

ARC-41: The capabilities-based assessments (CBA) which support the development of “capabilities which achieve conceptual aim point in support of ARFORGEN.”						As of: May 2011		
Criteria	Criteria Guidelines	References	Required Documents	Applicability				Mandatory Comments
				CoE	School/College	TR NCOA	RC	
Criterion 41a: Tasked Integrated Capabilities Development Team (ICDT)/Team.	41a(1): Review TRADOC Campaign Plan (TCP)/ARCIC Campaign Plan (ArCP) to ensure higher HQs provides guidance and approval to commit resources to the task.	TR 71-20. TRADOC CBA Guide.	Dir, ARCIC or Center of Excellence (CoE) CDR Approval Memo.	X				
	41a(2): The CoE has an ICDT charter/charter delineating the purpose, intent, and deliverables for the CBA.		ICDT Charter/Charter.	X				
	41a(3): ICDT/Team identifies ArCP learning demands and learning objectives this CBA supports.			X				
	41a(4): ICDT/Team reviews TCP/ArCP and identifies constraints, limitations, and assumptions.	JCIDS Manual. TRADOC CBA Guide.		X				Have Capabilities Development Integration Directorate (CDID)/Center of Excellence (CoE) representative show a list of references used.
Criterion 41b: Performed CBA.	41b(1): CBA is registered with Army Experiment and Study Information System (AESIS), and the AESIS database has been reviewed to leverage existing analyses/knowledge to support your CBA. -Do literature search to include other CBAs, Capabilities Needs Analyses (CNA), studies, lessons learned, joint and Army doctrine, concepts, and information from the other Armed Services.	TR 71-20. TRADOC CBA Guide. JCIDS Manual.		X				
	41b(2): As the lead, has established milestones for each CBA phase to meet due dates in ArCP.	ArCP.	Milestones.	X				
	41b(3): CBA is a joint effort, so the Joint Staff CBA Guide is being used.	Joint Staff CBA Guide.		X				
Criterion 41c: Conducted Functional Area Analysis (FAA).	41c(1): The Functional Area Analysis (FAA) identifies all applicable Tasks, Conditions, and Standards in measurable terms. 41c(1)(a): FAA grounded in approved Army or Joint concepts. 41c(1)(b): Determine and document required capabilities. 41c(1)(c): Developed to level necessary for analysis in the FNA.	JCIDS Manual. UJTL. AUTL. TR 71-20. TRADOC CBA Guide.		X				

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	41c(2): Tasks identified support required capabilities identified in concept documents.	JCIDS Manual. TRADOC CBA Guide. Applicable concept(s).		X				Individual will be able to show the linkage to the concept(s) the required capabilities are derived from.
	41c(3): FAA task list contains evidence that research has been compiled from the Universal Joint Task List (UJTL), Army Universal Task List (AUTL), War gaming results, experimentation results, Lessons Learned and other applicable references.	JCIDS Manual. TRADOC CBA Guide.		X				FAA-FNA Worksheet entry can help support this but is not mandatory.
	41c(4): Identified tasks flexible enough to accommodate different approaches envisioned in concept documents.	JCIDS Manual. TRADOC CBA Guide.		X				FAA-FNA Worksheet entry can help support this but is not mandatory.
	41c(5): Each task identifies the conditions that the future force will face while performing the task (AUTL and UJTL can be used to support this).	JCIDS Manual. JOE. OE, TRADOC CBA Guide, AUTL and UJTL.		X				FAA-FNA Worksheet entry can help support this but is not mandatory.
	41c(6): Standards identified specific enough to be measurable, and achievable within existing or planned technological capabilities.	JCIDS Manual. TRADOC CBA Guide.		X				FAA-FNA Worksheet entry can help support this but is not mandatory.
	41c(7): There is a command approved FAA.	TR 71-20.						
Criterion 41d: Conducted Functional Needs Analysis (FNA).	41d(1): FNA begins with a validated FAA so the FNA is well grounded in ICDT /Team Lead validated tasks, conditions, and standards.	TRADOC CBA Guide.	Approved FAA	X				
	41d(2): FNA makes assessments using current and programmed force solutions as well as doctrinal approaches to make gap assessments (May also use results of TOE, MTOE, CFDB, FFDB, CDRT initiatives being converted to program of records, etc.).	TRADOC CBA Guide.		X				
	41d(3): FAA-FNA Worksheet identifies capability gaps by organizational echelon.	TRADOC CBA Guide.		X				FAA-FNA Worksheet entry can help support this but is not mandatory.
	41d(4): FAA-FNA Worksheet gap statement gives a clear description of the gap.	TRADOC CBA Guide.		X				FAA-FNA Worksheet entry can help support but is not

