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IN REPLY REFER TO  
OPNAVINST 4040.39B  
N412D  
23 August 1996

OPNAV INSTRUCTION 4040.39B

From: Chief of Naval Operations

Subj: NAVY ADVANCED BASE FUNCTIONAL COMPONENTS (ABFC)  
PLANNING AND PROGRAMMING SYSTEM

Ref: (a) Naval Doctrine Publication 4, Naval Logistics (NOTAL)  
(b) OPNAV 41P3 Table of Advanced Base Functional  
Components (NOTAL)  
(c) OPNAVINST S3061.1D (NOTAL)  
(d) OPNAVINST 4080.11C (NOTAL)  
(e) DOD Directive 3110.6 of 25 Apr 94 (NOTAL)  
(f) SECNAVINST 4040.31 (NOTAL)  
(g) SECNAVINST 5400.15H (NOTAL)  
(h) NAVFAC P-437, Advanced Base Functional Components  
Facility Planning Guide (NOTAL)  
(i) JCS Pub 1-03.29 (NOTAL)  
(j) OPNAVINST 1000.16H (NOTAL)

Encl: (1) ABFC Planning and Programming System Responsibilities  
and Procedures

1. Purpose. To provide policy, assign responsibilities and define procedures concerning the Advanced Base Functional Component (ABFC) planning and programming system. This instruction has been substantially revised and should be reviewed in its entirety.

2. Cancellation. OPNAVINST 4040.39A.

3. Scope. This instruction pertains to the process of:

a. Determining the number of ABFCs needed to meet fleet contingency requirements;



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- b. Establishing, updating, and disestablishing ABFCs;
- c. Programming, budgeting, and acquiring personnel end strength, material and equipment, including War Reserve Material, for ABFCs;
- d. Specifying ABFC manpower and training requirements as required.

4. Policy. As established in reference (a), ABFCs will be used to provide expeditionary logistics support beyond the capability of Navy Component Commander organic resources or host nation support. ABFC requirements will be satisfied using the planning and programming procedures contained in enclosure (1) and references (b) through (j).

5. Discussion

a. Overview

(1) ABFCs are pre-planned modular units that provide a variety of functional capabilities to extend, as required, the logistics infrastructure that supports naval expeditionary operations. Each ABFC functional design is comprised of a standardized grouping of active duty and/or reserve personnel, facilities, equipment and material, or any combination thereof, designed to perform a specific function or accomplish a mission of an advanced support base.

(2) ABFCs can augment existing advanced support bases or provide new capabilities via the establishment of Advanced Logistics Support Sites (ALSS) or Forward Logistics Sites (FLS). Reference (b) contains a list and description of all ABFCs.

(3) Defense Planning Guidance prescribes relatively short warning times for responding to contingency and crisis response scenarios. Accordingly, ABFCs must be organized, trained and equipped at all times, capable of responding promptly to tasking from the National Command Authority.

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- (4) Definitions of terms used in discussing ABFCs are included as appendix A to enclosure (1).

b. ABFC Planning and Programming System

(1) The ABFC planning and programming system is a mechanism to facilitate establishment of expeditionary logistics support elements by standardizing the design for basic groupings of equipment, material, personnel and facilities. ABFCs can then be aggregated/tailored by Navy Component Commanders to match specific ALSS/FLS requirements during both deliberate and contingency operation planning

(2) The Deputy Chief of Naval Operations (DCNO) for Logistics (N4)/Director, Supply Programs and Policy Division (N41) initiates the system by tasking Navy Component Commanders to identify and validate ABFC requirements for their respective operation plans (OPLANS). DCNO (N4/N41) then analyzes the validated ABFC requirements and develops programming requirements and other assessment criteria in conjunction with applicable Office of the Chief of Naval Operations (OPNAV) resource sponsors. ABFC systems commands execute funding support and coordinate development and maintenance of the technical designs that specify mission capability, material, facility, personnel ends strength and training required to satisfy their respective validated ABFC requirements.

