



CHIEF NATIONAL GUARD BUREAU INSTRUCTION

NG-J8-PC
DISTRIBUTION: A

CNGBI 8201.01
07 April 2014

JOINT CAPABILITY ASSESSMENT AND DEVELOPMENT PROCESS

References: See Enclosure C.

1. Purpose. This instruction implements policy and assigns responsibilities for the Joint Capabilities Assessment and Development Process (JCADP), which is a method for surveying, validating, and prioritizing capability shortfalls and gaps, as well as proposing solutions. The JCADP produces products, such as the Prioritized Capability Gap List (PCGL), used to engage the National Guard (NG) in joint resource allocation in accordance with (IAW) the responsibilities of the Chief of the National Guard Bureau (CNGB) as defined in references a through c.

2. Cancellation. None.

3. Applicability. This instruction applies to all elements of the National Guard Bureau (NGB).

4. Policy. It is NGB policy that:

a. The JCADP provides a primary means for the CNGB to fulfill advisory responsibilities to the Secretary of Defense through the Chairman of the Joint Chiefs of Staff on capability requirements for the federalized and non-federalized NG IAW reference c.

b. The JCADP is guided by the Capability Assessment Integrated Product Team (CAIPT), chaired by the chief of the Planning and Capabilities Division (NG-J8-PC) with representatives from the National Guard Joint Staff (NGJS), Army National Guard (ARNG), and Air National Guard (ANG). The respective directorate representatives will participate throughout the entire JCADP and be responsible for coordinating the PCGL and other capability development recommendations within their respective staff directorates.

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c. The CAIPT produces the PCGL for CNGB validation, and develops recommendations for conducting NG Capability Based Assessments (CBA) and capability documents IAW reference d.

d. The PCGL provides the basis for CNGB directives on capability assessments to support NGB participation in the Joint Capabilities Integration and Development System (JCIDS) IAW reference d; Department of Defense Planning, Programming, Budgeting, and Execution (PPBE) process deliberations IAW reference c; and the Comprehensive Joint Assessment and Capability Gap Assessment, as well as informing the development of NG strategies and other actions pertaining to NG capabilities. This includes, but is not limited to, assessments of capability requirements for the non-federalized NG to conduct Homeland Defense and Defense Support to Civil Authorities (HD/DSCA) operations.

e. The CAIPT coordinates the PCGL and other recommendations regarding capability development for the CNGB through the formal NGB staffing process.

5. Definitions. See Glossary.

6. Responsibilities. See Enclosure A.

7. Summary of Changes. This is the initial publication of CNGBI 8201.01.

8. Releasability. This instruction is approved for public release; distribution is unlimited. NGB directorates, The Adjutants General (TAG), the Commanding General of the District of Columbia (CG), and Joint Force Headquarters-State may obtain copies of this instruction through <<http://www.ngbpdc.ngb.army.mil>>.

9. Effective Date. This instruction is effective upon publication and must be reissued, cancelled, or certified as current within five years of its publication.


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General, USA
Chief, National Guard Bureau

Enclosures:

A -- Responsibilities

B -- Phases of the Joint Capability Assessment and Development Process

C -- References

GL -- Glossary

ENCLOSURE A
RESPONSIBILITIES

1. Responsibilities.

a. CNGB. CNGB responsibilities are detailed in references a through c.

b. Vice Chief of the National Guard Bureau (VCNGB). The VCNGB will annually solicit, from TAGs, any NG capability shortfalls in the States, Territories, and the District of Columbia, hereafter referred to as "States."

c. NGJS Directors.

(1) Director of Manpower and Personnel (NG-J1). Director, NG-J1 will:

(a) Assign a CAIPT representative to coordinate NG-J1 engagement with the JCADP and facilitate the assessment of impacts on NG personnel resulting from CAIPT recommendations.

(b) Coordinate assessment of joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and Functional Solutions Analyses (FSA).

