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NAVFACINST 4423.1J
FAC NEPO
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NAVFAC INSTRUCTION 4423.1J

From: Commander, Naval Facilities Engineering Command

Subj: NAVY EXPEDITIONARY TABLE OF ALLOWANCE (TOA) DEVELOPMENT
AND REVISION POLICY AND PROCESSES

Ref: (a) OPNAVINST 4040.39C
(b) SECNAVINST 5000.2E
(c) CJCSI 3170.01H
(d) CJCSM 3150.24C, Volume I
(e) SECNAVINST 5400.15C
(f) NAVFAC P72 Facility Category Codes
(g) NAVSUP P-485, Volume III

Encl: (1) Listing of Definitions and Acronyms
(2) Facility/Group Numbering Convention
(3) TOA Development Process Flow Chart
(4) Allowance Change Request (ACR) Process Flow Diagram
(5) Allowance Change Request (ACR) NAVFAC Form 4423/1
(6) Allowance Change Request (ACR) Instructions

1. Purpose

a. To promulgate policy, roles, responsibilities and processes 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.

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

2. Cancellation. NAVFACINST 4423.1H of 29 August 2009 is superseded and cancelled.

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3. Applicability. The provisions of this instruction apply to the Navy Expeditionary Combat Command, Naval Beach Groups and similar expeditionary forces. A full list of TOAs managed under this instruction can be accessed within the Advanced Base Functional Component View (ABFCView) website at <https://ABFCView.navfac.navy.mil/login.cfm>.

4. Policy

a. References. Reference (a) provides detailed guidance for TOAs and assigns the Naval Facilities Engineering Command (NAVFAC) the responsibility for coordinating the processes required to develop, modify and manage TOAs. Reference (b) prescribes mandatory procedures for Department of the Navy (DON) implementation of the Joint Capabilities Integration and Development System (JCIDS). Reference (c) is the JCIDS instruction used by the Warfare Sponsors and Systems Commands (SYSCOMs) for solutions analysis. Reference (d) prescribes the Type Unit Characteristic Report (TUCHAREP) to be used for Joint Operation Planning and Execution System operations under Global Command and Control Systems. Reference (e) defines the SYSCOM role and assigns duties and responsibilities. Reference (f) provides the policies and guidance for the numbering of Navy facilities. Reference (g) establishes policies for the operation and management of ashore supply activities. Definitions and acronyms used throughout this instruction are contained in enclosure (1).

b. TOA for Deployable Unit of Action. Per reference (a), TOAs 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.

c. Source Documentation for Establishing a TOA. A TOA is based on Office of the Chief of Naval Operations (OPNAV) approved Required Operational Capabilities (ROCs) and Projected Operational Environments (POEs) that clearly identify an expeditionary mission. In cases involving broad ROC and POE capabilities, Navy Mission Essential Task Lists (NMETLs), Activity Manpower Documents (AMDs) and Communications Requirements Analyses (CRAs) shall be used to provide greater

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specificity of materiel solutions. Unit concepts of operations (CONOPS) may also be used, with emphasis on vignettes, to help define operational requirements.

d. TOA Systems and Materiel Solutions. Doctrine, Organization, Training, Materiel, Leadership and education, Personnel, Facilities, Policy (DOTMLPF-P) analysis shall be conducted to identify solutions to capability gaps (reference (c) provides guidance). If DOTMLPF-P 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). Per paragraph 2.4.6.5 of reference (b), common systems and equipment are preferred to provide efficiencies that include inherently greater interoperability, lower total ownership cost, improved human performance, consistent and integrated roadmaps for system evolution, and planned dual-use functions. Reference (b) also directs total ownership cost consideration 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 total ownership cost is integral to all TOA processes.

e. TOA as a Requirements Document. The approved TOA serves as the Approved Acquisition Objective (AAO). Because TOAs are based on OPNAV approved ROCs and POEs, all materiel solutions in a TOA shall be traceable to a specific capability requirement. TOAs shall not include data on personnel, ammunition or fuel. TOAs shall be developed as directed by OPNAV warfare sponsors and shall be accomplished in conjunction with the Type Commander (TYCOM) and SYSCOMs, and maintained until either the expeditionary mission is no longer applicable, or as directed by the warfare sponsor.

5. Responsibilities

a. Fleet Operating Unit

(1) Participate in TOA reviews as described in paragraph 6b to determine if operational requirements are being supported by the currently fielded equipment in the TOA. Fleet units may

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initiate the documentation of operational requirements, both materiel and non-materiel in nature, through updates to the ROC and POE and/or any of the documents listed in paragraph 6b(1).

(2) Identify TOA capacity or technical shortcomings and submit change proposals to the TYCOM using the Allowance Change Request (ACR) process outlined in paragraph 8. If the identified shortcoming is a capability change, the issue should be addressed to the OPNAV Warfare Sponsor via approved processes and not as an ACR.

b. Component/TYCOM

(1) Support the TOA development process as described in paragraph 6b by validating fleet unit operational requirements and articulating 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 the OPNAV Warfare Sponsor as described in paragraph 6b(8).

(4) Assess and either cancel or forward fleet operating unit ACRs (paragraph 5a(2)) as outlined in paragraph 8 of this instruction.

(5) Identify TOA capacity or technical shortcomings and submit change proposals using the ACR process outlined in paragraph 8 of this instruction.

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

(7) Support SYSCOMs in the analysis and identification of alternatives, and note concurrence/non-concurrence with SYSCOM-recommended changes prior to submission to OPNAV.

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(8) Notify OPNAV Warfare Sponsor when new operational capability gaps are experienced or expected.

c. NAVFAC Expeditionary Programs Office (NEPO)

(1) Coordinate the processes required to develop, modify and manage TOAs consistent with reference (a).

(2) Develop and modify TOAs in conjunction with the TYCOM and SYSCOMs, assess TOC, and ensure commonality is considered across forces. Submit proposed TOAs to OPNAV for approval.

(3) Manage the ACR process, and keep fleet customers informed on the status of TYCOM-endorsed ACRs moving through the documented process. Coordinate with TYCOMs, SYSCOMs and OPNAV to provide the customer with viable recommended materiel solutions supportive of operational requirements.

(4) Manage the TOA data set by maintaining an official repository for OPNAV approved TOAs and ensure data integrity within the repository.

d. SYSCOMs

(1) Support the TOA development and modification process as described in paragraphs 6b and 7c.

(2) Identify systems and materiel solutions for approved operational unit requirements in areas of assigned responsibility per reference (e).

(3) Ensure commonality is considered across forces in accordance with paragraph 6b(4), and in accordance with the ACR process as described in paragraph 8.

(4) Determine and report lifecycle and TOC data in accordance with paragraphs 6b(9) and 7c(3).

(5) Propose and/or process capacity and technical changes in accordance with paragraphs 8c and 8d.

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(6) Design, develop and maintain TOA facilities and assemblies in accordance with paragraph 9b.

(7) Enter stock numbers into the Expeditionary Management Information System (EXMIS) and maintain stock numbers under SYSCOM cognizance in accordance with paragraph 9c.

(8) Provide product end item management support ensuring the correct stock number associations with assemblies in accordance with paragraphs 9c and 9d.

e. Office of the Chief of Naval Operations (OPNAV)

(1) Participate in the TOA process by providing cost and capability requirements guidance during TOA Initial Planning Conferences and other times as required per paragraphs 6 through 8.

(2) Approve initial TOA release, and major revisions and capability changes to TOAs.

(3) Approve TOA capacity and technical changes in accordance with the limits specified in reference (a).

