Saudi Arabian Joint Economic Commission (JEC). The Department of the Treasury is the lead agency for the JEC. The TRANSPORT Project is a cooperative effort between the Department of Transportation and the Saudi Arabian Ministry of Communications (MOC), and is designed to provide training in support of Saudi Arabia's transportation program and to foster technology exchange between the two countries. The project has been successful in attracting U.S. technology to Saudi Arabia. The Project is funded by the Government of Saudi Arabia with funds deposited in the United States Treasury.

In addition to the eight participants who received on-the-job training in the United States in highway and maritime transportation in 1998, technical training was given to approximately 92 Saudi Arabian Ministry of Communication engineers on-site in Saudi Arabia. Three U.S. professionals stationed in Saudi Arabia serve as advisors to the MOC.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	8
National Interests Addressed:	Economic Prosperity	

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## Federal Aviation Administration (FAA)

Through the **Exchange Visitor Program**, FAA arranges visas for specialists of foreign aviation departments to enter the U.S. for periods of up to three years to conduct studies, exchange information and expertise, and/or participate in cooperative research projects. The Exchange Visitor Program offers FAA offices a way to work cooperatively with foreign aviation officials in the interest of aviation safety. The program can also be used reciprocally to provide for similar FAA visits to foreign aviation departments. In FY 1998, the FAA hosted five exchange visitors, four of whom were from France. Two of the visitors spent their program at the FAA Transport Airplane Directorate in Seattle, Washington. Two were assigned to the National Aeronautics and Space Administration Ames Research Center in California under an FAA/NASA Research and Development program. The fifth visitor, from Germany, was assigned to the Air Traffic Management program at the FAA headquarters in Washington, D.C.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	5
<b>National Interests Addressed:</b>	American Citizens and Borders; Law Enforcement; Global Issues; Operation of Safe, Secure and Efficient International Airspace	

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The **International Visitors Program** is designed to facilitate cooperation and exchange in the field of aviation. The program's stated goals are to exchange information and experience, encourage and sustain international cooperation, promote acceptance of FAA policies and procedures as well as U.S. standards and equipment, and avoid duplication of research and study efforts. In FY 1998, 724 visitors participated in the program. The majority of international visitors hosted by the FAA are government officials. Many are air traffic controllers interested in visiting FAA air traffic control facilities throughout the country. However, a significant number of visitors are senior-level policy and technical officials who meet with their counterparts to discuss issues pertinent to aviation safety. All costs associated with the FAA International Visitors Program are covered by foreign aviation authorities, privatized government entities, or sponsoring corporations.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	724
<b>National Interests Addressed:</b>	American Citizens and Borders; Law Enforcement; Global Issues; Operation of Safe, Secure and Efficient International Airspace	

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The **Office of International Aviation International Training Program** provides training to foreign aviation officials under government-to-government agreements, generally between the FAA and the Civil Aviation Authority in the recipient country. The recipient country usually reimburses the FAA for the costs associated with the training. Funding for some training programs may be arranged through international organizations, such as the International Civil Aviation Organization, or other agencies. The FAA provides training to foreign aviation officials through its International Training Services Center (ITSC) at the FAA Academy in Oklahoma City and also arranges training at universities, colleges, technical schools, and industry training facilities throughout the United States. Familiarization and on-the-job training can often be arranged in conjunction with formal training programs. The FAA offers various aviation-related courses, including air traffic control, airworthiness and operations, maintenance and installation of equipment, aviation security, and instructor training. The ITSC can also design training courses to meet the aviation needs of a particular country or region. In FY 1998, the FAA provided or arranged training for 375 foreign aviation officials from more than 50 countries.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$60,542	0	375
<b>National Interests Addressed:</b>	American Citizens and Borders; Law Enforcement; Global Issues; Operation of Safe, Secure and Efficient International Airspace	

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## Federal Highway Administration (FHWA)

### Office of International Programs

The Office of International Programs leads the Federal Highway Administration's efforts to serve the U.S. road community's access to international sources of information on road related technologies and markets, and to provide technical assistance on road transportation issues to developing countries and economies in transition.

**International Outreach Programs.** The Office of International Programs administers two programs which send people on technology exchange activities: The International Technology Scanning Program and the Border Technology Exchanges Program. The Office of International Programs also assists its foreign counterparts with setting up long-term exchange programs for their employees who would like to spend 6-12 months with the FHWA. Generally speaking, the FHWA does not spend USG funding on these long-term exchange programs. All support comes from foreign sources.

The **International Technology Scanning Program (ITSP)** serves as a means for identifying, assessing, and importing foreign highway technologies and practices that can be cost-effectively adapted to U.S. federal, state, and local highway programs. Ultimately, the goal of the program is to provide better, safer, and more environmentally sound roads for the American public by implementing the best practices developed abroad. The ITSP includes two components: scanning team reviews and technical information management. Scanning team reviews involve teams of specialists in a particular discipline that are dispatched to consult with foreign counterparts in selected advanced developed countries. Participants usually represent the FHWA, state highway departments, local governments, and, where appropriate, transportation trade and research groups, the private sector and academia. Scanning team reviews are conducted in cooperation with the American Association of State Highway Transportation Officials (AASHTO), Transportation Research Board (TRB), and the National Cooperative Highway Research Program (NCHRP) Panel 20-36 "Highway Research and Technology - International Information Sharing."

Since the program was launched in 1990, approximately 26 reviews have been completed.

The **Border Technology Exchange Program** was created in 1994 to improve transportation along the U.S./Mexico/Canada border regions in support of the North American Free Trade Agreement (NAFTA) through technical training, strengthening relationships/communication, harmonizing institutional developments, and coordinating operational efficiencies. The program is implemented by the U.S. border states.

DEPARTMENT OF TRANSPORTATION

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$180,000*	131	483
<b>National Interests Addressed:</b>	National Security; Global Issues	

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The **National Highway Institute (NHI) International Programs** team is dedicated to promoting highway transportation expertise worldwide and to increasing the transfer of highway transportation technology to the international transportation community. Primary activities include training programs for international participants, establishment of Technology Transfer Centers, International Highway Fellowships, and hosting approximately 150 foreign visitors to the NHI annually. Internationally, the NHI has trained approximately 1,000 individuals per year, starting in 1995. The NHI offers its training courses to both groups and individuals. International groups may purchase NHI courses for presentation in a selected country or interested individuals may purchase single slots in international courses presented in the United States.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$250,000	9	491
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Humanitarian Response; Transportation of People and Goods/Improved Mobility of Defense Forces	

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The **Turner-Fairbank Highway Research Center (TFHRC)** in McLean, Virginia, is the primary research facility of the Federal Highway Administration. TFHRC's mission is to solve complex, technical, and practical problems related to the preservation and improvement of our national highway system through advanced research and development in such areas as safety, intelligent transportation systems, pavements, materials, structural technologies, and advanced technologies. The Center has a visitors program that enables professionals in the fields of transportation and transportation engineering to tour its research facilities, receive briefings on the activities of the facility and its individual labs, and to exchange information and discuss technical issues with lab managers.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	126
<b>National Interests Addressed:</b>	National Security; Global Issues; Advancement of Science	

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## Maritime Administration (MARAD)

The MARAD'S overall mission is to promote the development and maintenance of an adequate, well-balanced, United States merchant marine, sufficient to carry the nation's domestic waterborne commerce and a substantial portion of its waterborne foreign commerce, and capable of serving as a naval and military auxiliary in time of war or national emergency.

The **United States Merchant Marine Academy** educates professional officers and leaders who are dedicated to serving the economic and national defense interests of the United States in our armed forces and merchant marine, and who will contribute to an intermodal transportation system that effectively ties America together. The Academy also opens its courses to qualified foreign students. Foreign students attending the Academy are funded entirely from personal resources or by foreign governments.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	2	11
National Interests Addressed:	National Security; Economic Prosperity	

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## United States Coast Guard (USCG)

The **U.S. Coast Guard Academy (USCGA)** offers a four-year program with an intensive undergraduate curriculum leading to a Bachelor of Science degree. This, coupled with military and leadership training, enables graduates to assume responsible roles as officers in comparable maritime services in their home countries. The academic program consists of eight majors: civil engineering, electrical engineering, marine engineering and naval architecture, mechanical engineering, operations research, marine and environmental sciences, government, and management. The professional program consists of training in navigation and law enforcement, supplemented by summer programs that include general shipboard training, seagoing experience aboard the sail training ship Eagle, military training, and other operational experience. Rigorous physical exercise is an integral part of the program.

International nominees must be sponsored by their government through the U.S. diplomatic mission and may apply by meeting all age, academic, language, and interview requirements. Federal Statute 14 USC 195 requires countries of accepted nominees to agree in advance to reimburse the USCG for the cost of instruction. A limited number of full or partial waivers may be granted based upon the most recent World Bank list of high income countries; however, countries may opt to pay full tuition to this prestigious military academy.

The USCGA is limited statutorily to a maximum of 36 enrolled international cadets. An annual solicitation with detailed information is sent to all posts in the August-September timeframe.



U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$211,900	0	13
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement; Democracy and Human Rights; Humanitarian Response; Global Issues	

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The **U.S. Coast Guard Training Programs** provide training to officer, enlisted, and civilian personnel from foreign military and civilian agencies when USCG operational and training requirements permit, when in compliance with applicable laws and authorities, and when funded by another agency. Most training is funded through Security Assistance, International Narcotics and Law Enforcement Affairs programs, or through other U.S. assistance programs or country funds.

Since many of the world's maritime nations have forces that operate principally in the littoral seas and conduct missions that resemble those of the U.S. Coast Guard, the idea of training with a multi-mission agency like the Coast Guard offers many benefits. The ever-rising demand was clearly reflected in FY 1997, when resident and deployable training increased by more than 100 percent over the previous two years.

Training is available through resident courses at Coast Guard training centers, through on-the-job training at operational units, and through deployable Coast Guard personnel who conduct tailored training and infrastructure assessments through Mobile Education & Training Teams (MET/MTT) in the host country. Tailored training programs are available in the maritime skills and daily operations that support the Coast Guard missions of maritime law enforcement, maritime safety, marine environmental protection, and national security. The most popular courses are Search and Rescue, the International Maritime Officers Course, and several iterations of Boarding Officer-Maritime Law Enforcement MTTs.

The Coast Guard deploys an average of 70 teams per year to over 50 countries, training more than 2,000 students.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$658,000	0	343
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement; Democracy and Human Rights; Humanitarian Response; Global Issues	

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The Coast Guard hosts over 600 international visitors each year in the **International Visitors Program** as part of an effort to build strong working relationships between the Coast Guard and counterpart organizations. These visits range from Service Chief meetings with the Coast Guard Commandant to working meetings with officials from maritime agencies. At these meetings, the Coast Guard addresses policy and operational issues, and explores opportunities for increased cooperation with other maritime services. The International Visitors Program is managed by the Coast Guard International

Affairs staff, which hosts visitors to Coast Guard headquarters and coordinates visits to USCG field units across the country. All visits to the Coast Guard are funded by the visiting agency.

The Coast Guard participates in **International Personnel Exchange Programs** with the United Kingdom, Canada, and Australia. Agreements with the United Kingdom and Canada provide for the reciprocal exchange of pilots with the Royal Air Force, the Royal Navy, and the Canadian Forces. An agreement with Australia established a reciprocal exchange program with the Australian Navy. In addition to the experience Coast Guard officers gain, the Coast Guard derives benefit from the experience provided by officers from other countries who serve with Coast Guard units. These exchanges offer our partner services and the Coast Guard a better understanding of how each operates.

Total USG Funding	Agency Appropriation	Inter-agency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$8,075,929**	\$497,598*	\$7,578,331*	\$6,338,000*	\$30,000**	\$32,174**	\$820,000**	\$15,296,103**	8,289**

\*Figures include funds expended for larger programs that include exchanges and training components.

\*\*Figures include estimates for certain programs.



## DEPARTMENT OF THE TREASURY

1500 Pennsylvania Avenue, NW • Washington, DC 20220

Public Information: 202-622-2000 • [www.ustreas.gov](http://www.ustreas.gov)

The **Department of the Treasury** performs four basic functions: formulating and recommending economic, financial, tax, and fiscal policies; serving as financial agent for the U.S. Government; enforcing the law; and manufacturing coins and currency.

### Federal Law Enforcement Training Center (FLETC)

The FLETC is a partnership of federal enforcement organizations. Its mission is to provide quality, cost-effective training for law enforcement professionals.

The **International Banking and Money Laundering Training Program** was developed to address trends and current developments in these areas. A task force consisting of representatives from law enforcement agencies, intelligence agencies, the banking industry, and the Police Executive Research Forum (PERF) developed the program curriculum. This program, managed by the Federal Law Enforcement Training Center's Financial Fraud Institute, is a working example of inter-agency cooperation. Instructional support is provided by staff members from the Federal Reserve Board; Financial Crimes Enforcement Network (FinCen); the Internal Revenue Service; the Office of International Affairs and the Office of the United States Attorney, Department of Justice; and the United States Customs Service.

Participants are taught to recognize money laundering and cash flow indicators in foreign banking. Among the courses taught: Bank Secrecy Act, Money Laundering Statutes, RFP, FinCen, International Banking Framework, Tracing Money Through Financial Networks, Tax Havens, Case Studies, and Mechanics of International Money Movements. The program is designed for criminal investigators and law enforcement intelligence analysts involved in financial investigations.

The three programs that occurred met the Department of the Treasury Strategic Plan Goal to combat financial crimes and money laundering. They met the objectives of strengthening the capability to fight money laundering, counterfeiting, and other criminal threats to U.S. financial systems. They also met the Treasury goal to maintain U.S. leadership on global economic issues by meeting the objective of promoting the implementation of sound economic policies in developing and emerging market economies.

The programs met the FLETC's goal of providing high quality training for law enforcement by meeting the objectives of expanding international training capabilities, improving and strengthening relationships, and providing continuing career enhancing training programs for law enforcement officials.

The program was presented in three cities in Russia in FY 1998 and will be presented in other countries, subject to State Department funding and approval.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$22,087	15	0
National Interests Addressed:	Law Enforcement	

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The **Export Seaport/Antiterrorism Training Program** is designed for the individual, normally a mid-level manager or first-line supervisor, with security and contingency planning duties and responsibilities associated with a seaport. A simulated crisis management and staff exercise provides an opportunity to deal with realistic problem-solving issues. Guest speakers with specialized expertise are used throughout the program. Topical areas covered are: Bombs and Explosives, Crisis Management Practical Exercises, Environmental Extremists, Hostage Situations, Security and Contingency Planning, Terroristic Strategies and Attacks, Physical Security Equipment for Marine Environment, Crisis Management, Domestic Terrorism, Hazardous Materials Security, Seaport Patrol Procedures, and Tactical Considerations. For acceptance into the program, the applicant must be assigned to duties directly related to security and contingency planning of a seaport. The program is available to law enforcement officers, security personnel (public and private sector under special circumstances), and military personnel.

This program met the Department of the Treasury goal to fight violent crime by meeting the objective of strengthening the capability to fight terrorist threats to the United States. This program met the FLETC's goal of providing high quality training for law enforcement by meeting the objectives of expanding international training capabilities, improving and strengthening relationships, and providing a continuing career enhancing training program for law enforcement officials. In FY 1998, the program was presented to 31 Egyptian police officials in-country at the request of the State Department and the Egyptian Government.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$87,547	5	0
National Interests Addressed:	Law Enforcement	

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The **Advanced Marine Law Enforcement Training Program** provides advanced training for employees of those agencies and organizations involved in the specialized areas of marine regulation and law enforcement. The major emphasis of this training program is on the electronic equipment such as radar, GPS, and LORAN-C which are installed on the vessels. Through classroom instruction and hands-on training in simulated marine narcotics interdiction practical exercises, the students are introduced to the operation, tactics, and management for the successful use of these vessels. Coordination of marine operational planning, including interagency cooperation and use of air support, is stressed; and an underway firing exercise familiarized the students with safely loading and firing weapons on vessels.

Upon completion of the program, students will be able to properly maneuver, in close quarters, fast utility and large boats; develop a comprehensive marine law enforcement operations plan utilizing the systems approach to planning and available intelligence data; safely operate a fast interceptor patrol vessel in a high-speed pursuit; coordinate the use of multiagency resources including airborne assets in a marine enforcement operation; use radar for developing intercept data and collision avoidance and restricted visibility navigation; provide basic first aid and trauma management; follow procedures to safely abandon law enforcement missions through safe navigation and exact positioning development.

This program met the Department of the Treasury goal to reduce the trafficking, smuggling, and use of illicit drugs by meeting the objective of strengthening the capability to interdict illegal drugs. This program met the FLETC's goal of providing high quality training for law enforcement by meeting the objectives of expanding international training capabilities, improving and strengthening relationships, and providing continuing career enhancing training programs for law enforcement officials.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$70,984	0	16
National Interests Addressed:	Law Enforcement	

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The **Advanced Drug and Financial Investigations Training Program (ADFIT)** is a two-week specialized training program, which was created for hands-on investigators and prosecutors who work cases with drugs, money laundering, and related financial crimes. This is not a course for managers unless they participate in the actual investigations/prosecutions.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$241,710	15	55
National Interests Addressed:	Law Enforcement	

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The **Criminal Justice Managers Training Program (CJMTP)** is a six-week, basic training program designed for mid-level managers. The course focuses on the professional development of law enforcement and judicial personnel. Two programs have been held to date in Panama. Each of the

participating countries of Belize, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and Panama had three investigators and one prosecutor for each program. There were a total 32 U.S. instructors involved in the two programs that occurred in FY 1998. In addition, eight Panamanian trainees were not counted because they received in-country training, which is not in the realm of the IAWG count.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$701,400	32	56
National Interests Addressed:	Law Enforcement	

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The **Export Human Dignity and the Police Training Program** is designed to imbue police practices with an increased understanding of the concept of human dignity. The course encourages examination of morality, personal integrity, and professional ethics in police work. Through nontraditional teaching and learning methods, the course provides an opportunity for police officers to reflect on their own personal and professional experiences.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$46,827	4	0
National Interests Addressed:	Law Enforcement; Democracy and Human Rights	

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The **International Marine Law Enforcement Training Program (ILMLETP- 802)** provides basic training for employees of those agencies and organizations involved in the specialized areas of marine regulation and law enforcement. The major emphasis of this comprehensive training program is on the safe and proper operation of marine patrol vessels, with specific training in law enforcement operations. Subject areas included are Nautical Terminology; Navigation Methods; Aids to Navigation; Rules of the Road; Boat Handling; Motorboat Trailing; Engineering and Electrical Systems; Electrical Troubleshooting; Marine Electronics; Marlinspike Seamanship; Chart Interpretation; Pursuit Boarding; Arrest Procedures; Preventive Maintenance Procedures; and Water Survival. Written and practical exercises are given throughout the program. Students are provided hands-on laboratories during both on-water and classroom periods. All applicants must be graduates of basic law enforcement programs or academies, and be involved in marine law enforcement duties.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$70,683	0	14
National Interests Addressed:	Law Enforcement	

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The **International Small Craft Enforcement Training Program** provides law enforcement officers assigned to inland marine law enforcement specialized training in the areas of marine regulation and law enforcement. The major emphasis of this comprehensive training program is on the operation of marine patrol vessels, with specific training in law enforcement operations. This class occurred from April 27, 1998 to May 8, 1998.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$23,189	0	16
National Interests Addressed:	Law Enforcement	

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The **International State Department Advanced Physical Security Training Program** is designed to provide participants with an in-depth knowledge of physical security systems and procedures. The training includes conceptual security considerations, vulnerability assessments, and familiarization with hardware and procedures. Subjects included in this training program are Access Control, Closed Circuit Television Systems, Domestic Terrorism, Guard Force, Operations Security, Protective Lighting, Security Design, Security Legal Considerations, Security Survey Process, Survey - Practical Exercise, Violence in the Workplace, Computer Security, Bombs and Explosives, Contingency Planning, Fire Safety, Intrusion Detection Systems, Perimeter Security, Risk Assessment, Security Information Resources, Security Locks and Locking Devices, Special Events Security, and Weapons/Explosives Detection. For acceptance into the program, the applicant must be a full time law enforcement officer or investigator presently assigned to duties requiring knowledge of the subject matter to be presented.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$125,964	0	88
National Interests Addressed:	Law Enforcement	

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## Bureau of Alcohol, Tobacco and Firearms (ATF)

The ATF is a law enforcement organization within the U.S. Department of the Treasury, dedicated to reducing violent crime, collecting revenue, and protecting the public.

The **Explosives Detection K-9 Training Program**, funded by the Department of State, Antiterrorism Assistance Program, is designed to train canines for foreign governments in the detection of explosive compounds in their fight against terrorism. In addition, ATF instructs the police agencies of the foreign governments on how to train their own K-9 trainers and K-9 handlers in the ATF methodologies of canine explosives detection. The objective is for the foreign governments to be able to duplicate this methodology without having to rely on ATF or the United States Government.

The course involves 45 days of imprinting -- the time the explosive odors are presented to the canines. This is followed by 10 weeks of training the handlers with the canines in numerous scenarios involving trains, airplanes, automobiles, and water vessels. The training is conducted at the United States Customs Canine Training Facility in Front Royal, Virginia.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$484,307	0	21
National Interests Addressed:	National Security; American Citizens and Borders; Law Enforcement	

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The **International Training Program** provides investigative and technical police training at the International Law Enforcement Academy (ILEA), Budapest, Hungary, in the area of explosives investigation techniques, firearms trafficking, team concept investigation training and gang/gang resistance training.

At the Federal Law Enforcement Training Center, Glynco, Georgia, a "Train the Trainer" program was provided in postblast investigation for law enforcement officers from Russia and the Ukraine; the basic postblast training was conducted for 24 Estonians.

A 30-day training program was conducted for 6 auditors/tax police from the Republic of Georgia here in the United States. The students had the opportunity to accompany ATF personnel and observe their daily interactions with members of the public sector and private industries, and to view the operations of the Bureau.

Training conducted in Latin America and the Caribbean consisted of Basic and Advanced Firearms and Explosives Identification; International Firearms Trafficking Seminars were conducted in the United States. In order to attend the advanced course, the student must pass a test that requires the correct identification of 10 firearms and successful completion of the firearms tracing form.

Latin American/Caribbean training objectives are to reduce the flow of illegal U.S. source firearms and explosives abroad by training the students to accurately recognize, describe, and initiate firearms tracing actions designed to identify sources of illegal firearms. Overall program objectives are to provide the technical and investigative training in the areas cited and to establish partnerships to share policies, procedures, knowledge and technical expertise, allowing for an ongoing international exchange of information, thereby assisting the international law enforcement communities to become efficient, responsive, and effective criminal investigators, auditors/tax police.

ATF also participated in the two ILEA South sessions held in South Panama City, Panama, during November 1997 and March 1998, with a total of 64 students. Since funding for ILEA South is administered by the FLETC with no direct funding to the agency, the 64 students are not included in this report (covered by FLETC's report).

Overall, in FY 1998, ATF provided training to over 900 people from 45 countries. The training included courses in all of ATF's program areas of firearms, explosives, alcohol, tobacco, and arson.



U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,007,436	95	988
<b>National Interests Addressed:</b>	Law Enforcement	

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## Internal Revenue Service (IRS)

### Office of Overseas Operations and Tax Administration Advisory Services

The Office of Overseas Operations and Tax Administration Advisory Services supports U.S. foreign policy through sharing IRS technical expertise with foreign governments. The long-term goal is to assist foreign governments in improving tax administration as a means of developing their economic infrastructure. The IRS provides a variety of U.S.-based training courses and other short- and long-term assistance for foreign officials which lay the groundwork for encouraging tax treaties and exchange of information, facilitating mutual compliance efforts, detecting non-compliance, and improving U.S. knowledge of global tax administration.

The **Overseas Assistance Program** includes needs assessments of tax administration organizational or functional areas, as well as specialized, in-country advisors under short- or long-term contracts. All costs are borne by the foreign government or international agency funding source.

In the training area, the IRS currently conducts ten stateside programs. The courses reflect a range of technical and management areas. For example, the IRS annually conducts the Middle Management INTAX Seminar, the Training Center Management and Administration Seminar, the Computer Audit Specialist Seminar, the Transfer Pricing Seminar, the Financial Products Seminar, the Gaming Industry Audit Techniques Seminar, and four financial fraud and seized computer training programs. The courses vary in length from one to five weeks. Many of these programs can also be conducted in-country if there are a sufficient number of trainees. The IRS does not budget for participant funding to support these programs. The participant's government or an international agency must cover course fees and travel expenses. Under the **International Visitors Program (IVP)**, the IRS provides a central coordination point for visitation and/or information requests from foreign tax and government officials with the objective to provide quality tax administration briefings.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	40**	659**
<b>National Interests Addressed:</b>	Economic Prosperity	

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## United States Customs Service

### Office of International Affairs

The Office of International Affairs' **International Training and Assistance Program** develops and coordinates specialized training programs to present to foreign customs officials. Most programs are short-term training. Long-term advisory assistance is also offered with major programs currently being conducted in Saudi Arabia, Kuwait, Trinidad and Tobago, Georgia, Haiti, and Guatemala.

Customs international training normally is conducted by a team of U.S. Customs officers for customs and other border control officers in the host country for a period of one to two weeks. The advisory assistance programs usually place one or more advisors in a host nation for a year or more. Much less commonly, foreign participants are brought to the United States for training or executive observations.

This training and assistance is intended to support the goals of the U.S. Government and the U.S. Customs Service: interdicting illegal narcotics before they get to the United States; limiting the proliferation of weapons of mass destruction; encouraging the development of modern customs operations and the facilitation of trade; and deterring international terrorism. Short-term training programs are offered in support of all of these objectives. Advisory assistance usually addresses a number of these goals. The broadest objective of all Customs international training and assistance activities is to strengthen the border control agencies of the nations we cooperate with so that we all can better meet the goals stated above.

During FY 1998, the U.S. Customs Service successfully continued the implementation of the Department of Defense-Customs Counterproliferation Program; undertook extensive new training and advisory activities for the Department of State in Georgia and Southeast Europe; continued its important efforts in training in narcotics control and commercial processing; and extended its major advisory assistance commitments to over 100 programs.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$4,370,000**	279**	682**
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement	

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## Bureau of Engraving and Printing

The Department of the Treasury's **Bureau of Engraving and Printing (BEP)** and the **Bank of England Printing Works (BOEPW)** participated in an international exchange that consisted of a two-week program in which exchange participants toured the respective facilities and engaged in information-exchange sessions with top-level management officials. Participants went on the production floor to observe operations and discuss systems and processes with all levels of employees at the facilities. It is anticipated that, with the information shared and discussed during this program, the participants have gathered enough data to take back to the work place to share with officials, resulting in improvements to systems and processes.

The international exchange program is in keeping with the Department of the Treasury's financial mission and goal "to improve the efficiency of production operations and maintain the integrity of U.S. coins and currency...." Strategies include streamlining systems, installing and maintaining appropriate processes to meet currency demands, and meeting quality requirements.

The first Bureau representative was a manager from the Office of Currency Production, selected to tour the BOEPW in June 1997. The participant observed some quality systems that had been implemented as a result of BOEPW's transformation initiative and gathered interesting technological information on BOEPW operations.

The manager of the Business Improvement Group at BOEPW was selected as the first participant from BOEPW and arrived at the BEP in February 1998. The participant visited the currency and postage stamp manufacturing sections where new quality systems and processes were being implemented. The participant met with top-level management officials to discuss additional technological improvements being implemented at BEP. The participant also met with various Human Resource Managers to get an overview of the culture at BEP.

No future exchanges are planned.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$3,000	1	2
National Interest Addressed:	Economic Prosperity	

\* \* \* \* \*

## Office of the Comptroller of the Currency (OCC)

The **Foreign Technical Assistance Work Program** promotes a safe and sound international banking system by maintaining the OCC's relationship with the international financial community and providing technical advice and assistance to foreign bank supervisory authorities.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$32,743**	12**	30**
National Interests Addressed:	Economic Prosperity	

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## Office of Thrift Supervision (OTS)

Under the **International Visitor Information Exchange Program**, the Office of Thrift Supervision (OTS) meets with members of governments of other countries' banking systems to share ideas and experiences, develop skills, and build a greater understanding of the respective financial services industries. The interest and frequency of foreign delegation visitations to the OTS have dramatically

increased over the past several years. This is due in part to the problems that nations are experiencing in their banking industries. They see OTS' experiences and lessons learned from the thrift industry crisis of the 1980s and early 1990s as directly relevant to many issues they currently face.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$280,878*	3**	125**
National Interests Addressed:	Economic Prosperity	

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## United States Secret Service

The **United States Secret Service Training Programs** train foreign officials in the areas of counterfeit U.S. currency and financial fraud schemes. With approximately 450 billion U.S. dollars in circulation worldwide and two thirds of it outside the United States, the U.S. dollar continues to be the most popular currency to counterfeit.

In FY 1998, the Secret Service briefed foreign officials on counterfeit U.S. currency and its impact on foreign countries and the United States. Specific financial fraud schemes involving credit cards, debit cards, electronic fund transfers, false financial institutions, cellular phone fraud, money laundering and other types of fraud schemes were also taught.

Training programs have varied depending on the targeted foreign participants. Foreign government officials and financial institutions were briefed on applicable fraud schemes and assisted in the identification of systemic weaknesses in their financial systems that lead to fraudulent financial activity. In training foreign law enforcement officials, the Secret Service conducted comprehensive training programs that included additional subjects such as standard and new investigative techniques to confront these crimes.

The goal of the Secret Service foreign training programs is not only to train and assist the foreign participants with their financial system, but also to establish a permanent conduit for information exchange and liaison. The objective of this training is to foster cooperation between countries in a joint effort to combat counterfeit U.S. currency and financial crimes that impact on their countries as well as the United States.

During FY 1998, the Secret Service, using funds provided by the State Department's Bureau of International Narcotics and Law Enforcement Affairs, conducted training to foreign law enforcement and financial institutions in Argentina, Bulgaria, Hungary, Latvia, Nigeria, Poland, and Romania. The Secret Service also independently conducted training for law enforcement and financial institutions in Canada, Colombia, France, Malaysia, Nigeria, Peru, the Philippines, and Thailand.

The Secret Service Counterfeit Division, in conjunction with other U.S. Treasury agencies, conducted briefings on the International Currency Awareness Program (ICAP) in Colombia, Dominican Republic, Panama, and Mexico. The Secret Service Investigative Divisions, outside of our 15 overseas offices, conducted investigative initiatives in Austria, Belgium, Czechoslovakia, Colombia, Denmark, France, England, Germany, Ireland, Northern Ireland, Nigeria, Netherlands, Poland, and Russia.

DEPARTMENT OF THE TREASURY

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$507,175	99	4,937
National Interests Addressed:	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	1,310



# ENVIRONMENTAL PROTECTION AGENCY

1300 Pennsylvania Avenue, NW • Washington, DC 20004  
Office of Management Operations: 202-564-6611 • [www.epa.gov](http://www.epa.gov)

The **Environmental Protection Agency (EPA)** strives to ensure that all Americans, from communities, individuals, and businesses to state, local, and tribal governments, be protected from significant risks to human health and the environment. The Agency's mission is to make communities and ecosystems diverse, sustainable, and economically productive by safeguarding the natural environment, using the best available science and technologies.

## Office of International Activities

Ecosystems and transboundary pollutants do not respect international boundaries. As a result, unilateral domestic actions by the United States are inadequate to achieve some of EPA's most important environmental goals, one of which is the reduction of global and cross-border environmental risks to the United States that originate in other countries and undermine U.S. investments in environmental protection. To facilitate multilateral cooperation in achieving EPA's environmental goals, foreign visitors are invited to observe U.S. environmental protection facilities and procedures. Continued leadership by the United States and the EPA is necessary in building the international cooperation and technical capacity needed to address these issues successfully. Where the accomplishment of U.S. environmental goals requires the cooperation and coordination of other countries, the Office of International Activities works with the Department of State, other federal agencies, states, tribes, and non-governmental organizations to ensure that U.S. environmental interests are appropriately addressed. Legislation and international agreements supporting these operations include: Clean Water Act, Clean Air Act, North American Agreement on Environmental Cooperation, Pollution Prevention Act, Toxic Substances Control Act, 1989 U.S./USSR Agreement on Pollution, World Trade Organization Agreement, and the North American Free Trade Agreement.

ENVIRONMENTAL PROTECTION AGENCY

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	1,310
National Interests Addressed:	Global Issues	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$150.00	\$150.00	\$0	\$0	\$0	\$0	\$0	\$150.00	890



# FEDERAL COMMUNICATIONS COMMISSION

445 12th Street, SW • Washington, DC 20554  
Office of Public Affairs: 202-418-0500 • [www.fcc.gov](http://www.fcc.gov)

The **Federal Communications Commission (FCC)** regulates interstate and foreign communications by radio, television, wire, satellite, and cable. It is responsible for the orderly development and operation of broadcast services and the provision of rapid, efficient nationwide and worldwide telephone and telegraph services at reasonable rates. Its responsibilities also include the use of communications for promoting safety of life and property and for strengthening the national defense.

## International Bureau

The International Bureau was established to help develop and implement the FCC's international telecommunications, broadcasting and satellite policies and regulations. The International Bureau also is the principal representative of the FCC during international conferences, meetings, and negotiations.

The **International Visitors Program (IVP)** offers individuals working for foreign governments, embassies, universities, or private industry organizations that work on communications matters an opportunity to interact in informal discussions with FCC staff on telecommunications and broadcasting matters. These meetings provide legal, technical, and economic perspectives on a wide variety of telecommunications issues. Such an interdisciplinary framework enables FCC staff and international visitors to use a multifaceted approach in examining complex international telecommunications issues. The IVP also provides educational information on FCC proceedings and regulations to foreign visitors. The IVP activities advance the interests of the United States Government by encouraging foreign governments to adopt pro-competitive telecommunications policies and to establish independent regulatory bodies. Such policies benefit U.S. and foreign consumers of international telecommunications services.

The IVP has been in existence since 1994. The program hosted 890 visitors from 102 countries representing all regions of the world in 1998. It should be noted that the IVP compiles annual statistical data on a calendar basis, not a fiscal year basis.



FEDERAL COMMUNICATIONS COMMISSION

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$150.00	0	890
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Law Enforcement; Democracy and Human Rights; Global Issues; Bilateral Cooperation	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	94



# FEDERAL DEPOSIT INSURANCE CORPORATION

550 17th Street, NW • Washington, DC 20429  
Office of Corporate Communications: 202-416-6940 • [www.fdic.gov](http://www.fdic.gov)

The **Federal Deposit Insurance Corporation (FDIC)** promotes and preserves public confidence in U.S. financial institutions by insuring bank and thrift deposits up to the legal limit of \$100,000; by periodically examining State-chartered banks that are not members of the Federal Reserve System for safety and soundness as well as compliance with consumer protection laws; and by liquidating assets of failed institutions to reimburse the insurance funds for the cost of failures.

## International Training Program

The FDIC Mission Statement focuses on the role of the FDIC in maintaining stability and public confidence in the nation's banking system. FDIC promotes the safety and soundness of insured depository institutions and addresses the risks to the deposit insurance funds. The FDIC's training program, which is an integral part of the FDIC's Mission, ensures the existence of a corps of highly-skilled banking supervisors that can respond effectively to changes in the financial environment.

The Training and Consulting Services Branch (TCSB) oversees domestic and international training activities for the FDIC. Through TCSB, the FDIC provides training to foreign banking supervisors in the areas related to technical supervision issues, with a particular emphasis on financial analysis, credit analysis, and examination report writing. Foreign students generally take part in the training programs, on a space-available and cost reimbursement basis.

In addition to TCSB, the International Branch of the Division of Supervision works with foreign governments, regional groups, and international bodies such as the International Monetary Fund on technical assistance matters. In FY1998, the International Branch, along with the other U.S. financial

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regulatory agencies, worked closely with both Asia-Pacific Economic Cooperation (APEC), the Association of Latin American and Caribbean Banking Supervisors, and the Cayman Islands Monetary Authority on developing technical assistance. The FDIC also provided training to foreign banking supervisors both in the U.S. and abroad on the specific issue of preparation for the Year 2000, a priority for banking supervisors worldwide.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	5	89
National Interests Addressed:	Economic Prosperity; Improving Banking Supervision	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$7,731	\$2,183	\$5,548	\$17,817*	Not Reported	\$800	Not Reported	\$26,348	887

\* Figure represents foreign contributions to NETC programs only.



