DEPARTMENT OF COMMERCE
Bureau of Export Administration

The Bureau of Export Administration (BXA) promotes U.S. national and economic security and foreign policy interests by managing and enforcing the Department of Commerce's security-related trade and competitiveness programs.

BXA plays a key role in challenging issues involving national security and nonproliferation, export growth, and high technology. The Bureau's primary challenge is combating the proliferation of weapons of mass destruction while furthering the growth of U.S. exports, which are critical to maintaining our leadership role in an increasingly competitive global economy.

Major Programs and Activities

- Implementing the Export Administration Act (EAA). The EAA, which has expired and needs to be re-authorized, provides for export controls on dual use goods and technology not only to fight proliferation, but also to pursue other national security, short supply, and foreign policy goals (such as combating terrorism). Simplifying and updating these controls in light of the end of the Cold War has been a major goal of this Administration.
- Enforcing the export control and antiboycott provisions of the EAA, as well as ensuring compliance with treaties that impose requirements on U.S. industry. The most important such treaty is the Chemical Weapons Convention, which if ratified, will give BXA new enforcement and outreach responsibilities. The EAA is enforced through a variety of administrative, civil, and criminal sanctions. The growing threat of proliferation of weapons of mass destruction to "pariah" nations and the evolution of our export licensing system towards a focus on individual end users necessitates the strengthening of BXA's enforcement staff.
- Analyzing and protecting the defense industrial and technology base, pursuant to the Defense Production Act and other laws. As the Defense Department increases its reliance on dual use high technology goods as part of its cost-cutting efforts, ensuring that we remain competitive in those sectors and sub-sectors is critical to our national security.
- Helping Ukraine, Kazakhstan, Belarus, Russia, and other newly emerging countries develop effective export control systems and dismantle their defense industries. The effectiveness of U.S. export controls can be severely undercut if other supplier nations are exporting sensitive goods and technology or permitting diversion of our exports.
- Assisting U.S. defense enterprises to meet the challenge of the reduction in defense spending by converting to civilian production and by developing export markets. This work assists in maintaining our defense industrial base as well as preserving jobs for U.S. workers.

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EXPORT ENFORCEMENT

BXA's Export Enforcement (EE) arm enforces export controls for reasons of national security, nonproliferation, foreign policy and short supply. A comprehensive and aggressive export enforcement program enables the Administration to maximize all legal export opportunities while ensuring that illegal attempts will be detected and prevented or investigated and punished. Export Enforcement's programs support the Administration's goals relating to the non-proliferation of chemical, biological, and nuclear weapons and the missile systems necessary to deliver them. It also ensures prompt, aggressive action against the Arab boycott of Israel.

Office of the Assistant Secretary for Export Enforcement:

This office has oversight over all policy initiatives affecting Export Enforcement's operations. The office reviews and coordinates all enforcement issues arising under the Export Administration Act (EAA) and the Export Administration Regulations (EAR), and acts on behalf of the Department in the settlement of export control and antiboycott cases.

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Office of Export Enforcement:

The Office of Export Enforcement (OEE) protects national security, nonproliferation, foreign policy, and short supply interests by detecting, preventing, and investigating illegal exports and recommending prosecution of EAA violators, without impeding legitimate international trade. OEE investigates alleged export control violations using criminal investigators based in eight field offices throughout the country. OEE dedicates 90 rofessionals, 70 of whom are special agents, to investigating export control violations.

Because of their close working relationship with BXA's licensing officers and policy staff, as well as other U.S. Government agencies involved in export controls, OEE agents have a sophisticated awareness of all aspects of the export control system, the importance of its provisions, and the potential areas of vulnerability. OEE also participates in the enforcement aspects of various multilateral regimes, including the Missile Technology Control Regime (MTCR), the Australia Group (AG), the Nuclear Suppliers Group (NSG) and the New Forum (new COCOM).

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Intelligence Division:

OEE's Intelligence Division, based in Washington, D.C., consists of special agents and intelligence research analysts who collect and analyze information relating to dual-use export control violations. The Intelligence Division serves as a central repository and point of contact for all intelligence information needed to identify/target suspects for enforcement investigations and to identify diversion networks.

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Office of Enforcement Support:

Thomas Andrukonis
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License Review and Operations Support Division:

The Office of Enforcement Support (OES) screens all Commerce export license applications to detect potential illegal export. These preventive enforcement measures are used to help decide which license applications for the export of strategic technology should not be granted because the bona fides of the parties involved are questionable. OES conducts information collection, research, and analysis to review export licenses for enforcement concerns, including when pre-license checks (PLCs) and post-shipment verifications (PSVs) should be requested. PLCs help EE and BXA determine the reliability of foreign consignees to receive sensitive U.S. technology. PSVs help ensure compliance with the terms and conditions of U.S. export licenses. OES also reviews shipper's export declarations (SEDs) received by the Census Bureau to monitor exports against general license authorities and detect violations of these licenses.

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Office of Antiboycott Compliance:

The Office of Antiboycott compliance (OAC) is responsible for implementing the antiboycott provisions of the EAA and EAR. OAC performs three main functions: enforcing the antiboycott sections of the EAA and EAR, assisting the public in complying with these sections of the EAR, and compiling and analyzing information regarding the Arab boycott of Israel. Investigative staff enforce the antiboycott provisions of the EAA and EAR through investigations and audits. The Compliance Policy Division provides advice and guidance to the public concerning application of antiboycott provisions of the EAR and analyzes information about boycotts.

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EXPORT ADMINISTRATION

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Strategic Industries and Economic Security:

This office is responsible for implementing programs to ensure the U.S. defense industries can meet national security requirements, for facilitating diversification of U.S. defense related industries into civilian markets, and for promoting the conversion of military enterprises in the Newly Independent States to civilian applications. It is also tasked with analyzing the economic impact of U.S. export controls and other trade policies on U.S. industrial competitiveness.

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Defense Programs Division:

This office is responsible for identifying foreign market opportunities for U.S. defense manufacturers, facilitating the conversion of military enterprises in the Newly Independent States, and administering the Defense Priorities and Allocations System. It is responsible as well for implementing the Department of Commerce's responsibilities for the National Defense Stockpile and analyzing the economic effect of the Defense Department's cooperative R&D and coproduction Memoranda of Understanding on the U.S. defense industrial base. This office is tasked with coordinating Commerce's emergency planning preparedness program to ensure industrial responsiveness in emergency situations, participating on NATO's Industrial Planning Committee, and analyzing the industrial impact of Defense Department disposal of excess defense articles.