(4) Issue program/resource sponsor requirements memoranda to notify NEPO when new capabilities need to be added to an approved TOA.

(5) Generate and validate requirements documents as required, delegate to Fleet Commander, SYSCOM and TYCOM as necessary.

6. Development of a TOA

a. General Information. TOAs represent a list of systems, equipment and material authorized for an expeditionary unit to conduct its mission.

(1) TOA as a Deployable Unit of Action. Per reference (a), TOAs will be designed at the deployable unit of action level. Exceptions to this policy shall be granted on a case-by-case basis by the warfare sponsor. When there is more than one

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unit, a TOA multiplier will be used to determine the total AAO for all units. The list of OPNAV-approved TOAs and multipliers is available on ABFCView.

(2) TOA Naming Convention. TOAs are named using a plain language convention consistent with the Standard Navy Distribution List.

(3) TOA Hierarchy. TOA design is predicated on force mobilization and deployment requirements. The TOA follows a hierarchical structure as described below.

(a) Component is the highest level in the TOA structure and represents the unit of action.

(b) Sub-components are subordinate to Components and further support and define the mobilization requirements of a unit. Sub-components are catalogued consistent with the numbering for the parent component as they represent a step down hierarchical model of the unit's mobilization requirements. Examples of sub-components include a Fly-In Echelon, a Squadron or a Regiment. These are mobilization units with specific embarkation and material requirements.

(c) Facilities and Groups are at the same hierarchical level in the TOA and can be linked to a TOA at either the Component or Subcomponent level.

1. Facilities are something built for a specific purpose and deliver a stand-alone capability, such as berthing and hygiene facilities. Facilities require the integration of several assemblies to provide the required capability, e.g., a berthing tent facility would require assemblies for a tent, lighting, cots, etc. Facilities are identified through a numbering sequence found in reference (f).

2. Groups are a collection of like equipment with similar purpose or related function that are catalogued together to facilitate TOA design and stratify TOA requirements by equipment type. For example, the Fly-In Echelon would contain a group for weapons, each assembly in the group representing a specific capability (e.g., side arms, crew served

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machine gun, etc.). Unlike facilities, the individual assembly does not require other assemblies to deliver its capability. Group identification numbering is contained in enclosure (2).

(d) Assemblies are a grouping of stock numbers which, when delivered together, provide a defined capability that can be traced to a requirement in the unit's ROC/POE or other requirements document. The assembly is the lowest level structure in the TOA. The cognizant SYSCOM is responsible for developing and modifying assemblies within the TOA dataset.

(4) TOA Dataset Repository. The official repository for OPNAV-approved TOAs is EXMIS, with relevant TOA information being accessible to the expeditionary enterprise through the ABFCView website. Additional information on maintaining the TOA dataset is provided in paragraph 9.

(5) TOA Instances. TOAs can exist in one or more of four distinct instances in the TOA dataset. These instances provide a formal area in EXMIS for TOAs as the review process achieves the final milestones in the TOA review and development process as described in paragraph 6. Once the final TOA review milestones (paragraphs 6b(6) and (8)) have been successfully completed, the TOA is moved, or "promoted" to the next instance.

(a) The Planned instance is a working level environment in which TOAs and all TOA substructures are constructed and tested. Access is restricted to NEPO TOA configurators and specific users at the SYSCOMs. The SYSCOMs use this working environment to develop and test standardization and prepare data for technical refresh of active TOAs.

(b) The Configuration instance is used to lock the configuration of a TOA while it is being reviewed by the TYCOM. Once a TOA has been promoted from the planned to the configuration instance, changes to the TOA can only be made with TYCOM approval. The TOA is promoted to the Configuration instance at the completion of the final TOA review by the TYCOM and SYSCOMs, paragraph 6b(6) milestone.

(c) The Proposed instance, which follows TYCOM endorsement of the configuration instance dataset, is used to

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distinguish those TOAs under OPNAV Warfare Sponsor review. As with the configuration instance, changes are only made under strict NEPO control. The TOA is promoted to the Proposed instance at the completion of the TYCOM endorsement, paragraph 6b(8) milestone.

(d) TOAs are promoted to the Master instance after final OPNAV approval. The modification process for master TOAs is described in paragraph 8.

b. Process Steps. The TOA process shall deliver to the expeditionary force a TOA design that supports unit of action mobility and deployment requirements, and ensures system, equipment and material capabilities support documented mission requirements. The following paragraphs relate to their corresponding numbered block of the "TOA Development/Review Flow Chart" in enclosure (3). New and major TOA development and review will generally be developed within 6 to 10 months of the Initial Planning Conference (IPC). Typical timeframes are depicted in the TOA Development/Review flow chart, enclosure (3). The timeline is dependent upon the cooperation of all stakeholders involved in the process and their commitment to an agreed on Plan of Action and Milestones (POA&M).

(1) TOA Documents. The development of new TOAs shall be governed by the following requirements documents: ROC/POE, NMETLs, CRA, AMD and CONOPS. The operational unit's ROC/POE, AMD, CRA and NMETLs enable the Warfare Sponsor to assess requirements in the form of materiel and non-materiel solutions analysis. The ROC/POE as a stand-alone requirements document is generally insufficient to inform the DOTMLPF-P and alternative analysis processes. As such, TYCOMs will provide amplifying information in the form of NMETLs, which describe the tasks to be performed when a unit is provided with a capability. TYCOMs shall assist the SYSCOMs in tracing ROC/POE to NMETLs to the maximum extent practicable. TYCOMs shall also provide the current AMD so that quantities of materiel solutions will be consistent with operational manning levels. TYCOMs may also provide the unit's CONOPS when available to help refine the scope of tasks to be completed in an operational environment. This documentation shall be provided by TYCOMs to NEPO no later than 30 days prior to the scheduled start of the IPC.

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Insufficient requirements documentation will result in cancellation of a scheduled TOA review.

(2) Initial Planning Conference (IPC). An IPC shall be conducted by NEPO with representatives from OPNAV, the TYCOM, Operating Unit(s) and the SYSCOM(s). The purpose of the IPC is to reaffirm the reason for the development of the TOA, foster discussion and for NEPO to present a draft POA&M. Points of contact for all subsequent portions of the TOA development process will be identified for each stakeholder organization, and NEPO will brief required inputs/desired outputs for each step of the TOA development process. Expeditionary units will provide an unclassified Operational Plan brief and a required capabilities review. Navy expeditionary units will similarly submit a list of unit-unique equipment and material required to meet mission capabilities along with supporting requirements documents. Before concluding the IPC, representatives will agree to a POA&M, which will delineate specific requirements by organization. At the conclusion of the IPC, the SYSCOMs should have a sufficient understanding of the requirements to continue the process of identifying materiel solutions in preparation for the TOA Development Conference.

(3) Develop Draft TOA Structure. NEPO will prepare a draft TOA structure in one of a variety of formats (e.g., PowerPoint, Excel or Visio) based on documentation as described above and in consultation with the TYCOM. The TOA structure will support the deployable unit's mobilization and operational requirements and therefore may not be reflective of the unit's organization chart.

(4) TOA Development Conference. NEPO will revise the POA&M prior to the TOA development conference. The POA&M will be consistent with the purpose for the TOA review (as described in paragraph 6b(2)) and will serve as a roadmap for the remainder of the TOA development project. Stakeholders will have the opportunity to review and edit the POA&M during the development conference. The bulk of requirements analysis is to be completed prior to the development conference to enable the SYSCOMs' timely completion of alternative analysis for form, fit and function. SYSCOM alternative analysis efforts will seek to maximize equipment commonality and identify non-consumable items

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requiring lifecycle support. This is an early opportunity for fleet operating units and the TYCOM to consider the interoperability of the proposed solutions and/or assist the SYSCOMs in alternative analysis based on documented operational requirements or the unit's AMD.

