



“An identification and evaluation of the distribution of responsibility and authority for the allocation of Army National Guard personnel and force structure to the States and territories.”

2015 NDAA, Section 1703(a)(2)(C)

“An identification and evaluation of the strategic basis or rationale, analytical methods, and decision-making processes for the allocation of Army National Guard personnel and force structure to the States and territories.”

2015 NDAA, Section 1703(a)(2)(D)

ARMY NATIONAL GUARD ALLOCATION

As part of the study of the Army’s size and force mixture, the Fiscal Year 2015 National Defense Authorization Act (NDAA FY15) directed the Commission to consider how Army National Guard personnel and force structure are allocated, including the rationale and decision-making

processes. The Commission’s evaluation involved an assessment of Army force management processes in general and a detailed review of the specific processes for the Army National Guard.

The U.S. Army War College’s *How the Army Runs: A Senior Leader Reference Handbook, 2013-2014* describes force

management as the overall framework on which the Army is raised, maintained, and sustained. This force management framework applies to all components of the Army, including the Army National Guard. Force management encompasses concept development, capabilities requirements generation, force development, organizational development, force integration functions, and resourcing. Force development, a sub-process, determines organizational and materiel requirements and translates them into force structure to accomplish Army missions and functions (AR 71-32, *Force Development and Documentation*, July 1, 2013, Section 1-5.a). Army National Guard force structure allocation decisions are part of force development.

“I would not want to deploy to the streets of Baltimore with the National Guard from the 1980s or early ‘90s.”

Major General Linda L. Singh (MDARNG), The Adjutant General, in meeting with NCF A July 14, 2015.

LEGISLATIVE, REGULATORY, AND POLICY FRAMEWORK

The processes that shape and support the allocation of Army National Guard forces have changed over time to better execute the National Guard’s dual missions under Title 32 and Title 10, United States Code. Title 32 firmly establishes the dual mission requirements of the National Guard. In section 102, the law describes the strength and organization of the Army National Guard as “essential” and requires that it be “an integral part of the first line defenses of the United States” maintained and assured at all times. It goes on to say, “Whenever Congress determines that more units and organizations are needed for the national security than are in the regular components ... the Army National Guard of the United States ... together with such units of other reserve components as are necessary for a balanced force, shall be ordered to active federal duty and retained as long as so needed.”

Additionally, Title 32, section 104 specifies that “the organization of the Army National Guard and the composition of its units shall be the same as those prescribed for the

Army, subject, in time of peace, to such general exceptions as the Secretary of the Army may authorize.” Furthermore, section 104 stipulates that “...each State, the Commonwealth of Puerto Rico, Guam, and the Virgin Islands may fix the location of the units and headquarters of its National Guard.” Meanwhile, Title 10, section 18238, stipulates that no National Guard unit may be relocated or withdrawn without the consent of the Governor of the state.

Pursuant to Title 10, section 10503, the Secretary of Defense, consulted by the Chairman of the Joint Chiefs and the Secretaries of the Army and Air Force, developed a charter for the National Guard Bureau (NGB) that defines its scope and duties. Under this charter, the NGB is responsible for “allocating unit structure, strength authorizations, and other resources to the Army National Guard.” The charter defines the role of the NGB in support of the Secretaries of the Army and the Air Force and establishes responsibility for the training discipline, training requirements, and the allocation of federal funds for training to ensure that states train National Guard units and members in accordance with approved programs and policies of, and guidance from, the Chief, National Guard Bureau (CNGB), the Secretary of the Army, and the Secretary of the Air Force. The NGB thus monitors and assists the states in organizing, maintaining, and operating National Guard units to provide well-trained and well-equipped units capable of augmenting the active forces in time of war or national emergency.

To implement these statutory requirements, the Department of the Army uses a force management process that defines military capabilities, designs unit organization, allocates force structure to provide these capabilities, and produces plans and programs that translate these organizational concepts into a trained and ready Army. This force management framework is comprehensive and collaborative. It brings together representatives from all components, the Combatant Commands, Army commands, and other key stakeholders to ensure that Army capabilities are developed and resourced to address Title 10 and Title 32 mission requirements. The forces developed by the Army force management process are distributed across the components to optimize capabilities and capacity of the Total Force. Title 32 demands are included in assessments and evaluations of force structure requirements and considered in decisions on allocating National Guard forces. Consequently, within the Army National Guard and the Army writ large is an understanding of the collective obligation to provide adequate forces to all states that meet their statutory requirements as the first-line defense and execute their duties as the organized militias of the states, Puerto Rico, the Virgin Islands, Guam, and the District of Columbia.

