Audit Report

YEAR 2000 READINESS REPORTING

Report No. 99-122 April 2, 1999

Office of the Inspector General
Department of Defense

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Acronyms

GSORTS	Global Status of Resources and Training System
USEUCOM	U.S. European Command
Y2K	Year 2000

INSPECTOR GENERAL
DEPARTMENT OF DEFENSE
400 ARMY NAVY DRIVE
ARLINGTON, VIRGINIA 22202

April 2, 1999

MEMORANDUM FOR ASSISTANT SECRETARY OF THE NAVY (FINANCIAL MANAGEMENT AND COMPTROLLER)
ASSISTANT SECRETARY OF THE AIR FORCE (FINANCIAL MANAGEMENT AND COMPTROLLER)
DIRECTOR, JOINT STAFF
AUDITOR GENERAL, DEPARTMENT OF THE ARMY

SUBJECT: Audit Report on Year 2000 Readiness Reporting (Report No. 99-122)

We are providing this audit report for review and comment. We considered management comments on a draft of this report when preparing the final report.

DoD Directive 7650.3 requires that all recommendations be resolved promptly and there is special urgency regarding year 2000 conversion issues. The Joint Staff comments were not sufficiently responsive. As a result of those comments, we added Recommendation 2. to the Army, the Navy, the Air Force, and the Marine Corps. We request that the Joint Staff reconsider its position and provide additional comments on Recommendation 1. and the Army, the Navy, the Air Force, and the Marine Corps provide comments on Recommendation 2. We request that management provide comments by May 3, 1999.

We appreciate the courtesies extended to the audit staff. Questions on the audit should be directed to Ms. Evelyn R. Klemstine at (703) 604-9172 (DSN 664-9172) (eklemstine@dodig.osd.mil) or Ms. Catherine M. Schneiter at (703) 604-9609 (DSN 664-9609) (cschneiter@dodig.osd.mil). See Appendix D for the report distribution. The audit team members are listed inside the back cover.

Robert J. Lieberman
Assistant Inspector General
for Auditing

Office of the Inspector General, DoD

Report No. 99-122 **April 2, 1999**
(Project No. 8LG-5039)

Year 2000 Readiness Reporting

Executive Summary

Introduction. This is one in a series of reports being issued by the Inspector General, DoD, in accordance with an informal partnership with the Chief Information Officer, DoD, to monitor DoD efforts to address the year 2000 computing challenge. For a listing of audit projects addressing the issue, see the year 2000 web pages on the IGnet at http://www.ignet.gov/.

Objectives. The overall audit objective was to evaluate whether the U.S. European Command adequately planned for year 2000 risks and will be able to avoid undue disruption to its mission. Issues were raised that apply to all combatant commands Therefore, for this segment of the audit, we reviewed the readiness reporting requirements of combatant commands and assessed the effect of the combatant commands' year 2000 compliance status on military planning.

Results. The Joint Staff and the combatant commands lacked sufficient information to determine the year 2000 readiness status of equipment for apportioned and assigned units. As a result, the National Command Authorities and the Chairman of the Joint Chiefs of Staff had incomplete information on the equipment status of combatant commands and may incorrectly assess the year 2000 deployability posture of apportioned and assigned units and organizations. See the Finding section of this report for details.

Summary of Recommendations. We recommend that the Director, Joint Staff, revise guidance on the Global Status of Resources and Training System to direct units to report the status of year 2000 compliance of mission essential equipment and the impact on the units' abilities to perform their wartime missions. In addition, we recommend that the Army, the Navy, the Air Force, and the Marine Corps provide full descriptions to the Joint Staff, the Assistant Secretary of Defense (Command, Control, Communications and Intelligence), and the Inspector General, DoD, of their mechanisms for ensuring that the year 2000 readiness status of apportioned and assigned units is reported to the combatant commands and the Joint Staff.

