

Audit

Report



YEAR 2000 CONVERSION PROGRAM FOR THE
AIR FORCE RESERVE

Report No. 99-151

May 11, 1999

Office of the Inspector General
Department of Defense

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Acronym

Y2K

Year 2000



INSPECTOR GENERAL
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May 11, 1999

MEMORANDUM FOR ASSISTANT SECRETARY OF DEFENSE (FINANCIAL
MANAGEMENT AND COMPTROLLER)
ASSISTANT SECRETARY OF THE AIR FORCE
(FINANCIAL MANAGEMENT AND COMPTROLLER)

SUBJECT: Audit Report on Year 2000 Conversion Program for the Air Force Reserve
(Report No. 99-151)

We are providing this audit report for information and use. We considered management comments to the draft report in preparing the final report.

Comments on the draft of this report conformed to the requirements of DoD Directive 7650.3 and left no unresolved issues. Therefore, no additional comments are required.

We appreciate the courtesies extended to the audit staff. For additional information on this report, please contact Mr. Raymond A. Spencer at (703) 604-9071 (DSN 664-9071) (rspencer@dodig.osd.mil), or Mr. Thomas S. Bartoszek at (703) 604-9014 (DSN 664-9014) (tbartoszek@dodig.osd.mil). See Appendix C for the report distribution. The audit team members are listed inside the back cover.

A handwritten signature in black ink, reading "Robert J. Lieberman", is positioned above the typed name.

Robert J. Lieberman
Assistant Inspector General
for Auditing

Office of the Inspector General, DoD

Report No. 99-151
(Project No. 9AB-0077)

May 11, 1999

Year 2000 Conversion Program for the Air Force Reserve

Executive Summary

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

Objectives. The overall audit objective was to determine whether the Air Force Reserve is adequately preparing its information technology and weapon systems to resolve date-processing issues regarding the year 2000 computing problem. Specifically, the audit determined whether risk assessments, testing, and contingency plans complied with the DoD Year 2000 Management Plan.

Results. The Air Force Reserve was making progress in its year 2000 conversion effort, but certain issues required additional management attention. Two of four Air Force Reserve Wings that were reviewed had not made sufficient progress assessing the year 2000 status of infrastructure systems and preparing contingency plans (finding A).

The Air Force Reserve initiated actions during the audit to develop interface agreements and a contingency plan for the Improved Weather Reconnaissance System (finding B). No additional recommendations are necessary regarding the Improved Weather Reconnaissance System.

Summary of Recommendations. We recommend that the Commander, Air Force Reserve Command, require the 482^d Fighter Wing and the 440th Airlift Wing to determine Y2K compliance and mission criticality for its infrastructure systems, develop a schedule to complete the year 2000 infrastructure phases, revise the contingency plans for the 482^d Fighter Wing and the 440th Airlift Wing to recognize those systems that are date dependent, assign risks, and identify alternative solutions and workarounds and report monthly the progress made in addressing the year 2000 problem.

Management Comments. The Chief of Air Force Reserve concurred with the findings and recommendations. He recommended minor text changes for both findings and also provided the actual or the estimated completion dates for each recommendation.

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Background

The Year 2000. Information technology systems have typically used two digits to represent the year, such as "99" representing 1999, to conserve electronic data storage and reduce operating cost. With the two-digit format, however, the year 2000 is indistinguishable from 1900. As a result of the ambiguity, computers, associated systems, and application programs that use dates to calculate, compare, and sort could generate incorrect results when working with years after 1999.

The Deputy Secretary of Defense issued the memorandum, "Year 2000 (Y2K) Verification of National Security Capabilities," on August 24, 1998. The memorandum states that the Military Departments must certify that they have tested the Y2K capabilities of their respective Component's information technology and national security systems in accordance with the DoD Y2K Management Plan. The DoD Y2K Management Plan, December 1998, states the criteria for DoD Components to determine the appropriate Y2K phase for each system. Target completion dates range from December 1996 through March 1999.

