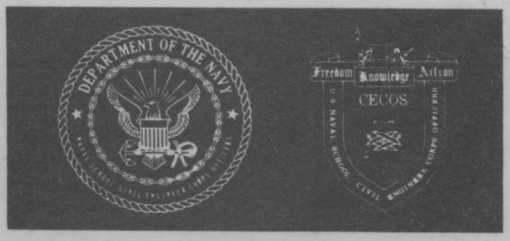
PW ORGANIZATION

PUBLIC WORKS MANUAL



CERTIFICATE OF REVIEW

In accordance with SECNAV INSTRUCTION 5600.16A this publication has been reviewed for necessity, accuracy, current applicability, adequacy, judiciousness of purpose and good taste, and to insure consonance with existing law and with national and Department of the Navy policy.

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PREFACE

The Public Works Manual is written for and dedicated to the new officer in Public Works; for the new Public Works Officer or his assistant, and Staff Civil Engineer or Activity Civil Engineer at a Public Works Center. As a CECOS text, the book is intended to serve as a "Public Works Primer," introducing the student to the basic concepts and procedures involved in the various Public Works functional areas, alerting him to potential trouble spots and their avoidance, and directing him towards more detailed guidance and directives should he desire to pursue the subjects further. Because of its general nature, the manual will be of lesser use to the experienced PWO or the Public Works Division Directors, except as a refresher manual for the "big picture."

Since the purpose of the manual is to instruct, and not direct, certain liberties have been taken with traditional chapter organization, format, and language. Chapters, for example, are arranged so as to cut across NAVFAC programs where necessary for clarity in presenting a function. One example of this is the chapter on Budgeting, which cuts across the Operation and Maintenance Programs (Maintenance, Utilities, Transportation) and the Family Housing Program. Each chapter is prefaced with its own statement of intent, table of contents, definitions, and "players" chart. Many procedural details have been omitted in the interest of brevity and clarity. For similar reasons the extensive and vital roles of NAVFAC and the Engineering Field Division (EFD) have been subordinated to activity roles and functions.

The practice of Public Works Management in the field is an inexact science at best, involving interpretation and adaptation of procedures to suit local conditions. The authors of this manual have intentionally included advice and tips to the officer in Public Works as to how things should and shouldn't be done.

The manual represents the work of not one, but several authors as well as many contributors from the field. It represents the collective knowledge and experience of the CECOS staff, EFD and PWC personnel, NAVFAC headquarters personnel and those of various field Public Works Departments. Both its weaknesses and strengths can be attributed to this fact. Its continued viability of course, will depend upon the input of suggestions for changes and improvement — generated by the user in the field.

Many books of a technical nature are prefaced by an apology for their limitations or shortcomings. No such apology is tendered herein. If the reader discovers oversights, omissions, or mistakes, he is invited to forward his comments to the Naval School, Civil Engineer Corps Officers, Port Hueneme, California 93043, for consideration in future updating of the manual.

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INTRODUCTION

Scope of Public Works. The Naval Shore establishment exists to support the operating forces of the Navy, and "keeping house" for the shore establishment is a multi-million dollar annual enterprise. At each of the Naval activities which make up the shore establishment, the tasks which constitute this "housekeeping" or public works function amount to considerably more than vacuuming the floors and washing the windows. Some idea of the scope of Navy Public Works management can be drawn when one considers that the Navy represents one of the largest businesses in the world. Moreover, unlike most industrial undertakings, its activities cannot be confined to the production of a single item or a series of similar items; nor to the providing of a single service or a series of related services. Each Naval activity can be accurately compared to a small industrial city, comprising not only the "factory;" in our case the airfield, shipyard, or training facility; but also the community which surrounds it — the houses, roads and streets, utilities, the hospital, the recreation facilities, and the myriad of other items which makes up a community.

The management of these facilities involves not one or two, but all aspects of their life cycle, from inception to demolition. The management responsibility placed upon the CEC officer serving in the capacity of PWO is therefore a heavy one. True, policies are established at higher levels and transmitted to him through official directives and instructions. These instructions form his operating parameters, but they alone cannot predict or solve all the problems that will arise in the normal course of his duties. Directives and instructions lay down the broad outlines for procedures and performance, but executive skill is the contribution of the PWO and his staff.

The Need for Sound Management. There are several conditions which necessitate sound management of the Navy's shore establishment. These are:

A. Facilities Growth. The Navy's shore establishment was subjected to tremendous growth during World War II. Although many World War II bases have since been closed, the remaining bases continue to grow in terms of the structures and utility systems required to support their increasingly complex missions. In spite of post-Korea and post-Vietnam efforts to cut defense spending back, it would appear that to maintain a viable defense posture in coming years, the requirement for Navy shore facilities and their support will not materially slacken, and will very likely increase.

B. Age and Condition of Facilities. Much of our facility inventory was constructed during World War II and is of a semi-permanent or temporary nature, never intended to economically serve the Navy for more than a few years. Unfortunately replacement dollars have not kept pace with replacement requirements. The problem of old facilities is compounded in many instances by the fact that buildings have been converted from their original purpose to some other use. The new function invariably places higher demands on the facility in terms of human comfort, utility demands and required maintenance and upkeep. The net result of all this, of course, is that the Navy is saddled with many facilities which require too much operations and maintenance effort for their functional pay back.

C. Increasing Demands. Due to continuous increases in technology, there is a much greater demand per capita on a facility today than there was thirty years ago. Consider elecric appliances alone. This consideration can be extended to cover all utilities, and also to the fact that today's tenant requires a higher quality of working environment that did his predecessor of the 1940's. The drab cubicle office will no longer suffice in today's Navy, where retention of key personnel is the watchword. Barracks alone have gone through revolutionary conceptual changes in the past ten years. Again, the facilities have not always kept pace.

D. Cost Escalation. The price of a skilled laborer has more than doubled in the last ten years. Commensurate rises have occurred in the price of materials. There is nothing astonishing or unique about the Navy in this respect, however, the funds to meet these rising costs have not kept pace in all cases.

E. Ceiling Limitations and the Commercial/Industrial Type Activities (CITA) Program. Public Works Officers are obliged to identify and use the most efficient methods of carrying out their responsibilities. This often involves the use of Service Contracting. The CITA Program formalizes a method of comparing in-house versus contract costs for many of these functions and may result in a substantial increase in service contracting. Ceiling reductions often force the PWO to contract, regardless of its desirability.

The net effect of the above is that we are in an environment of ever increasing requirements and minimal resources to cope with them. It is within this environment that all Public Works Management programs are shaped. The reader will undoubtedly have misgivings at this point as to whether or not the practice of Public Works Management is anything more than an exercise in futility. The answer is definitely not. First, recent CNO decisions have served to increase the proportion of Navy funds allocated to public works functions. These decisions should allow for real growth in the resources available to activity managers. Second is the problem of inefficiency. A critical look at where and how money is spent at activities will oftentimes reveal potential for savings. Last is the question of effectiveness. Facility managers must be concerned about doing "the right job" as well as doing it efficiently.

Thus, the practice of Public Works Management offers both challenge and opportunity to the Civil Engineer Corps Officer who is willing to apply himself to the task.

Objectives of Public Works Management. There are two primary objectives of all Public Works Management Systems, namely:

(1) To provide the requisite service or facilities support to the fleet, and

(2) To optimize the outputs of Public Works with what resources are available.

The first objective is pursued in each functional area through the identification of all requirements, and the development of plans based upon rational priorities.

The second goal is pursued through the efficient use of available assets (manpower, materials, utilities, transportation) so as to provide maximum productive effort. Just how this is achieved in each system will be discussed in subsequent chapters.

Management Principles. All Public Works Management systems are founded on one basic management process. This general process, or principle is that management involves the laying out of plans or objectives before the fact, based upon uniform standards and predictable capabilities; the utilization of these plans as a constant benchmark or roadmap against which productive forces can operate; and the gathering and analysis of actual performance data in the same array as the plan so as to highlight variances and enable corrective action as necessary for the next cycle. This is known as the "Plan-Execute-Appraise" cycle of management, and is common to all PW management systems. The gathering and analysis of performance data enables managers to act on a rational, directed basis, rather than by intuition or whimsey. It enables him to identify *exceptions* to the norm. Hence the term "exception managers" is applicable to those who practice Public Works Management.

This abstract will become clearer with study of this manual, and with on-the-job experience. Suffice to say at this point that the system achieves the two primary objectives when utilized properly. This is not to say that the systems presented herein are perfect and cannot be improved upon. The most valuable resource which the Navy possesses is the imagination and inventiveness of its professional officers and civilian personnel. It is a commodity which is in better supply today, when it is needed most, than ever before, and from it will evolve better methods, procedures, and most of all, greater support to the fleet from each taxpayer's dollar.

CHAPTER 1
AUTHORITIES AND RESPONSIBILITIES

The diverse functions and responsibilities assigned by command to the Public Works Officer are, in reality, a group of separately managed programs which come together only at the station level. Each has a separate divergent thread of control which only converge again at the CNO level. For the Officer in Public Works, therefore, knowing "who the players are" for each of his various functional responsiblities and understanding their respective roles is basic to his ability to function effectively.

The approach in this chapter and succeeding ones will be to focus on each function within the Public Works Department and show, for each, the various agencies and organizations who interact and share authorities and responsibilities for that particular function. Figure 1-1 shows the diversity of facilities found at most Naval installations.

FIGURE 1-1
U.S. NAVAL EXPERIMENTAL STATION, ANNAPOLIS, MARYLAND

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REFERENCES

1. *Navy Regulations,* Chapters 4 and 7
2. *General Order No. 19,* 20 October 1964, Basic Navy Directive which defines Command, Support, Guidance, and Area Coordination
3. NAVFAC P-318, *Organization and Functions for Public Works Department*

PART 1 — THE PUBLIC WORKS OFFICER AND COMMAND

1.1.1 The Commanding Officer. At the onset of this discussion it should be pointed out that Navy Regulations hold the Commanding Officer responsible for the material condition of his facility. The measures which the Commanding Officer deems necessary to guard this trust is a matter of accountability between him and the Chief of Naval Operations through his operational chain of command. The Public Works Officer on his staff is normally delegated the authority and is held responsible by command for all matters pertaining to Public Works management. With this relationship established, let us now examine which agencies and organizations are designated by CNO and Navy Regulations to assist the PWO in carrying out his duties for the Commanding Officer.

1.1.2 The Responsibilities of the Public Works Officer

A. Primary Duties — The PWO, as stated above, is held accountable by his Commanding Officer for all facilities management matters. These responsibilities normally include the broad functions of:

1. Facilities Planning and Programming.
2. Real Estate Management.
3. Facility Design and Construction.
4. Facilities Maintenance, Repair, Minor Construction, Alteration, and Equipment Installation.
5. Utilities System Operation and Maintenance.
6. Facility Disposal.
7. Transportation Fleet Management Operation and Main- tenance.
8. Housing Administration.

Each major function is usually broken down into subfunctions such as Utilities Service Contracts or utilities production. Cutting across all of these functions are various basic managerial techniques, such as Personnel Management, Budgeting, Material Management, Service Contract Administration, and Reporting. Each of the major functions, as previously stated, corresponds with a distinct Engineering Field Division/NAVFAC "program," and, like as not, is managed off-station by a unique chain of command and sphere of management.

B. Additional Duties — The PWO usually has, in addition to his responsibilities for command, written BUPERS orders assigning him additional duty orders as a Resident Officer in Charge of Construction to the local Engineering Field Division ("local" can be across an ocean). In this capacity his primary allegiance is with the Officer in Charge of Construction (EFD C.O.) but inasmuch as he also represents his Commanding Officer as "customer," the actual distinction in loyalties is sometimes difficult to draw.

C. Collateral Duties — The PWO, along with his subordinate officers, is first of all a Naval Officer and therefore subject to the normal range of collateral responsibilities at a Naval facility, such as watch standing, zone inspections, etc. Several other collateral duties are frequently assigned the PWO. These include: (1) Disaster Preparedness Officer; (2) Member, Station Planning Board; and (3) Member, Labor Relations Council. It is not unusual to also find a separate watch organization for the Public Works Department, in which case, the PWO is normally absolved of other watchstanding duties. These, along with other collateral responsibilities are discussed in Chapter 15.

PART 2 — THE PUBLIC WORKS DEPARTMENT

1.2.1 General. Figure 1-2 identifies the various organizations and agencies which have responsibilities in one or more of the Public Works functional areas. Within this chapter the general role of each, its relationship to the PWO, and to the other agencies and organizations, will be discussed. In succeeding chapters the same figures will be highlighted and annotated to show who the participants are with respect to each program and what their specific duties are with regard to that program.

By consulting these diagrams, the new officer in Public Works should be able to determine *who* in his organization should be doing *what* and at what time for each of the major functional areas. Having defined, in general terms, the Public Works Officer's responsibilities to his Commanding Officer, let us now focus outward from the Public Works Officer and scrutinize some of the other "players" and their role in the Public Works mission, beginning with his own organization.

1.2.2 Functional Organization. Inasmuch as detailed functional statements for each Public Works Department organizational element are presented in Chapter 2, remarks here will be more general in nature, attempting to explain the form of the Public Works organization in terms of the responsibilities and authorities assigned to the Public Works Officer. Although this section is primarily concerned with accomplishment of work by in-house civilian resources, the Public Works organization must also accommodate work accomplishment by other means. These could well include service contracts, Seabees, one-time construction contracts, summer-hires, a First-Lieutenant Division, etc.

A. Production Management. The organization of the Public Works Department follows functional lines and since the three major outputs of Public

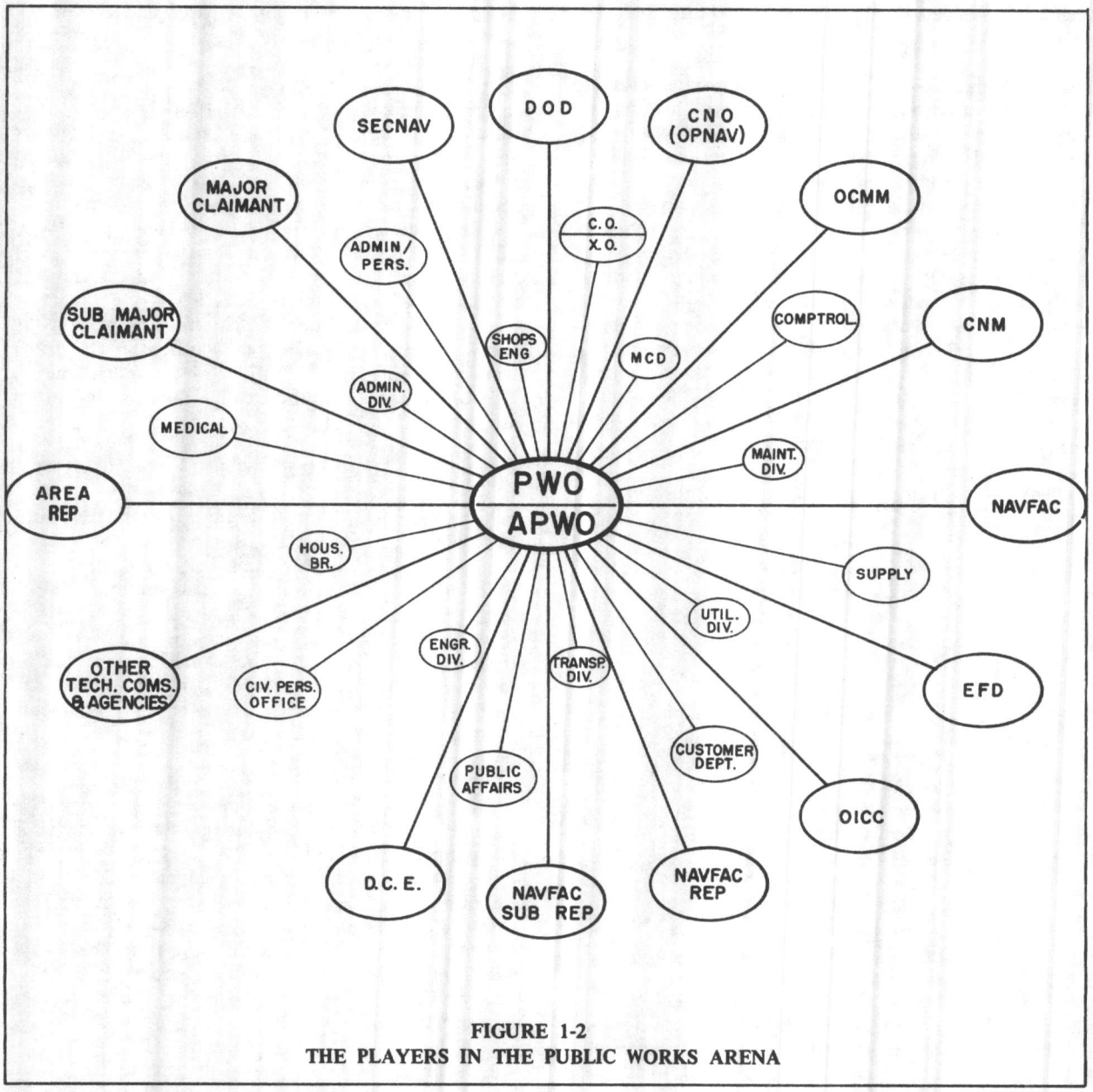

FIGURE 1-2
THE PLAYERS IN THE PUBLIC WORKS ARENA

Works are Maintenance, Transportation, and Utilities services, it is not surprising to find these three functions to be organizationally identified and assigned as the specific responsibility of separate individuals and further grouped together under an individual who can be held accountable for all outputs — the Shops Engineer, or in some organizations, the Public Works Operations Officer. This officer is responsible to the PWO for the coordinated and smooth operation of the various shops, and he should be vested with sufficient authority to fulfill this trust. This includes the scheduling of work and equipment, ordering and expediting of materials, supervision, information feedback, and all other management and supervisory tools which might be necessary to effect orderly production. The Shops Engineer, then, is the "production boss."

B. Control. One tenet of organizational thinking in public Works is to keep "planners" away from "doers" to avoid conflicts of interest and to free the productive element to devote its entire effort to "doing." In the Public Works context, this means that the Maintenance Division Director and the Shops Engineer, should not be burdened with deciding what work should be done, what source should be used to accomplish the work, when it should be done in relation to other jobs, and how much it should cost. This is within the realm of

planning decisions and is vested with the Maintenance Control Division (MCD). The Maintenance Control Division Director is responsible to the PWO/APWO for providing information concerning the maintenance backlog, and a smooth flow of authorized work to the Maintenance Branch by way of shopload plans. In addition, he is normally responsible for preparation of service contracts, their administration, and quality assurance. To assist him with this responsibility, he has at his disposal the authority and resources to inspect facilities for maintenance and repair deficiencies, to receive all work and classify it, to plan, estimate, and recommend work priorities, and to propose proper methods of accomplishemnt as well as relative priorities. The PWO will turn to his MCD for any questions regarding the status of backlogged work and to his Shops Engineer/Operations Officer or Maintenance Division/Branch supervisor for work which is either underway, scheduled, or complete. Of course, there must be a constant liaison and interplay between both organizations at all levels to effect a smooth operation.

One might ask why organizational control similar to that exercised over the maintenance effort is not exercised over the utilities and transportation functions. The answer lies with the nature of the work and the types of planning decisions which must be made regarding it. Specifically, the decision-making process in the maintenance area involves evaluating each and every task to decide whether or not it is going to be done and by whom and when. The net result is a list of jobs which are either accomplished, put in suspense, or cancelled. A parallel decision making process does not exist in the scheduling of utilities operations or the transportation function. About the only planning decisions to be made with regard to a vehicle repair, for example, is whether or not the repair cost will exceed 50% of current value of the vehicle (in which case such repair is normally considered uneconomical). Regularly scheduled Preventive Maintenance is a function of mileage and time and is, by its cyclical nature, altogether different from a true "programming" effort. In the case of utilities operations, decisions must be made and implemented on the spot as demands change, weather varies, etc. Over the long haul, though, utilities consumption is fairly predictable and not subject to "planning" decisions as such. Therefore, scheduling of utilities (boiler operations, etc.) is vested with the Utilities Division or Branch and vehicle maintenance, and operations planning is vested with the Transportation Division or Branch.

C. Engineering. The PWO relies on his engineering organization to provide design and engineering beyond the capability of a planner and estimator. This would normally be for new construction or alteration, extensive repairs, or any job for which alternate or complicated technical solutions are not readily available to the planner/estimator. The Engineering Division is additionally responsible for input into the Shore Facilities Planning Cycle, Record Drawings, and other engineering/design functions.

D. Administration. The PWO looks to his Administrative Division to carry out a multitude of overhead functions which lend common support to other parts of his organization and provide necessary liaison between the Public Works Department and other Departments. He (the PWO) normally delegates the responsibility of providing office services, and mailing and filing to the Administrative Division Director. This type of task falls naturally into a separate organization and relieves the other divisions of the necessity to duplicate the capability for each of their organizations. In addition, the Administrative Division Director generally *coordinates* the preparation and submission of reports and budgets. The word "coordinates" is emphasized here because the responsibility for both reports and budgeting begins at the accomplishment level and is shared by just about everyone in the Department as well as the Comptroller. The Administrative Division Director is the "catalyst."

E. Housing Administration. The PWO is delegated the authority to administer family housing by the Commanding Officer who, in this one case, receives his authority from OSD and CNO by way of NAVFAC and the EFD's. The Housing Manager, either in the Administrative Division, or the Housing Division, is normally delegated the authority to maintain a waiting list and recommend housing assignments to Command, to enforce tenant responsibilities, to coordinate maintenance and repairs of housing, to prepare the budget, to prepare management reports, and to perform all other functions having to do with family housing administration. The Housing Manager depends upon the maintenance, utilities and transportation organizations to provide support to family housing in their respective areas, but he is held accountable to the PWO and Command for the overall effectiveness of the local program.

An unstated but none-the-less important trust held by the Housing Manager is that of public relations between the Public Works Department and the rest of the Command. The effectiveness, responsiveness, and capability of the Public Works Department and the PWO will be judged in great part by the overall effectiveness of the housing program.

F. Utilities Management. Responsibilities for utilities management include not only the supply of utilities services (operations) but also the maintenance of utilities generation and distribution

systems, the planning and programming of utilities system improvements, utilities targeting and conservation programs, budgeting and reporting. The Utilities Division Director or Branch Manager is responsible for utility operations.

G. Transportation Management. Responsibilities for transportation management include the maintenance and operation of the transportation fleet, local allowance control, vehicle acquisition and replacement, bus and taxi services, licensing and safety program implementation, and vehicle utilization.

Unlike the Housing and Utilities functions, transportation is usually "self-sustaining" in that the Transportation Division or Branch has its own repair capability and does not have to be a "customer" to another organization. The Transportation Division or Branch Director is delegated the overall authority for transportation management by the PWO and is held accountable for the program through the Shops Engineer.

PART 3 — THE ACTIVITY PARTICIPANT

1.3.1 Other Departments on Base. As can be seen on the second ring of the Public Works "players" illustrated in Figure 1-2, nearly all departments at a Naval activity participate, in one way or another, in the management of Public Works. In the following sections the role of each department will be discussed in general terms and then be expanded upon in subsequent chapters as appropriate. It should be borne in mind that the PWO is the individual who Command looks to for all matters in Public Works. The PWO, then, like his Housing and Utilities Manager, must ensure that other station participants in Public Works are contributing their "piece of the action." To this end, he must be able to explain to each what his inputs are.

1.3.2 The Supply Officer. No part of Public Works can function without materials. The Public Works Department will represent one of the Supply Officer's largest customers at an activity — both in volume of material and diversity. Everything from petroleum products to paper, from lumber to tools, is consumed by a Public Works Department. Not only "how much" and "what kind" of materials, but also "when" is of paramount importance in material management for Public Works. The Supply Officer is, therefore, a key player in the Public Works arena, and it behooves the PWO to establish and maintain a sound professional relationship with the Supply Department. There are several accepted ways to facilitate this, some of which will be mentioned here.

Probably the biggest source of friction between Supply and Public Works is the tendency (on the part of Public Works) to absolve themselves of any and all responsibility for material between the time a stub is submitted and when the material arrives. It manifests itself in many ways, the principal of which is the resigned sigh of innocent helplessness from the Maintenance Division Director when he explains in abject tones that the job would have already been done had it not been for Supply not furnishing the material or stocking the items which were ordered so long ago. The failure to carry out responsibilities is there, all right, but it is just as much on the part of the Public Works Department for not following through and checking on the status of outstanding materials as it is upon the Supply Department itself. The Public Works Department as a principal customer of Supply should consider having a single point within the organization (usually Administration or the Maintenance Shop Planner) whose job it is to keep a record of, and periodically check the status of requisitions for materials not held in the total stock account.

The second point of friction between the Public Works Department and the Supply Department involves stocking of items in the shops store which the Supply Department operates. The quantity and type of material stocked in a shops store is a function of usage or turnover. In addition, the shops store can stock one-time items or emergency items if they are justified. To establish and maintain appropriate stocking levels, the Supply Department shops store supervisor must be kept informed about new requirements, inadequacies, and quality of stocks carried in inventory.

Of paramount importance, of course, is making sure that Public Works personnel who are responsible for ordering material are well versed in supply procedures, stock catalogues, etc., so that they can function effectively and thereby keep the Supply/Public Works relationship viable.

The Supply Officer also plays a role in transportation management since he and not the PWO is responsible for the overall management of materials handling equipment.

1.3.3 The Comptroller. The station comptroller plays a key role in Public Works budgeting and reporting in addition to his primary duty as custodian of the Commanding Officer's money. The principal financial reports required by higher authority are prepared by the Comptroller. As a matter of fact, the instructions for preparation of these reports are found in the NAVCOMPT Manual — not in NAVFAC publications or sponsor operating manuals. The timeliness and accuracy of the source data with which the Comptroller produces these reports is dependent upon correct input from Public Works.

As budgeter for the Commanding Officer, the Comptroller receives cost account input from Public

Works, along with all other departments (Cost Centers) on the base. This he converts into a consolidated Functional Account Budget. He, and not the PWO, is accountable to the Commanding Officer for the legal expenditure of funds and to this end keeps the offical station "books." The Public Works Department usually keeps "memorandum" records of expenses from day to day. These records are usually more than "memoranda," however, since the PWO depends upon them to ensure against over (or under) expenditure of Public Works funds. A last, important note: The PWO must be an active participant in the budgeting and requirements development process. He should not wait for the Comptroller to make resource allocation decisions.

1.3.4 Administration/Personnel. The Military Personnel Department of the station plays a key role in administering family housing by keeping the Housing Manager informed of pending moves. Also, the annual survey, which is the basic planning document for family housing, is often administered through the Admin/Personnel Office. At many stations the local Civilian Personnel Office is part of the Admin/Personnel Department and, since Public Works is a major civilian personnel employer, this function is vital to its success. As the office closest to the Commanding Officer/Executive Officer, the Administrative Officer will sometimes "staff" facilities matters for the Command by inputting new requirements, checking on the status of work or finding various other answers for the Commanding Officer/Executive Officer. The Administrative Officer is also a good sounding board for command policy and current emphasis.

1.3.5 The Executive Officer. The Executive Officer can be of great assistance to a PWO, or he can seriously jeopardize the Public Works system through misuse of it. To illustrate the positive aspect, the informed Executive Officer will assist the PWO in making priority decisions for minor construction and alterations through his chairmanship of the station planning board. He will assist the PWO by keeping him informed on command desires and priorities for maintenance and repairs, and he will act as intermediary in explaining limitations in his authority to the Commanding Officer. He will help the PWO brief the Command on the Military Construction Program, Shore Facilities Planning and Programming, and other programs which the Commanding Officer needs to understand. In this regard, a new Executive Officer should be thoroughly briefed by the PWO in person on the various programs in the Public Works area to enable him to function.

On the negative side, the Executive Officer who preempts the system by insisting that all work be started *now* rather than planned, estimated, programmed, and accomplished in a routine manner will seriously debilitate and demoralize the Public Works Department. In addition, the chaotic conditions created in the shops will result in less productivity and higher costs to the command. An Executive Officer who habitually asks his PWO to "get around the rules" in fulfilling command's desires will either find himself, the PWO, and the command being held accountable, or will find a Public Works organization that is scornful of *all* rules and regulations, not just those command has chosen to "by-pass."

1.3.6 The Medical Department. The Medical Department has a role in transportation management and in utilities management. In the former, the Medical Officer by way of the Bureau of Medicine and Surgery, is responsible for the overall management of ambulances, X-ray vans, and other specialized medical equipment. He will probably depend heavily on the PWO in this regard, particularly in the maintenance area, but the decisions as to how many ambulances he requires, or when they should be replaced is a matter between him and the District Medical Officer. In the utilities area, the Medical Department will inspect the potable water supply for safety.

1.3.7 The Customer. The customer of Public Works, be he a tenant activity, department, or resident of family housing, can assist the Public Works Department in many ways to provide adequate and timely services. In the area of maintenance management, for example, the customer must take an active role in generating work through the vehicle of the work request or service call. The customer can also assist maintenance forces by making areas available to work in, arranging physical security, and establishing reasonable priorities. The customer is responsible for accepting maintenance/repair work from Public Works and should make sure that any dissatisfaction is brought to the attention of the PWO or APWO. A customer should have specific personnel authorized to generate and sign work requests, and should also have a single designated point of contact for liaison with the Public Works Department.

In the areas of transportation and utilities management, the primary customer responsibilities are centered around utilization and conservation. More specifically the holder of transportation Class "B" assignments are responsible for achieving a certain predetermined mileage each quarter, and for reporting mileage of assigned vehicles on a quarterly basis to the PWO. The utilities customer (who is everyone) is responsible for implementing prudent conservation practices, much as they would were they footing the bill themselves. In addition, there is normally a formal energy conservation committee established on a base, consisting of customers and related Public Works Personnel. Its job is to effect cost reduction in utilities by identifying and eliminating waste in all types of utilities services (see Chapter 7).

1.3.8 The Community. We have listed the "community" as a participant in Public Works Management for the principal reason that the Navy is usually a part of a larger community or urban area and is increasingly subject to the statutes which regulate other industrial or business activities in that community. Pollution laws, building codes, nuisance laws, traffic regulations, planning ordnances and civil laws all impact on the Naval activity, and particularly in the Public Works arena. The PWO should avoid the "island" aberration which effects so many of us in the Navy, and should view what he does — the decisions that he and the command implement within the context of the broader community.

PART 4 — OFF-STATION AUTHORITIES AND RESPONSIBILITIES

1.4.1 General. As indicated in Figure 1-2, there are many off-station participants who get involved to a varying degree with a Public Works Department operation. A brief explanation of the general authorities and responsibilities of each will help in deciding who to turn to with a given problem or request.

The functions of the off-station participants shown in Figure 1-2 can better be envisioned by first rearranging these into the three basic chains of command which affect facilities matters at most Naval activities and explaining, in general terms, the concept and purpose of each chain of command. Figure 1-3 shows an operational chain of command which leads from CNO to the activity through the "Major Claimant", the echelon 2 commander immediately below CNO. Flanking this chain of command are chains of command for "Area Coordination" and "Administrative and Technical Guidance."

1.4.2 Area Coordination. Area coordination provides for a CNO overview of shore activities from a geographic standpoint as well as from a functional standpoint to ensure that within each geographic area there is a coordinated shore establishment to provide support to the fleet. It ensures, basicaly, that there is an even distribution of effort on the part of the shore establishment within an area, and that overlapping of functions, conflicts of policies or regulations, or other coordination problems do not arise. Some obvious areas that this responsibility covers would be establishing the uniform of the day for an area and ensuring sound Disaster Control Planning. In the facilities management area, the coordination of shore facilities planning and programming; and serving as the central figure in community relations communication, and housing assignment practices and requirements planning fall naturally into the "Area Representative's" sphere of responsibilities.

1.4.3 Administrative and Technical Guidance. In General Order No. 19 is a provision for professional and technical assistance to a command in carrying out its mission. It provides for special expertise which a Commanding Officer may utilize as required. There are actually several "Administrative and Technical Guidance" chains of command corresponding to each CNM System Command and others. Their role is an advisory one only. In the Public Works context, NAVFAC and its field representatives; the Engineering Field Divisions, provide administrative and technical guidance for each of the separate functions within the Public Works Department. NAVFAC also provides, through its Claimant Support role, assistance to Major Claimants and subclaimants in executing their facility management responsibilities. Its organization for management is structured to correspond functionally with organizational elements of the department (i.e., Maintenance, Utilities, Transportation, Housing, etc.). Although The EFD does not exercise control over the station, it should be noted that significant management expertise is housed within the EFD, and that the EFD also provides administrative and technical guidance to the intermediaries in both the Command and Area Coordination Chains through various additional and collateral duty assignments of the EFD Commander/Commanding Officer. In effect the EFD is a part of the staff of the command chain and coordination chain, and the decision and management direction and support received for facilities through these chains is frequently that of the Engineering Field Division.

1.4.4 Housing. One exception to the "advisory" role of the EFD is that of family housing support. The housing program is a Department of Defense program and CNO has seen fit to cut through traditional chains of command by assigning NAVFAC as the Program Manager for the Navy housing program. Thus the Commanding Officer has a separate budget and chain of command with regard to his family housing program. Recall, too, that the Area Coordinator gets into the housing management picture by coordinating requirements planning through the Annual Housing Survey and by coordinating housing assignment practices and fair housing policies (see Chapter 9).

1.4.5 Transportation. Another area where the role of the EFD is more than "advisory" is in the area of transportation equipment management. At some of the EFD's, Transportation Equipment Management Centers (TEMC), have been established. The TEMCs advise Major and Submajor Claimants on the management of all transportation equipment within NAVFAC's area of responsibility (see Chapter 8). Most of the direction received from the TEMC is in the name of the Major Claimant.

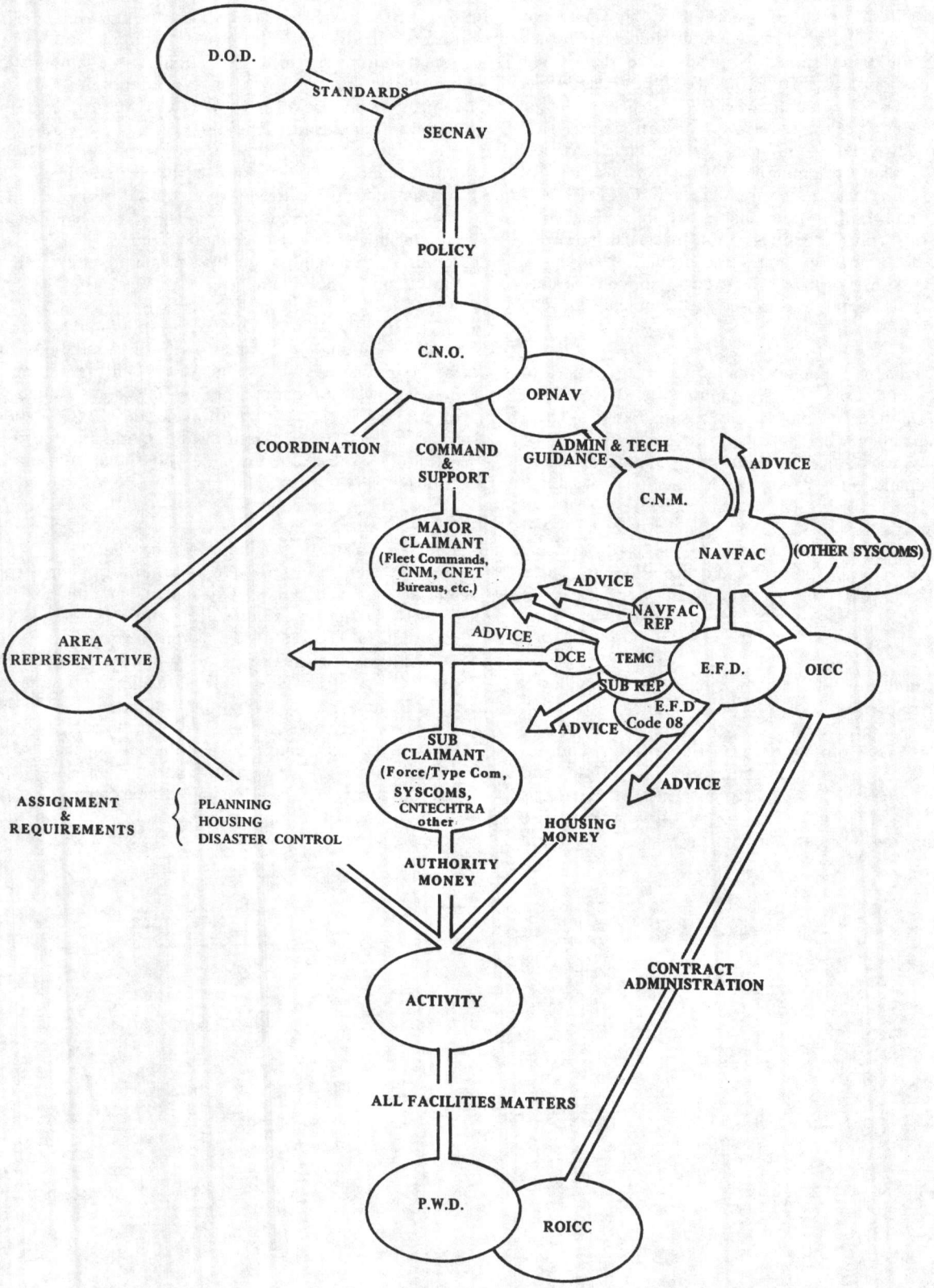

FIGURE 1-3
CHAINS OF COMMAND FOR FACILITIES MATTERS

1.4.6 The ROICC. Specific duties and responsibilities of the Resident Officer in Charge of Construction wil be addressed more fully in Chapter 15, but the point should be made here that if the PWO has separate BUPERS Additional Duty as Resident Officer in Charge of Construction/Officer in Charge of Construction, he reports in this capacity directly to the Engineering Field Division (OICC). The Commanding Officer of the activity exercises no legal authority over the OICC/ROICC (other than military administrator) in the carrying out of his contract duties. In actual fact, however, the Commanding Officer is the ROICC's customer, as well as his primary duty boss, so considerable influence is usually exercised by command in this respect.

1.4.7 Limits to Command Authority. With respect to facility matters, the Commanding Officer has specific limitations imposed by his operational chain of command in what he can do. It is the duty of the Public Works Officer to know the limitations placed on command authority in each functional area and to advise command of these limitations as appropriate. This means very frankly that the PWO must execute the unpleasant but vital task of telling command what it is prohibited from doing. These limitations will be pointed out specifically in subsequent chapters dealing with particular functional areas.

One limit of the Commanding Officer's authority which frequently is a source of special frustration for the Commanding Officer and PWO is the amount the Commanding Officer can spend on projects for minor construction, alteration, and repair. There are two limitations which work in this area: (1) the amount of money which the Commanding Officer can approve for expenditure for a single project (refer to Chapter 5), and (2) the percentage of his O&M budget which he is permitted by his claimant to spend on minor construction. A third limitation is the amount of money he can approve for expenditure for housing improvements governed by NAVFAC. In each of these instances, the limitations are often viewed as an inconvenience or worse by command. Other limitations on command with regard to Public Works matters relate to the type of work that he can authorize, the use of transportation equipment and facilities, and the amount of money which he is required to spend annually on maintenance called the "Maintenance Floor" (see Chapter 13).

The Public Works Officer, as previously stated, must be intimately familiar with the limitations on the authority of the Commanding Officer and must place himself in harms way by informing command of his limits. As well, however, the PWO should seek means of accommodating command desires within the rules. In any case, he should remember that he serves as a staff to the command and is subject to its decisions.

1.5.1 Summary. It can be seen that the PWO has a host of agencies whose job it is to help him carry out his assigned duties. On station, the role of the Supply Officer, Comptroller and others are as essential to his success as is his own Department. Off station, the majority of authority and control over the station is vested with the Claimant or operational chain of command acting with the advice of the advisor NAVFAC chain and modified by certain coordinating responsibilities of the "Area Coordinator" (usually the District Commandant), the authority of the Housing Management Center, and the OICC chain of command for contract administration.

CHAPTER 2
ORGANIZATION AND FUNCTIONS OF PUBLIC WORKS

The function of organizational structure is to facilitate the achievement of objectives. The organization described herein is the evolutionary product of many years of experience gained by many in facilities management. The evolution will continue, but hopefully, lessons already learned will not have to be relearned. The structure described herein is a skeleton, the muscle necessary to energize it must be provided by the managerial team, which is led by the Public Works Officer (Figure 2-1).

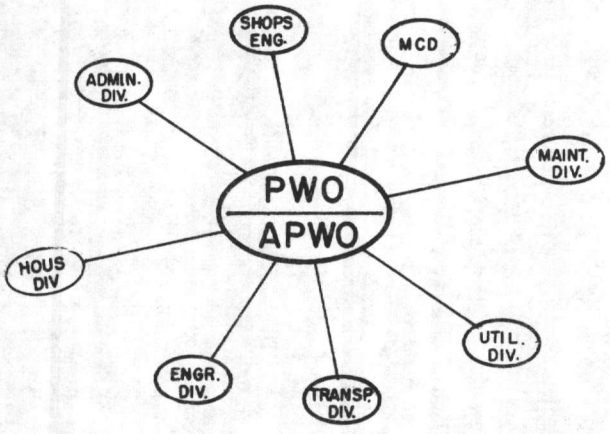

FIGURE 2-1
PUBLIC WORKS ORGANIZATION AND FUNCTIONS

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2. NAVFAC P-930, *Navy Family Housing Manual*
3. SECNAVINST 5310.11 Series, Subj: *Navy Position Management Program*
4. OPNAVINST 11010.30, Subj: *Formal Designation and Assignment of Responsibilities for Public Works Lead Activities (PWLAs); procedures for*
5. MARINE CORPS ORDER P11000.7
6. OPNAVINST 5310.15 of 29 May 1979, Subj: *"Staff Civil Engineer/Activity Civil Engineer Functions and Assignment Policies"*
7. OMB Circular A-76 (Revised) of 29 March 1979

PART 1 — GENERAL

2.1.1 Introduction. The nature of the work accomplished by Public Works Organizations (i.e., engineering, maintenance, utilities, transportation, etc.) allows a functionally aligned organizational pattern. These functions are performed by several types of Public Works organizations.

The primary purpose of Public Works is to provide service in support of the mission of the activity. In some instances, however, it has been found desirable for the PWD of one activity to provide public works services to another activity, or activities, which are in close proximity. In this situation the public works organization is identified as a "Public Works Lead Activity" even though it retains its identity as an organizational component of the parent activity. In other instances the public works functions are performed by a command separate from any of the supported activities. Such a command is called a Public Works Center (PWC). In each of these operations the organization of the PW unit is functional; that is, it is organized into elements (or divisions) each of which is responsible for a portion of the overall PW task. The following elements will be found in most Public Works organizations regardless of type:

1. Management
2. Administration
3. Family Housing
4. Engineering
5. Maintenance or Production Control
6. Production
   a. Maintenance
   b. Transportation
   c. Utilities

This manual deals specifically with the organization and functions of the Public Works Department. Though each Department is "unique," the reader should recognize the commonality of functions and apply the contents of the manual to fit the particular organization.

The distinction between the types of public works organizations is discussed briefly in the following:

A. Public Works Department. A PWD is an organizational component of a Marine Corps Air Station or a Naval Shore Activity. As a department head, under the Commanding Officer of the activity, the Public Works Officer is responsible for the maintenance and operation of facilities and collateral equipment, including utility plants and operation of transportation and weight-handling equipment; and design engineering and facility planning, for the command. (Figure 2-2 shows a typical Public Works Office.)

B. Public Works Lead Activity (PWLA). Like a PWD, the PWLA is an organizational entity of a Naval Shore Activity and the Public Works Officer has essentially the same responsibility as his counterpart in a PWD. However, the PWO of a PWLA is also responsible for providing public works services to more than one activity even

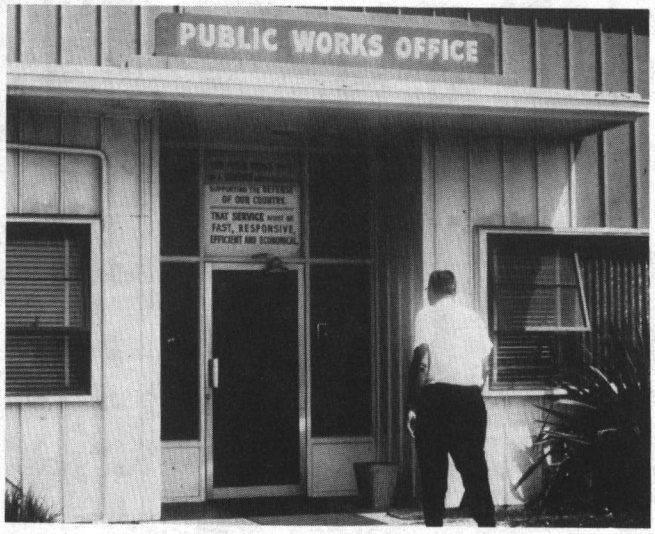


FIGURE 2-2
A TYPICAL PUBLIC WORKS OFFICE

though the PWO has primary duty orders only to the activity of which the PWLA is an organizational component. The scope of public works services provided by a PWLA may encompass a portion, or a full range of public works services and will normally be provided on a reimbursable basis as determined by local agreement. Only large public works departments are considered capable of functioning as a PWLA. PWLAs are specifically designated as such in OPNAVINST 11010.30. All Public Works Lead Activities are referred to as "Public Works Departments" of their parent command.

C. Public Works Center (PWC). PWC's have been established in areas which have a congregation of many Naval Activities that all require Public Works support. Unlike the PWD or PWLA, a PWC is a separate activity, commanded by a Civil Engineer Corps Captain, which provides the full range of Public Works services to customer commands on a fully reimbursable basis. The complete description and organization of a PWC will soon be published as a supplement to this manual and no further mention of it will be made in this chapter.

2.1.2 Staffing the Public Works Department. It is not possible to provide a single organization schematic that can be applied without modification to all the approximately 220 public works organizations of the naval shore establishment. It is recognized that public works organizations vary greatly as to size, and consequently cannot conform to a single configuration. The size of the organization depends on the type and amount of work to be done, the amount of plant to be maintained, number of utilities to be provided, and the transportation services to be provided. There are no two Navy activities that are exactly alike in plant mix, population served, or scope of public works services required. Each factor will have some degree of influence on the organizational pattern of the public works organization.

A. CEC Officer Staffing

1. As a starting or reference point, the organizational chart for the *largest* Public Works Department is shown in Figure 2-3. This is the "Module 1" Public Works Department and is considered the standard. It has proven to be a workable and effective organization at large activities. Scaled down versions (different size modules) work at smaller activities equally well.

The factors considered in determining the CEC staffing of different Public Works Department consist of the following:

Number of people employed by PWD (volume of service contracting is considered)
Amount of facilities management funds
Current plant replacement value

Other considerations include:

OICC/ROICC responsibilities of PWO
Rank structure of station
Complexity of activity
Tempo of activity operations
Geographical location
Dispersion of activity
Age of plant
Makes or buys utilities

Using these criteria, six different Public Works Department military staffing modules have been identified. (See Figure 2-4.) The six modules are applied to these alternative organizations shown in Figures 2-5 and 2-6. Note that as the organizations become smaller, some of the divisions are combined.

2. For example, a Public Works Department with 1,000 employees, a $15 million Facilities Management Budget and a curent plant replacement value of $400 M would get an index factor (see Figure 2-4) of 10 for each, or a total index of 30 points. This would place this Public Works Department in Module No. 1 and it would be staffed as follows:

PWO	CAPT with previous Public Works and Contracts experience.
APWO	CDR with previous Public Works experience.
Shops Engineer	LT with no previous experience requirement.
Facilities Planning Officer	ENS with no previous experience requirement.
Utility Plant Engineer	ENS with no previous experience requirement.

In like manner every Public Works Department can be evaluated and assigned to one of six modules. There is no rigid line of demarcation between modules, however, as all factors must be taken into account.

Military Billet Allowances for the Naval Activity are published annually by CNO in a Manpower Authorization Document, OPNAV Form 1000/2.

B. CEC Officer Billets

1. The Office of the Public Works Officer. The Public Works Officer is a department head, and his primary function is an executive one. He is responsible for ensuring the facilities at his command are in a state satisfactory to the operating

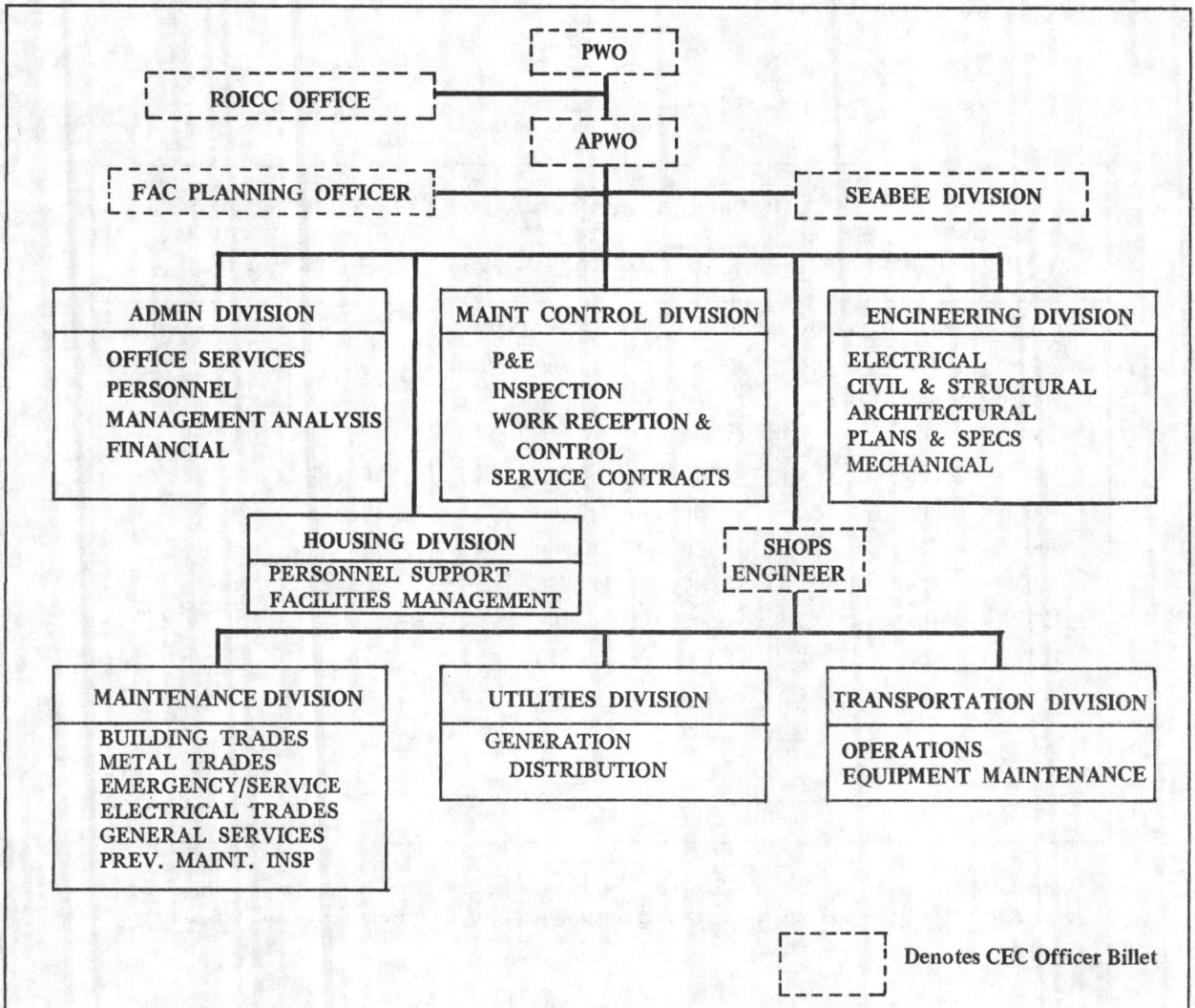


FIGURE 2-3
STANDARD PUBLIC WORKS DEPARTMENT ORGANIZATION

forces, and consistent with the activity mission. For this, he is responsible to the Commanding Officer (through the Executive Officer).

