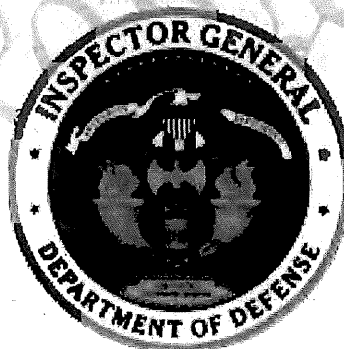


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Report No. 05-INTEL-06
May 12, 2005
Infrastructure and Environment

**DEPARTMENT OF DEFENSE
OFFICE OF INSPECTOR GENERAL**



DEPUTY INSPECTOR GENERAL FOR INTELLIGENCE

**National Reconnaissance Office Data Call Submissions
and Internal Control Processes for Base
Realignment and Closure 2005**

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Acronyms

BRAC	Base Realignment and Closure
COBRA	Cost of Base Realignment Actions
DoD OIG	DoD Office of Inspector General
ICP	Internal Control Plan
JCSG	Joint Cross-Service Group
NRO	National Reconnaissance Office
OSD	Office of the Secretary of Defense



INSPECTOR GENERAL
DEPARTMENT OF DEFENSE
400 ARMY NAVY DRIVE
ARLINGTON, VIRGINIA 22202-4704

May 12, 2005

MEMORANDUM FOR DIRECTOR, NATIONAL RECONNAISSANCE OFFICE

SUBJECT: Report on National Reconnaissance Office Data Call Submissions and Internal Control Processes for Base Realignment and Closure 2005 (Report No. 05-INTEL-06)

We are providing this report for information and use. We performed the audit in response to a request from the Under Secretary of Defense for Acquisition, Technology, and Logistics. No written response to this report was required, and none was received. Therefore, we are publishing this report in final form.

We appreciate the courtesies extended to the staff. Questions should be directed to (b)(6) at (703) 604-(b)(6) (DSN 664-(b)(6)) or (b)(6) at (703) 604-(b)(6) (DSN 664-(b)(6)). See Appendix C for the report distribution. The team members are listed inside the back cover.

Shelton R. Young
Assistant Inspector General
for Intelligence

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Department of Defense Office of Inspector General

Report No. 05-INTEL-06
(Project No. D2004-DINTEL-0077.000)

May 12, 2005

**National Reconnaissance Office Data Call Submissions
and Internal Control Processes for Base
Realignment and Closure 2005**

Executive Summary

Who Should Read This Report and Why? Office of the Secretary of Defense personnel responsible for deciding the realignment or closure of military installations based on the Base Realignment and Closure (BRAC) data calls and National Reconnaissance Office management personnel should read this report. The report discusses the validity, integrity, and supporting documentation of the data provided by the National Reconnaissance Office to assist the Secretary of Defense in BRAC 2005 recommendations.

Background. BRAC 2005 is the formal process outlined in Public Law 101-510, "Defense Base Closure and Realignment Act of 1990," as amended, under which the Secretary of Defense may realign or close military installations inside the United States and its territories. As part of BRAC 2005, the Under Secretary of Defense for Acquisition, Technology, and Logistics issued, "Transformation Through Base Realignment and Closure (BRAC 2005) Policy Memorandum One-Policy, Responsibilities, and Procedures," April 16, 2003, which stated that the DoD Office of Inspector General would review the accuracy of BRAC data and the certification process.

The BRAC 2005 process was mandated for the United States and its territories and was divided into the following data calls – capacity analysis, supplemental capacity, Military value, Cost of Base Realignment Actions, Joint Process Action Team Criterion Number 7, and scenario specific. The Intelligence agencies' collection process was divided into the following data calls – capacity analysis, Military value, and scenario specific. We issued site memorandums for the capacity analysis and Military value data calls. This report summarizes the data calls as of April 2005, for the National Reconnaissance Office BRAC 2005 process.

The National Reconnaissance Office, located in Chantilly, Virginia, provides support to both civilian and military leaders by providing intelligence gathered by National Reconnaissance Office satellites. The National Reconnaissance Office was required to perform only the capacity analysis and Military value data calls.