(c) Coordinate overall NG engagement regarding the Force Support Functional Capability Board (FCB) and working groups by maintaining CAIPT situational awareness of these activities and related actions with NG equities.

(2) Director of Intelligence (NG-J2). Director, NG-J2 will:

(a) Assign a CAIPT representative to coordinate NG-J2 engagement with the JCADP and facilitate the assessment of impacts on NG intelligence capabilities resulting from CAIPT recommendations.

(b) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

(c) Coordinate overall NG engagement regarding the Battlespace Awareness FCB and working groups by maintaining CAIPT situational awareness of these activities and related actions with NG equities.

(3) Director of Domestic Operations and Force Development (NG-J3/7). Director, NG -J3/7 will:

(a) Assign a CAIPT representative to coordinate NG-J3/7 engagement with the JCADP and facilitate assessment of impacts on NG domestic

operations, training, and exercise capabilities resulting from CAIPT recommendations.

(b) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

(c) Coordinate overall NG engagement regarding the Force Application FCB and working groups by maintaining CAIPT situational awareness of these activities and related actions with NG equities.

(d) Conduct an annual analysis of domestic operations and exercises as well as NG readiness to perform HD/DSCA missions using after-action reports and other similar documents as well as the Joint Training and Information Management System, Joint Lesson Learned Information System, and Defense Readiness and Reporting System.

(e) Submit CAIPT-identified key joint issues to the NGB Joint Issue Resolution Program.

(4) Director of Logistics (NG-J4). Director, NG-J4 will:

(a) Assign a CAIPT representative to coordinate NG-J4 engagement with the JCADP and facilitate assessment of impacts on NG logistical capabilities resulting from CAIPT recommendations.

(b) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

(c) Coordinate overall NG engagement regarding the Logistics FCB and working groups by maintaining CAIPT situational awareness of these activities and related actions with NG equities.

(5) Director of Strategic Plans, Policy, and International Affairs (NG-J5). Director, NG-J5 will:

(a) Assign a CAIPT representative to coordinate NG-J5 engagement with the JCADP and facilitate assessment of impacts on NG policies and plans resulting from CAIPT recommendations.

(b) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

(c) Coordinate overall NG engagement regarding NG policy and plans across all FCBs through the respective NGJS directorate assigned to each FCB.

(d) Conduct an annual evaluation of NG ability to meet NG force requirements for Combatant Commander Operational and Contingency Plans.

(6) Director of Communications and Chief Information Officer (NG-J6/CIO). Director, NG-J6/CIO will:

(a) Assign a CAIPT representative to coordinate NG-J6/CIO engagement with the JCADP and facilitate assessment of impacts on joint NG Command, Control, Communications, and Computer (C4) capabilities.

(b) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

(c) Coordinate overall NG engagement in the C4/Cyber FCB and working groups by maintaining CAIPT situational awareness of these activities and related actions with NG equities.

(d) Coordinate, when necessary, with the Functional Advisory Council of the Joint Staff Directorate of Command, Control, Communications, and Computers/Cyber.

(e) Synchronize actions with the Joint Information Technology Requirements Analysis process IAW reference e.

(7) Director of Resource Management and Comptroller (NG-J8). Director, NG-J8 will:

(a) Assign the role of CAIPT Chair to Chief, NG-J8-PC.

(b) Coordinate overall NG engagement for the Protection FCB and working groups by maintaining CAIPT situational awareness of these activities and related actions with NG equities.

(c) Coordinate integration, with Joint Staff counterparts, across all FCBs and FCB integration groups at the General Officer/Flag Officer and O-6 level.

(d) Conduct an annual survey of State, NGJS, ARNG, and ANG capability shortfalls.

d. The Joint Surgeon (NGB-JSG). NGB-JSG will:

(1) Assign a CAIPT representative to coordinate NGB-JSG engagement with the JCADP and facilitate assessment of impacts on NG medical capabilities resulting from CAIPT recommendations.