Air Force Reserve. The Air Force Reserve is a Component of the Department of the Air Force. The mission of the Air Force Reserve is to support the Regular Air Force in defending the United States through control and exploitation of air and space. The Air Force Reserve Command (Command) Headquarters is located at Warner Robins Air Force Base, Georgia. The Command manages the training program, provides logistics support, ensures combat readiness, and manages, implements, and reports on the Y2K status of Air Force Reserve infrastructure systems. The Command is divided into 3 regional support groups that act as operational headquarters to 37 Wing units by providing operational, logistical, safety, and regional support for geographically separated units. The Command's aircraft inventory consists of 10 models that are shared with the Regular forces. In addition, the Air Force Reserve has a unique system, the Improved Weather Reconnaissance System, which is used on 1 of the 10 models.

Objectives

The primary audit objective was to determine whether the Air Force Reserve is adequately preparing its information technology systems and weapon systems to resolve date-processing issues regarding the year 2000 problem. Specifically, we reviewed Y2K risk assessments, testing, and contingency plans for aircraft and infrastructure. See Appendix A for a discussion of the audit scope and methodology, prior audit coverage, and other matters of interest.

A. Year 2000 Progress for Air Force Reserve Infrastructure Systems

At two of four Air Force Reserve units that we visited, officials had not made timely progress in determining whether their infrastructure systems were mission critical or had potential Y2K effects. In addition, officials had not completed required contingency plans. This condition occurred because the Air Force Reserve units had not adequately emphasized and addressed the DoD Y2K Management Plan in solving their Y2K problem. As a result, risk remained that the Air Force Reserve Command would not successfully complete Y2K conversion which could affect on mission performance

Air Force Reserve Year 2000 Plan

The Air Force Reserve Command Y2K Program Management Plan, dated October 1, 1998, identifies three phases for updating infrastructure systems affected by the Y2K problem. These are the inventory, assessment, and implementation phases. During the inventory phase, which was scheduled for a March 1998 completion, officials were to identify systems that support the Air Force Reserve mission and categorize them as mission critical, mission essential, mission impaired, or nonmission essential. During the assessment phase, which was scheduled to be completed by September 1998, officials were to determine the scope of the infrastructure problem and whether to fix, replace, or ignore the system. During the implementation, which is scheduled for completion by May 31, 1999, officials must replace or fix affected systems. A contingency plan was required by December 1998 for the mission-critical and mission-essential systems not fixed. A contingency plan must identify essential missions, functions and support processes, systems, and equipment that are date dependent and include alternatives to allow for their continued operations. Before October 1, 1998, the Air Force Reserve Command units used the Air Force Year 2000 Infrastructure Major Command and Wing Commanders' Guidance Package version 1.2.1, dated October 29, 1997, and the DoD Y2K Management Plan for guidance.

The Air Force Reserve Y2K Program Management Plan also requires all Reserve units to prepare a monthly report on the status of their infrastructure systems. The Air Force Reserve Y2K Program Manager provides quarterly reports to the Air Force Y2K Program Manager who provides quarterly reports to DoD. The five categories reported include personal computers and servers, network telecommunications, facility items and devices, biomedical devices, and other devices. The reports must indicate the compliance status of each system and the contingency plans for noncompliant systems.

Infrastructure Systems

Units located at the 403^d Wing and the 433^d Airlift Wing made progress in addressing the Y2K problem. Units of the 482^d Fighter Wing and the 440th Airlift Wing were far behind in assessing mission criticality and potential Y2K impacts. Accordingly, this delayed the completion of the contingency plans and may affect the mission of the Air Force Reserve mission on January 1, 2000.

403^d Wing and 433^d Airlift Wing. The 403^d Wing and 433^d Airlift Wing adequately addressed the Y2K status of their infrastructure systems. Each unit adequately assessed Y2K issues and took action to ensure Y2K compliance of its infrastructure systems.

482^d Fighter Wing. The January 1999 monthly report to the Air Force Reserve Program Manager and the December 1998 quarterly report to DoD listed 6,065 infrastructure items in four categories including personal computers and servers, network telecommunications items, facility items and devices, and other devices (see Appendix B, Table 1).

