



November 2013

DEFENSE MANAGEMENT

Actions Needed to Ensure National Guard and Reserve Headquarters Are Sized to be Efficient

Report Documentation Page				Form Approved OMB No. 0704-0188	
Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.					
1. REPORT DATE NOV 2013		2. REPORT TYPE		3. DATES COVERED 00-00-2013 to 00-00-2013	
4. TITLE AND SUBTITLE Defense Management: Actions Needed to Ensure National Guard and Reserve Headquarters Are Sized to Be Efficient				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) U.S. Government Accountability Office, 441 G Street NW, Washington, DC, 20548				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT Same as Report (SAR)	18. NUMBER OF PAGES 80	19a. NAME OF RESPONSIBLE PERSON
a. REPORT unclassified	b. ABSTRACT unclassified	c. THIS PAGE unclassified			

GAO Highlights

Highlights of [GAO-14-71](#), a report to congressional requesters

Why GAO Did This Study

DOD has sought to reduce costs by assessing headquarters and overhead functions. Both the Army and Air Force have two reserve components—a National Guard and Reserve—that have at least 75 headquarters located throughout the United States, its territories, and overseas that manage subordinate units or perform overhead functions. These headquarters have a mix of full-time and part-time personnel. GAO was asked to review issues related to reserve-component headquarters. This report (1) discusses trends in funded positions at reserve-component headquarters and (2) evaluates the extent to which DOD has established and implemented processes to efficiently size its reserve-component headquarters. To do so, GAO reviewed statutes and DOD guidance, analyzed personnel data and headquarters assessments, and interviewed DOD and state officials.

What GAO Recommends

GAO recommends that DOD externally validate the National Guard Bureau's personnel requirements and include the bureau in its annual report to Congress; reassess requirements for the 54 state Joint Force headquarters; and develop schedules for reassessing headquarters overseen by the Army and Air Force. DOD concurred with recommendations to report data to Congress and establish schedules for reassessing headquarters and partially concurred with recommendations to externally validate the bureau's personnel requirements and assess requirements for the state Joint Force headquarters. GAO continues to believe these recommendations are valid as discussed in the report.

View [GAO-14-71](#). For more information, contact John H. Pendleton at (202) 512-3489 or pendletonj@gao.gov.

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DEFENSE MANAGEMENT

Actions Needed to Ensure National Guard and Reserve Headquarters Are Sized to Be Efficient

What GAO Found

Between fiscal years 2009 and 2013, the total number of funded positions—both full-time support and part-time—at the Department of Defense's (DOD) 75 Army Reserve and Air Force Reserve (Reserves) component headquarters grew from about 30,200 to 31,900 positions (about 6 percent overall). Some organizations grew more markedly, among them the National Guard Bureau (17 percent); Army National Guard Directorate (44 percent); Air National Guard Readiness Center (21 percent); and the Office of the Chief of the Army Reserve (45 percent). DOD officials attribute growth to the conversion of contractor workload into civilian positions and increased missions assigned at certain headquarters. Over the same period, staff levels at the National Guard's 54 state Joint Force headquarters remained flat and the Air Force Reserve shrank by 4 percent.

DOD has processes in place that are intended to ensure that the number of funded positions at its reserve-component headquarters are set at the minimum level needed to accomplish their mission, but it has not consistently followed those processes at 68 of the 75 headquarters that GAO reviewed. As a result, DOD is unable to determine whether National Guard and Reserve headquarters are sized to be efficient. The National Guard has begun evaluating some personnel requirements, but its efforts do not fully address the management issues GAO identified:

- The National Guard Bureau, which may continue to grow to accommodate its Chief's placement on the Joint Chiefs of Staff, is determining its own requirements without external validation. This is inconsistent with Joint Staff, Army, and Air Force processes, which generally involve an external review. In addition, Congress's ability to oversee the bureau's size is limited because DOD's annual report on its Major DOD Headquarters Activities does not include data on the bureau and its more than 600 staff.
- The National Guard has not fully assessed its 54 state headquarters—which contain nearly 21,900 funded positions—since the 1980s. GAO's prior work shows that agencies can reduce costs by consolidating and centralizing functions and eliminating unneeded duplication. The National Guard Bureau, Army National Guard Directorate, and Air National Guard Readiness Center each assess a portion of the state headquarters, but there is no process to assess the headquarters' personnel requirements in their entirety and ongoing efforts do not provide a holistic review.
- The Army and Air Force have not fully reassessed 13 of the 20 reserve component headquarters for which they are responsible. The Army has a reassessment backlog, and the Air Force does not require periodic reassessments and reassesses its headquarters on an ad hoc basis. Some headquarters with significant growth are among those that have not been reassessed, including the Office of the Chief of the Army Reserve and the Air National Guard Readiness Center. In contrast, 5 of the 7 reassessed organizations subsequently reduced their staff levels such as the Air Force Reserve's three numbered air forces, which have shrunk by more than a third since 2009. The Army and Air Force agree their headquarters should be reassessed, but they have not scheduled reassessments across their reserve components.

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Abbreviations

DOD	Department of Defense
Reserves	Army Reserve and Air Force Reserve

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November 12, 2013

The Honorable Mike Coffman
House of Representatives

The Honorable Jim Cooper
House of Representatives

In anticipation of constrained resources, the Department of Defense (DOD) has undertaken a series of efficiency initiatives since 2010 that are intended, among other things, to reduce excess overhead costs, eliminate unneeded headquarters, and reduce headquarters staff size. In early 2013, the Secretary of Defense announced the *Strategic Choices and Management Review*, which builds on prior efforts and is intended to assess the potential effect of further reductions, shape the budget,¹ and provide the foundation for the 2014 Quadrennial Defense Review.¹ In July 2013, the Secretary of Defense announced plans to reduce the budgets and personnel of some major headquarters by 20 percent over a 5-year period. However, the DOD-led efforts to date have not focused on reserve-component organizations. The Army and Air Force each have two reserve components²—a National Guard and Reserve—and each has numerous headquarters organizations that manage and oversee subordinate units, or perform administrative or overhead functions.

We have issued several reports recently on defense headquarters and on the department's ability to determine the right size and mix of personnel it needs to perform various functions. For example, in May 2013 we found that authorized military and civilian positions at the geographic combatant commands—excluding U.S. Central Command—increased by about 50 percent from fiscal year 2001 through fiscal year 2012. We also determined that DOD's process for sizing its geographic combatant

¹The Quadrennial Defense Review is a legislatively mandated review of DOD strategy and priorities. The Quadrennial Defense Review will set a long-term course for DOD as it assesses the threats and challenges that the nation faces and rebalances DOD's strategies, capabilities, and forces to address current conflicts and future threats.

²The reserve components of the Armed Forces include the Army National Guard of the United States, the Army Reserve, the Navy Reserve, the Marine Corps Reserve, the Air National Guard of the United States, the Air Force Reserve, and the Coast Guard Reserve. Our review is focused on the Army and Air Force organizations.

commands exhibits several weaknesses, including the absence of a comprehensive, periodic review of the size and structure of these commands and inconsistent use of personnel-management systems to identify and track assigned personnel. DOD concurred with our recommendation that it improve its visibility over its headquarters personnel, but did not concur with our recommendation that it conduct comprehensive and periodic reviews of the geographic combatant commands' size.³ In another May 2013 report, to improve DOD's understanding and management of its total workforce,⁴ we recommended that the Secretary of Defense direct the Under Secretary of Defense for Personnel and Readiness to revise DOD's policies and procedures for determining the appropriate workforce mix and the identification of critical functions. DOD partially concurred with our recommendation stating that it justifies its workforce size on the basis of workload, rather than competency or skill gaps.⁵ In 2012, we found that DOD's reporting to support congressional oversight of its Major DOD Headquarters Activities did not include all major headquarters.⁶ In 2010 and 2011, we reported that DOD had experienced challenges in determining the number of funded positions for certain Army and Air Force headquarters due to flaws with developing, maintaining, and implementing their manpower processes.⁷ DOD generally concurred with the findings and recommendations in these reports.

In response to your request, we examined whether opportunities exist to improve the efficiency of DOD's reserve-component headquarters while

³GAO, *Defense Headquarters: DOD Needs to Periodically Review and Improve Visibility Of Combatant Commands' Resources*, [GAO-13-293](#) (Washington, D.C.: May 15, 2013).

⁴DOD's total workforce consists of three main components: military personnel (including the active military and the reserve and guard forces), civilians, and contractors providing support to the department.

⁵GAO, *Human Capital: Additional Steps Needed to Help Determine the Right Size and Composition of DOD's Total Workforce*, [GAO-13-470](#) (Washington, D.C.: May 29, 2013).

⁶GAO, *Defense Headquarters: Further Efforts to Examine Resource Needs and Improve Data Could Provide Additional Opportunities for Cost Savings*, [GAO-12-345](#) (Washington, D.C.: Mar. 21, 2012).

⁷GAO, *Military Personnel: Enhanced Collaboration and Process Improvements Needed for Determining Military Treatment Facility Medical Personnel Requirements*, [GAO-10-696](#) (Washington, D.C.: July 29, 2010); and *Military Training: Actions Needed to Assess Workforce Requirements and Appropriate Mix of Army Training Personnel*, [GAO-11-845](#) (Washington, D.C.: Sept. 20, 2011).

meeting defense strategy needs.⁸ Specifically, this report (1) discusses trends in funded positions at reserve-component headquarters and (2) evaluates the extent to which DOD has established and implemented processes to size its reserve-component headquarters and provide information for congressional oversight. Also at your request, appendix II provides information on DOD's efforts to study the potential merger of reserve-component headquarters.

To address our objectives, we reviewed data on funded positions for military and civilian personnel at the Army's and Air Force's reserve-component headquarters for fiscal year 2009 through fiscal year 2013. We selected these years because Army officials stated that the Army Reserve component headquarters structure has remained relatively constant since 2009. We did not review contractor positions as part of this review because officials from three of the four components told us that they were unable to determine the number of contractor positions at the reserve-component headquarters we identified. To identify component headquarters, we reviewed DOD and military-service guidance; organization charts; and interviewed Office of the Secretary of Defense, National Guard, Army Reserve, and Air Force Reserve officials. We focused our review on Army or Air Force reserve-component headquarters that are (1) nondeployable and (2) perform many of the management headquarters functions identified by DOD in its major headquarters instruction.⁹ We then provided DOD, Joint Staff, National Guard, and Reserve officials with an opportunity to comment on our final list of 75 headquarters and these officials agreed the headquarters we identified met these criteria, while noting that they were not all designated as Major DOD Headquarters Activities. To identify trends in funded positions for the Army, we analyzed funded positions as documented on the Army's personnel requirements documents referred to as tables of distribution and allowance.¹⁰ For the Air Force, we analyzed funded

⁸ This review was conducted in response to a 2012 request from Representative Mike Coffman and Representative Jim Cooper—then Ranking Member, House Armed Services Subcommittee on Oversight and Investigations.

⁹ Department of Defense Instruction 5100.73, *Major DOD Headquarters Activities* (Dec. 1, 2007, incorporating changes June 12, 2012).

¹⁰ The Army uses two types of personnel requirements documents for the headquarters we identified: tables of distribution and allowance and full-time support tables of distribution and allowance.

positions documented on its headquarters' unit manpower documents. To evaluate DOD's processes for determining headquarters personnel requirements¹¹ and provide information to Congress, we reviewed DOD and military-service guidance, DOD reports, and manpower assessments for reserve-component headquarters between fiscal year 2009 and fiscal year 2013. We also interviewed knowledgeable officials. For more information on the scope and methodology for this review, see appendix I.

We conducted this performance audit from July 2012 to November 2013, in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Background

The National Guard has two elements—the Army National Guard and the Air National Guard—that mostly consist of part-time forces responsible for both federal and state missions. The Army Reserve and Air Force Reserve (Reserves) also largely consist of part-time forces and are responsible for only federal missions. In addition to these part-time forces, both the National Guard and the Reserves use full-time personnel for duties that can include pay processing, personnel actions, preparing and monitoring training schedules, and other tasks that cannot be effectively executed through the use of part-time personnel. These full-time positions—which DOD calls full-time support¹²—in general are more expensive than part-time personnel because they are paid as full-time employees and receive greater compensation and benefits such as retirement, health-care, and education.

As table 1 shows, the Army National Guard is authorized approximately 358,000 soldiers, and the Army Reserve approximately 205,000 soldiers,

¹¹For the purposes of this report, personnel requirements are positions that the Army and Air Force have approved for funding on a manpower document for the headquarters we identified.

¹²Full-time support personnel consist of five categories of personnel including: full-time reservists (active Guard/Reserve), military technicians, active-component personnel, non-dual-status technicians, and federal civilian employees. Full-time support personnel provide services and administrative support to the part-time drilling reservists.

which collectively constitute about 50 percent of the Army's total authorized end strength.¹³ Likewise, the Air National Guard has approximately 105,000 military personnel, and the Air Force Reserve has approximately 71,000 military personnel, which collectively are about 35 percent of the Air Force's authorized end strength.

Table 1: Fiscal Year 2013 Authorized Military End Strength and Estimated Presequestration Base Budget by Component

Military service	Component	Authorized end strength^a	Estimated budget (dollars in billions)^b
Army	Active Army	552,100	\$105.85
	Army National Guard	358,200	17.45
	Army Reserve	205,000	8.60
	Total Army	1,115,300	\$131.90
Air Force	Active Air Force	329,460	124.38
	Air National Guard	105,700	10.00
	Air Force Reserve	70,880	5.32
	Total Air Force	506,040	\$139.70

Source: GAO analysis of DOD data.

Notes: Budget data are from DOD budget-justification materials.

^aNumbers for each component come from the National Defense Authorization Act, Fiscal Year 2013, Pub. L. No. 112-239 (2013). Authorized end strength is the number of personnel that each component of a military service is authorized by Congress to have at the end of a given fiscal year.

^bEstimated budget for the active components includes presequestration amounts of funds appropriated for fiscal year 2013 for Base Budget Military Personnel; Operation and Maintenance; Research, Development, Test, and Evaluation; Military Construction; Procurement; and certain other accounts as identified in DOD's budget-justification materials. Estimated budget for the reserve components includes presequestration amounts appropriated for fiscal year 2013 for Base Budget Military Personnel, Operation and Maintenance, Military Construction, and estimated Procurement funding based on DOD's budget-justification materials.

Each state's National Guard forces have a dual role as both a state and federal force, while the Reserves are strictly a federal force. Although the National Guard has a dual role, the federal government provides funding for National Guard personnel when they are conducting training and other

¹³Authorized end strength is the number of personnel that each component of a military service is authorized by Congress to have at the end of a given fiscal year.

federal missions.¹⁴ In fiscal year 2013, federal funding for National Guard personnel totaled about \$11.1 billion. In addition, the federal government provides about 90 percent of the funding for National Guard installation base-operation and maintenance costs. The National Guard's dual state and federal role means that state Governors have command and control over National Guard units when they are not performing federal missions or other federal service.

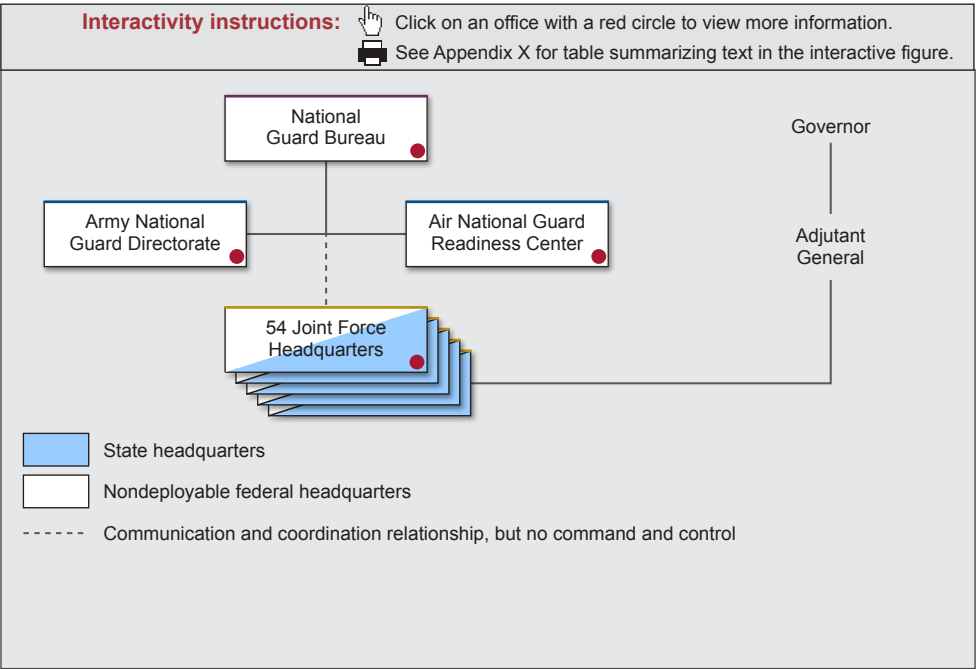
National Guard Headquarters

The National Guard and Reserves maintain a number of nondeployable headquarters that are responsible for managing and overseeing subordinate units. Of the 75 headquarters we identified, 57 reside within the National Guard. The National Guard's headquarters include the National Guard Bureau, Army National Guard Directorate, Air National Guard Readiness Center, and the National Guard's 54 Joint Force headquarters—which DOD refers to as Joint Force Headquarters-State—located in each state, the District of Columbia, Puerto Rico, the Virgin Islands, and Guam.¹⁵ In addition, appendixes III and IV provide detailed information on the locations, missions and responsibilities of these headquarters. Figure 1 shows the organizational structure of the National Guard.

¹⁴National Guard members train for their federal missions under state control with federal funding. Federal funding is also provided for some other state-controlled missions, such as the National Guard's counterdrug support operations and weapons of mass destruction civil support teams and when authorized by the President for other domestic operations, such as the response to Hurricane Katrina.

¹⁵For the purposes of this report, we refer to the 54 Joint Headquarters-State as "state Joint Force headquarters."

Figure 1: Federal and State Organizational Structure of the National Guard



Source: GAO analysis of DOD guidance and data.

The National Guard Bureau is managed by the Chief of the National Guard Bureau—a 4-star General who was placed on the Joint Chiefs of Staff in 2011.¹⁶ Reporting to the Chief are two Lieutenant Generals who manage the Army National Guard Directorate and the Air National Guard Readiness Center, respectively. When not activated for federal missions, each state's National Guard's forces are commanded by the Adjutants General who also command the states' Joint Force headquarters. The state Joint Force headquarters each consist of a Joint staff element, Army staff element, and Air staff element. Each of these elements is subject to different processes for reassessing and validating personnel requirements. These headquarters are responsible for coordinating the planning, training, and execution of National Guard homeland defense, civil support, and other domestic emergency missions within the United States. They also manage the National Guard's readiness and prepare National Guard units for federal mobilization. The Army National Guard provides a balance of maneuver (combat), maneuver support, and maneuver sustainment capabilities. The Air National Guard provides a broad range of ready combat and combat-support capabilities such as tactical airlift and special operations.