# FEDERAL EMERGENCY MANAGEMENT AGENCY

500 C Street, SW • Washington, DC 20472

Public Information: 202-646-4600 • [www.fema.gov](http://www.fema.gov)

The **Federal Emergency Management Agency (FEMA)** engages in international cooperative activities to better prepare for and respond to natural and man-made disasters in order to reduce the loss of life and property. Building local emergency management capabilities helps stabilize governments when major disasters occur. It also provides constructive methods to foster global understanding and working relationships with evolving governments and societies. The exchange of emergency management information and expertise saves lives, prevents economic losses and builds local emergency management capabilities.

## International Programs

**Emergency Preparedness and Disaster Management Visitors Program.** In FY 1998, FEMA Headquarters and regional offices hosted more than 700 foreign government emergency preparedness and disaster management officials who sought information on disaster preparedness, response, recovery and mitigation policies, programs, methods and techniques. The visitors were primarily from Pacific Rim nations who face similar risk management issues resulting from earthquakes, typhoons and river basin flooding. The international officials represented over 50 countries in Africa, Asia, Europe, and North and South America. The key countries and number of visitors are as follows: China, more than 100 visitors; Japan, more than 250 visitors; Korea, more than 50 visitors; Russia, more than 66 visitors (in addition to the visits under the MOU with Russia noted below); and Taiwan, more than 50 visitors.

FEMA's cooperative relationships in emergency preparedness and disaster management have been institutionalized with several countries, including Canada, Japan, Kazakhstan, Mexico, the Russian Federation, and Turkmenistan. Many of these countries benchmarking against FEMA's natural and technological disaster management programs are developed or rapidly industrializing nations that seek

disaster management capabilities for saving lives and property and sustaining economic development. International visitors are funded entirely from sources in their home countries or by other U.S. Government organizations. FEMA's contribution is related materials and publications, and staff time.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	725
National Interests Addressed:	Humanitarian Response	

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**Cooperation with the Russian Federation Program.** In July 1996, Vice President Gore and Russian Prime Minister Chernomyrdin signed a ten-year Memorandum of Understanding (MOU) between the United States and Russia on cooperation in natural and man-made technological disaster prevention and response. The Russian Ministry for Civil Defense, Emergencies and Elimination of the Consequences of Natural Disasters (EMERCOM of Russia) and FEMA are the executive agents responsible for implementing the MOU. In addition to the MOU, three Working Protocols and two annual Work Plans have been signed to implement the cooperative program. A joint committee, consisting of FEMA (Chair), the U.S. Departments of Agriculture, Defense, Energy, Health and Human Services, State, Transportation, and the U.S. Agency for International Development, is responsible for implementing the MOU.

Through the MOU, FEMA and EMERCOM of Russia have been increasing cooperation in the areas of mitigation, emergency preparedness, and response and recovery. In 1997, there were more than 50 cooperative events with 22 individuals participating in exchange and training activities. In 1998, 25 cooperative exchanges were completed, many involving state and local governments. More than 100 Russian officials participated in these activities.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$5,548	2	56
National Interests Addressed:	Humanitarian Response	

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## National Emergency Training Center (NETC)

The **National Emergency Training Center** of FEMA in Emmitsburg, Maryland, is home to the Emergency Management Institute (EMI) and the National Fire Academy (NFA). There, emergency managers, firefighters, and elected officials can take classes in many areas of emergency management, including emergency planning, exercise design and evaluation, disaster management, hazardous materials response, and fire service management.

The **Emergency Management Institute** enhances U.S. emergency management practices and minimizes the impact of disasters on the American public through a nationwide residential and non-residential training program. EMI curricula are structured to meet the needs of a diverse audience with

an emphasis on how the various elements work together in emergencies to save lives and protect property. Instruction focuses on four phases of emergency management: mitigation, preparedness, response, and recovery. A significant portion of the training is conducted by state emergency management agencies under cooperative agreements with FEMA. In FY 1998, 25 individuals from nine countries enrolled in EMI training courses.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	25
<b>National Interests Addressed:</b>	Humanitarian Response	

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The **National Fire Academy** enhances the ability of fire and emergency services and allied professionals to deal more effectively with fire and related emergencies. Courses are provided at the resident facility in Emmitsburg, Maryland, and throughout the country in cooperation with state and local fire training organizations, colleges, and universities. Any person with substantial involvement in fire prevention and control, emergency medical services, or fire-related emergency management activities is eligible to apply for Academy courses. In FY 1998, 24 individuals from seven countries enrolled in NFA training courses. In addition, 52 foreign students participated in courses through NFA's hand-off (48) and field offerings (4). Sixty-five students benefited from in-country independent study programs designed by the NFA.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	76
<b>National Interests Addressed:</b>	Humanitarian Response	

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**Foreign Seminars Program.** At the request of foreign counterpart organizations and pending staff availability, NETC will consider conducting or assisting with overseas training seminars in a wide variety of emergency management topics.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,183	3	0
<b>National Interests Addressed:</b>	Humanitarian Response	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$0	\$0	\$0	Not Reported	Not Reported	Not Reported	Not Reported	\$0	401



# FEDERAL ENERGY REGULATORY COMMISSION

888 First Street, NE • Washington, DC 20426  
 External Affairs: 202-208-1088 • [www.ferc.fed.us](http://www.ferc.fed.us)

The **Federal Energy Regulatory Commission (FERC)** oversees America's electric utilities, natural gas industry, hydroelectric projects, and oil pipeline transportation system. The Commission chooses regulatory approaches that foster competitive markets whenever possible, assures access to reliable service at a reasonable price, and gives full and fair consideration to environmental and community impacts in assessing the public interest of energy projects.

## International Visitors Program

Through its **International Visitors Program**, FERC shares its regulatory approach and lessons learned with professional counterparts from around the world. Individual or group meetings and briefings are arranged upon request for foreign professionals who are seeking more information on U.S. domestic energy regulatory issues. All international visitors to FERC are funded by their home governments, international organizations, or other USG programs.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	401
<b>National Interests Addressed:</b>	Economic Prosperity; Global Issues	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$552,669	\$0	\$552,669	\$0	\$0	\$0	\$0	\$552,669	231



# FEDERAL TRADE COMMISSION

600 Pennsylvania Avenue, NW • Washington, DC 20580  
Office of Public Affairs (Press Office): 202-326-2180 • [www.ftc.gov](http://www.ftc.gov)

The objective of the **Federal Trade Commission (FTC)** is to maintain competitive enterprise as the keystone of the American economic system, and to prevent the free enterprise system from being fettered by monopoly or restraints on trade or corrupted by unfair or deceptive trade practices. The Commission is charged with keeping competition both free and fair.

## Bureau of Competition, International Antitrust Division

The **Foreign Visitors Program** helps to support the FTC's antitrust advocacy in multilateral organizations and in bilateral relationships by arranging visits between FTC staff and foreign government, academic, and business persons to help them learn how the FTC fulfills its enforcement mission. Through this public outreach, the Commission hopes to foster understanding of the U.S. approach to antitrust, nurture cooperation with enforcement efforts, and potentially bring convergence with U.S. laws and approaches to antitrust.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	19	139
<b>National Interests Addressed:</b>	Economic Prosperity; Law Enforcement	

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## Bureau of Consumer Protection

The **International Consumer Protection Program** aims to (1) develop cooperative relationships with foreign law enforcement authorities, (2) provide advice and a point of liaison to litigating staff when international issues arise in investigations and enforcement actions, (3) contribute to U.S. foreign policy initiatives in areas within the FTC expertise, and (4) offer outreach to visitors from abroad, particularly with respect to ongoing FTC activities and policies.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	13	30
<b>National Interests Addressed:</b>	Economic Prosperity; Law Enforcement	

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## Office of International Technical Assistance

Under the **Competition and Consumer Protection Policy Technical Assistance Program**, FTC attorneys and economists undertake missions to work with competition and consumer protection agencies in Central and Eastern Europe, countries of the former Soviet Union, countries in Central and South America, and South Africa. These advisors explain the principles of competitive markets, help draft competition and consumer protection laws, train counterparts in investigative techniques, offer advice about pending cases in host countries, and assist in establishing consumer education systems. The program receives funding from the United States Agency for International Development.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$552,669	19	11
<b>National Interests Addressed:</b>	Economic Prosperity; Law Enforcement	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$563,235	\$563,235	\$0	\$0	\$220,815*	\$235,305*	\$0	\$1,019,355	45

\*Funds in these categories are expended directly by their sources in support of individual IAF Fellows; these funds are not processed through the Inter-American Foundation.



# INTER-AMERICAN FOUNDATION

901 North Stuart Street • Arlington, VA 22203  
Telephone: 703-841-3800 • [www.iaf.gov](http://www.iaf.gov)

In 1969, the **Inter-American Foundation (IAF)** was created by the United States Congress as an independent agency of the U.S. Government. To effectively implement its mission, the Foundation has conducted its three current fellowship programs since their establishment in 1974, 1978, and 1982. The primary mission of the Foundation is to promote grassroots development strategies in Latin America and the Caribbean (LAC) through partnerships among the private, non-governmental organizations (NGOs), and public sectors: 1) Local development -- Recognizing trends toward governmental decentralization to the municipal level in Latin America and the Caribbean, this strategy promotes local collaboration and partnerships among local governments, NGOs, and citizens to foster grassroots development. 2) Social investment -- This strategy supports cooperation and partnerships among businesses, corporations, community-based organizations and NGOs at the local, national, and international levels to encourage grassroots development.

The **Fellowship Program** of the Inter-American Foundation prepares a cadre of professionals for leadership in promoting the Inter-American Foundation's institutional strategies for grassroots development in Latin America and the Caribbean in the areas of local development and social investment. The Fellowship Program complements other IAF programs and supports IAF development strategies by providing grants to train future NGO leaders, conduct field research on grassroots issues, and disseminate the lessons learned by prominent grassroots development leaders. Together, more than 915 IAF Fellows, plus the professional, academic, and governmental networks to which they belong, constitute a web of contacts capable of promoting local development and social investment.

Fellows (both past and present) promote IAF development strategies in their diverse specialized fields by collecting critical data, producing essential analysis, and disseminating lessons learned from successful grassroots development strategies. They also strengthen the capacity of NGO networks and local partnership organizations by enhancing their ability to carry out effective, well-managed programs that promote IAF development strategies.

In FY 1998, the IAF Fellowship Program provided fellowship grants to 26 private and public universities in 16 U.S. states. These university grants contained 45 awards for individual Fellows at their respective universities.

The national and international competitions of the Foundation's three academic fellowship programs resulted in these 45 fellowships to development practitioners, applied researchers, and scholars. These new Fellows will pursue U.S. graduate education, conduct field research, or disseminate information in the following IAF development strategies:

Local development	87%
Social investment	6.5%
Combination of both strategies	6.5%
Total	100%

The U.S. Graduate Study Fellowship Program for Caribbean and Latin American Citizens supports professionals and applied researchers whose work in grassroots development would benefit from advanced study in the United States. This program strengthens NGOs and local development partnerships in the region, and enhances their ability to promote local development and social investment. In FY 1998, 13 fellowships were awarded to men and women from 6 countries to study in 12 universities in 10 U.S. states for a duration of not more than 24 months. The U.S. Graduate Program accounts for approximately 60 percent of the Foundation's fellowship budget.

The two Field Research Fellowship Programs at the doctoral- and master's-level support degree candidates enrolled in U.S. universities to conduct field research in Latin America or the Caribbean on grassroots development, local development, and social investment. These two programs support academic programs in U.S. universities concentrating on Latin America and the Caribbean, bolster the U.S. network specializing in LAC grassroots development, and strengthen local organizations involved in grassroots development, local development, and social investment in Latin America and the Caribbean. Thirty-two fellowships -- 17 in the doctoral-level program and 15 in the master's-level program -- were awarded for field research in 12 countries in FY 1998. The Fellows, including 10 citizens from LAC countries, are affiliated with 18 universities in 15 U.S. states. The duration of a fellowship award does not exceed 18 months in the doctoral-level program and 6 months in the master's-level program. Each year, these two Field Research Programs account for approximately 40 percent of IAF's fellowship budget.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$563,235	32	13
National Interests Addressed:	Economic Prosperity; Global Issues; Democracy [Building]	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$2,407,285	\$2,282,285	\$125,000	\$0	\$0	\$0	\$0	\$2,407,285	411



# JAPAN-UNITED STATES FRIENDSHIP COMMISSION

1120 Vermont Avenue, NW • Washington, DC 20005

Telephone: 202-275-7712 • [www2.dgsys.com/~jusfc/commissn/commissn.html](http://www2.dgsys.com/~jusfc/commissn/commissn.html)

**Japan-United States Friendship Commission (JUSFC)** was established as an independent federal agency by the U.S. Congress in 1975 under PL 94-118. The Commission's principal activities are divided into three areas: 1) Research, 2) Education and Training, and 3) Cultural Affairs. The Commission sponsors individual research on emerging policy issues of critical importance in the U.S.-Japan relationship and dissemination of results to the policymaking community. Education programs are designed to train American specialists in Japan in both the scholarly and the non-academic professions. Education projects are funded in such areas as broadcast media, language teaching, CD-ROM development, acquisition and management of library and information resources, and faculty exchanges for the purpose of curriculum development. The Commission also provides support to cultural institutions for collaborative productions and individual artist exchanges.

**Policy-oriented Research Programs.** The Commission's Research programs help identify interests in policy issues of critical importance to the U.S.-Japan relationship. The Commission gives preference to studies by highly qualified researchers of demonstrated achievement that seek to explain fundamental issues of change in the structure of the economy, the nature of the political leadership, Japan's international role, and other contemporary issues in the U.S.-Japan relationship. Proposals are judged on the degree of criticality of the problem to be studied in terms of its potential impact on the U.S.-Japan relationship; the extent and effectiveness of plans for dissemination of the results to the policymaking communities as well as to other communities of interest; the quality of scholarship and breadth of viewpoint represented by the participants committed to the project; the extent of support from other funding sources; and the reasonableness of budget levels and administrative support costs. The Commission believes that the American research capacity on Japan that has been developed in recent decades is under-used by the policymaking communities and seeks to help bridge the two. The Commission encourages participation of a full range of American cultural and ethnic diversity in its research programming in Japan.

Major accomplishments in FY 1998 include support for the following projects: a high-level economic study group on Japan conducted by the Council of Foreign Relations; a research project undertaken by the East-West Center entitled "Power and Prosperity: the Security-Economics Nexus in U.S.-Japanese Relations Since 1960"; a conference convened by the Japan Information Access Project on intellectual property rights in Japan and Asia; a project with the National Bureau of Asian Research entitled "The Development of Government Information Disclosure Systems in Japan"; a trilateral research project conducted by Pacific Forum CSIS on security cooperation in Asia among Japan, China, and the United States; a research project at Purdue University on Japanese competitive policy; and a project on nonproliferation export controls in Japan, China, and the United States by the University of Georgia.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$303,219	60	9
National Interests Addressed:	Economic Prosperity; National Security	

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**Education and Training Programs.** The Commission believes that American public understanding of Japan, as well as a more balanced relationship between Japan and the United States in terms of economic, political, and security matters, requires the development and strengthening of the next generation of American area specialists in Japan, trained to a high level of linguistic and disciplinary competence, and adequately represented in both the scholarly and the non-academic professions.

The Commission provides seed money to assist those start-up projects that have good prospects of converting to a self-funding basis within a reasonable period of time. The Commission gives block grants to certain institutions; those institutions then "retail" these grants to individuals. Those projects that serve to "retail" the Commission's general support to the individual scholar and researcher over a broad range of disciplines and geographic regions are given precedence over those that serve only a single discipline, institution, project, or region.

The Commission also wishes to assure the continued vitality and growth of basic national resources for the study of Japan. In its library support, the Commission supports projects and organizations that help organize acquisitions of research materials on a national scale and help expand access to research materials in both printed and electronic format. In its support for language training, the Commission supports institutions that have a broad national scope of programs.

In addition, the Commission believes that new and imaginative efforts are required to broaden understanding by the American public at large of current and future issues in the broad political and economic relationship between the two countries. Such understanding, and the opportunities for creating it, remain seriously underdeveloped when measured against the Japanese people's general knowledge of the United States. Therefore, the Commission will support projects from public affairs organizations and media groups which will have a national or major regional impact in the United States and which will encourage a better understanding between the Japanese and U.S. ethnic communities and geographical regions which historically have had little interaction with one another.

In 1998, the JUSFC supported the American Studies Association for a curriculum and faculty development program to bring American Studies into the disciplinary heart of the Japanese undergraduate

curriculum; the Organization of American Historians for short-term residences in Japan for U.S. historians; the Association of Teachers of Japanese to establish a clearinghouse to encourage study abroad in Japan by American undergraduate students; the Committee on Japanese Economic Studies for a nationwide program for training specialists on the Japanese economy; the National Coordinating Committee on Japanese Library Resources for infrastructure support; the Northeast Asia Council of the Association of Asian Studies (NEAC/AA) for grants for Japanese studies; and the Social Science Research Council to support its program of grants for advanced research on Japan.

Also, in 1998, the Commission is pleased to have supported the American Association for the Advancement of Science for a Diet/Congress Program of legislative exchange on science and technology; the Congressional Economic Leadership Institute for the 1998 Japan educational exchange program; the Japan-America Society of Washington, D.C., for a series of seminars for the American public on civil society in Japan; KCTS Television for infrastructure support for "Japan Connection," a multi-media production center designated to promote significant coverage of Japanese political, economic and cultural concerns for American markets; and the U.S. Association of Former Members of Congress for the "Congressional Study Group on Japan."

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,752,855	235	8
<b>National Interests Addressed:</b>	Competence in a Critical Foreign Language (Japanese); Training for Members of Congress	

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**Cultural Affairs Programs.** The Commission has always believed that the arts are at the heart of a people's creative genius. Therefore, it is pleased to see the rapidly growing demand in the United States and Japan for expanded artistic exchange. The Commission notes, however, that the presence of American artists in Japan has been limited both in terms of diversity and geographical coverage. American performing and visual artists' presentations in Japan have often been conducted on a limited and sporadic basis, frequently the subject of commercial interests of individual promoters. To counteract this trend, the Commission has determined that, until further notice, it will focus on bringing American art, both visual and performing, to Japan. The Commission's goals in this endeavor are to increase both qualitatively and quantitatively the presence of American art and artists in Japan. In 1998 the Commission supported a retrospective of films by American documentarian Frederick Wiseman to be shown in Yokohama, Nagoya, and Kochi. The films then toured smaller venues such as local museums and universities and will ultimately be archived at a special facility in Aomori. The Commission's funds were also used to bring Mr. Wiseman to Tokyo for a special lecture, where he led a workshop for young documentary filmmakers.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$351,211	84	15
<b>National Interests Addressed:</b>	Present U.S. culture in all its diversity to overseas audiences	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$132,077	\$96,277	\$35,800	\$137,213	\$54,733	\$182,698	\$17,404	\$524,125	92



# LIBRARY OF CONGRESS

1st and Independence Avenue, SE • Washington, DC 20540-4000  
Public Affairs Office: 202-707-2905 • [www.loc.gov](http://www.loc.gov)

The **Library of Congress** is the world's largest library and has served Congress and the public for nearly 200 years. Founded in 1800 to serve the reference needs of Congress, the Library has grown into an unparalleled treasure house of information and creativity, gathering and sharing knowledge for the nation's good. As the chief copyright deposit library of the United States, the Library of Congress receives about one million new items each year, half of which are selected for the permanent research collections. Additional items come through gifts and donations, exchanges with national and international institutions, and purchases. The systematic acquisition, preservation, organization, and service of Library of Congress' collections are an immense undertaking.

The Library provides numerous free services to the nation's libraries, including books for the blind and physically handicapped and the creation of catalog records which, distributed to all states of the nation, save American libraries hundreds of millions of dollars. Through the National Digital Library Program, the Library of Congress is creating free on-line access to its catalog, exhibitions, and unique American collections, and Congressional information ([www.loc.gov](http://www.loc.gov)). By the year 2000, the Library's 200th anniversary, the Library will make accessible electronically millions of items from its collections and those of its institutional partners. The goal of the Library's digital program is a public-private partnership that will create an informed citizenry through universal access to knowledge, through the generous support of the U.S. Congress and the private sector.

## Office of the Director for Preservation Conservation Division

The **Advanced Internship in Book and Paper Conservation Program** provides advanced internships in rare book and paper conservation to qualified applicants from all over the world. During the course of FY 1998, 22 books were conserved.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	5
<b>National Interests Addressed:</b>	Conservation of Cultural Properties	

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## Office of the Director for Area Studies, Office of Scholarly Programs

The **Exchange Visitors Program** coordinated by the Library's Office of Scholarly Programs provides research and development opportunities in the various fields of research conducted by the Library of Congress for qualified foreign government visitors, research scholars, short-term scholars, and specialists to promote the general interest of international educational and cultural exchange.

During FY 1998, the Library of Congress Exchange Visitors Program sponsored 18 new programs. Of the new programs, 12 resulted from one major exchange project, the Soros Program, designed to acquaint librarians and specialists from the former Soviet Union and Eastern Block nations with new methods and skills in modern librarianship and information management. In addition, other exchanges involved hosting specialists and research scholars in such fields as rare book and paper conservation, strategic policy studies, modern history, and international jurisprudence.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	21
<b>National Interests Addressed:</b>	National Security; Democracy and Human Rights; Global Issues	

\* \* \* \* \*

## Law Library

Electronic access to primary sources of the law of all nations is becoming a worldwide imperative. To that end, the Law Library of the Library of Congress and a group of similarly interested legislative information centers around the world have joined to share their expertise and know-how in the hope of making this access a reality.

The **Global Legal Information Network (GLIN)** is a cooperative not-for-profit federation of government agencies or their designees willing and able to contribute national legal information to the GLIN database. It is an automated database of statutes, regulations, and related material that originate from countries in the Americas, Europe, Africa, and Asia. The data is temporarily stored in a central server at the Library of Congress in Washington, D.C. All participating national GLIN stations can access the data. GLIN envisions a distributed network. The database will reside on servers in other member nations as well as the Law Library of the Library of Congress.



When complete, the national GLIN stations are expected to be fully capable of capturing, processing and distributing legal information in electronic format. This may include statutes, constitutions and codes, regulations and selected ordinances, judicial decisions, and scholarly writings as well as related material such as statistics. The original sources are protected to preserve authenticity. Consequently, these texts are available to the authorized users in their official language versions.

The standards for selecting the texts, analyzing them, producing summaries, assigning index terms, and the testing of applicable hardware and software were developed originally as an international initiative with contributions of the Law Library of the Library of Congress. Agencies and institutions including the National Aeronautics and Space Administration, the World Bank, and the Inter-American Development Bank have provided support for various aspects of the project.

After training, Argentina became a fully participating member of GLIN. Kuwait was the first country to participate in special training to become a GLIN Regional Center. The goal is for Kuwait to assume responsibilities for recruiting and training new GLIN member nations in the Near East.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$56,100	4	19
<b>National Interests Addressed:</b>	Law Enforcement; Democracy and Human Rights; Global Issues	

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The **Copyright International Institute (ICI)** is designed to further international understanding and support of strong copyright protection, including the development of effective copyright laws and enforcement overseas. The ICI is an ongoing program consisting typically of two one-week seminars per year.

The U.S. Copyright Office hosted a six-member delegation from the People's Republic of China for a three-week study tour taking place in Washington, D.C., New York, and California. The delegates represented the National Copyright Administration of China and the Chinese Academy of Social Sciences. Areas of focus included the impact of new technologies on protection for societies, copyrighted works, protection for computer software, anti-piracy, and registration of copyrighted works.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,000	0	6
<b>National Interests Addressed:</b>	Law Enforcement; Economic Prosperity	

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## Library of Congress Soros Foundation

Since 1992, the three-month Soros Foundation **Visiting Fellows Program** has introduced seventy-four librarians and information specialists from Central and Eastern Europe and the New Independent States to the mission, organization, and operations of the Library of Congress, librarianship in America, and

various types of American libraries. The program includes three weeks of general orientation, Internet training, and a management skills workshop at the Library of Congress; a week-long field experience at the Mortenson Center for International Library Programs, University Library, University of Illinois at Urbana-Champaign; and two-months of work experience at a Washington, D.C. area library similar to their home institution.

The main objectives of the program are (1) to expose the foreign librarians to the specific role of the Library of Congress as a national and parliamentary library; (2) to expose the participants to libraries in a democratic, i.e., open society, which provide access to information to all persons; and, (3) to encourage professional cooperation among librarians worldwide.

In FY 1998, 12 librarians and information specialists participated in the program. For the first time Fellows from Mongolia, Kazakhstan, Georgia, Armenia, and Azerbaijan participated in the program. The program emphasized preparing the Fellows to train their colleagues upon return to their home institutions. Otherwise, the curriculum remained the same as in previous years: classroom presentations by prominent members of the American library community were complemented by visits to various area libraries; and, Internet training prepared the Fellows for their work experience in Washington, D.C. area libraries.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	12
<b>National Interests Addressed:</b>	Democracy and Human Rights	

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## Luso-Hispanic and Iberian Scholars Program

The Hispanic Division of the Library of Congress is a center for Luso-Hispanic studies. By maintaining close ties to academic and research institutions in the United States and abroad, it provides an ideal location for foreign and American scholars to pursue research projects. The Hispanic Division hosts Fulbright, Guggenheim, and other scholars from the United States and abroad.

The Division's area specialists facilitate the use of the Library's rich collections on the Iberian Peninsula, Latin America, and the Caribbean. The Hispanic Division provides study facilities, as well as information on how to use the vast collections. The Division also assists the foreign scholars with establishing contact with other academic and research institutions.

Scholars typically spend about six months in the Hispanic Division Reading Room and use the many different collections within the Library. The Hispanic Division also arranges for lectures, seminars, and other academic activities for the visiting scholars.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$37,000	4	13
<b>National Interests Addressed:</b>	Economic Prosperity; Democracy and Human Rights	

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## Muskie Library Fellows

This program is intended to promote inter-cultural exchanges of people and to promote international understanding. Fellowships are available to students from Central and Eastern Europe and the former Soviet Union to study and work in the United States.

Exchange and Gift, European and Latin American Acquisitions Division has participated in this program in each of the last two years. Freedom Support Act Fellows have worked primarily on the Library of Congress international (book) exchange program, learning how the program works by performing a combination of routine duties and special projects under the direction of a Library of Congress Acquisitions Specialist. Fellows in FY 1998 helped develop and extend Library of Congress exchanges with libraries in their native countries. Both the Library of Congress and the Fellows have benefited from this program.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	2
National Interests Addressed:	Democracy and Human Rights	

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The **Program for Cooperative Cataloging (PCC)** is an international cooperative effort aimed at expanding access to library collections by providing useful, timely, and cost-effective cataloging that meets mutually accepted standards of libraries around the world. The PCC Program consists of three components: 1) NACO: the name authority program; 2) SACO: the subject authority program; and 3) BIBCO: the bibliographic record program.

The week-long class presented at the Universidade de Sao Paulo was developed to encourage the cataloging librarians at that institution to contribute authority records for names, uniform titles, and series to the national authority file which is housed at the Library of Congress. NACO participants agreed to follow a common set of standards and guidelines when creating or changing authority records in order to maintain the integrity of a large shared authority file. This file will help the global library community to work more efficiently and effectively, allowing it to maximize its resources.

The Library of Congress acts as the Secretariat for the Program for Cooperative Cataloging and is chiefly responsible for producing the training documentation for the three program components, especially the NACO program. In this regard, the Library of Congress employees produce a NACO training manual in Portuguese. The Library has made the first inroads into having a South American participant in the PCC.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$2,177	1	0
National Interests Addressed:	Foster and teach cooperation in librarianship; Share cataloging standards and formats to facilitate the exchange of authorities	

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The **U.S. Information Agency/American Library Association Library Fellows Program** places U.S. library professionals in institutions overseas for a period of four to eight months. The program is designed to: (1) increase understanding through the establishment of professional and personal relationships and the accomplishment of mutual goals; (2) promote international sharing of resources and establish enduring professional and institutional linkages; (3) develop and enhance the Fellows' professional expertise to benefit both their home institutions and the development of librarianship in the host countries; and (4) reinforce the concepts of libraries as essential democratic institutions.

Under the auspices of the USIA/ALA Library Fellows Program, Network Program Specialist Steven Kerchoff worked for the Sri Lanka National Library Services Board in Colombo, Sri Lanka for six months. His responsibilities included assisting with the development of a website for the National Library, consulting on the procurement and installation of a local area network, and conducting workshops on a variety of library and information technology topics. His workshop topics included the MARC format, bibliographic utilities, basic concepts in on-line searching, searching the web, electronic journals, and HTML. Mr. Kerchoff was a guest lecturer for the Sri Lanka Library Association and the National Library Lecture Series. Mr. Kerchoff presented a paper on Information Technology and the Future of Democracy at the American Studies Conference in Hikkaduwa, Sri Lanka and will be publishing this paper in the conference proceedings. Mr. Kerchoff also lectured on library automation and the Internet at several Sri Lanka institutions, including the University of Peradeniya and the Anuradhapura Public Library. Mr. Kerchoff also traveled to India, where he conducted workshops both for United States Information Service (USIS) staff and for staff of the Library of Congress' New Delhi office.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$35,800	1	0
National Interests Addressed:	Information Access Systems	

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## Various Ad Hoc Exchanges

This program involves the exchange of librarians and scholars for training in the survey of collections of the Library of Congress.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	1	3
National Interests Addressed:	N/A	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$7,788	\$7,788	\$0	\$0	\$0	\$0	\$0	\$7,788	4

## MARINE MAMMAL COMMISSION

4340 East-West Highway • Bethesda, MD 20814  
Telephone: 301-504-0087

The **Marine Mammal Commission** initiates or undertakes research it deems necessary in connection with marine mammal conservation and protection domestically and internationally, maintains a continuing review of research programs conducted or proposed under the Marine Mammal Protection Act, and takes any feasible steps to prevent wasteful duplication of research.

The Marine Mammal Commission contracts for studies to identify, define, and develop solutions to domestic and international problems affecting the conservation of marine mammals and their habitats; recommends steps to prevent unnecessary duplication and improve the quality of research conducted or supported by other agencies; convenes meetings and workshops to review, plan, and coordinate marine mammal research and conservation programs; and conducts an annual survey of federally-funded marine mammal research. The issues with which the Marine Mammal Commission deals often involve a number of countries. The Commission contracts with U.S., and occasionally foreign, citizens to conduct scientific research on marine mammals, travel to other nations to gather information, attend professional conferences and workshops, and meet foreign researchers and government officials. At times the Commission undertakes activities at the request of another federal agency with support through an interagency transfer of funds.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$7,788	2	2
National Interests Addressed:	Law Enforcement; Global Issues	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$7,146,500	\$7,146,500	\$0	Not Reported	Not Reported	Not Reported	Not Reported	\$7,146,500	259



# NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

300 E Street, SW • Washington, DC 20546  
Public Information: 202-358-0330 • [www.hq.nasa.gov](http://www.hq.nasa.gov)

The **National Aeronautics and Space Administration (NASA)** conducts research to advance and communicate scientific knowledge about the Earth, the solar system and the universe, to explore and enable the development of space for human enterprise, and to develop advanced aeronautics, space, and related technologies. NASA enters into international agreements and conducts international exchanges and training programs that complement and enhance its space programs and support U.S. space policy objectives.

The **Resident Research Associate Program** places international post-doctoral researchers in summer intern positions or one- to three-year assignments at U.S. research facilities. NASA provides funding to the National Research Council (NRC) annually from its appropriation to support program administration and to provide a stipend for those researchers who are assigned to NASA facilities. In FY 1998, 116 NASA-sponsored international research associates commenced assignments at a NASA Center. The NRC also places research associates in several other government agencies, including the Department of Defense, Environmental Protection Agency, National Institutes of Health, National Institute of Standards and Technology, National Oceanic and Atmospheric Administration, and U.S. Geological Survey.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$7,146,500	0	116
<b>National Interests Addressed:</b>	Advancement of Science; Support of U.S. Space Research Goals	

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Through the **Guest Worker Program**, NASA enters into appropriate arrangements with foreign government or research organizations to host foreign research or technical specialists at NASA facilities for periods of one to two years. Each guest worker must bring unique qualifications in his/her field of expertise and the work or research to be accomplished must contribute directly to the achievement of NASA mission objectives. The foreign organization is responsible for all financial support for the guest worker, including all travel and subsistence expenses. No U.S. Government appropriated funds are expended in support of these guest workers. In FY 1998, NASA hosted 143 foreign nationals under its Guest Worker Program.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	143
National Interests Addressed:	Advancement of Science; Support of U.S. Space Research Goals	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$49,500	\$37,500	\$12,000	\$0	\$2,000	\$0	\$0	\$51,500	504



# NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

8601 Adelphi Road • College Park, MD 20740-6001  
Public Affairs Staff: 301-713-6000 • [www.nara.gov](http://www.nara.gov)

The **National Archives And Records Administration (NARA)** ensures, for citizens and federal officials, ready access to essential evidence that documents the rights of American citizens, the actions of federal officials, and the national experience. It assists federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring noncurrent records. NARA arranges, describes, preserves, and provides access to the essential documentation of the three branches of the U.S. Government; manages the Presidential Libraries system; and publishes the laws, regulations, and Presidential and other public documents. It also assists the Information Security Oversight Office, which manages federal classification and declassification policies, and the National Historical Publications and Records Commission, which makes grants nationwide to help nonprofit organizations identify, preserve, and provide access to materials that document American history.

## International Visitors Program

Although NARA statutes contain no enabling legislation authorizing the agency to conduct international activities, NARA's Presidential Libraries, regional facilities, and Washington, D.C. offices routinely host international government officials, researchers, and scholars for the purpose of sharing information regarding archival policies and procedures. The National Commission on Libraries and Information Science continues to assist NARA by funding a portion of our international travel to conduct business of the International Council on Archives. Travel is conducted throughout the year.



NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$49,500	17	487
National Interests Addressed:	Democracy and Human Rights	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$1,120,000	\$435,000	\$685,000	\$0	\$1,267,000	\$0	\$0	\$2,387,000	386



NATIONAL  
ENDOWMENT  
FOR THE ARTS

# NATIONAL ENDOWMENT FOR THE ARTS

1100 Pennsylvania Avenue, NW • Washington, DC 20506  
Office of Communications: 202-682-5570 • [www.arts.endow.gov](http://www.arts.endow.gov)

The **National Endowment for the Arts (NEA)** supports the visual, literary, and performing arts to benefit all Americans by fostering artistic excellence, preserving and transmitting our diverse cultural heritage, making the arts more accessible to all Americans, and making the arts intrinsic to education.

## International Partnerships Programs

The International Partnerships Programs bring the benefits of international exchange to arts organizations, artists, and audiences nationwide through its collaborative initiatives with other funders. The Endowment's support of international activities showcases U.S. arts abroad and broadens the scope of experience of American artists to enrich the art that they create. International activities help increase worldwide recognition of the excellence, diversity, and vitality of the arts of the United States. Through its work, the International Partnerships Programs help American artists and arts organizations develop international ties that strengthen the many art forms of the United States.

The principal international activities supported by NEA include the following:

- the **Fund for U.S. Artists at International Festivals and Exhibitions**, which assists the presentation of a broad range of artists from across the United States at worldwide international festivals and exhibitions. The program is supported in cooperation with various private sector organizations and the U.S. Information Agency.
- the **U.S.-Ireland-Northern Ireland Community Residencies Exchange**, which enables arts organizations in the three countries to host visiting artists for month-long residencies.
- the **U.S.-Japan Creative Artists Fellowship Program**, which was established in 1978 in cooperation with the Japan-United States Friendship Commission and Bunka-Cho (Japanese

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Agency for Cultural Affairs). This program provides six-month fellowships in Japan for individual American artists in any discipline to create new work and pursue their individual artistic goals. A reciprocal arrangement allows Japanese artists to engage in similar activities in the United States.

