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STANFORD UNIV CALIF DEPT OF STATISTICS
APPLICATION OF GRAPHIC MULTIVARIATE TECHNIQUES IN THE POLICY SC--ETC(U)
JAN 78 P WANG

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6 Application of Graphic Multivariate Techniques
In The Policy Sciences

By

10 Peter Wang

9 TECHNICAL REPORT NO. 253

11 4 Jan 1978

14 TR-253

12 68 p.

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Prepared under Contract

15 N00014-76-C-0475 (NR-042-267)
For the Office of Naval Research

Herbert Solomon, Project Director

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1. INTRODUCTION

The object of this paper is to represent multivariate data graphically. Using graphical means for communicating or explaining phenomena is as old as man himself, as the following examples illustrate: 1) Every person who has traveled in a foreign country where he could not communicate in the native language has probably resorted to drawing pictures to express his ideas or needs. 2) The pictures that have been discovered in caves and tombs have revealed numerous facts about the lives and social conditions of their creators. 3) If you have ever gone to a carpenter or machinist to have something built and have given him a complete set of instructions, nine times out of ten he will say, "Draw me a picture." In summary, people are accustomed to communicating with graphics.

The graphics program selected for this research is the face drawing program of H. Chernoff. The graphic representation of this method is a face with eyes, nose, mouth, ears and eyebrows which change when the variables which are being measured change. This is done by representing a point in k -dimensional space, (k is a scalar which defines the number of points) and changing its position according to changes in variables.

The purpose for graphical representation of multivariate data is to enhance the ability of the analyst to detect and comprehend important phenomena, serve as a mnemonic device for remembering major conclusions, communicate major conclusions to others, and provide a means for doing complex and relatively accurate calculations informally.¹ The use of a face enhances the utility of graphics techniques in accomplishing these goals by drawing on the observer's culturalization process that teaches him to recognize and respond to changes in facial expressions. It assumes that the human eye

functions more like an analog computer than like a digital computer. An analog computer uses continuous input whereas a digital computer reads, records and reads again in a step by step procedure. The analyst when analyzing the data is looking for clusters and not even distribution. It is precisely the clustering that lends graphics its power as an analytic tool. In the face drawing program, multivariate data that have similar properties will also be represented by similar faces. These similar clusters are called, for simplicity, families.

The subject of this analysis is Soviet foreign policy in Sub-Saharan Africa. Information has been collected which measures amounts, levels, and frequencies of Soviet activities with lesser developed countries (LDC's). Section II presents the method of data selection, examination and storage on a quick access device. Necessary modifications and transformations of the data are also discussed.

The data file was still large and some decisions had to be made about how to reduce the number of variables, without removing any important ones. Because of this last criterion, factor analysis techniques were not used. Factor analysis would have indicated, for example, that this group of variables is highly correlated, and only one of the variables or their combined factor score should be used. What is needed is a system or methodology that is more concerned with the quality of the relationship and not the quantity. The scalogram and event analysis techniques discussed in Section III are believed to have the property of measuring the qualitiveness as well as the quantitiveness of the relationships.

Sections IV, V and VI are concerned with the face drawing program. A step by step procedure is presented in Section IV of the methodology for making the necessary changes to the computer program in order to draw faces.

Section V presents the results of the faces that were computed for twenty-five selected countries of Sub-Saharan Africa, and Section VI presents a discussion of some of the faces which are being computed at other institutions.

II. SOURCES AND FILES

The information for this research project was obtained from two primary sources. The Center for Naval Analysis (CNA) provided the use of its Orchestration Project File², and the Air Force Data Service Center (AFDSC) provided use of the Worldwide Analytic Research Project (WARP) file.³ The Orchestration File is a computer data base of information concerning communist aid and trade relations with 111 lesser developed countries (LDC) from 1954 to 1976. The WARP file is also a computer data base. It contains information on 195 countries and their relationships with six major powers: France, Japan, United Kingdom, Soviet Union, United States, and West Germany. Both files are presented in greater depth in Section A. Section B discusses the merging of selected elements of the two files into a file called the Sub-Saharan African File, and the necessary data transformations.

A. SOURCES OF DATA

1. Orchestration Project File

The Orchestration File is a computer adaption of Aid and Trade Activities of Communist Countries in Less Developed Areas of the Free World. The unit of analysis is the nation state, and the interval is the calendar year.

The file copy received from CNA was transferred to a 2311 disk pack and stored in SPSS⁴ format in five separate files to reduce access time. The five files are: WORLD, AFRICA, ASIA, ARAB, and LATIN AMERICA. The files include data for twenty-one years (1954 to 1975) and ninety-one variables. The variables are organized in the following manner:

1. Variables one through ten (VAR001 - VAR010) are descriptive variables that identify the country by name and code and indicate the date of independence and the date of admission to the United Nations; only

post-independence data is included for each country.

2. Variables eleven through fifty-six (VAR011 - VAR056) and seventy-seven through eighty-two (VAR077 - VAR082) and eighty-six through ninety-one (VAR086 - VAR091) describe various Soviet, East European and People's Republic of China's interactions with the 111 LDC's. See Table 1 for a complete breakdown.

3. Variables fifty-seven through seventy-six (VAR057 - VAR076) are dichotomous variables which indicate whether or not that country has the property described. See Table 2 for a breakdown of these variables.

4. Variables eighty-three through eighty-five (VAR083 - VAR085) are country descriptive variables. They are:⁵

VAR083 - Yearly Defense Expenditures

VAR084 - Gross National Product

VAR085 - Men in Armed Forces in Thousands

2. WARP File

WARP was designed for use by the Directorate of Plans and Evaluation Special Regional Studies Division in the Office of the Secretary of Defense.⁶ Its purpose is to enable defense analysts to make various assessments of U.S. worldwide interests and associated threats on a quantitative basis. The data base includes country, regional, and worldwide variables which are related to the demographic, political, socio-economic, military, and commercial characteristics of the defense-related areas. (See Appendix A for a list of the 195 countries.)

There are four major categories of WARP Data: 1) General, 2) Money, 3) People, and 4) Trade. The data base is divided into these categories both logically (for access and use) and physically (for computer organization and storage). Appendix A includes a flow chart of the interrelationship of

TABLE I
BREAKDOWN OF THE ORCHESTRATION FILE

| <u>VARIABLE NAME</u> | <u>SOVIET</u> | <u>EAST EUROPEAN</u> | <u>PRC</u> |
|--|---------------|----------------------|------------|
| Airline flights to LDC | VAR011 | VAR012 | |
| Number of economic aid agreements | VAR013 | VAR014 | VAR015 |
| Number of military aid agreements | VAR016 | VAR017 | VAR018 |
| Total value of military aid agreements | VAR019 | VAR020 | VAR021 |
| Economic aid extensions | VAR022 | VAR023 | VAR024 |
| Military aid grants and discounts | VAR025 | VAR026 | VAR027 |
| Total economic aid drawings to date | VAR028 | VAR029 | VAR030 |
| Yearly economic aid drawings | VAR031 | VAR032 | VAR033 |
| Military personnel in LDC | VAR034 | VAR034 | VAR035 |
| LDC military departing for training in the ... | VAR036 | VAR037 | VAR038 |
| LDC military personnel training in the ... in December | VAR039 | VAR040 | VAR041 |
| Economic aid technicians in the LDC | VAR042 | VAR043 | VAR044 |
| Technical trainees departing for training in the ... | VAR045 | VAR046 | VAR047 |
| Technical trainees training in the ... in December | VAR048 | VAR049 | VAR050 |
| Academic students departing for training in the ... | VAR051 | VAR052 | VAR053 |
| Academic students training in the ... in December | VAR054 | VAR055 | VAR056 |
| Imports from LDC | VAR079 | VAR078 | VAR077 |
| Exports to LDC | VAR082 | VAR081 | VAR080 |
| Merchant ship calls | VAR086 | VAR087 | VAR088 |
| Arms deliveries | VAR089 | VAR090 | VAR091 |

TABLE II

TWENTY DICHOTOMOUS VARIABLES IN THE ORCHESTRATION FILE

| <u>VARIABLE NUMBER</u> | <u>VARIABLE NAME</u> |
|------------------------|--|
| VAR057 | Offshore Hydrocarbon Producers |
| VAR058 | Major Oil Producers |
| VAR059 | Major Mineral Producers |
| VAR060 | Distant Fishing States |
| VAR061 | Major Fishing State Nominal Catch |
| VAR062 | Landlocked States |
| VAR063 | Shelf-locked States |
| VAR064 | Narrow Shelf States |
| VAR065 | Broad Shelf States |
| VAR066 | Strait States |
| VAR067 | Blue Water Navy States |
| VAR068 | Coastal Navy States |
| VAR069 | African States |
| VAR070 | Asian States |
| VAR071 | Latin American States |
| VAR072 | Arab States |
| VAR073 | Narrow Straits States |
| VAR074 | Oceanic Archipelago States |
| VAR075 | Coastal Archipelago and Distant Archipelago States |
| VAR076 | States on Semi-enclosed Seas |

the WARP files.

GENERAL. This category is composed of all variables which do not fit in the other categories. The bulk of GENERAL was extracted from the Cross-National Time-Series Data Archive of the Center for Comparative Political Research (CCPR), State University of New York. There are diverse social, political, and demographic characteristics collected for each of the 167 independent countries. In addition to the CCPR data, counts of treaties between countries, number of naval port calls, number of national banks, and United Nations voting consensus data are included. There are currently 69 data variables in GENERAL.

MONEY. Data related to major power interests abroad is shown by various monetary factors. Major data types include bilateral trade amounts, civil and military assistance programs, and products. There are currently 47 data variables in MONEY.

PEOPLE. This category contains a variety of information related to the number of military, civilian, and diplomatic personnel in foreign countries, foreign country population, number of immigrants, and other political-diplomatic variables descriptive of major power relations with foreign countries. There are currently 43 variables in PEOPLE.

TRADE. This category contains descriptive information related to essential U.S. foreign trade routes, and tonnage and value of commodities being traded over these international pathways. This category currently contains data related to a number of commodity types and 65 different trade routes.

SUB-CATEGORIES. Within each of the major categories, the WARP Data Base is sub-categorized to indicate the relationship of six major powers to 195 target countries. These relationships apply only to the GENERAL, MONEY

TABLE III

THE 40 VARIABLES IN THE SUB-SAHARAN AFRICA FILE

| <u>Variable Number</u> | <u>Description</u> |
|----------------------------|---|
| V01 | Year of the entry |
| V02 | CNA country code |
| V03 | Banks country code |
| V04 | World Handbook country code |
| V05 | Case ID (year times 1,000) plus CNA country code |
| V06 | Soviet airline flights |
| V07 | Number of economic aid agreements |
| V08 | Number of military aid agreements |
| V09 | Total value of military aid agreements |
| V10 | Value of economic aid extended |
| V11 | Value of military aid grant or discount |
| V12 | Total economic aid drawn |
| V13 | Yearly economic aid drawn |
| V14 | Soviet and East European military personnel in the LDC |
| V15 | LDC military personnel departing for training in the USSR |
| V16 | LDC military personnel training in the USSR as of Dec. 1976 |
| V17 | Soviet economic technicians in the LDC |
| V18 | LDC technicians departing for training in the USSR |
| V19 | LDC technicians training in the USSR in Dec. 1976 |
| V20 | LDC academic students departing for school in the USSR |
| V21 | LDC academic students in the USSR in Dec. 1976 |
| V22 | Imports from the USSR |
| V23 | Exports to the USSR |
| V24 | Size of the LDC defense budget |
| V25 | LDC gross national product |
| V26 | Size of the LDC armed forces |
| V27 | Soviet merchant ship port visits |
| V28 | Total value of soviet arms deliveries |
| V29 | Total number of economic aid agreements |
| V30 | Total number of military aid agreements |
| V31 | Submarine port visits |
| V32 | Major combatant port visits |
| V33 | Minesweeper port visits |
| V34 | Amphibious port visits |
| V35 | Auxillary port visits |
| V36 | Total number of Soviet naval port visits |
| V37 | Size of the LDC defense budget |
| V38 | LDC exports to the USSR |
| V39 | LDC imports from the USSR |
| V40 | Soviet arms deliveries |

and PEOPLE categories since the TRADE category represents only U.S. involvement. The data is organized in country-pair relationships.

B. SUB-SAHARAN AFRICA FILE

The file used to construct the faces of Soviet foreign policy is the Sub-Saharan Africa File. It was developed from the Orchestration and WARP files and consists of the twenty-five African countries shown in Figure 1. Like the Orchestration File, the unit of analysis is the nation state, and the interval is the calendar year. The period of the file is from 1963 through 1975. To be a candidate, a country had to be in Sub-Saharan Africa, independent by 1963, and underdeveloped.

1. Missing Values for Variables

The Orchestration File assigns a value of 99999 to missing entries. The WARP file only enters data for the years that complete data are available.⁷ Therefore, when merging the two files, careful attention to each variable had to be given. For ease in handling, the method used in the Orchestration File was initially duplicated in the Sub-Saharan African File (99999 for missing values). However, missing values will produce erroneous results in the present FACES program. Four methods were selected to provide solutions for missing values and are presented in their precedence order.⁸

a. If the variable selected has missing values and is recorded in both files, and one file has an entry for the missing value, and the entries which are present correlate; then the entry from the other file is to be read into the missing value entry.

b. If the missing value is an end point and does not satisfy the first criteria, then exponential smoothing method is to be used to compute the missing value. The advantage of exponential smoothing is that it assumes the adjacent value is the best indicator as to the magnitude of change of the

missing value. It computes the geometric mean and a scalar multiplier which is most influenced by the adjacent variable.

c. If one data point is missing and it is not an end point, compute the missing value by averaging the entry before and after.

d. If more than one data point is missing, compute the missing values by the least squares technique.

2. Data Transformation

Some modification (normalization) of the data is necessary to produce the best results.⁹ To use the data as they were collected might produce misleading results. For example, a maximum number of port visits by any country for any year is 60 and the mean value is 3.1. Observation of the data in its present form could be an indication that it is not very difficult to be an average country because such a country has to receive only three port visits per year. In reality it is the first few port visits that are the most difficult to achieve. What is required to properly analyze port visits is the mathematical property of port visits that will put the mean in the center of the distribution and the extremes equal opposite distances from the mean. Therefore it can be said that the distribution of port visits is not normal. A normal function would produce a bell-shaped curve when all the data points are plotted, with mean in the center of the curve. Figures 2 and 3 illustrate these distributions.