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Strategic Analysis Division:

This office is responsible for analyzing the effect of offsets in defense trade on the U.S. defense industrial base and developing initiatives to limit their use. It is also tasked with assessing the capabilities of defense industries and critical technologies to meet national security needs, conducting national security reviews on the impact of foreign direct investment in U.S. industries, and carrying out investigations under Section 232 of the Trade Expansion Act of 1962, which calls for an analysis of the impact of foreign imports on U.S. defense industrial base and U.S.

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Economic Analysis Division:

This office is responsible for conducting assessments to determine if U.S. export controls are placing American firms at a competitive disadvantage in world markets. It accepts claims of foreign availability, collects and analyzes data related to such claims and recommends appropriate actions based on its analysis. It also analyzes the economic implications of export control regulations and policy options on U.S. industry.

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STRATEGIC TRADE AND FOREIGN POLICY CONTROLS

The Office has the dual responsibility of development and implementation of export licensing policies for goods and technology controlled for national security reasons and administering the foreign policy based export controls. The Office contributes to the development of U.S. policy for export control on national security controlled items, including control list development, and participates in multilateral negotiations to reach agreement in these areas.

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Strategic Trade Division:

The Division is responsible for processing all export licenses, commodity classifications, and advisory opinions pertaining to sensitive dual-use items controlled for national security reasons for which the former COCOM members agreed to retain controls. Responsibility for control of these items will shift to a successor regime designed to control sensitive dual use items. The COCOM successor regime will maintain controls on nine categories of commodities: materials, material processing equipment, electronics devices, computers, telecommunications and cryptography, sensors, avionics and navigation equipment, marine technology, propulsion systems, and transportation equipment. In addition, this Division implements the Supercomputer regime, and work with the Electronics, Computer Systems, Telecommunications, and Sensory industry Technical Advisory Committees.

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Foreign Policy Division:

The Division is responsible for export licensing of items controlled for foreign policy reasons including, regional security, crime control/human rights, anti-terrorism, exports to embargoed countries, and administering aspects of controls based on United Nations Security Council resolutions. The office produces the Annual Report to Congress on Foreign Policy Controls that reviews the U.S. application of and the effectiveness of foreign policy controls. The Division contributes to development of U.S. policy

and the application of foreign policy controls. The office participates in bilateral export control discussions and technical exchanges to increase cooperation and technical expertise of foreign countries in operating effective export control systems in support of multilaterally agreed security and nonproliferation efforts.

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Office of Exporter Services:

The Office of Exporter Services (OExS) has the responsibility for counseling exporters, conducting export control seminars, and drafting and publishing changes to the Export Administration Regulations. It is also responsible for actions related to special licenses, including systems reviews on distribution licenses; processing and routing license applications, advisory opinions and commodity classifications; assisting companies in determining the "bona-fides" of end-users, thereby helping exporters determine if a validated license is required for items that would otherwise be eligible for general license treatment; and coordinating field office operations.

OExS also has an extensive seminar and publications program. It conducts seminars on a variety of export control issues and develops brochures and other written guidance to help exporters comply with the EAR. Each year over 130 export control seminars, ranging from introductory courses to advanced sector-specific workshops, are conducted by the Export Seminar Staff and the Western Regional Office. In addition, two Update conferences--which are designed to provide exporters with the latest policy and regulatory information--are held each year, one every spring in Washington, D.C. and one every fall on the West coast.

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Exporter Counseling Division:

This office is responsible for responding to inquiries from the exporting community, whether by telephone or in person; participating in seminars and other outreach efforts to help exporters understand and comply with the EAR, and analyzing requests for expedited licensing treatment and determining whether expedited treatment should be granted.

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Regulatory PolicyDivision:

This office is responsible for drafting new regulations, revising the current Export Administration Regulations (EAR) and coordinating the clearance of all changes to the EAR.

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Special Licensing and Compliance Division:

This office is responsible for analyzing applications for special licenses, such as the distribution license, and making decisions on whether to approve, reject, or return the applications without action. It is also responsible for consulting with and informing the exporting community on special license procedures, conducting reviews of the internal control programs of special license holders to ensure compliance with the EAR, conducting reviews of Export Management Systems (EMS) and providing exporters with guidance for the improvement of their EMS.

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Operations Division:

This office is responsible for maintaining and distributing all export licensing forms; screening all incoming license applications, commodity classification and advisory opinion requests for completion and routing them to the appropriate licensing office for review and analysis; issuing import certificates; and maintaining records on all license applications.

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Western Regional Office and Santa Clara Branch Office:

The Western Regional Office in Newport Beach and its branch office in Santa Clara are responsible for assisting the exporting community in twelve Western states. In addition to providing counseling and seminars similar to those at headquarters, these offices also provide extensive support for BXA efforts in assisting the U.S. defense industrial base diversify into commercial markets.

Western Regional Office:	**Santa Clara Branch Office:**
Michael Hoffman, Director	JoAllyn Scott, Acting Dir.
Bureau of Export Administration	Bureau of Export Administration
Newport Beach, CA	Santa Clara, CA
Tel: (714) 660-0144	Tel: (408) 748-7450

Chemical/Biological Controls and Treaty Compliance

This office is responsible for implementing multilateral export controls under the Australia Group, the Biological and Toxin Weapons Convention, the Open Skies Treaty, and will be responsible for implementing and administering the Commerce Department's responsibilities under the Chemical

Weapons Convention (CWC). Consequently, this office has a major policy role in treaty compliance and the responsibility for working with U.S. industry, while also conducting its day-to-day export licensing, commodity classification and advisory opinion duties in the chemical and biological weapons area.

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This office has two divisions:

Chemical and Biological Controls Division:

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Treaty Compliance Division:

Chuck Guernieri
Acting Director
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Nuclear & Missile Technology Controls:

This office is responsible for all policy issues, export licenses, commodity classifications and advisory opinions relating to the Nuclear Suppliers Group and Missile Technology Control Regime. It has a full range of responsibilities associated with the licensing of exports controlled for nuclear or missile technology reasons and consists of two divisions dealing with Nuclear and Missile Technology Controls.