The Assistant Public Works Officer is responsible for the day-to-day operation and condition of the department; serves as Acting Public Works Officer in his absence; and may act as the Housing Officer.

2. Activity Civil Engineer (ACE)/Activity Liaison Officer (ALO). The ACE/ALO serves as the principal liaison between a Public Works Center or a Public Works Lead Activity and other activities which receive public works support from the PWC/PWLA. For those activities, the Activity Civil Engineer/Activity Liaison Officer:

a. Provides technical assistance in Public Works matters.

b. Coordinates Public Works services provided.

c. Assists in preparation of activity Public Works budgets, special projects, MCON projects.

d. Checks and approves Public Works billings to activities served.

e. Assists activities in Facility Planning Program.

f. Assists activities in Utilities Conservation Program.

g. Prepares customer activity correspondence in Public Works matters.

Assignment Index Factors

*PW DEPT PERS (NO. OF PERSONS)				PUBLIC WORKS FUNDS FOR ACTY (IN THOUSANDS)				CURRENT PLANT REPLACEMENT VALUE (CPRV) (MIL $)			
			INDEX				INDEX				INDEX
above	-	700	10	above	-	12,700	10	above	-	350	10
700	-	500	9	12,700	-	11,300	9	350	-	175	9
500	-	400	8	11,300	-	9,900	8	175	-	160	8
400	-	300	7	9,900	-	8,500	7	160	-	135	7
300	-	200	6	8,500	-	7,100	6	135	-	120	6
200	-	150	5	7,100	-	5,600	5	120	-	105	5
150	-	125	4	5,600	-	4,200	4	105	-	90	4
125	-	100	3	4,200	-	2,100	3	90	-	70	3
100	-	80	2	2,100	-	1,050	2	70	-	35	2
80	-	20	1	1,050	-	350	1	35	-	15	1
19	-	0	0	350	-	0	0	15	-	0	0

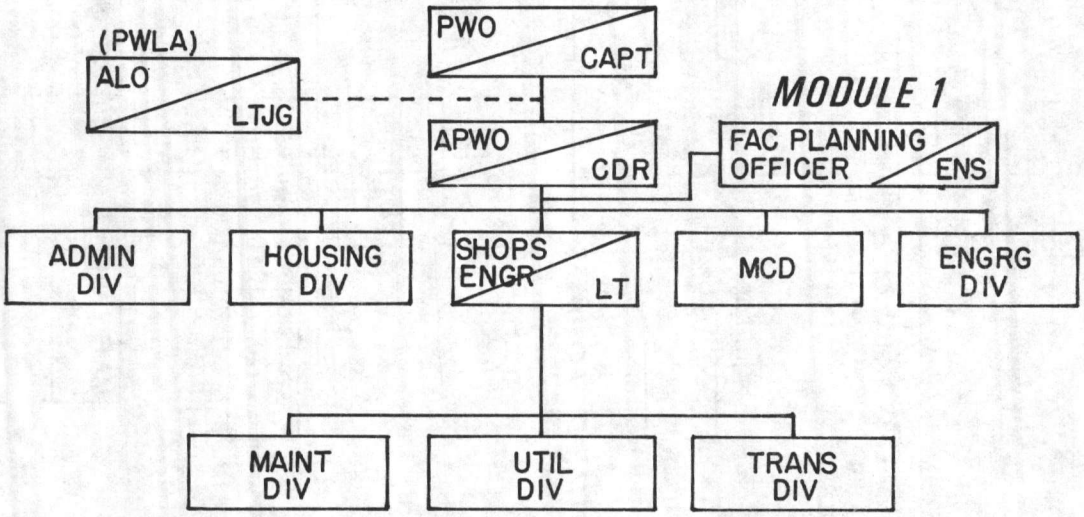
*Enter table with actual number of employees plus an equivalent employee number representing service contracting. Divide annual service contracting amount by $25,000 for equivalent employee number.

Billets and Structure

INDEX	MODULE NO.	PWO	APWO	SHOPS ENGR	FAC PLNG OFFICER	UTIL PLANT ENGINEER
30-23	1	CAPT	CDR	LT	ENS	ENS
22-16	2	CDR	LCDR		ENS	
15-11	3	LCDR	LTJG		ENS	
10-5	4	LT				
4-3	5	LT				
2-1	6	LTJG				

FIGURE 2-4
CEC OFFICER BILLETS IN THE PUBLIC WORKS DEPARTMENT

PUBLIC WORKS DEPARTMENT MODULES



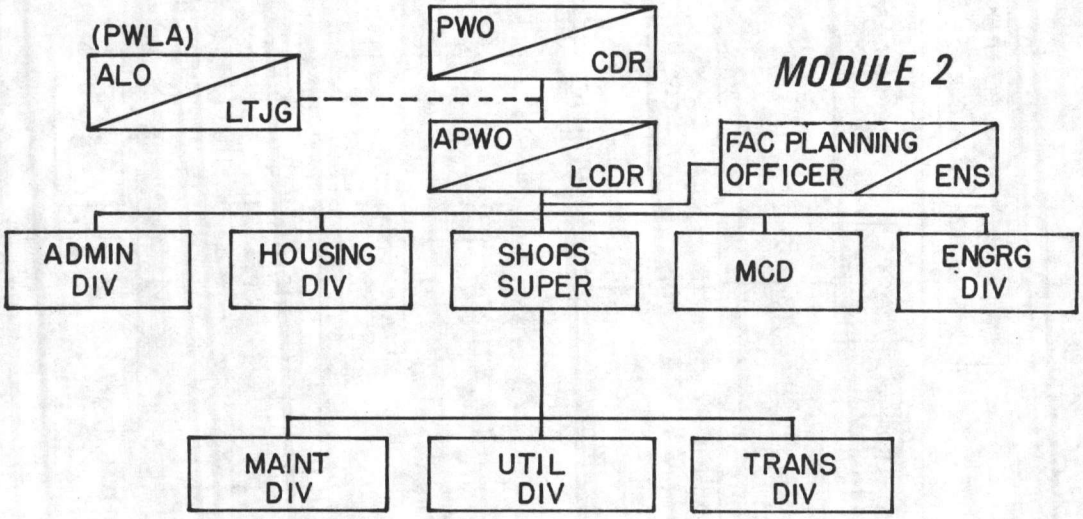


FIGURE 2-5

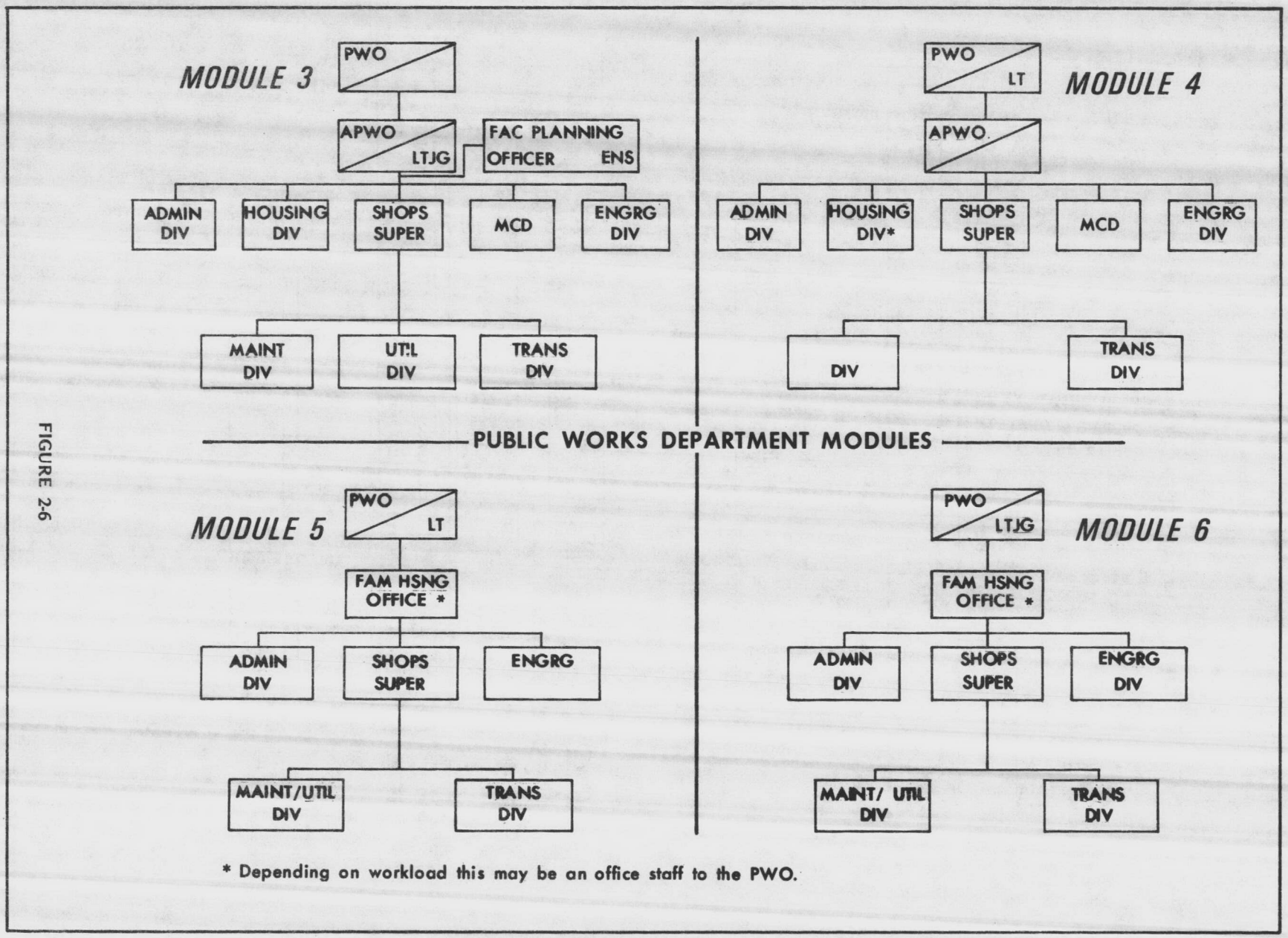

MODULE 3
PWO
APWO
LTJG
FAC PLANNING OFFICER ENS
ADMIN DIV
HOUSING DIV
SHOPS SUPER
MCD
ENGRG DIV
MAINT DIV
UTIL DIV
TRANS DIV
MODULE 4
PWO
LT
APWO
ADMIN DIV
HOUSING DIV*
SHOPS SUPER
MCD
ENGRG DIV
DIV
TRANS DIV
PUBLIC WORKS DEPARTMENT MODULES
MODULE 5
PWO
LT
FAM HSNG OFFICE *
ADMIN DIV
SHOPS SUPER
ENGRG
MAINT/UTIL DIV
TRANS DIV
MODULE 6
PWO
LTJG
FAM HSNG OFFICE *
ADMIN DIV
SHOPS SUPER
ENGRG DIV
MAINT/ UTIL DIV
TRANS DIV
* Depending on workload this may be an office staff to the PWO.

FIGURE 2-6

h. Inspects Public Works work for satisfaction of customer requirement.

Further explanation of the role of the ACE at the PWC may be found in the PWC Addendum to this manual.

3. Staff Civil Engineer (SCE).

a. The term Staff Civil Engineer as used here refers to a CEC officer assigned to an activity served by a PWLA or a PWC. It should be noted that the same term is used to describe CEC officers on the "Staff" of major commands. In this latter case, his work consists of advising the command on Facilities matters and allocation of resources for Facilities Construction and Maintenance to subordinate activities.

b. At an activity served by a PWC/PWLA, the SCE has the same functions as the ACE/ALO. The difference lies in the fact that the SCE has primary duty to the supported activity with additional duty to the PWC or PWLA rather than vice versa. The Staff Civil Engineer is his Commanding Officer's advisor for all facilities matters and should be concerned with the full range of functions as though he were the PWO.

Staff Civil Engineer/Activity Civil Engineer functions and assignment policies are contained in OPNAV INSTRUCTION 5310.15 of 29 May 1979. This document clearly tasks SCE's and ACE's with functioning in all respects as the supported shore activities' Public Works Officer, normally reporting directly to the CO/XO. The primary role of the SCE/ACE is to provide expertise in the planning, programming, and budgeting of resources for Real Property Maintenance of real property execution plans. It is not intended that the primary area of concern of the officers be liaison with the organization providing public works support.

4. The Shops Engineer. The Shops Engineer is responsible for the direction and coordination of all matters pertaining to the operations of the Maintenance, Utilities, and Transportation Divisions and for maintaining liaison between the Public Works Departments and other components of the activity on transportation, utilities, and maintenance matters.

5. Utilities Engineer. The Utilities Engineer billet is intended to be used as follows:

a. Implement, coordinate, and maintain an effective Utilities Conservation Program.

b. Survey, review, and recommend action to improve plant efficiency including operational improvements and replacement/repair projects.

c. Coordinate metering, monitoring and reporting requirements.

d. Installation planning for automated energy monitoring and control systems.

The Utilities Engineer billet should be filled with an energetic, highly capable junior officer, preferably with a background in utilities through experience and/or education (electrical or mechanical engineering). The billet should be placed where the Public Works Officer determines it can be used to best advantage. Some prefer it in the Utility Division; others in the Engineering Division. Still others have established the position as an immediate staff assistant to the PWO/APWO. Regardless, the Utilities Engineer billet should not be assigned supervisory responsibilities in the Utility Division.

6. Facilities Planning Officer. The Facilities Planning Officer billet will:

a. Give the activity an opportunity to do future planning by providing an added skilled resource. (Future planning has frequently been an under-supported, low priority function.)

b. Provide junior officers with a billet in which they can utilize their engineering education and experience and learn the Navy's Shore Facilities Planning System (SFPS). This should provide productive and satisfying jobs for junior officers.

c. Provide the Facilities Planning Officer the opportunity to lead by working with the Director, Engineering Division, who in almost all cases, is a senior and knowledgeable professional engineer.

C. Civilian Employees.

The occupational spread of civilian positions in the department is very broad. They range through at least nine (9) of the nineteen (19) groups identified in the General Schedule (G.S., white collar) of Occupational Groups, and through a host of Federal Wage Board (F.W.S., blue collar) positions.

For instance, many of the positions in the Engineering Division are from the Engineering and Architecture Group (800); many positions in the Administrative Division fall within the General Administrative, Clerical and Office Services Group (300); while in the Operating Divisions, the positions could range from Foreman (W.S.) through many crafts/skills, i.e., Electrician (WG-2805), Boilerplant Operator (WG-5402), etc., as well as several intermediate supervisory levels; General Foreman — Electrician, Foreman — Carpenter, etc. (See Chapter 14.)

Total employment of civilians in the command, and within the department, cannot normally exceed limits established by the budget. Currently, the numerical limit upon civilian employees is directed by the Major Claimants.

Requests for exceptions to these limitations can be made with supporting justification data to the sponsor command/major claimant.

1. Position Management. Indirectly related to the business of numerical employment levels is the Navy Position Management Program as described and directed by SECNAVINST 5310.11 (series).

The Commanding Officer of each field activity is responsible for:

a. Assuring that the activity has a position management system that meets the basic criteria specified in enclosure (1), to SECNAVINST 5310.11 and that the system is given continuing attention.

b. Assuring that the line management and staff specialists in his organization are made aware of and carry out their assigned responsibilities for position management.

c. Assuring that work organization and staffing arrangements form a sound and economical organization for the most efficient accomplishment of mission, and directing corrective action when the evaluated results of position management reviews indicate a need for improvement in position or staffing structure.

d. Periodically evaluating the effectiveness of the position management system itself, and directing corrective action where warranted.

e. Assuring that appropriate records are maintained.

One of the principal benefits to be derived from a formalized position management system is the service it provides the line manager. The manager has always had to consider organization structure; the number, types and grades of positions required to accomplish the mission; the employment market; the availability of funds; and how to attract, retain, develop, and advance employees. He has generally been able to call upon a variety of staff specialists to provide him with data and recommendations designed to assist him in making his management decisions. Often, however, they are furnished from different points in time, without full regard for the interrelationships involved.

Position management provides a means whereby all of these aspects may be brought together, at one time and in one place, so that all management levels may make better decisions with the least expenditure of time.

The responsibilities for position management, therefore, are assigned to line management; and as a staff function to specialists trained in management analysis, organizational planning, employment, position classification, employee development, and financial management. The Public Works Officer should become familiar with the work of the Position Management Officer of his activity.

PART 2 — ADMINISTRATIVE AND TECHNICAL DIVISIONS

2.2.1 Administrative Division. The Administrative Division is responsible for all matters pertaining to organization, methods, procedures, work flow, work measurement (except shop work methods and techniques), civilian personnel, office services, reproduction, reports, statistics, budget and finance. In addition, when local conditions warrant material purchases by the Public Works Department, this function will normally be performed by the Administrative Division. The position of Director of the Division should be established for an incumbent who has a well-rounded background of education and experience in the field of business or public administration. The functions of this position should be heavily weighed with requirements for the analysis of organization, work flow, personnel utilization, and for the development of financial and budget techniques that constitute valuable management tools.

A. Personnel. The Administrative Division is responsible for matters pertaining to timekeeping and personnel records, and for maintaining liaison with the activity Civilian Personnel Office or the Personnel Officer of the servicing activity. One or two clerks ordinarily will perform all of the necessary work of maintaining the records that the Public Works Officer requires. Public Works normally should rely upon the Civilian Personnel Office or the Personnel Officer of the servicing activity for technical personnel services, and should not duplicate any services which that office is prepared to provide.

B. Office Services. This function includes responsibility for all matters relating to the procurement and distribution of office supplies, furniture, and office equipment; stenographic and typing pool services; duplicating machine services; messenger services; central files; and other internal services.

C. Financial. This function is normally a separate branch and responsible for developing, coordinating, and presenting budgets; fiscal auditing and accounting matters; compiling, recording, and

reporting real property data, and inventorying of public works materials. The Branch will maintain accounting controls on Expense Operating Budgets made to the Public Works Department and shall control, from a financial standpoint, job orders written against such Expense Operating Budgets. This Branch is responsible for providing accounting data for all job orders. It will assure that accounting data on job orders is not only technically accurate but, also, that the work described is properly chargeable to the accounting data cited and that funds are available. These activities should not duplicate activity of the Fiscal Officer. It is possible that the Public Works Departments of larger activities may find it necessary to establish the following Sections within the Financial Branch:

Budget Section
Finance Section
Plant and Material Inventory Section

D. Management Analysis. This function includes responsibility for maintenance of records of all reports required by the Department, including certain reports, required by the Public Works management programs, the due dates of such reports, and information showing compliance with reporting requirements; the accumulation of statistics and the preparation of statistical reports; and charts and graphs as required. The Management Analyst is also responsible for conducting staffing and utilization studies such as those arising from CITA cost studies, required by OMB Circular A-76 (see section 2.7). As a comparatively new program, the CITA effort is still being refined, thus guidance on conducting cost studies should be sought from the EFD.

2.2.2 Housing Division

A. Organization. The internal organization of the housing division and the number of positions depends on the extent of assets managed, housing surveys, referral services, and other requirements determined by permanent party strength and complexity of the program and workload. Where assets or workload do not require the establishment of a full-time position, the functions may be performed on a collateral or part-time basis, however, the overall management responsibilities will remain unfragmented and assigned to the PWO. A detailed description of family housing functions, organization, and staffing criteria is included in Chapter 4, NAVFAC P-930, *Navy Family Housing Manual.*

When the Public Works Officer is Housing Officer, the duties of the Housing Division Director will include preparation of recommendations on the numerical housing requirements, on utilization of housing facilities, and the means of meeting deficiencies; the preparation of recommended regulations and procedures in regard to applications; eligibility, and/or assignment to housing or quarters; the recommending of rents and charges for housing occupancy; maintenance of liaison with representatives of owning corporations and with occupants of privately-owned (Title VIII) housing projects; and the maintenance of liaison with local authorities and with representatives of other Federal agencies on housing matters. Complete information on housing matters is contained in NAVFAC P-930, *Navy Family Housing Manual.*

B. Functions. The Housing Division is responsible for housing administration, and through liaison with other divisions of the Public Works Department, arranges for inspection, planning and estimating, and performance of maintenance of housing. No inspectors, planners and estimators, or maintenance personnel are authorized for the housing component. Housing administration involves collecting rentals, maintaining cash controls and records, signing agreements for the Government, taking inventories, assisting in the preparation of budgets, initiating requests for funds, preparing occupant's handbooks and other publications, providing guidance for tenants' activities programs, promoting tenant maintenance programs, handling tenant relations when circumstances warrant special attention; representing the management in relation with tenant associations.

The function of providing a home for a military family goes far beyond the administrative response to a document. Every Housing Division action involves the comfort of a family. Too often, this is overlooked in favor of efficient administration and this can become impersonal, dehumanizing, and destructive of morale. Housing administration requires great patience on the part of Division personnel, sensitivity, and devotion to the service character of the Housing Division. The command cannot afford to tolerate anything less than constant awareness of the service character of the housing operation by all personnel involved.

2.2.3 Engineering Division

A. Responsibilities. The Engineering Division is responsible, with regard to public works and public utilities, for all matters pertaining to engineering studies and reports, including preliminary designs and estimates for special Repair and Improvement Projects; engineering design, including development of plans and specifications, with due recognition of the support available from the Engineering Field Division; field engineering, including hydrographic and subsurface surveys; photographic services; and the maintenance of technical plan files and records. This Division is responsible for preparation of Shore Facilities Planning documents and for the

submission of basic data required by the EFD, for preliminary engineering studies, including environmental impact analyses and project economic analyses.

B. Subdivision into Branches. Whenever the workload justifies or requires such action, the Engineering Division may be subdivided into appropriate branches. Each branch is responsible for the performance of one or more of the functions noted below.

1. Facilities Planning Branch
2. Electrical Branch
3. Architectural and Structural Branch
4. Civil Branch
5. Plans and Specifications Branch
6. Mechanical Branch

Survey work should be performed as a part of the civil component; a separate branch for survey work should not be established. Further, the number of branches should be carefully controlled to avoid duplication of management control.

C. Support by Engineering Field Division. The Public Works Officer should establish an Engineering Division sufficient to handle routine work only and should rely upon the EFD for the design of major public works and public works and public utilities, for the preparation of specifications in connection therewith, and for engineering investigations in specialized fields. When review of proposed plans or specifications is desired from a technical engineering standpoint, the activity should call upon the EFD.

2.2.4 Maintenance Control Division

A. Concept of Maintenance Control. Work planning and estimating will be most successful if the initiation of all maintenance work at an activity is processed through a designated component of the division that plans, estimates and programs the work. A successful maintenance management program requires:

1. An all-inclusive maintenance policy that calls for realistically scheduled control inspections and surveys of all facilities and equipment. (Fundamentally, the proper maintenance of an activity requires a knowledge of the deficiencies from the established maintenance standard. The determination of these deficiencies at the earliest date, together with the initiation of corrective action, is accomplished by the shore facilities inspection system.)

2. A reasoned procedure for indentifying those specific maintenance tasks which can best be accomplished by contract, shops personnel, or others.

3. Screening of all in-house maintenance work prior to submission to shops for accomplishment to insure that all work falls within the scope of Public Works Department's responsibilities. Necessary work will be handled expeditiously and economically in accordance with its relative urgency and need within the limits of funds and manpower availability.

4. Detection of abnormally repetitive or costly maintenance on specific facilities or components, or other abnormal conditions, and recommendations (with justification for funding) to the Public Works Officer for corrective action in the form of special maintenance, alteration, or repair projects.

5. Provision of labor and material estimates for all work other than that of an emergency/service nature.

B. Functions of the Maintenance Control Division. The Maintenance Control Division (MCD) is responsible for the preparation of a short and long range maintenance plan and workload program, screening and classifying all work requests, prior to submission to shops for accomplishment; the continuous inspection of shore facilities to reveal the need for maintenance work; the preparation of manpower and materials estimates for job orders; the determination of the need for engineering advice and assistance; and the initiation of requests to the Public Works Officer for approval to perform work by contract. The Division is also responsible for review, recommendation, and justification to the Public Works Officer for funding of special maintenance, alteration, and repair projects. For the usual types of maintenance work, and within limits specified by the Public Works Officer, authority to approve job orders should be delegated to the Director of the Maintenance Control Division.

1. MCD also prepares all estimated standing job orders, including those for utility system maintenance. These standing job orders are usually estimated for a three to twelve month period and specify frequencies of Preventive Maintenance Inspection (PMI). For those work requirements which will be accomplished by contract, especially those of a continuing (or standing) nature, MCD will normally prepare the contract plans and specifications. Working with the contract OIC, MCD will also normally provide inspection and quality assurance for service contracts.

The Maintenance Control Division may be subdivided into the components listed below:

a. Work Reception and Control Branch
b. Inspection Branch

c. Planning and Estimating Branch
d. Service Contract Branch

Branches should not be established unless there is a requirement for five or more wage board employees for each branch.

C. Work Reception and Control Branch. The Work Reception and Control Branch is responsible for screening, classifying, and recording all incoming requests for maintenance work (including emergency/service); controlling the step-by-step processing of work requests, inspection reports, job orders, emergency/service work authorizations; typing job orders; and maintaining inspection frequency files; etc. All clerical personnel employed in the Maintenance Control Division will be assigned to this branch.

D. Inspection Branch. The Inspection Branch is responsible for carrying out the shore facilities inspection program, the performance of assigned inspections of public works and public utilities within established schedules; the establishment and technical control of the Preventive Maintenance Inspection (PMI) for shop forces; the preparation of inspection reports reflecting physical condition of the plant including seeing that job orders are prepared for the deficiencies uncovered; and preparation of the Type "A" Annual Inspection Summary. The Inspection Branch is staffed with wage board inspectors and with a supervisory inspector unless the functions of this Branch are combined with the Planning and Estimating Branch.

E. Planning and Estimating Branch. Responsibilities of the Planning and Estimating Branch are outlined in the following paragraphs and apply to all planning and estimating work except that generated by the Shore Facilities Inspection System:

1. This Branch is responsible for the preparation of manpower and material estimates, and the compilation of estimating information designed to improve estimating techniques for labor and material costs.

2. The Planning and Estimating Branch is responsible for overall job planning and for preparing estimates for work to be accomplished, and for initiating and expediting job orders for work performed by the operating divisions in the Public Works Department. The substantive parts of the job orders will be prepared by this branch; accounting data will be provided by the Financial Branch, Administrative Division. Job orders are approved by the Public Works Officer, the Assistant Public Works Officer, or the Director of the Maintenance Control Division within his delegated authority. This includes providing necessary data for evaluation of all work (including that generated by the Shore Facilities Inspection System) by the Division Director, Assistant Public Works Officer, or Public Works Officer to aid him in reaching a decision in approving or disapproving the work requested, and to permit the cognizant shop supervisor to assign personnel without again surveying the job site.

F. Service Contract Branch. This branch is responsible for preparation and inspection of Facility Service Contracts. As well, it is tasked with certifying contractor invoices for payment. The responsibility for contract administration, including advertising the contract, receiving bids, awarding the contract, negotiating change orders, and paying the contractor will normally remain exclusively with the OICC. Recent emphasis upon contracting of Commercial/Industrial Type Activities (CITA's) is expected to result in a surge of service contracting. Thus, the functions of contract preparation, administration, and inspection require increased emphasis at both activity and NAVFAC (OIC) levels. Current thinking on the division of responsibility and billet structure is as follows:

1. Contract Preparation. As outlined in section 2.7, contract preparation will normally be accomplished as a step in the firm bid procedure called for by the Commercial/Industrial review process. Realistically, though, few activities have the in-house expertise to prepare plans and specifications for such contracts. To support the shore establishment, NAVFAC has published or is currently preparing candidate Statements of Work (SOW's) which can provide the basis for preparing plans and specs for Public Works Commercial/Industrial Type Activities. The activity remains responsible for tailoring each SOW to the particular needs of the command though guidance in accomplishing this should be sought from the EFD.

2. Contract Administration. NAVFAC has established within the OIC organization a new billet known as Service Contract Manager (SCM). The SCM is the NAVFAC resource responsible for the management of service contracts. He is assigned to the NAVFAC contracts field office and receives direction from the OIC/ROIC, and technical guidance from the EFD Code 10. The SCM, after contract award, is the OIC's representative and the contractor's point of contact. His prime responsibility is to make the contract run smoothly and to assure the purchased product is provided. If change orders are required, he must process them and make a recommendation to the OIC to issue a change; if the contractor is having problems, he must recommend action to the OIC in matters involving quality, time, money or safety; and he must coordinate matters of contract interpretations with the contractor, the contract specialist and the OIC. The Quality Assurance (QA) Surveillance program provides the SCM with information on the

contractor's performance. The SCM has technical control and responsibility for this program. Some or all of the SCM *duties* may be delegated to the Public Works Department if mutually agreed between the OIC and PWO that adequately trained PW staffing is available.

3. Inspection. To ensure contractor performance, activities should establish the billet(s) of Quality Assurance Evaluator (QAE). The QAE serves as the eyes and ears of the SCM. He performs the actual contract surveillance/inspection and reports to the SCM. The QAE is on the activity's ceiling and may be physically located in any one of the Public Works Department (PWD) functional areas, in a separate branch within the Maintenance Control Division (MCD), or in a department other than Public Works. Administratively, he reports to the activity but on service contract matters he reports to the SCM. Under the SCM's (or supervisory QAE) direction, the QAE will prepare and implement a QAE Surveillance Plan. Activities that have a requirement for many QAEs will probably elect to establish a Supervisory QAE position. The Supervisory QAE acts as the interface between the QAEs and the SCM. At larger activities the OIC and PWO may mutually agree to delegate some or all of the SCM's duties to the Supervisory QAE depending on the Supervisory QAE's experience and the activity's involvement with service contracts.

G. Alternative Organization (Module 5 and 6). Public Works Departments (usually having less than 100 total personnel in the Maintenance and Utilities Divisions) should combine the Maintenance Control and Engineering Divisions into one division — an Engineering Division. Experience has shown that at such activities the workload of the two divisions is not of sufficient scope and quantity to justify establishment of two engineering positions at a sufficient grade level to attract highly qualified incumbents. By this combination the activity will be in a better position to secure a qualified engineer to supervise the maintenance control and engineering functions. When this procedure is adopted, branches should not be established unless there is a requirement for five or more personnel for the Branch. Module 4, Public Works Departments, usually have between 100 and 125 total personnel in the maintenance and utilities divisions combined, might consider the advantages of such a merger. However, Module 3 and larger PWDs should not combine the Engineering and Maintenance Control Divisions, since the scope and quantity of work in each area requires the full-time attention of one incumbent, and should be sufficient to obtain high enough grade allocations to attract qualified directors for both divisions.

PART 3 — OPERATING DIVISIONS

The following paragraphs describe the Public Works Department with separate Maintenance, Utilities, and Transportation Divisions. The smaller Public Works Departments with limited staffing and workload (see Figure 2-6, Module 6) may have combined the functions of the Operating Divisions into a single Shops Division.

2.3.1 The Shops Engineer. As noted in paragraph 2.1.2.B.4, the Shops Engineer is responsible for the direction and coordination of all matters pertaining to the shop operations and for maintaining liaison between the Public Works Department and others on shop matters.

The Shops Engineer will be the Acting Assistant Public Works Officer in the absence of the Assistant Public Works Officer. At Public Works Departments without a Shops Engineer, the above duties will normally be performed by a civilian Shops Superintendent (Modules 2 through 6).

2.3.2 Shops Division Directors (Civilian). The Shops Division Directors may report directly to the Shops Engineer, Shops Superintendent and/or Assistant Public Works Officer on all matters concerning civilian personnel actions and grievances within the division. In addition, the Division Director, in a supervisory capacity, is responsible for the discharge of the following duties:

1. Production Control. Actual direct labor hours should not exceed the estimated or standard hours time where established.

2. Overhead Control. Actual overhead percentage amounts should not be excessive or exceed standard amounts where established.

3. Job Assignments. Job assignments in work centers/branches must be so regulated that delay times are kept to a minimum.

4. Quality of Workmanship. Final inspection of in-house work will be made by the Shop Division Director. Work accomplished must be to a standard equivalent to that which would be called for were the job to be performed by contract.

5. Material Usage. Material usage will be verified by the Shop Division Director.

6. Personnel Assignment. Personnel will be assigned as workload and backlog dictates. In the service branches shifts will be established for continuous operation as required.

7. Personnel Training. The Division Director will insure the proper training for the

various trade groups as required by Civilian Personnel Directives.

2.3.3 Maintenance Division

A. Size of Maintenance Division. In general, the maintenance force should be sufficient to perform only regular maintenance. Alterations, new construction, and major maintenance and repair should be performed by contract to the extent possible.

B. Functional Responsibilities. The Maintenance Division is responsible for the accomplishment of the maintenance of all public works, utilities and Family Housing. This includes, when authorized, repair, alteration, and new construction incident to maintenance, except work that may be done by private contract. The Division is also responsible for PMI and for receiving and accomplishing emergency/service work, as well as doing all work on utilities plants and systems except that performed by Utilities Division personnel. It is also tasked with providing caretaking services, and for the upkeep of all grounds of the activity, and the accomplishment of insect and rodent control.

1. Components of Maintenance Division. The shop components of the Maintenance Division will vary among types and sizes of activities because of the availability or nonavailability of certain crafts and shop facilities within other organizational components of the activity. For example, the variety of crafts and shops required in the Public Works Department at a nonindustrial activity, such as a Naval Training Center, will be greater than at an industrial activity, such as a shipyard, because of the availability of support from production shops at the latter. The grouping of shops by branches as shown below may require realignment locally to give maximum supervisory efficiency depending on the size of the shops and the availability of support from other shops within the activity. The following shops and groupings thereof are suggested for consideration when and as required:

a. Building Trades Branch:

Carpentry
Paint
Wharf Building
Masonry
Rigger (Local conditions may warrant placing riggers in one of the other branches or in the Transportation Division)

b. Metal Trades Branch:

Plumbing and Pipe Fitting
Boiler (at activities where boiler workload warrants, otherwise handled in Plumbing and Pipe Fitting Shop)
Sheetmetal
Machine

c. Electrical Branch:

Electrical
Communications and Fire Alarm
Refrigeration and Air Conditioning

d. General Services Branch:

Janitorial and Grounds (including Labor Pool)
Refuse Disposal
Grounds Structures (Railroad Trackage, Roads, Paving, etc.)
Pest Control Services (including chemical weed control)

e. Emergency/Service Branch. The Emergency/Service Branch is responsible for accomplishing 50% or more of all work on an emergency/service nature, thus allowing other shops to devote their time to scheduled maintenance work.

Activities having over 100 total personnel in the Maintenance and Utilities Divisions combined should establish this component. Activities having less than 100 personnel should do so only when the volume of work in this area is sufficient to justify a staffing of at least five personnel.

The staff of the Director of the Maintenance Division may include clerical personnel, a maintenance scheduler, and shop planners. The maintenance scheduler provides overall job planning at the Maintenance Division level. The shop planners provide supplemental detailed planning at the work center level. A ratio of approximately one shop planner to sixty Wage Board employees in the Maintenance Division or one shop planer to forty personnel in the basic trade areas (building trades, metal trades, electrical) is adequate.

Organizationally, the shop planners should be on the staff of the Director of the Maintenance Division. If less that six shop planners are employed, they should be placed under the supervision of the scheduler. If six or more are employed, a Shop Planning Staff may be formed, with the superivsory shop planner under the direct supervision of the Director of the Maintenance Division.

f. Quality Assurance Evaluation (QAE). If warranted by the volume of Maintenance Service contracts, a separate billet to inspect them may be established in the division. Administratively subordinate to the division director, the QAE would

report to the Supervisory QAE (normally located in MCD) on service contract matters.

2.3.4 Utilities Division

A. Functional Responsibilities:

1. The Utilities Division is responsible for the operation of utility plants and distribution systems. This Division is responsible for the operation, operator inspection, Preventive Maintenance Inspection, and service work in accordance with maintenance management procedures for power, heating, refrigerating, compressed air, water, and sewage treatment plants; fixed pumping stations and substations; also of electric, water, steam, air, gas, and fuel oil distribution systems, except Supply Department fuel storage plants.

2. Utilities Division is responsible for determining the need of maintenance, scheduling shut-down time for the availability of equipment and systems for accomplishment of maintenance and overhaul, inspecting the work in progress, and final acceptance inspection of the work when completed. The schedule for maintenance or overhaul of utilities plant equipment shall normally be approved by the Public Works Officer, and such schedules should be utilized for the routine overhaul of such equipment in accordance with MO-322.

3. The Utilities Division will provide the necessary assistance as requested for control inspection in specialized areas.

4. Utilities Division shall be staffed with the minimum number of personnel of utilities and related utilities trades to perform the above functions. Maintenance work beyond the responsibilities in 1 above shall be recommended by the Director of the Utilities Division and processed through the Maintenenace Control Division for accomplishemnt either by contract or by station forces in accordance with MO-321. When maintenance or overhaul work is accomplished by station forces, Utilities Division will provide technical and journeyman assistance as necessary and available.

5. Maximum utilization shall be made of all Utilities Division personnel on utilities maintenance work within the plant.

B. Components of Utilities Division. The Components of the Utilities Division will vary among types and sizes of activities and will also depend on the degree to which utilities are generated or purchased.

1. The following components are suggested for consideration when and as required.

a. Generation and Distribution Branch:

Steam
Electric
Miscellaneous

b. Water and Sewage Branch:

Water Treatment
Sewage Treatment

c. Quality Assurance Evaluation Branch:

Similar to the QAE for maintenance (Para 2.3.3.B.1.f.) however, branch would be responsible for inspection of Utility Service Contracts vice Maintenance Service Contracts.

2. The staff of the Utilities Division may include clerical personnel for division administration.

2.3.5 Transportation Division

A. Functional Responsibility. The Transportation Division is responsible for providing transportation and equipment services to all components of the activity. These include: operating vehicle and equipment pools; operating scheduled and unscheduled passenger and freight transport systems; maintaining automotive, construction, railroad, mobile firefighting and weight-handling (materials-handling) equipment, where applicable. The Transportation Division is also responsible for determining the maintenance and repair required; the scheduling of the work; the accomplishment of the maintenance and overhaul; the inspection of the work in progress; and the final acceptance inspection of the work when completed.

B. Organizational Components. Normally the organization will consist of two branches: an Operations Branch and an Equipment Maintenance Branch under a Superintendent. A Quality Assurance Branch may also be required. The Transportation Division Director is responsible for planning, organizing, as well as directing, supervising, controlling, and coordinating work of the two branches along with administrative control of the QAE Branch. The Director shall be responsible for achieving the objectives of the Division by providing responsive transportation services to the activity with safe and reliable vehicles/equipment in a cost effective manner. The major functions of the two branches are as follows:

1. Operations Branch

a. Operates activity bus and taxi systems for the movement of personnel.

b. Operates trucking system for intra-station movement of material and equipment.

c. Operates solid waste collection systems.

d. Provides equipment with operators in performing facilities maintenance functions including special rigger and equipment for heavy lifts and movements.

e. Assigns vehicles on long term to using departments. (Type "B" assignments.)

f. Operates station motor pool and assigns vehicles on daily or trip basis (Type "C" assignments) and respond to all intermittent random demands.

2. Equipment Maintenance Branch

a. Plans and schedules all maintenance actions to ensure efficient shop loading and minimum equipment downtime.

b. Inspects, diagnoses and directs maintenance actions required to ensure safe, serviceable equipment in a cost-effective manner.

c. Accomplishes all maintenance actions authorized on Shop Repair Orders ensuring the optimum productivity of the work force and parts and material requirements.

d. Performs Quality Control Inspections to ensure the safety and reliability of all maintenance accomplished.

3. Quality Assurance Evaluation Branch. Similar to the QAE for maintenance (Para 2.3.3.1.f) however, Branch would be responsible for inspection of transportation Service Contracts vice Maintenance Service Contracts.

4. Subordinate Components. Depending on the size of the activity, subordinate organizations may be established to carry out the functions outlined in subparagraphs a. and b. above. These sections will normally be headed by a Foreman or General Foreman. These suggested sections are as follows:

a. Under the Operations Branch:

(1) Station Bus Section
(2) Taxi Section
(3) Heavy Equipment Section
(4) Crane and Rigger Section
(5) Operator Licensing and Examining Section

b. Under Maintenance Branch:

(1) Shop or Production Control Section
(2) Inspection and Estimating Section
(3) Automotive Repair Section
(4) Heavy Equipment Repair Section
(5) Materials Handling Equipment Repair Section

PART 4 — THE SEABEE DIVISION

2.4.1 The Seabee in the Public Works Department.

A. No specific mention has been made thus far in the discussion of the organization of Public Works Departments as to where, or if, enlisted Seeabees fit in. They can and do, however, provide many valuable services. For example, the senior petty officer can provide much experience and leadership within the PWD. This source of assistance and talent has often times been overlooked. There are several reasons for this. One is that the Public Works Organization, functions, and methods are often not fully understood because he has often had little or no training or experience in public works itself. The vocabulary, paperwork, procedures, etc. are unfamiliar. The Public Works Officer who assumes that the newly arrived Seabee understands what is supposed to be going on in the PWD could be making a serious mistake. It will be well worth the time to explain the entire organization and how it functions to all incoming enlisted personnel so that they and the PWD may derive the most benefit from their tour.

B. A training program should be established which not only concentrates on military subjects, but which also provides expanded emphasis on management skills. For example, the purpose of Maintenance Control may be clear to the PWO, but someone unfamiliar with this concept may find it unfathomable. It is important, especially for the senior petty officers, that they look at the management of the entire department and not just at their particular job or division. This text is a good tool to use...perhaps one chapter a week could be read and discussed. Then the specific application at that particular activity could then be examined.

C. Be conscious of where and how the Seabees talents are utilized and how your organization, the Navy, and the particular individual can be best served. Some examples of where the Seabees have been used in the Public Works Department organizational structure are:

1. A separate Seabee Division reporting to the Shops Engineer (working on Self-help and other projects).

2. Integrated with the shops forces as a member of the work crew. This is difficult to achieve for a number of reasons, among which are: the difference in the skill level of the civil service craftsmen and the Seabee, the difference in the basic work rules (e.g. military inspections and other duties vice a strict accountability of time for civil service employees), and some feeling of "taking work away" from the civilian employees (in almost every case there is much more work that we can ever hope to get to with all the people we have).

3. A separate branch of the transportation division for all the Seabees assigned. This is not recommended because of the low job satisfaction — especially for those who are not equipment operators. The skill training opportunities are not very high in this arrangement.

4. A separate Emergency/Service branch. This provides some additional job satisfaction but it has the disadvantage of not having the continuity necessary to locate the problems (especially in utilities) and solve them.

2.4.2 The CBU. The Construction Battalion Unit, under a CEC Officer as Officer-in-Charge, is an independent unit, reporting not to the Public Works Officer, but to the activity Commanding Officer. It will have the integrity of a military unit (to an extent not realized under previous practices) and because of that will be able to maintain a high degree of military readiness. The CBU could in time of emergency become part of the fleet more quickly. Further, the opportunity for the men of the unit to be occupied in work related to their rating would be much greater, thus removing the penalty feature of shore duty. The first CBU, 401, was established at Great Lakes, Illinois, on 15 December 1969. Chapter 15, Collateral Duties of the Public Works Officer, further discusses the CBU.

PART 5 — MARINE CORPS GROUND ACTIVITIES

2.5.1 General. Although the PWD's at Marine Air Stations are organized like PWDs at most Naval Activities (as previously described in this chapter), the function of the CEC officer who is titled "PWO" at a Marine Corps Ground Activity is decidedly different.

2.5.2 Organization. At USMC Ground activities the Public Works Officer and the Public Works Department are responsible for facilities engineering and planning, construction contracting and utilities contract administration. The other areas of responsibilities common to Public Works Departments at Naval activities such as Maintenance and Utilities, Housing, Telephone Systems and Natural Resource Conservation are assigned to Marines. This division of responsibility is spelled out in MARINE CORPS ORDER P11000.7 of 22 January 1971, Volume III, and shown in Figure 2-7.

PART 6 — MODIFICATION OF THE STANDARD ORGANIZATION

2.6.1 General. While circumstances at some activities will seem to mandate deviations from the organizations showm herein, all concerned should consider change carefully before forwarding. Too often in the past, reorganization has been used as a symbol for the "new broom." Every reorganization costs something, and often the costs in the long-run outweigh the benefits. The case for organizational change should be documented, and expected benefits should not be presumed but should be described in such a manner that an objective review would support the change.

A. Reorganization is not a cure for poor morale, substandard performance by key personnel, nor a source of motivation, nor a crutch for ineffective departmental leadership. Neither will it necessarily eliminate empires; it may only drive an empire underground.

B. Studies which may lead to eventual reorganization should involve individuals who will carry the load of making the revised organization work. Reorganization studies and plans developed "in camera" are almost always doomed.

C. In the words of Peter Drucker: "If you have no case against (reorganization), you have no case for." There will always be a case against. If you cannot articulate it, you haven't considered alternatives; which is to say — you haven't done your homework. You can be sure that the case "against" will be developed by reviewing authorities.

D. Finally, in reorganization studies, the structure of an organization must never be considered separately from procedures, or the courses that work in process must follow for economic achievement. The case for simplicity is over-powering; and reorganizations which require work processes to travel tortuous or devious routes inevitably develop costs in terms of time, delay, opportunity for error, indifference, or which invite communication failure only creat problems greater than the original. It is also important to remember, in the midst of reorganization planning, that people are more important than things. Excessively bureaucratic organizations are never acceptably productive. Some reorganizations only dig a deeper bureaucratic rut.

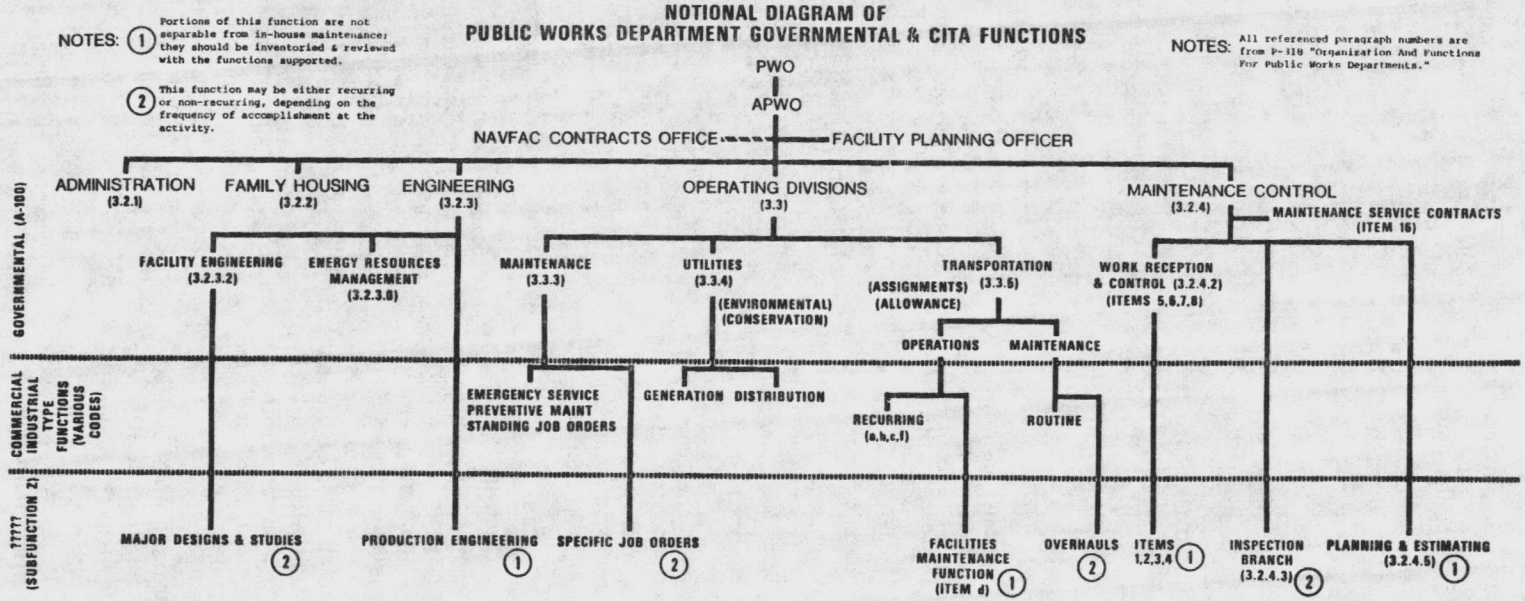

NOTIONAL DIAGRAM OF
PUBLIC WORKS DEPARTMENT GOVERNMENTAL & CITA FUNCTIONS
NOTES: (1) Portions of this function are not separable from in-house maintenance; they should be inventoried & reviewed with the functions supported.
(2) This function may be either recurring or non-recurring, depending on the frequency of accomplishment at the activity.
NOTES: All referenced paragraph numbers are from P-318 "Organization And Functions For Public Works Departments."
PWO
APWO
NAVFAC CONTRACTS OFFICE
FACILITY PLANNING OFFICER
ADMINISTRATION (3.2.1)
FAMILY HOUSING (3.2.2)
ENGINEERING (3.2.3)
OPERATING DIVISIONS (3.3)
MAINTENANCE CONTROL (3.2.4)
MAINTENANCE SERVICE CONTRACTS (ITEM 16)
FACILITY ENGINEERING (3.2.3.2)
ENERGY RESOURCES MANAGEMENT (3.2.3.8)
MAINTENANCE (3.3.3)
UTILITIES (3.3.4)
(ENVIRONMENTAL) (CONSERVATION)
TRANSPORTATION (3.3.5)
(ASSIGNMENTS) (ALLOWANCE)
WORK RECEPTION & CONTROL (3.2.4.2) (ITEMS 5,6,7,8)
OPERATIONS
MAINTENANCE
EMERGENCY SERVICE
PREVENTIVE MAINT
STANDING JOB ORDERS
GENERATION DISTRIBUTION
RECURRING (a,b,c,f)
ROUTINE
GOVERNMENTAL (A-100)
COMMERCIAL INDUSTRIAL TYPE FUNCTIONS (VARIOUS CODES)
????? (SUBFUNCTION Z)
MAJOR DESIGNS & STUDIES (2)
PRODUCTION ENGINEERING (1)
SPECIFIC JOB ORDERS (2)
FACILITIES MAINTENANCE FUNCTION (ITEM d) (1)
OVERHAULS (2)
ITEMS 1,2,3,4 (1)
INSPECTION BRANCH (3.2.4.3) (2)
PLANNING & ESTIMATING (3.2.4.5) (1)

FIGURE 7

PART 7 — THE NAVY COMMERCIAL/ INDUSTRIAL TYPE ACTIVITY (CITA) PROGRAM

2.7.1 Background. The single most important responsibility of the Public Works Officer is resource management. He is obliged to both the command and to the taxpayer to prioritize the demands upon his resources and to efficiently apply them to satisfy as many of those demands as possible.