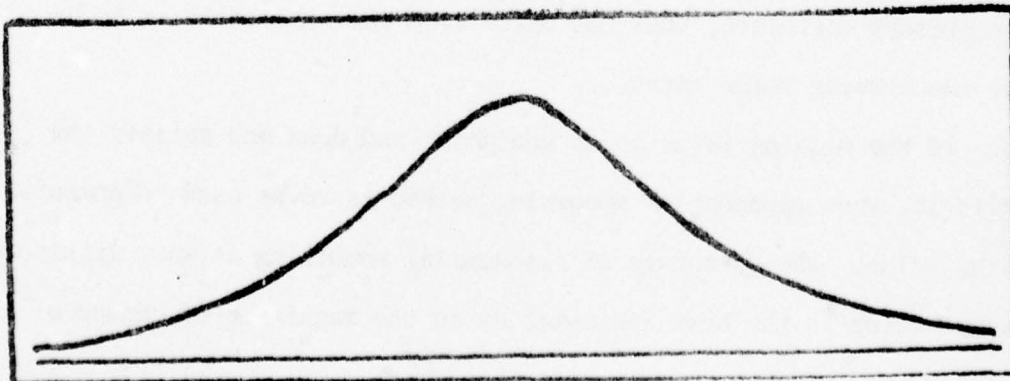


Figure 2 Normal Distribution Curve

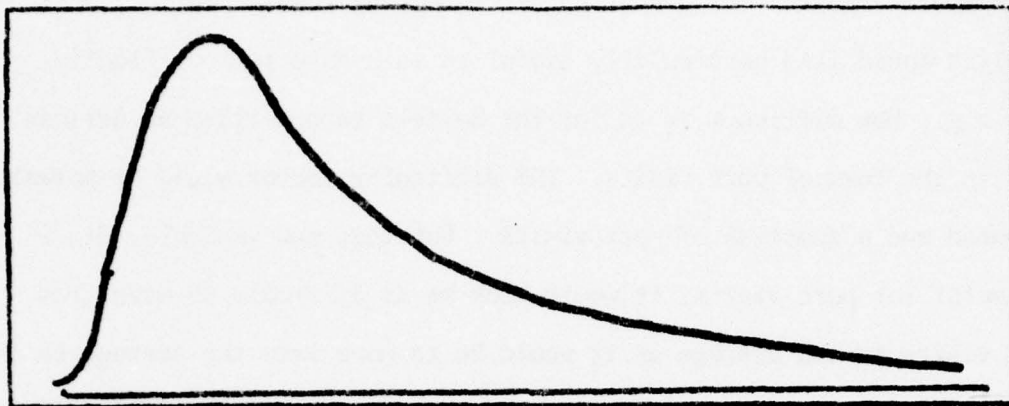


Figure 3 Distribution Curve for Port Visits

Another and more readily available indication of distribution other than normal is found in examining the skewness and kurtosis.¹⁰ Skewness measures deviations from symmetry. It is the third moment and will take the value of zero when the distribution is a completely symmetric bell-shaped curve. A value less than +3 and greater than -3 is desirable. Positive values indicate the data is clustered more to the left of the mean with the extreme values off to the right. Negative values indicate just the opposite condition. In the port visits example, the skewness is 4.395.

Kurtosis is the measure of the peakedness or flatness of the curve. A value of zero indicates normal distribution. Positive values indicate the distribution is peaked with negative values indicating flatness. A value less than +5 and greater than -5 is desired. Kurtosis is the fourth moment. The kurtosis for the example is 20.560.

Experience and/or intuition tells the analyst that port visits are important and just because the data have a skewness and kurtosis that indicate peakedness and uneven distribution does not imply that visits are not important. But to use the data statistically, one should examine them

to determine if they have a property that is normally distributed. What the analyst would find particularly useful in this case is a difficulty factor, e.g., how difficult it is for the Soviets to penetrate an African country in the form of port visits. The difficulty factor would be normally distributed and a function of port visits. For this new variable, difficulty factor for port visits, it would then be as difficult to move from no port visits to the average as it would be to move from the average to the maximum. Plotting the values for the new variable, difficulty factor for port visits, would produce a bell-shaped curve. For port visits the difficulty factor is assumed to be equal to the fourth root of the number of port visits for a country per year. Taking the fourth root for each element in that variable would produce a transformed variable that is approximately normally distributed with a skewness of 2.839 and a kurtosis of 0.411. Another explanation of the same data would be: a country moving from two port visits to three is much more significant an indicator of Soviet penetration than another country moving from forty-four to forty-five. A change from two to three is as significant as a change from forty-four to fifty-seven in the untransformed data.

Table 4 is a breakdown of the seventeen variables (indicating their skewness and kurtosis) used in the FACES program and, when appropriate, their transformed values.

TABLE IV

CONDESCRIPTIVES

| <u>Variable</u> | <u>Name</u> | <u>Kurtosis</u> | <u>Skewness</u> | <u>Function</u> | <u>Adjusted Kurtosis</u> | <u>Adjusted Skewness</u> |
|-----------------|---------------------------------------|-----------------|-----------------|-----------------|--------------------------|--------------------------|
| V09 | Military Aid Extended | 42.586 | 6.313 | $\sqrt[4]{V09}$ | 10.467 | 3.343 |
| V10 | Economic Aid Extended | 76.824 | 8.107 | $\sqrt[4]{V10}$ | 7.013 | 2.734 |
| V11 | Military Grants and Discounts | 85.208 | 8.978 | $\sqrt[4]{V11}$ | 19.847 | 4.442 |
| V13 | Yearly Economic Aid Drawn | 86.898 | 8.054 | $\sqrt[4]{V13}$ | -0.276 | 0.888 |
| V14 | Soviet Military in LDC | 51.706 | 6.602 | $\sqrt[4]{V14}$ | 1.024 | 1.488 |
| V15 | LDC Military Training in USSR | 30.035 | 5.093 | $\sqrt[4]{V15}$ | 3.271 | 2.166 |
| V17 | Soviet Economic Technicians in LDC | 10.379 | 2.982 | $\sqrt[4]{V17}$ | -1.133 | 0.388 |
| V18 | LDC Technicians Training in USSR | 42.453 | 6.095 | $\sqrt[4]{V18}$ | 4.036 | 2.409 |
| V21 | LDC Academic Students in USSR | 1.606 | 1.362 | V21 | 1.606 | 1.362 |
| V22 | LDC Imports from USSR | 32.808 | 5.052 | $\sqrt[4]{V22}$ | -0.437 | 0.703 |
| V23 | LDC Exports to USSR | 13.965 | 3.351 | $\sqrt[4]{V23}$ | 1.787 | 1.427 |
| V24 | Size LDC Defense Budget | 38.768 | 6.003 | $\sqrt[4]{V24}$ | 4.864 | 1.858 |
| V25 | Size LDC Gross National Product | 18.245 | 3.802 | $\sqrt[4]{V25}$ | 4.206 | 1.767 |
| V26 | Size LDC Armed Forces | 35.935 | 5.735 | $\sqrt[4]{V26}$ | 3.997 | 1.669 |
| V29 | Total number Economic Aid Agreements | 4.675 | 2.009 | V29 | 4.675 | 2.009 |
| V30 | Total number Military Aid Agreements | 5.169 | 2.311 | V30 | 5.169 | 2.311 |
| V36 | Total number Soviet Naval Port Visits | 20.560 | 4.395 | $\sqrt[4]{V36}$ | 6.411 | 1.263 |

III. SELECTING THE VARIABLES

Three methods of analysis were used for exploratory research to select the variable to be used in the FACES program. The three methods were Guttman scaling, WEIS (World Event/Interaction Survey) system, and trend analysis. They will be presented in the next three sections along with their results.

A. GUTTMAN SCALING

Guttman scaling is a statistical technique which examines the underlying operating patterns which possibly connect three or more items (in this study, ten items) to determine if the interrelationships of those items meet several special properties which define a Guttman scale.¹¹ The two most important properties are unidimensionality and cumulateness. Unidimensionality requires that the variables must measure movement towards or away from the same single objective. In this study, the objective is Soviet penetration into Africa. Cumulateness implies that the variable can be scaled by the degree of difficulty that a LDC has in achieving each variable. In this study, cumulateness implies how difficult it was for the Soviets to establish themselves in Africa through certain specific activities, such as placing Soviet military personnel in the country.

To analyze the results and to determine whether the scale is valid, four statistics are produced, i.e., the coefficient of reproducibility (C_R), the minimum marginal reproducibility (M_{MR}), the percent improvement (I_4), and the coefficient of scalability (C_S). The two most important statistics and the minimum values required to have a valid scale are $C_R = 0.90$, $C_S = 0.60$. Figure 4 shows the results of scaling

ten variables and will be used in the explanation of the statistics.

A case consists of ten variables for one country for one year. In Figure 4 the figures in the right column labeled "Total" indicate the number of cases that passed the test to achieve the scale value listed in the left hand column labeled "Scale." The values in the variable column indicate the number of cases that passed and failed each item for the scale value indicated. The variable which was the most difficult for the Soviets to achieve is the variable placed in the column farthest to the left; the degree of difficulty decreases as one reads from left to right. The country which was most deeply penetrated by the Soviets is ten on the scale. The amount of Soviet penetration decreases as one reads from the top to the bottom of the scale.

The coefficient of reproducibility is equal to one minus the total number of errors (an error is an incorrect response for an item for a particular scale value), divided by the total number of responses:

$$\begin{aligned}C_R &= 1 - (\text{total errors}/\text{total responses}) \\ &= 1 - (126/2720) \\ &= 0.9537\end{aligned}$$

The minimum marginal reproducibility is the minimum coefficient of reproducibility that could have occurred for the scale given the division points used and the number of responses passing and failing each item. It is equal to the sum of the maximum marginals for each variable divided by the total number of respondents. In Figure 4 at the bottom of the matrix are the values "SUMS," "PCTS" and "ERRORS." In the row labeled "SUMS" are two values for each variable; the larger of the two is the maximum marginal for that variable:

$$\begin{aligned}
 M_{MR} &= (269 + 267 + 262 + 234 + 225 + 194 + \\
 &\quad 173 + 159 + 171 + 248) / 2720 \\
 &= 2202 / 2720 \\
 &= 0.8096
 \end{aligned}$$

The percent improvement is the difference between the coefficient of reproducibility and the minimum marginal reproducibility:

$$\begin{aligned}
 I_{\%} &= C_R - M_{MR} \\
 &= 0.9573 - 0.8096 \\
 &= 0.1441
 \end{aligned}$$

The final statistic is the coefficient of scalability. It is equal to the percent improvement divided by one minus the minimum marginal reproducibility:

$$\begin{aligned}
 C_S &= I_{\%} / (1 - M_{MR}) \\
 &= 0.1441 / (1 - 0.8096) \\
 &= 0.7568
 \end{aligned}$$

The results of scaling the ten variables produce a pattern of Soviet relationships with the twenty-five countries in the Sub-Saharan File. Eight of these variables were checked against the files on Africa and World with similar results. As a result of the scaling, the first ten variables were selected for the FACES program (see Table 5 for these variables). The WEIS system provided the next variable.

| ITEM.. | V11 | VCS | V10 | V18 | V15 | V14 | V30 | V29 | V17 | V21 | TOTAL |
|--------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------|
| RESP. | 0 | 1 | 0 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| ERR | 1 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| SC 10 | 0 | 1 | 0 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| ERR | 1 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| 4 | 0 | 1 | 0 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| ERR | 1 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 1 |
| 8 | 2 | 0 | 0 | 0 | 2 | 0 | 2 | 0 | 2 | 0 | 2 |
| ERR | 0 | 2 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 2 |
| 7 | 14 | 1 | 13 | 4 | 11 | 0 | 15 | 0 | 15 | 1 | 15 |
| ERR | 1 | 13 | 2 | 4 | 11 | 0 | 15 | 0 | 15 | 1 | 15 |
| 6 | 39 | 0 | 37 | 26 | 13 | 2 | 37 | 4 | 35 | 0 | 39 |
| ERR | 0 | 37 | 2 | 26 | 13 | 2 | 37 | 4 | 35 | 0 | 39 |
| 5 | 23 | 0 | 23 | 20 | 3 | 3 | 20 | 0 | 23 | 0 | 23 |
| ERR | 0 | 23 | 0 | 20 | 3 | 3 | 20 | 0 | 23 | 0 | 23 |
| 4 | 10 | 0 | 9 | 9 | 1 | 9 | 1 | 1 | 9 | 0 | 10 |
| ERR | 0 | 10 | 0 | 9 | 1 | 9 | 1 | 1 | 9 | 0 | 10 |
| 3 | 68 | 0 | 68 | 64 | 4 | 67 | 1 | 11 | 57 | 0 | 68 |
| ERR | 0 | 68 | 0 | 64 | 4 | 67 | 1 | 11 | 57 | 0 | 68 |
| 2 | 35 | 0 | 35 | 33 | 2 | 35 | 0 | 19 | 16 | 0 | 35 |
| ERR | 0 | 35 | 0 | 33 | 2 | 35 | 0 | 19 | 16 | 0 | 35 |
| 1 | 55 | 0 | 55 | 55 | 0 | 55 | 0 | 55 | 0 | 0 | 55 |
| ERR | 0 | 55 | 0 | 55 | 0 | 55 | 0 | 55 | 0 | 0 | 55 |
| 0 | 23 | 0 | 23 | 23 | 0 | 23 | 0 | 23 | 0 | 23 | 23 |
| ERR | 0 | 23 | 0 | 23 | 0 | 23 | 0 | 23 | 0 | 23 | 23 |
| SUMS | 269 | 3 | 267 | 234 | 38 | 154 | 78 | 113 | 101 | 24 | 272 |
| PCTS | 59 | 2 | 56 | 86 | 14 | 71 | 29 | 42 | 37 | 9 | 248 |
| ERRORS | 0 | 2 | 0 | 4 | 23 | 5 | 2 | 10 | 23 | 1 | 126 |

325 CASES WERE PROCESSED
53 (CR 16.3 PCT) WERE MISSING

STATISTICS..

COEFFICIENT OF REPRODUCIBILITY = 0.9537
MINIMUM PARALLEL REPRODUCIBILITY = 0.8096
PERCENT IMPROVEMENT = 0.1441
COEFFICIENT OF SCALABILITY = 0.7568

Figure 4
Guttman Scale of Sub-Saharan Africa 1963 through 1975

TABLE V
THE 10 GUTTMAN SCALED VARIABLES

| Scale Value | Variable | Variable Name |
|-------------|----------|---|
| 10 | V11 | Soviet Military Grant or Discount |
| 9 | V09 | Total Value of Military Aid Agreement |
| 8 | V10 | Soviet Economic Aid Extended |
| 7 | V18 | LDC Economic Technicians Training in the USSR |
| 6 | V15 | LDC Military Training in USSR |
| 5 | V14 | Soviet Military Personnel in the LDC |
| 4 | V30 | Military Aid Agreements |
| 3 | V29 | Economic Aid Agreement |
| 2 | V17 | Soviet Economic Technicians in LDC |
| 1 | V21 | Academic Students in USSR |

B. WEIS SYSTEM

The WEIS System is a machine readable coded content analysis of the New York Times. Each entry includes the actor (the country directing the activity), the target (country at which the activity is directed), and arena (area in which the event takes place), and an event code (ranks the activities ordinally from one to twenty-two with sub-categories). The entry also contains a brief summary of the article.¹²

An events search of the WEIS System indicated a pattern of Soviet foreign policy activities, including port visits by Soviet Naval units, in three Sub-Saharan African countries. These results were similar to the results obtained in the Guttman scaling. Because the three patterns

were similar, further tests were made applying Guttman scaling to port visits. The results indicated that port visits could be scaled and consequently, port visits were included in the list of variables for the FACES program.

The number of events coded for Africa is very low and not considered to be a reflection of actual activity in Africa. Instead the low number of events probably reflects a lack of reporting on Africa by the New York Times, or reflects the selection criteria of the person doing the coding. Although the WEIS system did not contain enough information to be used statistically for this project, it did serve as an indicator of some of the more important events, and it could effectively be used to search for patterns in other areas of the world.

The six remaining variables were chosen through trend analysis.

C. TREND ANALYSIS

Figures 5 and 6 are graphs of Soviet imports and exports with the world's 111 LDC's and the 42 LDC's in the Africa File. Figure 5 indicates that in trade with the LDC's, worldwide, the balance of trade is in favor of the Soviet Union. But, Figure 6 reveals that in 1959, 1960, 1963, and 1965 the balance of trade between the Soviets and Africa was in favor of the African states.