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Nuclear Technology Controls Division:

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Missile Technology Controls Division:

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BXA HomePage: http://www.doc.gov/resources/BXA_info.html

DEPARTMENT OF COMMERCE
International Trade Administration

U.S. and Foreign Commercial Service

The primary function of the Foreign Commercial Service (FCS) is to increase exports of U.S. products, but in the course of assessing foreign markets for U.S. products, FCS officers or their local national assistants in embassies obtain technical information that is included in their reports. These reports ("Market Research Reports") are disseminated to the private sector in the U.S. by a number of means, including hard copy, CD-ROM (sold by NTIS), and in Internet files.

On the Internet, Market Research Reports can be found by using Gopher to enter the "stat-usa.gov" general database for the U.S. Government, and then finding the NTDB (National Trade Data Bank) specialized database. Hundreds of market research reports can be found there, as well as other useful statistics.

The FCS has over 130 offices abroad in 68 countries and Taiwan, and over 65 offices across the U.S.

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ITA HomePage: http://www.ita.doc.gov

National Trade Data Bank: http://www.miep.org/tutor/ntdb.html

ITA Resources on the NTDB: http://www.stat-usa.gov/bems/backup/bemsntdb.html%25

How to Use NTDB Help Sheet: http://www.pitt.edul-busl.bry/ntdb.htm

DEPARTMENT OF COMMERCE
Office of Air and Space Commercialization

The Office of Air and Space Commercialization (OASC) has been a part of the Office of the Secretary of Commerce since its creation in 1987 and advises the Secretary and Deputy Secretary on the formulation and implementation of policies related to commercial space.

OASC was created as part of the Office of the Secretary to work with the private sector, Federal agencies, as well as state and other governmental entities to develop national policies with respect to the commercial use of space. It was also designed to work with the various bureaus within the Commerce Department, including the Bureau of Export Administration (BXA), International Trade Administration (ITA), National Oceanic and Atmospheric Administration (NOAA), National Telecommunications and Information Administration (NTIA), Technology Administration (TA), and Office of General Counsel (OGC), to coordinate Commerce Department policy on commercial space related activities in DOC.

OASC priorities for FY 1995 included follow-up on remote sensing, implementation of space transportation policy, negotiation of a new space launch trade agreement with Ukraine, and the publication of *Trends in Commercial Space*, a comprehensive source of commercial space market trends and information. OASC expects remote sensing, the launch policy, and international trade negotiations to continue through FY 1996, with the addition of the National Space Policy as a new focus. OASC views orbital debris, global positioning, Geographic Information Systems, direct satellite broaD.C.asting, and space-based manufacturing as emerging issue areas.

OASC is monitoring future trends in commercial space not only by supporting the development of unique and innovative space applications, where possible, but also by providing market information for making important space business choices.

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OASC HomePage: http://www.doc.gov/oasc.html

DEPARTMENT OF COMMERCE
National Institute of Standards and Technology

NIST Programs

Operating in fiscal year 1995 with a budget of about $885 million and some 3,200 staff members at its sites in Gaithersburg, MD, and Boulder, CO, the National Institute of Standards and Technology (NIST) promotes U.S. economic growth by working with industry to develop and apply technology, measurements, and standards. Part of the Commerce Department's Technology Administration, NIST has four major programs that reflect U.S. industry's diversity and multiple needs:

1. Advanced Technology Program (ATP)
2. Manufacturing Extension Partnership (ME)
3. NIST Laboratory Programs
4. Baldrige National Quality Program

1. Advanced Technology Program

The Advanced Technology Program (ATP) is a rigorously competitive program that invests in cost-shared research by individual companies or industry-led joint ventures. The aim is to develop high-risk, potentially high-payoff, enabling technologies that otherwise would not be pursued at all or in the same market critical time frame because of technical risks and other obstacles that discourage private-sector investment.

Overall, NIST has conducted 22 competitions and funded 280 projects to provide a little less than half the funding for nearly $2 billion of high-risk research. It has conducted six general ATP competitions open to proposals from all areas of technology. Through these general competitions, it has made 138 awards, committing a total of $370 million in ATP funds with $404 million in cost-sharing funds from industry.

2. Manufacturing Extension Partnership

The Manufacturing Extension Partnership (MEP) is an effort to improve the competitiveness of smaller manufacturers: the more than 381,000 companies with fewer than 500 employees that account for about 95 percent of all U.S. manufacturing plants. The MEP helps these smaller manufacturers succeed in the marketplace by giving them unprecedented access to new technologies, resources, and expertise.

The MEP provides federal funds to both existing and new extension centers so that they can meet the needs of area manufacturers. All centers are chosen in rigorous, merit-based competitions, and all federal funding must be matched by the state. Forty-two states and Puerto Rico have extension centers affiliated with the MEP. The MEP includes the State Technology Extension Program, which offers support to states and communities so they can begin building the foundation of organization relationships required for the efficient delivery of services, possibly including a manufacturing extension center. Those non-profit centers employ professional engineers and others with manufacturing or business experience.

3. NIST Laboratory Programs

Laboratory research and services are planned and implemented in cooperation with industry and focused on providing infrastructural technologies such as measurements, evaluated data, standards and test methods that U.S. industry needs to continually improve its products and services. The laboratories perform research across a broad spectrum of disciplines, affecting virtually every industry. Primary fields of NIST research include chemical science and technology, physics, materials science and engineering, electronics and electrical engineering, manufacturing engineering, computer systems, building and fire research, and computing and applied mathematics.

NIST offers more than 500 different calibration services, about 1,200 standard reference materials for standard reference data centers that provide reliable, well-documented reference data to scientists and engineers, laboratory accreditation programs, and free evaluations of energy-related inventions.

4. Baldrige National Quality Program

With the cooperation and financial support of the private sector, NIST manages the Malcolm Baldrige National Quality Award. The criteria for the award have become both the U.S. standard of quality achievement in industry and a comprehensive guide to quality improvement. The award program was established by Congress in 1987 not only to recognize individual U.S. companies for their quality achievements, but also to promote quality awareness and to provide information on successful quality strategies. The major focus of the award is on results and customer satisfaction; it is not given for specific products or services.

Key to this program is the award's board of examiners. Made up of more than 250 quality experts from a variety of industry sectors, along with a smaller contingent from universities and government at all levels, board members volunteer to review applications for the award. From 1988 to 1995, the award program received 593 applications from U.S. companies. Twenty-four companies, including 13 large manufacturers, five service companies, and six small businesses have won the award.

