



# CHIEF NATIONAL GUARD BUREAU INSTRUCTION

NGB-J81  
DISTRIBUTION: A

CNGBI 8201.01A  
21 May 2018

## JOINT CAPABILITY ASSESSMENT AND DEVELOPMENT PROCESS

References: See Enclosure B.


1. Purpose. This instruction establishes policy and assigns responsibilities for the Joint Capability Assessment and Development Process (JCADP) in accordance with (IAW) references a through e.
2. Cancellation. This instruction replaces its previous edition, CNGBI 8201.01, 07 April 2014, "Joint Capability Assessment and Development Process."
3. Applicability. This instruction applies to all elements of the National Guard (NG).
4. Policy. It is National Guard Bureau (NGB) policy to use the JCADP to identify, assess, validate, and prioritize NG capability requirements to enable the Chief of the National Guard Bureau (CNGB) to fulfill advisory capability development and resource allocation responsibilities. In addition to identifying NG capabilities for domestic operations under Governor control, the JCADP identifies key capabilities required by the NG to support the National Defense Strategy, the National Military Strategy, and the Department of Defense's (DoD) Strategy for Homeland Defense (HD) and Defense Support of Civil Authorities (DSCA).
  - a. The JCADP follows an annual cycle (as described in Enclosure A) that enables the NGB to identify and evaluate capability shortfalls, validate and prioritize capability gaps, and produce a Prioritized Capability Gap List (PCGL) no later than (NLT) 15 August annually.
  - b. The Capability Assessment Integrated Product Team (CAIPT) guides and facilitates the JCADP. The CAIPT is chaired by the Chief of the Programs and Resources/Comptroller Directorate (NGB-J8), Joint Capability and Planning

**UNCLASSIFIED**

Division (NGB-J81), with representatives from the Office of the Chief of the National Guard Bureau (OCNGB), NGB Joint Staff (NGBJS), Army National Guard (ARNG) and Air National Guard (ANG) Directorates, and the 54 States, Territories, and District of Columbia. The respective representatives will participate throughout the entire JCADP and be responsible for coordinating the PCGL and other capability development recommendations within their respective staff directorates.

c. The NGB will advocate for NG capability needs with regular participation in Joint Requirements Oversight Council (JROC) forums and through direct coordination with JROC Functional Capability Boards (FCB) as described in Enclosure A.

5. Definitions. See Glossary.
6. Responsibilities. See Enclosure A.
7. Summary of Changes. This instruction has been extensively revised. Users are encouraged to read the entire document.
8. Releasability. This instruction is approved for public release; distribution is unlimited. Obtain copies through <<http://www.ngbpdc.ngb.army.mil>>
9. Effective Date. This instruction is effective upon signature and must be reissued, cancelled or certified as current within five years from date signed.

  
JOSEPH L. MENGYEL  
General, USAF  
Chief, National Guard Bureau

Enclosures:

- A -- Responsibilities
- B -- References
- GL -- Glossary

ENCLOSURE A  
RESPONSIBILITIES

1. CNGB. The CNGB will:

- a. Approve the annual NGB PCGL and validate all NGB sponsored Joint Capabilities Integration and Development System (JCIDS) documents.
- b. Provide annual input to combatant command integrated priority lists and the Chairman of the Joint Chiefs of Staff (CJCS) Annual Joint Assessment (AJA).
- c. Participate in the CJCS Capability Gap Assessment (CGA) and advise the JROC IAW references a through e.

2. Vice Chief of the National Guard Bureau (VCNGB). The VCNGB will:

- a. Annually solicit input from The Adjutants General (TAG) and Commanding General of the District of Columbia NG (CG) concerning any NG capability shortfalls in the 54 NG Joint Force Headquarters-State (NG JFHQs-State) IAW reference g.
- b. Represent the CNGB at JROC-level meetings as appropriate.