(3) Navy Component Commanders include their ABFC requirements in joint operations planning through the Joint Operation Planning and Execution System (JOPES) process described in reference (c). Reference (d) provides general mobilization planning guidance, including procedures for requesting ABFC release in crisis response situations. References (e) and (f) describe and delineate policy for the War Reserve Material program that provides much of the material and equipment to support ABFC requirements.

6. Action. Addressees will carry out the responsibilities and implement the procedures contained in enclosure (1). Subordinate implementing directives are not required.

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7. Reports. The following reports are contained as appendices (c) and (d) to enclosure (1) and are approved for 3 years from the date of this instruction:

a. Symbol OPNAV 4040-5, Advance Base Functional Component (ABFC) Assessment; and

b. Symbol OPNAV 4040-6, ABFC Requirement Validation.



D. E. HICKMAN  
By direction

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ABFC PLANNING AND PROGRAMMING SYSTEM  
RESPONSIBILITIES AND PROCEDURES

1. Navy Component Commanders

a. Responsibilities

(1) Identify ABFCs required to support Navy and Marine Corps forces tasked to execute operations plans (OPLANs) and contingency plans (CONPLANs).

(2) Ensure ABFC requirements are incorporated into OPLANs and Time Phased Force Deployment Documents (TPFDDs).

(3) Coordinate with ABFC systems commands and Commander, Naval Reserve Force to develop and implement pre-mobilization training and training equipment requirements to support reserve ABFC deployment.

b. Procedures

(1) Validate ABFC requirements in conjunction with the Joint Chiefs of Staff (JCS) Joint Strategic Capabilities Plan (JSCP) review. Coordinate Marine Corps requirements with respective Marine Forces (MARFOR) Commanders.

(2) Provide OPNAV (N41) with validation results following approval of a new JSCP or significant change to the JSCP. Validation reporting dates will be specified by OPNAV (N41), as required, but will not be less frequent than biennially. Validation will include:

(a) A list of ABFCs required for OPLAN execution.

(b) A list of ABFC requirements unique to CONPLANs (required for CONPLANs but not for OPLANs).

(c) A prioritized list of the top 10 ABFC requirements.

(d) Comments regarding the adequacy of ABFC design and recommendations for changes to ABFCs.

Enclosure (1)

(d) Comments regarding the adequacy of ABFC design and recommendations for changes to ABFCs.

(e) Proposals for new ABFCs, as required, using the format and procedures provided in appendix B.

(3) Submit updated ABFC requirements to OPNAV (N41) if ABFC requirements change significantly between scheduled ABFC validations.

(4) Coordinate with ABFC systems commands to ensure that any tailoring of ABFCs is accurately reflected in acquisition plans and Type Unit Characteristics (TUCHA) data base maintenance.

(5) Include ABFCs in exercise planning and execution in order to support pre-mobilization training requirements and evaluate ABFC designs.

2. Deputy Chief of Naval Operations, Logistics (N4)/Director, Supply Programs and Policy Division (N41)

a. Responsibilities. Oversee all aspects of the ABFC program by serving as facilitator between Navy Component Commanders, OPNAV resource sponsors and ABFC systems commands.

b. Procedures

(1) Review and consolidate Navy Component Commanders' validated ABFC requirements based on Defense Planning Guidance as well as pertinent Department of Defense, Joint Chiefs of Staff, and Department of the Navy policies regarding planning, programming and recall.

(2) Upon completion of the review discussed above, forward consolidated ABFC requirements, including Navy Component Command recommendations for new or modified ABFCs, to ABFC systems commands for review, update or design, as appropriate.

(a) Provide tasking and guidance to ABFC systems commands for the development of new ABFCs.

(b) Act as program/assessment sponsor in the planning, programming and budgeting process.

(c) Coordinate with OPNAV resource sponsors and Navy Component Commanders to obtain approval of new ABFC proposals and prioritize the development of new ABFCs.

(d) Coordinate with OPNAV resource sponsors to obtain approval of additions and deletions to existing ABFCs as well as major ABFC design changes.

(3) Coordinate the biennial update of reference (b) with Naval Facilities Engineering Command/Civil Engineering Support Office upon receipt of updated ABFC designs from ABFC systems commands.

