

GAO

Report to the Chairman and Ranking
Minority Member, Subcommittee on
Defense, Committee on Appropriations,
U.S. Senate

July 1995

DEFENSE RESEARCH AND DEVELOPMENT

Affiliations of Fiscal Year 1993 Trustees for Federally Funded Centers





United States
General Accounting Office
Washington, D.C. 20548

National Security and
International Affairs Division

B-259058

July 26, 1995

The Honorable Ted Stevens
Chairman
The Honorable Daniel K. Inouye
Ranking Minority Member
Subcommittee on Defense
Committee on Appropriations
United States Senate

This report responds to your request that we provide information on the boards of trustees who served in fiscal year 1993 at the Department of Defense (DOD) Federally Funded Research and Development Centers (FFRDC). Specifically, we are providing information on (1) how trustees are elected to each board; (2) FFRDC trustees and officers who left in fiscal year 1993 to take executive positions in the federal government; (3) trustees' representation on the Defense Science Board (DSB); (4) retired command-level officers on the FFRDC boards; (5) trustees sitting on more than one FFRDC board, and affiliated with non-DOD FFRDCs; and (6) the fiscal year 1993 and prior affiliations by FFRDC and by individual trustees, and the trustees having the most individual affiliations (with FFRDCs, universities, private sector firms, the federal government, and the military). We plan to separately provide you with information on the fiscal year 1993 costs and stipends associated with these trustees and other DOD FFRDC management advisory personnel.

Background

The FFRDCs were established during World War II to meet special research needs that federal and private sector facilities could not provide. The number of FFRDCs has varied over the years, but in fiscal year 1993 there were 39,¹ 10 sponsored by DOD—the Aerospace Corporation (ASP), the CNA Corporation (CNA), the Institute for Defense Analyses (IDA), the Lincoln Laboratories (LLB), the Logistics Management Institute (LMI), the MITRE Corporation (MTR), the Rand Corporation (RND),² and the Software Engineering Institute (SEI). Each FFRDC is managed by a private sector nonprofit company or university, and funded primarily through a renewable sole-source contract with a maximum 5-year term. The 8 boards

¹Of 29 non-DOD FFRDCs, 19 are managed by the Department of Energy, 6 by the National Science Foundation, and 1 each by the Federal Aviation Administration, the Internal Revenue Service, the National Institutes of Health, and the National Aeronautics and Space Administration.

²RND's one board of trustees manages its three FFRDCs—the Arroyo Center for the Army, Project Air Force, and the National Defense Research Institute for DOD.

of trustees³ for the 10 DOD FFRDCs had 158 fiscal year 1993 members, but only 141 individual members, as some trustees sat on more than 1 board. In fiscal year 1993, Congress appropriated about \$1.4 billion for the DOD FFRDCs.

Results in Brief

Six FFRDC boards of trustees are elected, while two (LLB and SEI) are appointed by the provost of the university that manages them—Massachusetts Institute of Technology (MIT) and Carnegie Mellon University, respectively. RND has 5-year terms, with a 2-consecutive term limit until age 72; MTR has 3-year terms, with a 2-term limit until age 72; ASP has 3-year terms, with a 3-consecutive term limit; SEI has 4-year terms, with a 2-term limit; CNA has 3-year terms, with a 2-consecutive term limit; IDA has 3-year terms with no term limits; LMI has 1-year terms with no term limits; and LLB trustee appointments are for unlimited terms. The six nonuniversity boards provide their FFRDCs guidance and overall management direction, while the LLB and SEI boards only provide advice and recommendations for FFRDC activities to their respective university boards.

In fiscal year 1993, there were eight trustees and officers who left the DOD FFRDCs to take executive-level positions in the federal government. (See app. I.)

In fiscal year 1993, 16 trustees sat on more than 1 DOD FFRDC board (15 sat on 2 and 1 on 3), 13 sat on the 1993 DSB (representing 21 percent of its total membership), and 12 had non-DOD FFRDC affiliations. The 21 retired admirals and generals that sat on the DOD FFRDC boards represented 15 percent of the total fiscal year 1993 board memberships. (See app. II.)

There were over 1,200 (over 700 fiscal year 1993 and over 400 prior) trustee affiliations, with the total affiliations for individual DOD FFRDCs ranging from about 50 to over 300. Total affiliations for individual trustees ranged from 1 to 26. (See app. III.)

The detailed affiliation information for all the current fiscal year 1993 and prior affiliations of each individual trustee on each DOD FFRDC board are listed alphabetically in appendix IV.

³To simplify discussion, all DOD FFRDC board members are called “trustees” in this report.

Scope and Methodology

We obtained from each DOD FFRDC a list of trustees and short biography for each individual. We added to this list the affiliations found in the 1994 Who's Who in America, and in the 46,000 private sector companies' key personnel listed by Standard and Poor's and Compact Disclosure. We believe that these sources provided us a listing of affiliations sufficient to give the Subcommittee extensive, but not necessarily complete, information. We further limited the affiliations listed to those with (1) other DOD and non-DOD FFRDCs; (2) private sector companies (executive-level positions only), including those companies having the most fiscal year 1993 DOD prime contracts; (3) universities, including those having the most fiscal year 1992 and 1993 DOD research and development funding; (4) the federal government; and (5) command positions in the armed services. Our work was done from November 1994 through July 1995.

As agreed with your staff, we did not obtain formal written agency comments; however, we did discuss the information presented in this report with DOD officials, and revised the text where appropriate. The affiliations we list were also sent to each trustee for verification, and adjusted as instructed by those trustees that provided changes.

Unless you publicly announce the contents of this report earlier, we plan no further distribution until 30 days from its issue date. At that time, we will send copies to the Secretaries of Defense, the Army, the Navy, and the Air Force; the Director, Office of Management and Budget; other congressional committees and subcommittees; and each of the DOD FFRDCs. We will also make copies available to others on request.

If you or your staff have any questions about the information presented in this report, please contact me on (202) 512-4587. The major contributors to this report are listed in appendix V.



David E. Cooper
Director, Acquisition Policy, Technology,
and Competitiveness Issues

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Abbreviations

ASP	Aerospace Corporation
CEO	chief executive officer
CNA	CNA Corporation
DOD	Department of Defense
DSB	Defense Science Board
FAA	Federal Aviation Administration
FFRDC	Federally Funded Research and Development Center
IDA	Institute for Defense Analysis
LLB	Lincoln Laboratories
LMI	Logistics Management Institute
MIT	Massachusetts Institute of Technology
MTR	MITRE Corporation
NATO	North Atlantic Treaty Organization
R&D	Research and Development
RND	Rand Corporation
SEI	Software Engineering Institute

FFRDC Officials Who Left in Fiscal Year 1993 to Take Executive-Level Positions in the Federal Government

Name	Position left	Date left	Position taken
Dr. Ashton Carter	MTR—trustee	6/93	Assistant Secretary of Defense for International Security Policy
John Deutch	MTR—advisor to board	3/93	Deputy Secretary of Defense
Dr. Anita Jones	MTR—trustee	5/93	Director, Defense Research and Engineering
John Knubel	LMI—vice president	10/92	Senior Assistant to the Chief Financial Officer, Nuclear Regulatory Commission
Walter Mondale	RND—trustee	9/93	Ambassador to Japan
Dr. William Perry	MTR—advisor to board	3/93	Secretary of Defense
Walter Slocombe	LLB—trustee	8/93	Principal Deputy Under Secretary of Defense for Policy
Dr. Sheila Widnall	LLB—trustee	8/93	Secretary of the Air Force

Trustee Fiscal Year 1993 Summaries Concerning Seats on Various Boards and Prior Military Service

Table II.1: Trustees Sitting on More Than One DOD FFRDC Board

Name	FFRDC	Name	FFRDC
Dr. P. Pierre	ASP, CNA, LLB	Gen. B. Rogers	IDA, LMI
Dr. C. Baird	CNA, LMI	Dr. J. Ruina	LLB, MTR
Dr. J. Borsting	CNA, IDA	Dr. J. Shea	ASP, LLB
Dr. R. Davis	ASP, IDA	Gen. L. Skantze	ASP, LMI
Gen. R. Dougherty	ASP, IDA	Dr. A. Wheelon	ASP, RND
R. Everett	LLB, MTR	Dr. S. Widnall	ASP, LLB
Dr. J. Fox	ASP, LMI	C. Zraket	CNA, MTR
Gen. R. Marsh	MTR, SEI	Dr. C. Zwick	ASP, RND

Note: ASP had the most—nine—board members sitting on other boards; LLB had five; CNA, IDA, LMI and MTR all had four; RND had two; and SEI one.

Table II.2: Trustees Sitting on the Fiscal Year 1993 Defense Science Board

Name	FFRDC represented
E. Aldridge, Jr.	ASP
Dr. P. Pierre	ASP, CNA, LLB
Dr. J. Shea	ASP, LLB
Gen. R. Dougherty	ASP, IDA
Dr. J. Welch	LLB
R. Everett	LLB, MTR
Gen. B. Randolph	LLB
G. Whitesides	LLB
J. Foster, Jr.	LMI
Dr. A. Carter	MTR
Dr. G. Heilmeyer	MTR
Dr. A. Jones	MTR
S. Buchsbaum	RND

Note: The 13 DOD FFRDC trustees represent 21 percent of the fiscal year 1993 Defense Science Board membership. There were also four fiscal year 1993 consultants to the DSB and five past members.

Appendix II
Trustee Fiscal Year 1993 Summaries
Concerning Seats on Various Boards and
Prior Military Service

**Table II.3: DOD FFRDC Trustees
 Affiliated With Non-DOD FFRDCs
 During Fiscal Year 1993 and Prior
 Years**

Name	Affiliation	Non-DOD FFRDC
Dr. A. Carter, MTR	Research Associate	Brookhaven National Lab, Fermi National Accelerator Lab
J. Foster Jr., LMI	Director	Lawrence Livermore National Lab
A. Kerman, LLB	Consultant	Argonne, Brookhaven, Lawrence Berkeley, Lawrence Livermore, Los Alamos, and Oak Ridge National Labs
Dr. E. Martin, SEI	Member, Advisory Committee	Los Alamos National Lab
Dr. J. Palms, IDA	Member, Advisory Committee, Member	Oak Ridge and Los Alamos National Labs
Dr. P. Pierre, ASP,CNA,LLB	Member, Advisory Board	Los Alamos National Lab
Dr. W. Press, IDA	Consultant	Lawrence Livermore and Los Alamos National Labs
Dr. B. Richter, LLB	Director	Stanford Linear Accelerator Center
Dr. A. Sage, CNA	Consultant	Battelle Memorial Institute
R. Shannon, ASP	Consultant	Lawrence Livermore National Lab, Idaho National Engineering Lab
Dr. H. Shull, IDA	Trustee	Fermi National Lab
Gen. L. Welch, IDA	Member, Advisory Committee	Lawrence Livermore National Lab

**Appendix II
Trustee Fiscal Year 1993 Summaries
Concerning Seats on Various Boards and
Prior Military Service**

Table II.4: Retired Generals and Admirals Sitting on Fiscal Year 1993 DOD FFRDC Boards

Generals	
Robert Barrow	Bernard Rogers
Russell Dougherty	Alan Salisbury
Alexander Haig, Jr.	Brent Scowcroft
Robert Herres	Lawrence Skantze
Robert Marsh	William Smith
Edward Meyer	William Tuttle
Robert Pursley	Larry Welch
Bernard Randolph	
Admirals	
Albert Baciocco, Jr.	George Kinnear II
Huntington Hardisty	Robert Long
Bobby Inman	Harry Train II

Note: These 21 retired officers represent 15 percent of the total 141 DOD FFRDC trustees in fiscal year 1993.

Trustee Fiscal Year 1993 Summaries Concerning DOD and Other Affiliations

Table III.1: Total, Current Fiscal Year 1993, and Past Affiliations for All DOD FFRDC Trustees

FFRDC	Trustee	Fiscal year 1993	Past	Total
ASP	22	120	85	205
CNA	29	199	126	325
IDA	20	98	65	163
LLB	17	91	56	147
LMI	18	64	40	104
MTR	21	154	89	243
RND	22	131	63	194
SEI	9	41	14	55
Subtotal	158	898	538	1,436
Less multiple counts ^a	17	128	69	197
Total	141	770	469	1,239

^aThere were 15 trustees sitting on 2 DOD FFRDC boards, and 1 sitting on 3 boards. This adjustment to overall totals deletes the 15 double and 1 triple count of affiliations caused by the multiple board seats.

Table III.2: Number of Affiliations for the 141 DOD FFRDC Trustees

Trustee affiliation	Number of trustees	Percent
1 to 5	38	27
6 to 10	59	42
11 to 15	34	24
16 to 26	10	7

Table III.3: Individual Trustees With the Greatest Number of Affiliations

Trustee	FFRDC	Fiscal year 1993	Past	Total
Albritton, Joe	MTR	25	1	26
Byrom, Fletcher	CNA	21	5	26
Davis, Dr. Ruth	ASP,IDA	17	7	24
Haig, A. Jr.	CNA	10	13	23
Rice, Lois	CNA	12	11	23
Brown, Dr. Harold	RND	13	7	20
Palms, Dr. John	IDA	7	11	18
Evans, Daniel	CNA	14	2	16
Inman, Bobby	CNA	9	7	16
Rumsfeld, Donald	RND	12	4	16

Note: For the above trustees' specific affiliations, see appendix IV.

Appendix III
Trustee Fiscal Year 1993 Summaries
Concerning DOD and Other Affiliations

Table III.4: Total DOD FFRDC Affiliations by Category

Category	Total	ASP	CNA	IDA	LLB	LMI	MTR	RND	SEI
DOD FFRDC	220	32	40	30	27	24	31	25	11
Non-DOD FFRDC	23	3	2	6	8	1	2	0	1
University	84	12	31	10	12	4	7	7	1
University with DOD R&D ^a	126	17	31	12	15	1	32	15	3
Private sector	528	70	144	55	23	41	91	88	19
Private sector with DOD	83	14	13	6	10	10	14	9	7
Federal government	132	18	20	9	24	3	31	24	3
Military	201	37	36	29	26	18	30	15	10
Other	39	5	8	6	2	2	5	11	0
Total^b	1,436	205	325	163	147	104	243	194	55

^aResearch and development (R&D). There are 197 duplicate affiliations resulting from trustees sitting on more than 1 board. Therefore, there are only 1,239 total individual affiliations.

Table III.5: Current Fiscal Year 1993 DOD FFRDC Affiliations by Category

Category	Total	ASP	CNA	IDA	LLB	LMI	MTR	RND	SEI
DOD FFRDC	196	32	34	26	24	21	25	24	10
Non-DOD FFRDC	10	2	1	1	5	0	0	0	1
University	49	7	18	6	5	4	3	5	1
University with DOD R&D	77	10	19	7	9	1	20	9	2
Private sector	396	45	97	43	19	32	73	71	16
Private sector with DOD	51	8	7	5	5	4	9	8	5
Federal government	27	2	6	0	7	0	8	2	2
Military	64	10	11	7	15	1	12	4	4
Other	28	4	6	3	2	1	4	8	0
Total^a	898	120	199	98	91	64	154	131	41

^aThere are 128 duplicate affiliations resulting from trustees sitting on more than 1 board. Therefore, there are only 770 current fiscal year 1993 individual affiliations.

Appendix III
Trustee Fiscal Year 1993 Summaries
Concerning DOD and Other Affiliations

**Table III.6: Past DOD FFRDC
Affiliations by Category**

Category	Total	ASP	CNA	IDA	LLB	LMI	MTR	RND	SEI
DOD FFRDC	24	0	6	4	3	3	6	1	1
Non-DOD FFRDC	13	1	1	5	3	1	2	0	0
University	35	5	13	4	7	0	4	2	0
University with DOD R&D	49	7	12	5	6	0	12	6	1
Private sector	132	22	47	12	4	9	18	17	3
Private sector with DOD	32	6	6	1	5	6	5	1	2
Federal government	105	16	14	9	17	3	23	22	1
Military	137	27	25	22	11	17	18	11	6
Other	11	1	2	3	0	1	1	3	0
Total^a	538	85	126	65	56	40	89	63	14

^aThere are 69 duplicate affiliations resulting from trustees sitting on more than 1 board. Therefore, there are only 469 past individual affiliations.

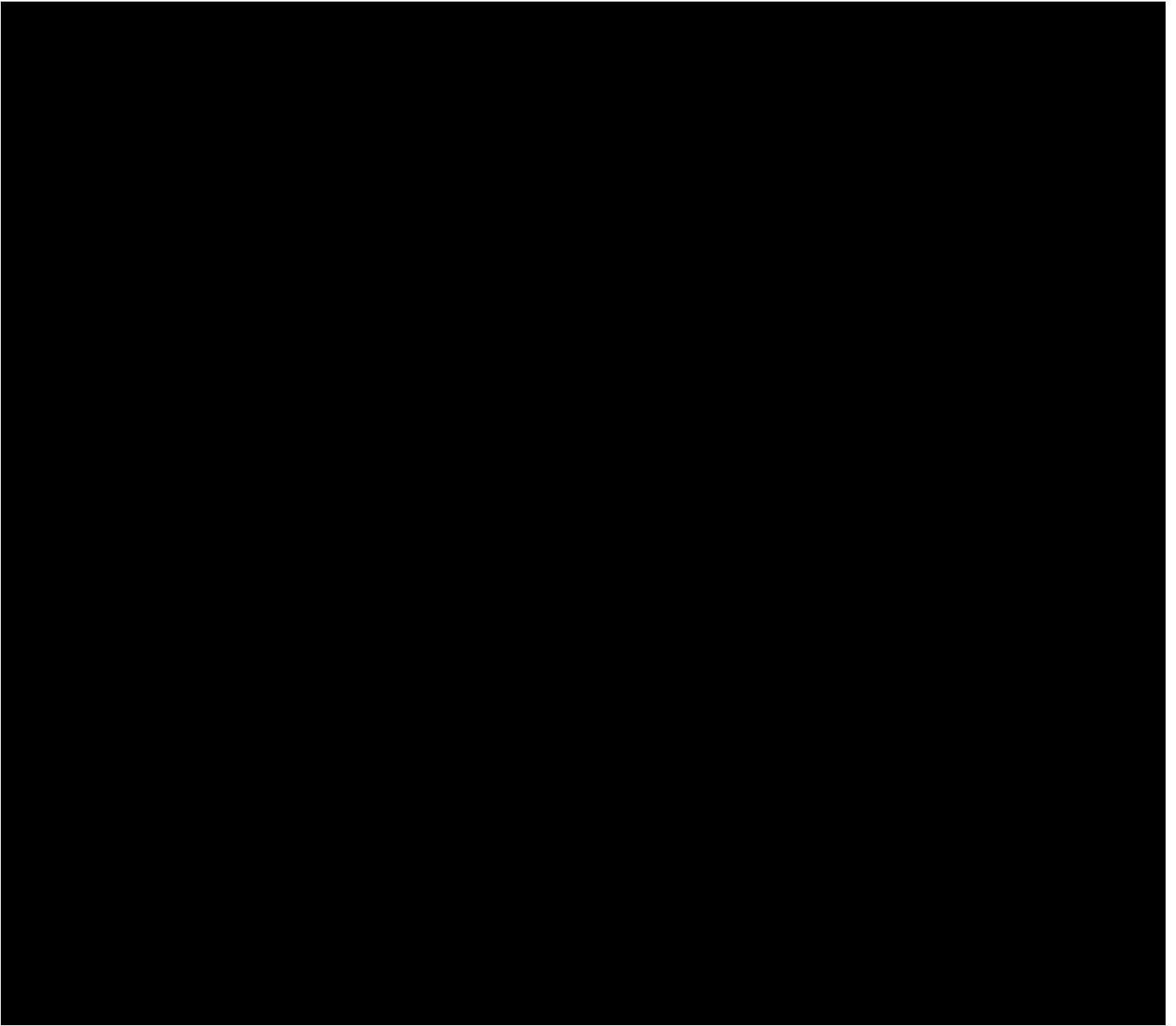
Trustee Fiscal Year 1993 Affiliations by Category