Photo on page 97

A Mississippi Army National Guard M1A1 Abrams tank fires at a target during Operation Dixie Thunder at Camp Shelby, Mississippi. The Commission was invited to observe the exercise.

Figure 12
AUTHORITIES

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| SECRETARY OF DEFENSE | Subject to the Direction of the President...has authority, direction, and control over the Department of Defense. |
| SECRETARY OF THE ARMY | Responsible for, and has authority necessary to conduct, all affairs of the Department of the Army including...(2) Organizing. |
| CHIEF, NATIONAL GUARD BUREAU | The principal adviser to the Secretary of the Army and CSA on matters relating to the National Guard. |
| | The Chief, NGB is under the authority, direction, and control of the Secretary of Defense. The Secretary normally exercises authority, direction, and control through the Secretaries of the Army and the Air Force for matters pertaining to their responsibilities in law or DoD policy. |
| | Implements DoD, Department of the Army, and Department of the Air Force guidance on the structure, strength authorizations, and other resources of the Army National Guard of the United States and the Air National Guard of the United States. |
| | Approval authority for Army National Guard stationing. |
| | Issues the Troop Structure Program to the Adjutants General of the states. |
| | Reviews, monitors, and provides input to the requirements and authorizations development process. |
| | Recommends specific types of units to be activated, inactivated, or converted in the ARNG in accordance with policy from the ASA(M&RA). |
| ASA (M&RA) | Secretary of the Army's principal adviser for reserve issues; responsible for ensuring Army policies, plans, and programs regarding force structure are managed properly. |
| | Establishes overall Army policy for Army organization and force structure, responsible for oversight and review of all RC policies addressing stationing actions. |
| DCS, G-3/5/7 | Responsible for developing and implementing policies for managing/accounting for Total Army. |
| | Army Staff proponent for stationing actions and responsible for the force management process. |
| | Approval authority for multicomponent unit policies. |
| DIRECTOR, ARMY NATIONAL GUARD | Staff proponent for ARNG stationing actions, coordinate with Chief, NGB for all stationing actions. |
| | Forward brigade and division stationing actions to DCS, G-3/5/7 for Secretary of the Army and Secretary of Defense approval. |

Inconsistencies in policy stem from out dated regulations and pamphlets.

■ Law ■ Policy

ASSESSMENT OF AUTHORITIES AND RESPONSIBILITIES FOR ALLOCATION

Numerous laws, policies, and legal precedents articulate how responsibilities and authorities are distributed between the legislative and executive branches of the federal government,

within the executive branch, and between federal and state government. Through numerous additional statutory provisions, Congress has given the President, the Secretary of Defense, and the Secretary of the Army authority and responsibility for allocating Army National Guard force structure (see Figure 12).

ARMY NATIONAL GUARD ALLOCATION

The Secretary of the Army ultimately is responsible for the allocation of Army National Guard personnel and force structure to the states and territories and has delegated this authority to the CNGB through a complicated, although still identifiable, chain of authority. Under the current NGB process, the Director, Army National Guard (DARNG) makes Army National Guard force structure allocation decisions on behalf of the CNGB.

THE ARNG ROLE IN TOTAL ARMY ANALYSIS

Total Army Analysis (TAA) is the process by which the Army structures the forces necessary to support the Combatant Commands in executing their National Military Strategy and Defense Planning Guidance tasks (see Figure 13). Headquarters, Department of the Army (HQDA) G3/7-Force Management leads the TAA process with oversight by the Assistant Secretary of the Army for Manpower and Reserve Affairs. The process balances the Army's force structure demands (manpower and equipment) against available and planned resources while addressing risk to mission and risk to the force. TAA is codified in Army Regulation 71-11 and is shaped by Department of Defense and Army strategies, Office of the Secretary of Defense-approved war plans, programming and budget guidance, doctrine, and current operational demands. The HQDA G-3/7 Force Management Directorate publishes TAA guidance each year for a corresponding five-year TAA cycle that coincides with the fiscal timeline of the Program Objective Memorandum (POM, part of the five year budget process).