Office of International and Academic Affairs

The NIST is engaged in a broad range of international activities that result in the acquisition of foreign scientific and technological information. Formal agreements and scientific exchanges with other countries are managed by the Office of International and Academic Affairs, but much of the information-gathering process takes place at the level of the individual researcher in the small organizational unit.

NIST has assigned NIST personnel or contractors to the following nations abroad: one in Tokyo (for the explicit purpose of collecting advanced technical information from Japan and the other countries of the Far East), located at a private organization (GLOCOM), under detail through the University of New Mexico; one in Brussels (to maintain liaison with the European Union and the International Standards Organization on standards development and issues) as part of the Foreign Commercial Service staff in the U.S. Mission to the European Community; and one contractor person in the U.S. Embassy, Riyadh, Saudi Arabia. One person is scheduled for assignment to the Foreign Commercial Service staff at the U.S. Embassy in Mexico, beginning in February 1996 and another is slated for assignment in the U.S.

Embassy in Buenos Aires through the Foreign Commercial Service with an anticipated arrival date of March 1996.
NIST contributes to the Japan Technology Evaluation Center (JTEC) and World Technology Evaluation Center (WTEC) programs sponsored by the National Science Foundation (NSF).

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[Chair, Committee on Applications and Technology Information Infrastructure Task Force]

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NIST HomePage: http://www.nist.gov

NIST Preview Database: http://www.fedworld.gov/preview/preview

DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration

The National Oceanic and Atmospheric Administration (NOAA) is actively involved in scientific coordination and cooperation both bilaterally and multilaterally. Multilaterally, NOAA participates as a major player in a number of United Nations related organizations, including the Intergovernmental Oceanographic Commission (IOC), the World Meteorological Organization (WMO), the United Nations Environment Program (UNEP), particularly its Regional Seas Programs in the Caribbean and in the South Pacific, the Food and Agriculture Organization (FAO), the International Civil Aviation Organization (ICAO), the International Maritime Organization (IMO), and the United Nations Committee on the Peaceful Uses of Outer Space (COPUOS).

Cooperative scientific activities take varying forms in the multilateral fisheries organizations in which NOAA/National Marine Fisheries Service (NMFS) scientists participate. In most cases the scientists of member nations coordinate their findings in scientific committees, which then report to their parent organizations. Examples are the International Commission for the Conservation of Atlantic Tunas (ICCAT) and the North Atlantic Salmon Conservation Organization (NASCO). Other fisheries organizations include scientists within their secretariats. In these cases, NOAA/NMFS scientists coordinate with commission scientists and with scientists of the other member countries. An example of this type of commission is the Inter-American Tropical Tuna Commission (IATTC). The NOAA scientists also are active in worldwide organizations to conserve marine mammals, such as the International Whaling Commission and the Convention for the Conservation of Antarctic Seals.

Multilateral fora dealing with environment and ecosystems that NOAA scientists utilize for scientific coordination include the International Council for the Exploration of the Sea (ICES), the North Pacific Marine Science Organization (PICES), and the Inter-national Hydrographic Organization (IHO). Other multilateral fora are the London Dumping Convention, the Antarctic Treaty, the Pacific Island Network, and the Global Environment Facility.

Space is another area in which NOAA scientists make significant contributions through worldwide coordination. They work within multilateral fora such as working groups and data collection systems relating to Polar-Orbiting Meteorological Satellites, Geostationary Meteorological Satellites, Landsat, and the Committee on Earth Observation Satellites (CEOS).

The NOAA scientists participate actively in the study of global climate change through the United Nations Framework Convention on Climate Change (FCCC), the Intergovernmental Panel on Climate Change (IPCC), the International Group of Funding Agencies for Global Change Research (IAI), and the Montreal Protocol/ Stratospheric Ozone Depletion Convention. Additional multilateral activities include Direct Readout Services, World Data Centers, Very Long Base Line Interferometry, International Global Positioning System Network (CIGNET), and Tropical Oceans Global Atmosphere (TOGA).

Bilateral scientific cooperation occurs through many formal agreements on marine and atmospheric science. These include the U.S.-France Cooperative Science Program in Oceanography, the U.S.-Russia Agreement on Cooperation in studies of the World Ocean, the U.S.-Russia Working Group VIII - Agreement on Cooperation in the Field of Environmental Protection, the U.S.-China Cooperation in the Field of Marine and Fishery Science Technology, the U.S.-China Cooperation in Atmospheric Science and Technology, the Indo-U.S. Science and Technology Subcommission, the U.S.-Japan Cooperative Program in Natural

Resources (UJNR), the U.S.-Brazil Science and Technology Initiative, the U.S.-Mexico Agreement on Scientific and Technical Cooperation, the U.S.-Canada Memorandum of Agreement on Climate, the U.S.-Israel Cooperation in Marine and Freshwater Science and Technology, the U.S.-Saudi Arabia Technical Cooperation in a Meteorological and Environmental Program (ARSAD Project), and the U.S.-Indonesia Memorandum of Understanding on Climate.

Bilaterals relating to fisheries include the International Pacific Halibut Commission (IPHC) and the Pacific Salmon Commission, which have scientists on their staffs, the Treaty Between the Government of the United States and the Government of Canada regarding Pacific Salmon, the U.S.-Russia Intergovernmental Consultative Committee (ICC), the U.S.-Japan Consultative Committee on Fisheries, formal cooperation meetings with Mexico, and a recently signed cooperation memorandum with Chile.

Environmental bilateral agreements include the U.S.-Canada Hydrographic Commission (USCHC), the U.S.-Canada Joint Ice Working Group, the U.S.-Canada Military Cooperation Committee (MCC), and meteorological agreements with many countries which are periodically updated.

Bilateral cooperation relating to space includes cooperation on instrumentation including Argues (France), Stratospheric Sounding Unit (United Kingdom), and the Advance Microwave Sounding Unit (United Kingdom), the U.S.-Russian Bilateral Agreement, and the Geostationary Meteorological Satellite Backup Data Coverage (ESA/EUMATSAT), including the Meteosat Extended Atlantic Data Coverage and the Meteosat Long-Term Mutual Backup.

The NOAA scientists also participate in two nongovernmental fora, namely, the International Union for the Conservation of Nature and Natural Resources (IUCN) and the International Council of Scientific Unions (ICSU).