- the **ArtsLink Program**, which encourages artistic interchange with Central and Eastern Europe and the New Independent States of the former Soviet Union. Under the ArtsLink Collaborative Projects, support is provided for U.S. artists to work on mutually beneficial projects with colleagues from the region. The ArtsLink Residencies enable U.S. arts organizations to host visiting artists or managers for a five-week period.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$1,120,000	371	15
National Interests Addressed:	American Citizens and Borders; Democracy and Human Rights	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$62,000	\$62,000	\$0	\$0	\$17,250	\$0	\$0	\$79,250	8



# NATIONAL ENDOWMENT FOR DEMOCRACY

1101 Fifteenth Street, NW • Washington, DC 20005  
 Telephone: 202-293-9072 • [www.ned.org](http://www.ned.org)

The **National Endowment for Democracy (NED)** is a nonprofit grant-making organization established by Congress in 1983 and funded by an annual Congressional appropriation. The Endowment seeks to strengthen democratic electoral processes in cooperation with indigenous democratic forces; foster cooperation with those abroad dedicated to the cultural values, institutions, and organizations of democratic pluralism; and encourage the establishment and growth of democratic development in a manner consistent both with the broad concerns of U.S. national interests and with specific requirements of democratic groups in other countries.

## International Forum for Democratic Studies

The **Visiting Fellows Program** of NED's International Forum for Democratic Studies enables scholars, journalists, and practitioners of democracy from around the world to spend from three to ten months in residence at the Forum's offices in Washington, D.C., exploring the theory and practice of democracy. The program is open to accomplished scholars, political leaders, democratic activists, and journalists of all nationalities. It seeks to reflect a wide geographical and professional diversity each year. Fellows are provided with use of an office, computer (including access to the Internet), telephone, and other office equipment, as well as the Forum's Democracy Resource Center (including inter-library loan privileges and other research services).

Please note: In most cases, however, the Forum is not able to provide stipends to cover living expenses. Most Fellows who have been in residence have come with their own funding from other sources, some of which may not be governmental. The Forum's ability to serve as a host institution has served well in leveraging funding for projects from private sources; much of that funding is given directly to the Fellows.

The primary goal of the program is to give leading democratic scholars and activists the time and non-financial resources to do original research, become familiar with recent literature in their fields of

interest, write for publication, assess their own experiences, engage in discussions with scholars and practitioners from other regions, and enhance their knowledge and skills. A secondary goal of the program is to stimulate mutually beneficial interaction among Fellows and other scholars and practitioners of democracy by exposing the Fellows to the academic, policymaking, and activist communities in Washington, D.C., and elsewhere in the United States.

In FY 1998, the program featured a wide diversity of Fellows from countries including Canada, South Korea, Morocco, Iran, and France, in addition to two Americans. Of particular note, two Fellows from Morocco, who are editors of a Casablanca-based literary and political journal, undertook observational fellowships through which they enhanced their editorial skills by observing the editorial process of the Forum's "Journal of Democracy." Based on the success of these fellowships, we plan to continue our efforts to make the program available for similar observational and training activities in the future. One additional noteworthy achievement is a conference on "Democracy, Human Rights, and Good Governance in Africa: French and American Perspectives," which was initiated by a visiting Fellow from France. The conference resulted in a published report and a reciprocal conference that will be held in Paris in November 1999.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$62,000	2	6
National Interests Addressed:	National Security; Democracy and Human Rights	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$694,809	\$694,809*	\$0	\$0	\$178,946*	\$0	\$0	\$873,755	73

\* Please see note below.



# NATIONAL ENDOWMENT FOR THE HUMANITIES

1100 Pennsylvania Avenue, NW • Washington, DC 20506  
Public Affairs: 202-606-8446 • [www.neh.fed.us](http://www.neh.fed.us)

The **National Endowment for the Humanities (NEH)** supports scholarship, education, and public programs in the humanities. The Endowment funds research, education, museum exhibitions, documentaries, preservation, and activities of the state humanities councils. As part of the Endowment's support for research, funding for fellowship programs is provided to selected U.S. institutions that support humanities research in foreign countries. This funding helps to widen access to the resources of these institutions and assures opportunities for humanities scholars in the arena of international research, where other public and private funders often give higher priority to projects in the social sciences, policy studies, or economic development.

Eligibility is limited to tax-exempt, non-profit institutions that are financed, governed, and administered independently of institutions of higher education. Since the purpose of Endowment support is to enhance existing fellowship programs by providing additional fellowships for humanities scholars, eligibility is further limited to institutions that have established and maintained fellowship programs with their own or other private funding. Grantee institutions are expected to award NEH fellowships through competitive selection procedures, according to NEH guidelines. Priority is given to programs that provide long-term fellowship opportunities (four to twelve months in duration). The program is on-going.

The program seeks to increase opportunities for humanities scholars to conduct research on foreign cultures and gain access to resources provided by independent libraries, research centers, and international research organizations. NEH fellowships awarded by grantee institutions enable individual scholars to pursue their own research and to participate in the interchange of ideas with other scholars.

The Endowment has joined in a cooperative funding initiative with the Andrew W. Mellon Foundation to increase support for fellowship programs at independent centers for advanced study in the humanities. Under the terms of the partnerships, the NEH increased its allocation of funds to support fellowship programs at domestic and overseas centers for fiscal years 1997 and 1998. FY 1998 awards for fellowship programs included a grant to one U.S. overseas research center and amendments to grants made in previous years to seven other centers and international research organizations; the increased funding will

allow these institutions to offer the equivalent of 23 year-long fellowships over the next three years. During FY 1998, NEH funds awarded in previous years supported 73 humanities scholars conducting research in libraries, archives, and museums in 33 countries. Private gifts generated by NEH offers of matching funds supported 11 additional Fellows.

NEH Fellows have pursued research on topics in history, literature, philosophy, the history of religion, and the history of art and have published numerous books and articles. Recent publications by NEH Fellows include: "Controlling Laughter: Political Humor in the Late Roman Republic," by Anthony Corbeill; "Between Two Worlds: The Construction of the Ottoman State," by Cemal Kafadar; "The Poetics and Politics of Tuareg Aging: Life Course and Personal Destiny in Niger," by Susan Rasmussen; "Demanding Democracy: Reform and Reaction in Costa Rica and Guatemala, 1870s – 1950s," by Deborah J. Yashar; "Brotherhoods and Secret Societies in Early and Mid-Qing China," by David Ownby; "The Chora of Chersonesos on the Black Sea and Metaponto in Southern Italy," by Joseph Carter; "Modern Art in Eastern Europe," by S.A. Mansbach; and Paula Perlman's work on the Archaic and Classical Poleis of Crete. NEH Fellows also report that their research has enriched their classroom teaching.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$694,809	73	0
<b>National Interests Addressed:</b>	The Advancement and Dissemination of Knowledge in the Humanities	

\*Note: There is no separate appropriation for fellowship programs at U.S. institutions supporting research abroad. The amount shown is the agency's allocation of funds for this purpose. The funding shown reflects the amount in grants made to institutions in FY 1998 for fellowships to be awarded to individuals for research abroad in subsequent fiscal years.

Private Sector (U.S.) funding represents only those amounts of private gifts certified in response to NEH offers of federal matching funds. The actual level of private contributions to the fellowship program is significantly higher and includes grantee institutions' costs for administration of the fellowship competitions, staff, services to Fellows, and, in the case of residential centers, maintenance of facilities. NEH grants support only stipends for Fellows and a small portion of the institutions' costs of advertising the fellowship competitions and the costs of the selection procedures.

Total USG Funding	Agency Appropriation	Interagency Transfer	Foreign Government	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$14,000,000*	\$14,000,000*	\$0	Not Reported	\$0	\$0	\$0	\$14,000,000*	2,139**

\*Funding is estimated.

\*\*Only U.S. Participants. See note below.



# NATIONAL SCIENCE FOUNDATION

4201 Wilson Boulevard • Arlington, VA 22230

NSF Information Center: 703-306-1234 • [www.nsf.gov](http://www.nsf.gov)

The **National Science Foundation (NSF)** promotes the progress of science and engineering through the support of research and education programs. Its major emphasis is on high-quality, merit-selected research -- the search for improved understanding of the fundamental laws of nature upon which our future well-being as a nation depends. The NSF support of international activities is an integral part of its mission to promote the progress of U.S. science and engineering. In particular, the NSF recognizes the importance of 1) enabling U.S. researchers and educators to advance their work through international collaboration, and 2) helping to ensure that future generations of U.S. scientists and engineers gain professional experience early in their careers. Consistent with the international character of science and engineering, disciplinary programs throughout the NSF offer support to U.S. scientists and engineers for the international aspects of their research. NSF spends approximately \$350 million on international activities.

## Division of International Programs (INT)

The INT supports an array of targeted programs covering all regions of the world, which are aimed at promoting new partnerships between U.S. scientists and engineers and their foreign colleagues. The regions covered are 1) Africa, Near East, and South Asia; 2) The Americas; 3) East Asia and the Pacific; 4) Eastern Europe and the New Independent States; 5) Japan; and 6) Western Europe. These programs have three principal objectives: human resource development, expanding cooperative research opportunities, and ensuring U.S. involvement in advanced research worldwide. Programs involving young scientists or new collaborative efforts are given preference.

In FY 1998, approximately \$14 million was spent on targeted regional programs, the International Research Fellows Program, and NSF's contribution to the Human Frontier Science Program. The regional programs include the following types of activities: cooperative research projects, dissertation enhancement



awards, joint seminars and workshops, planning visits, and undergraduate and graduate student activities. Over 2,200 U.S. scientists and engineers were supported during FY 1998.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign participants
\$14,000,000*	2,139	See Note Below
National Interests Addressed:	Global Issues; Advancement of Science	

\* \* \* \* \*

**Cooperative Research Projects** facilitate internationalization of domestic research projects whose core support is provided by other sources (often an NSF research division) by linking them with projects planned and carried out by foreign counterpart investigators. Typical awards cover two to three years of cooperation and are intended to initiate international cooperation involving new foreign partners or new types of activities with established partners. Long-standing cooperative activities are expected to have established an adequate track record to be competitive within NSF's disciplinary research programs.

**Dissertation Enhancement Awards** support dissertation research at overseas sites by graduate students enrolled in U.S. institutions. They cover funds for international travel, living expenses, and other items not normally available from the student's university. Priority is given to applicants who are U.S. citizens or permanent residents. Since these awards are intended to encourage the development of international experience and outlook among new generations of U.S. scientists and engineers, recipients are expected to work in close cooperation with their host country institutions.

**Graduate Student Activities** receive support from the Division of International Programs in a number of ways. In addition to providing assistance to graduate students in cooperative research projects, the Division funds a small number of special programs for U.S. graduate students in science and engineering. The Summer Institute for Graduate Students in Japan and Korea provides graduate students in science and engineering (including bio-medical sciences) with first-hand experience in a Japanese or Korean research environment, intensive language training, and an introduction to science and science policy infrastructure in these two countries. The Summer Research Experiences for Graduate Students is designed to introduce small groups of U.S. graduate students to Western European science and engineering in the context of a research laboratory and to initiate personal relationships that will foster the students' capability to engage in future international cooperative activity.

**International Research Fellow Awards** are designed to introduce scientists and engineers in the early stages of their careers to opportunities abroad for periods of three to 24 months, thereby furthering NSF's goals of establishing productive, long-term relationships between U.S. and foreign science and engineering communities. These awards are available in any field of science or engineering supported by NSF. Award recipients must be U.S. citizens or permanent residents who have earned a doctoral degree within six years before the date of application (five in the case of Japan), who expect to receive the doctoral degree by the award date, or who have equivalent experience beyond the Masters Degree level.

**Joint Seminars and Workshops** involving groups of U.S. and foreign counterpart investigators are intended to provide opportunities to identify common priorities in specific, well-defined research areas and, ideally, to begin preparation of cooperative research proposals. Generally, such meetings involve no more than 30 participants. Usually they involve approximately ten U.S. and ten foreign participants, with

no more than two U.S. participants from any one institution. Foreign participants may come from more than one country. Meetings must be organized in cooperation with appropriate foreign institutions, including universities or equivalent organizations, professional societies, or multilateral organizations.

**Planning Visits** of one to two weeks duration are intended to permit U.S. investigators to consult with prospective foreign partners to finalize plans for a cooperative activity eligible for support by the Division of International Programs. Proposals for such visits are considered only in cases where 1) there is evidence that substantial progress has already been made in planning the prospective joint activity; 2) the Division judges that face-to-face discussion is essential to complete plans; and 3) other likely sources of travel support are unavailable.

**\*\*Note:** Many of NSF's international programs are jointly funded with foreign research organizations, who support the costs of their own researchers. NSF does not maintain statistics on foreign researchers involved in NSF-supported projects.

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$5,527,000*	\$527,000*	\$5,000,000*	\$0	\$0	\$0	\$0	\$5,527,000*	492

\*Funds are for larger programs that include exchanges and training components.



# NUCLEAR REGULATORY COMMISSION

1555 Rockville Pike • Rockville, MD 20852

Public Information: 301-415-8200 • [www.nrc.gov](http://www.nrc.gov)

The **Nuclear Regulatory Commission (NRC)** licenses and regulates civilian use of nuclear energy to protect public health and safety and the environment. This is achieved by licensing persons and companies to build and operate nuclear reactors and other facilities and to own and use nuclear materials. The Commission makes rules and sets standards for these types of licenses. It also carefully inspects the activities of the persons and companies licenses to ensure that they do not violate the safety rules of the Commission.

The NRC maintains a program of international nuclear safety activities in support of U.S. domestic and foreign policy interests in the safe, secure, and environmentally acceptable use of nuclear materials, energy, and in nuclear non-proliferation, as well as in support of NRC's public health and safety and national security mandates. Cooperation with foreign countries in the area of nuclear safety provides a considerably larger operational experience base than exists in the U.S. alone, enables the NRC to identify and resolve safety issues in an economical manner, and supports and enhances nuclear safety worldwide.

The NRC participates in a wide range of mutually beneficial programs involving information exchange with counterparts in the international nuclear community. NRC currently maintains arrangements with regulatory authorities in 34 countries. These arrangements provide communications channels that ensure the prompt reciprocal notification of power reactor safety problems that could affect both U.S. and foreign power plants. They are an important component of NRC's public health and safety and national security mandate, and provide the foundation for bilateral cooperation with other nations in nuclear safety, physical security, materials control and accounting, waste management, environmental protection, and other areas to which the parties agree. Finally, they establish the means through which the NRC provides health and safety information and assistance to other countries attempting to develop or improve their regulatory organizations and their overall nuclear safety cultures. In addition to its program of bilateral cooperation with other countries, NRC also works closely in the area of nuclear safety with organizations such as the International Atomic Energy Agency (IAEA) in Vienna, Austria, and the Nuclear

Energy Agency (NEA) of the Organization for Economic Cooperation and Development (OECD) in Paris, France.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$5,527,000*	399	93
National Interests Addressed:	National Security; Advancement of Science	

\* \* \* \* \*

## Regional Programs

### New Independent States of the Former Soviet Union

NRC conducts programs with Russia, Ukraine, Armenia, and Kazakhstan. These programs have been funded through interagency agreements between NRC, the Defense Threat Reduction Agency (DTRA), and the U.S. Agency for International Development (USAID). NRC coordinates a range of safety and safeguards assistance and some cooperative activities, as appropriate, to develop and strengthen independent nuclear regulatory authorities through training, information exchanges, cooperative efforts, and through purchasing of equipment.

### Central and Eastern Europe

NRC also conducts programs with Hungary, Czech Republic, Slovak Republic, Bulgaria, and Lithuania. These programs have been funded through interagency agreements between NRC and USAID. NRC coordinates a range of safety assistance and some cooperative activities, as appropriate, to develop and strengthen independent nuclear regulatory authorities through training, information exchanges, cooperative efforts, and through purchasing of equipment.

### Advanced Nuclear Countries

The NRC ensures cooperation with advanced nuclear countries through bilateral regulatory exchange arrangements and international visits. These exchanges obtain information on foreign regulatory approaches and operational experience that will assist NRC's domestic nuclear regulation. NRC also participates in activities to enhance domestic and global nuclear safety, both through bilateral and multilateral organizations such as the International Atomic Energy Agency (IAEA) and the Nuclear Energy Agency (NEA).

### Developing Nations

NRC conducts a range of safety and safeguards assistance and cooperative activities with countries with less well-established nuclear programs in Asia, Latin America, and Africa for the purpose of developing and strengthening independent nuclear regulatory authorities through training, information exchange, and cooperative efforts.

**Foreign Assignee Program.** NRC implements an on-the-job training program for assignees from other countries, primarily from their regulatory organizations, operating under the aegis of bilateral information exchange arrangements. During FY 1998, eight people from the countries of France, South Korea, Japan, China, Spain, and Switzerland participated in the program. The assignments generally ranged from a few months to a year or more. During their time at NRC, foreign assignees often make significant contributions to the resolution of U.S. regulatory issues. At the same time, they learn the NRC's approach to nuclear safety, which helps them and their organizations understand Western safety practices. Assignees often become senior officials in their regulatory organizations during their careers.

This program is primarily funded by the sponsoring foreign government; however, the short-term assignments are funded by USAID. Financial data for assignees funded by foreign governments is not available. The assignments from Hungary and Bulgaria were approximately two weeks long and were funded by USAID.

**Foreign Visitors.** In addition to the activities described above, NRC receives foreign visitors at headquarters and regional offices on a regular basis. These visits include high-ranking individuals and technical delegations. The purpose of these visits is to advance bilateral cooperative agreements and assistance programs. Specific data on foreign visits to NRC are not available.

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$0	\$0	\$0	\$233,975	\$0	\$0	\$0	\$233,975	44



# OFFICE OF PERSONNEL MANAGEMENT

FEDERAL EXECUTIVE INSTITUTE  
 1301 Emmet Street • Charlottesville, VA 22903  
 Office of Public Liaison: 804-980-6200 • [www.opm.gov/fei](http://www.opm.gov/fei)

The **Office of Personnel Management (OPM)** administers a merit system to ensure compliance with personnel laws and regulations and assists agencies in recruiting, examining, and promoting people on the basis of their knowledge and skills, regardless of their race, religion, gender, political influence, or other nonmerit factors.

The Office's role is to provide guidance to agencies in operating human resources programs which effectively support their missions and to provide an array of personnel services to applicants and employees. The Office supports government program managers in their human resources management responsibilities and provides benefits to employees, retired employees, and their survivors.

## Federal Executive Institute (FEI)

The FEI, located in Charlottesville, Virginia, was established in 1968. FEI is the principal training facility for senior U.S. Government officers. Since its founding, over 14,000 senior American and foreign government executives have participated in its programs.

OPM's Federal Executive Institute and Management Development Centers conduct training for government executives and managers on a fee-for-service basis. The FEI and Centers do not receive appropriated funds; government agencies reimburse OPM for training received. Over the past two years, participants from foreign governments attended programs offered by the FEI and Centers.

The **Leadership for a Democratic Society Program**, which is conducted by the FEI, develops the career executive corps. It links individual development to improved agency performance. Conducted for an interagency audience many times each fiscal year, hundreds of government executives

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can attend this four-week residential training program. Program fees are paid to OPM by each executive's agency. Foreign government executives may attend this program. During FY 1998, 24 international executives attended the program, and OPM received \$181,650.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	24
National Interests Addressed:	Democracy and Human Rights	

\* \* \* \* \*

The **Management Development Center's Management Program** in FY 1998 included 20 Saudi Arabian government officials in their regularly scheduled management courses. Total tuition fees collected were \$52,325.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	20
National Interests Addressed:	Democracy and Human Rights	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$232,156,000	\$222,000,000	\$10,156,000	\$611,600	\$860,000	\$0	\$0	\$233,627,600	5,693*

\*Figure represents average number of participants.



# PEACE CORPS

1990 K Street, NW • Washington, DC 20526  
Press Office: 202-606-3010 • [www.peacecorps.gov](http://www.peacecorps.gov)

Since its origin, the **Peace Corps** has emerged as a model of citizen service on an international scale and of practical assistance to people in developing countries. More than 150,000 Americans from every background have served in the Peace Corps in 134 countries.

The agency fulfills the Peace Corps' mission of providing people-to-people development assistance at the grassroots level and cross cultural exchange by fielding as many Volunteers around the world as it can appropriately recruit, train, program, and support at the budget level approved by the Congress.

Through their service, Volunteers cultivate people-to-people relationships that help establish a foundation for peace among nations. They continue the tradition of working in partnership with people worldwide to improve basic conditions and create new opportunities. They speak the local languages and live in the communities where they work. In this process, Volunteers share and represent the culture and values of the American people and in doing so earn respect and admiration for our country. Upon their return, they help expand Americans' understanding of the world by bringing a keen understanding of the cultures, customs, languages, and traditions of other people.

The Peace Corps is charting a course for the millennium that builds upon the lessons learned over the past 38 years in a way that makes sense for today's circumstances. Today, in 80 countries, more than 6,700 Peace Corps Volunteers are living and working alongside local people trying to build a better future. In 1999, the Peace Corps begins a multi-year plan to reach 10,000 Volunteers -- a goal that Congress enacted into law in 1985 "as the policy of the United States and a purpose of the Peace Corps."



PEACE CORPS

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$232,156,000	5,693*	0
National Interests Addressed:	Humanitarian Response; Global Issues; Foundation of Trust	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U. S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$933,666	\$0	\$933,666	\$0	\$0	\$0	\$0	\$933,666	406



# SECURITIES AND EXCHANGE COMMISSION

450 Fifth Street, NW • Washington, DC 20549  
Office of Public Affairs: 202-942-0020 • [www.sec.gov](http://www.sec.gov)

The **Securities and Exchange Commission (SEC)** administers federal securities laws that seek to provide protection for investors; to ensure that securities markets are fair and honest; and, when necessary, to provide the means to enforce securities laws through sanctions.

The **Foreign Technical Assistance Program** provides training and other technical assistance to senior governmental and stock exchange officials from countries with emerging and developed securities markets. The purpose of such assistance is to encourage the development of regulatory infrastructures and to promote investor confidence in such markets. Foreign participants attending U.S. training are usually self-funded, and many participants from emerging market countries are funded by the U.S. Agency for International Development (USAID) or similar foreign assistance programs.

Each year the SEC hosts the International Institute for Securities Market Development, an intensive two-week, management-level training program covering a full range of topics relevant to the development and oversight of securities markets. The Market Development Institute is intended to promote market development, capital formation, and the building of sound regulatory structures in emerging market countries. The eighth annual Market Development Institute was held in the spring of 1998, with 96 delegates from 70 countries in attendance. The SEC also offers a one-week International Institute for Securities Enforcement and Market Oversight for foreign securities regulators. This program promotes market integrity and the development of closer enforcement cooperation, and includes practical training sessions on SEC enforcement investigations, investment company and adviser inspections, broker-dealer examinations, and market surveillance. Fifty countries were represented with a total of 101 participants attending this institute.

In addition, for the past several years, the SEC has offered specialized training programs covering enforcement and market development issues for smaller groups of securities professionals from the New Independent States of the Former Soviet Union and Central and Eastern Europe. The cost of delivering these programs is fully reimbursable under an interagency agreement with USAID.

SECURITIES AND EXCHANGE COMMISSION

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For FY 1999, the SEC will continue its technical assistance program and will further its work under its interagency agreements with USAID.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$933,666	32	374
National Interests Addressed:	National Security; Economic Prosperity; Law Enforcement; Democracy and Human Rights; Global Issues; Bilateral Cooperation	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	546



# SOCIAL SECURITY ADMINISTRATION

1308 West High Rise, 6401 Security Boulevard • Baltimore, MD  
Office of International Programs: 410-965-3558 • [www.ssa.gov](http://www.ssa.gov)

The **Social Security Administration (SSA)** manages the nation's social insurance program, which consists of retirement, survivors, and disability insurance programs, commonly known as social security. It also administers the Supplemental Security Income program for the aged, blind, and disabled. The Administration studies the problems of poverty and economic insecurity among Americans and makes recommendations on effective methods for solving these problems through social insurance. The Administration also assigns social security numbers to U.S. citizens and maintains earnings records for workers under their social security numbers.

## Office of International Programs (OIP)

The OIP of the SSA arranges programs for briefings and consultations and coordinates visits between foreign government and non-government officials and the Social Security Administration on social security and social security related issues.

The **International Visitors Program** provides foreign social security officials and experts in related fields an opportunity to consult with SSA staff experts on a wide variety of issues. Programs of consultation and observation can be arranged for individuals and groups with an interest in developing and/or redesigning social security systems. Observation of various SSA operations at headquarters or in one of the field facilities may be scheduled, time permitting. Participants in the Social Security International Visitors Program are generally sponsored by their own government or by one of the international aid organizations.

In FY 1998, SSA developed 61 programs of consultation and observation for a total of 540 international visitors (including six U.S. escorts) from 41 countries.

## SOCIAL SECURITY ADMINISTRATION

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The Social Security Administration does not provide funding for international visitors travelling to the United States. Participants in SSA's International Visitors Program are sponsored either by the United States Information Agency, their own governments, private foundations, or international organizations.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	6	540
National Interests Addressed:	Advancement of Social Security Worldwide	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	487



## TENNESSEE VALLEY AUTHORITY

400 West Summit Hill Drive • Knoxville, TN 37902  
Media Relations Office: 423-632-6098 • [www.tva.gov](http://www.tva.gov)

The **Tennessee Valley Authority (TVA)**, a U.S. Government-owned corporation, was established by Congress through the TVA Act in 1933 to provide a reliable supply of power at the lowest feasible price and to strengthen the regional economy. TVA's core businesses of electricity generation, electricity transmission, and integrated resource management reflects the unique nature and mission of TVA. TVA's program activities include flood control, navigation development, electric power production, recreation improvement, and forestry and wildlife development.

The **International Visitors Program** of the TVA received 487 international visitors in FY 1998. Some visitors came to TVA for general purposes (information gathering, study trips, etc.). Others visited to gather technical information. TVA has long been cooperative in sharing technical information with the world.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$0	0	487
<b>National Interests Addressed:</b>	Economic Prosperity; Global Issues	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$3,144,061*	\$2,264,913*	\$879,148*	Not Reported	Not Reported	Not Reported	Not Reported	\$3,144,061*	275

\*Funds are for larger programs that include exchanges and training components.



## TRADE AND DEVELOPMENT AGENCY

1621 North Kent Street • Arlington, VA 22209-2131  
General Information: 703-875-4357 • [www.tda.gov](http://www.tda.gov)

The **Trade and Development Agency (TDA)** assists in the creation of jobs for Americans by helping U.S. companies pursue overseas business opportunities. Through the funding of feasibility studies, specialized training grants, business workshops, and various forms of technical assistance, TDA helps American businesses compete for infrastructure and industrial projects in emerging markets.

**Orientation Visits**, averaging approximately one week in duration, are another way U.S. suppliers can make their products known to foreign procurement officials. TDA sponsors visits to the United States by foreign officials, including procurement and technical specialists, interested in procuring American goods and services for specific projects. These officials represent both the public and private sectors. U.S. suppliers who participate are able to showcase their products and expertise, while making valuable international contacts -- all on their own home turf. In 1998, TDA sponsored 43 orientation visits, or nearly one a week. The number of visits in 1999 will probably be about the same or slightly larger.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$3,144,061*	0	275
<b>National Interests Addressed:</b>	Economic Prosperity	

Total USG Funding	Agency Appropriation	Inter-agency Transfer	Foreign Government	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$71,837,500	\$71,837,500	\$0	Not Reported	Not Reported	Not Reported	Not Reported	\$71,837,500	7,110*

\* Does not include foreign participants trained in third countries or U.S. technical advisors traveling overseas.



# UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

1300 Pennsylvania Avenue, NW • Washington, DC 20523

Center for Human Capacity Development: 202-712-0271 • [www.info.usaid.gov](http://www.info.usaid.gov)

The **United States Agency for International Development (USAID)** was established in 1961 as an independent government agency that provides social and economic development and humanitarian assistance to advance U.S. economic and political interests overseas. USAID's participatory development activities lead to many direct benefits here in the United States. USAID focuses its activities in six primary areas: Economic Growth and Agricultural Development; Democracy and Governance; Education and Training; Population, Health, and Nutrition; Environment; and Humanitarian Assistance. This report includes information regarding individuals who have traveled to the United States to receive training. All figures contained herein do not include those foreigners trained by USAID in third countries nor U.S. technical advisors traveling overseas.

## Economic Growth and Agricultural Development

USAID helps the people of developing nations become participants in the economic and political lives of their nations, thus reducing global poverty and creating markets for the United States and regional stability for all. USAID supports policy reforms in key sectors by strengthening economic and political institutions critical to good governance; by encouraging the effective functioning of markets; by supporting emerging markets and micro-enterprise; by investing in human resources; and by aiding projects to promote sustainable growth.



U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$26,710,374	Not Reported	2,766
<b>National Interests Addressed:</b>	Economic Prosperity; Humanitarian Response	

\* \* \* \* \*

## Democracy and Governance

Because democratic regimes contribute to peace and security in the world and because democracy and respect for human rights coincide with fundamental American values, the Administration has identified the promotion of democracy as a primary objective of U.S. foreign policy. Democratization is an essential part of sustainable development. By facilitating the protection of human rights, informed participation, and public sector accountability, democratization promotes capital investment, efficiency of public services, and citizen commitment to a productive society and economy. Faltering democracies and persistent oppression pose serious threats to the security of the United States and other nations. Stable democratic nations make the best trading partners for the United States and help promote international security.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$18,775,742	Not Reported	1,823
<b>National Interests Addressed:</b>	National Security; Law Enforcement; Democracy and Human Rights	

\* \* \* \* \*

## Human Capacity Development

Human capacity development is a fundamental building block of any stable society. Education and training are required to enable a people's full participation in community, national, and global development across generations. A nation's ability to contribute to the world economy, as well as to manage its own, is directly related to the development of its human resources. The Center for Human Capacity Development, in collaboration with regional bureaus and field missions, is responsible for implementing the Agency's goal of "Building Human Capacity Through Education and Training." The Center provides field support, technical leadership, and research to help nations and field missions improve education and training and to help develop stable, democratic countries with thriving market economics, and healthy, well-educated families.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$3,047,207	Not Reported	206
<b>National Interests Addressed:</b>	Economic Prosperity; Democracy and Human Rights; Global Issues	

\* \* \* \* \*

## Population, Health, and Nutrition

USAID supports population, health, and nutrition programs in more than 67 countries in Asia, Africa, Latin America, the Middle East, and Eastern Europe. Programs focus on family planning, child survival, prevention of HIV/AIDS and other sexually transmitted infections, maternal health and nutrition, and health system reforms. The strategy for attaining USAID's goal in world population and health relies on achieving four closely related objectives: reduction in abortion and unintended pregnancies; reduction in child mortality; reduction in maternal mortality; and reduction in the transmission of sexually transmitted infections and HIV. Nutrition programs, often linked with the Agency's agricultural development activities, promote child survival and adult health goals via nutritional food development and distribution.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$8,794,825	Not Reported	695
National Interests Addressed:	Global Issues	

\* \* \* \* \*

## Environment

Environmental problems increasingly threaten the economic and political interests not only of the country where the problems exist, but also of neighboring countries and the world at large. Both industrial and developing nations contribute to environmental deterioration. America's own well-being is directly threatened by worldwide environmental degradation through global climate change, biodiversity loss, and natural resource depletion. In the long run, we cannot escape the effects of this degradation. USAID's programs are designed to help meet these global challenges.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$5,767,160	Not Reported	497
National Interests Addressed:	Global Issues	

\* \* \* \* \*

## Humanitarian Assistance

The United States traditionally has viewed humanitarian assistance as both an act of national conscience and as an investment in the future. The United States has a long and generous tradition of providing both humanitarian and development assistance programs to the victims of man-made and natural disasters.

In Latin America, the devastating effects of Hurricanes Georges and Mitch were met with an instant response from USAID. USAID is part of a government-wide relief effort and is currently working with the governments of the countries affected by the devastation.

**Food Programs:** USAID's Food for Peace programs (Public Law 480) support both humanitarian and sustainable development assistance in the form of U.S. agricultural commodities. The Public Law 480 program is operated jointly with the U.S. Department of Agriculture. The Title II program is managed by the Food for Peace office. It provides the vast majority of U.S. food assistance used to respond to emergencies and disasters around the world. Title II also provides resources to implement sustainable development programs targeted to improve the food security of needy people, either by the direct distribution of agricultural commodities or the use of local currencies generated by the sale of these commodities in the recipient country.

**International Disaster Assistance:** These programs support emergency relief and transition efforts, but are also used to improve the capacity of foreign nations to prepare and plan for disasters, mitigate their effect, and teach prevention techniques, thereby increasing the skills available locally to respond when disaster strikes. Funding also underwrites longer-term rehabilitation and recovery efforts for countries emerging from complex emergencies.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$8,742,192	Not Reported	1,123
<b>National Interests Addressed:</b>	Humanitarian Assistance	

\* \* \* \* \*

The most accurate data available were used to calculate breakouts among these six programs for U.S.-based training for each country. Where data were not available, USAID-wide averages were used. In the aggregate, participant counts for each country, and for USAID as a whole, are believed to be accurate.

USAID Missions were not able to provide sufficient information on a timely basis for complete reporting of numbers of Technical Advisors and Third Country Trainees. USAID reports that these numbers, if available, would be substantially similar to those reported last year.

USAID is in the process of deploying *TraiNet*, a new data gathering system. Full deployment is expected by September 1999. At the time USAID data was submitted for this report, *TraiNet* was in use at 35 agency sites that together account for 43 percent of U.S. based training. *TraiNet*, when fully adopted, will allow the timely and accurate collection of data sufficient to meet IAWG requirements.

Total USG Funding	Agency Appropriation	Interagency Transfer	Foreign Govts	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Part
\$295,295,940	\$196,077,571	\$99,218,369	\$46,203,803	\$117,048,510	\$47,122,401	\$0	\$505,670,654	23,162



# UNITED STATES INFORMATION AGENCY

301 4th Street, SW • Washington, DC 20547  
Office of Public Liaison: 202-619-4355 • [www.usia.gov](http://www.usia.gov)

The **United States Information Agency (USIA)** is an independent foreign affairs agency within the executive branch of the U.S. Government. USIA explains and supports American foreign policy and promotes U.S. national interests through a wide range of overseas information programs. The agency promotes mutual understanding between the United States and other nations by conducting educational and cultural activities. USIA maintains 190 posts in 142 countries. Overseas, USIA is known as USIS, the U.S. Information Service. Pursuant to the Foreign Affairs Reform and Restructuring Act of 1998, USIA will be integrated into the Department of State on October 1, 1999.

## Bureau of Educational and Cultural Affairs

The mission of educational and cultural exchange is to promote friendly, sympathetic, and peaceful relations between the United States and other countries by fostering mutual understanding through a wide range of international programs, as authorized by the Fulbright-Hays Act. Mutual understanding is achieved by exposing foreign participants to U.S. values, language, ideas and policies, and by increasing the knowledge of Americans about foreign societies and cultures, as well as international issues important to U.S. interests. The Bureau's programs are administered overseas in cooperation with USIS posts and Fulbright binational commissions, and U.S.-based non-governmental organizations (NGOs). These institutions are essential to fulfilling the Bureau's mission.

**Fulbright Academic Exchange Programs.** The J. William Fulbright Educational Exchange Program was established in 1946, in the aftermath of World War II, and has become an integral part of U.S. bilateral relations with some 140 countries. Over the past five decades, approximately 225,000 people identified as emerging and current leaders in their academic fields have participated in the Fulbright

Program. The Fulbright Program remains our country's premier vehicle for intellectual engagement with the rest of the world.

In partnership with the Presidentially-appointed J. William Fulbright Foreign Scholarship Board, the Bureau of Educational and Cultural Affairs plans and administers the J. William Fulbright Educational Exchange Program in cooperation with the bilateral Fulbright commissions and foundations operating in some 50 countries, the U.S. academic community, NGOs, U.S. diplomatic missions, foreign governments, and educational institutions. Cooperating private institutions also play a critical role in the administration of the program and help secure, among other things, private sector collaboration and financial support.

Fulbright Academic Exchanges consist of four separate programs, including the Fulbright Scholars, the Fulbright Students, the Fulbright Teacher Exchange, and the Hubert H. Humphrey Fellowship Program. The Fulbright Program annually awards about 5,000 fellowships and scholarships to American and foreign university professors, secondary school teachers, and graduate students to study, teach, lecture, or conduct research abroad and in the United States. Mid-career professionals from developing countries study and conduct internships in the United States as Humphrey fellows.

