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BY THE COMPTROLLER GENERAL

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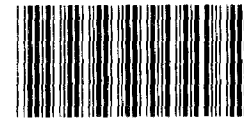
Report To The Congress

OF THE UNITED STATES

Coordination Of Federal Arms Control Research Program To Be Improved

The Arms Control and Disarmament Agency has not been coordinating Federal arms control research as required. However, Agency officials contend there are mitigating circumstances surrounding their failure to comply. The Agency has promised action to make sure that its legislated coordination requirements will be met in a practical manner.

In addition, the Agency has outlined initiatives being undertaken to correct management weaknesses GAO had identified in the Agency's research program.



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COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548

B-197932

To the President of the Senate and the
Speaker of the House of Representatives

This report discusses the efforts of the Arms Control and Disarmament Agency to coordinate arms control research sponsored by other Federal agencies as well as the management of the Agency's own external research program. These activities are among the Agency's primary functions specified in the Arms Control and Disarmament Act of 1961, as amended (22 U.S.C. 2551 et seq.).

We are sending copies of this report to the Director, Office of Management and Budget; the Director, Arms Control and Disarmament Agency; and to the Secretaries of State, Defense, and Energy.

A handwritten signature in black ink, appearing to read "James B. Atchafalua".

Comptroller General
of the United States

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AGC 00912
AGC 00032

D I G E S T

The Arms Control and Disarmament Agency has not been coordinating the Federal arms control research effort as required. Although tens of millions of dollars may be involved, the Agency cannot even accurately estimate the magnitude of such research. Moreover, in recent years the Agency's own research program has been beset by funding uncertainties and administrative problems.

THE AGENCY HAS NOT FULFILLED ITS
COORDINATION RESPONSIBILITIES

The Congress clearly intended that the Agency spearhead the Government's arms control research, both by conducting its own program and by coordinating the related research of other Federal agencies. However, the Agency has not carried out its coordination function as required by the Arms Control and Disarmament Act of 1961 and Executive Order 11044. (See p. 7.)

Specifically, the Agency, for at least the past 5 years, has not:

- Developed a comprehensive, balanced plan or program of research needed to be done throughout the Government on arms control and disarmament.
- Advised other agencies as to their roles in arms control research.
- Maintained a comprehensive inventory of arms control research performed or sponsored by other Federal agencies.
- Sought agencies' assessments of their arms control research programs.
- Evaluated arms control research done by or for other Government agencies.

the Director should urge the Congress to amend the act and seek to have the Executive order revised or rescinded.

THE AGENCY NEEDS TO BETTER MANAGE
ITS RESEARCH PROGRAM

The Agency's external research program is designed to advance U.S. arms control objectives by focusing on issues under active or imminent negotiation and by providing a base for policy planning.

In recent years, the Agency has been holding substantial portions of its research funds in reserve to meet potential shortfalls in operating funds. This practice may diminish the program's capacity to support ongoing negotiations, lessen staff reliance on the research program, limit the number of potential contractors, and create a substantial volume of yearend research contracting. (See pp. 16 and 17.)

The Agency's research program was compartmentalized among its bureaus and offices, and Agency personnel were not systematically (1) identifying past and ongoing research relevant to proposed projects, (2) disseminating research results, or (3) evaluating research products. (See pp. 18, 19 and 20.)

Subsequent to GAO's review, the Agency established a new External Research Council to develop research priorities; establish operational guidelines for the program; and assume responsibility for planning, budgeting, coordinating, evaluating, and disseminating research. GAO believes that the establishment of the External Research Council represents a genuine effort to address the problems noted and, therefore, is not making any recommendations at this time. (See p. 21.)

AGENCY COMMENTS AND GAO EVALUATION

The Director of the Arms Control and Disarmament Agency stated that coordination of arms control research as intended by the Congress and mandated in the Act did exist by

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CHAPTER 1

INTRODUCTION

The Arms Control and Disarmament Agency (ACDA) was created in response to congressional feeling that U.S. arms control and disarmament policy could best be formulated and implemented by a central organization created for that purpose.