(5) TOA Configuration. NEPO will initiate a TOA's configuration by creating a draft TOA in the EXMIS planned instance. The TOA will be based on the fleet unit's organization chart as provided by the TYCOM, modified to reflect the unit's mobilization requirements. During this process, the SYSCOMs will complete their analysis requirements and alternative material solutions. Their final proposals will be included in the configured TOA for review in next process step.

(6) Review and Finalize Proposed TOA. NEPO will organize a final TOA capabilities review with the fleet operating unit, TYCOM and SYSCOMs present. The final review will not be conducted line-by-line, but rather through collaborative assessment of the TOA capabilities against the approved and documented operational requirements. TOAs are not intentionally provided for review with known capability or capacity gaps. All known materiel solution requirements are to be made part of the TOA prior to the final review. Stakeholders are encouraged to consider the technical accuracy and sufficiency of the materiel solutions identified to this point.

(7) Lock Proposed TOA. After all changes to the types and quantities of materiel solutions have been addressed, NEPO will promote the TOA from the EXMIS planned instance to the configuration instance and forward it to the TYCOM for endorsement. Once the TOA is promoted to the configuration instance, the TOA is "locked". At this point, no other changes can be made without the approval of NEPO management.

(8) Provide Endorsement. The TYCOM validates and endorses the configured TOA to NEPO within 90 calendar days of receipt of the configured TOA. If the TYCOM does not concur with the Configuration File, the endorsement will contain a requirements-based rationale for the non-concurrence. Because non-concurrence will significantly delay approval of the final TOA, all stakeholders are encouraged to collaborate early

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in the process and agree to the planned instance before the routing process begins.

(9) Submit Proposed TOA to OPNAV. Once endorsed by the Type Commander, the TOA file is promoted to the proposed instance and a Build Summary is generated by NEPO. The Build Summary is comprised of four standard enclosures: a TOA Listing, a TOA Configuration Summary, an Annual Lifecycle Cost Estimate, and TOA Ownership Cost*. NEPO submits the Proposed TOA and Build Summary to the OPNAV Warfare Sponsor for approval with a copy to the TYCOM.

Note: As part of its final endorsement, NEPO will coordinate TOC analysis between the appropriate SYSCOMs and the TYCOM. Significant TOA changes will be assessed to capture meaningful changes to the TOA. TOC analysis is integral to the approval process and will include logistics support costs in addition to procurement and sustainment costs. Specific information required from the SYSCOMs and TYCOMs is:

- (a) Equipment life span,
- (b) Procurement strategy and schedules.
- (c) Quantities of existing equipment being replaced and timeline (fielding strategy).
- (d) New acquisition cost.
- (e) New training and updated ILS costs.

(10) Approve TOA of Record. The OPNAV Warfare Sponsor reviews the TOA, and if approved, establishes the baseline "TOA of Record" and validates the TOA multiplier.

(11) Update System of Record. On OPNAV approval, NEPO will register the TOA as a Master TOA in the TOA dataset and notify the TYCOM and SYSCOMs.

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7. Modification of a TOA through the TOA Review Process

a. Conditions to Initiate Review. Reviews of existing OPNAV approved TOAs are scheduled when there is a significant requirements change, for example:

(1) There is a major mission change to a unit's ROC/POE.

(2) There is a change in authorized manning.

(3) There is a significant change in capability requirements.

Note: A review schedule is released annually by NEPO after consultation with OPNAV Warfare Sponsors and with input from the Type Commanders.

b. TOA Review Timeline. The timeline of the review can vary substantially depending on the number and scope of changes involved. If the review will result in minor revisions, the ACR process may be in order for a small number of items.

c. Review Process. The review process is identical to the process documented in paragraph 6 for developing a new TOA with the following exceptions:

(1) Initial Planning Conference (IPC). The IPC (6b(2)) will also address the reason(s) for the review and the appropriate types of changes required to the TOA. For example, if a unit has experienced a change in manning, the IPC should consider a review of the AMD and the quantities of various materiel solutions in the TOA. NEPO will conduct a preliminary mapping of capability gaps to the current Master TOA prior to the IPC for presentation and discussion at the IPC.

(2) Build Summary. The Build Summary (6b(9)) will also include a comparison report of the existing TOA to the Proposed TOA.

(3) TOC Analysis. TOC will also be applied when one Major End Item (MEI) is replacing another. MEIs are those solutions with procurement costs greater than \$250,000.

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(4) Evaluation of Product Support. Though a TOA review is intended to address the requirements change(s), it also provides the SYSCOMs an opportunity to validate systems, confirm equipment and material are still supported by current maintenance and technical doctrine, and verify technical documentation and supply support.

8. Modification of a TOA through the ACR Process. An ACR can be initiated by expeditionary units, their chain of command, or by a SYSCOM to effect a capacity or technical change. SYSCOMs may correct errors and omissions and otherwise execute their responsibilities for Facility, Assembly and Stock Number maintenance per paragraph 9 (TOA dataset maintenance) for non-technical or capacity changes as described below. Otherwise, SYSCOMs will use the ACR process. Enclosures (4), (5) and (6) define the type of information required and the steps to be taken when routing an ACR.

a. Format. Users submit a completed ACR form (enclosure (5)) to their respective TYCOM via the chain of command. SYSCOMs, under circumstances described below, will also use the ACR form to effect SYSCOM technical refreshes or corrections to existing assemblies. The form is used to effect a variety of changes to the TOA that are broadly characterized as capacity or technical in nature. Capability changes to the TOA should be addressed to the OPNAV Warfare Sponsor in accordance with reference (c) and not as part of the ACR process. Ideally, an ACR is limited to a single capacity or technical issue, but these may include more than one line item in the TOA. The ACR form is a standalone document and does not require covering or forwarding correspondence.

b. Justification. Justification for changes shall be based on one or more of the following and shall provide sufficient details to allow the appropriate stakeholders to take action on the recommendation (e.g., gap analysis).

(1) Capacity Change. These are quantity increase or decrease changes and are predicated on operational capabilities previously approved by the Warfare Sponsor. A capacity change would be reflected in an increase or reduction in quantity usually within a subcomponent, facility or assembly. A capacity

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change cannot be used to add a new item to the TOA and/or to significantly increase quantities as both imply a capability change. The level of requirements detail is reduced accordingly but shall still be based on a documented change such as a revision to ROC/POE or a change in manning as reflected in the AMD, or some other operational demand signal.

(2) Technical Change. When an update to an existing materiel solution is required due to obsolescence, supply availability, or technology refresh, SYSCOMs will evaluate proposed technical changes for applicability across all TOAs. Technical changes with an extended cost difference of less than \$250,000 and with applicable SYSCOM and TYCOM concurrence will be approved by NEPO (per reference (a) paragraph 6d(2)). Technical changes exceeding this threshold will be forwarded to the Warfare Sponsor for final approval. Technical changes include:

(a) Safety. Justification to proposed changes supporting safety should describe the probable safety issue or how the change will create a safer condition and identify risks of not implementing the recommended change.

(b) Functional Corrections. Justification for proposed changes supporting functional changes to assemblies or facilities shall describe the benefits that will be accomplished by incorporating the recommendation (e.g., ensuring a hose coupling has the appropriate diameter for its hose).

