

**GAO**

**Briefing Report to Congressional Requesters**

July 1986

**DOD REVOLVING  
DOOR**

**Relationships Between  
Work at DOD and Post-  
DOD Employment**



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United States  
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Washington, D.C. 20548

National Security and  
International Affairs Division

B-218976

July 31, 1986

The Honorable William V. Roth, Jr.  
Chairman, Committee on Governmental Affairs  
United States Senate

The Honorable Gerry Sikorski  
Chairman, Subcommittee on Investigations,  
Committee on Post Office and Civil Service  
United States House of Representatives

Your offices' asked us to provide this interim briefing report as a preliminary response to your request that we determine the extent that former Department of Defense (DOD) personnel work for defense contractors on the same projects or programs they worked on while with DOD.

Our earlier report, DOD Revolving Door: Many Former Personnel Not Reporting Defense-Related Employment, GAO/NSIAD-86-71, Mar. 1986, conducted at the request of the Senate Committee on Governmental Affairs, found that many former Defense personnel were not reporting defense-related employment and recommended improvements to that reporting system. While we were conducting that evaluation, the Congress amended the reporting law to require greater detail in defense-related employment reports. We recommended that the Secretary of Defense in implementing the requirement for more detailed information, include the type and extent of contact current defense contractor employees have with DOD and the type and extent of contact they had with the contractors when they were with DOD. DOD agreed with our recommendation and plans to implement it along with the changes to the system required by law. This type of information, which should begin to be available in fiscal year 1987, will assist in identifying the employment situations you have asked us to analyze in this study.

In this report, we provide information we obtained from a questionnaire completed by a sample of former DOD personnel. The information is projectable to a population of about 5,100 mid- or high-level DOD personnel (GS-13 and above and military O-4 and above) who left DOD during fiscal years 1983 and 1984 and subsequently continued working in the defense area, as evidenced by the fact that they held an industrial security clearance. (Data bases are not available to determine how many former DOD personnel who do not hold

security clearances--about 80 percent of all former mid- and high-level personnel--also work for defense contractors.)

We asked former DOD personnel included in our sample, questions about the extent of their employment on the same project or program that they worked on while at DOD, about their working relationships with or responsibilities for contractors while they were still with DOD, and about their contacts with their former colleagues and other DOD personnel after they began work for a defense contractor.

While our guarantee of anonymity to questionnaire respondents should have helped ensure valid responses, it is important to keep in mind that the respondents were self-reporting on a sensitive issue dealing with potential post-employment conflicts of interest. Therefore, any bias in the data would likely be the result of their reporting less post-DOD employment on the same project than actually exists.

In brief, based on our sample results, we project that about 73 percent of the approximately 5,100 former DOD personnel had some degree of responsibility while with DOD which they viewed as affecting defense contractors--40 percent of the 5,100 viewing their responsibilities as substantial. About 26 percent had such responsibilities for defense contractors for whom they subsequently worked. We further project that about 21 percent of the 5,100 former DOD personnel subsequently worked on the same project or program for a defense contractor that they had worked on while with DOD--over half spending more than 60 percent of their time on the project while with the defense contractor. (It is possible that a number of the respondents who stated that they had worked less than 60 percent of their time on the same project may have been former DOD employees with broad, multi-project responsibilities with their new employer.)

Finally, as to communications with DOD, we project that about 82 percent of the 5,100 former DOD personnel had continued work-related communications with DOD officials--45 percent with DOD officials with whom they had earlier worked. Details on our projections and a copy of the survey questionnaire are included in the appendixes to this report.

This briefing report deals with only some questions and responses from our questionnaire survey. Our analysis of all the information generated through the questionnaire is not yet complete. At a later date, we will issue a comprehensive final report that will include our analysis of all the information we obtained. After our final analyses are complete, the results will be projectable to the complete study universe of 5,755. The reduction in the universe in this report is due to the fact that we are not making any projections for the group who did not respond.

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As agreed with your offices, we did not obtain official comments from DOD. Further, unless you publicly announce its contents earlier, we do not plan further distribution until 30 days from the date of this report. At that time, we will send copies to the Chairmen of the House and Senate Armed Services Committee, the Chairman of the House Committee on Government Operations and other interested congressional committees; the Secretaries of Defense, the Army, the Navy, and the Air Force; the Director of the Office of Management and Budget; the Director of the Office of Government Ethics; and other interested parties. If you have any questions, please call me on 275-4001.



Martin M Ferber  
Associate Director

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Abbreviations

DOD Department of Defense

SES Senior Executive Service

OBJECTIVE, SCOPE, AND METHODOLOGY

The primary objective of our review was to determine the extent that former DOD personnel go to work for defense contractors on the same program or project as they had worked on while with the DOD. In addition, we obtained information on such areas as

- the extent that the responsibilities of former DOD personnel while at DOD could have affected defense contractors,
- the extent of work-related communication between former DOD personnel and DOD, and
- the opinions of former DOD personnel on potential employment prohibitions.

We focused our study on former DOD personnel who would most likely be working for defense contractors. These were former personnel who left DOD during fiscal years 1983 and 1984 (the last year for which complete data was available) and who held an industrial security clearance. The clearance is a good indication that the individual worked for a defense contractor. We also limited the study to civilian employees paid at the base rate for a GS-13 and above and officers at the O-4 level (Major or Navy Lt. Commander) and above because this group has generally been identified in current revolving door legislation and in proposed legislation as being "at risk" in terms of potential conflicts of interest. (In our March 1986 report, we pointed out that substantial numbers of lower-rated individuals are not required to report defense-related employment but may also be "at risk" because of their DOD responsibilities and may later work for defense contractors.)

We identified 30,126 individuals (GS-13 and above or military O-4 and above) who left DOD during fiscal years 1983 and 1984. We found that 6,058 of this group held industrial security clearances and could be readily identified as mid-level or high-level. We selected a stratified sample with different probabilities of selection for each strata and received 658 questionnaires from individuals. Based on the response, we project that 5,755 of the 6,058 actually worked for defense contractors. However, the results in this report are projected to only 5,136 members of the study universe because of the exclusion of non-respondents to our survey. When our analysis is completed, the results will be projectable to the total study universe of 5,755.