The Arms Control and Disarmament Act of 1961, as amended, (22 U.S.C. 2551 et seq.) established the Director of ACDA as the principal advisor to the Secretary of State, the National Security Council, and the President on arms control and disarmament matters. 1/ Under his direction, ACDA is to conduct and coordinate research and provide advice relating to arms control and disarmament policy formulation; manage U.S. participation in international arms control negotiations; disseminate and coordinate public information about arms control and disarmament; and direct, as needed, U.S. participation in international control systems that may result from U.S. arms control or disarmament activities.

The Congress recognized that ACDA would need the capacity to provide the essential scientific, economic, political, military, psychological, and technical information upon which realistic arms control and disarmament policy must be based. To achieve this capacity, ACDA was given responsibility for conducting, supporting, and coordinating research for formulating this policy.

The scope of this research was broadly defined to include the arms control and disarmament implications of such issues as (1) nuclear, conventional, chemical, bacteriological and radiological weapons, (2) armed forces and armaments in outerspace, underwater, and on land, (3)

1/ The Act defines "arms control" and "disarmament" as:

"the identification, verification, inspection, limitation, control, reduction, or elimination, of armed forces and armaments of all kinds under international agreement including the necessary steps taken under such an agreement to establish an effective system of international control, or to create and strengthen international organizations for the maintenance of peace."

ACDA's funding for external research has ranged from almost \$6 million in fiscal year 1966 to about \$1 million in fiscal year 1975. Since then, however, the external research budget has been rising. ACDA requested about \$4 million for this function in fiscal year 1980.

The following schedule shows the planned level for fiscal years 1979 and 1980 as shown in ACDA's 1980 budget presentation to the Congress.

ACDA's Planned External Research Program

<u>Category</u>	<u>Estimated FY 1979</u>	<u>Requested FY 1980</u>
	(in thousands)	
Nuclear Non-Prolifera- tion	\$2,120	\$2,700
Strategic Arms Limita- tion	450	400
Comprehensive Test Ban	333	290
Mutual Balanced Force Reduction/European Security	200	230
Arms Transfers	155	140
Other	<u>423</u>	<u>415</u>
	<u>\$3,681</u>	<u>\$4,175</u> ^{a/}

^{a/}Represents 22 percent of ACDA's total requested appropriation.

For fiscal year 1980, about 65 percent of ACDA'S external research funds will relate to limiting the spread of nuclear explosive capabilities. This nuclear nonproliferation research will consist of work designed to improve the nuclear safeguards program of the International Atomic Energy Agency (\$1.6 million); study alternative nuclear fuel cycles to develop more proliferation-resistant technologies (\$800,000); explore non-proliferation incentives and nuclear export controls (\$200,000); and support non-proliferation intelligence (\$100,000).

SCOPE OF REVIEW

The purpose of our study was to assess ACDA's efforts to coordinate all Federal arms control research and to review the administration of its own external research program.

We spoke with officials of, and reviewed pertinent records at, ACDA, the Departments of Defense, Energy, and State, and the Office of Management and Budget. We also spoke with nongovernmental arms control experts about arms control research issues. In addition, we visited the National Technical Information Service and the Smithsonian Scientific Information Exchange to learn about computer-based research information management and dissemination.

In reviewing ACDA's external research program, we were principally concerned with the policy and procedures implementing the program. We did not attempt to evaluate individual contracts or research projects. ACDA's "in-house" research was not addressed in this review because the Agency generally considers it as part of its normal operations.

formulation; (2) maintain a continuing inventory of Federal activities related to the planned program and advise the affected agencies as to their respective participation in the planned program; and (3) periodically submit to the Director of the Office of Management and Budget (formerly the Bureau of the Budget) a consolidated schedule of such activities with assessments of their respective programs by responsible agencies, together with his evaluations regarding these activities.