Most, when speaking of resources, think in terms of money, manpower, and material. It is apparent, though, that manpower and material are really just another form of money; that is, the manager can translate money into the purchase of that manpower/material mix he deems best to accomplish his objectives. Though the PWO does not have the authority to freely swap money between material and manpower, the principle is valid.

The PWO has additional options on how to exchange his money. First, he can staff his shops and purchase material through the Supply Department. Alternately, he can use contracts to translate money into work accomplishment. Both of these options, contract and in-house, have their own advantages and disadvantages. It has been the PWO task to decide which will work to the best advantage of his activity — keeping in mind his responsibility for sound resource management.

In recent years, senior echelons of the Navy have become far more active participants in this decision between in-house and contract work performance. This new involvement is a result of stepped up government concern regarding Commercial/ Industrial Type Activities.

Briefly defined, a CITA is an activity operated and managed by a DOD component, such as a Navy shore installation, that provides a product or service also obtainable from a private, commercial source. Ship overhaul and repair is a good example. Our Navy shipyards can perform the most extensive of overhauls; but so can (and do) a number of private yards. Aircraft engine maintenance, which requires significant skill and training is also performed outside the military by a variety of airlines and aircraft maintenance firms and is thus a CITA.

Janitorial service, an important public works function, is certainly available through a variety of civilian firms. For that matter, so is painting, vehicle maintenance, grounds care, and so on. In fact, much of what is done by Public Works is also performed by private sector firms and could be contracted out.

Since the mid-1950's, it has been federal policy to contract CITA functions rather than perform them in-house. There were exceptions allowed though. For example, any function could continue to be performed in-house if doing so proved less costly to the government. CITA policy was even formalized in an Office of Management and Budget (OMB), previously known as Bureau of the Budget, directive known as Circular A-76. In addition to establishing the policy and identifying a variety of C/I functions, A-76 included a method for conducting a cost study in order to determine if contracting a particular CITA was cheaper. If so, and there was no overriding reason not to, it was to be put out for contract. Follow-on Navy guidance tasked individual activities with identification, review, and if appropriate, cost study of CITA functions.

So much for policy. For 20 years the program was largely adrift. The cost study, known as the Commercial/Industrial Review was an exercise in paper pushing for most activities; an exercise which inevitably determined in-house performance to be the best deal. Failing that, it justified contract avoidance on some other grounds such as loss of mission capability. Contracts were generally used to accomplish one-time jobs beyond the capacity of the station work force, seldom to accomplish continuing PW tasks.

2.7.2 Current Status. Since the mid 1970's, CITA's have been the subject of intense government interest. This interest centered on a desire to resurrect and stimulate long-standing policy on performance of CITA's. In March 1979, after several years of jousting with the Congress, OMB published a revised Circular A-76 reinforcing the government policy of contracting CITA functions. Further, it severely restricted allowable exceptions to this policy and included a far more rigorous cost analysis procedure. A key element of this new analysis was a requirement for those performing it to implement a "Firm Bid" procedure. Using this procedure, the command or activity is required to spell out a clear Statement of Work (SOW) for the function being studied and prepare a cost estimate, in effect a bid, for government performance of that work. Contractors would also be given the opportunity to bid on a contract package built around the SOW. By a specified date, all parties. contractors as well as government, must submit their bids which are then opened and compared. The government retains its' in-house capability only if it is found cost-effective to do so. Otherwise the function is to be contracted and the federal employees transferred or released under RIF processes.

2.7.3 Implementation. It is apparent the new A-76 process has significant consequences for the PWO. As mentioned earlier, many PW functions are CITA's, thus the task of complying with A-76 is a significant undertaking.

Current Navy guidance breaks compliance into three separate steps:

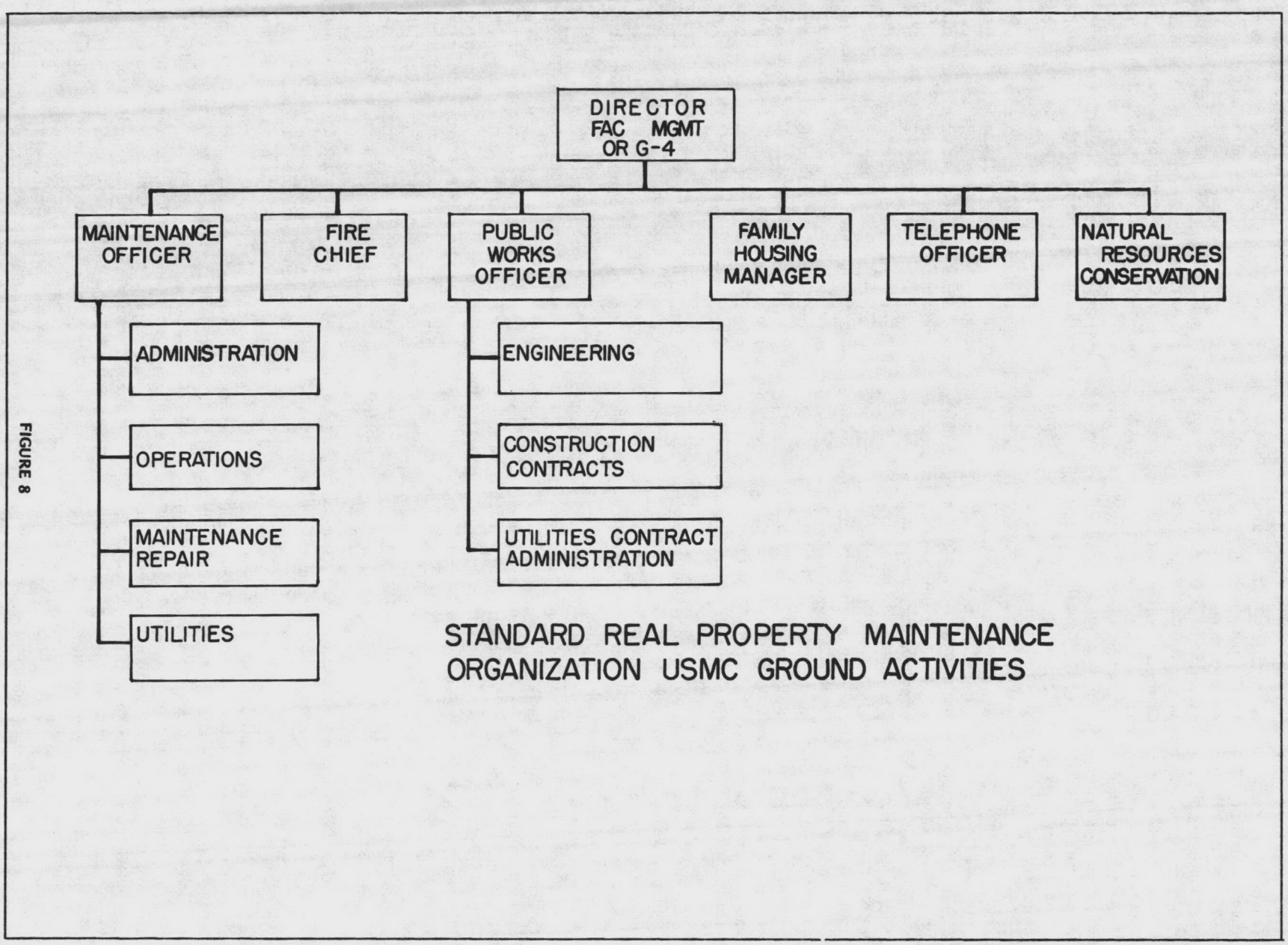


FIGURE 8

STANDARD REAL PROPERTY MAINTENANCE ORGANIZATION USMC GROUND ACTIVITIES

A. Inventory. This involves identification of PW functions which should be reported to the major claimant as being a CITA. The perceptive manager will recognize that this is fundamentally important. If a function can be judged not to be a CITA, it is no longer subject to review under A-76. Figure 2-21 is current NAVFAC guidance on which PW functions would normally be CITA's (generally work of a continuing or "standing" nature), which would not (management), and which are subject to management decision (mostly specific work). Though only a NAVFAC guide, it can be very helpful to one struggling through this inventory process.

B. Review. As mentioned earlier, certain CITA's can be performed in-house regardless of cost. An example of this is the requirement to provide sea-shore rotation for military personnel. Security requirements can be another. The activity is responsible for identifying those CITA's which should be excluded from cost review because they meet one of the exceptions allowed by A-76. Again, NAVFAC has prepared User Guides which identify several CITA's which can be excluded from cost study. These user guides do not cover every exception but they reflect high-level Navy thinking on the issue and should be carefully reviewed.

C. Cost Study. After a particular function has been reviewed and an activity has determined that it does not fall under any exception criteria, then the determination as to whether it will be contracted or remain in-house will be based solely on cost.

The PWO should recognize that if he waits until the process reaches this final step, he has lost any ability to influence events. He must get involved in steps one and two if he wishes to protect an in-house capability for a certain task. He is obliged to develop sound reasons for his position and be ready to defend it.

In performing a cost study, the PWO will face several challenges. These include:

1. Defining Work Scope. The SOW must be a clear and objective requirement for the CITA being analyzed.

2. Preparing an In-House Cost Estimate. As each analysis is subject to audit by the Naval Audit Service, he must ensure that the numbers are legitimate. As Commanding Officer must certify that the in-house estimate is based on the most effective and efficient organization to accomplish the function consistent with the SOW. Accordingly, the command must be ready to organize and staff to this organization should the government be the lowest bidder.

3. Preparing the Contract Package.

4. Contract Administration. Contracts resulting from the A-76 process must be monitored to ensure sound compliance with contract standards.

NAVFAC has been active in assisting Public Works managers in dealing with this new responsibility. Of special importance, it has published or is preparing standard SOW's for Public Works CITA's. It is researching more creative methods of contracting which will establish improved performance incentives for contractors and will simplify the burdensome job of administering such contracts. NAVFAC is also reviewing the model Public Works organization with a view towards modifying it to make it more responsive to the demands of an increased contract management requirement. Section 2.2.4.F. discusses one of these possible changes.

2.7.4 Conclusion. In summary, the Commercial/ Industrial procedure is an outgrowth of the need for management to seek the lease costly method for obtaining required services. It would appear that the program will be vigorously enforced and the PwO would be wise to remain up to date on the program and its requirements.

PART 8 — MANAGEMENT INFORMATION

2.8.1 Objectives. The general objective of Public Works Management reports is to provide managers with the wherewithall to manage rationally rather than by the seat of their pants. To place Public Works reports in perspective, it is necessary to understand that there are various levels of management, ranging from Division Director to the major claimant all of whom require different types of information on which to base their actions. Every report which is generated by a Public Works Department effort is not therefore, of vital interest to the PWO himself. Rest assured that someone up or down the line needs (or wishes) the information. When we speak of "management" in the Public Works context (or any other context, for that matter), we speak of the process of establishing realistic goals, objectives, and plans for accomplishment of taks which execute or support assigned mission and functions, and within known parameters of time and resources. These plans form the "guideposts" for accomplishment of specific tasks and are the supervisor's "roadmaps." By planning ahead of time, it is presumed that optimum use can be made of manpower, machinery, materials, and money. The collection and display of actual task performance data in the same array and detail as the plan then permits identification of variances between plan and accomplishment and enables the manager to either (1) alter the next plan to more closely match actual capability, (2) identify and correct deficiencies in the execution of tasks, or (3) change capabilities or reorganize to better accomplish tasks. This is management by exception,

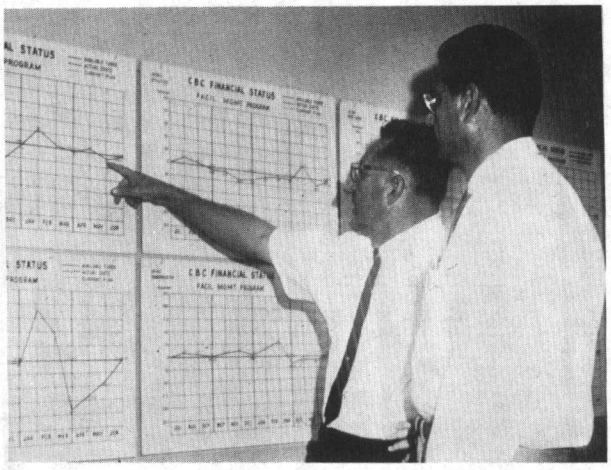


FIGURE 2-9
THE MANAGEMENT INFORMATION CENTER

and it is only made possible by use of the "Plan-Execute-Appraise" cycle or "closed loop" concept of management.

2.8.2 Types. "Plans" vary widely with function and level of management attention but can generally be grouped into: (1) financial plans (budget); (2) job or work plans (job orders, shop repair orders); (3) production or usage targets (utilities targets, mileage targets); and (4) plans for the utilization of manpower (manpower availability summary, shop load plans, shop schedules). Some of these targets apply to several functions. An example of this would be plans for the utilization of labor in the maintenance and utilities division. Others are unique to a particular function such as unit costs for operation and maintenance of equipment. The reports which you generate or review will normally be one of these general types of plans. At least half the battle of understanding and being able to analyze reports lies in the ability to recognize what you are looking at; what type of plan you are monitoring and what information is generated. Trying to look for indications of shop efficiency in a cost report or discover subtle nuances of job efficiency in a labor control report are exercises in futility which will soon frustrate initiative. Know what you are looking at — then take it from there! Most reports are presented at the end of the subject chapter to which they apply. Included with each of these reports are statements of content and purpose along with analytical tips where applicable (or available).

2.8.3 Responsibilities. When one speaks of "responsibilities" in the context of Public Works reports, you must differentiate between the responsibility for preparation, the responsibility for review and analysis, and the responsibility for correction of identified variances. Surprisingly, for example, almost all recurring public works reports are the responsibility of the station Comptroller for preparation. He, however, has little interest in their content or analyses which is usually the responsibility of various Public Works personnel. (Note that we have *not* named the Administration Division as being solely responsible for analysis. Corrective measures to eliminate variances can be the responsibility of those who made the plan, or those who followed it or both.

How about the Public Works Officer? A Public Works Officer once said, "Don't come to me with problems — come to me with solutions." This pretty well summarizes the Public Works Officer's role in reporting. If things are going right, he should *not* prepare reports or have to insure their accuracy or timeliness — he has an Administrative Division Director who is paid to worry about that. He should not have to analyze reports to determine significant trouble or variances — this usually takes many hours of systematic work which can best be done by an educated clerk-typist if you can't afford a management analyst. He should not even have to initiate corrective action unless such action is beyond the control of management or supervision down the chain of command, or unless action has not been initiated where needed. What he *should* do is review reports which have already been analyzed and annotated by his subordinates as to discrepancy, cause, and action taken. He should check to see if the required action is, in fact, underway, and note the trouble to see if it disappears next time. He should insure that the people who are responsible for the reports are doing their jobs (by questioning them, if necessary), and he should act as the

transmitter of information and interpreter of trends or trouble spots for the Commanding Officer. He should be cognizant of and be able to cite trends in operations and maintenance and use these to promote or justify requests for things from higher authority, to set policy, or to brief visitors or interested parties from "up the line." (Hint: Consider establishing a Management Information Center (MIC) where you can display pertinent plans and accomplishment trends in graphic form. It doesn't cost much and nothing will present a more favorable impression of your department to a visitor or to your own personnel than the graphic display of your current goals and objectives along with current status toward achieving them.)

Any of the responsibilities of the Public Works Officer mentioned above requires him to have a sound grasp of what goes into a report, and what can be determined from it. In addition, the Public Works Officer must build up his own credibility toward reports before he can fully trust and utilize them. Therefore, the following procedure is suggested to the new officer in Public Works. The first time a UCAR or other report appears in your in-basket, resist the impulse to glance at it, ititial it, and pass it on after a cursory examination. Pick it up, look at it, ask for the instruction and the responsible Division Director and go over the report in detail (this will probably take a few hours). Ask to see the last report covering the same material and last years report covering the same period. Ask also to see a resume of deviations and significant trends. Find out who gets the report after it leaves the station and what *they* do with it. Check for accuracy by adding up the lines and columns where applicable. Find out the relationship between this and other reports containing similar material. Why should one go to all this trouble? Your effort will result in several things: first, you will learn something about the report, as well as about the condition and operating characteristics of your plant; second, you now have an Administrative Director and others who are completely convinced of the interest their new boss has in management analysis and who will pass the word about this to everyone. From this point on, you can expect accurate, timely, and annotated reports — what's more, you can expect people down the line to start noting discrepancies, and taking action. *Take* the *time* to learn about the report the *first* time — otherwise you will receive garbage — which is what you will deserve.

2.8.4 Standards. A few words are necessary about standards or targets — particularly the "Navy wide" variety. You will find very quickly that there is an abundance of "Navy wide" standards and "acceptable ranges" which can be used as gauges by which to measure your department's proficiency in the various functional areas. These standards are good to have in that they give you *something* with which to compare your statistics. Use them as guides, but be careful not to place *too much* importance on these standards. They can sometimes deceive you into false judgments and erroneous courses of action. A couple of notable exceptions to the above are family housing utilization percentages and cost targets and unit costs for operation and maintenance of transportation equipment. Higher authority is insistent upon your meeting or exceeding these targets (and for good cause — money in these areas is extremely tight and subject to DOD and Congressional scrutiny). Of greater benefit and meaning than a Navy wide standard is *your own* standard or goal. For example, a labor control report might indicate that 12% of the available labor in your Building Trades Branch is devoted to service work (Labor Class Code 01) which is at variance with the Navy wide "norm" of 7-9%. Based upon this information, one would assume that something is wrong and that management should initiate corrective action. The 12% figure, however, might be down from 15% average for the last month or last year. In other words, perhaps it indicates an improving trend. On the other hand, it might be *up* from 5%, a declining trend, in which case the Continuous Inspection System may need some review.

Note that neither of the above conclusions or trends are identifiable by a single report. A good manager will keep plots of performance on desk charts and compare these with standards or targets. A better manager will display performance goals and trends for all to see — producer and customer — by way of his "Management Information Center." Two things to keep in mind are: (1) Performance is indicated by a *series* of reports, not by a single report, and (2) performance means nothing without a target or goal, and the target which is developed locally by the people who will strive to meet it is much more meaningful than the imposed goal. However, one or the other is necessary.

2.8.5 Data Collection. Since most Public Works reports are generated by the Comptroller, the machinery for source data collection and transmittal from shop to accountant is important.

Information for most Public Works reports is taken from the documents noted on Figure 2-10.

2.8.6 ADP Application.

A. Deficiency. A deficiency that is common to most PWD's is inefficient operations due to the inability to make effective use of data. Each PWD is responsible for the maintenance and repair of many facilities and pieces of dynamic equipment which generate data (inspection results, emergency/service calls, standing work order, etc.), store data (work orders, historical records, etc.), and retrieve data (Annual Inspection Summary, units due for

inspection, work order status, etc.). Proper data management is a prerequisite for efficient and effective public works support of shore activities. In all except the smallest PWDs, data handling requirements exceed PWD manual management capabilities.

During the 1960's, in response to PWD's need for effective data management, NAVFAC instituted the development of the Public Works Department Management System (PWDMS). PWDMS is a collection of software modules that provide automated support to specific functions. Modules developed are Emergency/Service (E/S) and Shore Facilities Inspection (SFI). Modules not yet developed include Work Input Control, Transportation, and Utilities.

The two developed modules were designed for batch processing on large main frame computers. Two major problems encountered when implementing PWDMS were that modules had to be tailored to fit the activities hardware and not all activities had access to large computers. Modules, when installed, did not solve management and operational day-to-day data requirement needs. These problems, along with rigid data input, voluminous report generation, and slow turn around time, prevented PWDMS from achieving the widespread acceptance initially expected.

Because of the limited success of the first modules and the inadequacy of the large batch-operated system, NAVFAC has ceased further PWDMS development. This however, does not alleviate PWD's need for information through responsive data management. Effective data management is more important than ever given in the Navy's current constraints on resources.

B. The Need. Below are functional modules in public works management that can achieve the listed benefits if given responsive management information:

1. Emergency/Service (ES). ES work accounts for 15 to 20% of the PWD's productive workload. The benefits of responsive information are: increased craftsmen productivity due to better scheduling of work, reduction in duplication of ES work requests, improved screening of ES work requests, and identification of maintenance problems before expensive repair/replacement is required.

2. Shore Facilities Inspection (SFI). SFI consists of two sub-modules, Control Inspection (CI) of buildings and structures and Preventive Maintenance Inspection (PMI) of dynamic equipment. SFI schedules inspections, maintains historical data, and produces Annual Inspection Summary (AIS) reports of building and structures.

3. Facilities Engineering Job Estimating (FEJE). FEJE uses Engineered Performance Standard (EPS) to estimate job resource requirements. The major benefit to be achieved by this module is improved Planner and Estimator productivity and higher EPS (Engineered Performance Standards) utilization causing increased shop productivity.

4. Work Input Control (WIC). WIC performs three functions: maintain job status information, provide shop loading plans, and schedule work accomplishment. Benefits to be achieved are: improved shop productivity due to improved work control and scheduling and reduced clerical efforts for shop load scheduling and job tracking.

5. Family Housing (FH). Family Housing is a significant program responsibility at many PWD's. The FH module will collect and provide analytical capability for the management use of family housing occupancy, referral, inventory, furnishings, maintenance, and financial information. Benefits to be achieved are: improved referral service due to rapid matching of personnel needs to housing availability; and improved utilization of military housing units due to enhanced change of occupancy scheduling.

6. Utilities (UT). UT collects, analyzes, and provides data on utility conditions, performance, and utilization rates. Benefits anticipated are: improved operating efficiencies due to improved systems loading and reduction in maintenance cost due to improved maintenance management.

7. Transportation (TR). TR provides equipment utilization and maintenance data. Benefits to be achieved are: improved utilization of equipment due to increased availability, increased shop productivity due to improved maintenance management, and reduced operations and maintenance cost per mile.

C. The Response. Management information should be designed to provide management tools for specific base engineering technical functions in a PWD. PWD's differ in size, functions, and organization. For example, not all PWDs have Family Housing, Utilities, Transportation, or the same maintenance capabilities. PWD's are a part of a larger command and, therefore, use and comply with that parent commands ADP Systems related to other Base Operating Support (BOS) functions, i.e., personnel, pay, accounting, supply, command/control, etc. For these reasons there is no Navy-wide standard PWD and this precludes developing a Navy-wide integrated PWD Automated Information System for all the functions performed in a PWD.

The target for improving productivity is providing responsive management information to Base Engineering Support, Technical (BEST) functions within a PWD that do have Navy-wide procedures, i.e., facilities inspection, job estimating, family housing management, emergency/service work, etc. The BEST management information is being developed in single function modules from the bottom-up with user involvement to satisfy user requirements. The goal is to increase productivity in specific base engineering technical functions in public works management.

Under the sponsorship of NAVFAC (Code 10) other procurement, Navy (OPN) funding of $5.97 million is budgeted for FY-81 for acquisition of first increment of automatic data processing equipment (ADPE) for automated support of approximately one-half of the Navy PWD's (the larger half). Additional OPN funds are anticipated in FY-83 and 84 to acquire ADPE for the remaining departments. A limited amount of O&MN funds for development and installation assistance of the standard BEST management information modules is also planned. System installation, operations, and maintenance will be funded by the using activities.

2.8.7 Report Types. In the following chapters, common reports are shown by functional area. Information shown for each report is necessarily "broad brush" in content and depth and is not intended to replace the requiring instruction for its preparation. It is hoped, however, that explaining basic information about each will assist the new Public Works Officer in understanding the array of current reports. In addition to the reports shown, there will undoubtedly be locally developed reports with which the new officer in Public Works will have to familiarize himself. The Administrative Division Director should be able to summarize and present these.

SOURCE DOCUMENTS FOR PUBLIC WORKS DEPARTMENT REPORTS

INFORMATION	SOURCE DOCUMENT
Estimated labor hours by work center for a specific or estimated standing job order.	Job Order Face Sheet
Actual labor hours expended by work center for specific or estimated job orders.	Labor Job Time Cards
Estimated labor distribution by Labor Class Code for each work center in the Maintenance and Utilities Divisions.	Manpower Availability Summary
Actual labor distribution by Labor Class Code for each work center in the Maintenance and Utilities Divisions.	Labor Job Time Card
Estimated material costs for a specific or estimated standing job order.	Job Order Face Sheet
Actual material costs for a specific or estimated standing job order.	Requisition Forms 1348 and 1150
Estimated costs for maintaining facilities by type.	The Line Item/Cost Account Budget Feeder Sheets for Public Works
Actual costs for maintaining facilities.	Individual Job Order Costs (Material & Labor) collected into Selected Cost Accounts which correspond with Budget "Line Items"
Estimated labor and material costs for individual vehicle/equipment repair.	Shop Repair Order
Actual labor and material costs for individual vehicle/equipment repair.	Labor Job Time Cards and Material Requisitions
Estimated total costs for various equipment types (Operation and Maintenance).	The Budget Cost Account Feeder Sheets for Transportation
Actual total costs for various equipment types (Operation and Maintenance).	Individual Job Orders collected into Cost Accounts which coincide with the various equipment groups
Estimated or targeted unit costs for utilities.	Figures are developed utilizing joint performance and mathematical formulae provided by cognizant Division Directors as required
Actual unit cost for utilities.	UCAR - developed mathematically
Housing occupancy plan.	Provided by higher authority on a % target
Actual housing occupancy.	BAQ Records from Disbursing Office Plan Records in Housing Branch

FIGURE 2-10

CHAPTER 3
REAL PROPERTY MANAGEMENT

The inventory of facilities at a Naval activity is the cornerstone upon which nearly every other Public Works Management system is grounded. It determines, in large measure, the amount of money which a station receives for facilities management each year; it forms the springboard for the Shore Facilities Planning and Programming System and the Military Construction Program; and it provides the basic framework for the continuous inspection program for maintenance. Its custody and upkeep, therefore, should not be relegated to a second-rate status in the PWO's spectrum of responsibilities.

Real Property Management, in a broader sense, encompasses not only custody and upkeep of inventories, but also a wide range of active functions, ranging from host-tenant relationship to forestry management and community encroachment. As custodian of Commands' physical plant, it is encumbant upon the PWO to recognize not only the depth and breath of his responsibilities with respect to Real Property Management but also to be thoroughly familiar with the nomenclature, rules, and regulations which govern this important set of functions.

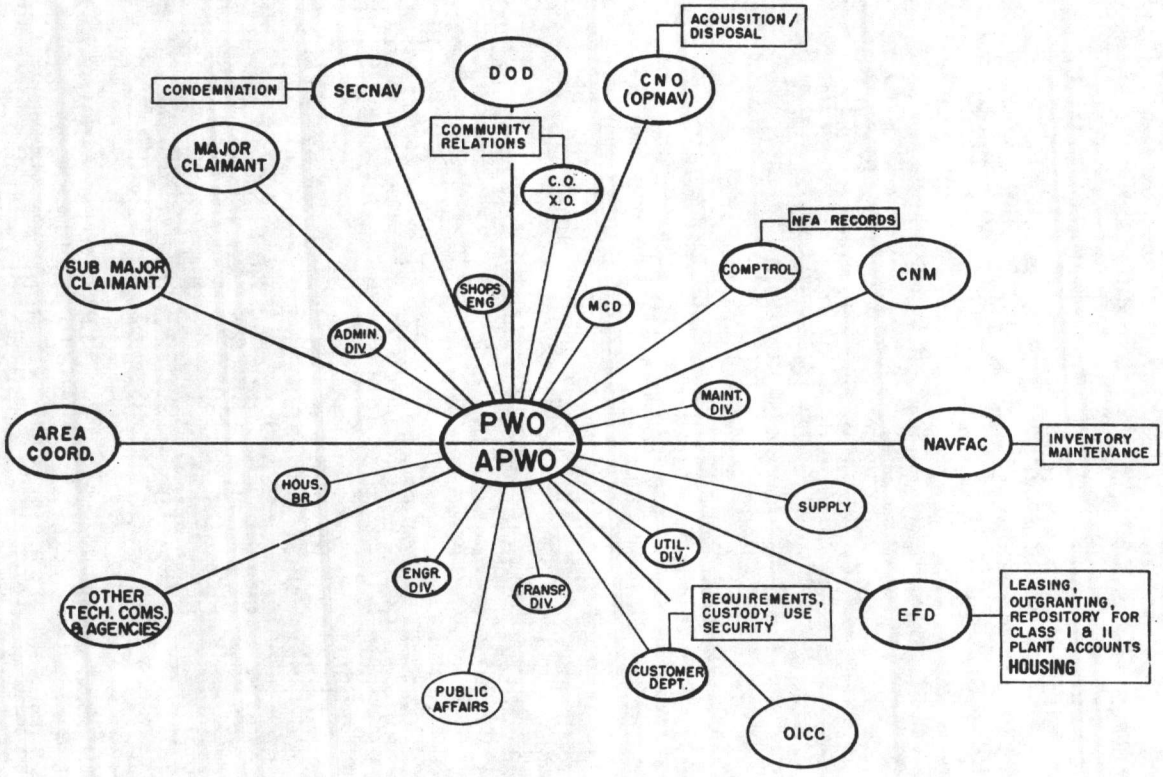


FIGURE 3-1
THE PLAYERS IN REAL PROPERTY MANAGEMENT

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REFERENCES

1. DOD Directive 4700.1 *Natural Resources Conservation and Management.*
2. DOD 4000.19M, Subj: *Defense Retail Interservice Support (DRB) Manual*
3. DODINST 7310.5, Subj: *Accounting for Production and Sale of Lumber and Timber Products*
4. DODINST 5000.13, Subj: *The Secretary of Defense of Natural Resources Conservation Awards*
5. SECNAVINST 11011.15C, Subj: *Acquisition of Real Property Authorized and Funded Under Annual MILCON Programs*
6. SECNAVINST 11011.17C, Subj: *Acquisition of Real Property by Lease or Space Controlled or to be Leased by the* GSA
7. SECNAVINST 11011.22B, Subj: *Real Property; reassignment, Transfer and Disposal*
8. SECNAVINST 11011.26A, Subj: *Foreign Real and Related Personnel Property; assignment, transfer and disposal*
9. SECNAVINST 11011.29A, Subj: *Annexation by Local Municipalities of Department of the Navy Lands*
10. SECNAVINST 11011.38A, Subj: *Minor Land Acquisitions*
11. SECNAVINST 11011.39, Subj: *Acquisition of Real Property by Transfer from the Military Department and Other Federal Agencies*
12. SECNAVINST 11011.40A, Subj: *Inventory of Military Real Property*
13. SECNAVINST 11011.41, Subj: *Acquisition of Real Proeprty for Reserve Forces Facilities*
14. SECNAVINST 11010.45
15. OPNAVINST 6240.3E, Subj: *Environmental Protection Manual*
16. OPNAVINST 6240.6E, Subj: *Environmental Protection and Natural Resources Management Program*
17. OPNAVINST 11010.1, Subj: *Shore Installation and Facilities Planning and Programming*
18. OPNAVINST 11011.9A, Subj: *Inventory of Military Real Property*
19. OPNAVINST 11011.10B, Subj: *Utilization of Military Real Property*
20. OPNAVINST 11210.1, Subj: *Highways for National Defense*
21. NAVFACINST 7110.18B, Subj: *Soil and Water Conservation Program - Budget Estimate Format*
22. NAVFACINST 11010.44D, Subj: *Shore Facilities Planning*
23. NAVFACINST 1011.48B, Subj: *Use of Department of Navy Aviation Facilities by Other Than DOD Aircraft*
24. NAVFACINST 11015.6B, Subj: *Natural Resources - Soil and Water Conservation*
25. NAVFACINST 11015.9A, Subj: *Forest Resources Management*
26. NAVFACINST 11015.14, Subj: *Natural Resources - Fish and Wildlife Conservation*

DEFINITIONS

Common-Servicing. That function, performed by one department for another department, for which reimbursement is not required.

Cross-Servicing. That function, performed by one department for another department, for which reimbursement is required.

Department. The Department of the Navy, or the Department of the Army, or the Department of the Air Force.

Facilities. The land (Class 1 Property) and/or buildings and improvements (Class 2 Property) carried on the plant account of a department.

Host. A unit or activity that provides facilities to another unit or activity. (For the purposes of Shore Installations Facilities Planning and Programming System, a Host activity is a shore activity which holds Class 1 plant account for facilities regardless of occupancy.)

Host-Tenant Real Estate Agreement. A document between two Departments within the Department of Defense setting forth the specific facilities provided by the Host unit or activity to the Tenant on an exclusive use (and joint use, if appropriate) basis, and the terms and conditions of such occupancy.

Intraservice Support Agreement. A document setting forth the facilities and services to be furnished by a Host-Navy or Marine Corps unit or activity to a Tenant Navy or Marine Corps unit or activity, and the funding responsibility of each.

Interests. The rights of use or ownership in land and/or improvements.

Natural Resources. Encompasses forestry, fish and wildlife, soil, water, grasslands, outdoor recreation and natural beauty.

Real Property. Includes interest in land and all improvements on or in the land.

Real Property Class 1 is land.

Real Property Class 2 are buildings, structures, utilities, and/or improvements to land.

Real Property Management. Involves planning, acquisition, utilization, and disposal of real property, and the conservation and management of natural resources.

Tenant. A unit or activity that occupies facilities provided by another unit or activity.

PART 1 - REAL PROPERTY POLICY

3.1.1 Acquisition of Real Property. Real property is to be acquired only when necessary to meet present and immediate foreseeable military requirements or the need to protect government interests.

3.1.2 Out Leasing of Government Real Property. Nonexcess government real property which, for the time being, is not required for government use, should be considered for outleasing.

3.1.3 Disposal of Real Property. Prompt disposal should be made of real property which is excess to current and foreseeable needs of the government.

PART 2 - REAL PROPERTY IDENTIFICATION

3.2.1 Real Property Inventory (RPI). The RPI has been maintained for many years in accordance with Title 10, U.S. Code 2701 as an official record of both financial and physical data on Navy facilities providing a current and accurate inventory of all Class 1 (land) and Class 2 (building, structures, utilities, etc.) property owned or controlled by the Department of the Navy. However, in addition to the financial and physical data, accurate and current information of use, user and condition of assets are required by the shore facilities planning systems to assist in establishing requirements for the Military Construction Program. Budgeting for necessary real

FIGURE 3-2
CLASS 1 & 2 PROPERTY

property maintenance and repair programs also require current financial, physical, use, user and condition data on real property facilities which is provided by the Navy Facility Assets (NFA) data base. RPI and NFA are terms used interchangeable.

A. Property Records. The fiscal offices of all accountable activities maintain financial records of all Class 1 and 2 Real Property. In addition, an automated data processed central inventory record is maintained at the Navy Facilities Systems Office (FACSO), NCBC, Port Hueneme.

Changes to this file, which constitutes the Navy Facilities Assets Data Base (NFADB), may be made by the activity directly to the EFD, as changes to real property occur. Quarterly submissions via Authorized Accounting Activities are no longer required.

B. Maintaining the RPI. Maintaining the integrity and value of the RPI requires the participants in the combined data collection systems to effectively and efficiently assume their respective roles. The EFD's must promptly report the acqusitions of new property by purchase, construction under Military Construction appropriations, or other acquistion methods. The activity must report property newly acquired or altered by the shore activity under job orders using in-house labor or contracts. The EFD's have similar responsibility for reporting outgrants and disposal actions.

C. RPI Instructions. Detail instructions concerning the forms and procedures to be used in reporting changes that affect the RPI or NFA are contained in NAVFAC P-78 Navy Facilities Assets (NFA) Data Base Manual.

3.2.2 Category Codes. The Navy RPI or NFA is based on the Category Code structure. The publication which establishes the category codes, nomenclature and standardized units of measure for identifying, classifying and quantifying Navy facility assets is the NAVFAC P-72 Category Codes for Navy Facility Assets. The category code structure is used in connection with Shore Activity Programs to ensure uniformity in the areas of budgeting, planning and programming, real property management, design, construction, maintenance, and record keeping. Such uniformity is essential to the interchange of data between the various programs. Further, judgements and authorizations by higher level reviewers in the Navy, DOD and Congress are based on evaluation of total assets and requirements in the various categories.

A. DOD Basic Categories. Land (the acreage) assigned to any one of the Armed Services is considered Military Real Property, Class 1. All other real property items assigned and/or constructed on or in the land (buildings, structures, and utilities) are considered Military Real Property Class 2. All real property, Class 1 and 2, are categorized within the structure of the three digit DOD Basic Category Codes. One series of codes (the 900 series) applies only to Class 1 property. The codes included in that series indicate the estate of the land (the nature, degree and type of the government's *interest* in the land and the method of which that interest was acquired). Eight other series of codes (the 100 through 800 series) apply to Class 2 property. Unlike the 900 series, these eight series indicate the *use* made of the Class 2 property. The nine broad DOD facility groupings or Classes are:

100 Operational and Training Facilities
200 Maintenance and Production Facilities
300 Research, Development and Test Facilities
400 Supply Facilities
500 Hospital and Medical Facilities
600 Adminstrative Facilities
700 Housing and Community Facilities
800 Utilities and Ground Structures
900 Land or Real Estate

The Facility Classes are further subdivided into two or more Category Groups which are frequently subdivided into Basic Categories. Thus a three-digit DOD Code describes the Facility Class, the Category Group within the Class, and the Basic Category of *use* within the Category Grouping. Examples of typical codes are exhibited in the next paragraph.

B. Navy Category Codes. The Navy codes are a composite of the three-digit DOD codes and two additional digits which provide more definitive and effective categorization of real property. NAVFAC P-72 *Category Codes for Navy Facility Assets,* contains the complete cataloging of Navy codes, and detailed guidance in classification and reporting procedures. Figure 3-3 illustrates the development of Navy Codes for a Public Works Shop and a portable water distribution line.

PART 3 - REAL PROPERTY MANAGEMENT

3.3.1 Background. Real Property Management is a complex program which is interrelated to many of the other Navy management programs. The purpose of Real Property Management is to obtain the maximum utilization possible of estate and improvements in the Navy's possession or control. It is particularly involved with the Shore Facilities Planning System and the Facilities Management System.

Further, the conduct of the real property management program requires coordination and cooperation with the Department of Defense, the other military services, and other executive agencies

219-10	**PUBLIC WORKS SHOP**
2	Facility Class (Maintenance & Production)
1	Category Group (Maintenance Facilities)
9	Basic Category (Public Works Repair & Operations)
-10	Public Works Shop
842-10	**WATER DISTRIBUTION LINE-POTABLE**
8	Facility Class (Utilities & Ground Improvements)
4	Category Group (Water)
2	Basic Category (Water Distribution Potable)
-10	Water Distribution Line - Potable

FIGURE 3-3
NAVY CATEGORY CODE

tasked with legal and administrative responsibility for management of Government real property.

3.3.2 Planning. Planning for the acquisition of new real property is a function of the Navy's Shore Facilities Planning System (SFPS). The system, in evaluating mission and function assignments, identifies real property requirements for which adequate facilities are not available. The real property requirements must be based upon known military requirements (forseeable) or on the need to protect the Government's interest in existing property.

Whichever acquisition procedure is selected to fulfill the requirements, it must provide for accomplishment with minimal interference and impact on the civilian economy. Further, the rights of the individual property owner must be respected and damage to affected property owners minimized. Planning rationale and procedures are detailed in Chapter 4.

3.3.3 Programming and Budgeting. Programming and Budgeting for the acquisition of new real property follows the conventional procedures of the SFPS, or the special projects programs. Land acquisitions/exchanges usually require a Land Planning Report which is detailed description of lands involved, detailed appraisals, title research, etc., as well as an Environmental Assessment (EA) to comply with the requirements of OPNAVINST 6240.3 (current) *The Environmental Protection Manual.* Refer to Chapter 12 for detailed discussion of EA requirements. Various alternatives for acquiring land are discussed below.

A. Land Valued at $100,000 or less. A proposal to acquire land (Class 1 Property) only, may be approved by the NAVFACEFD. It must be a complete project, not an increment of a larger project and is funded with O&MN appropriations.

B. Land Values over $100,000. A proposal to acquire land valued in excess of $100,000 must be approved by the Congress through one of the following means:

1. MCON Legislation. Working within the shore facilities planning system a military construction project or line item is generated which must also compete with other MCON proposals for support is generated. A supported land acquisition MCON project is submitted through DOD, OMB, and eventually to the Congress for funding approval. Even after approval by the Congress the project must again be taken back to the Congressional Armed Services Committees for approval prior to consumption of the land acquisition pursuant to 10 U.S.C. 2662.

2. Special Legislation. Normally a bill introduced by a Congressman directly to Congress for approval. Again the Navy must go back to the Armed Services Committee's after Congressional approval before final consumption of the acquisition if cost exceeds $100,000.

3. Land Exchange/Transfers. There are three alternatives that can be utilized to effect a land exchange if value of the land being exchanged/transferred exceeds $100,000. MCON legislations and special legislation may be utilized to provide authority to consumate a land exchange. The third alternative is to have the General Services Adminstration (GSA) consumate an exchange using excess federal property to acquire land needed by the Navy. However, in all three cases if value of lands to be exchanged exceeds $100,000 the Navy must obtain Armed Services Committees approval. Land exchanges also require a willing land holder who is agreeable to the exchange and agrees with the government on the *value* of lands to be exchanged.

3.3.4 Acquisition Procedures. Upon approval and funding of a proposal by either the Congress or SECNAV, several legal and administrative procedures may be employed to acquire the new land and/or other facilities. Within the Navy Department, NAVFAC is the central agency empowered to coordinate acquisition actions. However, the procurement actions are usually conducted by the EFD's. The Commanding Officer of a shore activity has no authority to procure Class 1 or 2 property.

A. Direct Purchase. This is the preferred method of acquisition. It is accomplished by negotiation and

is based on a fair market value for the property involved. The fair market value is usually established by private appraisal. Fee simple title (complete ownership) interest in the land is generally acquired when:

1. Long-term requirements exist;
2. Permanent or extensive temporary construction is planned;
3. Restoration cost exceeds value;
4. Cost of lesser interest approaches fee value; and
5. Contemplated use will result in contamination that is expensive or virtually impossible to decontaminate.

B. Condemnation. Every effort must be made to acquire real property by negotiation and direct purchase before resorting to condemnation. The condemnation procedures are usually employed when:

1. Negotiations fail;
2. The property title is defective; or
3. National emergency dictates.

Condemnation proceedings can be initiated only by SECNAV. Congress must authorize acquisition and appropriate funds prior to the Justice Department filing condemnation action in court. Upon instituting suit, the estimated just compensation for the real property must be deposited with the court.

3.3.5 Ingranting Procedures. In addition to fee acquisition of real property there are several other vehicles to acquire an interest in land (other than complete ownership) of either a temporary or permanent nature.

A. Lease. Real property is usually leased for a specific consideration and for a specific period of time. Acquisition by lease may be considered when:

1. The location of the leased property is vital to the performance of an activity's mission;

2. No suitable government-owned real property is available at the location;

3. The cost of altering, renovating, rehabilitating and repairing available government property is out of proportion to the cost of acquiring or remaining in, leased property.

The general policy is to prohibit construction of permanent-type buildings or improvements on land in which governments rights are less than fee title or permanent easement. Specific exceptions to this basic policy are cited in NAVFAC P-73, *Real Estate Procedural Manual.*

In urban centers, leasing of General Purpose Space must be effected solely by the General Services Administration and at rental rates based on Standard Level User Charge. Leasing of Special Purpose Space for wholly or predominately single purpose use is accomplished by the Navy. Elsewhere, the Navy leases whatever type of property is needed. Whenever possible, competitive procedures are used to obtain real property for Navy use by leasing.

A lease authorizes exclusive use for a firm period. It may be terminated by the Government on 30 to 90 days written notice. The usual period for giving notice of termination is thirty (30) days. However, a longer period can be authorized if justifiable. Leases with a value is excess of $100,000 require prior approval of the Armed Services Committees of the Congress.

B. Permit or License. A permit or license confers or grants temporary privileges to the Government. They are not assignable, and do not grant any estate in the real property. They are revocable at will by either party.

Permits or licenses are used to obtain rights-of-entry for various purposes; rights-of-way where statutes prohibit granting easements; pole attachments; obstruction lights or markers; sewer connections; railroad and highway crossings and for other short term or temporary uses.

C. Transfer. Property that is excess to the need of another military department, or other Federal agency, may be transferred to the Navy Department. This procedure may involve GSA and Congressional concurrence in certain cases.

D. Easement. An easement grants a right-to-use property for specific purposes. It implies an interest in that property and restricts the owners use of the property. An easement is not revocable; however, it may be terminated for non-use or abandonment.

E. Public Lands or Domain. These lands are managed by the Department of the Interior. Upon application, public land may be reserved, restricted or withdrawn for Navy use. Public land withdrawals of more than 5,000 acres require an Act of Congress.

3.3.6 Outgranting Procedures. When Government-owned real property is temporarily excess to the needs of the Navy, consideration should be given to outgranting or outleasing the property. A very tangible benefit to the activity is that it reduces the outlay of O&MN funds for maintenance of the outgranted property. Outgranting is encouraged provided that:

1. It does not diminish the effectiveness of the activity;

2. It will not render the property unsuitable for planned future military use;

3. It will not interfere with use of adjacent real property; and

4. It will not permit use that may be a hazard to the property being outgranted.

The use of government property by others should not be permitted prior to the execution of an appropriate real property agreement. Detailed instructions and procedures for issuance of all forms of outgrants are contained in NAVFAC P-73, *Real* Estate Administration. Several of the outgranting procedures are discussed below:

A. Outleasing. Non-excess real property may be outleased for private use for a term usually limited to five years. Outleasing should be on a competitive basis whenever possible. The rental fee should equal the fair rental value of the lease, and should be established by the EFD staff or contract appraisal.

The terms of the outlease must provide the expeditious recapture of the property by the Government in time of national emergency. Leases are usually of three general types (1) general purpose (2) agricultural and (3) grazing lease. The Commanding Officer of an activity has no authority to outlease property but rather this responsibility is vested with NAVFAC/EFD's.

B. License. A license may be issued for use of Navy controlled property by private parties, corporations, state or local governments, or other Federal agencies when the following conditions exist:

1. It will not interfere with Navy use.

2. Revocation can be readily effected without causing undue hardship to the licensee or embarrassing the Navy.

3. Use of the property will benefit the Navy or will be in the public interest.

Commanding Officers or Officers-in-Charge of Naval and Marine Corps activities are authorized, in general, to issue licenses for use of real property under their command provided.

1. The period of the license does not exceed one year from the effective date of the original license.

2. It does not involve a payment of cash, other than for Government furnished utilities and services.

3. The license prohibits new construction or the installation of non-servable improvements.

4. The license is issued on NAVFAC 11011/29 or 11011/30, as appropriate, without deviation.

5. The annual fair rental value of the property does not exceed $50,000.

All license requests which do not meet the above criteria should be referred to the EFD by the activity Commanding Officer.

C. Use Agreement. A Use Agreement is an authorization granted another Federal agency to use Navy real property for a specific purpose when revocation cannot be readily effected because construction is contemplated or for any other reason. Applications for Use Agreements are processed in accordance with NAVFAC P-73.

A Host-Tenant Real Estate Agreement is the form of Use Agreement granted when another military department or DOD activity is to be granted exclusive use of Navy real property. Refer to Part 4 of this chapter for discussion of Host-Tenant Agreements.

D. Easements. The granting of an easement restricts to some degree the government's existing rights of use in the real property, and may adversely affect either its future use for government purposes or its disposal if the property becomes excess to government requirements. Consequently, the Navy's policy is to restrict the granting of easements on real property to cases of necessity. To grant an easement, the following conditions must exist:

The government real property is the only property which can be used for the purpose;

An easement is the most appropriate form of real estate interest for the purpose;

The easement will not materially interfere with the government's present or future foreseeable use of the property; and

A cash consideration is paid equal to the fair value of the easement except that no consideration or a lesser consideration may be charged where the easement is granted for purposes which will be of benefit to the government.

1. Limitations. An easement may not be granted for the sole purpose of serving a Navy or Marine Corps activity. In such cases the right must be granted by the contract for services or by a license.

Navy regulations require that no easement be granted for a period exceeding fifty (50) years unless circumstances warrant a longer period or in perpetuity. As rights-of-way for roads and streets

normally contemplate indefinite use, perpetual easements are usually granted for such purposes.

2. Authority to Grant. Commanders/ Commanding Officers of the EFDs are responsible for processing a multiple addressee letter to NAVFAC and to the echelon of command, including CNO or CMC, to obtain approval for the granting of any easement. After all approvals are obtained Commanders/Commanding Officers of the EFDs will execute the grant of easement.

3. The NAVFAC P-73 provides standardized easement formats for the following:

a. For Power and Communication Lines.

b. For Roads and Streets.

c. For Oil Pipe Lines; Railroad Tracks; Substations for Electric Power Transmission Lines, Telephone Lines and Telegraph Lines; Pumping Stations for Gas, Water, Sewer and Oil Pipe Lines; Canals; Ditches; Flumes; Tunnels; Dams and Reservoirs in connection with Fish and Wildlife Programs, Fish Hatcheries and other Fish-Culture Improvements.

d. For Gas, Water, and Sewer Pipe Lines.

e. Easement and Relinquishment of Access Rights for a Section of the National System of Interstate and Defense Highways.