(2) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

(3) Coordinate overall NG engagement for the Health Readiness portion of the Force Support FCB by maintaining CAIPT situational awareness of these activities and related actions with NG equities.

e. Deputy Chief of Staff of Resource Management, Army National Guard (ARNG-G8). Deputy Chief of Staff, ARNG-G8 will:

(1) Co-chair the CAIPT.

(2) Assign a CAIPT representative to coordinate ARNG engagement with the JCADP and facilitate assessment of impacts on ARNG capabilities resulting from CAIPT recommendations.

(3) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

(4) Maintain CAIPT situational awareness of Army strategy, plans, and priorities, and related actions with NG equities.

(5) Coordinate the evaluation of capability assessments and analyses; development of PCGL recommendations for conducting CBAs and FSAs; and formation of Initial Capability Documents (ICD) and Doctrine, Organization, Training, Materiel, Leadership Policy and Education, Personnel, Facilities, and Policy Change Recommendations (DCR) submission recommendations.

f. Director of Plans and Requirements, Air National Guard (NGB/A5). Director, NGB/A5 will:

(1) Co-chair the CAIPT.

(2) Assign a CAIPT representative to coordinate ANG engagement into the JCADP and facilitate assessment of impacts on ANG capabilities resulting from CAIPT recommendations.

(3) Coordinate joint matters with directorate counterparts in the Joint Staff, ARNG, and ANG, in support of CBAs and FSAs.

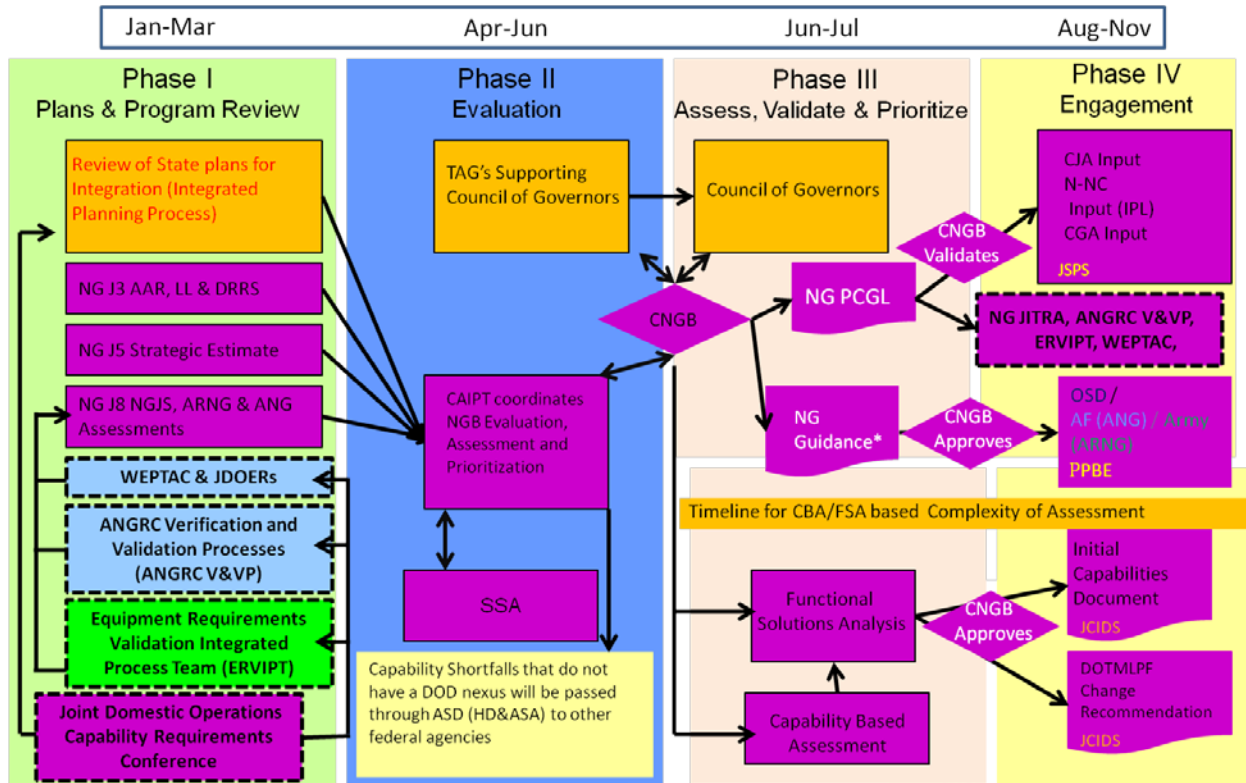
(4) Maintain CAIPT situational awareness of Air Force strategy, plans, and priorities, and related actions with NG equities.