Countries critically important to U.S. security and economic interests strongly support the Fulbright program and play an active role in shaping its goals and activities. Their support sometimes exceeds the U.S. financial contribution. Consequently, Fulbright exchanges are among the more cost-effective of USG exchange activities. In FY 1998, the Fulbright program generated 54 percent of its gross support through private sector and NGO partnerships and cost-sharing by foreign governments and other USG agencies. The long-term Bureau goal for the program is to achieve parity in financial support from foreign governments.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$97,081,148	2,074	2,866
National Interests Addressed:	Foundation of Trust	

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**Global and Special Academic Programs.** Representing another aspect of the wide range of international academic exchange programs authorized by the Fulbright-Hays Act, Global Academic Programs provide programs, services, and disseminate information that help foster mutual understanding. The Global Academic Programs differ from the Fulbright Academic Exchange Programs in that Global Programs are administered independently of the J. William Fulbright Foreign Scholarship Board. Special Academic Programs represent mandated programs that reinforce the goals of the Fulbright-Hays Act in very specific ways or in specific parts of the world.

Global Academic Programs include the Study of the United States Program; the College and University Affiliations Program; Educational Advising and Student Services; and the English Language Program. The Study of the United States Program improves foreign participant understanding of the history, culture, and values of the United States, primarily through the hosting of summer and winter institutes. The College and University Affiliations Program encourages U.S.-foreign university partnerships through faculty and staff exchanges. Educational Advising and Student Services promote U.S. higher education by advising prospective foreign students, scholars, ministry officials, and others on U.S.

study opportunities. A network of 450 advising centers worldwide responds to 2.5 million inquiries annually, providing information to 60 percent of newly arriving foreign students. The 480,000 foreign students in the United States make a major contribution to the U.S. economy, resulting in over 100,000 U.S. jobs and an export services industry worth \$8.2 billion. Finally, English Language Programs, including the English Teaching Fellows Program and the English as a Foreign Language Fellows Program, support the efforts to improve target audiences' knowledge of the language and culture of the United States. Cost-sharing is fundamental to all projects and proceeds from direct teaching programs and the sale of English teaching materials, which are increasing.

Special academic programs include the Edmund S. Muskie Fellowship Program; the Near and Middle East Research and Training Act (NMERTA)/American Overseas Research Center programs; the South Pacific, Cambodia, East Timor, and Tibet special exchanges; and the Disability Exchange Clearinghouse. The Edmund S. Muskie Fellowship Program provides scholarships for study and internships in the United States to young mid-career professionals from the New Independent States (NIS) and the Baltic states. The Bureau of Educational and Cultural Affairs supports American Overseas Research Centers (ORCs) through a grant to the Council of American Overseas Research Centers (CAORC). The Bureau has supported graduate and post-doctoral study by U.S. scholars through ORCs since 1961. The NMERTA program was created after the Gulf War to ensure a stable source of support for enhancing knowledge in the United States about the Near East and provided the ORCs with their primary financial support for fiscal years 1992-1998. Congress will end NMERTA in 1999 and will fund the ORCs and CAORC directly.

Special exchanges for the South Pacific, Cambodia, East Timor, and Tibet provide scholarships for undergraduate, post-graduate, and professional exchanges. Finally, the Disability Exchange Clearinghouse was developed through a cooperative agreement with Mobility International USA (MIUSA) to help ensure that international exchange opportunities are adequately promoted among individuals with disabilities.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$31,069,000	445	524
<b>National Interests Addressed:</b>	Economic Prosperity; Democracy and Human Rights; Foundation of Trust	

\* \* \* \* \*

The **International Visitor Program (IVP)** enables American embassies to invite current and emerging foreign leaders in government, business, trade, media, education, science and other fields to meet with U.S. counterparts and to obtain firsthand knowledge about the United States, its people, politics, and culture. Simultaneously, the program provides Americans with opportunities to network and develop contacts with professional counterparts overseas.

Officially established in 1948, the International Visitor Program emphasizes both professional and cultural learning experiences addressing the perceptions of U.S. society held by foreign decision-makers and opinion-shapers.

Typically, International Visitor Program alumni advance to positions of authority and responsibility in their countries. In 1998, the heads of government of Germany, France, Hungary, the Netherlands, Ukraine, Korea, and Colombia were among the more than 180 current and former foreign

chiefs of state, in addition to over 600 cabinet-level ministers around the world counted among alumni. In the United Kingdom, 19 alumni held cabinet or ministerial-level positions, including the prime minister. In Russia, two deputy prime ministers and the national security advisor (former speaker of the Russian parliament) are alumni. Twenty-five members of the Japanese parliament are program alumni.

The International Visitor Program benefits from a nationwide network of local "Councils for International Visitors" (CIVs) throughout the United States. These community-based organizations assist arriving visitors and help plan their local professional and cultural activities. CIVs operate in 43 U.S. states and are supported by a corps of 800,000 local volunteers.

Significant cost-sharing is leveraged through partner organizations. The CIV network raises individual, corporate, and state and local government support for the program. In FY 1998, the program leveraged 53 percent of its gross support from such sources.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$41,442,000	0	4,365
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement; Democracy and Human Rights; Humanitarian Response; Global Issues; Foundation of Trust	

\* \* \* \* \*

**Professional and Citizen Exchange Programs** primarily aim to increase understanding and acceptance of U.S. strategic goals by foreign decision makers, opinion leaders, and publics by developing cadres of foreign leaders and publics whose knowledge, skills, and abilities have been informed by exposure to American values, ideas, models, and traditions, and who will have a multiplier effect on their societies; and by providing accurate and authoritative information to target audiences.

Citizen exchanges are flexible tools for dealing with often contentious U.S. foreign policy issues. They bolster U.S. strategic goals and traditional alliances through merit-based grants to non-profit institutions, including local community organizations, professional associations, and universities, aimed at addressing these goals. The grants involve a wide variety of American citizens, from judges to scientists to grass-roots volunteers, from artists to business leaders to high school students. Hundreds of thousands of U.S. and foreign citizens are touched by these programs through exchanging ideas, addressing conflicts, and constructing solutions to global problems.

Professional exchanges expose citizens of other countries to American policy, values, and systems and allow Americans to share their expertise and to broaden U.S. society's participation in global issues and events. Themes address policy goals, bilateral and regional objectives of U.S. missions and the concerns of Congress. Moreover, these exchanges provide fertile ground for public-private partnerships, such as creative joint efforts with the American Council for Young Political Leaders, Sister Cities International, and Partners of the Americas.

Cultural exchanges support American overseas presence in visual arts, performing arts, film, and literature -- with an emphasis on regions where there is an unmet need for knowledge of the United States and its creativity. Cultural exchanges demonstrate the vitality of U.S. society's "cultural signature" in the

world. Tools include exhibitions and performances made possible through private sector funding; assuring U.S. participation in international arts festivals and exhibitions; partnering with the film industry to provide American feature films for international festivals and official ambassadorial screenings; and artist exchanges.

Youth exchanges, primarily of secondary-level students, largely consist of an academic-year in the United States for young people from the former Soviet Union and Germany. Living with American host families across the nation opens the door to understanding our country -- its people and system of government. Foreign youth return to their homes speaking English and having acquired affection for America, democracy, and American life. Young Americans also study and live in Germany and participate in short-term exchanges in the NIS.

Special Professional/Cultural Programs are those programs of special interest to the Congress. The Congress-Bundestag Youth Exchange Program (CBYX), for example, is an official exchange program of the governments of the United States and Germany. Since FY 1983, both national legislatures have provided funding to enable the participation of more than 10,700 American and German high school students and young professionals to improve career skills through formal study and work experience in each other's country. Other special programs include the Mike Mansfield Fellowship Program; the Claude and Mildred Pepper Memorial Scholarship Program; the Central European Executive Education Program; the U.S./Mexico Conflict Resolution Center; the Institute for Representative Government and the Center for Irish Management.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$25,484,000	2,484	2,324
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Law Enforcement; Democracy and Human Rights; Global Issues; Foundation of Trust; Free Flow of Information	

\* \* \* \* \*

**Interagency Appropriation Transfer Programs.** Under the auspices of the Freedom for Russia and Emerging Eurasian and Open Markets Support Act of 1992, known as the Freedom Support Act, USIA administers a host of training and exchange programs that are geared towards providing current and emerging NIS leaders with the experience and skills necessary to help build democratic infrastructures and market economies in their societies. USIA programs target high school, university, post-graduate, and professional audiences to embrace the widest possible number of emerging leaders. The length and scope of these programs range from short-term visits to full academic degree programs. A list of the programs follows:

Graduate Exchanges; Undergraduate Exchanges; Young Leaders Program; Junior Faculty Development Program; Fellowships in Contemporary Issues; Future Leaders Exchange Program (FLEX); Teacher Exchange Program; Freedom Support Grants; Community Connections; Presidential Management Training Initiative; Productivity Enhancement Program; Professional Training Programs; U.S./European Union Democracy Programs; University Partnerships; Secondary School Linkage Program; Teaching Excellence Awards; Civics for Secondary Education; and the Internet Access Training Program (IATP).



The general goals of the Freedom Support Act programs are: 1) to provide opportunities for citizens of Russia and the New Independent States to familiarize themselves with the U.S. educational, political, and economic systems and the American way of life by visiting the United States; 2) to equip a broad base of current and future leaders and professionals in the NIS with specialized skills and practical experience needed to develop and support free enterprise and democratic governance, and; 3) to build sustainable U.S.-NIS personal and institutional linkages which can facilitate trade, investment, technology transfer, and cooperation on global issues of mutual concern.

The Ron Brown Fellowship Program was established in 1994 as the Central and Eastern European graduate fellowship program. It is an assistance program funded under the Support for Eastern European Democracies (SEED) Act of 1989. The goal of the program is to prepare future leaders from Central and Eastern European countries through education and training in fields considered critical to assisting in their transition to democratic practices and free market economies.

The USIA Office of International Visitors also hosted visitors from Bosnia-Herzegovina, Croatia, and Serbia-Montenegro during FY 1998 under the auspices of the SEED Act. Participants were primarily representatives of the ruling and opposition political parties, the media, academia, and NGOs. They conducted group projects that were planned by USIA in collaboration with non-governmental programming organizations exploring the concept of political pluralism and ethnic tolerance in the United States. Participants also examined media coverage of elections.

The Cyprus-American Scholarship Program (CASP) was established in 1981 with the purpose of assisting in the economic and social development of Cyprus through the provision of scholarships for Cypriot graduate and undergraduate students to study in the United States and through the provision of short term professional training for Cypriot leaders. Since 1989, USIA has signed annual Interagency Agreements with USAID for the transfer of funds and responsibility to USIA for the implementation of the CASP program. USIA uses the services of the Cyprus Fulbright Commission and AMIDEAST to administer the program.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$77,310,000	773	5,148
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; Democracy and Human Rights	

\* \* \* \* \*

**Other Appropriation Programs.** The Eisenhower Exchange Fellowships Program was created in 1953, in honor of President Eisenhower, to promote international understanding and productivity through the exchange of information, ideas, and perspectives among emerging leaders throughout the world. The Eisenhower Fellowship Act of 1990 authorized a permanent endowment for the program and established a trust fund. The 1992 Appropriations Act provided \$5 million to establish the endowment and to appropriate the interest and earnings to Eisenhower Exchange Fellowships, Inc. In 1995, the Appropriations Act made an additional payment of \$2.5 million to the endowment.

The Eisenhower Program brings professionals who are rising leaders in their respective countries to the United States, and sends their U.S. counterparts abroad, on a custom-designed program for each participant. This fellowships program is comprised of three major components: 1) the Multi-Nation Program brings one Fellow from each of two dozen countries to the United States; 2) the Single Nation or

Single Area Program enables 10 or more Fellows from a variety of disciplines to visit the United States from a single country or area; and, 3) the USA Program sends U.S. citizens abroad -- primarily to study in the emerging democracies of Eastern Europe.

The East-West Center was established by Congress in 1960 to promote better relations and understanding between the United States and other nations in the Asia-Pacific region through cooperative study, training, and research.

A national and regional educational and research institution, the East-West Center's studies address issues of contemporary policy relevance in U.S. relations with Asia and the Pacific. The Center also offers a variety of degree and professional educational and dialogue opportunities focused on these same issues. Approximately 1,000 scholars, government and business leaders, journalists, young political leaders, and other professionals participate each year in Center programs.

The North-South Center, established in 1984, serves as a national and hemispheric source of information and analysis about Western Hemisphere policy issues. It promotes better relations between the United States and the nations of Latin America, the Caribbean, and Canada by combining programs of public policy, cooperative study, research, and training.

In 1990, the Congress authorized federal funding for the Center in the North-South Center Act. The Center contributes to more effective policy-making on social, political, and economic issues. In addition to publications and conferences, research programs include: The North-South Scholars Program for graduate-level education and training; the National Linkages Program for policy issues discussion and outreach; and the Capacity and Institution Building Program for in-country education and training.

The Israeli-Arab Scholarship Program is funded by an interest-paying, congressionally mandated endowment which was established in 1991. The program allows highly qualified Arab citizens of Israel to study in institutions of higher learning in the United States, providing them both graduate education and an overview of American society and culture. Students are selected through a merit-based competition administered by USIS Tel Aviv. The program is a multi-year activity.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$17,839,348	170	635
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement; Democracy and Human Rights; Humanitarian Response; Global Issues	

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## The Bureau of Information

The Bureau of Information acquires, produces, and distributes information and expert advice and programs speakers and specialists to U.S. Information Service field posts overseas in order to support vital U.S. foreign policy interests.

### **U.S. Speakers, Specialists and the Professionals-in-Residence Programs.** U.S.

Speakers/Specialists are drawn from both the public and private sector and are recruited to speak and consult on such matters as international security, trade policy, narcotics, and the environment. Individuals who travel abroad under the U.S. Speakers/Specialist program serve from two days to two weeks. Professionals-in-Residence are recruited for tours of up to ten months as consultants to media outlets, government ministries, parliaments, and other organizations promoting the development of democratic institutions. Tele- and video-conference program links to foreign audiences enable American officials and experts to participate in -- or even to initiate -- foreign press conferences, lectures, interactive seminars, and one-on-one interviews.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$4,041,324	1,073	0
<b>National Interests Addressed:</b>	National Security; Economic Prosperity; American Citizens and Borders; Law Enforcement; Democracy and Human Rights; Humanitarian Response; Global Issues	

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## **The Bureau of Broadcasting**

The Bureau of Broadcasting presents an effective and timely method to reach a global audience. The U.S. Information Agency's radio and TV services -- the Voice of America, WORLDNET Television and Film Service, and Radio and TV Marti -- broadcast world, regional, and U.S. news; commentaries; editorials; roundtable discussions; features; and programs about the United States, its people, and its foreign and national policy.

**International Media Training Program.** The International Media Training Center (IMTC) is an element of the Office of Affiliate Relations, Media Training, and Research of the International Broadcasting Bureau, USIA. The IMTC actively supports the mission of developing and maintaining democracy throughout the world through the development of a free and independent media. The IMTC places special emphasis on providing training to indigenous media of emerging or developing democracies.

IMTC training programs provide training in media-related skills and subjects to key media personnel. Programs generally consist of workshops held in the host country or in Washington, D.C. Workshops include topics such as sales, management, news writing, editing, production, and producing balanced newscasts. Workshops are structured for approximately 8-10 participants each.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$1,029,120	27	254
<b>National Interests Addressed:</b>	Democracy and Human Rights	

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$954,890	\$954,890	\$0	\$0	\$0	\$10,000	\$50,000	\$1,014,890	316*

\*Figure represents estimates (average numbers of participants were calculated for the Jennings Randolph Fellowship Program and the Special Initiative on Religion, Ethics, and Human Rights).



# UNITED STATES INSTITUTE OF PEACE

1550 M Street, NW • Washington, DC 20005  
Public Affairs: 202-429-4828 • [www.usip.org](http://www.usip.org)

The **United States Institute of Peace** is an independent, nonpartisan federal institution created and funded by Congress to strengthen the nation's capacity to promote the peaceful resolution of international conflict. Established in 1984, the Institute has its origins in the tradition of American statesmanship that seeks to limit international violence and to achieve just peace based on freedom and human dignity. The Institute seeks to expand knowledge about ways to achieve a more peaceful world through an array of programs, including those listed below. The Institute is governed by a bipartisan, 15-member board of directors, including ex officio members in federal service and 11 individuals appointed from outside federal service by the President of the United States and confirmed by the Senate.

The Institute's legal counsel does not consider the Institute to be an agency, establishment, or instrumentality falling within the parameters of Executive Order 13055. However, the Institute's policy is to cooperate to the extent possible with governmental requests for information.

The **Jennings Randolph Fellowship Program** helps to fulfill the Institute's mandate in building a worldwide network of international affairs experts who can contribute to resolving the daunting problems of the post-Cold War world. The program supports the basic mission of the Institute by seeking to develop knowledge about the sources and nature of international conflict, about ways to prevent, manage, and resolve violent conflicts on the world scene, and about how to promote reconciliation and sustain peace. Through the projects it supports, the program seeks to further the Institute's goal of supporting policy assessments and applying such knowledge to discussion of policy; to the facilitation of dialogue among competing parties in international conflicts; to the training of practitioners; to the education of teachers and students; and to improving public understanding of international affairs. In FY 1998, 26 fellowships averaging one year in duration were awarded.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$622,000	12*	10*
<b>National Interests Addressed:</b>	Law Enforcement; Global Issues; National Security; Economic Prosperity; Democracy and Human Rights; Humanitarian Response	

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**International Conflict Resolution Skills Training (ICREST)** seminars are intended to increase the store of knowledge and practical skills available to political, military, and humanitarian professionals for preventing, managing, and working toward the resolution of violent international conflict. Drawing on the best national and international talent from governments, research institutions, academia, international and non-governmental organizations, ICREST participants are exposed to leading methods and techniques. Seminars, which are held in Washington and abroad, typically include both governmental and non-governmental professionals from the U.S. and abroad. In addition to sharing expertise and lessons learned with one another, teaching methods include presentation and discussion sessions, working groups, case-studies, role-plays, and simulation exercises. In this manner, participants are provided an opportunity to: 1) apply concepts and principles when developing strategies for dealing with complex problems; 2) test new techniques and further practice particular skills; and 3) analyze conditions under which one or another conflict resolution approach may be most appropriate.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$160,000	90	114
<b>National Interests Addressed:</b>	Law Enforcement; Global Issues; National Security; Humanitarian Response	

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The **Research and Studies Program** analyzes, conceptualizes, and disseminates policy-relevant knowledge on salient issues affecting international conflict and peace-building. It bridges the gap between cutting-edge academic research and the pressing concerns of the policy community. A broad range of short- and long-term projects explore a spectrum of conflicts and their underlying causes. In so doing, they illuminate the instruments of diplomacy, civil society, and the rule of law in a rapidly changing and complex information age.

The Research and Studies program utilizes a combination of internal and external experts to help create analytical frameworks for long-term projects. It also convenes a range of topical workshops, conferences, and seminars, which bring together both practitioners and academics, governmental and non-governmental officials, and domestic and foreign audiences.

Research projects for FY 1998 focused on Europe, North Korea, Bosnia and the Balkans, Turkey, and a series of African crises. All of the Program's work is closely integrated with other Institute efforts, most notably the Institute's special initiatives (Bosnia Initiative; Rule of Law Initiative; Religion, Ethics, and Human Rights Initiative), as well as the Fellowship, Grant, Education and Training Programs and the Office of Communications.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$66,990	14	13
<b>National Interests Addressed:</b>	Law Enforcement; National Security; Economic Security; Democracy and Human Rights; Humanitarian Response	

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The **Rule of Law Initiative** focuses on the proposition, as declared by the 52-nation Organization for Security and Cooperation in Europe (OSCE), that "societies based on...the rule of law are prerequisites for...the lasting order of peace, security, justice and cooperation." The Rule of Law Initiative seeks to build upon and refine principles on the rule of law articulated by the OSCE and other bodies and to provide practical guidance for their implementation. Program activities include research, conferences, consultation, and writing focusing on such questions as transitions from authoritarian to democratic governance, the treatment of war crimes, principles of constitutionalism, and the translation of international standards or norms into national laws and practices.

Work is continuing on implementation of the recommendations produced at the July 1997 Roundtable on Justice and Reconciliation in Bosnia and Herzegovina held in Strasbourg, France. In 1998 progress was made on several of the proposals that emerged from the roundtable, including those concerning the International Criminal Tribunal in The Hague; specifically the "rules of the road," which regulate arrest and trial of alleged war criminals by domestic authorities in Bosnia and Herzegovina, the creation of an ombudsmen institution in Republika Srpska, and the establishment of a Truth and Reconciliation Commission of Bosnia and Herzegovina.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$35,000	7	1
<b>National Interests Addressed:</b>	Law Enforcement; Economic Security; Democracy and Human Rights	

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The **Special Initiative on Religion, Ethics and Human Rights (REHR)** was established by the Institute in 1989 to explore the significance of religion and ideology as both sources of conflict and sources of peace. Program activities include research projects, conferences, and outreach to individuals, organizations, and agencies concerned with these subjects. The research and writing underscore and elaborate on the significance of these subjects for international peace and security, with special attention being given to the religious aspects of ethnic identity, the close link between nationalism and ideological and religious beliefs, and the human rights tradition as a guarantor of the freedom of conscience.

Special projects include a multi-year study of religious nationalism, a project reviewing U.S. policy toward politically active Islamic movements, and a series of interfaith dialogues. The program has also been concerned with the broader issues of human rights and foreign policy.

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U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$70,900	21*	34*
National Interests Addressed:	Democracy and Human Rights; International Interfaith Cooperation	

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The **Institute's Grant Program** has two principal grantmaking components (unsolicited grants and solicited grants). Through this program the Institute offers financial support for research, education and training, and the dissemination of information on international peace and conflict resolution. It is not feasible to extract funding and participant information targeting only the international exchange and training components of USIP grants. Therefore, that data are not included in this inventory.

Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$235,000	\$160,000	\$75,000	\$0	\$0	\$0	\$0	\$235,000	1,576



# UNITED STATES POSTAL SERVICE

475 L'Enfant Plaza, SW • Washington, DC 20260-6500  
 202-314-7159 (phone), 202-314-7160 (fax) • [ewittman@email.usps.gov](mailto:ewittman@email.usps.gov)

The **United States Postal Service (USPS)** provides mail processing and delivery services to individuals and businesses within the United States. The Service is committed to serving customers through the development of efficient mail-handling systems and operates its own planning and engineering programs. It is also the responsibility of the Postal Service to protect the mails from loss or theft and to apprehend those who violate postal laws.

Through its **Visitors Program**, the United States Postal Service arranges appointments, briefings, and technical discussions and coordinates visits of its postal facilities for representatives of foreign postal administrations interested in studying the USPS policies and programs and in getting information on technical developments in the area of postal automation. The foreign postal representatives come from all parts of the world with a majority coming from the East Asia/Pacific area, the Western Hemisphere area, and the European area. The average length of stay is from one to two days.

U.S. Government Funding	Number of U.S. Participants	Number of Foreign Participants
\$235,000	968	608
<b>National Interests Addressed:</b>	Economic Prosperity	



Total USG Funding	Agency Appropriation	Interagency Transfers	Foreign Governments	Private Sector (U.S.)	Private Sector (Foreign)	Int'l Orgs	Total Funding	Total Participants
\$531,959	\$324,659	\$207,300	\$0	\$136,462	\$0	\$0	\$668,421	50



# WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS

1300 Pennsylvania Avenue, NW • Washington, DC 20523

Public Inquiries: 202-691-4188 • [wwics.si.edu](http://wwics.si.edu)

The **Woodrow Wilson International Center for Scholars** was created by Congress in 1968 (Public Law 90-637) as the official national memorial to Woodrow Wilson, President of the United States from 1913-1921. Woodrow Wilson was a scholar -- a college teacher and university president -- as well as a politician and international statesman. He believed that people who study the world and people who must take public action in it should share ideas and experiences with each other, because both are engaged in "a common enterprise". The Center in a strictly nonpartisan fashion aims to foster scholarship and promote the exchange of views between scholars and decision makers that Woodrow Wilson envisioned.

The **Woodrow Wilson International Center for Scholars** sponsors research, meetings, and publications in virtually all academic disciplines, with an emphasis on the social sciences and humanities. In testimony to the goals of Woodrow Wilson, the Center strives to be a nexus between the policy making and academic communities; as such fellowships at the Center largely, though not exclusively, focus on issues that are of interest to and provide critical context for the world of public affairs.

In FY 1998 the Wilson Center hosted a total of 113 scholars on programs lasting from one to ten months. Forty-four percent of the Center's 1998 scholarships went to researchers from outside the United States.

International scholars come to the Wilson Center on a variety of programs, all of which are aimed at post-graduate researchers and practitioners of equivalent rank. These programs include the Center's Fellowship and Public Policy Scholar programs, which bring distinguished scholars and practitioners to the Center for three to twelve months to conduct their own research. In addition, the Center's regional programs bring international scholars to the Center for shorter periods of time. The Kennan Institute funds

young scholars from the former Soviet Union for four-month research scholarships in Washington, D.C. Private funds also allow the Kennan Institute to support one-month exchange stays for scholars from any country who need to use the resources of the Washington, D.C. area to complete their research on the former Soviet Union. In addition, the Latin America Program uses private funds to bring junior scholars to the Center for six-month periods and the Division of International Studies hosts scholars for six months who are studying the Cold War.

<b>U.S. Government Funding</b>	<b>Number of U.S. Participants</b>	<b>Number of Foreign Participants</b>
\$531,959	0	50
<b>National Interests Addressed:</b>	National Security; Democracy and Human Rights; Global Issues	

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## **APPENDIX 4: SURVEYS**

**INTERAGENCY WORKING GROUP ON U.S. GOVERNMENT-SPONSORED  
INTERNATIONAL EXCHANGES & TRAINING (IAWG)  
~INSURANCE QUESTIONNAIRE~**

As part of its continuing effort to collect information on U.S. Government-sponsored international exchanges and training activities and to identify best practices and administrative efficiencies, the IAWG is conducting a study of Accident and Sickness Insurance Programs made available to international exchanges and training participants. Information from this survey will be used to analyze existing insurance provisions for program participants, to provide an assessment of our current approach, and to develop recommendations for the IAWG annual report to the President. Your cooperation is greatly appreciated. Questions may be addressed to Laura Shane, IAWG Staff, (P) 202-205-9223, (F) 202-260-5122 or LShane@USIA.gov. Thank you for your assistance.

**Department/Agency:** \_\_\_\_\_

**Bureau/Office:** \_\_\_\_\_

**Contact Person:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Fax:** \_\_\_\_\_

**\*\*Note:** Some agencies may have different insurance arrangements for different programs. Please answer all questions that are applicable and attach additional clarification if needed.

**1. Are the exchanges and training participants sponsored by your agency:**

**A) automatically provided with health and accident insurance coverage? Yes / No**

*If no, please proceed to section B. If yes, please answer the following questions:*

Is the coverage/policy provided by your agency or by a contract/partner organization?

Do all elements within your organization use the same insurance program? Yes / No

Do you have a self-insurance program? \_\_\_\_\_

If yes, who is the third party administrator? \_\_\_\_\_

If no, please identify the commercial policy used? \_\_\_\_\_

What is the average monthly premium/cost of the policy? \_\_\_\_\_

What are the dollar levels of coverage for the following:

Per accident/illness	\$ _____
Medical Evacuation	\$ _____
Repatriation of Remains	\$ _____
Deductible	\$ _____

What significant areas are excluded from coverage (ie: dental, maternity)

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Do you offer a supplemental plan? Yes / No

Please identify: \_\_\_\_\_

Do you offer a plan for dependents? Yes / No

Please identify: \_\_\_\_\_

**B) responsible for procuring their own coverage? Yes / No**

*If yes, what information does your agency provide to participants to aid their selection of insurance plans?*

**2. If participants have received a J visa, how does your organization monitor compliance with the insurance requirements of the J visa?**

**3. Is your agency encountering problems in any of the following areas? Please describe.**

Coverage Delays:

Coverage Denials:

Claims Payment or Denials:

Defining or Covering Pre-existing Conditions:

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## SUMMARY RESPONSES TO THE IAWG FY 1998 INSURANCE SURVEY

### Department of Agriculture (USDA)

Cochran Fellowship Program: Participants automatically receive health and accident insurance coverage, provided by a commercial policy with Continental Assurance Company, HealthCare Plus, Foreign Student/Scholars Accident and Sickness Insurance. Coverage does not include dependents. In fact, the USDA strongly discourages travel with dependents. USDA has encountered some difficulties in the area of defining or covering pre-existing conditions. All USDA elements use the same insurance program. The dollar levels of coverage: per accident/illness: \$250,000; medical evacuation: \$50,000; repatriation of remains: \$15,000; deductible: \$0. Exclusions: dental (except accidental injury), maternity, and eyes (except accidental injury).

Following is a breakdown of monthly premiums for USDA participants for the 1998-1999 policy year (costs for children remain the same). Under age 25, the cost of coverage for the insured (the participant) is \$40.00; for the spouse, \$168; for child/children, \$65/\$130. For ages 25 to 34, the cost for the insured is \$50.00; for the spouse, \$194. For ages 35 to 49, the cost for the insured is \$105; for the spouse, \$199. For ages 50 to 64, the cost for the insured is \$181; for the spouse, \$310. For ages 65 and up, the cost for the insured is \$397; for the spouse, \$320.

### Department of Defense

International Military Education and Training (IMET) Program: IMET participants are not automatically provided with health and accident insurance coverage. However, the program does pay for medical and emergency dental care for the IMET student as needed. The training facility provides IMET dependents with assistance in obtaining information regarding insurance coverage.

Foreign Military Sales: Students and dependents are not automatically provided with health and accident insurance coverage. In some instances, the participant's home country pays for medical and dental expenses. Otherwise the training facility provides assistance in obtaining information on coverage.

### Department of Education

The International Education/Office of Post-secondary Education: Participants must arrange their own health and accident insurance coverage. The Department provides some money for students and includes the U.S. Information Agency brochure on insurance as an option. Most participants obtain coverage through a university. Faculty and other professionals must purchase their own coverage before they go overseas.

### Department of Health and Human Services

Centers for Disease Control: Most participants are responsible for providing and paying for their own insurance. They can choose the Hinchcliff policy, if they wish. (See U.S. Agency for International Development section in this listing for their reference to the Hinchcliff policy). Some of the Centers, however, agree to provide insurance for some of their participants; in those instances the Hinchcliff policy is provided. The average monthly premium varies (depending on age) from \$40 to \$400. The dollar levels of coverage: Per accident/illness: a maximum of \$250,000; Medical Evacuation: a maximum of \$50,000; Repatriation of Remains: a maximum of \$15,000; Deductible: \$0.

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National Institutes of Health/Fogarty International Center, International Services Branch (IC/ISB): Participants either must sign up for insurance within a specific timeframe to be eligible or, if a federal employee, elect coverage through Federal Employee Health Benefits Plan (FEHBP). A non-profit organization administers the program for non-federal employees. Blue Cross/Blue Shield (BC/BS) and Innova (an HMO) are available for non-employees. Employees may choose from the full range of FEHBP policies. The average cost of the BC/BS premium is \$130/month for an individual and \$270/month for a family; Innova charges \$130/month for an individual and \$334/month for a family. FEHBP costs vary depending on the specific plan chosen by the employee. The dollar levels of coverage for both BC/BS and Innova meet or exceed the mandated requirements for health insurance coverage for J visa holders. Dependents are allowed under the primary visa holder's plan, if they sign up within the required time period. The non-profit group that administers the health insurance program for non-employees offers suggestions to individuals who are ineligible for coverage because they did not sign up within 30 days of their arrival. The IC/ISB provides the J visa holder with a health insurance certification form to bring to the health insurance office to have their policy reviewed for compliance with J-visa requirements. Once verified that the participant is in compliance, the health officer signs the certification form and returns it to NIH, which checks for the form before endorsing the IAP for travel. A new one is issued with each extension of stay.

## **Department of Justice**

International Criminal Investigative Training Assistance Program (ICITAP): Most participants are not automatically provided with health and accident insurance. However, foreign nationals coming to the United States for a period of more than one week receive health insurance for the duration of the training period; they do not receive accident insurance. U.S. sub-contractor/consultants working overseas receive medical evacuation or repatriation of remains costs. They must provide their own health insurance. Costs and benefits vary depending on the age of the individual and the amount of coverage desired.

Drug Enforcement Administration: Participants are responsible for providing their own coverage.

Antitrust Division: Participants are not automatically provided with insurance coverage. U.S. employees are given the names of an insurance provider specializing in evacuation insurance. Participants from other countries must provide their own insurance.

Federal Bureau of Investigation (FBI): International Training and Assistance Units I and II: The FBI does not automatically provide participants with health and accident insurance coverage.

## **Department of Labor**

Bureau of International Labor Affairs/National Administrative Office: Participants are not provided with insurance, nor are they given information on insurance.

## **Department of State**

The Office of Antiterrorism Assistance: Participants are not automatically provided with health and accident insurance.

## **Department of Transportation**

Federal Aviation Administration (FAA)/Office of International Aviation: Participants do not automatically receive insurance coverage from the FAA. Participants on J visas must sign a statement indicating that they have the proper

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coverage. A letter sent to participants points out that they (and any accompanying family members) must have medical insurance meeting the following minimum coverage requirements: medical benefits of at least \$50,000 per accident or illness; repatriation of remains benefits in the amount of \$7,500; benefits covering any necessary medical evacuation to the participant's home country in the amount of \$10,000; and, a deductible not to exceed \$500 per accident or illness. Any commercial underwriter or such insurance shall have an A.M. Best rating of A- or above, an Insurance Solvency International, Ltd. rating of A- or above, a Standard & Poor's Claims-paying Ability rating of A- or above, or a Weiss Research, Inc. rating of B+ or above.

## **Department of Treasury**

Internal Revenue Service (IRS)/Overseas Operations and Tax Administration and Advisory Service: Participants are responsible for procuring their own coverage. The IRS notes that insurance usually is provided by the sponsoring agencies. Participants not sponsored by an international organization are responsible for securing their own insurance either before or after arrival.

Alcohol, Tobacco and Firearms/Office of Training and Professional Development, State, Local and International Training Division: Participants in the training programs are not provided with health and accident insurance coverage, nor are they required to procure their own coverage.

U.S. Customs Service/Office of International Affairs: Participants do not automatically receive insurance coverage. However, insurance coverage is usually handled by participant nations or by funding agencies -- primarily the Bureau of International Narcotics and Law Enforcement Affairs at the Department of State and the U.S. - Saudi Arabian Joint Economic Commission. The commercial policy is provided by PENTCO, which is purchased under the Saudi Advisory program. The cost of the premium varies according to the age of the participant. There also are time limits imposed on the coverage. For those ages 19 to 49, the cost is \$50.00/month for one month of coverage; for those ages 50 to 64, the cost is \$100/month for one month; for those ages 65 to 75, the cost is \$175/month for up to six months. The dollar levels of coverage: per accident/illness: \$50,000; medical evacuation: \$10,000 (maximum); repatriation of remains \$10,000 (maximum); deductible: \$150. The plan pays 80 percent of the deductible for participants under age 65; and 60 percent for those ages 65 to 75. Exclusions include sickness or disease prior to the effective date of coverage; the continuation of any treatment that began prior before the individual began participating in the training or exchange program. For some programs, such as the Kuwait advisory program, participants coming to the United States are told to obtain their own insurance.

## **Federal Deposit Insurance Corporation (FDIC)**

The International Branch: Participants are responsible for procuring their own coverage. FDIC notes that given the short period of time that their foreign participants spend at the agency (generally less than one week), information is generally not requested.

## **Federal Trade Commission**

The International Technical Assistance Program: Participants are responsible for their own health and accident coverage; most are government employees and have coverage from their employers.

## **Inter-American Foundation (IAF)**

As part of IAF Grant Agreements with their home U.S. universities, all Fellows sign legal certifications that require them to obtain adequate insurance to cover health services, evacuation, and repatriation. All foreign participants are



enrolled in U.S. universities, and almost all foreign participants obtain health coverage through their U.S. universities. U.S. participants obtain health coverage either from their home universities or private insurance companies.

### **Japan-United States Friendship Commission**

The Commission does not automatically provide every participant with health and accident insurance coverage. For artists who participate in a residency program with Japan for a half-year residency on an annual basis, the Commission requires that each artist guarantee in writing that he or she is aware of the need to provide for his or her accident and sickness insurance.

The Commission's grants are made strictly to institutions, not to individuals. The Commission assumes that each institution provides counseling to its participating individuals who may be traveling to the other country on the need for insurance.

### **National Aeronautics and Space Administration (NASA)**

Participants are responsible for procuring their own health and accident insurance coverage.

