



CHIEF OF THE NATIONAL GUARD BUREAU INSTRUCTION

NGB-J81
DISTRIBUTION: A

CNGBI 8201.01B
08 November 2021

NATIONAL GUARD 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 cancels and replaces its previous edition, CNGBI 8201.01A, 21 May 2018, "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 collect, assess, evaluate, and develop recommendations to mitigate NG capability gaps and report NG capability shortfalls. The JCADP identifies capability shortfalls for Federal mission requirements performed in Federalized and non-Federalized duty statuses in support of the National Defense Strategy, National Military Strategy, and the Department of Defense's (DoD) Strategy for Homeland Defense and Defense Support of Civil Authorities. The JCADP provides a primary means for the Chief of the National Guard Bureau (CNGB) to fulfill advisory responsibilities to the Secretary of Defense through the Chairman of the Joint Chiefs of Staff (CJCS) on capability requirements for the Federalized and non-Federalized NG.
 - a. JCADP Phases. The JCADP consists of a four phased, annual cycle that identifies and evaluates capability shortfalls; verifies and prioritizes capability gaps, and produces a Prioritized Capability Gap List (PCGL) to support NGB participation in the CJCS's Capability Gap Assessment (CGA) process, Joint Capability Integration and Development System and the Department of Defense Planning, Programming, Budgeting, and Execution process deliberations. The intent of the PCGL is to synchronize NGB's priorities for engagement with the DoD, Services, and Joint Staff processes, including but not limited to policy, planning, programming, capability development, resourcing, and acquisitions to focus efforts and resolve capability gaps.

UNCLASSIFIED

(1) Phase I, Plans and Program Review (October -- January). This phase focuses on solicitation and collection of capability shortfalls across the NG.

(2) Phase II, Evaluation (January -- March). This phase focuses on initial analysis to prepare PCGL and CGA recommendations. AOs review JCADP submissions from offices of primary responsibility during Phase II. Action Officers assess ongoing efforts, consider operational and strategic risk factors associated with the submissions, and organize shortfalls to make initial recommendations for the PCGL.

(3) Phase III, Assessment and Prioritization (March -- May). This phase focuses on preparation of recommendations for verification and prioritization of capability shortfalls.

(4) Phase IV, Engagement (June -- July). Subject matter experts and offices of primary responsibility are responsible for context and coordination. This phase focuses on using the PCGL in the development and coordination of capability gap submissions to support the various processes IAW references d through e.