Introduction

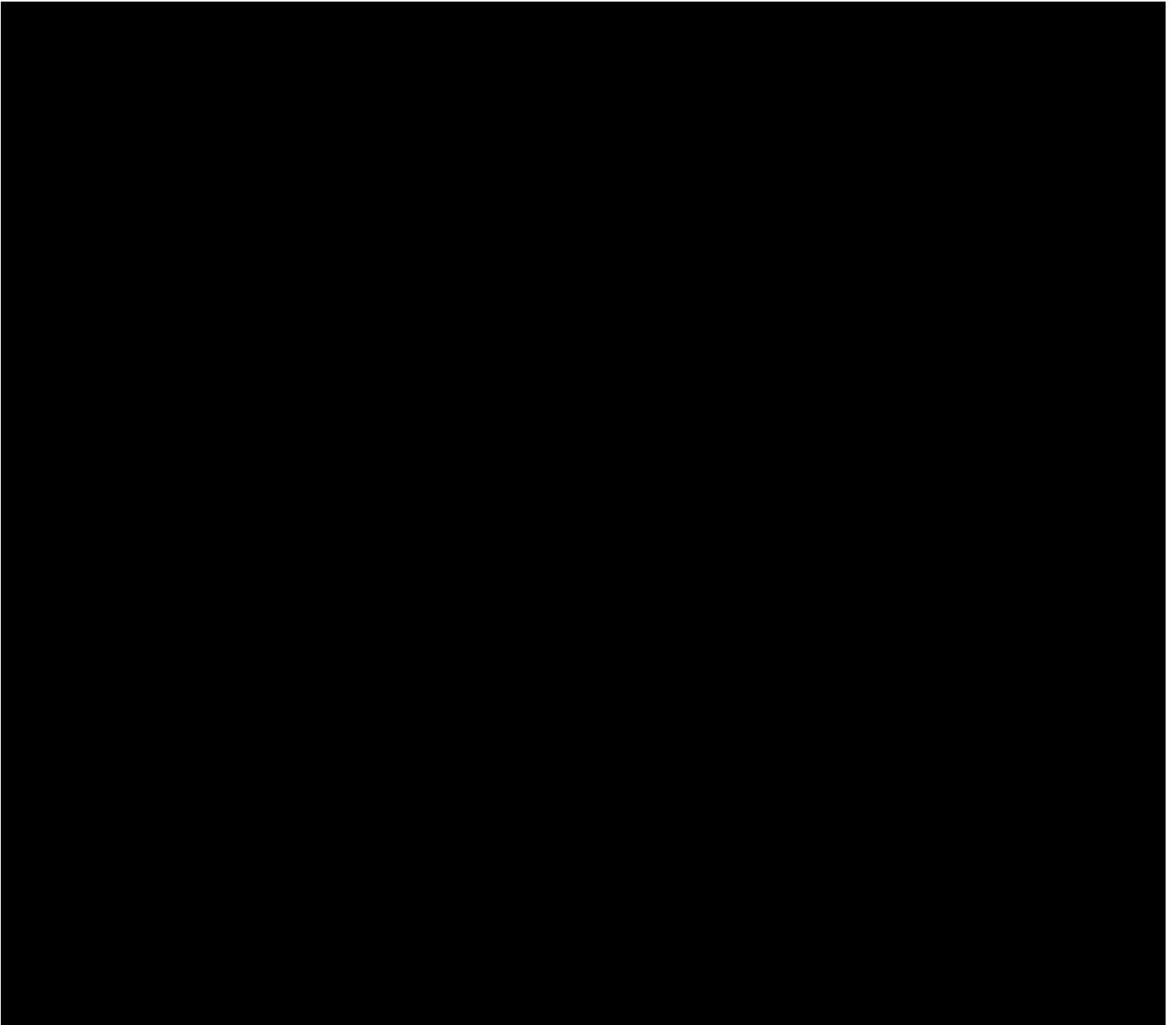
Included in this appendix are the current fiscal year 1993 and prior years' affiliations for each of the 141 DOD FFRDC trustees at the (1) ASP, (2) CNA, (3) IDA, (4) LLB, (5) LMI, (6) MTR, (7) RND, and (8) SEL.

The affiliations listed were taken from the biographies provided by each DOD FFRDC, the 1994 Who's Who in America, and the Standard & Poor's and Compact Disclosure data bases on 46,000 private sector companies' key personnel. The affiliations shown were also limited to those associated with (1) DOD and non-DOD FFRDCs; (2) private sector firms, including those receiving the most fiscal year 1993 DOD prime contracts; (3) universities, including those receiving the most fiscal year 1992 and 1993 DOD research and development funds; (4) the federal government; (5) command positions in the armed services; and (6) other relevant affiliations. Individual lists of affiliations were sent to each trustee for verification, and the data corrected as indicated by their replies. For each trustee, all current fiscal year 1993 affiliations are shown first (in bold type), followed by all the prior years' affiliations.

