



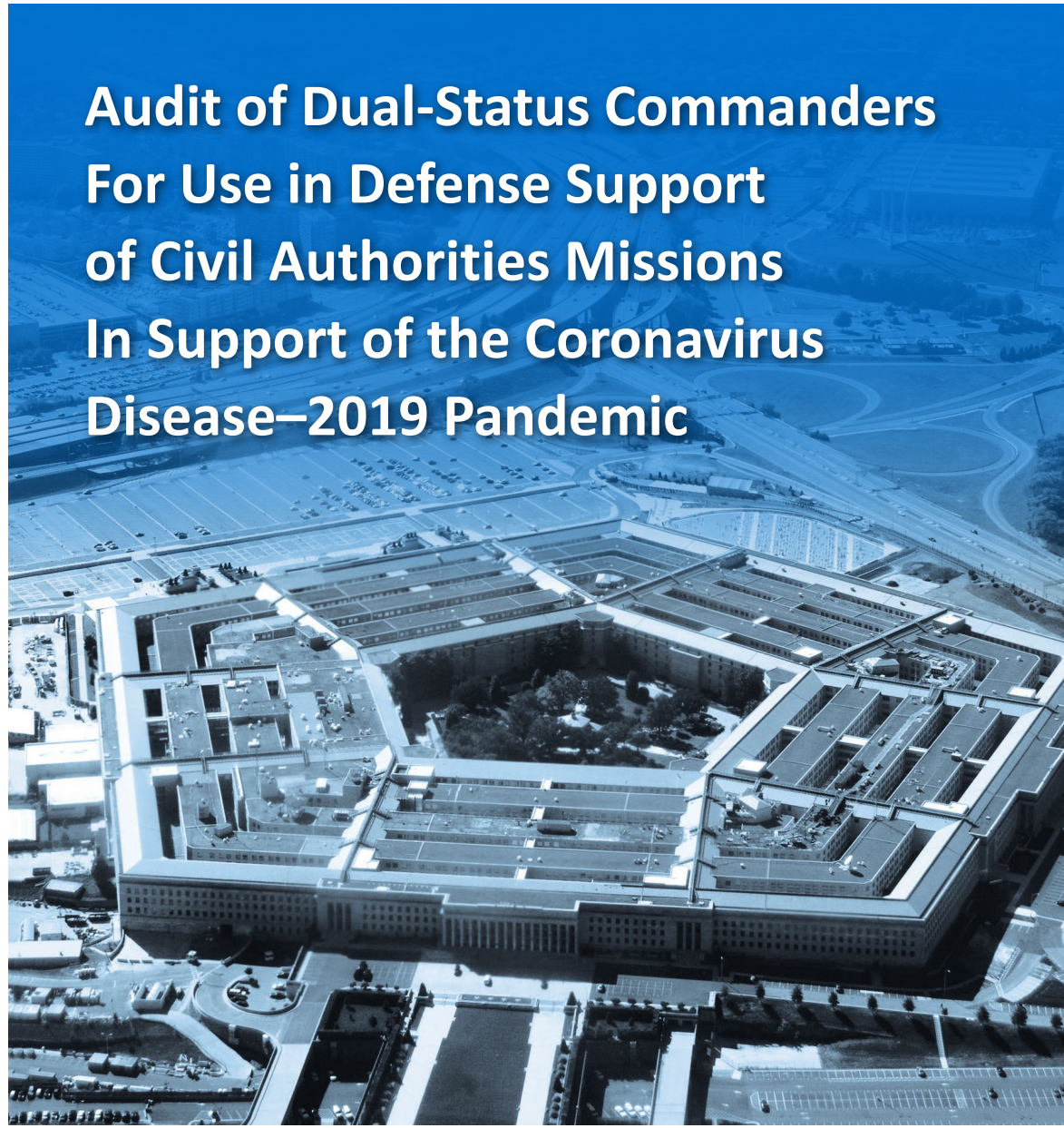
INSPECTOR GENERAL

U.S. Department of Defense

FEBRUARY 5, 2021



Audit of Dual-Status Commanders For Use in Defense Support of Civil Authorities Missions In Support of the Coronavirus Disease–2019 Pandemic







**INSPECTOR GENERAL
DEPARTMENT OF DEFENSE
4800 MARK CENTER DRIVE
ALEXANDRIA, VIRGINIA 22350-1500**

February 5, 2021

**MEMORANDUM FOR ASSISTANT SECRETARY OF DEFENSE FOR HOMELAND SECURITY
AND GLOBAL DEFENSE
CHIEF, NATIONAL GUARD BUREAU
COMMANDER, U.S. INDO-PACIFIC COMMAND
COMMANDER, U.S. NORTHERN COMMAND**

**SUBJECT: Audit of Dual-Status Commanders For Use in Defense Support of Civil
Authorities Missions In Support of the Coronavirus Disease–2019 Pandemic
(Report No. DODIG-2021-048)**

This final report provides the results of the DoD Office of Inspector General's audit. We considered management's comments on a discussion draft copy of this report when preparing the final report. We did not make any recommendations; therefore, no management comments are required.

Objective

The objective of this audit was to determine whether DoD Components nominated, certified, and appointed Dual-Status Commanders (DSC) in accordance with legal authorities and DoD policies for use in Defense Support of Civil Authorities (DSCA) missions in response to the outbreak of the coronavirus disease–2019 (COVID-19). COVID-19 is a viral respiratory illness caused by a novel coronavirus. The World Health Organization declared the global COVID-19 outbreak a Public Health Emergency of International Concern on January 30, 2020, and labeled the outbreak as a pandemic on March 11, 2020. See Appendix A for a discussion of the scope and methodology and prior audit coverage related to the objective.