The mail questionnaire and study procedures were designed to provide information on the sensitive topic of post-government employment. The questionnaire was intensively pretested. Respondents were informed that the anonymous questionnaires were not linked with their names in



our records. The use of two follow-up mailings was instrumental in achieving the high final-response rate of 87 percent.

In interpreting the results of the study, the following limitations on the data should be recognized:

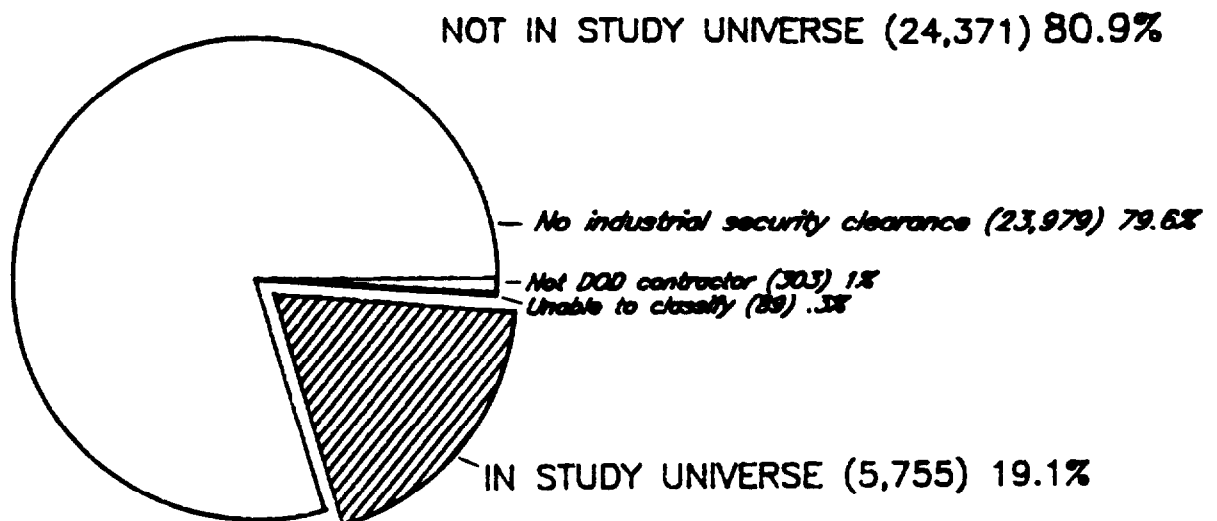
1. The data on defense-contractor relationships are the respondents' own, unverifiable, self-reported perceptions. An independent, objective observer might describe the relationships differently. Some pretest respondents told us that they would expect at least some underreporting of the extent of DOD-contractor relationships.
2. The percentages are projected to defense-contractor personnel, based on the answers of only the people who responded. No projections are made to the 13 percent of the sample who did not return a questionnaire or to the 3 percent who did not respond to a particular question.
3. The projected percentages and numbers of personnel provided in the tables in this report are approximate. We are 95-percent confident that the percentages presented in the report are within 6 percent of the actual values for our universe.
4. The information presented in this report does not provide any evidence about either the propriety of the relationships or about the impact of the relationships on DOD's procurement process.

PERSPECTIVE ON THE SAMPLING UNIVERSE

In fiscal years 1983 and 1984, 30,126 mid-level and above--GS-13 and above and military O-4 and above--left DOD. This separation data was obtained from computer records maintained at the Defense Manpower Data Center. Of this group, 6,058 held industrial security clearances, an indication that they were working for defense contractors. Based on responses to our questionnaire, we estimate that 5,755 (19.1 percent of those who left DOD in fiscal years 1983 and 1984) were actually working for a defense contractor. These 5,755 constitute our study universe. (See fig. II.1.) Of the 24,371 (80.9 percent) not in the study universe,

- 23,979 (79.6 percent) had no industrial security clearance;
- 89 (0.3 percent) had a clearance but because of their pay plan (for example "expert," "advisory committee," or "canal zone employee") could not be readily identified as mid- or high-level; and
- 303 (1 percent) had clearances and could be classified by level but, based on the results of the eligibility questions (#1 and #2) in the survey, we project that they did not work for a defense contractor.

Figure II.1: Former Mid-level and Above Personnel Who Left DOD in Fiscal Years 1983 and 1984



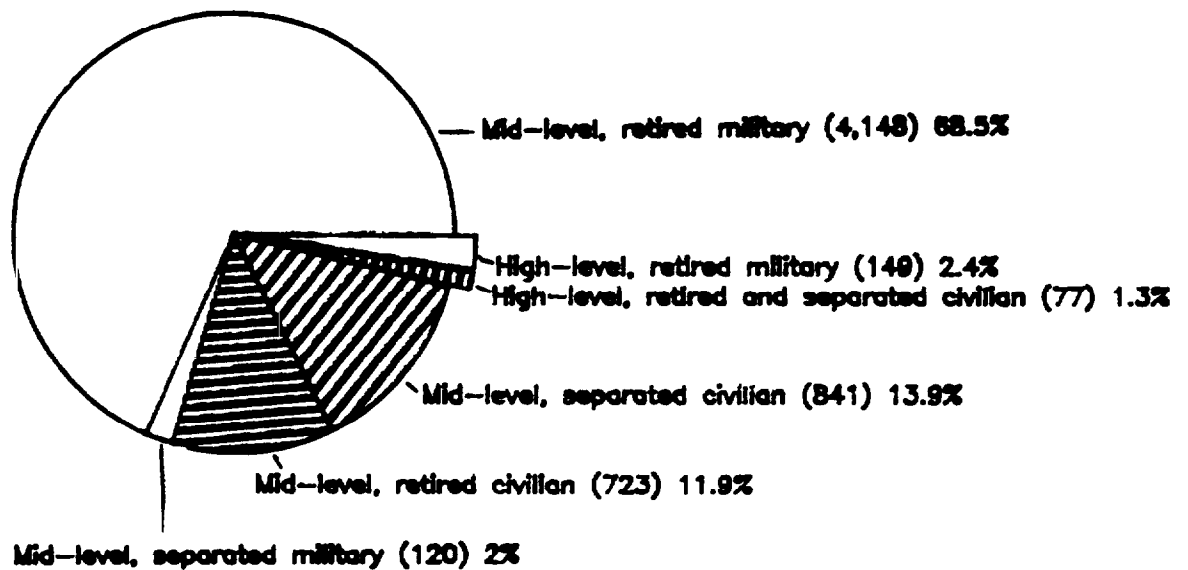
Of the 5,755 former DOD personnel included in our study group and the 303 personnel who were not working for defense contractors, 4,417 were military and 1,641 were civilian. (See fig. II.2.) Of the military groups,

- 4,148 were mid-level retired (O-4 through O-6),
- 149 were high-level retired (O7-through O-10), and
- 120 were mid-level separated (O4-through O-6).