### **National Archives and Records Administration**

Policy and Communications Staff: Participants are not provided with health and accident insurance coverage. Since NARA employees travel so infrequently (meetings, conferences), NARA provides no information regarding insurance.

### **National Endowment for Democracy (NED)**

The National Endowment for Democracy automatically provides some participants with health and accident insurance coverage. The commercial policy used is Patriot Travel Medical Insurance, at an average monthly cost of \$119. The dollar levels of coverage: Per accident/illness: \$50,000; Medical Evacuation: \$50,000; Repatriation of Remains: \$20,000; Deductible: \$500. NED offers a plan for dependents from the commercial policy. NED requests proof of insurance when the participants arrive for their program. NED reported no problems with the insurance coverage or claims. Most NED Fellows are self-funded and purchase their own insurance. If NED receives a grant to support their Fellows it will include in the grant budget the cost of insurance and use a commercial policy.

### **National Endowment for the Humanities (NEH)**

NEH does not get involved with visa or insurance issues.

### **National Science Foundation (NSF)**

The Division of International Programs: Participants are not automatically provided with health and accident insurance. NSF gives grants to U.S. scientists through their universities, not directly to the scientists themselves. Therefore, participants in NSF-sponsored exchange programs receive health insurance coverage via their own universities and not from NSF directly.

### **Nuclear Regulatory Commission (NRC)**

Participants are responsible for procuring their own coverage. Most of the NRC's assignees are government representatives, and are covered by insurance through their government, or through the sponsoring agency (which is usually the International Atomic Energy Agency). NRC has a special exemption from the Department of State to use an H-3 non-immigrant visa for foreign assignees.

### **Tennessee Valley Authority (TVA)**

TVA does not provide insurance to program participants, nor does it provide information to participants. No one receives J visas, so the question regarding compliance is moot.

### **U.S. Agency for International Development (USAID)**

USAID's Global Bureau, Center for Human Capacity Development reported that their participants are automatically provided with health and accident insurance. The commercial policy is provided by Hinchliff International/Outsourced Administrative Systems. Two levels of coverage are offered, Premium A, at a monthly cost of \$72-\$82, and Premium B, at a monthly cost of \$75-\$85. Dollar coverage is as follows: Premium A provides \$50,000 per accident/illness, Premium B provides \$150,000; both provide \$10,000 for medical evacuation, \$7,500 for repatriation of remains and a \$10 maximum deductible. No exclusions, supplemental plans or plans for dependents. Participants must be enrolled in one plan or the other. The insurance providers send monthly reports to the data contractor who in turn will compare the data to make certain that participants are enrolled. The agency has encountered some difficulties with the insurer not paying for conditions it claims are pre-existing.

### **U.S. Information Agency (USIA)**

USIA is self-insured; the third party administrator is Outsourced Administrative Systems (OASYS). The vast majority of USIA's exchange and/or training participants are automatically provided with health and accident insurance. If USIA pays more than 50 percent of the exchange program participant cost, then the participant is covered by USIA unless that person chooses to opt out (which few do). All Agency elements do not use the USIA's insurance program. The Hubert H. Humphrey Scholarship Program, the Congress-Bundestag Youth Exchange Program and the Future Leaders Exchange program use different insurance plans. (The Voluntary Visitor program, which is part of the International Visitors Program, does not routinely provide insurance to its visitors.) The average monthly cost is \$50 per program participant. The dollar levels of coverage: per accident/illness - \$50,000; medical evacuation - actual cost; repatriation of remains - \$7,500; deductible - \$25. Areas excluded from coverage are dental (except damage to accident or to alleviate pain) and pre-existing conditions, except maternity. USIA also offers a supplemental plan by OASYS, which provides coverage of up to \$150,000 per accident or illness. USIA offers the Anthem Life USIA Voluntary Medical Insurance plan to cover dependents. Participants are responsible for purchasing medical insurance coverage for their dependents and for the supplemental insurance. USIA provides all participants with information on supplemental medical insurance and medical insurance for dependents. The USIA program office in charge of the participant's program monitors compliance with the J visa insurance requirements. Problems encountered: Some USIA participants have been denied coverage for pre-existing conditions; participants have arrived in the United States in need of immediate medical or dental treatment. The \$50,000 limit per sickness or injury can be a problem, as well as defining pre-existing conditions. USIA maintains a Supplemental Insurance Fund Board to consider appeals from program office directors for cases requiring exceptional coverage in addition to the covered loss.

## **U.S. Institute of Peace (USIP)**

The Fellowship Program: Participants do not receive health and medical insurance from the Institute. USIP does provide participants with a memo that explains how the agency will reimburse them for 80 percent of their monthly premium costs. USIP stresses the importance of medical insurance for foreign Fellows. USIP provides these Fellows with information on various plans and what they cover, as well application forms, several months in advance of their fellowship. USIP makes certain that participants have obtained their own insurance coverage or have signed up for the one offered by the agency. USIP tracks their coverage by receipts. USIP has encountered delays in coverage because of lost applications, requirements for medical histories from overseas, additional checkups before underwriting, and other problems. The insurer has denied coverage for certain pre-existing and/or high-risk conditions. The insurer also has refused to cover certain treatments and has excluded certain conditions such as pregnancy.

## **U.S. Office of Personnel Management**

Participants at the Federal Executive Institute are not automatically covered by health and accident insurance; they are responsible for procuring their own coverage.

## **U.S. Postal Service (USPS)**

The U.S. Postal Service/International Postal Affairs: Visitors do not travel on J visas. Participants do not automatically receive health and accident insurance coverage. They are not required to obtain insurance in the United States because they usually are here for a short amount of time.

## **U.S. Securities and Exchange Commission**

Office of International Affairs: Participants are automatically provided with health and accident insurance. All elements use the same program, which is provided by the Academy for Educational Development, a third-party administrator. The average monthly cost is \$72 to \$82/month. The dollar levels of coverage: Per accident/illness: \$50,000 to \$100,000. Exclusions include routine physicals, preventive medicines, plastic and cosmetic surgery. Regarding the issue of monitoring compliance, the office reported that the insurance company is approved by USAID.

## **Trade and Development Agency (TDA)**

The Contracts Office reported that TDA automatically provides participants with health and accident insurance. The agency uses a commercial policy issued by Travel Insurance Services, for \$15.50 per week, per delegate (no monthly premiums, as such). The dollar levels of coverage: per accident/illness - \$25,000; medical evacuation - \$25,000; repatriation of remains - \$7,500; deductible - \$0. Dental work is excluded from coverage.

## **Woodrow Wilson International Center for Scholars**

Participants who will be at the Center for at least three months are offered health and accident insurance coverage. The coverage is provided by a contract/partner organization. All elements in the Center do not use the same insurance program. The commercial policy used is USIA ASPE (if Fellows are funded by USIA) and Marine Risks. The average monthly cost of the policy is \$95.00. The dollar levels of coverage: per accident/illness - \$50,000 minimum; medical evacuation - \$10,000; repatriation of remains - \$7,500; deductible - \$500 (maximum). Areas

## **SURVEYS**

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which are excluded from coverage include dental and maternity expenses. The Center offers dependents the same plan as the scholars. Scholars at the Center for two months or less must obtain their own coverage. The Center provides them with brochures and advises them to use their home country insurance plans. The Center asks participants whether they have insurance coverage.

JOINT SURVEY ON PUBLIC-PRIVATE PARTNERSHIP  
\*\*\*\*\*  
THE ALLIANCE FOR INTERNATIONAL EDUCATIONAL AND CULTURAL  
EXCHANGE (ALLIANCE)  
AND  
THE INTERAGENCY WORKING GROUP ON  
U.S. GOVERNMENT-SPONSORED INTERNATIONAL EXCHANGES  
AND TRAINING (IAWG)  
\*\*\*\*\*

For over half a century, a strong U.S. Government presence as a sponsor, initiator, and partner has contributed to successful exchange and training programs that promote our broad national interests. While the federal role has proven crucial to success, most exchange programs are administered by cooperating private entities. The Interagency Working Group on U.S. Government-Sponsored Exchanges and Training (IAWG) has as one of its main goals strengthening the public sector-private sector partnerships which have traditionally animated U.S. exchange programs.

In pursuit of that goal, the IAWG and the Alliance for International Educational and Cultural Exchange, an association of nonprofit exchange organizations, are jointly sponsoring this survey of partner organizations. We hope to develop data which will provide a fuller picture of existing exchange partnerships, identify problem areas, and point to best practices that deserve broader application among federal agencies.

The IAWG defines a **partner** as a nongovernmental entity which has established a formal relationship with a funded USG agency to cooperate on a specific training activity, exchange program, research project, or joint mission that seeks to promote the sharing of ideas, stimulate human capacity development, or foster mutual understanding.

We encourage you to participate in this brief survey. The results will be available to all participants. Address any survey questions to IAWG analyst Libby Franko at 202-619-4194. Send completed surveys to the IAWG by email--mfranko@usia.gov or 202-260-5122 (fax) or postal address: IAWG, Suite 320, 301 4th Street, S.W., Washington, D.C. 20547.

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**Organization:**  
**Contact Person:**  
**Phone/Fax:**  
**E-mail:**

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**1. What USG-sponsored programs does your organization administer? Please indicate partner agency for each program.**

SURVEYS

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Program: \_\_\_\_\_ Partner agency: \_\_\_\_\_

Program: \_\_\_\_\_ Partner agency: \_\_\_\_\_

Program: \_\_\_\_\_ Partner agency: \_\_\_\_\_

**2. Please identify your organization's contributions to each program:**

- a. Cost - sharing: \_\_\_\_\_ (please specify dollar amount)  
b. In-kind contributions: \_\_\_\_\_ (please estimate value)

**3. Do you work with other U.S.-based nongovernmental organizations in administering this program?** \_\_\_\_\_ Yes \_\_\_\_\_ No

- a. If yes, please specify these nongovernmental partners:

\_\_\_\_\_  
\_\_\_\_\_

**4. Do you work with foreign-based nongovernmental organizations in administering this program?**

\_\_\_\_\_ Yes \_\_\_\_\_ No

- a. If yes, please specify these nongovernmental partners:

\_\_\_\_\_  
\_\_\_\_\_

**5. Do you work with foreign governmental organizations in administering this program?**

\_\_\_\_\_ Yes \_\_\_\_\_ No

- a. If yes, please specify these foreign governmental partners:

\_\_\_\_\_  
\_\_\_\_\_

**6. To what extent is your organization a partner with your government sponsor in planning and policy matters for the exchange program?**

\_\_\_\_\_ Full partner \_\_\_\_\_ Involved to a significant extent

\_\_\_\_\_ Involved somewhat \_\_\_\_\_ Not involved

**7. What problems have you encountered in dealing with your USG partner(s)?**

**Check as many as apply.**

- \_\_\_\_\_ micromanagement  
\_\_\_\_\_ lack of NGO participation in key decisions  
\_\_\_\_\_ lack of transparency in grant/contract process  
\_\_\_\_\_ inattentiveness on the part of government  
\_\_\_\_\_ other — please specify  
\_\_\_\_\_

**8. What are the most positive elements of your relationship with your USG partner(s)?**

**Check as many as apply.**

- ☐ collegial relationship
- ☐ participation in program planning
- ☐ shared vision for program
- ☐ transparency in procurement
- ☐ effective administrative support
- ☐ other — please specify \_\_\_\_\_

**9. Is your organization organized on a for-profit or nonprofit basis?**

☐ for-profit      ☐ nonprofit

**10. Is your organization:**

- ☐ (a) primarily devoted to exchanges and training programs?
- ☐ (b) use exchanges to support a different organizational mission (e.g., environmental protection, medical research)?
- ☐ (c) other - please specify \_\_\_\_\_

**11. How many jobs in your organization directly result from administration of ALL your exchange/training programs? \_\_\_\_\_ USG-sponsored programs? \_\_\_\_\_**

**How many jobs indirectly? \_\_\_\_\_ USG-sponsored programs? \_\_\_\_\_**

**12. If you use volunteers in the U.S., how many volunteers do you have? \_\_\_\_\_**

**How many are involved in USG-sponsored programs? \_\_\_\_\_**

**13. How much money (from all sources) does your organization spend annually on travel for ALL exchange participants? Please estimate a total for airfare, meals, and lodging. \$ \_\_\_\_\_ How much for USG-sponsored participants? \$ \_\_\_\_\_**

**14. How much money (from all sources) does your organization spend annually on insurance for exchange participants? \$ \_\_\_\_\_ For USG-sponsored participants? \$ \_\_\_\_\_**

**15. In your exchange partnership with the government, are there particularly successful practices which might be emulated by others? Please specify.**

\_\_\_\_\_  
 \_\_\_\_\_

**16. In your nongovernmental exchange partnerships, are there any particularly successful practices which might be emulated by others in government? Please specify.**

\_\_\_\_\_  
 \_\_\_\_\_

Send completed surveys to the IAWG by email--mfranko@usia.gov or 202-260-5122 (fax).  
 Postal address: IAWG, Suite 320, 301 4th Street, S.W., Washington, D.C. 20547.

**INTERAGENCY WORKING GROUP ON U.S. GOVERNMENT-SPONSORED  
INTERNATIONAL EXCHANGES & TRAINING (IAWG)**

**GOVERNMENT SURVEY ON PUBLIC-PRIVATE PARTNERSHIPS**

**IAWG interest in public-private partnerships:**

Public Law 105-277, which gives the IAWG its legal authority, has tasked the IAWG to "develop strategies for expanding public and private partnerships in, and leveraging private sector support for, United States Government-sponsored international exchanges and training activities."

According to the IAWG definition, a **Partner** is defined as an entity which has established a formal relationship with a funded U.S. Government agency to cooperate on a specific training activity, exchange, research project, or joint mission which seeks to "promote the sharing of ideas, develop skills, and foster mutual understanding and cooperation. Partners are linked by memoranda of understanding, protocols, bilateral accords, contracts, cooperative agreements or administrative directives."

The IAWG requests that this **survey be distributed to international exchange and training program managers** within your department/agency/organization for their comments. Information obtained from this survey will be used to determine current levels of partnership within the U.S. Government international exchanges and training community and provide the IAWG with information of interest to the President and Congress. Results of the survey will be posted on the IAWG website as well. [The IAWG has developed a separate survey for nongovernmental organizations.]

Any questions regarding the survey may be addressed to Libby Franko, IAWG staff analyst, at 202-619-4194 or 202-260-5122 (fax) or mfranko@usia.gov. Office address is Suite 320, 301 4th Street, S.W., Washington, D.C. 20547. Thank you for your cooperative assistance.



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**IAWG GOVERNMENT SURVEY ON PUBLIC-PRIVATE PARTNERSHIPS  
IN U.S. GOVERNMENT-SPONSORED  
INTERNATIONAL EXCHANGES AND TRAINING PROGRAMS**

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**Department/Agency:**

**Program Office:**

**Contact Person:**

**Phone:**

**Fax:**

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**1. Please list your program's international training and exchange partners.**

Classify as: (A) Other U.S.- Government entity-U.S. based  
(B) U.S.-Government entity-overseas based  
(C) U.S. non-profit private sector organization  
(D) U.S. for-profit private sector organization  
(E) Foreign non-profit private sector organization  
(F) Foreign for-profit private sector organization  
(G) Other

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**2. To what extent are your partner organizations involved in the design and implementation of your international training and exchange program?**

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**3. Does your department/agency/program have any obstacles to full participation in partnership with other organizations?** (For example, some agencies have legal restraints on fundraising for training activities which are public-private efforts.)

**4. What are the challenges your department/agency/program faces in its partnership with other U.S. and foreign governmental and nongovernmental organizations?**

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**5. What are the benefits of partnership for your program?**

**6. Is this program a "best practice" from which other USG departments/agencies can learn? Identify other partnership "best practices" in your organization or elsewhere in government.**

**INTERAGENCY WORKING GROUP ON U.S. GOVERNMENT-SPONSORED  
INTERNATIONAL EXCHANGES & TRAINING (IAWG)**

**VISA USAGE SURVEY RESULTS**

35 surveys representing 30 organizations returned

(Text denotes the number of agencies checking each category/selected agency comments)

- Five of these surveys represented programs with only U.S. participants.
- Nine surveys indicated that they are not involved in the visa process (for foreign participants).

1. Which of the following activities do international exchanges and/or training participants (non-U.S.) sponsored by your agency attend or participate in?

17	a. Seminar	4	l. Vocational training
13	b. Lecture(s) - participant is attendee	8	m. Consultation
8	c. Lecture(s) - participant is speaker	2	n. Teaching - secondary level
4	d. Exhibit	5	o. Undergraduate study/degree
14	e. Workshop	6	p. Graduate study/degree
11	f. Conference	3	q. Post-graduate study
1	g. Convention	1	r. Military training - vocational
5	h. Professorship - university level	1	s. Military school - undergraduate
14	i. Research	1	t. Military school - post-graduate
11	j. Orientation tour	6	u. Short-term collaboration
8	k. Structured study non-degree course - participant is student	11	v. Short-term training

2. Check each of the following visas you are using for exchange and training programs. On the line following, write in the letter of the activity you checked in query one above for which the participants used that visa:

2	A	_ijrstv_____	13	J	<u>most of the above</u>
5	B	_bcefikmuv	0	M	_____
0	C	_____	2	O	_im_____
0	F	_____	0	P	_____
4	H	_I_____	0	Q	_____
0	I	_____	2	TN	_im_____

3. If you use J visas, do you have a "G" number? If so, please provide:

Twelve organizations indicated they have a G number.

4. Is the Department of State (Consular Office) charging the reciprocity fee (not the machine readable fee) for your J-1s on "G" number programs? 3 Yes 5 No

## SURVEYS

Two of the agencies responding in the affirmative indicated that charges were occasionally made in error or that charges were levied when program organizations as opposed to the government sponsor generate the IAP-66 form. Charges were as high as \$200.

note: some agencies used a version of the survey that did not include this question

5. If you use J visas, have you experienced any difficulties with the IAP-66 form or do you find sections of the form confusing? 2 Yes 6 No

If yes, please explain.

\*\*We have found that the new F series Form IAP-66 makes it impossible for a U.S. Government Agency to complete the Form accurately if it is sponsoring the J-1 as well as providing the funding. Under 5 a., program sponsors are to indicate whether or not the program sponsor has received funding from a U.S. Government Agency to support the exchange visitor. If we check "[ ] has not received funding", consular officials have a problem with this, and one has even destroyed one of our forms. Another resulting problem is that the individual's visa stamp & IAP-66 are annotated "Not Subject to Section 212(e)". If we check "[ ] has received funding", the program sponsor is instructed to fill in the agency code below; however, the form indicates that that exact section is for organizations providing support other than the sponsor.

note: some agencies used a version of the survey that did not include this question

6. What length of U.S. stay satisfies your program needs? Check your choice. If you have more than one program and lengths vary, check all choices that you use.

10	Under a week.	10	Two years
18	One/two weeks	7	Three years
19	One month	5	Four years
15	Three months	4	Five years
14	Three-six months	3	Six years.
15	One year	2	Over six years

7. How often do you need to bring participants back to the U.S. for a similar program/activity after the conclusion of the first program/activity? Check your choice.

8	Never.
15	Rarely - under 10% of the time.
4	Occasionally - up to 25% of the time.
1	Sometimes - between 25% and 50% of the time.
0	Frequently - over 50% of the time.

8. If so, are you blocked by visa restrictions? 4 Yes 16 No

9. If you are blocked, please describe how you resolve the problem.

\*\* For previous J-1s: When appropriate and if the individual qualifies, we will petition for an O-1 visa. We also will require that the institute dedicate an FTE position to the individual.

\*\* We will send a letter

\*\* Sometimes blocked -- make sure participants are here for less than six months.

10. Do you need to bring participants back to the U.S. for a different program/activity?

6 Yes 17 No

11. If you have such a need, are you blocked by visa restrictions? 2 Yes 10 No

12. If you are blocked, please describe how you resolve the problem.

\*\* We call all contacts, including the Embassies until we can find a resolution. Each contact I have made has been helpful and responsive, except [names of organizations omitted.]

\*\* Sometimes blocked--make sure participants are here for less than six months.

13. Please describe a visa perfectly tailored to your needs?

\*\* A Visa with multiple entries authorized and without restrictions

\*\* Allows scientific and clinical research; limited to Federal Agencies; no requirement to return to home country; no bar to admission before certain time period passes; no time limit; allows ability to leave and reenter the U.S. as often as necessary.

\*\* Visas that permit foreign participants to complete their graduate education programs at U.S. universities. Many Fellows also need opportunities to supplement financial resources from fellowship programs and other sources by earning complementary income through their part-time, temporary employment at jobs on and off campus. If necessary after leaving the United States, they need a visa status that permits them to return to their U.S. universities to resume and complete their graduate academic programs. However, our organization needs a guarantee that all Fellows leave the United States in order to return to their careers in their home region.

\*\* For Science and Technology research activities directly for or in support of U.S. Government agencies, no minimum stay, maximum stay of three years (for program activities originally approved), renewable once with concurrence of the S&T agency and home country for up to two years, but not thereafter.

\*\* It would be a visa which covers individuals that our organization is not paying for, and individuals who may or may not be foreign government nationals but who are coming to work (ie: they are not students).

\*\* One that covered a training/assistance visit of less than four months with no cost to traveler would be useful.

\*\* A visa which would provide flexibility for shorter programs related to observational travel or other short programs which would not require as much documentation/tracking. Most of this type of programming involves business or mid- to high-level government officials from developing countries and the selection is made at the last minute...flexibility yet accountability is needed.

\*\* Acquired without a waiting period at no cost. Many participants do not have money to pay the fee and transferring funds to the Embassy is difficult and time consuming, and in some cases, impossible.

\*\* One that doesn't have a 2-year home residency requirement.

Several organizations indicated that the J visa or other existing visas perfectly meet their needs.

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## SURVEYS

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14. Have you established contacts at State, INS, DOL, HHS, USIA or elsewhere who can provide advice and/or assistance when visa problems are encountered? 7 Yes 6 No

Survey respondents noted the following points where they have requested and received assistance. In all but one case, respondents either did not describe the quality of the response or commented positively on the response.

USIA/Office of the General Counsel, Bureau of Educational and Cultural Affairs  
Department of State - Visa Services, Post Liaison Branch Immigration and Naturalization Service (INS)-- Business Liaison, Vermont Service Center (supervisory adjudicators), Port Director at BWI, District Director of Baltimore, Inspector - Dulles International Airport.

15. If you have not established contacts at the various federal agencies, is the service you get otherwise responsive and cooperative? Do you get results quickly?

Respondents indicated a variety of experiences. Several complained of slow and/or unresponsive service, while several indicated that service was responsive. A few organizations also noted that responsiveness is inconsistent, even within the same organization. One organization credited its own persistence for making the system work, but noted that large staff turnovers necessitate that it retrain its personnel in administrative practices. Another organization complained that contacts at federal agencies were not always well versed in visa policies and regulations.

note: some agencies used a version of the survey that did not include this question

16. Are your participants subject to U.S. tax payments? 7 Yes 11 No 3 Both

\*\* Unless exempted by tax treaty.

\*\* It depends on the amount of stipend provided.

\*\* Applies only to academic grantees who remain in the U.S. for a full academic year or longer.

17. If they are, do you assist them in acquiring the "ITIN number"? 4 Yes 9 No

18. If you provide any other U.S. tax related services, such as help in getting an exemption to the 31% withholding requirement on honoraria or serving as "agent" for tax payments, please specify.

\*\* We have a contractor for a tax advisor who provides monthly tax seminars and several tax workshops during tax filing season.

19. Are your participants acquiring a social security number? 8 Yes 13 No

\*\*Students that are obtaining drivers' licenses, in most states, are required to obtain a social security number, and do. However, we now has an automated identification (ID)card system that is tied to several automated systems, which requires a social security number. Sponsored international students are being issued foreign identification numbers (FINS) through the automated system.

20. If they are, is it across-the-board or just those on certain visas? Check your choice.

- 0 Across-the-board (not limited to any one type of visa holder)  
6 Only certain visa holders.

Please indicate which visas:

- **H1B**
- **Our understanding is that it is based on need.**
- **Academic programs (less than 10% of total # of trainees)**
- **J visas**
- **J-1s who apply**
- **Only for academic program participants with work authorization**

21. Are you involved in assisting U.S. participants in acquiring visas for the countries to which you are sending them on exchange or training programs? 15 Yes 15 No

22. If you do not provide assistance, is assistance provided by programs overseas?  
5 Yes 6 No

23. Please describe specific problems/difficulties your U.S. participants have encountered in acquiring visas for their travels.

\*\*Waiver of visa fees for USG employees is usually done with a letter from our Executive Officer, but some countries honor this at random.

\*\*1-2 week processing time at foreign embassies.

\*\*One specific problem that we have encountered is confusion over visa requirements (such as whether a digital picture is acceptable over a standard passport photo.) The requirements are not always well defined.

\*\*Visa regulations are changing continually. Most of the foreign embassies are only open specific hours. It is hard to get them on the phone. If someone is going to an Eastern European country, they need a letter of invitation and the embassy can be very difficult to work with on this. Sometimes a fee is needed to apply, sometimes not. However, we have to have a money order for the amount just in case this is one of the times they are charging.

\*\*The major problem is getting visas for dependents.

\*\*No central USG data bank to consult for up-to-date host country visa and/or research clearance requirements for specific types of activities (e.g., research, short-term training, guest lecturing, etc.) Current consular reports do not provide sufficient detail. Time consuming nature of securing research clearances (e.g., up to 12 months in some cases). Onerous host country requirements for long-term research in the area of health statements, certifications from local police, etc...

\*\*Responses dealing with challenges faced by U.S. program participants have been omitted.

24. Describe any other visa issue(s) you are encountering.

\*\* It would be much easier if embassies put their visa applications on the Internet. It would save a trip to the embassy and we would have all the necessary information.

\*\* Obtaining ITIN Number for participants.

\*\* Our major issue is that we do not believe that our participants should pay the \$40 visa application fee.

## SURVEYS

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\*\* We are not given information regarding the regulations when they change. This information should be automatically sent to all sponsors who are authorized to issue visa. We should not be required to scour the Federal Register to find this information. We should be sent information on how to apply for an ITIN number as well as current information on taxes for foreigners. I would like to be sent an organizational chart of actual people who work a USIA and the INS. I need their names, telephone numbers and job titles. I need to know what their job responsibilities are, what region of the world they focus on and what regulations they are most familiar with.



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## **APPENDIX 5: COUNTRY FIELD STUDIES**

## SECTION 1: DOMINICAN REPUBLIC (APRIL 25-30, 1999)

### Executive Summary

The Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) Field Study Team spent a full week in the Dominican Republic, April 25 through April 30, 1999, meeting with the personnel of the U.S. Mission, partner organizations, and exchange and training participants.

Field program officers, trainers, trainees, exchange participants, and partner organizations cooperated willingly and fully when offered the opportunity to discuss their training and exchange experiences and/or recruitment efforts. From the field perspective, players expressed concerns about measuring the success, or gauging the effectiveness, of international training and exchanges within the context of the Government Performance and Results Act.

In addition, those in the field underscored that a main deterrent to good programming rests with competing and uncoordinated requests by federal agencies in Washington. Field officers noted that less clearly developed programs often, however unintentional, create an atmosphere of paternalism rather than true partnership.

Throughout its week of observation, the IAWG team witnessed a professional and cohesive Mission in Santo Domingo. Under the able leadership of the Charge d’Affaires, the Mission appeared to work collectively to advance its foreign policy aims. The series of interviews with Mission personnel revealed both formal and informal networking among staff. The Mission atmosphere encouraged coordination. The level of coordination depends, in part, on the personalities of the staff at the Mission. Currently, coordination is high because cooperative personal attitudes and Embassy leadership tend to discourage stove piping.

The IAWG team learned that the lack of a central source of exchange and training information at the Mission complicated the verification of the IAWG data inventory. A number of agencies sponsor Dominican programming, but have no field presence in-country. In those instances, the team relied generally on information gathered from program offices in Washington.

The IAWG team observed that administrative “best practices” depended on particular mission objectives. For instance, in the context of education and cultural affairs, the U.S. Information Service (USIS ) had the most experience. The International Visitors Program was frequently cited as a program that works well within the Mission context. All Mission agency field representatives can participate in the nomination process. Various Mission field representatives suggest candidates for this program; an IV panel makes the final selections. For the Fulbright student and scholar programs, USIS has developed procedures to identify and select candidates and participants, maximize program objectives, and impact participants personally and significantly.

In the law enforcement and military contexts, “best practices” depend significantly on the degree to which a federal entity maintains direct contact with its Dominican counterparts. In the narcotics, immigration, and military branches, cooperation efforts were high and appeared to foster open and regular communication, appropriate identification and selections of students and participants, and shared program objectives.

In meetings with each U.S. field agency representative, the responses the team received to questions about performance measurement were as varied as the missions of the respective agencies. Across the board, the team learned that most training and exchange programs maintained no precise measurement standards.

One frequently cited problem with performance measures that are developed at Washington headquarters offices is the lack of understanding of the way things operate in the field. Standards must be tailored to meet the local situation. Agency field representatives believe they must be able to establish realistic performance measures that conform to local circumstances.

The Dominicans welcomed partnership in the planning and implementation of exchanges and training programs. They expressed interest in more opportunities for greater participation in training, particularly if the training came with additional resources that would enable them to implement effectively many ideas that they had learned through specialized training. Dominicans repeatedly applauded the efforts of their USG partners and the benefits accrued from their participation in exchanges and training programs. The ability to step away from their normal tasks and challenges and immerse themselves in training and education environments that enhance their ability to effect positive change in their workplaces, and with their constituents, was viewed affirmatively.

Over time, many Dominicans who participated in international exchanges and training programs continue to communicate with each other and work cooperatively through their respective professional associations for the betterment of their country. Many Dominican participants now occupy key positions in military and civilian organizations and ministries in all Dominican sectors.

## Introduction

In previous years, the IAWG had concentrated its data collection and clearinghouse efforts on federal agencies in Washington. This collection effort is an integral component of the IAWG mandate. As a logical next step, the IAWG Executive Committee recommended in its *FY 1997 Annual Report* that the group conduct field studies to examine first-hand the international component of federal programming. With criteria established and consensus reached, the IAWG Executive Committee selected South Africa, Poland, and the Dominican Republic as country field study sites.

In totality, these country field studies will provide the Washington-based interagency group the first opportunity to examine and verify the range of federal government programming overseas. The country field study teams were charged to examine best practices, complementarity, synergy, possible duplication and administrative overlaps, and to identify effective partnerships, private sector support, and performance measures. The IAWG determined that trip analyses would provide recommendations to Congress and the President, to enrich dialogue on the general state of federally-sponsored international exchanges and training.

The Dominican Republic, a democratic island nation, contains a broad cross-section of federal programs. To conduct the study in the most efficient manner, the six-member IAWG team received logistical support and guidance from the Embassy-assigned control officer(s), the U.S. Information Service (USIS) Public Affairs and Cultural Affairs officers, with the backup assistance of the State Department Economic/Political Officer. The team interviewed Mission program officers of federal agencies conducting international exchanges and training programs. During these meetings, which also included appropriate visits with host country counterparts and institutions, the attendees addressed field study goals. Mission staff and training and exchange participants who had direct knowledge of federal programs candidly cooperated by addressing the seven country field study goals:

- **Verify the FY 1997 and 1998 inventories of exchanges and training programs.**
- **Determine the level of in-country coordination and information-sharing on exchanges and training programs in the field, and examine programs for complementarity, synergy, duplication and/or overlap issues.**
- **Identify administrative and programmatic “best practices” related to exchanges and training from program officers, mission colleagues, and host-country contacts.**
- **Identify performance measurement standards within exchanges and training programs.**
- **Observe the degree of host country input into exchanges and training program operations.**
- **Learn about private sector initiatives and the degree of support solicitations receive in-country by USG agencies conducting exchanges and training.**
- **Collect suggestions from U.S. Mission staff regarding the strategy and action plan (for 10 percent savings recommendations) for the IAWG FY-98 Annual Report.**

## Team Preparation

Before arrival in country, the IAWG Dominican Republic team had several organizational meetings. The initial session occurred at the White House Conference Center. IAWG Staff Director discussed at some length the details of the country field study. This meeting had a breakout session for the three country field study teams.

At this session, the five-member team received copies of the IAWG *FY 1997 Annual Report*, the *Regional Report on the American Republics*, and an IAWG FY 1997 data inventory summary. Sixteen federal agencies reported exchanges and training in the Dominican Republic for FY 1997. The team members selected agencies, in addition to their own, for data verification purposes. The team contacted U.S.-based program officers and identified persons/organizations to learn more about programs and to identify contacts for in-country interviews.

At a second meeting, the team received FY 1998 IAWG clearinghouse data and briefed members on their Washington-based efforts at data gathering. Members received additional background notes, USG briefing materials, a copy of U.S. Government Performance and Results Act (GPRA), and Mission Performance Plan materials.

IAWG introductory and country clearance cables were sent to the field. The cables clarified the IAWG's mandate, identified team members, and underscored the nature and purpose of the visit.

At our third meeting, the team devised a tentative scheduling plan and sent it to the control officers. The team's control officers worked diligently to craft a schedule to accommodate the requested interview lists. In turn, the control officers distributed copies of the country field study and definitions, the FY 1997 and FY 1998 data inventories, and the FY 1998 data survey and instruction forms to all Mission training and exchange personnel before the team's arrival.

The IAWG team added a sixth member from the Department of Defense before departure.

On Sunday April 25, 1999, the team convened to solidify final preparations. Team identified additional contacts for the control officers, reviewed the set of study questions, and agreed, for report writing purposes, to continue to track their selected agencies/programs in-country.

## Country Field Study Goal 1

- **Verify the FY 1997 and 1998 inventories of exchanges and training programs.**

The IAWG team learned that the lack of a central source of exchange and training information complicated in-country verification of the inventories. With a number of agencies with Dominican programming having no field presence, the team relied generally on information gathered from program offices in Washington.

Before departing the United States, the IAWG team divided responsibilities among its members to contact federal agencies in Washington to determine the accuracy of the FY 1997 and FY 1998 inventories of exchanges and training programs. Based on telephone conversations and in-country meetings, team members learned that the FY 1997 and 1998 inventories did not completely reflect what USG entities did in fact sponsor. Though under-reporting typified both the FY 1997 and 1998 inventories, the team discovered that this problem arose most often in the law enforcement area. (Over the course of the past year, the IAWG has continued to reach out and collect data from all federal entities with international exchanges and training programs. Better name recognition may contribute to better data reporting in the future.)

Because some federal agencies have not reported all their training and exchanges with the IAWG, they also tend to act outside the established protocol required to initiate and execute international training and exchange programs. Similarly, the team noted that some program offices fail to notify their parent USG Department and their Department's respective country attaché. This issue arose most often in the law enforcement community. Perhaps unaware of the need to seek country clearance (Mission/Post approval) to initiate and execute these training and exchange programs, too many law enforcement officials reportedly either appeared in-country without notice or sought post assistance (with little notice) after landing in the host country. Ample lead time enables the Mission to address the concerns a USG sponsor might have regarding the initiation and execution of an international training and exchange program -- anything less than two weeks tasks the Mission with unreasonable duties.

For example, the Mission may not be able to identify the appropriate students or participants for an exchange or training program. The proposed exchange or training may conflict with the Embassy's calendar, or the proposed exchange or training may be inconsistent with Mission goals, or unnecessarily overlap with a previous training or exchange program.

Generally speaking, the IAWG team realized that the inventory included some in-country training activities. Apparently, some Washington agencies may have misinterpreted the FY 1997 and FY 1998 IAWG data survey's instructions on counting participants. To resolve this issue for future data collections, the team recommends that the IAWG Executive Committee reexamine the issue of in-country training and the current definition of a participant in an international exchange or training program. To be counted, a participant must "cross a border" in the exchange and training exercise. Theoretically, that definition eliminates reporting on U.S. and foreign participants giving or receiving in-country training. Incorporating in-country training in future inventories would enable the IAWG to get a broader and more comprehensive perspective, particularly in training programs, and enrich the data the IAWG collects. According to USAID, in-country training increasingly is provided by authentically indigenous and independent local institutions. USAID may provide the training but it is not otherwise "international" in any sense and not covered by the IAWG mandate. USAID will be unable to give any reporting on in-country training if IAWG needs data on individual trainees. USAID gets summary data from missions on in-country training programs: overall cost and number of total trainees for activities of three days' length or more.