Management Comments. The Joint Staff agreed that the combatant commanders should have access to sufficient information to assess the status of year 2000 compliance of mission essential equipment and the effect on their abilities to perform wartime missions. However, the Joint Staff nonconcurred with the recommended methodology, stating that the Global Status of Resources and Training System was not the optimal reporting vehicle for this purpose. The Joint Staff determined that the Services (excluding the Coast Guard) should maintain primary responsibility to keep their Components and all

units apprised of their year 2000 efforts and suggested that the Services provide combatant commands with year 2000 unit status. A discussion of management comments is in the Finding section of the report and the complete text is in the Management Comments section.

Audit Response. We consider the Joint Staff comments to be insufficiently responsive. Combatant commanders and military planners need assurance that units deploying into a commander's area of responsibility are operationally ready to function in a year 2000 environment. The Joint Staff decision to rely on the Services to push year 2000 status information on apportioned and assigned units to their Components and, through them, to the combatant commands, assumes that the Services and their Components each have a process in place to accomplish that task. Recent audits in various overseas theaters indicate that widespread information gaps continue. The Joint Staff comments provide no details on what the Services are doing to remedy the problem. We believe that using the Global Status of Resources and Training System as the mechanism for providing the combatant commands with the year 2000 status of reporting units would powerfully incentivize the Services to provide timely and comprehensive year 2000 status data on systems and units. We request the Joint Staff to reconsider its position and respond to this final report.

As a result of the Joint Staff comments, we added a recommendation to the Army, the Navy, the Air Force, and the Marine Corps to clarify what is being done to provide year 2000 unit status data to the warfighters.

We request that the Army, the Navy, the Air Force, the Marine Corps, and the Joint Staff provide comments on the final report by May 3, 1999.

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Background

The year 2000 (Y2K) problem is the term most often used to describe the potential failure of information technology systems to process or perform date-related functions before, on, or after the turn of the century. The Y2K problem is rooted in the way that automated information systems record and compute dates. The U.S. military is highly dependent upon information technology – computer chips and software. This information technology may not work if the programming cannot handle the Y2K date rollover. Because military operations depend on an infrastructure driven by information technology, commanders must ensure continuity of their mission capability despite Y2K risks of systems or infrastructure degradation and failure.

Leadership Focus. In a June 8, 1998, message to the unified commands, the Vice Chairman of the Joint Chiefs of Staff noted:

> The Y2K date problem could affect our warfighting missions in all functional areas via perturbations in any software, hardware, firmware, or embedded chip entity, and thus could potentially impact our readiness. We must make every effort to understand the potential Y2K ramifications to our primary mission areas.

In the Secretary of Defense memorandum, "Year 2000 Compliance," August 7, 1998, the Secretary of Defense stated that insufficient progress had been made within DoD to solve Y2K computer problems, which he termed "a critical national defense issue." He tasked the combatant commands to review the status of Y2K implementation within the Service Components and the Senior Readiness Oversight Council to report on Y2K readiness implications. At each Council meeting, the chief of each Service provides a current and projected status assessment of their forces and the Vice Chairman of the Joint Chiefs of Staff presents an overall assessment of the readiness of DoD to fight and meet the demands of the national military strategy.

Global Status of Resources and Training System. The Global Status of Resources and Training System (GSORTS) is the single, automated reporting system within DoD that provides the National Command Authorities[1] and the Chairman of the Joint Chiefs of Staff with authoritative assignment, equipment, identification, location, and personnel data for the registered units and organizations of DoD and certain foreign and international organizations involved in operations with DoD. GSORTS is designed for military planning and for equipping, organizing, and training tasks. GSORTS indicates, at a specific time, the status of unit equipment and personnel and the training required to undertake the mission for which a unit was organized or designed. GSORTS allows users[2] to:

- prepare lists of units readily available;

[1]The President and the Secretary of Defense or their duly deputized alternates or successors.