Background

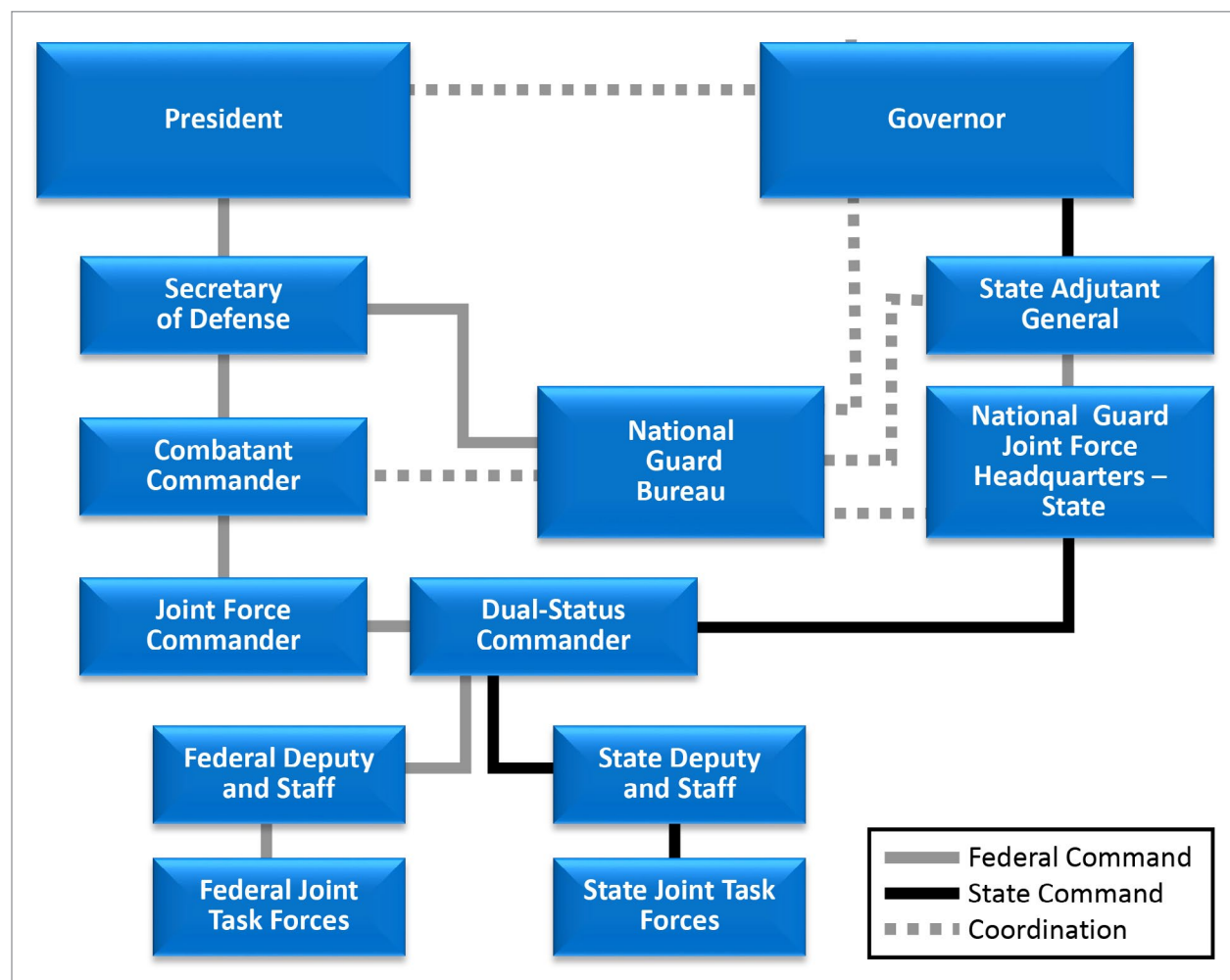
The National Guard provides protection of life and property, and preserves peace, order, and public safety. These missions are accomplished through emergency relief support during natural disasters, support to civil authorities, and more. Members of the National Guard can operate under the direction of the state governor (state active duty or Title 32) or the Government (Title 10). The National Guard is the first line of military response to most incidents and an effective means of providing help and assistance to local authorities. Governors have the authority to deploy and employ National Guard forces under their control in response to domestic incidents, such as health emergencies like COVID-19.

A DSC is a commissioned officer of the active Army or Air Force or a federally recognized Army National Guard (ARNG) or Air National Guard (ANG) officer authorized to exercise command on behalf of, and receive separate orders from, a Federal chain of command and

a state chain of command pursuant to Title 32 U.S.C., by the Secretary of Defense (SECDEF), with the consent of the applicable governor of a state or territory.¹ Section 317, title 32, United States Code (32 U.S.C. § 317 [2012]), states that DSC-led joint task forces should be the usual and customary command and control arrangement established in response to an emergency or major disaster when both Federal military forces and the National Guard are employed simultaneously in support of civil authorities in the U.S.

According to Joint Publication (JP) 3-28, the appointment and employment of a DSC should improve unity of effort and ensure rapid response to save lives, prevent human suffering, and mitigate property damage for designated planned events, or in response to an emergency or major disaster within the U.S.² Figure 1 illustrates the dual-status command and control structure and relationship between Federal military and State National Guard forces.

Figure 1. Dual-Status Command and Control Structure



Source: The DoD OIG.

¹ According to Office of the Secretary of Defense (OSD) officials, no commissioned officers from the active Army or Air Force were appointed as DSCs to support COVID-19 response efforts.

² JP 3-28, "Defense Support of Civil Authorities," October 29, 2018.