The monthly report showed that the Y2K status for 3,807 (63 percent¹) of the 6,065 items was unknown because they had not completed the assessment phase. Officials identified that 3,566 in the other devices category were commercial-off-the-shelf software items. In addition, officials had not categorized 3,844 (63 percent¹) of the 6,065 items for mission criticality. We judgmentally sampled 25 line items representing 806 of the 6,065 reported total whose Y2K status had been categorized. Air Force Reserve officials could not support the Y2K status for 200 (25 percent¹) of the 806 items.

440th Airlift Wing. The January 1999 monthly report to the Program Manager listed 3,233 infrastructure items in four categories, including personal computers and servers, network telecommunications items, facility items and devices, and other devices (see Appendix B, Table 2). The December 1998 quarterly report to DoD listed 10,194 items, reduced to 3,233 items in January 1999, because the Wing used a different inventory method for commercial-off-the-shelf items. The monthly report showed that the Y2K status for 850 (26 percent¹) of the 3,233 items was unknown. Of the 850 items, 439 were in the network telecommunications category and primarily consisted of land-mobile radios. In addition, 376 items were in the other devices category and consisted of commercial-off-the-shelf items. Furthermore, officials had not categorized 533 (16 percent¹) of the 3,233 items for mission criticality. We judgmentally sampled 56 line items representing 1,530 of the total 3,233 whose Y2K status had been categorized. Air Force Reserve officials could not support the claimed Y2K status for 372 (12 percent¹) of the 3,233 items. All were personal computers.

¹ Judgment sample percentage does not generalize to universe.

Remaining Effort. The 482^d Fighter Wing and the 440th Airlift Wing did not determine the mission criticality and Y2K status for many infrastructure systems. In addition, they did not document their supporting conclusions concerning the Y2K status. Until Reserve unit officials determine the scope of the infrastructure Y2K problem and identify all systems and their mission-critical status, the Reserve units cannot determine whether to fix, replace, or ignore the system and cannot identify resource requirements needed to make mission-critical systems compliant. Officials at the 482^d Fighter Wing and the 440th Airlift Wing should evaluate the systems to determine compliance and mission category, establish a completion schedule for infrastructure systems and document their conclusions on the infrastructure Y2K status. Any further delay at these locations may affect Air Force Reserve mission performance.

Contingency Plans

The 482^d Fighter Wing prepared a draft contingency plan dated December 1998. The 440th Airlift Wing prepared a draft contingency plan dated January 1999. Both plans identified mission-essential functions and support processes. For each process or mission the plans identified contingencies, required preparation, notification of personnel, criteria for contingency plan implementation, alternative methods for mission accomplishment, criteria for termination, and actions to achieve normal operations.

However, the contingency plans did not identify mission-essential systems and equipment that are date dependent. Identifying systems allows them to be prioritized for risk-management to reduce the chance of mission impairment by preparing the contingency plans necessary to solve potential Y2K failures.

After officials complete the Y2K assessment, assign Y2K mission criticality, and determine date dependency, they must revise the contingency plans for the 482^d Fighter Wing and the 440th Airlift Wing to recognize date-dependent systems, assign risks, and identify alternative solutions and workarounds if the systems fail.

Year 2000 Emphasis

Officials at the 482^d Fighter Wing and the 440th Airlift Wing did not adequately emphasize the importance of Y2K. While both Wings established a Y2K compliance charter in October 1998 to set up a working group to address Y2K issues, the primary Y2K project officer did not have the authority to mandate the inventory, document the results, and assess all Y2K infrastructure technologies. Air Force Reserve officials did not assign a level of awareness that would have resulted in evaluating and fixing Y2K-related problems. During the audit, the Wing Commanders appointed a Y2K point of contact for each Reserve unit. This action will help focus attention on the Y2K issues, but

additional effort is needed. The Y2K point of contact must oversee the completion of the Y2K effort by establishing a schedule to evaluate system progress, complete contingency plans, and report results.