FAILURE TO IMPLEMENT REQUIRED
COORDINATION PROCEDURES

ACDA has not been coordinating arms control research as required by the Act and Executive order. The Agency has not performed any of the distinct coordination functions called for in the Executive order for at least the last 5 years. Specifically:

- ACDA neither developed a comprehensive and balanced program of arms control research needed to be conducted by or for the Government nor advised the other involved agencies about their respective participation in a planned program.
- About 1974, ACDA stopped collecting data from other agencies on their arms control-related research activities. According to ACDA records, agencies were providing inadequate information and often failed to report significant activities. Some major agencies were not reporting any arms control research activities.
- With the consent of the Office of Management and Budget, ACDA in 1970 stopped submitting the required consolidated schedule of Federal arms control research activities, the accompanying assessments by the respective agencies, and ACDA's evaluation of these activities.

ACDA officials contend that there are mitigating circumstances surrounding their failure to comply and question their ability to realistically accomplish the required coordination. They believe that compliance with the Executive order would be an expensive and time-consuming project well beyond the Agency's capabilities.

The Congress intended that ACDA be the focal point in coordinating arms control research. However, ACDA functions as one of the many Government agencies in the arms control policy milieu. Like other involved Government agencies, it conducts its own external research program and participates in interagency groups formed around particular arms control issues but does not necessarily lead them.

UNCERTAINTIES IN SCOPE OF
RESEARCH TO BE COORDINATED

A considerable amount of research related to arms control is conducted or sponsored by other agencies, but ACDA cannot even accurately estimate the magnitude of the program. It is impossible to effectively coordinate a program if the components of that program are not known.

A major problem is that no working definition of "research related to arms control and disarmament" has been adopted. There are many "gray areas" where, depending on one's point of view, research may or may not be considered relevant to arms control. Other agencies tend to identify their research in terms of their own primary missions and not necessarily their relevance to arms control.

The Arms Control and Disarmament Act outlines ACDA's authority relating to research, development, and other studies in the following 13 categories, insofar as they relate to arms control and disarmament:

- "(a) the detection, identification, inspection, monitoring, limitation, reduction, control, and elimination of armed forces and armaments, including thermonuclear, nuclear, missile, conventional, bacteriological, chemical, and radiological weapons;
- (b) the techniques and systems of detecting, identifying, inspecting, and monitoring of tests of nuclear, thermonuclear, and other weapons;
- (c) the analysis of national budgets, levels of industrial production, and economic indicators to determine the amounts spent by various countries for armaments;
- (d) the control, reduction, and elimination of armed forces and armaments in space, in areas on and beneath the earth's surface, and in underwater regions;
- (e) the structure and operation of international control and other organizations useful for arms control and disarmament;

--Several agencies, including ACDA, are sponsoring research to evaluate alternative nuclear fuel cycles and to develop more proliferation-resistant nuclear technologies. It is debatable whether this research can be more aptly termed arms control or energy-related.

--The intelligence community is doing research to improve the national technical means for gathering intelligence information. This research also provides important assistance in improving the U.S. capability to verify compliance with arms control agreements.

Officials at two involved agencies pointed out that they had the facilities, expertise, support capabilities, and experience to determine what research they should conduct or sponsor. They added that their research supported their own responsibilities, regardless of the arms control implications. In each of the examples, officials of the other agencies questioned whether ACDA should have overall responsibility for planning and programming what research they should do. They felt that any definition of arms control research designed to encompass all related research for centralized coordination purposes would not necessarily insure the diversity of policy positions and options which they felt was desirable.

CONCLUSIONS

The Arms Control and Disarmament Act of 1961 and Executive Order 11044 require ACDA to coordinate Federal arms control research. However, ACDA has not carried out its mandated coordination function. Specifically, ACDA, for at least the past 5 years, has not:

- Developed a comprehensive and balanced plan or program of what studies or research needed to be done throughout the Government on arms control and disarmament.
- Advised other agencies as to their respective roles and expected participation in an arms control research program.
- Maintained a continuing inventory of arms control research performed or sponsored by other Federal agencies.

We believe that for ACDA to adequately fulfill its mandated coordination responsibilities, it must first work with the involved agencies to establish a consensus as to the scope of research to be coordinated. In addition, the Agency should seek relief from those coordination requirements it believes to be unnecessary.