3.3.7 Special Use of Navy Property. Many special uses of Navy real property do not come within the scope of authority delegated by SECNAV to the Commander, NAVFACENGCOM with respect to leases, licenses, and easements. Certain of these special uses warrant special treatment, and SECNAV has established special policies and procedures for authorizing these uses. The special uses discussed in this section are:

Civil Use of Naval Aviation Facilities.
Utility Pole Agreements.
Public Telephone Facilities Agreements.
Railroad Spur Track Agreements.

These procedures do not apply where Navy property is required incident to a Government contract for procurement of services, utilities or construction and where the use is made a part of the contract.

A. Civil Use of Naval Aviation Facilities. The authority of Commanding Officers of active Navy or Marine Corps aviation facilities to approve or disapprove the issuance of aviation facility licenses for landings of civil aircraft is detailed in SECNAVINST 3770.1B. Approval authority for all requests previously requiring CNO clearance has been delegated to NAVFACENGCOM as evidenced by NAVFACINST 11011.48C.

In processing aviation facility license requests the activity Commanding Officer obtains any necessary concurrences and forwards the approved and partially executed license together with other necessary documents to NAVFACENGCOM for review and final execution.

B. Utility Pole Agreement. A Utility Pole Agreement is a revocable agreement which authorizes use of Governement-owned land for the erection of utility poles or structures.

1. Policy. The use of government-owned real property under a Utility Pole Agreement is authorized when:

a. The use will benefit the government or be in the public interest;

b. The use will not interfere with the Navy´s use of the property;

c. The use will not represent a hazard to the property included or adjacent government property;

d. The property involved is the only property which reasonably can be used for the purpose; and

e. The use can be terminated in fact at any time.

2. Procedures for Approval. The activity receiving a request for a Utility Pole agreement should carefully scrutinize the application to determine that the proposed use will not:

a. Impair the activity´s ability to respond to its mission; and

b. Impair the government´s ability to exercise its rights of revocation on policy grounds.

When the agreement can be approved in accordance with the above policy, the head of the activity should forward the request, including his endorsement, and any other comments and recommendations, to the cognizant EFD for execution. Terms and conditions of the agreement are detailed in NAVFAC P-73.

C. Public Telephone Facilities Agreement. A Public Telephone Facilities Agreement is similar to a Utility Pole Agreement in that it is a revocable agreement. It authorizes a telephone company to

use government-property to provide public pay station telephone service.

1. Policy. The policy for the use of government-owned real property under a Public Telephone Facilities Agreement are identical with the procedures detailed in paragraph above the Utility Pole Agreements. Terms and conditions of the agreement are detailed in NAVFAC P-73.

2. Procedures for Approval. The procedures for reviewing, approving, and executing a Public Telephone Facilities Agreement are identical with the procedures detailed in paragraph above for Utility Pole Agreements. Terms and conditions of the agreement are detailed in NAVFAC P-73.

D. Railroad Spur Track Agreement. A Railroad Spur Track Agreement obligates the railroad to provide specified railroad services between a point on its line and certain points within the Navy activity. The agreement grants the railroad the rights of access to the facility and rights of use in Government-owned trackage incidental to performance of its obligation.

1. Scope. A Railroad Spur Track Agreement differs from the previously defined agreements in that it provides a service to the involved Navy activity.

2. Procedures for Approval. The execution of a railroad spur track agreement by the cognizant EFD is subject to the prior approvals of:

a. The Head of the activity concerned;

b. The support command or bureau, or the Commandant of the Marine Corps;

c. The Naval Supply Systems Command; and

d. The Military Traffic Management and Terminal Service.

3. Amendment or Termination of Agreement. Any action proposed to amend or terminate a railroad spur trackage agreement is subject to the approvals required above.

3.3.8 Disposal of Domestic Real Property. This section is concerned with the procedures and responsibilities for disposal of real and related personal property under the control of the Navy in the United States, American Samoa, Guam, the Trust Territories of the Pacific Islands, Puerto Rico, and the Virgin Islands. Disposal of foreign real and related personal property is covered in Paragraph 3.3.9.

A. Policy. It is the policy that real estate holdings of the Department of the Navy are limited to the minimum required to accomplish assigned missions. The real property shall be limited to the land area and the number and types of buildings, and other improvements essential to support the current missions and/or mobilization requirements.

Prompt disposal should be made of all real property not required to support current or foreseeable needs of the Navy.

B. Authority for Disposal. Authority to dispose of government-owned real property is derived from the Federal Property and Administrative Services Act of 1949. The General Services Administration is the disposal agency for all land and/or land and improvements with a fair market value of $1,000 or more. The authority has been successively delegated and redelegated to the Commander, NAVFAC for disposal of Navy real property as described hereinafter.

C. Methods of Disposal. Real property no longer required to fulfill an assigned mission may be:

1. Reassigned within the Department of the Navy.

2. Transferred to the Army, Air Force, or the Coast Guard.

3. Reported excess to the GSA, and thereafter transferred to Federal civilian agencies, or disposed of by competitive bidding or negotiated sale; and

4. Abandoned, destroyed, or donated to public bodies.

D. Excess Property Identification. Existing property holdings are evaluated under the Shore Facilities Planning System to determine if there is an existing or future foreseeable need for the Class 1 and 2 properties of the Naval Shore Establishment. If no such need exists, the property under consideration becomes available for disposal action.

In such cases, where the cognizant support command or CNO approves the items for disposal, either on a Facilities Planning Document or on a Facility Planning Action - Disposition Report, the Commanding Officer of the activity may report the property as excess to the cognizant EFD who may after screening and obtaining requisite approvals proceed with disposal of the property. Refer to Chapter 4 of this manual for discussion of Facilities Planning Document.

E. Reporting Excess Property. Reports of property excess to a support command must be

submitted to the cognizant EFD. The reports are subject to the approval of the appropriate support command and the major claimant.

Excess property is to be reported on the forms described below. Examples of the forms, and additional instructions for their preparation are contained in NAVFAC P-73.

1. Standard Form 118 - Report of Excess Real Property, summarizes the excess and related personal property.

2. Standard Form 118A - Buildings, Structures, Utilities, and Miscellaneous Facilities describes the Class 2 property reported on Standard Form 118.

3. Standard Form 118B - Land, shall be used in all instances to report the details of excess land, reported on the Standard Form 118.

4. Standard Form 118C - Related Personal Property, reports the details concerning the excess related personal property (Class 3) reported on Standard Form 118.

F. EFD Responsiblities.

1. Screening. The EFD screens all excess Class 1 and 2 real property that has not deteriorated beyond economical repair and maintenance or determines if there are any potential users for the property. This screening process ordinarily proceeds simultaneously within and without the Navy.

2. Approvals. Activities desiring to obtain excess real and related personal property from naval activities other than within their own command will submit their request to their Major Claimant via the appropriate EFD and the Major Claimant of the releasing activity. Upon approval by both claimants, the EFD will make the appropriate changes to the property records.

3. Disposal. Disposal by transfer to the Army, Air Force, or Coast Guard or report of excess to General Services Administration, on real property having a value of $100,000 or greater requires the approval of the Armed Services Committees of the Congress. Prior to reporting property as excess to DOD, the EFD will obtain requisite additional approvals including those of CNO, the Department of Defense and the Armed Services Committees of the Congress.

G. Special Disposal Actions. Disposal of certain special classes of property require fulfillment of extra procedures described in NAVFAC P-73. Examples of such special classes are:

1. Public Domain land;
2. Leaseholds, licenses, permits.
3. Easements.

H. Activity Responsibility. The reporting activity is responsible for physical care, handling, protection, maintenance and repair of excess and surplus real and related personal property pending its reassignement, transfer or disposal. The reporting activity is also responsible for the expense of such care, maintenance, etc., for not more than 12 months, plus the period to the first day of the succeeding quarter of the fiscal year after the date of acceptance by GSA of the formal report of excess. Any expenses incured by the reporting activity after that time are reimbursed by GSA. Attention is called to the fact that excess property is not "transferred" to GSA; it is "reported" to that agency for disposal action. The responsibilities cited above remain with the Department of the Navy.

Real property, once reported as excess property, must not be cannibalized or altered by the removal of fixtures, equipment or related personal property.

When disposal action has been completed, the activity copy of the Property Record should be forwarded by transmittal form NAVCOMPT 260 in accordance with the provisions of NAVFAC P-78.

3.3.9 Disposal of Foreign Real Property. This section is concerned with the procedures and responsibilities for disposal of real and personal property under the control of the Navy *outside* the United States, American Samoa, Guam, the Trust Territories of the Pacific Islands, Puerto Rico, and the Virgin Islands.

A. Policy. It is the policy that real estate holdings of the Department of the Navy be limited to the minimum required to accomplish assigned missions. The real property shall be limited to the land area and the number and types of buildings, and other improvements essential to support the current mission and/or mobilization requirements.

Prompt disposal should be made of all real property not required to support current or foreseeable needs of the Navy. In addition, all disposals outside the Department of Defense must conform to the foreign policy of the United States.

B. Authority for Disposal. Authority to dispose of government-owned real property is derived from the Federal Property and Administrative Services Act of 1949 and certain treaties and other international agreements between the United States and foreign governments.

C. Excess Property Identification. Existing property holdings are evaluated under the Shore

Facilities Planning System to determine if there is an existing or future foreseeable need for the Class 1 and 2 properties of the Naval Shore Establishment. If no such need exists, the property under consideration becomes available for disposal action.

In such cases, where the cognizant support command or CNO approves the items for disposal, either on a Facilities Planning Document or on a *Facility Planning Action-Disposition report,* the Commanding Officer of the cognizant EFD may proceed with disposal of the property.

D. Reporting Excess Property. Reports of property excess to a support command must be submitted to the cognizant EFD. The reports are subject to the approval of the appropriate support command and the appropriate district or area commander.

Excess property is reported on the same documents discussed in paragraph 3.3.8E of this chapter.

E. EFD Responsibilities. The EFD screens all excess Class 1 and 2 real property within and outside the Navy for potential users, with the exception of property that has deteriorated beyond economical repair and maintenance.

1. Approvals. Prior to reassigning, transferring or disposing of excess real property the EFD must obtain the following approvals:

a. Foreign policy approvals;

b. Approvals where property value exceeds $25,000;

c. Approvals for special transactions.

Detailed procedures for obtaining the approvals are contained in NAVFAC P-73.

2. Disposal. With the receipt of all necessary approvals, the EFD may dispose of the real property by:

a. Reassigning it to other commands, offices, or headquarters;

b. Transferring it to the Army, Air Force or Coast Guard without compensation;

c. Transferring it, when excess to the needs of DOD, to other Federal agencies;

d. Sale of Class 2 property upon such terms and conditions as deemed proper by the EFD;

e. Donating to public or private bodies, or abandoning or destroying if donation is not feasible;

f. The provisions of any treaty or agreement between the United States and a foreign government.

F. Special Disposal and Termination Actions. Disposal of foreign excess leaseholds, licenses, and permits, including government-owned improvements thereon, must be effected in accordance with NAVFAC P-73.

G. Activity Responsibility. The holding activity retains custody and accountability for the excess and surplus real property, including related personal property, and is responsible for the physical care, handling, protection, maintenance, and repair of the property pending transfer to a Federal agency or disposal.

Real property, once reported as excess property, must not be cannibalized or altered by the removal of fixtures, equipment or related personal property.

PART 4 - INTERSERVICE AND INTRASERVICE SUPPORT

3.4.1 Host-Tenant Relationship

A. Background. Frequently, units or activities under the jurisdiction of other Navy support commands, the Marine Corps, or other DOD components occupy facilities at a Naval Shore Activity.

A host-tenant relationship exists when Class 1 or 2 real property is held by the host. Where such a relationship exists between Navy activities, or Navy and Marine Corps activities, no Host-tenant Real Estate Agreement or license is prepared. In lieu thereof, an Intraservice Support Agreement is used to reflect the respective responsibilities of each unit or activity.

B. Use of License. In most cases, the use of Navy property by units of other departments has been authorized by licenses, NAVFAC 11011/30 (3-75).

A license may be issued unless there will be construction or installation of non-severable improvements; and when only non-exclusive use is granted; or exclusive use is granted for less than one year.

C. Host-Tenant Real Estate Agreement. A Host-Tenant Real Estate Agreement identifies in detail the specific facilities that the host provides for the use of the tenant. It is used when a Navy unit or activity provides exclusive (and joint) use of

facilities to a unit or activity of another DOD department. If both parties concur, a Host-Tenant Real Estate Agreement may be used when another department provides exclusive use of facilities to a Navy unit or activity. An Interservice Support Agreement is used to describe the logistical and administrative functions, including funding responsibilities, to be performed by both parties and will be entered into an addition to the Host-Tenant Real Estate Agreement.

Host-Tenant Agreements executed, amended, modified and terminated, are prepared by the cognizant EFD's and reflect the desires of the unit or activity commanders involved. The agreements must conform to the provisions of NAVFACINST.11011.51 and SECNAV policy.

Applications for Host-Tenant Real Estate Agreements are to be processed in accordance with NAVFAC P-73. A specimen agreement is included as Appendix A to this chapter.

3.4.2 Support Agreements:

A. Preparation of Agreements. The EFD's function in regard to preparation of support agreements is advisory,. except in the case of Armed Forces Reserve Centers. In the latter case, the agreement is prepared in consultation with the commanders concerned and executed by the EFD.

1. Interservice Support Agreements are prepared on DD Form 1144 and specially define the parties responsibilities for the logistical and administrative (including funding) functions. A checklist of services generally to be considered by the respective parties for negotiation and inclusion in an agreement is appended to NAVFACINST.11011.51. The Interservice Support Agreements must conform to Defense Retail Interservice Support (DRIS) Manual, DOD 4000.19M.

2. Intraservice Support Agreements may be prepared on DD Form 1144. They are similar in content and structure to an Interservice Support Agreement. Unlike, the Interservice Support Agreement, the Intraservice Support Agreement is not subject to the DRIS Manual 4000.19M. A specimen Intraservice Support Agreement is attached as Appendix B to this chapter.

3. Host Activity Responsibility. The host activity must plan for timely and effective response to requests of the tenant activity for the services provided for in the support agreement.

The Public Works Department has a particularly vital role in the support of tenant activities. As PWO, you should expect your supervisor personnel to be intimately familiar with their responsibilities in the matters pertaining to maintenance of buildings and grounds, utilities, transportation and telephone service. Further, in preparing the Public Works Department budget, they should quantify:

The services to be provided and funded by the host; and

The services to be provided by the host but funded by the tenant on a reimburseable basis.

PART 5 - UTILIZATION OF REAL PROPERTY

A. Background. Executive Order 11954, which superseded and cancelled Executive Order 11724 and 11508, tasks the General Services Administration (GSA) with conducting surveys of real property held by Federal agencies on a continuing basis and making reports to the President, through the Federal Property Council, describing any property or portion thereof which has not been reported excess to the requirements of the holding Federal agency and which, in the judgement of GSA is either not utilized, under-utilized, or is not being put to the optimum use, and which GSA recommends should be reported excess.

B. Information. Most Naval activities have undergone real property surveys, either on an informal or formal basis over the last three years. Additionally, DOD and Navy Inspector General have conducted real property surveys under the provision of Executive Order 11954, reporting their findings and recommendations relative to the utilization of real property to the office of Management and Budget.

C. Activity Responsibilities. Commanding Officers of shore activities holding Class 1 and 2 real property are required to conduct an Annual Land Utilization Survey of their activity in accordance with OPNAVINST 11011.10 (current). Specific guidelines for the format and data required in the Annual Utilization Report are contained within OPNAVINST 11011.10 (current).

D. Review of Annual Survey. The major claimants are responsible for objectively reviewing the submissions for conformance with the intent of OPNAVINST 11011.11 (current). The major claimants submit the results of the annual survey to the CNO.

PART 6 - NATURAL RESOURCES MANAGEMENT

3.6.1 Background.

A. Policy. The Department of the Navy, as an important occupier of Federal lands, has an obligation to the American people to responsibly

and effectively manage and conserve the natural resources of the lands, and waters under its control.

Accordingly, it is the continuing policy of the Navy to preserve, restore, and improve the natural resources of the lands and water areas of all Navy installations and facilities. Further all installations and facilities with appropriate land and water areas are to have active, progressive programs for the management and conservation of natural resources.

B. Scope

1. Natural resource management is an important consideration with real estate acquisition and disposal, real estate utilization, facilities planning and construction, pollution control, special services, and public affairs programs.

2. The natural resource management program will consist of the following:

(1) *Land Management:* soil and water conservation, land restoration, noxious weed and poisonous plant control, agricultural outleasing, range management, landscaping, and grounds maintenance;

(2) *Forest Management:* production and sale of merchantable forest products according to multiple-use and sustained-yield principles;

(3) *Fish and Wildlife Management:* marine mammals protection, anadromous fish protection, non-game species management, and animal damage control;

(4) *Outdoor Recreation:* concern for natural beauty, management of off-road vehicles, national recreation trails, hiking trails, outdoor recreation areas, wild and scenic rivers, and wilderness areas; and

(5) *General Support Programs:* youth programs, public participation, cooperative agreements with public and private agencies, resources inventory, conservation awards, endangered species protection, coastal area management, wetlands protection, floodplain management, natural areas and landmarks protection, cultural and historic site preservation, and animal/disease eradication.

3.6.2 Soil and Water Management

A. Plans. This program is concerned with grounds, improved, semi-improved, and unimproved, and water areas. It requires development of the following procedures plans:

Soil and Water Conservation (land management) Plans
Landscape Development Plans
Fire Prevention Plans
Outleased Land Plans
Grounds Maintenance Plans

1. The Soil and Water Conservation Plan should provide an inventory of important increments of land use, and describe the methods, procedures, techniques, materials, and personnel required for development, improvement, maintenance of grounds and other soil and water conservation and management practices. The plan must be updated as required, and continuously applied in an orderly and timely manner.

2. The Landscape Development Plans should be functional in nature; simple and informal in design, compatible with the adjacent surroundings, result in low maintenance requirements and enhance the overall natural beauty of the area.

3. The Fire Prevention Plan should incorporate the fire prevention and suppression measures. The measures must be applied continuously and be coordinated with federal, state, county, municipal, or other community agencies, as appropriate.

4. The Outleased Land Plan should incorporate natural resources conservation and outdoor recreational facilities for the outleased land. The requirements should be an integral part of the lease agreement.

5. Grounds Maintenance Plan shall provide for the proper maintenance of all grounds and include frequency of mowing, height and kind of equipment to assure a satisfactory appearance at the lowest cost.

B. Management and Maintenance of Grounds.

1. Improved grounds should be maintained at levels to meet designated use criteria, protect the natural resources, and assure a pleasing appearance. Buildings can be beautified by planting trees, shrubs and flowers.

2. Semi-improved grounds should be maintained at a lesser degree than improved grounds but at a level that will enhance natural beauty, conserve natural resources, reduce vegetative fire hazards and meet its designated use.

3. Unimproved grounds should be maintained only at level that will maintain and enhance natural beauty, conserve natural resources, and prevent erosion and suppress fires.

4. Special ground cover, such as crushed rock, gravel or other materials, may be necessary to prevent wind and water erosion in areas where rainfall is insufficient to support vegetation.

FIGURE 3-4
TIMBER HARVESTING OPERATIONS

5. Irrigation may be necessary in areas where supplemental water is essential to established lawns and other improved type vegetation.

6. Weeds and poisonous plants should be controlled or destroyed when they interfere with safe and efficient land use, endanger the health and welfare of personnel, or constitute a source of infestation to adjacent property.

3.6.3 Project Proposals and Construction. Soil problems, water management, runoff disposal and planting or landscaping requirements should be fully considered in all site feasibility studies and project planning, design and construction. When required the scope of conservation work and funds involved should be included in the project proposals and construction contracts.

3.6.4 Forest Management

A. Management Plan. A technical management plan must be established and maintained at all activities that have land areas suitable for forest resources management programs. Such plans should be developed by professional foresters within the Department of the Navy, or with the aid of Federal or State Forestry agencies or consulting foresters where additional assistance is needed. The plans should be consider:

1. Timber area access roads;

2. The effects of timber management practices on soil, water, fish and wildlife; watershed management; and enhancement of natural beauty and recreation;

3. Natural and artificial regeneration of desirable tree species;

4. Protection against wild fires, animal damage, and injurious insects and diseases;

5. Salvage and disposal of dead or dying timber;

6. Scheduled harvest in accordance with technical standards and guides;

7. Planning harvest to achieve:

a. Optimum use of current and future markets; and

b. Desirable composition of residual stands;

8. Cultural treatments.

B. Timber Production. The use of forests for sustained yield production involves:

1. Accumulation of forest resource data necessary for scientific management of the area;

2. Harvesting on a sustained yield basis so as to achieve periodic harvest of the allowable cut of timber from the land.

3. Silviculture - the management practices of producing and caring for a forest.

Timber production and forest recreation can be compatible uses of an area but some adjustments in both activities may be necessary to obtain maximum potential.

The harvest of timber by sale for sawtimber, poles, pulpwood, or other convertible products can produce a significant income to the federal government, as well as improve the timber stand for future harvests.

3.6.5 Fish and Wildlife Management. The management plan should provide for a continuing program of fish and wildlife habitat management, and the integration of the aspects of natural beauty and conservation of other natural resources. Public access should be permitted except where inconsistent with security or safety reasons.

The U.S. Code and public laws require that the Navy plans be compatible with the management plans of Federal and State fish and wildlife agencies. Further, hunting, fishing, and trapping at Navy activities must be in accorance with the fish and game laws of the state in which it is located.

A. Fish Management. Habitat control and improvement should be the means of perpetuating and improving the fisheries resources. Streams whose values for fish have been destroyed by pollution, channelization, or other activities should be rehabilitated to the extent possible. Aquatic weeds and undesirable fish species should be controlled.

B. Wildlife Management. Habitat control and improvement should be the basic tool for wildlife management. Artificial stocking should be considered only in special cases, and then only upon the advise and guidance of State or Federal wildlife officials. All precautions and measures necessary should be taken to prevent extermination of any species of wildlife, including predators. Provisions should be made for adequate harvest game species by hunting where control is necessary, and where safety and security permits, by military and civilian employees, and the public.

C. Endangered Species. Public Law and Navy policy requires Commanders/Commanding Officers of Navy installations to locate and identify endangered and threatened species listed pursuant to the Endangered Species Act and to identify areas under their jurisdiction which may be critical for the survival of such species.

3.6.6 Pollution and Pesticide Control

A. General. In addition to health and welfare measures for Naval personnel, shore activity functions must not adversely affect neighboring civilian populations or the environment. Because of the close relation existing between health protection measures and natural resources management, continuing cooperation and coordination of these functions must be maintained.

B. Air and Water Pollution. Environmental pollution may affect human health. It also may, through direct or indirect alteration of the environment, render it unfit for recreation, adverseley affect supplies of water, agriculture or biological products, or may interfere with opportunities for enjoyment of nature and natural beauty. Federal agencies have been directed to exert leadership in developing measures for prevention of pollution of the environment. Federal agencies and their contractors are required to comply insofar as practicable with local, state, and interstate health and pollution abatement authorities. Naval activities are responsible for cooperative efforts in conjunction with the Environmental Protection Agency and local and state authorities.

C. Pesticides. The President's Science Advisory Committee sanctions the carefully controlled use of pesticides and the exercise of precautionary measures to insure that harmful effects do not result to plants, animals, vegetation, and aquatic life beneficial to man. The Armed Forces Pest Control Board functions as the coordinating activity in the DOD for pest control and is the principal advisory body to all DOD agencies and activities on all matters relating to pesticide use. Problems relating to herbicide use and its effects on fish, wildlife, plants, etc., should be assessed by qualified resource personnel.

3.6.7 The Secretary of Defense Conservation Award

A. Objective. The objective of the Award is to stimulate and provide added incentive for the development, maintenance and improvement of natural resources and to enhance the natural beauty of DOD activities.

B. The Award. The Navy presents first place awards in alternate years; to a small installation (under 5,000 acres) one year and to a large installation (over 5,000 acres) the next year. The winning installation then represents the Navy in the Department of Defense Conservation Awards Program.

C. Nomination. Navy installations having active, progressive conservation programs for the development, management and enhancement of renewable natural resources are encouraged to submit, annually, a Conservation Award Nomination Report to the Commander, NAVFAC. The awards are based on the greatest progress or

inauguration of the best conservation program with the natural resources available.

D. Nomination Factors. OPNAVINST 6240.3E describes the necessary information required to submit nominations for competition.

3.6.8 Program Responsibilities:

A. NAVFAC. The Commander, NAVFAC-ENGCOM has been assigned the responsibility for developing and implementing of naturanatural resources programs on all land and water seas under the jurisdiction of the Navy. (OPNAVINST 6240.3E).

B. EFDs. To effectively discharge this responsibility, NAVFAC has established Natural Resources Management Branches in the Engineering Field Divisions, and delegated to them the responsibility for developing, coordinating, directing and implementing appropriate natural resource programs for the naval shore activities. Through the EFD´s, liaison and cooperative relationships are maintained with state, federal, and private agencies in the natural resources field, and utilize their specialized technical services to the maximum extent feasible in management planning, application, and research for the development of improved methods and equipment.

C. Activity Commanders. The heads of the Naval activities are responsible for supporting the conservation policies and programs, and making full use of the professional assistance available in the EFD staffs.

APPENDIX A
HOST-TENANT REAL ESTATE AGREEMENT

_____
(Installation)

THIS AGREEMENT between the Department of the _____ (hereinafter called HOST) and the Department of the _____ (hereinafter called TENANT) provides for the use by the Tenant of Facilities at the _____, in connection with the _____.

1. TENANT shall have exclusive use of the areas, containing _____ acres, more or less, delineated with legend on Drawing No. _____, marked Exhibit "A", attached hereto and made a part hereof, (add buildings and cite other other exhibits as appropriate);

2. TENANT shall have the right to use in common with HOST, and with such other parties as HOST may authorize:

(a) An area of _____ acres, more or less, delineated with legend on said Exhibit "A", (add buildings and cite other exhibits as appropriate);

(N.B. - Code 071 normally will have NAVFAC EFD responsibility for processing and preparation of this document.)

(b) All roads (other than that described in Exhibit "__") and all water, electric power, and signal lines, as shown on said Exhibit "A".

3. Siting of TENANT facilities shall conform with the Station Master Plan except as otherwise provided in writing by HOST. Standards of design and construction shall conform with criteria and directives of HOST.

4. Property accounting shall be in accordance with procedures prescribed by Navy Comptroller Manual (Ref. DODINST 4165.14 of 21 December 1966). Financial responsibility for maintenance of real property used under this Agreement shall be in accordance with SECNAVINST 7020.4B/AR37-19/AFR 172-3 of 22 April 1969; and SECNAVINST 4000.20B/AR 1-35/ AFR 400-27 of 29 June 1973.

5. In addition to this Host-Tenant Real Estate Agreement, there also shall be a separate Interservice Support Agreement prescribing the respective operations and services to be performed by HOST and TENANT. The financial responsibilities under the Support Agreement shall be in accordance with SECNAVINST 7020.4B/AR 37-19/AFR 172-3 of 22 April 1969, and SECNAVINST 4000.20B/AR 1-35/AFR 400-27 of 29 June 1973.

6. Prior to the initiation of any major structural changes in a building and/or demolition or removal of a structure, TENANT shall obtain written authorization therefor from HOST. Upon revocation, expiration or surrender of this Agreement, and to the extent directed by HOST, TENANT shall remove all alterations, additions, betterments and improvements made, or installed, and restore the premises or facilities to the same or as good condition as existed on the date of entry under this Agreement, reasonable wear and tear excepted. (When appropriate, the following optional paragraph 6 should be used in place of the foregoing:)

7. Prior to the initiation of any major structural changes in a building and/or demolition or removal of a structure, TENANT shall obtain written authorization therefor from HOST. Permanent structural changes additions or installations accomplished and financed by TENANT during occupancy shall remain in place (and be left in condition comparable with

the rest of the building or structure). Temporary structural changes, additions, alterations or installations may be removed by TENANT, at its option, after giving notice of its intent, provided that, if removal is accomplished, the building or structure shall be returned to its original condition, upon the request of HOST.

8. The land and improvements, existing and to be constructed, shall be carried on the Inventory of Military Real Property of the HOST. (**NOTE:** If new construction is to be carried on the Inventory of the TENANT, this paragraph shall be modified to so state.)

THIS AGREEMENT shall be effective _____ and remain in effect until _____*_____, unless sooner terminated by the Secretary of the _____. (***NOTE**: For Agreements of indefinite term, state "until terminated by mutual consent.")

FOR THE DEPARTMENT OF THE

_____

Concurrences:

By_____

_____

(CO, HOST Unit)

_____
(Date)

_____

(Date)

FOR THE DEPARTMENT OF THE

_____

_____

(CO, TENANT Unit)

By_____

_____

(Date)

_____
(Date)

APPENDIX B

INTRASERVICE SUPPORT AGREEMENT

SUPPORT AGREEMENT

1. DOCUMENT IDENTIFIER ("X" one): ☐ NEW ☐ ANNUAL UPDATE ☒ REVISION ☐ DELETION
2. AGREEMENT DATE (Mo. & Yr): 0375

3. SUPPLYING ACTIVITY (Name & Complete Address):
Commanding Officer
Naval Construction Battalion Ctr.
Port Hueneme, CA 93043

3a. MAJOR CMD CODE: N00025
3b. SUBORDINATE COMMAND CODE: N62583

4. SUPPORT AGREEMENT NUMBER (DODAAD, Ordinal Date, Serial Number)
4a. PRESENT: N62583-75084-107
4b. SUPERSEDED: N62583-005-0

5. TYPE OF AGREEMENT ("X" one): ☐ INTERSERVICE ☐ INTERDEPARTMENTAL ☒ OTHER
6. EFFECTIVE DATE (Mo. & Yr): 1 June 1975
7. TERMINATION DATE (Mo. & Yr): 31 May 1978

8. RECEIVING ACTIVITY (Name & Complete Address):
Commanding Officer
Naval School Civil Engineer Corps Officers
Port Hueneme, CA 93043
8a. DODAAD NUMBER:
8b. MAJOR CMD CODE:
8c. SUBORDINATE CMD CODE:

9. SUPPORT AGREEMENT RESOURCE SUMMARY

a. CATEGORIES (See reverse for codes)	HOST b. MAN YEARS MILITARY	HOST b. MAN YEARS CIVILIAN	HOST c. GROSS ADDITIONAL COST	TENANT d. MAN YEARS MILITARY	TENANT d. MAN YEARS CIVILIAN	TENANT e. VALUE OF RESOURCES PROVIDED BY THE TENANT
AA						
AW						
BB						
BC						
AB-AC-AH	Common Service Items					
AI-AJ-AM						
AO-AP-AY						
BD-SG-SN						
TOTAL			-			-
f. NET ADDITIONAL COSTS →			-	g. NET ADDITIONAL COSTS →		-

10. SAVINGS ACCRUED AND/OR COSTS INCURRED TO FEDERAL GOVERNMENT

SAVINGS	COSTS	REMARKS
-	-	-

11. FUNDING & REIMBURSEMENT ARRANGEMENT

12. COMPTROLLER SIGNATURE CONCURRENCE (Supplier): E. M. Rostohar
13. COMPTROLLER SIGNATURE CONCURRENCE (Receiver):

14. TYPED NAME & POSITION OF LOCAL OFFICIAL FOR SUPPLIER
14a. SIGNATURE
14b. DATE

15. TYPED NAME & POSITION OF LOCAL OFFICIAL FOR RECEIVER: O.L. DIXON III, CAPTAIN, CEC, USN COMMANDING OFFICER
15a. SIGNATURE: O L Dixon III
15b. DATE: 4 April 75

16. TYPED NAME & POSITION OF SUPPLIER APPROVING AUTHORITY: P. W. Forehand, Captain, CEC, USN Commanding Officer
16a. SIGNATURE: P W Forehand
16b. DATE: 4/8/75

17. TYPED NAME & POSITION OF RECEIVER APPROVING AUTHORITY
17a. SIGNATURE
17b. DATE

DD FORM 1 FEB 73 1144 S/N 0102-011-0902 EDITION OF 1 SEP 70 IS OBSOLETE

SHEET 1 OF 9 SHEETS

Categories of Support Services Administrative and Logistical Support Services

AA	Computer & Data Processing	AT	Terminal Operations
AB	Finance & Accounting	AU	Administrative Office Space
AC	Military/Civilian Personnel	AV	Education Services
AD	Legal	AW	Civil Engineering
AE	Mail Pick-up and Delivery	AX	Property Disposal Services
AF	Custodial	AY	Administrative Services
AG	Purchasing/Contracting	AZ	Information Office Services
AH	Fire Protection	BA	Religious Services/Chaplain
AI	Police Protection	BB	Safety
AJ	Housing/Lodging	BC	Communication Services
AK	Laundry/Dry Cleaning	BD	Community Services
AL	Medical/Dental	BE	Logistic Air Support
AM	Messing	BF	Officer/NCO Club Service
AN	Storage/Warehousing	BG	Social Actions
AO	Transportation	BH	Search & Rescue
AP	Utilities	BI	Test & Evaluation
AQ	Mortuary	BJ	Weather Service
AR	Stevedoring	BK	Aerial/Photography
AS	Calibration of Precision Instr.	BL	Geodetic Support

SUPPLY SUPPORT CATEGORIES		MAINTENANCE SUPPORT CATEGORIES
SA	Aircraft	MA
SB	Aircraft Equipment & Components	MB
SC	Ammunition	MC
SD	Ordnance Equipment & Components	MD
SE	Clothing & Textiles	ME
SF	Communication Equipment & Components	MF
SG	Vehicles	MG
SH	Vehicular Equipment & Components	MH
SI	Construction Equipment & Components	MI
SJ	Materials Handling Equipment & Components	MJ
SK	Fire Fighting Equipment & Components	MK
SL	Electrical Equipment & Components	ML
SM	Electronic Equipment & Components	MM
SN	General Supplies	MN
SO	Medical/Dental Equipment & Components	MO
SP	Missiles	MP
SQ	Missile Equipment & Components	MQ
SR	Parachutes	MR
SS	Photographic Equipment & Components	MS
ST	Petroleum, Oils, Lubricants & Chemicals	MT
SU	Railroad Equipment & Components	MU
SV	Ships & Vessels	MV
SW	Subsistence Supplies	MW
SX	Life Support Equipment	MX
SY	Office Machine Repair	MY
SZ	Industrial Plant Equipment	MZ

INTRASERVICE SUPPORT AGREEMENT

1. **General.** The parties of this agreement are the Commanding Officer, Naval Construction Battalion Center, Port Hueneme, California, hereinafter referred to as the HOST, and the Commanding Officer, Naval School Civil Engineer Corps Officers, Port Hueneme, California, hereinafter referred to as the TENANT.

2. **Authority.** This agreement is entered into pursuant to the following directives and letters insofar as they are applicable:

a. NAVCOMPT Manual, Volume 7.

b. NAVFACINST 11011.51, Subj: Host-Tenant Real Estate Agreements, Interservice and Intraservice Support Agreement; preparation and execution of.

c. CNTECHTRAINST 5450.21, Subj: Naval School CEC Officers; mission and functions of.

d. Defense Retail Interservice Support Manual, DOD 4000.19M.

e. Admiral Ben Moreell, CEC, USN (Ret) ltr of 19 May 1969.

f. COMNAVFACENGCOM ltr 0652/WPD ser 249 of 24 April 1974; Subj: Publication Supervision of the Navy Civil Engineer Magazine.

3. **Terms and Conditions**

a. The primary support responsibilities as provided under the provisions of this agreement are listed in Appendix I, with reimbursement as indicated.

b. Support services will be provided consistent with the capabilities and resources of the HOST.

c. The cost of services and work performed will be funded on a properly executed DoD funding document on a quarterly basis. Billings will be issued monthly on a Standard Form 1080 for reimbursable items accrued during the preceding month.

d. The TENANT will comply with all HOST directives and regulations applicable to the support services provided.

e. Reimbursement by the TENANT will be limited to the additional costs incurred by the HOST as a result of support and services provided to the TENANT when they can be identified without unreasonable expense or difficulty.

4. **Review, Revision, Modification or Cancellation**

a. This agreement will be reviewed at least annually by each party to evaluate its effectiveness and currency and to determine need for modifications.

b. This agreement is subject to modification prior to annual review by written request forwarded by one party to another at least 90 days prior to the effective date of such modification.

c. Notification of the intention of either party to terminate this agreement will be by written notice to the other party normally at least 180 days prior to the effective date of termination.

d. In the event of mobilization or other emergency, this agreement shall remain in force subject to normal cancellation provisions.

e. None of the terms or provisions of this agreement are intended to conflict with or supersede instructions from higher authority. In the event such a conflict exists/arises, the cognizant party will initiate modification action to eliminate such conflict.

CATEGORY OF SUPPORT		HOST WILL	TENANT WILL
AA	Computer and Data Processing	Provide services as requested.	Reimburse HOST for all costs.
AB	Finance and Accounting	Provide accounting and payroll services.	Provide HOST all accounting information and/or documents required in support of TENANT requirements.
AC	Military/Civilian Personnel	a. Provide all military personnel administrative services.	a. -----
		b. Provide civilian personnel services as stipulated in attached Civilian Personnel Staff Services Agreement.	b. Comply with the terms of the Civilian Personnel Staff Services Agreement.
AH	Fire Protection	Provide firefighting and prevention services.	-----
AI	Police Protection	Provide normal security services, including investigations, personnel and vehicle passes, and identification cards.	-----
AJ	Housing/Lodging	Provide family housing, BOQ/BEQ accommodations on the same basis as provided for HOST personnel.	-----
AM	Messing	Provide messing facilities for enlisted personnel.	-----
AO	Transportation	Provide on-Center taxi service.	-----
AP	Utilities	Provide utilities, both purchased and station generated.	-----
AW	Civil Engineering	a. Provide all normal cyclical maintenance and repair of plant facilities to ensure the structural integrity of the plant.	a. Reimburse HOST for all alterations, improvements, and additions to the plant requested by the TENANT.
		b. Maintain and repair office furniture and fixtures, classroom and training devices, and other minor property, including installation and/or moving.	b. Reimburse HOST for all costs.
		c. Provide janitorial supplies; pest control, trash and refuse removal.	c. -----

CATEGORY OF SUPPORT		HOST WILL	TENANT WILL
		d. Perform facilities planning, project preparation; planning and estimating and engineering services as requested.	d. -----
AY	Administrative Services	Exercise overall administrative control over entire Center and facilities including jointly used HOST land and facilities.	Exercise administrative control over TENANT facilities. Exercise operational control over buildings and facilities assigned for exclusive use of TENANT.
BB	Safety	a. Provide automotive accident and industrial accident (personnel) investigations.	a. -----
		b. Administer a Center-wide Safety and Accident Prevention Program. Perform periodic inspections, surveys, safety engineering studies, job hazard analyses, and safety presentations. Administer the Federal Employees Compensation Act and Industrial Health Care Programs.	b. -----
		Provide industrial accident investigation services (government material loss). Provide for maintenance of safety equipment.	-----
		c. Provide protective equipment, including safety glasses, as requested and available, and promotional and training material.	c. Reimburse HOST for readily identifiable labor, material, and contract professional service costs.
BC	Communication Services	Make available such existing telephone service as may be required to conduct normal business.	Reimburse HOST for TENANT toll calls.
BD	Community Services	Provide exchange stores, clubs, recreation facilities, legal services, and other personnel services/facilities on the same basis as provided for HOST personnel.	-----

CATEGORY OF SUPPORT		HOST WILL	TENANT WILL
SG	Vehicles	Provide general and special purpose vehicles as available from HOST allowance.	-----
SN	General Supplies	Provide supply services including but not limited to the facilities for requisitioning, supplying and procuring general stores items and local purchases, etc.	-----
Miscellaneous		Provide TENANT with miscellaneous services as requested.	Reimburse HOST for miscellaneous out-of-pocket costs incurred as a result of TENANT requests provided that these costs can be readily identified.

AGREEMENT OF CIVILIAN PERSONNEL SERVICES TO BE RENDERED CECOS BY CBC

1. Pursuant to the responsibility of command and consistent with the spirit and intent of the Civilian Manpower Management Instructions, this agreement sets forth the basic policy on the civilian personnel services rendered to CECOS by CBC. This agreement also establishes the specific services to be furnished by CBC to CECOS. This agreement is founded upon the traditional line-staff relationship described in Navy Regulations, General Order 19, Civilian Manpower Management Instructions, and many other derivative documents and places upon that definition no new or unusual interpretation.

2. The services to be furnished by CBC will normally be rendered by the Director, Civilian Personnel Office. When CBC is mentioned with respect to specific services, it is understood that the CPO is specifically referred to.

3. Whenever this agreement requires signatures, approvals, authentication or similar executive actions by CECOS, the term CECOS means the Commanding Officer, CECOS; the Executive Officer, CECOS; any person acting in these capacities; or any other person acting under authority delegated by the Commanding Officer, CECOS. No such delegation shall be effective as to any person having a primary duty station other than CECOS, unless made in writing.

4. The Commanding Officer, CECOS, is the appointing officer and has classification authority for CECOS, regardless of procedure or methods for the employment of that authority, and regardless of the place of preparation of personnel action documents respondent to it. Matters of form of procedure, no matter how important or necessary, cannot dilute nor diminish authority. In these matters, as in all civilian personnel matters, CEC may be called upon, from time to time, to advise the Commanding Officer, CECOS, in the manner customary to any line or staff relationship.

5. CBC will provide the necessary staff services for civilian personnel functions for CECOS as covered in the Civilian Manpower Management Instructions. It is expected that such staff services will encompass the entire Civilian Manpower Management Instructions. Since the final accountability for these functions remains with CECOS, CBC will:

(a) Prepare all reports and correspondence concerning civilian personnel matters which concern CECOS alone and will submit them to CECOS for signature. CBC will furnish to CECOS an information copy of all combined reports which pertain in part to CECOS.

(b) Maintain all manuals, directives or other material applicable to CECOS civilian personnel in a current status available for use by CECOS personnel. CBC will notify CECOS of the issue of any official instruction, notice, executive order or other document which bears with any particular significance upon CECOS civilian personnel. When such directives require reply by CECOS, such correspondence will be prepared by CBC and submitted to CECOS for signature.

(c) Maintain personnel records of CECOS civilian employees. Any additions to the personnel records of an individual employed by CECOS will be brought to the attention of CECOS. When authentication is required or appropriate it shall be made by CECOS. (This does not apply to any routine personnel action established by law, periodic step increases, etc., or to any personnel action formalized by the CPO after written authority has been issued by CECOS, i.e., SF 52 requesting a SF 50 be used.)

(d) When requested, assist CECOS in defining classifying and filling of wage grade positions. All classification documents will be signed by the Commanding Officer, CECOS, in his capacity as the classifying officer for CECOS.

6. CBC will prepare, for signature and release by CECOS, instructions and notices to promulgate properly to CECOS personnel information concerning the CECOS Civilian Personnel Program. Such directives shall be submitted in draft for review by CECOS. Where the subjects involved are not of a policy nature and where there is reason to expect that the content of such documents will not vary from a similar CBC document, the CBC Instruction or Notice may be made applicable to CECOS by means of an endorsing stamp placed on the document and signed by CECOS. If CBC determines this approach to be an appropriate means of eliminating duplication, a draft of the proposed CBC document will be forwarded for review by CECOS prior to its issuance to obtain CECOS management concurrence.

7. It is recognized that in the performance of civilian personnel functions the advice or technical opinion of various Naval or other governmental offices may be necessary to prudent management. CBC will request such advice, when needed, with the express prior approval of CECOS. This policy extends to any resident, detached representative of such Naval or governmental board, commission, office whether at the departmental, regional, district or local level. CECOS will sign all such correspondence prepared by CBC and will authorize, in advance, all other forms of correspondence whenever appropriate.

This policy applies also to responses to any queries addressed by other Naval or governmental offices (boards, commissions, etc.) to CBC which bear upon CECOS civilian personnel.

8. In order that CBC may be fully cognizant of all actions and correspondence relating to CECOS civilian personnel, CECOS will furnish to CBC a copy of all pertinent incoming correspondence and will staff all related outgoing correspondence through CBC.

9. CBC will suggest to CECOS (at any time) additions and modifications to this agreement which in its opinion will add to the full understanding and/or usefulness of its substance.

CHAPTER 4
FACILITIES PLANNING AND PROGRAMMING

Facilities planning and programming represents one of the most dynamic aspects of facilities management. The goal of facilities planning is to support the Navy's operational commitments, and to insure that the proper types of facilities are available at the right place at the right time. This responsibility requires the Public Works Officer or Staff Civil Engineer to become intimately familiar with their activity's mission, to insure that the planning effort is properly managed.

This Chapter addresses facilities planning in three specific areas: The Shore Facilities Planning System, MILCON Programming, and Master Planning. Each of these is closely related, but they accomplish very different specific purposes. Part 1 describes the Shore Facilities Planning System, which provides an organized method of identifying valid deficiencies that must be corrected, and surplus facilities that should be eliminated. Part 2 discusses MILCON Programming, which begins the moment that a project is selected to go before Congressional review for approval and funding as part of the Navy's Planning, Programming, and Budgeting System. Part 3 addresses Master Planning, a process and a product designed to insure that an activity grows in a logical and well planned fashion.

Shore Facility Planning and Programming involves the active participation of many different players as illustrated to Figure 4-1. NAVFAC and the Engineering Field Divisions are responsible for the technical adequacy of the Navy's facility plans. Major Claimants and Sub-major claimants make priority decisions among their individual activities, and must guide and support the activities planning efforts. The Chief of Naval Operations ultimately decides how the Navy's resources should be apportioned to various functions, including the maintenance and construction of the shore establishment. However, the most important burden rests with the Navy activity to initiate a sound facility planning program, to keep it current, and aggressively pursue correction of the problems that are identified.

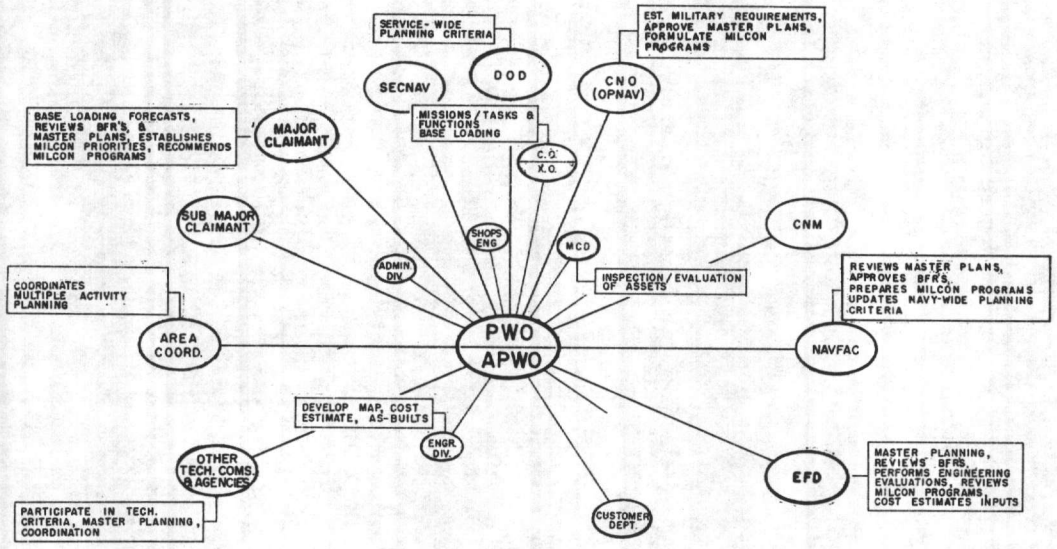

FIGURE 4-1
THE PLAYERS IN FACILITIES PLANNING AND PROGRAMMING

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REFERENCES

1. OPNAVINST 5430.29 (current), Subj: *Designation of OPNAV Coordinators for Shore (field) Activities Under the Command of the Chief of Naval Operations*
2. OPNAVINST 6240.3 (current), Subj: *Navy Environmental Protection Manual (Scheduled to be published CY 1975)*
3. OPNAVINST 11010.1 (current), Subj: *Policies, Responsibilities and Procedures for Facilities Planning of the Naval Shore Establishment*
4. OPNAVINST 11012.2 (current), Subj: *Habitability and Occupancy Criteria for Bachelor Housing*
5. OPNAVINST 11010.20 (current), Subj: *Facilities Project Manual*
6. OPNAVINST 11010.22 (current), Subj: *Evaluation of Flood Hazards at Naval Shore (field) Activities*
7. OPNAVINST 11010.24 (current), Subj: *Approval of Master Plans*
8. OPNAVINST 11010.31 (current), Subj: *Department of the Navy Utility System Improvement*
9. OPNAVINST 11010.5 (current), Subj: *Navy Military Construction Review Board*
10. OPNAVINST 11011.12 (current), Subj: *Safeguarding Navy Investment in Real Property*
11. NAVFACINST 7040.3 (current), Subj: *Collateral Equipment Program*
12. NAVFACINST 8020.2 (current), Subj: *Site Approvals for Ammunition Facilities*
13. NAVFACINST 8020.3 (current), Subj: *Siting of Facilities to Preclude Electromagnetic Radiation (EMR) Hazards*
14. NAVFACINST 11010.14 (current), Subj: *Program Cost Estimates for Military Construction Projects*
15. NAVFACINST 11010.29 (current), Subj: *General Development Maps*
16. NAVFACINST 11011.32 (current), Subj: *Military Construction Program Projects; Preparation of Supporting Documents*
17. NAVFACINST 11010.44 (current), Subj: *Shore Facilities Planning Manual*
18. NAVFACINST 11010.45 (current), Subj: *Master Plans for Navy and Marine Corps Shore Activities*
19. NAVFACINST 11010.53 (current), Subj: *Economic Analysis of Proposed Military Construction Investments*
20. NAVFACINST 1011.57 (current), Subj: *Site Approvals for Naval Shore Activities*
21. NAVFACINST 11010.61 (current), Subj: *Real Property Inventory Procedures for Reassignments*
22. NAVFACINST 11010.63, *Planning Services for Navy and Marine Corps Installations*
23. NAVFACINST 11310.41 (current), Subj: *Utilities Improvement Program*
24. SECNAVINST 7041.3 18 Oct 72, Subj: *Economic Analysis and Program Evaluation for Resource Management*
25. NAVFAC P-72, *Department of the Navy Facility Catagory Codes*
26. NAVFAC P-73, *Real Estate Administration*
27. NAVFAC P-78, *Navy Facility Assets (NFA) Data Base Procedures Manual*
28. NAVFAC P-80, *Facility Planning Factor Criteria for Navy and Marine Corps Shore Installations*
29. NAVFAC P-164 of 30 June (current year), Subj: *Detailed Inventory of Naval Shore Activities*
30. NAVFAC P-272, *Definitive Designs for Naval Shore Activities*
31. NAVFAC P-328, *Military Construction Program Management*
32. NAVFAC P-347, *NAVFAC Documentation Index*
33. NAVFAC P-438, *Historical Military Construction Cost Estimating Data*
34. NAVFAC P-442, *Economic Analysis Handbook*
35. NAVFAC P-448, *Military Construction Cost Engineer Data*
36. OPNAV P09B3-105 (current), *Catalog of Naval Shore Activities*
37. *Military Construction Program Reports (current) 1357, 1357A, 1348, 1360*
38. NAVCOMPT Manual, Vol. 2, Chapter 5, Subj: *Unit Identification Codes*
39. Design Manual

DEFINITIONS

For the purpose of this chapter the following definitions are applicable.