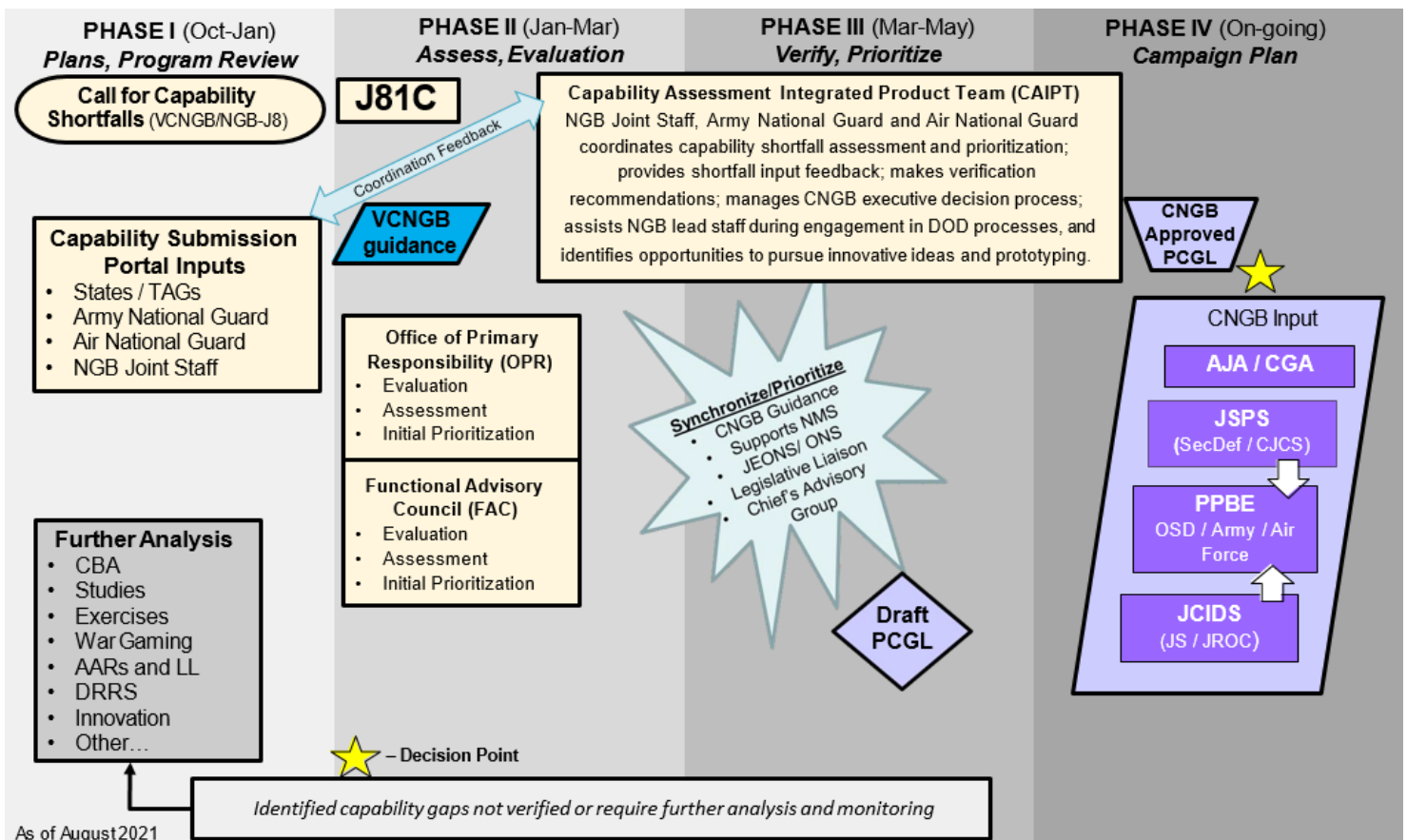


Figure 1. JCADP

b. Capability Assessment Integrated Product Team (CAIPT). The CAIPT guides and facilitates the JCADP.

(1) The CAIPT consists of an Action Officer-level working group and an O6 and GS-15-level council. Senior Leader reviews (2-star and 3-star) are conducted to ensure Director of Staff, directors of Joint Staff Directorates, Service Representatives, and the Vice Chief of the National Guard Bureau review and provide input to JCADP-related products (for example, PCGL or CGA) prior to approval by CNGB. Respective representatives from the NGB staff will participate throughout the entire JCADP and be responsible for coordinating the PCGL and other capability development recommendations within their respective staff directorates.

(2) The CAIPT is chaired by an executive committee, which consists of a chairperson from the Joint Capabilities and Planning Division (NGB-J81) and co-chairs from the Air National Guard (ANG) Directorate of Plans, Programs, and Requirements (NGB-A5/8), Army National Guard (ARNG) Operations and Resource Integration (NGB-G3/5/7), National Guard Space Operations (NGB-SO), and one State member designated by TAGs and CG. Other members of the CAIPT are representatives from the Office of the CNGB, NGB Joint Staff (NGBJS), ANG, ARNG, and NGB-SO Directorates, and designated Functional Advisory Councils representatives.

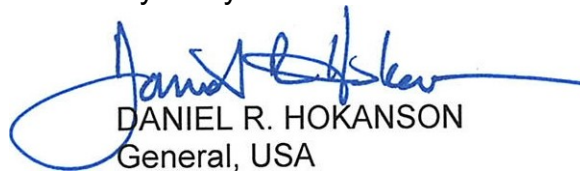
5. Definitions. See Glossary.

6. Responsibilities. See Enclosure A.

7. Summary of Changes. This document has been extensively revised. Users are encouraged to read it entirely.

8. Releasability. This instruction is approved for public release; distribution is unlimited. It is available at <<https://www.ngbpmc.ng.mil/>>.

9. Effective Date. This instruction is effective upon publication and must be revised, reissued, canceled, or certified as current every five years.