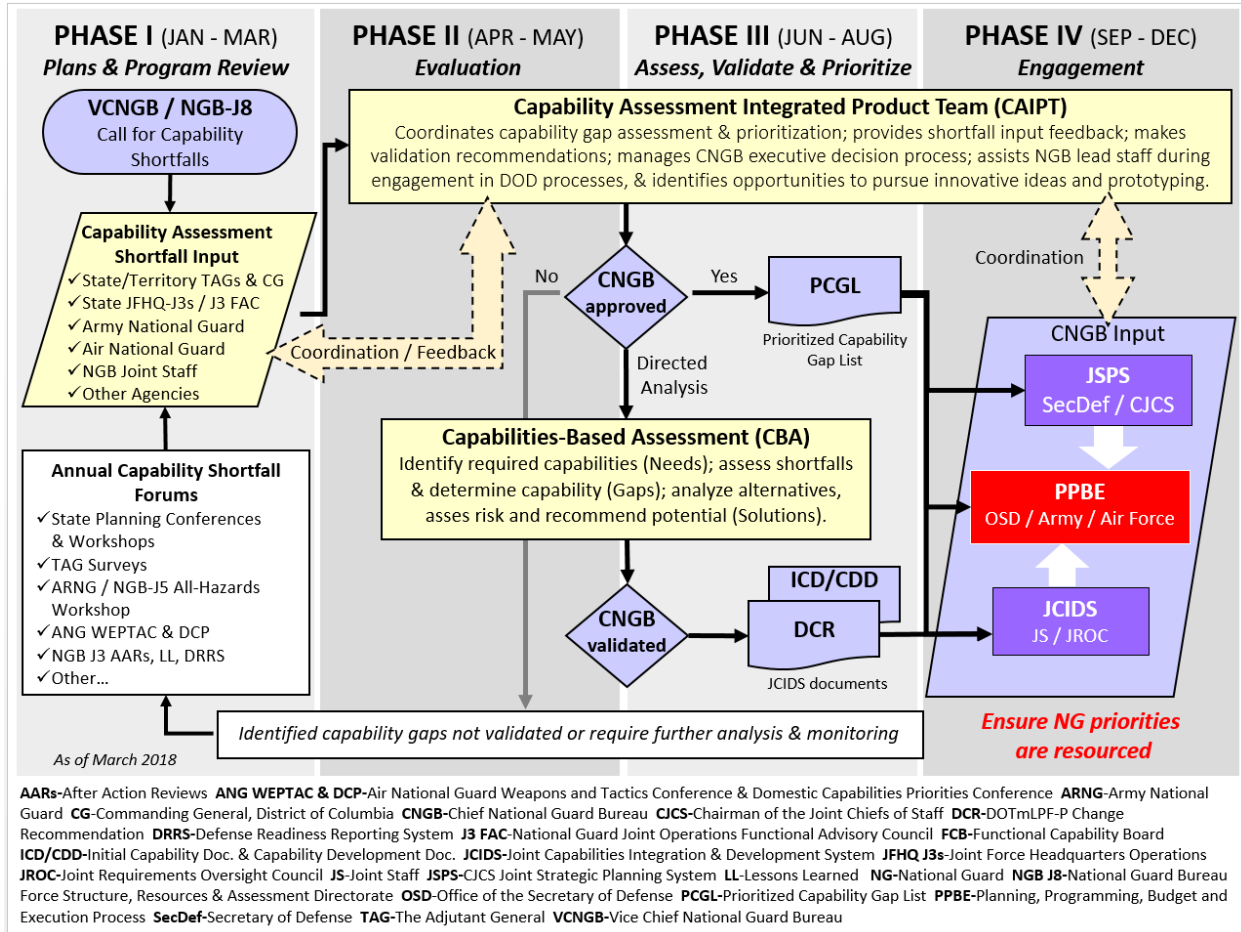
3. CAIPT. The CAIPT guides and facilitates the annual JCADP, executing responsibilities by phases IAW Figure 1 below.

a. Phase I, Plans and Program Review (January–March). This phase focuses on solicitation and collection of capability shortfalls. During this phase, the CAIPT will:

(1) NLT 31 January, draft and coordinate VCNGB request for capability shortfall assessment from TAGs and the CG on their ability to execute missions directed in State, Territory and District plans IAW reference g. The primary source for assessing these capability shortfalls are approved NG Multi-State plans, or appropriate individual State plans, developed from planning guidance derived from the National Guard Strategic Planning System.