Army Reserve and Air Force Reserve Headquarters

The Army Reserve and Air Force Reserve maintain 18 nondeployable headquarters that manage or oversee subordinate units. The Army Reserve provides maneuver support and maneuver sustainment capabilities as well as individual soldiers through the Individual Ready Reserve and Individual Mobilization Augmentation programs.¹⁷ We identified 13 nondeployable Army Reserve headquarters that include the Office of the Chief of the Army Reserve, U.S. Army Reserve Command, 4 regional support commands, and 7 functional commands. See appendixes V through VII for detailed information on the locations, missions, and responsibilities of these headquarters. The Office of the Chief of the Army Reserve and the U.S. Army Reserve Command are

¹⁶See National Defense Authorization Act for Fiscal Year 2012, Pub. L. No. 112-81 § 512 (2011).

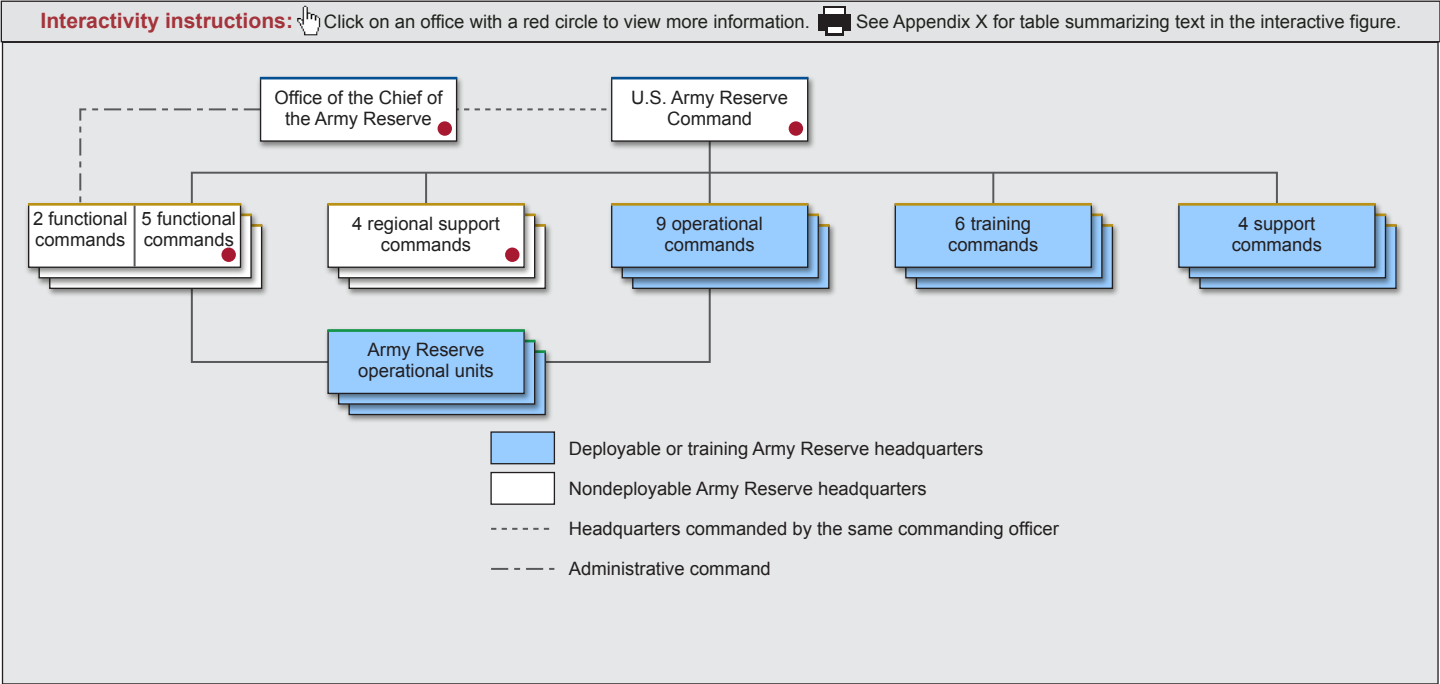
¹⁷The Individual Ready Reserve is a manpower pool consisting principally of personnel that have had training, served previously in the active component or in the selected reserve, and have some period of their military service obligation remaining. Individual Mobilization Augmentees are trained reservists that fill an active component, Selective Service System, or Federal Emergency Management Agency organization's billet on short notice.

commanded by the same¹⁸ Lieutenant General who, by law, also sits on the Army Staff.¹⁹ Reporting to the Chief are 11 General officers who command support and functional commands, ensure the readiness of personnel, and maintain reserve installations within the United States, as shown in figure 2.

¹⁸DOD refers to the arrangement in which the incumbent officer has responsibilities to two organizations as a “dual hat” position.

¹⁹10 U.S.C. § 3031(b)(9).

Figure 2: Organization of Army Reserve Headquarters

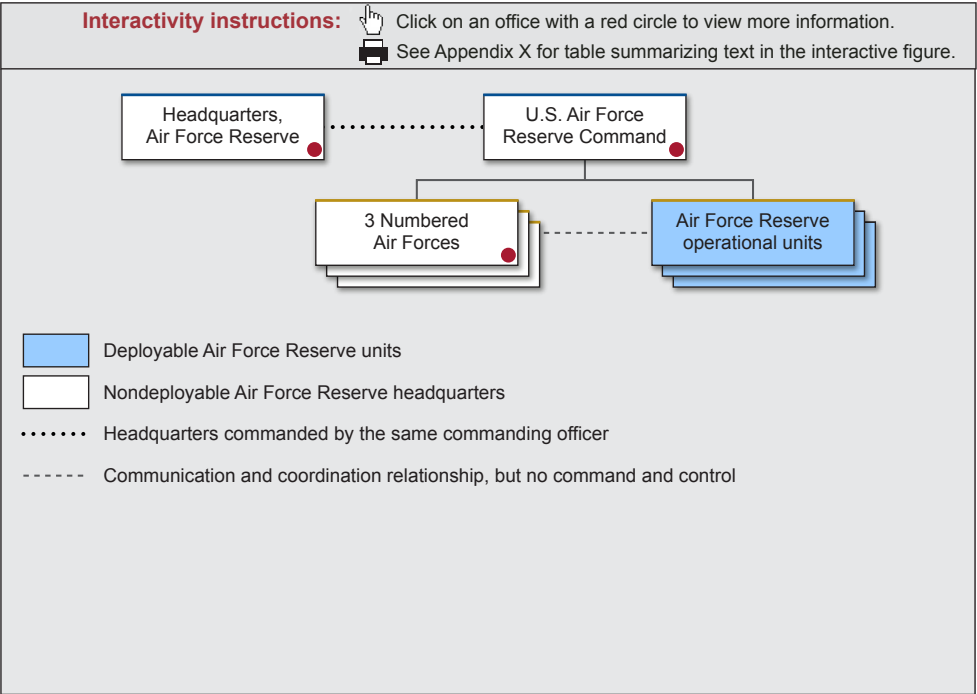


Source: GAO analysis of DOD guidance and data.

The Air Force Reserve provides a broad range of combat and combat-support capabilities. We identified five nondeployable headquarters that include Headquarters, Air Force Reserve; Air Force Reserve Command; and the 4th, 10th, and 22nd Air Forces. See appendixes VIII and IX for detailed information on the locations, missions and responsibilities of these headquarters. Headquarters, Air Force Reserve, and Air Force Reserve Command are commanded by the same Lieutenant General who, by law, also sits on the Air Staff.²⁰ Reporting to the Chief are three General officers who help to ensure the readiness of Air Force Reserve forces, as shown in figure 3.

²⁰10 U.S.C. § 8031(b)(7).

Figure 3: Organization of Air Force Reserve Headquarters



Source: GAO analysis of DOD guidance and data.

The Number of Military and Civilian Personnel Positions at Reserve-Component Headquarters Has Increased

The Joint Chiefs of Staff, the Army, and the Air Force have processes to size and structure headquarters organizations. In general, these processes seek to provide the minimum number of personnel needed to accomplish missions and performance objectives. Additionally, Congress requires DOD to report personnel data²¹ for its Major DOD Headquarters Activities to support congressional oversight of these headquarters.²² These headquarters are listed in a DOD instruction.²³ Prior to 2008, Congress placed a cap on the number of personnel that could be assigned to such headquarters; however, Congress removed this cap in 2008.

Our analysis found that the overall number of funded military and civilian positions at the Army's and Air Force's reserve-component headquarters has steadily increased since fiscal year 2009, primarily due to DOD's reassignment of workload from contractors to full-time federal civilians and increased mission requirements.²⁴ These increases have come amid broader DOD efforts since 2010 to constrain or reduce headquarters.

²¹DOD is required to provide Congress with an annual Defense Manpower Requirements Report on a number of personnel issues, including the number of personnel assigned to major DOD headquarters activities in the previous year and estimates of such numbers for the current and subsequent fiscal year. See 10 U.S.C. § 115a(f).

²²DOD defines major DOD headquarters activities as those headquarters (and the direct support integral to their operation) whose primary mission is to manage or command the programs and operations of the DOD, the DOD components, and their major military units, organizations, or agencies. DOD maintains an approved list of its Major DOD Headquarters Activities.

²³DOD Instruction 5100.73, *Major DOD Headquarters Activities* (Dec. 1, 2007 incorporating changes June 12, 2012).

²⁴In a February 2012 report, we found that DOD officials generally could not determine the number of contractor full-time equivalents whose functions were in-sourced because DOD contracts for services, not positions, and the number of contractor full-time equivalents used to perform a service is determined by each private-sector provider. GAO, *Defense Workforce: DOD Needs to Better Oversee In-sourcing Data and Align In-sourcing Efforts with Strategic Workforce Plans*, [GAO-12-319](#) (Washington, D.C.: Feb. 9, 2012).

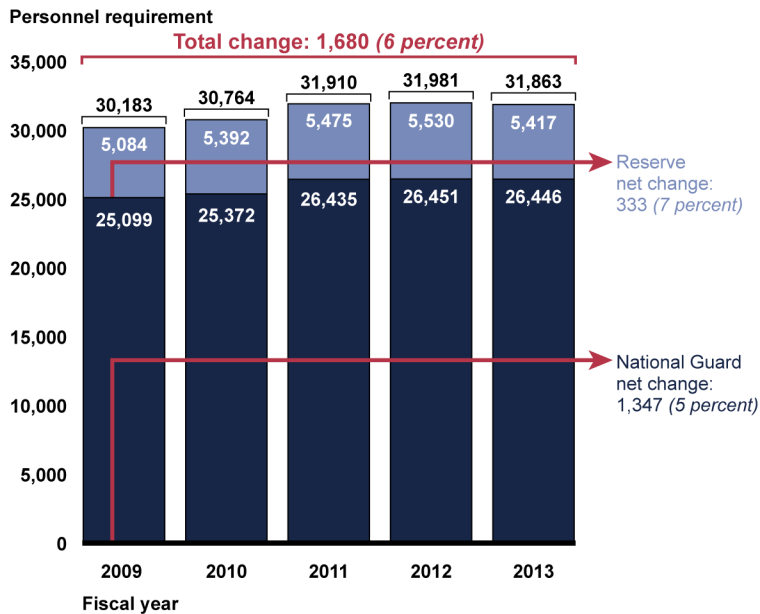
Funded Positions at Reserve-Component Headquarters Have Grown Overall since 2009

Between fiscal year 2009 and 2013, the total number of positions funded²⁵ for the 75 reserve-component headquarters we identified grew from about 30,200 to about 31,900—an increase of nearly 6 percent, as shown in figure 4.²⁶ Overall, the National Guard increased by about 1,350 funded positions (5 percent) and the Reserves by about 330 funded positions (7 percent). The National Guard's growth was driven by increases in the Army National Guard Directorate, which grew by about 750 funded positions over the period (about 44 percent). The National Guard Bureau, Air National Guard Readiness Center, and 54 state Joint Force headquarters increased about 17 percent, 21 percent, and 1 percent, respectively. The number of funded positions also increased at the Army Reserve's headquarters, which grew by about 15 percent, but decreased at the Air Force Reserve's headquarters by about 4 percent over the same period.

²⁵According to National Guard and Reserve officials, funded positions are not always filled, meaning that the actual number of personnel working at headquarters may be less than the number that was approved to be funded on the personnel requirements documents. Military-service officials stated that comparison of funded positions is the most-accurate way to evaluate changes in headquarters size over time because actual headcount fluctuates on a daily basis.

²⁶We limited our assessment of personnel requirements to positions that: were assigned to the headquarters, included military personnel or civilians, were funded by the federal government, and did not complete work in support of more than one component (for example, recruiting positions were excluded because the Army Reserve and the active duty Army share recruiting resources)

Figure 4: Trends in Funded Reserve-Component Headquarters' Positions by Component from Fiscal Year 2009 through Fiscal Year 2013



Source: GAO analysis of National Guard and Reserve data.

Notes: These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or Reserves and thereby fill both a full-time civilian position and a part-time military position. For these personnel, DOD budgets for two positions. Consequently, in our calculations, we included the approximately 8,000 dual-status technicians in both the full-time civilian and part-time military totals for each fiscal year. Additionally, personnel categorized as "Active Guard and Reserve" occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations we included the more than 5,000 Active Guard and Reserve positions in both the full-time military and part-time military totals for each fiscal year.

Of the nearly 1,700 positions DOD added to these headquarters, approximately 37 percent (more than 620 positions) were for full-time support positions. The percentage of funded positions that were allocated for full-time personnel varied by headquarters. For example, nearly 100 percent of the positions funded for the National Guard Bureau, Air

National Guard Readiness Center, Army National Guard Directorate²⁷, U.S. Army Reserve Command, and Headquarters, Air Force Reserve, were for full-time support in fiscal year 2013. In contrast, approximately 45 percent of funded positions at the state Joint Force headquarters and 33 percent of funded positions at the Army Reserve's functional commands were for full-time positions in fiscal year 2013. Appendixes III through IX provide more-detailed analysis of positions funded at the headquarters we identified.

Our analysis shows that the National Guard has consistently allocated a greater percentage of its funded military and civilian positions to its headquarters than the other reserve components.²⁸ Specifically, funded positions at the Army National Guard headquarters we identified equaled 6 percent of its estimated military and civilian funded positions in fiscal year 2013 (about 22,800 of its 389,350 estimated civilian and military funded positions).²⁹ This contrasts with the other reserve components we examined, which have 2 to 3 percent of their military and civilian funded positions in nondeployable headquarters. National Guard officials said that the Army National Guard has allocated more funded positions to its headquarters for several reasons, including the National Guard's need to prepare for and execute homeland defense and civil support missions, recruit its own personnel, and maintain a U.S. Property and Fiscal office in each state.

²⁷In addition to having full-time civilian and Active Guard and Reserve personnel the Army National Guard Directorate has a group of personnel that are categorized as "Active Duty for Operational Support". Active Duty for Operational Support is an authorized voluntary tour of active duty that is performed at the request of an organizational or operational commander, or as a result of reimbursable funding, among other things. The purpose of this category is to provide the necessary skilled manpower assets to support existing or emerging requirements.

²⁸The National Guard includes 55 joint organizations (the National Guard Bureau and the 54 state Joint Force headquarters) that include both Army and Air elements. We counted positions funded for the Army and Air staff at these joint headquarters toward the total number of Army or Air Force funded headquarters positions in the table above.

²⁹Estimated civilian and military funded positions were provided by each of the Army's and Air Force's reserve components for fiscal years 2009 through 2012. We calculated the estimated number of funded positions for fiscal year 2013 using the number of military positions Congress authorized for each component for that year and DOD's budget-justification materials.

Reassignment of Contractor Workload to Civilian Positions and New Missions Have Driven Growth in Funded Positions

National Guard and Reserve officials told us that there are two main drivers of growth since 2009 in funded positions at reserve-component headquarters—DOD’s 2010 effort to reduce its reliance on contractors by reassigning their workload to federal civilian positions, referred to as “in-sourcing,” and expanded mission requirements.³⁰ In April 2009, the Secretary of Defense announced his intention to reduce DOD’s reliance on contractors and increase the number of civilian positions.³¹ Reserve component officials said that DOD’s in-sourcing effort was a significant driver of growth in civilian positions. For example, Army National Guard officials said that DOD’s in-sourcing effort contributed to an increase in over 700 civilian positions at the Army National Guard Directorate. Likewise, Air National Guard officials said that DOD’s in-sourcing effort caused the Air National Guard Readiness Center to add 180 funded positions.

The other driver of growth in funded positions identified by reserve-component officials was expanded mission requirements. Army Reserve officials noted that the 7th Civil Support Command’s increase of 71 funded positions from fiscal year 2009 to fiscal year 2011 was the result of the Army closing a second Army activity and adding missions at the command. In a second instance, Army Reserve officials attributed growth at the Office of the Chief of the Army Reserve to the addition of new functions such as the Employer Partnership Office.³² National Guard

³⁰In a February 2012 report, we found that DOD officials generally could not determine the number of contractor full-time equivalents whose functions were in-sourced because DOD contracts for services, not positions, and the number of contractor full-time equivalents used to perform a service is determined by each private-sector provider. [GAO-12-319](#).

³¹Section 324 of the National Defense Authorization Act for Fiscal Year 2008 added a section 2463 to Title 10 of the United States Code, which requires DOD to develop guidelines and procedures that provide for special consideration to be given to using DOD civilian employees to perform new functions or certain categories of functions currently performed by contractor personnel. As part of this effort, the Secretary of Defense established in-sourcing targets for all DOD service components, which led to additional civilian positions being added.

³²According to senior Army Reserve officials, growth in the Office of the Chief of the Army Reserve also was driven by the transfer of functions between staff elements. For example, officials said that in fiscal year 2012 the Army Reserve Installation Management Directorate was added to the Office of the Chief of the Army Reserve’s personnel requirements document as a result of an agreement between the Chief of the Army Reserve and the Commander of the Army Installation Management Command. Officials said that 10 military and 33 civilian positions were added to the Office of the Chief of the Army Reserve in fiscal year 2013 as a result of that decision.

officials attributed the increase of over 250 funded positions at the state Joint Force headquarters to mission growth resulting from the establishment of civil-support capabilities such as implementation of the Homeland Response Forces³³ beginning in fiscal year 2011. National Guard officials also said that the National Guard Bureau may grow in the future as a result of the Chief of the National Guard Bureau's placement on the Joint Chiefs of Staff in 2011.