Another interesting facet of Soviet trade with all LDC's (Figure 5) is the indication that from 1958 to 1964 there was a stable trading pattern. From 1964 to 1969 there appeared a noticeable increase in the balance of trade in favor of the Soviet Union, but indications in 1969 were that there was a decrease in Soviet exports paralleled by an increase in imports. The 1970 through 1974 period reflected a sharp increase in both imports and exports by the Soviet Union.

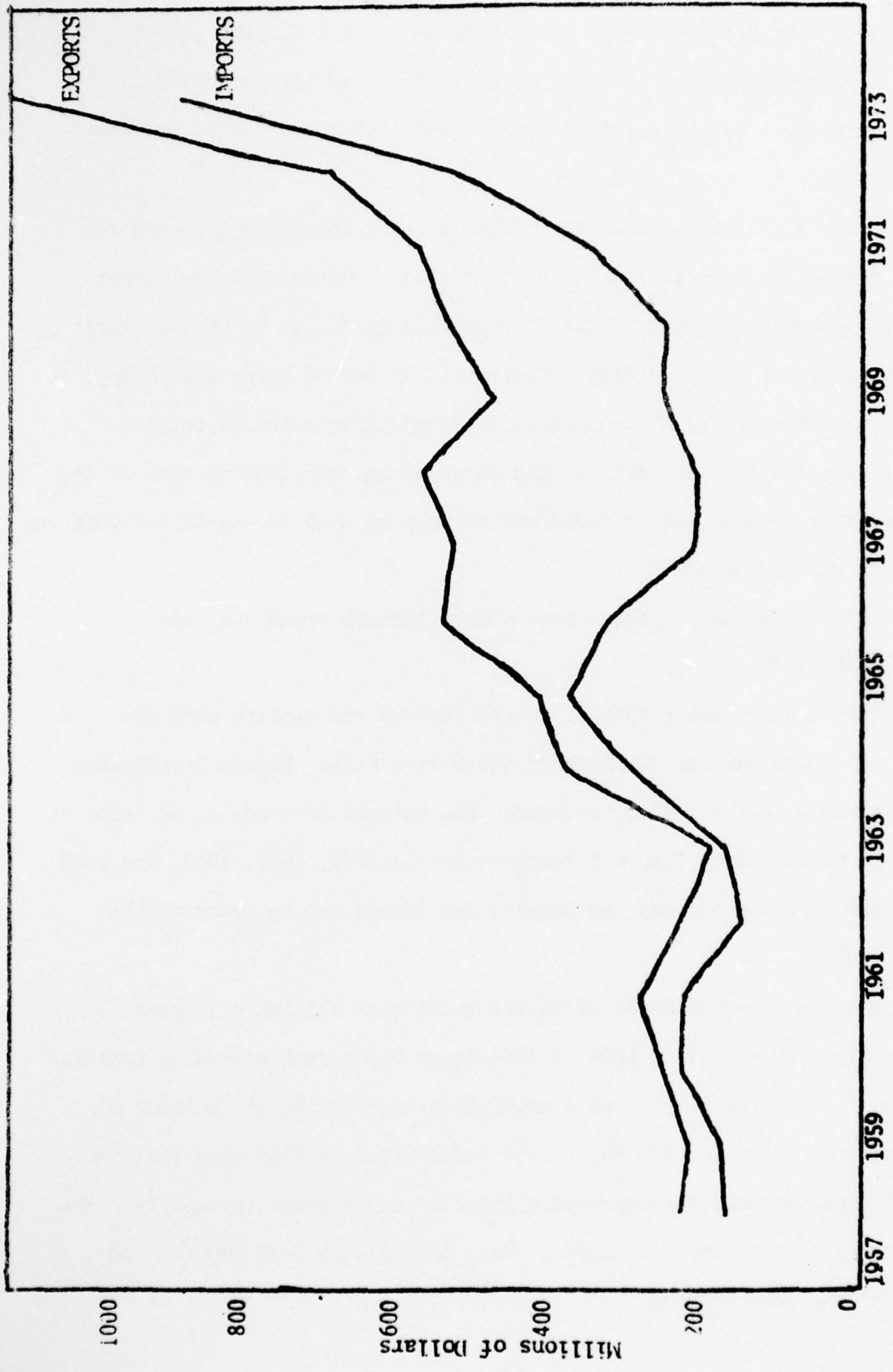


Figure 5
Soviet Trade with 111 Lesser Developed Countries 1958 through 1973

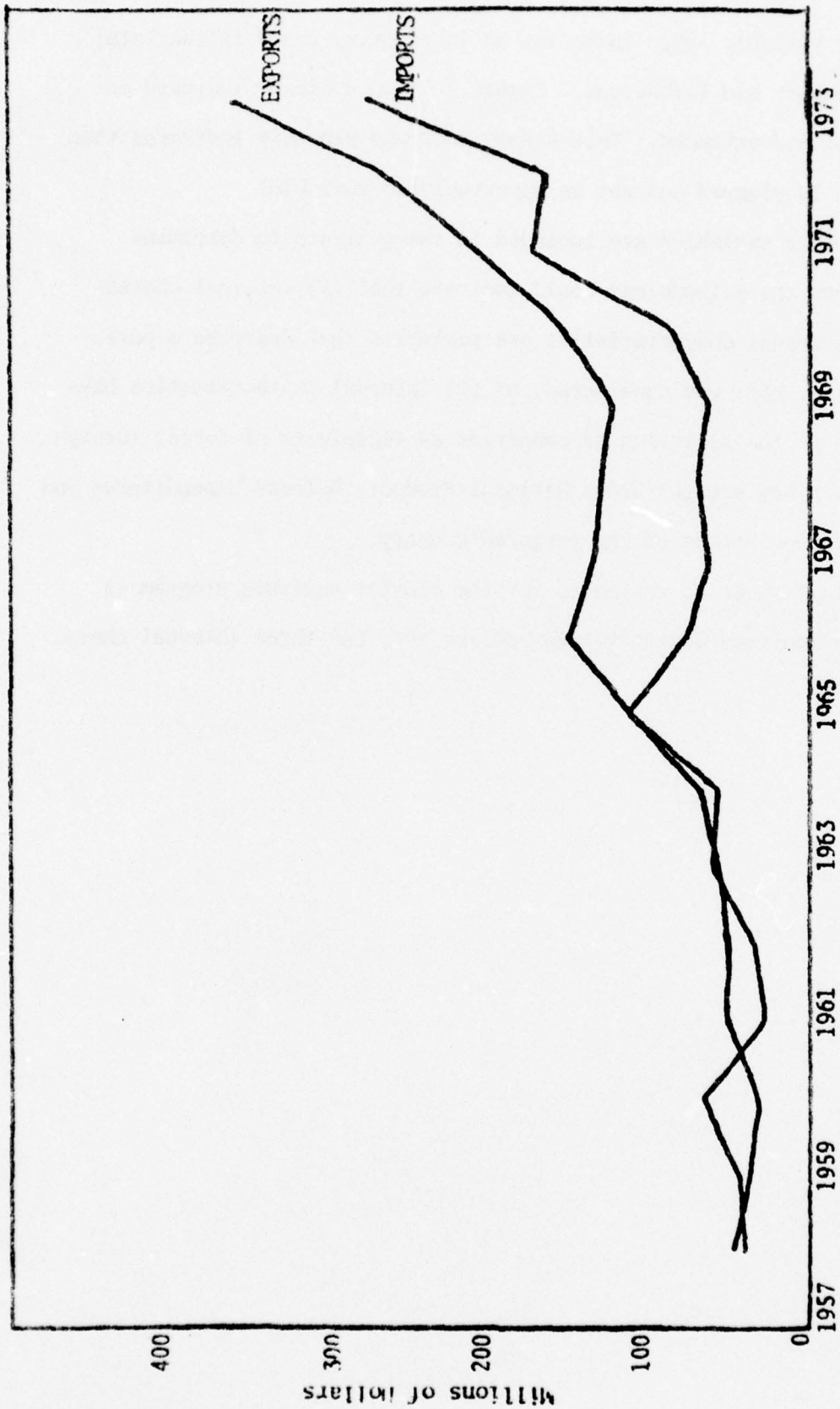


Figure 6

Soviet Trade with 42 African Countries 1958 through 1973

Another variable which indicates an interesting trend is the Total Value of Economic Aid Extensions. Figure 7 shows a steady increase in the amount of aid extended. This steady increase probably indicates that economic aid is planned and not an opportunistic variable.

Three other variables are included in the analysis to determine whether or not the methodology could indicate that (1) internal characteristics (internal characteristics are variables that describe a particular LDC, i.e. GNP) are considered, or (2) internal characteristics have an influence on the selection of countries as recipients of Soviet foreign policy acts. They are the Gross National Product, Defense Expenditures and Size of the Armed Forces of the targeted country.

The total number of variables for the cluster analysis program is seventeen -- fourteen Soviet foreign policy acts and three internal characteristics.

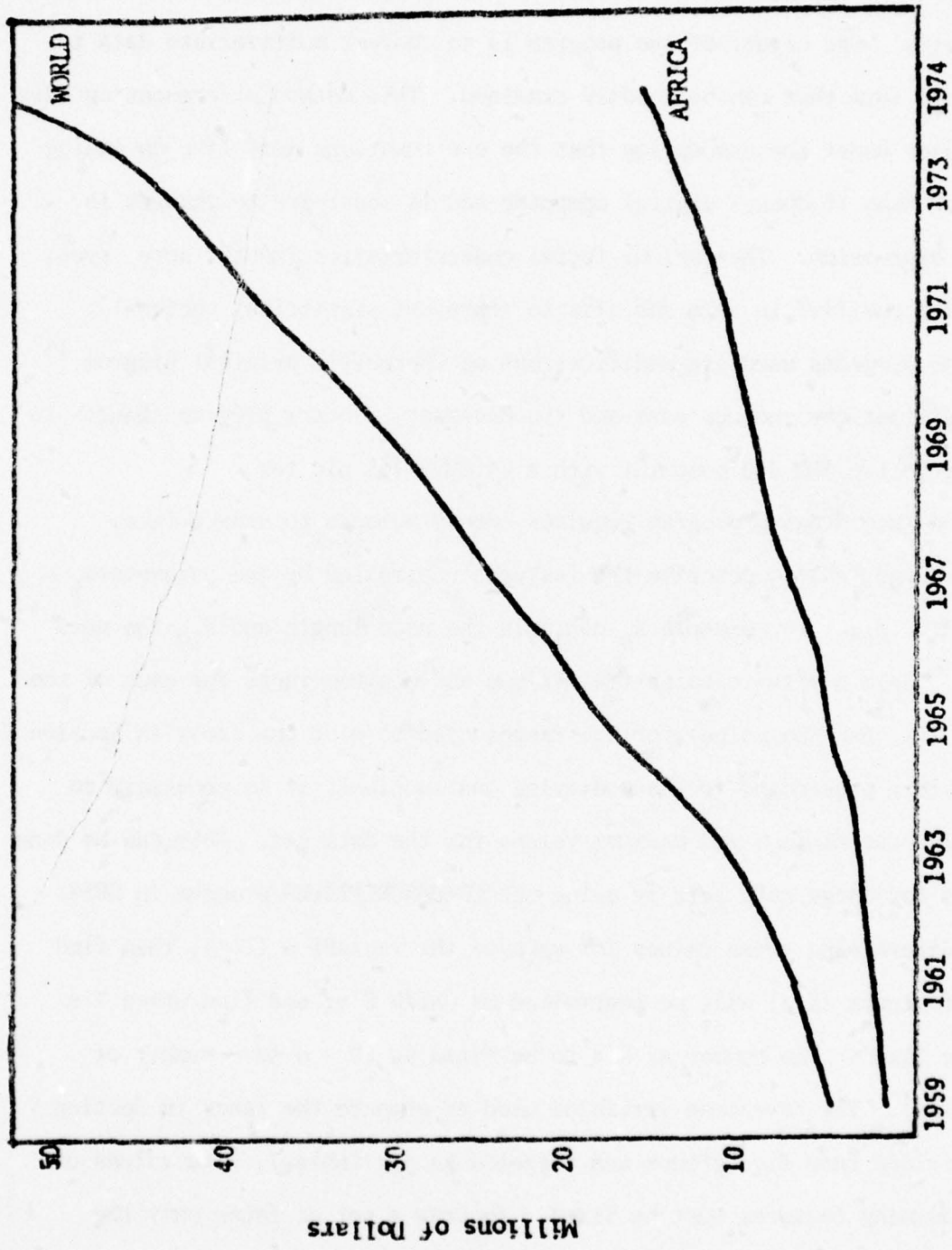


Figure 7
 Total Soviet Economic Aid Drawn 1959 through 1974

IV. REPRESENTATION OF MULTIVARIATE DATA WITH COMPUTER DRAWN FACES

The FACES program was developed by Professor Herman Chernoff at Stanford University. The object of the program is to convert multivariate data to a graphic form that can be readily examined. This method of presenting data was chosen under the assumption that the eye functions more like an analog computer than it does a digital computer and is sensitive to changes in facial expression. The various facial characteristics (mouth, nose, eyes, etc.) are modified in form and size to represent statistical vectors.

The programs used are modifications of Chernoff's original program.¹³ The modifications include ears and the necessary plotter program changes to operate on the IBM 360 computer with a CALCOMP 765 plotter.

The face drawing program requires twenty numbers to draw a face. Figure 8 and Table 6 describe the features controlled by the parameters X_1, X_2, \dots, X_{20} . For example X_6 controls the nose length and X_{20} the nose width. Table 6 also contains the maximum and minimum range for each of the twenty X's, and the values for the ranges used to plot the faces in Section V.

Before proceeding to the modifying instructions, it is necessary to determine the minimum and maximum values for the data set. This can be done quickly for large data sets by using the CONDESCRIPTIVES program in SPSS. After determining these values for each of the variables (Z's), then find which features (X's) will be controlled by which Z's, and find which X's will be fixed. The number of X's to be fixed is $20 - d$ (d = number of variables). The seventeen variables used to compute the faces in Section V were divided into five groups and targeted as per Table 7. The values of the remaining features must be fixed. To draw a set of faces only the computer input instructions require modification.

