Army Program

Functional Area Assessment

Headquarters
Department of the Army
Washington, DC
15 December 1995

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AR 11-40
Functional Area Assessment

This revision--

- Has been extensively updated to include the policy concerning FAA milestones.
- Functional areas for assessment have been expanded and funding of FAA expenses clarified.
**Army Programs**

**Functional Area Assessment**

By Order of the Secretary of the Army:

DENNIS J. REIMER  
General, United States Army  
Chief of Staff

Official:

YVONNE M. HARRISON  
Administrative Assistant to the  
Secretary of the Army

**History.** This is a revision of Army Regulation AR 11-40, dated 11 September 1986. Based on extensive publication revisions, the changed portions are not highlighted.

**Summary.** This regulation prescribes objectives, procedures, and responsibilities for the implementation of a functional area assessment.

**Applicability.** This regulation applies to the Active Army, the Army National Guard, and the U.S. Army Reserve.

**Proponent and exception authority.** The proponent for this regulation is the Deputy Chief of Staff for Operations and Plans (DCSOPS). The proponent has the authority to approve exceptions to this regulation that are consistent with controlling law and regulations. The DCSOPS may delegate this authority, in writing, to a division chief under his or her supervision within the proponent agency who holds the grade of colonel or the civilian equivalent.

**Army management control process.** According to AR 11-2, this regulation does not contain management control provisions.

**Supplementation.** Supplementation of this regulation is prohibited without prior approval from HQDA (DAMO–FDF), 400 ARMY PENTAGON WASH DC 20310-0400.

**Interim changes.** Interim changes to this regulation are not official unless authenticated by the Administrative Assistant to the Secretary of the Army. Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

**Suggested Improvements.** Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA (DAMO–FDF), 400 ARMY PENTAGON WASH DC 20310-0400.

**Distribution.** Distribution of this publication is made in accordance with the requirements on DA Form 12-09-E, block number 2029. The publication is intended for command levels C, D, and E for Active Army, Army National Guard (ARNG), and United States Army Reserve (USAR).

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**Glossary**

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*This regulation supersedes AR 11-40, dated 11 September 1986.*
RESERVED
1. Purpose
This regulation prescribes policy and procedures and assigns responsibilities for functional area assessments (FAA). Historically, FAAs have served as intensive management forums. FAAs allow senior Army leaders to identify and resolve issues which affect the execution of Headquarters (HQ), Department of the Army (DA) short range plans and programs. FAAs also provide a teaching mechanism and forum for the horizontal and vertical exchange of information between the DA and major Army command (MACOM) participants, focusing primarily on the Army’s ability to maintain readiness, force capability, and force modernization in the program objective memorandum (POM) years.

2. References
This regulation contains no external references.

3. Explanation of abbreviations and terms
The glossary contains explanations of abbreviations and special terms used in this regulation.