ACTIONS (FPD Planning)

Descriptive planning terms used in the Planning Analysis section of the Facility Planning Document, which when implemented, will result in the following:

1. Reduce the facility deficiency by acquisition of facilities (i.e., conversions from other category codes, leases, or new construction).

2. Reduce the facility surplus by dispositions of facilities (i.e., leases, conversions to other category codes, reassignments, and demolitions).

3. Provide for the optimum utilization of existing facility assets to support the mission-derived Basic Facility Requirements prior to considering new construction as an alternative.

4. Provide a reference file to extract Facility Planning Action Reports from an activity's Facilities Requirements Plan to depict excesses, planned construction, etc.

5. Provide documented support for subsequent project submissions and excessing actions as necessary to implement the Facilities Requirements Plan.

ADDITION

Addition, expansion, and extension each constitute a physical increase to a real property facility that adds to the overall external dimensions of the facility. As a general rule, if the dimensions used to record the facility in inventory are increased, then an addition has occurred.

ADEQUATE (CONDITION)

An "ADEQUATE" facility is fully capable of supporting its current use without modifications or repairs which require approval and funding beyond the authority of the activity's commanding officer.

ALTERATION

An alteration is the work required to adjust interior arrangments, on-base location, or other physical characteristics of an existing real property facitlity so that it may be more effectively adapted to or utilized for its designated purpose.

ALTERNATE HOST

When a host activity (host A) or a tenant of that host requires facilities that are on the plant account of another host (host B), host A or its tenant is said to have facility requirements at an "alternate host" (host B) location.

BASIC FACILITY REQUIREMENTS

The Basic Facility Requirements for a shore activity is the title used for the aggregate facility requirements, listed by category code and quantity, which are necessary to perform its mission.

CATHODE RAY TUBE (CRT)

The data base terminal, consisting of a keyboard and screen to change and view data base elements of the Shore Facilities Planning System.

COMMUNITY ASSET

A non-government-owned facility available to the military such as private housing and other personnel support facilities in the 730-750 series category codes in the civilian community.

CONSTRUCTION

Construction is the erection, installation, or assembly of a new facility; the addition, expansion, extension, alteration, conversion or replacement of an existing facilty; or the relocation of a facility from one installation to another. Construction includes equipment installed in and made a part of such facilities, and related site preparation, excavation, filling and landscaping, or other land improvements.

CONVERSION

A conversion is a major structural revision of a real property facility that changes the functional purpose for which the facility was originally designed or used. A conversion results in a change to the basic real property facilities three digit category code currently assigned to the facility. Two elements are necessary for conversion: (a) a major structural revision and (b) change in functional purpose.

DETACHMENT

A physically distinct but functionally related and administratively dependent extension of an established shore (field) activity, bureau or command; normally categorized as a detachment, branch, annex or other similar title.

EXIGENT MINOR MILCON (EMM)

Exigent Minor MILCON supports projects costing more than $100,000 and no more than $500,000 which demand remedy sooner than would be possible if normal MILCON procedures were followed. EMM provides the same basic coverage as the former Urgent Minor Construction program.

FACILITY

A separate, individual building, structure, utility or other form of real property, including land, which is subject to separate reporting under the Department of Defense Real Property Inventory. (Note: This definition differs from that used elsewhere because it includes "land".)

FACILITY DEFICIENCY

The quantitative difference in terms of some unit measure between a stated requirement for a facility and the adequate assets avaiable for the satisfaction of that requirement. A facility deficiency may be satisfied in various ways by lease or purchase, by reassignment of otherwise surplus assets, by adaption of existing assets, by new construction, etc.

FACILITY REQUIREMENTS PLAN

The complete Shore Facilities Planning System package for a shore activity, comprising the Activity General Information, a Facilities Requirements Plan Summary, and the individual Facility Planning Documents for each facility category at the activity.

FACILITY PLANNING DOCUMENT (FPD)

The complete record of planning information for a single facility category (identified by five digit code) including requirements and assets information, deficient and surplus quantities for the category, buidlings included in the category, proposed planning actions to satisfy deficiencies and eliminate surpluses, and notes providing further descriptive information concerning the category code and the proposed planning actions.

GSA SPACE/LEASE

Facilities provided by GSA space allotments or leases, GSA provided space is excluded from Navy Faciities Assets Data Base (NFADB) reporting. Other space, used by a naval activity, under a lease arrangement is reported in the NFADB.

HOST ACTIVITY

For the purpose of the SFPS, an activity that holds Property Records and so has Navy Facilities Assets Data Base accountability for faciities regardless of occupancy. Under this definition a host activity does not necessarily have tenants. Some host activities are not required to prepare Basic Faciity Requirements. A host can be a tenant at another host activity. (See ALTERNATE HOST ACTIVITY).

HOST/TENANT CODE

The host/tenant code is an indicator that ties the tenant and supported unit Unit Identification Code (UIC) to its respective host and/or parent and identifies the support relationship.

INADEQUATE

Inadequate describes a facility that cannot be made adequate for its present use through "economically justifiable means". An inadequate faciity could, however, be adequate or substandard for a use other than its assigned category code.

INSTALLATION

The aggregrate of real property facilities assigned to a shore activity.

INVESTMENT CATEGORY

Static description of like facilities (by five-digit Navy category code) which are utilized functionally to support specific investment requirements.

MAJOR CLAIMANT

Those commands, bureaus and offices designated by the CNO, as claimants for a share of MILCON programs for the shore (field) activities under their command. The major claimant is responsible for the direction and control of mission, shore activity and workload planning for commanded activities. In those instances wherein mission and task functions

assigned to activities under more than one major claimant must be performed within the same structure, or where separate structures are proposed but must be coordinated closely as to scheduling, siting, ground improvements, utilities, or other considerations, the major claimant having primary interest in the complex as a whole shall normally act as major claimant for the entire project. Technical review, however, shall be the responsibility of the command(s) having technical support cognizance.

MILITARY INSTALLATION PLANNING

A comprehensive document developed for Navy/Marine Corps activities to establish land use and provide direction in the utilization of existing faciities to support mission needs and, when required, to provide for the modification of existing assets or the acquisition of additional land or facilities.

MISSION-ORIENTED FACILITY

A facility designed to perform a specific task or function or to produce a product directly related to the primary mission of an activity or unit, such as an aircraft maintenance hangar at a naval air station.

MULTIPLE USE BUILDING

A building which supports more than one function and is reportable under multiple category codes.

NAVAL ACTIVITY

A unit of the Department of the Navy, of distinct identity, established under an officer in command or in charge.

NAVAL SHORE ACTIVITY

A naval activity on shore, establsihed by the Secretary of the Navy, or in certain cases, by the Chief of Naval Operations. Includes organizational adjuncts established and located at special areas by a naval activity to carry out assigned missions.

PARENT ACTIVITY

A shore activity which as administrative and/or operational control of detached sub-organizational units or detachments.

PARENT COMMAND

A parent command has operational, planning and programming responsibility for its field units regardless of geographic location.

PROJECT

A statement of a construction requirement for a facility or group of like facilities in terms of a category code, title, unit of measure, quantity required, estimated cost, description, justification, etc. A project will consist of only those elements necessary to produce a functional entity. It usually has a clearly dominant feature (the principle construction feature) such as a single building or structure or a group of buildings such as bachelor quarters. Project statements will also be used to identify excess facilities, or for such other identification as may be directed.

REHABILITATION

The action performed in restoring a facility to normal design standards.

RENOVATION

The action performed in upgrading an existing substandard facility to a functionally adequate usable facility.

REPAIR

Repair is the restoration of a facility to such condition that it may be effectively utilized for its designated purposes by overhaul, reprocessing, or replacement of constituent parts or materials that have deteriorated by action of the elements or usage and have not been corrected through maintenance.

REPLACEMENT

A replacement is a complete reconstruction of a facility destroyed or damaged beyond the point at which it may be economically repaired. A construction project for complete replacement should include the cost of demolition of the replaced facilty, and such costs are part of the construction costs.

SHORE ACTIVITY PLANNING

That planning which encompasses the determination of mission, tasks, functions and workload to be accomplished by a naval shore (field) activity and provides for the coordination of information from all echelons of command, area coordinator and technical support.

SHORE FACILITY PLANNING

The determination of the facility requirements for individual shore activities of the Navy establishment, the evaluation of the adequacy of existing real proeprty to satisfy these requirements, the determination of facility deficiencies or excesses, the provision for maximum utilization of existing facilities, the translation of deficiencies into requirements for construction, and the initiation of disposal action of excess properties.

SPECIAL AREA

A geographic area, under the cognizance of a host activity, which is specially identified due to its non-contiguous location. Specific justification must be provided for the designation of special areas, or the retention of that designation, for any area that is not located at a significant distance from the boundary of the reporting activity.

SUBSTANDARD (Condition)

Substandard describes a facility with deficiencies that require approval and funding beyond the authority of the activity commanding officer for modifications or repairs to made the facility adequate for its function.

SUPPORTED ACTIVITY/UNIT

For the purpose of the SFPS, an activity or unit that does not prepare a Facilities Requirements Plan, occupies facilities accounted for in the NFADB by another activity (host) and has it facility requirements reflected in the Facilities Requirements Plan of the host activity.

SURPLUS

Adequate, substandard and inadequate assets of a facility category that exceed the category requirement.

TENANT ACTIVITY

For the purpose of the SFPS, an activity that has a Facilities Requirements Plan but occupies facilities accounted for in the NFADB by another activity (host). A tenant may have hosts other than his designated host.

YEAR, APPROPRIATION

The fiscal year for which funds are provided by Congress for the execution of MILCON projects.

YEAR, AUTHORIZATION

The fiscal year for which proposed MILCON projects are authorized by Congress.

YEAR, BUDGET

The fiscal year of the MILCON program under review by Congress.

YEAR, ESTIMATE

The fiscal year for which cost estimates are developed. Example: A cost estimate developed in February 1979 for Program Year 1980 would be identified as Estimate Year 1980.

YEAR, PROGRAM

(General) The fiscal year to which a MILCON project is assigned in the MILCON RL for proposed funding as a result of priority determinations. (Specific) The fiscal year immediately following the budget year.

ACRONYMS

AC	Area Coordinator
ADCA	Anticipated Date of Contract Award
ADP	Automatic Data Processing
AICUZ	Air Installations Compatible Use Zones
AIS	Annual Inspection Survey
APPN	Appropriation
ARP	Activity Record Printout
CATCD	Category Code
CC	Construction Code
CCD	Category Code Directory
CCN	Category Code Number
CMC	Commandant of the Marine Corps
CNO	Chief of Naval Operations
CRT	Cathode Ray Tube Computer Terminal
DE	Data Element
DOD	Department of Defense
DR	Disposal Record
EAF	Environmental Adjustment Factors
E/COST FY	Estimated Cost and Fiscal Year
EE	Engineering Evaluation
EFD	Engineering Field Division
EIA	Environmental Impact Assessment
FACSO	Facilities Systems Office
FDR	Force Distribution Report
FPD	Facilities Planning Document
FY	Fiscal Year
FYDP	Five Year Defense Program
GSA	General Services Administration
H/T Code	Host/Tenant Code
IC	Investment Category
MAGIC	Master Activity General Information and Control
MARTD	Marine Corps Air Reserve Training Detachment
MCIF	Marine Corps Industrial Fund
MCNR	Military Construction, Naval Reserve
MC PRI	Major Claimant Priority
MILCON	Military Construction
MILCON RL	Military Construction Requirements List
NAF	Non-Appropriated Fund
NARF	Naval Air Rework Facility
NARU	Naval Air Reserve Unit
NAVCOMPT	Comptroller of the Navy
NAVFACENGCOM	Naval Facilities Engineering Command
NAVRESSO	Navy Resale and Services Support Office
NFADB	Navy Facilitiy Assets Data Base
NIF	Navy Industrial Fund
NAVSUP	Naval Supply Systems Command
OMB	Office of Management and Budget
O&M	Operations and Maintenance (funds)
O&MN	Operations and Maintenance, Navy
OR	Outgrant Record
OSD	Office of Secretary of Defense
P/COST	Anticipated Cost in the Program Year
"P" No.	Project number assigned by activity
PI	Primary Investment Category
POM	Program Objective Memorandum
PR	Property Record
PRV	Project Rating Value
PS★	Percentage of Plans and Specifications
PY	Program Year

RDT&E	Research, Development, Test and Evaluation
RJE	Remote Job Entry
SA	Special Area
SCF	Supplementary Category Flag
SFPB	Shore Facilities Programming Board
SFPS	Shore Facilities Planning System
SNDL	Standard Navy Distribution List
SMC	Sub-Major Claimant
U/M	Unit of Measure
UCD	Usable Completion Date
UDF	Unvalidated Deficiency Flag
UIC	Unit Identification Code
UPHS	Unaccompanied Personnel Housing Survey
*c/o*W	Requirement Satisfied With Project
*c/o*WO	Requirement Satisfied Without Project

PART 1 - FACILITIES PLANNING AND PROGRAMMING

4.1.1 Introduction

A. Purpose

1. The Shore Facility Planning System (SFPS) is designed to help manage the Navy's Shore Establishment, by identifying the facilities needed to support the Seapower mission. The system helps the activity planner identify valid facility requirements, analyze the facilities and real estate under his control, and develop valid plans to fill the vacancies and eliminate the surpluses. Ultimately these plans will be used by the Navy to validate requests for project funding through various programs, such as MILCON, O&MN, and OPN.

2. This section describes the Shore Facilities Planning System, and illustrates how it is used to manage the Navy's facility assets. It is a supplement to the appropriate NAVFAC and OPNAV instructions which govern the SFPS, but does not replace them. Therefore, it is important to obtain copies of the latest issues of the various instructions cited throughout this section, and become familiar with their contents. Information on current issues of instructions and directives is available at the Engineering Field Division (Code 09P) or at NAVFAC Headquarters (Code 201).

B. Changes to the SFPS

1. The experienced Navy planner should be aware that there have been many significant changes to the Shore Facility Planning System. Some of the changes which are addressed in this section include:

a. Replacement of the Military Requirements Data Book (MRDB) with a new format, the Facility Requirements Plan (FRP).

b. Replacement of the OPNAV Forms 11000/1, 11000/2, and 11000/3 with a single new format, the Facility Planning Document (FPD).

c. Revised Project for Correction of Facility Deficiency, OPNAV 11000/4.

d. Simplified procedures for updating property records and the Navy Facility Assets Data Base (NFADB).

e. Conversion of the computer data base to an "on-line" system which allows EFDs and NAVFAC to have instant access to the latest planning data for any Navy activity.

4.1.2 Overview of the Shore Facilities Planning System

This section provides a brief overview of the SFPS, including a review of the logic of the system, what facilities are covered, and who participates in its management and operation. Also described are the recent changes to the system, including the use of streamlined formats and the application of modern computer technology to the SFPS.

A. Logic of the Shore Facility Planning System

1. The SFPS is based on a simple, direct logic which is designed to identify and validate only those facility needs which are in direct support of an activity's mission. This logic is illustrated by Figure 4-2, and can be summarized as follows:

a. Facility Requirements must be based upon the needs of an assigned mission. In addition, facility requirements must be reasonably consistent between similar Navy activities.

b. Existing Facility Assets must be accounted for, and evaluated in regards to their ability to meet design purposes. Again, this evaluation should be consistent for similar facilities throughout the Navy.

c. Requirements and Assets must be compared to determine if requirements are adequately met, if shortages exist, or if there are excess facilities. Where possible, excess facilities must be used to fill shortages.

d. Valid Project to correct deficiencies should be identified, verified, and submitted for appropriate funding action.

e. Excess Facilities should be removed, or transferred to activities that can use the assets to meet existing shortages or deficiencies.

2. This logic guides all aspects of the SFPS, and has resulted in a planning program which enjoys a high degree of Congressional confidence and project approvals. Each procedure and element of the SFPs described throughout this Chapter will refer back to this simple method of identifying and supporting only those projects which are directly mission related, and are consistent with similar requirements throughout the Navy.

B. Facilities Covered by the SFPS

1. The SFPS applies to the facilities held by all shore activities responsible for military construction planning and programming, with the exception of:

a. Shore activities commanded by the Commandant of the Marine Corps.

b. Family Housing.

c. Family type supplemental or recreational lodging facilities for short term occupancy, constructed and/or managed by non-appropriated funds.

d. Facilities programmed, budgeted, and financed with funds from appropriations for research, development, test, and evaluation or procurement pursuant to NAVMATINST 4860.13B.

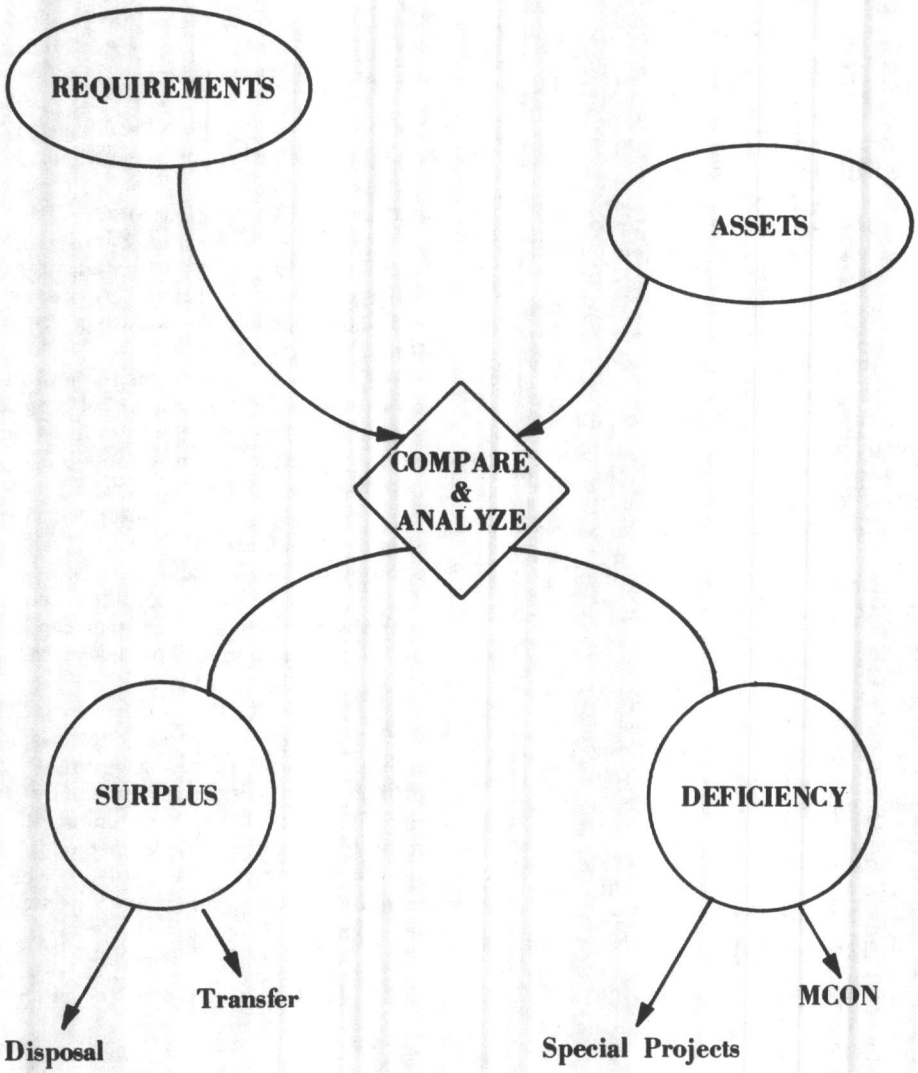

FIGURE 4-2
THE SHORE FACILITIES PLANNING SYSTEM

2. In addition, NAVFACINST 11010.44 lists several specific types of activities and organizations that are exempt from the SFPS.

C. Facility Category Codes

1. All of the Navy's facilities are organized under a category code system which is managed by NAVFAC. The category code system assigns each type of Class 1 (Real Estate) or Class II (Improvements) property a five-digit category code. All facility requirements data and inventory information are recorded under these codes. The NAVFAC P-72, *Department of the Navy Facility Category Codes* describes the category codes system, and lists all existing category code numbers, descriptive titles, units of measure, maintenance cost accounts, and investment categories.

D. Participants in the SFPS

1. Successful planning begins at the individual Navy activity. The Commanding Officer is directly responsible for supporting his assigned mission, and therefore must insure that the SFPS supports his facility requirements. However, activity planning must also stand up before several different levels of review before it is considered adequate and valid.

2. The various organizations responsible for reviewing, approving, and assisting with the SFPS can be divided into two groups: those who provide technical review and assistance, and those who furnish guidance and support through the operational chain of command.

a. Technical Review and Assistance is furnished primarily by NAVFAC and the EFDs, which are responsible for administering the planning system and furnishing technical advice. These organizations review SFPS submissions for technical adequacy, compliance with instructions and criteria, accuracy of cost estimates, etc. Technical review comments are then forwarded by the EFD to the appropriate level of the operational chain of command, where decisions are made for funding and programming priorities.

b. The Naval Facilities Engineering Command and its EFDs are also responsible for publishing planning guidelines and instructions to implement the SFPs, and to provide engineering assistance when required. EFDs initiate some actions, such as conducting Engineering Evaluations to insure that records of facility assets are consistent with actual conditions. The EFD may also recommend specific planning actions to eliminate facility deficiencies and excesses.

c. Operational Guidance and Support is furnished through the linear Chain of Command. Activity planning must begin with sound guidance from the chain of command regarding mission assignment and projected base loadings. Subsequently, the activity must submit elements of the SFPS for review by the chain of command to insure the proposed plans are consistent with existing and planned operational needs of the base. Ultimately the Chain of Command will fund project requirements or support them in major programs such as MILCON.

d. The standard operational chain of command begins with the activity Commanding Officer, and goes through the sub-major claimant, and major claimant, to the CNO. Decisions to fund or program projects are made at some point in this chain, depending upon project type and cost.

3. All project submissions must meet the required technical review for conformance with the SFPS before final review and approval will be completed by the operational chain of command. Likewise, an activity's SFPS must be supported by the operational chain of command in order for projects to be funded or programmed. Therefore it is important for the Navy activity to aggresively pursue a planning program which has support through the operational chain of command, and which meets the technical requirements of the SFPS.

E. Computer Applications to the SFPS

1. The use of computers to assist in managing the SFPS is not a new development. Planners experienced in the SFPS are familiar with the Military Construction Requirements Data Book (MRDB) which was a computer generated compilation of the various elements of the SFPS. However, the MRDB and several other elements of the SFPS have been superceded and replaced by new documents and formats.

a. Introduction of the Cathode Ray Tube Terminal at each EFD, NAVFAC and FACSO has provided a direct, on-line link with the computer data base system and a visual display of the data on file. This system allows operators at NAVFAC and the EFDs to "query" the computer files for all SFPS information on record for any given activity. Changes can also be made directly at the CRT Terminal, and automatically entered into the computer file. This system allows virtually an instant update capability at the EFD for requirements, asset, and planning analysis information.

b. Introduction of the Facilities Requirements Plan as a replacement for the MRDB: This new format is described in detail in the following portions of this section. Briefly summarized, the Facilities Requirements Plan displays all facility requirements, assets, and planning analyses on a single sheet or format for each individual category code assigned to an activity.

c. **Continued utilization of established computer files** which have been in use for several years to record facility requirements and assets information, has allowed NAVFAC to shift to the new system with a minimum of inconvenience to individual commands. Existing computer files which have been adapted to the new system include the Navy Facility Assets Data Base (NFADB), Basic Facility Requirements, (BFR), Master Activity General Information Control (MAGIC) and Category Code Directory (CCD).

2. The relationships of various computer data base systems to the SFPS are illustrated by Figure 4-3.

F. Elements of the Shore Facilities Planning System

1. Each part of the SFPS serves some portion of the logic described in paragraph 4.1.2.A. The key elements which are used to execute the system include:

a. **The Facilities Requirements Plan** provides the means to compare facility requirements and assets to determine the optimum solution to an activity's facility needs. The Facilities Requirements Plan includes a *Facilities Planning Document* (FPD) which summarizes planning information for individual category codes; a *Facilities Requirements Plan Summary* which displays a summary of all FPD information; an *Activity General Information Summary*, which illustrates general identification data for the activity, and all hosts or tenants on board the base.

b. **The OPNAV Form 11000/4** Project for Correction of Facility Deficiency which is used for submission of construction projects to satisfy deficiencies in excess of $100,000.

c. **The MILCON Requirements List** (1360 Report) which summarizes the valid MILCON projects for an individual activity.

2. Each of these three elements of the SFPS are discussed in detail in the following paragraphs.

4.1.3 The Facilities Requirements Plan (Reference NAVFACINST 11010.44)

A. Purpose

1. **The Facilities Requirements Plan** is the collection of computer-generated documents used to execute the SFPS, and is available through the Engineering Field Division (Code 20). These documents replace the Military Requirements Data Book, (MRDB), and display all current planning information for a selected Navy Activity.

B. Contents of the Facilities Requirements Plan. The Facilities Requirements Plan is divided into three parts: The Facilities Planning Document (FPD), Facilities Requirements Plan Summary, and Activity General Information.

1. **The Facilities Planning Document** is the primary working document for the SFPS. A separate FPD is prepared for each category code, and displays current information regarding facility requirements and assets. It also provides a means of comparing requirements and assets data, and proposing specific solutions to resultant deficiencies and excesses. The FPD is a significant improvement over previous formats, as it provides all of the appropriate planning information for a given category code in one place. Also, it provides a detailed breakdown of the individual facilities which contribute to the total assets for a single category code. Data for the FPD is derived from the Basic Facility Requirements, Navy Facility Assets Data Base, and Category Code Directory Files. The different types of information displayed by the Facilities Planning Document are summarized by Figure 4-4.

2. **The Facilities Requirements Plan Summary** lists all category codes for which a Facilities Planning Document exists for the individual Navy activity. The summary includes all of the latest approved facility requirements for each category code (primary unit of measure only), facility surpluses and deficiencies based on *existing* assets and requirements, and facility surpluses and deficiencies based on the *proposed* planning actions. A sample Requirements Plan Summary is illustrated by Figure 4-5.

3. **The Activity General Information** sheet provides several items of information regarding the Navy activity's chain of command, geographical EFD, Naval District, etc. In addition it lists all supported units and tenants on board the activity, and all special areas (non-contiguous facilities and real-estate) assigned to the command. A sample Activity General Information Sheet is illustrated by Figure 4-6.

C. Guidance for Preparation and Revision

1. The information in the Facility Requirements Plan must be revised whenever:

a. The information in the Activity General Information summary changes due to the assignment of new tenants, supported, units, etc.

b. A change in mission or base loading dictates a change in facility requirements.

c. The facility assets are changed as a result of a review of the facility assets records.

d. A project is completed that affects the quantify or alters the adequacy of a facility.

e. Proposals for satisfying existing deficiencies and disposals of surpluses are altered.

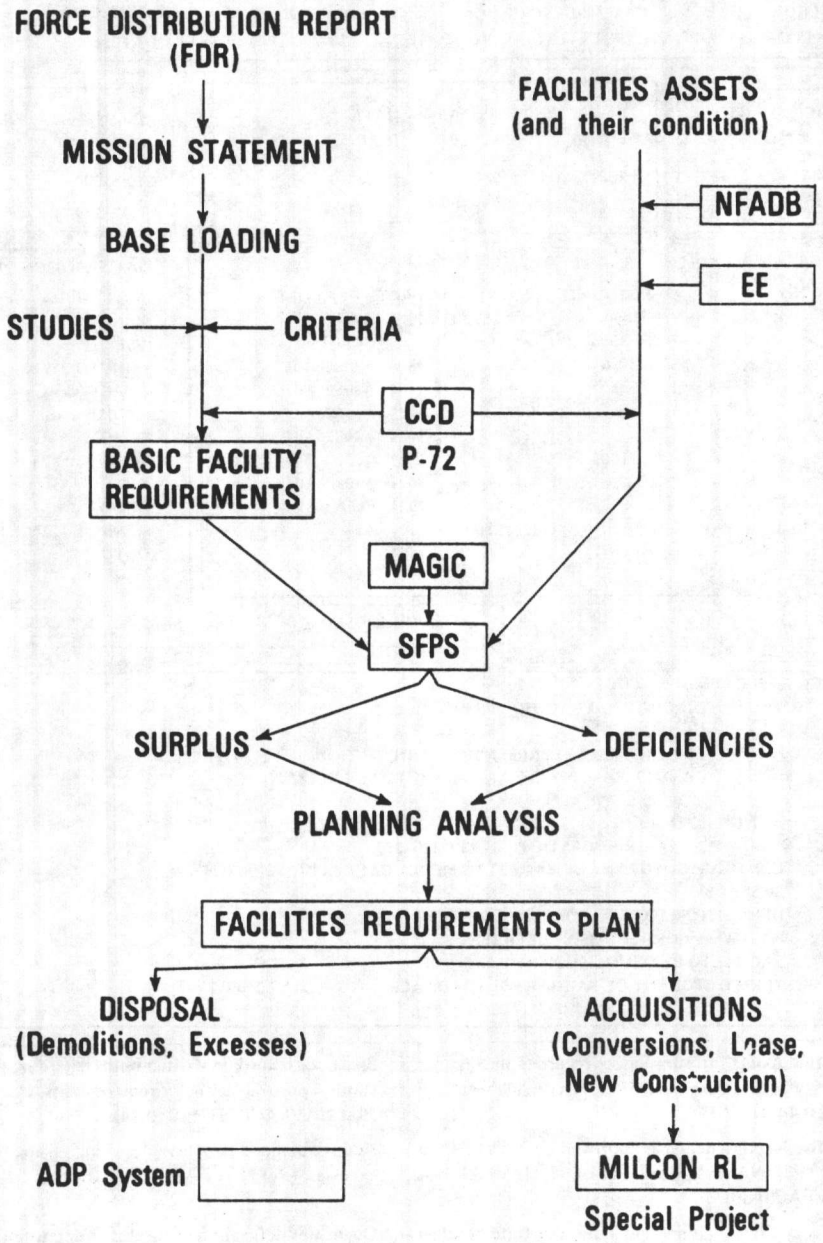

FIGURE 4-3
SHORE FACILITIES PLANNING SYSTEM COMPONENTS AND RELATIONSHIPS

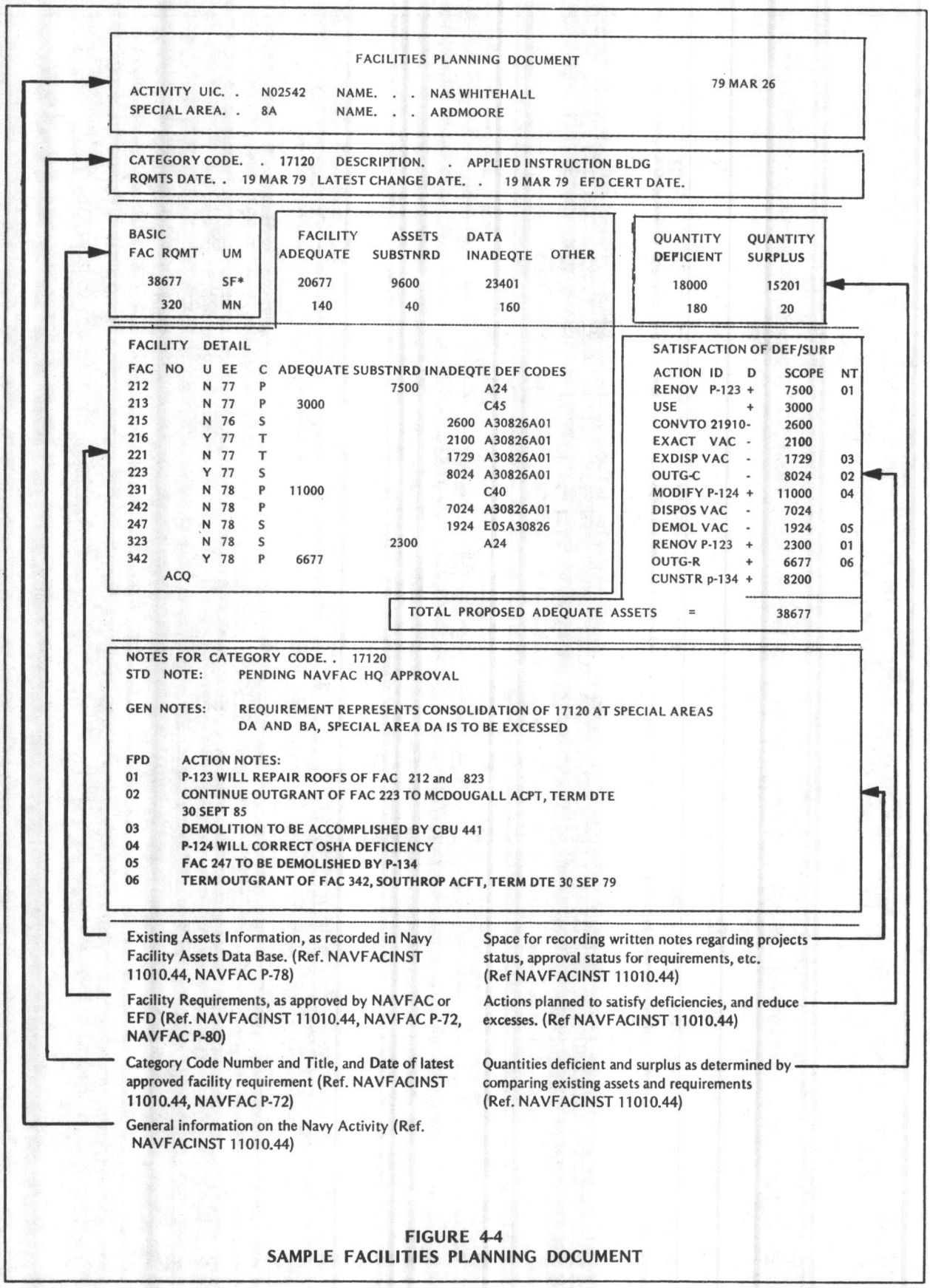

FIGURE 4-4
SAMPLE FACILITIES PLANNING DOCUMENT

FACSO RPT SYM/NO. 11016/R2001R01

F A C I L I T I E S R E Q U I R E M E N T S P L A N S U M M A R Y

ACTIVITY UIC. N12345 ACTIVITY NAME NAVAL AIR STATION EUREKA 26 FEB 81

CCN	CATEGORY CODE DESCRIPTION	UM	BASIC FACILITY REQUIREMENT	ASSETS ADEQUATE A SUBSTNRD S INADEQTE I OTHER O	EXISTING SURPLUS+ DEFICIENT-	PROPOSED SURPLUS+ DEFICIENT-
211-36	AIRFRAMES SHOP	SF	9000	984 A 8718 S 3445 I	4147 + 8016 -	702 +
211-37	AVIONICS SHOP	SF	32563	9112 I	32563 -	
211-66	PWR CHK NO SND	EA	5	4 A	1 -	
211-77	ACFT SPARES STG	SF	6680	6568 S 3505 I	3393 + 6680 -	112 -
211-85	LINE MAINT SHLT	SF	960	2000 I	1040 + 960 -	
214-20	AUTO VEH SHOP	SF	29020	3065 A 25955 S	25955 -	
214-30	REFUEL VEH SHOP	SF	3060	2915 A	145 -	145 -
218-45	INSTRUMNT CAL/S	SF	7900	9634 A	1734 +	1734 +
218-50	BATTERY SHOP	SF	1110	704 S	1110 -	282 +
218-51	BAT RECHAR SHOP	SF	1520	1586 A	66 +	66 +
218-60	ACFT G/SPT SHOP	SF	12500	11307 I	12500 -	
218-61	G/SPT EQ HLD SH	SF	19500	396 A 4125 S 3781 I	19104 -	
219-10	PW SHOP	SF	29200	30759 A 2380 I	3939 +	1559 +
219-20	PAV/GRNDS EQ SH	SF	1800	1800 S	1800 -	
219-25	PW SHOP STOR	SF	2200	4276 A	2076 +	

UIC.. N-12345 SUMMARY PAGE..4

FIGURE 4-5
FACILITIES REQUIREMENTS PLAN SUMMARY

12 MAR 79

ACTIVITY UIC	N02542	AIR STATION WHITEHALL
H/T CODE	0	HOST
HOST UIC	N02542	AIR STATION WHITEHALL
PARENT UIC		
MAJOR CLAIMANT	F	CINCPACFLT
SUB-MAJOR CLAIMANT	FO	AIRPAC
EFD	N62474	WESTDIV
AREA COORDINATOR	11	COMELEVEN
AREA COMPLEX	ZZ	WHITEHALL

SPECIAL AREAS

BA ARDMOORE
CA HIGGINS
DA BIDDLE

ALTERNATE HOST LOCATIONS

UIC	SUB-CLMNT	NAME
M12345	R CMC	CAMP MITCHELL
N23456	KO NAVAIR	PT, OAKBED TEST CEN

SUPPORTED UNITS

UIC	SUB-CLMNT	NAME
N45678	M TELCOM	BASE COMMUNICATION TELCOM
N56789	FO AIRPAC	FLT AIR PHOTO LAB

TENANTS

UIC	SUB-CLMNT	NAME
N98765	B CNAVRES	AIR RESERVE DET
N87654	I BUMED	EPMU

UIC . . . N02542 GENERAL INFORMATION PAGE 1

FIGURE 4-6
ACTIVITY GENERAL INFORMATION

2. Changes to facility requirements must be initiated by the activity, and submitted for technical review and approval. New or revised facility requirements must be based upon current mission needs, and calculated in accordance with standard criteria (NAVFAC P-80) whenever possible. Revisions to existing facility requirements are forwarded by the command with a marked-up Facility Planning Document which reflects the change. New facility requirements may be submitted in the format of a Navy letter, and no form is required. In the case of both revisions to existing facility requirements, and generation of new facility requirements, complete back-up information which clearly illustrates how the requirements were developed must be included. (Ref NAVFACINST 11010.44; NAVFAC P-80)

3. Revisions to facility assets information may be changed as the result of activity-generated changes to a facility use or user, or as the result of a records update during an Engineering Evaluation by the Engineering Field Division. In all cases, the Engineering Field Division must approve changes to the assets information in the Facility Requirements Plan. (Ref NAVFACINST 11010.44; NAVFAC P-78)

4. The planning actions proposed to eliminate deficiencies and surpluses must also be approved by the Engineering Field Division, although the Activity may initiate proposals for such changes. Changes to the planning analysis and proposed planning actions are generally noted during the EFD's on-site Engineering Evaluation. (Ref NAVFACINST 11010.44)

5. Revisions to the Activity General Information are executed by making changes to the Activity's portion of the NAVFAC Master Activity General Information Control system (MAGIC). Changes are made using Activity Record Printouts (ARPS) which are forwarded by the Activity to the EFD, describing necessary changes. (Ref NAVFACINST 111010.44; NAVFAC P-78. NAVFACINST 5400.4)

6. All revisions to the Facility Requirements Plan are initially entered into the computer data base at the Engineering Field Division, over the Cathode Ray Tube (CRT) Terminal. Once data is approved and entered into the system, any subsequent calls for information under that category code will display the updated data last entered over the CRT.

D. Submissions, Review, and Validation

1. Revisions to the Facility Requirements Plan may be made directly on the printed Facility Planning Documents and Requirements Plan Summaries. The submission of such changes for facility requirements is illustrated by figure 4-7, and for facility assets data by figure 4-8. (Ref NAVFACINST 11010.44; NAVFAC P-78)

2. Initial submissions of new or revised data in the Facility Requirements Plan are sent to the Engineering Field Division for review and entry over the CRT. Once data is entered into the system, the EFD is authorized to approve certain data elements such as proposed planning actions and facility assets information. However, NAVFAC approval is reserved for facility requirements for certain specific category codes. In these cases, a facility requirement is not considered "valid" until it receives NAVFAC approval.

4.1.4 OPNAV Form 11000/4 Project for Correction of Facility Deficiency

A. Purpose

1. The basic purpose of a project summary for correction of facility deficiencies is to initiate the inclusion of facility projects into the Military Construction Program Objectives. The individual projects are identified and quantified on the OPNAV Form 11000/4.

The secondary purpose of the project summary, as input for the development of the Military Construction Program Objectives, is to enable the various command echelons to review all projects and establish priorities for accomplishments. By this method the Annual Military Construction Programs are formulated.

B. Method of Accomplishment

1. Using the Facility Requirements as the source document, the EFD analyzes the quantitative deficiencies and determines in conjunction with the activity Commanding Officer, the best means for satisfying the deficiencies which may include development of specific projects. The Commanding Officer initiates and, with EFD technical guidance, jointly prepares a proposed project on Form 11000-4 in accordance with the instructions contained in NAVFACINST 11010.44 (current). All facility deficiencies which result in projects in excess of $100,000 are to be shown on the Form 11000/4. Facility deficiencies which result in projects less than $100,000 are funded with OM&N dollars with procedures for funding contained in OPNAVINST 11010.20 (current) and Chapter 5 of this manual. Where incremental development is planned a separate project is required for each increment and so identified. The presence of a proposed facilities project in an approved master plan document does not of itself represent justification or CNO approval of that particular project.

2. Projects for utility improvements, pollution abatement and those with category codes

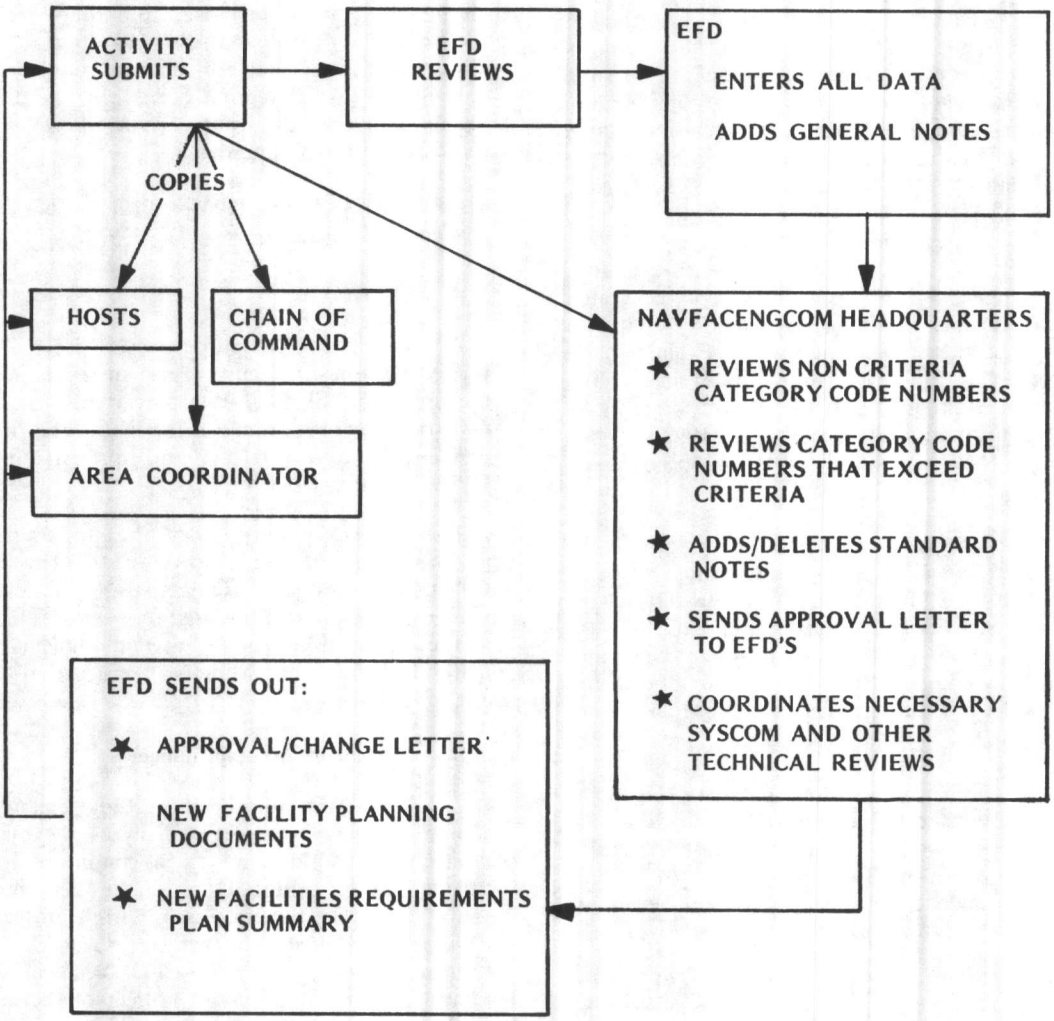

FIGURE 4-7
SUBMITTAL ROUTE
BASIC FACILITY REQUIREMENTS (CHANGES, ADDITIONS AND DELETIONS)

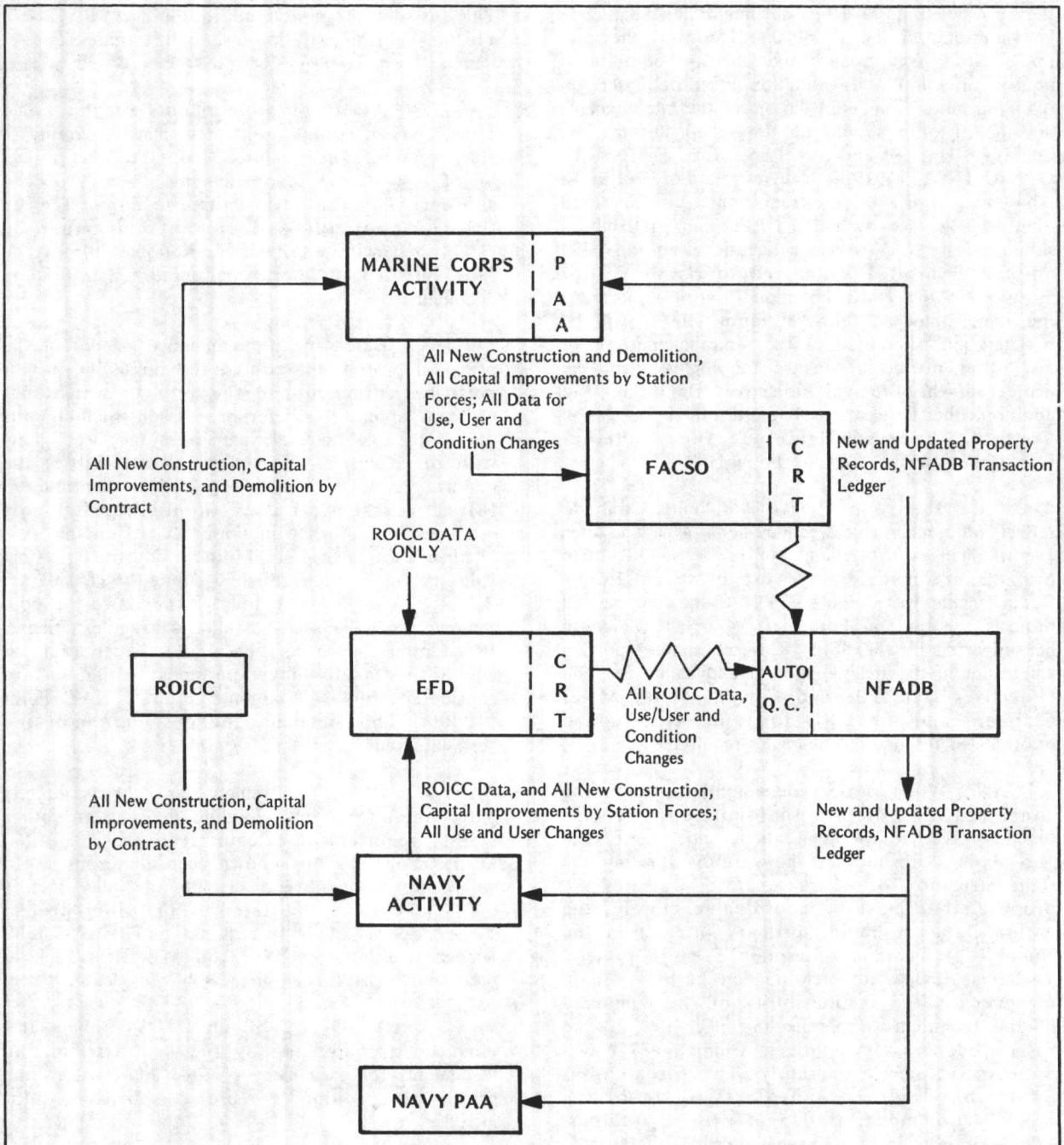

FIGURE 4-8
SUBMITTAL ROUTE
DATA CHANGES TO NAVY FACILITIES ASSETS DATA BASE

that do not require BFR documentation shall also be submitted on Form 11000/4. However, they are not related to a quantitative facility requirement and justification and validation must be based on other specifics. For utility projects the requirements and justification should be developed through the Utility Improvement Program (refer to OPNAVINST 11010.31 (current)). For Pollution Abatement projects, the requirement is identified jointly by the activity and the EFD and an Exhibit I submitted to NAVFAC for inclusion and the EFD and an Exhibit I submitted to NAVFAC for inclusion in the OMB Pollution Control Report. At the same time, an OPNAV Form 11000/4 will be initiated and submitted in the same manner as for any other project to insure the inclusion of the project in the Program Objectives Data Bank. In addition, the Exhibit I submitted for the Pollution Control Report will include the P-number identification assigned to the Form 11000/4.

3. The Form 11000/4 is submitted only to reflect additional project requirements as a one time event. Changes to elements of previously identified projects are made by the use of the MILCON Requirements List Report 1360. All new or revised projects reported on Form 11000/4 or the 1360 will be supported by the SFPS. This continuous updating will result in the maintenance of a dynamic Program Objectives Data File and will enable the Major Claimant and the CNO to adjust construction priorities in response to changing requirements.