Results. We evaluated the validity, integrity, and supporting documentation of BRAC 2005 data and compliance with applicable internal control plans. The National

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Reconnaissance Office BRAC 2005 data call responses were generally supported and complete. The National Reconnaissance Office collected and submitted responses to 17 questions during the capacity analysis data call, 6 of which were partially supported. The National Reconnaissance Office collected and submitted responses to 11 questions during the Military value data call, 6 of which were partially supported. The National Reconnaissance Office internal control plan properly incorporated and supplemented the Office of the Secretary of Defense internal control plan. The data collection processes generally complied with the National Reconnaissance Office and the Office of the Secretary of Defense internal control plans; however, the National Reconnaissance Office did not properly mark all documents or maintain a separate question page as required by the National Reconnaissance Office internal control plan for the capacity analysis data call. During the Military value data call, the National Reconnaissance Office revised its internal control plan and followed all processes. Although some responses were partially supported, we consider the data, responses, and sources to be generally reasonable for use in the BRAC 2005 process.

Management Comments. We provided a draft of this report on May 4, 2005 to the Director, National Reconnaissance Office. No written response to this report was required, and none was received. Therefore, we are publishing this report in final form.

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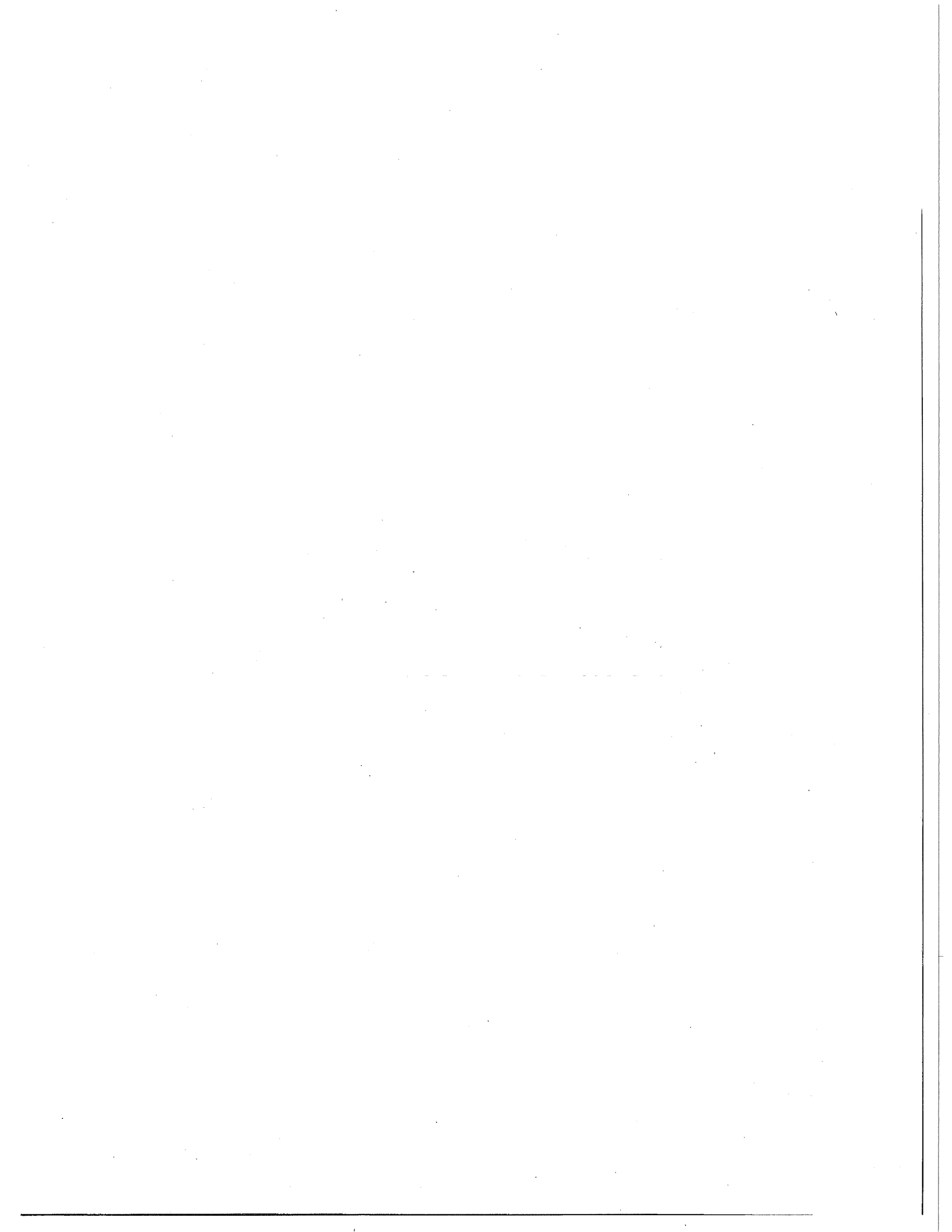
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Background