In commenting on our draft report, the Department of Defense said it felt that the legislation limits ACDA's coordination responsibility to research for arms control policy formulation. The Department stated it has commissioned a large number of research projects which may have significant implications for arms control but that it would be inaccurate to describe all such activities as research intended to support arms control and disarmament policy formulation.

We believe that any research effort having significant arms control implications should be considered in formulating arms control policy and would be within the scope of ACDA's coordination responsibilities.

The Act mandated that ACDA coordinate the research, development and other studies conducted in the field of arms control and disarmament by or for other Government agencies. The legislative history clearly shows that the Congress realized that without the ability to develop, support, and coordinate broad programs of research and study in the field of arms control and disarmament, the Agency would be unable to fulfill its purpose of providing the information necessary for a realistic arms control policy.

With regard to full compliance by ACDA with the provisions of the law and Executive order, the Department stated that such compliance would not measurably assist the Defense research program, but would generate an additional workload for the Department in research reporting and coordination. The Department indicated that a few of its research projects dealing with arms control and disarmament policy formulation were the source of frequent but unsystematic coordination with ACDA. (See app. VI.)

Department of Energy officials advised us that they felt ACDA's research coordination efforts in some areas should be improved. The State Department and the Office of Management and Budget had no comments on our draft report. However, the Director of ACDA noted in his letter that the Office of Management and Budget had no objection to the submission of ACDA's comments.

in 1975. Since then funds allocated for research have increased. (See app. III.) In its budget presentation for fiscal year 1980, ACDA indicated that about 22 percent of the funding requested was planned for external research.

APPROACHES USED TO MANAGE RESEARCH

In 1962, ACDA established a research council composed of the heads of its four bureaus, the general counsel, and an executive director, to help the Director manage the research program. The council's responsibilities included establishing broad policy guidance, evaluating proposals for specific projects, and preparing an annual budget for the research program.

The council, as a management approach, offered certain advantages. Projects brought before the council were subject to a high-level, cross-disciplinary review and interbureau coordination and council deliberations served to inform the members about problems outside their administrative responsibility. However, the research council was disbanded in 1970. The reasons given for this action were that (1) council deliberations were unduly subject to bureaucratic bargaining among bureau heads and (2) its members were compelled to spend time discussing research projects that they had little interest in and that they were not fully qualified to review.

In 1970, ACDA delegated to each of its bureaus and offices responsibility for formulating their own research programs, developing individual research projects, and monitoring the technical aspects of that research. Under the system which evolved, each year the bureaus and offices prepared lists of proposed research projects in their areas of responsibility. In conjunction with the annual budget preparation, the Agency's deputy director pared the lists so that the estimated cost of the projects approximated the funds earmarked for each bureau or office. Bureau or office heads placed priorities on projects to be done within their areas of responsibility. However, before an individual research project could be undertaken, it had to be approved by the deputy director.

A result of the approach instituted in 1970 was that each bureau came to possess a high degree of autonomy with regard to its research program. Agency officials told us that ACDA had become highly compartmentalized, a condition which they felt impeded the exchange of ideas.

of the funds originally allocated for research in fiscal year 1979, was held in reserve from March to mid-August 1979-- just 6 weeks before the end of the fiscal year.

In terms of dollars, about 41 percent of ACDA's fiscal year 1979 research contracts were let in September, the last month of the fiscal year. Almost two of every three dollars ACDA spent on research in fiscal year 1978 were obligated in the last month; and, in fiscal year 1977, about one-fourth of the research funds were obligated in September. Thus, the size and composition of the research program remained in doubt until very late in the fiscal year.

Funds Obligated for External Research

	Fiscal Year		
	1979	1978	1977
Total for fiscal year	\$3,539,307	\$3,636,095	\$2,238,357
Obligated in September	\$1,450,913	\$2,320,205	\$ 635,483
Percent obligated in September	41	64	28

The funding uncertainties and yearend obligations raise the following concerns.

