



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
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OPNAVINST 4040.39C
N43
18 Jun 2013

OPNAV INSTRUCTION 4040.39C

From: Chief of Naval Operations

Subj: NAVY EXPEDITIONARY TABLE OF ALLOWANCE AND ADVANCED BASE
FUNCTIONAL COMPONENT POLICY

Ref: (a) SECNAVINST 5400.15C
(b) CJCSI 3170.01H
(c) NAVFACINST 4423.1H
(d) SECNAVINST 5000.2E
(e) CJCSM 3150.24C

1. Purpose

a. To provide policy and assign responsibilities for the development, modification, and management of a unit's table of allowance (TOA); which is the list of systems, equipment, and material authorized for an expeditionary unit to conduct its assigned mission. The TOA serves as the basis for programming the future force, provides guidance for initial outfitting and recapitalization of the force, and establishes a baseline for reporting readiness.

b. To provide policy and assign responsibilities for the development, modification, and management of advanced base functional component (ABFC) systems. ABFCs are pre-planned, modular facility designs that provide a variety of functional capabilities to extend the commander's logistics infrastructure supporting naval expeditionary operations.

c. This instruction has been substantially revised and should be reviewed in its entirety.

2. Cancellation. OPNAVINST 4040.39B and Office of the Chief of Naval Operations (OPNAV) reports control symbol (RCS) 4040-5 (this data collection has been combined in OPNAV RCS 4040-6).

3. Scope. The provisions of this instruction pertain to the processes for developing, modifying, and managing TOAs and ABFCs authorized for the Navy Expeditionary Combat Command, naval

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beach groups, and similar expeditionary forces. The responsibilities assigned by this instruction are supportive of the responsibilities and authorities assigned to the Chief of Naval Operations (CNO) in reference (a) for determining requirements and establishing the relative priority of those requirements.

4. Background

a. The OPNAV approved TOA is a long-recognized element of the expeditionary force and is integral to many of its operational and business processes. The processes to develop, modify and manage TOAs have matured over time, shifting from informal requirements processes to following the intent of the Joint Capabilities Integration and Development System, reference (b), for addressing capability gaps.

(1) The TOA development process begins with a review of a unit's required capabilities, followed by definition of the TOA structure, and identification of the systems and material solutions required to fulfill the identified capabilities. The proposed TOA is reviewed by the user and endorsed by the type commander (TYCOM) before being submitted to the OPNAV warfare sponsor for final approval.

(2) The TOA modification process addresses changes to a TOA, which generally fall into three categories:

(a) A capacity change seeks to either increase or decrease the quantity of items already in the TOA and is processed via an allowance change request as documented in reference (c). The request is usually based on field experience, usage data, and "lessons learned."

(b) A technical change seeks to update an existing materiel solution due to obsolescence, supply availability, or technology refresh, and though it can be initiated by an allowance change request, is generally requested by a systems command (SYSCOM) during a TOA maintenance review.

(c) A capability change seeks to either add or remove a capability to a TOA. This type of change requires a high standard of analytic rigor in concert with reference (b)

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and is ultimately processed as a TOA change through either a formal TOA review or a warfare sponsor requirements memorandum.

b. Each ABFC is a standardized facility or group of facilities designed to perform a specific function for an advanced support base, humanitarian assistance project, or foreign engagement mission. ABFCs are employed when organic, contracted, or host nation facilities cannot provide the functionality in a time frame required by the commander or when having a standardized design will speed delivery, such as a common design for schools built during humanitarian missions. ABFCs can be combined with other ABFCs or multiplied for different missions or greater capacity. An ABFC is designed to be site adapted or configured for a particular mission. ABFCs are developed to minimize the planning, acquisition, shipping, and construction time required for use.