(3) Capability Change. A mission change or required capability enhancement is directed by higher authority, usually the Warfare Sponsor, and is not part of the ACR process. These are typically driven by a change in the various requirements documents. New missions or enhanced war fighting requirements must demonstrate the necessity for new or different materiel solutions if they are to justify new expenditures and the premature retirement of existing TOA systems, equipment and material. Proposed changes to a unit's mission or required capabilities shall be specifically identified in the appropriate operational requirements document and will be forwarded to the Warfare Sponsor for final approval. By definition, if the capability does not currently exist in the TOA, then it is a

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capability change. A significant percentage increase in quantities of a previously approved capability is also considered a capability change. Change requests submitted to address these capability gaps will be subject to a more stringent materiel solutions analysis process in accordance with reference (c), to include consideration of non-materiel solutions as well as a review of alternative courses of action to ensure currently fielded solutions are considered.

c. User Initiated ACR Submission. User recommended changes to an approved TOA component shall be submitted to the unit's TYCOM via the unit's chain of command. ACRs not endorsed by the TYCOM shall be cancelled by the TYCOM and returned to the submitting command. When endorsed by the TYCOM, the ACR is forwarded to NEPO for processing as outlined in enclosure (4). NEPO will assign a system-generated tracking identification number and will provide the ACR to the relevant SYSCOM within five days with status reporting available in the ACR log located on the ABFCView website.

d. SYSCOM Initiated ACR Submission. Changes to an approved TOA that originate with the SYSCOM are limited to capacity or technical changes. A capacity change may result from the implementation of common solutions, or from a technical refresh of existing equipment sets. Capability or capacity changes must not be deliberate, i.e., the technical refresh ACR shall not be used to intentionally increase or decrease equipment capability/capacity in the TOA.

(1) Format. Using the ACR form (enclosure (5)), the SYSCOM completes the applicable sections on pages one through three similar to a user-generated ACR. The SYSCOM lists the new materiel solution including the rationale for the technical refresh, and a brief description of any risks associated with its inclusion in the TOA (e.g., interoperability or supportability concerns). ILS and lifecycle cost analysis are normally based on a proposed fielding strategy, which may be due to a phased replacement, end of lifecycle replacement or new initial procurement with 100% fielding. The approximate lifecycle, cost per unit, and other procurement cost such as a commercial evaluation are then used to calculate TOC.

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(2) Routing. SYSCOM-generated ACRs will be routed directly to NEPO for processing as depicted in enclosure (4). NEPO will conduct an impact analysis confirming the population of TOAs affected and will route within ten days all SYSCOM ACRs to the applicable Type Commanders for their endorsement prior to approval or subsequent action as described below. The SYSCOMs pre-staffing of the proposed change(s) with the impacted TYCOM(s) will greatly facilitate the review process.

e. SYSCOM Analysis. Upon receipt of a user-generated ACR, the SYSCOM will complete an impact analysis addressing alternative analysis and TOC, and will return it to NEPO within forty-five days. SYSCOM responsibilities in TOA development are stated in paragraph 5d. More specifically for ACR processing, the SYSCOM shall analyze the capability requirement against potential materiel solutions. Reference (a) requires SYSCOMs to make commonality a priority. Whereas the TYCOM endorsement may provide a suggested solution that is well suited for their forces, SYSCOMs will consider commonality across all Navy ashore expeditionary forces. The goal of commonality shall not negate functionality or affect approved capabilities regardless of cost. Cost will be addressed in detail with the SYSCOM providing total ownership cost analysis for suggested alternatives to include new fielding, lifecycle and annual sustainment costs and training costs. Upon return of the ACR from the SYSCOM, if it is noted the SYSCOM did not concur with a unit/TYCOM-suggested materiel solution, NEPO will route the ACR to the TYCOM for review and comment. Lack of a formal response by the TYCOM within thirty days of receipt will be deemed as concurrence with the SYSCOM's proposed solution. If the TYCOM does not concur with the SYSCOM's proposed solution, NEPO will coordinate discussions between the SYSCOM and TYCOM to map differences to requirements and will forward it to OPNAV for final adjudication.

f. Approval. SYSCOM and TYCOM endorsed ACRs may be approved by NEPO if new capabilities are not being added to a TOA and the extended cost difference across all TOAs is less than \$250,000 (reference (a) paragraph 6d(g)). All other ACRs shall be routed to the Warfare Sponsor by NEPO for final approval. Upon approval, NEPO will update the TOA dataset as appropriate and notify the TYCOM.

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9. TOA Dataset Maintenance. The official repository for OPNAV-approved TOAs is EXMIS. The system provides a single integrated database for the requirement and materiel solutions, which enables the expeditionary enterprise to better support decision making and the acquisition process. Once established in EXMIS per the process in paragraph 6, the following functions are required to maintain the TOA dataset.

a. Facilities. Facilities, as described in paragraph 6a(3)(c), are the purview of NAVFAC. NAVFAC, as the lead for Navy ashore expeditionary facilities, is the technical authority for facilities. As such, NEPO, by direction, is responsible for ensuring the correct assemblies are listed in the facility, for ensuring currency and interoperability of the assemblies, regardless of SYSCOM, to provide the requisite capability, and for system integration. Once established in EXMIS, NEPO is responsible for lifecycle configuration management of the facility by performing technical refresh and data management in EXMIS. Facility configuration changes resulting in a cost increase across all TOAs greater than \$250,000 will be submitted through the ACR process described in paragraph 8d.

b. Assemblies. As stated in paragraph 6a(3), assemblies are a group of stock numbers that provide a defined, traceable capability. Each assembly is the responsibility of the respective SYSCOM identified in EXMIS when the assembly is first created. Assembly configuration, interoperability of stock numbers within the assembly, and technical currency are the responsibility of the SYSCOM. NEPO will create new assemblies when requested by the SYSCOMs and will coordinate material updates to assemblies in approved TOAs. Once assemblies have been created in EXMIS, SYSCOMs carry out all activities to maintain the capability during its lifecycle. This includes, but is not limited to, performing technical refresh, modernization and all interoperability between line items (i.e., stock numbers) within the assembly. Assembly maintenance resulting in a cost increase across all TOAs greater than \$250,000 will be submitted through the ACR process described in paragraph 8d.

c. Stock Numbers. Stock numbers are assigned to identify an item of material managed by a respective SYSCOM. National

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Stock Numbers (NSNs) are 13-digit numbers assigned by the Defense Logistics Information Service to identify an item of material in the supply distribution system of the United States. National Stock Numbers are required for all items of supply that are centrally managed or procured for system stock. Temporary stock numbers (Navy Item Control Numbers (NICN)) are also used in TOAs in lieu of an NSN for non-standard or non-stocked items. Further information on NSN and NICN management can be found in reference (g). EXMIS is not directly interfaced with the Federal Logistics Information System, therefore, the SYSCOM is responsible for entering all stock numbers required for assemblies into the TOA dataset. As with the assembly data record, there is a data element for each stock number to designate the responsible SYSCOM or Program Office. Usually, the responsibility for stock number maintenance will be indicated by the appropriate Navy cognizance code (see reference (g)). SYSCOMs are responsible for maintenance of the stock number record in the EXMIS database including cage and part number information for NICNs.

d. Substitutes and Replacements. The SYSCOM may need to replace a stock number in an existing assembly with another as part of normal lifecycle support, either through technical refresh or simply due to obsolescence. The SYSCOM shall consider the range and depth of application of the affected stock number across all TOAs before assigning a substitute as, depending on the change notice code, there may be a significant impact on SYSCOM fielding strategies and funding requirements. The SYSCOMs are responsible for updating substitute and replacement data in the TOA dataset. In the event the prime stock number in an active assembly is superseded or replaced, the SYSCOM will process a SYSCOM-initiated ACR per paragraph 8d. All non-ACR substitutes will be reviewed by NEPO on a weekly basis for TOA impact. Significant impact across TOAs may require additional approval by the warfare sponsor if a potential change to TOA value exceeds the \$250,000 threshold authorized in reference (a).

e. Other Database Changes. NEPO will actively review changes to the TOA dataset to ensure compliance with applicable directives. Conformance with reference (a) limits on technical refresh and TOA changes requiring OPNAV approval will be

reported monthly. Changes not addressed in previous paragraphs that may have a cost increase in excess of \$250,000 across all TOAs shall be coordinated through the ACR process.

10. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.


K. L. GREGORY

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Listing of Definitions and Acronyms

Activity Manpower Document (AMD): The qualitative and quantitative expression of manpower requirement (military, civilian, and contractor) and authorizations (military) allocated to a naval activity. The AMD is the authority used by PERS and the applicable Personnel Distribution Office to provide requisite military personnel distribution and Navy Reserve recall. It is the single official statement of organizational manning and manpower authorizations (BA).

Advanced Base Functional Component View (ABFCView): A web site accessed by the expeditionary force to view the listing of OPNAV-approved TOAs and multipliers, approved allowances, and the ACR form and instructions.

Allowance Change Request (ACR): A process to effect a variety of changes to the TOA that are broadly characterized as capacity or technical in nature.

Analysis of Alternatives (AoA): A form of materiel solutions analysis carried out by the SYSCOMs to produce one or more equipment recommendations to fill an OPNAV-approved capability gap.

Approved Acquisition Objective (AAO): The Warfare Sponsor-approved capability requirement eligible for funding and inclusion in the Table of Allowance (TOA).

Assemblies: One or more stock numbered items organized in a group or facility to provide a specific capability.

Capability: The ability to execute a specified course of action.

Capability Set: Complete products (e.g., facilities or groups) intended to meet operational requirements as standalone equipment. For example, troop housing tents are being replaced by standard tent camp facilities comprised of shelters, cots, environmental control, lighting, power generation, etc.

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Communications Requirement Analysis (CRA): A study conducted on a unit's operational communication requirements providing justification for proposed quantities and types of communications equipment needed to perform the unit's mission.

Concept of Operations (CONOPS): A verbal or graphic statement clearly and concisely expressing what the force commander intends to accomplish and how it will be done using available resources. The concept is designed to give an overall picture of the operation. Also called commander's concept or CONOPS.

Doctrine, organization, training, materiel, leadership and education, personnel, facilities, policy (DOTMLPF-P): A form of solutions analysis carried out by the Warfare Sponsor to determine if a materiel solution is required or if some non-materiel course of action is appropriate to fill an OPNAV-approved capability gap.

Expeditionary Management Information System (EXMIS): The official repository for OPNAV-approved TOAs and the Accountable Property System of Record (APSR) for NAVFAC-managed expeditionary equipment.

Facilities: Pre-engineered collections of assemblies designed to provide specific capability sets.

Groups: Collections of similarly purposed assemblies intended to provide specific capabilities.

Initial Planning Conference (IPC): A step in the TOA process to reaffirm the reason for the development of the TOA, foster discussion and to agree to a draft POA&M for the TOA's development.

Joint Capabilities Integration and Development System (JCIDS): A capabilities-based approach to requirements generation. The process supports Joint Requirements Oversight Council (JROC) and Chairman of the Joint Chiefs of Staff (CJCS) responsibilities in identifying, assessing, validating, and prioritizing joint military capability requirements.

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Key Performance Parameter (KPP): Performance attributes of a system considered critical to the development of an effective military capability.

Key System Attribute (KSA): Attributes or characteristics considered essential to achieving a balanced solution/approach to a system, but not critical enough to be designated a KPP.

Major End Item (MEI): A single TOA item or collections of TOA items providing similar capabilities, and whose cost exceeds \$250,000 across all TOAs.

National Stock Number (NSN): A NSN is simply the official label applied to an item of supply that is repeatedly procured, stocked, stored, issued, and used throughout the federal supply system. It is a unique item identifying series of numbers. When a NSN is assigned to an item of supply, data is assembled to describe the item. Some data elements include information such as an item name, manufacturer's part number, unit price, and physical and performance characteristics. NSNs are an essential part of the military's logistics supply chain used in managing, moving, storing, and disposing of material.

NAVFAC Expeditionary Programs Office (NEPO): A NAVFAC HQ-based program office assigned the responsibility of managing the TOA process and expeditionary SYSCOM role.

Navy Item Control Numbers (NICN): Items of material not included in the federal catalog system but stocked or monitored in the Navy supply system are identified by NICNs. NICNs are 13-character item identification numbers used for permanent or temporary control of selected non-NSN items.

Navy Mission Essential Task Lists (NMETLs): Functional groupings of tasks to be completed under certain conditions and to certain standards in support of a unit's mission.

Operational Requirement: A requirement (materiel or non-materiel) needed to complete a mission at the deployable unit of action. Rear echelon and/or homeport support do not constitute operational requirements.

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Plan of Action and Milestones (POA&M): A tool that identifies tasks to be accomplished. It details resources required to accomplish the elements of the plan, any milestones in meeting the task, and scheduled completion dates for the milestones.

Required Operational Capabilities / Projected Operational Environment (ROC/POE): A listing of Warfare Mission Areas (WMAs) for which the unit is responsible, and a listing of physical and operational environments in which the WMAs will be supported.

Systems Command (SYSCOM): Navy and Military Sealift Command technical authorities for materiel solutions and/or their funding.

Table of Allowance (TOA): A complete listing of CNO-approved equipment, material and systems authorized as allowance for a specific established unit. The TOA is a standardized listing used to establish and maintain all required equipment, material and systems to support the unit's mission. The TOA is listed by functional sections and respective group codes. These sections will remain common for all ABFCs/TOAs. The TOA will only list material, equipment and systems in support of a unit's operational requirements.

TOA Ownership Cost (TOC): A financial estimate intended to help the warfare sponsor determine the direct and indirect costs of the TOA's materiel solutions.

Type Commander (TYCOM): A Navy organization responsible for force integration of materiel solutions, training and overall readiness of deployable forces under its purview.