Of the civilian group,

- 841 were mid-level separated (GS-13 through GS-15),
- 723 were mid-level retired (GS-13 through GS-15), and
- 77 were high-level retired and separated (SES and executive level).

Figure II.2: DOD Employees Who Left DOD in Fiscal Years 1983 and 1984 and Subsequently Held an Industrial Security Clearance



Note:

This figure includes 5,755 personnel in the study universe that could be readily classified as high-level or mid-level as well as 303 personnel holding security clearances identified in fig. II.1 as not working for defense contractors.

RESULTS OF QUESTIONNAIRE SURVEY

Tables III.1 through III.9 are projections from the study sample results to all mid- and high-level personnel who left DOD in fiscal years 1983 or 1984, subsequently held an industrial security clearance, and worked for a defense contractor as an employee or consultant.

Percentages and projections in each table are based on only those respondents who provided a valid answer to the particular question. Consequently, percentages and projected numbers do not apply to the total universe of 5,755 but to a lesser number (about 5,100) according to the number of people who responded. About 13 percent of our sample did not return a questionnaire. In addition, up to 3 percent of those who returned a questionnaire failed to answer some questions. As a result, the projections for each of the questions are based on slightly different universe groups.

Each table is based on a specific survey question which we have either quoted or paraphrased. Each table heading includes the question number for easy reference to the original language in the questionnaire, which is presented in appendix IV.

Both percentages and projected numbers in the following tables are subject to the limitations listed in appendix I.

Table III.1: Respondents' Perceptions  
of Whether Their DOD Responsibilities  
Affected Defense Contractors

Question #19: During your last two years at DOD to what extent, if at all, could your actions, decisions, or evaluations have potentially affected any DOD contractor's work or the evaluation of that work?

<u>Response</u>	<u>Percent</u>	<u>Projected numbers</u>
Determining effect	16	817
Substantial effect	<u>24</u>	<u>1,217</u>
Subtotal	<u>40</u>	<u>2,034</u>
Moderate effect	21	1,095
Minimal effect	<u>12</u>	<u>615</u>
Subtotal	<u>33</u>	<u>1,710</u>
No effect	<u>27</u>	<u>1,390</u>
Total	<u>100</u>	<u>5,134</u>

Note:

Question 19 presented six categories of responsibilities: (1) cost and technical analysis or other advisory services, (2) program management, (3) source selection process, (4) procurement or contract administration, (5) procurement policy, and (6) other responsibilities affecting contractors. The highest degree of responsibility reported (i.e., determining to minimal) for any of the above six categories of DOD work was used to classify individuals. For example, if respondents reported "determining" responsibility in program management and "minimal" for the 5 remaining categories, their responses would be counted only once in the "determining" category and the 5 "minimal" responses would not be counted.

Table III.2: Respondents' Perceptions  
of Whether Their DOD Responsibilities  
Affected Future Defense Contractors  
Who Subsequently Employed Them

Questions #29  
and #38:

During your last two years at DOD, to what extent, if at all, could your actions, decisions or evaluations have potentially affected your employer's work or the evaluation of that work?

<u>Response</u>	<u>Percent</u>	<u>Projected numbers</u>
Determining effect	4	194
Substantial effect	<u>5</u>	<u>245</u>
Subtotal	<u>9</u>	<u>439</u>
Moderate effect	8	407
Minimal effect	<u>9</u>	<u>497</u>
Subtotal	<u>17</u>	<u>904</u>
No effect	<u>74</u>	<u>3,784</u>
Total	<u>100</u>	<u>5,127</u>

Note:

The highest degree of responsibility is reported (i.e., determining to minimal) in the same way as illustrated in table III.1. Respondents could report "responsibilities" for up to two contractors--that is, the first defense contractor they worked for or their current defense contractor or both. The highest degree of "responsibility" for either work experience was used to classify individuals.

Table III.3: Contact While at DOD With  
People Working for Future Employer

Questions #28  
and #37:

During your last two years at DOD in the normal course of your DOD work did you come in contact with any people who were working for this contractor?

<u>Response</u>	<u>Percent</u>	<u>Projected numbers</u>
No contact	67	3,430
Some contact	<u>33</u>	<u>1,667</u>
Total	<u>100</u>	<u>5,097</u>

Note:

Respondents could report "contact" for up to two contractors--that is, the first defense contractor they worked for or their current defense contractor or both. The highest degree of "contact" for either work experience was used to classify individuals.

Table III.4: Extent Working on the Same Project

Questions #24  
and #33:

Do you work any of the time with this contractor on the same weapons system, project, or program that you worked on during your last two years at DOD?

<u>Response</u>	<u>Percent</u>	<u>Projected numbers</u>
Yes--percent time spent on same project:		
90+	11	530
60-89	<u>2</u>	<u>100</u>
Subtotal	<u>13</u>	<u>630</u>
10-59	4	224
Less than 10	<u>4</u>	<u>226</u>
Subtotal	<u>8</u>	<u>450</u>
No--not same project	<u>79</u>	<u>3,952</u>
Total	<u>100</u>	<u>5,032</u>

Note:

Respondents could report "working on the same project" during employment with up to two contractors--that is, the first defense contractor they worked for or their current defense contractor, or both. The highest occurrence of "working on the same project" for either work experience was used to classify individuals.



Table III.5: Frequency of Work-Related Communication With Any DOD Officials While Employed by a Defense Contractor

Questions #26 and #35:

In the course of your work with this defense contractor to what extent, if at all, did you communicate with any DOD officials?