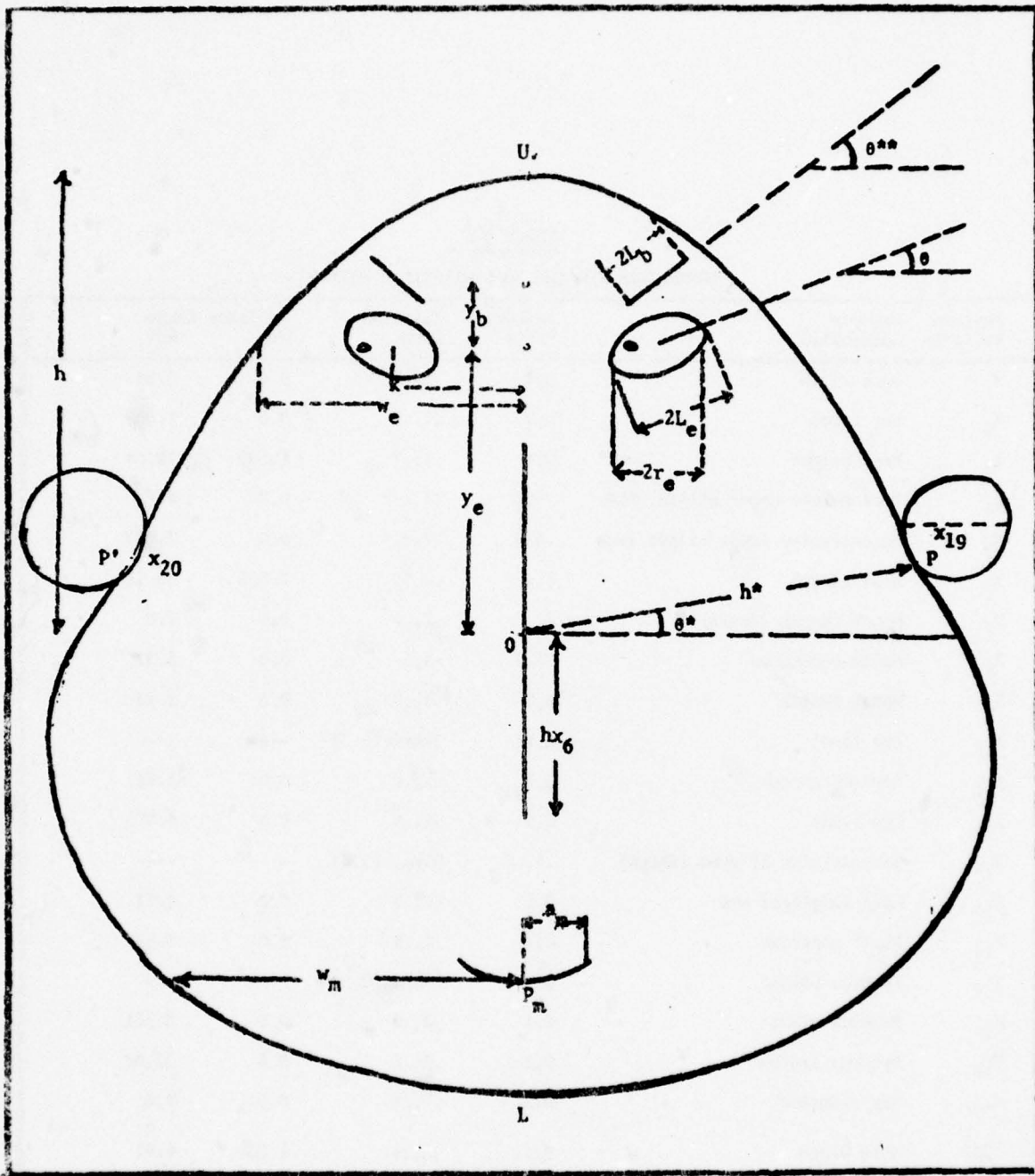


Figure 8

Chernoff Face with Ears

TABLE VI

PARAMETERS FOR THE 20 STATISTICAL VECTORS

| Feature Variable | Feature Controlled | Feature Range | Selected Range | Variance Min. | Range Max. |
|------------------|---------------------------------|---------------|----------------|---------------|------------|
| X ₁ | Face width | 0,1 | .1,.7 | 0.0 | 5.64 |
| X ₂ | Ear level | 0,1 | .1,.7 | 0.0 | 1,000 |
| X ₃ | Face height | 0,1 | .1,.7 | 5.500 | 18.04 |
| X ₄ | Eccentricity upper ellipse face | .5,2 | .7,1.7 | 0.0 | 4.73 |
| X ₅ | Eccentricity lower ellipse face | .5,2 | .7,1.7 | 0.0 | 2.829 |
| X ₆ | Nose length | 0,1 | .2,.9 | 3.005 | 16.52 |
| X ₇ | Mouth center (level) | 0,1 | .2,.8 | 0.0 | 7.0 |
| X ₈ | Mouth curvature | -5.5 | -5,5 | 0.0 | 5.32 |
| X ₉ | Mouth length | 0,1 | .2,.9 | 0.0 | 4.23 |
| X ₁₀ | Eye level | 0,1 | Fixed (0.3) | ---- | ---- |
| X ₁₁ | Eye separation | 0,1 | .2,.8 | 0.0 | 5.84 |
| X ₁₂ | Eye slant | 0,4 | .1,.8 | 0.0 | 4.873 |
| X ₁₃ | Eccentricity of eyes (shape) | .4,.8 | Fixed (0.6) | ---- | ---- |
| X ₁₄ | Half length of eye | 0,1 | .4,.8 | 0.0 | 4.71 |
| X ₁₅ | Pupil position | 0,1 | .2,.9 | 0.0 | 5.51 |
| X ₁₆ | Eyebrow height | 0,1 | Fixed (0.5) | ---- | ---- |
| X ₁₇ | Eyebrow slant | 0,1 | .2,.6 | 0.0 | 3.761 |
| X ₁₈ | Eyebrow length | 0,1 | .4,.8 | 0.0 | 31.64 |
| X ₁₉ | Ear diameter | 0,1 | .1,.5 | 0.0 | 9.0 |
| X ₂₀ | Nose width | 0,1 | .2,.8 | 1.00 | 4.41 |

TABLE VII
VARIABLE ASSOCIATION

| VARIABLE NAMES | FEATURE NUMBER | FEATURE DESCRIPTION |
|---|----------------|----------------------|
| PEOPLE CONTACTS | | |
| Academic Students | X_2 | Ear level |
| LDC Technicians Departing | X_{17} | Eyebrow slant |
| Soviet Economic Technicians in the LDC | X_{18} | Eyebrow length |
| MILITARY PERSONNEL (MIL PERS) CONTACTS | | |
| Soviet Mil Pers in the LDC | X_1 | Face width |
| LDC Mil Pers in the Soviet Union | X_4 | Upper elipse of face |
| Port Visits by Soviet Naval Units | X_5 | Lower elipse of face |
| ECONOMIC CONTACTS | | |
| Economic Agreements | X_{19} | Ear diameter |
| Imports | X_{11} | Eye separation |
| Exports | X_{12} | Eye slant |
| Economic Aid Extended | X_{15} | Pupil position |
| Yearly Economic Aid Drawings | X_{14} | Half-length of eye |
| MILITARY AID CONTACTS | | |
| Military Aid Agreements | X_7 | Mouth level |
| Military Aid Extensions | X_8 | Mouth curve |
| Military Grants and Discounts | X_9 | Mouth length |
| LDC CHARACTERISTICS | | |
| Gross National Product | X_3 | Face height |
| Size of Defense Budget | X_6 | Nose length |
| Size of Armed Forces | X_{20} | Nose width |
| FIXED FEATURES | | |
| Fixed | X_{10} | Eye level |
| Fixed | X_{13} | Eye shape |
| Fixed | X_{16} | Eyebrow height |

V. OTHER APPLICATIONS OF THE FACES PROGRAM

Chernoff published his first article on graphic representation of multivariant data using faces in the Journal of the American Statistical Association in 1971.¹⁴ Following the publication of this article, a number of people working in various fields used this program. Some of these efforts are mentioned below.

Lawrence A. Bruckner of the Los Alamos Scientific Laboratory of the University of California, working under the auspices of USERDA (United States Energy Research and Development Administration), is studying the performance of ten offshore oil groups.¹⁵

In 1973 Chernoff applied his methodology to a geological experiment in which he used faces to represent the mineral contents from fifty-three equally spaced samples from a 4500 foot core drilled into a Colorado mountain.¹⁶

Probably the most innovative follower of Chernoff's work is Bud Goode of Bud Goode's Sports Computer in Studio City, California. Goode has established his own sports consulting service for major league sports and provides his services to several broadcasting networks who use his faces to predict the results of televised football games. A significant contribution which Goode made to the faces concept was his use of a full character (football player) to represent the data rather than using just the faces.

Goode's latest project is representing trends in U.S. Supreme Court decisions. Future work will include modeling of Congress and of an entire newspaper. He believes that computerized statistical graphical methods will provide useful insight in many areas as long as the messages are simple,

direct and can be quickly grasped. ¹⁷

Another pioneer in computer graphics is Dr. Carol M. Newton of UCLA Health Sciences Computing Facility. Dr. Newton and Jerry Johnson, senior systems programmer for the facility, have developed an interactive graphic (on-line) program in which the analyst works from a video display screen and experiments with his data. ¹⁸

In addition to the Chernoff faces, Newton and Johnson have developed on-line programs that perform statistical analysis with polygons, bar graphs, arrows and scattergrams. The work has been used in heart research, study of respiratory disease and comparative anthropology.

Johns Hopkins University has begun a number of projects using Chernoff faces. These projects are the result of research done primarily by William H. Huggins, former chairman of the Electrical Engineering Department, in his research on iconic communications. His primary work is in support of a project with the United States Public Health Service Hospital to develop a method of psychiatric screening. ¹⁹

Dr. David L. Huff of the University of Texas is the most recent person to use the Chernoff faces. He plans to use the methodology to develop urban regional indicators that measure quality of life.

VI. A FOREIGN POLICY APPLICATION OF THE FACES PROGRAM

This section presents the results of the FACE drawing program as applied to the twenty-five country Sub-Saharan African File. Section A takes a look at the long-term trends from 1964 through 1975. The faces represent a four-year average for the country they represent. Section B looks at the changes in the faces in twenty of the countries from 1968 through 1975. Five of the countries which had minimal contact with the Soviet Union were omitted.

A. SOVIET POLICY, 1964 THROUGH 1975.

Figure 9 is a representation of the three families (groupings based on similarity of features) of Soviet foreign policy acts into which the twenty-five countries are grouped. Group one of Figure 9 is constructed using the maximum values for the fourteen foreign policy acts selected for this experiment. The three internal values represent the average for all twenty-five countries. Similarly, group two is constructed with the average values and group three with the minimum values. As with group one, the internal variables were constructed with the mean values.

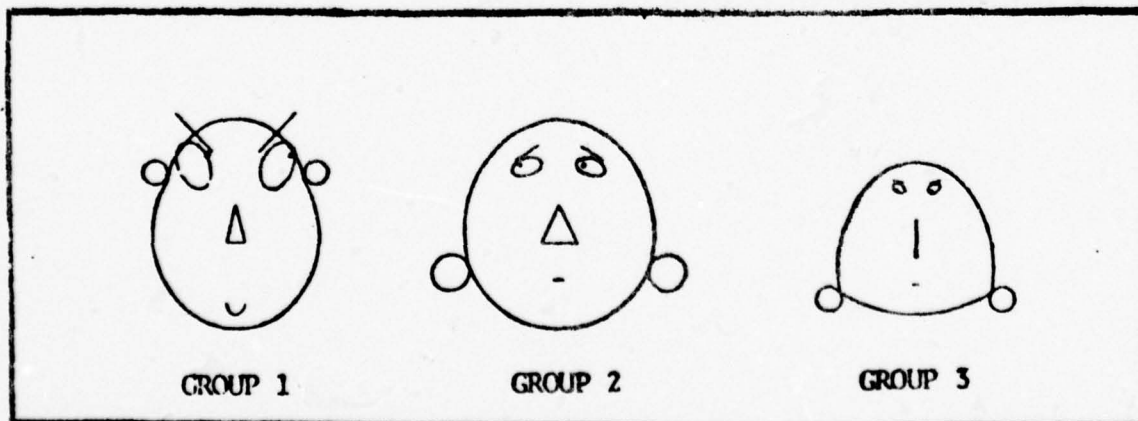


Figure 9 The Three Family Groups of Soviet Foreign Policy Acts.

The validity of using intentional targeting, rather than random targeting, was assessed by a sample test of the data. This assessment was accomplished by giving two sets of twenty-five faces each, one set with the variables intentionally targeted and the other randomly targeted, to two independent subjects and asking each of them to arrange each of the two sets into three families. The results of the two tests were then compared and the findings were that fewer grouping errors occurred in the intentionally targeted sets and the groupings compared with the three faces in Figure 9. Figure 10, which represents Soviet relations with the twenty-five Sub-Saharan African countries from 1964 through 1968, illustrates the data used in this test. It was therefore decided to use the intentional targeting method over random targeting and the faces in this chapter were drawn as previously stated in Section IV.

A comparison of Figures 10, 11 and 12 revealed some interesting facts concerning Soviet foreign policy: 1) an increase in Soviet efforts over the whole area, rather than in selected areas, was indicated by the tendency of the faces to fall into Group Two; 2) Sino-Soviet competition in Africa was supported by two look-alike faces moving from Group One to Group Two in all three figures. A check of the data verified that these two countries (Uganda and Tanzania) had been recipients of aid from the PRC and the USSR.

The expressions of the three countries (faces with worried looks) in Group One of Figure 10 (Peoples Republic of the Congo, Uganda, and Tanzania), are influenced by the economic contacts and people contacts shown in Table 7 (Section IV). The ear diameter and pupil position indicate a willingness for economic involvement on the part of the Soviets, but the eye and eyebrow indicate that little follow-through of initial effort is apparant. The pupil position and ear height of Kenya in Group Three of Figures 10 - 12 provide an