4. Responsibilities
- a. The Assistant Secretary of the Army (Manpower and Reserve Affairs) (ASA(M&RA)) provides force structure, personnel, and manpower policy guidance.
- b. The DCSOPS is the executive agent for the FAA process. The Force Development Directorate (HQDA (DAMO–FD)) assures the consistency and integration of the entire FAA process to include the management of issue resolution. The Division Chief, Force Integration and Management Division (DAMO–FDF)—
  1. Serves as the HQDA point of contact.
  2. Develops and publishes the FAA schedule in coordination with TRADOC, other MACOMs, and functional proponents.
  3. Coordinates all actions regarding FAA policy and procedures.
  4. Monitors development of FAA briefings for consistency and content in accordance with guidance.
  5. Monitors suspends and tracks actions and issues for completion.
  6. Manages the FAA for the entire period of the process as defined by the milestones in paragraph 9.
- c. For branch FAAs, Army Staff (ARSTAF) organization integrator (OI) or force integrator (FI)—
  1. Issues FAA guidance on force structure and appropriate databases.
  2. Schedules all briefings and required facilities.
  4. Identifies/verifies issues and concerns and establishes agency or command actions and milestones for resolution based on the FAA briefing, coordination with FAA participants, and guidance from the VCSCA.
  5. Identifies a lead agency responsible to the issue proponent for accomplishment of each action.
  6. Monitors suspends and tracks actions and issues for completion.
- d. Heads of HQDA agencies will—
  1. Support and participate in FAAs by presenting coordinated information concerning their assigned responsibilities and identifying issues.
  2. Resolve issues and accomplish actions assigned during the FAA process.
- e. TRADOC school commandants will function as the proponents for their respective branch FAA categories, except as indicated in f and g below.
- f. The Commanding General (CG), Army Medical Department Center and School (AMEDDC&S) is the proponent for the medical FAA.
- g. The CG, U.S. Army Combined Arms Support Command (USACASCOM) is responsible for integrating the individual presentations covering the general category of personnel service support (PSS) (Adjutant General (AG), Finance, Chaplain, Public Affairs, and Judge Advocate (JA)) into a single FAA briefing. Proponents for portions of the PSS FAA are as follow:
  1. The Commandant of the AG School and the Commandant of the Finance School, under the direction of the Commander, Soldier Support Institute, are responsible for Personnel and Finance portions of the PSS FAA, respectively.
  2. The Chief of Public Affairs is responsible for the Public Affairs portion of the PSS FAA.
  3. The Chief of Chaplains is responsible for the Chaplain portion of the PSS FAA.
  4. The Judge Advocate General (TJAG) is responsible for the JA portion of the PSS FAA.
- b. FAA proponents and sponsors, as applicable, will—
  1. Develop a detailed outline of subjects to be covered in any assigned management FAAs, coordinate it with HQDA staff agencies and MACOMs, and ensure approval by DAMO–FD.
  2. Ensure all information to be presented in the FAA is integrated into a single, coordinated briefing.
  3. Present coordinated information at the FAA concerning their assigned responsibilities, identify issues, and recommend those actions required to solve the issues.
  4. Resolve issues and accomplish actions assigned during the FAA process.
  5. Review each FAA issue for security classification on an individual basis. Compilation alone will not be used to classify sets of issues except as approved by the Deputy Chief of Staff for Intelligence (DCSINT).

5. Objectives
Objectives of FAAs are to—
- a. Ensure the Army’s force integration efforts are accomplished with minimum adverse impact on:
  1. Readiness.
  2. Modernization.
  3. Personnel and training.
  5. Application of doctrine.
  6. Total Force (Active component (AC)/Reserve Components (RC)) integration.
  7. Base operations.
  8. Quality of life.
- b. Identify systemic issues that may preclude or inhibit the smooth transition to a modernized force.
- c. Resolve issues at the lowest level.

6. Policy
- a. FAAs allow the Army leadership to examine the impacts of modernizing the Army through the POM years. FAAs focus primarily on the Army’s ability to maintain readiness and force capability and execute force management and modernization in the restructure years. Particular focus is on the execution year, the budget year, and the first POM year. FAAs strive to affirm that the Army can fully support all aspects of programmed transitions. The governing FAA goal is to ensure that as the Army evolves into the restructured force, each functional area has a coordinated, cost-effective transition plan. There are two types of FAAs—
  1. Branch FAAs are reviews of a functional branch of the Total Army, such as Field Artillery or Infantry, scheduled on a recurring biennial cycle.
  2. Management FAAs are one-time reviews of specific functions or management areas, such as Army force management or depot maintenance, scheduled as directed by the Chief of Staff, U.S. Army (CSA) or Vice Chief of Staff, U.S. Army (VCSA). Title 10 FAAs are special types of management FAAs and will be conducted in accordance with separately published letters of instruction.
- b. The FAA process culminates in a formal briefing to the VCSCA. The briefing is normally given by the appropriate U.S. Army Training and Doctrine Command (TRADOC) commander, school commandant, or other functional proponent and attended by
HQDA staff. MACOM commanders are invited to attend and participate.

c. HQDA ODCSOPS schedules FAAs in coordination with the functional proponents, sponsors, and MACOMs.

d. Mini-FAAs may be conducted to address special cases when issues cannot wait for the normal FAA process to occur. A mini-FAA is a modified FAA for a functional proponent. HQDA ODCSOPS schedules mini-FAAs in coordination with the HQDA Staff, functional proponents and MACOMs. The format and extent of senior Army leadership involvement in a mini-FAA will be established on a case-by-case basis.

7. FAA briefing format

Briefing format for branch FAAs is as follows—

a. Purpose—brief statement of the reason(s) for convening the FAA.

b. Guidance—review of guidance provided to the proponent prior to the briefing.

c. Objectives.

d. Functional area overview—overall health of the functional area.

e. Executability analysis.


(2) Training—strategy and future changes. Training devices, new equipment training (NET) or other training issues.

(3) Leader development—outline leadership development program.

(4) Organizations—current, proposed, and future force structure.

(5) Materiel—review of materiel modernization. Include status of equipment availability, funding status, distribution, support, and facilities.