[2]SORTS users are those personnel who perform crisis response planning and deliberate or peacetime planning and management responsible for equipping, organizing, and training forces used by the combatant commands.

- estimate the time for the earliest commitment of units based on their location relative to a situation;
- assist in the identification of or confirm major constraints on the employment of units;
- track location, activity, major equipment status, and personnel strength of assigned units to determine the forces that are readily available and to initially identify possible shortfalls, candidate units, and other items as needed; and
- provide selected unit data to other joint automated systems, such as the Joint Operation Planning and Execution System and the Joint Visually Integrated Display System, that support situation and execution monitoring.

Military Operational Planning. GSORTS is a principal source of information used for military planning and for responding to crises or time-sensitive situations. Combatant commanders and Service Component commanders prepare operational plans[3] in response to requirements established by the Chairman of the Joint Chiefs of Staff. The forces and supplies required to execute an operational plan are identified in time-phased force and deployment data files. Those files contain deployment and movement data for in-place units, units to be deployed to support the operational plan, and movement and routing of the forces to be deployed.

Equipping, Organizing, and Training Tasks. The Services are responsible for equipping, organizing, and training tasks. In support of those tasks, GSORTS:

- focuses management attention on problems resistant to normal solutions;
- confirms shortfalls in the acquisition of equipment and supplies, by units;
- confirms personnel shortfalls identified by other means;
- confirms problems in the distribution of equipment and personnel among units;
- confirms those units best able to support reallocation or redistribution efforts; and
- monitors corrections to previously identified problems.

[3]For the purposes of this report, operational plans include operation plans, concept plans, and Service war planning documents.

Objectives

The overall audit objective was to evaluate whether the U.S. European Command (USEUCOM) adequately planned for Y2K risks and will be able to avoid undue disruption to its mission. Issues were raised that apply to all combatant commands. Therefore, for this segment of the audit, we reviewed the readiness reporting requirements of combatant commands and assessed the effect of the combatant commands' Y2K compliance status on military planning. See Appendix A for a discussion of the scope and methodology and Appendix B for a summary of prior coverage.

Readiness Reporting of Y2K Compliance Status

The Joint Staff and the combatant commands lacked sufficient information to determine the Y2K readiness status of equipment for apportioned[4] and assigned units. The Joint Staff and the combatant commands lacked sufficient information because the Joint Staff had not implemented a Y2K equipment readiness-reporting requirement for GSORTS reporting units. As a result, the National Command Authorities and the Chairman of the Joint Chiefs of Staff had incomplete information on the equipment status of combatant commands and may incorrectly assess the Y2K deployability posture of apportioned and assigned units and organizations.

Joint Staff Guidance

Reporting Policy. The Chairman of the Joint Chiefs of Staff Instruction 3401.02, "Global Status of Resources and Training System," October 20, 1997 (GSORTS instruction), establishes uniform criteria, policy, and procedures for DoD to report authoritative identification, location, and resource information to the National Command Authorities through the National Military Command Center. The GSORTS instruction requires that designated units submit status reports. Designated units are combat, combat support, and combat service support units of the operating forces that each Service tasked in an operational plan provides. Appendix C shows the GSORTS reporting hierarchy and those designated units responsible for reporting in GSORTS.

Reporting System. Joint Publication 1-03.3, "Joint Reporting Structure Status of Resources and Training System," August 10, 1993 (Joint Publication 1-03.3), establishes the reporting system required by GSORTS. Joint Publication 1-03.3 contains the general provisions and detailed instructions for collecting and preparing data on DoD units and selected foreign and international units. Units report an overall unit resource and training category level (C-level) as well as unit status in four measured resource areas: personnel (P-level), equipment and supplies on hand (S-level), equipment condition (R-level), and training (T-level). C-levels can range from C-1 to C-5 based on whether the unit has the required resources and training necessary to undertake the wartime mission(s) for which the unit was organized or designed. C-1 represents the most favorable level of resources and training. A unit's C-level will be identical to the lowest level recorded for any measured resource area unless subjectively raised or lowered by the unit commander.