Base Realignment and Closure 2005. Public Law 101-510, "Defense Base Closure and Realignment Act of 1990," as amended, establishes the procedures under which the Secretary of Defense may realign or close military installations inside the United States and its territories. The law authorizes the establishment of an independent Commission to review the Secretary of Defense recommendations for realigning and closing military installations. The Secretary of Defense established and chartered the Infrastructure Executive Council and the Infrastructure Steering Group as the Base Realignment and Closure (BRAC) 2005 deliberative bodies responsible for leadership, direction, and guidance. The Secretary of Defense must submit BRAC recommendations to the independent Commission by May 16, 2005.

Joint Cross-Service Groups. A primary objective of BRAC 2005, in addition to realigning base structure, is to examine and implement opportunities for greater joint activities. The Office of the Secretary of Defense (OSD) established seven Joint Cross-Service Groups (JCSG)—Education and Training, Headquarters and Support Activities, Industrial, Intelligence, Medical, Supply and Storage, and Technical—to address issues that are common business-oriented support functions, examine functions in the context of facilities, and develop realignment and closure recommendations based on force structure plans of the Armed Forces and on selection criteria. To analyze the issues, each JCSG developed data call questions to obtain information about the functions that it reviewed.

BRAC Data Calls. The BRAC 2005 data collection process was mandated for the United States and its territories. The collection process was divided into the following data calls – capacity analysis, supplemental capacity, Military value, Cost of Base Realignment Actions (COBRA), Joint Process Action Team Criterion Number 7 and scenario specific. The supplemental capacity analysis, Military value, COBRA, and Joint Process Action Team Criterion Number 7 data calls are collectively known as the second data call. The Services, Defense agencies, and Defense-wide Organizations used either automated data collection tools or a manual process to collect data call responses. Each data call had a specific purpose as follows.

- The capacity analysis data call gathered data on infrastructure, current workload, surge requirements, and maximum capacity.
- The supplemental capacity data call clarified inconsistent data gathered during the initial capacity analysis data call.
- The Military value data call gathered data on mission requirements, survivability, land and facilities, mobilization, and contingency.

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- The COBRA data call gathered data to develop costs, savings, and payback (formerly known as return on investment) of proposed realignment and closure action.
- The Joint Process Action Team Criterion Number 7 data call gathered data to assess the community's ability to support additional forces, missions, and personnel associated with individual scenarios.¹
- The scenario specific data call questions gathered data related to specific scenario conditions for realignment or closure.

BRAC Intelligence Agencies' Data Calls. The Intelligence agencies' collection process was divided into the following data calls – capacity analysis, Military value, and scenario specific. The scenario specific data call included COBRA data. The Joint Process Action Team collected the data for Criterion Number 7, which the Intelligence JCSG used to develop its scenario data calls. The National Geospatial-Intelligence Agency was the only intelligence agency required to collect its own data for Criterion Number 7. The Intelligence agencies used a manual process to collect data call responses.