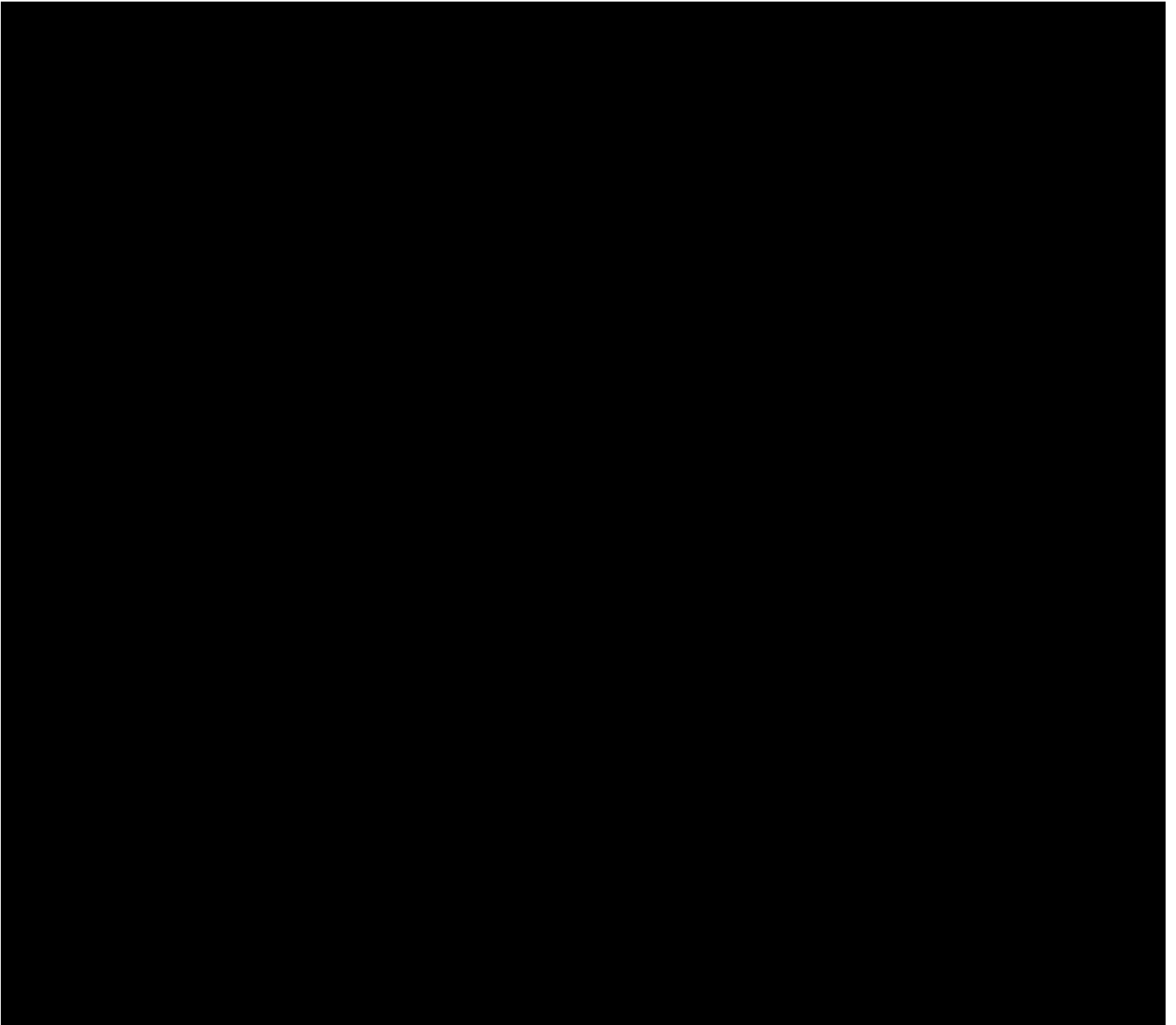
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Trustee Fiscal Year 1993 Affiliations by
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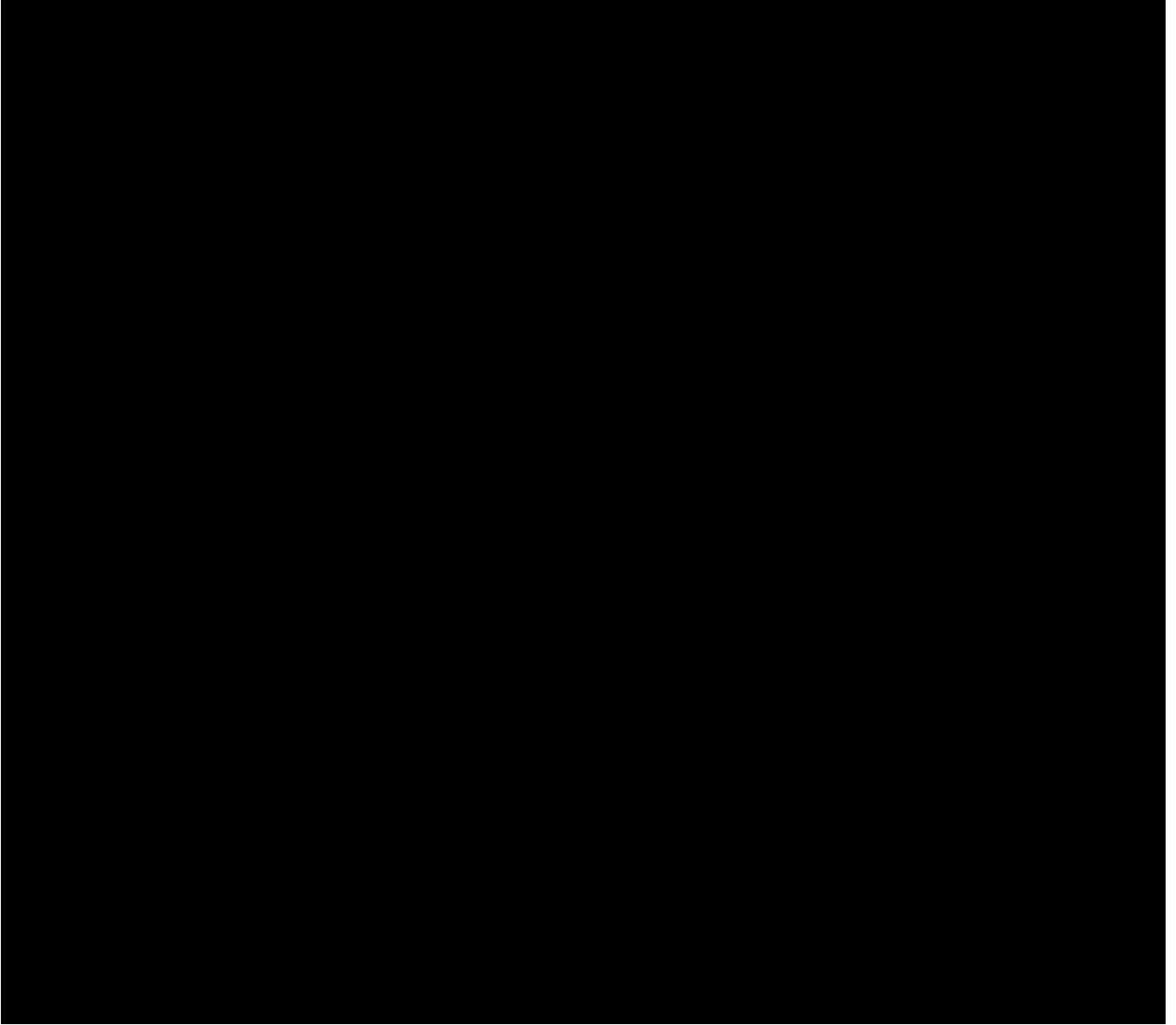
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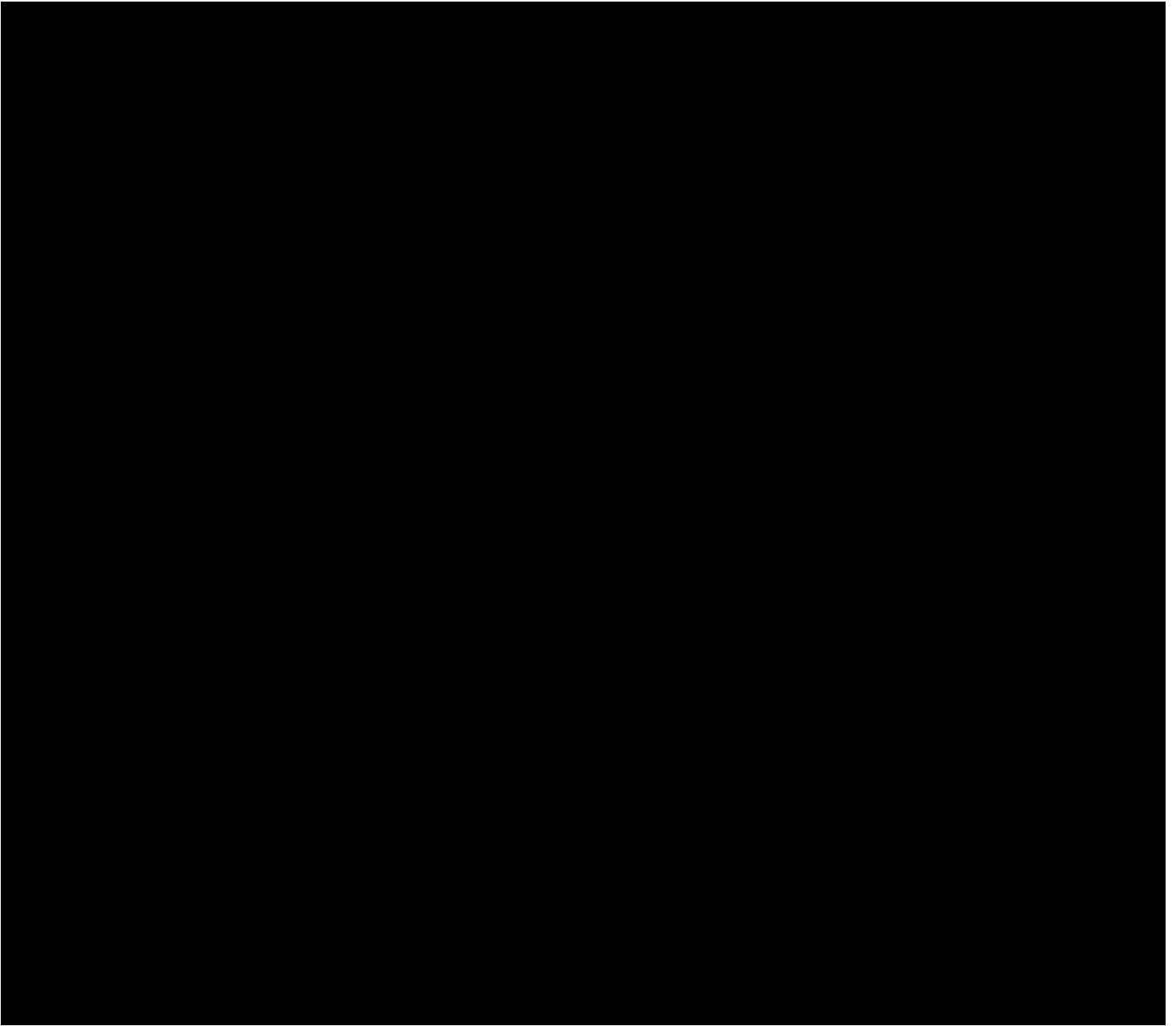
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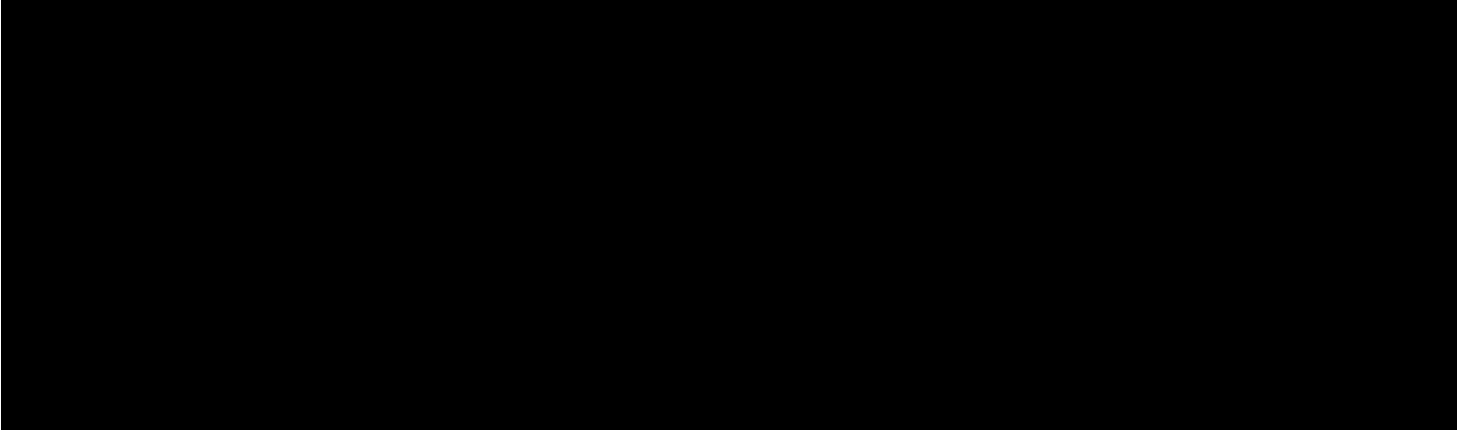
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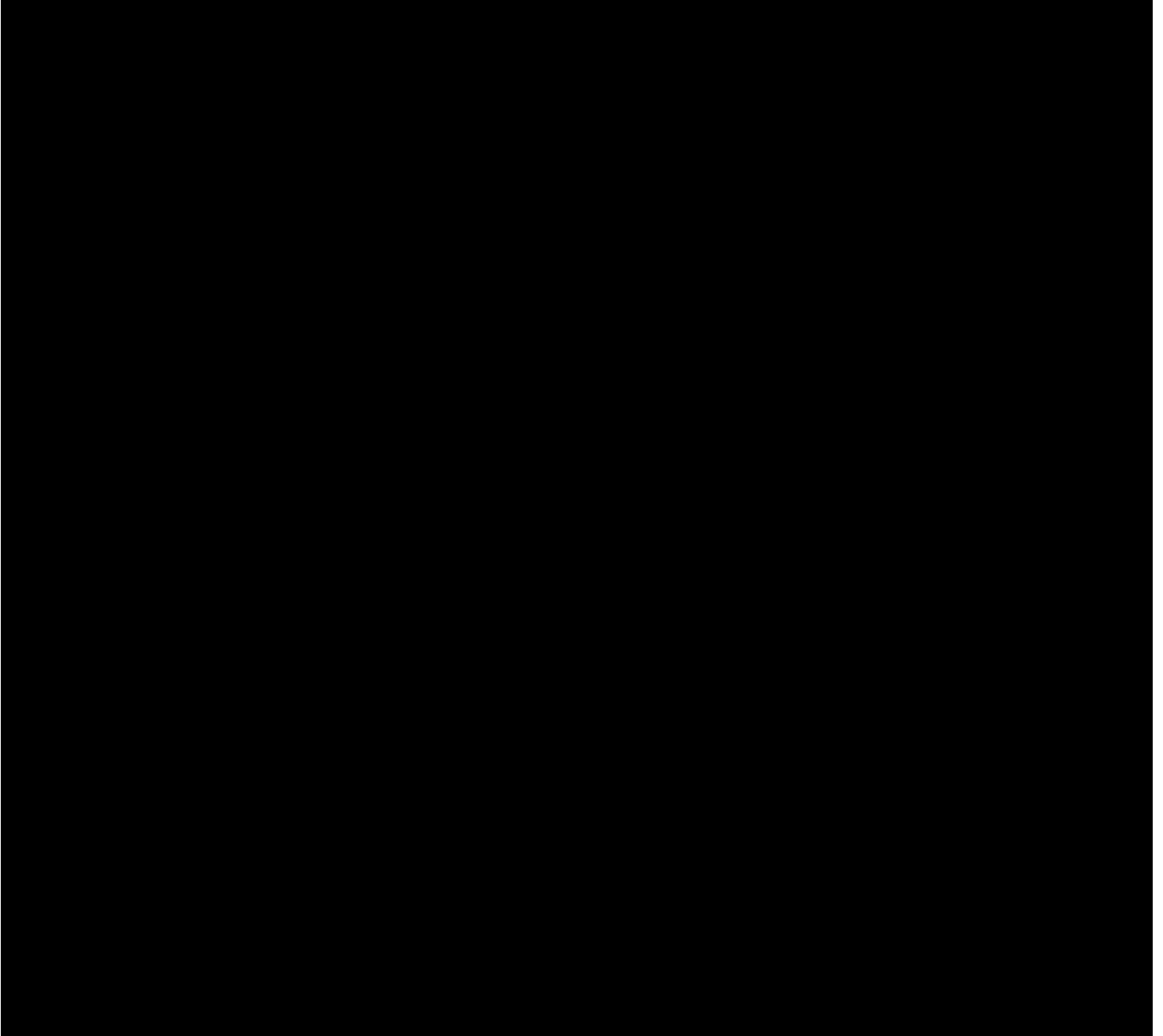
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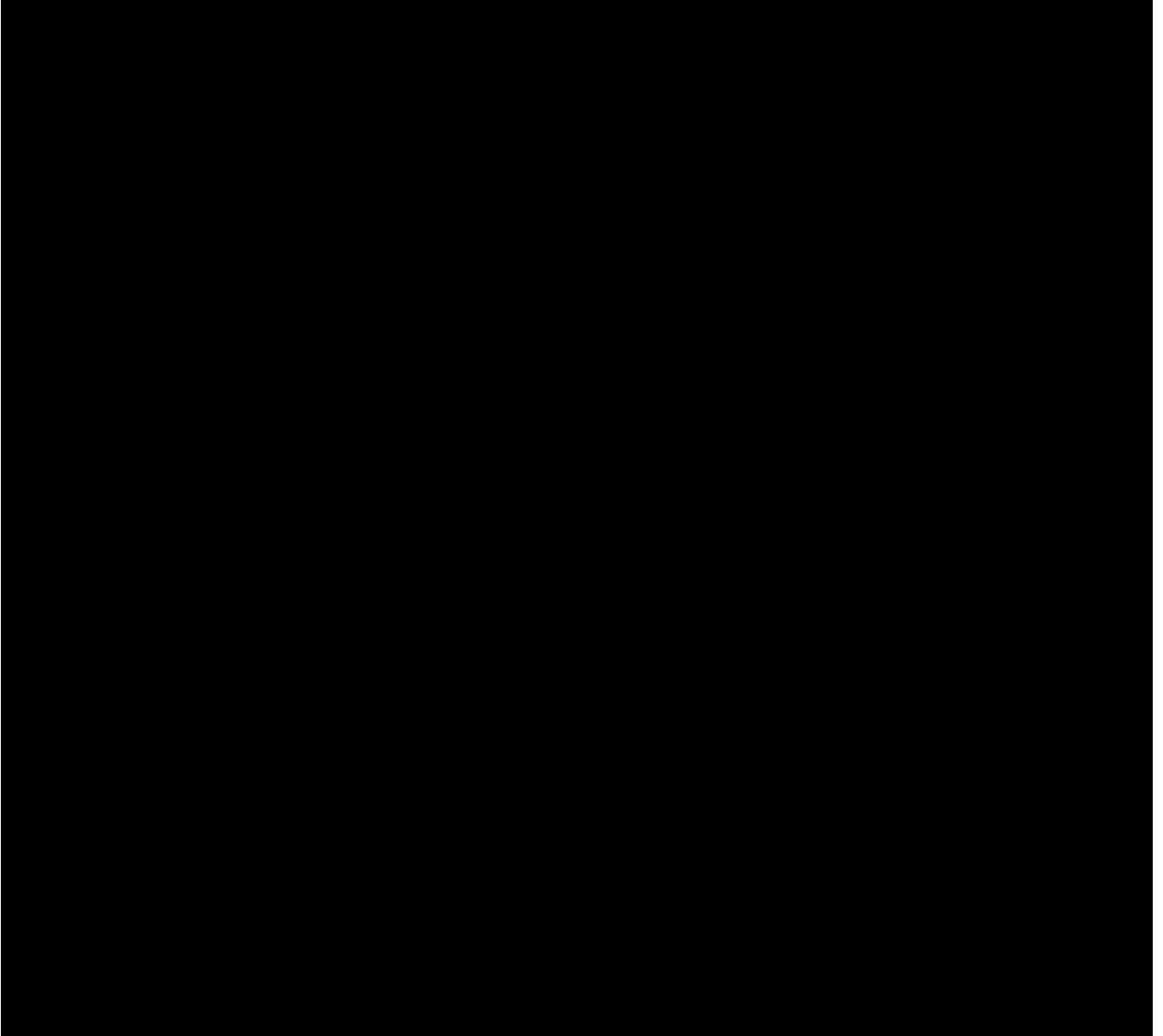