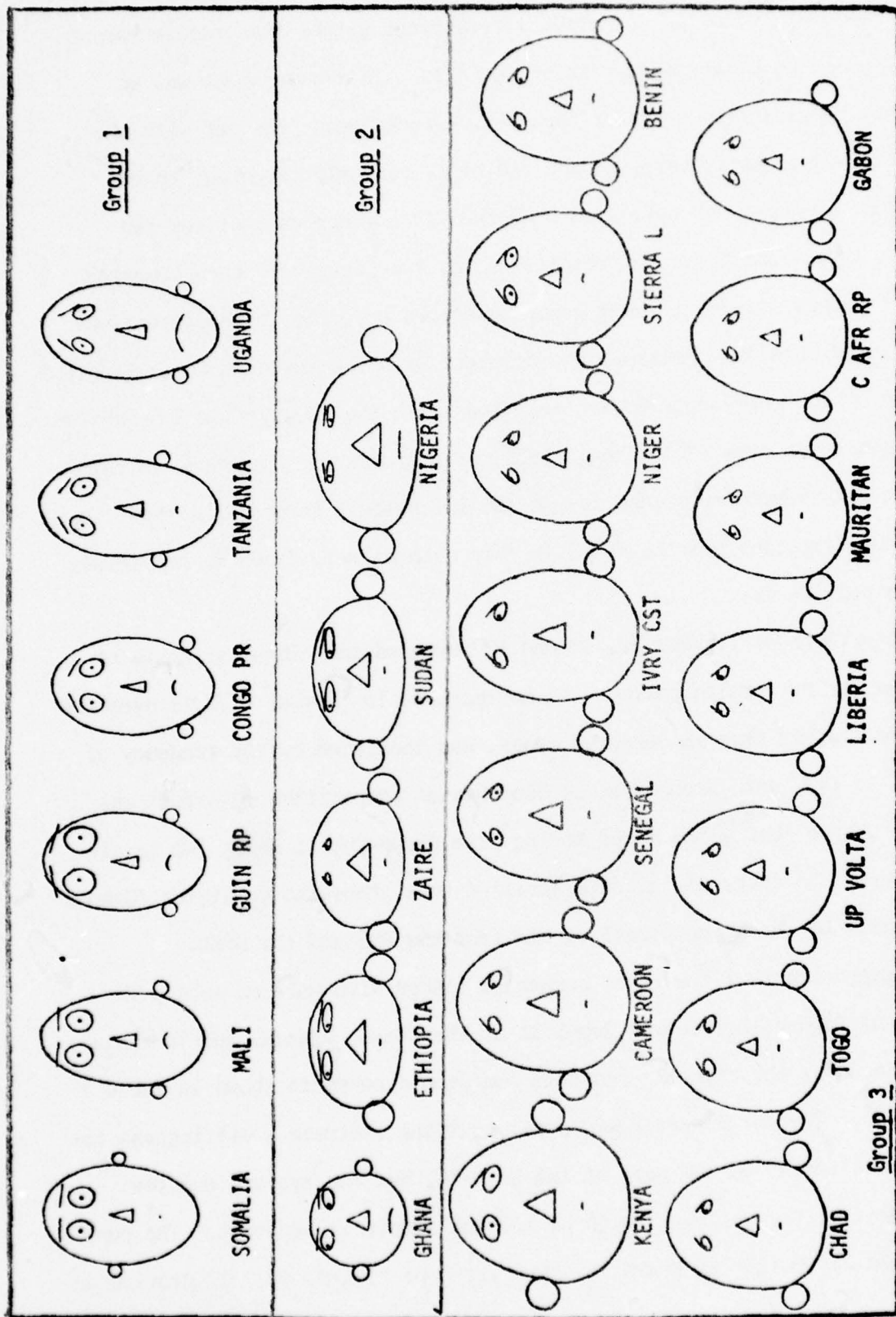


Figure 10. Soviet Foreign Policy Faces 1964 Through 1967

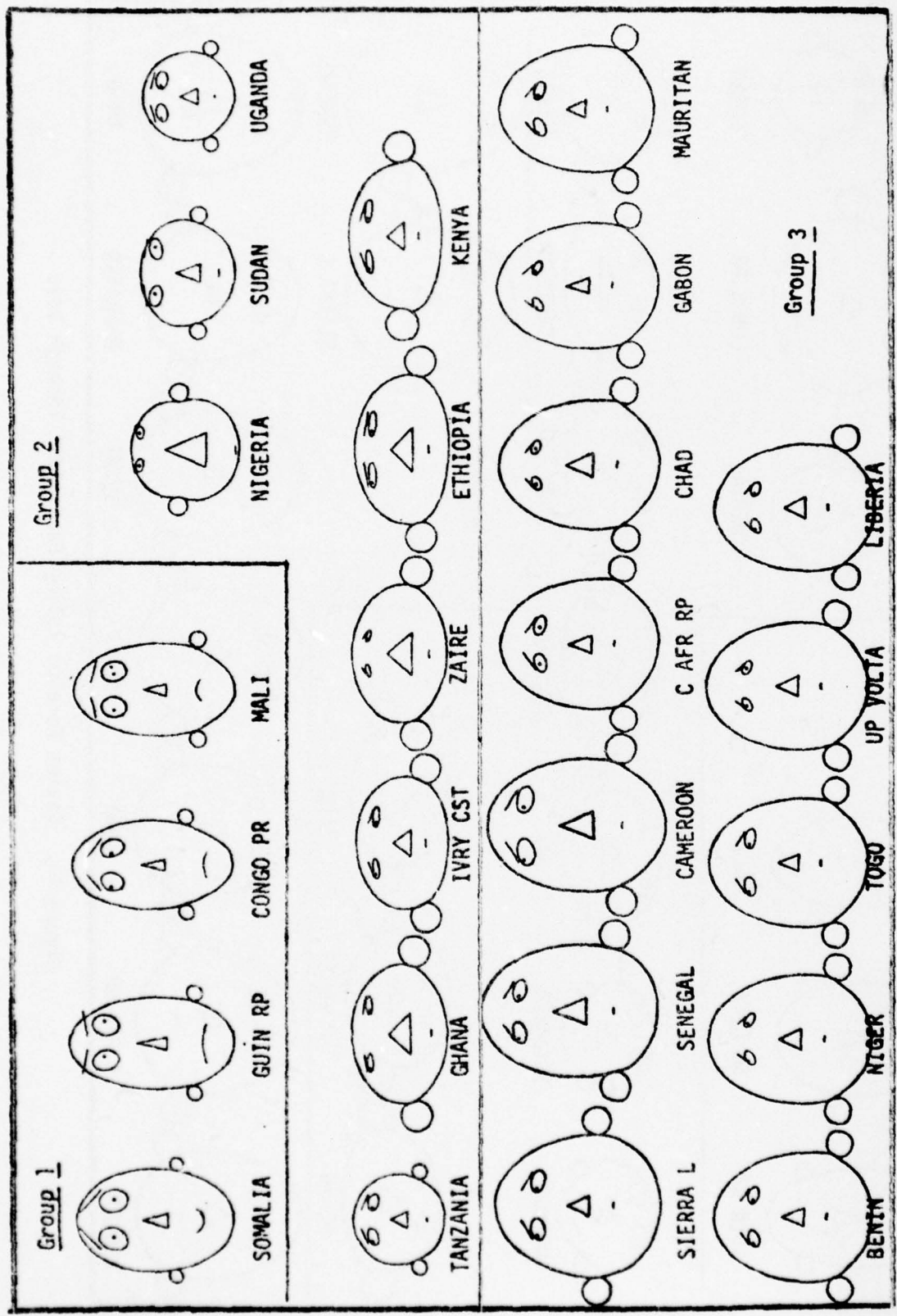


Figure 11. Soviet Foreign Policy Faces 1968 Through 1971

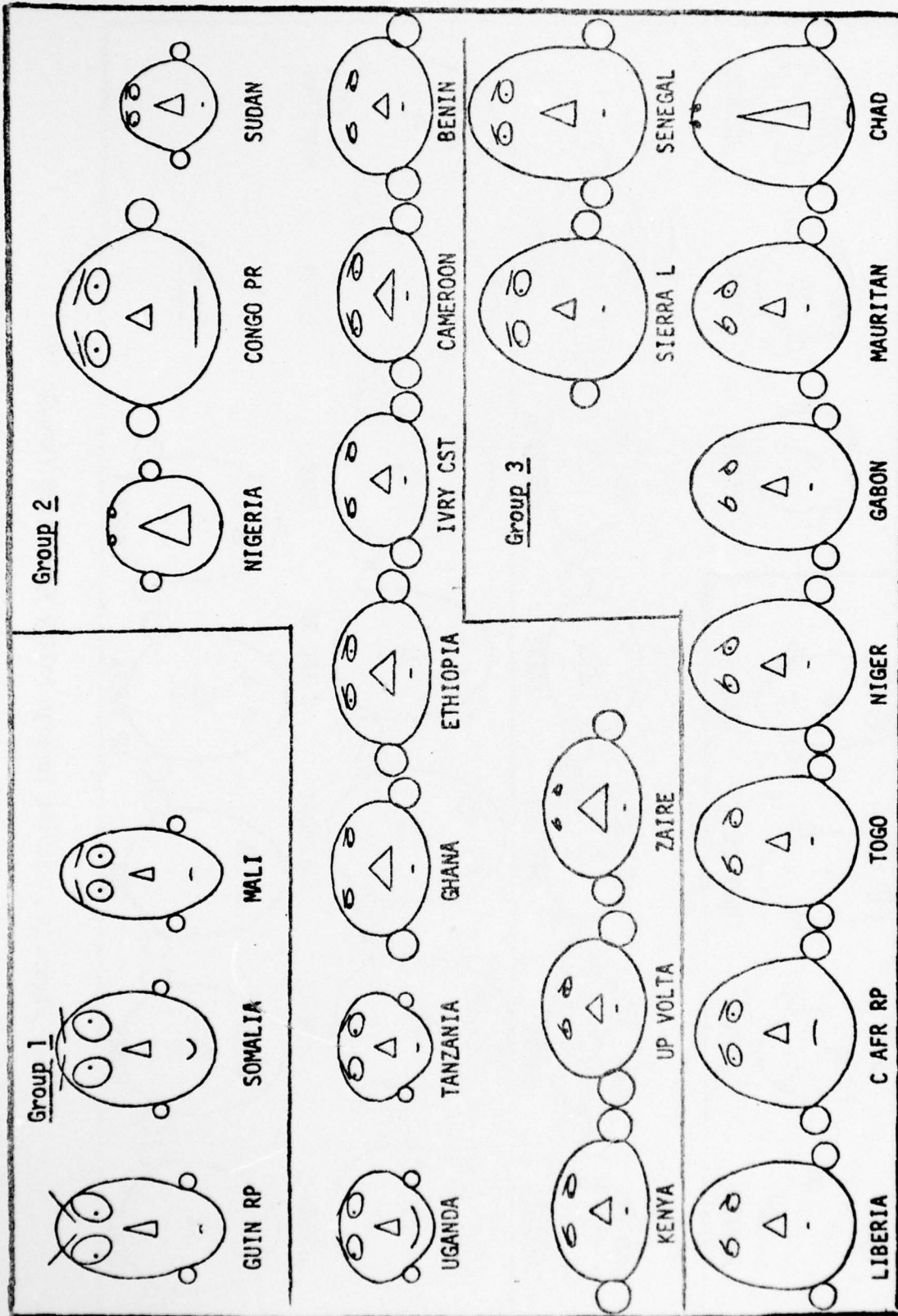


Figure 12. Soviet Foreign Policy Faces 1971 Through 1975

early economic indicator. The country showing the most upward mobility between Figures 10 and 11 is Sudan. But in Figure 12 the change in face width, indicates that the number of Soviet military personnel decreased in the final time period.

In summary, Figures 10, 11 and 12 appear to indicate the existence of a stable policy overall in the region. Some evidence of the Sino-Soviet competition is apparent with an overall loss for the Soviets. The three countries in Group One in Figure 12 are in Group One in Figure 10 and 11 also.

B. SELECTED YEARLY FACES FROM 1968 THROUGH 1975

Figures 13 through 19 represent the faces of Soviet foreign policy in twenty countries on a yearly basis from 1968 through 1975. Each country is represented by two rows of faces, reading from left to right for the years 1968 through 1975. There are three countries per figure except for Figure 14 which represents only two countries, Nigeria and the Peoples Republic of the Congo. Figure 13 presents the faces with the highest values and Figure 19 presents the faces with the lowest values for the set.

Figure 13 shows a Soviet pattern present in Guinea, Somalia and Mali Republic. In each of the three sets of faces, the length of the eyebrow (number of Soviet economic technicians in the country) is followed by a change in the angle of the eyebrow (number of LDC technicians departing for training in the USSR) then by a change in pupil position (economic aid extended). Another indicator is in the relationship between the angle of the eyebrows and the eccentricity of the forehead (LDC technicians and military personnel departing for the Soviet Union). Until the angle of the left eyebrow reaches

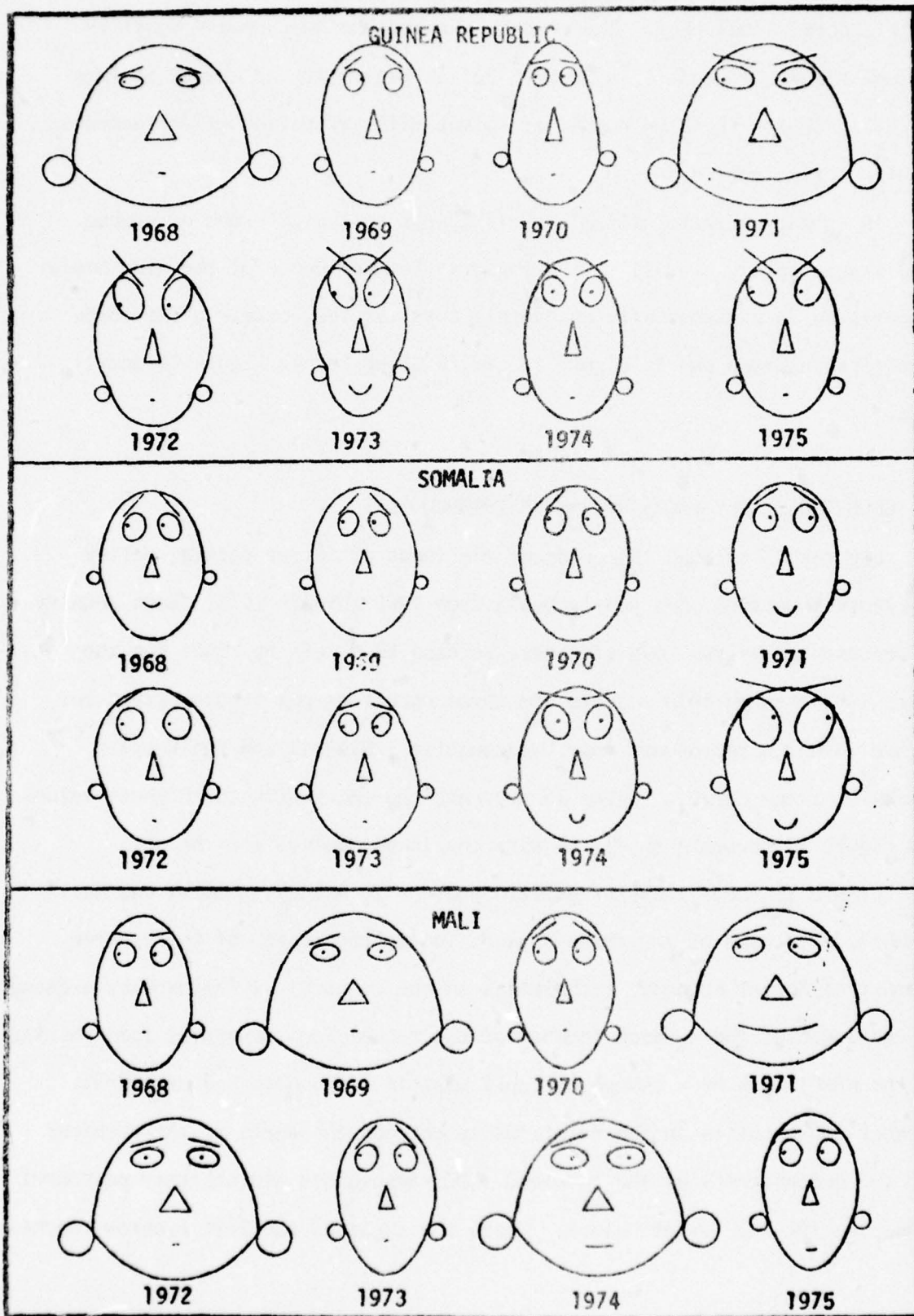


Figure 13. Changing Faces 1968 Through 1975

a horizontal plane in clockwise rotation, it appears to be a tangent of the eccentricity of the upper ellipse of the face. A long smiling mouth (curvature is controlled by value of military aid extension--the more the happier, and mouth length is controlled by the size of grant or discount) is a relationship that only occurs in four countries, the three in Figure 13 and the Peoples Republic of the Congo in 1975 (Figure 14). It is also usually preceded by a decrease in ear diameter (number of economic agreements) and a lowering in the height of the mouth (increase in number of military aid agreements).

Figure 14 presents two of the more interesting groups of faces, Nigeria and Peoples Republic of the Congo. Nigeria has all the early indicators, i.e., large number of students in the Soviet Union (ear height), economic aid agreements (ear diameter) several military aid agreements (as the number of aid agreements increase, the mouth level drops) and Soviet military personnel present (face width). Also noticeable is the eccentricity of the chin (increasing number of port visits) for 1969, 1970 and 1975. In 1968, 1974 and 1975 the upper ellipse of the face indicates substantial numbers of Nigerian military personnel departing for training in the Soviet Union. Still these faces present a strange appearance. This uniqueness is explained by the eyebrows, eyes and the nose. Economic aid and trade is low (eyes and eyebrows), GNP is high (face height, as values increase height decreases) and it has a large defense budget and large armed force (nose height and width respectively). 1971 indicates, by pupil movement, that substantial economic aid grant was offered, but there was no indication of acceptance.