DoD Office of Inspector General Responsibility. The Under Secretary of Defense for Acquisition, Technology, and Logistics' memorandum, "Transformation Through Base Realignment and Closure (BRAC 2005) Policy Memorandum One-Policy, Responsibilities, and Procedures," April 16, 2003, required the DoD Office of Inspector General (DoD OIG) to provide advice and review the accuracy of BRAC data and the certification process. This report summarizes issues related to the National Reconnaissance Office (NRO) BRAC 2005 process.

Internal Control Plans. Before the BRAC data calls were released to the Service and Defense agencies, OSD required the Services and the Defense agencies to prepare internal control plans (ICPs) that incorporated and supplemented the OSD ICP. The OSD ICP was issued in the "Transformation Through Base Realignment and Closure (BRAC 2005) Policy Memorandum One--Policy, Responsibilities, and Procedures." The NRO prepared "National Reconnaissance Office Base Realignment and Closure 2005 Internal Control Plan" on February 24, 2004, and updated it on September 24, 2004, to comply with the OSD requirement.

NRO. The NRO headquarters, located in Chantilly, Virginia, provides support to both civilian and military leaders by providing intelligence gathered by NRO satellites to maintain national security. The NRO ensures that the technology and

¹ A scenario is a description of one or more potential closure or realignment actions identified for formal analysis by either a JCSG or a Military Department.

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assets needed to acquire timely intelligence worldwide are always available to national policymakers and military warfighters.

Objectives

The overall objective of the audit was to evaluate the validity, integrity, and supporting documentation of data that the NRO collected and submitted for the BRAC 2005 process. In addition, we evaluated whether the NRO complied with the OSD and NRO ICPs. This report is one in a series on data integrity and internal control processes for BRAC 2005. See Appendix A for a discussion of the scope and methodology and prior coverage related to the audit objectives.

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National Reconnaissance Office Base Realignment and Closure 2005 Data Call Submissions and Internal Control Processes

The responses provided by the NRO for the BRAC 2005 data calls were generally supported and complete. The NRO collected and submitted responses to 17 questions during the capacity analysis data call, 6 of which were partially supported. During the Military value data call the NRO collected and submitted responses to 11 questions, 6 of which were partially supported. The NRO ICP properly incorporated and supplemented the OSD ICP. The data collection processes for the capacity analysis data call and Military value data call generally complied with applicable ICPs. However, during the capacity analysis data call we identified the following noncompliances. NRO did not properly mark all documents and NRO did not maintain a separate question page as required by the NRO ICP. During the Military value data call, NRO followed all ICP processes and corrected the noncompliances identified during the capacity analysis data call. We considered the partially supported responses and the noncompliances to be immaterial and should not affect the reliability and integrity of the NRO data for use in BRAC 2005 analysis.

National Reconnaissance Office BRAC 2005 Data Call Submissions

The BRAC 2005 data that the NRO reported were generally supported and complete. The NRO headquarters forwarded all data call questions and collected the supporting documentation for each of its sites. We evaluated the validity and integrity of the supporting documentation at the NRO Headquarters. Specifically, for the capacity analysis and Military value data calls, we compared responses to supporting documentation and reviewed "Not Applicable" responses to determine whether NRO responses were reasonable. As we identified problems with the data submissions, we worked with management to correct the data.

Capacity Analysis Data Call. The NRO capacity analysis data call provided generally supported and complete responses. Specifically, of the 17 responses, 9 were fully supported and 6 were partially supported. We concluded that questions 1, 4, 5, 6, 8, 11, 15, 16, and 17 were fully supported, and questions 2, 3, 7, 10, 12, and 14 were partially supported because adequate supporting

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documentation was not provided or not available (see Appendix B for details). In addition, we reviewed questions 9 and 13 that the NRO determined were "Not Applicable" and we agreed with the NRO conclusions. We discussed the results of the data call submissions and ICP review with NRO management. NRO management concurred with the findings.