Recommendations and Management Comments

We recommend that the Commander, Air Force Reserve, require the 482^d Fighter Wing and the 440th Airlift Wing to:

- 1. Determine whether their infrastructure systems are mission critical, evaluate their Y2K compliance, and document the results.**
- 2. Establish a schedule for infrastructure system compliance.**
- 3. Revise the contingency plans for the 482^d Fighter Wing and the 440th Airlift Wing to recognize date-dependent systems, assign risks, and identify alternative solutions and workaround.**
- 4. Review and report on system compliance and completion of contingency plans.**

Management Comments. The Chief of Air Force Reserve concurred with the finding and recommendations. He recommended minor text changes for the finding. Text changes involved the guidance used by Air Force Reserve units prior to October 1, 1998. He also provided the actual or the estimated completion dates for each recommendation. He stated that the 482^d Fighter Wing and the 440th Airlift Wing determined the mission criticality, assessed compliance, and documented the results for infrastructure items as of March 31, 1999. He also stated that the 482^d Fighter Wing and the 440th Airlift Wing planned to have infrastructure items Y2Kcompliant and contingency plans revised by May 31, 1999.

B. Year 2000 Progress for the Air Force Reserve Improved Weather Reconnaissance System

Air Force Material Command officials developed draft interface agreements and a contingency plan for the Improved Weather Reconnaissance System after we notified them of the DoD Y2K Management Plan requirements. As a result, there is increased confidence that the Improved Weather Reconnaissance System will continue to function after December 31, 1999.

Improved Weather Reconnaissance System

The Air Force Reserve provides aerial weather reconnaissance, including hurricane tracking, as part of its mission. The Air Force Reserve uses the mission-critical Improved Weather Reconnaissance System on a C-130 aircraft to collect data on the movements, dimensions, and intensity of storms. The system ejects a sensor from the aircraft to gather meteorological data during its descent and transmits the data back to the aircraft. The information is then transmitted to the National Hurricane Center and the Automated Weather Network for extensive analysis. The system uses date and time data to accurately transmit the weather information it collects.

Interface Agreements and Contingency Plan Requirements

The DoD Y2K Management Plan requires interface agreements for systems that interface outside DoD and between DoD Components. Interface agreements document how and when system owners establish data-exchange formats and protocols, describe the interface, and identify the procedures and milestones to test the interface. In addition, the DoD Y2K Management Plan states that contingency plans should be prepared for unanticipated disruption and failure of mission-critical systems that enable Components to carry out their missions. The DoD Y2K Management Plan requires contingency plans for all mission-critical systems no later than December 30, 1998.

Interface Agreements. Air Force Material Command officials did not assess the need for interface agreements for the Improved Weather Reconnaissance System because they were not aware of the DoD Y2K Management Plan requirements. Agreements are needed to ensure transmission of Y2K-compliant information. Without Y2K-compliant data, potential exists to propagate data errors from one system or organization to another. Furthermore, Air Force Material Command officials must complete interface agreements before the

system's Y2K certification, which is scheduled for April 1999. After we informed officials of the interface agreement requirements, they assessed the need for and made progress in preparing two draft interface agreements. The draft agreements address the DoD Y2K Management Plan requirements, including how and when system owners establish data-exchange formats and protocols, describing the interface, and identifying testing procedures and milestones. Their actions will help reduce the risk of propagating errors through data exchanges in the year 2000 and beyond.

Contingency Plan. Air Force Material Command officials did not prepare a contingency plan for the Improved Weather Reconnaissance System because they were not aware of the DoD Y2K Management Plan requirements. Without a contingency plan, officials cannot plan for unanticipated disruption and failure of this system, which is critical for hurricane tracking and providing other weather information. After we informed officials that they needed contingency plans for all mission-critical systems, they prepared a written contingency plan for the Improved Weather Reconnaissance System. The plan (undated) identified an operating workaround where the operator would manually set the time and date of the event into the system so that the system will correctly identify the timeframe when reporting data. Officials plan to test the contingency plan when they test the entire weather system in May 1999.