5. Policy

a. TOA for Deployable Unit of Action. A TOA shall be developed for the deployable unit of action, consistent with the establishment of a unit identification code. Exceptions to this policy shall be granted on a case-by-case basis by the warfare sponsor in coordination with the requirements sponsor.

b. Source Documentation for Establishing a TOA. A TOA is based on OPNAV-approved required operational capabilities (ROC) and projected operational environments (POE) that clearly identify an expeditionary mission. In cases involving broad ROC and POE capabilities, Navy mission essential task lists (NMETL), activity manpower documents, and communications requirements analyses shall be used to provide greater specificity of materiel solutions. Unit concepts of operations may also be used, with emphasis on vignettes, to help define operational requirements.

c. TOA Systems and Materiel Solutions. Doctrine, organization, training, materiel, leadership and education, personnel, facilities (DOTMLPF) analysis shall be conducted to identify solutions to capability gaps. If DOTMLPF analysis suggests a system or materiel solution is the optimum course of action to meet operational requirements, then stakeholders shall assist OPNAV warfare sponsors in developing the capabilities documentation and conducting the analysis of alternatives (AoA).

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Per paragraph 2.4.6.5 of reference (d), common systems and equipment are preferred to provide efficiencies that include inherently greater interoperability, lower total ownership costs (TOC), improved human performance, consistent and integrated roadmaps for system evolution, and planned dual-use functions. Reference (d) also dictates TOC be considered in all phases of the capabilities development and acquisition management processes, with a goal to minimize total life-cycle (ownership) cost to own and operate weapons systems. Consequently, consideration of TOC is integral to all TOA processes.

d. TOA as a Requirements Document. The approved TOA serves as the approved acquisition objective. Because TOAs are based on OPNAV-approved ROCs and POEs, all items in a TOA shall be traceable to a specific capability. TOAs shall not include data on personnel, ammunition, or fuel. TOAs shall be developed as directed by OPNAV warfare sponsors and maintained until either the expeditionary mission is no longer applicable, or as directed by OPNAV Director, Expeditionary Warfare (N95).

e. Resource-Constrained ABFCs. ABFCs must balance personnel requirements, strategic lift requirements, equipment availability, and simplicity of construction, operation, and maintenance. Technological sophistication is not desirable for its own sake.

6. Responsibilities

a. OPNAV: Warfare Sponsors (OPNAV N95)

(1) Approve initial TOA release, major revisions, and capability changes to TOAs, in coordination with the requirements sponsor, OPNAV Director, Fleet Readiness (N43).

(2) Approve TOA capacity and technical changes, in coordination with the requirements sponsor, for:

(a) Extended cost differences exceeding \$250,000 with existing TOA solution; or

(b) OPNAV-designated equipage requiring oversight.

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(3) For initial TOA development or OPNAV-approved capability changes to TOAs:

(a) Perform DOTMLPF analysis when capability gaps have been identified. When a materiel solution is recommended, develop capabilities requirements documentation and conduct proportional and tailored AoA, supportability, and cost analyses. References (b) and (d) provide guidance.

(b) Issue program and resource sponsor requirements memorandum to convey program guidance, key performance parameters and key system attributes to the SYSCOMs, and to notify Commander, Naval Facilities Engineering Command (COMNAVFACENGCOM) of an approved change to the TOA. Requirements for TOC analysis should be included in the development of requirements provided to the SYSCOMs. Paragraph 1.1.2.3 of reference (d) provides guidance.

(c) Ensure approved ROCs and POEs and other source requirements are available.

b. OPNAV: Requirements Sponsor (OPNAV N43)

(1) Assess the impact on the operations and maintenance requirements of initial TOAs and changes to existing TOAs approved by OPNAV as stated in this instruction.

(2) Assess the logistics supportability and maintenance plans for initial TOA release and capability changes in coordination with OPNAV N95.

(3) Approve the development of new ABFCs and the cancellation of outdated ABFCs.

c. Fleet and TYCOMs

(1) Support the TOA development process as documented in reference (c), with an emphasis on articulating capabilities and force integration issues.

(2) Support TOA capability requirements analysis by mapping approved ROCs and POEs to NMETLs or other authoritative documents, and by assisting SYSCOMs in linking materiel solutions to required capabilities and tasks.

(3) Review and endorse TOAs for submission to OPNAV N95.

(4) Submit allowance change request when capacity and or technical changes are required.

(5) Notify OPNAV N95 when capability gaps are experienced and or expected.

(6) Support SYSCOMs with determination of the life cycle costs in support of TOC analysis; such as changes in training, manpower, and operational support costs.

