



# Department of Defense INSTRUCTION

NUMBER 4001.01

January 10, 2008

*Incorporating Change 1, November 15, 2011*

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USD(AT&L)

SUBJECT: Installation Support

- References:
- (a) DoD Directive 4001.1, "Installation Management," September 4, 1986 (hereby canceled)
  - (b) DoD Instruction 5025.01, "DoD Directives Program" October 27, 2007
  - (c) DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L))," December 9, 2005
  - (d) Joint Publication 1-02, "DoD Dictionary of Military and Associated Terms"
  - (e) through (n), see Enclosure 1

## 1. REISSUANCE AND PURPOSE

This Instruction:

- 1.1. Renames and reissues Reference (a) as a DoD Instruction in accordance with the guidance in Reference (b) and the authority in Reference (c).
- 1.2. Prescribes installation management policy to enhance DoD use of national infrastructure assets to effectively support the warfighter through the efficient delivery of installation support.
- 1.3. Establishes the Installations Capabilities Council (ICC).

## 2. APPLICABILITY

This Instruction applies to:

- 2.1. The Office of the Secretary of Defense (OSD), the Military Departments (including the Reserve Components), the Office of the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities and all other organizational entities of the Department of Defense (hereafter referred to collectively as the "DoD Components").

2.2. All DoD installations, excluding civil works projects.

### 3. DEFINITIONS

For the purpose of this Instruction, the following definitions apply.

3.1. Common Delivery of Installation Support (CDIS). The framework to provide for the optimum consolidation and consistent delivery of installation support at established DoD common output level standards.

3.2. Common Output Level Standards (COLS). Output or performance level standards established by the Department of Defense for installation support using a common framework of definitions, outputs, output performance metrics, and cost drivers for each installation support function. These standards provide a description of the capability associated with the particular installation support function. Where appropriate, standards will be tiered to provide options for managing risk.

3.3. Installation Support. Any of the five categories of services and support activities through which the Department of Defense engages in life-cycle management of its installations: Facilities, Services, Family Housing, Environment, and Base Realignment and Closure. Program element definitions for facilities, environment, and other installation support functions are maintained by the Deputy Under Secretary of Defense (Installations and Environment) and Director, ~~Program Analysis and Evaluation~~ of *Cost Assessment and Program Evaluation (DCAPE)*.

3.4. Installation Services Model (ISM). A tool that provides a prediction of program and budget requirements for Installation Services. ISM does not include those requirements already covered in the other cost models.

3.5. Facilities Sustainment Model (FSM). A tool that provides a prediction of program and budget requirements for facilities sustainment. FSM does not include those requirements already covered in the other cost models.

3.6. Facilities Modernization Model (FMM). A tool that provides a prediction of program and budget requirements for facilities modernization. FMM does not include those requirements already covered in the other cost models.

3.7. Facilities Operations Model (FOM). A tool that provides a prediction of program and budget requirements for facilities operations. FOM does not include those requirements already covered in the other cost models.

Other terms used in this Instruction are defined in Joint Publication 1-02 (Reference (d)) unless otherwise stated.

#### 4. POLICY

It is DoD policy to:

##### 4.1. Support and promote CDIS.

4.1.1. Provide acquisition, management, resourcing, and delivery of installation support to advance the overall mission of the Department of Defense. Installation support shall be governed to ensure DoD Components provide consistently high standards in support of the warfighting mission.

4.1.2. Deliver installation support using the best available business practices and operational risk management to efficiently and most effectively support DoD Components' missions and warfighting capabilities.

4.2. Develop COLS to include common definitions, performance standards, and performance metrics for all installation support functions to assist DoD Components in apportioning and managing limited resources.

4.3. Deliver installation support outside the United States consistent with U.S. Government policy, international law, and applicable agreements with host nations.

4.4. Develop and use COLS throughout the Department of Defense to more closely link warfighting requirements to installation support and to provide the basis for Interservice Support Agreements between DoD Components. COLS shall be reviewed and updated annually. Those installation support functions with minimal requirements shall be reviewed for modeling feasibility and addressed in the Program Element restructuring, if necessary.

4.5. Promote cost transparency and more consistent programming and budgetary decisions by aligning the Planning, Programming, Budgeting, and Execution process with COLS and, through the use of cost models, predict the resource requirements to deliver COLS.

4.6. Apply this Instruction without regard to distinctions between Active and Reserve Components. For State-owned and State-licensed properties, this Instruction applies only to federally supported funds and activities.

4.7. Ensure that Installation Commanding Officers retain the authority to adjust standards to meet the morale, local quality of life, and work environment needs. This applies to family quality of life needs as well.

4.8. As much as practical, align COLS with Installation Joint Mission Essential Tasks List (JMETL) and Defense Readiness Reporting System (DRRS), Reference (e), thereby connecting mission performance with installation support.

## 5. RESPONSIBILITIES

5.1. The Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) shall:

5.1.1. Establish overarching guidance and procedures, in coordination with appropriate OSD organizations, and provide oversight for implementation of this Instruction.