Processes Intended to Efficiently Size and Oversee Reserve-Component Headquarters Have Not Been Consistently Applied

Although DOD has processes in place that generally seek to provide the minimum number of personnel needed to accomplish missions and performance objectives, these processes have not been consistently applied at 68 of the 75 headquarters we identified. For instance, the National Guard Bureau has been determining its own personnel requirements with no external review and validation since 2010 and has been growing steadily since 2009. In addition, DOD has not included data on the National Guard Bureau in its required Defense Manpower Requirements Report to Congress.³⁴ In fiscal year 2013, the National Guard had about 21,900 funded positions at its 54 state Joint Force headquarters, but the processes for determining personnel requirements for these headquarters are fragmented³⁵ among the National Guard Bureau's Joint staff, the Army National Guard, and the Air National Guard. Finally, the Army and Air Force have not determined personnel requirements or fully reassessed within required time frames the personnel requirements at 13 of the 20 headquarters. Consequently, DOD lacks assurance that the Army's and Air Force's reserve-component headquarters are being staffed with the minimum personnel needed to perform their assigned missions.

³³The 2010 Quadrennial Defense Review introduced 10 state-controlled Homeland Response Forces that consist of National Guard forces.

³⁴See 10 U.S.C. § 115a(f).

³⁵Fragmentation refers to those circumstances in which more than one federal agency (or more than one organization within an agency) is involved in the same broad area of national need, and opportunities exist to improve service delivery.

DOD Processes for Overseeing Headquarters Emphasize Periodic External Review to Validate Personnel Requirements

The Joint Chiefs of Staff, the Army, and the Air Force have separate processes for determining and reassessing headquarters' personnel requirements. DOD's overarching manpower-management directive states that it is DOD policy that personnel requirements are driven by workload, and shall be established at the minimum levels necessary to accomplish mission and performance objectives.³⁶ Joint Staff guidance emphasizes that personnel requirements may change in light of changes in technology and missions, and Army guidance provides that requirements are to be adjusted in response to changes.³⁷ This is consistent with our prior work in the area of strategic human-capital management, which has found that high-performing organizations periodically reevaluate their resources, including personnel, to obtain the complete and reliable data needed to ensure that resources are properly matched to requirements.³⁸ These organizations seek to identify their current and future personnel requirements—including the appropriate number of employees, key competencies, and skills mix for mission accomplishment—and the appropriate deployment of personnel across the organization. One purpose of the external review is to help ensure that joint activities have the minimum personnel with the appropriate skills and experience needed to carry out assigned missions. Similarly, Army and Air Force assessment practices generally include a review of personnel requirements by either a higher-level command or an external organization.³⁹ However, the Air Force's process does not apply to the reserve component headquarters organizations we identified, which do not have external review of their personnel requirements. The processes

³⁶Department of Defense Directive 1100.4, *Guidance for Manpower Management* (Feb. 12, 2005).

³⁷Chairman of the Joint Chiefs of Staff, Instruction 1001.01a (Oct. 1, 2010). Department of the Army, *Manpower Management*, Regulation 570-4 (Feb. 8, 2006).

³⁸GAO, *Human Capital: A Model of Strategic Human Capital*, [GAO-02-373SP](#) (Washington, D.C.: Mar. 15, 2002).

³⁹Army Regulation 570-4 requires that all personnel requirements for Army organizations must be reviewed and validated by the Assistant Secretary of the Army for Manpower and Reserve Affairs with assistance from the U.S. Army Manpower Analysis Agency. Additionally, this guidance states that the Chief of the National Guard Bureau has the authority to determine full-time support requirements for the National Guard's state Joint Force headquarters. Air Force Instruction 38-201 requires Major Command staff to review manpower standards for applicability and reapply them to subordinate organizations at least every 2 years.

applicable to reserve-component headquarters organizations are discussed in table 2.

Table 2: Processes for Determining Reserve-Component Headquarters Personnel Requirements

Process	Description	Reserve-component headquarters currently subject to process
Joint Chiefs of Staff <i>Joint Manpower and Personnel Program</i>	DOD uses its Joint Manpower and Personnel Program to review and approve personnel requirements at the combatant commands and other DOD joint activities. This process provides procedures to enable the Joint Staff to determine whether a proposed increase in positions is warranted.	- National Guard Bureau - National Guard state Joint Force headquarters' Joint staff element^a
Department of the Army <i>Manpower Management</i>	The Army uses its Manpower Management process to independently reassess total personnel requirements at its headquarters—including the Army staff at each state Joint Force headquarters under the oversight of the Army National Guard Directorate—by having personnel requirements reviewed and validated by the Assistant Secretary of the Army for Manpower and Reserve Affairs with assistance from the U.S. Army Manpower Analysis Agency.	- Office of the Chief of the Army Reserve - U.S. Army Reserve Command - Army Reserve Regional Support Commands - Army Reserve Functional Commands - Army National Guard Directorate - National Guard state Joint Force headquarters Army staff element^a
Department of the Air Force ^b	The Air Force has not established a process to determine and reassess personnel requirements for its reserve-component headquarters. According to Air Force officials, commanders have authority to make changes to headquarters' positions should they be required, but would have to request additional funding to obtain additional positions beyond what has already been validated by the Air Force.	- Headquarters, Air Force Reserve - Air Force Reserve Command - Air National Guard Readiness Center - Numbered Air Forces - National Guard state Joint Force headquarters Air staff element^a

Source: Joint Staff, Army, and Air Force.

Notes:

^aThe state Joint Force headquarters consist of a Joint staff element, Army staff element, and Air staff element. Each of these elements is subject to different processes for reassessing and validating personnel requirements. These headquarters provide command and control for civil-support missions within their respective states as well as some homeland defense missions.

^bAir Force officials told us that the Air Force has not developed guidance that requires personnel at the reserve-component headquarters we identified to be periodically reassessed or validated.

National Guard Bureau Personnel Requirements Are Not Being Externally Validated

Under an informal agreement with the Joint Staff, the National Guard Bureau has been determining its own personnel requirements without validation by a higher-level command or external organization. Since 2010, the number of funded positions at the bureau increased by 17 percent and could grow further, according to National Guard Bureau officials. The DOD directive governing the National Guard Bureau provides that the National Guard Bureau's personnel requirements should be managed in the same manner as other joint activities to the greatest extent possible. Joint activities are generally subject to the Joint Staff's

Joint Manpower and Personnel Program. According to officials, this program includes review, approval, and documentation of a headquarters' personnel requirements by an external organization.⁴⁰

According to Joint Staff and National Guard officials, in 2010, the Joint Staff and the National Guard Bureau reached an informal agreement that the bureau would maintain control for determining and validating its own personnel requirements. However, this agreement is inconsistent with the Joint Staff's regular personnel requirements reassessment process and differs from the military-service practices. National Guard Bureau and Joint Staff officials gave three reasons for this agreement. First, Joint Staff officials said that this agreement was reached because the bureau wanted to maintain control over its personnel requirements. Second, the National Guard Bureau is too dissimilar from other joint activities—such as the combatant commands—for which the Joint Staff is responsible. Third, the Joint Staff lacks the resources to assume responsibility for validating the bureau's personnel requirements.

Recognizing that recent developments warrant a re-evaluation of the National Guard Bureau's personnel requirements, the National Guard Bureau started two efforts intended to enable it to define its personnel requirements. The National Guard Bureau has started an initiative called "Project Muster" to realign its headquarters processes to support the new roles and responsibilities of the Chief and Vice Chief of the National Guard Bureau and determine the personnel requirements needed to execute these responsibilities following the Chief's placement on the Joint Chiefs of Staff. Officials responsible for the study said that it may show that the bureau will need to grow beyond its current size. In part because one of Project Muster's baseline assumptions is that the bureau's current manpower will be retained to meet preexisting requirements.

In July 2013, while our review was underway, the Vice Chief for the National Guard Bureau asked that the U.S. Army Manpower Analysis Agency—with assistance from the Air Force Personnel Center—conduct

⁴⁰According to a DOD directive, the National Guard Bureau's personnel are supposed to be managed under a joint manpower document—that is, a document that identifies the positions and spaces that have been validated for each element of a joint activity—in accordance with Chairman of the Joint Chiefs of Staff Instruction 1001.01a to the greatest extent possible. Department of Defense Directive 5105.77, *National Guard Bureau* (May 21, 2008).

an advisory analysis of positions at the National Guard Bureau to include its joint staff and the Office of the Chief of the National Guard Bureau. According to the U.S. Army Manpower Analysis Agency official responsible for the analysis, an advisory analysis entails a strategic look at a headquarters' organizational structure. It is different from a personnel requirements study, which would assess individual workload, validate missions, and map processes. The Vice Chief's request for an analysis was accepted by the U.S. Army Manpower Analysis Agency in August 2013 and is currently scheduled for calendar year 2014.

Although both of these efforts are significant attempts to determine the bureau's personnel requirements, neither of them will establish a process to periodically validate and reassess those requirements. Additionally, National Guard Bureau officials said that the Chief of the National Guard Bureau will continue to be the final authority on what requirements are approved for the bureau. By creating a system whereby an external organization is not independently assessing the National Guard Bureau's personnel requirements the bureau has removed an independent check that could help ensure that the bureau is staffed with the appropriate number of personnel needed to execute its assigned missions and workload.

DOD Does Not List the National Guard Bureau as a Major DOD Headquarters Activity, and Its Personnel Data Have Not Been Reported to Support Congressional Oversight

Our analysis of DOD's reserve-component headquarters found that DOD's list of its Major DOD Headquarters Activities did not include the National Guard Bureau, even though the bureau meets the headquarters criteria specified in DOD's instruction and is now commanded by a 4-star General who sits on the Joint Chiefs of Staff.⁴¹ DOD uses an instruction issued by the Office of the Secretary of Defense's Director for Administration and Management that establishes the definitions and criteria that should be used to identify DOD's Major DOD Headquarters Activities. This instruction also contains an enclosure that lists DOD's Major DOD Headquarters Activities and this list is the basis for reporting required personnel data to Congress. In this instruction, DOD defines major DOD headquarters activities as those headquarters (and the direct support integral to their operation) whose primary mission is to manage or command the programs and operations of DOD, the DOD components, and their major military units, organizations, or agencies. In practice, DOD

⁴¹Department of Defense Instruction 5100.73, *Major DoD Headquarters Activities* (December 1, 2007).

includes those headquarters that are commanded by a General or Admiral, or Lieutenant General or Vice Admiral or their equivalents. The National Guard Bureau meets both these criteria. In 2012, we reported that some other organizations that fit the definition of Major DOD Headquarters Activities were not included in DOD's instruction. We recommended at that time that DOD revise its instruction to include all of its Major DOD Headquarters Activities.⁴² Our review found that DOD has not updated its list to include the National Guard Bureau or the headquarters we identified in our 2012 report.⁴³

DOD officials said that the National Guard Bureau was not included in its list of major DOD headquarters activities in the past because the National Guard Bureau had previously been a subactivity of the Army and Air Force; the National Guard Bureau has a National Guard mission that relates to the states, which is unusual for DOD's headquarters; and officials did not focus on the National Guard Bureau being a headquarters that drives the department's active-duty or Reserve missions. Officials from the Office of the Director of Administration and Management and the Assistant Secretary of Defense for Reserve Affairs agreed that the National Guard Bureau (including both the Office of the Chief and the Joint staff element) should be considered a major DOD headquarters activity and listed in DOD's instruction; however, at the time of our review these officials did not have a schedule for further updating the instruction or the list of major DOD headquarters activities.

Having complete information about such headquarters activities is important for oversight because Congress has established reporting requirements that it can use to oversee the size of specific kinds of DOD's headquarters, such as the National Guard Bureau.⁴⁴ DOD is required to provide Congress with an annual Defense Manpower Requirements Report⁴⁵ on a variety of personnel issues, including the number of military and civilian personnel assigned to major DOD headquarters activities in

⁴²[GAO-12-345](#).

⁴³DOD made a technical update on June 12, 2012, to DOD Instruction 5100.73 that modified references, roles, responsibilities, and terms used throughout the instruction.

⁴⁴See 10 U.S.C. § 115a(f).

⁴⁵The Secretary of Defense is required to submit this report not later than 45 days after the submission of the President's budget.

the previous year, and estimates of such numbers for the current and subsequent year. Prior to 2008, DOD was subject to a statutory cap on the total number of personnel that could be assigned to Major DOD Headquarters Activities.⁴⁶ The National Defense Authorization Act for Fiscal Year 2008 repealed this cap, but required DOD to continue to report certain information about the size and composition of the staff assigned to Major DOD Headquarters Activities.⁴⁷ When fulfilling its reporting requirement, DOD uses the definitions and criteria in its instruction to identify DOD's Major DOD Headquarters Activities and lists these headquarters in an enclosure. This list is the basis for reporting required personnel data to Congress, and because the bureau was not included in DOD's list, its personnel data were not reported to Congress. Unless DOD revises its instruction to include the National Guard Bureau in its list of major DOD headquarters activities and reports the bureau's personnel requirements data, Congress will continue to have limited information available to support oversight of this expanding headquarters activity.

DOD Lacks Assurance That the National Guard's State Joint Force Headquarters Are Sized to Be Efficient

The National Guard has not fully reassessed the personnel requirements of the 54 state Joint Force headquarters or their predecessor organizations—which collectively contain nearly 21,900 funded positions—since the 1980s despite changes in their organization and assigned missions. Our prior work has shown that cost savings may be achieved by consolidating and centralizing overlapping functions and eliminating unnecessary overlap and duplication.⁴⁸ The state Joint Force headquarters consist of a Joint staff element, Army staff element, and Air staff element each of which is subject to different processes for reassessing and validating personnel requirements. Additionally, these headquarters have personnel that are assigned as the personal staff and special staff of the Adjutant General. The National Guard Bureau, Army National Guard Directorate, and Air National Guard Readiness Center

⁴⁶See National Defense Authorization Act for Fiscal Year 2008, Pub. L. No. 110-181, § 901 (2008), repealing section 130a of Title 10 of the United States Code.

⁴⁷While the overall headquarters cap was repealed in 2008, various sectors of DOD's headquarters workforce are still subject to similar statutory caps. For example, section 194 of Title 10 of the United States Code, among other things, imposes a cap on headquarters management personnel of the defense agencies and DOD field activities.

⁴⁸[GAO-12-345](#). [GAO-13-279SP](#).

The National Guard Has Not
Comprehensively Reassessed
Its State Joint Force
Headquarters

share responsibility for overseeing personnel requirements at the state Joint Force headquarters and there is not a process in place that enables the holistic assessment of personnel requirements at these headquarters. In the absence of a process that provides a holistic assessment of the state Joint Force Headquarters, National Guard officials noted that they have begun two efforts that are intended to assess personnel requirements at the state Joint Force headquarters: (1) a National Guard Bureau study evaluating personnel requirements for the Joint staff element at these headquarters and (2) an Army National Guard Directorate evaluation of functions—some of which include both Army National Guard and Air National Guard personnel—within these headquarters. We found that these efforts are limited and do not constitute a process that holistically assesses these headquarters' personnel requirements. Without implementing a process to holistically assess personnel requirements for all three staff elements at these headquarters', DOD lacks assurance that they are sized and structured to be efficient.

National Guard officials said that they have not reassessed the personnel requirements for the National Guard's 54 state Joint Force headquarters since the 1980s, even though there have been changes in the organization of these headquarters, including the missions assigned to them. The Army and the Air Force determined the personnel requirements for the Army and Air staff elements at the state Joint Force headquarters' predecessor headquarters in 1982 on the basis of the number of personnel authorized for the state or territory as well as its population.

The Army staff and Air staff elements are filled with Army National Guard and Air National Guard personnel respectively. The Joint staff element and the Adjutant General's staff can be comprised of personnel from the Army National Guard, the Air National Guard, or both. Responsibility for overseeing personnel requirements of these staff elements is shared by the National Guard Bureau, Army National Guard Directorate, and Air National Guard Readiness Center, which have separate processes for determining, validating, and reassessing requirements for their respective staff elements, as shown in table 3.

Table 3: Federal Organizations Responsible for Determining and Validating Personnel Requirements at State Joint Force Headquarters and a Description of Requirements

State Joint Force headquarters staff element	Responsible organization	Process used to determine and validate personnel requirements	Description of requirements
Joint Staff	National Guard Bureau ^a	Joint Manpower and Personnel Program	Joint staff element personnel requirements should be managed using joint manpower documents in accordance with Chairman of the Joint Chiefs of Staff Instruction 1001.01a. This instruction requires the use of joint manpower documents and the validation of personnel requirements documented on those documents through the Joint Manpower and Personnel Process.
Army Staff	Army National Guard Directorate	Army Manpower Program	Army staff element personnel requirements should be reassessed on a 2- to 5-year cycle. Personnel requirements are reviewed and validated by the Assistant Secretary of the Army for Manpower and Reserve Affairs with assistance from the U.S. Army Manpower Analysis Agency.
Air Staff	Air National Guard Readiness Center	Air Force	The Air Force does not have a requirement to reassess personnel requirements at its reserve-component headquarters above the wing level.

Source: GAO analysis of Joint staff, Army, and Air Force data.

Notes:

^aIn an April 2012 letter, the Joint Staff formally delegated responsibility to the National Guard Bureau for validating personnel requirements at the state Joint Force headquarters with the expectation that, although the state Joint Force headquarters would not be part of the joint staff's overarching manpower program, its joint staff element would be managed by the National Guard Bureau using the same procedures.

We have previously found that government can reduce costs and improve operations through the elimination of unnecessary fragmentation, overlap, and duplication.⁴⁹ Additionally, our 2012 report examining DOD's headquarters and support organizations found that there may be additional opportunities for DOD to achieve cost savings by consolidating and centralizing overlapping functions and services. In our 2012 report, we recommended that DOD continue to examine opportunities to centralize administrative and command support services, functions, or programs.⁵⁰

⁴⁹GAO-13-279SP.

⁵⁰GAO-12-345.

Ongoing Personnel
Requirements Studies Are
Limited and Do Not Provide a
Process for Holistically
Assessing State Joint Force
Headquarters' Requirements

National Guard officials noted that they have two ongoing efforts that are intended to assess personnel requirements at the state Joint Force headquarters; however, we found that these efforts were limited and were not based on a process that holistically assessed personnel requirements for all three staff elements at these headquarters.