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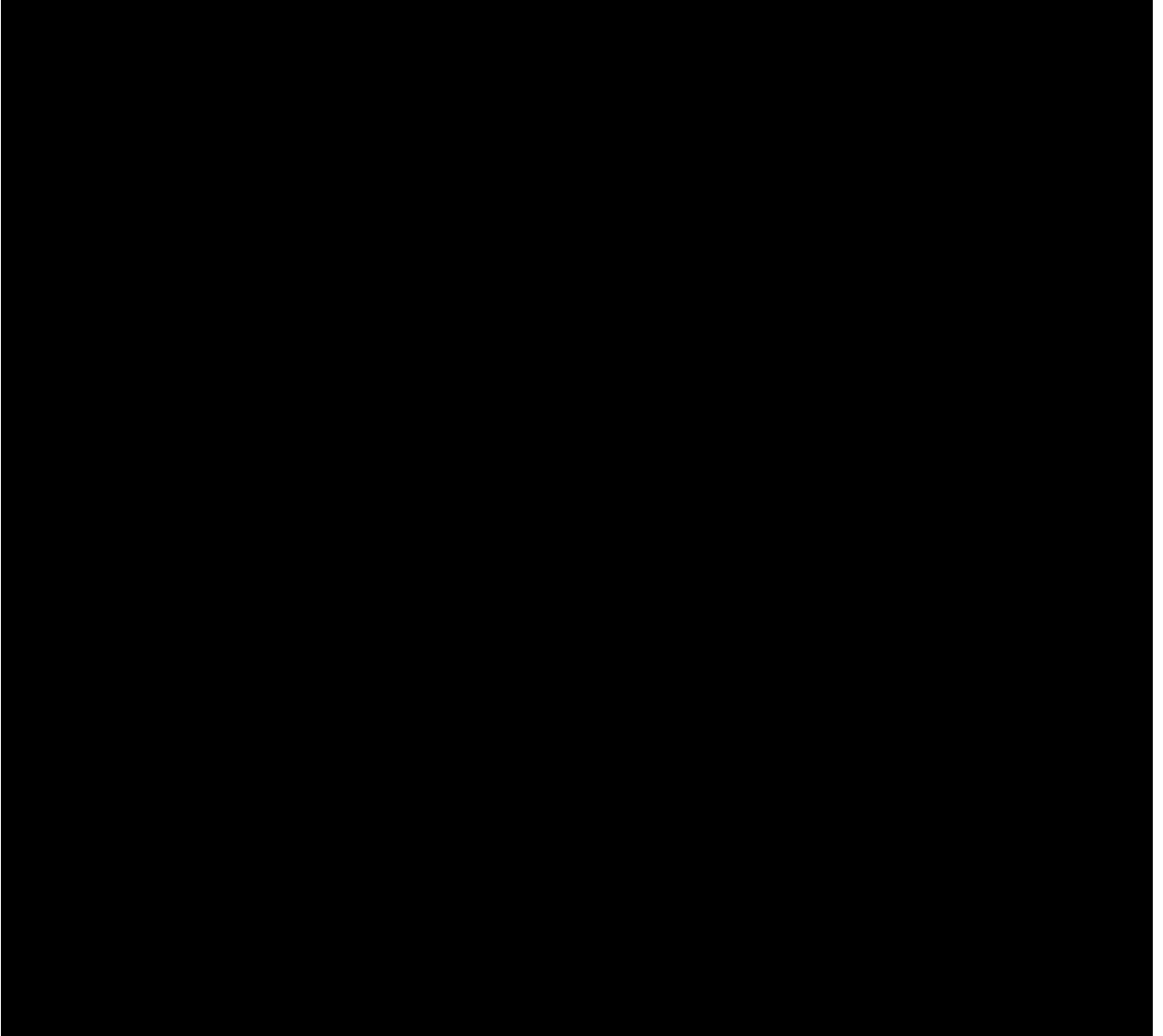
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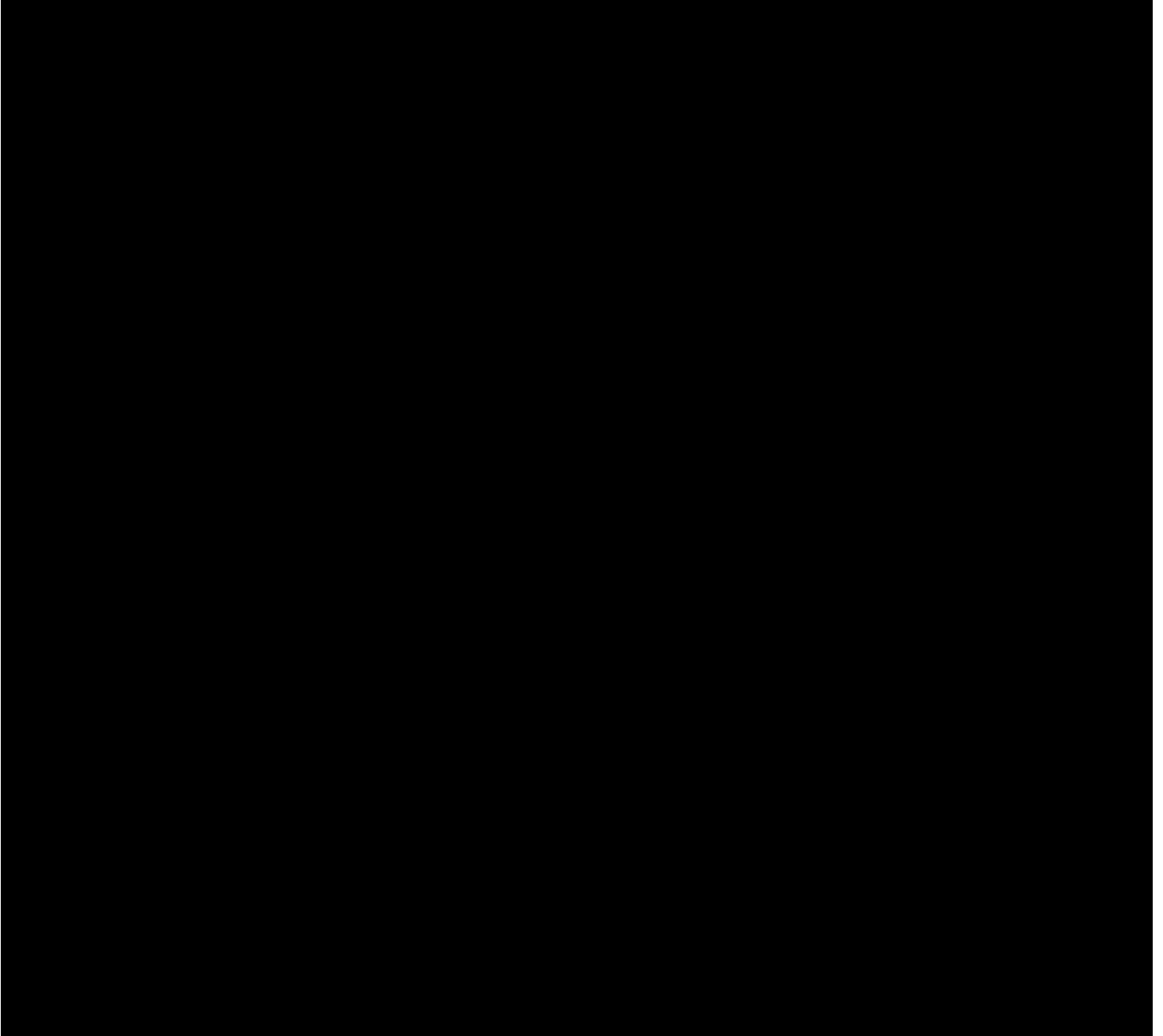
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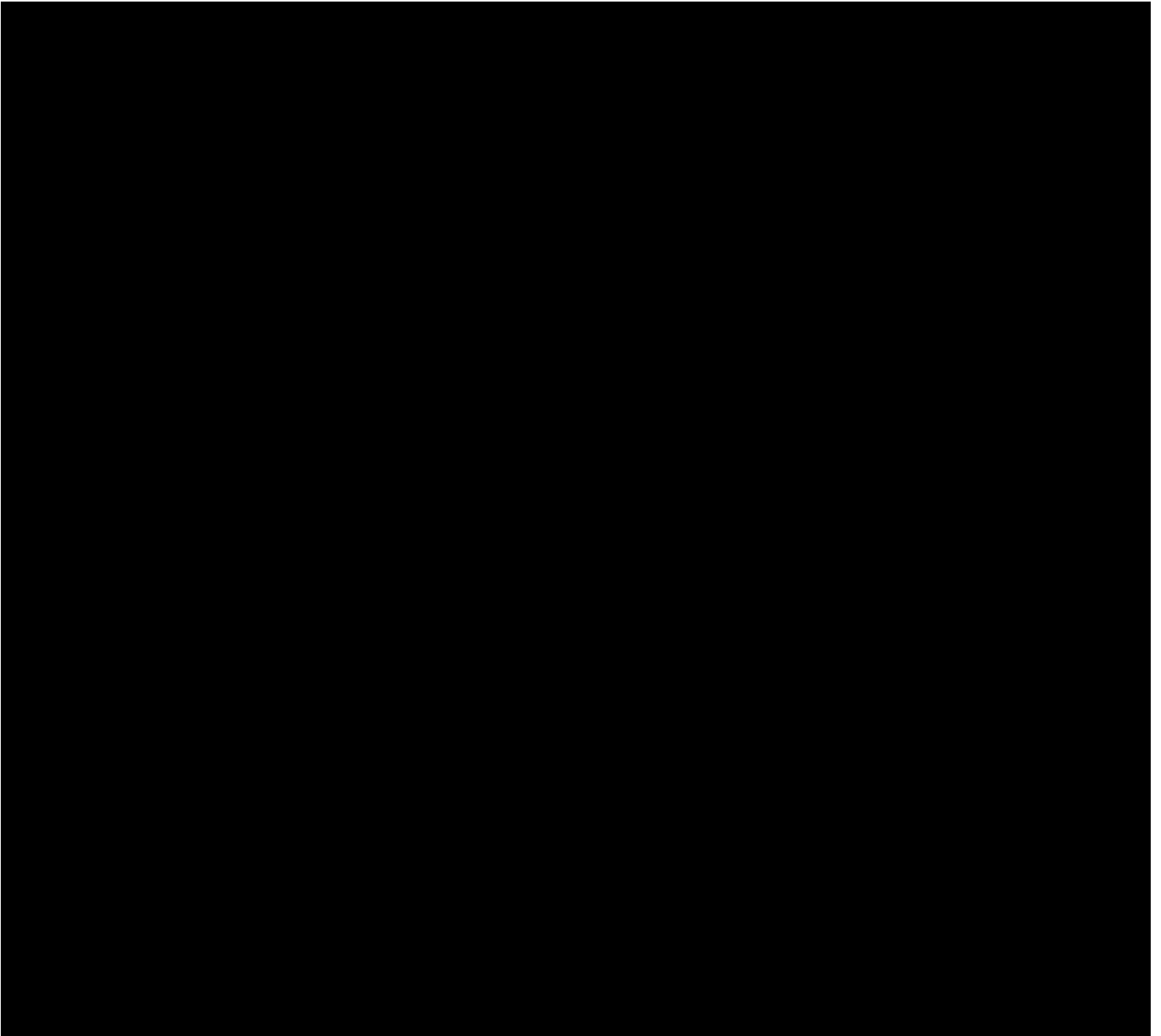
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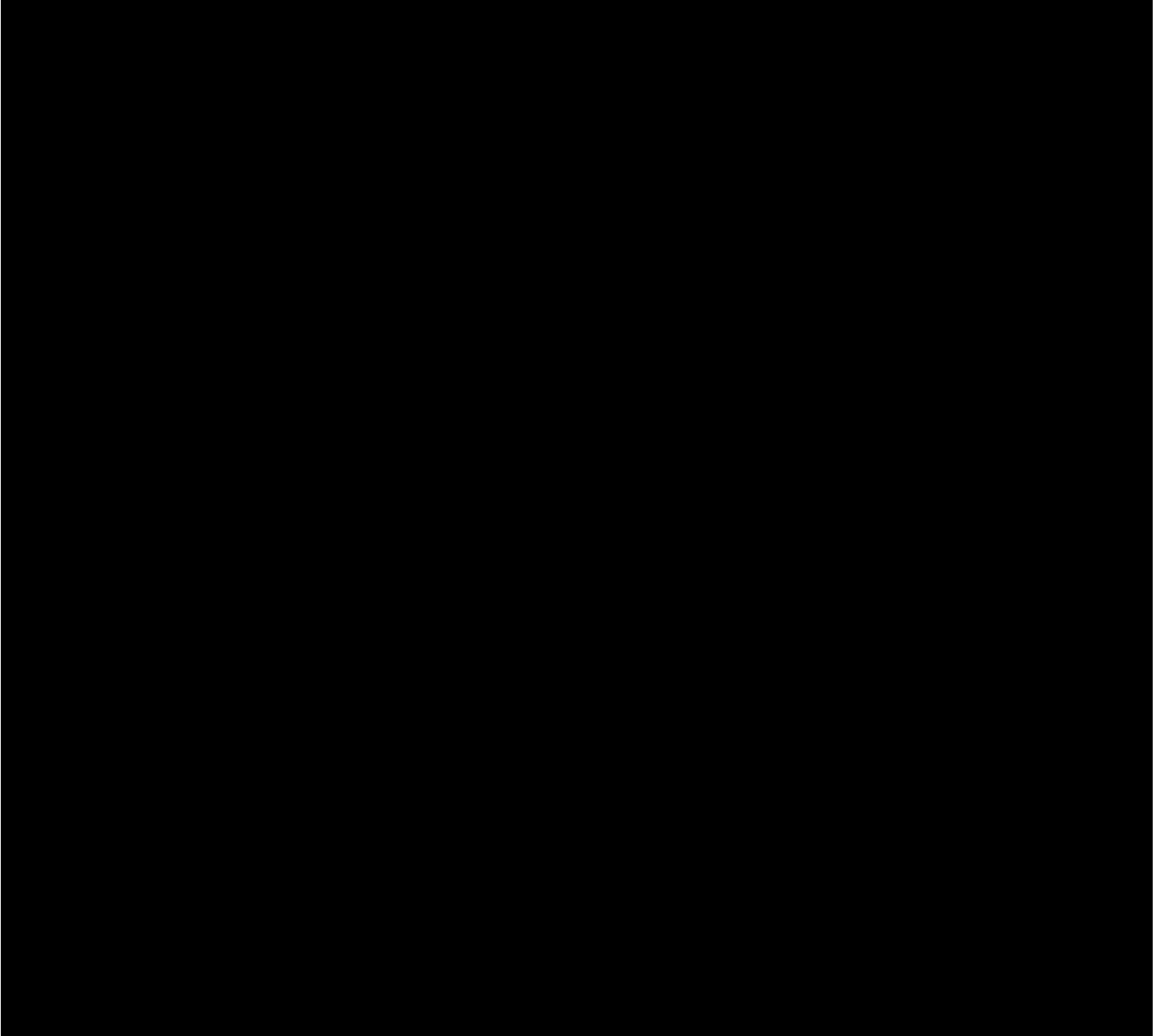
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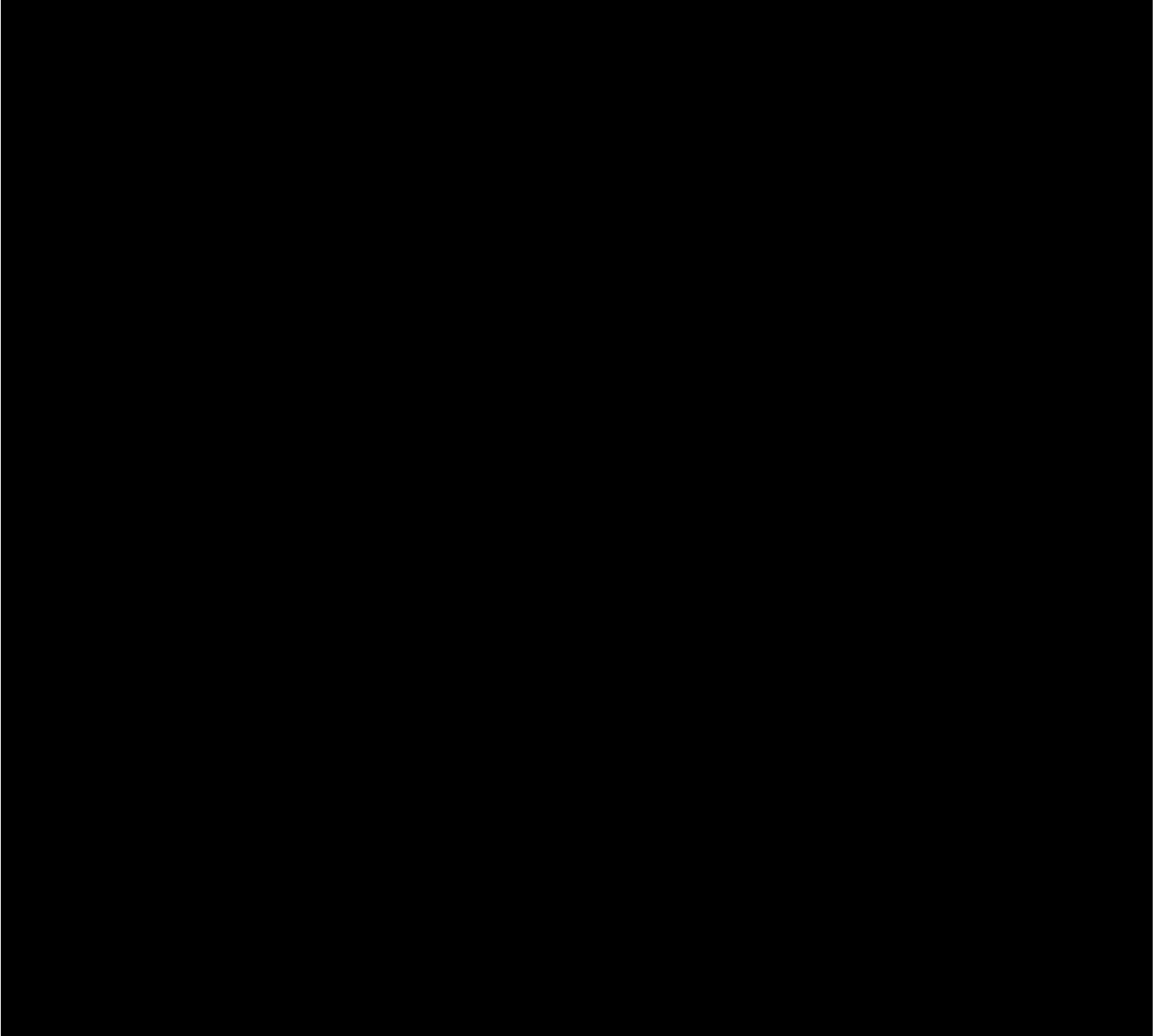
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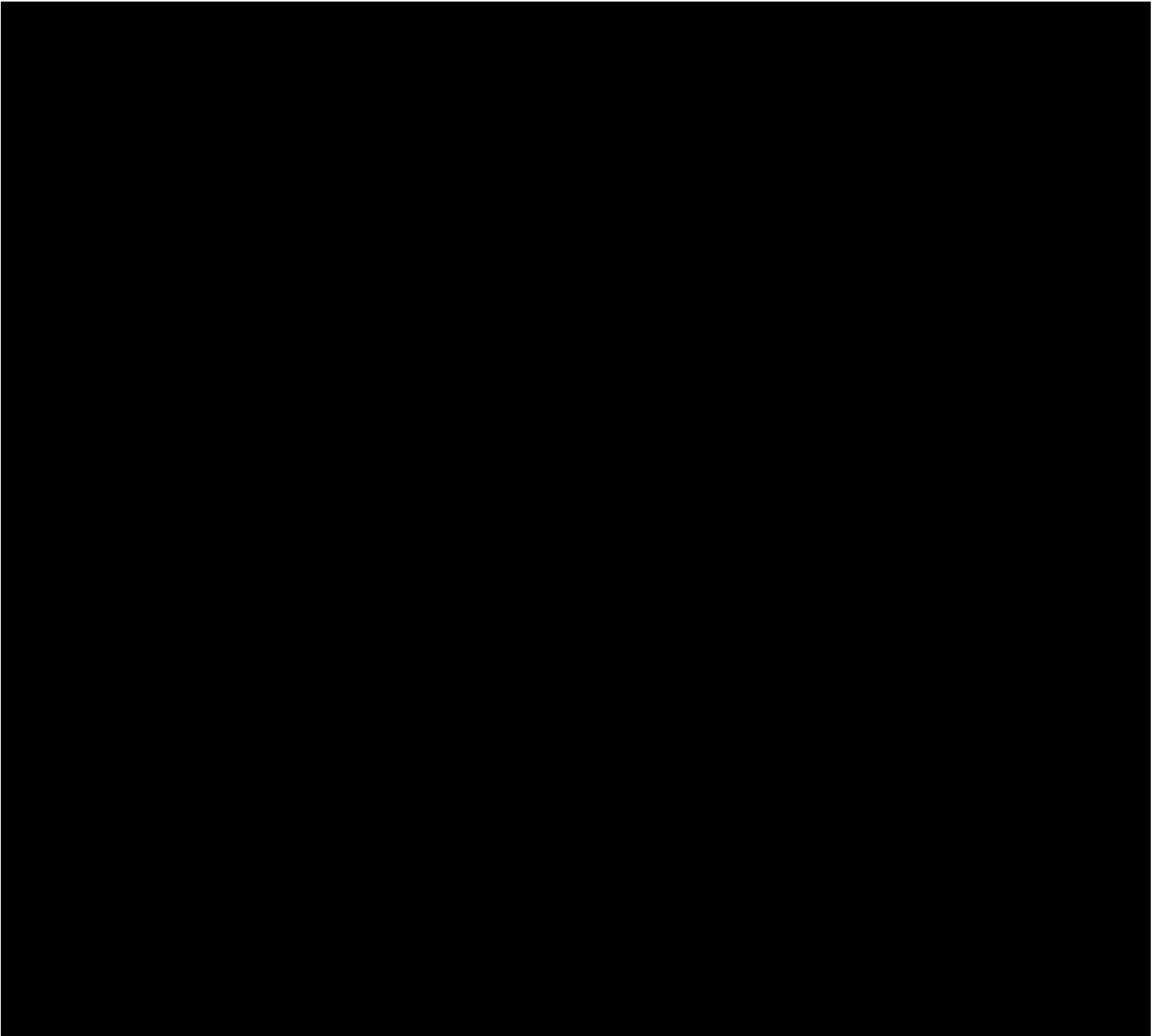
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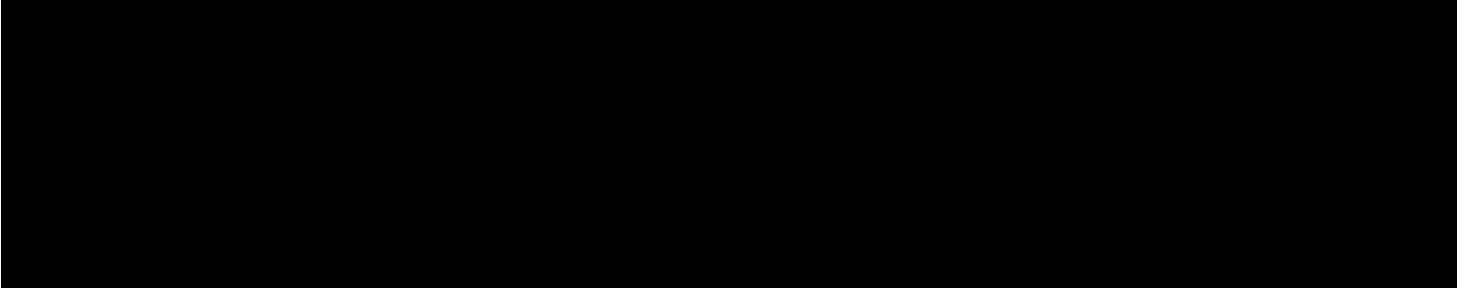