Also, Mission staff explained that exchanges are not necessarily captured in the inventory when the exchange is field driven, such as when Dominicans are sent to trade shows and workshops in the United States that do not

involve Washington coordination. (USAID team member believes this type of programming should *not* be counted.)

In summary, efforts to verify cross-federal agency data underscored the need for overseas Missions to develop an interagency depository for appropriate international exchanges and training activities/program data. (See Chapter 2, section 2 for information on the data management system in place at the Mission in Thailand.)

## Country Field Study Goal 2

- **Determine the level of in-country coordination and information-sharing on exchanges and training programs in the field, and examine programs for complementarity, synergy, duplication and/or overlap issues.**

Throughout its week of observation, the IAWG team witnessed a professional and cohesive Mission in Santo Domingo. Under the able leadership of the Charge d'Affaires, the Mission appeared to work collectively to advance its foreign policy aims. The series of interviews with Mission personnel revealed both formal and informal networking among staff. The Mission atmosphere encouraged coordination. The level of coordination depends, in part, on the personalities of Mission staffers. Currently, coordination is high because cooperative personal attitudes and Embassy leadership tend to discourage stove piping.

The State Department's Mission Performance Plan (MPP), the Mission's foreign policy directive, provides a framework for Mission goals that link all United States Government programs and activities in the field. It serves as the centerpiece by which interagency review and consensus can be achieved on country-level goals and strategies. The MPP process in Santo Domingo required a coordinated effort among personnel and created a focused, energized environment in which to tailor programs to meet country goals.

Out of this process, the Embassy sees the strengths and weaknesses of its programming. The MPP apparently offers a common framework of vision and purpose, as well as control at the Mission level.

Apart from the MPP, the team learned about the Integrated Program and Budgeting Strategy Plan and the Theatre Engagement Plan for Southern Command. The Peace Corps develops the Integrated Program and Budgeting Strategy Plan, which is included as an appendix to the Dominican Republic's Mission Performance Plan. The U.S. Military Group carries out its training and exchanges as part of the Department of Defense Theatre Engagement Plan (TEP) for Southern Command. TEP is administered in coordination with the MPP process in the Dominican Republic.

The team learned that the Mission team meets weekly to discuss significant issues for the Embassy as a whole. At these meetings, country attaches formally or informally address a training or exchange program. In addition to other events, formal announcements often arise for programs that undoubtedly require the Chief of Mission's approval. Less formal announcements often take place between or among country attaches who may have an interest in a particular international training and exchange program.

Besides weekly Dominican Republic Mission team meetings, the most effective sharing of Mission program information occurs at monthly all-agency issue meetings. The Mission has formal, specialized team meetings to discuss democracy and human rights, law enforcement issues, and economic and commercial interests and, on an ad hoc basis, women's issues. Out of this instructive-constructive environment, Mission planning can focus on areas of mutual concern. Through these monthly and ad hoc meetings, the appropriate Mission personnel assess the merits

of prospective international training and exchange programs, as well as coordinate any logistical, programmatic, and administrative concerns.

While each in-country U.S. Government entity had its own specific objectives and goals, it was evident that those agencies at Mission whose purposes and target audience were closely linked, had a better understanding of each other's activities than those whose missions were more disparate.

The team observed that the Mission recognizes the potential for unnecessary duplication and overlap; it strives to achieve synergy and complementarity. There did not appear to be a deliberate attempt to duplicate activities falling within the portfolios of the various agencies. Given the budgetary and resource needs of USG agencies, the field representatives felt tremendous pressure to streamline their administrative and programmatic operations, which have, in effect, helped eliminate some duplication in programming. Agency field representatives candidly assessed how various taskings from Washington affected their ability to engage in the many activities of their agencies. In the law enforcement area, for example, military and law enforcement attaches often work together in the Dominican Republic, though their respective federal parent offices in Washington, D.C., may not.

Mission officials remarked on the difficulty of maintaining data on the various programs and projects they must implement. In several instances, the team heard that certain USG agencies at the Mission declined to accept funds for specific projects because they did not have the resources to implement these activities. The perception on the part of some field personnel was that Washington, at times, appears more interested in "throwing money at a particular problem" without due consideration of the Mission personnel and the Mission and country's resources to properly plan and execute the activity.

A significant portion of training and exchanges in the Dominican Republic is conducted in the field of law enforcement and administration of justice. A few months prior to the IAWG's team visit, for example, USIS sponsored a two-week-long U.S. Speaker program on intellectual property rights. USIS has hosted U.S. Speaker programs focusing on money laundering, Dominican economic issues, alternative dispute resolution, and civic education topics. In addition, USIS supports many international visitors in the administration of justice field and citizen exchanges in alternate dispute resolution. Intellectual property rights (IPR) is the driving issue for the Department of Commerce's Foreign Commercial Service (FCS). Patent infringement and piracy, central issues to IPR, provide a common base for activities, with USIS funding some targeted exchange activities.

USAID's rule of law program is its major initiative designed to strengthen respect for human rights through effective administration of justice, enhanced access to justice, and good governance through anti-corruption initiatives, transparency, and accountability.

International narcotics and crime control is a top foreign policy priority for the United States Government. The Department of State, through the Bureau of International Narcotics and Law Enforcement Affairs (INL), manages the international aspects of the counter narcotics and crime control program, in cooperation with the U.S. domestic law enforcement agencies that have programs that work within that mandate – the Department of Justice and its agencies: the Federal Bureau of Investigation, Drug Enforcement Administration (DEA), Immigration and Naturalization Service; and the Department of the Treasury and its agencies: the U.S. Customs Service, the Bureau of Alcohol, Tobacco, and Firearms; the Department of Transportation's U.S. Coast Guard; and the Department of Defense. The Dominican military's principal mission is national defense and its armed services -- Army, Navy, Air Force -- participate in counter narcotics efforts, and efforts to control contraband and illegal immigration from Haiti to the Dominican Republic and from the Dominican Republic to the United States.

The Dominican Police Chief pledged that when officers who receive specialized USG law enforcement training return home, they will be placed in assignments geared to capitalize on their training experiences – a practice that

had not been carried out in previous administrations. Working with Mission representatives, Dominican law enforcement officials are developing a training and technical assistance plan. The DEA provides training to its counterpart agency, the Dominican National Directorate for Drug Control (DNCD). The DEA coordinates its training efforts with other elements of the Embassy, including the U.S. Military Group, Defense Attaché, and State INL officers.

With a plethora of programs and USG civilian and military agencies engaged in international efforts in the training of Dominican police and military, the Mission itself can be viewed as a control environment that offers opportunities for effective cross-training. Given the individuality of each agency and its mandate, however, the team saw inherent potential for duplication of efforts and lack of clarity and focus.

The Mission identified inconsistency in programming and planned a law enforcement conference in Santo Domingo, which took place in late May, to address procedural and coordination issues and a range of topics of mutual interest, including drug trafficking, money laundering, and extradition. In addition, this year the Mission developed a database to track and coordinate training of Dominican law enforcement personnel and to help coordinate the training efforts of various federal agencies to avoid potential duplication.

Unlike its Mission team members Peace Corps (PC) representatives respond directly to the needs of the country, not to other federal government agencies' directives. Synergy with other agencies and non-governmental organizations (NGOs) is opportunistic and occurs primarily on an ad hoc basis. With Dominican Government approval, the Peace Corps works at the community level. All Peace Corps sectors in the Dominican Republic are linked to economic development and institutional strengthening. PC assistant directors stay current with USAID activities in their site selection and sector selection.

USAID focuses its efforts in four areas: 1) availability of health care, 2) increasing economic opportunity, 3) improving participation in the democratic process and the administration of justice, and 4) environmentally sound energy production. Ninety percent of USAID resources are channeled through non-governmental organizations within the country.

From its vantage point, USAID does not see a problem of training duplication, but a lack of synergy in programs. Each agency has its own operational requirements and performance indicators to fulfill its training and exchanges, making courses of more universal application to country team members harder to design, or to find useful. A common approach to follow-on activities may be the key solution. USAID Santo Domingo also sponsors short-term training programs, in part because of difficulties with immigration rules and regulations that have tended to frustrate long-term education programs that USAID administers.

To accomplish its goals, the U.S. Information Service coordinates its programming with all Mission agencies. In general, many of its programs are flexible and tailored to meet in-country needs. Notably, the International Visitor Program provides the Mission with a program that crosses all agencies. Mission staff members nominate candidates for the program. USIS panels the nominations and makes selections to Washington program offices; the program then is set into motion.

The Foreign Commercial Service represents the Department of Commerce's International Trade Agency in-country. The FCS does not inventory Washington-driven training programs. The Department of Commerce closely coordinates its annual strategic plan with the MPP at Mission. However, the FCS officer's duties focus on the region as a whole, serving not only the Dominican Republic but four other Caribbean nations. Typically, programs springing from Commerce's Washington offices bypass the FCS. The team concluded that no central point of contact at Main Commerce relays exchange and training information out to the field.



In the Dominican Republic, the FCS officer interacts with field representatives of the Department of State, U.S. Information Service (USIS), and the Department of Defense through the U.S. Military Assistance Group (USMAAG).

### Country Field Study Goal 3

- **Identify administrative and programmatic “best practices” related to exchanges and training from program officers, mission colleagues, and host-country contacts.**

The IAWG team observed that administrative and programmatic “best practices” depended on particular mission objectives. For instance, in the context of education and cultural affairs, USIS perhaps has the most experience. The International Visitor Program was frequently cited as a program that works well within the Mission context. All Mission agency field representatives can participate in the nomination process. Candidates for this program are suggested by various Mission field representatives and an IV panel then makes selections for the program. For the Fulbright student and scholar programs, USIS has developed procedures to identify and select candidates and participants, maximize program objectives, and impact participants personally and significantly.

The IAWG team met with individuals who participated in and benefited from exchanges and training programs. The participants underscored the merits of working with the USIS exchange officers, who appear to have more flexibility in their programming than other field agencies.

Though USAID also funds short-term training programs, its strength better rests with how it selects and funds programs to meet specific USAID objectives, such as a rule of law initiative. USAID creates a major objective that overseas Posts can choose to purchase. One impressive example arose with the National Center for State Courts’ program for modernization within the Dominican justice sector.

In the law enforcement and military contexts, “best practices” depend significantly on the degree to which a federal entity maintains direct contact with its Dominican counterparts. The team saw, for instance, that how well law enforcement and military officials developed and executed training and exchanges depended on the degree of cooperation. In the areas of narcotics, immigration, and the military branches, cooperative efforts fostered open and regular communication, appropriate identification and selection of students and participants, and shared program objectives. As one official described the approach, Mission personnel will generate an initiative and route it to the respective federal offices in Washington for review. On receipt from headquarters, the Mission will consider the main offices’ input to determine whether and how -- if at all -- to proceed.

The U.S. Coast Guard, an arm of the U.S. Department of Transportation, works closely with USMAAG, and with its own counterparts in the Dominican Navy. U.S. Coast Guard training is regionally based, with a mobile team of U.S. professional trainers (fluent in Spanish) functioning out of Miami, Florida. The team travels to each Coast Guard site twice a year to train their personnel, as well as their Dominican counterparts. Coast Guard training offers a “Train-the-Trainer” component to ensure a multiplier effect. A boarding officer course is most popular, instructing Dominican Navy personnel on procedures relating to at-sea interdiction. (In any case, to the extent that enforcement authorities’ aims and objectives significantly differ from those of USIS’ or USAID’s objectives, universalizing “best practices” should be discouraged.)

The Dominican IAWG team attempted to discover whether “best practices” could be gleaned from other sources. The team learned that other countries, such as Japan, France, Germany, Spain, Chile, and Argentina, or intergovernmental organizations, such as the Inter-American Development Bank or the Organization of American

States, have developed their own practices to facilitate international training and exchange, but no federal official or Dominican beneficiary articulated with any specificity an accurate comparison.

### **Country Field Study Goal 4**

- **Identify performance measurement standards within exchanges and training programs.**

Throughout its week of observation, the Dominican IAWG team heard many and varied performance measurement standards for international training and exchange programs. In meetings with each U.S. agency representative, the responses the team received were as varied as the missions of the respective agencies. Across the board, the team learned that most training and exchange programs maintained no precise measurement standards. Standards ranged from broad policy objectives, such as democracy and governance, to measurement criteria, such as number of cases not rejected. Follow-up inconsistency appeared in performance measurement standards. Some measurement standards are made with the cooperation of the host country, while others are not.

Examples of effective performance measurement standards include a point system that USIS employs to assess performance measurement and the law enforcement community's "certification" report to Congress. The Drug Enforcement Administration, in particular, uses "certification" in part to measure the effectiveness of law enforcement training and exchanges. The Immigration and Naturalization Service employs a system that tracks document fraud intercepts and alien smuggling routes. Other USG sponsors measure by the number of attendees, success stories, and absence of professional turnover. The degree to which the host country "buys into" a training or exchange program is a consideration in measuring performance effectiveness.

Another example is the Peace Corps' system. Peace Corps recruitment has specific criteria: specific skills as needed and the "suitability factor": social sensitivity, productive competence, and emotional maturity. This is monitored throughout training as well as recruitment. Training consists of "scenario setting," creating conditions for development.

Peace Corps Volunteers (PCVs) are assigned projects and assessed according to their fulfillment of project goals. Three assessment visits per PCV assignment. Peace Corps program officers interview local PCV counterparts at the worksite. But there is no formal assessment of PCVs at the end of their tours. Peace Corps is more interested in the PCV experience for purposes of project redesign. Institutional strengthening is the focus, not the level of organizational production.

The Department of Commerce's Foreign Commercial Service (FCS) measures the volume of trade conducted at trade fairs by the people it sponsors to those fairs, not the impact of training per se. Training is not a critical concern, and is usually managed from Commerce entities in Washington. Trade promotion is the FCS' main mission.

The U.S. Coast Guard's mobile team assesses trainees' learning at the end of a course. Performance is gauged more broadly by the number of successful at-sea interdictions performed by the Dominican Navy, for instance.

In some cases, a standard might be how many arrests were made for drug trafficking or cases successfully prosecuted through the justice system. Still another measure might be the number of teachers or police officers trained. Implementing a successful performance measurement process requires resources and a vigilance to keep accurate records. The fact that most USG agencies' budgets are tied, to the extent to which they can justify

continued funding, by showing measurable results of past funding, forces even reluctant agency representatives to follow through with performance measurement processes even if it is difficult to obtain the appropriate data.

One frequently cited problem with developing performance measures in Washington headquarters offices is the lack of understanding by program managers of the way things operate in the field. Standards must be tailored to meet the local situation. Several agency representatives have had notable successes in developing appropriate measures when they were able to adjust such standards to make them suitable for the Dominican Republic's cultural, political, and economic circumstances. Field staff must be able to establish realistic performance measures that conform to local circumstances. While standard measurement approaches should be applied in many situations, one standard does not fit every circumstance. USG field representatives have been flexible and creative in collecting appropriate data that will enable them to gauge whether their programs are having the desired impact. Field personnel lamented the onerous task of numbers counting. They felt that additional activities in this area were not welcomed. Thus, processes of accountability need to be streamlined or merged so that the taskings will be less burdensome on thinly-staffed offices. Perhaps Washington offices and overseas Missions can assist each other by improving the coordination of activities and creating shared databases and other electronic vehicles which will require less intensive responses from end-users.

In some instances, agencies had clearly defined measures in place by which to judge the success of their training and exchange programs. However, applying these measures tended to be difficult. The issue of turnover and ever-changing civil service personnel rosters in the Dominican Government presented challenges in accounting for changes in local government that could be attributed to USG training and exchange programs.

Field personnel identified a number of different issues that can impact how -- if at all -- to measure performance effectiveness. One focuses on the participant's or student's position within the host country. The Mission underscored that exchanges and training programs involving higher ranking Dominican officials often led to less specific performance measurements, while exchanges and training involving lower ranking officials could be more readily observed and assessed. Another issue dealt with measuring over time. For instance, USAID has funded four participants for observational travel to the United States for justice sector professionals. While the immediate impact of that program might have measured one way, now that a third of Dominican Supreme Court judges have participated in a similar type of programming, results might show greater impact of the training experience.

In summary, performance measures are very hard to specify, and there is always the problem of attributing an effect to a training intervention that may be caused by something else happening at the same time.

USIS gauged a U.S. Speaker program on intellectual property rights as an example of effective programming. As a result of the visit and the speaker's continued linkage with Dominican officials, USIS noted that the Dominican Government has created an enforcement mechanism for effective widespread seizures of pirated materials. USAID noted that the Dominican Government's decision to move toward private capitalization of its national electric system can be linked to a Dominican official's USAID-sponsored study tour of privatization efforts in Chile.

USAID believes that when well organized and with appropriate follow-up, this type of programming can have a powerful impact on policy reforms and economic development in a country. By capitalizing on the strength of Dominican professional commercial entities, the national electric system is working in partnership with the private sector to solve Dominican energy problems.

### Country Field Study Goal 5

- **Observe the degree of host country input into program operations.**

The team met with a host of Dominicans in private, nonprofit, and governmental sectors who have participated in and benefited from exchange or training programs. Their perspectives revealed the degree to which such activities helped to improve systems and processes that would enable the Dominican Republic to better administer its national and local affairs. USG field representatives were well plugged into local organizations and groups for their respective areas of interest and expertise. The contacts they make are frequent and involve a significant amount of collaboration in the planning and implementation of educational exchanges and training programs.

Attempting to deliver exchanges or training programs to Dominicans without following through with the necessary preparatory work was considered ill-advised. The Dominicans the team met welcomed contact with Americans to receive the benefits of training offered. They welcomed partnership in the planning and implementation of these activities. The Dominicans expressed interest in more opportunities for greater participation in training, particularly if the training came with additional resources that would enable them to effectively implement many of the ideas that they had learned through specialized training.

In general, the partners characterized their relationships with USG field program representatives in glowing terms. Dominicans repeatedly applauded the efforts of their USG partners and the benefits accrued from their participation in exchanges and training programs. They appreciated the opportunity to step away from their normal tasks and challenges and immerse themselves in training and education environments that enhance their ability to effect positive change in their work places and with their constituents. Once such relationships were formed with USG field program officers and participants, whether from the Dominican Republic or other countries, a positive synergy and network was established that continued beyond the term of the training or exchange. Over time, many professionals and other personnel trained through USG programs have continued to communicate with each other and work cooperatively through their respective professional associations for the betterment of their country. Many of these participants now occupy positions of importance and wield influence in guiding key military and civilian organizations.

While Dominicans desire to support exchanges and training programs, they are limited in their ability to augment such activities on a broad scale. They depend on USG programs and funding to implement needed training for key personnel charged with reforming various national and local government operations. There is some leveraging, but with limited resources, the Dominican Republic depends on American assistance to improve its infrastructure. USG field representatives have access to appropriate Dominican officials and organizations. These partnerships -- formal or informal -- are effectively nurtured and have resulted in a significant number of successes in the training and exchanges area. Returned participants continue to form an active alumni group who respond positively and readily when called on to participate as resources and informants for appropriate causes and activities. USG programs build and sustain a loyal and supportive following among Dominicans. This growing alumni group of training and exchange participants constitutes a vital resource that can be leveraged in a variety of ways.

Throughout its week of observation, the team learned that the degree of host country input depends, in part, on the area being addressed. Although there appears to be discontinuity in the Dominican civil service system, in the law enforcement and military areas, for instance, the IAWG team heard from United States and Dominican officials that little turnover occurs within that sector's ranks with administrative changes in the Government. Given limited turnover, law enforcement and military officials work hand-in-hand to design and execute USG-sponsored training and exchange programs. This mutual understanding and cooperation has not only generated visible bonds between United States and Dominican officials, but has also given rise to a corps of Dominican officials, trained in part with

USG support, who have assumed leadership roles and who will pass on their knowledge and skills to future Dominican leaders.

The U.S. Coast Guard has very good planning interdiction between the U.S. Mission's Military Group and its Dominican military counterparts. The Dominican military pays a portion of its training and coordination costs; the United States Government assists in some instances.

Outside the law enforcement and military areas, the team learned that discontinuity in the Dominican civil service seriously disrupts a USG entity's ability to work with Dominican officials in the development of other training and exchange programs. Often in the educational and cultural exchanges, Mission personnel must cultivate and recultivate local contacts because of the absence of an institutionalized civil service. While the short term impact is arguably less significant when weighed against other areas of current U.S. interest, the long term ramifications are potentially more significant, insofar as this discontinuity undermines institutionalization and stabilization of a democratic system.

For the Peace Corps program, the Dominican Government must not only agree to a proposed project, but also must share full ownership in it by contributing financially or in kind to the agreed-to activity. Peace Corps must have its programs approved by the host government; NGO institutional strengthening can involve publicly-funded local institutions; and in cases of disaster relief, as with Hurricane Georges, the Peace Corps works with public agencies of the Dominican Republic. When a host government is uncooperative in a given sector because of political or resource problems, USAID will work for bureaucratic change and postpone work in that sector. USAID requires host country participation in planning a program's objectives and in carrying them out, with some negotiated measure of cost-sharing to assure host-government commitment.

### Country Field Study Goal 6

- **Learn about private sector initiatives and the degree of support solicitations received in-country by USG agencies conducting exchanges and training.**

There are efforts underway to improve and enhance the educational, cultural, and economic opportunities of the Dominican Republic sponsored by private organizations and agencies. The team met with representatives of several of these groups. They provided a perspective of the Dominican Republic that was hopeful and progressive. While all did not depend on federal programs for their total support, they collaborated on a number of projects. In many cases, these joint ventures enabled Mission program officers to gain entree to certain sectors of the Dominican Republic that would have remained inaccessible otherwise. Private organizations are linked to USG programs by previous affiliations and an understanding of their mutual goals. While they maintain their independence, these private sector partners have used United States Government funds in creative and positive ways. In planning for their annual training and exchange activities, federal agencies represented in the field factored the ideas and resources of these organizations into their strategies. The networks formed by federal agency representatives in the field helped to leverage funds and extend the reach of their resources.

Dominican private sector initiatives currently comprise a small portion of the exchange and training funding. The Dominican IAWG team, however, spoke with a university professor about one nascent initiative arising in the Fulbright context. With USIS' assistance, members of the Dominican Fulbright Alumni group are in the process of soliciting contributions to an endowment that will fund future Fulbright student and scholar grantees. This ambitious program shows promise and may serve as a model for future private sector initiatives in-country. The team also learned about private foundations from the United States and other countries, such as Germany, that

contribute to programs that the USG sponsors in part. Though most pronounced in the areas of trade, finance, and commerce, private support also arose in the context of education and cultural training and exchanges.

USAID's programs often benefit from cost-sharing by the training institution, particularly in cases of academic long-term training, in the form of tuition waivers and housing arrangements. Similar arrangements occur occasionally in country, even though host country institutions may not have the same level of resources. In the Dominican Republic, this is hard to gauge since training is almost entirely managed as a subactivity by technical assistance contractors, and not broken out separately. However, a reported 90 percent of USAID in-country funds support the activities of private NGOs. Peace Corps solicits some funds from private sector institutions in support of Peace Corps local projects, but is careful about it so as to maintain its independence. The Foreign Commercial Service works with local businesses and the American Chamber of Commerce in Santo Domingo.

### Country Field Study Goal 7

- **Collect suggestions from U.S. Mission staff regarding the strategy and action plan (for 10 percent savings recommendations) for the *FY-98 Annual Report*.**

Mission personnel expressed the opinion that many agencies had already reduced costs of their programs by well over ten percent since the Executive Order went into effect. Staff did underscore the need for greater flexibility in financing, promoting, and delivering training and exchange programs. Administratively, for example, providing the Mission with field-controlled training and exchange funds that are not function specific would allow the Mission to use whatever tools necessary to achieve Mission Performance Plan goals.

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### Lessons Learned

- Set travel dates at least three to six months in advance of departure.
- Develop and maintain a pool of candidates with appropriate expertise to undertake future country field studies and projects.
- Allow Mission staff more lead time to review and respond to country field study goals.

### Recommendations

International exchanges and training are critical components to the U.S. Government's foreign policy goals. Their strategic value is in developing and expanding a permissive environment for projecting U.S. national interests. The value of this investment should be recognized prominently in the United States Strategic Plan for International Affairs. The IAWG team recommends the following:

- Institute an international strategic goal of sustaining and promoting international exchanges and training, a global anchor to mutual understanding and human capacity development.
  - Review the IAWG definition of training in the broad context of activities that support the Mission Performance Plan process and better reflect U.S. Government investment, rather than training defined in the narrow context of a "border crossing."
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- Develop a pilot project in which appropriate Mission personnel capture all training and exchange data using a common, government-wide format.
- Require all Mission Country Teams to develop and maintain a common database of information on international exchanges and training.
- Require the adoption of a “Train-the-Trainer” component to all appropriate training programs.
- Provide Mission field officers with greater flexibility in financing, promoting, and delivering training and exchange programs.
- Provide field-controlled training and exchange funds that are not function-specific but allow the Mission Country Teams to use whatever tools necessary to achieve a Mission Performance Plan goal.
- Explore the feasibility of developing or utilizing local in-country learning centers to fill some training needs.
- Conduct longitudinal studies to track training benefits over time.

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## SECTION 2: POLAND (MAY 8-15, 1999)

### EXECUTIVE SUMMARY

In May 1999, the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) sent a team representing four federal agencies and the IAWG to Warsaw, Poland, to conduct a one-week study of international exchanges and training programs from the field perspective. There is a rich historical relationship between Poland and the United States that has included extensive exchange and training activities. Poland is currently undergoing a dramatic transformation as the country achieves its goals of democratization and conversion to a market economy. Many U.S. Government-sponsored programs implemented over the past decade have been designed to facilitate achieving these goals. The IAWG's country field study provides insight into programming unique to Poland, and may be illustrative of the potential life cycle of exchanges and training programs in other countries undergoing similar transformations.

The IAWG country field study team focused on these primary areas:

**Verification of Fiscal Years 1997 and 1998 Inventories of USG Programs:** More than 25 federal departments and agencies reported implementing exchanges and training programs with Poland in the past two fiscal years. However, the data reported to the IAWG is incomplete. Omissions can be traced to the definition of exchanges and training activities, the IAWG's reporting criteria, the *ad hoc* nature of many programs, inadequate personnel and data management resources, and the lack of clear mandates to collect and report information on participants.

**Coordination and Cooperation:** While there are few mechanisms for formal coordination of USG exchanges and training programs, there are informal coordination methods in place that work well. There is some potential for duplication and overlap, but increased communication (both at the Mission overseas and in Washington) and the implementation of enhanced data management practices would reduce the risk of duplication.

**Performance Measurement and Standards:** Personnel in Poland face the same challenges in measuring program results as their counterparts in Washington. Long-term results are difficult to anticipate and measure. Expectations of performance measurement must be clearly communicated by funding and implementing agencies. Data management systems are needed to reduce the burden of results tracking and reporting.

**Partnership:** The government and people of Poland are highly receptive to exchanges and training programs with the United States and knowledgeable about the many opportunities available to them. Host country input in general is quite high. The private sector and NGO community is still not yet in a position to provide significant cost-sharing to U.S. Government programming, though some examples do exist. Institutionalization of relationships with the private sector could enhance partnership activities and create stable, long-term relationships.



**Increasing Efficiency and Decreasing Costs:** Efficiency and cost-cutting recommendations from the Mission centered on increasing administrative efficiencies, enhancing coordination and guarding against duplication. Employing alternate methodologies for exchanges and training, such as in-country training and distance education, are also used to reduce costs while maintaining program yield. Counting in-country and third-country training activities is recommended for the future.

Poland provides a testing ground to determine how best to bridge the critical transition from recipient to partner. In spite of Poland's growing relationship with the European Union, the United States still has a meaningful role. Poles continue to look to the United States as an important guide and ally. U.S. Government-sponsored exchanges and training programs are critical to maintaining this relationship.

## OVERVIEW

U.S. Government-sponsored exchanges and training programs with Poland have had a long and productive history. With beginnings in the Communist period, these programs continue to be effective ten years after the sweeping victories of Solidarity. During the Communist and post-Communist periods, many Polish educators, leaders, and decision makers from all sectors of society participated in short- and long-term USG programs. Their participation in programs designed to transmit democratic values and processes as well as to demonstrate the benefits of capitalism, no doubt, facilitated the country's transition to democracy, the development of a market economy, membership in the North Atlantic Treaty Organization (NATO), and Poland's likely accession to the European Union (EU). Poland is an exchanges and training success. That very success has modified the exchange relationship between Poland and the United States significantly.

Poland has developed into a training partner in the region. Poles trained in, or familiar with, USG programs now train their own nationals or third-country nationals in the region. USG funds, private foundation assistance, and Polish resources help support these efforts. There are indications that the Polish contributions to bilateral and multilateral exchange and training programs will be increased. Furthermore, it is anticipated that Poland's membership in the EU will mean sizeable EU resources available for training purposes.

Given this success and the anticipation of additional EU resources, the USG will need to redirect its support from programs designed to facilitate Poland's transition to democracy and the development of a market economy to those designed to strengthen democratization and private sector institutions. Decisions to move away from transition-oriented programs have already been made. As of fiscal year 2000, no new activities under the Support for East European Democracy Act (SEED) will be funded and the U.S. Agency for International Development (USAID) will close its mission in Poland. The Peace Corps will terminate its training activities in the following year and funds allocated in support of Poland's entry into NATO are no longer necessary. While recognizing that Poland's needs are evolving, it is essential that U.S. Government exchanges and training be sustained at a high level to reinforce the bilateral relationship. Hopefully, resources will be made available so that remaining programs can be refocused or enhanced and new programs developed which will solidify the democratic and market economic reforms which have been undertaken.

To get a sense of the nature and extent of U.S. Government exchanges and training programs in Poland and the direction they might take in the near future, a team of five individuals representing four U.S. Government agencies and the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) conducted a one week country study in Warsaw, interviewing USG officials, Polish and American representatives of non-governmental organizations (NGOs), and officials of the Government of Poland (GOP).

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Because of the rich historical relationship between Poland and the United States, and the dramatic transformation in programming now underway, the IAWG's country study should not only provide insight into programming unique to Poland, but also be illustrative of the potential life cycle of exchanges and training programs in other countries. The findings of the IAWG's Poland field study team are contained in this report.

## VERIFICATION OF FISCAL YEARS 1997 AND 1998 INVENTORIES OF USG PROGRAMS

More than 25 federal departments and agencies reported implementing exchanges and training programs with Poland in the last two fiscal years (1997 & 1998). The country field study team attempted to verify this data with field staff, focusing primarily on programs that were omitted and difficulties encountered when tracking program participants. Overall, the team found that the data provided by Washington did not give a complete picture of the magnitude of U.S. Government exchanges and training activities. There are significant activities that take place, many involving in-country or third-country training, that are not included in the annual reports. Omissions can be traced to the following causes:

- While most agencies systematically provide data on participants in traditional, long-term programs, they often do not collect information on *ad hoc* programs, such as programs that address specific requests from Polish government representatives, or one-time initiatives by the U.S. Government.
- Third-country programs are often omitted because they are also *ad hoc* in nature or the responsibility for reporting data is unclear. Does the responsibility rest with the country hosting the activity or with the country sending participants or trainers? In some instances, agencies voiced concerns that both participants and trainers may be either completely omitted from the data or double counted.
- Agencies continue to disagree on the definition of exchanges and training activities. Statutes limit several agencies in terms of the types of activities they can and can not implement. Therefore, they are understandably cautious about identifying programs in terms that could be misconstrued by policy makers.
- The mandated definition of international exchanges and training participants is very broad, yet it excludes individuals who receive in-country training. Trainers that cross borders are counted under IAWG guidelines, but the in-country trainees who benefit from the activities are not. The Poland study found a strong emphasis placed on the development of in-country training programs and opportunities.
- The Government Performance and Results Act (GPRA) requires USG agencies to focus on program outcomes. Several agencies do not believe or have not articulated that counting the number of participants in an exchange or training program is important to achieve or evaluate the results of the program. This is most apparent in programs that focus on conflict resolution and promoting institutional change.
- The U.S. Embassy in Warsaw can only provide details on U.S. Government officials who must apply for country clearance prior to traveling to Poland to conduct training. Contract trainers or grant recipients conducting training may not be subject to the same country clearance requirement.
- Staff shortages due to recent budget reductions prevent the effective recording and tracking of participants in U.S. Government programs. When records exist they are, for the most part, in hard copy and have not been transferred to any type of automated data management system.

Executive Order 13055 -- and the related provisions of the Omnibus Authorization Bill -- calls for improving the coordination, efficiency, and effectiveness of U.S. Government international exchanges and training. To achieve its

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mandate, the IAWG needs to reconsider the type of data it collects. Is counting the number of people that cross borders in support of or as part of international exchanges and training programs of primary importance? Do we get a full picture of exchanges and training activities if we neglect counting individuals trained in their home country? How do we evaluate training if we don't know more about the quality or results? During the Poland study, interviewees repeatedly pointed out that the inventory exercise conducted by the IAWG focuses on a very particular type of programming -- traditional exchanges -- and does not reflect the priorities of many government agencies, the reality of budgetary and programmatic constraints, or the results orientation now mandated throughout government.

## COORDINATION AND COOPERATION

The study team reviewed in-country coordination and cooperation among administrators of U.S. Government programs. The team examined existing programs to assess the level of information-sharing, complementarity, synergy, duplication and/or overlap.

The team found few mechanisms for formal, overarching coordination of all government exchanges and training programs at the Mission. However, innumerable informal coordination mechanisms do exist. The overall atmosphere at the Mission is highly cooperative. While Mission representatives acknowledge the existence of some overlap and duplication, they emphasize that they have taken steps to increase communication, coordination, and cooperation.

Country team meetings and the Mission Performance Plan (MPP) process represent the broadest and most formal coordination efforts at the Mission.

- AmEmbassy Poland conducts thrice weekly country team meetings involving officials of each government agency represented at the Mission. The meetings provide an opportunity for team members to discuss important activities and Mission priorities. However, the country team meetings focus on the most urgent Mission business and a wide range of Mission activities, of which exchanges and training programs are one small part.
- The annual MPP process provides an opportunity for the various Mission elements to develop the goals and objectives of the Mission in a cooperative manner and link them to resource requests. However, the MPP process does not delve into details of specific program implementation and so cannot really be used as an effective tool for detailed coordination. One representative described it as a "paper exercise" and another as "not functioning, vague". Also the MPP process happens once each year and would not reflect *ad hoc* programming or changes in priorities that would develop within these periods.

In addition to these two overarching coordination mechanisms, some agency- or issue-specific "teams" and programs within the Embassy take a formal approach to coordination. Two USIA-administered programs, the International Visitors Program and the Democracy Commission Grants program (both of which will be discussed subsequently in this report) involve representatives from other government agencies in their selection processes. Various U.S. Government representatives, as members of the Binational Commission, also participate in the selection of Fulbright Fellows.

The widespread informal coordination at the Mission succeeds largely because of the personalities involved, the collegiality at the Mission, and the receptive and cooperative environment fostered by the government and people of Poland.

In the area of military/defense programming, the IAWG country field study team encountered one of the best examples of coordination, not only among Mission personnel but also between Mission personnel and host government representatives.

### **Case Study**

The IAWG country field study team met jointly with the Defense Attaché, the representative from the Office of Defense Cooperation, the representative to the Military Liaison Team, and the political/military officer for the Embassy. This "team" possessed extensive knowledge about the range of programs being implemented in Poland not only by the U.S. Government, but by other countries as well. The team provided some missing data from the IAWG's inventory of programs and discussed challenges in collecting the information.

This defense/military team uses a combination of informal and formal cooperative mechanisms to maximize available resources and to present a coherent and effective programming package in Poland. Formal cooperation involves not only team members and their Mission colleagues, but Polish and NATO officials as well. About three years ago the Embassy initiated monthly meetings that brought together various elements of the Polish government to manage defense-related issues interdepartmentally. The Deputy Chief of Mission and a representative from the Polish Ministry of Foreign Affairs chair these meetings. The defense/military team formed a sub-group to meet with their Polish counterparts monthly to discuss interoperability issues. Based on an assessment of current needs, a new subgroup will be formed to discuss issues of procurement, with the aim of assisting the Poles in employing a logical, sequential, and transparent acquisition process. Additionally, the Defense Attaches from NATO countries periodically meet to discuss programming, and other matters.

The defense/military team also works together informally to determine the best approach to meeting specific goals. They appear to place a high degree of importance on needs assessments and tailored programming, and compare team-wide resources to determine the most appropriate and efficient means to address education and training needs.