Preplanned Memorandums of Agreement

According to JP 3-28, states and territories are required to have preplanned memorandums of agreement (MOA) with the DoD, which outline the use, establishment, and authorities of a DSC in the event one is required. Specifically, preplanned MOAs identify the requirements for using a DSC in accordance with Title 32 U.S.C. § 325 (2012) and Title 32 U.S.C. § 315 (2012), the process for properly establishing a DSC that the state or territorial governor and SECDEF mutually agreed upon, and the appointment letters issued by the state or territorial governor and signed by the SECDEF that authorize a DSC to perform specific duties in their respective state or territory.³

The Nomination and Certification of Dual-Status Commanders

According to JP 3-28, the nomination of a DSC begins when the adjutant general (TAG) of a state or territory, with the approval of their governor, submits a nomination letter for a qualified officer to the Chief of the National Guard Bureau (CNGB). An individual must be a federally recognized colonel (O-6) or general officer (O-7 or O-8) in order to serve as a DSC. Once the National Guard Bureau (NGB) has verified the eligibility of the nominated officer, the NGB schedules required DSC training with the U.S. Northern Command (USNORTHCOM). Individuals nominated to be a DSC must complete USNORTHCOM's DSC Orientation Course, the web-based Joint Domestic Operations Course, and the Joint Task Force Commander Training Course. According to NGB officials, upon completion of the required DSC training courses, the states and territories update the DSC registry and USNORTHCOM maintains training certificates.

The Appointment and Approval of Dual-Status Commanders

JP 3-28 states that for the activation of a DSC, the support request process begins with the governor of a state or territory providing their consent to have a qualified officer serve as a DSC.⁴ The process is coordinated from the TAG of a state or territory to the CNGB, with either the Commander, USNORTHCOM or the Commander, U.S. Indo-Pacific Command. The CNGB and the combatant commander will coordinate with the Chairman of the Joint Chiefs of Staff and the Assistant Secretary of Defense for Homeland Defense and Global Security to verify the qualification and certification of the nominee and provide SECDEF a recommendation on the appointment of the DSC. The Assistant Secretary of Defense for Homeland Defense and Global Security coordinates the request for approval with the SECDEF.

³ Section 315, title 32, U.S.C., 2012, authorizes an active duty (Title 10) Army or Air Force officer to accept a commission in the National Guard of a state or territory without losing his/her active component status. Section 325, title 32, U.S.C., 2012, authorizes a National Guard officer to be placed on active duty without losing their National Guard status.

⁴ In accordance with JP 3-28, the governor of each state and territory determines whether it is necessary to appoint a DSC.

States and territories identify primary DSCs and can name a successor DSC through state appointment memorandums. A successor DSC can serve in the event the primary DSC becomes unavailable or unable to perform their duties. According to JP 3-28, a successor DSC must meet the same rank and training eligibility requirements as a primary DSC.

Dual-Status Commanders Supporting COVID-19 Response Efforts

During 2020, National Guard units provided support to COVID-19 response efforts, civil disturbances, post-hurricane relief efforts, and fighting wildfires across the western part of the United States.

As of April 11, 2020, all 50 states, 3 territories, and the District of Columbia were under disaster declarations because of the spread of COVID-19. According to Department of Homeland Security officials, this is the first time that all 50 states have been under major disaster declarations simultaneously.

As of May 4, 2020, 39 of the 50 states and 3 territories with National Guards had, in total, 74 primary and successor DSCs appointed in anticipation of coordinating COVID-19 response efforts.⁵ Of these 39 states and territories, 9 states and territories actually employed DSCs to coordinate COVID-19 response efforts between state or territorial forces and active forces. See Appendix B for the breakdown of states and territories that had appointed DSCs in support of COVID-19 response efforts.

What We Reviewed

To determine whether DoD Components managed and coordinated the nomination, certification, and appointment of DSCs in accordance with applicable laws and regulations, we conducted a 100 percent review of the DSCs appointed to support COVID-19 response efforts. We reviewed the required DSC training certificates, orders, appointment documents, databases, and coordination efforts between the DoD and the 39 states and territories that appointed DSCs in response to COVID-19 as of May 4, 2020. In addition, we reviewed the NGB registry of DSCs to determine whether the 14 states that did not have an appointed DSC for COVID-19 response efforts had trained and qualified officers within their National Guards that could serve as a DSC if required. Further, we determined whether all 50 states and 3 territories had preplanned MOAs with the DoD that outline the use, establishment, and authorities of a DSC in the event one is required. See Appendix B for the states and territories with appointed DSCs and those that did not appoint DSCs in support of COVID-19 response efforts. JP 3-28 identifies the following key documents and processes required for the establishment and appointment of a DSC:

- preplanned MOAs between the state or territory and the DoD,
- training and certification process,

⁵ Since the District of Columbia is a Federal District and not a state or territory, members of the District of Columbia National Guard operate under a Federal chain of command only and do not operate under the command of a Governor like National Guard units from the states and territories. Therefore, we did not include the District of Columbia within our review.

- state or territory appointment memorandum, and
- ARNG or ANG officer orders extending Federal recognition in their rank.

We met with officials from the NGB, Office of the Under Secretary of Defense for Policy, and USNORTHCOM and collected and reviewed available documentation to determine whether DoD components followed the procedures outlined in JP 3-28 in regards to nominating, certifying, and appointing a DSC.

Review of Internal Controls

DoD Instruction 5010.40 requires DoD organizations to implement a comprehensive system of internal controls that provides reasonable assurance that programs are operating as intended and to evaluate the effectiveness of the controls.⁶ We found the internal controls in place to ensure eligible and qualified officers were appointed as DSCs in support of COVID-19 response efforts were effective.