(6) Soldiers—personnel status. Include Office of the Deputy Chief of Staff for Personnel (ODCSPER)-sponsored functional review (FR) issue results/status.

8. Initiation of the FAA Process

Approximately 5–6 months prior to the scheduled VCSA briefing, HQDA (DAMO–FD) will announce the FAA, designate planning milestones, provide guidance on issue description and format, and clarify administrative matters to ensure an orderly FAA.

a. For branch FAAs, the announcement will include any additions, deletions, or modifications to the FAA briefing format in paragraph 7.

b. For management area FAAs, the announcement will designate a proponent or proponents and provide a draft outline of the required briefing format.

9. Milestones

The milestones (decision points) at table 1 comprise the FAA sequence.

<table>
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<tr>
<th>Table 1</th>
<th>Milestones for the FAA process—Continued</th>
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<tr>
<td><strong>Responsible agencies:</strong> HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved.</td>
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<tr>
<td><strong>Time:</strong> F–3 weeks</td>
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<td><strong>Action:</strong> General Officer Steering Committee (GOSC): General officer or civilian equivalent review of FAA development progress and VCSA FAA pre-brief.</td>
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<tr>
<td><strong>Time:</strong> F–1 Week</td>
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<tr>
<td><strong>Action:</strong> Pre-brief to VCSA</td>
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<td><strong>Responsible agencies:</strong> HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved.</td>
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<td><strong>Time:</strong> F + 16 Weeks</td>
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<td><strong>Action:</strong> IPR 1 issues and actions (as required)</td>
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<tr>
<td><strong>Responsible agencies:</strong> HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved; follow-up IPRs as required.</td>
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10. Issue identification and resolution

a. Prior to starting the FAA, other studies and analyses (that is, total Army analysis (TAA), FRs) should be reviewed by the proponent for possible systemic issues that may preclude or inhibit the smooth implementation of plans and programs.

b. Issues are identified throughout the FAA preparation process. HQDA (DAMO–FD) coordinates issues at each step in the process to ensure completeness, accuracy, consistency, and appropriate taskings. Issues, required corrective actions, and responsible agencies are briefed during the conduct of the FAA. Additional issues may be identified during the FAA briefing to the VCSA.

c. Within 15 days after the FAA briefing to the VCSA, HQDA (DAMO–FD) will forward an overview message to the participants providing key items of interest, short suspense items, and tasked action agencies. Within 30 days following the overview message, HQDA (DAMO–FD) will forward a complete listing of issues and required corrective actions to the appropriate MACOMs and agencies.

d. HQDA (DAMO–FD) will establish reports and conduct reviews, as appropriate, to assess the adequacy of corrective actions taken to resolve issues.

11. Established branches and functional areas

a. FAAs for functional branches of the Army (shown below) will be conducted approximately every 2 years.

(1) Armor.

(2) Infantry.

(3) Field Artillery.

(4) Aviation (less Special Operations Forces (SOF) aviation).

(5) Engineer.

(6) Military Intelligence.

(7) Air Defense Artillery.

(8) Signal Corps.

(9) Chemical.

(10) Adjutant General.

(11) Finance.

(12) Chaplain.

(13) Public Affairs.

(14) Judge Advocate General.

(15) Military Police.

(16) Quartermaster.

(17) Transportation.

(18) Ordnance.

For management area FAAs, the announcement will designate a proponent or proponents and provide a draft outline of the required briefing format.

a. Purpose—brief statement of the reason(s) for convening the FAA.

b. Guidance—review of guidance provided to the proponent prior to the briefing.

c. Objectives.

d. Functional area overview—overall health of the functional area.

e. Executability analysis.


(2) Training—strategy and future changes. Training devices, new equipment training (NET) or other training issues.

(3) Leader development—outline leadership development program.

(4) Organizations—current, proposed, and future force structure.

(5) Materiel—review of materiel modernization. Include status of equipment availability, funding status, distribution, support, and facilities.

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<td><strong>Time:</strong> F–21 Weeks</td>
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<td><strong>Action:</strong> Formally announce FAA scope, proponent, and calendar events.</td>
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| **Responsible agencies:** HQDA (DAMO–FD) |
| **Time:** F–18 Weeks |
| **Action:** Initial action officer meeting (teleconference preferred) |

| **Responsible agencies:** HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved. |
| **Time:** F–15 weeks |
| **Action:** Action officer in process review (IPR) to review progress of FAA development. |

| **Responsible agencies:** HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs and proponents involved. |
| **Time:** F–6 Weeks |
| **Action:** Council of colonels: Colonel-level representatives review FAA development progress. |
(19) SOF (Special Forces, Psychological Operations, Civil Affairs, Ranger, and SOF aviation).