- Obligating a high percentage of research funds at the end of the fiscal year suggests that such research may not be as supportive of ongoing negotiations and operations as it could be.
- Without knowing when and if research funds would become available, ACDA officials may be less inclined to rely on such research in preparing for negotiations or completing other time-critical tasks.
- Questions about the availability of funds have tended to reduce the number of potential contractors interested in submitting bids on competitive proposals, according to ACDA personnel.
- Large yearend obligations imply an effort to prevent spending authority from lapsing.

accept the report or direct the contractor to modify it. However, no formal evaluation of the report's contribution to operations or negotiations is made.

In the past, ACDA officials prepared comprehensive evaluation reports in accordance with procedural requirements. The procedures called for an assessment of:

- The value and importance of the final product to ACDA, especially identifying any new information or fresh insights gained.
- Major research management problems or successful techniques that would assist in planning and conducting future external research projects.
- The nature and extent of any future related research ACDA might wish to pursue.

Despite the potential benefits of such evaluations, ACDA officials typically have not been making them in recent years. Most of the project officers we spoke with said they were not aware of a requirement for such comprehensive evaluations.

DISSEMINATION OF RESEARCH RESULTS SHOULD BE IMPROVED

Regardless of its quality, the optimal benefits of a research project can be realized only if its results are disseminated to those who can use them. However, ACDA does not have a system to insure that this is routinely done.

Primary responsibility for determining initial distribution of research reports rests with the project officer within the sponsoring bureau. However, project officers told us they received little formal guidance in making this determination and relied primarily on their own judgment. Thus, initial report distribution may vary widely, depending upon the content of the report and the project officer's perception of who will be interested in it. In this respect, our review showed that the number of initial recipients of completed ACDA research ranged from less than 20 to several hundred. In some cases, ACDA research was not distributed to all members of the inter-agency group concerned with the subject, other bureaus within ACDA, or pertinent congressional committees.

Our review also showed that ACDA did not systematically (1) identify past or ongoing related research, (2) disseminate research results, or (3) evaluate such research.

Subsequent to our review, ACDA established the External Research Council to serve as ACDA's forum for all matters relevant to the external research program. The Council, chaired by the Counselor of ACDA and composed of 13 other high-level Agency personnel, is empowered to

--develop research priorities and establish operational guidelines for all ACDA units and

--assume responsibility for planning, budgeting, coordinating, evaluating, and disseminating research.

We believe that the establishment of the External Research Council represents a genuine effort to address the problems we noted. Therefore, we are making no recommendations at this time.

AGENCY COMMENTS

In commenting on our draft report, the Director of ACDA generally agreed that problems did exist in the areas that we noted. He reiterated that the new External Research Council had been established to improve the management and direction of the Agency's research program and that certain corrective actions had already been initiated.

The Director stated that it would be impossible to completely eliminate funding uncertainties. He felt that the Agency needed the flexibility to shift funds from research to operations, or the other way around, and that such flexibility enhanced ACDA's ability to be responsive to the President and the Congress.

ament policy, and can assess the effect of these recommendations upon our foreign policies, our national security policies, and our economy.

"This organization must have the capacity to provide the essential scientific, economic, political, military, psychological, and technological information upon which realistic arms control and disarmament policy must be based. It shall have the authority, under the direction of the President and the Secretary of State, to carry out the following primary functions:

(a) The conduct, support, and coordination of research for arms control and disarmament policy formulation;

(b) The preparation for and management of United States participation in international negotiations in the arms control and disarmament field;

(c) The dissemination and coordination of public information concerning arms control and disarmament; and

(d) The preparation for, operation of, or as appropriate, direction of United States participation in such control systems as may become part of United States arms control and disarmament activities."