Finding - DoD Components Managed and Coordinated the Nomination, Certification, and Appointment of Dual-Status Commanders in Response to COVID-19

DoD Components managed and coordinated the nomination, certification, and appointment of DSCs in support of COVID-19 relief efforts in accordance with applicable laws and regulations. We reviewed the nomination, certification, and appointment process for DSCs appointed in 39 states and territories and found that:

- all 74 DSCs appointed to support COVID-19 response efforts were eligible to serve as a DSC;
- required DSC appointment documents were complete; and
- DoD personnel approved state and territory appointment memorandums, on average, within 2 days of the DoD's receipt of state and territory appointment memorandums.

In addition, we reviewed the DSC registry and determined that the 14 states that did not have appointed DSCs to coordinate COVID-19 response efforts had eligible and qualified personnel assigned to their National Guards that could serve as a DSC if required.

We identified the following three best practices that each state or territory National Guard should consider using to improve their responsiveness and ability to employ DSCs to support a DSCA mission.

- Maintaining more than one qualified and trained DSC in the event multiple DSCA missions are required.
- Identifying a primary and successor DSC on state and territory appointment memorandums.
- Regularly updating the NGB registry of DSCs with up-to-date information.

⁶ DoD Instruction 5010.40, "Managers' Internal Control Program Procedures," May 30, 2013.

DoD Components Managed and Coordinated the Nomination, Certification, and Appointment Processes

DoD Components managed and coordinated the nomination, certification, and appointment of DSCs in support of COVID-19 relief efforts in accordance with applicable laws and regulations. Specifically, all 74 appointed DSCs met eligibility and qualification requirements, required DSC appointment documents were complete, and DSCs were appointed, on average, within 2 days of receipt of the Governor's state and territory appointment memorandums. In addition, the 14 states that did not have appointed DSCs to coordinate COVID-19 response efforts had eligible and qualified officers assigned to their National Guards that could serve as DSCs in the event DSCs were required.

Appointed Dual-Status Commanders Met Eligibility Requirements

For the 39 states and territories that designated a DSC, each of the 74 appointed DSCs met eligibility and qualification requirements. According to JP 3-28, an individual must be an officer in the rank of colonel (O-6) or general officer (O-7 or O-8) to be eligible for appointment as a DSC. We obtained ARNG and ANG officer orders to determine whether primary and successor DSCs met the rank eligibility requirements outlined in JP 3-28.⁷ We determined that all 74 primary and successor DSCs appointed in support of COVID-19 response efforts met the rank eligibility requirements for colonel or general officer.

DoD Tracked Required Documents for the Establishment and Appointment of Dual-Status Commanders

The adjutants general of the states and territories, the NGB, the OSD, and USNORTHCOM completed the required documents for the establishment and appointment of a DSC. According to JP 3-28, key documents should be in place before a DSC is established to command both state and Federal military forces. Specifically, the required documents for the establishment and appointment of DSCs are a preplanned MOA, training certificates, a state or territory appointment memorandum, and ARNG or ANG officer orders.

Preplanned Memorandums of Agreement

The NGB, USNORTHCOM, and state and territory governors' offices prepared preplanned MOAs for all 50 states and 3 territories before establishing and appointing a DSC to oversee Federal and state military forces. According to JP 3-28, states and territories are required to have a preplanned MOA with the DoD, which outlines the use, establishment, and authorities of a

⁷ ARNG or ANG orders are special orders issued by NGB to federally recognize and appoint ARNG or ANG officers of the United States as a Reserve officer of the Army or Air Force at the rank indicated.

DSC in the event one is required. We obtained and reviewed MOAs between the 50 states and 3 territories and the DoD. Our review of the MOAs showed that all 50 states and 3 territories had signed MOAs with the DoD, ranging in effective date from August 2011 through August 2017. Each MOA included the:

- process for establishment of a DSC, when the state or territory governor and the SECDEF or their designees mutually agree that such establishment is necessary and proper; and
- terms, responsibilities and procedures of the DSC, when exercising command on behalf of a Federal or state chain of command.

Dual-Status Commander Training and Certification Process

The NGB and USNORTHCOM ensured the ARNG and ANG officers designated as potential DSCs for the 50 states and 3 territories received the appropriate training and USNORTHCOM maintained copies of the training certificates. According to NGB officials, all ARNG and ANG candidates for a DSC appointment must attend the USNORTHCOM DSC Orientation Course. Prior to attending the USNORTHCOM DSC Orientation Course, the state or territory TAG submits a nomination letter to the CNGB stating that the nominated DSC candidate meets eligibility requirements for the course. In order to meet the eligibility requirements for the USNORTHCOM DSC Orientation Course, the nominated DSC candidate is required to complete the web-based Joint Domestic Operations Course and the Joint Task Force Commander Training Course. Once the nominated DSC candidate meets the eligibility requirements, the NGB, in coordination with USNORTHCOM, schedules the DSC candidate for USNORTHCOM's DSC Orientation Course. Upon the candidate's completion of the DSC Orientation Course, USNORTHCOM provides a certificate of qualification.

To ensure the states and territories, as well as DoD components, appointed trained and qualified officers as either primary or successor DSCs in support of COVID-19 response efforts, we compared the NGB's list of 74 primary and successor DSCs to training certificates obtained from USNORTHCOM. Our review found that all 74 appointed DSCs completed USNORTHCOM's DSC training course.