[4]Units that have been designated, for planning purposes, for assignment to a combatant command during an operational mission.

Y2K Readiness Reporting

DoD Readiness Reporting. The Joint Staff and the combatant commands lacked sufficient information to determine the Y2K readiness status of equipment for apportioned and assigned units. When executing an operational plan, combatant commanders use GSORTS reports for units identified on the operational plan associated time-phased force and deployment data files to assess each unit's ability to execute its wartime mission. A unit with a degraded capacity to execute its wartime mission, resulting from a lack of equipment, personnel, or resources, will report its readiness at less than a C-1 status. A unit with less than a C-1 status is less likely to deploy during a crisis situation. A combatant commander cannot judge a unit's ability to execute tasks outlined in an operational plan and associated time-phased force and deployment data files without knowing the unit's C-level. GSORTS does not contain information on whether a unit's equipment is Y2K compliant.

USEUCOM Readiness Reporting. We reviewed the Y2K readiness reporting requirements for units assigned to or scheduled to deploy to the European theater. In August 1998, USEUCOM tasked its Service Components to provide monthly functional assessments on potential impacts of Y2K. Each Service Component was required to report on its Y2K readiness in nine functional areas: command and control systems; communications systems; infrastructure; intelligence, surveillance, and reconnaissance; mobility; nuclear command and control and special weapons systems; personnel; sustainment; and weapon systems. The USEUCOM functional assessment by Service Component provided the status of each Service Component's overall effort to become fully Y2K compliant, but did not provide equipment data on Y2K compliance at the unit level.

The Y2K status of deployed units assigned to the U.S. Naval Forces Europe was not reported to USEUCOM. The Y2K status of Carrier Task Force 67, part of the U.S. Atlantic Fleet but assigned to the U.S. Naval Forces Europe in October 1998, was not included in the U.S. Naval Forces Europe Y2K status report to USEUCOM. USEUCOM was not only dependent on ships from the U.S. Atlantic Fleet, but also on Air Force units from the Air Combat Command and Army units from U.S. Army Forces Command to deploy to the European theater during crises. The operational readiness and deployability of those units in calendar year 2000 will be dependent on the capability of those units to operate in a Y2K environment.

Reporting the Status of Y2K Compliance

The Joint Staff had not implemented a Y2K readiness-reporting requirement for GSORTS reporting units. In August 1998, the Secretary of Defense required that the Joint Monthly Readiness Review and the Commander in Chief quarterly report to the Secretary of Defense include operational impact assessments of Y2K status. However, the equipment status of individual units was not included in those reports. Rather, those reports addressed the general Y2K issues affecting the combatant commands in what appeared to be an effort to gain command perspective rather than to provide information for military operational planning.

Unit commanders did not consider Y2K status when reporting readiness and equipment condition. They were not required to assess and report the impact of Y2K on equipment operational readiness. For units deploying in calendar year 2000, the Y2K compliance of mission essential equipment will directly affect the availability of the equipment to the unit commanders. Accordingly, the Y2K status should be reported as impacting whether the units have the required resources necessary to undertake their wartime missions. Thus, a unit that is not fully Y2K compliant should not report its readiness condition as C-1 until Y2K compliance is achieved.

Effect of the Accuracy of Information on Equipment Status

The National Command Authorities and the Chairman of the Joint Chiefs of Staff had incomplete information on the equipment status of units and, as a result, may incorrectly assess the Y2K deployability posture of apportioned and assigned units and organizations. Because GSORTS information is used to select those units that are readily available to perform wartime missions, it must be authoritative and complete. If mission essential equipment is at risk of failing due to systemic Y2K problems, military planners and decisionmakers need to be informed of that risk.