NOAA scientists are also commencing cooperative work with scientists of other nations on land-based sources of pollution, coral reefs, straddling fish stocks and highly migratory fish stocks, sustainable development of small island developing states, an International Research Institute for Climate Prediction (IRICP), acid rain and transboundary air pollution, arctic environmental protection, environmental aspect of the North American Free Trade Agreement, desertification, and biodiversity, as well as many aspects of sustainable development. Many of these issues are follow-up to the Earth Summit or the United Nations Conference on Environment and Development.

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DEPARTMENT OF COMMERCE
National Technical Information Service

The National Technical Information Service (NTIS) is the U.S. Government's central public source for scientific and technical information in all media. NTIS is self-sufficient, operating entirely without appropriated support with all of its products and services being available on a “for fee” basis.

NTIS collects information from over 200 U.S. Government agencies, including foreign information acquired by those agencies. NTIS collects and disseminates electronic products (software and data files) and films and videotapes as well through the National Audiovisual Center.

NTIS has a staff of about 370 professionals with expertise in all fields of information processing. NTIS does not have personnel located abroad.

The technical and scientific focus of NTIS' collection ranges over all fields of science and technology, including the social sciences. In a 1954 opinion regarding NTIS, the Comptroller General of the United States decided that technical information is any information that would be useful to business and industry.

In the international arena, NTIS has a network of nineteen cooperating organizations in foreign countries acquiring reports from their countries for distribution in the U.S. NTIS’ direct foreign acquisitions result from agreements with organizations in Austria, Canada, China, Finland, France, Germany, Italy, Japan, the Netherlands, Norway, Sweden, Taiwan, and the United Kingdom, as well as three international organizations.

NTIS has also developed a collection system for news of current developments in science and technology in foreign countries. This system receives cables from the science counselors at U.S. Embassies, electronic reports from Army, Air Force, Navy, and National Science Foundation offices in foreign countries, and from many foreign organizations concerned with science and technology.

To carry out its responsibilities under the Japanese Technical Literature Act of 1986, NTIS has developed unique arrangements to acquire technical reports from about 80 large Japanese corporations, as well as from Japanese Government agencies. NTIS also works with the Department of Commerce's Japan Technology Program to provide access to a Japanese on-line database, publish two directories of Japanese resources in the U.S., and sponsor a series of conferences on access to Japanese information with the Japan Information Center for Science and Technology.

In FY 1995, about 100,000 new products were added to its collection, totaling 2.3 million titles. In recent years about 30 percent of each year's acquisitions have been from foreign countries. Of particular interest for their foreign information content are the Foreign BroaD.C.ast Information Service's (FBIS) Daily Reports and Joint Publications Research Service (JPRS) reports.

NTIS is a permanent repository for the information it acquires. Many documents acquired are available to customers in paper, microfiche, CD-ROM and other multi-media formats. As of 1994, newly acquired documents and older documents that are ordered are being scanned and stored as electronic page images. These images make it easier to convert the text into a format the customer wants.

All information products acquired are cataloged, abstracted, and indexed. The resulting bibliographic records are entered into the NTIS Bibliographic Database. This electronic database is available for public use worldwide through the numerous on-line information retrieval services, such as Dialog. It is also available on CD/ROM through several companies. One hundred percent of NTIS' collection is open source and not classified. Some information is, however, restricted to U.S. sales only.

In 1992, NTIS launched FedWorld, an electronic information service. It provides directories and information catalogs, libraries of electronic information files, subscription services to Federal information products, and a gateway to many other Federal agencies' electronic bulletin boards. FedWorld is accessible via the Internet (World-wide Web, FTP, Telnet, and WAIS) and via telephone and modem connection. Access to FedWorld is free, but some information services available through FedWorld require payment.

A major new on-line service is available from NTIS and is available from the World Wide Web. The World News Connection provides access to information from thousands of international media sources, including political speeches, television programs, radio broaD.C.asts, newspapers articles, periodicals and books. It is designed as a comprehensive, yet cost-effective foreign news alert service for users in government, private industry and academia.

Consumers of information collected by NTIS include the following:

64% U.S. large and small businesses
20% Foreign organizations
6% Federal and state government
6% Academic and public libraries
4% Individuals

NTIS holds memberships in the following foreign STI-related working groups and committees:

- CENDI (Commerce, Energy, NASA, NLM, NAIC, Defense Information Group - Sponsored jointly by the six-agency members)
- FBIS Interagency Gray Literature Working Group
- Interagency Japanese Technical Literature Working Group, Department of Commerce, Japan Technology Program
- Foreign Technology Information Collection Group, Departments of State and Commerce/Technology Administration
- International Acquisitions Workshop Committee Informal interagency group

Authorizing Legislation

a. 15 U.S.C.1152(1950): The Department of Commerce is directed to operate a clearinghouse for the collection and dissemination of scientific, technical, and engineering information, to search for and collect such information from "whatever sources, foreign and domestic that may be available," and to make the information available to industry and business, all levels of Government, and the general public.

b. 15 U.S.C. 3704b (1988): NTIS is directed to "... collect, translate into English, and disseminate unclassified foreign scientific, technical, and engineering information."

c. 15 U.S.C. 3704 (d) (1986): NTIS and other Department of Commerce offices are directed to determine business and professional needs for information on Japanese technology and engineering; to acquire and translate Japanese technical reports and documents; and to coordinate with other Federal agencies to identify gaps and avoid overlap in coverage.

d. Executive Order 12591 (1987): The Departments of State and Commerce and the National Science Foundation are directed to develop a central mechanism for the dissemination of science and technology information developed abroad to users in Federal laboratories, academic institutions, and the private sector.

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DEPARTMENT OF COMMERCE
National Telecommunications and Information Administration

As the Executive branch agency responsible for domestic and international telecommunications and information policy, the National Telecommunications and Information Administration (NTIA) develops and implements Administration and Commerce Department policies involving industries that represent almost 10 percent of the U.S. domestic economy.

The four major NTIA activities include: 1) domestic telecommunications policy analysis, 2) international telecommunications policy analysis, 3) spectrum research, and 4) telecommunications research and engineering. NTIA's programs have focused on two major priorities, imperative for our being prepared for the Information Age: (1) promoting competition and opening markets, both global and domestic; and (2) ensuring that the traditionally under-served have access to the National Information Infrastructure (NII) and the Global Information Infrastructure (GII).