State and Territory Appointment Memorandums

The NGB maintained the appointment memorandum for each of the 74 officers designated as a DSC for the 39 states and territories. We obtained appointment memorandums from the 39 states and territories with appointed DSCs from the NGB. Our review of the state and territory appointment memorandums determined that governors submitted the letters to

the SECDEF, as required by JP 3-28. However, we found that six states did not appoint successor DSCs; two states submitted appointment letters for a deputy DSC instead of a successor DSC; and one state submitted two appointment letters that did not designate who would serve as the primary and successor DSC. Although not requiring the appointment of successor DSCs, JP 3-28 recommends designating a successor DSC should the primary DSC become incapacitated. Therefore, we identified appointing primary and successor DSCs as a best practice that is further discussed in “Best Practices for States and Territories During Nomination of Dual-Status Commanders” (Best Practices) on Page 12.

Army and Air National Guard Officer Orders

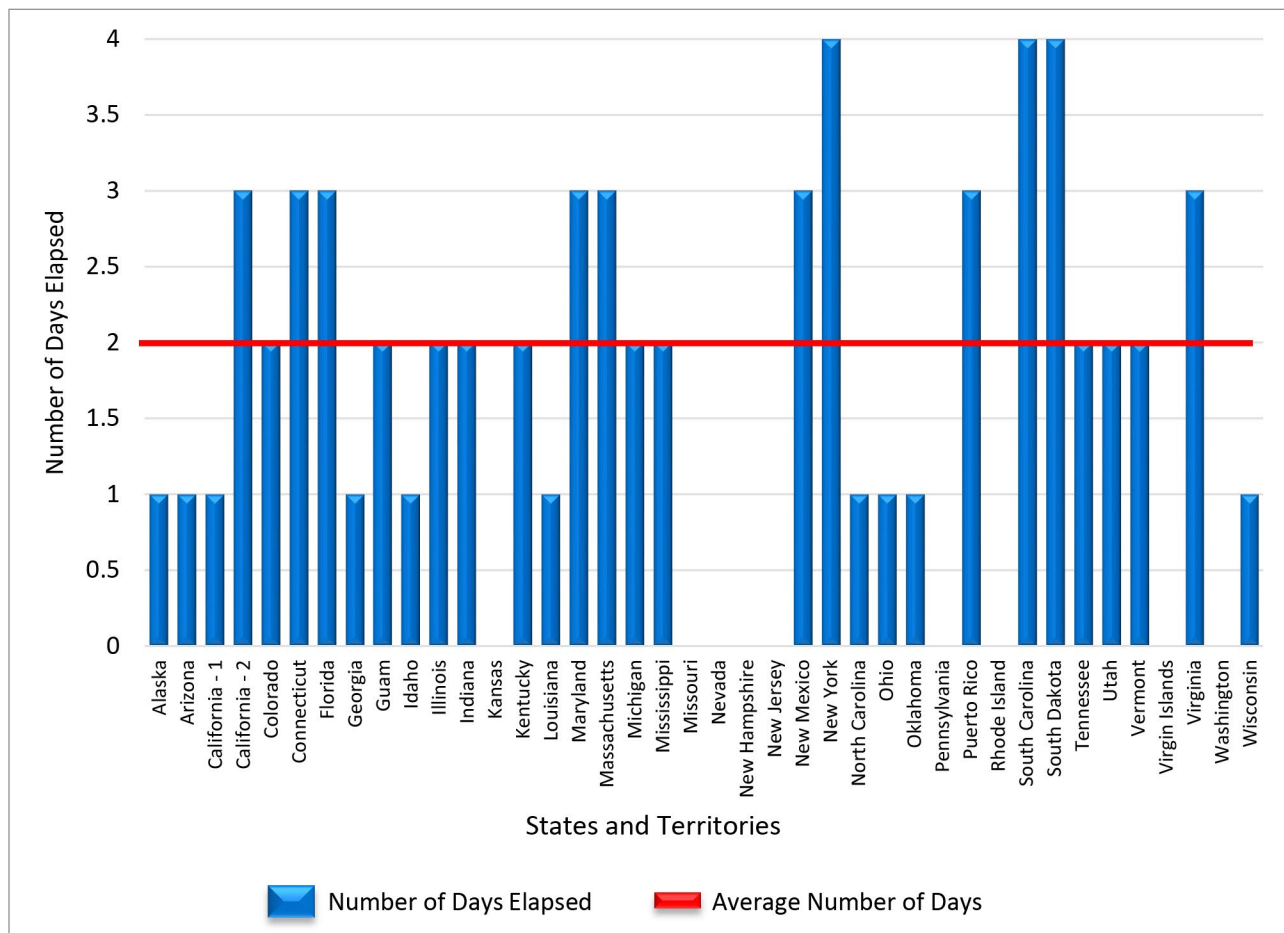
The NGB maintained ARNG and ANG orders for each of the 74 officers designated as a DSC to extend them Federal recognition in addition to their commission in the state or territory ARNG or ANG. Issuing ARNG and ANG orders ensures an appointed DSC has the authorities to command both the Federal and National Guard forces of their home state or territory. We obtained ARNG and ANG orders from the NGB for the 74 primary and successor DSCs across 39 states and territories. We verified that each appointed DSC received orders extending them Federal recognition in addition to their commission in an ARNG or ANG of a state or territory.

DoD Personnel Conducted Appropriate and Timely Reviews

DoD personnel completed appropriate and timely reviews of 39 state and territory DSC appointment memorandums. We reviewed the NGB’s “Coronavirus Response 2020: Senior Leader Update,” as of May 4, 2020, to determine the dates when the NGB received governors’ state and territory appointment memorandums and the dates when OSD approved the memorandums.⁸ Our review showed that OSD approved state and territory appointment memorandums to ensure that the appointment of eligible and qualified personnel was approved, on average, within 2 days of the DoD’s receipt of the state and territory appointment memorandums. Figure 2 identifies the number of elapsed days for OSD to approve the state and territory appointment memorandums.