<u>Response</u>	<u>Percent</u>	<u>Projected number</u>
Daily	21	1,097
Weekly	25	1,260
Subtotal	46	2,357
Monthly	14	708
Less than monthly	22	1,135
Subtotal	36	1,843
No contact	18	924
Total	100	5,124

Note:

Respondents could report "communication" with DOD officials during employment with up to two contractors--that is, the first defense contractor or the current defense contractor, or both. The highest degree of "communication" for either work experience was used to classify individuals.

Table III.6: Frequency of Work-Related Communication With Former DOD Colleagues While Employed by a Defense Contractor

Questions #25 and #34:

In the course of your work with this contractor, to what extent, if at all, did you communicate with DOD officials that you worked with earlier while at DOD?

<u>Response</u>	<u>Percent</u>	<u>Projected numbers</u>
Daily	6	287
Weekly	<u>9</u>	<u>452</u>
Subtotal	<u>15</u>	<u>739</u>
Monthly	9	443
Less than monthly	<u>21</u>	<u>1,089</u>
Subtotal	<u>30</u>	<u>1,532</u>
No contact	<u>55</u>	<u>2,842</u>
Total	<u>100</u>	<u>5,113</u>

Note:

Respondents could report "communication" with former DOD colleagues during employment with up to two contractors--that is, the first defense contractor or the current defense contractor, or both. The highest degree of communication for either work experience was used to classify individuals.

Table III.7: Opinions About the Movement of Former DOD Personnel into the Defense Industry

Question #3: In your opinion how advantageous or disadvantageous for DOD is the movement of former DOD employees into the defense industry?

<u>Response</u>	<u>Percent</u>	<u>Projected number</u>
Extremely advantageous	61	3,147
Moderately advantageous	24	1,211
Slightly advantageous	<u>5</u>	<u>258</u>
Subtotal	<u>90</u>	<u>4,616</u>
Extremely disadvantageous	1	28
Moderately disadvantageous	1	57
Slightly disadvantageous	<u>1</u>	<u>36</u>
Subtotal	<u>3</u>	<u>121</u>
About equally advantageous and disadvantageous	<u>7</u>	<u>374</u>
Total	<u>100</u>	<u>5,111</u>

Table III.8: Opinions About Additional Regulations on Post-DOD Employment

Question #5: Proposed legislation would prohibit former DOD personnel from accepting any compensation from a government contractor with which the individual had "significant responsibilities for a procurement function" during the last two years of DOD service. This prohibition would be in effect for two years after leaving DOD.

In your opinion, how advantageous or disadvantageous would such legislation be for DOD?

<u>Response</u>	<u>Percent</u>	<u>Projected numbers</u>
Extremely advantageous	12	612
Moderately advantageous	14	723
Slightly advantageous	<u>10</u>	<u>497</u>
Subtotal	<u>36</u>	<u>1,832</u>
Extremely disadvantageous	17	889
Moderately disadvantageous	17	843
Slightly disadvantageous	<u>9</u>	<u>475</u>
Subtotal	<u>43</u>	<u>2,207</u>
About equally advantageous and disadvantageous	<u>21</u>	<u>1,072</u>
Total	<u>100</u>	<u>5,111</u>

Note:

The question on additional regulation was based on proposed legislation as of May 21, 1985. Subsequently, committees have amended the bill. For example "significant responsibilities for a procurement function" has been amended to read "personally and substantially involved in a procurement function."

Table III.9: Opinions For or  
Against Additional Regulation  
on Post-DOD Employment

Question #8: Would you favor or oppose the types of restrictions  
(see table III.8) referred to in Question 5?

<u>Response</u>	<u>Percent</u>	<u>Projected numbers</u>
Strongly favor restrictions	13	676
Moderately favor restrictions	12	604
Slightly favor restrictions	<u>10</u>	<u>525</u>
Subtotal	<u>35</u>	<u>1,805</u>
Strongly oppose restrictions	46	2,292
Moderately oppose restrictions	11	541
Slightly oppose restrictions	<u>6</u>	<u>307</u>
Subtotal	<u>63</u>	<u>3,140</u>
Cannot judge from information	<u>2</u>	<u>84</u>
Total	<u>100</u>	<u>5,029</u>



## POST-DOD EMPLOYMENT SURVEY

### INTRODUCTION

The U S General Accounting Office (GAO), an agency of the Congress, has been asked by the Senate Committee on Governmental Affairs and the Investigations Subcommittee of the House Committee on Post Office and Civil Service to collect information about the employment of former DOD (Department of Defense) personnel. You have been selected as part of a sample of middle and high level former DOD employees who left the Department in the 1982 to 1984 period and who subsequently may have done defense-related work or worked with defense contractors.

Congress is considering legislation which could affect the employment of former DOD employees in defense related industries. The proposed legislation would not be retroactive and would thus not directly affect you. At the present time Congress needs to consider the opinions of former DOD employees and needs to obtain facts about post-DOD employment. Filling in this questionnaire will help to make Congress aware of the post-DOD employment situation faced by people such as yourself.

This questionnaire is anonymous. There is nothing on this form to identify you. Please mail back your completed survey in the enclosed addressed envelope as soon as possible. Return the post card separately after completing the questionnaire. We need the cards returned so that we can remind those who do not answer. There is no way to link the number on the post card with your returned survey.

Please return this questionnaire within one week. This rapid response is needed in order to make the survey results available to Congress as it considers legislation in the 1986 session. A prompt response will also save the expense of costly follow-up mailings.

Please disregard the numbers printed in parentheses. They are only used to assist in data processing. If you have any questions, please make a collect call to Jack Perrigo or Tom Denomme (202) 275-3980 at the GAO office in Washington. In the event the return envelope is misplaced, the return address is:

Attention Jack Perrigo  
U S General Accounting Office  
Room 4102  
441 G Street, N W  
Washington, D C 20548

### ELIGIBILITY FOR SURVEY

1. Are you a former employee (either military or civilian) of DOD? (Check only one box.)
- 1  Yes (CONTINUE TO QUESTION 2)
- 2  Never been employed by DOD
- 3  Still an employee of DOD (other than in the reserves)

**If never employee or still DOD employee please stop here and return questionnaire. Thank you for your cooperation.**

2. Since leaving DOD have you ever been an employee of a commercial firm or other organization with DOD contracts, a consultant or subcontractor to such an organization or a consultant to DOD?
- 1  Yes (CONTINUE TO NEXT PAGE)
- 2  No Neither a consultant to DOD nor an employee, consultant, or subcontractor to any organization which has a contract with DOD.