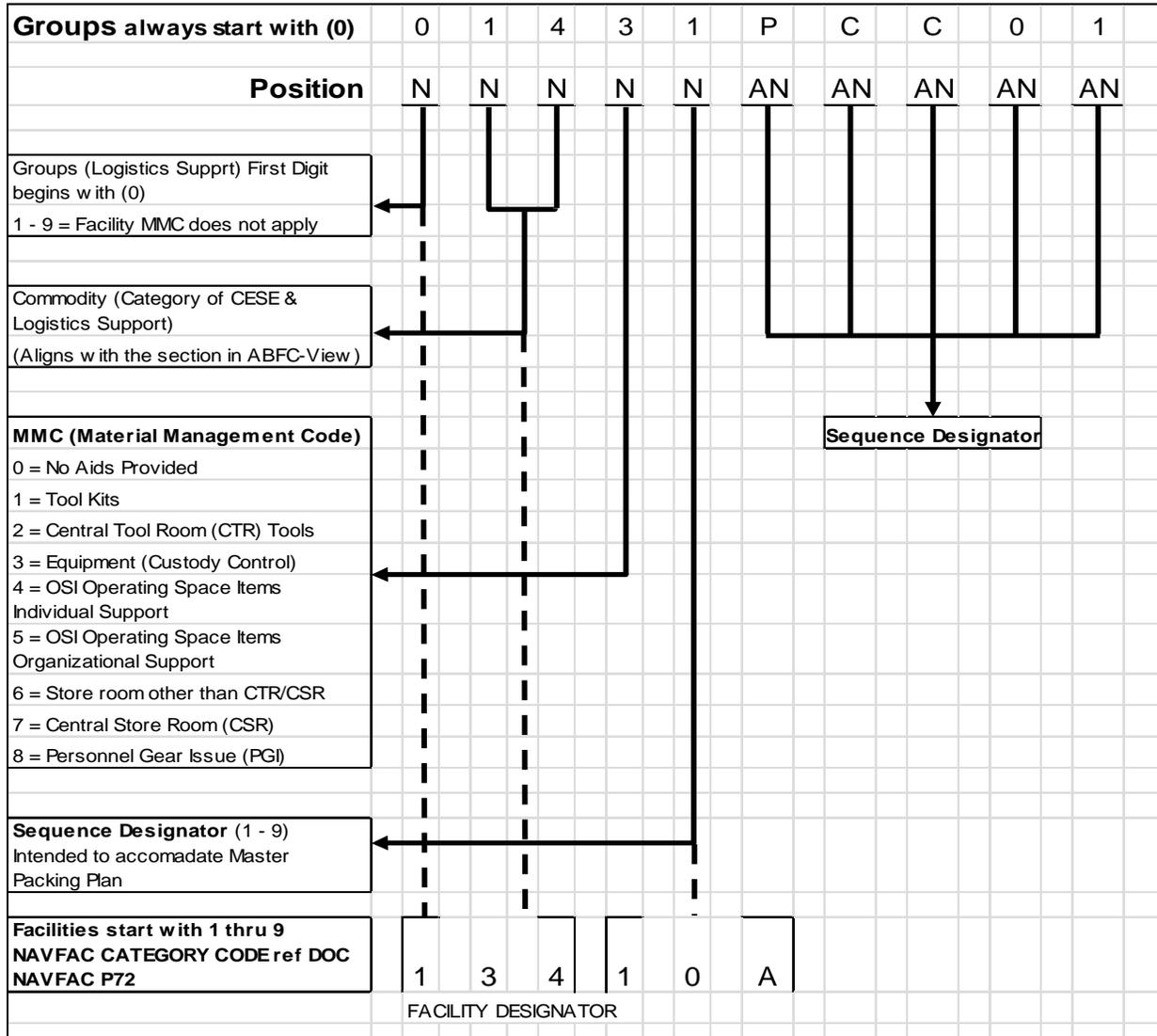
Type Unit Characteristics (TUCHA) Data File: An electronic data file that provides standard planning information and movement characteristics for personnel, cargo and accompanying supplies associated with deployment type units of fixed composition. The file contains the weight and volume of selected cargo, categories and physical characteristics of the cargo, and the number of personnel requiring non-organic transportation.

Warfare Sponsor: The OPNAV representative responsible for ensuring operational requirements are being met by currently

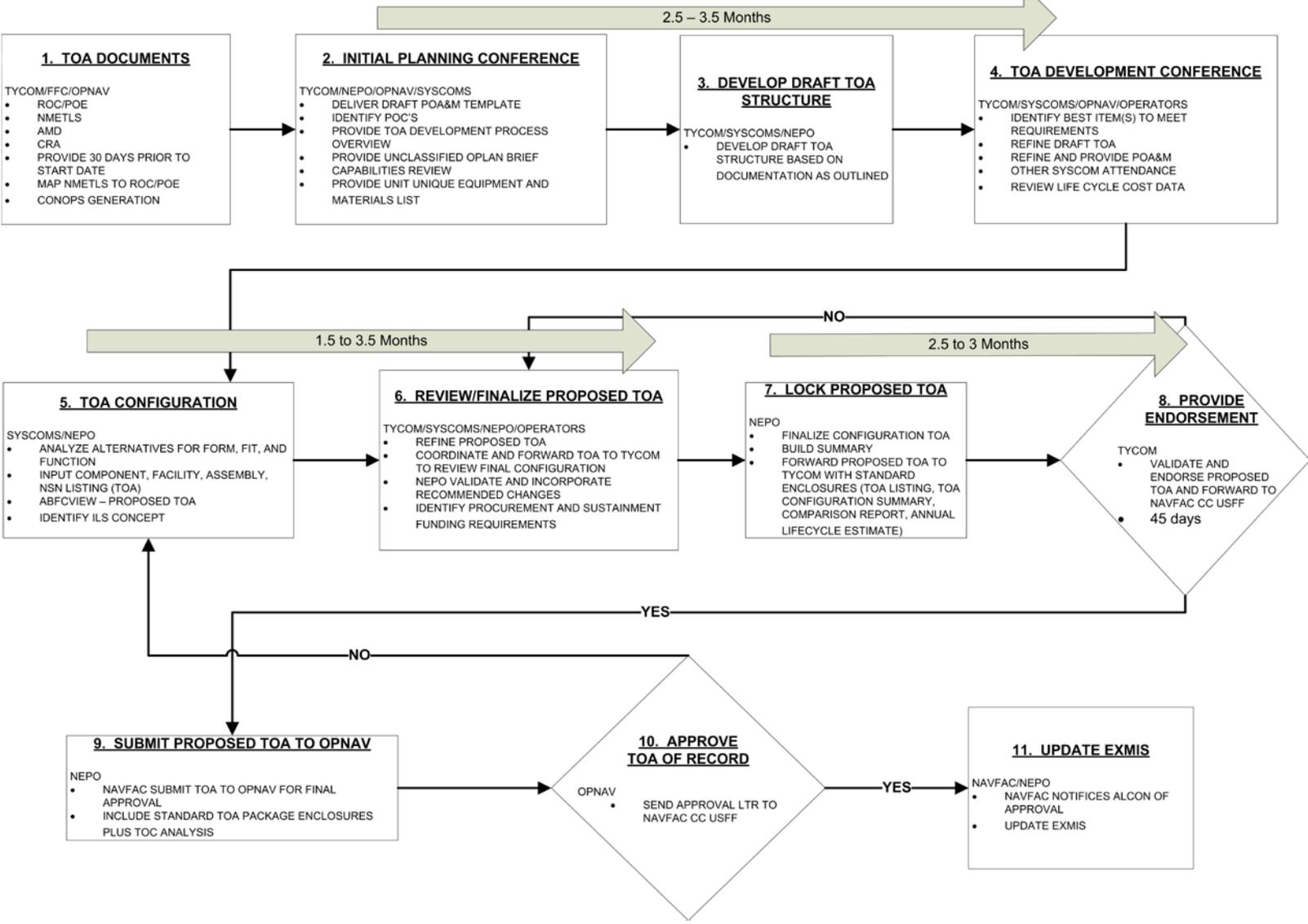
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fielded materiel solutions, through future programs of record, or through non-materiel courses of action as determined by DOTMLPF-P analysis. The Sponsor also has responsibility for materiel solution procurement or acquisition costs.