(5) Coordinate the evaluation of capability assessments and analyses, development of PCGL recommendations for conducting CBAs and FSAs, and formation of ICD and DCR submission recommendations.

ENCLOSURE B

PHASES OF THE JOINT CAPABILITY ASSESSMENT AND DEVELOPMENT PROCESS

1. JCADP Phases. JCADP has four phases (see Figure 1).



ASD (HD&ASA)-Assistant Secretary of Defense for Homeland Defense and Americas' Security Affairs
 DOTMLPF-Doctrine, Organization, Training, Material, Leadership, Personnel, and Facilities
 JDOERs -Joint Domestic Operations Equipment Requirements
 AAR-After Action Report DOD-Department of Defense
 CGA-Capability Gap Assessment DRRS-Defense Readiness Reporting System
 CoCOM-Combatant Command JSPS-Joint Strategic Planning System
 CONOPS-Concept of Operations SSA-Shared Situational Awareness

Figure 1. JCADP Phases

a. Phase I, Plans and Program Review. This phase is for solicitation and collection of capability shortfalls.

(1) No later than (NLT) January.

(a) VCNGB requests a capability shortfall assessment from TAGs and the CG on the State's ability to execute missions directed in State plans. The primary source for assessing these capability shortfalls are approved Multi-

State Plans, or appropriate Individual State Plans, developed from planning guidance derived from the National Guard Strategic Planning System.

(b) NG-J8 requests an annual capability shortfall assessment from the directors of ARNG, ANG, and NGJS.

(2) NLT February. NG-J5 provides data on capability shortfalls, identified through its annual assessment, to the CAIPT.

(3) NLT March.

(a) NG-J8 provides integrated results from its annual survey, Joint Experiments, Strategic Studies and Assessments, and the Joint Domestic Operations Equipment Requirements Process to CAIPT.

(b) NG-J3/7 provides data on capability shortfalls, identified through its annual analysis, to CAIPT.

b. Phase II, Evaluation. This phase is for initial analysis to prepare FSA or CBA recommendations. During this phase, CAIPT completes the following:

(1) Review of proposed capability gaps to evaluate justifications and provide, where possible, options to mitigate capability shortfalls.

(2) Recommendations to CNGB on conducting CBAs or FSAs, as necessary, made through the NGB corporate process.

c. Phase III, Assessment and Prioritization. This phase is for preparation of recommendations for validation and prioritization of capability gaps. During this phase, CAIPT completes the following:

(1) Review of results from CBAs and FSAs.

(2) Recommendations of validation through the NGB corporate process.

(3) Development of a proposed CNGB PCGL based on the list of capability shortfalls, with sufficient analysis supporting NG inability to mitigate gaps through application of existing capabilities.

(4) Submission of PCGL recommendations to CNGB through CoC, GOSC, and SGC.