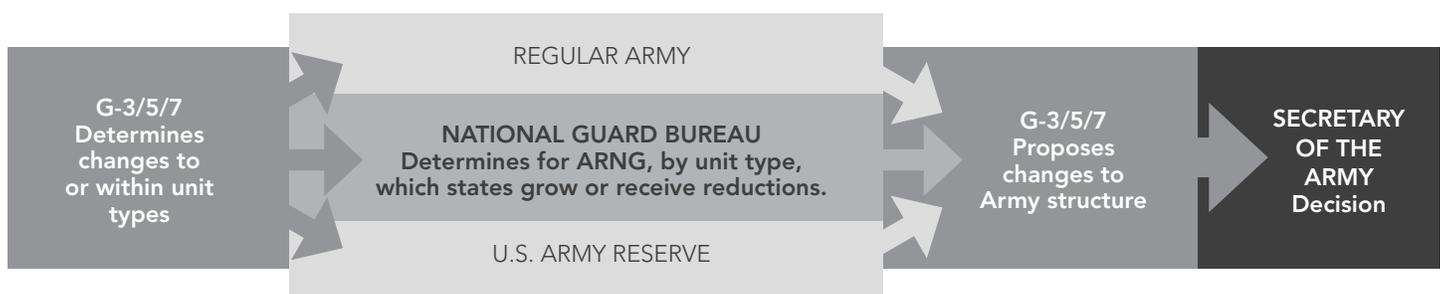
TAA is a two-phased process consisting of a Capability Demand Analysis Phase (Requirements Phase) and a Resourcing Phase. The Capability Demand Analysis Phase is a quantitative analytic process using models and simulations to establish capability requirements for Army forces across a broad range of scenarios. These scenarios are used to shape the Army to meet a wide variety of current operational and possible wartime demands. This phase constitutes the "science" of Total Army Analysis. The second phase in TAA, the Resourcing Phase, addresses the "art" of the TAA process. It adds the human in the loop to translate raw data into an Army that is sized to meet the findings identified in the Requirements Phase with as little risk as possible, given current and projected resource constraints. This phase culminates with a resourcing decision codified in the Army Structure Message endorsed by the Chief of Staff of the Army and approved by the Secretary of the Army.

ARNG FORCE STRUCTURE ALLOCATION PROCESS

Within the TAA process, the Army National Guard allocates its portion of the resourced force structure across the fifty-four states and territories using the Force Program Review. The process is designed to support the force structure needs of the Army National Guard using objective tools to help make informed decisions for growth or reductions in structure. The process gives consideration to the supportability, suitability, and balance of personnel and capabilities across the fifty-four states and territories, which is referred to as collective obligation. Outputs from each TAA cycle require the Army

Figure 13

TOTAL ARMY ANALYSIS



National Guard to reassess its force structure and mix to ensure that adequate and effective support for both federal and state missions continues even as doctrine and unit designs adapt to meet changes in the strategic environment. The goal is to ensure mission success while minimizing turbulence within formations to limit decreases in readiness and increases in costs.

State Adjutants General (TAGs) provide input annually to the TAA process by submitting a Force Structure Strategic Plan. This annual input is solicited from the fifty-four states and territories and outlines an Adjutant General’s strategic vision for force structure within his or her state. This document is used by the Army National Guard to both acquire and distribute force structure generated by the TAA resourcing phase.

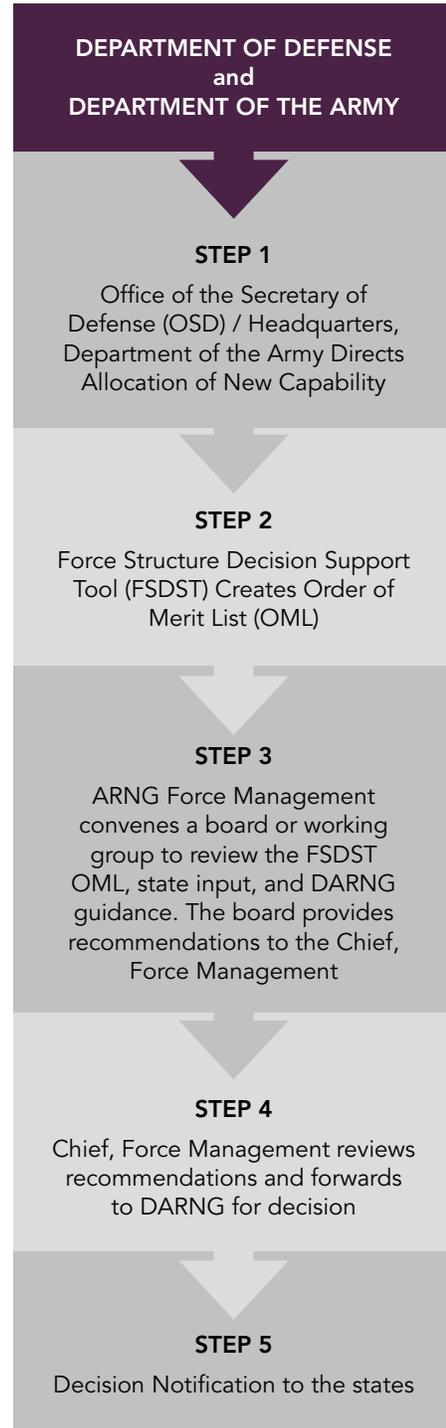
Two tools are fundamental to Army National Guard force structure analysis when divesting or allocating forces identified in the early steps of TAA: the Unit Analysis Tool (UAT) and the Force Structure Decision Support Tool (FSDST). These tools generate an order of merit list (OML) of units for divestment and a given state’s potential for success if receiving new structure (see Figures 14 and 15). The UAT is a metric-based model designed to assess and compare the reported readiness criteria of “like-type” capabilities across multiple states. The FSDST uses similar metrics and criteria for all capabilities in a given state for stationing new structure and re-stationing existing units. The generated OML ranks capabilities based on personnel and Unit Status Report metrics to help identify quantitative priorities for both divesting and stationing capabilities across the Army National Guard. Both the UAT and FSDST use a set of evaluation criteria fully vetted across the National Guard community.