"DEFINITIONS"

"Sec. 3. (a) The terms 'arms control' and 'disarmament' mean the identification, verification, inspection, limitation, control, reduction, or elimination,

TITLE III SECTIONS

"Research"

"Sec. 31. The Director is authorized and directed to exercise his powers in such manner as to insure the acquisition of a fund of theoretical and practical knowledge concerning disarmament. To this end, the Director is authorized and directed, under the direction of the President, (1) to insure the conduct of research, development, and other studies in the field of arms control and disarmament; (2) to make arrangements (including contracts, agreements, and grants) for the conduct of research, development, and other studies in the field of arms control and disarmament by private or public institutions or persons; and (3) to coordinate the research, development, and other studies conducted in the field of arms control and disarmament by or for other Government agencies in accordance with procedures established under section 35 of this Act. In carrying out his responsibilities under this Act, the Director shall, to the maximum extent feasible, make full use of available facilities, Government and private. The authority of the Director with respect to research, development, and other studies shall be limited to participation in the following insofar as they relate to arms control and disarmament:

(a) the detection, identification, inspection, monitoring, limitation, reduction, control, and elimination of armed forces and

(i) the arms control and disarmament implications of foreign and national security policies of the United States with a view to a better understanding of the significance of such policies for the achievement of arms control and disarmament;

(j) the national security and foreign policy implications of arms control and disarmament proposals with a view to a better understanding of the effect of such proposals upon national security and foreign policy;

(k) methods for the maintenance of peace and security during different stages of arms control and disarmament;

(l) the scientific, economic, political, legal, social, psychological, military, and technological factors related to the prevention of war with a view to a better understanding of how the basic structure of a lasting peace may be established;

(m) such related problems as the Director may determine to be in need of research, development, or study in order to carry out the provisions of this Act."

"Coordination"

"Sec. 35. The President is authorized to establish procedures to (1) assure cooperation, consultation, and a continuing exchange of information between the Agency and the Department of Defense, the Atomic Energy Commission, [See GAO note on the following page] the National Aeronautics and Space Administration and other affected Government agencies,

Executive Order 11044, August 20, 1962, 27 F.R. 8311, 3 CFR, 1959-63 Comp., p. 627

INTERAGENCY COORDINATION OF ARMS CONTROL AND DISARMAMENT MATTERS

WHEREAS there has been established by law the United States Arms Control and Disarmament Agency; and

WHEREAS the Arms Control and Disarmament Act provides that the Director of that Agency shall be the principal adviser to the Secretary of State and the President on Arms control and disarmament matters and requires the Director to assume primary responsibility within the Government for such matters under the direction of the Secretary of the State; and

WHEREAS the Act authorizes and directs the said Director to coordinate significant aspects of the United States arms control and disarmament policy and related matters; and

WHEREAS it is desirable that the President establish procedures for coordination, and for the resolution of differences of opinion between the United States Arms Control and Disarmament Agency and other affected Government agencies, concerning all significant aspects of arms control and disarmament policy and related matters:

Now, THEREFORE, by virtue of the authority vested in me by the Arms Control and Disarmament Act (75 Stat. 631; 50 U.S.C. 1501 et seq.¹ and as President of the United States, it is hereby ordered as follows:

SECTION 1. Definitions.—As used hereinafter:

(a) The word "Director" means the Director of the United States Arms Control and Disarmament Agency.

(b) The term "affected agencies" shall include the Department of Defense, the Atomic Energy Commission, the Central Intelligence Agency, the National Aeronautics and Space Administration, and, when not inappropriate in the context, the United States Arms Control and Disarmament Agency, and shall include also such other agencies as the Director may designate hereunder.²

(c) The terms "arms control" and "disarmament" shall be defined as they are defined in section 3(a) of the Arms Control and Disarmament Act.

(d) The term "related matters" shall include those matters which are necessary to, describe for, or otherwise directly connected with the functions described in sections 3 and 4 of this order.

¹ 50 U.S.C. 1501 et seq. was a temporary designation in the United States Code. The permanent citation is 22 U.S.C. 2551 et seq.

² In January 1964, the Director of the Arms Control and Disarmament Agency secured the agreement of the Departments of Commerce and Labor, and the United States Information Agency to be "affected agencies" under this subsection.

Sec. 5. *Force and armament levels.*—The Secretary of Defense shall keep the Director informed with respect to the planning of armed forces levels and armaments and, for consideration in connection with such planning, the Director shall furnish the Secretary of Defense statements of existing and projected arms control and disarmament policies.