(4) Maintain status of ABFC availability. Provide annual report to Navy Component Commanders listing ABFCs and their probable availability. This report will serve as the data base for ABFC support of crisis actions, deliberate planning, exercises, and requirements validations as described in paragraph 1b.

(5) Coordinate with DCNO, Plans, Policy, and Operations (N3/N5) to ensure the apportionment of ABFCs to Navy Component Commanders contained in reference (d) agrees with OPLAN-based ABFC validations.

(6) Provide tasking and guidance for the development and promulgation of procedures for requisitioning, receiving, packaging, assembling and shipping War Reserve Material stock for ABFCs during crisis response or mobilization scenarios.

### 3. ABFC Systems Commands

a. Responsibilities. For each validated ABFC:

(1) Develop and maintain ABFC designs that are compatible with operating forces. Ensure ABFC designs balance personnel requirements, equipment operational reliability and availability, cost, and simplicity of operation and maintenance. Technological



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sophistication shall not be considered for its own sake in the design of ABFCs.

(2) Establish and maintain a standardized Table of Allowances (TOA) listing requirements and sources for all equipment and material.

(3) Develop and maintain current TUCHA data.

(4) Acquire validated ABFC equipment and material requirements following funding guidelines established by OPNAV resource sponsors during the programming of the Program Objective Memorandum (POM) process.

(5) Coordinate with Navy Component Commanders, OPNAV resource sponsors and Commander, Naval Reserve Force (COMNAVRESFOR) to develop and implement pre-mobilization training and training equipment requirements to support reserve ABFC deployment.

b. Procedures

(1) Coordinate with Navy Component Commanders regarding ABFC design adequacy and/or recommendations for changes to ABFCs. Make recommendations to Navy Component Commanders, via OPNAV (N41), for development of new ABFCs using the format and procedures in appendix B.

(2) Coordinate with Naval Facilities Engineering Command/ Civil Engineering Support Office to develop and maintain designs for validated ABFC requirements.

(a) Establish and maintain standardized TOA listing all required equipment and material. Ensure that TOAs include 60-day part support in accordance with references (e) and (f). Coordinate requirements for centrally managed equipment with single material managers/lead systems commands in accordance with references (g) and (h).

(b) As required, determine personnel requirements, in coordination with DCNO, Manpower, Personnel and Training (N1).

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(c) Coordinate ABFC facility design in accordance with reference (i).

(d) Coordinate medical requirements with Chief, Bureau of Medicine and Surgery

(e) Develop and maintain up-to-date TUCHA data as required by reference (j). Submit TUCHA data to OPNAV (N312), Current Joint Operations Plans Branch via OPNAV (N423), Information Systems/Reserve Affairs Branch.

(f) Provide OPNAV (N41) with updates to reference (b), to reflect new ABFC requirements/changes to existing ABFC designs, as required.

(3) Coordinate with DCNO, Manpower, Personnel and Training (N1) and OPNAV resource sponsors to determine sources for ABFC billets, as required. For each ABFC to be staffed by Selected Reserves (SELRES), coordinate establishment and maintenance of SELRES units with COMNAVRESFOR. Ensure the name of the unit includes "ABFC."

(4) Coordinate with OPNAV resource sponsors, Navy Component Commanders and COMNAVRESFOR to develop and implement pre-mobilization training and training equipment requirements to support reserve ABFC deployment.

(5) Coordinate and report ABFC war reserve equipment/material requirements, procurement and inventory levels in accordance with references (e) and (f).

(6) Assess ABFC availability annually. Identify material, equipment and personnel shortfalls, categorizing each ABFC by probable availability. For each equipment/material shortfall, provide deficiency funding requirements to OPNAV (N41). Annual reporting dates will be specified by OPNAV (N41).

(7) With OPNAV (N41) approval, disestablish invalidated ABFCs.

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(8) Act as functional sponsor during Navy Manpower Mobilization System (NAMMOS) review for all ABFCs not included in other NAMMOS functional categories, following reference (k).