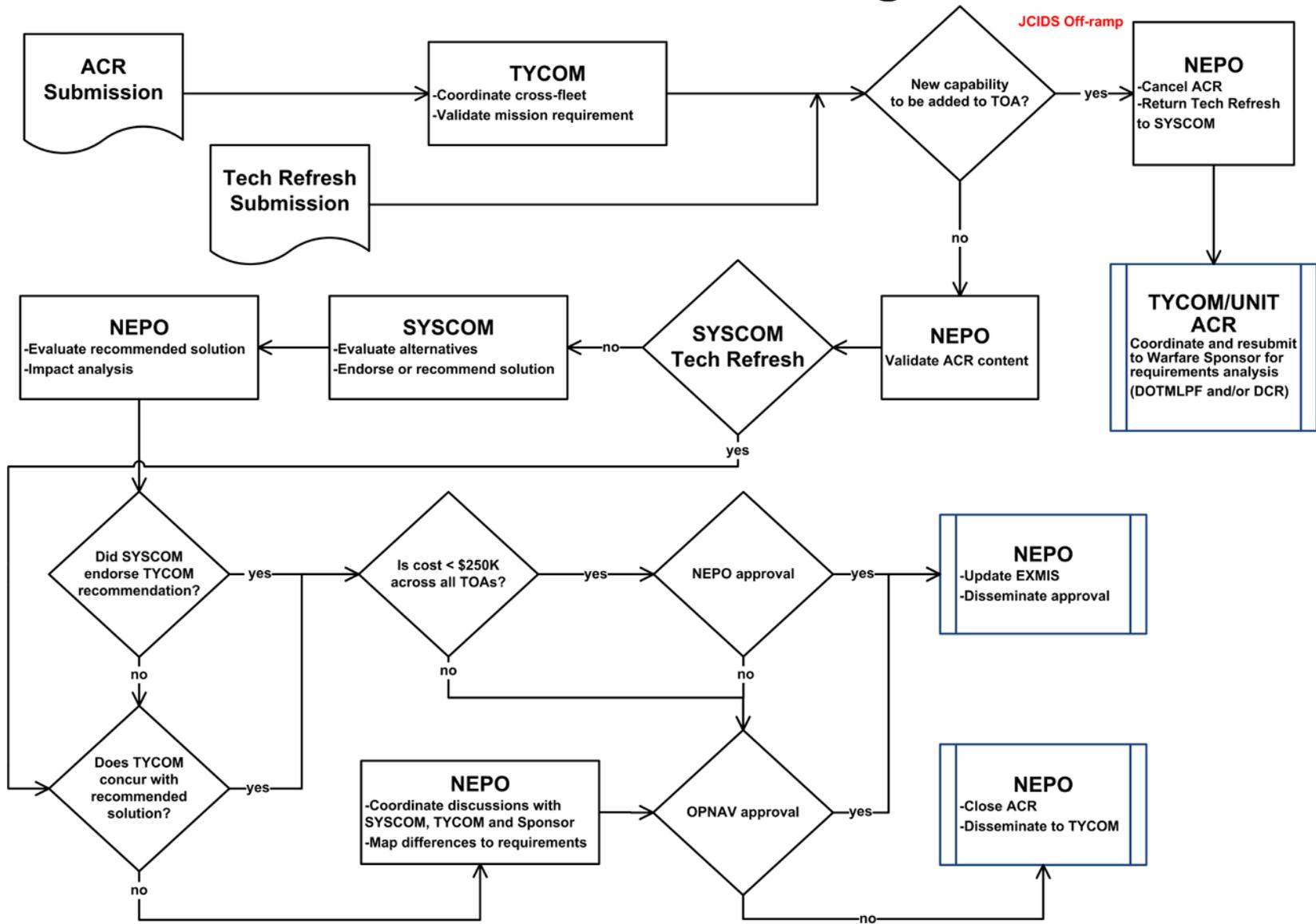
Facility/Group Numbering Convention



TOA Development/Review Flow Chart (TOA of Records)



ACR Process Flow Diagram



JCIDS Off-ramp

Enclosure (4)

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ALLOWANCE CHANGE REQUEST <i>(Read Instructions before completing this form)</i>		1. DATE OF REQUEST (YYYYMMDD)	2. TYCOM SERIAL NO. (Optional)	
3. FROM (Unit, TYCOM or SYSCOM)		4. TO (TYCOM (if from Unit) or NAVFAC (if from TYCOM or SYSCOM))		
5. SUBJECT				
6. REQUIREMENT (What specifically is being requested)				
7. JUSTIFICATION (Map to Required Operational Capability or existing solution in Table of Allowance)				
8. PROPOSED MATERIEL SOLUTION (NSN or cage code, part number and description)				
9. TOAs IMPACTED				
10. QUANTITY PER TOA				
11. UNIT COST			12. EXTENDED COST	
13. ACR POINT OF CONTACT				
a. NAME	b. OFFICE CODE	c. TELEPHONE NO.	d. EMAIL ADDRESS	
14. TYCOM ENDORSEMENT				
a. TYPED NAME	b. DATE SIGNED (YYYYMMDD)	c. SIGNATURE		

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ALLOWANCE CHANGE REQUEST <i>(Read Instructions before completing this form)</i>	15. DATE SENT TO SYSCOM (YYYYMMDD)	16. NAVFAC SERIAL NO.
17. RECOMMENDED MATERIEL SOLUTION (To be filled out by SYSCOM)		
a. SYSCOM (To be filled out by NAVFAC)	b. PROGRAM OFFICE	
c. ALTERNATIVE MATERIEL SOLUTION ANALYSIS		
(1) ALTERNATIVES IN OTHER TOAs		
(2) ALTERNATIVES IN OTHER SERVICES		
(3) ALTERNATIVES AVAILABLE COMMERCIALY		
d. IDENTIFICATION OF RECOMMENDED MATERIEL SOLUTION AND/OR KPPs / KSAs		
(1) RECOMMENDATION		
(2) RATIONALE		
(3) RISK		

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ALLOWANCE CHANGE REQUEST <i>(Read Instructions before completing this form)</i>		16. NAVFAC SERIAL NO.	
17. RECOMMENDED MATERIEL SOLUTION (Continued)			
e. PRODUCT SUPPORT ANALYSIS			
f. TOA OWNERSHIP COST ANALYSIS (Costs are for the total quantity of items unless otherwise indicated)			
(1) LIFE CYCLE (years)	(2) TOTAL QTY ACROSS ALL TOAs	(3) RESEARCH & DEVELOPMENT COSTS	
(4) INVESTMENT COSTS			
(a) PROCUREMENT COST/UNIT	(b) TOTAL PROCUREMENT COST	(c) OTHER INVESTMENT COSTS	
	\$ 0		
(5) ANNUAL OPERATING & SUPPORT COSTS	(6) DISPOSAL COSTS	(7) TOTAL	
		\$ 0	
g. SYSCOM POINT OF CONTACT			
(1) NAME	(2) OFFICE CODE	(3) TELEPHONE NO.	(4) EMAIL ADDRESS
h. SYSCOM ENDORSEMENT			
(1) TYPED NAME	(2) DATE SIGNED (YYYYMMDD)	(3) SIGNATURE	

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ALLOWANCE CHANGE REQUEST <i>(Read Instructions before completing this form)</i>		16. NAVFAC SERIAL NO.	
18. NAVFAC REVIEW			
a. ENDORSE RECOMMENDED SOLUTION? <input type="checkbox"/> YES <input type="checkbox"/> NO			
b. COMMENTS			
c. NAVFAC POINT OF CONTACT			
(1) NAME	(2) OFFICE CODE	(3) TELEPHONE NO.	(4) EMAIL ADDRESS
d. NAVFAC ENDORSEMENT			
(1) TYPED NAME	(2) DATE SIGNED (YYYYMMDD)	(3) SIGNATURE	