4. When project development and/or site considerations dictate that mission and task functions assigned to organizations under more than one major claimant must be performed within the same structure, or where separate structures are proposed but must be coordinated closely, the major claimant having primary interest in the complex as a whole sponsors the entire project. Technical review of each portion of the project, however, is the responsibility of the command having technical support cognizance (i.e., in the case of commissary stores - Commander Naval Supply Systems Command). The foregoing is applicable for projects involving rehabilitation/modernization of existing facilities. Where projects involve mixed command interest and agreement cannot be reached at the Area Coordination level as to which major claimant has primary interest, the issue is referred to the Chief of Naval Operations.

C. Guidance for Preparation:

1. The preparation of the Form 11000/4 is the responsibility of the Commanding Officer of each activity. It is, though, the Public Works Officer who normally takes the lead in such action. The instructions contained in the NAVFACINST 11010.44 for preparation are quite comprehensive. Sample Form 11000/4 is shown as Figure 4-9.

2. Although all elements of the Form 11000/4 are important, some few may require extra consideration. The quantity (scope) of the project is, of course, the basic element of the proposed subject. This quantity must be supported by foregoing planning documents; it must be established within criteria limitations; it must be fully justified in later programming and funding documents.

3. Based upon the quantity (scope) of the proposed project, the cost to accomplish the project must be estimated and the year to which that estimate applies be determined. Construction costs during the past several years have increased along with other cost-of-living rises experienced by the general economy and is expected to continue in future years. Activities should develop cost estimates for reporting in Form 11000/4 on the basis of the latest conceptual Military Construction Cost Engineering Data published annually (NAVFAC P-448). Where other local experience or cost reference may be used to reflect current experience. In addition to the cost entry, the Fiscal Year for which the locally developed cost estimates are considered valid will be entered in OPNAV Form 11000/4. This becomes the designation of the "estimate year."

4. Utility requirements are not as directly determined from base loading data as are other facility requirement categories. Even when final utility capacities are known, considerations as to siting and the relative availability of utility sources may make radical differences in utility project scopes. Special study is required to ensure that all necessary utilities, including utility services back to their source, have been adequately provided.

5. All OPNAV Form 11000/4 Submissions must be accompanied by the Facility Planning Documents for each category code addressed by the project. In addition, the project submission must include:

a. A detailed site plan (Reference NAVFACINST 11010.44)

b. An Economic Analysis which supports any proposed savings, or validates the selection of a particular alternative (Reference: NAVFAC P-442, Economic Analysis Handbook).

c. A Preliminary Environmental Assessment (PEA) (Reference OPNAVINST 6240.3).

d. A cost estimate prepared on NAVFAC Form 11013/7 (Reference NAVFACINST 11010.44)

OPNAV 11000/4 (REV. 4-79)
S/N

REPORT OPNAV 11000-1C

CLASSIFICATION	PROJECT FOR CORRECTION OF FACILITY DEFICIENCY	PROJECT NO. P-

SUBMITTING ACTIVITY NAME AND LOCATION	ACTIVITY UIC	MAJOR CLAIMANT
HOST ACTIVITY	HOST UIC	AREA COORD.
COMPONENT NAME	COMPONENT UIC	

EST. YEAR	USEABLE COMPL. MOS.	USEABLE COMPL. CODE	INVESTMENT PROGRAM	ECONOMIC ANALYSIS	E I A	S I T E	RELATED PROJECTS	%W	%W/O	MAJOR CLAIMANT PRIORITY
1	2	3	4	5	6	7	8	9	10	11

	CATEGORY CODE	PROJECT TITLE	AH/SU UIC	SA	SCOPE QUANTITY	U/M	ESTIMATED COST ($000)	CONST/ MISSION CODE	VAL. CODE
	12	13	14	15	16	17	18	19	20
@									
K									
L									
M									
N									
O									
P									

21. PROJECT DESCRIPTION

ACTIVITY CERTIFICATION. I certify that this project is required to support Activity/Mission functions.

Activity Commanding Officer — *Date*

MAJOR CLAIMANT CERTIFICATION. I certify that this project is required to support Activity/Mission functions.

Major Claimant Representative — *Date*

EFD CERTIFICATION. This project is supported by SFPS.

EFD Commander/Commanding Officer — *Date*

(DO NOT WRITE IN THIS SPACE—FOR NAVFAC USE ONLY)
This project is authorized for entry into the MILCON R.L.

NAVFAC Authorizing Signature — *Date*

CLASSIFICATION

FIGURE 4-9
OPNAV FORM 11000/4 PROJECT FOR CORRECTION OF FACILITY DEFICIENCY

D. Validation Procedures and Considerations:

1. While the Commanding Officer is responsible for the preparation of individual activity Form 11000/4 submissions, the EFD's responsibility is to provide technical assistance as required for each project. This applies to both the original total submission and to subsequent submissions relating to additions or changes to the original.

2. Particular concern should be given with respect to validation or invalidation of the estimated cost. SFPS procedures require the submissions to NAVFAC of DD Forms 1391 (see paragraph 4.2.3) only for projects included in a program year. It is therefore acceptable that the cost estimate/cost estimate review for a project which is not supported by a DD Form 1391 be on a basis for which a rationale can be established whenever a detailed cost estimate and documentary facts are not readily available. For example, points of review might be:

a. From previous experience, what is a normal unit cost for the type of facility in the geographic area for the estimate year indicated?

b. What are the probable supporting items and costs (percent of total) for the type of facility at the activity noted?

c. Consider the fact that at least 5 percent contingency is always applied to project costs on the DD Form 1391 which goes to Congress for funding.

d. Based upon current DOD cost limitations, area cost factors and the "Estimated Year" indicated, is the estimated cost within reason based upon the facts known at the time of review?

3. If the project is considered to be invalid for any one or more data items and the discrepancy cannot be resolved with the activity or if review time is insufficient to complete validation procedures for an individual project, the reason(s) for such invalidation are recorded in the appropriate column of the Form 11000/4 by the EFD.

4. If any variance of opinion with the activity cannot be resolved, the EFD shall so indicate in its letter of transmittal to the chain of command.

E. Chain of Command Review:

1. The completed Form 11000/4 is submitted by the activity Commanding Officer to NAVFACENGCOM, via the EFD (for technical certification) and the activity's chain of command. Copies are provided to the Area Coordinator and other interested commands. Comments of the Area Coordinator and other interested commands are provided to the Superior in Command (Major Claimant) for coordination and assistance in assignment of project priorities. The Form 11000/4's are used by NAVFACENGCOM in the formulation of the Military Construction Requirements List and annual MILCON and MCNR programs for review and evaluation.

2. Superiors-in-Command review and analyze the construction requirements submitted on the Forms 11000/4 so that he may verify and support those requirements which are to be included in the MILCON RL and annual MILCON programs. In addition, he assigns priorities to each individual project in accordance with current guidance and direction of the Chief of Naval Operations.

F. Public Works Officer.

1. The activity command and public works officer should ensure that each project submitted on OPNAV Form 11000/4 is a true reflection of real and tangible needs, is free from embellishments, has a sense of urgency associated with time, and is supported not only by theoretical criteria but also by the existence of actual or known future problems affecting the mission of the activity.

4.1.5 MILCON Requirements List Report 1360. (Reference: NAVFACINST 11010.44 (current).)

A. Purpose. The MILCON Requirements List Report 1360 provides a copy of program objectives data to all interested parties at periodic intervals in the general format of the OPNAV Form 11000/4. A description of that format is contained in NAVFACINST 11010.44 (current). The portion of that report applicable to each addressee (activity, area coordinator, EFD, Major Claimant) is provided. Those addressees who do not have projects included in the RL data bank do not receive a copy of the report. The purposes of this 1360 report, a sample of which is shown as Figure 4-10 are to:

1. Provide a ready means for verification of the Requirements List (RL) data bank by the activity (projects previously submitted on Form 11000/4).
2. Provide an alternative process for updating/correcting errors for projects identified in the program.
3. Provide a means for identification of projects for which SFPS validation by the EFD has not yet been completed either due to the need for additonal data or additional review effort.
4. Provide the activity with a continuous indication of the general programming status for its MILCON program. The activity Major Claimant should be consulted for precise programming status.

REPORT 1360 (TB-605-40A) MILITARY CONSTRUCTION REQUIREMENTS LIST SEQ. NO. 236 DATE 04/14/79

UIC .... N-63139-00 ACTIVITY LOCATOR NAME ..... ALAMEDA CA NARU PAGE 1

APPN ... MCNR SUB MAJOR CLAIMANT (CODE B) ..... CNAVRES NAVAL DISTRICT 11

(1) IC	(2) MC PRI	(3) CATCD	(4) PROJECT DESCRIPTION	(5) PROJ	(6) S C F	ALT (7) HOST UIC	(8) SA	(9) QUANTITY	(10) UM	(11) E/COST	(12) EV	(13) PY	(14) P/COST	(15) C B C	(16) CC	(17) % W	(18) % WO	(19) PI	(20) U C D	(21) ECON	(22) DTE ENTR	(23) VI
01	0020	116-15	ACFT RINSE FAC TYPE 1	308				7,577	SY	450	80	UP	480		1A	000	000	99		0.0	30 JUN 77	
			PY UP TOTAL							450			480									
			ACTIVITY TOTAL							450			480									

This report has been reprogrammed but contains the same basic data as before. Descriptive data are as follows:

(1) Investment Category
(2) Major Claimant Priority
(3) P-72 Category Code
(4) Project Description
(5) Project Number
(6) Supplemental Category Flag (Multiple-use indicator)
(7) Alternate Host Unit Identifier Code
(8) Special Area
(9) Quantity
(10) P-72 Unit of Measure
(11) Estimated Cost
(12) Estimated Year
(13) Program Year
(14) Program Cost
(15) Critical BOD Code
(16) Construction Code
(17) Per Cent Requirement Satisfied With Project
(18) Per Cent Requirement Satisfied Without Project
(19) Primary Investment Program
(20) Usable Completion Date (Formerly Beneficial Occupancy Date)
(21) Economic Analysis Index
(22) Date 11000/4 Entered in Data Bank
(23) Validation Indicator

FIGURE 4-10
FORMAT FOR REPORT 1360

B. Caution. A misconception often associated with the MILCON Program is that large backlog of deficiencies will assist the activity, or claimant, in obtaining more MILCON dollars. This is not true in any signficant sense. The MILCON Programming System is designated primarily to benefit activities based on the quality of their input. Of equal or more importance is the negative effect of poor quality projects on the Navy's credibility. For example, one poorly justified project for a messhall tends to invalidate the need for all messhalls in the lists; one project whose need is overstated and not supported by facts casts suspicion on the validity of the other projects submitted by the same activity.

C. Basic Procedures:

1. The data contained in the RL Data Bank are initiated at the activity level by means of the OPNAV Form 11000/4. Since the Report 1360 contains data previously reported on the OPNAV Form 11000/4, this report is used in lieu of the actual printed OPNAV Form 11000/4 to report handwritten corrections or updating of information for projects already identified on the report.

2. In the event new projects are identified, or present projects are combined/adjusted to create a new item (new "P" number), the new entry is submitted on the OPNAV Form 11000/4 in the normal manner prescribed in paragraph 4.1.6. This new entry is to be an addition to the existing OPNAV Form 11000/4, however. Once the Report 1360 has been established from previously submitted Forms 11000/4's, only the new project need be listed on the new 11000/4 submission.

3. A major feature of the Report 1360 is the entry (item 28) signifying whether or not the project has been properly validated by the EFD with regard to support of the item by the SFPS and validity of technical engineering and cost data.

D. Activity and EFD Validation:

1. The Report 1360 is published periodically (usually annually.)

2. Upon receipt of the Report 1360, as it applies to his activity, Commanding Officers/Officers in Charge are required to review the contents of the report and make certain corrections/ recommendations in accordance with the instruction set forth in NAVFACINST 11010.44 (current) and forward to the EFD.

3. The EFD will, upon receipt of an updated/corrected Report 1360 from an activity, review and validate all projects and forward the report with appropriate comments through the activity's designated chain of command to NAVFAC. The review includes specific validation of the following:

a. Proper category code for functional project description.

b. Scope (quantity) supported by Shore Facilities Planning System (SFPS).

c. Proper unit of measure; agrees with primary units contained in NAVFAC P-72.

d. Estimated cost is reasonable for scope, category code and estimate year (EY).

e. Usable Completion Date (UCD) code realistic.

f. Proper construction code.

g. % Requirement Satisfied With, % Requirement Satisfied Without, supported by SFPS.

h. Economic analysis figure, if shown, is *realistic* and documented.

i. Inclusion on an updated General Development Map or site sketch.

In those cases where a project is determined to be invalid for a specific reason, the EFD initiates immediate action with the activity to rectify the project in question. As a result of this action, the EFD may correct the PO 1360 Report in accordance with EFD/Activity concurrence. In the cases of improper category code, the EFD may correct without immediate referral to the activity; however, the activity should be advised of the EFD action.

E. Chain of Command Review:

1. Intermediate Commands and Major Claimants review all submissions and forward the original marked up report to NAVFAC for updating the 1360 Data Bank.

2. It is noted that based upon information contained in the Report 1360, the activity is in a position to anticipate those projects which qualify for inclusion in a particular annual Military Construction Program. Accordingly, efforts may be concentrated on those projects as each subsequent program year approaches.

4.1.6 Command Responsibility. The extensive responsibility which rests with NAVFAC and the EFD to manage the SFPS, and review submissions for changes, does not override the responsibility of the Activity PWO and Commanding Officer to insure that the plan supports the assigned mission. Whenever possible, standard planning criteria and

the judgement of the EFD and NAVFAC in evaluating a planning issue should be followed. However, where exceptions to standards are necessary in order to properly meet an assigned mission, it is the responsibility of the Activity PWO and Commanding Officer to request waivers as appropriate, and provide the back up information necessary. Issues which cannot be resolved between the Activity, the EFD or NAVFAC will be referred to CNO for final resolution.

PART 2 - CONSTRUCTION PROGRAMMING/ BUDGETING

4.2.1 Annual Military Construction Program. (Reference: OPNAVINST 11010.1; OPNAVINST 11010.20; and NAVFACINST 11010.44 (current editions).)

A. Introduction. The annual Military Construction Authorization and Appropriations Acts provide authorization and funds for individual construction projects that have been developed to meet known requirements under the Shore Facilities Planning System (SFPS).

B. Project Submission. Usually, formal calls for Program Year submissions of the DD Forms 1391, and facility studies will be issued. Figure 4-11 indicates the Military Construction Time Cycle from activity submission to actual construction for FY84. Major Claimants will provide detailed submission schedules to their activities.

C. Programming Process. The support level for the Military Construction Program and the projects that comprise that support level are established through the Navy Programming system. The Navy Programming system is part of the OSD system known as the Program Objective Memorandum or "POM" process. The process begins when OSD provides annual guidance and proposed resources which the Navy will require for the next five years to accomplish its role in the national strategy. The CNO further parcels these resources to organizations called CNO Resource Sponsors. The Resource Sponsors are Deputy Chiefs of Naval Operations or Directors of Major Staff offices. These sponsors are managers of pieces of the Navy and are basically oriented to major Navy mission responsibilities. During the POM process or, simply POM, each Resource Sponsor determines within its fixed resources how best to program those resources to accomplish its mission in the most effective manner.

In October prior to the start of the POM process, the Major Claimants meet with the Resource Sponsors at the Shore Facilities Programming Board (SFPB). The primary purpose of this meeting is for the Major Claimants to provide guidance on facility requirements that the Resource Sponsors should program during the POM. The following May, the Navy approved POM is submitted to OSD. At that time, Major Claimants task activities to prepare and submit DD Form 1391's and Facility Studies on MILCON projects programmed in the POM for the program year plus one. (MILCON projects must be programmed one year in advance of the current POM year in order to meet Congressional requirements that planning and design be 35% to 50% complete at the time projects are submitted to Congress. Thus POM 83 would program FY84 MILCON requirements). Paragraph 4.2.2 discusses the DD Form 1391 and Facility Study documents. This documentation is forwarded via the chain of command and is due in NAVFAC in July. NAVFAC at that time authorizes the start of 35% design and the preparation of Program Engineering Documentation (PED).

D. Budgeting:

1. The transition from the program to the budget cycle occurs when the MILCON program is submitted as a budget estimate to the Navy Comptroller (NAVCOMPT) for review. This submission is in July and is approximately one year after the 35% design authorization. The 35% design provides the basis for the cost estimates in the NAVCOMPT budget submit. In September, the MILCON budget goes to OSN who then forwards the approved program to Congress via the Office of Management and Budget (OMB) where it is authorized and funded on a project by project basis. The Congressional committees conduct in-depth reviews and hearings on all aspects of the projects. The DD Form 1390 series forms are used by all three services in the reviews of the MILCON programs. A separate DD Form 1391 is submitted for each project. This form describes the size of the facility and type of construction, itemizes the cost estimate which is based on design that is 100% complete, provides quantitative data covering the total requirement for and the availability of like facilities at the activity and gives a concise statement of the requirement for the proposed project including the effect if the project is not provided. A companion document, the DD Form 1390, gives information on the activity including the mission of the activity and the present and projected personnel strengths.

2. The results of the Congressional action, approval or disapproval of individual projects, is fed back into the planning system. As the approved projects are built they are added to the facilities assets. This information is available for use by CNO and other commanders for adjusting the missions and workloads of activities thus starting the planning cycle anew.

4.2.2 Forms for Presentation of MCON Program Projects and Supporting Data. (Reference:

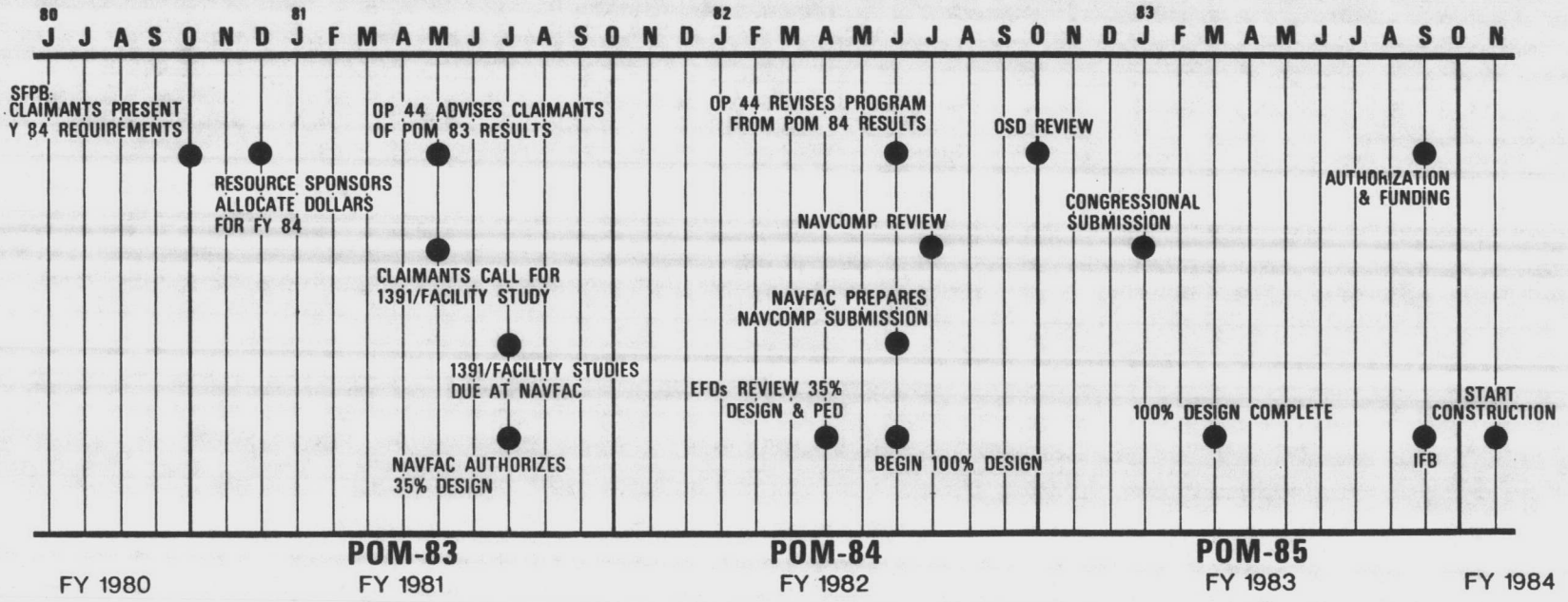

FIGURE 4-11
MILITARY CONSTRUCTION TIME CYCLE

OPNAVINST 11010.20; and NAVFACINST 11010.32 (current editions).)

A. General:

1. The Public Works Officer will be involved in the initiation and preparation jointly with the EFD of the Department of Defense Military Construction Forms 1390 and 1391, with continuation and supplemental sheets. These documents are utilized to present proposed construction to correct facility deficiencies as determined by the Shore Facilities Planning System. Program data on DD Forms is presented to the CNO and the Secretary of Defense and the Office of Management and Budget for inclusion in the President's budget. Ultimately the program is presented to Congress for authorization and funding.

2. Program data presented on the DD Forms are a justification of the requirement for a new facility and a definiton of the scope governing the final construction effort. Of the numerous documents involved in program development, these DD Forms are the only forms reviewed by the Congress. These forms therefore become part of the Congressional history and are the basis upon which the Naval Facilities Engineering Command executes the Congressional authorization. In consideration of the foregoing, accuracy, consistency and completeness are vital. The various forms for the presentation of military construction program projects are fully described in NAVFACINST 11010.32 (current).

B. DD Form 1390 - Activity Data Sheet:

1. The DD Form 1390 is used to list the items proposed for inclusion in Navy Military Construction and Military Construction Naval Reserve programs which includes requests for (1) new authorization; (2) funding of new authorization; and (3) funding of prior year's continuing authorization.

2. For examples of DD Form 1390 see Figure 4-12. At certain levels of review this form may be used independently to present the activity's programs without supplementing DD Forms 1391. Entries on the form must therefore be as complete and factual as possible for quick comprehension.

C. DD Form 1391 - Project Data Sheet:

1. The DD Form 1391 is used to support each project for inclusion in the Annual Navy Military Construction programs. This includes both new authorization items and prior years' unfunded authorization items in the program.

2. The Continuation Sheet (DD Form 1391c) is used as required for continuation of description of work to be done, and the explanation of the requirement for the project. Separate Forms 1391c are also used to document related DD Form 1391. For sample presentation of DD Form 1391, see Figure 4-13.

D. DD Form 1930s - Reserve Forces Supplemental Sheet:

1. The DD Form 1390s is used for activities of the Reserve Forces to supplement data entered on DD Form 1390. For a sample illustration see Figure 4-14.

2. As a supplemental sheet, data presented on the DD Form 1390s must be consistent with the related program data contained on both the DD Forms 1390 and 1391.

E. Facility Study Form 1391c. The purpose of the Facility Study is to provide back-up material to each project for which a DD Form 1391 is prepared. For a sample illustration, see Figure 4-15. The DD Form 1391c is used for development of the Facility Study and is attached to the applicable Form 1391 to assist in project review at intermediate and Shore Facilities Programming Board levels. The use of the DD Form 1391c for purposes of presenting the Facility Study should not be confused with the prescribed use of this Form as a continuation sheet for the DD Form 1391. It also provides the basis for witness data required for the CNO/SECNAV presentation of the project to the OSD and to the Congress.

F. Hints for Preparation.

1. The public works officer should carefully review project submittals to insure that all necessary supporting facilities/utilities are identified and included in the project scope; for example, check to insure the station electrical system is capable of handling the new facility loads, the station sewer system is adequate to handle the increased sewage loading imposed by the new facility, etc., etc. Additionally, the public works officer should closely coordinate the generation of DD Form 1391 and 1391c (Facility Study) with the eventual use to insure scope of project is adequate and will meet the needs of the user. Nothing can be more frustrating and embarrasing than to be partially through design and/or to have obtained congressional approval of a project only to discover that supporting facility/utility items were overlooked and/or the scope and design configuration of the primary facility is not sufficient for the needs of the user.

2. Another concern of the public works officer should be the impact of new facilities upon other resources, for example, a new facility may require maintenance and utility resources which the

1. COMPONENT	FY 19 78 MILITARY CONSTRUCTION PROGRAM	2. DATE
NAVY		1 FEB 1977

3. INSTALLATION AND LOCATION	4. COMMAND	5. AREA CONSTR. COST INDEX
NAVAL STATION, NORFOLK, VIRGINIA	COMMANDER IN CHIEF ATLANTIC FLEET	1.00

6. PERSONNEL STRENGTH:	PERMANENT			STUDENTS			SUPPORTED			TOTAL
	OFFICER	ENLISTED	CIVILIAN	OFFICER	ENLISTED	CIVILIAN	OFFICER	ENLISTED	CIVILIAN	
a. AS OF 9/30/76	3251	43634	9474	80	806	8	91	955	0	58299
b. END FY 19 82	3500	54957	9474	143	1026	8	160	902	0	70170

7. INVENTORY DATA ($000)

a. TOTAL ACREAGE	(1,485)
b. INVENTORY TOTAL AS OF 30 SEP 1976	104,158
c. AUTHORIZATION NOT YET IN INVENTORY	47,739
d. AUTHORIZATION REQUESTED IN THIS PROGRAM	3,800
e. AUTHORIZATION INCLUDED IN FOLLOWING PROGRAM	7,363
f. PLANNED IN NEXT THREE PROGRAM YEARS	47,400
g. REMAINING DEFICIENCY	71,000
h. GRAND TOTAL	281,460

8. PROJECTS REQUESTED IN THIS PROGRAM:

CATEGORY CODE	PROJECT TITLE	SCOPE	COST ($000)	DESIGN STATUS START	DESIGN STATUS COMPLETE
151.20	Pier Extension and Utilities	LS	3,800	2-76	4-77

9. Future Projects:

a. Included in following program (FY 79):

163.20	Dry Dock Mooring Facility	LS	4,975
721.11	Bachelor Enlisted Quarters Modernization	39,366 SF	2,388
			7,363

b. Major planned next three years:

155.21	Deperming Facility	11,863SF	1,153
213.77	Shore IMA Facility	LS	22,100
721.21	Bachelor Enlisted Quarters Modernization	LS	2,875

10. Mission or Major Functions: Provide logistic support for the operating forces of the Atlantic Fleet, tenant activities, and other assigned commands.

Ships & Staff Units assigned to Norfolk
Headquarters, Fifth Naval District
Naval Schools/Training Commands
Naval Engineering/Public Works Commands
Naval Communications Area Master Station
Dispensary/Dental Clinic/Alcohol Rehabilitation Center
Navy Exchange/Special Services
Correctional Center
Port Services
Naval Publication and Printing Service
Navy Supply Center

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FIGURE 4-12
DD FORM 1390 ACTIVITY DATA SHEET

1. COMPONENT	FY 1979 MILITARY CONSTRUCTION PROJECT DATA	2. DATE
NAVY		1 OCT 1977

3. INSTALLATION AND LOCATION	4. PROJECT TITLE
CHARLESTON NAVAL SHIPYARD CHARLESTON, SOUTH CAROLINA	PIPEFITTING SHOP

5. PROGRAM ELEMENT	6. CATEGORY CODE	7. PROJECT NUMBER	8. PROJECT COST ($000)
7 20 28 N	213.55	P-626	6,900

9. COST ESTIMATES

ITEM	U/M	QUANTITY	UNIT COST	COST ($000)
PIPEFITTING SHOP	SF	125,000	40.18	5,023
BUILDING	SF	125,000	38.26	(4,782)
BUILT-IN EQUIPMENT	LS	--	--	(241)
SUPPORTING FACILITIES	--	--	--	921
SPECIAL CONSTRUCTION FEATURES	LS	--	--	(552)
ELECTRICAL UTILITIES	LS	--	--	(78)
MECHANICAL UTILITIES	LS	--	--	(218)
SITE IMPROVEMENT	LS	--	--	(73)
SUBTOTAL	--	--	--	5,944
CONTINGENCY (10%)	--	--	--	594
TOTAL CONTRACT COST	--	--	--	6,538
SUPERVISION, INSPECTION & OVERHEAD (5.5%)	--	--	--	360
TOTAL REQUEST	--	--	--	6,898
TOTAL REQUEST (ROUNDED)	--	--	--	6,900
EQUIPMENT PROVIDED FROM OTHER APPROPRIATIONS	--	-- (NON-ADD)		

10. DESCRIPTION OF PROPOSED CONSTRUCTION

Steel frame building, metal sides and roof, concrete floor on piling, 10-ton overhead travelling crane, railroad spur through building, fire protection system, relocate existing utilities and provide new utility connections. Air conditioning - 48 tons.

11. REQUIREMENTS: 125,000 SF. ADEQUATE: 0 SF. SUBSTANDARD: 98,122 SF.

PROJECT: Constructs new consolidated Pipe Shop.

REQUIREMENT: Overhaul and repair of modern submarines and surface ships requires a well structured shop area allowing optimum arrangement of shop equipment for fabrication of piping systems, refrigeration and air conditioning work, manufacture of gaskets and hangers, and facilities for chemical cleaning.

CURRENT SITUATION: The functions of the Pipe Shop are located in 10 facilities dispensed throughout the shipyard. Shops are overcrowded and equipment poorly arranged in buildings not designed for the purpose. The result is inefficient work flow and excessive costs.

IMPACT IF NOT PROVIDED: Pipe shop functions will continue as inefficient and ineffective operations, and further deteriorate proportionately with aging of existing facilities and equipment.

ADDITIONAL: An economic analysis has been prepared for this project. The payback period is 21 years over a 25 year economic life. An industrial engineering study is currently being performed and a new economic analysis with improved benefits is anticipated.

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FIGURE 4-13
DD FORM 1391 PROJECT DATA SHEET

1. COMPONENT	FY 1979 GUARD AND RESERVE MILITARY CONSTRUCTION	2. DATE
N&MCR		12 SEP 1977

3. INSTALLATION AND LOCATION
NAVAL AIR STATION
SOUTH WEYMOUTH, MASSACHUSETTS

4. AREA CONSTR. COST INDEX
1.05

5. FREQUENCY AND TYPE OF UTILIZATION
Drill three weekends per month plus annual active duty training for the South Weymouth squadrons/units.

6. OTHER ACTIVE/GUARD/RESERVE INSTALLATIONS WITHIN 25 MILE RADIUS

4 Army Reserve Activities; 3 Navy Reserve Activities; 1 Marine Corps Reserve Activity; 22 Massachusetts National Guard Activities; 1 Army Reserve Lab, and 1 Coast Guard Base

7. PROJECTS REQUESTED IN THIS PROGRAM

CATEGORY CODE	PROJECT TITLE	SCOPE	COST ($000)	DESIGN STATUS START	DESIGN STATUS COMPLETE
136.10	Approach Lighting	LS	273	9/77	2/78
171.15	Training Building Alteration	20,000 SF	520	9/77	2/78
			793		

8. STATE RESERVE FORCES FACILITIES BOARD RECOMMENDATION
18 MAY 77 (Date)

Unanimously approved for unilateral construction

9. LAND ACQUISITION REQUIRED
NONE (Number of Acres)

10. PROJECTS PLANNED IN NEXT FOUR YEARS

P-130	Rehab 01/02 Areas	LS	1,434
P-122	Aircraft Rinse Facility	LS	507
P-140	Storm Sewer	LS	2,700
P-040	Aircraft Parking Apron	LS	3,550
P-043	Perimeter Road	LS	900

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FIGURE 4-14
DD FORM 1390s ACTIVITY DATA SHEET, N&MC RESERVE ACTIVITIES

1. COMPONENT	FY 1979 GUARD AND RESERVE MILITARY CONSTRUCTION	2. DATE
N&MCR		12 SEP 1977

3. INSTALLATION AND LOCATION
NAVAL AIR STATION
SOUTH WEYMOUTH, MASSACHUSETTS

11. PERSONNEL STRENGTH AS OF

	PERMANENT				GUARD/RESERVE		
	TOTAL	OFFICER	ENLISTED	CIVILIAN	TOTAL	OFFICER	ENLISTED
AUTHORIZED	931	49	628	254	2283	487	1796
ACTUAL	822	44	534	244	1872	444	1428

12. RESERVE UNIT DATA

UNIT DESIGNATION	STRENGTH AUTHORIZED	STRENGTH ACTUAL
VP-92	343	322
HS-74	147	144
NAS BRUNSWICK 4291	182	128
NAS SO. WEYMOUTH 1291	58	73
NAS OCEANA DET 291	58	46
NAVSTA ROTA 0391	86	75
AIR MAT OFF DET 291	18	12
PATROL WING LANT 491	19	17
VP-0810	169	137
FASOTRGR 0491	45	13
HS 1191	18	31
HSL 3291	72	0
TACTICAL SUP CEN 191	26	17
WEPSUP 0191	21	15
NAVAL WEATHER SERV 1091	20	16

13. MAJOR EQUIPMENT AND AIRCRAFT

TYPE	AUTHORIZED	ASSIGNED
STATION US-2B	1	1
HS-74 SH-3	8	8
VP-92 P-3	9	9
VMA-322 A-4E	12	12
HML-771 UH-1E	6	6

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FIGURE 4-14
DD FORM 1390s ACTIVITY DATA SHEET, N&MC RESERVE ACTIVITIES (Cont'd)

1. COMPONENT		2. DATE
NAVY	FY 19___MILITARY CONSTRUCTION PROJECT DATA	

3. INSTALLATION AND LOCATION	

4. PROJECT TITLE	5. PROJECT NUMBER
FACILITY STUDY - (Project Title)	

(For description or content of each paragraph listed below, see Part II of the basic instruction.)

1. Project
2. Current and Planned Future Workload with Regard to this Project
3. Description of Proposed Construction
4. Cost Estimates
5. Justification for Project and for Scope of Project
6. Equipment Provided from Other Appropriations
7. Common Support Facilities
8. Effect on Other Resources
9. Siting of the Project
10. Other Graphic Presentations, Including Photographs
11. Economic Analysis
12. Environmental Impact
13. Quantitative Data

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FIGURE 4-15
DD FORM 1391c FACILITY STUDY

PWO must budget for prior to the facility begin erected. A new facility may impact significantly upon an activities energy conservation program. Perhaps additional personnel will be required by the user to operate in the building or to maintain the facility. The PWO should identify all resources which may be impacted by the facility and make appropriate plans to handle the impact plus the new facility coming on the line.

3. Required as a part of the facility study is the preparation of a Preliminary Environmental Assessment/Statement (PEA/ES) to satisfy the requirements of the National Environmental Policy Act (NEPA). Refer to OPNAVINST 6240.3 (current) and chapter 12 of this manual when a project could have a significant adverse effect on the environment or is environmentally controversial, then an Environmental Assessment (EA) is required. (It should be noted that certain types of projects require the preparation of an EA). If, in the planning process, we are to achieve the objective of NEPA it requires the MILCON planners to build into their decision-making process, beginning at the earliest possible point, an appropriate and careful consideration of the environmental aspects of the proposed action in order that adverse environmental effects may be avoided or minimized and environmental quality previously lost may be restored. The public works officer should use the PEA/ES process to explore alternative actions that will avoid or minimize adverse impacts and to evaluate both the long and short-range implications of proposed actions to man, his physical and social surroundings, and to nature.

4. Another important consideration that may have long term implications on the activities OM&N resources is the type of construction which is chosen for a new facility, i.e., concrete block, steel frame, shingle roof, etc. The activity planner usually makes the decision as to type of construction on the DD Form 1391 and 1391c. It is important that sufficient thought go into selection of construction material to keep the "life cycle cost" of the facility at a minimum. The activity planner should enlist the assistance of the maintenance-control division and/or EFD in making appropriate choices of major material components for the new facility.

4.2.3 Project Engineering Documentation (PED) for Military Construction Projects. (Reference: NAVFACINST 11010.14 (current).)

A. General. Prior to the forwarding of the DD Forms to NAVCOMPT and OSD for their review and before submittal of the program to Congress, each project in the annual program is subject to a detailed engineering analysis. Projects to be funded under the MCON and MCNR appropriations may be subject to PED's.

B. PED Preparation. The NAVFAC authorization to the EFD to proceed with the project design will indicate that the preparation shall be in the form of an updated PED, a partial PED, a complete PED, or a 35% final design. The method of accomplishment is usually left to the discretion of the EFD and may involve station forces, EFD inhouse forces or an Architect-Engineer firm. The various forms of PED and the methods of accomplishment are fully described in NAVFACINST 11010.14 (current).

C. Project Cost Escalation. There seems to be a tendency for the PED cost of a project to exceed the amount aproved for inclusion in the program. This is due to several factors, including: (1) unusual engineering problems; (2) poor initial cost estimate; (3) construct a market cost rise; or (4) "scope creep." Prior to the PED greater emphasis should be placed on the preparation of the initial cost estimate, giving due consideration to such factors as construction market cost rise, since it is this estimate that is the basis for PED authorization. It is during the preparation of the PED, however, that close cooperation and coordination between the user activity, EFD, and the Major Claimant will be required to control any increases in scope above the minimum necessary to satisfy the deficiency.

4.2.4 Non-Appropriated Fund Projects. (Reference OPNAVINST 11010.20 and NAVINST 11010.44 (current editions).)

A. Policy. Non-appropriated funds are used primarily for the procurement and refurbishment and internal upkeep of facilities and equipment required for morale, welfare, and recreational purposes.

B. Funding. Depending upon the nature of the facility, financing of alterations and construction of recreational facilities may be derived from:

1. Local activity, command, or BuPers Central Recreation Funds.
2. Local or BuPers Commissioned or Petty Officers Mess Funds.
3. Navy Resale and Services Support Office (NAVRESSO) Central Office Reserve.
4. Commissary Store Reserve Funds.
5. Navy Exchange Enlisted Men's Clubs Retained Earnings.
6. Navy Exchange, Navy Lodge Retained Earnings.
7. Special Funds.

C. Procedures. Programming procedures for individual projects within the non-appropriated funds programs are the joint responsibility of the Naval Facilities Engineering Command together with the Navy Resale and Services Support Office of the Supply Systems Command or the Chief of Naval

personnel depending upon the nature of the project involved. Procedures for obtaining non-appropriated fund assistance for programs administered by the Bureau of Naval Personnel are outlined in the Special Services Manual, NAVPERS 15869B. Procedures for obtaining nonappropriated fund assistance for programs administered by NAVRESSO are outlined in Figure 4-16, "Sequential Flow Diagram for Planning and Programming Facilities Projects Sponsored by NAVRESSO." In all cases, the procedures of NAVFACINST 11101.44 (current) as described in Part 1 of the chapter are to be followed as they relate to identification of requirements, assessment of existing facilities and reporting of excesses and deficiencies.

4.2.5 Special Consideration.

A. Health and Medical Facilities. The programming of Military Health and Medical Facilities requires a deviation from the normal procedures described heretofore. Review and approval of the Medical Construction Program (MCP) items by the Deputy Assistant Secretary of Defense (Health and Medical) is required prior to inclusion in Department of Defense Annual Military Construction Program and is in addition to the regular Navy Military Construction Program review promulgated by OPNAVINST 11010.1 (current) and NAVFACINST 11010.44 (current). The Chief, Bureau of Medicine and Surgery has been assigned technical responsibility for coordination of the Health and Medical Facilities Program. Activities should request the assistance of BuMed, therefore, in the formulation of any project relating to that program. the procedures described in Part 1 of this chapter, however, should be followed as they relate to identification of requirements, assessment of existing facilities and reporting of excesses.

B. Combined Navy and Marine Corps Reserve Centers. Combined Navy and Marine Corps Reserve Centers are under the command of the Chief of Naval Operations. The facility programs for these activities are coordinated and administered by the Chief of Naval Reserves. The Marine Corps elements of these combined centers, however, are to be considered as Supported Units and will perform their facility planning and programming as directed by the Commandant of the Marine Corps.

C. Collateral Equipment. Chapter 10, Equipment and Furnishings provide an excellent discussion and explanation of the collateral equipment required to initially outfit the proposed facility to include:

Built-in equipment to be MCON funded.
Personnel support equipment.
Expense Items (desk, chairs, file cabinets, etc.)
Investment items (duplicating machines, shop equipment, etc.)
Appropriation Purchase Account Equipment

4.2.6 Marine Corps Activities.

A. Coverage. Shore activities under the command of the Commandant of the Marine Corps do not follow the OPNAV and implementing NAVFAC directives as applies to the shore facility planning system. The CMC instead has promulgated separate instructions to Marine Corps activities for planning and programming facility requirements.

B. Procedures. The following is a short thumb nail sketch of the activities responsibiities in CMC's planning system which very closely parallels the OPNAV/NAVFAC Planning and Programming System.

1. Submittal, via intermediate commands, of up-to-date form NAVMC 10915 (BFRL Item Determination Sheet) as required to reflect current facility requirements based on the approved Facility Support Requirements (FSR) or guidance provided by higher authority.

2. Maintenance of up-to-date real property inventory record inputs, which fully support the existing assets data of the Marine Corps Facility Planning and Programming System, and analysis of existing assets (form NAVMC 10651 (Engineering Evaluation Work Sheet)) printouts, as the basis for determination of deficiencies and excesses.

3. Submittal, via intermediate commands, of form NAVMC 10801 (Activity Facilities Plan).

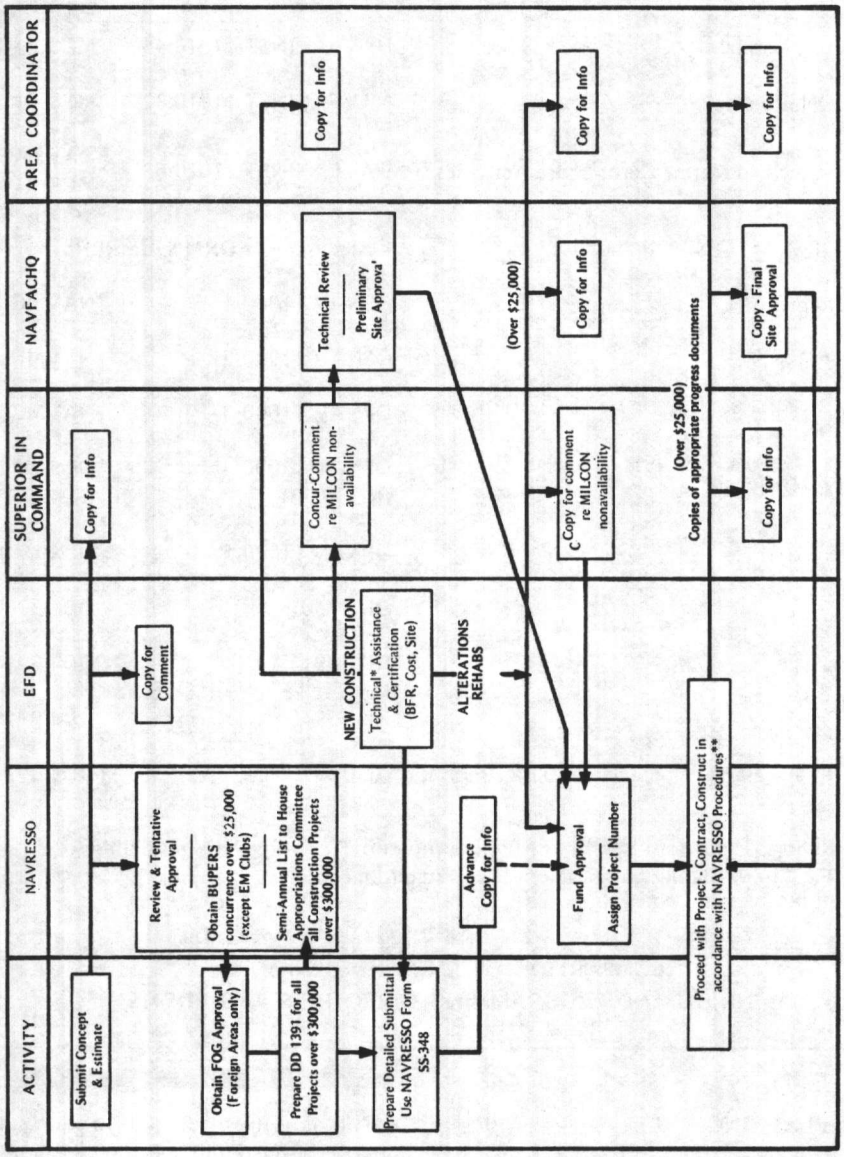
4. Submittal, via intermediate commands, of OPNAV Form 11000/4 (Summary of Facility Deficiencies).

5. Submittal, via intermediate commands, of DD Form 1391 (Military Construction Project Data) with accompanying facility study, economic analysis, and other supporting data. Assistance in the preparation of such submittal data may be requested from the appropriate engineering field division (EFD) of the Naval Facilities Engineering Command (NAVFACENGCOM), as required.

6. Submittal of OPNAV Form 11000/5.

C. Comparison. Once the reader understands the OPNAV/NAVFAC SFPS it is relatively easy to make the transition to the CMC Facilities Planning and Programming System. To assist in making that transition refer to Figure 4-17.

Identify requirements, condition, and status of facilities which may be related to the Navy Exchange Program in the same manner as for any other type of facility as described in procedures for OPNAV Forms 11000/1, 1 and 3. For programming, funding, and construction of specific facility projects sponsored by the Navy Resale and Services Support Office, Brooklyn, N.Y., the procedures outlined in the chart below will apply.



*Evaluate and Comment re applicability of "Self-Help" Program
**To be issued separately

FIGURE 4-16
SEQUENTIAL FLOW DIAGRAM FOR PLANNING AND PROGRAMMING FACILITY PROJECTS SPONSORED BY NAVY RESALE OFFICE (OTHER THAN MCON)

SUBJECT	NAVY DIRECTIVES	MARINE CORPS DIRECTIVES
Force Distribution Report	OPNAVINST 11010.1*	
Facility Support Requirement		MCO 4000.20
Policies, Responsibilities, and Procedures for Facilities Planning of the Naval Shore Establishment	OPNAVINST 11010.1	MCO P11000.12
Shore Facilities Planning Manual	NAVFACINST 11010.44	MCO P11000.12
Preparation of MILCON Projects	NAVFACINST 11010.32	MCO P11000.12
Planning Services for Navy and Marine Corps Shore Activities	NAVFACINST 11010.63	NAVFACINST 11010.63 MCO P11000.12
FORM TITLES	**FORM NUMBERS**	
Basic Facilities Requirements (List)	OPNAV 11000/1	NAVMC 10915
Evaluation of Existing Assets	OPNAV 11000/2	NAVMC 10651
Summary of Deficiencies and Excesses	OPNAV 11000/3	NAVMC 10801
Correction of Facility Deficiencies	OPNAV 11000/4 (Rev. 5-73)	OPNAV 11000/4 (Rev. 3-71)
Disposal of Facility Excesses	OPNAV 11000/5	OPNAV 11000/5
MILCON Program	DD 1390	DD 1390
MILCON Project Data	DD 1391	DD 1391
Facility Study	DD 1391C	DD 1391C
MILCON Program—Naval Reserve Supplemental Data	DD 1391S	DD 1391S

*Force Distribution Report is addressed by this instruction whose title is Policies, Responsibilities, and Procedures for Facilities Planning of the Naval Shore Establishment.

FIGURE 4-17
COMPARISON OF CMC AND OPNAV
PLANNING AND PROGRAMMING DIRECTIVES AND FORMS

PART 3 - MASTER PLANNING

4.3.1 Introduction. (Reference: OPNAVINST 11010.24 and NAVFACINST 11010.63 (current editions).)

A. Background. The Naval Facilities Engineering Command has established a program for developing comprehensive Master Plans in support of all major Navy and Marine Corps activities. Master Plans may be developed in support of: (1) a single naval activity not located in proximity to another activity, or (2) complexes of naval activities located in the same geographical area. Master Plans portray in graphic and narrative form the present composition of the activities' facilities and comprehensive plans for their orderly development in accordance with approved basic facility requirements. Upon approval by the Chief of Naval Operations, Master Plans are official planning documents for the activities. They become the media for maintaining continuity in future planning and development, thus obviating problems associated with changes of command and individual preferences. Approved Master Plans are utilized for siting all future facilities to ensure maximum

economy of construction and operating efficiency and for evaluating the capability of the activities to meet their assigned missions and any contemplated changes thereto. The presence of a prospective facilities project in an approved Master Plan document does not of itself represent justification or CNO approval of that particular project. Likewise, the inclusion of a proposed demolition or other type of disposal on an approved Master Plan does not constitute CNO approval for that disposal. In both instances, the basic SFPS procedures outlined in Part 1 of this chapter must be followed.

B. Definitions:

1. Master Planning. Master Planning is defined as the scientific art of comprehensive planning performed for an activity or a complex of activities to assure the timely and orderly physical development of facilities required to support present and future military operations. This process blends considerations of the total environment including physical characteristics, operational necessities, human interests, natural resources, and areas of mutual interest beyond station boundaries.

2. Master Plan. The Master Plan is the official planning document for the Naval activity or complex of activities covered by the Plan. It represents in graphic, narrative and tabular form the present composition of the activity and proposes the timely, efficient and orderly physical development required to perform its assigned mission and to meet its planned operational workload. The Master Plan also provides information useful in planning the operational expansion of the activity beyond its present mission up to its maximum capability. Most master plans contain architectural concepts for the particular activity. It is important that this concept be recognized in the planning and design of new buildings so that they will be compatible with existing and/or future structures in the area.

C. Procedures. Master Plans are prepared by NAVFAC Headquarters or the appropriate EFD either in house or by outside contract. Although the activity is not directly responsible for master plan preparation, the Commanding Officer is required to participate in the planning process and to signify his concurrence with the planned development in satisfying military operational requirements. Further, the Commanding Officer would be expected to assist by providing guidance or siting feasibility and functional efficiency on facility arrangements, particularly as they may affect military and operational requirements. Master plans are updated periodically and republished to maintain them current with changing conditions.

D. Preparation. Detailed instructions for the preparation of Master Plans are contained in NAVFACINST 11010.63 (current) and include:

1. Procedures for preparing review and approval of Master Plans.
2. Standardized Format and Contents.
3. Scope of work for Master Plans.
4. Environmental Impact Assessment.
5. Capital Improvement Plans.

4.3.2 Encroachment. (Reference: SECNAV 11010.9 and OPNAVINST 11011.12 (current editions).)

A. Definitions. An encroachment on Navy real property is considered to be any action or development, planned or executed, on non-Navy owned real property within the vicinity of an naval activity which inhibits, curtails or possesses the potential to impede the performance of the mission of the installation.

B. Discussion. Land and resource development which may jeopardize present or future use of Navy real property is a matter of continuing concern. Natural growth of communities surrounding an installation generates pressures for expanded or higher intensity resource development which in turn may interfere with the execution of an activity's basic mission or its future operating potential. Encroachment problems are varied in nature and in some instances, extensive in magnitude and include both existing and potential interference with Navy use of Navy real property. Encroachment problems are not limited to highly populated areas where an installation is integrated with industrial, commercial, and residential land uses. However, in thse situations, the problems are more readily recognized and the results of nchecked encroachment more dramatic. Curtailment of or total discontinuation in some instances of aviation operations, ammunition storage facilities, and communication stations as a result of off-station residential or commercial development are examples of former encraochment problems which have progressed beyond the stage of effective control measures. Installations in sparsely populated areas are not necessarily immune to encroachment from off-station resources. New highway construction, industrial expansion, commercial airport, and recreational facility developments are examples of potential encroachment problems. These facilities and similar type developments frequently act as magnets which attract allied development and increased population into hitherto under-utilized regions. The early detection of potential

encroachments and the assessment of their impact on Navy use of Navy real property is essential to a program for protecting and maintaining the future usefulness of Navy installations.