Peoples Republic of the Congo shows an overall increasing trend toward increased Soviet contact with a slight setback in economic relations in 1973.

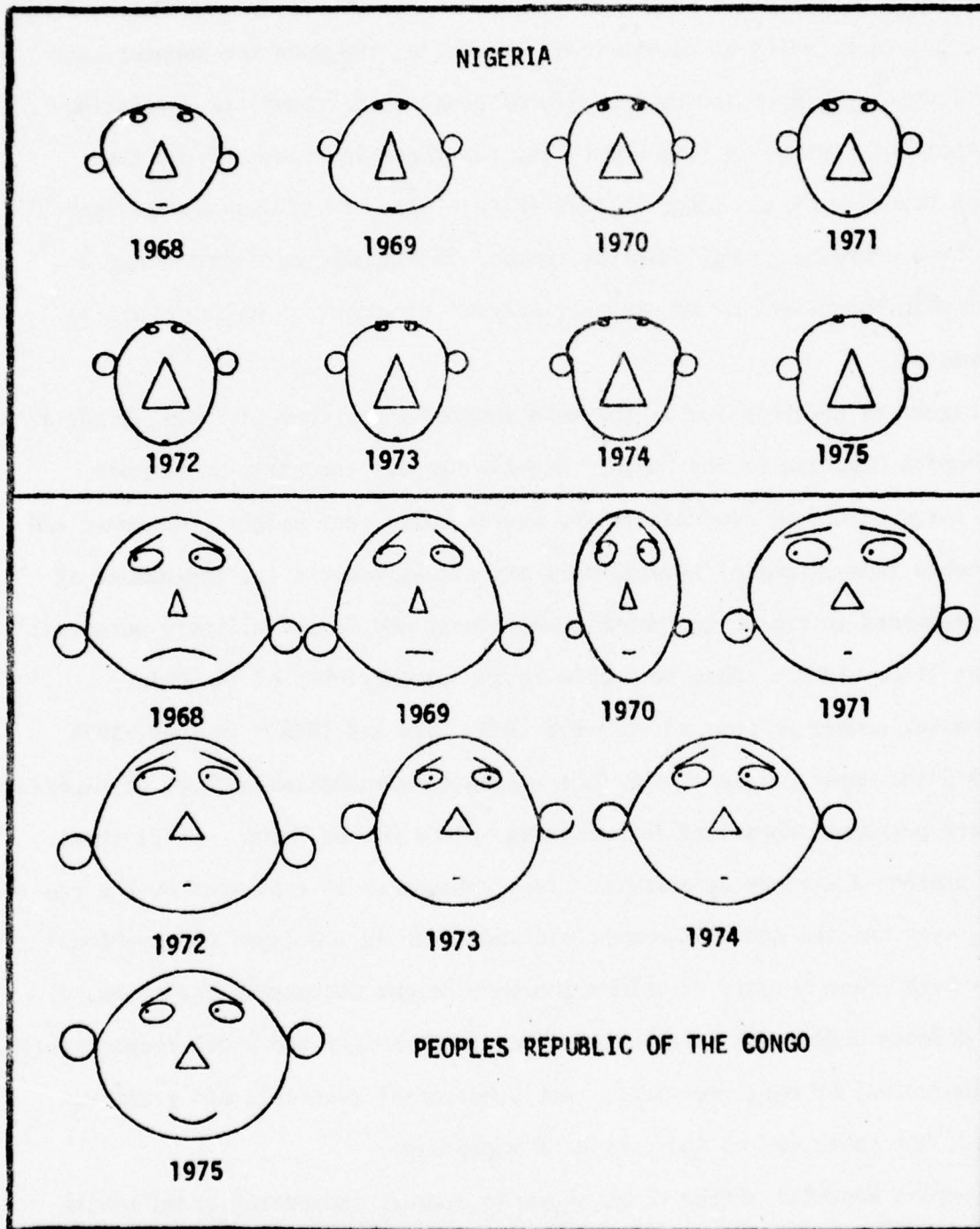


Figure 14. Changing Faces 1968 Through 1975

The smiling face of 1975 would be the one of most concern to an analyst as it indicates large grants and discounts as well as large military aid extensions and several port visits.

The first set of faces in Figure 15 indicates that Soviet presence in Sudan was well-established in 1968. The smile in 1968 shows a large military aid extension (mouth curvature), but no discounts (mouth length). Other 1968 indicators are large economic aid drawing (eye slant) and large number of Soviet economic technicians (eyebrow length). A large economic extension (pupils), increase in students (ear height) which reaches its height in 1970, and port visits by Soviet naval units (chin) are shown in 1969. In 1971 a turn for the worse for the Soviets begins to appear. The eyebrows start a counter-clockwise rotation followed in 1972 by a similar pattern with eye slants. In 1974 a sharp increase in the number of Soviet technicians occurs in an apparent effort to save its program in Sudan. This was followed in 1975 by a large withdrawal of Soviet military personnel.

The second set of faces in Figure 15 are those illustrating Soviet penetration in Uganda. 1970 begins a period of steady economic growth for the Soviets above the mean value for the data set. The eyebrows and eyes begin their rotations in 1970 and continue even through 1971 and 1972 when there is a decrease in the number of Soviet military personnel (face width). The period 1973 through 1975 is a time of steady gains for the Soviets in Uganda. The four features with the most significant change are: ear diameter (economic aid agreements); half length of the eye (yearly economic aid drawing); eyebrow length (increase in the number of Soviet economic technicians); and face width (increase in number of Soviet military personnel). The large smile in 1974 indicates Uganda received the most difficult of the foreign policy

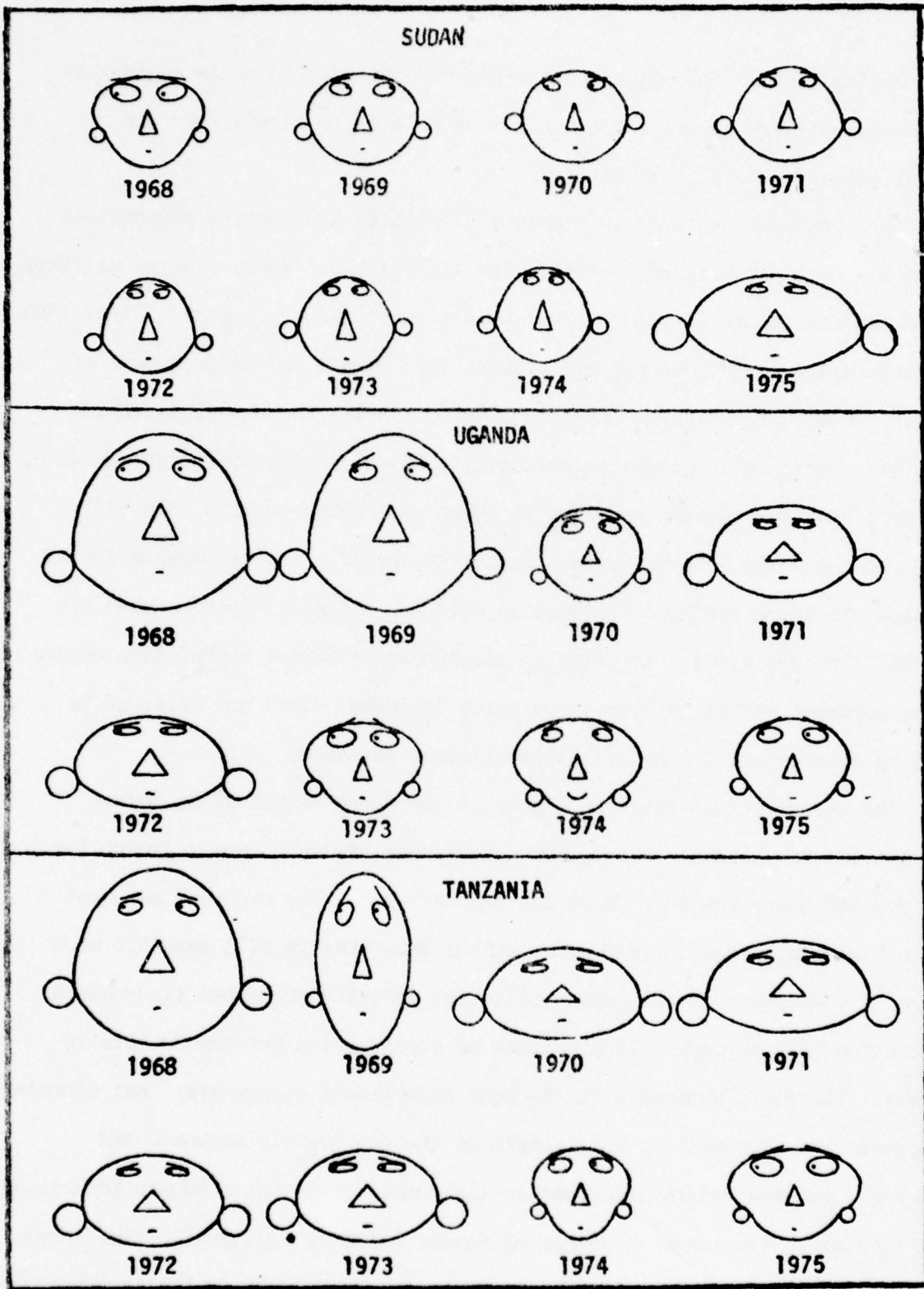


Figure 15. Changing Faces 1968 Through 1975

acts--a large military extension combined with a substantial grant or discount.

The final set of faces in Figure 15 illustrates Soviet penetration in Tanzania. As previously discussed in Section A of this section, Tanzania and Uganda present a similar pattern of Soviet activities. Figure 15 presents the similarity more clearly. In 1969 the upper ellipse of the face shows a large number of military personnel departing for the Soviet Union which drops off again in 1970. Also indicated in 1970 is a decrease in the number of port visits. An increase in Soviet economic technicians is indicated in 1969. This increase establishes a trend for this variable that continues through 1975. A decrease in the number of Soviet military personnel is shown from 1970-1974. The Soviet face for Tanzania in 1974 is very similar to the Soviet face for Uganda in 1973. These two latter faces indicate a possible trend which can be stated roughly as follows: when relations are restored after a setback, they rapidly return to and often exceed the level of prior activity.

The next six sets of faces shown in Figures 16 and 17 all have moderate relations with the Soviet Union. Some effort of penetration is apparent in Ghana, Figure 16, through changes in ear level, eye shape, eyebrow length and the structure of the mouth. The face for 1975, however, reveals that little success has so far resulted from the efforts. The second set of faces in Figure 16, Ethiopia, shows a more favorable face each year towards the Soviets. The only noticeable change in the Ivory Coast, Figure 16, is in imports, exports and the number of naval port visits.

Cameroon, shown in Figure 17, demonstrates some activity in the eye and eyebrow. A slow increase in the number of economic technicians is paralleled by similar increase in trade and economic aid drawings. A shift