First, as previously discussed, the National Guard Bureau has begun a two-phased study reassessing the personnel requirements for these headquarters' Joint staff element; however, National Guard Bureau officials stated that the study would not examine the Army staff element or Air staff element portion of the state Joint Force headquarters. National Guard Bureau officials determined that on average each Joint staff element would need 30 personnel to perform core functions during the first phase of the study, which was completed January 2012. However, National Guard officials noted that the ultimate size and structure of the joint staff element will vary by state and should correlate with the state's assigned missions and personnel. The second phase of the study is intended to develop a joint manpower document that would document the state headquarters' ultimate size and structure. National Guard Bureau officials expect to complete this phase by fiscal year 2015.

Second, in addition to the National Guard Bureau's study, Army National Guard Directorate officials said that the absence of a holistic assessment of the state Joint Force headquarters contributed to their completing assessments of 17 functions, some of which are performed at these headquarters and are staffed with both Army National Guard and Air National Guard personnel. Army National Guard officials identified five offices within the Adjutant General's personal staff that typically have both Army National Guard and Air National Guard personnel: the Chaplain's Office, the Human Resources Office, the Office of the Judge Advocate General, the Public Affairs Office, and the Office of the Inspector General. Army National Guard officials said they are not required to collaborate with the Air National Guard when determining personnel requirements for these functions—although individual analysts may choose to do so at their discretion—and assessments only examine Army personnel requirements. Army National Guard officials also said that a recently completed study of the Chaplain's office and an ongoing study of the Human Resources office had minimal collaboration with the Air National Guard. Further, Army National Guard officials noted that even if the Air National Guard were to be more heavily involved in the Army National Guard's studies, there is not a process in place to estimate the workload for functions that have both Air National Guard and Army National Guard personnel.

Three different organizations are responsible for assessing personnel requirements at the state Joint Force headquarters, and there is no process in place that provides a holistic assessment. As a result, the state Joint Force headquarters may be missing opportunities to consolidate or centralize overlapping functions and services and may be allowing personnel gaps or overlaps to develop or persist. For example, our review of the personnel requirements documents for the 54 state Joint Force headquarters shows that a number of similar positions are approved for both the Army staff element and the Air staff element within the same state. In one state's Joint Force headquarters, the Army staff element allocated positions for five Judge Advocate Generals, two Public Affairs officials, and one Chaplain, while the Air Staff element allocated positions for two Judge Advocate Generals, one Public Affairs official, and two Chaplains. In a second state Joint Force headquarters, we found that the Army staff element allocated positions for three Judge Advocate Generals, three Public Affairs officials, and two Chaplains, while the Air staff element allocated positions for one Judge Advocate General, two Public Affairs officials, and one Chaplain. However, it is not clear whether these positions are all justified because the National Guard Bureau has not completed a holistic assessment of all the staff elements at these headquarters.

While the National Guard Bureau's and the Army National Guard's efforts are important steps in determining personnel requirements at the state Joint Force headquarters, they are limited because the National Guard has not established a process for holistically assessing all three elements at these headquarters. Further, the Army National Guard and Air National Guard are not required to collaborate when determining personnel requirements, do not use a formal process to estimate workload for joint functions in their entirety, and do not have a means for ensuring these functions are staffed to be efficient. As a result, these studies are unlikely to ensure that the state Joint Force headquarters avoid gaps or overlaps in positions and have the minimum personnel required to perform their assigned missions.

The Army and Air Force Have Not Consistently Implemented Processes for Reassessing Personnel Requirements of Reserve-Component Headquarters

The Army and Air Force have not consistently implemented processes for ensuring their reserve-component headquarters have the minimum number of personnel, thereby hindering their ability to determine whether these headquarters have been sized to be efficient. Our analysis shows that 13 of the 20 Army and Air Force reserve-component headquarters have not been fully reassessed. Our analysis shows that 5 of the 7 organizations that have been reassessed shrank from fiscal year 2009 through fiscal year 2013. In contrast, several of the headquarters that

showed significant growth were among those that have not been reassessed including the Office of the Chief of the Army Reserve and Air National Guard Readiness Center. As we previously noted, our work in the area of strategic human-capital management has shown that reassessing resource requirements—including personnel—enables organizations to achieve their missions and match resources to their needs.⁵¹ Table 4 shows the status of personnel requirement assessments at the Army and Air Force reserve-component headquarters we identified.

⁵¹[GAO-02-373SP](#).

Table 4: Status of Army and Air Force Manpower Assessment Processes for Reserve-Component Headquarters

Military service	Required reassessment time frame	Headquarters	Status (year completed)
Army	Optimally every 3 years; at least once every 2–5 years	Army National Guard Directorate	●(2013)
		Military Intelligence Readiness Command	●(2010)
		Office of the Chief of the Army Reserve ^a	◐(2009)
		U.S. Army Reserve Command ^a	◐(2009)
		1st Mission Support Command ^a	◐(2012)
		7th Civil Support Command ^a	◐(2012)
		79th Sustainment Support Command ^a	◐(2012)
		Army Reserve Medical Command ^a	◐(2012)
		U.S. Army Civil Affairs and Psychological Operations Command ^a	◐(2012)
		9th Mission Support Command ^a	◐(2012)
		63rd Regional Support Command ^b	○
		88th Regional Support Command ^b	○
		99th Regional Support Command ^b	○
		81st Regional Support Command ^b	○
Air Force	None	Air National Guard Readiness Center	○ ^c
		Headquarters, Air Force Reserve	●(2011) ^d
		Air Force Reserve Command	●(2012) ^d
		22nd Air Force	●(2012) ^d
		4th Air Force	●(2012) ^d
		10th Air Force	●(2012) ^d

Legend:

- Fully completed: The entire headquarters had its personnel requirements reassessed.
- ◐ Partially completed: A portion of a headquarters had its personnel requirements reassessed. For example, personnel requirements for a function or a type of position could have been assessed independently from the headquarters as a whole. A partial assessment does not fully address reassessment requirements.
- None: No part of the headquarters had its personnel requirements reassessed.

Source: GAO analysis of Army and Air Force data

^aAlthough 13 reserve-component headquarters were not assessed in their entirety, some functions within the organizations were assessed; however, partial assessments do not fully address requirements established in Army Regulation 570-4.

^bThe four Regional Support Commands are currently in the process of being assessed by the U.S. Army Manpower Analysis Agency.

^cThe Air Force does not have a requirement for this reserve-component headquarters to be periodically assessed, and the personnel requirements for this headquarters have not been assessed.

^dWhile not required by its guidance, in 2012 the Air Force conducted full assessments on these headquarters as part of its recent efficiencies review.

According to Army Manpower Analysis Agency officials, most Army reserve-component headquarters have not had their personnel requirements fully reassessed because the U.S. Army Manpower Analysis Agency has a backlog of reassessments needing review and approval. The U.S. Army Manpower Analysis Agency validates⁵² the headquarters' reassessment of their requirements.⁵³ The Army's manpower-management regulation requires that Army headquarters be reassessed not less than every 5 years and optimally every 3 years.⁵⁴ Army officials said that a reassessment should generally include a review of the entire headquarters; however, there are some instances where commanders conduct a partial assessment—for example of a single function or type of position. Army officials said that the manpower analysis agency has prioritized its review and approval of personnel requirements reassessments and worked with the Army Reserve to establish a schedule through fiscal year 2016 for reassessing some headquarters; however, we found that several of the headquarters included in our review that had not recently been reassessed were not included in this schedule. Once the U.S. Army Manpower Analysis Agency validates an assessment, it is submitted to the Office of the Army Operations and Plans for approval. If an Army headquarters does not have a validated personnel requirements document, its personnel requirements could be removed from its personnel requirements document during periodic force-structure reviews and excluded from the Army's annual budget request.

Air Force officials told us that one Air Force reserve-component headquarters we identified did not have its personnel-requirements assessed because such a periodic reassessment is not currently required in the Air Force's guidance. Specifically, the guidance⁵⁵ only requires

⁵²Validating a requirement means the U.S. Army Manpower Analysis Agency has analyzed whether manpower requested meets the workload being performed.

⁵³The U.S. Army Manpower Analysis Agency uses a five-phased approach when reassessing personnel requirements. This approach entails: (1) planning the study approach, scope, and timelines; (2) completing an initial analysis to validate the headquarters' mission and review previous studies; (3) collecting and analyzing data on mission and workload; (4) developing a product with recommendations on workforce mix and staffing; and (5) validating and approving the final documentation.

⁵⁴Army Regulation 570-4, *Manpower Management* (Feb. 8, 2006).

⁵⁵Air Force Instruction 38-201, *Management of Manpower Requirements and Authorizations* (May 14, 2013).

headquarters embedded in its operational wings be reassessed at least every 2 years. In contrast, reassessments for the Air Force's reserve-component headquarters are done on an ad hoc basis. In 2011 and 2012, the Air Force Reserve reassessed five of its headquarters⁵⁶ as part of its efforts to streamline its operations, not due to any requirement in guidance.⁵⁷ Following this reassessment, the Air Force Reserve shrank the three numbered Air Force headquarters by more than one-third, and Headquarters, Air Force Reserve, by more than 10 percent. Another headquarters that was reassessed, the Air Force Reserve Command, grew in size by about 7 percent. According to Air Force officials, changes in headquarters personnel requirements are typically driven by changes in force structure, made in response to efficiency initiatives, or initiated by the headquarters' commanding officer. Air Force officials said that it would be beneficial to apply a reassessment standard to all of the Air Force's reserve-component headquarters, but the Air Force has not taken steps to initiate such reviews or revise the guidance to require them in the future. Unless the Army and Air Force periodically reassess their reserve-component headquarters, they will lack assurance that these headquarters are sized with the minimal staff required and structured appropriately.

Conclusions

Amid DOD's recent efforts to trim budgets by finding efficiencies and reducing overhead, some reserve-component headquarters have grown. While some of this growth is due to reducing reliance on contractors and expanding missions, DOD does not know whether its reserve-component headquarters are sized with the appropriate personnel needed to accomplish their missions today and in the future. Human-capital practices suggest that the size and structure of organizations need to be reassessed periodically. In total, 68 of 75 the reserve-component headquarters we reviewed have not been recently reassessed. Until these organizations are assessed, the Army and Air Force will lack assurance that they are sized and structured appropriately. Additionally, until DOD externally validates the National Guard Bureau's personnel

⁵⁶The Air Force Reserve examined the Air Force Reserve Command and its three numbered Air Forces.

⁵⁷The Air Force Reserve created its Force Generation Center to streamline force identification, mobilization and deployment across the Air Force Reserve and improve the Commander's visibility into current and planned resources commitments.

requirements, holistically assesses personnel requirements for its 54 state Joint Force headquarters, and schedules reassessments for reserve component headquarters it will lack assurance that these headquarters are appropriately sized to accomplish their assigned mission.

The National Guard Bureau—whose Chief was recently placed on the Joint Chiefs of Staff—has grown about 17 percent since 2010 and is anticipating further growth related to its elevated role. However, the oversight process currently in place allows the National Guard Bureau to determine its personnel requirements without validation by a higher-level command or external organization. Furthermore, reports used to support congressional oversight have not included information on the bureau. Unless the bureau's personnel requirements are validated by an external organization and related information is included in DOD's report to Congress, both DOD and Congress will lack assurance that the bureau's size and structure is appropriate for its mission.

For the 54 state Joint Force headquarters, fragmented review processes across the National Guard Bureau, Army National Guard, and Air National Guard have created an environment where similar and possibly overlapping positions have been approved for the three interconnected staff elements in each state. Their requirements have not been reassessed since the 1980s, and ongoing studies by the National Guard are too limited in scope to provide a comprehensive reassessment. As a result, no organization has examined the multiple staff elements at these headquarters for potential personnel gaps or overlaps that could hinder their ability to perform their missions or could waste resources.

Finally, for those headquarters overseen by the Army and Air Force—specifically 13 Army Reserve headquarters, 5 Air Force Reserve headquarters, the Army National Guard Directorate, and the Air National Guard Readiness Center—DOD has processes in place that if consistently implemented could help ensure that these headquarters are sized and structured appropriately. The Army and Air Force have not reassessed 13 of these 20 headquarters, and of the seven headquarters that were recently reassessed five shrank, some markedly. Until the Army and the Air Force reassess the remaining headquarters that they oversee DOD will lack assurance that these headquarters are sized and structured appropriately.

Recommendations for Executive Action

To facilitate oversight of the size of DOD's reserve-component headquarters and ensure that they have the minimum personnel needed to complete their assigned missions, we are making the following six recommendations.

To independently validate the personnel requirements for the National Guard Bureau, we recommend that the Secretary of Defense direct the Chief of the National Guard Bureau to implement the Joint Chief of Staff's Joint Manpower and Personnel Process and have its personnel requirements periodically validated by a DOD organization external to the National Guard Bureau.

To provide Congress the data it requires to oversee DOD's Major DOD Headquarters Activities, we recommend that the Secretary of Defense include the National Guard Bureau among its list of Major DOD Headquarters Activities and report personnel associated with the National Guard Bureau in the Defense Manpower Requirements Report.

To minimize the potential for gaps or overlaps at the National Guard's state Joint Force headquarters, we recommend that the Secretary of Defense direct the Chief of the National Guard Bureau to:

- develop a process for the Army National Guard and Air National Guard to collaborate when determining personnel requirements for joint functions at these headquarters and
- assess and validate all personnel requirements at the state Joint Force headquarters to include the Army staff element and Air staff element.

To ensure that Army Reserve headquarters and the Army National Guard Directorate are properly sized to meet their assigned missions, we recommend that the Secretary of Defense direct the Secretary of the Army to ensure that these headquarters are reassessed and have their personnel requirements validated within required time frames by including them in the U.S. Army Manpower Analysis Agency's schedule for reassessment and validation.

To ensure that Air Force Reserve headquarters and the Air National Guard Readiness Center are properly sized to meet their assigned missions, we recommend that the Secretary of Defense direct the Secretary of the Air Force to modify the Air Force's guidance to require that these headquarters have their personnel requirements reassessed on a recurring basis, and establish and implement a schedule for

reassessing personnel requirements for its reserve-component headquarters.

Agency Comments and Our Evaluation

We provided a draft of this report to the Department of Defense for review and comment. In response, we received written comments which are reprinted in appendix XI. DOD concurred with three of our recommendations and partially concurred with the remaining three recommendations. DOD also provided technical comments which we incorporated into the report as appropriate.

DOD partially concurred with our first recommendation that the Secretary of Defense require the Chief of the National Guard Bureau have its personnel requirements periodically validated by a DOD organization external to the National Guard Bureau. DOD stated that while the department agrees that external validation is appropriate, it is DOD's view that the appropriate means for obtaining this external validation is by establishing a vetting process that includes representatives from the Army, Air Force, and the National Guard Bureau. DOD therefore suggested that we modify our recommendation to reflect this. We believe DOD retains the flexibility to develop a vetting process that includes representatives from the organizations identified above so long as this process follows the guidelines described in DOD guidance and requirements are periodically validated by an organization external to the bureau. As a result we did not modify our recommendation as DOD suggested.

DOD concurred with our recommendation that the Secretary of Defense include the National Guard Bureau among its list of Major DOD Headquarters Activities and report personnel associated with the National Guard Bureau in its Defense Manpower Requirements Report. In its response to our recommendations DOD provided several technical comments that we addressed in the body of our report.

The department also partially concurred with our recommendations that the Chief, National Guard Bureau modify the scope of its ongoing manpower study to reassess personnel requirements at the state Joint Force headquarters and validate these requirements including those for the Army and Air staff elements. In DOD's response, the department detailed ongoing efforts to validate personnel requirements and stated that revising the scope of the National Guard Bureau's study would eliminate the ability of the Army National Guard and Air National Guard to identify their own personnel requirements. The department further stated

that when shared functions are being studied, coordination should be increased between the staff elements to ensure that the correct workload is captured, requirements are not duplicated, and process efficiencies are maximized. However, we found minimal coordination on studies examining the five functions that the National Guard identified as being staffed with both Army National Guard and Air National Guard personnel. For example, Army National Guard officials told us that a study of the Chaplain's office was completed with minimal Air National Guard participation and only captures the Army National Guard's personnel requirements. Similarly, Army National Guard officials said that the Air National Guard has been minimally involved in an ongoing evaluation of the Human Resources Office. We agree that closer coordination is warranted and have revised our recommendation to emphasize this while retaining the recommendation that the National Guard Bureau review and validate all personnel requirements at the state Joint Force headquarters including the Army staff element and Air staff element.

DOD also concurred with our recommendation that the Secretary of Defense direct the Secretary of the Army to ensure that Army Reserve's headquarters and the Army National Guard Directorate have their personnel requirements validated within required time frames by including them in the U.S. Army Manpower Analysis Agency's schedule for reassessment and validation. In its response to our recommendations, DOD noted it has several ongoing efforts that are intended to assess Army Reserve full-time support requirements, and institutional and operational headquarters. DOD also noted that the draft report was not specific as to whether this recommendation is intended to be applicable to the Army National Guard. We clarified our recommendation in response to DOD's comments to specify that the Army Reserve's headquarters and Army National Guard Directorate be included in the U.S. Army Manpower Analysis Agency's schedule for reassessment and validation.

DOD agreed with our last recommendation that the Secretary of Defense direct the Secretary of the Air Force to modify the Air Force's guidance to require that these headquarters have their personnel requirements reassessed on a recurring basis, and establish and implement a schedule for reassessing personnel requirements for its reserve-component headquarters. In its response to our recommendations, DOD noted that the Air Force agreed to modify its guidance to require that reserve component headquarters have their personnel requirements reassessed on a recurring basis. Additionally, the Air Force intends to establish and implement a schedule for reassessing personnel requirements at these

headquarters. If implemented, these steps would satisfy the intent of our recommendation.

As agreed with your offices, unless you publicly announce the contents of this report earlier, we plan no further distribution until 30 days from the report date. At that time, we will send copies to the appropriate congressional committees and the Secretary of Defense; the Secretary of the Army; the Secretary of the Air Force; the Joint Chiefs of Staff; the Chief, National Guard Bureau; the Chief, Army Reserve; and the Chief, Air Force Reserve. This report is also available at no charge on the GAO website at <http://www.gao.gov>.

Should you or your staffs have any questions about this report, please contact John Pendleton at (202) 512-3489 or pendletonj@gao.gov. Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. GAO staff who made contributions to this report are listed in appendix XII.