**If you answered "No" please stop here and return the questionnaire. Thank you for your assistance.**

**POST-DOD EMPLOYMENT ISSUES**

There has been considerable discussion about the possible benefits and the possible problems which may occur because some DOD employees later go to work with defense contractors. Consider the advantages and disadvantages for DOD.

3 In your opinion how advantageous or disadvantageous for DOD is the movement of former DOD employees into the defense industry? (Check only one)

- 1  Extremely advantageous
- 2  Moderately advantageous
- 3  Slightly advantageous
- 4  About equally advantageous and disadvantageous
- 5  Slightly disadvantageous
- 6  Moderately disadvantageous
- 7  Extremely disadvantageous

Now consider the advantages and disadvantages for defense contractors.

4 In your opinion how advantageous or disadvantageous for defense contractors is the movement of former DOD employees into the defense industry? (Check only one)

- 1  Extremely advantageous
- 2  Moderately advantageous
- 3  Slightly advantageous
- 4  About equally advantageous and disadvantageous
- 5  Slightly disadvantageous
- 6  Moderately disadvantageous
- 7  Extremely disadvantageous

**POST-DOD EMPLOYMENT REGULATIONS**

Legislation is being considered which would change the regulations applying to post-DOD employment. Some new legislation would prohibit any employment with specified contractors. This differs from the present legislation which does not prohibit employment but only prohibits representing a contractor at DOD in certain circumstances.

Proposed legislation would prohibit former DOD personnel from accepting any compensation from a government contractor with which the individual had "significant responsibilities for a procurement function" during the last two years of DOD service. This prohibition would be in effect for two years after leaving DOD.

Two key definitions are

Contractor, any parent, subsidiary, or affiliate of the contractor

Procurement function, negotiating, awarding, administering, approving contract changes, costs analysis, quality assurance, operation and development testing, technical advise or recommendation, approval of payment, contractor selection, budgeting, auditing under the contract, or management of the procurement program

5 In your opinion how advantageous or disadvantageous would such legislation be for DOD? (Check only one)

- 1  Extremely advantageous
- 2  Moderately advantageous
- 3  Slightly advantageous
- 4  About equally advantageous and disadvantageous
- 5  Slightly disadvantageous
- 6  Moderately disadvantageous
- 7  Extremely disadvantageous

6 How advantageous or disadvantageous would such legislation be for defense contractors? (Check only one)

- 1  Extremely advantageous
- 2  Moderately advantageous
- 3  Slightly advantageous
- 4  About equally advantageous and disadvantageous
- 5  Slightly disadvantageous
- 6  Moderately disadvantageous
- 7  Extremely disadvantageous

7 In your opinion would the restrictions referred to in the previous question be fair or unfair to former DOD personnel? *(Check only one)* (12)

- 1  Fair 2  Unfair 3  Cannot judge from information given here  
**(GO TO QUESTION 8)** **(ANSWER QUESTION 7a)** **(GO TO QUESTION 8)**



7a Why do you feel that the regulations would be unfair? *(Check ALL which apply)*

1  Would reduce employment opportunities (13)

2  Are a violation of specific constitutional or legal rights (14)

3  Infringe on individual freedom even if they do not violate specific legal rights (15)

4  Would prevent people from using valuable skills (16)

5  Other *(If you have ANY additional reasons, please write them here)* (17)

*(Specify reasons)* \_\_\_\_\_ (18, 19)

8 Taking everything into account would you favor or oppose the types of restrictions referred to in the previous questions? *(Check only one)* (20)

- 1  Strongly favor the restrictions
- 2  Moderately favor the restrictions
- 3  Slightly favor the restrictions
- 4  Slightly oppose the restrictions
- 5  Moderately oppose the restrictions
- 6  Strongly oppose the restrictions
- 7  Cannot judge from information given here

**GENERAL INFORMATION ABOUT DOD CAREER**

The questions on this and the following page ask about your career in DOD as a military and/or civilian employee

9 Were you ever an active duty military employee of DOD? (21)

- 1  Yes **(CONTINUE)**
- 2  Never on active military duty **(SKIP TO QUESTION 13)**

10 In what month and year did you leave active military service? *(Please write the month as a digit)* (22, 23)

Month: \_\_\_\_\_ Year 19\_\_\_\_

11 What branch of the service were you in while on active duty? *(Check only one, the latest one on active duty)* (24)

- 1  Army
- 2  Navy
- 3  Marine Corps
- 4  Air Force

12 What was your military pay grade when you left? *(Check only one)* (25, 26)

- O-04
- O-05
- O-06
- O-07
- O-08
- O-09
- O-10



13. Were you ever a civilian employee with DOD? (29)

- 1  Yes (CONTINUE)
- 2  Never civilian employee (SKIP TO QUESTION 17)



14 When did you leave civilian employment with DOD? (Please write the month as a digit) (30-33)

Month: \_\_\_\_\_ Year 19 \_\_\_\_\_

15 As a civilian employee, which DOD activity or component did you work for? (Check only the latest one) (34)

- 1  Department of the Army
- 2  Department of the Navy
- 3  Department of Air Force
- 4  Marine Corps
- 5  Office of the Secretary of Defense
- 6  Other DOD activity/component

Please describe) \_\_\_\_\_

\_\_\_\_\_

16 What was your GS grade, SES (Career or Non-career), GM, or Executive Schedule level when you left DOD as a civilian employee? (Write in level for system) (35-37)

- 1 GS \_\_\_\_\_
- 2 Career SES \_\_\_\_\_
- 3 Non-career SES \_\_\_\_\_
- 4 GM \_\_\_\_\_
- 5 Executive schedule \_\_\_\_\_
- 6 Other (Specify system and level) \_\_\_\_\_

\_\_\_\_\_

17 How many years were you employed by DOD in an active military capacity and/or a civilian capacity? (Provide years for both)

\_\_\_\_\_ Years as active military (38-39)

\_\_\_\_\_ Years as civilian DOD employee (40-41)

**RESPONSIBILITIES DURING LAST TWO YEARS AT DOD**

18. What were the official job titles for the positions you held during your last two years at DOD? (Please list earliest position first) (42-45)

1st Position: \_\_\_\_\_

\_\_\_\_\_

2nd Position: \_\_\_\_\_

\_\_\_\_\_

3rd Position: \_\_\_\_\_

\_\_\_\_\_

4th Position: \_\_\_\_\_

\_\_\_\_\_

APPENDIX IV

APPENDIX IV

In the next question we need to know whether you exercised any of six different types of responsibilities which are related to contracting. Base your answer on the **actual work you performed** at DOD and not on any formal description of your position.