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ALLOWANCE CHANGE REQUEST <i>(Read Instructions before completing this form)</i>	19. DATE SENT TO TYCOM (YYYYMMDD)	16. NAVFAC SERIAL NO.
20. TYCOM REVIEW <i>(As required. TYCOM comments must be returned to NAVFAC within 30 calendar days or concurrence is assumed)</i>		
a. CONCUR WITH ENDORSED SOLUTION? <input type="checkbox"/> YES <input type="checkbox"/> NO		
b. COMMENTS		
c. TYCOM ENDORSEMENT		
(1) TYPED NAME	(2) DATE SIGNED (YYYYMMDD)	(3) SIGNATURE

ALLOWANCE CHANGE REQUEST <i>(Read Instructions before completing this form)</i>		21. DATE SENT TO OPNAV (YYYYMMDD)	16. NAVFAC SERIAL NO.
22. OPNAV APPROVAL			
a. STAFF REVIEW (As required)			
(1) ASSIGNED TO		(2) RECOMMENDATION <input type="checkbox"/> APPROVE <input type="checkbox"/> DISAPPROVE <input type="checkbox"/> OTHER (see Comments)	
(3) COMMENTS			
(4) TYPED NAME (Recommending Official)	(5) DATE SIGNED (YYYYMMDD)	(6) SIGNATURE	
b. WARFARE SPONSOR REVIEW			
(1) ASSIGNED TO		(2) DECISION <input type="checkbox"/> APPROVE <input type="checkbox"/> DISAPPROVE <input type="checkbox"/> OTHER (see Comments)	
(3) COMMENTS			
(4) TYPED NAME (Approving Official)	(5) DATE SIGNED (YYYYMMDD)	(6) SIGNATURE	

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NAVFAC 4423/1 Allowance Change Request (ACR) Instructions	
BLOCK	INSTRUCTIONS
1	Enter date ACR initiated
2	Optionally assign an internal tracking number
3	Enter name of requesting command
4	If ACR is initiated by an operating unit, enter name of appropriate Type Commander (TYCOM). If ACR is initiated by a TYCOM or Systems Command (SYSCOM), enter "NAVFAC (NEPO)".
5	Enter descriptive title for ACR
6	Provide a narrative description of what is being requested, e.g., a capacity or technical change, a correction to an existing assembly or a proposed technical refresh. Do not list a proposed materiel solution here. If possible, list three to five Key Performance Parameters (KPPs) and/or three to five Key System Attributes (KSAs) of the capability required.
7	Provide a narrative description to justify the change, e.g., quantity increase or decrease due to a revision in the ROC/POE or a change in manning as reflect in the AMD; replacement required due to obsolescence, supply availability or technology refresh; etc. Identify the existing solution(s) in the TOA and provide a basic mapping of the requested capability to the required operational capabilities by mission area in the applicable ROC and POE. Additionally, the requested capability can be mapped back to a vignette or other articulated requirement from the respective CONOPs.
8	Optionally list proposed materiel solution(s) including the NSN, cage code and part number
9	List each TOA affected by the ACR
10	List the quantity of the proposed materiel solution per affected TOA
11	Enter the estimated procurement cost per unit of issue of the proposed materiel solution
12	Calculate "extended cost" of the proposed materiel solution = unit cost x total quantity across all TOAs
13	Enter the requesting unit's point of contact for this ACR
14	TYCOM signature on page 1 reflects approval of the request
END PAGE 1	
15	NAVFAC (NEPO) enters the date the ACR package is forwarded to the appropriate SYSCOM
16	NAVFAC (NEPO) assigns a unique tracking number
17a	NAVFAC (NEPO) enters the appropriate SYSCOM for the proposed materiel solution(s)
17b	Enter the appropriate program office for the proposed materiel solution(s)
17c	Identify potential materiel solutions to satisfy the requirement. Commonality is a priority, especially with regards to solutions that already exist within another TOA (most preferred) or another Service (preferred); however, commonality is not the sole criteria for recommending a materiel solution as cost, product support considerations and overall functionality must also be considered. Blocks (1) to (3) are not mutually exclusive, i.e., it may be appropriate to fill in more than one block.
17d(1)	Identify a recommended materiel solution from Block 17c and enter three to five KPPs and KSAs so a comparison can be made with the capabilities requested in Block 6. If a solution does not exist to satisfy the requirement, state so and provide recommended KPPs and KSAs.
17d(2)	Enter a brief narrative of why the recommended materiel solution delivers the optimum capability against the requirement
17d(3)	Enter risks associated with fielding the recommended materiel solution, e.g., personnel safety or training concerns, operational shortfalls associated with commercial solutions, etc.
END PAGE 2	

NAVFAC 4423/1 Allowance Change Request (ACR) Instructions	
BLOCK	INSTRUCTIONS
17e	Address product support considerations for the recommended materiel solution. Include costs to either develop or modify existing product support. Address training requirements or risks to personnel safety associated with the operation of the recommended materiel solution.
17f	Refer to Chapter 3 of the Defense Acquisition Guidebook for definitions of listed costs
17f(1)	Enter estimated lifespan, if not previously defined, for the recommended materiel solution
17f(2)	Enter the total quantity of the recommended materiel solution across all TOAs
17f(3)	If applicable, enter research and development costs for the recommended materiel solution
17f(4)(a)	Enter the estimated procurement cost per unit of issue of the recommended materiel solution
17f(4)(b)	Calculated field = "procurement cost/unit" x "total quantity across all TOAs"
17f(4)(c)	If applicable, enter any other required investment costs not including procurement cost
17f(5)	Estimate annual operating and support costs for total quantity across all TOAs
17f(6)	Estimate disposal costs for total quantity across all TOAs
17f(7)	Calculated field = "R&D costs" + "total procurement cost" + "other investment costs" + "annual O&S costs" x "life cycle" + "disposal costs"
17g	Enter the SYSCOM's point of contact for this ACR
17h	SYSCOM signature on page 3 reflects completion of recommended materiel solution analysis
END PAGE 3	
18a-b	Enter whether recommended materiel solution and accompanying analysis is endorsed, the rationale for the decision, and any other information relevant for subsequent review. This endorsement signifies NAVFAC has executed its TOA responsibilities in accordance with OPNAVINST 4040.39C, e.g., by ensuring requirements are traceable to source documents, commonality and interoperability were considered, and life cycle costs were assessed.
18c	Enter NAVFAC (NEPO)'s point of contact for this ACR
18d	NAVFAC (NEPO) signature on page 4 reflects ACR is ready for TYCOM/OPNAV review
END PAGE 4	
19	NAVFAC (NEPO) enters date ACR is forwarded to the TYCOM for concurrence/non-concurrence
20a-b	Enter whether TYCOM concurs with endorsed materiel solution, the rationale for the decision, and any other information relevant for OPNAV review
20c	TYCOM signature on page 5 reflects ACR is ready for OPNAV review
END PAGE 5	
21	NAVFAC (NEPO) enters date ACR is forwarded to OPNAV for review
22a(1)	Enter OPNAV code for staff review prior to Warfare Sponsor review (if required)
22a(2-3)	Enter a recommendation, the rationale for the decision, and any other information relevant for final Warfare Sponsor review
22a(4-6)	Staff signature reflects ACR is ready for Warfare Sponsor review
22b(1)	Enter OPNAV code of the Warfare Sponsor
22b(2-3)	Enter a decision, the rationale for the decision, and any other information relevant for the requesting unit, TYCOM, SYSCOM and/or NAVFAC (NEPO) to take action based on the decision
22b(4-6)	OPNAV signature on page 6 reflects final decision on the ACR
END PAGE 6 / FORM	