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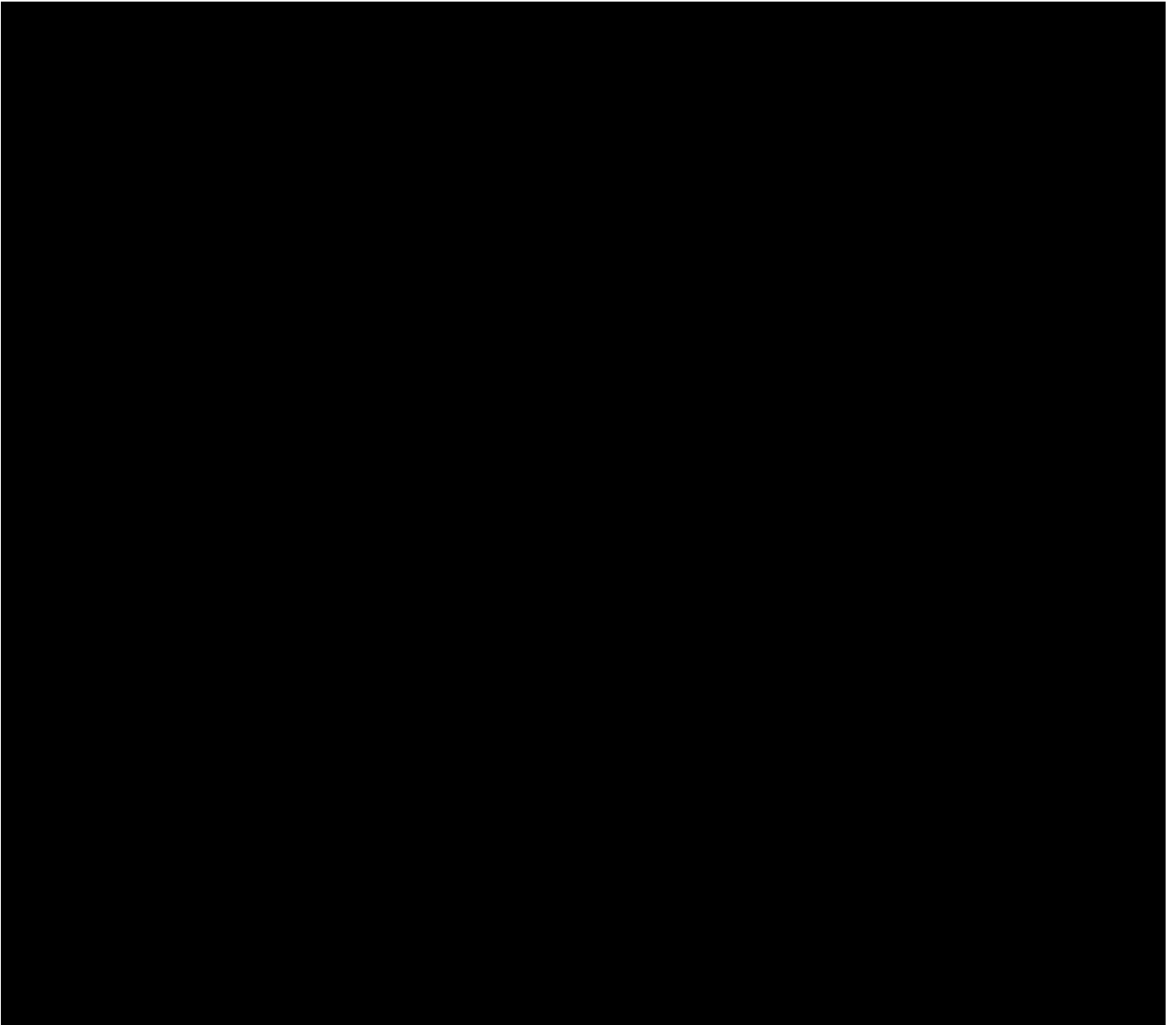
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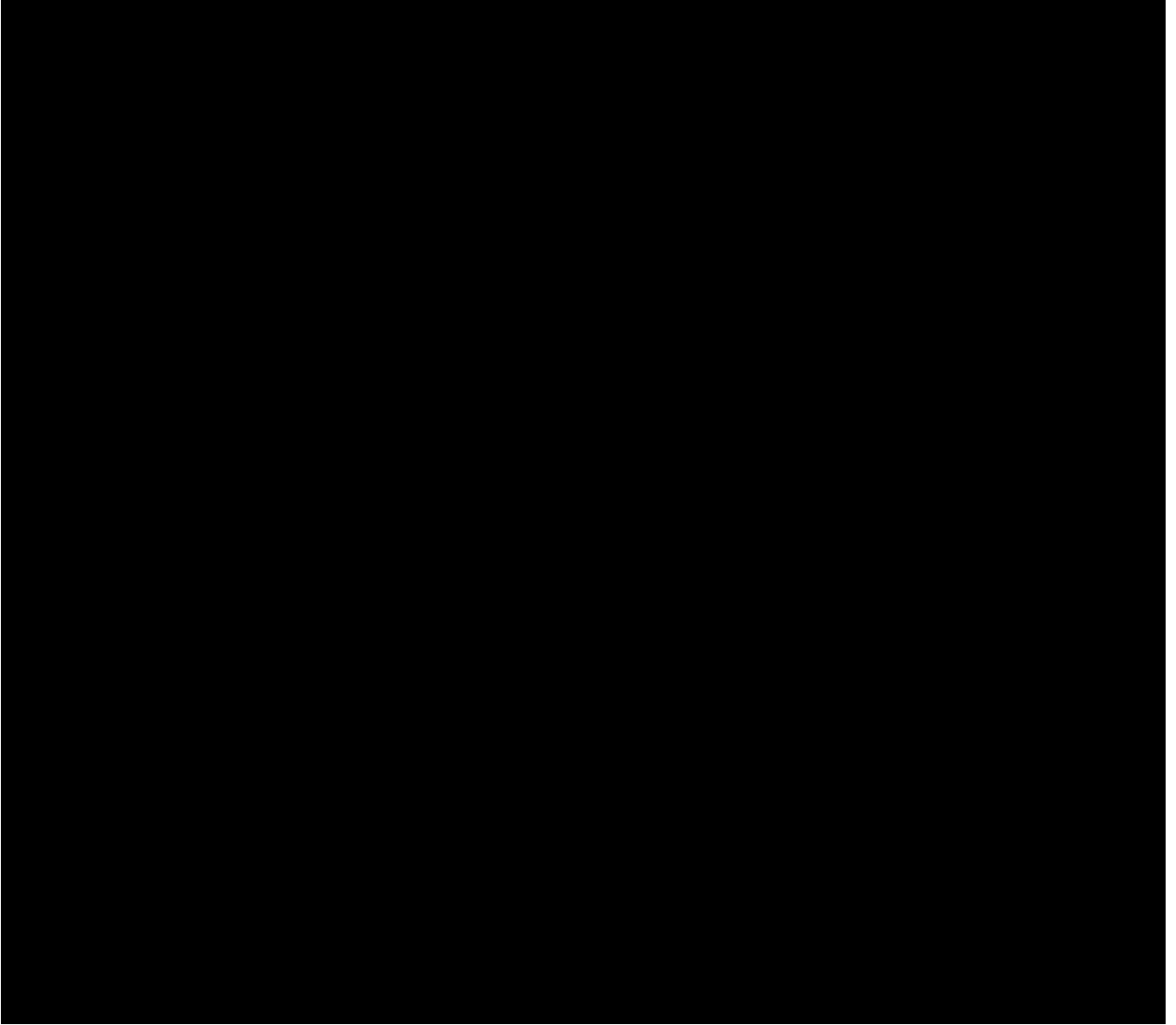
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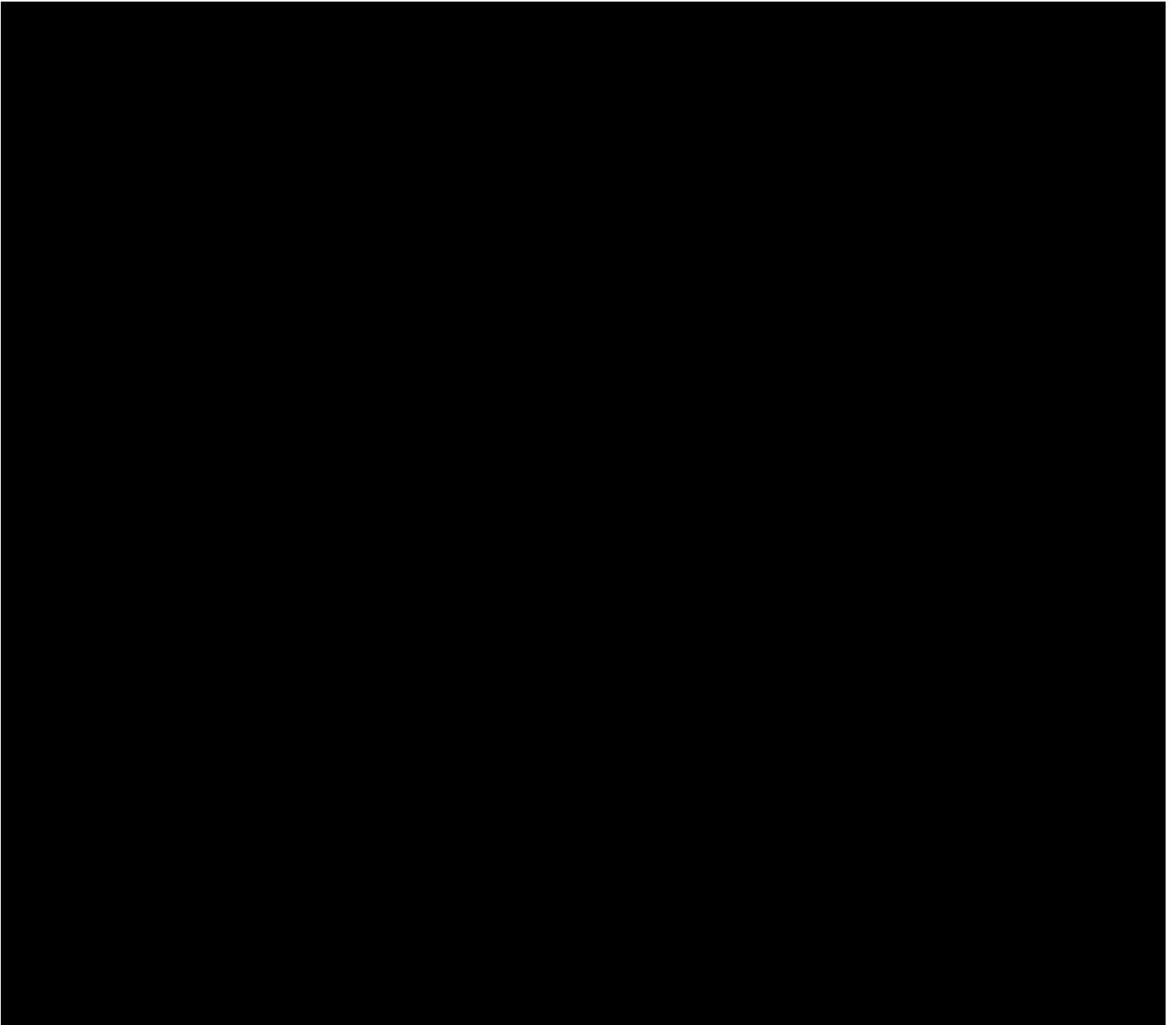
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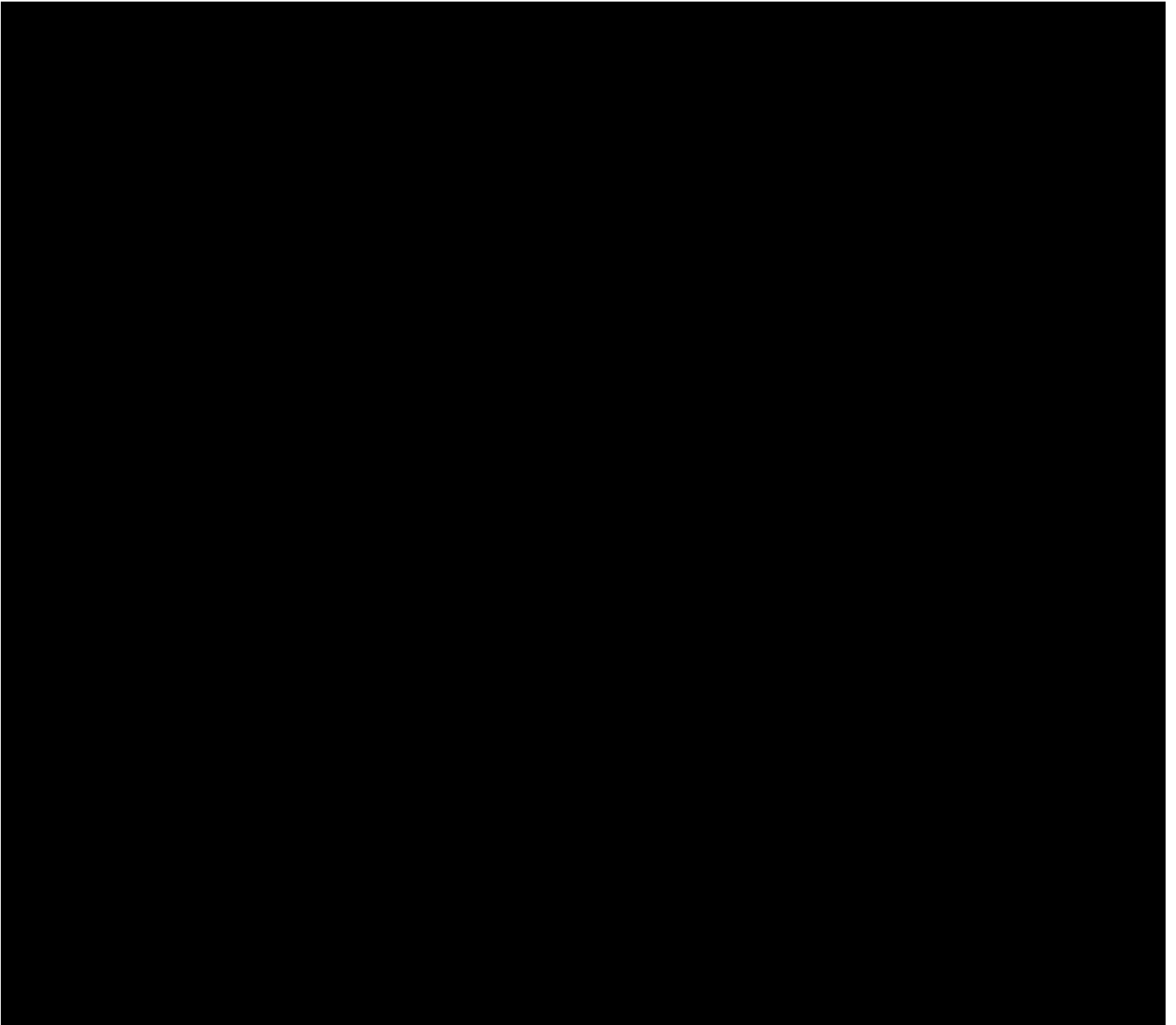
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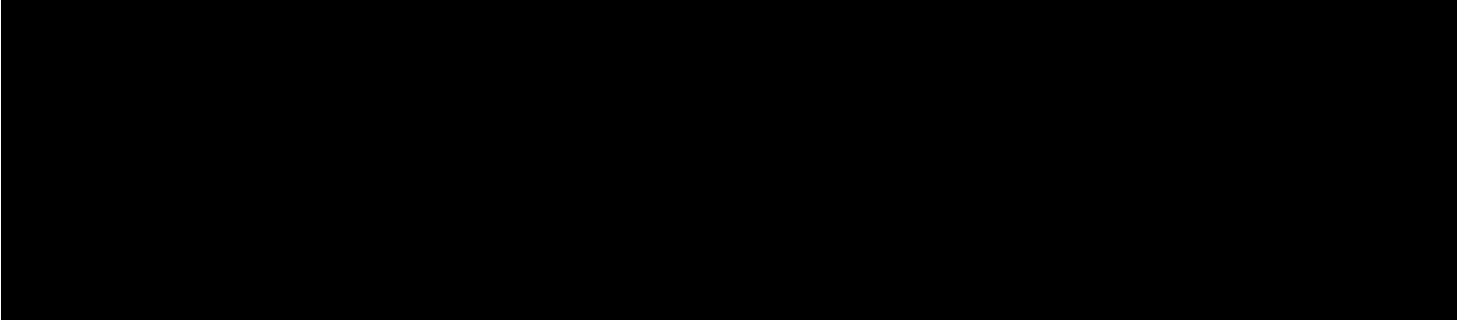
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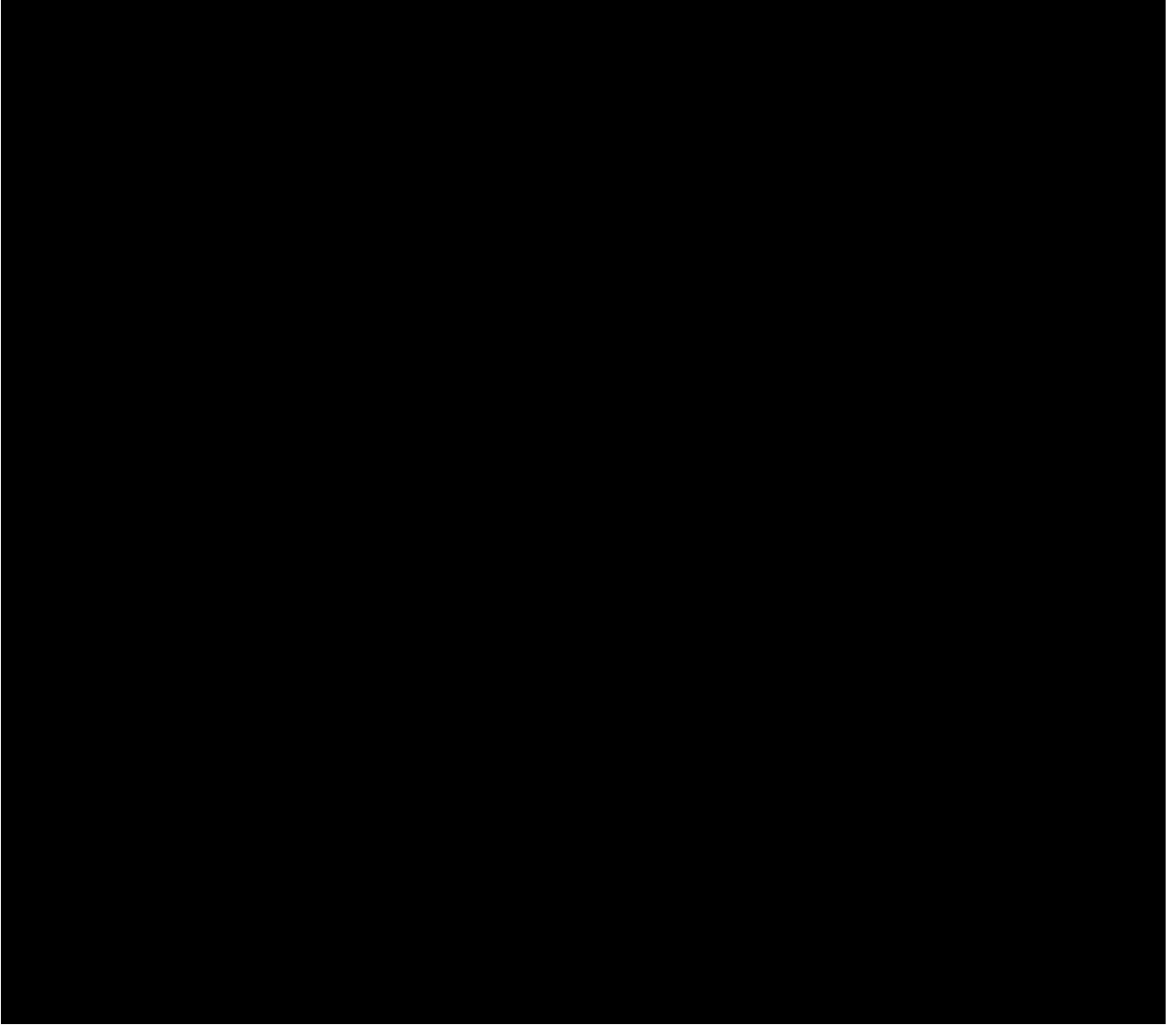
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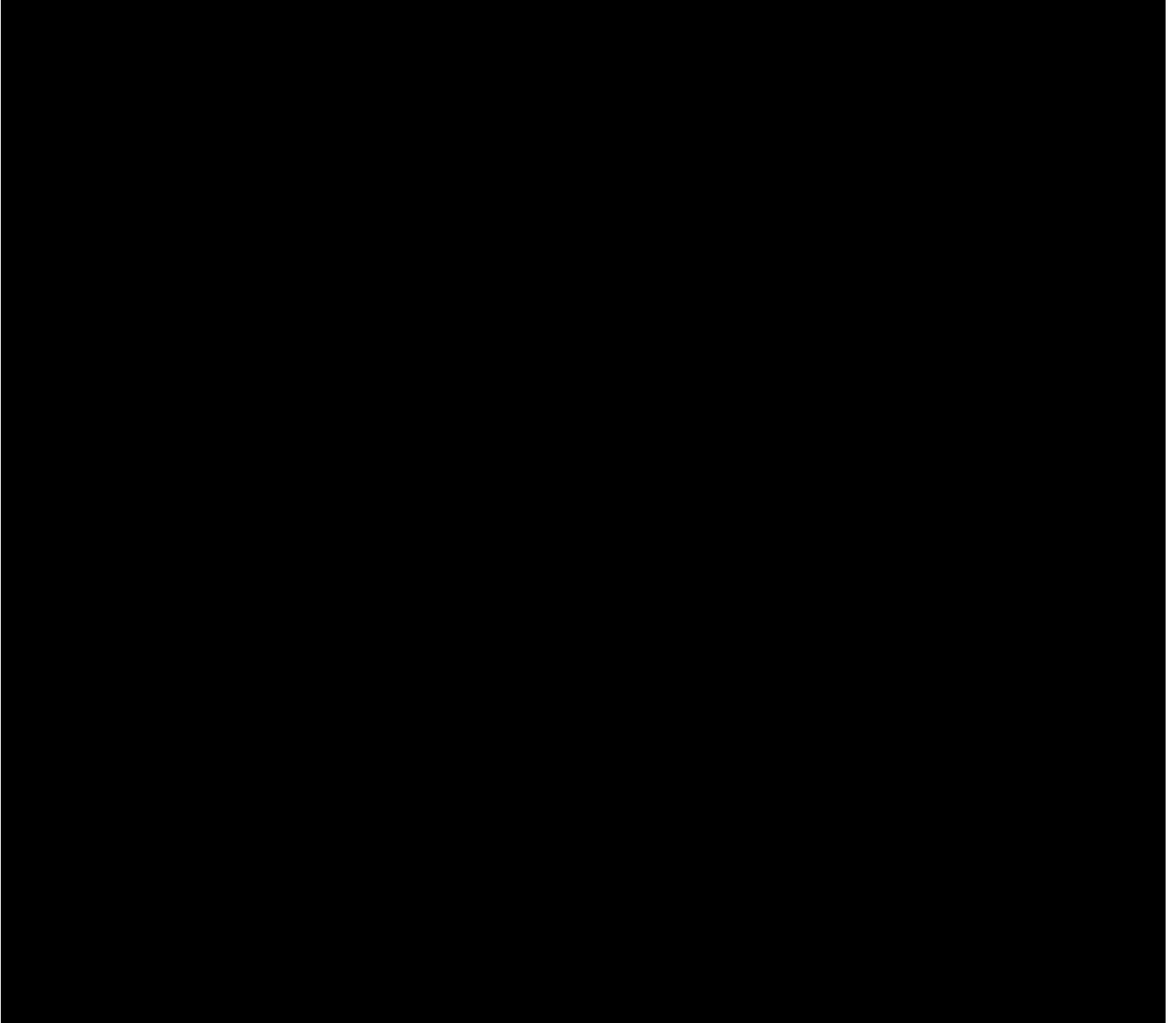