John H. Pendleton
Director, Defense Capabilities and Management

Appendix I: Scope and Methodology

To conduct this work and address our objectives, we reviewed data on funded positions at the Army's and Air Force's reserve-component headquarters from fiscal year 2009 through fiscal year 2013. We selected these years because senior officials stated that the current reserve-component headquarters structure has remained relatively constant over this period of time. We did not review contractor positions as part of this review because officials told us that they were unable to determine the number of contractor positions at the reserve-component headquarters we identified. On the basis of a review of Department of Defense (DOD) and service guidance,¹ organization charts, and discussions with officials, we focused our review on 75 headquarters within the Army National Guard, Air National Guard, Army Reserve, and Air Force Reserve. We limited our review to nondeployable headquarters that perform many of the functions DOD identified as being characteristics of management headquarters. For the Army, these headquarters had their personnel requirements documented on tables of distribution and allowance, and we collaborated with Army National Guard and Army Reserve officials when developing our list. For the Air Force, we interviewed Air National Guard and Air Force Reserve officials to identify headquarters units that met our criteria. We then provided DOD, Joint Staff, National Guard, and Reserve officials with an opportunity to comment on our final list of 75 headquarters and these officials agreed the headquarters we identified met these criteria, but noted that they were not all Major DOD Headquarters Activities.

For all of the headquarters we identified, we limited our assessment of personnel requirements to positions that: were assigned to the headquarters, included military personnel or civilians, were funded by the federal government, and did not complete work in support of more than one component (for example, recruiting positions were excluded because the Army Reserve and the active-duty Army share recruiting resources). To ensure the reliability of the personnel data, we interviewed knowledgeable officials about the data and internal controls on the systems that contain them. We also analyzed the data in order to identify

¹Department of Defense Directive 5105.77, *National Guard Bureau (NGB)* (May 21, 2008). Department of Defense Directive 5105.83, *National Guard Joint Force Headquarters-State (NG-JFHQs-State)* (Jan. 5, 2011). Army Regulation 130-5, *Organization and Functions of the National Guard Bureau* (Dec. 30, 2001). Army Pamphlet 10-1, *Organization of the United States Army* (June 14, 1994). Air Force Instruction 38-101, *Air Force Organization* (Mar. 16, 2011, incorporating change May 2, 2013).

outliers or invalid data and removed these data from our dataset where appropriate. Finally, we shared our analysis with knowledgeable agency officials and asked them to verify its accuracy. On the basis of these steps we determined that the data were sufficiently reliable for the purposes of this audit.

To evaluate the extent to which DOD established and implemented processes to efficiently size its reserve-component headquarters and provide information for congressional oversight we took the following steps:

1. We evaluated the Joint Staff's implementation of its process for assessing personnel requirements at the National Guard Bureau by reviewing relevant guidance and documentation and interviewing officials from the Joint Staff and the National Guard Bureau.² Where available, we analyzed manpower assessments and manpower documents for the National Guard Bureau from fiscal year 2009 through fiscal year 2013 and evaluated whether they met standards. We also compared the steps taken to assess the National Guard Bureau's personnel requirements with Army and Air Force guidance and practices.³
2. We assessed DOD's efforts to identify Army and Air Force reserve component major DOD headquarters activities and report personnel data for these headquarters by reviewing DOD guidance on major DOD headquarters activities; reviewing documentation and interviewing officials to identify reserve-component headquarters with those characteristics; and comparing identified headquarters' functions to characteristics of Major DOD Headquarters Activities identified in DOD's guidance.⁴ We assessed section 194 of Title 10 of the United States Code to determine whether the statutory cap identified in that section applies to the headquarters we identified. We

²Department of Defense Directive 1100.4, *Guidance for Manpower Management* (Feb. 12, 2005). Department of Defense Instruction 1100.22, *Policy and Procedures for Determining Workforce Mix* (Apr. 12, 2010). Department of Defense Directive 5105.77 *National Guard Bureau (NGB)* (May 21, 2008), . Chairman of the Joint Chiefs of Staff Instruction 1001.01A, *Joint Manpower and Personnel Program* (Oct. 1, 2010).

³Army Regulation 570-4, *Manpower Management* (Feb. 8, 2006). Air Force Instruction 38-201, *Management of Manpower Requirements and Authorizations* (May 14, 2013).

⁴DOD Instruction 5100.73 *Major DOD Headquarters Activities* (Dec. 1, 2007, incorporating changes, Jun. 12, 2012).

also reviewed the Defense Manpower Requirements Report for fiscal year 2012 and fiscal year 2013⁵ to determine which headquarters were included in reports to Congress. Where we identified discrepancies, we spoke with DOD and service officials to identify the cause of these discrepancies. Finally, we assessed the National Guard Bureau's ongoing study (Project Muster) seeking to establish baseline requirements for the National Guard Bureau by collecting relevant documentation and interviewing knowledgeable staff from the National Guard Bureau.

3. We evaluated the National Guard Bureau's implementation of its process for assessing personnel requirements at the 54 state Joint Force headquarters by reviewing relevant guidance⁶ and documentation and interviewing officials from the Joint Staff and the National Guard Bureau. We analyzed manpower assessments and manpower documents from fiscal year 2009 through fiscal year 2013 for the state Joint Force headquarters and evaluated whether they met standards established in guidance. We also conducted site visits to the state Joint Force headquarters for Delaware, Georgia, New Jersey, and Texas to determine whether manpower documents and assessments accurately documented these headquarters' requirements given assigned personnel, missions, and workload. We selected these headquarters to obtain perspectives from state officials from states of varying size and with different numbers of National Guard, Army Reserve, and Air Force Reserve personnel. Finally, we assessed the National Guard Bureau's ongoing state Joint Force headquarters requirements study seeking to establish baseline personnel requirements for these headquarters' Joint staff element by collecting relevant documentation and interviewing knowledgeable staff from the National Guard Bureau.

We evaluated the Army's and Air Force's implementation of their processes for assessing personnel requirements at service-specific

⁵Department of Defense, Defense Manpower Requirements Report Fiscal Year 2013 (Washington D.C.: June 2013). Department of Defense, Defense Manpower Requirements Report Fiscal Year 2012 (Washington D.C.: April 2012).

⁶Department of Defense Directive 5105.83, *National Guard Joint Force Headquarters-State (NG-JFHQs-State)* (Jan. 5, 2011). Chairman of the Joint Chiefs of Staff Instruction 1001.01A, *Joint Manpower and Personnel Program* (Oct. 1, 2010).

headquarters by reviewing relevant guidance⁷ and documentation and interviewing officials from numerous Army and Air Force offices including the U.S. Army Manpower Analysis Agency, the Air Force Personnel Center, and Air Force Reserve Command. We then analyzed manpower assessments for each of the 20 service-specific headquarters we identified for fiscal year 2009 through fiscal year 2013 to determine (1) when the headquarters was most recently reassessed, (2) the scope of the assessment, and (3) whether they met requirements established in guidance for recurring reassessment and validation of headquarters' personnel requirements. One analyst analyzed the assessments and a second analyst reviewed the analyst's work. Any disagreements in the determination were resolved through discussion. We also visited the headquarters listed in table 5 to determine whether manpower documents and assessments accurately documented these headquarters' personnel requirements given assigned personnel, missions, and workload.

Table 5: Nongeneralizable Sample of Reserve-Component Headquarters Visited during the Audit

Component	Headquarters
National Guard	• Army National Guard Directorate • Air National Guard Readiness Center
Army Reserve	• Office of the Chief of the Army Reserve • U.S. Army Reserve Command • 99th Regional Support Command • Military Intelligence Readiness Command
Air Force Reserve	• Headquarters, Air Force Reserve • Air Force Reserve Command • 22nd Air Force
State Headquarters	• Joint Forces Headquarters-State for Delaware • Joint Forces Headquarters-State for Georgia • Joint Forces Headquarters-State for New Jersey • Joint Forces Headquarters-State for Texas

Source: GAO.

To discuss whether DOD has studied merging the Army's and Air Force's reserve components to improve efficiency, we conducted a literature

⁷Department of Defense Directive 1100.4 (Feb. 12, 2005) and Department of Defense Instruction 1100.22 (Apr. 12, 2012). Army Regulation 570-4 (Feb. 8, 2006). Air Force Instruction 38-201 (May 14, 2013).

search, analyzed past studies, reviewed our prior work, and reviewed white papers by DOD and subject-matter experts examining mergers and the factors organizations use when evaluating the merits of a merger. We reviewed statutes as well as DOD and military-service guidance describing the organization and function of the Army's and Air Force's reserve-component headquarters to understand their missions and how they are organized.⁸ To obtain perspectives on the implications of a merger, we interviewed officials from numerous offices including the Office of the Secretary of Defense; the National Guard Bureau; the Department of the Army; the Office of the Chief, Army Reserve; the Department of the Air Force; and the Office of the Chief, Air Force Reserve. We also reviewed documentation and met with officials from four state Joint Force headquarters and select headquarters in the Army Reserve and Air Force Reserve. We interviewed officials and, where appropriate, obtained documentation at the organizations listed in table 6.

⁸See e.g. 10 U.S.C. §§ 10502, 3031, and 8031. USAR Regulation 10-1, *Army Reserve Regional Support Command (RSC) Organization and Functions Manual*, (Oct. 1, 2010). Air Force Instruction 38-101 (Mar. 16, 2011); and Army Pamphlet 10-1 (June 14, 1994).

Table 6: Organizations Interviewed over the Course of the Audit

Department	Organization
DOD	Joint Chiefs of Staff (Joint Staff/J-1)
	National Guard Bureau (Joint Staff)
	Office of the Advisors to the Chief of the Joint Chiefs of Staff for National Guard Affairs and Reserve Affairs
	Office of the Assistant Secretary of Defense for Reserve Affairs
	Office of the Assistant Secretary of Defense–Homeland Defense and America’s Security Affairs
	Reserve Force Policy Board
Army	Army G/3/5/7 Force Management and Planning
	Army Human Resources Command
	Army National Guard Directorate
	Army Reserve Forces Policy Committee
	Assistant Secretary of the Army, Manpower and Reserve Affairs
	Institutional Army Transformation Commission
	Office, Chief Army Reserve
	U.S. Army Force Management Support Agency
	U.S. Army Forces Command
	U.S. Army Manpower Analysis Agency
	U.S. Army Reserve Command
Air Force	22nd Air Force
	Air Force Personnel Center
	Air Force Reserve Command
	Headquarters, Air Force Reserve
	Air National Guard Readiness Center
	Deputy Assistant Secretary of the Air Force for Reserve Affairs (SAF/MRR)
	Force Generation Policy Branch
	Manpower Programs Branch
	Secretary of the Air Force (SAF)
State Headquarters	Joint Forces Headquarters-State for Delaware
	Joint Forces Headquarters-State for Georgia
	Joint Forces Headquarters-State for New Jersey
	Joint Forces Headquarters-State for Texas

Source: GAO.

We conducted this performance audit from July 2012 to November 2013, in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Appendix II: Summary of Efforts to Study Merger of the Army's and Air Force's Reserve Components

Department of Defense (DOD), special commissions, and some nondefense organizations have studied the concept of merging the Air Force's and the Army's reserve components. DOD considered merging some reserve components after World War II, during the Vietnam era, and during the wars in Afghanistan and Iraq. In addition, the Congressional Budget Office examined the costs and benefits of merging multiple components. Additionally, the 2005 Base Closure and Realignment Commission recommended that National Guard and Reserve units share facilities. Finally, DOD has taken steps, short of merging its reserve components, to address concerns about access to the federal reserves to assist the National Guard in domestic duties such as responding to floods or hurricanes.

Department of Defense Studies

DOD considered merging some reserve components after World War II, during the Vietnam era, and during the wars in Afghanistan and Iraq.

- *The Committee on Civilian Components or "Gray Board."* In November 1947, the Secretary of Defense convened a six-member Committee on Civilian Components with representatives from the Army, Navy, and Air Force to broadly study the National Guard and Reserves. This committee found that National Guard units used during World War II required lengthy periods of training before being deployed. The committee's report was also critical of state Governors—none of whom, it argued, had any direct responsibility for the national security—and it recommended merging the Army National Guard and the Air National Guard with the Army Reserve and Air Force Reserve, respectively, to form two federally controlled Reserve forces.¹ The Secretary of Defense did not endorse this recommendation.
- *Vietnam-era Proposals.* DOD considered realigning the Army's reserve components in 1961–1962 and 1964, when the Secretary of Defense put forth two plans that were intended to streamline or merge the Army National Guard and Army Reserve. The first plan proposed eliminating four National Guard divisions and four Army Reserve divisions. Subsequently, a subcommittee of the House Armed Services Committee conducted an inquiry into the defense posture of the reserve components. In August of 1962, the subcommittee issued

¹Department of Defense, Committee on Civilian Components, *Reserve Forces for National Security* (June 1948).

its report, which criticized the Secretary's plan for its negative effect on morale, and because it did not address issues related to reserve-component recruiting, retention, and equipment. The report also noted opposition from Army and reserve-component advisory boards. The Secretary of Defense did not implement the proposed approach. The Secretary's second plan proposed merging all of the Army's Guard and Reserve units under the management of the National Guard at the federal level. Under this plan, the Army Reserve's units would have been eliminated and Army Reservists would be organized, trained, and equipped as individuals and not as units. Like the Secretary's first plan, this proposal was not implemented due to congressional opposition.²

- *Commission on the National Guard and Reserves.* While large numbers of reservists were being deployed to Afghanistan, Iraq, and elsewhere, the Ronald W. Reagan National Defense Authorization Act for Fiscal Year 2005 created a 13-member, independent Commission on the National Guard and Reserves.³ Congress chartered the commission to assess a variety of issues related to the reserve components of the U.S. military and to make recommendations on those issues. The commission's stated mission was to ensure that the National Guard and reserves are organized, trained, equipped, compensated, and supported to best meet the needs of U.S. national security. The commission issued three reports between 2006 and 2008 studying, among other things, the roles and missions of the National Guard and other reserve components.⁴ The commission's third report focused on the organizational and structural changes required to support an operational reserve force.⁵ A former staff member for the commission stated that the commission studied the feasibility and advisability of merging the National Guard with the

²The Department of Defense Appropriations Act 1966 (Pub. L. No. 89-213, § 639) provided funds for each reserve component separately and prohibited the Secretary of Defense from transferring funds to implement a realignment or reorganization of the Army Reserve components in that fiscal year.

³Ronald W. Reagan National Defense Authorization Act for Fiscal Year 2005, Pub. L. No. 108-375, § 513 (2004).

⁴The commission's other objective was to study the compensation and other benefits provided for members of the reserve components.

⁵Commission on the National Guard and reserves, *Final Report to Congress and the Secretary of Defense, Transforming the National Guard and reserves into a 21st-Century Operational Force* (Jan. 31, 2008).

Army Reserve and the Air Force Reserve, but it ultimately concluded that doing so would not better enable the reserve component to execute its missions, and the process would be extremely difficult—both politically and logistically—as well as costly to implement. The commission ultimately focused its report on (1) changes that could be made to remove cultural barriers that hamper the effective use of the reserve components, (2) changes to the categories used to manage the reserve components, (3) changes to the Office of the Secretary of Defense, and (4) changes within the reserve components and their headquarters. The commission made several recommendations across these areas; however, it did not recommend significant changes to the structure.

Studies by Nondefense Organizations

Previous studies of government reorganization and other types of mergers and transformations have found such endeavors to be complex and challenging, particularly during periods of government downsizing and budgetary pressures, and they can involve significant up-front costs.⁶ For instance, our review assessing the potential move of the Forest Service into the Department of the Interior found that, while there was the potential to improve federal land management through the consolidation, making the move would require careful consideration of a number of cultural, organizational, and legal factors and related transition costs, which could lead to unintended consequences if the merger were to take place.⁷ The Congressional Budget Office examined the costs and benefits of merging components. Additionally, the 2005 Base Closure and Realignment Commission recommended reducing excess infrastructure by requiring National Guard and Reserve units to share facilities.

- *Congressional Budget Office*. In a 1997 report presenting spending and revenue options for reducing the federal deficit, the Congressional Budget Office proposed merging the Army National Guard and the Army Reserve into a single entity that would retain the

⁶GAO, *Results-Oriented Cultures: Implementation Steps to Assist Mergers and Organizational Transformations*, [GAO-03-669](#) (Washington, D.C.: Feb. 11, 2009); GAO, *Government Reorganizations: Issues and Principles*, GAO/T-GGD/AIMD-95-166 (Washington, D.C.: May 17, 1995); and National Commission on the Public Service, *Government Reorganization: Strategies and Tools to Get it Done* (August 2004).

⁷GAO, *Federal Land Management: Observations on a Possible Move of the Forest Service into the Department of the Interior*, [GAO-09-223](#) (Washington, D.C.: Feb. 11, 2009).

dual state and federal status of the current Army National Guard.⁸ In its report, the Congressional Budget Office noted that laws and court rulings had removed many impediments to the President's power to call up National Guard units, potentially making the federal reserves redundant. In addition, according to the Congressional Budget Office, many capabilities currently in the Army Reserve—such as helicopter transport units and medical units—might be useful to Governors during domestic crises. At the time, the Congressional Budget Office estimated that by eliminating duplicative administrative organizations and eliminating approximately 43,000 personnel from the Reserve, the Army could save over \$500 million annually. It is unclear, however, whether similar cost savings could still be realized.

- *2005 Base Closure and Realignment Commission.* For the 2005 Base Realignment and Closure round, the Base Closure and Realignment Commission approved 44 recommendations that pertain to the reserve components which primarily directed the Army National Guard and the Army Reserve to create 125 Armed Forces Reserve Centers capable of accommodating both National Guard and Reserve units.⁹ According to DOD, these Armed Forces Reserve Centers should significantly reduce operating costs; however, we reported in 2013 that DOD officials estimated the total cost to implement the 44 recommendations was about \$3 billion, and it is unclear whether the consolidations will result in cost savings over the long term.¹⁰

⁸Congressional Budget Office, *Reducing the Deficit: Spending And Revenue Options* (March 1997).

⁹An Armed Forces Reserve Center is a joint-use facility that accommodates units from two or more reserve components. Its primary function is to provide administrative, training, and storage areas for the assigned military units.

¹⁰GAO, *Military Bases: Opportunities Exist to Improve Future Base Realignment and Closure Rounds*, [GAO-13-149](#) (Washington, D.C.: Mar. 7, 2013). In 2007, we determined that more than 90 percent of these savings were associated with eliminating positions currently held by military personnel without corresponding end strength reductions. We have previously reported, and the Base Realignment and Closure Commission agreed, that military personnel position eliminations are not a true source of savings because DOD does not expect to reduce end strength correspondingly but rather intends to reassign or shift these personnel to vacant positions in other areas. GAO, *Military Base Realignments and Closures: Plan Needed to Monitor Challenges for Completing More Than 100 Armed Forces Reserve Centers*, [GAO-07-1040](#) (Washington, D.C.: Sept. 13, 2007).