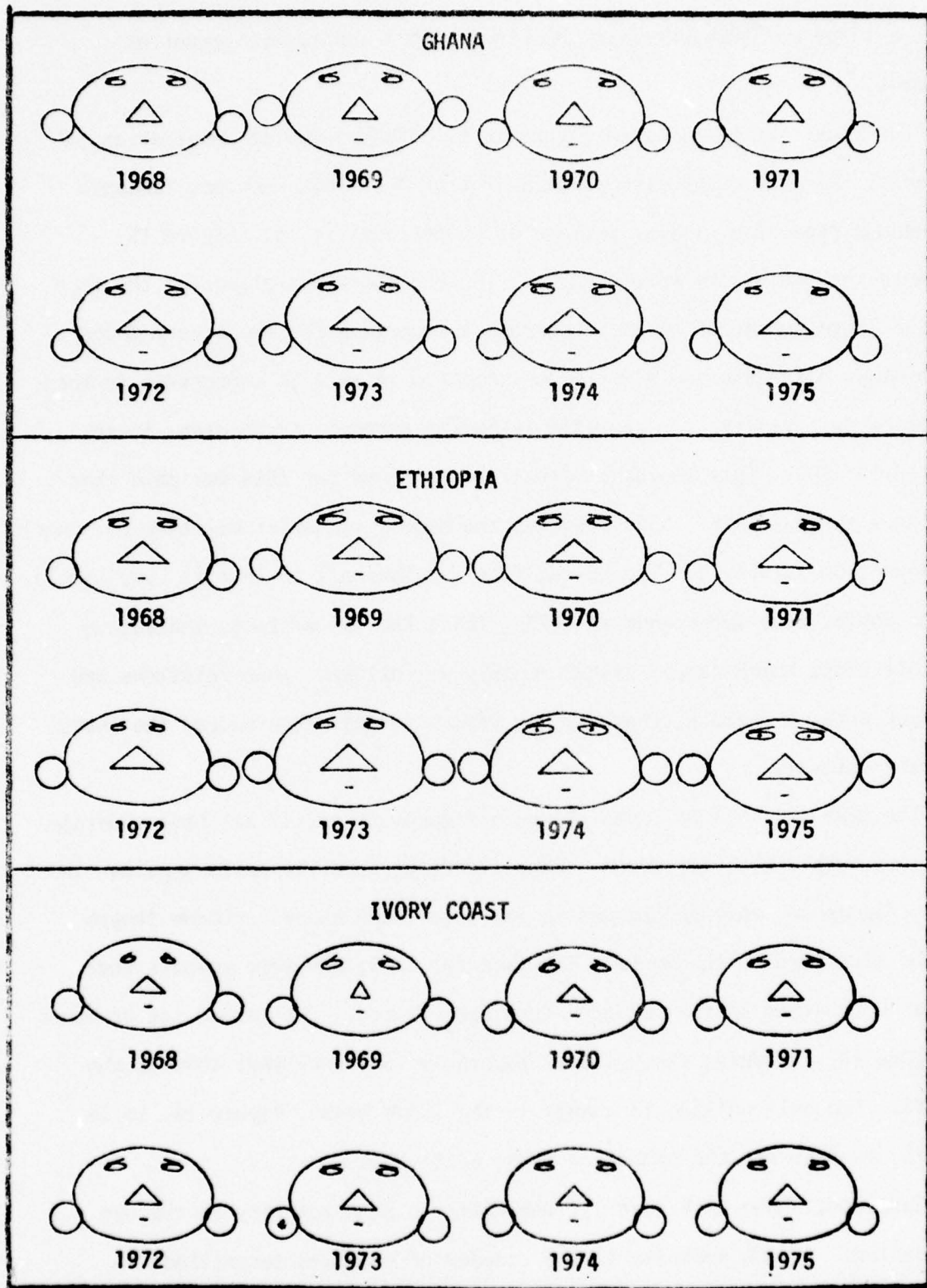


Figure 16. Changing Faces 1968 Through 1975

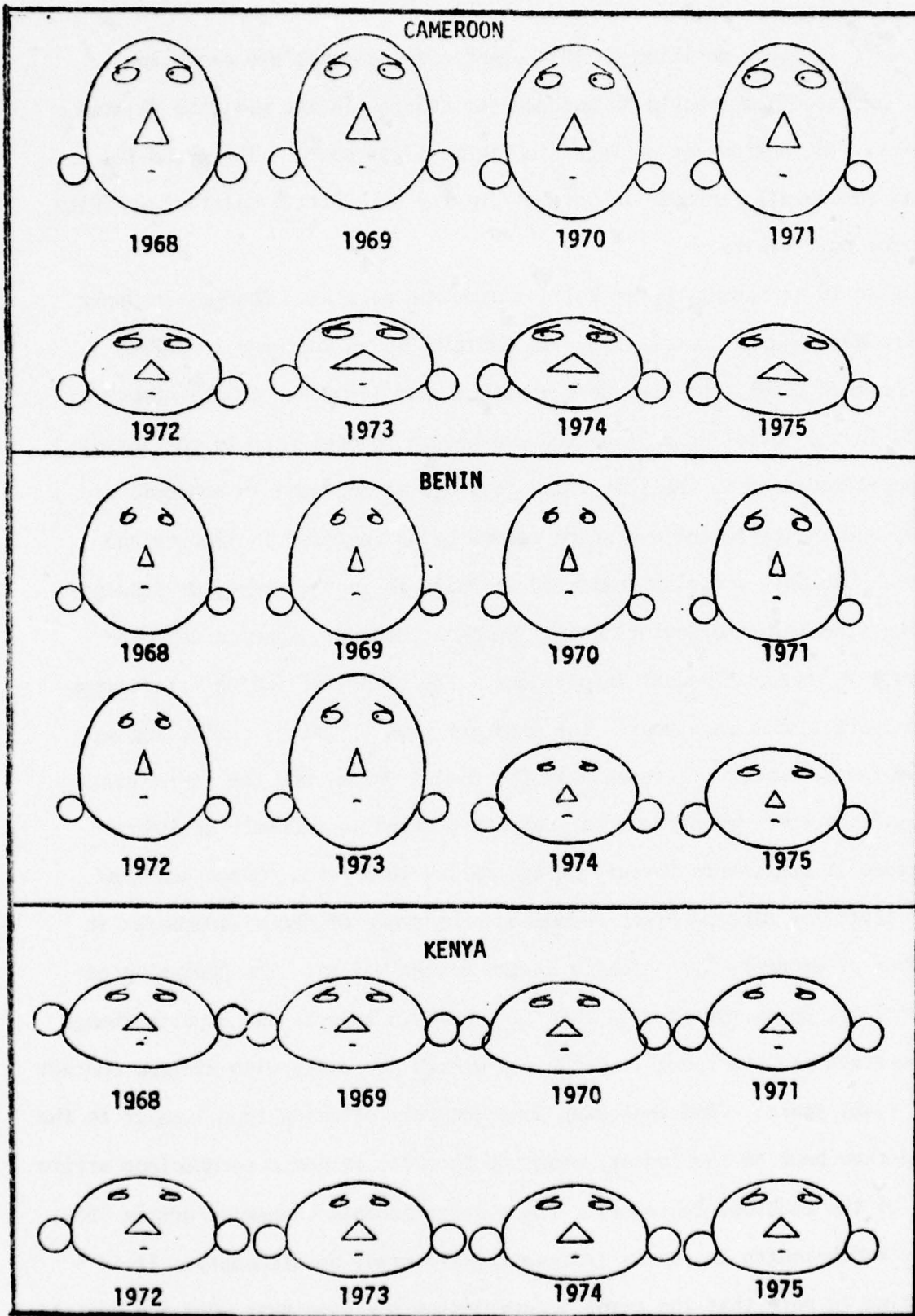


Figure 17. Changing Faces 1968 Through 1975

to the left in pupil position in 1974 signals an economic aid extension. Future Cameroon faces should be watched for changes in the military related variables. The bottom set of faces in Figure 17 is Kenya. The trend for Kenya is an overall decrease in Soviet activity with little military activity, except for port visits.

Figure 18 represents Upper Volta, Zaire and Senegal. Changes in Upper Volta are not apparent until 1973. In addition to an increase in GNP to above the mean level, the ears show a slight rise (increase in the number of students in the Soviet Union) and the eyes begin to open more to the Soviet view (pupil movement to the left which reflects an increase in economic aid extended and change in the eye shape caused by an increase in imports and exports). The only activity indicated in Zaire is in the number of students attending school in the Soviet Union. Senegal, however, shows a definite potential for increased Soviet involvement. The elipse of the chin indicates numerous port visits each year. The ears are slowly rising, reflecting an increase in the number of students in the Soviet Union, and the variables in and around the eyes demonstrate an increasing trend in economic activity.

Figure 19 represents Soviet foreign policy in Liberia, Gabon and Chad. The ear level for Liberia rises throughout the range of faces (increases in the number of students from Liberia in the Soviet Union). The beginning of trade activity opens the eyes in 1974 (increase in imports and exports change eye separation and eye slant). Gabon represents a country with minimum contact for all eight years. Chad indicates some economic offering (pupil shift to the left and then back to the center) starting in 1973, economic technicians arrive (length of the eyebrows increase). The most noticeable change occurs in 1975, when the mouth length increases (large military grant or discount). It is interesting to note that the grant occurs during the same year when the Soviets

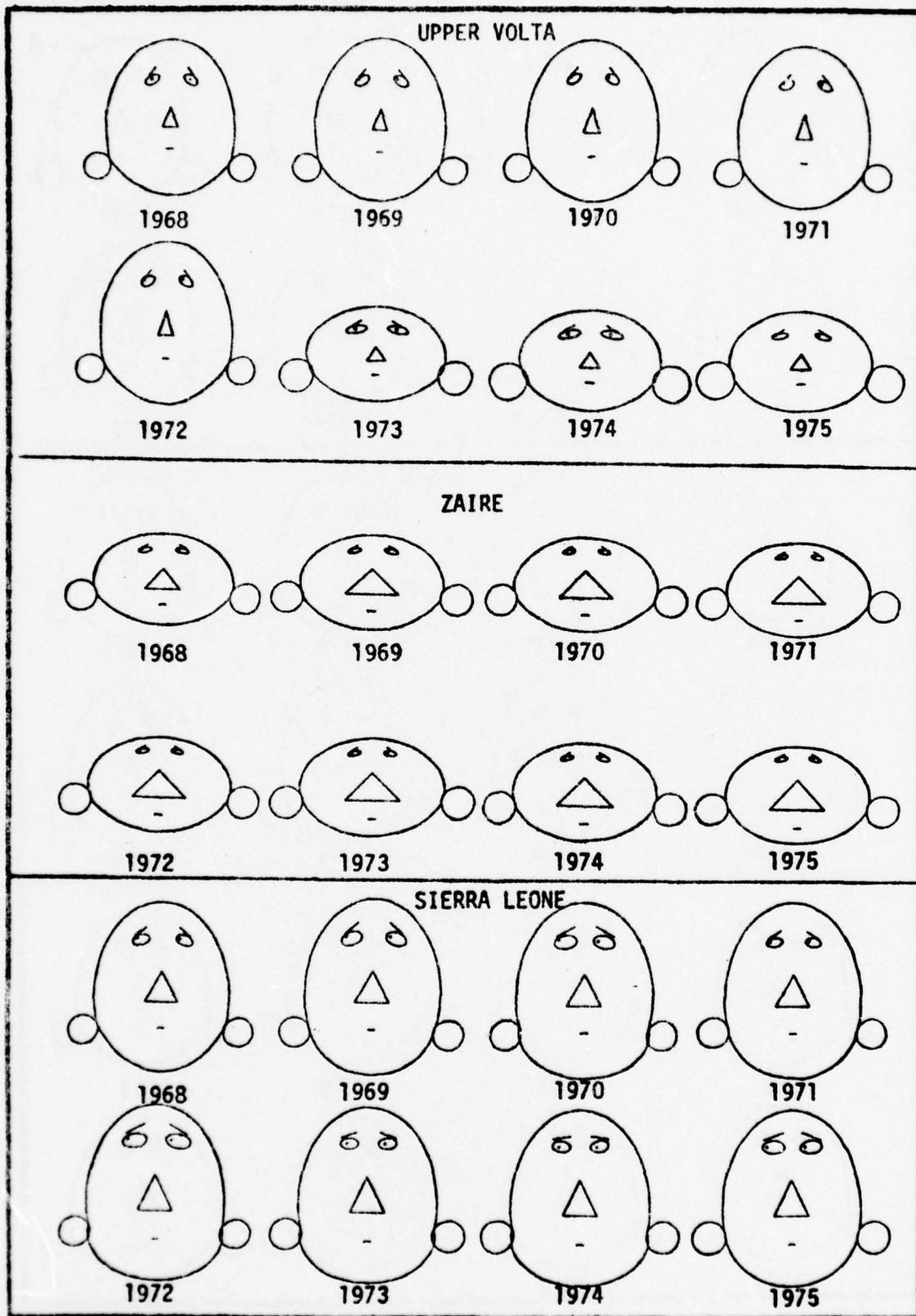


Figure 18. Changing Faces 1968 Through 1975

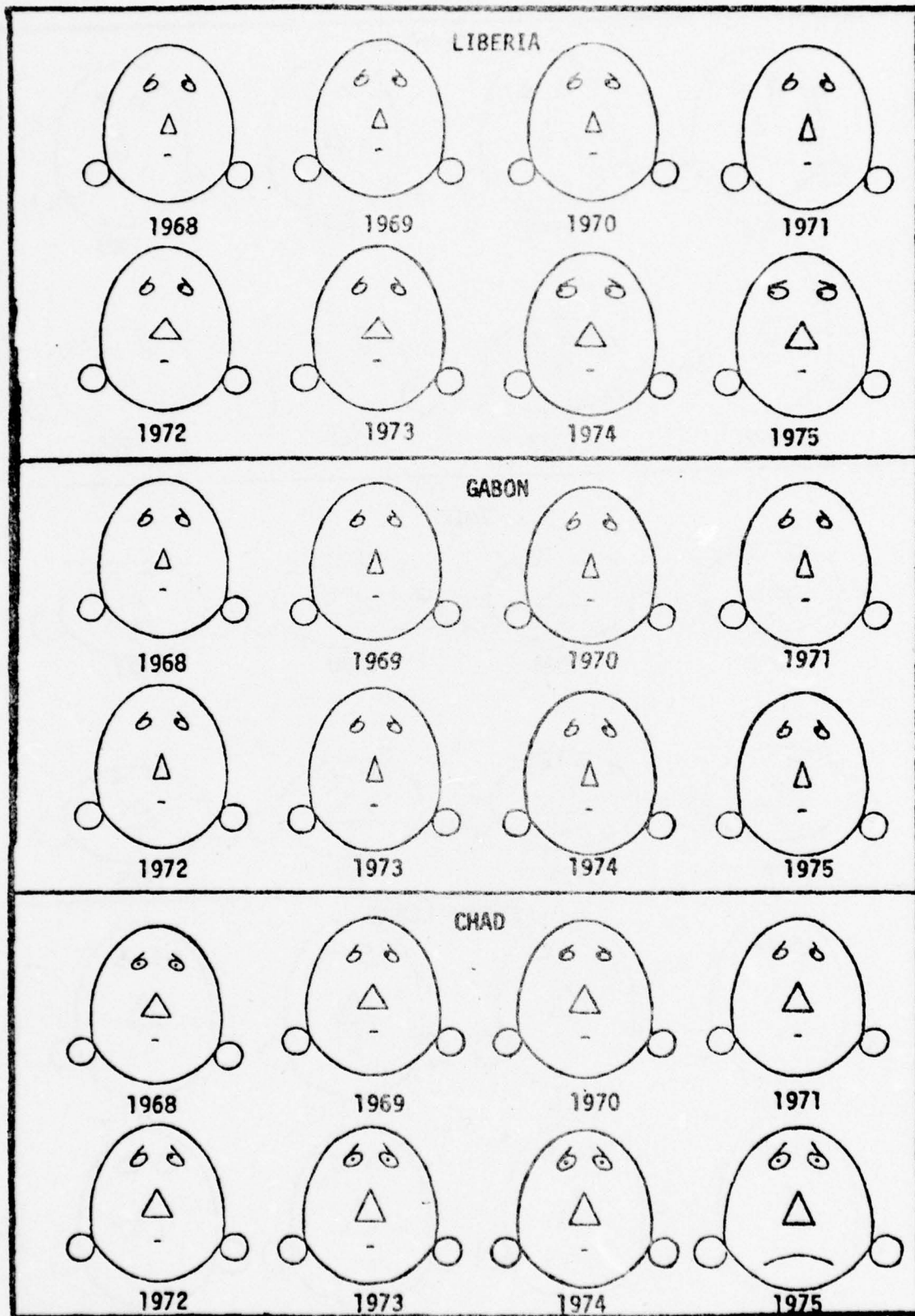


Figure 19. Changing Faces 1968 Through 1975

are experiencing difficulty in neighboring Sudan. Experimenting with a larger data base could reveal possible Soviet military geographical interest and associated patterns of penetration.

VII. CONCLUSIONS

The utility of Chernoff's faces as a diagnostic or evaluation tool demonstrates a promising approach for a first look at multivariate data. It has the advantage that in analysis of complex relations, indications can be made of patterns or clusters that are not always visible from simple correlations based on two-dimensional linear theories.

As international relations become more complex and the probability of Third World nations' influence on the course of international relations continues, a growing need emerges for real time systems to monitor, display and communicate the complex phenomena associated with international relationships. At present the majority of analyses of international relations is ex post facto. With increasing means of transportation and communication, the role of the analyst must change from an emphasis on evaluating what has already happened to an increasing responsibility to forecast, with degrees of confidence, the probable outcome of events, and to recommend alternatives in foreign policy, deployment of military units and procurement of weapons systems. These forecasts will enable decision makers to make the best selection of the alternatives available to yield desired results.

Other types of computer graphics displays can be developed to aid analysts in modeling Soviet foreign policy. As demonstrated in the FACES program, the variables can be represented by a vector with length and motion. By using three-dimensional graphic equipment, the variables could be represented by a series of ellipsoids where $X^2/a^2 + Y^2/b^2 + Z^2/c^2$ could represent the properties of each variable and it could be rotated; the velocity of rotation

would represent the rate of change for the variable. Sets of these ellipsoids could be displayed simultaneously and through time-series analysis, the analyst could visually examine the phenomena. The primary reason for this approach is that the variables are multi-dimensional and the real relationships are therefore compound multidimensional phenomena. If this technique still indicated patterns between or within the ellipsoids, consideration could be given to applying the basic laws of nature for frameworks for modeling.

Computer-aided graphical display of international relations phenomena has the potential for moving international studies and analysis from an art to a science, which allows for a rapid simplistic presentation of complex relations.