DANIEL R. HOKANSON
General, USA
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 CGA submissions and direct staff actions to mitigate capability gaps.
- b. Provide annual input to Combatant Command Integrated Priority Lists and the CJCS Annual Joint Assessment.
- c. Annually solicit input from The Adjutants General (TAGs) and the Commanding General of the District of Columbia (CG) NG concerning any NG capability shortfalls IAW reference f.
- d. Participate in the CJCS CGA IAW references c through e.

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

- a. Represent the views of the NG at the Joint Requirements Oversight Council IAW reference g.
- b. Review the annual NGB PCGL CGA submissions.
- c. Provide strategic guidance for prioritization of NGB PCGL CGA submissions.

3. CAIPT. The CAIPT will:

- a. Facilitate the annual JCADP, executing responsibilities by phases IAW Figure 1.
- b. Review and assess all proposed capability shortfalls for program support, ongoing efforts, and risk assessments. All capability shortfalls must be verified by the CAIPT and approved by the CNGB before being designated a NG “capability gap.”
- c. Determine where further analysis may be required and provide PCGL and CGA recommendations to NGB Senior Leaders.
- d. Verify sponsoring capability advocates and subject matter experts, and determine NGBJS and directorate alignment for primary and coordinating responsibilities in assessing capability shortfalls.
- e. Provide analysis of submissions for capability shortfall trends, and designated materiel solutions.

- f. Review functional and subject matter expert assessments of capability shortfalls.
 - g. Develop a draft PCGL based on analysis that substantiates NG inability to mitigate shortfalls through application of existing capabilities.
 - h. Align PCGL prioritization and CGA recommendations with Vice Chief of the National Guard Bureau strategic guidance and CNGB priorities.
 - i. Submit recommended PCGL through the NGB Senior Leadership for review and to CNGB for approval.
 - j. Provide feedback and refined guidance to States concerning capability shortfall submissions.
 - k. Provide solution and associated process recommendations which include appropriate Office of the Secretary of Defense, Joint Staff, or Service processes for PCGL items to facilitate shortfall closure.
 - l. Coordinate NG actions with appropriate Service, Joint Staff, and Office of the Secretary of Defense organizations and facilitate inclusion of NG identified gaps in joint processes.
 - m. Provide additional feedback to the States and Territories regarding the status of JCADP submissions.
 - n. Provide updates on the status of PCGL items and CGA submissions to the NGB Senior Leadership, as necessary or requested, to ensure a comprehensive NG position based on the review, input, and advice of NGB Senior Leadership.
4. Joint Capabilities and Planning Division (NGB-J81). NGB-J81 will:
- a. On or about 01 October, draft and coordinate CNGB request for capability shortfall assessment from TAGs and CG on their ability to execute missions directed in Federalized and non-Federalized statuses.
 - b. On or about 01 October, request capability shortfall assessment from the directors of ARNG, ANG, NGB-SO, NGBJS Directorates and States and Territories.
 - c. On or about 15 January, review, accept, and organize all capability shortfall submissions to facilitate CAIPT review, assessment, and evaluation.
 - d. Verify sponsoring capability advocates and subject matter experts, and determine NGBJS directorate alignment for primary and coordinating responsibilities in assessing capability shortfalls.

5. Directors of the ARNG, ANG, and NGB-SO, NGBJS Directors, and Office of the NGB Joint Surgeon General. The Directors of the ARNG, ANG and NGB-SO, NGBJS Directors, and Office of the NGB Joint Surgeon General will:

- a. Assign an O6 or GS-15 representative to serve as a member of the CAIPT and coordinate office or 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 identified shortfalls.
- d. Submit capability shortfalls for assigned missions to NGB Programs and Resources/Comptroller Directorate (NGB-J8) as part of the JCADP.
- e. Ensure offices of primary responsibility actively resolve shortfalls on the PCGL and provide quarterly updates.

6. Director of Operations (NGB-J3/4/7). In addition to responsibilities identified in paragraph 5, the Director of NGB-J3/4/7 will:

- a. Identify capability shortfalls based on 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 Lessons Learned Information System, and Defense Readiness Reporting System to the CAIPT.
- b. Facilitate exchange of information regarding capability shortfalls identified by the J3-Functional Advisory Council to the CAIPT.