(2) NLT 31 January, draft and coordinate NGB-J8 request for capability shortfall assessment from the directors of ARNG, ANG, and NGBJS.

(3) NLT 31 March, consolidate and organize all capability shortfall input to facilitate CAIPT review and evaluation.



**Figure 1. JCADP Phases**

b. Phase II, Evaluation (April-May). This phase focuses on initial analysis to prepare Capabilities-Based Assessment (CBA) recommendations. During this phase, the CAIPT will:

(1) Review and evaluate all proposed capability shortfalls to evaluate justifications and provide, where possible, options to mitigate capability shortfalls. All capability shortfalls must be validated by the CAIPT and approved by the CNGB before being designated a NG “capability gap.”

(2) Determine where further analysis may be required and provide CBA recommendations to the CNGB.

(3) Verify sponsoring capability advocates/subject-matter-experts, and determine NGBJS and directorate alignment for primary/ coordinating responsibilities in assessing capability shortfalls.

(4) Align CAIPT input with results from annual TAG surveys.

(5) Provide feedback and refined guidance to States concerning capability shortfall submissions.

c. Phase III, Assessment and Prioritization (June-August). This phase focuses on preparation of recommendations for validation and prioritization of capability gaps. During this phase, the CAIPT will:

(1) Review functional/subject-matter-expert evaluations of capability shortfalls.

(2) Develop draft PCGL based on analysis that substantiates NG inability to mitigate gaps through application of existing capabilities.

(3) Amend the PCGL, as necessary, to align with results of Army and Air Force Program Objective Memorandums and CNGB Issue Papers from the DoD Integrated Program and Budget Review.

(4) NLT 15 August, submit draft PCGL to the CNGB for approval.

d. Phase IV, Engagement (September-December). This phase focuses on the development and coordination of capability gap submissions to support the JCIDS and Planning, Programming, Budgeting, and Execution (PPBE) process IAW references d through f. During this phase, the CAIPT will:

(1) Assist NGB directors and lead staff responsible for drafting and submitting CBAs or Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, Facilities, and Policy Change Recommendations to appropriate Services, or to appropriate FCBs through the JCIDS process.

(2) Assist NGB directors and lead staff responsible for coordinating NG JCIDs and PPBE actions with appropriate Service, Joint Staff, and Office of the Secretary of Defense organizations.

4. Office of the Joint Surgeon General (NGB-JSG), NGBJS Directors, and Directors of the ARNG (DARNG) and ANG (DANG). NGB-JSG, NGBJS Directors, and the DARNG, and DANG will:

a. Assign an O6/GS-15 representative to serve as a member of the CAIPT and coordinate office/directorate participation in JCADP.

b. Conduct functional assessment of CAIPT assigned capability shortfalls and provide capability gap recommendations.

c. Coordinate joint capability assessment and development staff actions with NGB Directorate counterparts in support of CBA requirements.

d. Submit capability shortfalls for domestic operations and other assigned missions to NGB-J8 as part of the CNGB's Annual Assessment.

e. Assign primary and alternate representatives (at appropriate rank/level) to coordinate NGB engagement with JROC FCBs as shown in Table 1. Designated representatives will participate in regular FCB forums to establish staff relationships, inform board proceedings to represent NG interests, and maintain NGB situational awareness.