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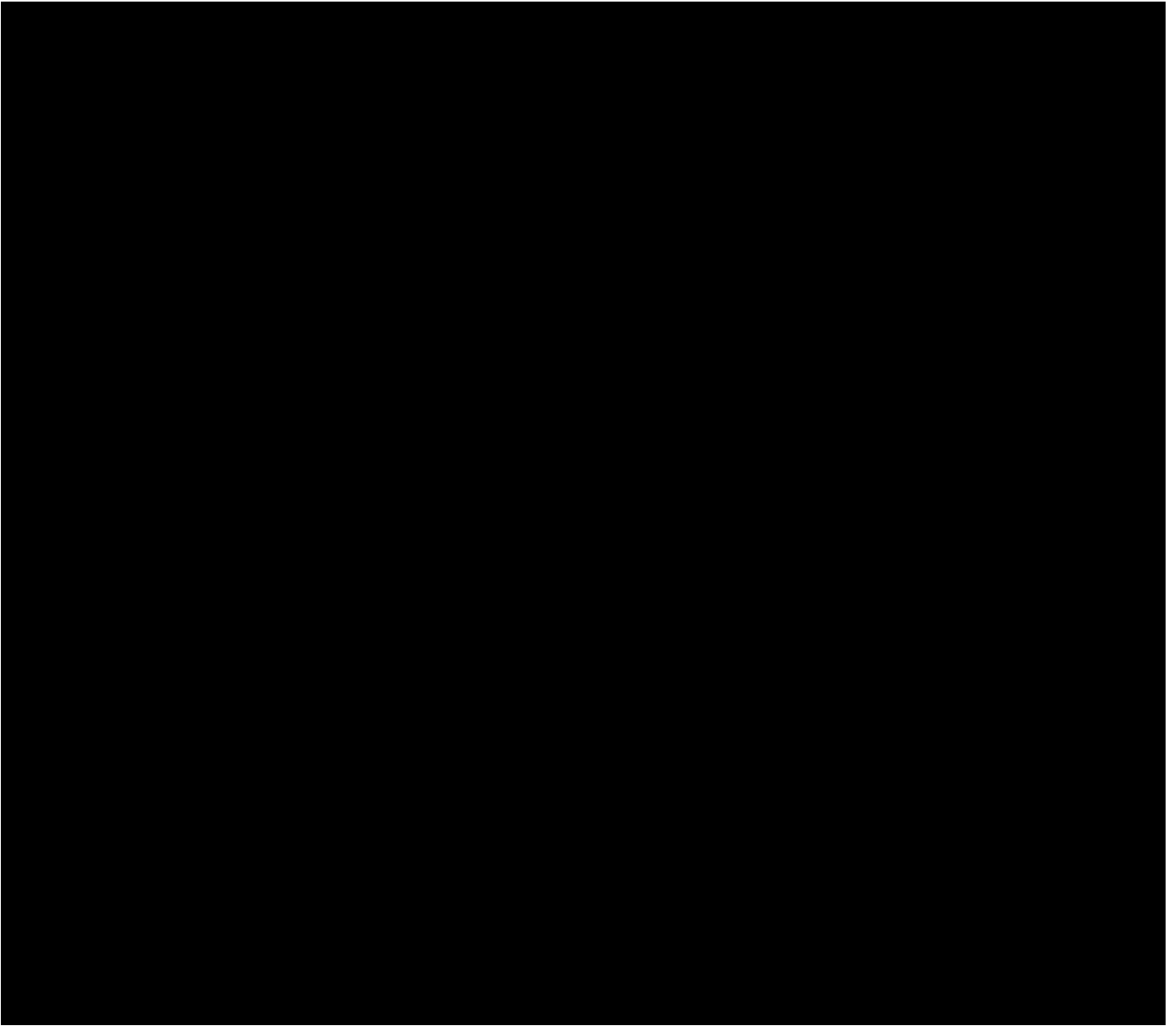
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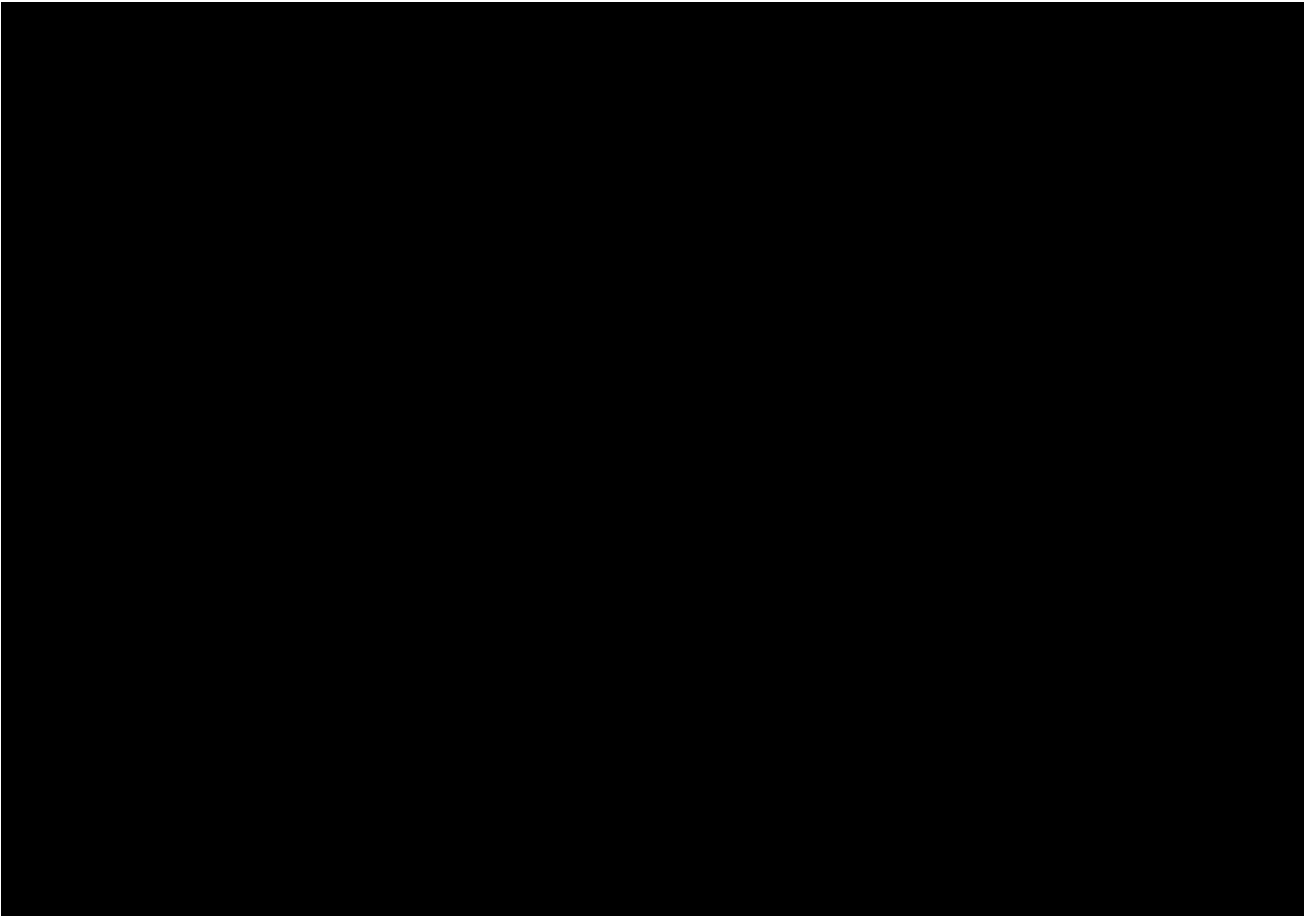
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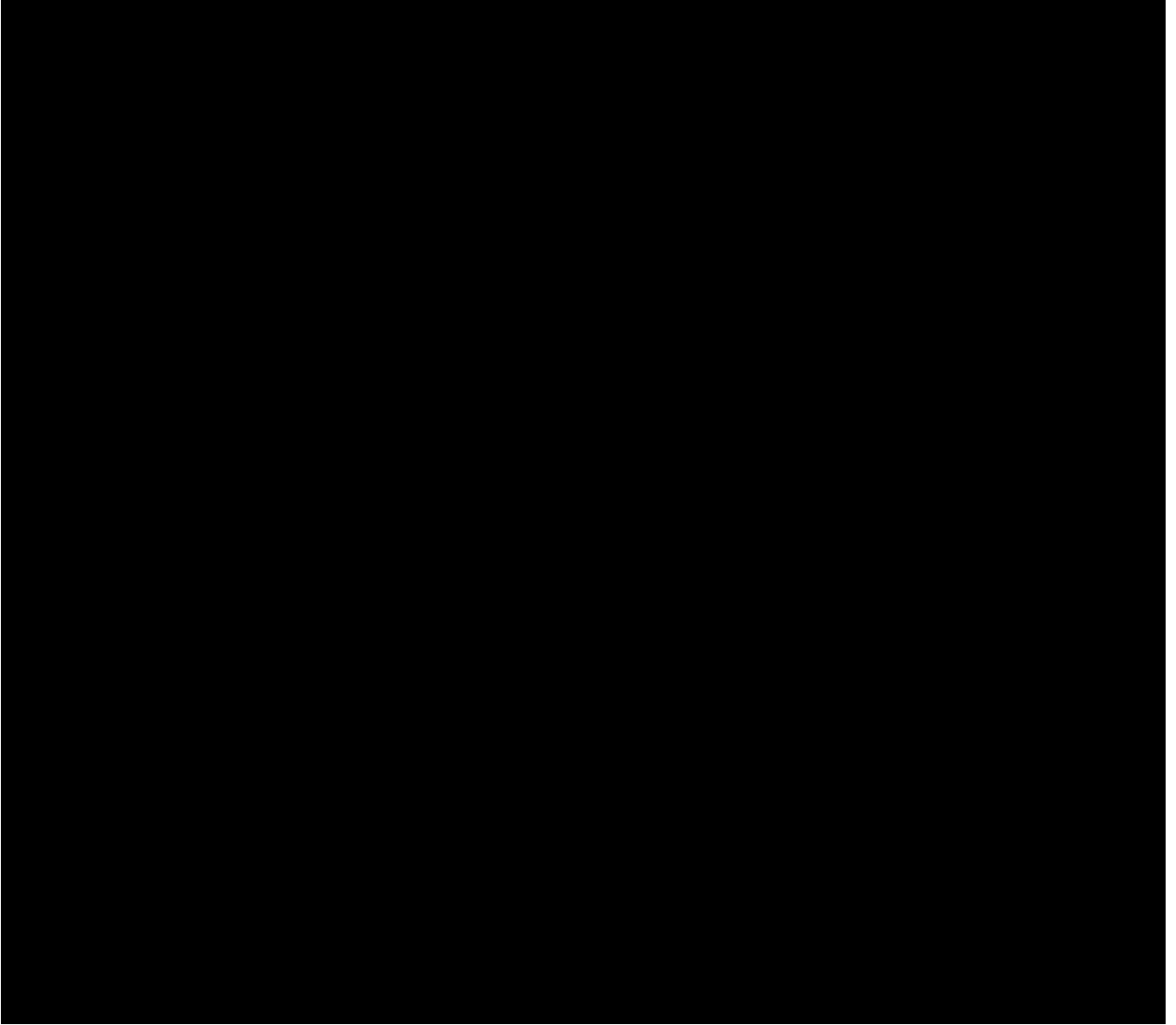
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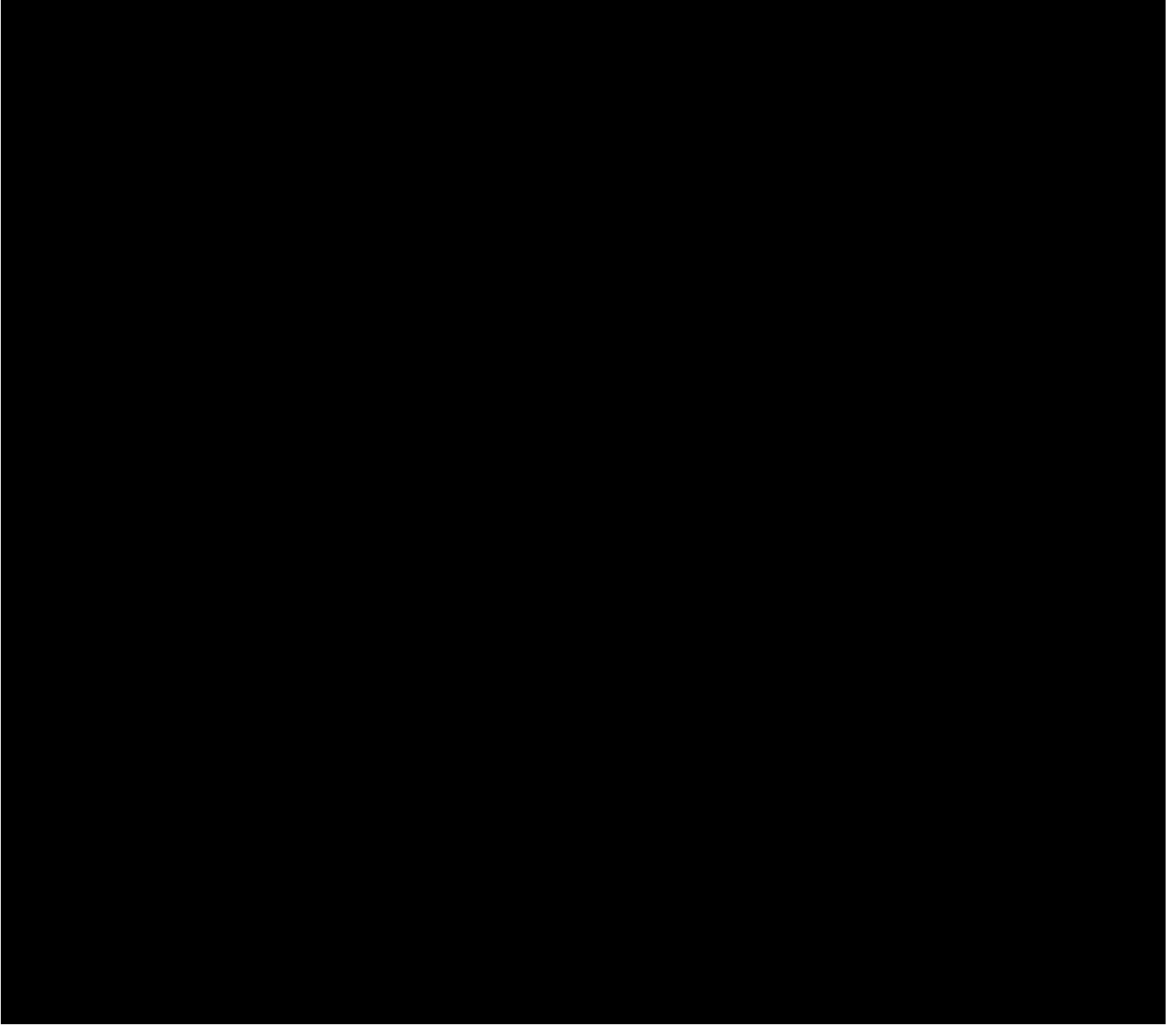
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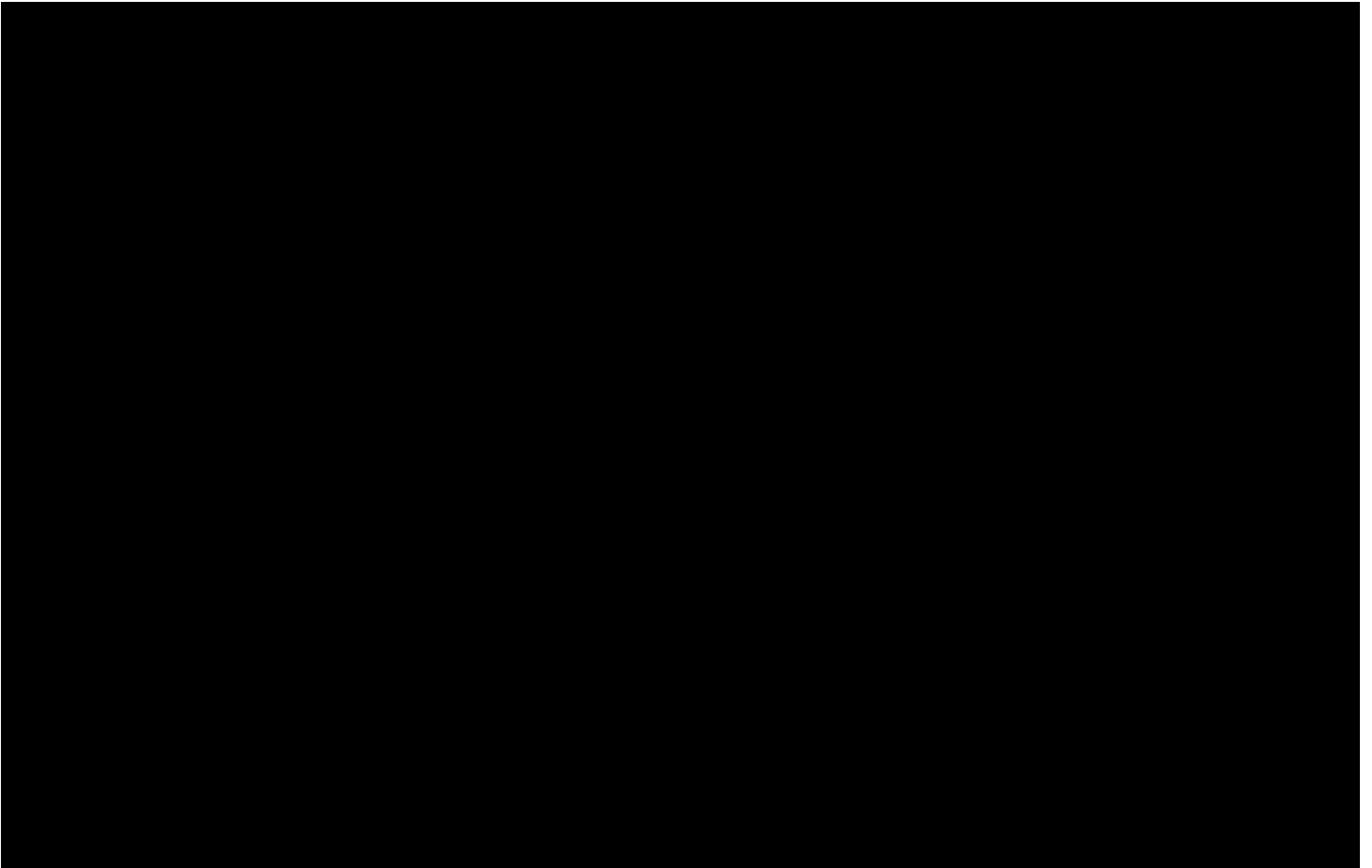
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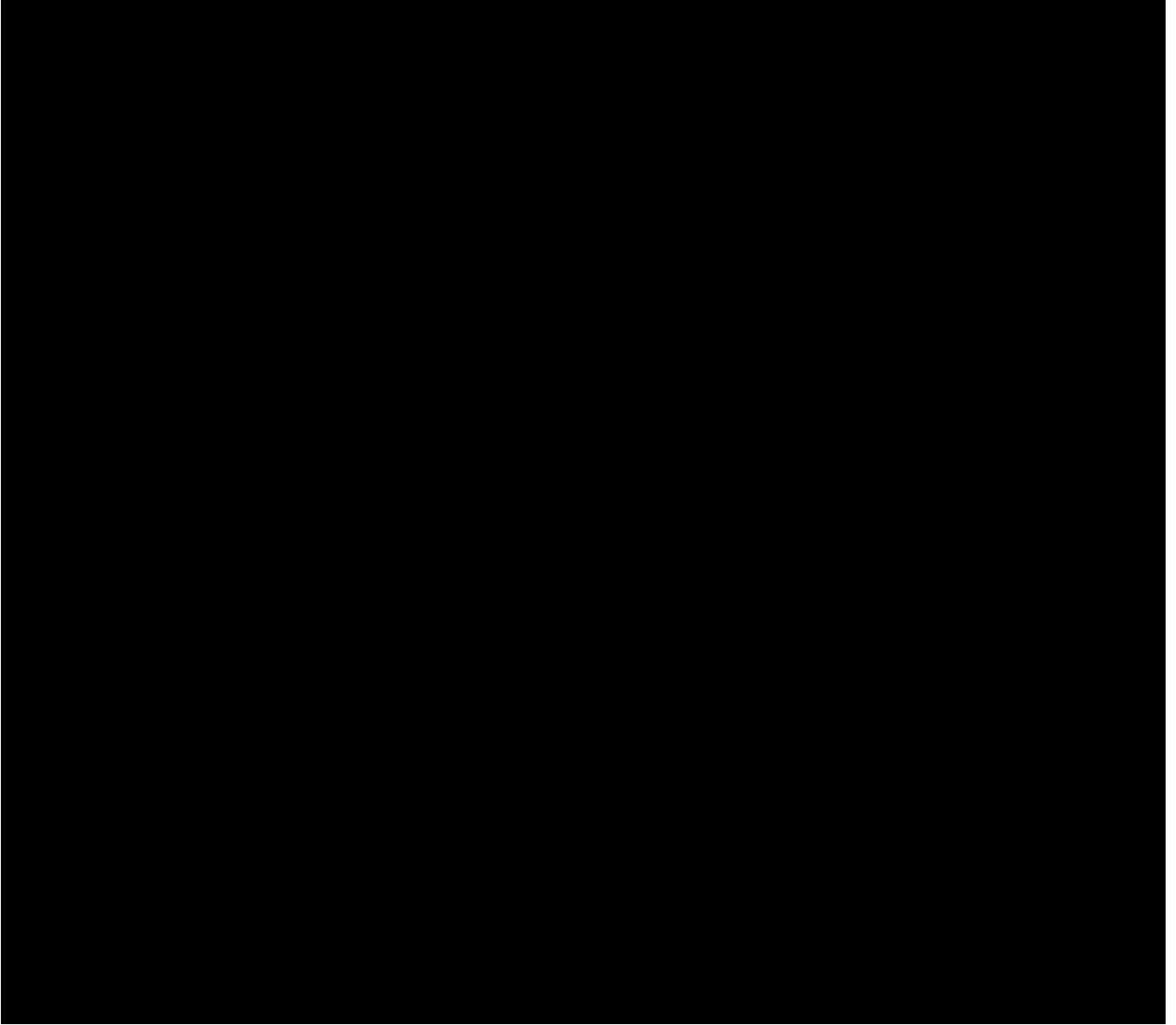