Recommendations, Management Comments, and Audit Response

Renumbered and Added Recommendations. As a result of the Joint Staff comments, we renumbered the draft recommendation as Recommendation 1. and added Recommendation 2.

1. We recommend that the Director, Joint Staff revise the Chairman of the Joint Chiefs of Staff Instruction 3401.02, "Global Status of Resources and Training System," October 20, 1997, and Joint Publication 1-03.3, "Joint Reporting Structure Status of Resources and Training System," August 10, 1993, to direct units to report in the Global Status of Resources and Training System the status of year 2000 compliance of mission essential equipment and the affect of that compliance on their abilities to perform wartime missions.

Management Comments. The Joint Staff nonconcurred. Although it agreed that the combatant commanders should have access to sufficient information to assess the Y2K compliance of mission essential systems and their effect on assigned units' abilities to perform wartime missions, it did not consider the use of GSORTS as the optimal method for obtaining that information. The Joint Staff stated that the Services (excluding the Coast Guard) were tracking and reporting the Y2K status of mission critical and nonmission critical systems, Service-wide integration testing, unified command operational evaluation results, and remediation efforts. In addition, because the Services maintained the databases

that tracked the status of Service-wide systems and upgrade efforts, the Joint Staff believed that the Services were aware of cross-functional initiatives by the Office of the Secretary of Defense and the Joint Staff to further improve accessibility of Y2K status data. The Joint Staff determined that the individual Services should maintain primary responsibility to keep their Components and all units apprised of their Y2K status because the Joint Staff believed that the Services were better aware of all factors that collectively determined the current and future status of assigned units. In turn, Service Components may keep their combatant commanders aware of unit status.

Audit Response. The Joint Staff comments were not sufficiently responsive to the problem and to the intent of the recommendation. Combatant commanders and military planners need a mechanism to ensure that units deploying into a commander's area of responsibility are operationally ready to function in a Y2K environment. GSORTS exists to provide commanders with unit readiness information. The Joint Staff decision to rely on the Services to push Y2K status information on apportioned and assigned units to their Components and, through them, to the combatant commands, bypassing GSORTS, assumes that the Services and their Components each have a process in place to accomplish that task. Although this may be a logical assumption, given the key Service role in the Y2K conversion program, in practice the requisite readiness information is not being provided effectively or efficiently to the commanders who need it.

We previously discussed the information gaps found in the U.S. European Command. An even more current example stems from our Y2K audit coverage at U.S. Central Command (Project No. 8LA-0052). As of March 1, 1999, the Y2K status of deployed units assigned to the Joint Task Force-Southwest Asia, located in Saudi Arabia, was not included in the readiness reports submitted to U.S. Central Command, nor was the information reaching the Command through other official channels. For example, the Y2K status of the 9th Air Expeditionary Group, located at Ali Al Salem Air Base in Kuwait, was not included in the U.S. Central Command Air Forces monthly readiness report. Aircraft assigned to the 9th Air Expeditionary Group are responsible for enforcing the United Nations' mandated no-fly zone over southern Iraq. Similarly, the Y2K status of Army units assigned to U.S. Army Forces Central Command-Kuwait, located at Camp Doha, Kuwait, was not included in the monthly unit status reports submitted to Headquarters, U.S. Army Forces, Central Command. Other ongoing audits are producing similar results.

The process for obtaining the unit level readiness information of apportioned and assigned units is through GSORTS. It is unrealistic to assume that the combatant commands will have time to assemble and analyze the Y2K status of mission critical and nonmission critical systems, Service-wide integration testing, unified command operational evaluation results, and unit level fielding schedules for systems and Y2K patches to determine whether their apportioned and assigned units are operationally ready. Therefore, an effective mechanism must be in place to ensure that unit Y2K readiness status is reported to the combatant commands. Requiring GSORTS to reflect unit level Y2K status would powerfully incentivize the Services to provide timely and comprehensive Y2K information on all systems and units. We request that the Joint Staff reconsider its position and provide additional comments in response to the final report.