<b>Functional Capabilities Board (FCB) &amp; FCB Working Groups</b>	<b>Office of Primary Responsibility (OPR)</b>	<b>Office(s) of Coordinating Responsibility OCR(s)</b>
<b>Force Integration (FI) FCB</b>	<b>NGB-J8</b>	ARNG-G8, NGB/A8
- Force Management (FM)	NGB-J3/7	NGB-J8, ARNG-G3, NGB/A3
- Force Preparation (FP)	NGB-J3/7	ARNG-G3, NGB/A3
- Shape (Building Partnership)	NGB-J5	ARNG-G5, NGB/A5
<b>Force Application (FA) FCB</b>	<b>NGB-J3/7</b>	ARNG-G8, NGB/A5
- FA Working Group	NGB-J3/7	ARNG-G8, NGB/A5
<b>Protection FCB</b>	<b>NGB-J8 / J39</b>	ARNG-G3, ARNG-G8, NGB/A3
- Protection	NGB-J34	NGB-J3/7, ARNG-G3, NGB/A3
- Countering WMD	NGB-J39	NGB-J39, ARNG-G3, NGB/A3
- Air & Missile Defense (AMD)	NGB-J8	ARNG-G3, NGB/A3
<b>C4/Cyber FCB</b>	<b>NGB-J6</b>	ARNG-G6, NGB/A6
- C4/Cyber	NGB-J6	ARNG-G6, NGB/A6
<b>Battlespace Awareness (BA) FCB</b>	<b>NGB-J2</b>	ARNG-G2, NGB/A2
- BA Working Group	NGB-J2	ARNG-G2, NGB/A2
<b>Logistics (LOG) FCB</b>	<b>NGB-J4</b>	ARNG-G4, NGB/A4
- Logistics	NGB-J4	ARNG-G4, NGB/A4
- Health Readiness (HR)	NGB-JSG	ARNG-SG, NGB/SG

**Table 1.** NGB Alignment with JROC FCBs

5. Director of Domestic Operations and Force Development (NGB-J3/7). The Director of NGB-J3/7 will:

a. Conduct an annual analysis of domestic operations, exercises, and NG readiness to perform Federal and State missions using after-action reports and data collected from the Joint Training Information Management System, Joint Lesson Learned Information System, and Defense Readiness Reporting System.

b. Submit key issues identified by the CAIPT as having joint impact to the NGB Joint Issue Resolution Program.

c. Provide data on capability shortfalls, identified through annual analysis and from the NGB-J3/7 Functional Advisory Council (J3 FAC) to the CAIPT.

d. Coordinate overall NGB engagement in all Chemical, Biological, Radiological and Nuclear Defense (CBRND) programs and governance forums.

e. Facilitate exchange of information regarding domestic capability shortfalls identified by the J3 FAC.

6. Director of Strategy, Policy, Plans and International Affairs (NGB-J5). The Director of NGB-J5 will provide data on capability shortfalls, identified through the CNGB Annual Assessment, TAG surveys, and other Congressional reports to the CAIPT.

7. Director of C4 and Chief Information Officer (NGB-J6). The Director of NGB-J6 will:

a. Coordinate, when necessary, with the Joint Staff J6 Directorate Information Management Advisory Council.

b. Synchronize actions with the Joint Information Technology Requirements Analysis process IAW reference h.

8. Director of NGB-J8. The Director of NGB-J8 will:

a. Facilitate and manage the annual JCADP.

b. Assign the role of CAIPT Chair to Chief of NGB-J81.

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 and facilitate periodic CAIPT meetings of NGB FCB representatives for cross-FCB information sharing, coordination and integration on NG equities within the JCIDS process.

e. Provide JCADP results that inform future efforts in Joint Concept Development, Joint Experimentation, Wargaming, Discussion-Based Exercises, Strategic Studies, and other assessments.

f. Coordinate review of capability shortfalls submitted for the CNGB's Annual Assessment through the CAIPT.

g. Assess shortfalls and ensure there is no redundancy or duplication in their resolution through both DoD and NGB processes.

h. Guide CAIPT development of the PCGL. Use the PCGL as basis for developing and submitting domestic capability shortfalls to the Joint Staff in support of the AJA and CGA process.

- i. Provide PCGL input to NGB-J5 for inclusion in the AJA.
- j. Represent the NGB at Joint Capabilities Board (JCB)-level meetings as appropriate.
- k. Coordinate and provide periodic feedback, in conjunction with the CAIPT, to submitters of capability shortfall inputs during the JCADP.

9. ARNG Resource Management Directorate (ARNG G-8). The Director of ARNG G-8 will:

- a. Provide a COL/GS-15 level representative to co-chair the CAIPT.
- b. Advise the CAIPT of Army strategy, plans, and priorities, and related actions with NG equities.
- c. Coordinate the evaluation of capability assessments and analyses; development of PCGL recommendations for conducting CBAs; and recommendations for submission of JCIDS documents.
- d. Coordinate NG requirements with the Army G8 to ensure synchronization with Army weapon system programs of record in conjunction with the NGB-J8 CAIPT co-chair.