19 During your last two years at DOD to what extent, if at all, could your actions, decisions or evaluations have potentially affected **any** DOD contractor's work or the evaluation of that work? (Circle a number for each area of responsibility.)

(Choose "None" (Circle 1) only if you had no such responsibilities.)

(Choose "Determining" (Circle 5) if your decisions could determine whether a contractor would receive a contract or whether the overall evaluation of a contractor's work on a project would be favorable or unfavorable.)

Area of Responsibility (Circle one number for each)	Potential effect on any contractor				
	None	Minimal	Moderate	Substantial	Determining
a <b>Procurement policy.</b> Formulating or assisting in the formulation of procurement policy	1	2	3	4	5
b <b>Program management.</b> Managing or assisting in the management of a procurement or acquisition program	1	2	3	4	5
c <b>Procurement or contract administration.</b> Administering, negotiating, selecting, awarding, approving modifications or any other activities related to administering a contract	1	2	3	4	5
d <b>Cost and technical analysis or other advisory services.</b> Cost analysis, price analysis, quality assurance, operation and developmental testing, budgeting, auditing, or other activities related to technical advice or recommendation on a contract	1	2	3	4	5
e <b>Source selection process.</b> Participation or involvement in the source selection process as the selection authority or as a member of a source selection panel, technical advising committee, or any other formal group related to the contract award decision	1	2	3	4	5
f <b>Other types of responsibilities.</b> If your activities could have affected any contractor in any other way, please rate and then describe the type of responsibility Type of responsibility _____	1	2	3	4	5

**POST-DOD WORK WITH DOD CONTRACTORS AND SUBCONTRACTORS**

20 In the table below describe your work since leaving DOD with organizations with DOD contracts (or subcontracts). In Column II indicate whether you are/were an employee or have had some other work relationship with each organization. (Full-time, salaried employees of consulting firms should check "employee") In Column IV estimate the proportion of the organization's total business which consists of DOD contracts or subcontracts.

**Note: Private Consultants and Owners or Part-Owners of Firms**  
 If you have been an independent consultant, owner or part-owner of a firm, answer on a separate line for each of your clients which has a DOD contract/subcontract. Do not describe the firm which you own. That is, if you have provided products or services for three organizations with DOD contracts (or subcontracts) report three separate lines of information. In Column II check "Other" for type of relationship. If you consult directly with DOD, consider the organization to be DOD and check the last column.

I Organization Worked For (Earliest First)	II Relationship to Organization		III Time Period of Employment		IV Amount of DOD Contract Work Done by Organization			
	Employee	Other	Began	Ended	Under Half	About Half	Over Half	Organization is DOD
			Mo/Yr	Mo/Yr OR Write "Current"				
Organization #1	1	2	/	/	1	2	3	8
Organization #2	1	2	/	/	1	2	3	8
Organization #3	1	2	/	/	1	2	3	8
Organization #4	1	2	/	/	1	2	3	8
Organization #5	1	2	/	/	1	2	3	8
Organization #6	1	2	/	/	1	2	3	8
Organization #7	1	2	/	/	1	2	3	8
Organization #8	1	2	/	/	1	2	3	8

(If you worked for more than 8 organizations, list the ones with which you have worked the most since leaving DOD.)

**DIRECTIONS FOR NEXT QUESTIONS**

IF YOU ENTERED "current" FOR ONLY ONE ORGANIZATION  
 CONTINUE TO THE NEXT PAGE

IF YOU DO NOT HAVE A "current" RELATIONSHIP  
 SKIP TO QUESTION 30 (ANSWER QUESTIONS 30 TO 38 ABOUT THE FIRST ORGANIZATION WITH WHICH YOU WORKED AFTER DOD)

IF YOU ENTERED "current" FOR MORE THAN ONE ORGANIZATION

20a Which "current" organization do you work with most? (Copy "Organization #" from the table above)

Organization # \_\_\_\_\_ CONTINUE TO NEXT PAGE (Answer questions 21 to 29 about this single organization.)

REMEMBER THE INSTRUCTIONS AT THE BOTTOM OF THE PREVIOUS PAGE For Questions 21 to 29 (the yellow pages), answer with respect to the **single** "current" organization you work with that has DOD contracts/subcontracts

*(If there is more than one organization, only consider the one with which you currently work the most. If you consult with DOD directly, describe the relevant DOD unit.)*

21. Approximately how many employees does the organization employ? *(Check only one)*
- 1  Less than 10 employees
  - 2  10 to 49 employees
  - 3  50 to 99 employees
  - 4  100 to 999 employees
  - 5  1,000 to 9,999 employees
  - 6  10,000 or more employees

**RELATIONSHIP BETWEEN PRESENT AND DOD WORK**

22. To what extent, if any, are you able to use any of your technical military knowledge (including knowledge about weapons systems or about military administrative systems) in your work with your current organization? *(Check only one)*
- 1  To a very great extent
  - 2  To a great extent
  - 3  To a moderate extent
  - 4  To some extent
  - 5  No use of any technical military knowledge

23. Have you worked **any of the time** with the current organization on the same **general types of matters** you worked on during your last two years at DOD?
- 1  Yes, same general matters
  - 2  Not same general matters

24. Have you worked any of the time with the current organization on the same **weapons system, project program** as you worked on during your last two years at DOD?