4. Naval Facilities Engineering Command/Civil Engineering Support Office

a. Responsibilities. Provide all ABFC Systems Commands with systems engineer design support for ABFC design, TOA and TUCHA responsibilities described in paragraph 3.

b. Procedures

(1) In coordination with ABFC Systems Commands, establish and maintain ABFC designs, TOA and TUCHA data for validated requirements designated by OPNAV (N41).

(2) Establish and maintain an automated requisitioning system for ABFC material and equipment.

5. OPNAV Resource Sponsors

a. Responsibilities. Provide funding, consistent with overall program priorities, to satisfy validated ABFC requirements.

b. Procedures

(1) Consider ABFC funding requirements during POM and Program Review development based on prioritization provided by OPNAV (N4/N41).

(2) Review and approve/disapprove validated proposals to develop new ABFCs following procedures outlined in appendix B.

(3) In coordination with Navy Component Commands, ABFC systems commands and COMNAVRESFOR, support development and implementation of pre-mobilization training and training equipment requirements.

DEFINITIONS

1. Advanced Support Base. Overseas areas or localities in or near the theater of operations from which logistics facilities are organized to conduct and support forward presence and crisis response naval operations.
2. Advanced Base Functional Component (ABFC). A grouping of active duty and/or reserve personnel, facilities, equipment and material designed to perform a specific function or accomplish a mission of an advanced support base.
3. Advanced Logistics Support Site (ALSS). The primary expeditionary logistics site supporting an operational area. Established at a secure location readily accessible to seaport and/or airfield facilities, an ALSS receives all strategic airlift and/or sealift coming into and out of the theater. Linked to Forward Logistics Sites (FLSs) by intra-theater airlift and sealift, an ALSS transships material and personnel destined for deployed units within a theater of operations. An ALSS must be capable of providing a full range of logistics support to deployed units operating in the area, including the requisite medical capability to accept battle casualties until they can be returned to duty or evacuated by national medical evacuation systems. ALSSs are established using ABFCs and host nation support.
4. ABFC Planning and Programming System. A process to identify, pre-plan and acquire shore-based logistics support requirements at advanced bases for support during a crisis or contingency.
5. Defense Planning Guidance (DPG). Document, based on the National Military Strategy, issued by the Secretary of Defense containing firm guidance in the form of goals, priorities and objectives, including fiscal constraints, for the development of the POMs by the military departments and Defense agencies.
6. ABFC Systems Commands. Commands which have technical and/or funding responsibility for ABFCs. They include the Navy systems

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commands and the Military Sealift Command. Reference (b) lists the respective ABFC systems command for each ABFC.

7. Forward Logistics Site (FLS). The most forward transshipment point in the operational area. Established at a site located near a port and/or airfield close to the main battle area, FLSs provide the bridge between an ALSS and operating units. Linked to an ALSS(s) by intra-theater airlift and sealift, FLSs receive and forward material and personnel to units operating in the

area. FLS capabilities range from very austere to near those of an ALSS, depending on operational requirement. FLSs are established using ABFCs and host nation support.

8. Joint Operation Planning and Execution System (JOPES). A standardized system used in the planning, support and execution of joint military operations. The JOPES III is used by the Joint Chiefs of Staff, Unified and Specified Commands, service components, service headquarters, and Transportation Component commands in preparing and evaluating Time Phased Force and Deployment Data (TPFDD) and in computing the related support and transportation requirements necessary to support each major plan.

9. Joint Strategic Capabilities Plan (JSCP). A Joint Staff plan which conveys strategic guidance, including apportionment of resources, to the Fleet Commander in Chiefs (CINCs) and the Chiefs of the Services, to accomplish assigned strategic tasks based on military capabilities existing at the beginning of the planning period. The JSCP offers a coherent framework for capabilities-based military advice to the NCA.

10. Marine Component Commander/Marine Force Commander. The Marine Corps component organized and assigned to a unified (combatant) command; a generic term for the Commander, Marine Forces Pacific (COMMARFORPAC), Commander, Marine Forces, Atlantic (COMMARFORLANT), Commander, Marine Forces, Central (COMMARFORCENT) and, when activated, Commander, Marine Forces Europe (COMMARFOREUR) and Commander, Marine Forces, Korea (COMMARFORKOREA).