NTIA was actively involved in the G-7 Ministerial Conference on the Information Society and the Global Information Infrastructure (GII) initiative to promote competition and open markets for U.S. telecommunications service providers and equipment suppliers. NTIA will continue to monitor and, as appropriate, participate in international standards-setting fora to ensure that the interests of U.S. telecommunications equipment manufacturers and service providers are adequately represented.

NTIA routinely observes foreign activities through documentation provided by the Foreign BroaD.C.ast Information Service (FBIS) and other information-gathering organizations and is engaged in continuous dialogues with other nations and international organizations on apportioning the radio frequency spectrum to government and private users and it obtains technical information through these channels.

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DEPARTMENT OF COMMERCE
National Telecommunications and Information Administration
Institute for Telecommunication Sciences (NTIA/ITS)

As the chief research and engineering arm of the National Telecommunications and Information Administration (NTIA), the Institute for Telecommunication Sciences (ITS) supports NTIA telecommunications objectives such as promoting advanced telecommunications and information infrastructure development in the U.S., enhancing domestic competitiveness, improving foreign trade opportunities for U.S. telecommunications firms, and facilitating more efficient and effective use of the radio frequency spectrum.

NTIA/ITS also serves as a principal Federal resource for assistance in solving telecommunication problems of other Federal agencies, state and local governments, private corporations and associations, and international organizations.

Cooperative research agreements based upon the Federal Technology Transfer Act of 1986 are the principal means of aiding the private sector. This Act provides the legal basis for and encourages shared use of government facilities and resources with the private sector in advanced telecommunications technologies to aid in attaining commercialization of new products and services.

Overview

The Institute for Telecommunication Sciences (NTIA/ITS), located in Boulder, Colorado, is the chief research and engineering arm of the National Telecommunications and Information Administration (NTIA) of the U.S. Department of Commerce. NTIA/ITS employs approximately 100 permanent program staff. These employees bring substantial engineering and scientific backgrounds, skills, and experience to our technical programs. The majority of our employees (60 percent) are electronics engineers, while 6 percent are mathematicians, 2 percent are physicists, 3 percent are computer scientists, and 2 percent are computer programmers.

History

NTIA/ITS had its beginnings in the 1940's as the Interservice Radio Propagation Laboratory which later became the Central Radio Propagation Laboratory (CRPL) of the National Bureau of Standards of the Department of Commerce. In 1965, CRPL became part of the Environmental Science Services Administration and was renamed the Institute for Telecommunication Sciences and Aeronomy (ITSA). In 1967, the telecommunications function of ITSA was transferred into the newly formed Office of Telecommunications (OT). Finally, under the President's Reorganization Act of 1977, OT and the Office of Telecommunications Technology Policy merged to form NTIA. Since that time, NTIA/ITS has performed telecommunications research and provided technical engineering support to NTIA and to other Federal agencies on a reimbursable basis. Recently NTIA/ITS has also pursued cooperative research with U.S. industry under the provisions of the Federal Technology Transfer Act of 1986.

Activities

The Institute performs telecommunications research, planning, and engineering in the following areas:

- **Spectrum Planning and Assessment:** Technical analyses of spectrum use in selected frequency bands and preparation of U.S. technical positions for international spectrum allocation conferences.
- **Telecommunications Standards Development:** Contributing to and developing Federal, national, and international telecommunications standards.
- **Telecommunication System Planning:** Relating needs of users to the capabilities of planned backgrounds, skills, and experience to our technical network.
- **Telecommunication System Performance Assessment:** Forecasting the performance of individual communication elements in a system.
- **Applied Research:** Modeling the way radio waves travel from point to point in various frequency bands and evaluating the way information is carried by radio signals, including modulation and coding.

Benefits

The Institute's work benefits both the public and private sectors in several areas:

- **Spectrum Utilization:** Optimization of Federal transferred spectrum through field measurements, and promotion of advances to aid in efficient use of the spectrum.
- **Telecommunications Negotiations:** Expert technical leadership at international conferences and development of negotiation support tools such as interference prediction programs.
- **International Trade:** Promulgation of nonrestrictive international telecommunications standards to remove technical barriers to U.S. export of telecommunications equipment and services.
- **Domestic Competition:** Development of user-oriented, technology-independent methods of specifying and measuring telecommunications performance to give users a practical way of comparing competing equipment and services.
- **National Defense:** Improvement of network operation and management, enhancement of survivability, expansion of network interconnections and interoperation, and improvement of restoration of emergency communications to contribute to the strength and cost-effectiveness of the U.S. Armed Forces.
- **Technology Transfer:** Direct transfer of research results and measurements to U.S. industry and local governments to support international and national competitiveness, to hasten the advent of new technology to users, and to expand the capabilities of the national and local telecommunications infrastructure.

Major outputs of the Institute's research and engineering activities include:

- **Engineering Tools and Analyses:** Predictions of transmission media conditions and equipment performance; test design and data analysis computer programs; laboratory and field tests of experimental and operational equipment, systems, or networks.
- **Standards, Guidelines, and Procedures:** Contributions to and development of national and international standards in such areas as network interconnection and interoperation, performance evaluation, and information protection.
- **Research Result:** Models for electromagnetic wave propagation, noise, and interference characterization.

- **Expert Services:** Training courses and workshops to communicate technology advances and applications to industry and government users.

NTIA/ITS is organized into two program divisions: 1) Spectrum Research and Analysis, and 2) Systems and Networks Research and Analysis. Each of the program divisions is organized into functionally oriented groups. Work performed by the Spectrum Division involves analyses directed toward understanding radio wave behavior at various frequencies and determining methods to enhance spectrum use. The Systems and Networks Division focuses on assessing and improving the performance of telecommunication networks within the Government and the private sector, developing domestic and international telecommunications standards for networks, and evaluating new technologies for future needs.

The activities of NTIA/ITS are undertaken through a combination of programs sponsored by the Department of Commerce and other Government agencies, and through cooperative research agreements with the private sector. NTIA/ITS policy provides that work sponsored by other agencies results in contributions to and reinforcement of NTIA's overall program and must be directed toward supporting the goals of the Department of Commerce. Various Department of Defense components provide the majority of NTIA/ITS's funding from other agencies. Other sponsors include the Department of Agriculture, the Department of Transportation, and the U.S. Information Agency.