C. Public Works Officer and Encroachment. It is usually the public works officer who is tasked by the commanding officer to deal with encroachment problems. To preclude, or at least minimize encroachment, the public works officer should take the following steps as a minimum:

1. Anticipate potential problems as far in advance as possible in order to minimize ultimate remedial action and cost.

2. Work closely with local municipal and regional planning authorities in order to anticipate possible developing problem areas and to make civilian planning authorities fully aware of continuing operational requirements.

3. Exercise all available local authority to solve, where possible, external conflicting developments.

4. Submit an Encroachment Report as detailed in OPNAVINST 11011.12 (current). "Safeguarding Navy Investments in Real Property." This report establishes procedures for identification, analysis, updating, and reporting of existing and potential civilian encroachment on Navy real property as well as keeping the chain of command, including EFD's informed of encroachment problems.

D. Air Installation Compatible Use Zone (AICUZ). A specific form of encroachment which has become particularly severe and which is receiving a great deal of attention is community encroachment, especially residential development, on privately owned lands abutting military air installations. Since enactment of the Federal "Noise Control Act of 1972", local communities are becomming more aware of aircraft noise and increasing pressure is being exerted by local governments and citizens groups to restrict military flight operations. To assure that people and facilities are not concentrated in areas which are susceptible to high aircraft noise levels and aircraft accidents, and that the operational capabilities of military air installations are maintained, the Department of Defense has established the AICUZ Program. SECNAVINST 11010.9 requires that AICUZ Studies be conducted at air installations and that an AICUZ Plan be developed for each installation. These plans will form the basis of an integrated Navy and Marine Corps AICUZ Program.

1. Program Objectives: Navy policy is to achieve compatibility between installations and neighboring civil communities. In consonance with this policy the principle objectives of the AICUZ Program are: (a) to ensure that protected and that full operational capabilities of these installations are maintained; (b) to reduce noise pollution caused by aircraft operations at and in the vicinity of air installations; (c) to safeguard the safety, health, and welfare of the public from development which is not compatible with aircraft operations; and (d) to establish liaison and apprise the general public of the Navy and Marine Corps AICUZ Program and of current efforts to minimize noise pollution and aircraft accident potential in the vicinity of air installations.

CHAPTER 5
FACILITIES PROJECTS

Many of the undertakings required by command of his PWO need formal approval and funding from higher authority. The Facilities "Special Project" submission, therefore, soon becomes a familiar instrument to the PWO in achieving this end. Since there is never enough money in the coffers of the major claimant to fund all special project requests, priorities must be assigned, based upon perceived needs. Thus, the key to success in maintaining a high "batting average" for approval of special project requests will depend, in large measure, on the relative accuracy, skill, and eloquence with which the PWO and his staff can express concerning requirements. Of even more elementary importance, however, is the knowledge of the qualitative and quantitative limitations placed on local authority, and the various routes to project approval associated with each limitation. This chapter seeks to define these limitations, illuminate the preparation of the submission of claims for the various types of projects, and to guide the Public Works Officer towards the pertinent directives which are available on the subject. Special project submission for family housing facilities is discussed in Chapter 9 of this manual.

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DEFINITIONS

Activity. The unit of the Naval Establishment, of distinct identity, established ashore under an officer in command or in charge.

Addition, Expansion, Extension. A physical increase to a real property facility that adds to the overall external dimension of the facility. Generally includes any increase in the unit of measure used to describe the facility in the Real Property Inventory (RPI).

Alteration. Work required to adjust interior arrangements, on-base location, or other physical characteristics of an existing facility so that it may be more effectively adapted to or utilized for its designated purpose. Additions, expansions, and extensions are not alterations.

Claimant Funded Minor Construction. All construction work funded from appropriations available for operations and maintenance (O&MN, RDT&E).

Commanding Officer. The Commanding officer, officer in charge, commander, director (or other appropriate title) of an activity, which receives an allotment of funds from an appropriation available for operations and maintenance, or which operates under an industrial fund or on a modified industrial accounting system.

Commercial and Industrial Facilities. Facilities that normally perform services or produce goods similar to those produced by private industry, except commissaries, post exchanges, and other non-appropriated fund activities.

Construction. The erection, installation, or assembly of a new facility; the addition; expansion, extension, alteration, conversion, or replacement of an existing facility; or the relocation of a facility from one installation (an "activity" as previously defined) to another. Includes equipment installed and made a part of such facilities, and related site preparation, excavation, filling and landscaping, or other land improvements.

Construction Project. A single undertaking involving construction applicable to one or more real property facilities that will include all construction work, land acquisition, and items of installed equipment necessary to accomplish a specific purpose and produce a complete and usable real property facility or a complete and usable improvements to a real property facility. Items of personal property (furniture and production, processing, training, RDT&E etc., equipment) unless otherwise specified, are not to be included in a construction project.

Conversion. A major structural revision of a facility that changes the functional purpose for which it was originally designed or utilized.

Demolition. The razing or removal of a facility. Includes work to restore the site to a condition equivalent to the surroundings. Performed as an element of a construction project when so related, otherwise performed as a repair.

Dissimilar Real Property Facilities. Facilities that have different 3-digit category codes.

Emergency Construction. All construction funded by military construction appropriations under the authority of Section 202 of the current Military Construction Authorization Act. (Section number may vary with each MCON Authorization Act.)

Exigent Minor Milcon (EMM) Construction projects costing in excess of the limit allowed for O&MN funded projects (generally claimant funded projects), and which must be completed sooner than would be possible if processed through the regular MILCON process.

Functional Purpose. The use made of a facility or part thereof as expressed in the general terms listed as 3-digit basic categories. As used herein, the term "functional purpose" shall be considered as applying to the purpose to be served after completion of construction.

Funded Project Cost. Total out-of-pocket expenses whether from appropriated funds, nonappropriated funds, or overhead at NIF and Modified Industrial Activities. Includes direct labor charges; overhead costs; all contract costs, except A&E fees; acceleration of direct labor costs; cost of direct material used in the project; and cost of land

acquisition. For minor construction, also includes directly related transportation costs, overhead costs that may be charged by NAVFAC, and directly related travel and per diem for troop labor. Excluded "unfunded project costs" defined in this Glossary.

Installation of Equipment. The work necessary to install or relocate equipment (personal property) procured for a purpose other than an undertaking for construction, alteration, repair, or maintenance of a facility.

Installed Equipment. Sometimes called "built-in-equipment," it is accessory equipment and furnishings that are required for operation and affixed as a part of the building or facility. The equipment is engineered and built into the facility as an integral part of the final design, as an essential part thereof. Equipment of this category is considered part of the facility and is normally taken up as Real Property Class 2.

Maintenance. The recurrent, day-to-day, periodic, or scheduled work, required to preserve or restore a facility to such condition that it may be effectively utilized for its designated purpose. Includes work undertaken to prevent damage to a facility that otherwise would be most costly to restore.

Minor Construction. This term describes all construction financed: (1) with funds available for operations and maintenance, (2) from overhead at Naval Industrial Fund and Modified Industrial Activities, (3) with military construction appropriations under the authority of 1OU.S.C. 2674 for the Active Forces when urgently required, and (4) with military construction appropriations under the authority of 10 U.S.C. 2233 (a) for reserve forces when specifically identified as "minor construction" in the approved annual MCNR budget.

Categories of minor construction include: (1) Specified Locations Minor MILCON (SLMM), (2) Exigent Minor MILCON (EMM) and (3) Claimant Funded Minor Construction (CFMC).

Multiuse Facility. A facility that has more than one functional purpose although assigned to one category code. To classify a facility under this heading, the functional purposes included must be unrelated.

Personal Property. Sometimes called "plant equipment" or "equipment in place." It is accessory equipment and furnishings that are movable in nature and not affixed as an integral part of the facility. These items are usually taken into inventory as items of Class III or IV Plant Account.

Project. A single planned undertaking of construction, repair, maintenance work, or equipment installation either separately or in combination, necessary to satisfy a finite requirements. Not to be confused with the term "project" as used in congressional military construction legislation.

Real Property Facility. A separate individual building, structure, or other real property improvement. A real property facility shall be assigned only one 3-digit category code based on the primary construction category.

Repair. The restoration of a facility to such condition that it may be effectively used for its designated purposes by overhaul, reprocessing or replacement of constituent parts or materials that have deteriorated by action of the elements, or wear and tear in use, and have not been corrected through maintenance.

Replacement. A complete reconstruction of a real property facility destroyed or damaged beyond the point at which it may be economically repaired. As a general rule, replacement is in order when damage exceeds 50 percent of the replacement cost of the facility.

Similar Real Property Facilities. Facilities having the same 3-digit category code.

Special Project. A project-above the approval authority of the commanding officer-for maintenance, repair, minor construction, or equipment installation, to be financed from appropriations available for operations and maintenance from overhead, or from nonappropriated funds.

Specified Locations Minor MILCON (SLMM). Construction projects costing in excess of the limit allowed for claimant funded projects, but not more than $500,000, and are to be processed through the regular MILCON process.

Support Agency. The bureau, command, systems command, or office that is assigned the responsibility to provide resources to an activity-as in the case of RDT&E; or the bureau, command, systems command, or office that is responsible for providing "personal property" equipment to a shore activity.

Unfunded Project Cost. Costs used for statistical purposes only, or in requests for funds as in case of A&E fees. Unfunded project costs include:

Costs financed from military personnel appropriations.

Depreciation of Government-owned equipment.

Materials, supplies, and installed capital type-equipment obtained on a nonreimbursable basis or as excess distributions from other than the Department of the Navy.

Engineering services, such as soil borings, surveys, inspections, and various types of testing.

Planning and design costs. When plans and specifications are done on A&E contract, in no event shall the A&E fee exceed 6 percent of the estimated cost of construction. The A&E fee limitations, however, do not apply to engineering services.

PART 1 - FACILITIES PROJECTS

5.1.1 Introduction. When referring to Operations and Maintenance funding for Navy activities, the current policy is to allow as much work as possible to be funded and administered locally by the resident Public Works Staff. All work of this nature should reflect the needs of the activity to carry out its assigned mission with a minimum of delay. This type of priority can best be decided by the local Public Works staff working in conjunction with tenant commands and the activity Commanding Officer. Under such an arrangement the activity requests an operating budget for the next fiscal year which reflects these needs. Because of limitations in funding and the competition for funds by the many activities under each major claimant, not all O&M,N projects required by the activity can be completed annually.

Because only the major claimant is in a position to decide the relative importance of all the various missions of activities under its command, he must decide which projects should receive funding during a particular year. OPNAVINST 11010.20 series was written with this idea in mind. Also referred to as the "Facilities Projects Manual", it sets guidelines for activities and major claimants to administer the Navy's facility projects program. The basic guidelines of the Manual can be summarized as shown in Figure 5-1.

The annual maintenance and operations program shown in Figure 5-1 as Program I, is administered locally, and with few exceptions, requires no approval from higher authority. This type of work represents the bulk of the expenditures at an activity during a year. When a requirement exceeds the dollar limitations shown for Program I, a special project must be prepared and approval from higher authority is required. The "Facilities Projects Manual" covers ways and means of preparing special projects and the exceptions to these rules. The first Section (Chapters 1 through 6) covers the various categories of work encountered. The second Section (Chapters 7 through 11) discusses methods of preparing the projects.

The OPNAVINST 11010.20D describe significant changes to many established rules and procedures. Notable changes include new rules defining incrementation of minor construction projects; reviewed titles and format for establishment of new categories of minor construction, including funding limits appropriate to MILCON as well as O&MN fund sources. Another significant change involves the concept of specific purpose. Under this concept, all construction requirements in support of a specific purpose (mission change, etc.) at an installation (shore activity) must be grouped into a single project. These, and other important changes make it necessary for anyone involved in the preparation of facility projects to secure a copy of the latest OPNAVINST 11010.20, and review it thoroughly in order to become familiar with the new rules and regulations.

The Facilities Projects Manual reflects the Navy's current policy of giving as much responsibility as possible to the activity Commanding Officer. Under this concept the activity Public Works Officer is now responsible for complete preparation of the special project and must certify as to validity and technical correctness of the requirement. Should expertise be lacking locally, the geographic Engineering Field Division of the Naval Facilities Engineering Command is available for consultation. It must be emphasized that the validity of a project still is the final responsibility of the activity Commanding Officer and his Public Works staff.

With all of this responsibility centered around the activity Commanding Officer, it is important for the PWO to be as familiar as possible with the "Facilities Projects Manual." The success or failure of a special project depends largely on the amount of care utilized in preparing the project submittal and the persistence and knowledge of a PWO in convincing the major claimant of the worthiness of a particular project.

This chapter will introduce the reader to some of the material covered in the manual. Due to space limitations, the topics covered are not of sufficient depth to prepare any but the most simple and straight forward projects. Only a complete study of the manual itself and on-the-job experience will enable the reader to prepare a complete project.

5.1.2 General. The types of work which a PWO will be called upon to perform upon the facilities at his station fall into four separate categories. Briefly, the work will be either maintenance, repair, construction, or the installation of equipment. The latter pertains to Class III and IV property as discussed in Chapter 10. OPNAVINST 11010.20 (current), Facilities Project Manual is the "bible" amd primary reference source for facility projects. Not covered in this chapter or in OPNAVINST 11010.20 are projects financed from the Regular or Naval Reserve Military Construction Programs, from the Family Housing Appropriation or from Marine Corps Appropriations.

5.1.3 Types of Work. The resources used for station facilities will depend upon category of work, type facility involved (public quarters vs the Administration building), and also the accounting system employed at the activity (RMS vs NIF). Briefly, the primary categories of work are defined as follows:

A. Maintenance. The recurrent, day-to-day, periodic, or scheduled work, required to preserve or

PROGRAM	CATEGORY OF WORK	LIMITS	PROJECT APPROVAL	APPROPRIATION
ANNUAL *** MAINTENANCE & OPERATION	MAINTENANCE*	< $ 25,000		
	REPAIRS	< $ 25,000		
	CONSTRUCTION	< $ 15,000	COMMANDING OFFICER	O&MN (LOCAL)
	EQUIPMENT INSTALLATION	< $ 1,000		
	EQUIPMENT INSTALLATION	$ 1,000 - 10,000		OPN (LOCAL)
SPECIAL PROJECTS	MAINTENANCE*	> $ 25,000	SPONSOR	O&MN (Major Claimant)
	REPAIRS**	$ 25,000 - 500,000	SPONSOR	O&MN (Major Claimant)
	EQUIPMENT INSTALLATION	> $ 10,001	SPONSOR	OPN (SPONSOR)
	MINOR CONSTRUCTION	$ 15,000 - 100,000	SPONSOR	O&MN (Major Claimant)
	REPAIRS	> $500,000	ASN (M, RA & L)	O&MN
		> 50% of replacement and > $100,000	ASN (M, RA & L)	
EMERGENCY PROJECTS	RESTORATION OF DAMAGED FACILITIES		ASN (M, RA & L)	MCN
	EXIGENT MINOR CONSTRUCTION (EMM)			
		$100,000 - 300,000	CNO	MCN (EMM)
		$300,000 - 400,000	ASN (M, RA & L)	MCN (EMM)
		$400,000 - 500,000	ASD (M, RA &L)	MCN (EMM)
	EMERGENCY CONSTRUCTION:	Appropriated Annually	DASD (I & H)	MCN
MILITARY CONSTRUCTION	MINOR CONSTRUCTION (SLMM)	$100,000 - 500,000	CONGRESS	MCN (SLMM)
	CONSTRUCTION	> $500,000	CONGRESS	MLN
	REAL PROPERTY ACQUISITION	> $ 50,000	CONGRESS	MCN

*Applies to SPECIFIC Maintenance, No Limit on Continuous Maintenance.

**Does not apply to repairs where the project cost exceeds $100,000 and exceeding 50% of replacement cost of the facility.

***Program also allows for funds to be used for basic operation, transportation support and utilities.

FIGURE 5-1
APPROVAL AND FUNDING OF WORK ON FACILITIES

restore a facility to such condition that it may be effectively utilized for its designated purpose. Includes work undertaken to prevent damage to a facility that otherwise would be more costly to restore. Specific maintenance is maintenance of a facility performed on a specific job order basis. Continual maintenance is maintenance of a facility performed on a standing-job order or open-end contract basis.

B. Repair. The restoration of a facility to such condition that it may be effectively used for its designated purposes by overhaul, reprocessing or replacement of constituent parts or materials that have deteriorated by action of the elements, or wear and tear in use, and have not been corrected through maintenance.

C. Construction. The erection, installation, or assembly of a new facility; the addition, expansion, extension, alteration, conversion, or replacement of an existing facility from one installation (an "activity" as previously defined) to another. Includes equipment installed and made a part of such facilities, and related site preparation excavation, filling and landscaping, or other land improvements.

D. Installation of Equipment. The work necessary to install or relocate equipment (personal property) procurred for a purpose other than an undertaking for construction, alteration, repair, or maintenance of a facility.

5.1.4 Funding Authority. The means of accomplishing the foregoing types of work are controlled by the funds to be employed. In this discussion we will limit funding to the Naval Industrial Fund and O&MN appropriation.

A. NIF Funding Projects. Costs of maintenance and repairs of the plant of the Industrial Funds Activity are considered either as overhead in the case of buildings and equipment or may be treated as direct cost when they involve utility distribution systems or facilities used in direct support of production. In the case of continuous maintenance, usually there are no dollar limits and these costs must be recovered from NIF customers as overhead in the rate structure. All major maintenance and repair facilities projects costing over $25,000 (may be increased to $50,000 by command responsible for management of the activity) that are to be funded as an overhead expense must be approved by the appropriate chief, commander, or head of the command, bureau, systems command, or office. All alterations to production facilities, costing $0-$100,000 shall be charged to overhead, provided such a project is necessary to maintain or improve the operating efficiency and to reduce costs of the Navy Industrial Fund or Modified Industrial Activity.

Costs of acquisition and improvement of real property and equipment which meet the criteria for plant property are financed in much the same manner as are those at an activity operating under the Resources Management Systems.

B. Appropriations Funded Projects. If the activity is operating under the Resources Management System, it receives an approved operating budget from its major claimant chain of command. There are four distinct fund sources which may be employed. The fund sources are identified as programs on Figure 5-1, and the programs operate as follows:

1. Annual Operation and Maintenance. Provided by the major claimant in the activities expense operating budget (EOB), under the cognizance of the activity commanding officer for the performance of tasks as identified.

2. Special Projects. Various major claimants impose different controls on the O&M program (above) requiring claimant approval. Funding and approval of typical special projects are listed in Section II of Figure 5-1. Projects which should be included in special projects request by the activity are as follows:

a. Minor construction projects having a funded cost in excess of $15,001 but not over $100,000 ($15,001 to $50,000 for Reserve Forces activities).

b. Repair projects having a funded cost in excess of $25,000.

c. Specific maintenance projects having a funded cost in excess of $25,000 qualifying as a special project. Submission of maintenance work as a special project request should be the exception rather than the rule. Only in highly unusual cases should a special project request for maintenance be forwarded for project funding. Such maintenance projects would be submitted only under one or more of the following circumstances.

(1) When the project proposes major maintenance work (specific maintenance) that is beyond the resources normally provided for recurring work (continual maintenance).

(2) When the work must be accomplished as a single undertaking and completed as rapidly as possible in order to retain the facility in operational status with minimum delay. This type of work normally lends itself to contract accomplishment rather than to station labor.

(3) When the funded project cost is in excess of $100,000 and involves International Balance of Payments (IBOP).

d. Equipment installation projects when the planned work exceeds:

(1) $10,000 for the nonconstruction costs, or

(2) $15,000 for the construction costs, or

(3) $25,000 for the repair costs.

e. Combination projects when one or more of the separate categories of work meets the criteria in the foregoing subparagraphs a. through d. Projects to be excluded from Special Projects Request:

(1) Projects within the approval authority of the commanding officer.

(2) Construction projects having a funded cost in excess of $100,000 (over $50,000 for Reserve Forces activities). Refer to Chapter 4 of this manual for projects in excess of $100,000 construction.

(3) Projects involving family quarters (public and rental). Refer to Chapter 9 of this manual for project funding of family housing.

(4) Construction projects properly financed solely from appropriations for procurement and production.

(5) Projects for certain specified facilities to be funded from research, development, test, and evaluation appropriations.

3. Special Project Submission Procedures

a. Policy. Special projects in general are submitted in two steps. The first step submission will identify the requirement and provide an approximate estimate of cost. The second step submission, made at the time when funding appears probable, will include the engineering and detailed cost data necessary to define and justify work to be done.

The two step procedure is used only for projects which are funded from Operations and Maintenance (O&M) or Research, Development, Test and Evaluation, Navy (RDT&E, N) appropriations. It is not required for projects that are funded from overhead at Navy Industrial Fund (NIF) or Modified Industrial activities or for projects in specific programs such as Pollution Abatement or NAVOSH.

b. Step One. The shore activity prepares the special project request form, NAVFAC 11014/64A, an example of which is illustrated by Figure 5-2 and 5-4. The Shore activities submit special project requests to the major claimant with information copies to appropriate superiors in the chain of command and to the geographical EFD. An exception to this are activities which come under the command of Chief of Naval Material. Procedures for submission of projects for CNM are discussed in OPNAVINST 11010.20 (current).

c. Step Two. When advised by the major claimant (support command) that funding of the project is programmed, the shore activity prepares the special project request form, NAVFAC 11014/64 and a Cost Estimating Form, NAVFAC 11013/7. Refer to Figure 5-3 and 5-5 for examples of Step Two Special Project submission. The activity Public Works Officer certifies the correctness of the document. If the necessary engineering disciplines are not available at the activity, the project may be forwarded via the geographic EFD for technical review and certification. The need for providing justification of each special project write up cannot be too strongly stressed. Increasing emphasis is being placed upon cost avoidance and budgets oriented to the military mission. Therefore, each project should be thoroughly evaluated on the basis of its contribution to the support of the activity's military mission, conformance with the SFPS, and the economic need for any given repair or specific maintenance project. The validity of the need for the proposed repair and/or maintenance project should be substantiated by the provision of specific cost data. An "impact if not provided" statement in most cases should be included in the justification to assist in "selling" the project.

d. Exceptions on Submission.

(1) Restricted projects which are discussed below, projects for ordnance facilities where site clearance approval is involved, repair projects with funded costs over $500,000, projects for restoration of damaged facilities, repair projects with funded costs exceeding 50 percent of the facility replacement cost, and air conditioning waiver requests are submitted to NAVFAC via the geographical EFD and the major claimant with copies to other concerned commands. NAVFAC processes the project to the appropriate approval authority. Additional submission guidance for electronics equipment installation projects is provided in OPNAVINST 11010.20 (current). General responsibility for accomplishment of the Navy-wide Pollution Abatement Program, the NAVOSH Deficiencies Program, and the Energy Technology Applications Program (ETAP) have been assigned to NAVFAC. Therefore, these projects are submitted to NAVFAC via the EFD for funding.

(2) Dredging requirements at base complexes should be consolidated for project accomplishment purposes to the maximum extent feasible. The responsibility for determining requirements, programming, budgeting, and funding

are assigned to specific shore activities and their major claimants as detailed in OPNAVINST 11010.20. Dredging projects always require a Preliminary Environmental Assessment (Refer to Chapter 12).

4. Restricted Projects. The following types of restricted projects require sanction by NAVFAC, CNO, SECNAV, or SECDEF prior to funding. When project scope involves such work, it should be in accordance with applicable regulations; and the projects clearly identified so that designated approval authorities may take appropriate action. Projects which require ASN (MRA&L) or ASD (I&H) are prepared on DD Form 1391 in accordance with instructions of OPNAVINST 11010.20 (current).

a. Storage and Warehousing Facilities. Storage and warehousing facilities, regardless of area involved, are subject to procedures specified in paragraph 27015 of NAVSUPSYSCOM Manual and NAVSUPINST 4450.21 (current issue). Diversion of facilities in amounts in excess of 40,000 gross square feet must be approved by ASD (I&L).

b. Air Conditioning. Projects to provide air conditioning, evaporative cooling, dehumidification, and mechanical ventilation must conform to the requirements of OPNAVINST 11010.20 (current). The "Facilities Projects Manual" promulgated DOD policy on all projects that involve the installation of air conditioning, evaporative cooling, dehumidifying, and/or mechanical ventilating equipment in (a) new construction and existing structures at naval shore activities and (b) all such projects accomplished by either appropriated or nonappropriated funds when part or all of the equipment maintenance and operating costs are financed from appropriate funds.

c. Religious, Welfare, and Recreational Facilities. The Secretary of Defense has established space criteria governing the provisions of religious, welfare, and recreational facilities (DOD Construction Criteria Manual 4270.1-M, current issue). These criteria are included in NAVFAC P-80, Facility Planning Factors for Naval Shore Activities. Proposals for projects for facilties not covered must receive prior approval from the Assistant Secretary of the Navy (I&L).

d. Projects Affecting the International Balance of Payments. In certain overseas areas, projects that affect the International Balance of Payments must receive prior approval of the Assistant Secretary of the Navy (MRA&L).

e. Site Approvals for Ammunition Facilities. The Office of the Assistant Secretary of Defense (I&H) has directed that additonal procedures be instituted to insure maximum safety in siting facilities where an explosive hazard is involved. Accordingly, all projects involving facilities which may involve or constitute an explosion hazard must have site locations approved and certified. NAVFACINST 11010.57 (Series) (current series) outlines procedures for certifying and obtaining site approvals. This instruction provides (1) general requirements and responsibilities for review and approval of facility sitings; (2) procedures established by OASD (I&H) for obtaining site approvals from Department of Defense Explosives Safety Board (DDESB); (3) procedures for submitting data to NAVFACENGCOM for use in obtaining site approvals; and (4) procedures for certifying that site approvals have been obtained, when required.

f. Fluoridation of Water Supply. All projects involving fluoridation of water supply systems must be approved in accordance with OPNAVINST 11330.1 (Series).

5. Special Project Summary List. The Summary List is a listing of currently required Step One and Step Two unfunded special projects which is submitted annually by the activity. For all projects other than pollution abatement, separate lists are prepared by the shore activity for (a) minor construction/alteration, (b) maintenance and repair and (c) equipment installation. For pollution abatement projects, in lieu of Summary Lists, the appropriate OMB Pollution Control Report is used to identify requirements for the ensuing fiscal year. The Summary List are prepared on form NAVFAC 11014/66.

6. PWO and Special Projects. The special projects program is another source of resources to tap for accomplishment of repair, maintenance, construction and equipment installation. The OPNAVINST 11010.20 (current), "Facilities Project Manual" is an extremely important document for the public works officer to get to know and understand if he is to benefit from resources available in the special projects program. Additionally, a thorough knowledge of the "Facilities Projects Manual" will go a long way in insuring the PWO abides by the many rules, requirements, and laws in the facility projects arena.

5.1.5 Military Construction Program. (Reference OPNAVINST 11010.20 current). The Military Construction Program evolves from the Shore Facilities Planning System (see Chapter 4). After construction needs have been identified, the activity submits projects under the program for inclusion in the Military Construction Program Objectives (MCON PO) which identify construction requirements supporting the Navy portion of the Five Year Defense Program. The MCON Program, by its nature and relatively high cost is of necessity

a "long lead time" procurement process, wherein it takes 5 to 8 years to acquire new facilities. It is not surprising that command is sometimes hesitant to use this path, since the results will be enjoyed by his relief's relief.

5.1.6 Emergency Projects. By law, no new construction or expansion of existing structures can be undertaken without the specific authorization and appropriation of funds by Congress. Every year, unforeseen and unbudgeted construction requirements arise which are of such urgency that they must be provided for immediately and cannot wait for the submission of a regular military construction bill to Congress. Congress has recognized this situation and has provided a special authorization to care for it. The occasions for which special consideration is required and the means by which it is accomplished are as follows:

A. Minor Construction, ($500,000 or Less). No matter how carefully the annual Military Construction Program is prepared and screened, there are always some construction items which are unforeseen or which become urgent after the annual program is submitted to Congress. Appreciating the problem that is created by the lack of specific authorization for construction, Congress has granted special authorization through permanent legislation for the construction of urgently required projects, the cost of which does not exceed $500,000. Under this legislation, projects costing between $50,000 and $500,000, if determined to be urgent, may be executed with Military Construction funds. Approvals of such projects varies with the funded cost of the construction, and classified as Exigent Minor MILCON projects and as illustrated in Figure 5-1. Projects which qualify as Exigent Minor MILCON projects must pass specific test regarding the urgency of the project, and the need to complete the work sooner than is possible through the MILCON process. The rules which define legitimate application of the Exigent Minor MILCON authority are defined in the OPNAVINST 11010.20.

B. Major Restoration or Replacement of Damaged Facilities. Under the authority of 10 USC 2673, continuing authorization exists for the use of MCON funds for the restoration or replacement of facilities damaged by fire, explosion, storm, or other catastrophic events. In general, this authority is utilized only when facilities have been damaged to the extent that the repair cost is more than $100,000 and also exceeds 50 percent of the replacement value. Damage which can be repaired for less than 50 percent of the replacement value is funded from funds available for O&M in the same manner as for any other maintenance or repair projects, in accordance with OPNAVINST 11010.20 (current). Furthermore, any restoration or replacement of similarly damaged facilities estimated to cost less than $500,000 and the cost of which is in excess of 50 percent of replacement value are processed as exigent minor construction projects as described above.

In the event of serious damage it is necessary to reprogram funds from other funded projects or to insert the project in a particular year's MCON appropriation bill in lieu of projects which have been denied authorization that year. Reprogramming, or the special request to insert the project in the appropriation bill requires the approval of the Secretary of Defense prior to submission to the Appropriation Committees of Congress.

C. Emergency Construction. Each annual Military Construction Authorization law includes a Section 202 which authorizes the Secretaries of the Services to acquire or construct facilities required by certain new developments. Section 202 provides for a specific amount of authorization each year. In recent years this has been around $20 million. The authorization expires within a set period usually on 30 September following the end of the fiscal year of the Military Construction Authorization Act. The wording of this section is most significant and is repeated, in part, as follows:

"The Secretary of the Navy may establish or develop Navy installations and facilities by proceeding with construction made necessary by changes in Navy missions and responsibilities which have been occasioned by:

1. unforeseen security considerations;
2. new weapons development;
3. new and unforeseen research and development requirements; or
4. improved production schedules."

Revision in the tasks or functions assigned to a military installation, or facility or for environment considerations if the Secretary of Defense determines that the deferral of such construction for inclusion in the next Military Construction Authorization Act would be inconsistent with the interest of national security.

It is the specific intent of the Congressional Committees to make it most difficult to use this authority. Consequently, it is necessary for the Navy to specifically cite the subsection of Section 202, under which each emergency project is submitted to OSD for approval. The OSD position is that change in mission can be justified only when the change is unexpected and unforeseen and, therefore, dictated by circumstances outside the control of the Department of Defense.

Funds are not specifically appropriated for emergency projects. It is, therefore, necessary to

obtain funding approval for each project by a reprogramming action. The funds are normally made available either by deferring other appropriations when available, or by reprogramming savings within the Military Construction Appropriation if available. The reprogramming action, in essence, is a request to the Appropriations Committees to permit funds originally appropriated for one purpose to be used for different purpose. Actually, reprogramming actions are lengthly and require sound justification when presented to the Congress. In general, however, when the project is deferred during a reprogramming action, the Appropriation Committees frown upon the resubmission of the project for later funding in a regular program submission. As a result, deferred projects are usually cancelled. Funds available for reprogramming for emergency projects or for restoration of damaged facilities projects are extremely limited. Transfers between appropriations are highly unusual, and in recent years there have been no savings, as such, available in the MCON Program for reprogramming. The only funds that become available are those resulting from cancelled projects or from scope reductions.

D. Submission Procedures for Emergency Projects. Projects are prepared on DD Form 1391. The DD Form 1391 should be accompanied by a detailed cost estimate on NAVFAC Form 11013/7 as well as appropriate photographs, charts, and maps necessary to enable reviewing officials to understand the nature and scope of the project. The submission requirements include a facility study with detail backup information. An Environmental Impact Assessment should be prepared and submitted and, depending on the results of the assessment, an Environmental Impact Statement may need to be completed and submitted with the project.

Projects that are submitted as "self-amortizing" projects must be accompanied by a primary economic analysis, as defined in NAVFAC P-442, Economic Analysis Handbook.

5.1.7 Non-Appropriated Fund Projects. It is the policy of the Department of the Navy to provide, maintain, and operate adequate facilities to accommodate a well-rounded morale, welfare, and recreational program to ensure the mental and physical well-being of Navy, Marine Corps Military and civilian personnel. In consonance with this policy, adequate spaces, facilities, and structures should be provided through appropriated funds. It is a basic responsibility of installation Commanding Officers and command support agencies to ensure that proper recognition is given to morale, welfare, and recreational facilities in the development of military construction programs. Non-appropriated funds should be used primarily for the refurbishment and internal upkeep of the facilities and equipment, and the support of command and centralized welfare and recreational programs. Non-appropriated funds are inadequate to finance the huge deficit of needed morale, welfare and recreational facilities throughout the Naval establishment. It is recognized, however, that these projects must compete with facilities having a direct bearing on combat readiness and at times, for all practical purposes, the only readily available means of obtaining badly needed facilities within a reasonable time frame is through non-appropriated funds support. Therefore, some expenditure of non-appropriated funds for the most critical deficiencies are usually available. Depending upon the nature of the facilities, financing of alteration and construction of recreational facilities may be derived from: (1) Local activity command or NMPC Central Recreational Funds, (2) local or NMPC Commissioned Officers' Mess Funds, (3) Navy Retail System Office or Petty funds, (4) Commissary Store Reserve Funds, (5) Navy Exchange Enlisted Men's Clubs Retained Earnings, (6) Navy Exchange, Navy Lodge Retailed Earnings and (7) Special Funds.

SPECIAL PROJECT REQUEST *(INTERIM)*
NAVFAC 11014/64A (8-74)

STEP ONE SUBMISSION

PART I – SUBMISSION

1. FROM *(Activity name and location)*
NAVAL STATION, DEEPWATER, OREGON

2. ACTIVITY NO
07213

3. TO
MAJOR CLAIMANT

4. PROJECT NO. | TITLE
R2-77 | REPAIRS TO SOUTH BULKHEAD

5. TYPE
a. [X] MAINT./REPAIR b. [ ] MINOR CONSTRUCTION/ ALTERATION c. [ ] AIR CONDITIONING d. [ ] EQUIPMENT INSTALLATION

6. DESCRIPTION AND FUNCTION OF FACILITY

The south bulkhead is a steel sheetpile retaining wall extending south eastward from the deep draft Pier B-1 to destroyer Pier D-1. This facility consists of 850 lineal feet of berthing along the wall with a finger pier and 5 mooring dolphins. The finger pier and dolphins, shallow draft berthings A-1 and A-2 are used to moor small ships of the ATA and ATF classification. Up to ten barges are normally moored (Continued)

a. PROPERTY RECORD CARD NO
2-00062

b. NAVY CATEGORY CODE
154-10

c. BLDG. OR STRUCTURE NO.
41A

7. THE REQUIREMENT FOR THE FACILITY IS BASED ON
a. [ ] A CHANGE IN MISSION b. [X] FULL TIME CONTINUING NEED c. [ ] 3 TO 5 YEAR NEED d. [ ] LESS THAN 3 YEARS' NEED e. [ ] CURRENTLY REQUIRED LESS THAN 50% OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS

8. ESTIMATED PROJECT COST
$ 180,000

9. ESTIMATED PLANNING COST
$ 20,000

10. DESCRIPTION OF CONDITION TO BE CORRECTED, OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION. *Attach additional description if necessary. ONE PAGE ONLY.*

During the last five years there has been a rapid deterioration of the south bulkhead. As of this date over 300 l.f. of fender system has been demolished exposing bare sheet pile to corrosive pounding action by the barges; 250 l.f. of the steel tie back severely warped or missing; approximately 75 l.f. of the concrete cap has been broken allowing the top of the sheet pile to deflect laterally up to 12 inches. This lateral movement indicates failure of tie back system in this area. The two lane road behind the bulkhead is subsiding, with a maximum settlement, .07 of a foot during the last two months. Repairs to the bulkhead will include extensive excavation to repair 40% of the tie back rods to the steel waler, replacement of the entire steel channel waler, repairs to 400 l.f. of the concrete cap and replacement of the entire fender system.

*11. CAN PROJECT BE FUNDED IN PHASES? *How? How many?*
[ ] YES [X] NO

12. SIGNATURE OF OFFICIAL WHO CAN CERTIFY THAT THE DATA PROVIDED IS VALID
U. K. ALL

TITLE
PUBLIC WORKS OFFICER

DATE
23 NOV 1977

PART II – MAJOR CLAIMANT ACTION

1. FROM *(Major claimant)*

2. TO *(Activity name and location)*

3. ACTION TO BE TAKEN

a. [ ] APPROVED FOR SECOND STEP SUBMISSION AND CONSIDERATION. FOR FUNDING IN FY_____ OR FY _____.

b. [ ] DEFERRED PENDING FURTHER STUDY. RECOMMEND UPDATE AND RESUBMISSION IN _____ MONTHS.

c. [ ] OTHER _____.

SIGNATURE OF APPROVING OFFICIAL

TITLE

DATE

**NOT applicable to Minor Construction, Alterations, or Equipment Installation.*

CONTINUATION SHEET:

Block No. 6 - along the easterly and westerly extremities of the wall. This bulkhead supports the only roadway to mooring A-1 and A-2 and the fuel oil distribution lines to the destroyer piers are buried underground contiguous to the bulkhead.

FIGURE 5-2
SPECIAL PROJECT REQUEST FORM (INTERIM), NAVFAC 11014/64A

SPECIAL PROJECT REQUEST
NAVFAC 11014/64 (REV. 8-76)
Supersedes NAVFAC 9-11014/64 (11-68)

Sheet 1 of 2

STEP TWO SUBMISSION

1. ACTIVITY SNDL NO.	ACTIVITY NAME AND LOCATION	DATE SUBMITTED
2506-600	NAVAL STATION, DEEPWATER, OREGON	27 DEC 1977

2. PROJECT NO.	TITLE
R2-77	REPAIR TO SOUTH BULKHEAD

3. TYPE
a. [X] MAINT./REPAIR b. [ ] MINOR CONSTRUCTION/ ALTERATION c. [ ] AIR CONDITIONING [ ] EQUIPMENT INSTALLATION

4. DESCRIBE AND STATE FUNCTION OF FACILITY

The south bulkhead is a steel sheetpile retaining wall extending south eastward from the deep draft Pier B-1 to destroyer Pier D-1. This facility consists of 850 lineal feet of berthing along the wall with a finger pier and 5 mooring dolphins. The finger pier and dolphins, shallow draft berthings A-1 and A-2, are used to moor small ships of the ATA and ATF classification. Up to ten barges are (Continued)

5. PROPERTY RECORD CARD NO.: 2-0062
b. NAVY CATEGORY CODE: 154-10
c. BLDG. OR STRUCTURE NO.: 41A

6. WHAT IS THE EFFECT OF THIS PROJECT ON THE MISSION OF THE ACTIVITY?

Failure to make necessary repair promptly may result in loss of barge mooring facilities; elimination of access to shallow draft berths A-1 and A-2 and failure of one of two vehicular routes to the deep draft "Bravo" Pier and the carrier piers. This road route to these piers. ould major failure occur, loss or damage to the Administration Building and the P. O. Club could be expected.

7. THE REQUIREMENT FOR THE FACILITY IS BASED ON
a. [ ] A CHANGE IN MISSION b. [X] FULL TIME CONTINUING NEED c. [ ] 3 TO 5 YEAR NEED d. [ ] LESS THAN 3 YEARS' NEED e. [ ] CURRENTLY REQUIRED LESS THAN 50% OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS

7a. EST. FUNDED COST	b. EST. PROJECT COST	c. EST. PLANNING COST	d. TOTAL FUNDS REQUESTED	e. EST. FACIL. REPL. COST
$ 180,000	$ 180,000	$ 20,000	$ 200,000	$ 484,112

8. DATE FACILITY CONSTRUCTED	9. IS FACILITY ON AN APPROVED BASIC FACILITY REQUIREMENTS LIST? *If "NO," how was need determined?*
1942	[X] YES [ ] NO

10. IS PROJECT LISTED ON ANNUAL INSPECTION SUMMARY? *If answer is "NO," and AIS is applicable, explain exclusion.*
[X] YES [ ] NO [ ] N.A.

11. DESCRIBE CONDITION TO BE CORRECTED, OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION. *Attach additional description if necessary. ONE PAGE ONLY.*

During the last five years there has been a rapid deterioration of the south bulkhead. As of this date over 300 l.f. of fender system has been demolished exposing bare sheet pile to erosive pounding action by the barges, 250 l.f. of the steel tie back severely warped or missing, approximately 75 l.f. of the concrete cap has been broken allowing the top of the sheet pile to deflect laterally up to 12 inches. This lateral movement indicates failure of tie back system in this area. The two lane road behind the bulkhead is subsiding, with a maximum settlement, .07 of a foot during the last two months. Repairs (continued)

12. WHY IS THE PROPOSED SOLUTION BEST - AND WHAT ALTERNATIVES WERE CONSIDERED?

The proposed solution is the cheapest repair that can be accomplished to prevent further damage to this facility until the new shallow draft berthing is constructed to replace the entire bulkhead. There is no alternative since the facility cannot be abandoned. Continued deferment of MCON Project P-303 (continued)

13. WERE ANY NON-NAVY EXPERTS INVITED TO REVIEW THIS PROBLEM AND THIS SOLUTION? *Explain effect on solution.*
a. [ ] YES b. [X] NO

14. HAS EFD DESIGN DIVISION REVIEWED SOLUTION? a. [ ] YES b. [X] NO

15. CAN ANOTHER FACILITY BE ECONOMICALLY ADAPTED FOR THIS FUNCTION? a. [ ] YES b. [X] NO

*16. CAN PROJECT BE FUNDED IN PHASES? How? How many?
a. [ ] YES b. [X] NO

*17. THIS PROJECT IS THE RESULT OF
a. [X] INADEQUATE MAINTENANCE b. [X] FACILITY AGE c. [ ] DEFICIENT CONSTR. d. [ ] DEFICIENT DESIGN e. [ ] OTHER: _____

*18. HAS THIS SPECIFIC PROBLEM BEEN CORRECTED PREVIOUSLY?
a. [X] YES b. [ ] NO When? Repaired by Contract 1965

HOW LONG WILL PROPOSED CORRECTIVE ACTION LAST? 5-6 YEARS

FIGURE 5-3
SPECIAL PROJECT REQUEST FORM, NAVFAC 11014/64

19. ARE COMPONENTS BEING INCREASED IN SIZE OR CAPACITY? *Explain the difference, including cost.*

a. [ ] YES b. [X] NO

20. ARE MATERIALS PROPOSED FOR USE THE SAME AS THOSE EXISTING? *If "NO," explain the difference, including cost.*

a. [X] YES b. [ ] NO

21. PROJECT IS PLANNED TO BE ACCOMPLISHED BY

a. [ ] STATION LABOR b. [X] CONTRACT

22. HAS A PROJECT EVER BEEN SUBMITTED FOR THE REPLACEMENT OF THIS OR SIMILAR FACILITIES? *Check and explain if "YES."*

a. [X] YES b. [ ] NO *When?* Milcon Project P333 Shallow Draft Berthing

23. ANTICIPATED SAVINGS IF PROJECT IS DONE THIS YEAR AS COMPARED TO A DEFERRAL OF ONE YEAR.

PROBABLE INCREASE IN PROJECT COST FOR ANY JUSTIFIABLE REASON	REDUCTION IN CURRENT MAINT. COST	REDUCTION IN CURRENT OPERATIONS COST
$ 750,000	$ None	$ None

JUSTIFY ANY SAVINGS INDICATED

Unless prompt action is taken, complete loss of facility including adjacent facilities can be anticipated

WHAT IS PAY BACK PERIOD OF PROJECT? *(In years)*

WILL ACCOMPLISHMENT GENERATE REQUIREMENTS FOR ADDITIONAL M&O FUNDS OR PERSONNEL? a. [X] NO b. [ ] YES *Est. Ann.*

24. WHAT WOULD BE THE EFFECT OF DEFERRING THE PROJECT ONE YEAR?

Continued Deterioration with possible loss of facility during the next year.

*25. IF THE PROJECT IS NOT ACCOMPLISHED NOW, IN HOW MANY YEARS WILL THERE BE SERIOUS DAMAGE TO THE FACILITY AND/OR ITS CONTENTS OR IMPAIRMENT TO ESSENTIAL OPERATIONS? *Explain, to include local value to facility and/or contents.*

YEARS BEFORE SERIOUS DAMAGE OCCURS 1 Serious damage already exists, possible loss of facility in one year

*26. HAS THE REDUCED UTILIZATION OF THIS SPECIFIC FACILITY AFFECTED A LARGE FACILITY SYSTEM OPERATION? *Explain.*

a. [ ] YES b. [X] NO BY HOW MUCH? ____ % However, delay in accomplishing repairs will result in loss of berthing facilities and may cause loss of fuel and oil lines to destroyers.

27. ARE THERE ANY OTHER FACTORS INVOLVED? *Check and explain.*

a. [ ] MORALE b. [ ] HEALTH c. [ ] PUBLIC RELATIONS d. [X] SAFETY e. [ ] FIRE PROTECTION f. [ ] SECURITY g. [ ] OTHER

Lateral movement of sheet pile may cause collapse of the bulkhead and cave-in of adjacent roadway.

28. CERTIFICATION BY RESPONSIBLE OFFICER AT ACTIVITY: I am personally cognizant of the need for, the essentiality of, and the proposed method of accomplishment of this project and certify that the above information is correct, and that this project meets all criteria specified in OPNAVINST 11010.20 and subsequent changes thereto.

SIGNATURE	TITLE	DATE
U. K. ALL	PUBLIC WORKS OFFICER	27 DEC 77

29. EFD TECHNICAL VALIDATION *(if required) (see para 7303, OPNAVINST 11010.20C)*

SIGNATURE	TITLE	DATE

ENCLOSURES

a. [X] ENGINEERING EST. *(NAVFAC 2417)* b. [X] LOCATION PLAN(S) c. [ ] DRAWINGS d. [X] PHOTOGRAPHS

**NOT applicable to Minor Construction, Alterations, or Equipment Installation*

FIGURE 5-3
SPECIAL PROJECT REQUEST FORM, NAVFAC 11014/64 (CONT'D)

NAVFAC 11013/7 (1-78)
Supersedes NAVDOCKS 2417 and 2417A

COST ESTIMATE

DATE PREPARED: 20 DEC 77

SHEET 1 OF 1

ACTIVITY AND LOCATION: NAVAL STATION, DEEPWATER, OREGON

CONSTRUCTION CONTRACT NO.:

IDENTIFICATION NUMBER: R2-77

ESTIMATED BY: Y. FIGURE

CATEGORY CODE NUMBER: 154-10

PROJECT TITLE: REPAIR TO SOUTH BULKHEAD

STATUS OF DESIGN: [X] PED [ ] 30% [ ] 100% [ ] FINAL [ ] Other (*Specify*) _____

JOB ORDER NUMBER:

ITEM DESCRIPTION	QUANTITY		MATERIAL COST		LABOR COST		ENGINEERING ESTIMATE	
	NUMBER	UNIT	UNIT COST	TOTAL	UNIT COST	TOTAL	UNIT COST	TOTAL
1. Excavate wet soil	6.8	MCY	182	12,387	140	9,500	322	21,907
2. Drive and remove sheetpile shoring	13.8	MSF	70	9,660	378	52,164	448	61,824
3. Repair Tie backs		LS		1,610		8,260		9,870
4. Repair channel waler		LS		1,729		4,900		6,629
5. Repair Concrete Cap	37	CY	39.20	1,450	33.60	1,243	72.80	2,694
6. Fill and compact	6.8	MCY	112	7,616	217	14,756	329	22,372
7. Repave	1,340	SY	.91	1,219	1.54	2,063	2.45	3,283
8. Repair Fender System	930	LF	23.10	21,483	30.80	28,644	53.90	50,127
								178,705
Planning cost		LS						20,000

S/N 0105-LF-010-1335

FIGURE 5-3A
SPECIAL PROJECT COST ESTIMATING FORM, NAVFAC 11013/7

SPECIAL PROJECT REQUEST *(INTERIM)*
NAVFAC 11014/64A (5-74)

STEP ONE SUBMISSION

PART I – SUBMISSION

1. FROM *(Activity name and location)*: NAVAL AIR STATION, OUTWEST, ARIZONA
2. ACTIVITY NO: 36021
3. TO: MAJOR CLAIMANT
4. PROJECT NO: C3-78
TITLE: CONSTRUCT CLEAR ZONE AT AUW COMPLEX
5. TYPE: a. [ ] MAINT./REPAIR b. [X] MINOR CONSTRUCTION/ ALTERATION c. [ ] AIR CONDITIONING d. [ ] EQUIPMENT INSTALLATION
6. DESCRIPTION AND FUNCTION OF FACILITY: The AUW Complex consisting of the Special Weapons Shop (Bldg. A-950), Special Weapons Magazine (Bldg. A-950), Inert Storehouse (Bldg. A-951), Inert Storehouse (Bldg. A-ll08), Sentray House (Bldg. A-952), earth barricades, perimeter fence, and auxiliary facilities is used in the storage and handling a AUW special weapons. All structures are wood frame, semi-permanent construction.
a. PROPERTY RECORD CARD NO: N/A
b. NAVY CATEGORY CODE: 872-20
c. BLDG. OR STRUCTURE NO.: N/A
7. THE REQUIREMENT FOR THE FACILITY IS BASED ON: a. [ ] A CHANGE IN MISSION b. [X] FULL TIME CONTINUING NEED c. [ ] 3 TO 5 YEAR NEED d. [ ] LESS THAN 3 YEARS' NEED e. [ ] CURRENTLY REQUIRED LESS THAN 50% OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS
8. ESTIMATED PROJECT COST: $ 22,500
9. ESTIMATED PLANNING COST: $ 1,000
10. DESCRIPTION OF CONDITION TO BE CORRECTED, OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION *(Attach additional description if necessary. USE PAGE ONLY).*

The present clear zone surrounding the fenced area of the AUW complex does not meet the minimum requirements of OPNAVINST 05510.83B. To meet these requirements, it is proposed to construct a 30 foot wide clear zone immediately external to the perimeter fence and completely surrounding the AUX complex.