10. Director of Plans and Programs and Requirements (NGB/A5/8). The Director of NGB/A5/8 will:

- a. Provide a COL/GS-15 level representative to co-chair the CAIPT.
- b. Advise the CAIPT of Air Force strategy, plans, and priorities, and related actions with NG equities.
- c. Coordinate evaluation of capability assessments and analyses, development of PCGL recommendations for conducting CBAs, and recommendations for submission of JCIDS documents.
- d. Facilitate participation of NGB representatives in the ANG Domestic Capability Priorities (DCP) Conference to ensure a collaborative effort in support of NG capability requirements.

11. TAGs and CG. The TAGs and CG may:

- a. Provide capability shortfall inputs through senior leader forums or in response to formal requests.



b. Assign an O6/GS-15 representative to the CAIPT to coordinate organizational participation in the JCADP and assess impacts on organization capabilities resulting from CAIPT recommendations.

ENCLOSURE B

REFERENCES

PART I. REQUIRED

- a. Title 10 United States Code (U.S.C.), “Armed Forces”
- b. Title 32 U.S.C., “National Guard”
- c. DoD Directive 5105.77, 30 October 2015, Incorporating Change 1, October 10, 2017, “National Guard Bureau (NGB)”
- d. CJCS Instruction 3170.01I, 23 January 2015, “Joint Capabilities Integration and Development System”
- e. CJCS Instruction 5123.01G, 12 February 2015, “Charter of the Joint Requirements Oversight Council”
- 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”
- g. NGB Memorandum, 07 June 2013, “Annual Assessment of the National Guard of the States”
- h. CNGB Instruction 6000.01A, 26 September 2016, “National Guard Bureau (NGB) Joint Information Technology Portfolio Management”

PART II. RELATED

- i. DoD Directive 7730.65, 11 May 2015, “Department of Defense Readiness Reporting System (DRRS)”
- j. CJCS Instruction 3100.01C, 20 November 2015, “Joint Strategic Planning System (JSPS)”
- k. CJCS Instruction 3401.01E, 13 April 2010 (Directives current as of 19 May 2014), “Joint Combat Capability Assessment”
- l. CJCS Manual 3500.03E, 20 April 2015, “Joint Training Manual for the Armed Forces of the United States”
- m. CJCS Instruction 3150.25F, 26 June 2015, “Joint Lessons Learned Program”

- n. DoD Directive 8260.05, 07 July 2011, “Support for Strategic Analysis (SSA)”
- o. CNGB Instruction 3000.04, 24 January 2018, “National Guard Bureau Domestic Operations”
- p. DoD Instruction 5000.02, 07 January 2015 (Incorporating Change 3, August 10, 2017), “Operation of the Defense Acquisition System,”
- q. DoD Instruction 5000.75, 02 February 2017, “Business Systems Requirements and Acquisition”
- r. DoD Directive 5105.83, 05 January 2011, “National Guard Joint Force Headquarters – State,” as amended.
- s. NGB Memorandum, 04 March 2016, “National Guard Joint Operations and Training Functional Advisory Council (NG-J3/7 FAC) Charter”
- t. Defense Acquisition University (DAU) Glossary of Defense Acquisition Acronyms and Terms, online  
<<https://www.dau.mil/glossary/Pages/Default.aspx>>, accessed 12 February 2018
- u. NGB Publications and Forms Library Website, online  
<<http://www.ngbpd.c.ngb.army.mil/>>, accessed 12 February 2018