7. Director of Strategy, Policy, Plans, and International Affairs (NGB-J5). In addition to responsibilities identified in paragraph 5, the Director of NGB-J5 will:

- a. Identify capability shortfalls based on analysis from the CNGB Annual Assessment and other Congressional reports to the CAIPT.
- b. Facilitate exchange of information regarding capability shortfalls identified by the J5-Functional Advisory Council to the CAIPT.
- c. Provide data from the National Guard Comprehensive Assessment, (also known as the "TAG Survey"), which facilitates an integrated and comprehensive analysis of issues affecting the National Guard. The National Guard Comprehensive Assessment survey requests TAG assessments relating to their ability to meet Federal and State civil support responsibilities.

8. Director of C4 Systems and Chief Information Officer (NGB-J6). In addition to responsibilities in paragraph 5, the Director of NGB-J6 will:

a. Identify capability shortfalls and provide subject matter expertise to the CAIPT.

b. Provide data associated with the Joint Information Technology Requirements Analysis process, IAW reference h. The Joint Information Technology Requirements Analysis process supports the analysis of capability gaps and assists sponsors in selecting the best available information technology solution to fulfill NGBJS missions and objectives. NGB-J6 supports solution analysis and compliance.

9. Director of Programming and Resources/Comptroller (NGB-J8). In addition to responsibilities in paragraph 5, the Director of NGB-J8 will:

a. Facilitate and manage the annual JCADP.

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

c. Submit CNGB-approved CGA items to Joint Staff J8 and incorporate into the CJCS Annual Joint Assessment.

d. Conduct and facilitate CAIPT meetings of appointed representatives for cross-functional information sharing, coordination, and integration on NG equities, through Phase II and III, of JCADP.

e. Provide JCADP results that inform future efforts in joint concept development, joint experimentation, war-gaming, discussion-based exercises, strategic studies, and other assessments.

f. Coordinate review of capability shortfalls submitted for the JCADP through the CAIPT.

g. Assess shortfalls and synchronize the engagement in DoD process to resolve NG capability gaps identified in the PCGL.

h. Facilitate CAIPT development of the PCGL and use the PCGL to guide NGB's inputs into the Joint Capability Integration and Development System, the Planning, Programming, Budgeting, and Execution process, Annual Joint Assessment, CGA, funding priorities, development of NG strategy to acquire capabilities, and Congressional reports on non-Federalized NG.

i. Coordinate and provide periodic feedback, in conjunction with the CAIPT, to those who provided capability shortfall inputs during the JCADP.

j. Collaborate with Combatant Commands for advocacy of NG prioritized capability gaps in defense support of civil authorities requirements, in DoD capabilities

development, requirements generation and validation, programming systems, and for other requirements involving the NG that pertain to their commands.

10. Director of Army National Guard Operations and Resource Integration (NGB-G3/5/7). The Director of NGB-G3/5/7 will:

- a. Provide an O6 or 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. Provide the NGB-J8 ranking of the ARNG shortfalls for developing the draft PCGL.
- d. Coordinate NG requirements with Army Resource Management to ensure synchronization with Army programs of record in conjunction with the NGB-J8 CAIPT co-chair.

11. Director of Air National Guard Plans, Programs, and Requirements (NGB A5/8). The Director of A5/8 will:

- a. Provide an O6 or 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. Provide the NGB-J8 ranking of the ANG shortfalls for developing the draft PCGL.
- d. Coordinate NG requirements with Air Force A8 to ensure synchronization with Air Force programs of record in conjunction with the NGB-J8 CAIPT co-chair.

12. Director of NGB-SO Strategic Plans and Programs (NGB-SO 5/8/9). The Director of NGB-SO 5/8/9 will:

- a. Provide an O6 or GS-15 level representative to co-chair the CAIPT.
- b. Advise the CAIPT of Space Operations strategy, plans, and priorities, and related actions with NG equities.
- c. Provide the NGB-J8 ranking of the Space Operations shortfalls for developing the draft PCGL.
- d. Coordinate NGB-SO requirements with Air Force A8 and United States Space Force Plans, Programs, and Requirements to ensure synchronization with Air Force and Space Force programs of record in conjunction with the NGB-J8 CAIPT co-chair.