- 1  Yes, same project, system or program
  - 2  Not same project, system or program
- (CONTINUE TO QUESTION 24a)**      **(SKIP TO QUESTION 25)**



24a. During your last two years at DOD approximately how much of your time did you work on this same weapons system, project or program? *(Check only one)*

- 1  Less than 10%
- 2  10% to 39%
- 3  40% to 59%
- 4  60% to 89%
- 5  90% to 100%

24b. While working with the **current organization** approximately how much of your time have you worked on this same weapons system, project or program? *(Check only one)*

- 1  Less than 10%
- 2  10% to 39%
- 3  40% to 59%
- 4  60% to 89%
- 5  90% to 100%

The next two questions ask about work-related contact in your present job with DOD officials at any level. The first question concerns contact with DOD officials you previously worked with at DOD.

25. In the course of your work with the current organization to what extent, if at all, have you met any DOD officials that you worked with earlier while at DOD? (Check only one)

1.  No DOD work-related communications (GO TO QUESTION 26)
2.  Met casually during DOD work but not on work-related matters (GO TO QUESTION 26)
3.  Communicated with such DOD official(s) on work-related matters (ANSWER QUESTION 25a)



**25a. If Work-Related Communication**  
 In the course of your work how often have you communicated with such DOD officials? (Check only one)

1.  Less often than once a month

2.  As often as monthly but not weekly

3.  As often as weekly but not daily

4.  On a daily basis

26. In the course of your work with the current organization to what extent, if at all, have you communicated with any DOD officials? (Consider present DOD officials even if you did not know them earlier.) (Check only one)

1.  No DOD work-related communications (GO TO QUESTION 27)
2.  Met casually during DOD work but not on work-related matters (GO TO QUESTION 27)
3.  Communicated with such DOD official(s) on work-related matters (ANSWER QUESTION 26a)



**26a. If Work-Related Communication**  
 In the course of your work how often have you communicated with such DOD officials? (Check only one)

1.  Less often than once a month

2.  As often as monthly but not weekly

3.  As often as weekly but not daily

4.  On a daily basis

27. During your last two years at DOD did you have any responsibility for contracts which have supported your work with your current organization? (16)

1.  Yes, had at least some responsibility
2.  Had no responsibility

**EXPERIENCE WHILE AT DOD WITH YOUR CURRENT ORGANIZATION**

28. During your last two years at DOD in the normal course of your DOD work did you come into contact with any people who were working for your current organization? (17)

1.  Yes, did have contact as part of DOD job
2.  No contact as part of DOD job

**RESPONSIBILITIES PREVIOUSLY EXERCISED AT DOD WITH RESPECT TO CURRENT ORGANIZATION**

This question is similar to Question 19 which asked about your DOD responsibilities with all contractors. This question, however, asks about your DOD responsibilities with only your **current organization**. Again base your answer on the actual work you performed at DOD and not on the formal description of your position.

29 During your last two years at DOD to what extent, if at all, could your actions, decisions or evaluations have potentially affected your current organization's work or the evaluation of that work? (Circle a number for each area of responsibility.)

(Choose "None" (Circle 1) only if you had no such responsibilities.)

(Choose "Determining" (Circle 5) if your decisions could determine whether this contractor would receive a contract or whether the overall evaluation of this contractor's work on a project would be favorable or unfavorable.)

Area of Responsibility (Circle one number for each)	Potential effect on current contractor				
	None	Minimal	Moderate	Substantial	Determining
a <b>Procurement policy.</b> Formulating or assisting in the formulation of procurement policy	1	2	3	4	5
b <b>Program management.</b> Managing or assisting in the management of a procurement or acquisition program	1	2	3	4	5
c <b>Procurement or contract administration.</b> Administering, negotiating, selecting, awarding, approving modifications or any other activities related to administering a contract	1	2	3	4	5
d <b>Cost and technical analysis or other advisory services.</b> Cost analysis, price analysis, quality assurance, operation and developmental testing, budgeting, auditing, or other activities related to technical advice or recommendation on a contract	1	2	3	4	5
e <b>Source selection process.</b> Participation or involvement in the source selection process as the selection authority or as a member of a source selection panel, technical advising committee, or any other formal group related to the contract award decision	1	2	3	4	5
f <b>Other types of responsibilities.</b> If your activities could have affected this contractor in any other way, please rate and then describe the type of responsibility Type of responsibility _____	1	2	3	4	5

**DIRECTIONS FOR NEXT QUESTIONS**

IF YOU HAVE WORKED WITH **ONLY ONE ORGANIZATION** (i.e., only one listed in Question 20)  
SKIP TO QUESTION 39 (the white pages)

- IF YOU HAVE WORKED WITH **ONLY TWO ORGANIZATIONS** (i.e., two listed in Question 20)  
ANSWER QUESTIONS 30 TO 38 (*green pages*) ABOUT THE OTHER ORGANIZATION

IF YOU HAVE WORKED WITH **MORE THAN TWO ORGANIZATIONS** (i.e., more than two in Question 20)  
ANSWER QUESTIONS 30 TO 38 (*green pages*) ABOUT ONLY THE FIRST OF THE REMAINING ORGANIZATIONS  
(i.e., answer about the first organization listed in Question 20 unless you have already described it in the yellow pages  
If you have already described the first organization, describe the second listed organization )

APPENDIX IV

**REMEMBER — IF YOU ANSWERED THE YELLOW PAGES:** Answer Questions 30 to 38 about **one** of the remaining organizations which was **not** described in the yellow pages. If there are several remaining organizations, describe only the **one** with which you first worked

**REMEMBER — IF YOU SKIPPED THE YELLOW PAGES:** Answer Questions 30 to 38 about the first organization listed for Question 20

*(If you consult with DOD directly, describe the relevant DOD unit )*

- 30 Approximately how many employees did this organization employ? *(Check only one)* (26)
- 1  Less than 10 employees
  - 2  10 to 49 employees
  - 3  50 to 99 employees
  - 4  100 to 999 employees
  - 5  1,000 to 9,999 employees
  - 6  10,000 or more employees

**RELATIONSHIP BETWEEN WORK WITH THIS ORGANIZATION AND DOD WORK**

- 31 To what extent, if any, were you able to use any of your technical military knowledge (including knowledge about weapons systems or about military administrative systems) in your work with this organization? *(Check only one)* (27)
- 1  To a very great extent
  - 2  To a great extent
  - 3  To a moderate extent
  - 4  To some extent
  - 5  No use of any technical military knowledge

APPENDIX IV

- 32 Did you work **any of the time** with this organization the **same general types of matters** that you worked during your last two years at DOD?