⁸ The NGB’s “Coronavirus Response 2020: Senior Leader Update,” as of May 4, 2020, includes a DSC tracker that is used to update senior leadership on the DSCs approved within each state or territory and the timeline of events.

Figure 2. Analysis of the Number of Days Elapsed to Approve State and Territory Appointment Memorandums



Note: The states and territories with 0 elapsed days obtained OSD's approval the same day their state or territory appointment memorandums were received.

Source: The DoD OIG.

The National Guard Bureau Maintained a Registry of Trained Dual-Status Commanders

The NGB maintains a registry of trained individuals that are qualified to be appointed as DSCs within each state and territory. We obtained access to the DSC registry to determine whether the 14 states that did not appoint DSCs had qualified and trained individuals that could serve as DSCs, if required.⁹ Our review of the DSC registry showed that the 14 states that did not have an appointed DSC to coordinate COVID-19 response efforts had eligible and qualified officers assigned to their National Guards that could serve as DSCs, if required. In addition, our review of the NGB registry of DSCs showed that with the exception of Maine, the states and territories all had more than one qualified officer that could potentially serve as a DSC, if required. Therefore, we identified maintaining more than one qualified DSC as a best practice that is further discussed in Best Practices.

To determine the accuracy of the NGB registry of DSCs, we reconciled the training certificates obtained from USNORTHCOM for individuals from the 39 states with appointed DSCs with the names contained in the DSC registry. Our review showed that four DSCs who had completed USNORTHCOM's DSC training course, and received training certificates, were not contained in the DSC registry.¹⁰ NGB training officials acknowledged the discrepancies and stated they are currently reviewing their process for capturing and maintaining pertinent data to increase the accuracy of their DSC registry. Therefore, we identified updating and reconciling the NGB's registry of DSCs as a best practice that is further discussed in Best Practices.

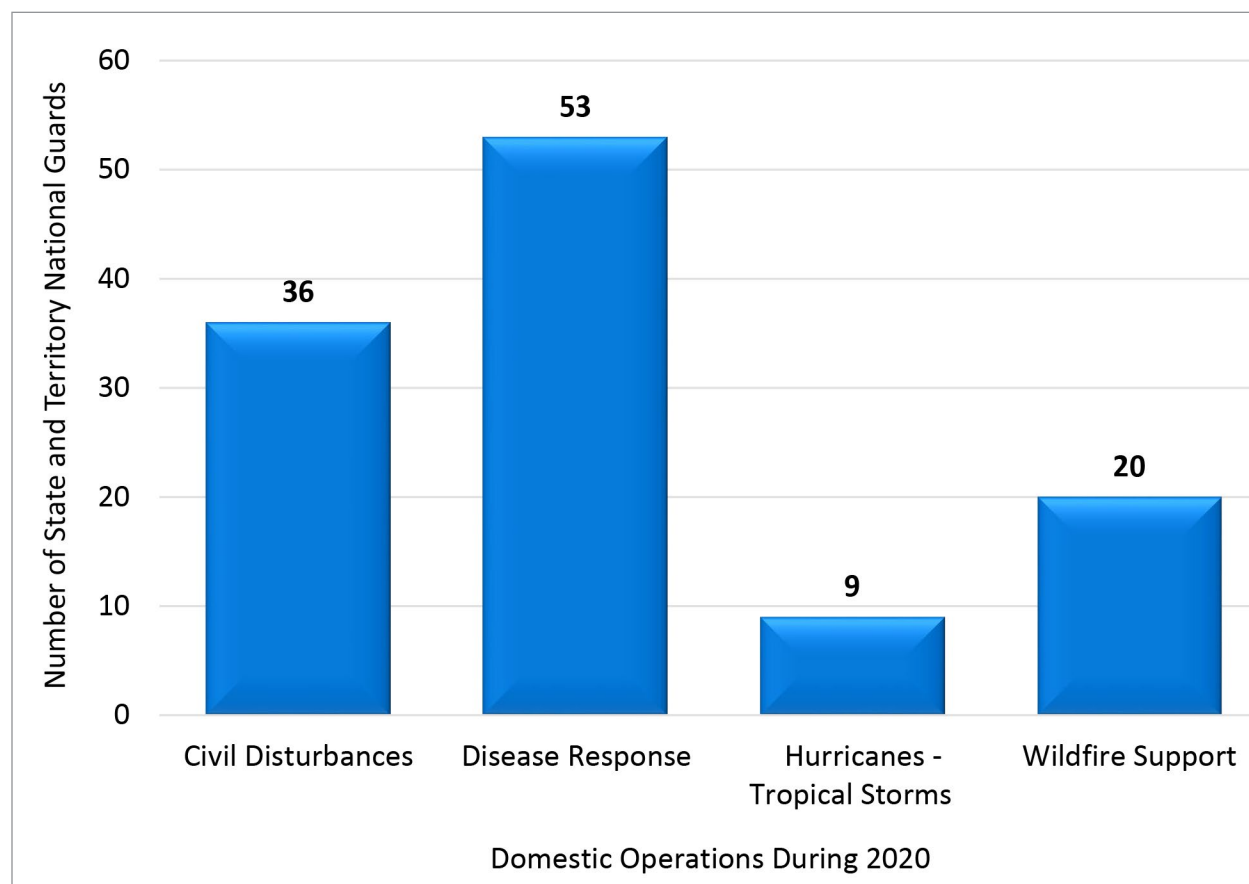
Best Practices for States and Territories During Nomination of Dual-Status Commanders

According to NGB officials, National Guard units supported 235 domestic operations across the United States during FY 2020. These operations included National Guard units providing support to COVID-19 response efforts, civil disturbances, post-hurricane relief efforts, and fighting wildfires. The National Guard is the first line of military response to most state or local incidents and an effective means of providing help and assistance to local authorities. Figure 3 identifies the number of state and territory National Guards that supported civil disturbances, disease response, hurricanes, tropical storms, and wildfires during 2020, as of September 30, 2020.