While the level of activity in Poland creates significant opportunity for duplication, this appears to have been avoided. This is due, in part, to the close working relationships with Polish counterparts. They make the final decisions regarding what programming to pursue and how best to apportion training and exchange opportunities among staff. Close coordination and communication also help prevent duplicative efforts.

### *Challenges Faced*

The defense/military team identified two major challenges in implementing exchanges and training programs in Poland:

- Shortage of English-qualified participants: The Defense Language Institute (in the U.S.), 15 Department of Defense International Military Education and Training (IMET) laboratories, and NATO partners teach English. But, proficiency is difficult to attain and is highly perishable. It is unclear whether the Polish military takes steps to maintain proficiency among those who have studied the language. Also, with NATO membership, many English-qualified individuals

have been moved to NATO billets. Staff shifts make it difficult to find English-qualified participants and people who can leave their positions to receive training.

- "Cold turkey" cessation of some types of funding: With NATO membership, significant financial assistance ended. It would have been easier, from a programming standpoint, to have gradually phased out funding.

The defense/military team tracks program results and the subsequent postings of program participants. One result clearly is unquestionable. The defense/military exchanges and training programs helped Poland to become a member of NATO.

The IAWG tasked its country field study teams to look specifically at coordination, duplication, and overlap in two major program areas: rule of law/administration of justice programs and international visitors programs. The *FY 1997 Annual Report* identified these two areas as having the potential for duplication.

### ***Rule of Law/Administration of Justice***

Many federal agencies are or have been involved in implementing rule of law/ administration of justice programs in Poland. The law and democracy team, which consists of the Consul General, the Regional Security Officer, the Legal Attaché (FBI), and the Resident Legal Advisor (DOJ), coordinates these efforts at the Mission. Since the team is small and the individuals enjoy close working relationships, it meets and interacts informally and does not subscribe to more formalized operating procedures. The team keeps no formal records of programs or participants because (a) it is believed that agencies initiating programs keep such records and (b) time and staffing shortages at the Mission prevent it from doing so. As a result, no one compares the participant lists to ensure that there is no duplication in the training of Poles under similar programs/courses. The team depends largely on the Government of Poland to recommend the appropriate people to receive training that benefits them, their organization, and society.

The law and democracy team focuses primarily on law enforcement programs. While there are programs in this area sponsored by the Drug Enforcement Agency and the U.S. Customs Service, no representatives from these organizations are stationed in Poland. Any coordination that takes place must be directed through those organizations' representatives in Berlin. The law and democracy team does not include representatives from the U.S. Agency for International Development (USAID) and the U.S. Information Service (USIS/USIA), even though these agencies have a history of rule of law programming. Additionally, the law and democracy team emphasized that law enforcement training could not be entirely effective without legislative reform. While the Resident Legal Advisor of the Department of Justice works actively in this area, it is not certain whether the law and democracy team has the input of similar efforts by USAID and USIA.

Several rule of law/administration of justice programs or activities have been omitted from the IAWG's inventory of programs. The law and democracy team members believe that many U.S. trainers traveling to Poland are not counted, and that Poles traveling to third countries for training may also have been omitted in some instances. The absence of automated records at the Mission makes it difficult to verify or quantify the discrepancies. Many Mission elements face a common challenge: recent government staffing reductions and the wide range of responsibilities held by the government representatives in the field results in insufficient personnel to actively track and collate data on program participants. As stated earlier, with limited resources, tracking program results is far more important to the program than quantifying and tracking participant data. Team members also do not have the time or resources to compare participant lists to ensure that there is no participant duplication. They largely depend on their Polish counterparts to ensure that the most appropriate people receive training and benefit from exchange experiences.

The law and democracy programs at the Mission face several challenges in addition to limited personnel:

- First, the team indicated that not all law and democracy training and exchange activities are coordinated through the Mission. When Polish officials travel to the United States, they may hold discussions with counterparts in the U.S. and agree to joint programming that is not then coordinated through the law and democracy team. This is disruptive, can lead to duplicative programming, and limits the team's ability to spread resources among host country institutions in a way that best addresses U.S. Government priorities and objectives.
- Second, it appears that funding for and implementation of law enforcement and rule of law programs are often separated between and among agencies. Agencies do not always accurately or adequately respond to the input provided by the Mission through both the MPP process and through more specific planning exercises. There is a perception at the Mission that some programming is not tailored to the needs of Polish institutions or country-team objectives, as communicated by the Mission. "Hot topics" in other regions or countries affect "funding" agency decisions and "implementing" agency program content, but may hold no relevance to the Polish situation. There seems to be inconsistent recognition of this in Washington. Mission personnel suggested that through needs assessments and/or discussions with the Mission these problems could be resolved.
- Finally, the delay of interagency funding transfers presents programming obstacles and disruptions, delaying implementation, costing staff time and negatively affecting overarching implementation plans.

In sum, the IAWG country field study team determined that a high risk of duplicative programming exists in the area of administration of justice/rule of law. Why? Because so many agencies operate these types of programs (not to mention NGOs and European entities); activities developed in Washington are not systematically coordinated through the Mission; and the existing Mission "team" does not track program activities and information and does not include some key players in rule of law programming. To address these issues, the Mission could benefit from a full-time dedicated staff position to coordinate rule of law/ administration of justice activities. The team should be expanded to include representatives from all agencies involved in rule of law/administration of justice programs. Finally, coordination of funding, as well as planning and implementation difficulties with Washington would need to be corrected. There clearly needs to be more coherent coordination of activities by State's Bureau of International Narcotics and Law Enforcement Affairs or another centralized coordination body, streamlining of the funding transfer process, and enhanced responsiveness to programming requests articulated by the Mission.

### ***International Visitors Programs***

Most of the U.S. Government international visitors programs involving Polish participants occur on an *ad hoc* basis; an individual who wants to develop a program contacts an agency directly and works with them to put together a schedule of meetings. The individual's company, the Polish government, international organizations or non-governmental organizations fund these programs. The exception to this is the U.S. Information Agency's (USIA/USIS) International Visitors Program. With this field-driven program, Mission representatives nominate candidates to be sent on a highly structured, U.S. Government-funded program lasting 3-4 weeks. (Participants in USIA's Voluntary Visitor program usually receive programming anywhere from 2 days to 2 weeks. These visitors are responsible for arranging and paying for their own international airfare to the United States.)

The operation of this program at the Mission demonstrates good coordination among agencies. At the beginning of each program cycle, a call for nominations to the program goes out from USIS to the rest of the Embassy community. Out of about 120 nominations, an interagency selection committee picks 50-55 participants each year. The Embassy attempts to screen out individuals who have had previous U.S. experience unless there is a compelling programmatic reason to allow them to participate. Prior to last year, there was no automated system for

tracking international visitors, but now USIS representatives enter this data directly into USIA's Exchange Visitor Database (EVDB). Activities of program alumni, however, are still largely tracked on paper and through the institutional memory of staff.

From the Mission perspective there is little concern about duplicating visitor program activities of other government agencies, largely because other government representatives at Mission do not initiate separate visitor programs. (Note: For the purpose of this report, the IAWG does not consider trade missions or promotion visits to be international visitors programs.) However, there is the potential for duplicating the activities of non-governmental organizations. Recently, USIS has taken steps to guard against this by developing a cooperative relationship with the German Marshall Fund, which runs a program that is very similar to the USIA International Visitors Program. These two programs now compare participant lists to avoid selecting the same candidates and to ensure a fair and beneficial distribution of resources.

\* \* \* \* \*

Throughout our meetings with Embassy personnel we heard many suggestions on how to improve the coordination of exchanges and training programs at the Mission. They include:

- Sharing resource requests/planning documents: While all agencies represented at Mission cooperate on the preparation of the Mission Performance Plan, this document does not address specific resource requests and program plans for specific agency elements. Sharing the more specific resource allocation or planning documents from each agency at the Mission would contribute to a better trans-agency understanding of programs, enhance communication, and promote an environment more open to coordination.
- Establishing an interagency exchanges and training database into which basic participant and program data could be entered: Such a database could be used to inform other elements within the Embassy of upcoming or recent programs and to check programs for duplication and overlap of both purpose and participants.
- Establishing an interagency exchanges and training committee: This committee could meet on a regular basis to coordinate and share information on exchanges and training activities.
- Using existing data collection systems to coordinate or distribute participant information: There may be several systems at the Mission that could be used to share information on participants among government representatives to avoid "double dipping" and to count the number of program participants that travel from Poland to the United States. For instance, J visa recipients could potentially be tracked using the Consular Section database, though some modifications would be necessary to provide information on program sponsorship. Another suggestion voiced during our study was to use the background checks system that is required prior to sending participants to the U.S. as a means to collect participant information.

## PERFORMANCE MEASUREMENT AND STANDARDS

U.S. Government personnel in Poland face many of the same issues and challenges as their Washington counterparts with regard to developing performance measures and measuring results. While long-term results are often more important than those obtained in the short-term, measuring the long-term effect of a program is difficult. Aside from programs designed to impart specific, technical knowledge or expertise, many U.S. Government exchanges and training programs focus on enhancing understanding and changing people's opinions and attitudes. Measuring results of these types of programs presents a challenge, for opinions and attitudes often are not predetermined and do not become apparent until long after the program concludes.

Many Polish government officials have participated in the international visitors program. During their time in the United States, participants get exposure to a wide variety of issues and meet with many professional counterparts. Upon returning home, the officials' attitudes may be slightly altered and affect subsequent professional activities and decisions. However, tracking and recording these subtle changes is difficult. And there is no objective way to attribute them directly to the U.S. exchange experience.

Important long-term results often exceed the original goals of exchanges and training activities. The University of Warsaw Law Center, for example, provides Eastern European students with a foundation in American law through a linkage with the University of Florida School of Law. The relationship has been nurtured over the last 10 years and periodically received U.S. Government support and SEED funding. However, it was not clear at the outset that the Law Center and the granting of degrees would be the end result. This important result would not have been captured in a short-term review.

"Results" tracking seems to fall into two distinct categories at the Mission: tracking of outcomes and tracking of people. Tracking outcomes may range from noting the resolution of trade disputes or regulatory disagreements to evaluating long-term legislative trends and the evolution of public attitudes. The former is easier to track and evaluate. For instance, the Department of Agriculture's Foreign Agricultural Service implements a veterinary exchange that facilitates the negotiation of health certificates. This has a direct and measurable impact on U.S. exports of meat products to Poland. Linking long-term legislative trends and changes in public attitudes to particular program activities is a far greater challenge. Tracking of people focuses on the individual participant and his/her activities, such as skills enhancement, professional achievements, decision making roles, and personal initiatives and policy contributions that can be traced back to the program. While this type of tracking is possible, it is incredibly labor intensive and requires a sophisticated data management system to be useful. Many agencies employ both approaches, depending on the type of program or activity implemented, but a significant number focus more specifically on examining actions or trends. A few others concentrate on *institutional* change and don't focus on individual participants.

## Case Study

The U.S. Agency for International Development uses a systematic approach to performance measurement through its Results Review and Resource Request (R4) process. This three-phased process includes:

- Multi-year Strategic Objectives (SOs), which USAID prepares and vetts in collaboration with key partner organizations, and shares with all other agencies at the Mission. USAID Poland established two overarching SOs: 1) to stimulate private sector development at the firm level, and 2) to increase local government effectiveness, responsiveness, and accountability. (In 1989, when the U.S. began developing programs to assist with Poland's transition to democracy and market economy, USAID decided that this would be a 10-year effort.)
- Intermediate Results (IRs) or incremental targets/goals to chart progress toward achievement of the longer term (10-year) development strategy; and
- Performance Indicators, i.e., objectively verifiable measurements against established baseline data. Example: number of state-owned enterprises privatized with U.S. technical assistance, number of citizens who think local government is effective and prudently managing public resources/providing services. Training/skills enhancement programs directly support achievement of the strategic objective.



The objectives to be achieved determines the request for an allocation of personnel and financial resources, including the resources that are devoted to skills enhancement activities and technical assistance. USAID Poland and the Europe and Independent States Bureau stage an annual review of progress toward the achievement of the strategic objectives.

USAID shares copies of the R4 document with other U.S. Government agencies and with Polish partner organizations. The Agency also posts this document on its web page for easy access to the public-at-large. Thus, USAID's performance measurement standards encompass the three critical elements of objectivity, transparency, and accountability.

Representatives at the Mission requested that Washington agencies develop an across-the-board process to provide data. Creating a single set of recommendations for performance measurement would fail to recognize the dissimilarity of program priorities and goals. However, the following procedural recommendations can be shared among agencies at the Mission:

*Automate tracking systems:* Institutional records of program results and achievements of program alumni are often scattered throughout various paper files or maintained in the memory of long-term employees. To capture results, a systematic, automated approach for recording and preserving this information should be adopted. However, we again return to the issue of staff shortages. Any attempt to go back through previous records and/or to transfer information into a database-type system would take incredible amounts of time and energy throughout the Embassy. The problems remains that there are not enough hours in the day to devote to this type of activity, especially when it would result in sacrificing the very programs on which it would be designed to report. Should tracking and archiving records be deemed a priority, thought should be given to hiring a contractor for this purpose.

*Create alumni networks:* Alumni networks can facilitate participant tracking, enable alumni to share and build upon their U.S. experiences, and serve as a continuing link to the program's target audiences.

*Clarify goals and responsibilities:* The initiating agency needs to articulate the goals of a given program activity and to determine up front who will measure the results of the activity. Some individuals at the Mission indicated that they do not track results because they had never been instructed to do so. In the case of third-country training, it is not always clear who holds the responsibility for results reporting: the funding element (located in Washington, D.C.), the implementing element (the agency or entity that provides the training), the sending element (the Mission where participants originate), or the receiving/training element (the Mission where participants are trained).

## HOST COUNTRY PARTNERSHIP

Given the rich historical relationship between Poland and the United States, as described in the overview of this report, it is no surprise that the government and people of Poland favor the exchanges and training programs with the United States and know about the many opportunities available to them. Host country input varies from program to program, but in general is quite high. The example of cooperation found in defense/military programming is noted above. In law enforcement programs, the host government plays a crucial role in selecting participants and determining needs. Additionally, there is a high level of cooperation with the Ministry of Education. In addition to cooperation under the J. William Fulbright Program and the Center for Civic Education, which are both detailed below, the Ministry also has played an important role with the Peace Corps English teaching program. Peace Corps volunteers that teach English are paid and housed by the Ministry of Education. This financial support has enabled the program to exist as long as it has.

## Case Study

Inaugurated in 1959, the U.S. - Poland Fulbright Program is the longest running and largest academic exchange program in Central and Eastern Europe. Polish Fulbright alumni, who now number nearly 1,500, are prominent in national life and include ministers, members of parliament and the mayor of Warsaw. In 1990, the Polish-U.S. Fulbright Commission was established through bilateral agreement, solidifying this program as a true partnership. Administered by a binational board comprised of five Polish leaders and five Americans, the Commission developed a program that reinforces Poland's advancement toward democracy and a free-market economy. While the U.S. Government continues to provide most of the program funds, the Polish Government offers significant support such as the Commission's office rental and utilities and *zloty* stipends for U.S. lecturers and students, round-trip travel for Polish grantees, and a two-week orientation program for new U.S. grantees.

## PRIVATE SECTOR PARTNERSHIP

When examining public-private partnerships in Poland, it is more useful to focus on the degree of input, coordination, and cooperation as opposed to actual cost-sharing and leveraging. While Poland has made huge strides in establishing a healthy market economy, the private sector and NGO community is still not yet in a position to provide significant cost-sharing to U.S. Government programming, though some examples of this do exist. The team noted that in several types of programs that involve Polish private sector representatives, such as trade missions arranged by the Department of Commerce's Foreign Commercial Service and some programs of the Foreign Agricultural Service, business entities are required to fund their participants. Some exchange programs operate cooperatively with private foundations. For example, USIS has cooperated with the Stefan Batory Foundation to support participants in its Voluntary Visitors program. Mostly, however, partnership takes on the form of cooperative program development, in-kind support, and program advertising and recruitment.

At this time, relationships with many private sector entities are informal and based on personal contacts. With frequent staff changes on both sides, these relationships are tenuous. Institutionalization of relationships could enhance partnership activities and create more stable long-term relationships.

## BEST PRACTICES

In addition to the examples listed in the preceding sections, the country field study team identified several other administrative and programmatic best practices found in Poland.

### *Democracy Commission Grants*

Funded through SEED since FY 1994, the United States Information Service administers a small grant program aimed at developing NGOs and supporting grass-roots activities which foster democracy in Poland. This program is particularly effective because it is bureaucratically simple and can respond quickly to targets of opportunity. USIS solicits applications for grants, which cannot exceed \$24,000, on a quarterly basis. A mission-wide committee, headed by the Deputy Chief of Mission, awarded more than 180 Democracy Commission grants in Poland from FY 1994-98 at a total cost of \$1,711,999.

Recent examples of grant recipients include the Global Action Plan Foundation to create local-level environmental policies; the Educational Association for Human Rights to support workshops for secondary students; the Women's

Mutual Aid Movement for work to abolish discrimination of women; and the Polish Association of Legal Education for projects to strengthen the rule of law.

### ***Center for Citizenship Education Programming***

The Center for Citizenship Education aims to strengthen democracy in Poland through educational reform. With support from the U.S. Information Agency, the U.S. Department of Education (USED), and the U.S. Agency for International Development, along with a multitude of private foundations, and government (both Polish and foreign) organizations, the Center engages in the following types of educational activities:

- The training of Polish elementary, secondary, and university teachers to become leaders in effecting democratic change.
- The development of instructional materials to help teachers train students to become responsible citizens. It should be noted 30 percent of Polish teachers use materials developed by the Center. The Ministry of Education's (MINED) support and local government endorsement for this activity assures it further use.
- The development of a manual for teaching civics based on the experiences of Polish teachers who have taught in this subject area.
- The maintenance of linkages with Ohio State University's Citizenship Development Program to review and comment on the materials developed by the Center.
- The fostering, establishment, and maintenance of linkages between university professors from Departments of History and elementary and secondary school teachers. As is the case in the United States, these linkages are difficult to establish and maintain.
- The support of visits by U.S. teachers to Poland to a) present guest lectures to Polish teachers, b) share cross cultural experiences in the teaching of civics and c) develop instructional materials for U.S. students to help them understand the nature of democracy and its processes as perceived by Poles as citizens of an emerging democratic state within the NATO and EU structures.
- Serve as a consultant to teachers and officials from other countries of the region and includes teachers from these countries in its civic training courses.

Through the Center for Citizenship Education, a small amount of federal seed money directly impacted on teaching the teachers of civics, teaching teachers, and teaching students the processes and values associated with democracy. The involvement of MINED and local governments and the pedagogical methodologies employed to teach civics, spills over into the other disciplines, suggesting that these programs made a significant, and long-lasting, impact on the educational system of Poland.

### ***USAID Local Government Initiative***

USAID's approach to sponsored training is a best practice in several respects:

It targets specific areas that support attainment of the major objective of strengthening democracy in Poland through its focus on local governments.

It concentrates on a realistically manageable number of regions.

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Post-communism assessments showed that the development of decentralized governance was one of the greatest challenges for most, if not all, of Poland's 2,500 cities and towns (known as "gminas"). During the first four years of independence (1990-1994) more than 12,000 fledgling NGOs emerged and began to focus mainly on quality of life issues (democracy, environment, social welfare), primarily at the community level. Clearly, USAID resources were not adequate to cover the wide spectrum of needs. Thus, USAID's U.S.-based training targeted key areas (community development, public administration, health, business, economics, finance, environment/energy, privatization, etc.) for hundreds of Poles. Many of the participants were sent to the United States in groups in the interest of cost efficiencies. Thousands of others participated in USAID's in-country training activities, which focused on training trainers.

Through NGO partnerships, USAID is providing skills enhancement and other assistance that, so far, has resulted in the development of 48 local government initiatives, commonly known as local government partnership programs (LGPPs). In a nutshell, these partnerships aid local governments to become more responsive, more efficient, and more accountable, focusing on land management, housing management, financial management, and strategic planning. They evolved from eight pilot activities to a multi-dimensional initiative that helps strengthen the capacity of a wide range of Polish institutions, research centers, academic entities, and professional associations such as city treasurers, economic development officials, and city secretaries/notaries, drawing heavily on participant training internships, and other types of exchange programs.

A number of Polish associations established close ties with U.S. national and local municipal counterparts. These relationships are expected to endure long after USAID's presence in Poland. In order to share lessons learned, "best practices" and case studies from the 48 LGPPs will be disseminated to as many of the other 2,400 *gminas* as possible.

Overall, through the efforts of the LGPPs, local municipalities developed greater management efficiencies, increased their capacity to lobby and influence national policies, and drew more extensively on private organizations such as the nonprofit Housing Institute for solutions to government problems. One can rightly conclude that this component of USAID's 10-year strategy for assistance (training, partnerships, etc.) contributed significantly to the strengthening of democracy in Poland through its focus on the role of local government, and the broadening of participation, notably through non-governmental organizations.

### ***Informal FSN Networks***

During our meetings with two Foreign Service National Employees (FSNs) of the U.S. Information Service, they discussed informal networks of FSNs developed among the multi-country groups that received in-service training together in the United States. These networks provide a forum for discussing program management and administrative issues, for sharing useful contacts, and for providing emotional support to what can be a demanding and difficult job. This network works because it is kept small in size. Creating a larger list-serv for all FSNs would be inefficient and would quickly break down. FSN employees provide the backbone and the institutional knowledge for many, if not all, Embassy programs. By sharing their experience and expertise across Embassy lines, they are multiplying this knowledge and experience to benefit a much larger audience.

### ***Worst Practices***

While the team did not intend to include in this report a category for "worst practices," one point deserves to be articulated again. Throughout all our conversations there was a common thread that ran through any discussion of areas needing improvement: poor communication. Communication is not only important among various representatives at the Mission, but also among their Washington counterparts and between Mission representatives and their Washington counterparts. From minute administrative details to overarching policy formulation,

Washington agency failure to obtain or respond to Mission input regarding procedures, policies, and planning results in decreased efficiency and waste. From unusable forms and inefficient grantee travel allowance disbursement policies to off-the shelf programming that does not address the needs of a target audience, lack of effective communication between Washington and the field offices is felt.

## INCREASING EFFICIENCY & DECREASING COSTS

As part of the country field study, the team shared the IAWG's proposed approach to addressing the 10 percent cost savings plan requested by Congress. Recommendations from the Mission were centered on increasing administrative efficiencies and getting more "bang for the buck" by enhancing coordination and guarding against duplication.

A number of suggestions for enhancing program coordination have already been detailed. Most agree that having an automated data system into which program information could be entered and viewed by all agency representatives would both increase coordination and limit duplication. However, the problem of resources remains. The Mission would need the resources to establish such a system and the personnel resources to enter information. In today's current budget climate, this may present an insurmountable challenge.

One agency suggested that perhaps a coordinated administrative support position for exchanges and training programs would be useful. The staff person filling this position could handle activities such as IAP-66 preparation, basic orientation, records/data management and basic follow-up. This concept would likely be most useful to agencies with highly similar program implementation practices, but may not be useful to the whole range of activities represented at the Mission. It could be tried on a trial basis, perhaps, for visa preparation or data management, and expanded if feasible. One concern voiced by another agency representative about this idea is that it would add another "layer" through which documentation on program participants needs to pass and potentially would slow operations.

It is clear from trends in programming in Poland that alternative methodologies are also a popular means to decrease the costs of exchanges and training programs, while keeping program yields high:

- *In-country training:* The IAWG does not currently collect data on in-country training, but this is a critical methodology for sharing information and imparting skills in a cost-effective manner. While exchange programs are strongest when a culture can be experienced first-hand, training programs are well suited to in-country staging. In-country training is the primary emphasis of a number of U.S. Government agencies, and should be reflected in IAWG statistics.
- *Third-country training:* Similarly, sending individuals to a third country for training can cut costs. Poland is both a recipient country and a sending country in this respect. It is not uncommon for Poles to travel to third countries to receive training (the FBI's International Law Enforcement Academy in Hungary is just one example), to conduct training (based on their status as the region's "success story") or for people from the region to receive training in Poland.
- *Train-the-trainer:* Programs that focus on training a smaller cadre of future trainers received mixed reviews from Mission representatives. One team indicated that the approach doesn't work well with non-technical programs, because you can't teach someone in a short period of time to change their ideology or outlook. Old ways creep back into subsequent training sessions. On technical programs or any program with the goals of familiarization or skills acquisition, however, train-the-trainer programs can provide a huge multiplier effect. Peace Corp environmental program volunteers sometimes benefit from this, being sent by their host

organizations to third countries to receive training. They then relay the training back to their host organizations, allowing more people to benefit from the experience, especially those lacking the language skills to attend the original training.

- *Distance Education:* Several entities in Poland expressed interest in this approach, but recognize that start-up costs are high. One concern with distance education is the mental shift that would be required to accept distance education as a regular feature in academia. Psychologically, people may not be ready to replace a good lecturer with a computer or video screen. Also, professors at the university are paid based on the number of hours they lecture each year. If they shift to facilitating course materials provided through distance education programs, it may have negative salary implications. Perhaps distance learning could be utilized for short-term training programs or on an *ad hoc* basis.

## CONCLUSION

Poland provides a clear example of how exchanges and training activities can foster deep and long lasting change. While each department and agency represented at the Mission has a different outlook and objectives, and therefore priorities, there do not appear to be any gaping holes or blatant cases of duplication and overlap. However, there is potential for duplication. Mission representatives agree that enhanced coordination would benefit everyone.

Poland is in a unique position in the region. Because of its success in navigating through the difficult transition from a communist system to democratic governance and market economy, Poland is seen by many program managers and policy makers as a regional model for achievement. Third-country training involving Poland is becoming commonplace, especially with regard to Ukrainians and Belarussians, though activities with other Eastern European countries are also common. In the case of Ukraine, the Poland-America-Ukraine Cooperative Initiative (PAUCI) has been created to promote a democratic society and market economy in Ukraine. PAUCI programming is designed to yield many significant benefits: Ukraine will draw on the reform experiences of Poland, relations between the two countries will deepen, regional security will be strengthened, and Poland will help build Ukrainian links to the West.

In the case of Belarus, Poland provides an accessible training environment to leaders who would never be allowed, for political reasons, to travel to the United States. The willingness of Polish entities to provide this assistance and tutelage is praiseworthy. One Polish foundation indicated that it uses a portion of its own budget to support activities in Belarus, not because it is mandated to do so, but because it recognizes that there are needs in Belarus that are not currently being met. Or in the word of a representative of that Foundation, "because it's the right thing to do."

As noted in the introduction of this paper, Poland has reached another crossroads; this one between assistance and accession. The majority of foreign aid funding is disappearing and will be replaced by programs aimed to speed Poland's accession to the European Union. But what of the gap between these two phases? One potential entity that may fill a part of this temporary void is the yet to be determined successor to the Polish American Enterprise Fund. *Gazeta Wyborcza* published an article in May noting that the White House is pushing for \$150 million from the Enterprise Fund to remain in Poland to support a new foundation which would fund civil society projects in Poland and promote reform concepts in Poland's eastern neighbors. While the future of such a foundation is not yet known, many entities in Poland are discussing the need for some such additional support for programming and are fully capable of utilizing available funds not only to solidify Poland's achievements, but to also share them and promote reform elsewhere in the region.

While aspects of the U.S.-Polish relationship are unique, the evolution of U.S. Government programming in Poland equips decision makers with lessons that can be applied to other countries in the region. Poland provides an excellent testing ground to determine how best to bridge the critical transition period from aid recipient to partner nation. In spite of Poland's successes and growing relations with the EU, the United States still has a meaningful role to fill. Poles continue to look to the United States as an important guide and ally. U.S. Government-sponsored exchanges and training programs are critical to maintaining this relationship and developing richer relations into the new millennium.

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## SECTION 3: SOUTH AFRICA (APRIL 16-26, 1999)

### Foreword: Objectives of the IAWG Team Visit to South Africa

A team from the Interagency Working Group on International Exchanges and Training visited South Africa in April, 1999, to obtain a field perspective on the international exchange and training programs being reported by Washington headquarters. The visit to South Africa provided an opportunity to learn about a Binational Commission; verify the accuracy of the program inventories provided in Washington; determine the level of in-country coordination and information sharing on exchanges and training programs; examine programs for complementarity, synergy, duplication and/or overlap; identify administrative and programmatic "best practices" related to exchanges and training as described by program officers, mission colleagues, and host-country contacts; identify performance measurement standards; observe the degree of host country input into exchanges and training program operations; learn about private sector initiatives and the degree of support solicitations receive in-country by United States Government agencies conducting exchanges and training; and collect suggestions from U.S. Mission staff regarding the strategy and action plan (for 10 percent savings recommendations) for the Interagency Working Group on International Exchanges and Training's *FY 1998 Annual Report*. This report is structured around these goals.

### Introduction

The Executive Committee of the Interagency Working Group on International Exchanges and Training decided that visits to selected countries would foster a better understanding of Washington-based reports on U.S. Government exchange and training programs undertaken in foreign countries. It requested that one of the visits be to a country in which a Binational Commission is in place. South Africa met that criterion. In addition, South Africa, which has hosted more than a score of U.S. agency programs, offered a Southern Hemisphere, African, and developing-world perspective. The U.S. Embassy requested that the visit take place well before the June 2, 1999, elections in South Africa.

The six-member visiting team consisted of representatives from the Department of State (team leader), Department of Education, Department of Justice, U.S. Agency for International Development (USAID), the U.S. Information Agency (USIA), and the IAWG staff. The five agency representatives divided up among themselves the responsibility for the twenty-six agencies which had reported programs involving South Africa in 1997. Each member endeavored to contact knowledgeable persons in his/her assigned agencies' Washington headquarters prior to departure. This turned out to be especially important for those agencies without a staff assigned in-country to South Africa. Such agency programs generally involved the training of South Africans in the United States. For those programs, agency headquarters contacts are as likely to have been made directly with South African Government counterparts as through an Embassy officer.

The Embassy assigned its Public Affairs Officer to provide on-site support to the team. He and his staff, especially the Assistant Cultural Affairs Officer, gave unstintingly of their time, office space, computer equipment, and advice. They arranged key appointments before the team arrived. As the team identified other programs and people of interest, the Embassy arranged additional appointments or telephone connections. In general, cooperation was excellent; some offices initially hesitated to cooperate until the team clarified the reason for the visit. A strong



reluctance to assist surfaced only once and appeared to be due to limited knowledge of the programs being discussed. Insufficient time prevented the team from visiting program contacts outside the Pretoria/Johannesburg area.

Upon their return from South Africa, team members continued contacting Washington headquarters to gather additional information and to verify information obtained in the field. The team had learned that some program control officers in South Africa did not know the technical details of exchange and training programs managed from Washington. In many cases, Washington contacts from agencies without in-country program representation in South Africa knew little or nothing about the programs being implemented.

## **Overview of the United States-South Africa Binational Commission**

Most international exchanges and training programs the United States Government conducts in or with South Africa are on-going intergovernmental projects. Beginning in 1994, however, a new high profile undertaking (the U.S.-South Africa Binational Commission) entered the picture and generated far more publicity and Embassy staff attention than would be expected from an endeavor that brought no monies with it.

Under the leadership of U.S. Vice President Albert Gore and then-South African Deputy President (now President) Thabo Mbeki, the United States and South Africa are building a broad, deep, and balanced U.S.- South African partnership through the U.S.-South Africa Binational Commission. Founded under the leadership of President Bill Clinton and then-President Nelson Mandela during the South African leader's State Visit to Washington in 1994, the Binational Commission was inaugurated on March 1, 1995, to:

- Promote the bilateral relationship between the United States and South Africa through a working partnership at the highest levels of government;
- Launch a new era in cooperation between the two countries by establishing permanent and vigorous institutional partnerships;
- Identify U.S. expertise to assist South Africa in meeting its Reconstruction and Development Program goals and to explore areas for cooperation based on shared values and experiences;
- Build upon and expand the involvement of both private investors and non-government organizations in strengthening U.S.- South Africa ties.

The U.S.-South Africa Binational Commission seeks to develop a new partnership through committees in eight areas of mutual interest to both nations: Agriculture; Conservation, Environment and Water; Defense; Human Resources Development and Education; Justice and Anti-Crime Cooperation; Science and Technology; Sustainable Energy; and Trade and Investment. Senior U.S. and South African government officials jointly chair the eight working committees. Each committee acts to identify and achieve clear, mutually beneficial objectives, and to promote strong partnerships with private companies and non-government organizations in committee activities. While working committees schedule their own meetings and projects throughout the year, the full Binational Commission gathers in plenary session every six months (at least through mid-1999) to report to Vice President Gore and President Mbeki on the progress of specific projects and to discuss areas for further cooperation. The venue for the regular plenary sessions alternates between the United States and South Africa. (Mr. Mbeki's elevation to President and Mr. Gore's focus on the 2000 election may alter the Commission's leadership in the future.)

The Binational Commission does not substitute nor supplant normal bilateral diplomatic, political, economic, trade, or people-to-people ties. Instead, it seeks to underscore the shared mutual interests of both nations in supporting and expanding these ties, with the help of government leaders at the highest levels.

The high-profile nature of the Binational Commission leadership contributed to the creation and/ or increase of international exchanges and training programming by agencies that had not previously focused on South Africa. It also generated some innovative interagency operations at the Embassy level. At the same time, the Commission seeks ways to accomplish what Vice President Gore and then-Deputy President Mbeki promised in 1995. The need for innovative programming arises because: (a) no additional money has been appropriated to fund Binational Commission projects, (b) project ideas arrive from many sources, (c) committee-Embassy liaison is ad hoc in nature though each committee has a designated Embassy contact person, (d) many technical projects progress with little or no Embassy knowledge, (e) budget transfers are made at both the Embassy and Washington Department levels, (f) costs not directly covered by budget transfer grants are micromanaged, (g) having funds and program management resources in different agencies contributes to inefficiencies, (h) every project approved by the co-chaired committee must then be approved by the South African Government.

The team was unable to gather complete information on all Binational Commission projects from the U.S. Embassy. While information can be collected about projects handled by agencies with representatives at the Embassy, such as USAID, USIA, Agriculture, Defense, and Commerce; but for several agencies, including Energy, Housing and Urban Development, Interior, Securities and Exchange Commission, and Transportation, most communication appears to occur directly between the U.S.-based project managers and their South African Government counterparts. The Economic Office of the Embassy, a designated contact on many Binational Commission projects, often knows of projects as they begin, but is not informed about subsequent activities on a consistent basis. The Embassy may not be aware of project-related travel to South Africa since country clearance is required only for United States Government employees. The details of how such projects are funded are not routinely passed through the Embassy.

For the twenty-five percent of the Binational Commission projects that USAID funds, USIS South Africa handles most of the project management responsibilities as specified under an interagency agreement. USIS contributes its own staff time and equipment, but gets reimbursed for the remainder of the costs (usually travel and per diem). Since the beginning of the Binational Commission's operations, USAID has obligated \$2,182,622 to fund Binational Commission projects.