- 1  Yes, same general matters
- 2  Not same general matters

- 33 Did you work **any of the time** with this organization the **same weapons system, project or program** that you worked on during your last two years at DOD?

- 1  Yes, same project, system or program
- 2  Not same project, system or program

**(CONTINUE TO QUESTION 33a)**

**(SKIP TO QUESTION 34)**



- 33a During your last two years **at DOD** approximately how much of your time did you work on the **same weapons system, project or program**? *(Check only one)*

- 1  Less than 10%
- 2  10% to 39%
- 3  40% to 59%
- 4  60% to 89%
- 5  90% to 100%

- 33b While working with **this organization** approximately how much of your time did you work on **this same weapons system, project or program**? *(Check only one)*

- 1  Less than 10%
- 2  10% to 39%
- 3  40% to 59%
- 4  60% to 89%
- 5  90% to 100%



The next two questions ask about work-related contact with this organization with DOD officials at any level. The first question concerns contact with DOD officials you previously worked with at DOD.

34. In the course of your work with this organization to what extent, if at all, did you meet any DOD officials that you worked with earlier while at DOD? (Check only one)

- 1  No DOD work-related communications (GO TO QUESTION 35)      2  Met casually during DOD work but not on work-related matters (GO TO QUESTION 35)      3  Communicated with such DOD official(s) on work-related matters (ANSWER QUESTION 34a) 132



**34a. If Work-Related Communication**  
 In the course of your work how often did you communicate with such DOD officials? (Check only one) 133

1  Less often than once a month

2  As often as monthly but not weekly

3  As often as weekly but not daily

4  On a daily basis

35. In the course of your work with this organization to what extent, if at all, did you communicate with any DOD officials? (Consider DOD officials even if you did not know them earlier.) (Check only one)

- 1  No DOD work-related communications (GO TO QUESTION 36)      2  Met casually during DOD work but not on work-related matters (GO TO QUESTION 36)      3  Communicated with such DOD official(s) on work-related matters (ANSWER QUESTION 35a) 134



**35a. If Work-Related Communication**  
 In the course of your work how often did you communicate with such DOD officials? (Check only one) 135

1  Less often than once a month

2  As often as monthly but not weekly

3  As often as weekly but not daily

4  On a daily basis

36. During your last two years at DOD did you have any responsibility for contracts which supported your work with this organization? 136

- 1  Yes, had at least some responsibility
- 2  Had no responsibility

**EXPERIENCE WHILE AT DOD WITH THIS ORGANIZATION**

37. During your last two years at DOD in the normal course of your DOD work did you come into contact with any people who were working for this organization? 137

- 1  Yes, did have contact as part of DOD job
- 2  No contact as part of DOD job

**RESPONSIBILITIES PREVIOUSLY EXERCISED AT DOD WITH RESPECT TO THIS ORGANIZATION**

The next question is similar to Question 19 which asked about your responsibilities with all contractors at DOD. This question, however, asks about your DOD responsibilities with only **this organization** which you have been describing in this section. Again base your answer on the actual work you performed at DOD and not on any formal description of your position.

38 During your last two years at DOD to what extent, if at all, could your actions, decisions or evaluations have potentially affected **this organization's** work or the evaluation of that work? (Circle a number for each area of responsibility.)

(Choose "None" (Circle 1) only if you had **no** such responsibilities.)

(Choose "Determining" (Circle 5) if your decisions could determine whether this contractor would receive a contract or whether the overall evaluation of this contractor's work on a project would be favorable or unfavorable.)

Area of Responsibility (Circle one number for each)	Potential effect on this contractor					
	None	Minimal	Moderate	Substantial	Determining	
a <b>Procurement policy.</b> Formulating or assisting in the formulation of procurement policy	1	2	3	4	5	(19)
b <b>Program management.</b> Managing or assisting in the management of a procurement or acquisition program	1	2	3	4	5	(19)
c <b>Procurement or contract administration.</b> Administering, negotiating, selecting, awarding, approving modifications or any other activities related to administering a contract	1	2	3	4	5	(40)
d <b>Cost and technical analysis or other advisory services.</b> Cost analysis, price analysis, quality assurance, operation and developmental testing, budgeting, auditing, or other activities related to technical advice or recommendation on a contract	1	2	3	4	5	(41)
e <b>Source selection process.</b> Participation or involvement in the source selection process as the selection authority or as a member of a source selection panel, technical advising committee, or any other formal group related to the contract award decision	1	2	3	4	5	(42)
f <b>Other types of responsibilities.</b> If your activities could have affected this contractor in any other way, please rate and then describe the type of responsibility Type of responsibility _____	1	2	3	4	5	(43) (44-45)

, ' .

**GO TO NEXT PAGE**

**THE REMAINING QUESTIONS SHOULD BE ANSWERED BY ALL**

39 How did your final salary (base pay plus allowances) at DOD compare with your initial salary in your first position with a defense contractor after leaving DOD? (IF CONSULTANT consider net income from first year after DOD) (Check only one) 46

- 1  The new salary was less then the DOD salary
- 2  The new salary was an increase of up to \$5,000 over the DOD salary
- 3  The new salary was an increase of \$5,000 up to \$20,000 over the DOD salary
- 4  The new salary was an increase of \$20,000 up to \$50,000 over the DOD salary
- 5  The new salary was an increase of more than \$50,000 over the DOD salary

40 Now consider all of the financial benefits of your former DOD position and of your post-DOD position. How did all of your financial benefits at DOD compare with all of those in your first position after leaving DOD? 47

- 1  The DOD position had greater financial benefits.
- 2  The two positions had about equal financial benefits
- 3  The first position after leaving DOD had greater financial benefits

41 Do you have any other comments regarding post-DOD employment with defense contractors which you want reported to Congress? (Your comments will be summarized with others and reported) 48

- 1  No
- 2  Yes (Please write your comments below Continue on the next page if necessary) 49 50

**THANK YOU FOR YOUR HELP PLEASE REMEMBER TO**

- 1 RETURN YOUR SURVEY IN THE ENCLOSED ADDRESSED ENVELOPE
- 2 RETURN THE POST CARD SEPARATELY

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