2. We recommend that the Army Year 2000 Program Office, the Navy Year 2000 Project Office, the Air Force Year 2000 Office, and the Marine Corps Year 2000 Office provide full descriptions to the Joint Staff, the Assistant Secretary of Defense (Command, Control, Communications and Intelligence), and the Inspector General, DoD, of their mechanisms for ensuring that the year 2000 readiness status of apportioned and assigned units is reported to the combatant commands and the Joint Staff.

Appendix A. Audit Process

This is one in a series of reports being issued by the Inspector General, DoD, in accordance with an informal partnership with the Chief Information Officer, DoD, to monitor DoD efforts to address the Y2K computing challenge. For a list of audit projects addressing the issue, see the Y2K web pages on Ignet at http://www.ignet.gov/.

Scope

We reviewed and evaluated the Chairman of the Joint Chiefs of Staff readiness reporting policies and procedures, including Y2K monthly status reporting. In addition, we reviewed and evaluated USEUCOM procedures to obtain the Y2K status of its Service Components. We met with the functional Components of USEUCOM, U.S. Naval Forces Europe, and U.S. Air Forces in Europe to discuss their specific Y2K reporting procedures and obtained supporting documentation

DoD-wide Corporate Level Goals. In response to the Government Performance and Results Act, DoD has established 6 DoD-wide corporate level performance objectives and 14 goals for meeting the objectives. This report pertains to achievement of the following objectives and goals.

- **Objective:** Prepare now for an uncertain future. **Goal:** Pursue a focused modernization effort that maintains U.S. qualitative superiority in key war fighting capabilities. **(DoD-3)**
- **Objective:** Maintain highly ready joint forces to perform the full spectrum of military activities. **Goal:** Maintain high military personnel and unit readiness. **(DoD-5.1)**

DoD Functional Area Reform Goals. Most major DoD functional areas have also established performance improvement reform objectives and goals. This report pertains to achievement of the following functional area objectives and goals.

- **Informational Technology Management Functional Area.**

  Objective: Become a mission partner. **Goal:** Serve mission information users as customers. **(ITM-1.2)**

- **Informational Technology Management Functional Area.**

  Objective: Provide services that satisfy customer information needs. **Goal:** Modernize and integrate Defense information infrastructure. **(ITM-2.2)**

- **Informational Technology Management Functional Area.**

  Objective: Provide services that satisfy customer information needs.
  Goal: Upgrade technology base. (ITM-2.3)

High Risk Area. In its identification of risk areas, the General Accounting Office has specifically designated risk in resolution of the Y2K problem as high. This report provides coverage of that problem and of the overall information management and technology high-risk area.

Methodology

Audit Types, Dates, and Standards. We performed this economy and efficiency audit at USEUCOM from September through November 1998, in accordance with auditing standards issued by the Comptroller General of the United States, as implemented by the Inspector General, DoD. To address management comments, we obtained additional data on unit level Y2K readiness reporting from Service Components of the U.S. Central Command as of March 1, 1999. We did not use computer-processed data to perform this audit.

Contacts During the Audit. We visited or contacted individuals and organizations within DoD. Further details are available upon request.

Management Control Program. We did not review the management control program related to the overall audit because DoD recognized the Y2K issue as a material management control weakness in the FY 1998 Annual Statement of Assurance.

Appendix B. Summary of Prior Coverage

The General Accounting Office and the Inspector General, DoD, have conducted multiple reviews related to Y2K issues. General Accounting Office reports can be accessed over the Internet at http://www.gao.gov/. Inspector General, DoD, reports can be accessed at http://www.dodig.osd.mil/. The following Y2K reports have been issued on combatant commands.

Inspector General

Inspector General, DoD, Report No. 99-031, "U.S. Pacific Command Year 2000 Issues," November 3, 1998.