⁹ The National Guards of the 14 states did not determine a need to appoint a DSC in response to COVID-19.

¹⁰ Massachusetts's primary DSC, New Hampshire's primary DSC, and Utah's primary and successor DSCs were not listed in the DSC registry of trained individuals.

Figure 3. Number of State and Territory National Guards Supporting Selected Domestic Operations During 2020



Note: Data presented current as of September 30, 2020.

Source: The DoD OIG.

As previously discussed, for state missions the National Guards operate under the control of the governor of their state or territory, and not the DoD. Therefore, we are not making recommendations to the TAGs or the Joint Force Headquarters of the states and territories. However, during our audit, we identified three best practices that National Guards can apply to improve their readiness and ability to employ DSCs to support DSCA missions. To ensure National Guards from each state and territory are better prepared to support multiple DSCA missions, each should consider maintaining more than one qualified and trained DSC, identifying a primary and successor DSC in state and territory appointment memorandums, and updating the NGB registry of DSCs on a regular basis. The National Guards from each state and territory should:

- consider maintaining more than one qualified and trained DSC to avoid potentially delaying the appointment and employment of DSCs during DSCA missions. As previously discussed, our review of the NGB registry of DSCs showed that only one state did not have more than one qualified officer that could potentially serve as a DSC;

- identify primary and successor DSCs to ensure clear succession plans in the event that the primary DSC become incapacitated or unavailable. As previously discussed, our review of the state and territory appointment memorandums showed that nine states and territories did not identify both a primary and successor DSC; and
- update and reconcile the NGB's DSC registry to increase the accuracy of the registry and facilitate the NGB's ability to identify qualified individuals when needed. As previously discussed, our review of the NGB registry of DSCs identified that discrepancies were contained within the registry.

Implementing these best practices will increase the likelihood that trained and certified DSCs are available to respond to domestic incidents, including health emergencies such as COVID-19.

Conclusion

DoD Components managed and coordinated the nomination, certification, and appointment of DSCs in support of COVID-19 relief efforts in accordance with applicable laws and regulations. Specifically, all appointed DSCs met eligibility and qualification requirements, required DSC appointment documents were complete, and DSCs were appointed, on average, within 2 days of receipt of the governor's state and territory appointment memorandums. In addition, the 14 states that did not have appointed DSCs to coordinate COVID-19 response efforts had eligible and qualified officers assigned to their National Guards that could serve as a DSC in the event one was required. Furthermore, we identified three best practices that state or territory National Guards can apply to improve their responsiveness and ability to employ DSCs to support DSCA missions. Specifically, National Guards from each state or territory should consider maintaining more than one qualified and trained DSC, identifying a primary and successor DSC in state and territory appointment memorandums, and updating the NGB registry of DSCs on a regular basis.

We appreciate the cooperation and assistance received during the audit. If you have any questions, please contact me at [REDACTED].



Richard B. Vasquez
Assistant Inspector General for Audit
Readiness and Global Operations

Appendix A

Scope and Methodology

We conducted this performance audit from May 2020 through February 2021 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.

To determine whether DoD Components managed and coordinated the nomination, certification, and appointment of DSCs in accordance with applicable laws and regulations, we conducted a 100 percent review of the DSCs appointed to support COVID-19 response efforts. As of May 4, 2020, 39 states and territories had appointed DSCs. Of these 39 states and territories, 9 states and territories had employed DSCs to coordinate COVID-19 response efforts. The remaining 30 states and territories had appointed DSCs, but had not employed them as of May 4, 2020. See Appendix B for the states and territories with appointed DSCs and those that did not appoint DSCs in support of COVID-19 response efforts.

Nomination and Qualification Documentation

We obtained and reviewed documentation to verify whether nominated, certified, and appointed DSCs met nomination and qualification requirements. Specifically, we verified whether the appointed DSCs met the following JP 3-28 requirements.

- Title 32, U.S.C., or State Active Duty Officers nominated by a State's Adjutant General
- Title 10, U.S.C., Officers nominated by the Commander, USNORTHCOM or Commander, U.S. Indo-Pacific Command
- Completed specialized training to command U.S. Federal military forces in support of civil authorities as prescribed by the NGB, in coordination with state military departments and USNORTHCOM

Documentation Requirements

We obtained and reviewed the key documents from various DoD Components that are required for the nomination, certification, and appointment of a Dual-Status Commander as identified in Joint Publication 3-28. Specifically, we obtained and analyzed the following key documents to ensure that the states and territories complied with these requirements.

- nomination letters
- certificates of qualification
- preplanned MOAs between the state and the DoD for the use and establishment of a DSC

- state and DoD appointment memorandums
- ARNG or ANG officer orders

In addition, we obtained a list of individuals qualified to serve as DSCs. The list of qualified individuals is maintained in the DSC registry, located on the NGB's Guard Knowledge Online Portal. We used this list to determine if the non-appointing 14 states had qualified individuals who could serve as DSCs, if needed.

We conducted telephone conferences with the following primary DoD Components that have roles and responsibilities in nominating, certifying, and appointing DSCs.

- Office of the Under Secretary of Defense for Policy
- The National Guard Bureau
- U.S. Northern Command

Criteria

We obtained and reviewed the following criteria related to the nomination, certification, and appointment of a DSC.