5.1.2. Oversee implementation of CDIS covering those program areas under the authority of USD(AT&L), in accordance with Reference (c), in coordination with appropriate OSD offices and DoD Components.

5.1.3. In coordination with appropriate OSD offices, ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, to support CDIS in those program areas under the authority of USD(AT&L), taking into consideration mission requirements.

5.1.4. Establish an ICC that shall:

5.1.4.1. Consist of a representative from each Military Department's Office of the Secretary, the Military Services; the Chairman of the Joint Chiefs of Staff; the Under Secretary of Defense for Personnel and Readiness (USD(P&R)); the Under Secretary of Defense (Comptroller)/Chief Financial Officer, DoD(USD(C)/CFO); the ~~Assistant Secretary of Defense for Networks and Information Integration~~/DoD Chief Information Officer (~~ASD(NII)~~/DoD CIO); the Assistant Secretary of Defense for Reserve Affairs; the Assistant Secretary of Defense for Public Affairs, the General Counsel of the Department of Defense, the ~~Director, Program Analysis and Evaluation (PA&E) DCAPE~~; the Defense Logistics Agency (DLA); the Department of Defense Education Activity (DoDEA); the TRICARE Management Activity (TMA); the Director, Administration and Management; and such other DoD organizations as USD(AT&L) may determine necessary.

5.1.4.2. Be chaired by the Deputy Under Secretary of Defense (Installations and Environment) acting under USD(AT&L).

5.1.4.3. Perform functions relating to installations under the purview of USD(AT&L).

5.1.4.4. Track implementation by and resolve disputes on installation support between DoD Components, if DoD Components seek resolution at the ICC.

5.1.5. Implement, to the maximum extent possible and taking into consideration mission requirements of the DoD Components, the consolidation of installation support at all military installations where multiple DoD Components might realize efficiencies and improve the effectiveness of this process through updated policies and guidance for Interservice Support Agreements.

5.1.6. Update policies, procedures, and pricing guidance governing interservice and intragovernmental support agreements to clarify and provide consistent reimbursement guidance, applying a fair-share cost basis, which facilitates the implementation of this Instruction.

5.1.7. Establish a governance process ensuring the equitable and consistent implementation of this Instruction by, and resolution of disputes between or among, DoD Components.

5.1.8. Develop, promulgate, and update the DoD cost models defined in paragraph 3 of this Instruction.

5.1.9. Conduct periodic budget and execution reviews of DoD Components' installation support programs.

5.1.10. Provide acquisition, management, resourcing, and delivery of installation support policy guidance to DoD Components.

5.2. The USD(P&R) shall:

5.2.1. Oversee implementation of CDIS covering those program areas under the authority of USD(P&R), in accordance with Reference (f), in coordination with appropriate OSD offices and DoD Components.

5.2.2. In coordination with USD(AT&L); USD(C)/CFO; and ~~Director, PA&EDCAPE~~, ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, to support CDIS in those program areas under the authority of USD(P&R), taking into consideration mission requirements.

5.2.3. Retain oversight and responsibility for all installation activities included under the authority of USD(P&R) in Reference (f).

5.2.4. Provide representation to the ICC.

5.3. The Under Secretary of Defense for Policy (USD(P)) shall:

5.3.1. In coordination with USD(AT&L), issue necessary procedures and provide oversight for compliance with implementation of this Instruction.

5.3.2. Oversee implementation of CDIS covering program areas under the authority of USD(P), in accordance with Reference (g), in coordination with appropriate OSD offices and DoD Components.

5.3.3. In coordination with USD(AT&L), USD(C)/CFO, and ~~Director, PA&EDCAPE~~, ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, to support CDIS in those program areas under the authority of USD(P), taking into consideration mission requirements.

5.4. The USD(C)/CFO shall:

5.4.1. Issue necessary financial management guidance and procedures as they pertain to CDIS.

5.4.2. Oversee implementation of CDIS for program areas under the authority of USD(C)/CFO, in accordance with Reference (h), in coordination with appropriate OSD offices and DoD Components.

5.4.3. In coordination with USD(AT&L) and ~~Director, PA&EDCAPE~~, ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, to support CDIS, taking into consideration mission requirements.

5.4.4. Provide representation to the ICC.

5.5. The Under Secretary of Defense for Intelligence (USD(I)) shall:

5.5.1. In coordination with USD(AT&L), issue necessary procedures and provide oversight for compliance with implementation of this Instruction.

5.5.2. Oversee implementation of CDIS for program areas under the authority of USD(I), in accordance with Reference (i), in coordination with appropriate OSD offices and DoD Components.

5.5.3. In coordination with USD(AT&L), USD(C)/CFO, and ~~Director, PA&EDCAPE~~, ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, to support CDIS in those program areas under the authority of USD(I), taking into consideration mission requirements.

5.6. The ~~ASD(NII)/DoD CIO~~ shall:

5.6.1. Oversee implementation of CDIS for program areas under the authority of ~~ASD(NII)/DoD CIO~~, in accordance with Reference (j), in coordination with appropriate OSD offices and DoD Components.