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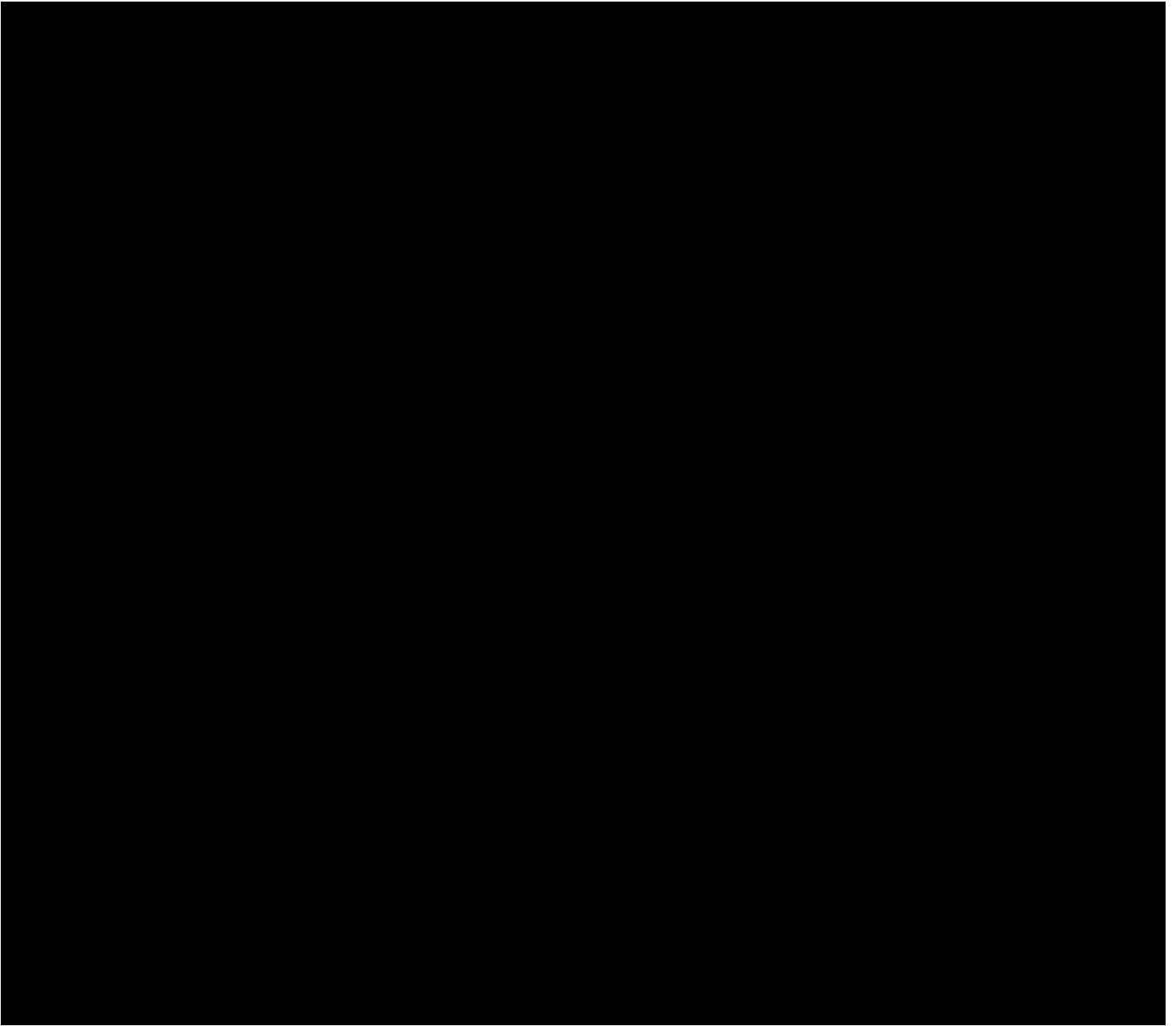
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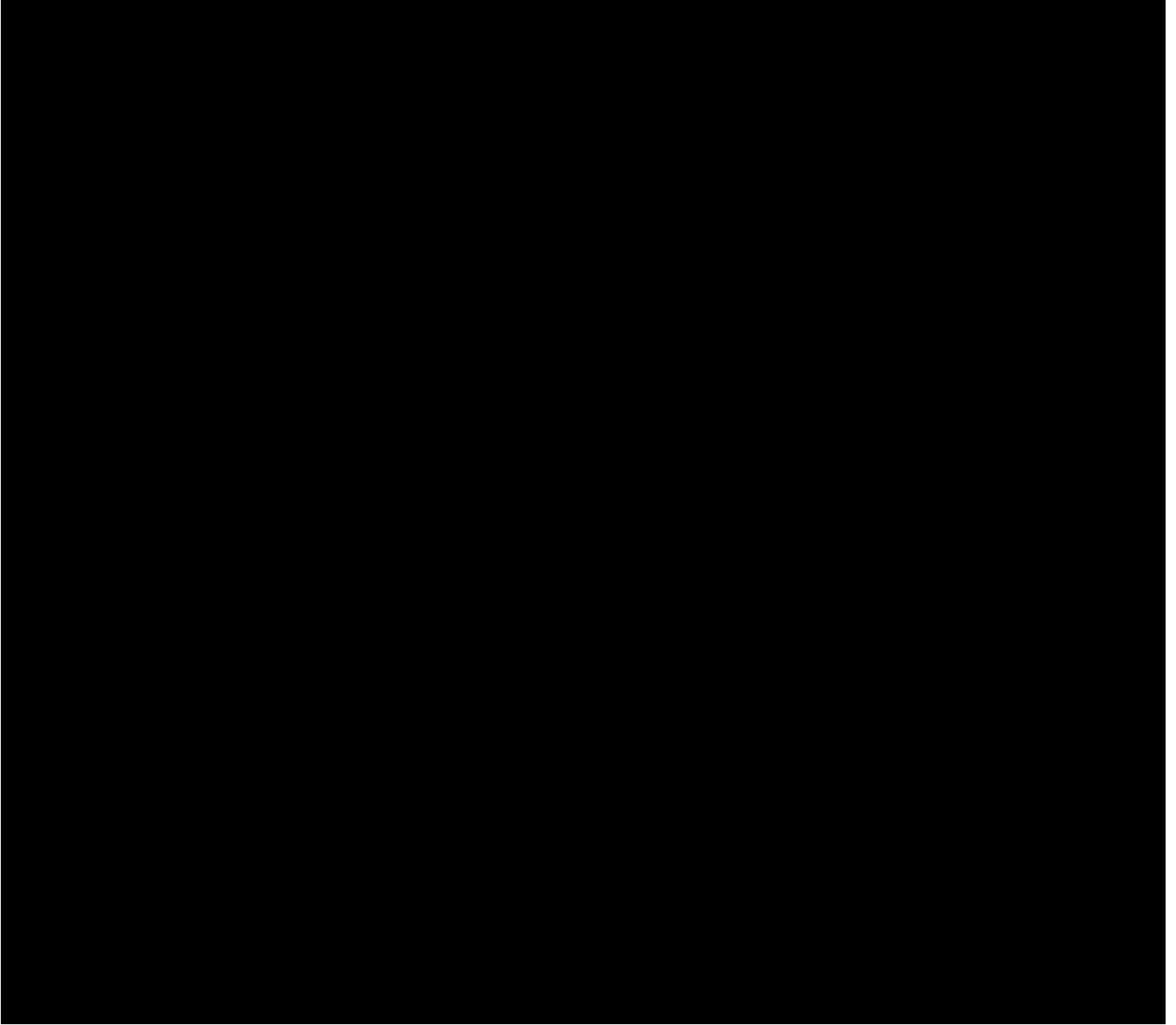
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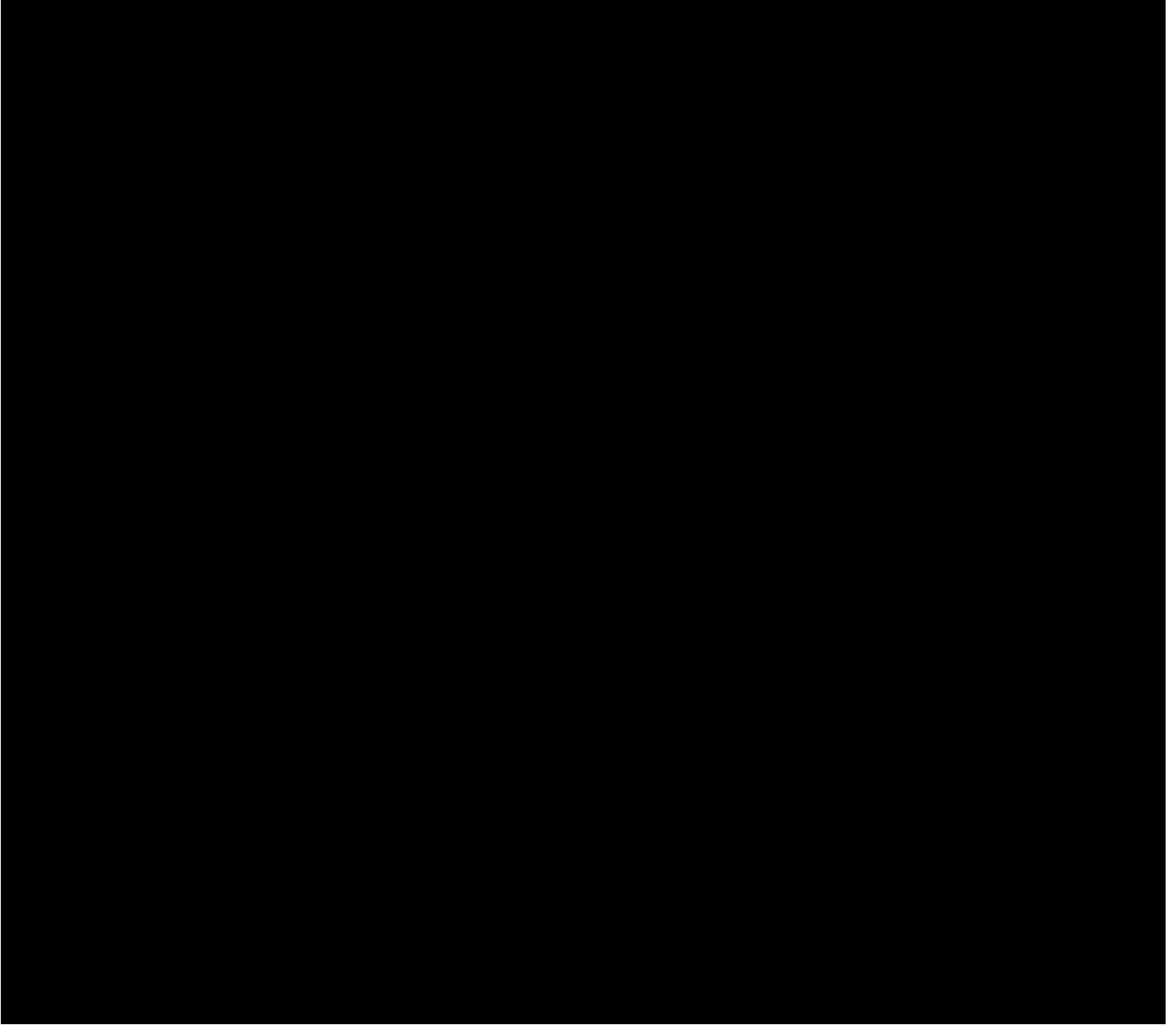
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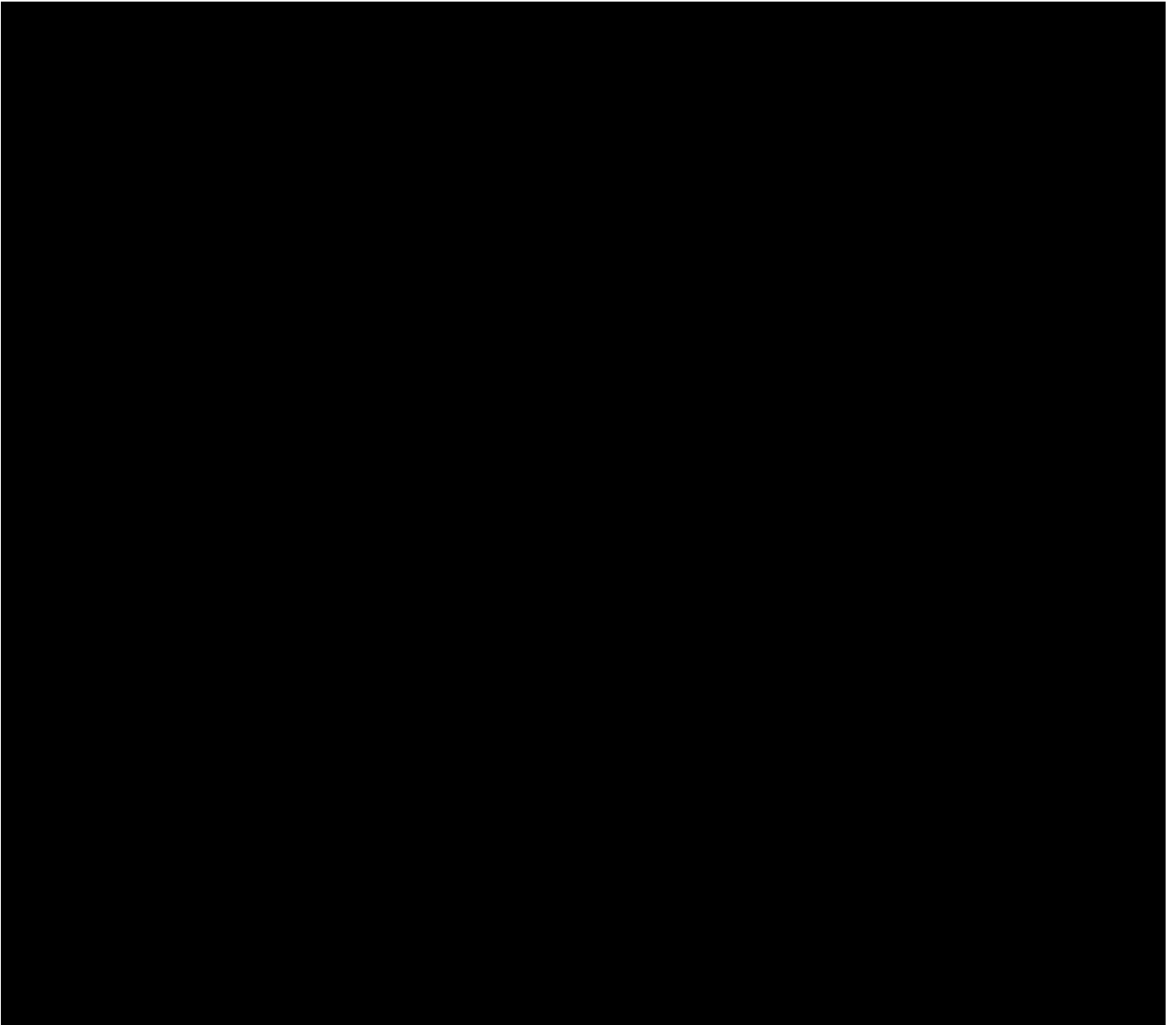
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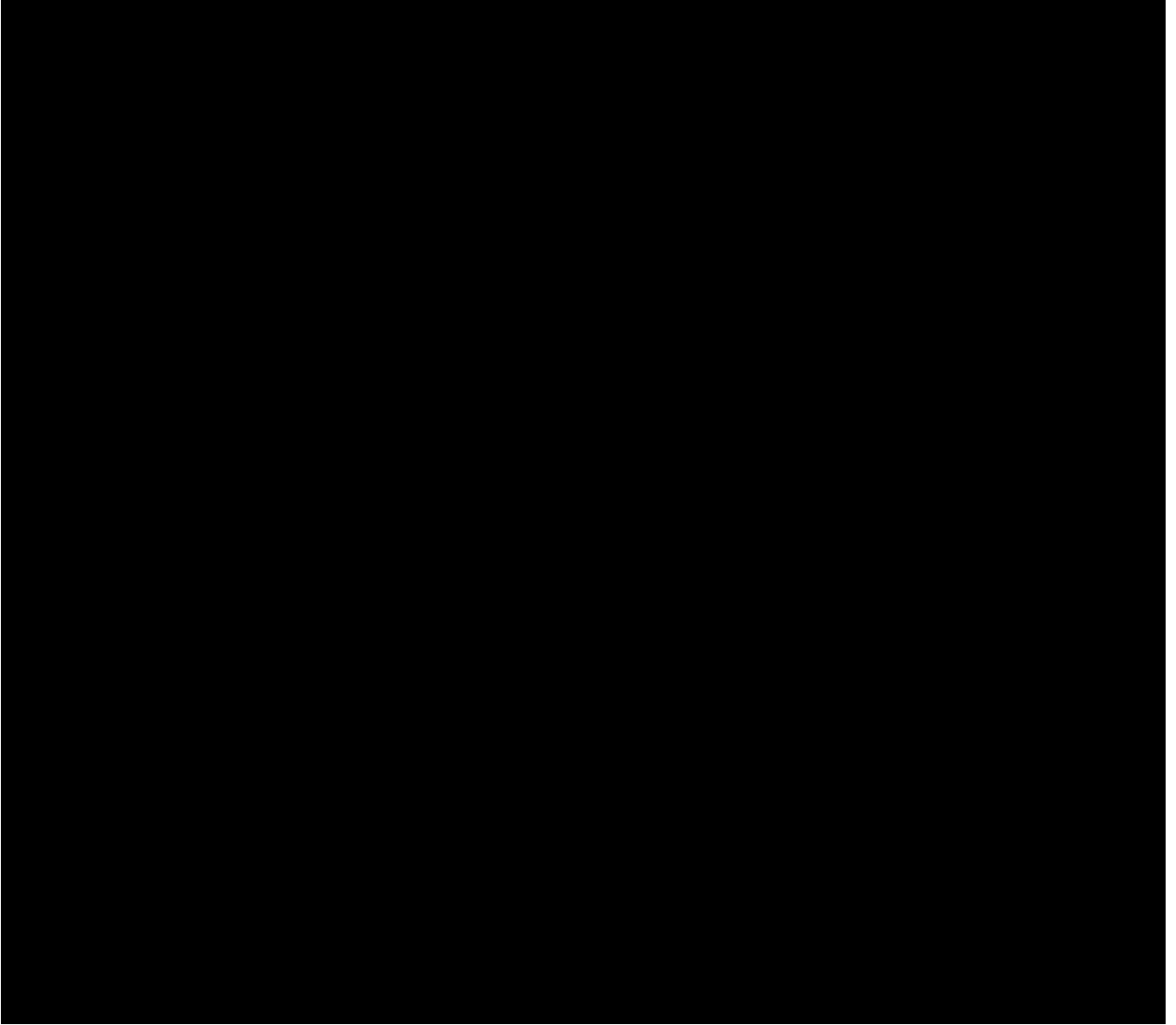
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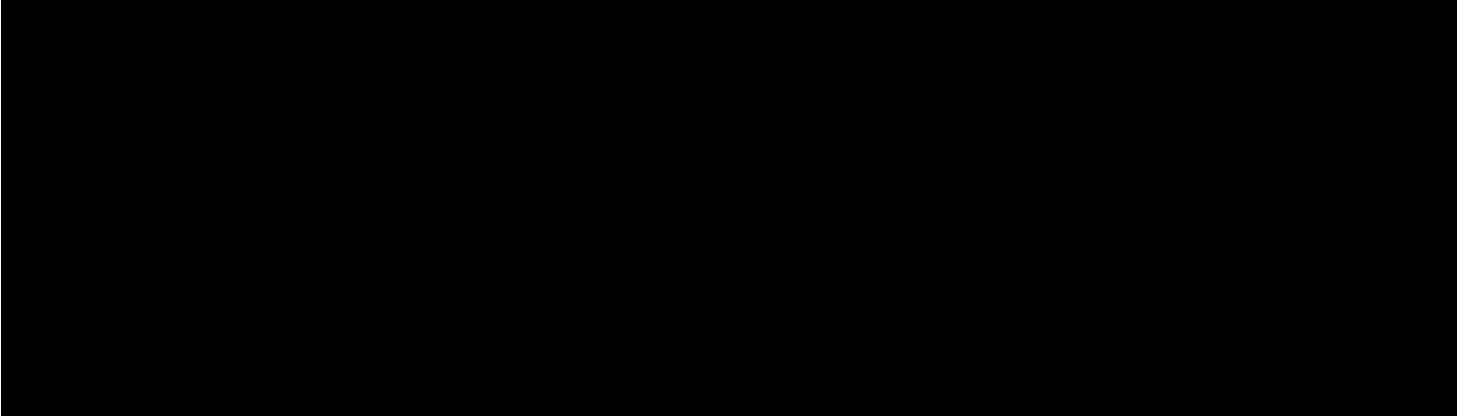
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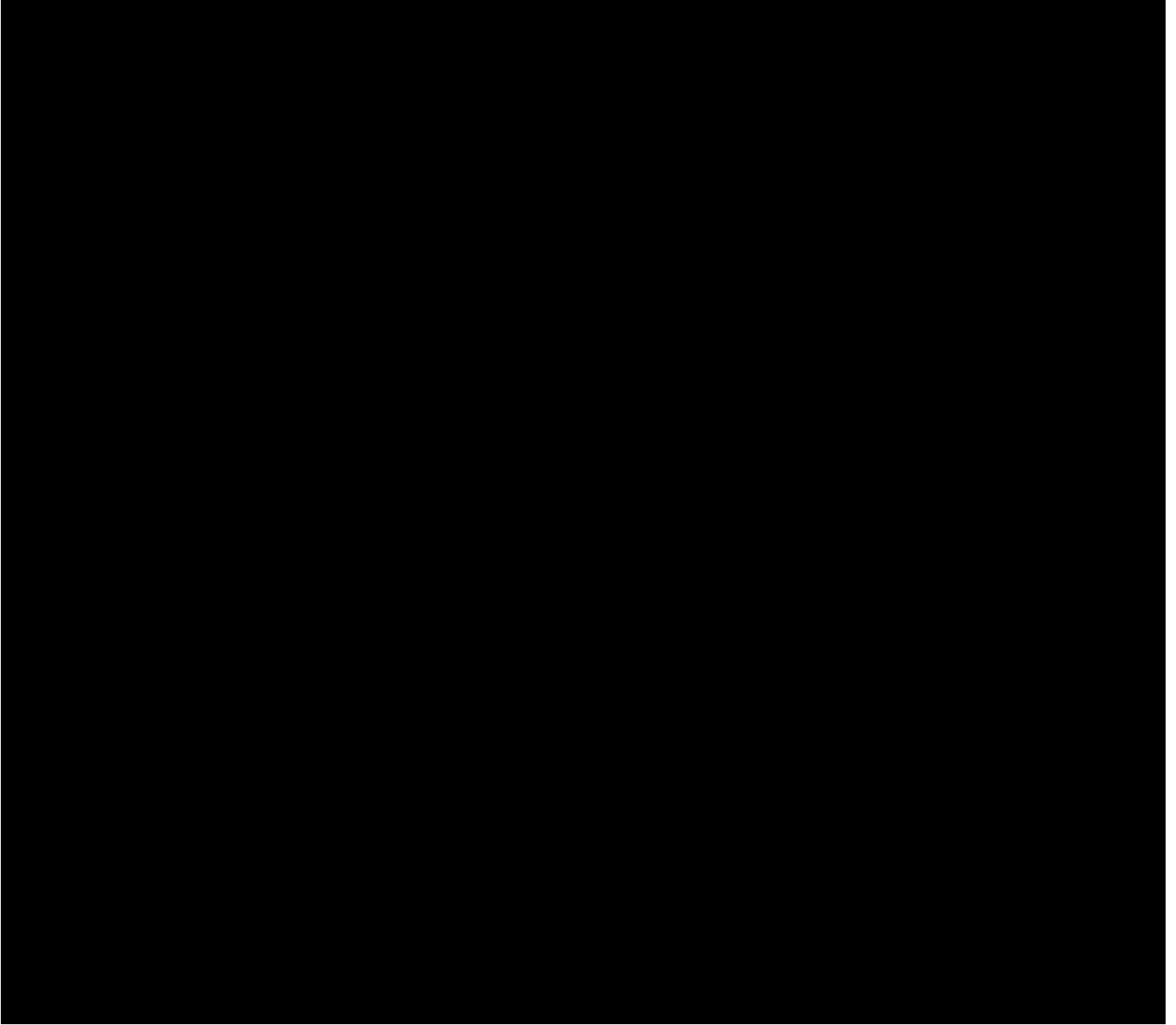