These National Guard-unique tools are used when the TAA process determines the need for force structure changes in the Army National Guard. When stationing new force structure is required, a stationing analysis memo prepared by a state provides qualitative information to be reviewed by a board or working group. Upon the need to inactivate or move a unit, the Chief, Force Management (CFM) at the NGB notifies the Force Structure General Officer Advisory Committee and all fifty-four states and territories of the reductions. Depending on the complexity and magnitude of the force structure reductions, one of two processes occurs.

If structure reductions or moves are limited in scope, then the Standard Reduction Process is used to make routine recommendations for the reduction of Army National Guard Force Structure. This process combines the quantitative metrics of the Unit Analysis Tool with qualitative input from the TAGs. A Force Management Unit Review Board (FMURB), with membership from the ARNG Directorate and the fifty-four states and territories, convenes to make recommendations. The FMURB consolidates the “science” and “art” portions of this

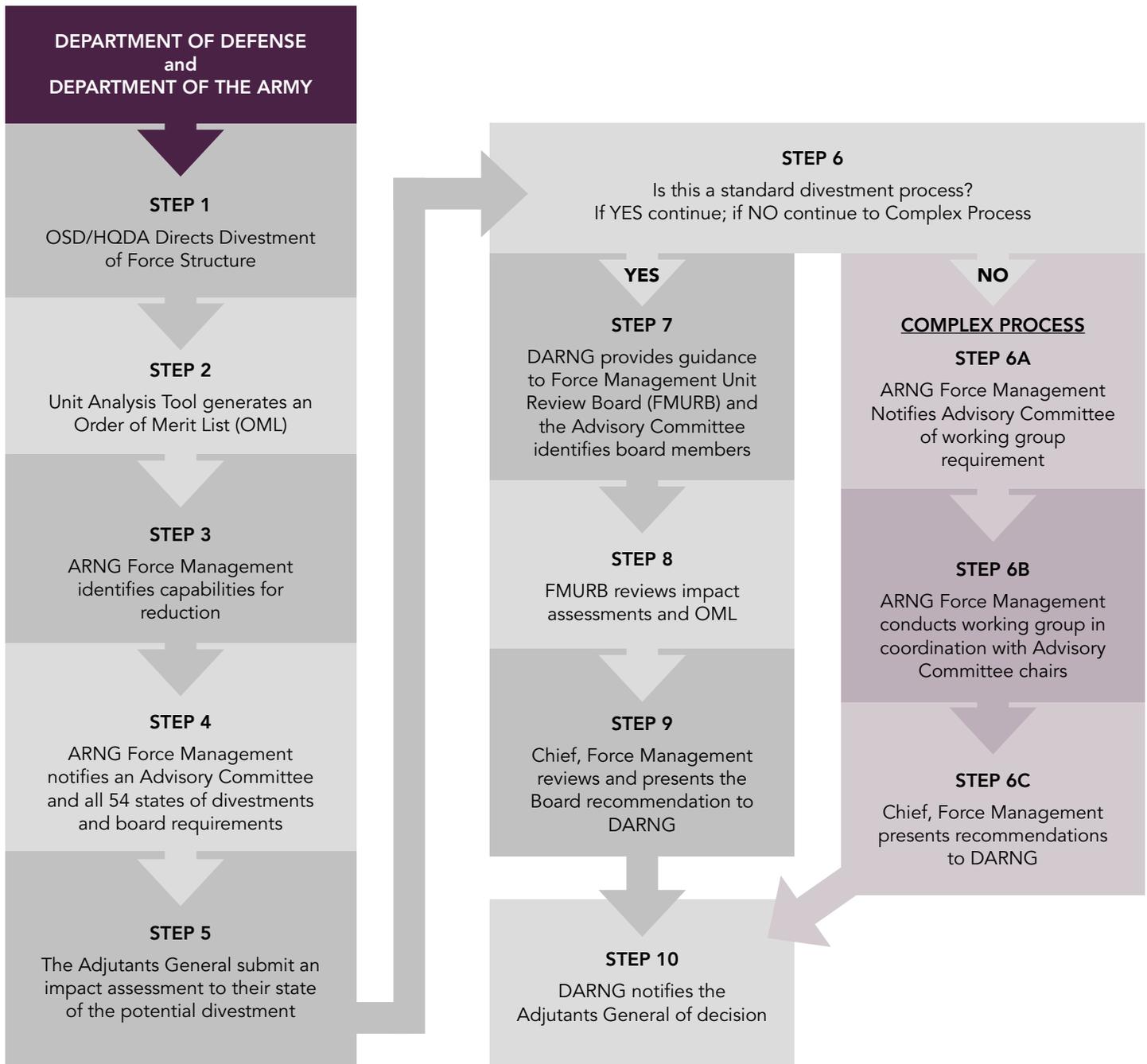
Figure 14

STATIONING PROCESS FLOW CHART



ARMY NATIONAL GUARD ALLOCATION

Figure 15
DIVESTMENT PROCESS FLOW CHART



process and reports recommendations to the TAGs with courses of action and recommendations for submission to the DARNG for decision.

The Complex Reduction Process is used to implement large-scale systemic force structure changes in the Army National Guard, such as reduction from a 350,000 to a 335,000 force-structure allowance. To manage the intricacy of large-scale changes, a Complex Force Management Working Group is convened comprising designated representatives from the fifty-four states and territories as well as limited representation from the Army National Guard Directorate. The working group reports the recommendations to the CFM, who reviews them with a General Officer Advisory Committee prior to submission to the DARNG for decision.

Representation and state involvement through either the standard or complex process provides transparency to the states in their roles as voting members or observers. The transparency and quantitative data directly address the concerns of state and