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								mandatory.
	41d(5): FAA-FNA Worksheet assesses operational risk (risk to mission and risk to force) for each gap as extremely high, high, moderate or low (Per FM 5-19).	TRADOC CBA Guide.	FAA-FNA Worksheet entry.	X				FAA-FNA Worksheet entry can help support this but is not mandatory.
	41d(6): FAA-FNA Worksheet and the FNA Final report establish a 1-N gap priority and make a reasonable case for which gaps must be addressed.	TRADOC CBA Guide.	FNA Final Report.	X				FAA-FNA Worksheet entry can help support this but is not mandatory.
	41d(7): FNA approved by the Dir, ARCIC for CG TRADOC following procedures outlined in the JCIDS Document Staffing Guide.	JCIDS Document Staffing Guide.						
Criterion 41e: Conducted Functional Solution Analysis (FSA).	41e(1): Team provided their analysis of potential approaches for each gap in each of the DOTMLPF domains.	TRADOC CBA Guide.	Recommended DOTMLPF Solutions Approaches (RSA).	X				
	41e(2): Team reviewed all potential non-materiel approaches to determine if all gaps can be closed by these actions.	TRADOC CBA Guide.	RSA.	X				
	41e(3): For gaps which are not closed by the non-materiel solutions, team reviewed potential materiel approaches which do not require new programs, i.e., those which can be implemented by modifications to existing materiel.	TRADOC CBA Guide	IMA.	X				
	41e(4): For gaps that cannot be closed by the above steps, the team generated a list of potential approaches, by type of materiel approach (transformational, evolutionary or IT), which can be achieved by establishing new materiel programs.	TRADOC CBA Guide.		X				
	41e(5): Metrics selected are appropriate for the gap(s) being considered and the approaches being evaluated. Metrics are approved by the ICDT/Team Lead.	TRADOC CBA Guide.	RSA.	X				
	41e(6): Team eliminated non-viable solutions and explained their rationale.	TRADOC CBA Guide.	FSA Final Report.	X				
	41e(7): Viable solutions prioritized.	TRADOC CBA Guide.		X				

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	41e(8): Team completed the necessary worksheets to support the FSA.	TRADOC CBA Guide.	FAA-FNA, INMA, IMA, RSA, CBA Summary Worksheets.	X				
Criterion 41f: Outputs of the CBA are complete.	41f(1): Description of the mission and military problem being assessed is included in the FAA portion of the CBA per the ICDT Charter/Charter.	JCIDS Manual. CBA Guide.	FAA-FNA Worksheet.	X				
	41f(2): Tasks to be completed to meet the mission objectives are included in the FAA portion of the CBA.	JCIDS Manual. CBA Guide.		X				
	41f(3): Capabilities required are included in the FAA portion of the CBA as derived from concepts.	JCIDS Manual. CBA Guide.		X				
	41f(4): Team Assessment of how well the current or programmed force meets the capability needs is included in the FNA portion of the CBA.	JCIDS Manual. CBA Guide.		X				
	41f(5): Team Assessment of operational risks where capability gaps exist is included in the FNA portion of the CBA.	JCIDS Manual. CBA Guide.		X				
	41f(6): Recommendations for possible non-materiel solutions to the capability gaps are included in the FSA portion of the CBA.	JCIDS Manual. CBA Guide.	RSA.	X				
	41f(7): Recommendations for potential materiel approaches (if required) are included in the FSA portion of the CBA.	JCIDS Manual. CBA Guide.	IMA.	X				
	41f(8): Considerations for DOTMLPF are addressed in the FSA for further analysis after the CBA, as directed in the JCIDS Manual.	TR 71-20. JCIDS Manual.	INMA, IMA, RSA, FSA Final Report, CBA Summary Worksheets.	X				These can be reflected in any one of the required documents identified.