(5) Amendment of the PCGL, as necessary, to align with results of Army and Air Force Program Objective Memorandums and CNGB Issue Papers from the Department of Defense Integrated Program and Budget Review.

d. Phase IV, Recommending Solutions. This phase is for the development and coordination of capability gap submissions (for example, ICDs, DCRs, Cost Benefit Analyses, or Business Cases) for the JCIDS, PPBE, Service, and Business Capability Life Cycle processes. During this phase, CAIPT completes the following:

(1) Assistance of NGB lead staff elements in drafting and submitting ICDs or DCRs to appropriate Services, or to appropriate FCBs through the JCIDS process.

(2) Approval of all Cost Benefit Analysis and Business Cases submissions to the appropriate Service PPBE processes IAW reference f.

ENCLOSURE C

REFERENCES

PART I. REQUIRED

- a. 10 U.S.C., “Armed Forces”
- b. 32 U.S.C., “National Guard”
- c. DoD Directive 5105.77, 21 May 2008, “National Guard Bureau (NGB)”
- d. CJCS Instruction 3170.01H, 10 January 2012, “Joint Capabilities Integration and Development System”
- e. CNGB Instruction 6000.01, 13 August 2012, “National Guard Bureau (NGB) Joint Information Technology Portfolio Management”
- f. CJCS Instruction 8501.01B, 21 August 2012, “Chairman of the Joint Chiefs of Staff, Combatant Commanders, Chief, National Guard Bureau, and Joint Staff Participation in the Planning, Programming, Budgeting, and Execution Process”

PART II. RELATED

- g. DoD Directive 7730.66, 08 July 2011, “Guidance for the Defense Readiness Reporting System (DRRS)”
- h. CJCS Instruction 3100.01B, 12 December 2008, “Joint Strategic Planning System (JSPS)”
- i. DoD Directive 7730.65, 03 June 2002, “Department of Defense Readiness Reporting System (DRRS)”
- j. CJCS Instruction 3401.01E, 13 April 2010, “Joint Combat Capability Assessment”
- k. CJCS Instruction 5123.01F, 10 January 2012, “Charter of the Joint Requirements Oversight Council”
- l. CJCS Manual 3500.03D, 15 August 2012, “Joint Training Manual for the Armed Forces of the United States”
- m. CJCS Instruction 3150.25E, 20 April 2012, “Joint Lessons Learned Program”

- n. DoD Directive 8260.05, 07 July 2011, “Support for Strategic Analysis (SSA)”
- o. NG Regulation 500-1/ANG Instruction 10-8101, 13 June 2008, “National Guard Domestic Operations”
- p. DoD Directive-Type Memorandum 11-009, 23 June 2011, Incorporating Change 2, 10 January 2013, “Acquisition Policy for Defense Business Systems (DBS)”

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

ANG	Air National Guard
ARNG-G8	Army National Guard Resource Management
ARNG	Army National Guard
C4	Command, Control, Communications and Computer
CAIPT	Capability Assessment Integrated Product Team
CBA	Capability Based Assessments
CG	Commanding General of the District of Columbia
CNGB	Chief of the National Guard Bureau
DCR	Doctrine, Organization, Training, Materiel, Leadership Policy and Education, Personnel, Facilities, and Policy Change Recommendations
FCB	Functional Capability Board
FSA	Functional Solutions Analysis
GOSC	General Officer Steering Committee
HD/DSCA	Homeland Defense and Defense Support to Civil Authorities
IAW	in accordance with
ICD	Initial Capability Documents
JCADP	Joint Capabilities Assessment and Development Process
JCIDS	Joint Capabilities Integration and Development System
NG	National Guard
NGB	National Guard Bureau
NGB/A5	Air National Guard Plans and Requirements
NGB-JSG	The Joint Surgeon
NG-J1	Directorate of Manpower and Personnel
NG-J2	Directorate of Intelligence
NG-J3/7	Directorate of Domestic Operations and Force Development
NG-J4	Directorate of Logistics
NG-J5	Directorate of Strategic Plans, Policy, and International Affairs
NG-J6/CIO	Directorate of Communications/ Chief Information Officer
NG-J8	Directorate of Resource Management and Comptroller
NG-J8-PC	Planning and Capabilities Division
NGJS	National Guard Joint Staff
NLT	no later than
PCGL	Prioritized Capability Gap List
PPBE	Planning, Programming, Budgeting, and Execution
SGC	Senior Governance Council
TAG	The Adjutant General
VCNGB	Vice Chief of the National Guard Bureau