13. State Representation. TAGs and CG will:

- a. Identify capability shortfalls to be submitted annually through the GKO Portal (see reference i).
- b. Provide capability shortfall updates through Senior Leader Forums and designated conferences (for example, Guard Senior Leader Conference, All-Hazards Conference, Domestic Operations Conference, et cetera).
- c. Approve submissions entered into the JCADP portal to ensure entries are made with their authorization and knowledge.

ENCLOSURE B

REFERENCES

PART I. REQUIRED

- a. Title 10 United States Code (U.S.C.), “Armed Forces”
- b. 32 U.S.C., “National Guard”
- c. Department of Defense (DoD) Directive 5105.77, 30 October 2015, “National Guard Bureau (NGB),” Incorporating Change 1, 10 October 2017
- d. Chairman of the Joint Chiefs of Staff (CJCS) Instruction 5123.01H, 31 August 2018, “Charter of the Joint Requirements Oversight Council (JROC) and Implementation of the Joint Capabilities Integration and Development System (JCIDS)”
- e. 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”
- f. National Guard Bureau Memorandum, 07 June 2013, “Annual Assessment of the National Guard of the States,” (NGB-J5 maintains a copy)
- g. 10 U.S.C § 181, “Joint Requirements Oversight Council”
- h. Chief of the National Guard Bureau (CNGB) Instruction 6000.01B, 24 May 2021, “National Guard Bureau (NGB) Joint Information Technology Portfolio Management”
- i. JCADP GKO Portal,
<<https://gko.portal.ng.mil/joint/J8/J81/CAB/SitePages/JCADP.aspx>>, accessed
04 November 2021

PART II. RELATED

- j. DoD Directive 7730.65, 11 May 2015, “Department of Defense Readiness Reporting System (DRRS), Incorporating Change 1, 31 May 2018”
- k. CJCS Instruction 3100.01E, 21 May 2021, “Joint Strategic Planning System”
- l. CJCS Instruction 3401.01E, 13 April 2010, “Joint Combat Capability Assessment,” Directive current as of 19 May 2014
- m. CJCS Manual 3500.03E, 20 April 2015, “Joint Training Manual for the Armed Forces of the United States”

- n. CJCS Instruction 3150.25G, 31 January 2018, “Joint Lessons Learned Program”
- o. DoD Directive 8260.05, 07 July 2011, “Support for Strategic Analysis (SSA)”
- p. CNGB Instruction 3000.04, 24 January 2018, “National Guard Bureau Domestic Operations”
- q. DoD Instruction 5000.02T, 07 January 2015, “Operation of the Defense Acquisition System,” Incorporating Change 10, 31 December 2020
- r. DoD Instruction 5000.75, 02 February 2017, “Business Systems Requirements and Acquisition,” Incorporating Change 2, 24 January 2020
- s. DoD Directive 5105.83, 05 January 2011, “National Guard Joint Force Headquarters – State (NG JFHQs-State),” Incorporating Change 2, 31 March 2020
- t. Defense Acquisition University (DAU), “Glossary of Defense Acquisition Acronyms and Terms,” <<https://www.dau.edu/glossary/Pages/Glossary.aspx>>, accessed 04 November 2021
- u. NGB Publications & Forms Library website, online <<https://www.ngbpmc.ng.mil/>>, accessed 04 November 2021

GLOSSARY

PART I. ACRONYMS

ANG	Air National Guard
ARNG	Army National Guard
CAIPT	Capability Assessment Integrated Product Team
CG	Commanding General of the District of Columbia
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
DoD	Department of Defense
IAW	In accordance with
JCADP	Joint Capabilities Assessment and Development Process
NG	National Guard
NGB	National Guard Bureau
NGB-A5/8	Directorate of Plans, Programs and Requirements
NGB-G3/5/7	Army National Guard Operations and Resource Integration
NGB-JS	National Guard Bureau Joint Staff
NGB-J1	Manpower and Personnel Directorate
NGB-J3/4/7	Operations 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
PCGL	Prioritized Capability Gap List
TAG	The Adjutant General

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).

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.

Joint -- Activities, operations, or organizations, in which elements of two or more Military Departments participate.

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.

Verification -- Confirmation that a capability gap exists and has been measured against specifications and written requirements.

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