Efforts to Improve Access to Federal Reserves and Federal Response to Domestic Incidents

In June 1993, following Hurricane Andrew, we noted that a large percentage of the type of DOD capabilities that are needed in disasters—such as engineers, military police, supply and transportation personnel, and chaplains—reside in DOD's reserve components, particularly in the Army Reserve.¹¹ At that time, and again in May 2006, in our report on the military's response to Hurricane Katrina,¹² we reported that the Reservists who responded to the disaster—all of whom were volunteers—constituted a relatively small portion of the response when compared to National Guard and active component forces because, while states were able to mobilize National Guard forces, no similar provisions existed to specifically mobilize Reserve forces for disaster response.

Since Hurricane Katrina, two key steps have been taken to address DOD's response to domestic incidents: (1) implementation of a command construct whereby a single military officer exercises authority over both federal military forces and state National Guard forces; and (2) implementation of new mobilization authorities.

- *Dual-Status Commanders.* The National Defense Authorization Act for Fiscal Year 2012 provided that a dual-status commander—military officers with authority over both federal military forces and state National Guard forces—should be the usual and customary command and control arrangement in situations when the armed forces and National Guard are employed simultaneously in support of civil authorities, including missions involving major disasters and emergencies. When an officer is appointed as a dual-status commander, he or she serves on federal active duty, sometimes referred to as Title 10 status, as well as on duty in or with the National Guard of a state, sometimes referred to as Title 32 status.¹³ Dual-

¹¹GAO, *Disaster Assistance: DOD's Support for Hurricanes Andrew and Iniki and Typhoon Omar*, [GAO/NSIAD-93-180](#) (Washington, D.C.: June 18, 1993).

¹²GAO, *Hurricane Katrina: Better Plans and Exercises Needed to Guide the Military's Response to Catastrophic Natural Disasters*, [GAO-06-643](#) (Washington, D.C.: May 15, 2006).

¹³Title 10 and Title 32 are titles of the United States Code that govern the operations of DOD and the National Guard respectively. When operating in Title 32 status, National Guard personnel, including dual-status commanders, are under the command and control of the state Governor. DOD and National Guard personnel operating in Title 10 status, including dual-status commanders, are under the command and control of the President and the Secretary of Defense.

status commanders exercise command on behalf of both the federal and the state chains of command and serve as the link between these two chains of command. According to DOD officials, dual-status commanders are intended to provide unity of effort, ensuring coordination of National Guard and federal military resources in response to domestic emergencies, natural disasters, or designated planned events. According to DOD officials, dual-status commanders have been used for select planned events since 2004 and helped coordinate response to Hurricane Sandy in 2012, wildfires in Colorado, and the bombing at the Boston Marathon in 2013.

- *Mobilization Authorities.* DOD officials said that following Hurricane Katrina it was clear to them that the military needed to be empowered to respond more quickly to disasters. Ultimately, Congress approved new authorities in the National Defense Authorization Act for Fiscal Year 2012, one of which provided DOD with greater access to the federal reserve during domestic incidents.¹⁴ Section 12304a of Title 10 of the United States Code states that when a Governor requests federal assistance in responding to a major disaster or emergency the Secretary of Defense may mobilize any individual or unit of the federal reserves involuntarily for up to 120 days to respond to the Governor's request.¹⁵ The military services were using interim implementation guidance for these authorities at the time of our review and were waiting for DOD to finalize its guidance in September 2013. Additionally, DOD officials told us that Hurricane Sandy is the only domestic disaster thus far to use the new mobilization authorities under section 12304a. Since DOD is still developing its process for implementing these new authorities and has had limited experience using them it is too early to know whether they will better enable the states to access federal capabilities when responding to domestic disasters.

¹⁴Pub. L. No. 112-81, §§ 515 and 516 (2011) (codified at 10 U.S.C. §§ 12304a and 12304b respectively).

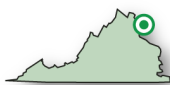
¹⁵10 U.S.C. § 12304a.

Appendix III: Profile for the National Guard Bureau, Army National Guard Directorate, and Air National Guard Readiness Center

National Guard Bureau, Army National Guard Directorate, and Air National Guard Readiness Center

The National Guard has a dual role as a state force and as a reserve component of the Army and the Air Force. The National Guard Bureau is headed by the Chief of the National Guard Bureau, a General who is a member of the Joint Chiefs of Staff. Department of Defense (DOD) guidance states that the Chief of the National Guard Bureau is the principal advisor to the Army and Air Force on matters relating to the National Guard and serves as the channel of communications between DOD and the states. Subordinate to the National Guard Bureau are the Army National

Guard Directorate and the Air National Guard Readiness Center, which are commanded by Lieutenant Generals. These headquarters are responsible for assisting the Chief of the National Guard Bureau in implementing guidance on structure, strength authorizations, and other resources allocated to the National Guard; supervising and administering the Active Guard and Reserve program; and ensuring that units are trained and ready in accordance with the National Guard Bureau—and military service—approved policies and programs.



National Guard Bureau *Arlington Hall Station, Virginia*

Mission: Participate with the Army and the Air Force staffs in the formulation, development, and coordination of all programs, policies, concepts, and plans pertaining to the National Guard; administer programs; and assist in the organization, maintenance, and operation of National Guard units.

Responsibilities: Focal point at the strategic level for National Guard matters that are not under the authority of the military service. Channel of communication between DOD and the states.

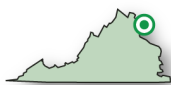
Capabilities managed:^a

- National Guard Bureau Joint Staff
- Director, Army National Guard
- Director, Air National Guard
- Office of the Chief of the National Guard Bureau

Status of personnel requirements:

Personnel requirements not determined through an assessment as of May 2013.

Personnel data reported: Not listed as a major DOD headquarters activity in DOD's instruction, and therefore DOD did not report personnel data in its Defense Manpower Requirements Report.



Army National Guard Directorate *Arlington Hall Station, Virginia*

Mission: Assist the Chief, National Guard Bureau, in carrying out the functions of the National Guard Bureau as they relate to the Army National Guard.

Responsibilities: The Director, Army National Guard, under the supervision and control of the Chief, National Guard Bureau, performs those administrative and operational functions of the Chief pertaining to the Army National Guard of the United States.

Capabilities managed:

- Command and control headquarters for multiple capabilities including divisions, expeditionary sustainment, and military police
- Special Forces groups
- Brigade combat teams for infantry, armor, and Stryker
- Multifunctional support brigades including maneuver enhancement and sustainment
- Functional support brigades including regional support groups, engineer, and theater aviation
- Modified battalions

Status of personnel requirements:

Personnel requirements were determined through a reassessment in 2013.

Personnel data reported: DOD reported personnel data for this headquarters in the Defense Manpower Requirements Report for personnel performing major headquarters activities functions.



Air National Guard Readiness Center *Joint Base Andrews, Maryland*

Mission: Assist the Chief, National Guard Bureau, in carrying out the functions of the National Guard Bureau as they relate to the Air National Guard.

Responsibilities: The Director, Air National Guard, under the supervision and control of the Chief, National Guard Bureau, performs those administrative and operational functions of the Chief pertaining to the Air National Guard of the United States.

Capabilities managed:

- Alert sites for air defense
- Tactical airlift
- Air refueling tankers
- General purpose fighters
- Rescue and recovery capabilities
- Tactical air support
- Weather flights
- Strategic airlift
- Special operations
- Aeromedical evacuation

Status of personnel requirements:

Personnel requirements not determined through an assessment as of May 2013.

Personnel data reported: DOD reported personnel data for this headquarters in the Defense Manpower Requirements Report for personnel performing major headquarters activities functions.

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**Appendix III: Profile for the National Guard
Bureau, Army National Guard Directorate, and
Air National Guard Readiness Center**

Continued from previous page.

National Guard Bureau, Army National Guard Directorate, and Air National Guard Readiness Center

Our analysis of the National Guard's personnel data shows that the National Guard Bureau, Army National Guard Directorate, and Air National Guard Readiness Center experienced substantial growth in the number of funded positions from fiscal year 2009 through fiscal year 2013.

Element	Personnel category	2009	2010	2011	2012	2013	Net change
Headquarters, National Guard Bureau	Active Duty	11	11	10	10	13	2 (18%)
	Active Guard and Reserve	478	476	490	492	490	12 (3%)
	Civilian	238	363	368	364	363	125 (53%)
	Total full-time support	727	850	868	866	866	139 (19%)
	Part-time Guardsmen	17	2	1	1	1	-16 (-94%)
	Total funded positions	744	852	869	867	867	123 (17%)
Army National Guard Directorate	Active Guard and Reserve	827	824	865	877	880	53 (6%)
	Civilian	357	638	650	682	683	326 (91%)
	Total full-time support	1,184	1,462	1,515	1,559	1,563	379 (32%)
	Active duty for operational support	531	182	908	908	908	377 (71%)
	Total funded positions	1,715	1,644	2,423	2,467	2,471	756 (44%)
Air National Guard Readiness Center	Active Duty	79	76	74	72	72	-7 (-9%)
	Active Guard and Reserve	554	548	555	565	581	27 (5%)
	Civilian	341	499	512	528	532	191 (56%)
	Total full-time support	974	1,123	1,141	1,165	1,185	211 (22%)
	Part-time Guardsmen	26	27	27	26	26	0 (0%)
	Total funded positions	1,000	1,150	1,168	1,191	1,211	211 (21%)

Source: GAO analysis of DOD and National Guard data.

Notes: Air National Guard officials said that growth in positions was driven largely by DOD's in-sourcing effort. In April 2009, the Secretary of Defense announced his intention to reduce the department's reliance on contractors and increase funding for new civilian authorizations. For example, Air National Guard officials said that DOD's in-sourcing effort caused the Air National Guard Readiness Center to add 180 funded positions to the headquarters' unit manning document; however, they could not determine the number of contractor positions that were eliminated as a result of this in-sourcing effort.

These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or reserves and thereby fill both a full-time civilian position and a part-time military position. Additionally, some DOD personnel, referred to as "Active Guard and Reserve," occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations, we included them in both the Active Guard and Reserve and the part-time Guardsmen categories.

In addition to having full-time civilian and Active Guard and Reserve personnel, the Army National Guard Directorate has a group of personnel that are categorized as "Active Duty for Operational Support". Active Duty for Operational Support is an authorized voluntary tour of active duty that is performed at the request of an organizational or operational commander, or as a result of reimbursable funding, among other things. The purpose of this category is to provide the necessary skilled manpower assets to support existing or emerging requirements.

^aWe included subordinate headquarters in the National Guard Bureau's list of capabilities because these headquarters are under the management of the Chief of the National Guard Bureau.

Appendix IV: Profile for the National Guard State Joint Force Headquarters

National Guard Joint Force Headquarters-State

In 2011, the Department of Defense (DOD) issued guidance^a formally establishing 54 National Guard State Joint Force headquarters (DOD calls these Joint Force Headquarters-State).^b These headquarters are commanded by an Adjutant General and are comprised of a Joint staff element, Army staff element, Air staff element, and the personal staff of

the State Adjutant General. The state Joint Force headquarters have command and control of National Guard units within their areas of responsibility and train and equip these units. They also help integrate federal and state-level activities and respond to domestic incidents.



50 states and District of Columbia



Puerto Rico, Virgin Islands, and Guam

Mission: Maintain trained and equipped forces to perform missions as authorized by the Governor and the President and provide command and control of all Army National Guard and Air National Guard forces in their areas of responsibility, among other missions.

Responsibilities: The Adjutant General's federal responsibilities include the following:

- Establishing temporary joint task force command elements ready to provide command and control for domestic operations.
- Accepting mutually agreed-upon federal liaison elements.
- Designating officers eligible to serve in dual-status and ensure that these officers facilitate unity of effort between state and federal military forces.
- Ensure homeland defense— and civil support—unique equipment is available for use should the unit owning the equipment deploy.
- Advise the Governors and collaborate with DOD leadership.

Capabilities managed: All Army National Guard and Air National Guard capabilities are under the command and control of one or more of the 54 state Joint Force headquarters when not mobilized by the President for federal missions.

Status of personnel requirements: The 54 state Joint Force headquarters have not had their manpower requirements reassessed as of May 2013; however, according to National Guard Bureau officials they are in the process of determining personnel requirements for the state Joint Force headquarters Joint staff element.

Personnel data reported: Not listed as a major DOD headquarters activity in DOD's instruction, and therefore officials said that DOD did not report personnel data for these headquarters in its Defense Manpower Requirements Report.

Continued on next page.

**Appendix IV: Profile for the National Guard
State Joint Force Headquarters**

Continued from previous page.

National Guard Joint Force Headquarters-State

Our analysis of the 54 state Joint Force headquarters personnel data shows that funded positions at these headquarters have remained relatively flat from fiscal year 2009 through fiscal year 2013, as shown below.

Headquarters	Personnel category	2009	2010	2011	2012	2013	Net change
State Joint Force headquarters	Active Guard and Reserve	2,284	2,306	2,122	1,925	1,899	-385 (-17%)
	Military Technician	7,669	7,667	7,898	7,884	7,878	209 (3%)
	Total full-time support	9,953	9,973	10,019	9,808	9,777	-175 (-2%)
	Part-time Guardsmen	11,687	11,753	11,956	12,118	12,120	432 (4%)
	Total funded positions	21,640	21,726	21,975	21,926	21,897	257 (1%)

Source: GAO analysis of National Guard data.

Notes: National Guard officials attributed the increase of over 250 funded positions at the state Joint Force headquarters to mission growth resulting from the establishment of civil support capabilities such as implementation of the Homeland Response Forces beginning in fiscal year 2011.

These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or Reserves and thereby fill both a full-time civilian position and a part-time military position. Additionally, some DOD personnel, referred to as "Active Guard and Reserve," occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations, we included them in both the Active Guard and Reserve and the part-time Guardsmen categories.

^aDOD Directive 5105.83, *National Guard Joint Force Headquarters-State (NG-JFHQs-State)* (Jan. 5, 2011).

^bJoint Force Headquarters-State evolved from predecessor Army National Guard and Air National Guard headquarters in each state that were established in the 1980s. In 2003, at the direction of the Chief of the National Guard Bureau, the predecessor headquarters were combined into the 54 Joint Force Headquarters-State each of which is commanded by an Adjutant General under the command of the Governor. This arrangement was formally recognized by DOD in 2011 with the issuance of DOD Instruction 5105.83.

Appendix V: Profile for the Office of the Chief of the Army Reserve and U.S. Army Reserve Command

Office of the Chief of the Army Reserve and U.S. Army Reserve Command

The Army Reserve is a component of the Department of the Army and provides maneuver support and maneuver sustainment capabilities as well as individual soldiers through the Individual Ready Reserve and as Individual Mobilization Augmentees. The Chief of the Army Reserve—a Lieutenant General—is the commanding officer for both the Office of the Chief of the Army Reserve and U.S. Army Reserve Command. As the Chief of the Army Reserve, the commander sits on the Army staff and is responsible, subject to certain exceptions, for justification and execution



Office of the Chief, Army Reserve *Pentagon, Virginia*

Mission: Serve as the Headquarters Army principal staff organization to organize and equip Army Reserve Forces. Provide direct support to the Chief of Staff of the Army in the execution of his or her function and Title X responsibilities, and commands the U.S. Army Reserve Command.

Responsibilities: Responsible, subject to certain exceptions, for justification and execution of certain Army Reserve budgets, and is the director and functional manager of those appropriations; managing the Army Reserve's full-time support program; and submitting annual reports to the Secretary of Defense.

Capabilities managed: Not applicable.

Status of personnel requirements: Personnel requirements have not been fully determined through the Army Manpower Management Program; however, in 2009 the headquarters established an Employer Partnership Office, which involved the development of a concept plan for that office.

Personnel data reported: DOD reported personnel data for this headquarters in the Defense Manpower Requirements Report as part of the Army staff, which is identified as a major DOD headquarters activity in DOD's guidance.

of certain Army Reserve budgets, and is the director and functional manager of those appropriations; managing the Army Reserve's full-time support program; and submitting annual reports to the Secretary of Defense. As the commander of U.S. Army Reserve Command the commander reports to U.S. Army Forces Command, and commands, controls, supports, and ensures wartime readiness of Army Reserve forces.



U.S. Army Reserve Command *Fort Bragg, North Carolina*

Mission: Provide command, control, and support to Army Reserve forces assigned.

Responsibilities: Organizes, trains, and prepares Army Reserve units for mobilization and commitment to wartime theater of operations. Ensures wartime readiness of Army Reserve forces.

Capabilities managed:^a

- Judge Advocate General units
- Chaplain units
- Civil affairs
- Military history
- Quartermaster
- Military Information Support Operations
- Postal and Personnel
- Medical
- Information Operations
- Chemical
- Transportation
- Public Affairs
- Engineers
- Military Intelligence
- Military Police

Status of personnel requirements: Personnel requirements have not been fully evaluated through the Army Manpower Management Program; however, in 2009 the headquarters established baseline requirements for seven of its Inspector General functions.

Personnel data reported: DOD reported personnel data for this headquarters in the Defense Manpower Requirements Report for personnel performing major headquarters activities functions.

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**Appendix V: Profile for the Office of the Chief
of the Army Reserve and U.S. Army Reserve
Command**

Continued from previous page.

Office of the Chief of the Army Reserve and U.S. Army Reserve Command

Our analysis of Army Reserve personnel data shows that the Office of the Chief of the Army Reserve and the U.S. Army Reserve Command grew from fiscal year 2009 through fiscal year 2013 as shown below.

Headquarters	Personnel category	2009	2010	2011	2012	2013	Net change
Office of the Chief of the Army Reserve	Active Guard and Reserve	212	262	271	281	281	69 (32.5%)
	Civilian	54	133	134	138	105	51 (94.4%)
	Total full-time support	266	395	405	419	386	120 (45.1%)
	Part-time Reservists	0	0	0	0	0	0 (NA)
	Total funded positions	266	395	405	419	386	120 (45.1%)
U.S. Army Reserve Command	Active Guard and Reserve	372	327	327	322	419	47 (12.6%)
	Civilian	342	278	278	287	311	-31 (-9.1%)
	Total full-time support	714	605	605	609	730	16 (2.2%)
	Part-time Reservists	0	0	0	0	0	0 (NA)
	Total funded positions	714	605	605	609	730	16 (2.2%)

Source: GAO analysis of Army Reserve data.