- Section 315, title 32, United States Code (32 U.S.C. § 315 [2012])
- Section 317, title 32, United States Code (32 U.S.C. § 317 [2012])
- Section 325, title 32, United States Code (32 U.S.C. § 325 [2012])
- Joint Publication 3-28, "Defense Support of Civil Authorities," October 29, 2018

Use of Computer-Processed Data

We relied on the use of computer-processed data to determine whether the 14 states that did not appoint a DSC in response to COVID-19 had qualified and trained DSCs if needed. Specifically, we utilized the NGB registry to identify if the 14 states that did not appoint DSCs had qualified and trained individuals that could serve as DSCs. Although we did not obtain training certificates for these individuals, we determined that the database was accurate for determining whether the appointed individuals from the 39 states and territories received DSC training. Specifically, we compared the training certificates of the 74 primary and successor DSCs that were appointed across 39 states and territories to the registry. Each of the 74 primary and successor DSCs listed in the registry had a corresponding training certificate.

Prior Coverage

During the last 5 years, the Government Accountability Office (GAO) issued one report discussing the support of civil authorities during a pandemic. The report assessed DoD, the Department of Health and Human Services (HHS), and Department of Homeland Security (DHS) guidance and plans in response to a pandemic.

Report No. GAO-17-150, “Defense Civil Support: DoD, HHS, and DHS Should Use Existing Coordination Mechanisms to Improve Their Pandemic Preparedness,” February 10, 2017

The GAO found that the DoD, HHS, and DHS have plans to guide their responses to a pandemic. The DoD has developed guidance and plans at various levels to direct its efforts to provide assistance in support of civil authorities in the event of a domestic outbreak of a pandemic disease. The DoD’s guidance includes “Department of Defense Global Campaign Plan for Pandemic Influenza and Infectious Diseases 3551-13,” which provides guidance to the DoD and the Military Services on planning and preparing for a pandemic. In addition, the DoD’s “Strategy for Homeland Defense and Support to Civil Authorities” states that the DoD is often expected to play a prominent supporting role to primary Federal agencies in their response efforts. The GAO also found that although the HHS and DHS have plans to guide their response to a pandemic, their plans do not explain how the agencies would respond in a resource-constrained environment where state and local capabilities are overwhelmed or unavailable and when other Federal capabilities, like those provided by the DoD, are limited. The report states that the DoD coordinates with the agencies, but existing coordination mechanisms among the HHS, DHS, and DoD could be used to improve preparedness. The DoD, HHS, and DHS have mechanisms – such as interagency working groups, liaison officers, and training exercises – to coordinate their response to a pandemic. These mechanisms provide the agencies opportunities to improve their preparedness and response to a pandemic. In addition, HHS’ and DHS’ pandemic response plans do not specifically address what resources would be needed to support a response to a pandemic in an environment where Federal resources, including the DoD’s, are exceeded by demands.

Appendix B

Table 1 lists the 39 states and territories that appointed DSCs in response to COVID-19. Also included in the table are the number of primary, successor, and additional qualified DSCs per state and territory; the total number of qualified DSCs; and whether the DSCs were activated for COVID-19.

Table 1. States and Territories With Appointed Dual-Status Commanders in Support of COVID-19 Response Efforts

State or Territory	Primary DSCs Appointed for COVID-19	Successor DSCs Appointed for COVID-19	Additional Qualified DSCs	Total Qualified DSCs
Alaska	1	1	3	5
Arizona	1	1	8	10
California	2	0	2	4
Colorado	1	1	4	6
Connecticut*	1	0	1	2
Florida	1	1	8	10
Georgia	1	1	6	8
Guam*	1	0	2	3
Idaho	1	0	3	4
Illinois	1	1	9	11
Indiana	1	1	0	2
Kansas	1	1	2	4
Kentucky	1	1	1	3
Louisiana*	1	1	0	2
Maryland	1	1	1	3
Massachusetts*	1	1	4	6
Michigan*	1	1	5	7
Mississippi	1	1	7	9
Missouri	1	1	1	3
Nevada	1	1	3	5
New Hampshire	1	1	4	6
New Jersey*	1	0	4	5
New Mexico	1	1	5	7
New York*	1	1	5	7
North Carolina	1	1	2	4

Table 1. States and Territories With Appointed Dual-Status Commanders in Support of COVID-19 Response Efforts (cont'd)

State or Territory	Primary DSCs Appointed for COVID-19	Successor DSCs Appointed for COVID-19	Additional Qualified DSCs	Total Qualified DSCs
Ohio	1	2	2	5
Oklahoma	1	1	2	4
Pennsylvania*	1	1	12	14
Puerto Rico	1	0	5	6
Rhode Island	1	1	1	3
South Carolina	1	1	10	12
South Dakota	1	1	1	3
Tennessee	1	1	1	3
Utah	1	1	2	4
Vermont	1	1	2	4
Virgin Islands	1	1	0	2
Virginia	1	1	4	6
Washington*	1	1	5	7
Wisconsin	1	1	1	3

*These nine states and territories appointed and activated DSCs for COVID-19.

Source: The DoD OIG.

Table 2 lists the 14 states that did not appoint DSCs in response to COVID-19, and the number of individuals qualified to serve as DSCs within each state.

Table 2. States That Did Not Appoint Dual-Status Commanders in Support of COVID-19 Response Efforts

State	Number of Qualified DSCs	State	Number of Qualified DSCs
Alabama	6	Nebraska	4
Arkansas	7	North Dakota	2
Delaware	4	Oregon	8
Hawaii	7	Texas	7
Iowa	5	West Virginia	4
Maine	1	Wyoming	3
Minnesota	3		
Montana	5		

Source: The DoD OIG.



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