Inspector General, DoD, Report No. 98-194, "U.S. Atlantic Command Year 2000 Issues," August 27, 1998.

Inspector General, DoD, Report No. 98-188, "U.S. Space Command Year 2000 Issues," August 18, 1998.

Inspector General, DoD, Report No. 98-173, "U.S. Central Command Year 2000 Issues," July 2, 1998.

Inspector General, DoD, Report No. 98-129, "U.S. Special Operations Command Year 2000 Issues," May 8, 1998.

Army

Army Audit Agency, Memorandum Report No. AA 98-291, "U.S. Southern Command Year 2000 Issues," July 31, 1998.

Army Audit Agency, Memorandum Report No. AA 98-292, "U.S. European Command Year 2000 Issues," July 30, 1998.

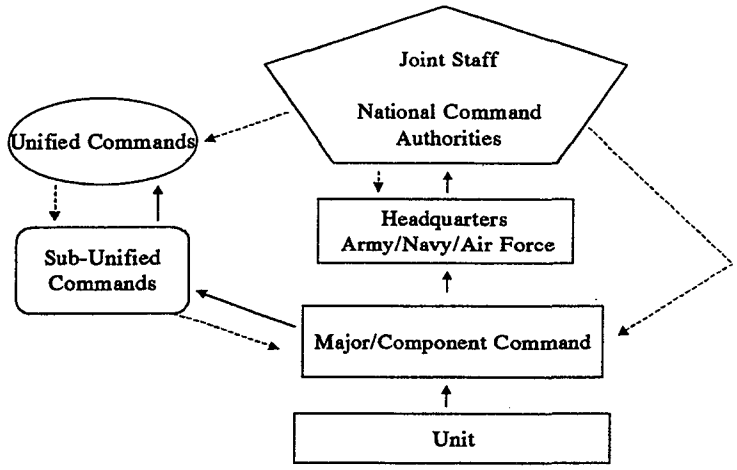
Air Force

Air Force Audit Agency Project No. 98066033, "U.S. Strategic Command Year 2000 Issues," September 29, 1998.

Air Force Audit Agency Project No. 98066032, "U.S. Transportation Command Year 2000 Issues," September 25, 1998.

Appendix C. GSORTS Reporting Hierarchy

The following figure shows the reporting process used for all units required to report under GSORTS guidance.



Legend:
——► Services reporting format.
--------► Joint Staff reporting format.

GSORTS Reporting Process

Units. The type of equipment data (for example, combat-essential equipment on hand and combat-essential equipment that is operationally ready) to report in GSORTS is dependent on the type of unit reporting the data. At a minimum, reporting organizations will report some amount of data on the following types of operational units.

Army Units. The Army table of organization and equipment parent organizations and their subordinate organizations should be reported. Those organizations include numbered battalions, regiments, squadrons, or equivalent level and their lettered or named batteries, companies, and troops. In addition, the Army table of distribution and authorization for noncombat units should be reported.

Navy Units. Individual Navy aircraft squadrons, ships, submarines, and separate deployable or deployed combat support units, combat service support units (including the Military Sealift Command), detachments, platoons, special boat units and staff, and teams should be reported.

Air Force Units. All Regular Air Force, Air Force Reserve, and Air National Guard organizations, including detachments and operating locations, assigned a Personnel Accounting System code and those planned organizations necessary for contingency plans (for example, en route support teams, fighter task forces, and tanker task forces) should be reported.

Marine Corps Units. All Fleet Marine Force organizations equal in size or larger than a battalion or squadron, as well as all force-level companies and Marine Air-Ground Task Forces and their elements should be reported.

U.S. Coast Guard Units. Coast Guard air stations, designated combat and combat support units and separately deployed or deployable detachments of those units, high-endurance cutters, icebreaking tugs, icebreakers, medium endurance cutters, oceangoing buoy tenders, patrol boats, and surface effect ships should be reported. The U.S. Coast Guard forwards GSORTS reports through Navy channels.