ACDA'S EXTERNAL RESEARCH PROGRAMFISCAL YEAR 1979

<u>Bureau/ Office</u>	<u>Project title</u>	<u>Agreed amount</u>	<u>Date of award</u>
Non-Proliferation Bureau	IAEA Coordination on RECOVER	\$ 5,000	11/28/78
	Quick Response Analysis that Relate to Breeder and Once-Through Systems (note a)	25,186 29,762 39,240 29,447 9,971	2/21/79 2/28/79 5/21/79 7/26/79 8/14/79
	An Analysis of Inter- national Nuclear Fuel Cycle Facility Materials Inventories	78,800	3/06/79
	Support for IAEA/ACDA Research Agreement	60,000 30,000	4/06/79 8/29/79
	Documentation and Inter- national Test of the RECOVER System (Two parts)	87,495 289,899	4/17/79 8/20/79
	Quick Response Studies on Alternate Nuclear Fuel Cycle	10,000	4/23/79
	IAEA Safeguards Evalua- tion Procedures	59,646	5/01/79
	Technical Evaluation of U.S.-Supplied IAEA Safeguards Equipment	19,393 9,885 13,806 7,882 23,413 9,933 9,964 9,950 9,950	5/01/79 5/24/79 6/04/79 7/05/79 9/28/79 9/28/79 9/28/79 9/28/79 9/28/79

a/Task order agreement with funds awarded for each
separate order

<u>Bureau/ Office</u>	<u>Project title</u>	<u>Agreed amount</u>	<u>Date of award</u>
Non-Proliferation Bureau	Small Nuclear Force Analysis Technology Intelligence	\$136,000	9/25/79
	IAEA Safeguards Diver- sion Detection and SSA Analysis	60,000	9/26/79
	Economic and Evaluative Analysis for Non-Prolifer- ation Policy (Areas 1 through 5)	55,690	9/27/79
	Economic and Evaluative Analysis for Non-Prolifer- ation Policy (Areas 2 and 3)	55,020	9/27/79
	Fiber-lock Level Sensing Seal Modi- fication	3,003	9/27/79
	Alternative Nuclear Fuel Cycle Assessments	121,888	9/28/79
	Quick Response Analyses in Alternative Nuclear Fuel Cycle Assessments	44,582	9/28/79
	Economic and Evaluative Analysis for Non-Prolifer- ation Policy (Areas 1,2, 3, and 5)	108,551	9/28/79
Total Obligated, Non-Proliferation Bureau		<u>\$2,126,718</u>	

APPENDIX IV

APPENDIX IV

<u>Bureau/ Office</u>	<u>Project title</u>	<u>Agreed amount</u>	<u>Date of award</u>	
Multilateral Affairs Bureau	Task Orders on Satel- Transmission Alter- natives for Treaty Verification Assess- ment for the Quick Response Support of the Comprehensive Test Ban Treaty Negotiations	\$ 16,025 29,856 11,633	11/29/78 4/25/79 9/27/79	
	Deterrence of Chemical Warfare	12,900	2/28/79	
	Definition of the Expected Variations in the Teleseismic P- Wave Spectral Composition	38,614 39,972	3/09/79 9/27/79	
	Geomagnetic Field Fluctuation on the Ocean Floor	25,000	3/14/79	
	National Seismic Station Communication and Architecture Design Alternatives	40,000	3/19/79	
	Technical Support of Chemical Warfare Negotiations	15,000	3/30/79	
	Formulation and Testing of New Regional Discrimination	28,000	6/28/79	
	EMP and Acoustic Energy Signal Field Measurement Experi- ments	59,421	8/31/79	
	Total Obligated, Multilateral Affairs Bureau		<u>\$316,421</u>	

APPENDIX IV

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<u>Bureau/ Office</u>	<u>Project title</u>	<u>Agreed amount</u>	<u>Date of award</u>
International Security Programs Bureau	SALT Technical Support	\$ 125,000	3/16/79
Total Obligated, International Security Programs Bureau		\$ <u>125,000</u>	
Office of Public Affairs	Hubert H. Humphrey	\$ 14,600	9/07/79
	Fellowships - Award	4,196	9/13/79
	period 9/1/79 -	12,330	9/14/79
	8/31/80	5,100	9/29/79
		<u>4,900</u>	9/29/79
Total Obligated, Office of Public Affairs		\$ <u>41,126</u>	
TOTAL OBLIGATED, ALL BUREAUS AND OFFICES		<u>\$3,539,307</u>	

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to stem from Section 4 of Executive Order 11044. We believe some of the requirements set forth in the executive order envisaged a more prominent research role for ACDA than has proved necessary.