Military Value Data Call. The NRO Military value data call provided responses that were generally supported and complete. Specifically, for the 11 questions, 5 responses were fully supported and 6 were partially supported. The Military value data call consisted of 11 questions with multiple parts; if one segment of the question was not supported, the overall question would be partially supported. We relied on the agency responses when they answered "no," "zero," and "unknown" to applicable segments of the question because all BRAC data were certified as accurate and complete to the best of the certifier's knowledge and belief. We concluded that questions 22, 23, 24, 25, and 28 were fully supported; and questions 18, 19, 20, 21, 26, and 27 were partially supported because adequate supporting documentation was not provided or not available (see Appendix B for details). We discussed the results of the data call submissions with NRO management. NRO management concurred with the findings.

Internal Control Processes

The NRO data collection process generally complied with the applicable ICPs for the capacity analysis and Military value data calls. We reviewed the completeness of the NRO ICP and determined that it properly incorporated and supplemented the OSD ICP. In addition, we reviewed NRO compliance with the NRO ICP to determine whether the NRO data collection process complied with the NRO ICP. We also determined whether NRO personnel completed nondisclosure agreements and properly collected, marked, safeguarded, maintained, and certified that the data collected were accurate and complete to the best of the certifier's knowledge and belief for capacity analysis and Military value data calls.

Completeness of ICP. The NRO BRAC 2005 ICP establishes organization responsibilities that ensure the accuracy, completeness, integration, and integrity of data collection, analyses, and control mechanisms to safeguard the NRO BRAC information. The ICP outlined documentation requirements to justify changes made to data and information after it had been certified and sent to the Intelligence JCSG BRAC Office. The ICP also included information on completing nondisclosure agreements, marking, safeguarding, and certifying BRAC data.

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Compliance with ICPs. NRO headquarters was generally compliant with the ICP procedures. However, the NRO data collection and certification processes for the capacity analysis did not fully comply with the NRO ICP. NRO did not properly mark all documents or maintain a separate question page as required. However,

for the Military value data call, NRO revised the ICP and all processes complied with applicable ICPs. We consider the noncompliance with the ICP to be immaterial.

Conclusion

The NRO BRAC 2005 data call responses were generally supported and complete. The NRO collected and submitted responses to 17 questions during the capacity analysis data call, 6 of which were partially supported. The NRO collected and submitted responses to 11 questions during the Military value data call, 6 of which were partially supported. In addition, we reviewed NRO compliance with the OSD and NRO ICPs. The NRO ICP properly incorporated and supplemented the OSD ICP. The data collection processes for the capacity analysis data call and Military value data call generally complied with applicable ICPs.

We discussed the results of the data call submissions and ICP review with NRO management. NRO management concurred with the findings. We also determined that the noncompliances were immaterial and should not affect the reliability and integrity of the NRO BRAC 2005 data.

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Appendix A. Scope and Methodology

We evaluated the validity and integrity of all data call responses and the associated supporting documentation of NRO BRAC 2005 data. Specifically, we performed the following audit steps during the capacity analysis and Military value data calls.

- Interviewed the personnel responsible for preparing and certifying the responses to the data calls.
- Reviewed all data call responses and associated supporting documentation.
- Compared the adequacy of responses to the supporting documentation.
- Reviewed "Not Applicable" responses to determine whether they were reasonable.
- Reviewed the NRO ICP to determine whether the NRO incorporated and supplemented the OSD ICP and established and implemented procedures and processes to disseminate, collect, safeguard, and maintain supporting documentation. In addition, we reviewed whether the NRO designated the appropriate personnel to certify that the data and information collected were accurate and complete to the best of the certifier's knowledge and belief.
- Relied on Military value responses when they answered "no," "zero," or "unknown" to applicable questions because all BRAC data were certified by NRO BRAC personnel as accurate and complete to the best of his or her knowledge and belief.
- Worked with management to correct identified problems to data call responses.

We could not validate that NRO was consistent in reporting all sites during the capacity analysis data call. Also, because of time constraints, we validated only the Defense intelligence agencies' COBRA and scenario data calls for potential candidate recommendations that were approved by the Infrastructure Steering Group. As of April 2005, NRO had no approved scenarios.