GLOSSARY

PART I. ACRONYMS

AJA	Annual Joint Assessment
ANG	Air National Guard
ARNG	Army National Guard
ARNG G-1	Army National Guard Human Resources Directorate
ARNG G-2	Army National Guard Intelligence Directorate
ARNG G-3	Army National Guard Operations and Training Directorate
ARNG G-4	Army National Guard Logistics Directorate
ARNG G-5	Army National Guard Strategic Plans and Policy Directorate
ARNG G-6	Army National Guard Communication and Automation Directorate
ARNG G-8	Army National Guard Resource Management Directorate
CAIPT	Capability Assessment Integrated Product Team
CBA	Capabilities-Based Assessment
CG	Commanding General of the District of Columbia National Guard
CGA	Capability Gap Assessment
CJCS	Chairman of the Joint Chiefs of Staff
CNGB	Chief of the National Guard Bureau
DANG	Director of the Air National Guard
DARNG	Director of the Army National Guard
DCP	Domestic Capability Priorities
DoD	Department of Defense
DSCA	Defense Support of Civil Authorities
FAC	Functional Advisory Council
FCB	Functional Capabilities Board
HD	Homeland Defense
ICD	Initial Capability Document
IPL	Combatant Command Integrated Priority List
J3 FAC	National Guard Joint Operations Functional Advisory Council
JCADP	Joint Capabilities Assessment and Development Process
JCB	Joint Capabilities Board
JCIDS	Joint Capabilities Integration and Development System
JROC	Joint Requirements Oversight Council
NDS	National Defense Strategy
NMS	National Military Strategy
NG	National Guard
NGB	National Guard Bureau

NGBJS	National Guard Bureau Joint Staff
NGB-JSG	The Joint Surgeon
NGB-J1	Manpower and Personnel Directorate
NGB-J2	Joint Intelligence Directorate
NGB-J3/7	Domestic Operations and Force Development Directorate
NGB-J4	Logistics Directorate
NGB-J5	Strategy, Policy, Plans and International Affairs Directorate
NGB-J6	C4 Systems and Chief Information Officer Directorate
NGB-J8	Programs and Resources/Comptroller Directorate
NGB-J81	Joint Planning and Capabilities Division
NGB/A1	Directorate of Manpower, Personnel, and Services
NGB/A3	Directorate of Operations
NGB/A4	Directorate of Logistics and Installations
NGB/A5/8	Directorate of Plans and Programs and Requirements
NGCS	National Guard Civil Support
NLT	No later than
OCNGB	Office of the Chief of the National Guard Bureau
OCR	Office of Coordinating Responsibility
OPR	Office of Primary Responsibility
PCGL	Prioritized Capability Gap List
PPBE	Planning, Programming, Budgeting, and Execution
TAG	The Adjutant General
VCNGB	Vice Chief of the National Guard Bureau

## PART II. DEFINITIONS

Capability -- The ability to complete a task or execute a course of action under specified conditions and level of performance (task, conditions and standards).

Capabilities-Based Assessment -- An assessment of a specific mission area or similar bounded set of activities, to assess the capability and capacity of the joint force to successfully complete the mission or activities (identifies needs, determines gaps, and recommends possible solutions).

Capability Gap -- The inability to meet or exceed a capability requirement, resulting in an associated operational risk until closed or mitigated, that may be the result of no fielded capability, lack of proficiency or sufficiency in an existing capability solution, or the need to replace a fielded capability solution to prevent a future gap.

Capability Gap Assessment -- A deliberate assessment of the Future Years Defense Program that evaluates alignment of Department of Defense resource investments and other efforts with Warfighter needs, joint concepts, and strategic guidance.

Capability Requirement -- A capability required to meet an organization's roles, functions, and missions in current or future operations.

Capability Shortfall -- The inability to execute a specified task or action directed in State or Multi-State National Guard plans.

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

Core Mission Area -- An area identified under the most recent Quadrennial Roles and Missions review - Homeland Defense and Civil Support; Deterrence Operations; Major Combat Operations; Irregular Warfare; Military Support to Stabilization Security, Transition, and Reconstruction Operations; and Military Contribution to Cooperative Security.

Document Sponsor -- The organization submitting a Joint Capabilities Integration and Development System capability requirement document.

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

Joint Urgent Operational Need or Joint Emergent Operational Need -- Either an urgent need identified by a Combatant Commander, the Chairman of the Joint Chiefs of Staff, or the Vice Chairman of the Joint Chiefs of Staff for an ongoing contingency operation or an emergent need identified by a combatant commander, Chairman of the Joint Chiefs of Staff, or Vice Chairman Joint Chief of Staff for an anticipated or pending contingency operation.

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

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 in 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.

Validation -- Review and approval of capability requirement documents by a designated validation authority.