(20) Medical.

b. Functional areas (10) through (14) above will be assessed during a single FAA briefing (under the general category of PSS).

c. Management FAAs will be conducted as designated by the CSA or VCSA. There is no standing list of management categories.

d. Requests for additions or deletions of the established list of branches and functional areas to be assessed biennially will be submitted with justification to HQDA (DAMO–FDI), 400 ARMY PENTAGON WASH DC 20310–0400, for approval by the VCSA.

12. Funding
MACOMs and HQDA Staff will fund their participation in FAAs from their operating budgets.
Appendix A
References

Section I
Required Publications
This section contains no entries.

Section II
Related Publications
This section contains no entries.

Section III
Prescribed Forms
This section contains no entries.

Section IV
Referenced Forms
This section contains no entries.
**Glossary**

**Section I**

**Abbreviations**

- AC  
  Active Component
- AG  
  Adjutant General
- AMC  
  United States Army Materiel Command
- AR  
  Army regulation
- ARNG  
  Army National Guard
- ARSTAF  
  Army Staff
- CG  
  Commanding General
- CSA  
  Chief of Staff, United States Army
- DA  
  Department of the Army
- DCSOPS  
  Deputy Chief of Staff for Operations and Plans
- DOD  
  Department of Defense
- FOA  
  field operating agency
- HQ  
  headquarters
- IPR  
  in process review
- JA  
  judge advocate
- MACOM  
  major Army command
- NET  
  new equipment training
- ODCSOPS  
  Office of the Deputy Chief of Staff for Operations and Plans
- ODCSOPER  
  Office of the Deputy Chief of Staff for Personnel
- POM  
  program objective memorandum
- RC  
  Reserve Component
- SRC  
  standard requirement code
- TAA  
  total Army analysis
- TJAG  
  The Judge Advocate General
- TRADOC  
  United States Army Training and Doctrine Command
- USAR  
  United States Army Reserve
- VCSA  
  Vice Chief of Staff, United States Army

**Section II**

**Terms**

- Branch FAA  
  Review of a functional branch of the Army, such as Field Artillery or Infantry, scheduled on a recurring biennial cycle.
- Force integration  
  The management process that enables the introduction, incorporation and sustainment of organizational, doctrinal, and materiel change.
- Force modernization  
  The improvement of force capability through force integration.
- Functional area assessment  
  A method for integrating the efforts of the HQDA Staff, TRADOC, United States Army Materiel Command (AMC), and other MACOMs to identify discontinuities in Army plans and review action plans that will assure success of Army force integration.
- Issues  
  Problems that complicate or frustrate timely and efficient execution of force modernization plans or programs. Minor issues are usually resolved during the FAA process. The more substantial issues and their implications are briefed to the VCSA. Issue statements are clear, concise, and accurate descriptions of the situations requiring actions to effect resolutions. They are descriptive enough to avoid requiring reference to other materials.
- Management area FAA  
  A one-time review of a specific function or management area, such as Army force management or depot maintenance, scheduled as directed by the CSA or VCSA.

**Organization integration team**

The HQDA (ODCSOPS-FD) team assigned the mission of developing, documenting, recommending resourcing, fielding, managing sustainment, and monitoring data accuracy and reports for all items associated with one or more standard requirements code (SRCs).

**Organization integrator**

Member of the management structure responsible for representation of interests of functionally similar organizations. The organization integrator is assigned to ODCSOPS and serves as a member of a HQDA OI team.

**Title 10 function**

Those functions for which the Army is responsible under Title 10, United States Code, other statutes, Department of defense (DOD) directives or instructions or uniquely Army culture/policy and performed as part of the Army’s institution other than the branches of the TOE force.

**Section III**

**Special Abbreviations and Terms**

- AMEDDC&S  
  Army Medical Department Center and School
- DCSINT  
  Deputy Chief of Staff for Intelligence
- FAA  
  functional area assessment
- FI  
  force integrator
- FR  
  functional review
- GOSC  
  General Officer Steering Committee
- OI  
  organization integrator
- PSS  
  personnel service support
- SOF  
  Special Operations Forces
- USACASCOM  
  United States Army Combined Arms Support Command

**Index**

This section contains no entries.