territory leaders when past allocation actions were perceived as neither analytical nor transparent. These qualitative and quantitative allocation processes provide a holistic look when stationing or reducing force structure.

The Force Program Review process allows the Army National Guard to balance the aggregate force among the states. The process also provides senior leaders the ability to shape the force by looking at the supportability, suitability, and balance of personnel and capabilities across the fifty-four states and territories. Applying collective obligation as a shaping tool within the Force Program Review ensures that the fifty-four states and territories are balanced, with no one state's force structure disproportionately reduced or increased. Collective obligation also helps in assessing whether each state has sufficient forces for both Title 32 requirements and Title 10 requirements, especially the capacity needed to support current and anticipated homeland defense and disaster assistance missions in the United States.

TOTAL FORCE TRAINING

During force-on-force training at Camp Shelby, Mississippi, in August 2015, tank platoons from the 155th Armored Brigade Combat Team, Mississippi Army National Guard, maneuvered against the 3d Brigade's 1-12 Cavalry, home based at Fort Hood, Texas. The training was in preparation for a platoon-level, live fire exercise. In that exercise the 155th ABCT was joined by the 142d Battlefield Surveillance Brigade, Alabama Army National Guard, which identified targets in the engagement area and called for indirect fire, delivered by the 2-114th Field Artillery Battalion, Mississippi Army National Guard, using unmanned aerial systems to support intelligence collection and monitor round impacts. After an attack weapons team of Apache helicopters from A/1-149 Attack Reconnaissance Battalion, Texas Army National Guard, engaged targets using diving rocket fire, the 155th tank platoon maneuvered and engaged stationary and moving targets. The 143d Expeditionary Sustainment Command, U.S. Army Reserve, provided sustainment support, and joint tactical air controllers from the Mississippi Air National Guard's 238th Air Support Operations Squadron controlled the airspace.