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11. Navy Component Commander. The Navy component permanently organized and assigned to a unified (combatant) command; a generic term for the Commander in Chief, U. S. Pacific Fleet (CINCPACFLT), Commander in Chief, U. S. Atlantic Fleet (CINCLANTFLT), Commander in Chief, U. S. Naval Forces, Europe (CINCUSNAVEUR), and Commander, U. S. Naval Forces Central Command (COMUSNAVCENT).

12. Navy Manpower Mobilization System (NAMMOS). A planning system to determine, validate and document mobilization manpower requirements. NAMMOS employs a top-down system in which workload factors within given functional categories provide the basis to determine mobilization requirements for various scenarios.

13. Navy War Reserve Projects. Projects established by OPNAV (N41) that provide authorization for material to be acquired and/or set aside as WRMS and for manpower authorizations to be established in support of a crisis or contingency, including humanitarian relief.

14. Program Objective Memorandum (POM). The recommendations of the Service secretaries and heads of DoD agencies to the Secretary of Defense on the allocation of resources for proposed programs to achieve assigned missions and objectives.

15. Starter Stocks. War reserve material stocks pre-positioned in or near a theater of operations to last until resupply at wartime rates is established.

16. Swing Stocks. War reserve material stocks positioned ashore or afloat for meeting war reserve requirements of more than one contingency in more than one theater of operations.

17. Tailoring. Procedures by which Navy Component Commanders customize standard ABFC designs (material, equipment and/or personnel) to meet the requirements of a particular site. For example, pontoons might be deleted if pier facilities are available at a base for which the ABFC will be activated. Tailoring involves adding items, deleting items, or substituting items for those listed in Tables of Allowances (TOA).

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

19. War Reserve Material (WRM). Mission-essential secondary items, principal and end items, and munitions required to support a specific project or designated force attain the operational objectives in the scenarios authorized for sustainability planning in the Defense Planning Guidance. War reserve material inventories shall be sizes, managed and positioned to achieve the greatest practicable flexibility to respond to a spectrum of regional contingencies, while minimizing DoD investment in inventories. Once acquired, war reserve material inventories shall be positioned either as starter stocks or as swing stocks, or a combination.

20. War Reserve Material Requirement (WRMR). Material requirements for an ABFC become WRMR when the ABFC is specifically included in the NAVWARP.

21. War Reserve Material Stock (WRMS). Assets designated to fulfill the approved WRMR.

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## FORMAT AND PROCEDURES FOR PROPOSING AND DELETING ABFCs

1. Proposals for new ABFCs

a. Required data. The following data must be provided by the originator of a proposal to develop a new ABFC:

(1) Mission Statement. Describe, in terms of operational goals and objectives, the ABFC mission/functional concept of operations and what capability the ABFC must provide.

(2) Concept of Operation. Describe the principal taskings and how the ABFC is intended to be employed. Identify the types of units and/or major equipment the proposed ABFC will support. Particularly note the intensity of operations expected to be supported. Note also whether or not the ABFC is likely to be in a hostile environment. Identify the OPLAN(s) and mission(s) for which the proposed ABFC is intended.

(3) Planning Data. Provide estimates of:

(a) CINC's required date. The date, relative to the start of the operation, which the proposed ABFC will be required to be mission-capable in the theater of operations.

(b) Duration of operations. The period of time which the proposed ABFC will be required to provide support following deployment, considering all OPLAN scenarios in which the proposed ABFC is envisioned for use.

(c) Major Equipment/Material. Proposed major equipment/material requirements (nomenclature and quantity).

(d) Personnel. The unit personnel requirements showing quantity and quality of each billet.

(e) Facilities. The relevant major facilities and space prerequisites (shore area required) expected to be present at the base to which the ABFC would be deployed.

(f) Sustainability. What the proposed ABFC will need for support. This will consider on-site facilities or other ABFCs which are expected to be deployed to the same site.