APPENDIX A

1. Abbreviations for the 195 Countries in the WARP File

| <u>COUNTRY</u> <u>ABBREVIATION</u> | <u>COUNTRY NAME</u> |
|---------------------------------------|--------------------------|
| AFGHNSTN | AFGHANISTAN |
| AFRCA NS | AFRICA NS |
| AFRS-ISS | AFARS-ISSAS |
| ALBANIA | ALBANIA |
| ALGERIA | ALGERIA |
| ANGOLA | ANGOLA |
| ARGENTIN | ARGENTINA |
| AUSTRALI | AUSTRALIA |
| AUSTRIA | AUSTRIA |
| BAHAMAS | BAHAMAS |
| BAHRAIN | BAHRAIN |
| BARBADOS | BARBADOS |
| BELGUIM | BELGUIM |
| BELIZE | BELIZE |
| BENIN | BENIN |
| BERMUDA | BERMUDA |
| BHUTAN | BHUTAN |
| BGLDSDH | BANGLADESH |
| BOLIVIA | BOLIVIA |
| BOTSWANA | BOTSWANA |
| BR SOLMN | BRITISH SOLOMON |
| BR WI NS | BRITISH WEST INDIES NS |
| BRAZIL | BRAZIL |
| BRUENI | BRUNEI |
| BULGARIA | BULGARIA |
| BURMA | BURMA |
| BURUNDI | BURUNDI |
| C AFR RP | CENTRAL AFRICAN REPUBLIC |
| C VRD IS | CAPE VERDE ISLANDS |
| CAMBODIA | CAMBODIA |
| CAMEROON | CAMEROON |
| CANADA | CANADA |
| CHAD | CHAD |
| CHILE | CHILE |
| CHINA ML | CHINA MAINLAND |
| CHINA RP | CHINA, REPUBLIC OF |
| CMORO IS | COMORO ISLANDS |
| COLUMBIA | COLUMBIA |
| CONGO PR | CONGO, PEOPLES REPUBLIC |
| COSTA RI | COSTA RICA |
| CUBA | CUBA |
| CYPRUS | CYPRUS |
| CZCHSLVK | CZECHOSLOVAKIA |

Country
Abbreviation

DENMARK
DMNCN RP
E GRMNY
EA PC NS
ECUADOR
EGYPT
EL SALVA
EQU GUIN
ETHIOPIA
EUROP NS
FAROE IS
FIJI
FINLAND
FLKN IS
FR WI NS
FRANCE
GABON
GAMBIA
GERMANY
GHANA
GIBRLTAR
GLB-E IS
GREECE
GREENLAND
GUADLUPE
GUAM
GUATEMAL
GUIAN FR
GUIN RP
GUIN-BIS
GUYANA
HAITA
HONDURAS
HONGKONG
HUNGARY
ICELAND
INDIA
INDONESI
IRAN
IRAQ
IRELAND
ISRAEL
ITALY
IVRY CST
JAMAICA
JAPAN
JORDAN
KENYA
KOREA
KUWATT

Country Name

DENMARK
COMINICAN REPUBLIC
EASTERN GERMANY
EAST ASIA AND PACIFIC NS
ECUADOR
EGYPT
EL SALVADOR
EQUATORIAL GUINEA
ETHIOPIA
EUROPE NS
FAROE ISLANDS
FIJI
FINLAND
FALKLAND ISLANDS
FRENCH WEST INDIES NS
FRANCE
GABON
GAMBIA, THE
GERMANY
GHANA
GIBRALTAR
GILBERT-ELLICE ISLANDS
GREECE
GREENLAND
GUADELOUPE
GUAM
GUATEMALA
GUIANA, FRENCH
GUINEA REPUBLIC
GUINEA-BISSAU
GUYANA
HAITI
HONDURAS
HONG KONG
HUNGARY
ICELAND
INDIA
INDONESIA
IRAN
IRAQ
IRELAND
ISRAEL
ITALY
IVORY COAST
JAMAICA
JAPAN
JORDAN
KENYA
KOREA
KUWATT

Country
Abbreviation

Country Name

| | |
|-----------|--------------------------------|
| LAOS | LAOS |
| LEBANON | LEBANON |
| LESOTHO | LESOTHO |
| LEWRD IS | LEEWARD ISLANDS |
| LIBERIA | LIBERIA |
| LIBYA | LIBYA |
| LUXEMBRG | LUXEMBOURG |
| MACAO | MACAO |
| MALAWI | MALAWI |
| MALAYSIA | MALAYSIA |
| MALDIVES | MALDIVES |
| MALI | MALI REPUBLIC |
| MALTA | MALTA |
| MARTINIQ | MARTINIQUE |
| MAURITAN | MAURITANIA |
| MAURITIU | MAURITIUS |
| MEXICO | MEXICO |
| MLGSY RP | MALAGASY REPUBLIC |
| MNGLN RP | MONGOLIAN REPUBLIC |
| MOROCCO | MOROCCO |
| MZMBIQUE | MOZAMBIQUE |
| N KOREA | NORTH KOREA |
| N VIETNM | NORTH VIET-NAM |
| NAMIBIA | NAMIBIA |
| NAURU | NAURU |
| NE SA NS | NEAR EAST AND SOUTH ASIA NS |
| NEPAL | NEPAL |
| NEW CLDN | NEW CALEDONIA |
| NEW HBRD | NEW HEBRIDES |
| NEW ZLND | NEW ZEALAND |
| NICARAGU | NICARAGUA |
| NIGER | NIGER |
| NIGERIA | NIGERIA |
| NORFOLK | NORFOLK |
| NORWAY | NORWAY |
| NTHR ANT | NETHERLANDS ANTILLES |
| NTHRLNDS | NETHERLANDS |
| OMAN | OMAN |
| OT AFRCA | OTHER AFRICA |
| OT EA PC | OTHER EAST ASIA AND PACIFIC |
| OT EUROPE | OTHER EUROPE |
| OT NE SA | OTHER NEAR EAST AND SOUTH ASIA |
| OT W HMP | OTHER WESTERN HEMISPHERE |
| PAKISTAN | PAKISTAN |
| PANAMA | PANAMA |
| PAPUA NG | PAPUA NEW GUINEA |
| PARAGUAY | PARAGUAY |
| PERU | PERU |
| PHLPPNS | PHILIPPINES |
| PN CNL Z | PANAMA CANAL ZONE |

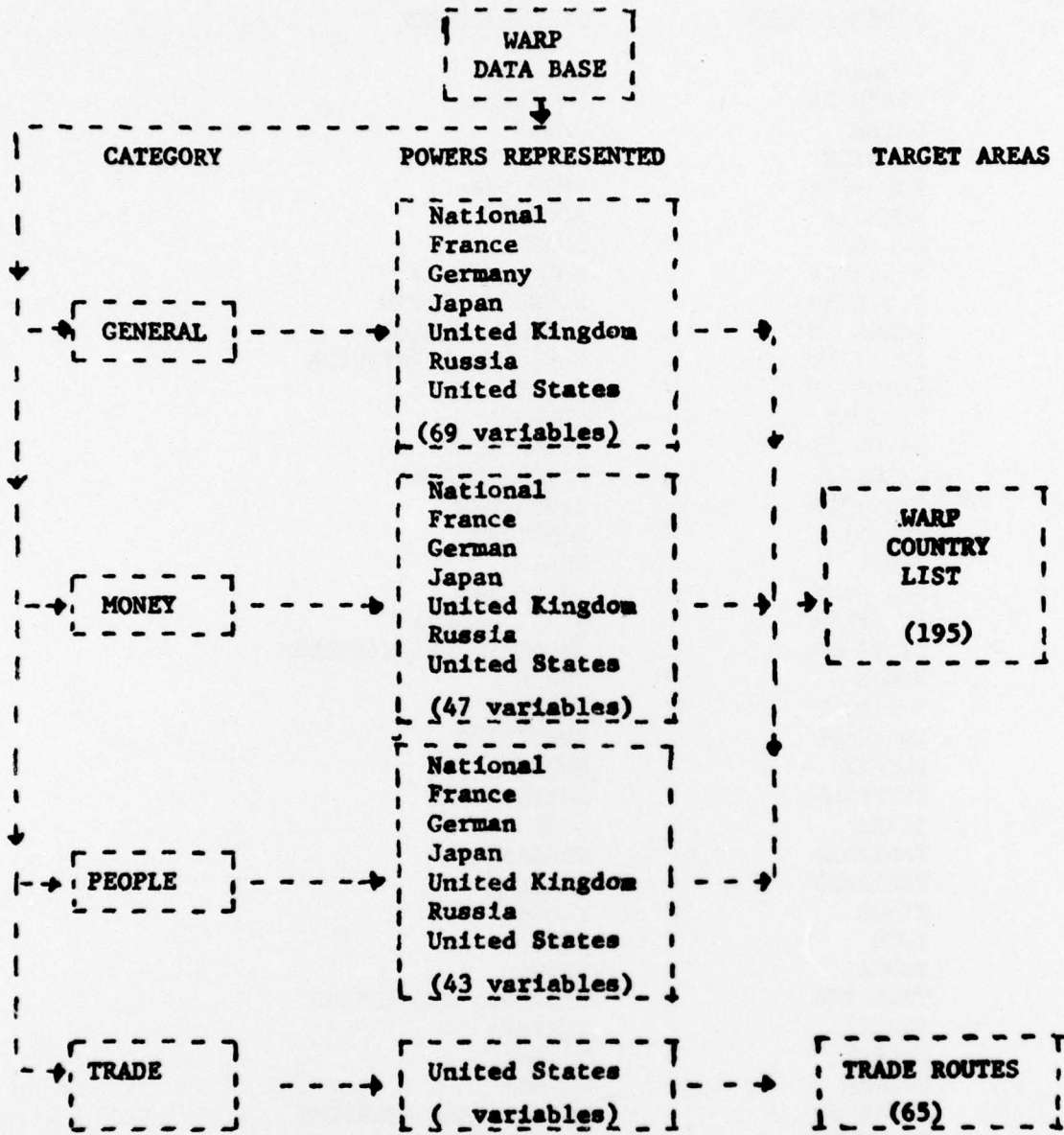
Country
Abbreviation

POLAND
PORTUGAL
QATAR
REUNION
RHODESIA
ROMANIA
RWANDA
S AFRICA
S VIETNM
SAMOA AM
SAO T PR
SAUDI AR
SENEGAL
SEYCHLLS
SIERRA L
SINGAPOR
SOMALIA
SPAIN
SRI LANK
ST HELNA
ST PR-MQ
SUDAN
SURINAM
SWAZILND
SWEDEN
SWTZRLND
SYRIA
TANZANIA
THAILAND
TIMOR
TOGO
TONGA
TRND THG
TUNISIA
TURKEY
UGANDA
UN AR EM
UN KNGDM
UP VOLTA
URUGUAY
US VG IS
USA
USSR
VENEZUEL
W HMP NS
W SAMOA
WINDW IS
YEMEN AR
YEMEN PR
YUGOSLAV
ZAIRE
ZAMBIA

Country Name

POLAND
PORTUGAL
QATAR
REUNION
RHODESIA
ROMANIA
RWANDA
SOUTH AFRICA
SOUTH VIET-NAM
SAMOA, AMERICAN
SAO TOME & PRINCIPE
SAUDI ARABIA
SENEGAL
SEYCHELLES
SIERRA LEONE
SINGAPORE
SOMALIA
SPAIN
SRI LANKA
SAINT HELENA
SAINT PIERRE-MIQUELON
SUDAN
SURINAM
SWAZILAND
SWEDEN
SWITZERLAND
SYRIA
TANZANIA
THAILAND
TIMOR
TOGO
TONGA
TRINIDAD AND TOBAGO
TUNISIA
TURKEY
UGANDA
UNITED ARAB EMIRATES
UNITED KINGDOM
UPPER VOLTA
URUGUAY
VIRGIN ISLANDS, US
UNITED STATES
USSR
VENEZUELA
WESTERN HEMISPHERE NS
WESTERN SAMOA
WINDWARD ISLANDS
YEMEN ARAB REPUBLIC
YEMEN, PEOPLES REPUBLIC
YUGOSLAVIA
ZAIRE
ZAMBIA

2. Schematic Diagram of the WARP File



FOOTNOTES

¹Stanford University, Department of Statistics, Technical Report no. 71, The Use of Faces to Represent Points In n-Dimensional Space Graphically, by Herman Chernoff, December, 1971.

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³J. L. Christensen and J. M. Pieper, World Analytic Research Project (WARP): Data Base Documentation and User's Guide, Washington D.C.: Air Force Data Services Center, 1976.

⁴Norman H. Nie, C. Hadlai Hull, Jean G. Jenkins, Karin Steinbrenner, and Dale H. Bent, SPSS: Statistical Package for the Social Sciences, Second Edition (New York: McGraw-Hill Book Company, 1975) p. 21-27.

⁵Orchestration Codebook.

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⁷T. R. Gurr, Politimetrics: An Introduction to Quantitative Macro-Politics, (Englewood Cliffs: Prentice-Hall, Inc., 1972) p. 84-87.

⁸G. F. Lindsay, Unpublished lecture notes, Naval Postgraduate School, (0A4207 Scaling Techniques, Summer, 1976). Explanation of exponential smoothing and least squares technique equations.

⁹Gurr, Polimetrics, p. 108-111.

¹⁰Nie, et. al, SPSS, p. 181-189. Equation for skewness:

$$\frac{\sum_{i=1}^N ((X_i - \bar{X})/s)^3}{N}$$

equation for kurtosis (centralized);

$$\frac{\sum_{i=1}^N ((X_i - \bar{X})/s)^4}{N}$$

¹¹Nie, SPSS, p. 528-529, and Gurr, Polimetrics, p. 108.

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¹⁵L. A. Bruckner, "The Looks of Some Companies Involved in Offshore Oil and Gas Leases, paper presented at the Annual Meeting of the American Statistical Association, Boston, Mass., August 22-26, 1976.

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¹⁸Interview with Dr. C. M. Newton and Jerry Johnson, UCLA Health Sciences Computing Facility, Los Angeles, California, June, 1976.

¹⁹J. W. Rousuck, "Computer Faces That 'Talk'," The Sun Magazine, August 25, 1974, p. 12-13.

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| 4. TITLE (and Subtitle) Application of Graphic Multivariate Techniques in the Policy Sciences | | 5. TYPE OF REPORT & PERIOD COVERED TECHNICAL REPORT |
| | | 6. PERFORMING ORG. REPORT NUMBER |
| 7. AUTHOR(s) Peter Wang | 8. CONTRACT OR GRANT NUMBER(s) N00014-76-C-0475 | |
| 9. PERFORMING ORGANIZATION NAME AND ADDRESS Department of Statistics Stanford University Stanford, CA 94305 | | 10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS NR-042-267 |
| 11. CONTROLLING OFFICE NAME AND ADDRESS Office of Naval Research Statistics and Probability Program Code 436 Arlington, VA 22217 | | 12. REPORT DATE January 4, 1978 |
| | | 13. NUMBER OF PAGES 61 |
| 14. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office) | | 15. SECURITY CLASS. (of this report) Unclassified |
| | | 15a. DECLASSIFICATION/DOWNGRADING SCHEDULE |
| 16. DISTRIBUTION STATEMENT (of this Report) Approved for Public Release, Distribution is Unlimited | | |
| 17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report) | | |
| 18. SUPPLEMENTARY NOTES | | |
| 19. KEY WORDS (Continue on reverse side if necessary and identify by block number) Multivariate Data Analysis, Chernoff Faces Technique, Assessment in Policy Sciences | | |
| 20. ABSTRACT (Continue on reverse side if necessary and identify by block number) Please see reverse side. | | |

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↘ This paper is an application of the graphical representation of k-dimensional data technique developed by Professor Herman Chernoff. It is written for the intended use of foreign policy and international relations analysts as a statistical tool in analyzing and presenting complex Soviet foreign policy phenomena. It discusses building a computer base data file from existing sources, purpose and techniques for data modifications and transformations, and methods for selecting variables for the research problem. Soviet foreign policy acts in twenty-five Sub-Saharan African countries for 1964 through 1975 are then represented and analyzed in ten sets of FACES. Other applications of the FACES methodology are reviewed and recommendations are made for further modifications and applications of the methodology in the area of foreign policy studies. ↙

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