To the extent adequate interagency research coordination may be lacking, a remedy will be sought. The affected agencies and the Office of Management and Budget will meet to ensure that ACDA's legislated coordination requirements will be met in a practical and workable manner.

In regard to the second matter, the GAO investigators found that each ACDA bureau had a high degree of autonomy with regard to the research program and that the high compartmentalization had, in the view of some ACDA officials, impeded the exchange of ideas. In addition, the investigators concluded that the program has been beset by funding uncertainties, that existing data banks have not been used to identify past or on-going relevant research, that ACDA has not been formally evaluating the result of its research, and that the research might be better used if it was disseminated more systematically. The fact that there were some problems in these areas has been recognized within ACDA.

As your report indicates, the ACDA External Research Council, which was organized last August, provides an effective mechanism to deal with such problems. The Council is now serving as the Agency's forum for all matters relating to the planning, programming, management and dissemination of the external research program.

The Council has met about once or twice a week since its formation in order to deal with research proposals for Fiscal Years 1979 and 1980. The Council recently finished its basic consideration of the Fiscal Year 1980 program.

The Council shortly will conduct a final review of the Fiscal Year 1981 program and begin long-term planning for Fiscal Year 1982. The Council has provided an opportunity for various bureaus and offices to explore the many facets of the Agency's activities and to work together developing and managing an Agency-wide research program. This helps us make decisions on the basis of demonstrated value without regard to arbitrary divisions among subject areas or bureaus.

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I am advised, from the standpoint of the Administration's program, that the Office of Management and Budget has no objection to the submission of this response to your letter of December 20, 1979.

Sincerely,



Ralph Earle II

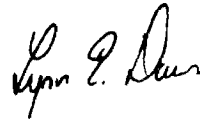
Specifically, P.L. 87-297 (Sept 26, 1961) makes reference to:

"(a) The conduct, support, and coordination of research for arms control and disarmament policy formulation;"

Similarly, Sections 3 and 4 of E.O. 11044 explicitly limit ACDA's mandate to coordination of research on policy formulation. Consequently, DoD research in support of defense planning and monitoring of foreign military activities, as well as research done on the interactions between weapon systems and arms control, does not meet legislative criteria. Clearly, it would be inappropriate for ACDA to plan and coordinate research in support of the Defense Department's own responsibilities for planning, development, procurement, and deployment of the required military forces for the US.

A limited number of DoD research projects may be described in terms of "arms control and disarmament policy formulation." Those few projects are the source of frequent but unsystematic coordination between ACDA and DoD. Periodically, ACDA distributes descriptive information on proposed research to ensure that it is not duplicative of work being conducted for other agencies. Similarly, DoD and ACDA coordinate on projects of mutual interest where research economies may be achieved through co-funding. Finally, on policy research studies of relevance to international arms control negotiations, notification of DoD projects is made available to ACDA as a matter of routine through the Department of State "Quarterly Report of Government-Sponsored Research on Foreign Affairs". It is recognized, however, that the Quarterly Report is not an effective substitute for coordination tasks specified in 22 U.S.C. 2551 and E.O. 11044.

Recommendations contained in the draft report are directed exclusively at ACDA and would have no significant effect on the Department of Defense if limited to "policy formulation" studies, except to generate an unspecified additional work load in research reporting and coordination. Full compliance by ACDA with the provisions of law and executive order would not measurably assist our research program. However, DoD takes no position on the merits of compliance with respect to the research programs of other agencies.



Lynn E. Davis
Assistant Deputy Under Secretary
of Defense (Policy Planning)

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