Cooperative research agreements with such companies as U.S. West Advanced Technologies, Inc., and Telesis Technologies Laboratories, Inc., support technology transfer and commercialization of telecommunications products and services, which are major goals of the Department of Commerce. NTIA/ITS also undertakes cooperative research agreements with small, start-up companies to ensure the competitiveness of such entrepreneurial ventures with larger national concerns.

Because of its centralized Federal position, NTIA/ITS is able to provide a cost-effective, expert resource that does not require duplication throughout many Federal agencies and industry.

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DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Office of Legislative and International Affairs

The Administrator for Legislative and International Affairs is the principal advisor to Associate Commissioner for Governmental and International Affairs, who supervises the Assistant Secretary and the Deputy Assistant Secretary on public policy matters related to intellectual property protection, including proposed legislation and international activities of the United States. This Office formulates legislative and policy proposals, prepares supporting documentation to carry out the legislative programs and policies of the Patent and Trademark Office (PTO), and reviews and prepares analyses of other legislative proposals concerning intellectual property matters. The Office prepares Congressional testimony on intellectual property for the Assistant Secretary, other Patent and Trademark Office and Department officials, and maintains a liaison with Congress, the intellectual property bar associations, industry, and others concerned with proposed and pending legislation. The staff of this Office analyzes other policy issues before the Executive Branch and obtains public views through various means including public hearings.

The Office promotes international development of intellectual property systems and advocates improvements and more cost-effective means of protecting intellectual property rights of U.S. nationals throughout the world. This includes developing and maintaining multilateral systems for the protection of intellectual property rights; assisting in the establishment of bilateral agreements with other countries and other intellectual property offices; participating in the intellectual property aspects of trade consultations and the conclusion of bilateral investment treaties and trade agreements; promoting the establishment of adequate and effective systems in developing countries for the protection of intellectual property rights; developing international standards and procedures to encourage foreign filing by U.S. nationals; and facilitating access by U.S. nationals to the information contained in U.S. and foreign patent and trademark documents

One way in which the Office of Legislative and International Affairs promotes the development of intellectual property rights was by supporting the Information Infrastructure Task Force (IITF) Working Group on Intellectual Property Rights, chaired by Assistant Secretary of Commerce and Commissioner of Patents and Trademarks, Bruce A. Lehman. The IITF was formed to articulate and implement the Administration's vision for the National Information Infrastructure (NII). The IITF Working Group on Intellectual Property Rights released its report in late 1995, and congressional hearings were held on the proposals.

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Administrator for Search and Information Resources

The Administrator for Search and Information Resources, in coordination with the Administrator for Legislation and International Affairs, provides support, representation, advice and direction on technical issues regarding international patent documentation and search resources matters, including exchanges, and cooperation standards. The Administrator, who is assisted by a Deputy Administrator, an International Liaison Office, and an office of Resource Management, provides oversight to and coordinates the activities of the following Offices:

1. The Office of Patent Automation administers projects involving the development of new concepts and methods relating to Patents Cost Center automated systems and their use. This includes developing requirements for and implementing U.S. and foreign search and information resources and for automated systems to improve the processing of the patent applications and related functions; assessing the efficiency and capabilities of newly implemented systems serving the Patents Cost Center; communicating the effects of such systems upon operations, workloads, personnel and work patterns to and within the Patents Cost center; coordinating the training of the Patents Cost Center personnel in the use of automated systems; providing user support and oversight of the Patent Application Location and Monitoring (PALM) system; and in cooperation with staff assigned to the Chief Information Officer, oversees the day-to-day operation of the PALM systems.

2. The Scientific and Technical Information Center acquires, maintains and provides access to collections of scientific and technical literature in printed form, microform and electronic format; produces, maintains and provides access to specialized biotechnology search and information resources; provides commercial data base on-line search services and translation services to the Patent Examining Corps; serves as the national repository for foreign documents and a depository for U.S. Government publications; and provides facilities and services for use of these collections by the Patent and Trademark Office employees and the public.

3. The Director of Classification Operations provides administrative oversight to and coordination of the activities of:

- The Classification Groups develop, implement and maintain schemes for organizing and retrieving technical information contained in patents and other documents in the patent search files and generates schedules, definition, indices and other search tools needed to access technical information.
- The International Patent Classification Group provides direction on technical matters relating to the International Patent Classification (IPC) System; develops proposals for and represents the United States in regard to revision of the IPC; monitors the quality of IPC designations on United States patents; and provides training in IPC use to personnel under the Assistant Commissioner for Patents.
- The Office of Classification Support provides professional, clerical and operation support for the Classification Groups; monitors the condition of the Examiner and Public Search Room paper patent search files and develops and implements processes to improve them; and produces the schedules, definitions, indices and other search tools generated by the Classification Groups.

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THE PATENT COOPERATION TREATY OFFICE

Office of Patent Cooperation Treaty Operations

The Office of Patent Cooperation Treaty (PCT) Operations reviews and processes international patent applications filed under the PCT. With the exception of decisions regarding the technical nature of the claimed invention (which are made by Patent Examiners) and certain complicated legal matters (which are processed by the PCT Legal Office), this office inspects all applications filed by U.S. applicants seeking foreign patents through the PCT and all applications filed through the PCT which enter the national stage in the United States.

United States residents and nationals may file international applications in the United States Receiving Office. Such applications are reviewed for compliance with Treaty provisions. Applicants may have an International Search Report prepared by the United States International Searching Authority. In addition, applicants may choose to pursue International Preliminary Examination. Applications undergoing the search and examination phase are both processed in the Office of PCT Operations. Applications entering the national stage under the PCT are reviewed for compliance with the appropriate statutes and regulations in the National Stage Processing Branch of the Office of PCT Operations.

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The Patent Cooperation Treaty Legal Office

The PCT Legal Office provides legal guidance to the Office of PCT Operations and other branches of the USPTO on matters relating to the Patent Cooperation Treaty. The PCT Legal Office renders decisions on petitions in applications related to the PCT, provides training and guidance on PCT related issues, operates a PCT "Help Desk" and performs a quality review of reports prepared by Patent Examiners. In addition, PCT Legal Office personnel act as a liaison between the USPTO and the International Bureau of the World Intellectual Property Organization and represent the United States at various international meetings dealing with the Patent Cooperation Treaty.