PART II. DEFINITIONS

Business Case -- A summary of essential information necessary to enable effective management decisions resulting from rigorous analysis and associated documentation produced by the functional sponsor and program manager. The business case clearly defines and articulates the business problem, the desired outcomes, and the holistic plan for delivering the capability.

Capability -- The ability to execute a specified course of action. A capability may or may not be accompanied by an intention.

Capability Gap -- The inability to execute a specified course of action. The gap may result from a lack of existing capability, deficient proficiency or sufficiency in an existing capability solution, or the need to replace an existing capability solution to prevent a future gap.

Capability Requirement -- A capability required to meet an organization's roles, functions, and missions in current or future operations. Capability requirements are described, to the greatest extent possible, in relation to tasks, standards, and conditions in accordance with the Universal Joint Task List or equivalent Department of Defense Component Task List. If a capability requirement is not satisfied by a capability solution, then there is also an associated capability gap which carries an amount of risk until eliminated. A requirement is considered to be "draft" or "proposed" until validated by the appropriate authority.

Capability Shortfall -- The inability to execute a specified task or action directed in State National Guard or Combatant Command plans. Since capability shortfalls are State National Guard or National Guard Bureau staff submissions, they generally will not be based on an assessment of the total capabilities and capacities of the Army and Air National Guard. A capability shortfall must be evaluated by the Capability Assessment Integrated Product Team and validated by the Chief of the National Guard Bureau before being identified as a National Guard capability gap.

Capability Solution -- A materiel or non-materiel solution to satisfy one or more capability requirements or needs to reduce or eliminate one or more capability gaps.

Core Mission Area -- Department of Defense core mission areas identified under the most recent Quadrennial Roles and Missions report.

Cost Benefit Analysis -- An evaluation of proposed solutions comparing value of capability gap mitigation and risk to mission against the actual cost of the proposed solution.

Document Sponsor -- Requirement Sponsor or Solution Sponsor; applies to directorates of the National Guard Joint Staff, or Army or Air National Guard, submitting a Joint Capabilities Integration and Development System document. Requirement Sponsors and Solution Sponsors may differ; this may occur when the initial sponsor does not have delegated acquisition authority and another directorate is designated to develop and field a capability solution.

Joint -- Connotes activities, operations, organizations, et cetera, in which elements of two or more military departments participate.

Joint Emergent Operational Need -- Urgent operational needs identified by a joint military requirement.

Joint Military Requirement -- A capability necessary to fulfill or prevent a gap in a core mission area of the Department of Defense.

Joint Urgent Operational Need -- Urgent operational needs that are identified by a materiel solution.

Materiel Solution -- A new item (for example, ships, tanks, or related spares; excluding real property, installations, and utilities) developed or purchased to satisfy one or more capability requirements or needs to reduce or eliminate one or more capability gaps.

Non-materiel Solution -- Changes to doctrine, organization, training, existing materiel, leadership and education, personnel, or facilities implemented to satisfy one or more capability requirements or needs to reduce or eliminate one or more capability gaps without the need to develop or purchase a new materiel solution.

Urgent Operational Need -- Capability requirements identified by a Department of Defense Component affecting an ongoing or anticipated contingency operation. If left unfulfilled, urgent operational needs result in capability gaps, potentially resulting in loss of life or critical mission failure.

Validation -- Review and approval of capability requirement documents by a designated validation authority. The Chief of the National Guard Bureau is the ultimate validation authority for National Guard capability requirements.