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(f) Sustainability. What the proposed ABFC will need for support. This will consider on-site facilities or other ABFCs which are expected to be deployed to the same site.

(g) Supporting/Optional ABFC Material/Equipment Components. Other ABFCs/supporting units required for the proposed ABFC to perform its mission.

(h) Climate. General climatic conditions (e.g., Arctic, north temperate, tropical at the location of intended use).

(4) Cost. Estimated cost of developing proposed ABFC (provided by ABFC systems Command).

(5) Prioritization

(a) For proposals originated by a Navy Component Commander, the priority of need, relative to pre-existing ABFC priorities, and the number of proposed ABFCs required. Also, if the proposed ABFC would replace one or more other ABFCs, the ABFCs which could be replaced should be identified.

(b) For proposals originated by a ABFC systems command, OPNAV (N41) will coordinate Navy Component Commander prioritization upon submission for validation.

(6) Alternative Means of Ensuring Operational Capability. Indicate planned means to meet requirements for operational capabilities pending, or in lieu of, development of the proposed ABFC. Such means may include:

(a) Accomplishing the function through less convenient means, e.g., using operating forces personnel and equipment or tailoring some other ABFC.

(b) Circumventing the requirement for the function at an advanced base by providing the function out-of-theater. (If provided out-of-theater assess the effect on strategic airlift.)

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(c) Circumventing the requirement for the function by changing concepts of operation or the forces employed in operation plans.

(d) Using host nation support.

b. Intended Use of Information. The information described above will be used in evaluating whether or not to develop the ABFC. Such a decision is based upon:

(1) The envisioned priority of the ABFC relative to other ABFCs not yet funded. (If there is no foreseeable chance that the ABFC can be assembled in any scenario because of resource constraints, engineering effort to develop the ABFC will not be expended.)

(2) The utility of the ABFC as a tool in operational planning. (Other factors being equal, a proposed ABFC which can be used in many plans will be developed before an ABFC used infrequently in planning.)

(3) The effort needed for the requirements analysis and engineering to develop the ABFC fully. Consequently, the information on the proposed ABFC needs to be in only enough detail to permit a staff planning officer to answer approximately "what if" questions concerning use and to permit technical specialists to appreciate design problems enough to estimate the effort needed for development. Full definition of a required operational capability will be made after any necessary coordination with operation planners and technical specialists.

c. Forwarding of Proposals

(1) Proposals originated by Navy Component Commanders will be forwarded to OPNAV (N41) for coordination with appropriate resource and technical sponsors. Proposals originated by subordinate commanders, such as Marine Force (MARFOR) Commanders or Type Commanders, must be submitted via the respective Navy Component Commander.

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(a) OPNAV (N41) will submit proposals to respective Navy resource sponsor via appropriate ABFC systems commands. ABFC systems commands will include a general cost estimate in their endorsement comments.

(b) Navy resource sponsors will review proposals for approval and provide written responses to Navy Component Commanders, copy to OPNAV (N41). Disapprovals will address alternative means of ensuring operational capability.

(2) Proposals originated by ABFC systems commands will be forwarded to OPNAV (N41) for coordination with appropriate resource and technical sponsors. Proposals originated by subordinate commanders must be submitted via the appropriate ABFC systems command. ABFC systems commands will include a general cost estimate in their endorsement comments.

(a) OPNAV (N41) will submit proposals to Navy Component Commanders for validation, with copy to respective Navy resource sponsors. If no valid requirements are identified, OPNAV (N41) will disapprove the proposal.

(b) If Navy Component Commanders identify valid requirements, OPNAV (N41) will submit proposals to respective Navy resource sponsor.

(c) Navy resource sponsors will review proposals for approval and provide written responses to Navy Component Commanders, copy to OPNAV (N41). Disapprovals will address alternative means of ensuring operational capability.

2. Deletion of ABFCs. Upon completion of the biennial OPLAN-based ABFC validation, ABFCs that are no longer required will be considered candidates for deletion from the ABFC inventory. OPNAV (N41) will notify appropriate Navy resource sponsors, ABFC systems commands and Navy Component Commanders of the ABFC(s) scheduled for deletion.