5.6.2. In coordination with USD(AT&L), USD(C)/CFO, and ~~Director, PA&EDCAPE~~, ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, to support CDIS in those program areas under the authority of ~~ASD(NII)/DoD CIO~~, taking into consideration mission requirements.

5.6.3. Provide representation to the ICC.

5.7. The Assistant Secretary of Defense for Public Affairs (ASD(PA)) shall:

5.7.1. Oversee implementation of CDIS for program areas under the authority of ASD(PA), in accordance with Reference (k), in coordination with appropriate OSD offices and DoD Components.

5.7.2. In coordination with USD(AT&L), USD(C)/CFO, and ~~Director, PA&EDCAPE~~, ensure that the DoD Components plan, program, budget, and allocate resources, including personnel, to support CDIS in those program areas under the authority of ASD(PA), taking into consideration mission requirements.

5.7.3. Provide representation to the ICC.

5.8. The General Counsel of the Department of Defense shall:

5.8.1. Oversee implementation of CDIS for program areas under the authority of General Counsel of the Department of Defense, in accordance with Reference (l), in coordination with appropriate OSD offices and DoD Components.

5.8.2. Provide representation to the ICC.

5.9. The ~~Director, PA&EDCAPE~~ shall:

5.9.1. In coordination with USD(AT&L), issue necessary procedures and provide oversight for compliance with implementation of this Instruction.

5.9.2. Provide representation to the ICC.

5.10. The Heads of DoD Components and Director, Administration and Management shall:

5.10.1. Ensure compliance by their respective DoD Component with DoD policy and responsibilities outlined in this Instruction.

5.10.2. Establish and execute, as required, plans and procedures applicable within their respective DoD Components implementing COLS.

5.10.3. Designate, at the appropriate levels, focal points to coordinate the implementation of, and to resolve disputes on, CDIS initiatives.

~~5.10.4. Provide periodic budget and execution reports advising USD(AT&L) and USD(P&R) of the status of installation support programs, according to formats and timelines established by the ICC, and addressing the effectiveness of Installation Support provided to warfighting forces as measured and aligned with readiness reporting processes in Reference (e).~~

5.10.54. Plan, program, budget, and allocate resources to implement and comply with this Instruction, taking into consideration mission requirements. Provide to USD(AT&L) requested budgetary or resource information concerning implementation of and compliance with this Instruction.

5.10.65. Ensure that the Installation Commanding Officer shall:

5.10.65.1. Provide support to enhance combat power and the warfighter mission.

5.10.65.2. Provide the full spectrum of required installation support functions to customers.

5.10.65.3. Manage all real property (land and facilities, as defined in Reference (m)) assigned to the installation, personal property and plant equipment associated with installation support functions, and allocate real property assets across functions and tenants using risk management.

5.10.65.4. Direct installation support operations and execute within available resources using risk management.

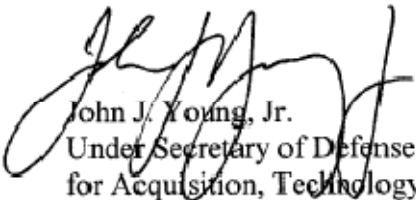
## 6. INFORMATION REQUIREMENTS

~~The reporting of budget and execution status of installation support programs to the OUSD(AT&L) and the OUSD(P&R) has been assigned Report Control Symbol (RCS) DD-AT&L(AR)2289, in accordance with Reference (n).~~

*6. RELEASABILITY. UNLIMITED. This Instruction is approved for public release. Copies may be obtained through the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.*

## 7. EFFECTIVE DATE

This Instruction is effective immediately.

  
John J. Young, Jr.  
Under Secretary of Defense  
for Acquisition, Technology and Logistics

Enclosure – 1

E1. References, continued



E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Directive 7730.65, "Department of Defense Readiness Reporting System (DRRS)," June 3, 2002
- (f) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," October 17, 2006
- (g) DoD Directive 5111.1, "Under Secretary of Defense for Policy (USD(P))," December 8, 1999
- (h) DoD Directive 5118.3, "Under Secretary of Defense for Comptroller (USD(C)/Chief Financial Officer (CFO), Department of Defense)," January 6, 1997, CH-1, February 9, 2007
- (i) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I))," November 23, 2005
- (j) DoD Directive 5144.1, "Assistant Secretary of Defense for Networks and Information Integration/DoD Chief Information Officer (ASD(NII)/DoD CIO)," May 2, 2005
- (k) DoD Directive 5122.5, "Assistant Secretary of Defense for Public Affairs (ASD(PA))," September 27, 2000
- (l) DoD Directive 5145.1, "General Counsel of the Department of Defense," May 2, 2001
- (m) DoD Instruction 4165.14, "Real Property Inventory and Forecasting," March 31, 2006
- (n) DoD 8910.1-M, "DoD Procedures for Management of Information Requirements," June 30, 1998