Notes: Army Reserve officials noted that changes in funded positions are partially driven by movement of positions between the Office of the Chief of the Army Reserve and U.S. Army Reserve Command. Additionally, officials said one significant driver of growth was the addition of new missions such as the addition of the Employer Partnership Office to the Office of the Chief of the Army Reserve. According to senior Army Reserve officials, growth in the Office of the Chief of the Army Reserve also is driven by the transfer of functions between staff elements. For example, officials said that in fiscal year 2012 the Army Reserve Installation Management Directorate was added to the Office of the Chief of the Army Reserve's personnel requirements document as a result of an agreement between the Chief of the Army Reserve and the Commander for Army Installation Management Command. Officials said that 10 military and 33 civilian positions were added to the Office of the Chief of the Army Reserve in fiscal year 2013 as a result of this decision.

These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or Reserves and thereby fill both a full-time civilian position and a part-time military position. Additionally, some DOD personnel, referred to as "Active Guard and Reserve," occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations, we included them in both the Active Guard and Reserve and the part-time reservist categories.

^aDoes not represent all capabilities managed by the U.S. Army Reserve Command.

Appendix VI: Profile for the Army Reserve Regional Support Commands

Army Reserve Regional Support Commands

Army Reserve officials said that the creation of the four Army Reserve Regional Support Commands was part of the Army Reserve's evolution from a structure that included over 30 commands performing regional

missions to 21 functional and regional commands. Each of the regional support commands are commanded by a Major General.



63rd Regional Support Command
*Moffett Field,
California*



81st Regional Support Command
*Ft. Jackson,
South Carolina*



88th Regional Support Command
*Ft. McCoy,
Wisconsin*



99th Regional Support Command
*Joint Base McGuire-Dix-
Lakehurst, New Jersey*

Mission: Provides administrative and logistical support to all Army Reserve units and commands within its geographic area of responsibility. Manages all Operations and Maintenance, Personnel, Military Construction, and other appropriations for which requirements are justified as allocated by the U.S. Army Reserve Command and the Office of Chief, Army Reserve. Supervises all area maintenance support activities and equipment-concentration sites within its area of responsibility. Provides facility support to all Army Reserve units within its area of responsibility.

- Responsibilities:** The Command Group of these commands is responsible for the following:
- Provide direction, guidance, and regional base-operations support to supported units within the region. The base-operations support is provided in functional areas of personnel, logistics, force integration, programming and budgeting, finance and accounting, information management, emergency services, public works, historian, inspector general, religious, medical, legal, safety, public affairs, internal review, and management controls.
 - Manage and execute appropriations as authorized by U.S. Army Reserve Command and the Assistant Chief of Staff for Installation Management for base-operations support.
 - Implement policies and intent of the U.S. Army Reserve Command commanding general.
 - Represent the Army Reserve before military and civilian organizations and agencies at various levels of command and government to include speaking engagements.
 - Assist with local community relations and represent the U.S. Army Reserve Command to foreign dignitaries on various occasions.

Capabilities managed: Not applicable.

Status of personnel requirements: Personnel requirements have not been fully determined through the Army Manpower Management Program; however, they are currently in the process of being reassessed.

Personnel data reported: Not listed as a major Department of Defense headquarters activity in DOD's instruction, and therefore officials said that DOD did not report personnel data in its Defense Manpower Requirements Report.

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**Appendix VI: Profile for the Army Reserve
Regional Support Commands**

Continued from previous page.

Army Reserve Regional Support Commands

Our analysis of the Army Reserve's Regional Support Command personnel data shows that funded positions at these headquarters have increased slightly from fiscal year 2009 through fiscal year 2013, as shown below.

Headquarters	Personnel category	2009	2010	2011	2012	2013	Net change
Army Reserve 63rd Regional Support Command	Active Guard and Reserve	34	34	34	34	33	-1 (-3%)
	Civilian	196	196	196	234	204	8 (4%)
	Total full-time support	230	230	230	268	237	7 (3%)
	Part-time Reservists	49	51	51	51	52	3 (6%)
	Total funded positions	279	281	281	319	289	10 (4%)
Army Reserve 81st Regional Support Command	Active Guard and Reserve	34	34	34	34	35	1 (3%)
	Civilian	197	198	199	235	200	3 (2%)
	Total full-time support	231	232	233	269	235	4 (2%)
	Part-time Reservists	48	51	51	51	50	2 (4%)
	Total funded positions	279	283	284	320	285	6 (2%)
Army Reserve 88th Regional Support Command	Active Guard and Reserve	34	34	34	34	34	0 (0%)
	Civilian	196	197	197	216	199	3 (2%)
	Total full-time support	230	231	231	250	233	3 (1%)
	Part-time Reservists	49	51	51	51	51	2 (4%)
	Total funded positions	279	282	282	301	284	5 (2%)
Army Reserve 99th Regional Support Command	Active Guard and Reserve	34	34	34	34	34	0 (0%)
	Civilian	196	197	196	193	195	-1 (-1%)
	Total full-time support	230	231	230	227	229	-1 (0%)
	Part-time Reservists	49	51	51	51	51	2 (4%)
	Total funded positions	279	282	281	278	280	1 (0%)
Total	Total funded positions	1,116	1,128	1,128	1,218	1,138	22 (2%)

Source: GAO analysis of Army Reserve data.

Notes: Army Reserve officials noted that the Regional Support Commands were established in 2008 and are relatively new organizations. Consequently, changes to the headquarters have been minimal because officials said they have needed to first establish a baseline to know what an appropriate number of personnel would be for these organizations.

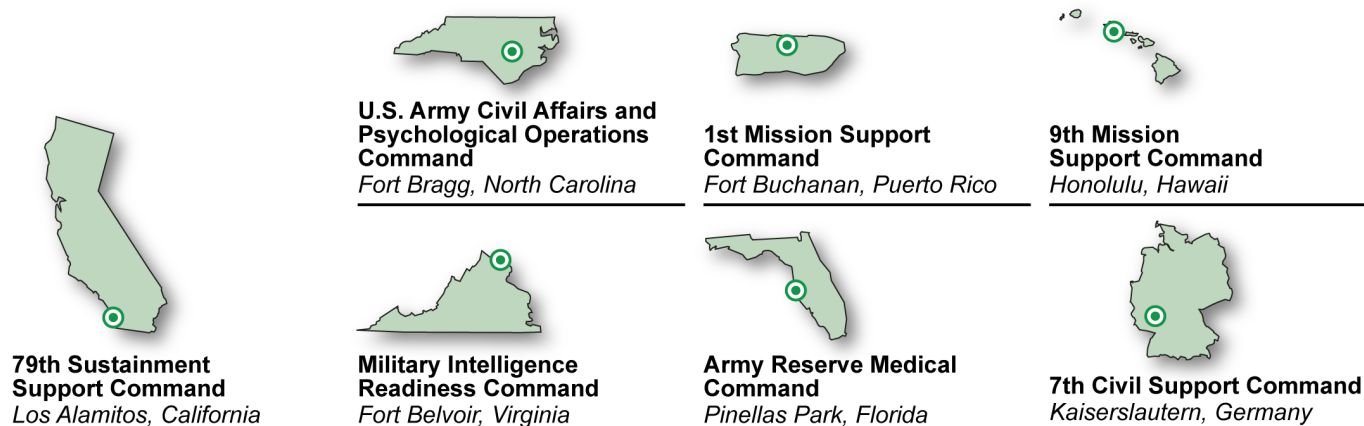
These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or Reserves and thereby fill both a full-time civilian position and a part-time military position. Additionally, some DOD personnel, referred to as "Active Guard and Reserve," occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations, we included them in both the Active Guard and Reserve and the part-time Reservist categories.

Appendix VII: Profile for the U.S. Army Reserve Functional Commands

U.S. Army Reserve Functional Commands

Each Army Reserve's functional command is commanded by at least a brigadier general and provides trained and ready units. The functional commands, with the exception of 9th Mission Support Command and 7th Civil Support Command, report to U.S. Army Reserve Command.

Those two commands report to Army theater command and coordinate with U.S. Army Reserve Command. Individual units assigned to functional commands are deployable, while their headquarters are not.



Mission: Maintain and provide training and, in certain cases, generate specific capabilities.

Responsibilities: Vary by command.

Capabilities managed:

- U.S. Army Civil Affairs and Psychological Operations Command: Expeditionary, campaign-quality Civil Affairs and Military Information Support Operations Force fully mission-capable across the full spectrum of military operations.
- 1st Mission Support Command: Provides trained staff sections to maintain effective peacetime command, control, and training of assigned and attached Army Reserve units.
- 9th Mission Support Command: Provides the capability of a Defense Coordinating Office, Defense Coordinating Element, and a command and control headquarters with a core battle staff that is able to support Joint Task Force-Homeland Defense, Operations Plan Detainee Operations, Theater Security Cooperation Plan missions, and other small-scale contingencies.
- 7th Civil Support Command: Provides the U.S. Army Europe interface for consequence management between host-nation authorities, U.S. State Department, and other U.S. organizations and services and provides trained ready Army Reserve forces for mobilization.
- 79th Sustainment Support Command: Provides command and control for up to four Expeditionary Sustainment Commands and their subordinate units—effectively supporting the collective training, mobilization, deployment, and redeployment of Combat Sustainment Support units dispersed over significant geographic distances.
- Military Intelligence Readiness Command: Intelligence capabilities and training facilities.
- Army Reserve Medical Command: Support Army Reserve Army Medicine Soldier and unit readiness, and medical training.

Status of personnel requirements: Personnel requirements have not been fully evaluated through the Army Manpower Management process for six of the seven functional commands (the Military Intelligence Readiness Command was reassessed in 2010); however, all seven functional commands have had partial assessments of the Command Chief Warrant Officer position completed in 2012.

Personnel data reported: Not listed as a major Department of Defense (DOD) headquarters activity in DOD's instruction, and therefore officials said that DOD did not report personnel data in its Defense Manpower Requirements Report.

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**Appendix VII: Profile for the U.S. Army Reserve
Functional Commands**

Continued from previous page.

U.S. Army Reserve Functional Commands

Our analysis of the Army Reserve's functional commands shows that these organizations generally increased their funded positions over the 5-year period we reviewed, as shown below.

Headquarters	Personnel category	2009	2010	2011	2012	2013	Net change
1st Mission Support Command	Active Guard and Reserve	38	41	41	31	30	-8 (-21.1%)
	Civilian	8	9	9	10	10	2 (25%)
	Technician	18	15	22	15	15	-3 (-16.7%)
	Total full-time support	64	65	72	56	55	-9 (-14.1%)
	Part-time reservists	122	120	127	121	121	-1 (-0.82%)
	Total funded positions	186	185	199	177	176	-10 (-5.4%)
Army Reserve 79th Sustainment Support Command	Active Guard and Reserve	0	0	38	38	34	34 (NA)
	Civilian	0	0	0	6	6	6 (NA)
	Technician	0	0	0	21	21	21 (NA)
	Total full-time support	0	0	38	65	61	61 (NA)
	Part-time reservists	0	122	122	149	149	149 (NA)
	Total funded positions	0	122	160	214	210	210 (NA)
Army Reserve 7th Civil Support Command	Active Guard and Reserve	34	20	20	47	47	13 (38.2%)
	Civilian	11	18	18	18	16	5 (45.5%)
	Technician	23	30	30	28	29	6 (26.1%)
	Total full-time support	68	68	68	93	92	24 (35.3%)
	Part-time reservists	78	92	149	147	146	68 (87.2%)
	Total funded positions	146	160	217	240	238	92 (63.0%)
Army Reserve 9th Mission Support Command	Active Guard and Reserve	36	38	38	42	42	6 (16.7%)
	Civilian	1	8	8	10	10	9 (900%)
	Technician	12	17	17	20	21	9 (75%)
	Total full-time support	49	63	63	72	73	24 (49%)
	Part-time reservists	106	118	132	137	138	32 (30.2%)
	Total funded positions	155	181	195	209	211	56 (36.1%)

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**Appendix VII: Profile for the U.S. Army Reserve
Functional Commands**

Continued from previous page.

U.S. Army Reserve Functional Commands

Headquarters	Personnel category	2009	2010	2011	2012	2013	Net change
Army Reserve Medical Command	Active Guard and Reserve	55	57	57	55	48	-7 (-12.7%)
	Civilian	1	2	2	5	5	4 (400%)
	Technician	19	19	19	19	19	0 (0%)
	Total full-time support	75	78	78	79	72	-3 (-4%)
	Part-time reservists	175	176	177	180	180	5 (2.9%)
	Total funded positions	250	254	255	259	252	2 (0.8%)
Military Intelligence Readiness Command	Active Guard and Reserve	77	78	78	78	68	-9 (-11.7%)
	Civilian	10	14	14	19	15	5 (50%)
	Technician	22	22	22	22	16	-6 (-27.3%)
	Total full-time support	109	114	114	119	99	-10 (-9.2%)
	Part-time reservists	154	156	148	153	143	-11 (-7.1%)
	Total funded positions	263	270	262	272	242	-21 (-8%)
U.S. Army Civil Affairs and Psychological Operations Command	Active Guard and Reserve	110	99	99	113	100	-10 (-9.1%)
	Civilian	26	34	34	35	28	2 (7.7%)
	Technician	49	36	36	36	36	-13 (-26.5%)
	Total full-time support	185	169	169	184	164	-21 (-11.4%)
	Part-time reservists	377	387	387	388	381	4 (1.1%)
	Total funded positions	562	556	556	572	545	-17 (-3%)
Army Functional Support Commands	Total funded positions	1,562	1,728	1,844	1,943	1,874	312 (20%)

Source: GAO analysis of Army data.

Notes: Army Reserve officials told us that the functional commands' growth was the result of, in certain cases, missions becoming more defined and absorbing other commands' requirements, such as for the 79th Sustainment Support Command, 7th Civil Support Command, and 9th Mission Support Command.

These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or Reserves and thereby fill both a full-time civilian position and a part-time military position. Additionally, some DOD personnel, referred to as "Active Guard and Reserve," occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations, we included them in both the Active Guard and Reserve and the part-time reservist categories.

Appendix VIII: Profile for Air Force Reserve Command and Headquarters, Air Force Reserve

Air Force Reserve Command and Headquarters, Air Force Reserve

The Air Force Reserve is a component of the Department of the Air Force and provides a spectrum of capabilities for federal missions. By law, the Chief of the Air Force Reserve—a lieutenant general—is the commander for the Headquarters, Air Force Reserve, and Air Force Reserve Command. The Chief of the Air Force Reserve also sits on the Air Force staff and is responsible for preparing, justifying, and executing



Air Force Reserve Command *Warner Robins Air Force Base, Georgia*

Mission: Provide citizen airmen to defend the United States and to protect its interests through air and space power.

Responsibilities: Organizes, trains, and equips combat-ready forces. Directs operation of the three numbered Air Forces and provides all required major command-level support for all Air Force Reserve units and personnel. Maintains overall supervision of Air Force Reserve matters supporting Air Force war plans, programming documents, and mobilization actions. Retains administrative control over all Air Force Reserve units except for forces attached to the Commander, Air Force Forces.

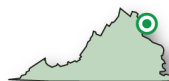
Capabilities managed:

- 4th Air Force
- 10th Air Force
- 22nd Air Force

Status of personnel requirements: Personnel requirements have not been fully determined through an assessment; however, in 2012 Air Force Reserve Command completed an assessment of select functions as part of its creation of its Force Generation Center.

Personnel data reported: Department of Defense reported personnel data for this headquarters in the Defense Manpower Requirements Report for personnel performing major headquarters activities functions.

budgets for the Air Force Reserve; directing and managing certain Air Force Reserve appropriations; managing the Air Force Reserve's full-time support program; and submitting annual reports to the Secretary of Defense. As the commander for Air Force Reserve Command, the commander is assigned command of most Air Force Reserve forces not assigned to the unified combatant commands.



Headquarters, Air Force Reserve *Pentagon, Virginia*

Mission: Provide direct support to the Chief of Staff of the Air Force in the execution of his or her function and Title X responsibilities, and command the U.S. Air Force Reserve Command.

Responsibilities: Subject to certain exceptions, justify and execute the budgets for the Air Force Reserve. Manage the full-time support program. Provide an annual report to the Secretary of Defense on the state of the Air Force Reserve and its ability to meet its missions.

Capabilities managed: Not applicable.

Status of personnel requirements: Personnel requirements were determined through an assessment in September 2011.

Personnel data reported: DOD reported personnel data for this headquarters in the Defense Manpower Requirements Report as part of the Air staff, which is identified as a major DOD headquarters activity in DOD's guidance.

Continued on next page.

**Appendix VIII: Profile for Air Force Reserve
Command and Headquarters, Air Force
Reserve**

Continued from previous page.

Air Force Reserve Command and Headquarters, Air Force Reserve

Our analysis of the Air Force Reserve personnel data shows that Headquarters, Air Force Reserve, reduced the number of funded positions from fiscal year 2009 through fiscal year 2013, and Air Force Reserve Command increased its number of funded positions over the same period, as shown below.

Element	Personnel category	2009	2010	2011	2012	2013	Net change
Air Force Reserve Command	Active Duty	55	54	54	54	51	-4 (-7.3%)
	Active Guard and Reserve	216	221	220	216	217	1 (0.5%)
	Civilian	614	586	582	585	513	-101 (-16.4%)
	Military Technician	112	117	118	127	125	13 (11.6%)
	Total full-time support	997	978	974	982	906	-91 (-9.1%)
	Part-time reservists	421	561	563	636	610	189 (44.9%)
	Total funded positions	1,418	1,539	1,537	1,618	1,516	98 (6.9%)
Headquarters, Air Force Reserve	Active Duty	9	9	8	5	5	-4 (-44.4%)
	Active Guard and Reserve	85	81	85	84	75	-10 (-11.8%)
	Civilian	25	23	23	20	20	-5 (-20.0%)
	Total full-time support	119	113	116	109	100	-19 (-16.0%)
	Part-time reservists	0	0	0	3	4	4 (NA)
	Total funded positions	119	113	116	112	104	-15 (-12.6%)

Source: GAO analysis of statutes, and DOD and Air Force Reserve data.

Notes: Air Force Reserve officials told us that growth at Air Force Reserve Command resulted from the creation of its Force Generation Center, which was established to streamline force identification, mobilization, and deployment across the Air Force Reserve and improve the commander's visibility into current and planned resource commitments. Officials told us that reduction in the size of Headquarters, Air Force Reserve, was driven by the commander having required the headquarters to identify positions for elimination as part of the Air Force's efforts to improve efficiency. The headquarters is expected to have 96 funded positions in 2017.

These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or Reserves and thereby fill both a full-time civilian position and a part-time military position. Additionally, some DOD personnel, referred to as "Active Guard and Reserve," occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations, we included them in both the Active Guard and Reserve and the part-time reservist categories.