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### OMB's REIMBURSABLE ACCOUNT

*Congress insists that foreign operations be overseen by foreign affairs agencies and appropriates funds accordingly. Thus, budget transfers from 150 account agencies (which includes those agencies that are involved with international affairs) to domestic agencies which have the personnel and experience to operate the foreign operations commonly occur. See Chapter 2 for more background on budget transfers. In the past, block grants enabled funds to be passed from one agency to another. More recently, however, to facilitate closer control over the operations, 150 account agencies require the implementing agencies, after the interagency agreement is signed, to "front" the program costs for later reimbursement. With small low-cost programs, this does not create a hardship. But, with larger programs that could cost millions, it does. A process developed by the Office of Management and Budget (OMB) provides a solution: the reimbursable account. The following description illustrates how this process works for USAID and USIA:*

*USAID obligates funds for later transfer to USIA Washington via an interagency agreement (IAA) negotiated between USAID South Africa and USIS South Africa. The IAA serves as an obligating document to lock in fiscal*

*year funds for use until the grant is completed; completion of the grant need not happen in the fiscal year of the obligation. Using an OMB reimbursement account that provides funds over and above USIA's appropriated funds, USIA Washington advances funds to the USIS South Africa account. USIA Washington gets reimbursement from USAID Washington after USIS South Africa completes a project.*

*As a fiscal year nears an end, USIS South Africa must return to USIA any unspent advanced funds. Even though the funds have been obligated and thus freed of fiscal year-end worries, they would be lost if left in an active account. To conserve the funds, the post must return them to USIA for recrediting to the OMB reimbursement account. With the start of a new fiscal year, USIA Washington forwards additional money from the OMB account to the USIS South Africa account, continuing the funding of existing grants.*

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With Binational Commission operations unsupported by a sustainable funding and programming infrastructure, the team concluded that the future of the Commission is in jeopardy. Some noteworthy problems include the following:

- (a) Binational Commission-inspired projects currently in operation completely depend on existing fiscal and management resources. The team found no evidence that any agency has requested additional funds from Congress for any fiscal year, including FY 1999, to fund Binational Commission activities.
- (b) The expansion of Binational Commission committees will produce projects based on existing funds. But a mechanism to set priorities of these projects has not been developed.
- (c) The inspiration for the Binational Commission flows from two individuals (Gore and Mbeki) who have increasingly less time to devote to this effort. Moreover, secondary U.S. support from Cabinet Secretaries has been more personal than institutional.
- (d) Until there is bipartisan support expressed through Congressional appropriations, the Binational Commission is potentially vulnerable to the U.S. national political picture. (The existence of the Commission appears to be heavily dependent upon Vice President Gore's interest in it.)
- (e) There currently is no formal incorporation of Binational Commission initiatives into the Mission Program Plan (MPP) process. Binational Commission matters should be integrated into the MPP, especially so as to address funding for the Binational Commission and related forward-looking objectives and initiatives.

### **Verify the FY 1997 and 1998 inventory of exchanges and training programs:**

In general, the team found it difficult to confirm inventory numbers with Embassy personnel, especially for agencies without in-country representatives (e.g., Housing and Urban Development, U.S. Institute of Peace, Federal Emergency Management Agency). The inventory information provided by in-country representatives, even for large programs like AID and the Department of Defense, differed from the information reported by the Washington offices. In several instances, even headquarters personnel were unable to confirm the numbers reported to the IAWG. USIS was the exception; its numbers actually matched the numbers reported by USIA headquarters.

In view of the problems, the team had the following observations and conclusions:

1. Embassy personnel, as well as IAWG team members, felt uncertain about which programs to count and how to count them. For example: Where do consultants fit in? Is a single U.S. trainer sent to three countries counted three

times? Where regional training is involved, must the site country participants be subtracted from the training count? Who is responsible for reporting program participation, the funding agency or the implementing agency?

2. The IAWG definition of exchanges and training should be broadened to include distance learning programs. Also, the team thinks that when South African students are trained in-country by U.S. trainers, the students should be counted as part of the U.S. international training effort, even though they do not cross international borders themselves.

3. Binational Commission program data may or may not be included in IAWG data. The difficulty stems from the transfer of funds between agencies at the field level and the fact that the actual programming may be done in the United States by an agency not represented in South Africa. In the field, it is impossible to verify the extent to which participant figures provided by Washington agency headquarters include Binational Commission projects implemented in the United States and funded through interagency agreements. The following scenarios add to or create confusion:

a. Programming done in South Africa under interagency agreements may not be included in the IAWG inventories;

b. South African nationals sent to the United States for training or programming under interagency agreements may be double-counted or, we suspect, missed entirely;

c. South African nationals sent outside South Africa -- but not to the United States -- under interagency agreements are clearly not always counted.

4. MPP-based figures cannot be considered 100 percent accurate because they often are missing vital Washington data.

5. Science and technology project data were not verifiable in the field, in part, because the team did not have sufficient time to visit with local South African Government contacts who would be familiar with these projects.

6. With no systemic record keeping procedures in place, personnel in the same office frequently gave different counts for the same programs. Various record keeping procedures sometimes resulted in personnel in the same office providing different counts for the same programs.

7. Washington headquarters fail to provide clear guidance to the field on reporting requirements. Or, they operate with different definitions of the type of exchanges which should be reported. This problem worsens where Washington programmers deal directly with host country principals without Embassy involvement. Agencies whose field representatives do not reside in South Africa are not in a position to resolve this problem.

### **Level of in-country coordination and information-sharing with attention to duplication, complementary, synergy, and/or overlap:**

The high level of communication within the Embassy impressed the team. This contrasted sharply with the team's impressions of Washington-based coordination of international exchanges and training programs in South Africa. Collocation is a significant factor, of course, but Pretoria also has five excellent mechanisms to assure a high level of interagency coordination and minimize program duplication and overlap:

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1. A South African official and an American official co-chair each of the eight Binational Commission's committees. Proposed projects from whatever source are directed to the appropriate committee. A committee's approved projects must first be approved by the South African Government and then given to the Embassy officer who liaises with the committee. That officer then transmits the project to the U.S. Government agency/department that has the relevant expertise and is prepared to accept it. Since the process is transparent at the initiation stage, agencies avoid duplication and can easily complement with exchange and training projects in their own programs. This mitigates the fact that the executive functions of the South African Government do not mirror those of the U.S. Government.

2. All U.S. Government projects in the area of law enforcement must be presented to the Law Enforcement Working Group (LEWG), which is chaired by the Deputy Chief of Mission and coordinated by the Department of State's International Narcotics and Law Enforcement Affairs representative in the Embassy. The LEWG reviews the projects to avoid overlap, identifies coverage gaps, and makes sure that all agencies involved know about their fellow members' activities.

3. The traditional interagency International Visitors committee at post selects candidates for USIA exchange grants. While this committee is involved with less than a quarter of the total country grants, it could well be expanded to provide a single clearinghouse for Embassy grants. This would avoid the duplicative effort described by the director of the African-American Institute, USAID's contract organization which processes candidates for USAID's ATLAS scholarship program. She indicated that, without a clearinghouse, a person who applies for a scholarship from more than one U.S. agency may be accepted by two or more programs, wasting time and effort when the candidate can only be recruited for one. The other programs must renew their efforts to seek out other suitable candidates.

4. USAID, through a USAID-USIS cooperative arrangement intended to further the USAID strategic objective of democracy and governance, provides what it calls transition support funds (TSF). USIS, USAID, or other Embassy elements propose projects for TSF funding. Once the designated USAID officer approves the project, USIS implements it using the same OMB mechanism described earlier for the Binational Commission project reimbursements. Since FY 1995, USAID has spent a total of \$2,450,000 in TSF funds.

5. The country team, which manages the MPP, meets weekly under the supervision of the Ambassador.

Duplication problems arise chiefly when Washington-based offices bypass the Embassy and work directly with their counterparts in the South African Government. When this involves programs that cover the same goals being addressed by that agency's in-country programmers, the result may be duplication or overlap within the same agency. USAID South Africa reported encountering this problem. When this involves programs that cover the same goals being addressed by another agency program in South Africa, whether run from the Embassy or Washington, the result is confusion for the South Africans in addition to duplication of U.S. programming efforts. The team suspects that the problem stems from the fact that of the 26 agencies having international exchanges and/or training programs in South Africa, only nine have resident officers at the Embassy. As noted earlier, Washington manages many smaller-scale programs, including the Binational Commission's technical projects. Although field representatives usually require clearance of any trip to post, that procedure is more of a logistical convenience than a programming checkpoint. Agencies without representatives and whose travelers do not require Embassy services do not request country clearances.

In addition, there may occasionally be projects "earmarked" by Congress or, in the larger agencies, initiated at a level accustomed to working with the international division that involves South Africa but are not coordinated with projects initiated at the Embassy level.

Finally, the team learned that the use of retired non-federal law enforcement officers as trainers undermines the opportunity to build U.S.-South African on-the-job networking and counterpart relationships. The team heard some suggestions that active federal personnel could in some cases be more useful. Additionally, some law enforcement and South African military exchangeers are taking "early out" packages as these institutions downsize. This minimizes the usefulness of their training.

**Identify administrative and programmatic "best practices" related to exchanges and training from program officers, mission colleagues, and host-country contacts:**

The team identified the following "best practices" among the U.S. programs in South Africa. (However, the team realized that its limited time and area of focus restricted its ability to examine the issue in greater depth.)

1. The Deputy Chief of Mission chairs the Law Enforcement Working Group (LEWG). This group makes certain that agencies involved in supporting the rule of law and administration of justice know about all of the programs planned and in operation in that specialization. The aim is to promote coordination, avoid duplication and unproductive overlap, and avoid gaps in coverage.
2. USAID recognizes that other agencies may be better equipped than it to fulfill certain programming goals. Thus, in some instances, USAID provides funds for those agencies to use in developing or executing various projects. In South Africa, USAID began "contracting out" its programming requirements in 1991. Since then it has refined its techniques to include authorization for the "contractor" to use a percentage of the funds to cover administrative costs. The team learned that some "contractors" complain that USAID occasionally micromanages the process. So, further refinement is expected.
3. Programs created for South Africa are sometimes shared with neighboring countries who receive few resources from the United States Government. U.S. Ambassador Peterson noted, for example, that a Defense Institute for International Legal Studies (DIILS) team conducted a court martial workshop in Lesotho for Ministry of Justice personnel, including the Attorney General. The DIILS team had been brought to South Africa by the Department of Defense's E-IMET (Expanded International Military Education and Training) unit, a program funded by the Department of State. The Lesotho Government decided that some of the protagonists in the 1998 attempted military coup would have to be court martialled; however, Lesotho had not held a court martial since 1986, and was pleased to be able to obtain help from the U.S. team. Moreover, most representatives of the U.S. law enforcement agencies have regional responsibilities. A regional purview, usually encompassing most of sub-Saharan Africa, enables them to conduct training programs in neighboring countries on a selected basis and conduct larger programs for multi-country regional audiences.
4. The OMB-developed reimbursement account removes the pressure on the appropriated funds of an agency handling programs for another agency under an interagency agreement for which costs are to be reimbursed rather than covered by budget transfer. Since the beginning of the Binational Commission operations, USAID has obligated \$2,182,622 for such projects. This is a sizeable amount of money to be "fronted," and then to await reimbursement.
5. The Department of Defense's International Military Education Training Mobile Education Teams (MET) are cost effective. The cost of the team's travel to South Africa is much less than the cost would be for sending large numbers of South Africans to the United States for the same training. The Lesotho example cited above involved a MET.

6. USAID's Mandela Scholars program increases its chances of success by recruiting early so that there is plenty of time for orientation both in South Africa and in the U.S. before academic study begins. This orientation includes group training sessions, careful matching with American families in South Africa (before departure) for mentoring purposes, and a 10-week training program at the Economics Institute in Boulder, Colorado, before the scholars reach their university training site.

7. Instead of assuming that the results of U.S.-designed training based on generic requirements will be suitable for South Africa, the U.S. Department of Labor brings South African officials to the United States to review the curriculum to ensure that the results of the training will be relevant to South Africa.

8. USAID has a "binding" contract for its Mandela Scholars which requires the participants to return to their recruitment university following their U.S. training. While the United States is not in a position to directly enforce such a contract, the contract does provide some leverage to the employing university and upon scholars who may expect further U.S. funded grants.

### **Identify performance measurement standards within exchanges and training programs:**

Only USIS and USAID officers were reasonably aware of the performance measurement standards and requirements as they appear to provide micro-performance measurement of activities/events. Otherwise, the team found no formal or systematic performance measurement of programs. The absence of focus on performance measurement in the MPP process was consistent with the team's findings for most programs. The team met no one who had received training in performance measurement or in the development of standards on which to base it.

The team confirmed in South Africa what they learned in Washington before departure: programs funded through budget transfers or reimbursements typically are not subject to performance measurement. This was particularly evident in the context of the LEWG and member agencies whose programs are primarily funded through budget transfers. Transferee agencies do not have a direct mandate for their programming and lack the resources required to produce detailed reports. In general, ignorance of the concept behind performance measurement, as contrasted with program evaluation, seems to be widespread.

For the most part, field personnel did not know whether programs operated from Washington headquarters were being measured by Government Performance and Results Act (GPRA) standards.

### **Observe the degree of host country input into exchanges and training program operations:**

The involvement of the South African Government and South African organizations in the development and operation of the U.S. Government's international exchanges and training programs is broad and deep, perhaps best illustrated by the Binational Commission. As noted earlier, each Binational Commission project must be pre-approved by the appropriate South African Ministry. There are several other examples of collaboration, as detailed below:

1. The Fulbright Commission is completely binational. The South African Government provides an office and pays local salaries; half the Fulbright Board is South African; and the Executive Director is South African.

2. Peace Corps volunteers, who focus solely on secondary education, form partnerships with communities and local and national government agencies (e.g., the Ministry of Education) on projects of local interest, e.g., AIDs, child abuse, and the environment.
3. Candidates for Department of Justice law enforcement training programs tend to be unilaterally selected by the South African Police Service. While these programs are conducted in close consultation with South African authorities, they are necessarily constricted by the interests of the U.S. funding agencies. The Department of State's Bureau of International Narcotics and Law Enforcement Affairs, for example, primarily funds only customs training and exchanges that focus on drug interdiction.
4. The Department of Agriculture solicits its Cochran Program candidates from a wide spectrum of private voluntary organizations as well as the South African Ministry of Agriculture.
5. South African counterparts have considerable influence on setting USAID/South Africa's program objectives, goals, and categories of participants in exchange programs.
6. The National Science Foundation programs to promote scientific education and research capacity building in South Africa are conducted in close collaboration with the Foundation for Research Development.
7. The Federal Trade Commission and the Department of Justice's Antitrust Division jointly provide short-term technical assistance to the South African Competition Commission based largely on South African-defined priorities and needs.

**Learn about private sector initiatives and the degree of support solicitations receive in-country by United States Government agencies conducting exchanges and training:**

Very little private sector support exists for United States Government international exchanges and training programs in South Africa. Some agencies, like the Peace Corps, have plans to engage the private sector, including non-government organizations. As of 1998, however, the only substantial involvement has been the USAID underwriting of \$175 million of private U.S. lenders to South African financial institutions. The African-American Institute straddles the issue by working as a contractor for USAID while maintaining its private initiatives in the South African community.

**Collect suggestions from U.S. Mission staff regarding the strategy and action plan (for 10 percent savings recommendations) for the Interagency Working Group on International Exchanges and Training *FY-1998 Annual Report*:**

Except for two minor suggestions -- that Cochran participants pay their own airfare for 1999 and that U.S. universities provide more cost-sharing support for exchange students -- the U.S. Mission staff offered no recommendations for cost savings. On the contrary, the staff pointed out that because many of the United States Government programs in South Africa were new the course of South African development will necessitate continued expansion of U.S. programs.

The IAWG team, however, suggest the following possible opportunities for savings:

First, centralize the administration of U.S. degree scholarship grants.



Second, coordinate the Binational Commission programs at the Washington level to strengthen the interagency aspect of programs and allow for performance measurement.

And third, expand use of distance learning to reduce travel and per diem costs.

## **Conclusions:**

Based on their visit to South Africa, the IAWG team members offer the following conclusions to lend insight into U.S. training and exchange programs and to guide any future studies in other countries:

1. One week is insufficient time to explore any more than the immediate Embassy staff resources and the largest programs.
2. Field personnel are little interested in the source and evaluation of macro-programming. Their interests tend to lie in the operation of the programs.
3. Frequent discrepancies were found in field participant counts and Washington program inventories.
4. The Embassy was unaware of many programs reported in Washington by agencies without field representatives. These programs are often Washington-based training operations coordinated directly with South African counterpart institutions with little or no Embassy involvement.
5. Where funding sources and program implementation responsibilities lie with different agencies, performance measurement is not occurring on a routine basis.
6. The Binational Commission concept is excellent, but its lifespan is uncertain because it has no appropriated budget or Washington-based staff.
7. Field-level synergy works when the Deputy Chief of Mission oversees interagency coordination.
8. South Africa's prominence in Southern Africa gives it a natural advantage for hosting U.S.-sponsored multinational U.S. international exchanges and training programs.
9. The degree of South African Government input into designing exchange and training programs is greatest when programs are planned at the field level.
10. Private initiative material and financial support from South African sources is rare.
11. Cost savings are likely to come only from direct program curtailment or elimination. Some savings can result from centralization of logistics, but these will be overtaken as new programs mature and expand.
12. The idea of encouraging more U.S. universities to carry more of the costs for long-term training at times meets with resistance from some South Africans. This stems from the fact that internationally famous U.S. universities are less likely to reduce their costs than lesser known schools and, given a choice, some South Africans would rather return with a degree from the former.
13. A single clearinghouse or interagency committee for all Embassy grants would enhance efficiency and ensure that duplication and missed opportunities are kept to a minimum.

14. For future trips, at least those with more lead time, IAWG sherpas should be encouraged to communicate to the agency field programmers the nature and purpose of IAWG country studies. This would increase field representatives' understanding of the IAWG and therefore make field studies more time-efficient.

15. The IAWG definition of exchange and training should be broadened to include distance learning programs. The team also feels that when U.S. trainers train host-country students in-country, these students, though not crossing international borders themselves, should be considered as part of the U.S. international training effort. (USAID does not agree with this conclusion, citing the inordinate amount of time and cost that would be required to collect and analyze such input data, as compared with the data's usefulness in supporting the Mission Performance Plan and overall performance results. Moreover, in some instances it will be impossible to collect data on in-country training of trainer events as they take place far removed from a monitoring site.)

16. The "best practices" noted earlier should be brought to the attention of Washington programmers for possible applications to other programs.

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## **APPENDIX 6: REVIEW OF MANDELA ECONOMIC SCHOLARS PROGRAM AND ATLAS PROGRAM IN SOUTH AFRICA**

### **EXECUTIVE SUMMARY**

The Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) has been tasked with reporting on the advisability and feasibility of the U.S. Information Agency (USIA) -- through the South African Fulbright Commission -- taking on the administration of the ATLAS and/or the Mandela Economic Scholars (MESP) programs currently handled by the U.S. Agency for International Development (USAID). The report contains descriptions of both programs and includes some preliminary cost estimates. The IAWG recommends that the administration and funding of these programs remain with USAID because the South African Fulbright Commission is not yet fully operational and because the ATLAS and MESP programs are being phased out. If either of these programs are extended beyond the current intended lifespans, the IAWG could then revisit the issue. A detailed cost comparison study should be undertaken at that time also to determine whether any cost savings would be achieved by such a transfer. In the meantime, USAID and USIA agree with the IAWG's recommendation to examine areas of possible collaboration on programs in South Africa.

### **INTRODUCTION**

The Foreign Relations Authorization Act for Fiscal Years 1998 and 1999 required that the Interagency Working Group on U.S. Government-Sponsored International Exchanges and Training (IAWG) report, not later than 6 months after the date of enactment of the authorization act, "on the feasibility and advisability of transferring funds and program management for the ATLAS or the Mandela Economic Scholars (MESP) programs, or both, in South Africa from the U.S. Agency for International Development to the U.S. Information Agency." The report would include "an assessment of the capabilities of the South African Fulbright Commission to manage such programs and the cost effects of consolidating such programs under one entity."

Since the enactment of the legislation, members of the IAWG staff have consulted with various offices of USIA and USAID regarding the MESP and ATLAS programs. These consultations culminated in a meeting on March 3, 1999, between officers from USAID and USIA, along with IAWG representatives. Those representing USIA included the desk officer for South Africa (who reflected the opinions of the current Public Affairs Officer (PAO))

in Pretoria and the director of the Office of African Affairs at USIA), the director of the Office of Academic Programs (Fulbright), and the chief of the African Programs Branch of the Academic Exchange Programs Division. The USAID officials who participated in the meeting included the desk officer for South Africa, the ATLAS project director, the Deputy Assistant Administrator for training, and a Higher Education Team Leader. Five IAWG members (one from USIA, two from USAID, and two IAWG support staff) also attended the meeting. Prior to the meeting, the IAWG staff also had consulted with former USIS Cultural Affairs Officers (CAOs) in Pretoria, the USIA congressional liaison office, and the chief of the Academic Exchange Programs Division at USIA.

## BACKGROUND OF MANDELA AND ATLAS PROGRAMS IN SOUTH AFRICA

### Mandela Economic Scholars Program (MESP)

The purpose of the MESP program, which began on September 11, 1996, is "to provide long-term training in U.S. universities aimed at strengthening the South African government's capacity in formulating, evaluating and implementing economic policies." MESP trains a core group of South African economists primarily from the majority-disadvantaged population for master's degree programs (which last from 18-24 months) and doctorate programs (which last for 4 years). Individuals who receive training under this activity are expected to commit to a period of service with the South African Government equivalent to at least one year for each year of training received, or fully reimburse the costs of the training involved. Reciprocally, the South African Government commits to employing these individuals for the same period of time in jobs which will utilize the skills and knowledge acquired through the training program.

The basis of operation is a training agreement between USAID/South Africa and the MESP Operations Committee, implemented through the South African Government's Department of Education, Public Service and Administration, with administrative assistance from Nathan Associates. The MESP Operations is chaired by the South Africa Department of Education's Deputy Director General for Higher Education. The Committee is also responsible for providing guidance on broad program development issues and making policy decisions.

The selection of MESP participants is slated to end in 2001. From 1996 to 1998, 30 scholars participated in the MESP program (18 for the master's degree, including 4 who completed the program and have returned to South Africa, and 12 for the doctorate). The 1999 group (15 master's degree participants and 4 doctorate participants) will depart for the United States in May/June of 1999. Between 2000 and 2002, USAID projects that an estimated 28 additional candidates will participate in the program. The last group of MESP scholars is expected to return to South Africa by 2005.

### ATLAS Program

ATLAS is a regional activity focused on the leadership development needs of all sub-Saharan Africa. The program in South Africa specifically addresses critical deficiencies in South Africa's higher education system. The goal of this program is to help repair the long-term underinvestment in the historically disadvantaged institutions of higher education (HDI) serving South Africa's majority. ATLAS is providing academic and leadership development training for 38 HDI faculty at the master's and doctorate levels in a variety of disciplines, as determined by the participating South African institutions. (For the ATLAS program USAID/South Africa has identified 15 HDI's: University of Durban-Westville, University of Fort Hare, M.S. Sultan Technikon, University of Venda, Mangosuthu Technikon, Peninsula Technikon, Transkei Technikon, University of Zululand, University of Transkei, Border Technikon, University of Western Cape, MEDUNSA, Technikon Northern Transvaal, University of the North and University of the Northwest.)

All ATLAS faculty members have been placed at appropriate U.S. universities, with tuition scholarships provided by those universities as their contribution to and partnership with the ATLAS program. The first intake was for academic year 1996: 33 candidates came to the United States (21 for master's degrees and 12 for doctorates). The following year, 5 additional candidates began their academic programs: 3 at the master's level and 2 for doctorates.

Sixteen ATLAS students have completed their programs and returned to faculty positions in South Africa. Six more will complete their programs by summer 1999. Of the remaining 16 (all doctoral students), 5 will finish in FY 2000 and 11 will finish during FY 2001.

No further ATLAS intake is anticipated for the program in South Africa, since all available funds are fully committed to the completion of current master's and doctorate programs.

## **FEASIBILITY OF TRANSFERRING MESP AND ATLAS PROGRAMS FROM USAID TO USIA (FULBRIGHT COMMISSION/SOUTH AFRICA)**

### Status of Fulbright Commission/South Africa

The Fulbright program in South Africa includes the Junior Staff Development Program for South African graduate students, the U.S. Student Research Program for U.S. students, the U.S. Senior Lecturer Program, the U.S. Senior Researcher Program, the African Scholar-in-Residence Program, the Teacher Exchange Program, the Student Advising Program, and more. It is the largest and most active Fulbright program in Africa. In FY 1998, Fulbright provided 46 grants to South African students in the United States; the total number of grantees (Americans and South Africans) was 65.

The South African Fulbright Commission was established in October 1998. USIS/South Africa estimates that the Commission will not become fully operational before the year 2000. The Commission does not yet have an executive director nor a full-time staff. USIS/South Africa plans a gradual transfer of exchange programs to the Commission to allow sufficient time for the Commission to become adept at handling these activities. USAID, USIS/USIA, and Commission board members believe that after an additional year or so under the tutelage of USIS South Africa, the Commission will be competently managing the South African Fulbright program.

During a visit to Pretoria in early 1999, two USIA officials (the Director of the Office of Academic Programs and the Director of the African Programs Branch of the Academic Programs Division) met with USAID and Fulbright Commission board members. They discussed the MESP and ATLAS programs and reviewed the operational status of the Commission. All parties involved agreed that the Commission needs time to become proficient in managing the wide array of Fulbright exchanges before taking on any additional programs outside of its core responsibilities.

USIS South Africa and USAID South Africa agree that it would not be advisable nor feasible to transfer the MESP and/or the ATLAS programs to the South African Fulbright Commission at this time. The IAWG concurs with that assessment.

The ATLAS program is being phased out. All of the ATLAS students are expected to have completed their programs and returned home by 2001. The last new students have departed South Africa for the United States, under the management of the African-American Institute. USIA and USAID believe that it serves no useful purpose to transfer authority at this final stage of the programs existence.

USIS South Africa believes that transferring MESP before mid-year 2000 (for May/June 2001 departure of Scholars to the United States) would not be helpful in efforts to establish a well-functioning Fulbright program in

South Africa. At that point, USAID would have plans for only two small intake classes, at a maximum total level of 13 MESP Scholars (at the masters level). In addition the MESP program is being phased out, although this will not be final until 2001. The program is being managed by Aurora Associates as a subcontractor to Nathan Associates, which has the USAID contract. Thus, by the time the Fulbright Commission would be ready to take on MESP administration, that program too will be in its final phase.

#### Program Costs

Following are preliminary cost estimates for the MESP and ATLAS programs, plus cost estimates for Fulbright grants. (USAID's annual program costs for the MESP and ATLAS programs are all fully funded.)

At its inception, the MESP program was expected to fund 200 person-years of post-graduate training in economics or other courses of study, such as public policy, related to the program purpose and involving a heavy course load of economics. The total cost of the MESP program over the current life of the program is estimated to be \$6,250,000. The average yearly cost for an MESP participant in the master's degree program is \$23,103; the average yearly cost for an MESP participant in the doctoral program is \$19,991.

As stated earlier, the ATLAS program is nearing the end of its term. All available funds are fully committed to the completion of current master's and doctorate programs. For participants in the ATLAS master's program, the average yearly cost per participant is \$28,156; the average yearly cost for a doctoral candidate is \$25,679.

The average yearly cost of a Fulbright grant for fully funded students is \$27,802. When including costs for partially funded Fulbright grants, the average yearly costs are \$16,650 for new students and \$14,250 for renewals.

Once the Fulbright Commission is operational in South Africa, USAID and USIA should examine areas of possible collaboration of some programs. If either the MESP or ATLAS program were to be extended beyond the current obligation schedule, the IAWG could revisit at that time the issue of transferring the program(s) to Department of State's Bureau of Educational and Cultural Affairs and the South African Fulbright Commission. Also, at that time the IAWG could conduct a more thorough study of program costs. This report does not examine at this time the comparative program objectives, range of support services offered to trainees/scholars, and levels of cost-sharing established with host country institutions in support of the programs mentioned above.

## **RECOMMENDATIONS**

The IAWG recommends that the administration and funding of the MESP and ATLAS programs currently remain with USAID. Following is a summation of the findings that support our recommendation:

- The South African Fulbright Commission is not yet fully operational or staffed.
- The Commission needs at least one full year to assume its Fulbright duties; it cannot yet take on additional programmatic responsibilities that would be required for MESP and ATLAS.
- The ATLAS program is being phased out. The last intake has already taken place.
- The last intake for the MESP program is scheduled for 2001.

The IAWG also recommends that USAID and USIA examine areas of possible collaboration on programs in South Africa.

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## CHRONOLOGY

December 1994: President Clinton submitted a report to Congress on duplication among government funded exchange and training programs.

September 12, 1995: Congressman Benjamin A. Gilman wrote a letter to Vice President Al Gore regarding concerns about the vast expanse of international exchange and training programs sponsored by the Federal Government and the apparent degree of overlap among these programs.

September 26, 1995: Vice President Gore sent a letter in response to Congressman Gilman. The Vice President noted that NPR's review of international exchanges would focus on several areas, including the "elimination of duplication and overlap by reducing or consolidating programs that share the same objectives and target similar participant populations."

February 1997: Vice President Gore and South African Deputy President Thabo Mbeki signed an agreement authorizing the establishment of a Binational Fulbright Commission.

March 7, 1997: USIA Director Joseph Duffey sent a letter to Vice President Gore proposing legislation to authorize appropriations for the United States Information Agency for Fiscal Years 1998 and 1999 to enable the Agency to carry out international information and educational and cultural exchange programs. Section 107, subsection G (which amends Section 112 of the Mutual Educational and Cultural Exchange Act of 1961) states: "In order to carry out the purposes of subsection (f) of this section and to improve the coordination, efficiency and effectiveness of United States Government-sponsored international exchanges and training, there is hereby established with the United States Information Agency a senior-level Interagency Working Group on United States Government-Sponsored International Exchanges and Training."

April 25, 1997: USIA Director Joseph Duffey and USAID Administrator Brian Atwood sent a letter to Congressman Lee Hamilton to clarify their position on Section 408 of HR 1253, the Foreign Relations Act, FY 1998 and FY 1999, which recommends the transfer of MESP and ATLAS programs in South Africa to USIA. The letter reads, in part: "The Administration did not request and does not support the transfer of these programs." They noted that "the Fulbright Commission in South Africa is not yet operational and does not have the capacity to carry out these activities.... We do not believe that a transfer of either ATLAS or MESP is beneficial at this time."

July 17, 1997: Executive Order 13055 mandates the establishment of an Interagency Working Group (IAWG) on United States-Sponsored International Exchanges and Training. The IAWG would "recommend to the President measures for improving the coordination, efficiency, and effectiveness of United States Government-sponsored international exchanges and training."

October 23, 1998: Legislative Mandate (Omnibus Authorization Bill, Section 2414 - Working Group on United States Government-Sponsored International Exchanges and Training): "Not later than 6 months after the date of the Foreign Relations Authorization Act, Fiscal Years 1998 and 1999, to report on the feasibility of transferring funds and program management for the ATLAS or the Mandela Fellows programs, or both, in South Africa from the Agency for International Development to the United States Information Agency. The report shall include an assessment of the capabilities of the South African Fulbright Commission to manage such programs and the cost effects of consolidating such programs under one entity."

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## APPENDIX 7: RULE OF LAW BACKGROUND NOTES

The rule of law, of which the administration of justice is a practical manifestation, historically has played a major role in supporting U.S. Government-sponsored international programs on democracy building. In the 1960s and early 1970s, for example, the U.S. Agency for International Development's (USAID) Office of Public Safety Work in Vietnam trained police forces in-country. In 1973, however, Congress prohibited most federal agencies, including USAID, from sponsoring such training. The United States continued to sponsor rule of law programs, though, which have been increasing dramatically since the 1980s. Also by the 1980s, programs aimed at countering terrorism, narcotics trafficking, and transnational crimes required specific waivers to the 1973 congressional ruling. More recently, Congress amended the Foreign Assistance Act to permit administration of justice programs for foreign investigators, prosecutors, and judges.

In 1993, the National Security Council directed the Department of State to lead an Interagency Working Group on Democracy and Human Rights. In a prepared statement to the House International Relations Committee on December 7, 1995, Timothy Wirth, Under Secretary for Global Affairs at the Department of State, announced that such a Group would be created and headed by the Assistant Secretary for Democracy, Human Rights, and Labor.<sup>25</sup> Its purpose, he said, would be to provide broad policy and priority coordination and to support interagency efforts aimed at specific countries. Regional subgroups of the Department of State's Office of Resource Plans and Policies would work under the Group's direction. These subgroups would allocate resources and bring together representatives from agencies charged with funding, designing, and implementing rule of law programs to ensure that these programs effectively carry out U.S. foreign policy without overlapping one another. The Group has not been activated to date.

In March 1997, Assistant Secretary of State John Shattuck recommended to Secretary Madeleine Albright that the position of Senior Coordinator for the Rule of Law be institutionalized. He cited continued congressional interest, the proliferation of rule of law programs in many federal government departments and agencies, and the General Accounting Office's investigations in support of this decision.

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<sup>25</sup> See "Democracy, Rule of Law and Police Training Assistance," a transcript of the hearing before the Committee on International Relations House of Representatives on December 7, 1995.

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In May 1998, Secretary Albright and Attorney General Janet Reno met and agreed to improve coordination between the Departments of State and Justice on programs related to the rule-of-law. In October 1998, after a series of interagency meetings, Counselor to the Secretary of State Wendy Sherman proposed the following regarding the rule of law initiative, which is basically the agenda of the Senior Coordinator:

- Organize a process within the Department of State and among relevant agencies for improving coordination of rule of law policy and programs
- Work with State bureaus, embassies, and other agencies to select a small number of countries or regions that will serve as case studies for refining the rule of law concept and developing the coordination process
- Seek better rule of law coordination with other bilateral and multilateral donors, NGOs, and the private sector
- Reach out to both Congress and the American people to explain the U.S. national interest in promoting the rule of law and the need for sufficient resources
- Improve the training of our diplomats, program officers, and law enforcement officials so that they can better carry out U.S. policy and programs in this field

The following U.S. Government departments, agencies, bureaus, and offices sponsor rule of law assistance programs: Department of Commerce (International Trade Administration, National Telecommunications and Information Administration, Commercial Law Development Program, U.S. Patent and Trademark Office); Department of Defense (Air Force, Army, Marine Corps, Navy); Department of Energy; Department of Justice (Drug Enforcement Administration, Federal Bureau of Investigation, Immigration and Naturalization Service, International Criminal Investigative Training Assistance Program, Office of Overseas Prosecutorial Development, Assistance, and Training); Department of State (Bureau of Diplomatic Security – Office of Anti-terrorism Assistance, Bureau of International Narcotics and Law Enforcement Affairs, Bureau of Western Hemisphere Affairs); Department of the Treasury (Bureau of Alcohol, Tobacco, and Firearms, U.S. Custom Service's Office of International Affairs and Office of Investigations, Federal Law Enforcement Network, Internal Revenue Service, U.S. Secret Service); Department of Transportation (U.S. Coast Guard), U.S. Information Agency; and U.S. Agency for International Development. The quasi-official U.S. Institute of Peace also has a rule of law initiative. Perhaps the most important catalyst is the Department of State's Bureau of International Narcotics and Law Enforcement Affairs (INL), which, in addition to the monies spent on its own programs, transferred more than \$33 million to the Departments of Justice and Treasury in FY 1998.

Appropriated funds sometimes go directly to the agency responsible for the programming. In other instances, the agency receiving the funds lacks the appropriate programming resources (but needs to maintain oversight control), so it passes the monies to another agency that possesses the required expertise. (See Chapter 2, section 1 of this report for more information on budget transfers.) Major budget transfers in FY 1998 for which rule of law/administration of justice were major components include:

<u>FROM</u>	<u>TO</u>	<u>AMOUNT</u>
Department of State (D/S) <sup>26</sup>	Department of Justice	\$844,358
Department of State (INL) <sup>27</sup>	Department of Justice	\$28,597,981
Department of State (INL)	Department of the Treasury	\$4,659,321
Department of State (PM) <sup>28</sup>	Department of Defense	\$50,000,000

<sup>26</sup> D/S -- Bureau of Diplomatic Security

<sup>27</sup> INL -- Bureau of International Narcotics and Law Enforcement Affairs

<sup>28</sup> PM -- Bureau of Political-Military Affairs

Through their interest in democratization, American missionary organizations and other private charitable and educational institutions play a major role as contributors to rule of law/administration of justice programs. The U.S. Government co-funds some of these operations. For example, Congress recently appropriated \$10 million to bring approximately 2,000 local and national Russian officials to the United States to learn how American democracy and civil society work. The Library of Congress, which has been directed to administer the program in FY 1999, engaged the services of Rotary Clubs, the United Methodist Church, Peace Links, and many other groups to assist. The American Councils of International Education will help the Library of Congress with administration of the program in Russia and in the United States. U.S. Information Agency/State Department staffers will share their expertise and contacts in the field with the Library.

Coordination problems occur, not just in the mechanics of transferring money, but, more importantly, in attempts to avoid duplication and overlap. With project planning often divorced from budget appropriations, high-profile programming opportunities can surface late in a fiscal year. Thus, agencies often "bank" a portion of their appropriations as they await specific project development.

In implementation of the agreement between the Attorney General and the Secretary of State to improve coordination, the Department of Justice is engaged in a process to define world-wide law enforcement priorities that can be translated into training priorities. The product of this process will be used in discussions with the funding agencies to tie training planning more closely to budget preparation.