While the Regular Army, Army National Guard, and Army Reserve must overcome real or perceived legislative and administrative hurdles to function effectively together—hindering the implementation of the Army's Total Force Policy—mission-mindedness within the Profession of Arms

eclipses component affiliation during operations. This was clear during the Total Force live-fire exercise at Camp Shelby's eXportable Combat Training Center in August 2015.

The foundation for such training is the Total Force Partnership Program the U.S. Forces Command established in 2014. The program pairs Regular Army, Army National Guard, and Army Reserve formations to best use limited resources and develop leaders. Multicomponent training events enhance understanding across all the components and will pay off when the components conduct missions together during deployments.

Coordination for the August exercise began in 2014 when Colonel Jeffrey Van, commander of the 155th ABCT, called Colonel Matthew Van Wagenen, commander of the 3d Brigade, to coordinate their partnership training plans. Key enabler units were eager to join the training exercise. Each unit performed their mission-essential tasks using common graphics and a common scenario for day and night operations.

"The lessons learned here about successful partnerships—how BCT commanders who are 'all in' backed up by two-star leaders who value partnership enough to provide funding to ensure proper coordination occurs—must be codified fully into policy," said COL Van.



Chief Warrant Officer 4 Dennis Cooper, Chief Warrant Officer 2 Logan Bass, and Crew Chief Specialist Beth Bechard of 7-158th Aviation, Oregon National Guard, navigate their UH-60M Black Hawk with a “Bambi bucket” through the smoke of a wildfire.

In accordance with National Guard procedures, state governments participate in the NGB allocation process by providing input as well as detailing personnel to the boards responsible for allocating new force structure and making decisions on force structure reductions. Governors are not directly involved in the allocation process; however, by statute, a Governor’s approval is required for any change in the branch, organization, or allotment of a unit located entirely within a state, although the Secretary of the Army has final approval authority on all force structure changes. National Guard Bureau regulation 10-1 goes further than the statute and requires a Governor’s approval for all actions requesting organization, reorganization, re-designation, consolidation, conversion, and withdrawal of federal recognition from any structure within a state.

NCFA FINDINGS

The Commission found that allocation of Army National Guard personnel and force structure to the states and territories is accomplished within the Army’s Total Army Analysis process managed by the Army G-3/5/7. Within that process, Army G-3/5/7 informs the Chief, National Guard Bureau of the overall personnel and force structure changes to be applied to the Army National Guard. The CNGB has processes within the Army National Guard for making recommendations for allocating these changes to states and territories that are consistent with national security objectives and priorities to produce allocation recommendations. The process depends on the complexity of the changes, as well as whether decrements or increases are to be allocated. Employing these processes,

the DARNG reviews and approves the proposed changes before the CNGB provides an allocation recommendation that is incorporated into the overall Army personnel and force structure changes generated by TAA. All changes are submitted to the Secretary of the Army for review and approval.

Additionally, the Commission found that the allocation processes used by the NGB begin by using objective, quantified metrics vetted with the states and territories. The metrics produce an order of merit list of either specific reductions or increases to be applied. A board or working group then uses the analytical products as well as input from the states and territories that addresses the types of force structure under consideration. An additional consideration is the balance of Army National Guard forces across the states and territories to provide capacity for both domestic and overseas contingency operations. These boards and working groups are conducted in a transparent manner, either with representatives from the states and territories on the board or having representatives present to observe these boards or working groups. Having Department of the Army representatives observe the boards and working groups would further increase transparency and shared understanding from a Total Force perspective.

The Commission also noted several issues within the policy documents. The regulations concerning the allocation of Army National Guard personnel and force structure are complicated and should be clarified by the Department of the Army. For example, older Army regulations delegate authority to the

DARNG, but the more recent applicable regulations correctly delegate authority to the CNGB. Ideally, the CNGB should provide a written delegation of authority to the DARNG. After extensive research and requests, the Commission has been unable to verify whether such a written delegation exists. Updating regulations and policy at Army level to reflect the existing processes is overdue.

Recommendation 61: The Secretary of the Army should codify the delegation of authority from the Chief, National Guard Bureau to the Director, Army National Guard in Army regulations for force structure allocation among the states, territories, and the District of Columbia.

Recommendation 62: The Secretary of the Army should codify in Army regulations the existing Army National Guard Force Program Review process as the formal way to manage change in the Army National Guard.

Recommendation 63: The Army should add representatives from the Army Secretariat and Army Staff to the Army National Guard Force Program Review working groups and boards as observers.