Other Units. Other units that should be reported in accordance with Joint Publication 1-03.3 are:

- higher echelon commands for previously listed units that provide the operational and administrative control chain,
- units required to report within the Global Command and Control System,
- units or fragments of units required to be registered by a commander of a combatant command or by a Component commander,
- units or fragments of units required to be registered by a Service headquarters,
- a unit fragment that will be under the operational control of a command other than the command having permanent administrative responsibility for the unit, and
- a unit fragment that expects to be deployed from its parent unit for a long duration. The Joint Staff, in coordination with the parent Service and combatant command, will define the length of duration.

Appendix D. Report Distribution

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Senate Committee on Armed Services
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Senate Special Committee on the Year 2000 Technology Problem
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House Committee on Armed Services

Congressional Committees and Subcommittees, Chairman and Ranking Minority Member (cont'd)

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House Subcommittee on Government Management, Information, and Technology, Committee on Government Reform
House Committee on Science
House Subcommittee on Technology, Committee on Science

Joint Staff Comments

THE JOINT STAFF
WASHINGTON, DC

Reply ZIP Code:
20318-0300

DJSM-225-99
15 March 1999

MEMORANDUM FOR THE INSPECTOR GENERAL, DEPARTMENT OF DEFENSE

Subject: Audit Report on Year 2000 (Y2K) Readiness Reporting (Project No. 8LG-5039)

1. We endorse your effort[1] to improve the awareness by combatant commands of assigned units' year 2000 readiness.

2. Although we agree with the goal, we nonconcur in the use of Global Status of Resources and Training System as the reporting vehicle. Detailed comments to support our position are enclosed.

3. The Joint Staff point of contact for Year 2000 audit actions is Lieutenant Colonel Lucinda Hackman, Joint Staff Year 2000 Office, 697-1207, lucinda.hackman@js.pentagon.mil.

STEPHEN T. RIPPE
Major General, USA
Vice Director, Joint Staff

Enclosure

Reference:
1 DODIG memorandum, 8 December 1998, "Audit Report on Y2K Readiness Reporting (Project No. 8LG-5039)"

Final Report Reference

ENCLOSURE

JOINT STAFF COMMENTS ON AUDIT ON Y2K READINESS REPORTING (PROJECT 8LG-5039)

Renumbered as Recommendation 1.

RECOMMENDATION: That the Director, Joint Staff, revise the Chairman Joint Chiefs of Staff Instruction 3401.02, "Global Status of Resources and Training System," 20 October 1997, and Joint Publication 1-03.3, "Joint Reporting Structure Status of Resources and Training Systems," 10 August 1993, to direct units to report in the Status of Resources and Training System the status of year 2000 compliance of mission essential equipment and the effect of that compliance on their abilities to perform wartime mission(s).

COMMENTS:

a. Nonconcur. The statement that combatant commands should have access to sufficient information to assess the Year 2000 (Y2K) compliance of mission essential systems and their effect on assigned units' abilities to perform wartime missions is valid. However, use of the Global Status of Resources and Training System (GSORTS) is not considered the optimum vehicle to accomplish that goal.

b. Service staffs are currently tracking and reporting the Y2K status of both mission critical and non-mission critical systems, Service-wide integration testing, CINC OPEVAL results and remediation efforts. Further, they maintain the databases that account for Service-wide system status and upgrade efforts, and they are most aware of cross-functional initiatives by OSD and the JS to further improve accessibility to Y2K status data.

c. Based on their better awareness of all factors that collectively determine both the current and future status of assigned units, it was determined that individual Services should maintain primary responsibility to keep their components and all units apprised of their Y2K status. In turn, component Services may keep their combatant commander's aware of unit status.

Enclosure

Audit Team Members

The Readiness and Logistics Support Directorate, Office of the Assistant Inspector General for Auditing, DoD, produced this report.

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