Conclusion

We commend Air Force Material Command officials for responding promptly to our observations by developing draft interface agreements and a contingency plan for the Improved Weather Reconnaissance System. These actions will help ensure that this system will not corrupt other systems through exchanges of data or be adversely affected by the Y2K problem. As a result, DoD and Government officials have confidence that meteorological data collected and transmitted by the Improved Weather Reconnaissance System will be reliable and Y2K compliant. This report makes no recommendations because management took corrective action during the audit.

Management Comments

Management Comments. The Chief of Air Force Reserve concurred with the finding. He recommended that we change the text to reflect Air Force Material Command Officials instead of Air Force Reserve officials. We made the necessary changes.

Appendix A. Audit Process

This report is one in a series 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 listing of audit projects addressing this issue, see the Y2K webpage on Ignnet at <<http://www.ignnet.gov>>.

Scope

Work Performed. We reviewed and evaluated the progress of the Air Force Reserve Command in resolving the Y2K computing issue. We evaluated Y2K efforts and compared them with the DoD Y2K Management Plan; conducted discussions with technical, business, and contracting officials; and evaluated Y2K documentation, where available.

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

- **Objective:** Prepare now for the uncertain future.
- **Goal:** Pursue a focused modernization effort that maintains U.S. qualitative superiority in key war-fighting capabilities. (DoD-3)

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 objective and goal:

Information Technology Management Functional Area.

- **Objective:** Provide services that satisfy customer information needs.
- **Goal:** Upgrade technology base. (ITM-2-3)

General Accounting Office 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 Technology Management high-risk area.

Methodology

Audit Type, Dates, and Standards. We performed this economy and efficiency audit from November 1998 through January 1999, in accordance with auditing standards issued by the Comptroller General of the United States, as implemented by the Inspector General, DoD. We did not rely on computer-processed data or statistical sampling procedures to develop conclusions on this audit.

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

Management Control Program Review. We did not review the management control program related to the overall audit objective because DoD recognized the Y2K issue as a material management control weakness area in the FY 1997 and FY 1998 Annual Statements of Assurance.

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 over the Internet at <http://www.dodig.osd.mil>.

Other Matters of Interest

The Air Force Reserve Command developed an information technology expenditure plan for all Reserve units that outlines a replacement prioritization for Y2K noncompliant computers. The plan identified unfunded Y2K requirements of \$28 million. The Air Force Reserve Command submitted a request for funding to the Air Force Y2K Program Office for Y2K replacements and fixes of the Air Force Reserve Command's noncompliant computers. Only \$6.8 million of the \$28 million is funded. The Air Force Y2K Program Office is aware of the Reserve needs.

Appendix B. Infrastructure Items at the 482^d Fighter Wing and the 440th Airlift Wing

Table 1. Infrastructure Items at the 482^d Fighter Wing
(as of January 1999)

<u>Category</u>	<u>Infra- Structure Items</u>	<u>Y2K Status Unknown</u>	<u>Y2K Mission- Critical Status Unknown</u>
Personal computers and servers	1,025	47	946
Network telecommunications	52	9	12
Facility items and devices	366	7	0
Biomedical devices	0	0	0
Other devices	<u>4,622</u>	<u>3,744</u>	<u>2,886</u>
Total	6,065	3,807	3,844

Table 2. Infrastructure Items at the 440th Airlift Wing
(as of January 1999)

<u>Category</u>	<u>Infra- Structure Items</u>	<u>Y2K Status Unknown</u>	<u>Y2K Mission- Critical Status Unknown</u>
Personal computers and servers	555	33	33
Network telecommunications	439	439	439
Facility items and devices	185	2	0
Biomedical devices	0	0	0
Other devices	<u>2,054</u>	<u>376</u>	<u>61</u>
Total	3,233	850	533

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Department of the Air Force Comments

Final Report
Reference



DEPARTMENT OF THE AIR FORCE
HEADQUARTERS UNITED STATES AIR FORCE
WASHINGTON DC

26 APR 1999

MEMORANDUM FOR ASSISTANT INSPECTOR GENERAL FOR AUDITING
OFFICE OF THE INSPECTOR GENERAL
DEPARTMENT OF DEFENSE

FROM: HQ USAF/RE
1150 Air Force Pentagon
Washington, DC 20330-1150

SUBJECT DoDIG Draft Report, Year 2000 Conversion Program of the Air Force
Reserve, 7 April 1999, (Project No. 9AB-0077)

This is in reply to your memorandum requesting the Assistant Secretary of the Air Force (Financial Management and Comptroller) to provide Air Force comments on subject report.