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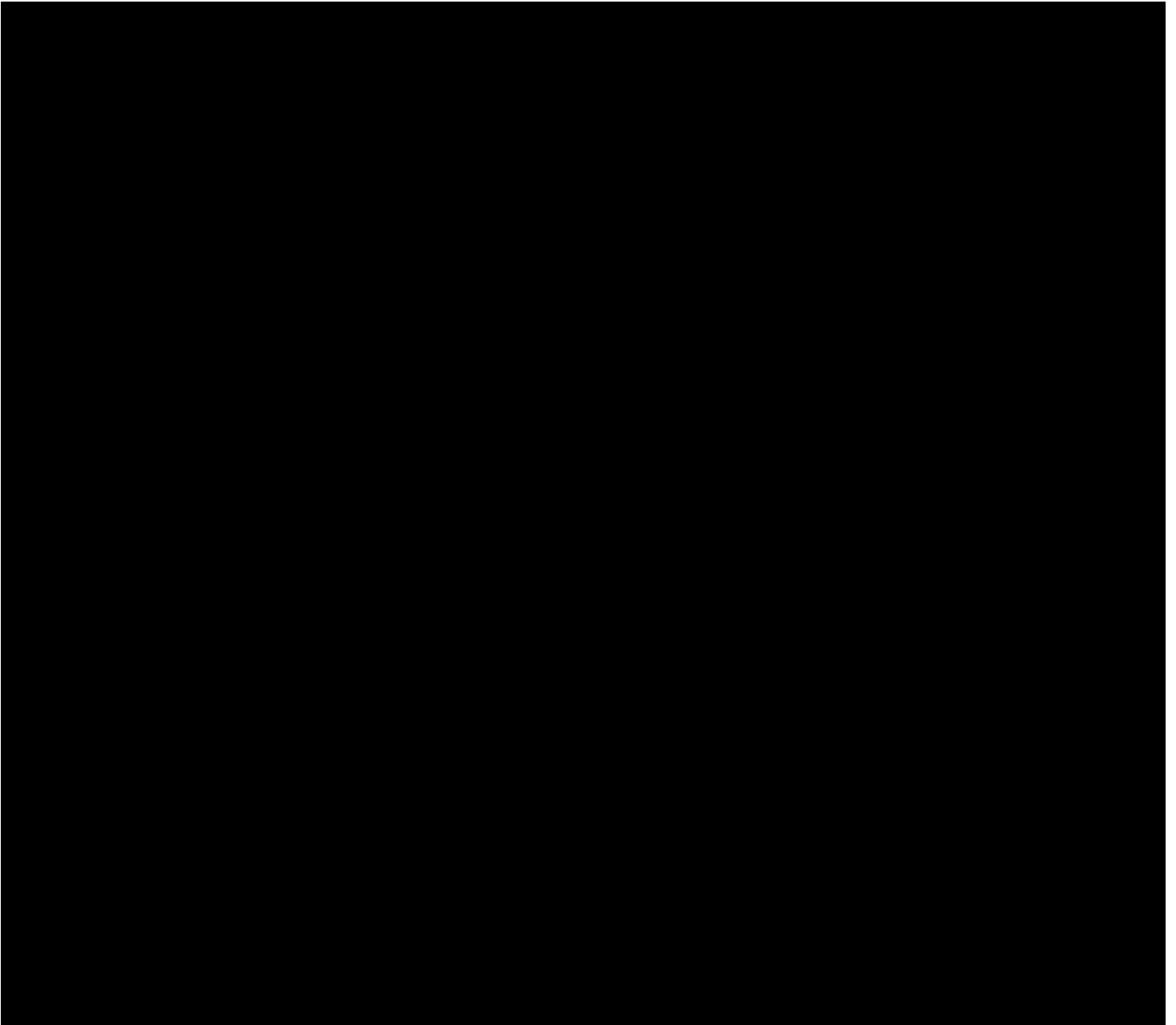
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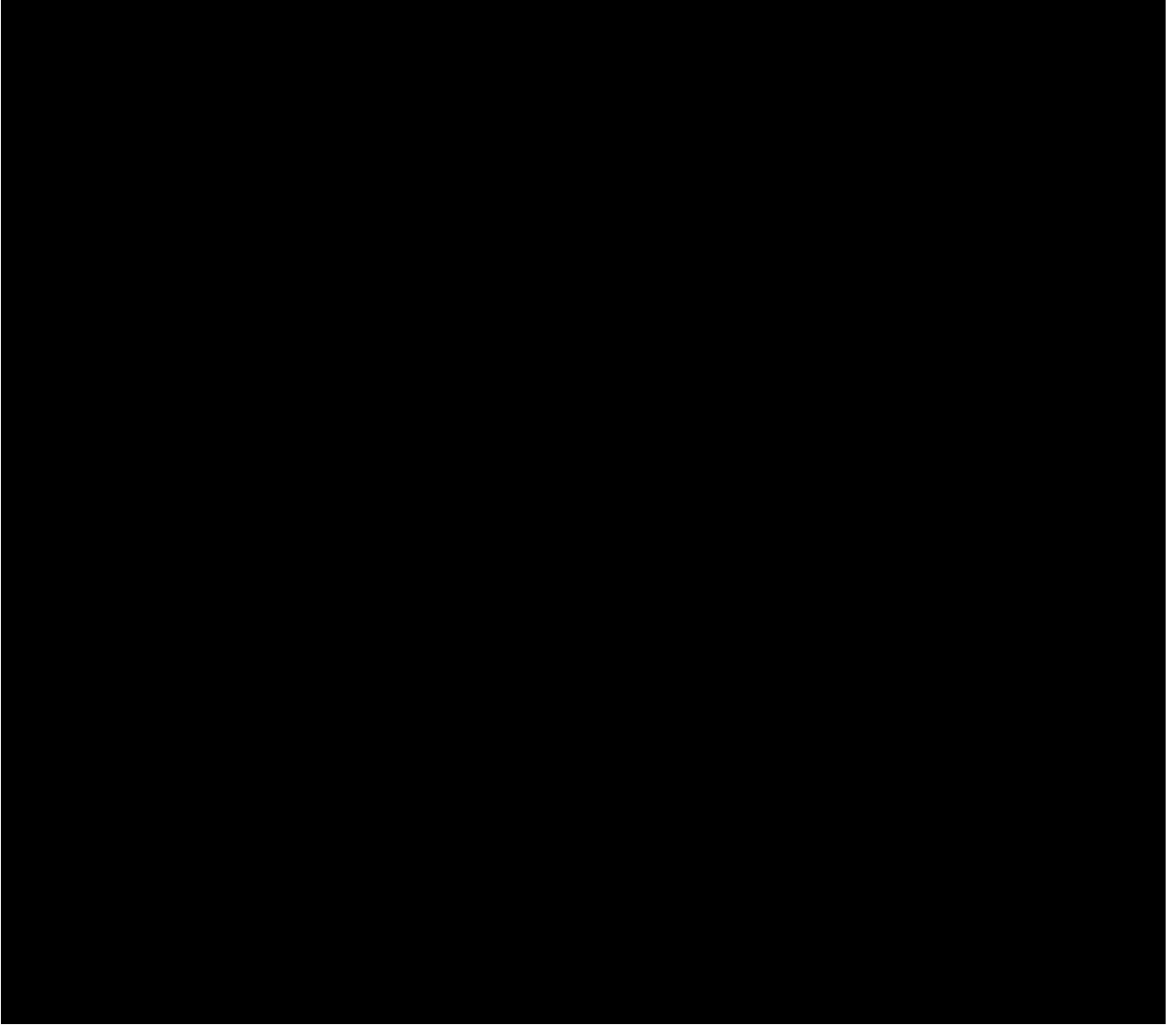
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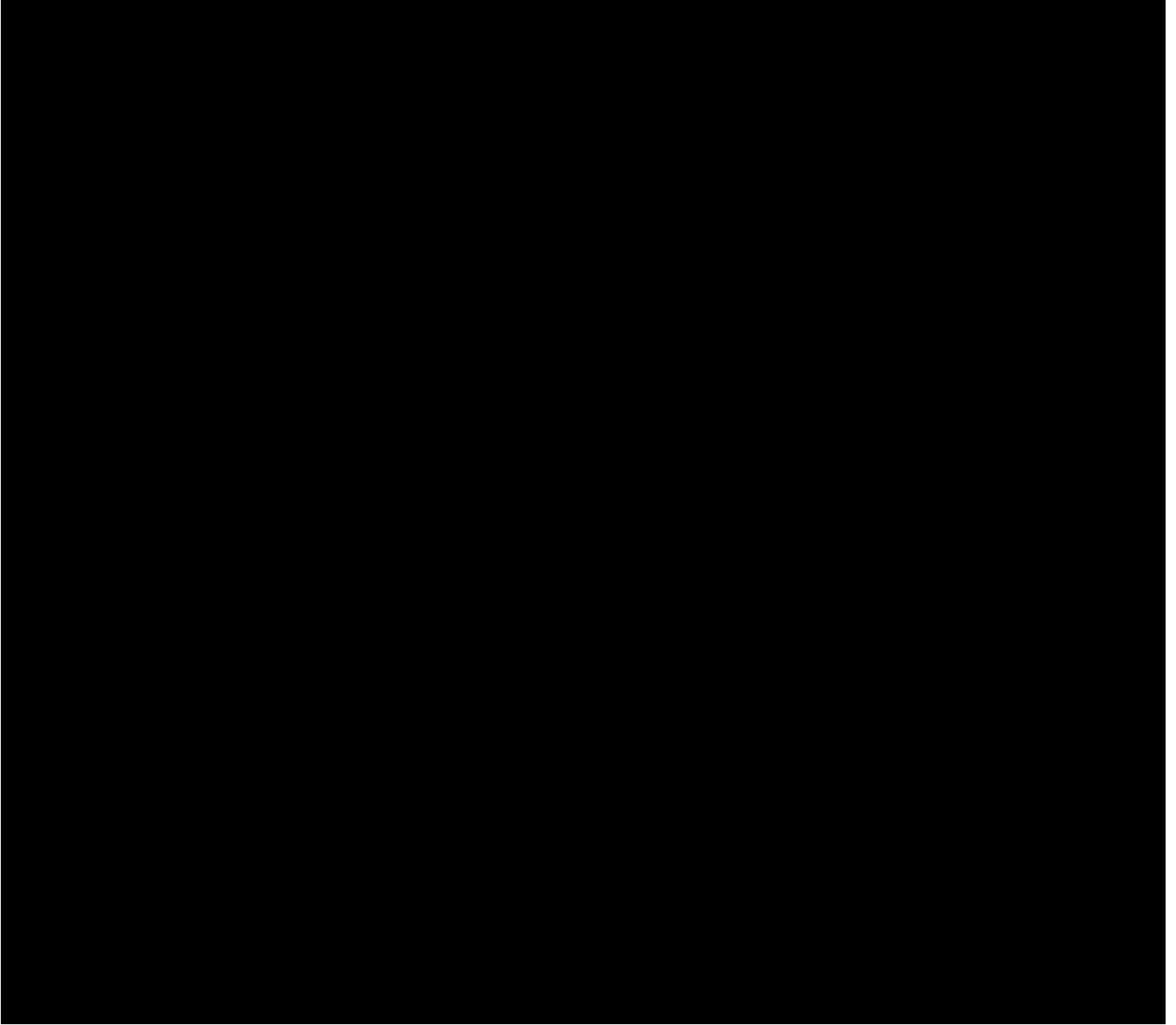
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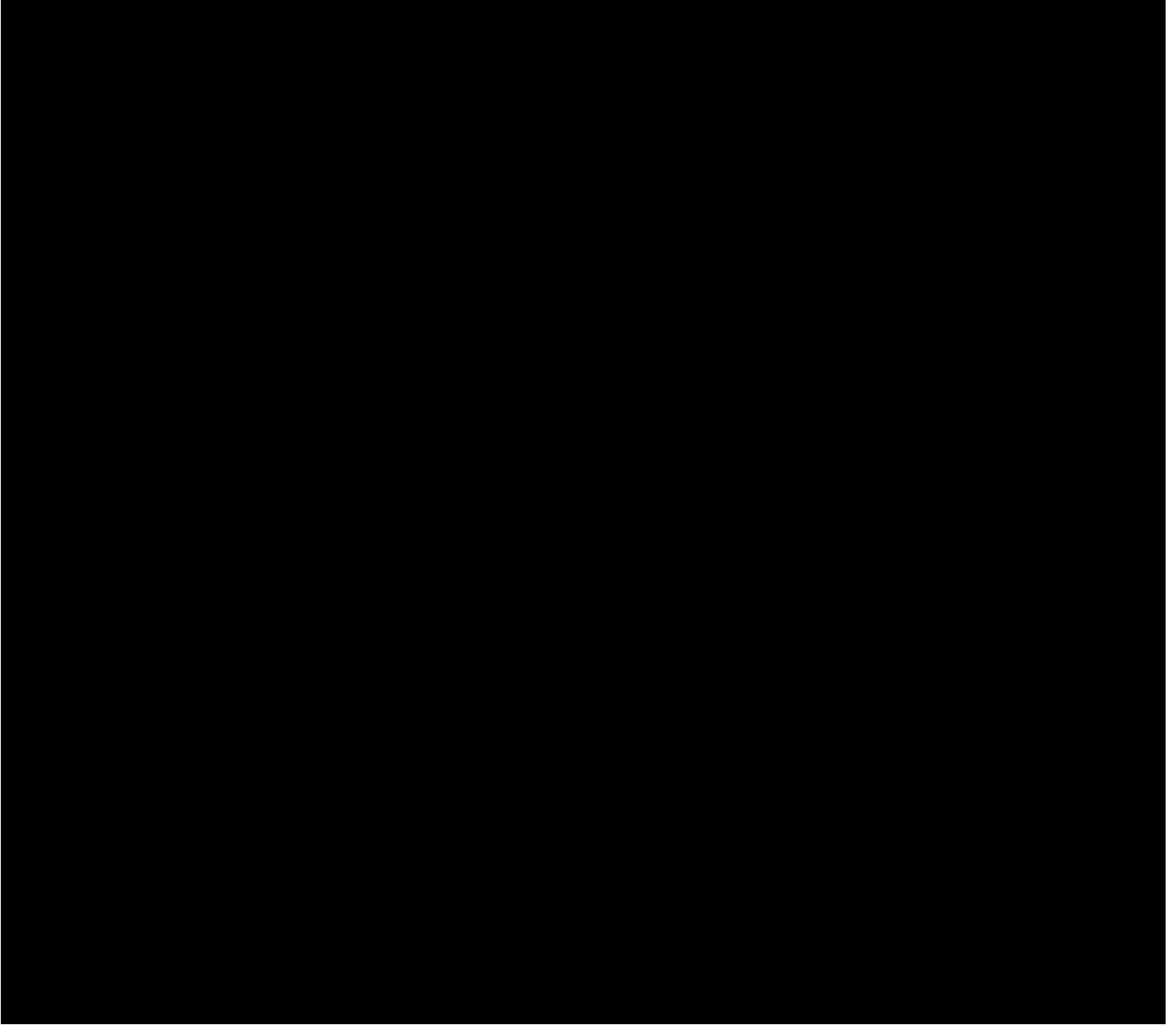
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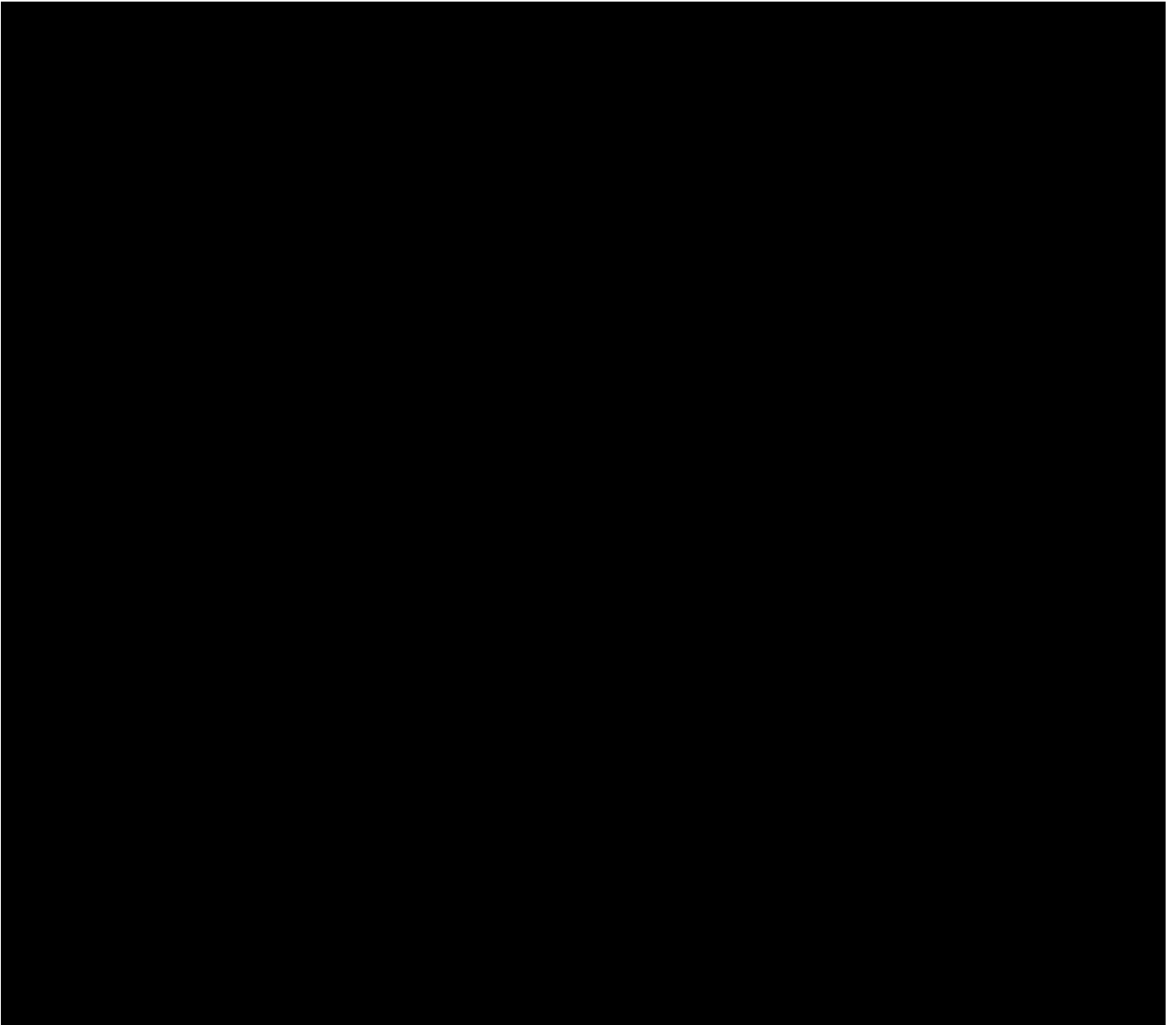
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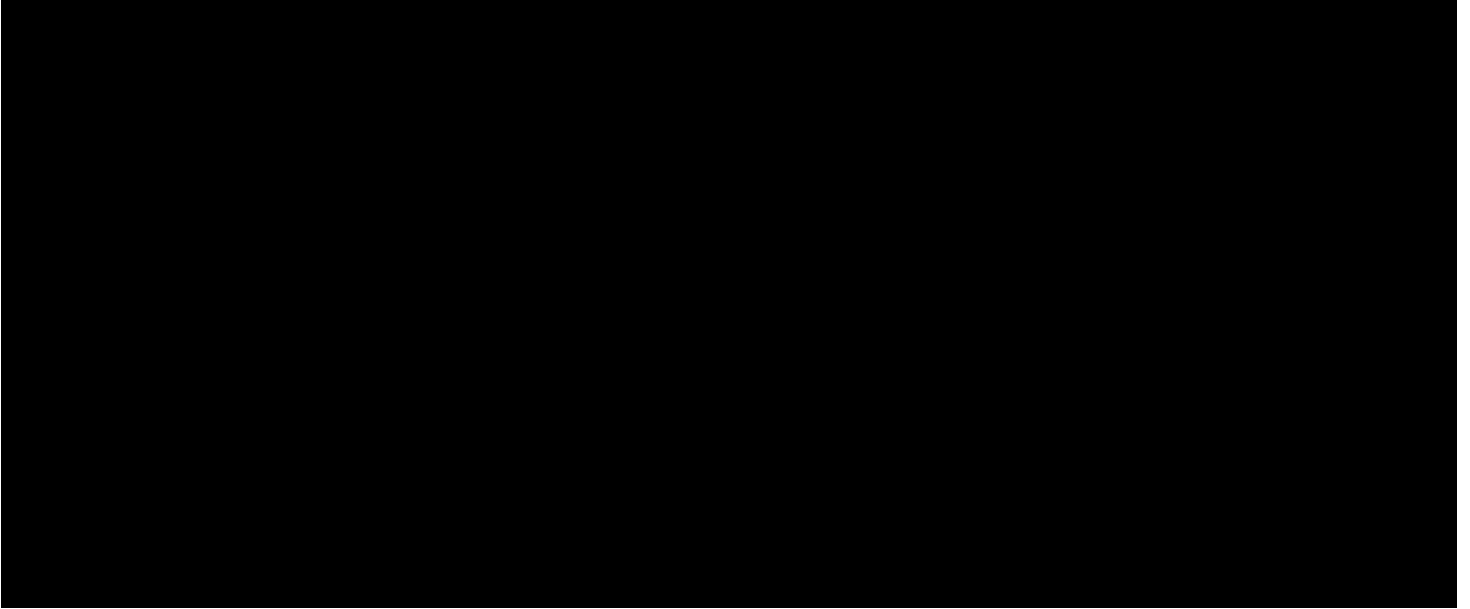
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