Capacity Analysis Data Call. NRO headquarters received the capacity analysis data call questions 1 through 17 from the Intelligence JCSG. NRO headquarters then forwarded all questions to each of its sites and collected supporting documentation, which was maintained at headquarters for validation. We

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reviewed all data call questions for each NRO site for accuracy, appropriate markings, and adequacy. We issued one capacity analysis site memorandum to summarize the site visit results. Specifically, we reviewed the following responses and supporting documentation.

Capacity Analysis Data Call Questions Reviewed

NRO Site	Question Number	
	Answered	Not Applicable
NRO Headquarters	1-8, 10-12, and 14-17	9 and 13

Military Value Data Call. The NRO headquarters received Military value data call questions 18 through 28 from the Intelligence JCSGs. Most Military value questions had multiple parts. We reviewed the data call questions for accuracy, appropriate markings, and adequacy for each site. We issued one Military value site memorandum to summarize the site visit results.

We performed this audit from February 2004, through April 2005, in accordance with generally accepted government auditing standards.

Reliability of Computer-Processed Data. We did not test the accuracy of the computer-processed data used to support an answer to a data call question. Potential inaccuracies in the data could affect the results. However, all BRAC data were certified as accurate and complete to the best of the certifier's knowledge and belief.

Government Accountability Office High-Risk Areas. The Government Accountability Office has identified several high-risk areas in DoD. This report provides coverage of the DoD Support Infrastructure Management and Federal Real Property high-risk areas.

Management Control Program Review

We did not review the NRO management control program because its provisions did not apply to the one-time data collection process; however, we evaluated the NRO internal controls for preparing, submitting, documenting, and safeguarding information associated with the BRAC 2005 data calls, as directed by the OSD and NRO ICPs, to determine whether the NRO complied with the ICPs. Specifically, we reviewed procedures that NRO used to develop, submit, and document the data call responses. We reviewed the controls implemented to

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safeguard BRAC 2005 data against disclosure. Internal controls were adequate as they applied to the audit objective (see the Finding section for additional details).

Prior Coverage

During the last 5 years, the Department of Defense Office of Inspector General issued two site memorandums discussing the NRO BRAC 2005 data call submissions and internal control processes.

Site Memorandums

DoD IG Memorandum, "Audit on the Military Value Data Call Submission from the National Reconnaissance Office for the Base Realignment and Closure 2005," March 3, 2005

DoD IG Memorandum, "Audit on the Capacity Analysis Data Call Submission from the National Reconnaissance Office for the Base Realignment and Closure 2005," September 21, 2004

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Appendix B. National Reconnaissance Office BRAC 2005 Data Call Responses Not Fully Supported

Capacity Analysis Data Call. For the capacity analysis data call, NRO provided data that were generally supported. The following questions were partially supported.

- NRO responses to question numbers 2, 3, 7, 10, and 12 were partially supported. We were unable to fully validate the responses. The system used to produce the data was unable to breakout the data by building. NRO was also unable to provide adequate supporting documentation for personnel breakout, as well as, on board contractors and detailees.
- NRO response to question number 14 was partially supported. We were unable to fully validate the responses for all sites. We were able to validate some of NRO sites responses but were unable to validate all NRO site responses because no supporting documentation was provided for certain sites.

Military Value Data Call. NRO Military value data call responses were generally supported and complete. However, 6 of 11 responses were partially supported.

- NRO responses to question numbers 18, 19, 20, 21, 26, and 27 were partially supported. We were unable to fully validate the responses for all sites. Portions of the responses did not contain adequate support. Supporting documentation was either not available or not provided.

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Appendix C. Report Distribution

Office of the Secretary of Defense

Director, Base Realignment and Closures (Installations and Environment)

Other Defense Organizations

Director, National Reconnaissance Office

Non-Defense Federal Organization

Government Accountability Office *

* Only Government Accountability Office personnel involved in the BRAC process are to receive the report.

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Team Members

The Office of the Deputy Inspector General for Intelligence prepared this report. Personnel of the Department of Defense Office of Inspector General who contributed to the report are listed below.

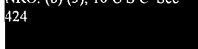
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