Management Comments:

1. Finding A, Year 2000 Progress for Air Force Reserve Infrastructure Systems. We concur with the finding but request correction of the text as follows:
 - (a) Year 2000 Progress for Air Force Reserve Infrastructure Systems Paragraph 1, third sentence At the direction of the Headquarters Air Force Reserve (HQ AFRC) Year 2000 (Y2K) Program Management Office, AFRC units conduct their Y2K programs using the AIR FORCE YEAR 2000 INFRASTRUCTURE MAJCOM/WING COMMANDERS' GUIDANCE PACKAGE, version 1 2 1, 29 Oct 97, and the AFRC Y2K Program Management Plan, 1 Oct 98, as guidance These documents, as well as follow-up instructions, in effect implement guidance covered by the DoD Y2K plan. Increased emphasis is being placed on the Y2K problem at these locations.
 - (b) Air Force Reserve Year 2000 Plan. Paragraph 1, last sentence. At the direction of the HQ AFRC Y2K Program Management Office, before 1 Oct 98, AFRC units conducted their Y2K programs using the AIR FORCE YEAR 2000 INFRASTRUCTURE MAJCOM/WING COMMANDERS' GUIDANCE PACKAGE, version 1 2 1, 29 Oct 97 as guidance This document provided AF Y2K guidance to the field and added AFRC implementation guidance.

Revised
Page 2

(c) Air Force Reserve Year 2000 Plan. Paragraph 2. second sentence. This sentence should read. "The Air Force Reserve Program Manager, in turn, provides quarterly reports to the Air Force Y2K Program Management Office Scott AFB IL, which, in turn, provides quarterly reports to DoD." The AFRC Y2K Program office does not report directly to DoD

(d) Recommendations. Concur -- Management Comments:

- (1) Finding A.1. Closed, 31 March 1999. Both the 482nd Fighter Wing (FW) and the 440th Airlift Wing (AW) have determined mission criticality, assessed compliance, and documented the results on all infrastructure items in their respective inventories.
- (2) Finding A.2. Open. Both the 482 FW and 440 AW are working to have all infrastructure items in compliance with DoD Y2K guidance. Estimated completion date is 31 May 1999.
- (3) Finding A.3. Open. Both the 440 AW and 482 FW are revising their Y2K contingency plans to recognize date-dependent systems, assign risks and identify alternative solutions and work-around. Estimated completion date is 31 May 1999.
- (4) Finding A.4. Closed, 31 March 1999. Both the 440 AW and 482 FW will continue to report to the AFRC Y2K program manager monthly on their system compliance and contingency plan status

2 Finding B, Year 2000 Progress for the Air Force Reserve Improved Weather Reconnaissance System. We concur with the finding but request correction of the text as follows:

- (a) All references to "Air Force Reserve officials" throughout this finding should be changed to "Air Force Materiel Command officials". The people referenced in this finding are not Air Force Reserve personnel but are, in fact, the item managers for the Improved Weather Reconnaissance System (IWRS) and are assigned to Air Force Materiel Command at the Sacramento Air Logistics Center, McClellan AFB CA. The interface agreements and contingency plan for the IWRS were developed by the item managers for that system. It is important the people who actually accomplished the work receive credit for their timely response.

My POC for audits is Tamara Bowman, AF/RECA. 695-0302. Please have your staff call her if you have any questions.



JAMES E. SHERRARD III, Maj Gen, USAF
Chief of Air Force Reserve

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