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DEPARTMENT OF COMMERCE
Technology Administration

Established in its current form by the Omnibus Trade and Competitiveness Act of 1988, the U.S. Department of Commerce's Technology Administration (TA) serves as the focal point for policies and programs that will permit the U.S. private sector to utilize science and technology to improve its international competitiveness. This mission helps expand economic growth and jobs through the development and promotion of the use of civilian technology. Headed by the Under Secretary of Commerce for Technology, the Technology Administration consists of the National Institute of Standards and Technology (NIST), the Office of Technology Policy (OTP), and the National Technical Information Service (NTIS). In addition, the Under Secretary links industry's needs and government technology efforts by chairing the interagency Civilian Industrial Technology Committee, part of the President's National Science and Technology Council. Among TA's mission responsibilities are the following:

- advocate policies that provide for the protection of intellectual property necessary for optimal U.S. commercial development of technology and processes;
- represent the interests of U.S. industry in international science and technology negotiations and forums;
- work to ensure that American industry has access to foreign R&D and technical data;
- provide research, development and generic technology including measurement standards, technical data, and reference materials through the National Institute of Standards and Technology;
- provide an international collection of technical, engineering and business-related information in the form of print and electronic media through the National Technical Information Service; and
- identify and help remove statutory and regulatory barriers that prevent rapid commercialization of new technologies and other impediments affecting U.S. commercial innovation, quality, productivity and manufacturing competitiveness.

National Institute of Standards and Technology

The National Institute of Standards and Technology (NIST) manages a portfolio of programs to meet the needs of industry. Its primary mission is to promote economic growth by working with industry to develop and apply technology, measurements, and standards. [Additional information on NIST is included separately in the Department of Commerce section.]

National Technical Information Service

The National Technical Information Service (NTIS) provides technical information to companies. It is the nation's clearinghouse for R&D results and information produced by and for the U.S. government. It also disseminates similar information from domestic and foreign non-governmental sources. [Additional information on NTIS is included separately in the Department of Commerce section.]

Office of Technology Policy

The Office of Technology Policy (OTP) develops policies and undertakes initiatives to increase the role of technology in enhancing the economic competitiveness and well-being of the United States. Initiatives range

from assessing federal mechanisms to support private sector research, to developing international science and technology policies, to improving industry access to foreign innovations. The OTP conducts analysis for the development of technology policy and also oversees several international science and technology agreements. There are three operating units within OTP:

1. Office of Technology Competitiveness

Conducts special benchmark studies in cooperation with industrial and academic organizations dealing with the competitiveness of specific U.S. industries; coordinates activities associated with the National Medal of Technology; reviews federal mechanisms for research collaboration and support, and seeks to improve federal technology partnerships; ensures industry views are properly accounted for in the creation and implementation of public policies affecting the U.S. business climate for technological innovation.

2. Office of Manufacturing Competitiveness

Evaluates the health of the nation's manufacturing base by conducting annual assessments; undertakes other manufacturing-related initiatives; addresses and reduces barriers that impede the commercialization of industry-driven environmental technologies through its rapid commercialization initiative.

3. Office of International Policy

The Office of International Policy (OIP) undertakes programs and promotes policies to ensure that U.S. companies, researchers and engineers have access to foreign scientific and technical information and programs that will strengthen their ability to compete in today's global markets. It provides a voice for industry in the development of U.S. international science and technology policies, in international negotiations and in international S&T forums such as the OECD and APEC. The OIP monitors and disseminates a wide variety of foreign technical information to U.S. industry. In addition to policy activities related to international S&T agreements and other issues, International Policy manages the following programs:

- The **Asia-Pacific Technology Program** has extensive expertise in science and technology developments and policy in Japan, China, Korea, Taiwan, and other Asian nations. The program coordinates U.S. participation in the Industrial Science and Technology Working Group of APEC. Information is made available to industry through the publication of technical assessments and special reports, conferences, business counseling, electronic dissemination through HomePages, and database access. Other major activities include the U.S.-Japan Manufacturing Technology Fellowship Program which provides support for long-term stays by U.S. engineers at Japanese factories, the U.S.-Japan Joint High Level Advisory Panel, the U.S.-Japan Civil Industrial Technologies Arrangement, Techno-Growth House in Tsukuba City, Japan, a site for short term stays of U.S. researchers in Japan, and the U.S.-Japan Machine Translation Center pilot program.

- The **U.S.-Israel Science and Technology Commission** seeks to increase R&D cooperation between the high technology sectors in the U.S. and Israel. The Commission was formally

established in response to an initiative by President Clinton and Israeli Prime Minister Rabin. It awards grants to enable American and Israeli firms to work together to develop long-term, high risk technologies that can contribute to the growth of civilian industries.

- The **European Technology Program** undertakes activities with regard to Western Europe, Eastern Europe, Russia and the NIS, and the OECD. With regard to Western Europe, the program monitors science and technology policies and major R&D programs and reports new developments. The program also provides support for the science and technology-related initiatives under the Transatlantic Business Dialogue. Additionally, the program is responsible for implementing science and technology cooperation commitments under the Irish Peace Process initiative. With regard to Eastern Europe, Russia and the NIS, the program provides information on science and technology policies and possibilities for international technology cooperation, and seeks to facilitate access by U.S. companies to scientific and technical information. With regard to the OECD, the program provides the lead for U.S. participation in the organization's Working Group on Innovation and Technology Policy. Information on all facets of the program is disseminated through short publications and electronically through HomePages.

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OTP HomePage: http://www.ta.doc.gov/otphome/otp.htm

OTP's International Technology Policy and Programs Page: http://www.ta.doc.gov/itp/itp.htm

OTP's ITP Regional/Specialty Focus:

Asia-Pacific Region: http://www.ta.doc.gov/aptp/aptp.htm

Japan: http://www.ta.doc.gov/aptp/japan/japan.htm

China Economics Area: http://www.ta.doc.gov/optp/china/cea.htm

Republic of Korea: http://www.ta.doc.gov/optp/korea/rok.page

USA: http://www.ta.doc.gov/itp/usa/usahome.htm

Canada: http://www.ta.doc.gov/itp/can/csthome.htm

Mexico: http://www.ta.doc.gov/itp/mex/mexico.htm

Russia and NIS: http://www.ta.doc.gov/itp/nis/nishome.htm

Israel: http://www.ta.doc.gov/itp/israel/page2.htm

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