(7) Submit requests for new ABFCs to OPNAV N43.

d. COMNAVFACENGCOM

(1) Coordinate the processes required to develop, modify, and manage the TOAs consistent with this instruction. Maintain reference (c) to document the TOA processes.

(2) Develop and modify TOAs:

(a) Ensure the systems and materiel solutions required by an expeditionary unit to conduct its assigned mission are identified and documented.

(b) Ensure TYCOM and SYSCOM participation in the process.

(c) Ensure approved ROCs and POEs, NMETLs, and other source documents provide the basis for requirements traceability.

(d) Coordinate TOA structure with the TYCOM and OPNAV N95 and OPNAV N43.

(e) Ensure commonality is considered across forces to the maximum extent practical.

(f) Assess equipment interoperability in coordination with TYCOMs and SYSCOMs.

(g) Lead the assessment of TOA TOC.

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(h) Approve, with applicable SYSCOM and TYCOM concurrence, capacity and technical changes with an extended cost difference of less than \$250,000.

(3) Manage TOA data sets:

(a) Maintain an official repository for CNO-approved TOAs and ensure data integrity within the repository.

(b) Provide type unit characteristics (TUCHA) data for use in the Joint Operation Planning and Execution System as required by reference (e).

(c) Publish an annual TOA development and review schedule that has been coordinated with OPNAV, SYSCOMs, and TYCOMs; provide quarterly status updates. The reporting requirement contained within this paragraph has been assigned OPNAV RCS 4040-6

(4) Develop and manage ABFCs:

(a) Design new ABFCs and recommend cancelation of outdated ABFCs in coordination with commands requesting support. ABFCs shall contain the line item (stock number) list of materiel required, a construction design and layout sufficient for execution, line item costs (for planning purposes), construction timeline (including labor loading), mobility requirements (TUCHA data), and sustainment requirements, (i.e., anticipated fuel, water, sewage, and electricity use).

(b) Coordinate with TYCOMs to periodically update ABFCs to ensure they are consistent with current construction methods, material, tools, training, and staffing.

(c) Maintain ABFCs in a data repository providing ready access by the operating force.

e. Navy SYSCOMs

(1) Support the TOA development and change process as documented in reference (c), with an emphasis on identifying systems and materiel solutions in the form of capability sets

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for areas of assigned responsibility per reference (a). Where materiel solutions cross assigned areas of responsibility, coordinate with the impacted SYSCOMs to ensure equipment operability.

(2) Ensure commonality is considered across forces to the maximum extent practical, to lower TOC (reference (d)).

(3) Determine and report life cycle and TOC data with COMNAVFACENGCOM to ensure integrity of the TOA data set. SYSCOMs shall develop and report TOC data to OPNAV N43 for TOAs in initial development and changes of major end items such as boats; vehicles; command, control, communications, computers, combat systems, intelligence, surveillance, and reconnaissance systems; weapon systems; and life support systems. In addition, any emergent need requirement (e.g., urgent operational needs statements), and any TOA change that results in a total procurement cost of any single item across all existing TOAs that exceed \$250,000, shall include reporting of the TOC analysis. Acquisition programs shall follow the appropriate gate review process. The TOC analysis is integral to the approval process and should include all logistics support costs and, as appropriate, costs resulting from changes to training, manpower requirements, energy usage, testing, and any other significant cost drivers. The reporting requirement contained within this paragraph has been assigned OPNAV RCS 4040-6.

(4) Propose and or process capacity and technical changes, providing approval or disapproval recommendations to COMNAVFACENGCOM for incorporating TOA changes.

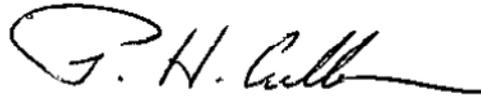
(5) Develop and maintain TOA assemblies.

7. Action. COMNAVFACENGCOM shall update reference (c) within 180 days of the date of this instruction. Addressees shall carry out the responsibilities contained herein and implement the procedures contained in reference (c).

8. Records Management. Records created as a result of this instruction, regardless of media or format, shall be managed per Secretary of the Navy Manual 5210.1 of January 2012.

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9. Reports Control. OPNAV RCS 4040-6 has been assigned to the reporting requirements contained in paragraphs 6d(3)(c) and 6e(3).



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