Appendix IX: Profile for the Air Force Reserve Numbered Air Forces

Air Force Reserve Numbered Air Forces

Each of the Air Force Reserve's three numbered air forces (the 4th, 10th, and 22nd) are commanded by a Major General. They are subordinate organizations to the Air Force Reserve Command that provide operational leadership and supervision to assigned units (wings, groups, and squadrons). Each numbered air force helps ensure

their subordinate units meet readiness requirements. According to Air Force Reserve officials, starting in 2009 the Air Force Reserve restructured its numbered air forces, which led them to reduce the total number of funded positions at these headquarters.



4th Air Force
March Air Reserve Base, California



10th Air Force
Joint Reserve Base Fort Worth, Texas



22nd Air Force
Dobbins Air Reserve Base, Georgia

Mission: Command assigned units. Ensure assigned units maintain operational readiness according to Air Force standards to include combat readiness, medical readiness, and inspection readiness. Provide assistance to, and operational readiness assessment of, assigned units through Operational Readiness Exercises and other discretionary events when warranted. Supervise and assist assigned units in planning for deployment and redeployment actions, major events, and contingencies. Advocate for assigned units. Implement plans, policies, and programs as developed and directed by Headquarters, Air Force Reserve.

- Responsibilities:**
- Communicate with Lead Major Command on matters relating to training, inspection, operational mission coordination, and logistical support.
 - Assist units to implement command operational readiness and compliance processes.
 - Manage resources across units.

- Capabilities managed:**
- Strategic reach

- Capabilities managed:**
- Power/vigilance

- Capabilities managed:**
- C-130/combat support

Status of personnel requirements: Personnel requirements were assessed in 2012.

Personnel data reported: Not listed as a major Department of Defense (DOD) headquarters activity in DOD's instruction and therefore officials said that DOD did not report personnel data in its Defense Manpower Requirements Report.

Personnel data reported: Not listed as a major DOD headquarters activity in DOD's instruction, and therefore officials said that DOD did not report personnel data in its Defense Manpower Requirements Report.

Personnel data reported: Not listed as a major DOD headquarters activity in DOD's instruction, and therefore officials said that DOD did not report personnel data in its Defense Manpower Requirements Report.

Continued on next page.

**Appendix IX: Profile for the Air Force Reserve
Numbered Air Forces**

Continued from previous page.

Air Force Reserve Numbered Air Forces

Our analysis of the Air Force Reserve's three Numbered Air Forces shows that these organizations reduced their total number of funded positions by more than 100 positions over the 5-year period we reviewed.

Headquarters	Personnel category	2009	2010	2011	2012	2013	Net change
Numbered Air Forces	Active Guard and Reserve	3	3	3	2	6	3 (100%)
	Civilian	15	12	13	12	12	-3 (-20%)
	Military Technician	139	140	140	103	104	-35 (-25%)
	Total full-time support	157	155	156	117	122	-35 (-22%)
	Part-time reservists	283	287	287	204	164	-119 (-42%)
	Total funded positions	440	442	443	321	286	-154 (-35%)

Source: GAO analysis of Air Force Reserve data.

Notes: Air Force officials said that the Numbered Air Forces reduced their manpower in part to create the Air Force Reserve Force Generation Center. Additionally, the Air Force Reserve altered the Numbered Air Forces' responsibilities by making the wings responsible for ensuring they meet readiness requirements, a task that officials said was originally a Numbered Air Force responsibility.

These data reflect funded civilian and military positions. Some DOD personnel, referred to as "dual-status technicians," are required, as a condition of employment, to be a drilling member of the National Guard or Reserves and thereby fill both a full-time civilian position and a part-time military position. Additionally, some DOD personnel, referred to as "Active Guard and Reserve," occupy both a full-time military position as well as a part-time military position. Consequently, in our calculations, we included them in both the Active Guard and Reserve and the part-time reservist categories.

Appendix X: Content for Interactive Figures in Background Section

Component	Headquarters type	Missions and responsibilities
Army National Guard and Air National Guard	National Guard Bureau	• A joint activity of the Department of Defense (DOD). • Participate with the Army and the Air Force staffs in the formulation, development, and coordination of all programs, policies, concepts, and plans pertaining to the National Guard; • Administer programs. • Assist in the organization, maintenance, and operation of National Guard units. • Focal point at the strategic level for National Guard matters that are not under the authority of the military service. • Channel of communications between DOD and the states.
	Joint Force Headquarters	Located in all 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, and Guam. Comprised of a Joint staff, Army staff, and Air staff. The Adjutant General's federal responsibilities include the following: Establishing temporary joint task force command elements ready to provide command and control for domestic operations. Accepting mutually agreed-upon federal liaison elements. Designating officers eligible to serve in dual-status and ensure that these officers facilitate unity of effort between state and federal military forces. Ensures homeland defense— and civil support—unique equipment is available for use should the unit owning the equipment deploy. Advises the Governors and collaborates with DOD leadership.
Army National Guard	Army National Guard Directorate	Assists the Chief, National Guard Bureau, in carrying out the functions of the National Guard Bureau as they relate to the Army National Guard. The Director, Army National Guard, under the supervision and control of the Chief, National Guard Bureau, performs those administrative and operational functions of the Chief pertaining to the Army National Guard and the Army National Guard of the United States.
Air National Guard	Air National Guard Readiness Center	Assists the Chief, National Guard Bureau, in carrying out the functions of the National Guard Bureau as they relate to the Air National Guard. The Director, Air National Guard, under the supervision and control of the Chief, National Guard Bureau, performs those administrative and operational functions of the Chief pertaining to the Air National Guard and the Air National Guard of the United States.
U.S. Army Reserve	Office of the Chief of the Army Reserve	Serves as the Headquarters Army principal staff organization to organize and equip Army Reserve Forces. Provides direct support to the Chief of Staff of the Army in the execution of his function and Title X responsibilities, and commands the U.S. Army Reserve Command. Responsible, subject to certain exceptions, for justification and execution of certain Army Reserve budgets, and is the director and functional manager of those appropriations; directing and managing the Army Reserve's appropriations; managing the Army Reserve's full-time support program; and submitting annual reports to the Secretary of Defense.

**Appendix X: Content for Interactive Figures in
Background Section**

	U.S. Army Reserve Command	Provides command, control, and support to Army Reserve forces assigned. Organizes, trains, and prepares Army Reserve units for mobilization and commitment to wartime theater of operations. Ensures wartime readiness of Army Reserve forces.
	Regional Support Commands	Provides administrative and logistical support to all Army Reserve units and commands within their geographic area of responsibility. Manages all Operation and Maintenance, Personnel, Military Construction, and other appropriations for which requirements are justified as allocated by the U.S. Army Reserve Command and the Office of Chief, Army Reserve. Supervises all area maintenance support activities and equipment-concentration sites within its area of responsibility. Provides facility support to all Army Reserve units within its area of responsibility. The Command Group of these commands is responsible for the following: Providing direction, guidance, and regional base-operations support to supported units within the region. The base-operations support is provided in functional areas of personnel, logistics, force integration, programming and budgeting, finance and accounting, information management, emergency services, public works, historian, inspector general, religious, medical, legal, safety, public affairs, internal review, and management controls. Managing and executing appropriations as authorized by U.S. Army Reserve Command and the Assistant Chief of Staff for Installation Management for base-operations support. Implementing policies and intent of the U.S. Army Reserve Command commanding general. Representing the Army Reserve before military and civilian organizations and agencies at various levels of command and government to include speaking engagements. Assisting with local community relations and representing the U.S. Army Reserve Command to foreign dignitaries on various occasions.
	Functional Commands	Maintain and provide training and, in certain cases, generate specific capabilities. Deploy subordinate units in support of federal missions.
U.S. Air Force Reserve	Headquarters, Air Force Reserve	Provides direct support to the Chief of Staff of the Air Force in the execution of his or her function and Title X responsibilities, and commands the U.S. Air Force Reserve Command. Subject to certain exceptions, justify and execute the budgets for Air Force Reserve. Manages the full-time support program. Provides an annual report to the Secretary of Defense on the state of the Air Force Reserve and its ability to meet its missions.
	Air Force Reserve Command	Provides citizen airmen to defend the United States and to protect its interests through air and space power. Organizes, trains, and equips combat-ready forces. Directs operation of the three numbered Air Forces and provides all required major command-level support for all Air Force Reserve units and personnel. Maintains overall supervision of Air Force Reserve matters supporting Air Force war plans, programming documents, and mobilization actions. Retains administrative control over all Air Force Reserve units except for forces attached to the Commander, Air Force Forces.

Numbered Air Forces	Command assigned units. Ensure assigned units maintain operational readiness according to Air Force standards to include combat readiness, medical readiness, and inspection readiness. Provide assistance to, and operational readiness assessment of, assigned units through Operational Readiness Exercises and other discretionary events when warranted. Supervise and assist assigned units in planning for deployment and redeployment actions, major events, and contingencies. Advocate for assigned units. Implement plans, policies, and programs as developed and directed by Headquarters, Air Force Reserve Command. Communicate with Lead Major Command on matters relating to training, inspection, operational mission coordination, and logistical support. Assist units to implement command operational readiness and compliance processes. Manage resources across units.
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Source: GAO analysis of DOD data.

Appendix XI: Comments from the Department of Defense



RESERVE AFFAIRS

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
1500 DEFENSE PENTAGON
WASHINGTON, DC 20301-1500

SEP 27 2013

Mr. John Pendleton
Director, Defense Capabilities and Management
U.S. Government Accountability Office
441 G Street, NW
Washington DC 20548

Dear Mr. Pendleton:

This is the Department of Defense (DoD) response to the GAO Draft Report GAO-13-585, "Defense Management: Actions Needed to Ensure National Guard and Reserve Headquarters Are Sized to Be Efficient," dated September 29, 2013, (GAO Code 351746).

The Department acknowledges receipt of the draft report and has attached a response to the recommendations for inclusion in the final report. If you have any further questions, please contact LTC Jasen Johnson at 703-693-2229.

Sincerely,

A handwritten signature in black ink, reading "R.O. Wightman, Jr.", is positioned above the typed name and title.

Richard O. Wightman, Jr.
Principal Deputy Assistant Secretary of Defense
(Reserve Affairs)
Performing the Duties of the Assistant
Secretary of Defense (Reserve Affairs)

**GAO DRAFT REPORT DATED SEPTEMBER 29, 2013
GAO-13-585 (GAO CODE 351746)**

**“DEFENSE MANAGEMENT: Actions Needed to Ensure National Guard and Reserve
Headquarters Are Sized to be Efficient”**

**DEPARTMENT OF DEFENSE COMMENTS
TO THE GAO RECOMMENDATION**

The Department of Defense provided technical comments to GAO in addition to those addressed below.

RECOMMENDATION 1: To independently validate the personnel requirements of the National Guard Bureau, we recommend that the Secretary of Defense direct the Chief of the National Guard Bureau to implement the Joint Chief of Staff’s Joint Manpower and Personnel Process and have its personnel requirements periodically validated by a DoD organization external to the National Guard Bureau.

DoD RESPONSE: DoD Partially Concurs

While DoD agrees external validation is appropriate, based on input from the Joint Staff (CJCS/J1) we request GAO recommendation concerning NGB personnel requirements be changed to read "set up vetting process with the parent services' G1 (Army) and A1 (Air Force), along with members from the NGB staff's resources and operations teams as voting members." Change to replace all after “its personnel requirements”.

RECOMMENDATION 2: To provide Congress the data it requires to oversee DoD’s major headquarters activities, we recommend that the Secretary of Defense include the National Guard Bureau among its list of major DoD headquarters activities and report personnel associated with the National Guard Bureau in the Defense Manpower Requirements Report.

DoD RESPONSE: DoD Concurs

Regarding Draft Text: "We then provided DoD, Joint Staff, National Guard, and Reserve officials with an opportunity to comment on our final list of 75 headquarters and these officials agreed the headquarters we identified met these criteria."

Comment: We (OSD P&R) believe that the 75 HQ performed some of the functions identified in DoDI 5100.73, but we were very explicit that NOT all 75 HQ organizations identified in this review would be considered Major DoD Headquarters Activities pursuant to that Issuance.

Recommended change: "We then provided DOD, Joint Staff, National Guard, and Reserve officials with an opportunity to comment on our final list of 75 headquarters and these officials agreed the headquarters we identified met these criteria above but did not agree that all of the 75

headquarters should be classified as Major DoD Headquarters Activities predominately because many of these headquarters were below the 3-star level."

Regarding References to "Major Headquarters Activity" should be changed to "Major DoD Headquarters Activity" (on draft cover page and pages 9, 18, 20, 29, and 32). It complicates the accuracy to not refer to the category as Major DoD Headquarters Activity. Not saying it precisely would make the references inaccurate.

RECOMMENDATION 3: To minimize the potential for gaps or overlaps at the National Guard's state Joint Force headquarters, we recommend that the Secretary of Defense direct the Chief of the National Guard Bureau to modify the scope of the National Guard Bureau's study to reassess and validate all personnel requirements at the state Joint Force headquarters to include its Army staff element and Air staff element.

DoD RESPONSE: DoD Partially Concurs

On draft report page 23, GAO refers to the 54 state Joint Force Headquarters (JFHQs) as containing a number of similar positions and recommends that consolidation be investigated as a cost-savings measure. This may understate the importance of the JFHQs, who are heavily relied upon during real-world CONUS-based crises. At a state level, JFHQs serve a function similar to that of the Joint Staff on the federal level and consolidation may prove detrimental to disaster response if taken solely with cost-savings in mind. Consolidation may be appropriate in certain cases but should be carried out with caution and in full cooperation with the state governors and adjutants general.

Regarding validation of positions within the Joint Force Headquarters (JFHQs) (an issue raised several times in the report), in reference to the second bullet, first page of the draft, the Army National Guard (ARNG) Directorate has received validation from the United States Army Manpower and Analysis Agency (USAMAA) for 26 manpower studies. The studies account for nearly 40,000 full time support (FTS) requirements, validating over 70% of the FTS requirements at the 54 State and Territory Joint Force Headquarters (JFHQ). Some positions in the JFHQ such as Public Affairs, Inspector General and Judge Advocate perform both Army and Air functions. These consolidated offices are designed to increase efficiency, avoid redundancy and maximize the use of limited personnel authorizations.

In reference to draft report page 14, "Processes Intended to Efficiently Size and Oversee Reserve Component Headquarters Have Not Been Consistently Applied," page 20, "DoD Lacks Assurance the National Guard's State Joint Force Headquarters Are Sized to Be Efficient," and page 28, paragraph 3, the Army National Guard requests a reevaluation of the sections. The ARNG Directorate has conducted manpower studies which follow an Army-directed methodology. In addition, the methodologies are not fragmented- to the contrary, they follow the process as directed by the authority for each specific command/component as listed in Tables 2 and 3. In addition, the ARNG and Air National Guard Directorate work in close partnership on all studies that involve joint activities, such as Public Affairs, Inspector General, Judge Advocate General, Chaplain and the Human Resources Offices.

The National Guard Bureau Joint Staff and the Army and Air National Guard Directorate each have their own directed processes that must be followed in order to achieve approval/validation of FTS requirements, as noted in both Table 2 and 3 of the Report (Joint Staff is regulated by Joint Chiefs of Staff Instruction 1001.01, Air National Guard by Air Force Instruction 38-201 and ARNG by AR 570-4). Combining these processes into one process would eliminate the ability of each headquarters to properly study and staff their personnel requirements by changing currently-directed manpower methodologies and validation authorities (per Army Regulation (AR) 570-4, USAMAA directs the manpower methodology and is the validation authority for all Army requirements). Therefore the scope of the studies does not need to be modified. Instead, when shared functions are being studied, increased coordination efforts should occur between each element in order to ensure the correct workload is captured, requirements are not duplicated, and process efficiencies are maximized.

RECOMMENDATION 4: To ensure that Army reserve component headquarters are properly sized to meet their assigned missions, we recommend that the Secretary of Defense direct the Secretary of the Army to ensure that reserve component headquarters are reassessed and have their personnel requirements validated within required timeframes by including all reserve component headquarters in the U.S. Army Manpower Analysis Agency's schedule for reassessment and validation.

DoD RESPONSE: DoD Concurs

The draft report is not completely clear if this recommendation is intended to be applicable to the ARNG (or only to the USAR). Information pertaining to both is included in this response.

Currently, there are three ongoing efforts to assess Army Reserve Headquarters: 1) an internal USAR HQ standardization review of all Major Subordinate Commands (MSC); 2) the HQDA led Phase II of the Full-Time Support (FTS) requirements study, which is also reviewing all MSCs; and 3) the HQDA led Focus Area Review Groups charged with reducing all institutional and operational headquarters.

Per AR 570-4, all TDA requirements are required to be validated every 2-5 years, including FTS requirements at the 54 State JFHQs. To date, the Army National Guard Directorate has received USAMAA validation of over 70% of the FTS requirements located at the State JFHQs and is currently on track to complete validation of the remaining requirements by the end of FY15. In addition, per AR 570-4, Para 2-2, I, USAMAA is only responsible for assessing and validating FTS requirements at the ARNG Directorate (Title 10 requirements). The authority for assessment and validation of the 54 State JFHQs resides with the Chief, National Guard Bureau. USAMAA is not required nor staffed to conduct manpower studies on Title 32 FTS requirements.

RECOMMENDATION 5: To ensure that the Air Force reserve component headquarters are properly sized to meet their assigned missions, we recommend that the Secretary of Defense direct the Secretary of the Air Force to modify the Air Force's guidance to require that reserve component headquarters have their personnel requirements reassessed on a recurring basis, and establish and implement a schedule for reassessing personnel requirements for its reserve component headquarters.

DoD RESPONSE: DoD Concur

The Air Force agrees to modify guidance to require that reserve component headquarters have their personnel requirements reassessed on a recurring basis, and to establish and implement a schedule for reassessing personnel requirements. Also, if directed by the Secretary of Defense, the Air Force will work with the National Guard Bureau as necessary to comply with recommendations to assess and validate the various National Guard headquarters.

Appendix XII: GAO Contact and Staff Acknowledgments

GAO Contact

John H. Pendleton, (404) 679-1816 or PendletonJ@gao.gov

Staff Acknowledgments

In addition to the contact named above, Suzanne K. Wren, Assistant Director; Timothy J. Carr; Joanna Chan; Susan C. Ditto; Michael J. Hanson; Tobin J. McMurdie; Anna Maria Ortiz; Michael D. Silver; Amie M. Steele; Karen N. Willems; Michael A. Willems; Alex Winograd; and Delia P. Zee made key contributions to this report.

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