*11. CAN PROJECT BE FUNDED IN PHASES? *How? How many?*
[ ] YES [X] NO

12. SIGNATURE OF OFFICIAL WHO CAN CERTIFY THAT THE DATA PROVIDED IS VALID	TITLE	DATE
E. SHARPIE	PUBLIC WORKS OFFICER	30 JULY 1978

PART II – MAJOR CLAIMANT ACTION

1. FROM *(Major claimant)*
2. TO *(Activity name and location)*
3. ACTION TO BE TAKEN
a. [ ] APPROVED FOR SECOND STEP SUBMISSION AND CONSIDERATION. FOR FUNDING IN FY_____ OR FY _____.
b. [ ] DEFERRED PENDING FURTHER STUDY. RECOMMEND UPDATE AND RESUBMISSION IN _____ MONTHS.
c. [ ] OTHER _____

SIGNATURE OF APPROVING OFFICIAL	TITLE	DATE

**NOT applicable to Minor Construction, Alterations, or Equipment Installation.*

FIGURE 5-4
SPECIAL PROJECT REQUEST FORM (INTERIM), NAVFAC 11014/64A

SPECIAL PROJECT REQUEST
NAVFAC 11014/64 (REV. 6-74)
Supersedes NAVFAC 9-11014/64 (11-68)

STEP TWO SUBMISSION

Sheet 1 of 2

1. ACTIVITY SNDL NO.	ACTIVITY NAME AND LOCATION	DATE SUBMITTED
6300-201	NAVAL AIR STATION, OUTWEST, ARIZONA	2 Sep 1978
2. PROJECT NO.	TITLE	
C3-78		

3. TYPE
a. [ ] MAINT./REPAIR b. [X] MINOR CONSTRUCTION/ ALTERATION c. [ ] AIR CONDITIONING [ ] EQUIPMENT INSTALLATION

4. DESCRIBE AND STATE FUNCTION OF FACILITY

The AUW Complex consisting of the Special Weapons Shop (Bldg. A-950), Special Weapons Magazine (Bldg. A-951), Inert Storehouse (Bldg. A-951), Inert Storehouse (Bldg. A-1108), Sentray House (Bldg. A-952), earth barricades, perimeter fence, and auxiliary facilities is used in the storage and handling of AUW special weapons. All structures are wood frame, semi-permanent construction.

a. PROPERTY RECORD CARD NO.: N/A
b. NAVY CATEGORY CODE: 872-20
c. BLDG. OR STRUCTURE NO.: N/A

5. WHAT IS THE EFFECT OF THIS PROJECT ON THE MISSION OF THE ACTIVITY?

This project is essential to meeting security criteria applicable to the AUW special weapon storage and handling functions of this command, which functions are a part of the assigned mission of NAS, Out West.

6. THE REQUIREMENT FOR THE FACILITY IS BASED ON
a. [ ] A CHANGE IN MISSION b. [X] FULL-TIME CONTINUING NEED c. [ ] 3 TO 5 YEAR NEED d. [ ] LESS THAN 3 YEARS' NEED e. [ ] CURRENTLY REQUIRED LESS THAN 50% OF TIME f. [ ] RESERVED FOR FUTURE REQUIREMENTS

7a. EST. FUNDED COST	b. EST. PROJECT COST	c. EST. PLANNING COST	d. TOTAL FUNDS REQUESTED	e. EST. FACIL. REPL. COST
$ 22,500	$ 24,500	$ 2,000	$ 24,500	$ 817,000

8. DATE FACILITY CONSTRUCTED	9. IS FACILITY ON AN APPROVED BASIC FACILITY REQUIREMENTS LIST? *If "No," how was need determined?*
1960	[X] YES [ ] NO

10. IS PROJECT LISTED ON ANNUAL INSPECTION SUMMARY? *If answer is "No," and AIS is applicable, explain exclusion.*
[ ] YES [X] NO [X] N.A.

11. DESCRIBE CONDITION TO BE CORRECTED, OR PROBLEM TO BE SOLVED WITH PROPOSED SOLUTION. *Attach additional description if necessary. ONE PAGE ONLY.*

The present clear zone surrounding the fenced area of the AUW complex does not meet the minimum requirements of OPNAVINST 05510.83B. To meet these requirements, it is proposed to construct a 30 foot wide clear zone immediately external to the perimeter fence and completely surrounding the AUX complex.

12. WHY IS THE PROPOSED SOLUTION BEST AND WHAT ALTERNATIVES WERE CONSIDERED?

There is no alternate method by which the deficiency can be corrected.

13. WERE ANY NON-NAVY EXPERTS INVITED TO REVIEW THIS PROBLEM AND THIS SOLUTION? *Explain effect on solution.*
a. [ ] YES b. [X] NO

14. HAS EFD DESIGN DIVISION REVIEWED SOLUTION? a. [X] YES b. [ ] NO

15. CAN ANOTHER FACILITY BE ECONOMICALLY ADAPTED FOR THIS FUNCTION? a. [ ] YES b. [X] NO

*16. CAN PROJECT BE FUNDED IN PHASES? *How? How many?*
a. [ ] YES b. [ ] NO
N/A

*17. THIS PROJECT IS THE RESULT OF
a. [ ] INADEQUATE MAINTENANCE b. [ ] FACILITY AGE c. [ ] DEFICIENT CONSTR. d. [ ] DEFICIENT DESIGN e. [ ] OTHER: _____
N/A

*18. HAS THIS SPECIFIC PROBLEM BEEN CORRECTED PREVIOUSLY?
a. [ ] YES b. [ ] NO *When?* N/A HOW LONG WILL PROPOSED CORRECTIVE ACTION LAST? _____ YEARS

FIGURE 5-5
SPECIAL PROJECT REQUEST FORM, NAVFAC 11014/64

19. ARE COMPONENTS BEING INCREASED IN SIZE OR CAPACITY? *Explain the difference, including cost.*

a. [X] YES b. [ ] NO

The clear zone is being increased from approximately 10 feet wide to a minimum width of 30 feet.

20. ARE MATERIALS PROPOSED FOR USE THE SAME AS THOSE EXISTING? *If "NO," explain the difference, including cost.*

a. [X] YES b. [ ] NO

21. PROJECT IS PLANNED TO BE ACCOMPLISHED BY

a. [ ] STATION LABOR b. [X] CONTRACT

22. HAS A PROJECT EVER BEEN SUBMITTED FOR THE REPLACEMENT OF THIS OR SIMILAR FACILITIES? *Check and explain if "YES."*

a. [ ] YES b. [X] NO *When?*

23. ANTICIPATED SAVINGS IF PROJECT IS DONE THIS YEAR AS COMPARED TO A DEFERRAL OF ONE YEAR.

PROBABLE INCREASE IN PROJECT COST FOR ANY JUSTIFIABLE REASON	REDUCTION IN CURRENT MAINT. COST	REDUCTION IN CURRENT OPERATIONS COST
$ 2,300	$ None	$ None

JUSTIFY ANY SAVINGS INDICATED

Construction costs increase approximately 10% per year in this area

WHAT IS PAY BACK PERIOD OF PROJECT? *(In years)* N/A

WILL ACCOMPLISHMENT GENERATE REQUIREMENTS FOR ADDITIONAL M&O FUNDS OR PERSONNEL? a. [X] NO b. [ ] YES *Est. Ann.*

24. WHAT WOULD BE THE EFFECT OF DEFERRING THE PROJECT ONE YEAR?

Failure to provide this vital project will require a continuing waiver and could compromise the security of this facility.

*25. IF THE PROJECT IS NOT ACCOMPLISHED NOW, IN HOW MANY YEARS WILL THERE BE SERIOUS DAMAGE TO THE FACILITY AND/OR ITS CONTENTS OR IMPAIRMENT TO ESSENTIAL OPERATIONS? *Explain, include loss value to facility and/or contents.*

YEARS BEFORE SERIOUS DAMAGE OCCURS_____ N/A

*26. HAS THE REDUCED UTILIZATION OF THIS SPECIFIC FACILITY AFFECTED A LARGE FACILITY SYSTEM OPERATION? *Explain.*

a. [ ] YES b. [ ] NO BY HOW MUCH?_____%. N/A

27. ARE THERE ANY OTHER FACTORS INVOLVED? *Check and explain.*

a. [ ] MORALE b. [ ] HEALTH c. [ ] PUBLIC RELATIONS d. [X] SAFETY e. [ ] FIRE PROTECTION f. [ ] SECURITY g. [ ] OTHER

Clear zone satisfies safety criteria for area as required by OPNAVINST 05510.83B.

28. CERTIFICATION BY RESPONSIBLE OFFICER AT ACTIVITY: I am personally cognizant of the need for, the essentiality of, and the proposed method of accomplishment of this project and certify that the above information is correct, and that this project meets all criteria specified in OPNAVINST 11010.20 and subsequent changes thereto.

SIGNATURE	TITLE	DATE
E. SHARPIE	PUBLIC WORKS OFFICER	2 Sep 1978

29. EFD TECHNICAL VALIDATION *(if required) (see para 7303, OPNAVINST 11010.20C)*

SIGNATURE	TITLE	DATE

ENCLOSURES

a. [X] ENGINEERING EST. *(NAVFAC 2417)* b. [X] LOCATION PLAN(S) c. [ ] DRAWINGS d. [X] PHOTOGRAPHS

**NOT applicable to Minor Construction, Alterations, or Equipment Installation*

NAVFAC 11014/64 (REV. 5-74)
Sheet 2 of 2

FIGURE 5-5
SPECIAL PROJECT REQUEST FORM, NAVFAC 11014/64 (CONT'D)

NAVFAC 11013/7 (1-78)
Supersedes NAVDOCKS 2417 and 2417A

COST ESTIMATE

DATE PREPARED: 2 SEP 1978

SHEET 1 OF 1

ACTIVITY AND LOCATION: NAVAL AIR STATION, OUTWEST, AZ

CONSTRUCTION CONTRACT NO.:

IDENTIFICATION NUMBER: C3-78

ESTIMATED BY: R. C. YOUNT

CATEGORY CODE NUMBER: 872-20

PROJECT TITLE: CONSTRUCT CLEAR ZONE AT AUW COMPLEX

STATUS OF DESIGN: [X] PED [ ] 30% [ ] 100% [ ] FINAL [ ] Other (Specify) _____

JOB ORDER NUMBER:

ITEM DESCRIPTION	QUANTITY		MATERIAL COST		LABOR COST		ENGINEERING ESTIMATE	
	NUMBER	UNIT	UNIT COST	TOTAL	UNIT COST	TOTAL	UNIT COST	TOTAL
1. MOBILIZATION								1,000
2. FILL 5000 CY x 1.5 (Shrinkage)	7,500	CY	1.90	14,250	.50	3,750	2.40	18,000
3. ROLL & GRADE	7,000	SY	.15	1,050	.15	1,050	.30	2,100
4. EXTEND 3-12" RCP STORM SEWERS	83	LF	3.00	249	2.50	208	5.50	457
5. EXTEND 1-15" RCP STORM SEWERS	30	LF	4.00	120	3.00	90	7.00	210
6. CONC HEAD (4)	4	CY	60.00	240	40.00	160	100.00	400
7. EXT 3" ACID DRAIN	1	JOB						100
8. CLEANUP	1	JOB						200
								22,467
							SAY	$22,500
PLANNING CO.								$2,000

S/N 0105-LF-010-1335

FIGURE 5-5A

SPECIAL PROJECT COST ESTIMATING FORM, NAVFAC 11013/7

CHAPTER 6
MAINTENANCE MANAGEMENT

Much of today's Navy shore establishment was built during or before World War II utilizing temporary or "semi-permanent" construction methods and with no real thought given to their maintenance and operation. Today, thirty-five years later, the Public Works Officer is faced with the task of maintaining these deteriorating facilities with very limited resources. The challenge for the maintenance manager lies first in making sound decisions on which maintenance requirements should receive attention and which should be deferred; and second, in maximizing the productivity of his resources in accomplishing work. The system described herein can assist in accomplishing this by formalizing maintenance management into a series of standard operating procedures.

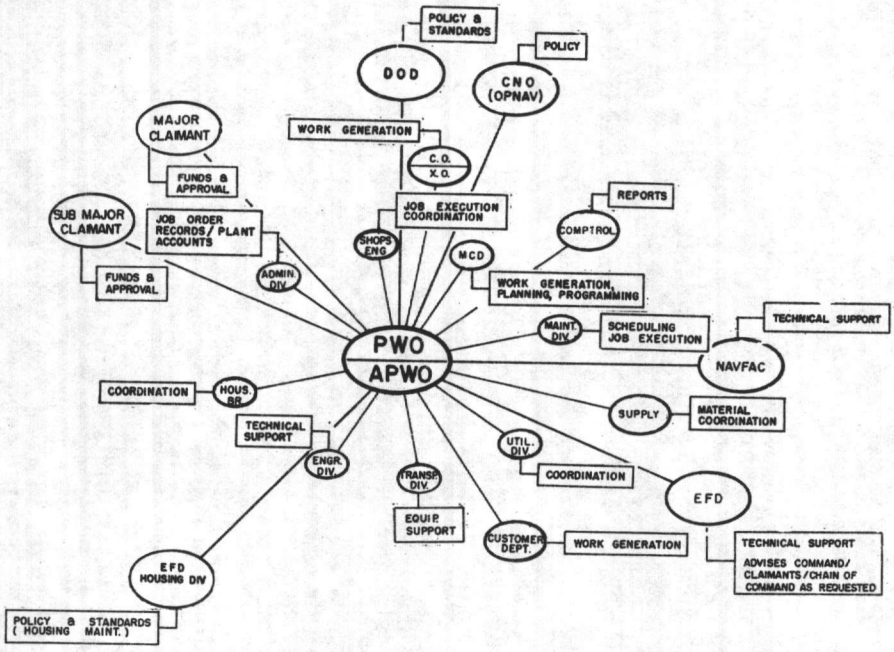

FIGURE 6-1
THE PLAYERS IN MAINTENANCE MANAGEMENT

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REFERENCES

1. NAVFAC MO-321, *Maintenance Management of Shore Facilities* (current), The "Bible of Maintenance Management."
2. NAVFAC MO-321.2, *Maintenance Management of Public Works and Public Utilities for Small Activities* (current), Guidance for the PWO of an activity with fewer than 75 personnel in the Maintenance and Utilities Divisions, combined.
3. NAVFAC MO-322, Volumes I and II, *Inspection of Shore Facilities* (current), Detailed guidance on setting up and running an inspection system.
4. OPNAVINST 11010.23 Series, Subj: *Management of Real Property Maintenance Activities.*
5. NAVFACINST 11010.64 Series, Subj: *Staff Support of Real Property Maintenance Activities (RPMA) Program.*
6. OPNAVINST 11010.34 Series.
7. NAVFAC P-700, *Engineered Performance Standards for Real Property Maintenance Activities.*

DEFINITIONS

Maintenance. What is done to keep facilities from wearing out, falling apart, or breaking down; preservation.

Repair. What is done when maintenance is ineffective; restoration.

Alteration. Work required to adjust interior arrangements, on base location, or other physical characteristics of an existing facility. Cannot increase external dimensions.

Minor Construction. All construction costing less than $100,000 per project performed with funds available for operation and maintenance or NIF overhead funds; and urgent construction over $100,000 and under $400,000 and financed with military construction appropriation.

Emergency Work. That work which requires immediate action to prevent loss or damage, to restore essential services, or to eliminate hazards.

Service Work. Routine maintenance service requests which can normally be accomplished in less than 16 manhours and which are not of an emergency nature. Examples: typical plumbing and/or electrical trouble calls, window replacement, lock repairs, etc.

Minor Work. Either routine work or emergency work which is expected to require more than 16 manhours, but less than the number of manhours specified for a specific job order.

Commercial/Industrial Type Activity (CITA). An activity or function operated and managed by a DOD component, such as a Navy Shore installation, that provides a product or service also obtainable from a private, commercial source.

Job Order. An accounting term which means the numerical identification of a specific undertaking (specific) or group of similar undertakings (standing) for which costs are to be separately identified.

Facility Support Contracts. Contracts, financed out of OMN or NIF funds (or on rare occasions out of R&D funds when maintenance of an R&D facility is involved), whose purpose is to accomplish the repair or maintenance of real property facilities, vehicles or equipment in an existing condition, or to restore them to initial or useable condition by overcoming the effects of wear and tear, disaster, damage, or deterioration, or to perform periodically required services required to preserve facilities in a useable or operable condition. New construction, improvement, or acquisition of facilities is not included.

Specific Job Orders. Work requirements of larger scope each of which requires and justifies maximum control and complete financial reporting.

Standing Job Orders. Documents which authorize highly repetitive types of routine performance and accumulate costs for time periods such as 1 month, 1 quarter, 1 year, etc. They are fundamentally fiscal accounting documents. However they also are used to authorize repetitive work which cannot be described in detail but relates to a particular cost account. There can be both estimated and nonestimated jobs accomplished under Standing Job Orders.

Supplements and Amendments to Authorized Work. A supplement to a specific job order is issued to authorize separate posting of charges to a different accounting classification than that shown on the basic job order, but still permits the comptroller to identify total costs for the job. Amendments to Specific Job Orders are issued to change the accounting classification for the basic job order in its entirety, or to modify description of the work included, or to reopen closed job orders. Amendments may also be used to change the accounting for the entire job, but may not be used to split accounting classifications within a job.

Rework. These are work authorization documents issued to approve the correction of faulty work performed by Public Works forces. When issued, they will normally take the form of a Specific Job Order but the rework will be chargeable to an overhead account. (**Tip:** Check and see when the last rework was reported on the labor control report at your activity.)

PART I — GENERAL POLICY

6.1.1 Introduction. The term "Maintenance Management" is widely interpreted at the field level. Most field activity personnel, when asked how they manage their maintenance effort, will reply to the effect that "We don't exactly follow the book here, since we have a unique set of operating conditions." The "don't exactly" in this case can range anywhere from a slight variation in the processing of specific job orders to a complete absence of any control whatsoever. A second category of answer which will be heard is to the effect that "We can't afford the overhead costs for all the inspectors, planners and estimators and work reception personnel." Still a third answer might be that "We don't have time to fool with the paperwork — we judge ourselves by results."

The reader will undoubtedly have heard of other such "interpretations" of Maintenance Management. The point to be drawn is that the system described in this chapter has neither universal acceptance, nor universal understanding in the Navy. It is not unusual to find the new officer in Public Works faced with the task of installing or rejuvenating the maintenance management system, or, in some cases, explaining it and defending it to his command. Albeit, it is a good system. When utilized properly, it will achieve results in terms of better maintained facilities at lower cost to command. It is not a complex system; it is basically a formalization of common sense into step by step procedures which enable you to optimize output.

Objectives. The objectives of the maintenance management system are to optimize the use of available resources by:

A. Providing a proper and consistent level of maintenance to all Naval Shore Facilities.

B. Increasing workforce productivity.

C. Reducing maintenance costs.

D. Providing appropriate response to command requirements.

6.1.2 Precepts. The Navy's Maintenance Management system is grounded upon several basic precepts. They are as follows:

A. Maintenance and repairs are less costly if caught in their incipient stages; therefore, you should aggressively "seek out" and generate maintenance work rather than wait for it to appear in the form of a customer request, or emergency calls.

B. You will never have enough money to do everything you want to do. Therefore, you should utilize a consistent, rational system of job priorities, based upon operational considerations and standards of maintenance. A corollary to this is that you need to know all of your facilities deficiencies in order to be aware of what you are *not* doing as well as what you are doing.

C. The planning and programming of maintenance effort (Maintenance Control) should not be the job of supervisory shop personnel or the Maintenance Division Director. A separate staff organization is required to decide what will and will not be done, and when.

D. We learn by mistakes, therefore management should be able to view and analyze the maintenance effort after the fact, both in terms of individual job accomplishment and in terms of the productivity of the maintenance division as a whole.

The Maintenance Management System, as outlined in NAVFAC MO-321, and MO-322, translates these basic tenets into a fairly simple, but often misunderstood set of procedures aimed at increasing maintenance productivity through the use of work generation, work classification (or "programming"), planning and estimating, shop scheduling, and management analysis of results. Just what these elements are and how they relate and interact with each other will be outlined in subsequent paragraphs. Application of these principles will vary somewhat to suit local conditions or capabilities. For small Public Works Activities see NAVFAC MO-321.1 for a modified Maintenance Management System.

6.1.3 Organization. The Public Works Organization for maintenance management is grounded on the principle of separate control. The Maintenance Control Division, as described in Chapter 2, is the key organizational element in the Maintenance Management System. It is here that work is generated, collected and classified, planned, estimated, ordered in priority, and committed for accomplishment. It is here, also, that the difficult decisions are made as to what work will be performed by in-house forces and which will be contracted out. On a broader scale, which work will be deferred, or not accomplished at all. The separation of control does not relegate the Maintenance Division to a purely functionary status. It does, however, unburden shop and division supervisory personnel from deciding relative priorities of work, worrying about resource availability, and other planning matters. The removal of these concerns frees the shop level supervisors to worry about matters for which they are best trained: quantity and quality of work.

At smaller activities where ceilings and workload limit the number of personnel which can be devoted to the maintenance control function, it is possible to

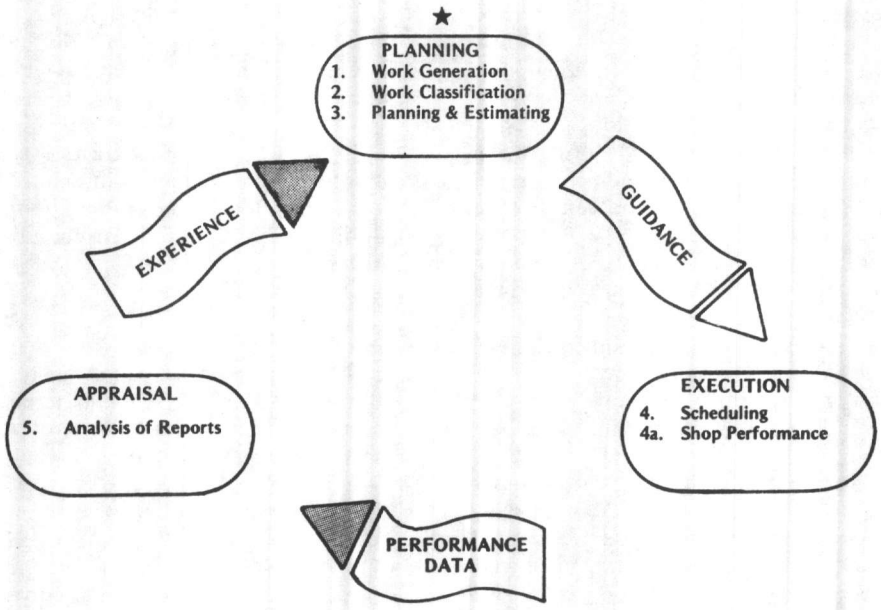


FIGURE 6-2
THE CLOSED LOOP OF MAINTENANCE MANAGEMENT

combine functions under fewer people. It is important, however, to retain the separate organizational integrity of the Maintenance Control Division.

PART 2 — THE SYSTEM

6.2.1 The Systems Elements. Maintenance management viewed as a system, breaks down into a planning phase, an execution phase, and an appraisal phase. Figure 6-2 illustrates these three phases, and the specific management elements which each accomplishes within a "closed loop" of management.

To accomplish all these phases of maintenance management, the 5 management elements noted on Figure 6-2 must be accomplished. Their presence alone does not assure sound management, but they do provide the essential framework in which a manager can operate in the maintenance area. They are explained in subsequent sections.

Before beginning a discussion of these 5 elements, it is emphasized that control of maintenance cannot be reduced to a simple set of procedures that will apply to every condition. Over emphasis on procedures and forms can sometimes throw the ultimate objective of fleet support out of focus. On the other hand, sacrifice of the entire system to achieve total flexibility and response to command is expensive and self-defeating. The best advice is that the system and its use must be tempered with common sense and judgment to suit conditions. If your system of control varies in particular from that which is outlined in MO-321, *Maintenance Management of Shore Facilities,* but still retains the essential integrity of all the elements described, and if it works, then it is a good system.

In addition to reading this chapter, it is recommended that the reader consult NAVFAC MO-321, to see a more detailed explanation of how work flows through the system. Those at small activities should refer to MO-321.1, *Maintenance Management of Public Works* and *Public Utilities for* Small *Activities.*

The Five Elements of Maintenance Management

A. Work Generation. Maintenance work can be generated by customers, by command inspection, or preferably by the Public Works Department itself through the Shore Facilities Inspection System. The first two sources are uncontrolled and reactive, the third is controlled and active.

1. Customer Requests. Can take the form of written work requests or telephone calls to the Work Reception Branch. Figure 6-3 is a typical work request which is used by customers when requesting work from the Public Works Department. It is normally used for requesting work above a certain scope (normally those jobs requiring more than 16 manhours to complete) and are of a

Requestor see Instructions on Reverse Side

PART I—REQUEST (Filled out by Requestor)

1. FROM	2. REQUEST NO.
RESEARCH DIVISION	50-001-71
3. TO	**4. DATE OF REQUEST**
PUBLIC WORKS DEPARTMENT	7/6/77
5. REQUEST FOR	**5a. REQUEST WORK START**
[X] COST ESTIMATE [ ] PERFORMANCE OF WORK	
6. FOR FURTHER INFORMATION CALL	**7. SKETCH/PLAN ATTACHED**
JOHN DOES EXT. 419	[ ] YES [X] NO

8. DESCRIPTION OF WORK AND JUSTIFICATION (*Including location, type, size, quantity, etc.*)

PARTITION OFF ROOM IN BUILDING NO. 14 FOR OFFICE SPACE

9. FUNDS CHARGEABLE	10. SIGNATURE (*Requesting Official*)
	(signed) JACK JONES

PART II—COST ESTIMATE
(Filled out by Maintenance Control Division if estimate requested)

11. TO:	12. ESTIMATE NO.
RESEARCH DIVISION	8073456

13. COST ESTIMATE	
a. Labor	$ 1,380
b. Material	$ 2,490
c. Overhead and/or Surcharge	$ 400
d. Equipment Rental/Usage	$
e. Contingency	$ 854
f. TOTAL	$ 5,124

14. SKETCH/PLAN ATTACHED [ ] YES [X] NO

15.

[ ] APPROVED. PROGRAMMING TO START IN Based on priority by computer.

[ ] APPROVED. BASED ON PRESENT WORKLOAD, THIS JOB CAN BE PROGRAMMED TO START IN _____, IF AUTHORIZED BY 25TH OF _____ AND FUNDS ARE MADE AVAILABLE.

[ ] DISAPPROVED. (*See Reverse Side*)

16. SIGNATURE	17. DATE
(signed) JOHN SMITH	7/6/77

PART III—ACTION (Filled out by Requestor)

18. TO:

19. AUTHORIZATION TO PROCEED IS ATTACHED (*Check one if other than PW funds are involved*)	20. WORK REQUESTED
[ ] NAVCOMPT 140 [ ] OTHER	[ ] HAS BEEN CANCELLED [ ] HAS BEEN DEFERRED [ ] WILL BE PERFORMED BY OTHERS
21. SIGNATURE	22. DATE

(*See Part IV on Reverse Side*)

FIGURE 6-3
WORK REQUEST (MAINTENANCE MANAGEMENT) NAVFAC 9-11014/20

FIGURE 6-4
PREVENTIVE MAINTENANCE INSPECTION

non-emergency nature. Requests for smaller jobs are accepted over the telephone. Known as Service Calls, the request is recorded on a work authorization as shown in Figure 6-6. Emergency calls, regardless of scope, are accepted over the phone and recorded on the same form. Your activity should have a directive spelling out these various classifications of work, and designating personnel in each department or other organization entity authorized to submit work requests and service calls. This policy will result in fewer duplicated requests, and will permit training of customer personnel in the preparation and use of the work request form. The net result will be fewer calls and non-productive visits to the site by public works personnel attempting to find out what the customer "really wanted."

2. Command Inspection. An additional procedure for generating work for Public Works accomplishment is the Military Zone Inspection. Lists of discrepancies and reports of action taken on them are maintained in the Administrative Office of the Station. Nothing gives more pleasure to a PWO than being able to say that all discrepancies noted were already in the system and scheduled for accomplishment.

3. The Shore Facilities Inspection System. As previously stated, the best way to generate work is through continuous inspection because in so doing you identify the "invisible" as well as the "visible." You also identify work while it is still in its incipient stages and maintain a sufficient backlog of work to permit orderly work programming and scheduling. The system employs three types of continuous inspection. These are:

a. Operator Inspections. Operator inspections consist of examination, lubrication, and minor adjustments of equipment and systems for which the Public Works Department is responsible and to which a specific operator is assigned, such as a boiler plate. Frequency and details of the inspections should be contained in standard operation procedures made accessible to the operator. Equipment breakdowns should be reported immediately to the cognizant supervisor of the Work Reception and Control Branch.

b. Preventive Maintenance Inspection. PMI is the examination, lubrication, minor adjustment, and/or minor repair of equipment and systems for which a specific operator is not assigned (Figure 6-4). PMI is concerned primarily with items that, if disabled, would (a) interfere with an essential operation of the naval activity, (b) endanger life and/or property, or (c) involve high cost or long lead time for replacement. Generally, PMI should be performed by shop personnel under shop supervision. It is the basic responsibility of the Inspection Branch to determine what is to be inspected and how often. Such determinations would normally be made with the advice and assistance of the shops involved. Breakdowns should be reported immediately to the cognizant supervisor or to the Work Reception and Control Branch. Deficiencies found are reported to the manager of the Inspection Branch through the inspector's supervisor. The Inspection Branch reviews reported deficiencies, initiates further action if required, and evaluates at the time of Control Inspection, the effectiveness of PMI.

c. Control Inspections. A Control Inspection is a scheduled examination of facilities by Public Works Inspectors to determine the physical condition with respect to uniform maintenance standards. The objectives of Control Inspections are: (a) to provide for periodic examination of all items of shore facilities not covered by Operator Inspection or PMI, (b) to monitor adequacy of Operator Inspection and PMI, (c) to obtain a reduction in the number of breakdowns and cost of repairs, (d) to provide a constant backlog of work to permit orderly planning and scheduling of work, (e) to detect and reduce over-maintenance, (f) to classify defects according to degree of hazard, and (g) to serve as a basis for certification of safety. Control inspection is performed by personnel assigned to the Inspection Branch or made by others at the request of the Inspection Branch. Control Inspectors do not make adjustments on equipment but report deficiencies to the Manager of the Inspection Branch. Breakdowns are reported immediately to the cognizant supervisor, or to the Work Reception and Control Branch.

Control Inspections are divided into structural, mechanical, and electrical inspections. A typical inspection report is illustrated in Figure 6-5. Detailed guidance on the operation of the Shore Facilities Inspection System is contained in NAVFAC MO-321, Chapter 5 and in NAVFAC MO-322. Successful operation of a Continuous Inspection System is dependent in large measure upon an up-to-date inventory of facilities, and the use of uniform maintenance standards. Further discussion of the controlled inspection as a management tool is included in Section 6.2.1.E.7 (Annual Inspection Summary). As this Summary has become one of the fundamental sources of data used in justifying the Navy MRP budget, the reader should carefully review the AIS discussion at the conclusion of this chapter.

d. Specialized Inspections. To augment the station inspection capability, a centrally managed program has been established to provide inspections where a specialized skill or special tools and equipment are required. Examples include underground utilities, airfield pavements, and underwater inspections. The program is executed and funded through the NAVFAC EFD's.

e. The Inventory. The same inventory of Class I and II Property which is utilized in the Shore Facilities Planning Process (Chapter 4) is utilized in the maintenance management program as a basis for systematic facilities inspection. You need to know what you have to maintain, qualitatively and quantitatively, before you can start to identify what the job is. You obviously need to know what types of facilities you own in terms of use, structure, age, and operational necessity before you can begin to identify requirements, order priorities, or assign resources. All too often, the inventory for maintenance (and subsequently the inspection schedule) are pushed into the background to become out of date. New buildings are not properly recorded, and demolished structures are not deleted. As a result, the picture which you and higher authority have of your inventory becomes distorted. Since the inventory, along with the maintenance backlog (see Chapter 13) is the primary basis for fund allocation at the claimant level, the accuracy of the inventory is vital. Overstating the inventory can jeopardize the Shore Facilities Planning cycle; understating it can result in fewer O&M dollars for maintenance and exaggerate unit cost data for maintenance. In addition, an inaccurate inventory makes logical inspection schedules impossible. Qualitative inaccuracies on the plant account can also result in too few maintenance dollars. Be sure that conversion and alteration are noted on the Property Record Card and reported to FACSO at Port Hueneme for inclusion in the NFAADB. The facilities inventory is normally held by the Administrative Division and updated as necessary by the Maintenance Control Division Director or the ROICC. It should form the basis for the planning of Control Inspections. Another type of inventory which is necessary is the inventory of Class III property which is maintained for the Preventive Maintenance Inspection.

4. Work Reception. There should be a single, centralized reception point within the Public Works Department for the reception of all work under the Maintenance Management System if management is to exert proper control over the efforts of the department. The Work Reception and Control Branch of the Maintenance Control Division fulfills this function. This branch screens, classifies, and records all incoming requests for maintenance work; controls the step-by-step processing of work requests, inspection reports, job orders, emergency and service authorizations, and posts work on the work input control charts. The branch also maintains inspection frequency files and work input control charts (the job inventory system). The Work Receptionist should be knowledgeable concerning all work which has been previously received, especially as to current status. The importance of the work of the reception point cannot be overemphasized. The image and reputation of the entire Public Works Department is usually set by this interface point. Professional courteous treatment of all customer requests and inquiries by work reception personnel is one of the most critical ingredients of a well-run Maintenance Management System.

B. Work Classification

1. Work Classification and Initial Screening. Quite obviously, it would be uneconomical and unnecessary to manage and

☐ DEIS ☒ CONTROL INSPECTION

1. FACILITY NO.	2. COST ACCOUNT NO.	3. F.A.C.	4. CATEGORY CODE	5. FUNCT. ACCT. NO.	6. L.M.C.	7. DATE SCHED: 4-75 ACT.: 4-18-75	8. MGR. INSPECTION BR. INITIAL	DATE
2	7160	4	61010	44540	A		JK	4-23

9. DESCRIPTION AND LOCATION
Admin. Bldg., Security

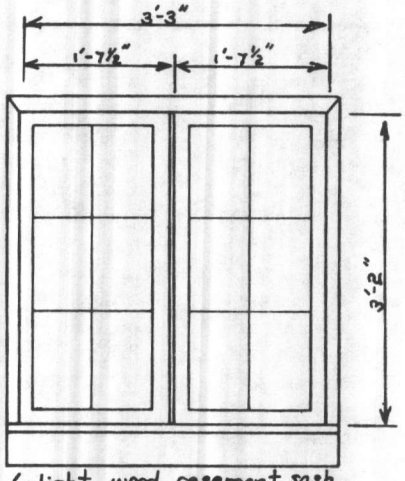
10. INSPECTOR
H.E. Snoops

11. INSPECTION TIME USED
3½ hrs

12. SHEET NO.
2 OF 7

13. DESCRIPTION OF ITEM AND DEFICIENCY

Carp	Replace 2 broken 6-light wood casement sash, including astragal on east side of bldg. Frame and casings in good condition — DO NOT REPLACE. Reuse existing hardware. Sash size: 1'-7½" x 3'-2".	
Paint	Prime and apply 2 coats white paint.	



6-light wood casement sash

FIGURE 6-5
INSPECTORS REPORT (NAVFAC 9-11014/38)

control a 2-hour service call with the same precision as a 300 manhour major repair job. Just as obvious, is the fact that you do not wish to delay immediate action on bonafide emergencies. Therefore, all work goes through an initial process of classification and screening at the work reception desk before it is subject to further control. During this step, as highlighted in Figure 6-13 (I), the work receptionist filters out illegal work, identifies emergency jobs for immediate transmittal to the emergency/service work center. The receptionist also identifies nonemergency service work (less than 16 manhours) and forwards it as well to the emergency/service work center (Figure 6-6). A final step is ensuring that non-emergency or service (E/S) work submitted by customers is in the proper format (a written work request). What is left after this initial screening should be legal work of a nonemergency nature, which is of greater scope than a service call. It is at this point that Work Input Control really begins to function in earnest.

2. Categories of Work. Work classification actually begins in the previous step with regard to emergency/service work. The balance, however, must undergo further differentiation in order to categorize maintenance and repair work as minor, specific, or standing; and to identify requests for minor construction and improvements. (See definitions of these terms on page 6-7.)

a. Minor Work. This involves the determination of whether or not a job will take less than 40 hours (or whatever the local cutoff for minor work is) to accomplish and identify all jobs in this category as "minor jobs." A minor job can be planned, estimated, programmed and scheduled as would a specific job (see below), however, it will be accounted for collectively with similar jobs under a standing job order (open account) rather than a specific job order. This means less paperwork for the comptroller and the Maintenance Control Division.

b. Specific Work. This involves work of a nonrepetitive nature and which exceeds minor work scope. Specific jobs are each processed individually; that is, each is accounted for, planned, scheduled, and reported on separately. An example of a specific job is repair of deteriorated roofing on a warehouse. Larger specific jobs, of course, are candidates for contracting out.

The scope of many specific jobs may exceed the command's authority to approve and fund. These should be identified and a request for funds forwarded to the activity's major claimant or other funds source as appropriate. A complete discussion of these "Special Projects" is found in Chapter 5.

c. Standing Jobs. In addition to specific jobs there are larger jobs (over 40 hours) which due to their repetitive nature, are processed as "standing job orders." Examples of this would be grass cutting, or janitorial services. This type of standing job order might or might not be planned, estimated, and programmed. It is preferable to have as much of this type of work planned and estimated as is possible. Standing Job orders will also normally be classified as a Commercial/Industrial Type Activity (CITA). As such, it would be reasonable to assume the PWO will contract out an increasing number of these jobs. Section 2.7 provides additional information on the CITA program.

3. Station Planning Board. Usually the amount of MRP money which a command can spend on improvements vice maintenance during any year is limited, either by directive from higher authority or by the simple realities of limited resources. Rather than encumber the PWO with the decision as to which improvement projects to fund (a decision which would invariably be wrong) it is usual practice to have a Station Planning Board, chaired by the Executive Officer, with representative memberships from other departments, to make these decisions. Other functions of this board might include assisting the command in development of various planning documents, establishing budget priorities, and resolving various facilities problems which infringe upon command policy morale, or welfare. It should not be used as a "super Maintenance Control Division" in the routine programming and scheduling of maintenance and repair work. This function is better handled by the Maintenance Control Division. Once the Station Planning Board reviews and decides upon the priorities of minor construction projects, the jobs are either discarded, put in the suspense file, or processed to completion along with all other jobs.

a. Authority. As noted earlier, the cost of certain jobs, whether they be maintenance, repair, or alteration/construction; will exceed a commanding officers authority to approve. These must be processed as Special Projects (see Chapter 5).

4. Decision Making. At this point we are left with identified specific, minor, and standing jobs which are legal, and are within the Commanding Officer's authority to fund. It is here that the *decision making or priority* assignment process begins. The difficult question to answer, of course, is "which jobs will we do with our limited resources?" or, "which job can we afford to defer?" There is no pat formula which the PWO can apply which will give him the answer. There are, however, several ways of "categorizing" a job and viewing it which will assist the PWO, APWO, and Maintenance Control Director in arriving at sensible priority decisions. These include job priority, maintenance standards, method of accomplishment, and source of funds.

EMERGENCY/SERVICE WORK AUTHORIZATION

NAVFAC 11014/21 (Rev. 6-75)

W.O NO. 26510

CHARGE NO. 9N5910

CARD NO. 1 1 2 1&2 3

LCC: 01A | C C: | DATE REC'D: 791032 | W C / C: 55A | STD HRS:

W C / C: | STD HRS: | W C / C: | STD HRS:

DESCRIPTION OF WORK: RPR HOT WTR LINE

WORK LOCATION: 01115

ORIGINATOR-PHONE: ETTA CARPENTER (3196)

NATURE OF WORK: HOT WATER LINE LEAKING IN RECORDS STORAGE ROOM

SHOP COMMENTS: Repaired prior to any damage to records

CRAFTSMAN: [signature]

2 | DATE STARTED: 791082 | DATE COMPLETED: 791022 | W C / C: 55SF | HRS USED: 020

W C / C: | HRS USED: | W C / C: | HRS USED:

BUILDING NUMBER: 01115 | EQUIPMENT NUMBER:

S/N 0105-LF-002-7105 705-461

☆ U.S. Government Printing Office: 1977—705-461

FIGURE 6-6

a. Job Priority. Most Public Works Departments can expect to have legitimate maintenance and repair needs far in excess of their resources available to accommodate them. Thus it is not enough to ensure all work accomplished is valid. Rather, it is the manager's responsibility to select only those jobs which are "most" valid. The diversity of maintenance requirements in the worldwide shore establishment makes it impractical to publish a single method for prioritizing all work at all activities. It is, though, a fundamental management responsibility to devise a reasonably objective method for identifying the relative importance of each job. Once done the manager can select those jobs which should be planned and estimated and scheduled for accomplishment. Figure 6-7 is a sample of a matrix method of prioritizing jobs. Others may be able to improve on this concept or even develop an entirely different method which better satisfies the needs of his activity.

b. Maintenance Standards. The need for appropriate standards of maintenance almost goes without saying, yet this is probably the least adhered to element of maintenance control. The general standard for maintenance of Naval Facilities is to maintain only as appropriate to assure facility life and mission support — not to maintain everything in perfect condition. The concept says that all facilities cannot and should not be maintained to the same level — that one does not maintain a warehouse with 5 years remaining life with the same standards as a warehouse with 20 years remaining life; nor does one maintain warehouses to the same level as administration buildings, or hospitals. Fortunately, there are well defined standards available in the NAVFAC Inspection Manuals (MO-322) and in the various other MO Manuals for maintenance (see Appendix C).

c. Level of Maintenance. Each facility at an activity does not contribute equally to the activity mission. By relating the level at which each facility is to be maintained to the support it provides to the activity mission, a greater share of maintenance can be provided to facilities that are vital to the mission. This is accomplished by establishing a Facility Categorization Code (FCC) which assigns a level of maintenance appropriate for various facilities. The assigned Level of Maintenance is not of itself a priority system for specific jobs. Some jobs on Code C facilities may be required ahead of jobs on Code A facilities because of safety requirements, or for protection of government property. A single facility may conceivably have different classifications for various parts. For example, roads or railroads serving an ammunition depot may have some sections vital to the activity mission, while other section may have only limited importance. While multi-classification may be desired when the facilities are extensive, the application of multi-classification to individual facilities should be restricted. Figure 6-8 reflects characteristics that are to be applied to a facility to determine its level of maintenance classification. The activity should so classify each facility in conjunction with the Engineering Evaluation and Preparation of Shore Facility Planning Documents as outlined in Chapter 4. The categorization code for each facility should appear on the appropriate inspection records and each Inspector, Planner and Estimator, and Shop Supervisor should be aware of its use and intent. The head of the Inspection Branch should relate reported deficiencies to the proper level of maintenance desired for the facility; in determining which work to accomplish in the immediate future, which to defer, and which requires no action. The code should be used in work management control to *assist* management in determining priorities for job authorization and accomplishment.

d. Method of Accomplishment. This code indicates the means by which management has decided to have the job accomplished; such as contract, shop forces, military forces. For record keeping purposes a one-letter Method of Accomplishment Code (MAC) should be assigned to each possible method available to an activity for accomplishing work; that is, Contract - C, Shop Forces - S, Military - M, and Production Department - P. A decision to contract a portion of its maintenance workload can place additional management burdens upon the PWD. In the case of service type contracts, janitorial for example, the PWD will normally be required to prepare the contract package and to provide inspection services. It may also become quite involved in administration of the contract. As sound resource management and the Commercial/Industrial Review process (Section 2.7) have increased the volume of work the PWD is obliged to contract, the interest in these contracts, normally referred to as maintenance service contracts or just service contracts, has increased substantially. To provide current guidance for such contracts, CECOS, along with the EFD's, has drafted a Maintenance Service Contract manual. Copies of the manual are available from the School.

e. Source of Funds. Another tool to assist in decision making is the Functional Activity Code. This code will indicate to management the source of funds for work to be accomplished. This knowledge is of value for planning purposes *because it will aid in balancing the shopload with available funds* and in maintaining good customer relations. It is also of value in identifying work when queries are received from a customer concerning the status of a job. A single-digit Functional Activity Code (FAC) should be assigned to customers financed under separate funds, and special funds furnished to the Pubic Works Department, such as housing and Naval hospital work. Each Public Works

JOB PRIORITY MATRIX

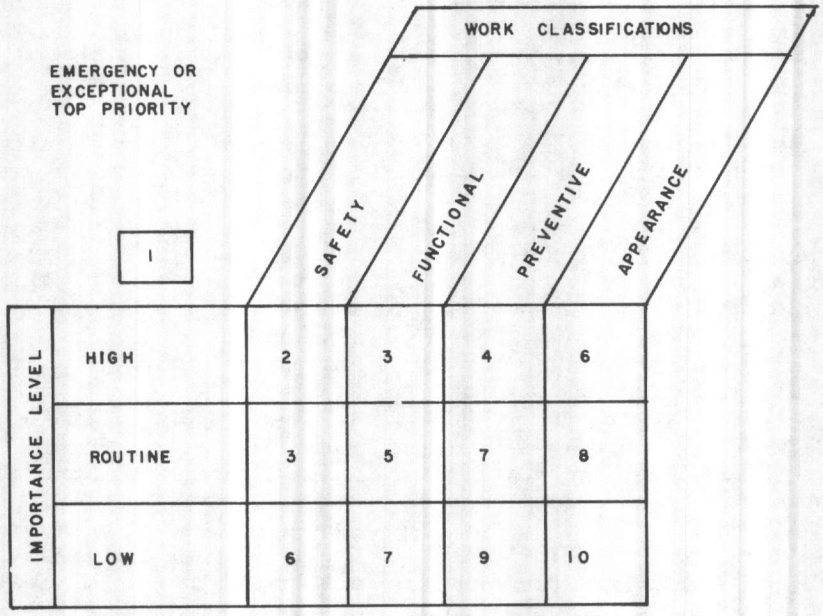


FIGURE 6-7

Department should develop functional activity codes to fit its need.

5. The Job Requirements and Status Chart. At any particular point in time, the number of individually identified items of facilities workload, i.e., for maintenance, repair, minor construction or production support, may be in the hundreds at most activities and in the thousands at large activities.

The Job Requirements and Status Chart, Figure 6-9, provides one form of ready reference for keeping track of all specific and minor jobs that have been established as known requirements. It is a holding device for those jobs being processed, planned and estimated for formalized programming. It is maintained on a continuing basis. The Maintenance Control Director or his designee should review weekly all work placed on this chart and make adjustments as the current situation requires. This chart contains all known specific jobs which, after initial screening for necessity, are required to achieve the proper level of maintenance at an activity, or, are required to support the mission of the activity. All customer financed individual jobs and minor construction, alteration and improvement type work are also included. This chart provides information of proposed planning action so that the status of work not programmed for shop accomplishment may be readily ascertained. In general, all new work is first entered on this chart and remains there until authorized for shop accomplishment, cancelled, or completed by contract. Jobs will remain on this chart in most instances in order to control the preparation planning process even though they may also be listed on the Short- or Long-Range Shop Load Plans. Work of a specific job order size received by the Public Works Department, including maintenance work generated by inspection; the date the work was received; how it will be accomplished; the level of maintenance classification; the customer or source of funds; the estimated cost; and a progressive record of the planned actions on individual jobs is also included on the chart.

C. Planning and Estimating. The last section on work classification presented tools to assist the decision maker (usually the Maintenance Control Director) in deciding what job to undertake and which resources to use in its accomplishment. For those jobs which the manager elects to do, and to do with station forces, a work plan must be prepared. This plan is the result of the Planning and Estimating process. It's objective is to determine the specific commitments of manpower and materials, time, money, and most of all *sequence* of operation required to do the job. To assist the P&E in this function, the Navy has developed "Engineered Performance Standards" (EPS) which take the guesswork out of deciding how long a particular craft phase of a job will take. Your P&Es should be using these standards, since they save his time and usually provide more reliable estimates than individual judgment. When an engineered design is required, the Engineering Division will provide it to the P&E. The P&E also prepares requisition documents for all nonstandard materials required for the job. Detailed Planning and Estimating should not take place until the decision has been made to proceed with a job. Such a decision can usually be made on the basis of a preliminary cost estimate or scoping estimate.

After the job is planned and estimated, it is formalized as a job order by the assignment of a job order number and accounting data. It is now ready to be programmed first into a specific month and then into a specific week for ultimate accomplishment by the Maintenance Division.

1. Scoping Estimate. In many instances, it is advantageous for management to obtain an estimate of job costs before assigning a job priority. The formal planning and estimating process can provide this but only at significant expense. Since a "ballpark" estimate is normally adequate, NAVFAC has emphasized use of the *scoping estimate;* a rough, quick estimate of costs. The scoping estimate is particularly useful when dealing with reimbursable customers. They can be informed of approximate job costs and asked to decide if they wish to proceed with the work. Sometimes they may be asked to fund the work at the scoping estimate figure. The intent is to reduce the cancellation, or "breakage" of jobs which have been processed through the time-consuming and expensive planning and estimating step. NAVFAC P-716, Unit Price Standards, is available to those preparing scoping estimates.

D. Scheduling.

1. Job Order Programming. After the decision has been reached to accomplish a job using station forces, and the job has been planned and estimated it must be programmed into a specific month (Shopload Plan) for accomplishment. This programming effort generally involves balancing workload against shop capabilities and other constraints. Some of the most common constraining factors are illustrated in Figure 6-13 (IV), and described below:

a. Material Availability. Only jobs for which material is available, or with firm delivery dates prior to the planned start, should appear on the current month Shop Load Plan. The costs of demobilizing jobs for which material has run out and remobilizing after material is received are expensive, and represent a direct loss of productive work for which these funds could otherwise have been used. Placing high priority work for which material is not in sight on the plan usually results in

Code	Categorization Characteristic	Level of Maintenance
A	**Continuous Use:** Vital to activity mission	Maintain economically to fulfill facility mission
B	**Scheduled For Replacement/ Repair:** Approved military construction project, urgent minor construction project, or special project	Limited maintenance to allow facility use until replaced or repaired
C	**Inactive or Excess:** Excess to activity's mission requirements	Limited maintenance to assure weather tightness, structural stability, protection from fire or erosion, elimination of safety or health hazard, and to permit reactivation within the period prescribed under mobilization plan

FIGURE 6-8
FACILITIES CATEGORIZATION CODES

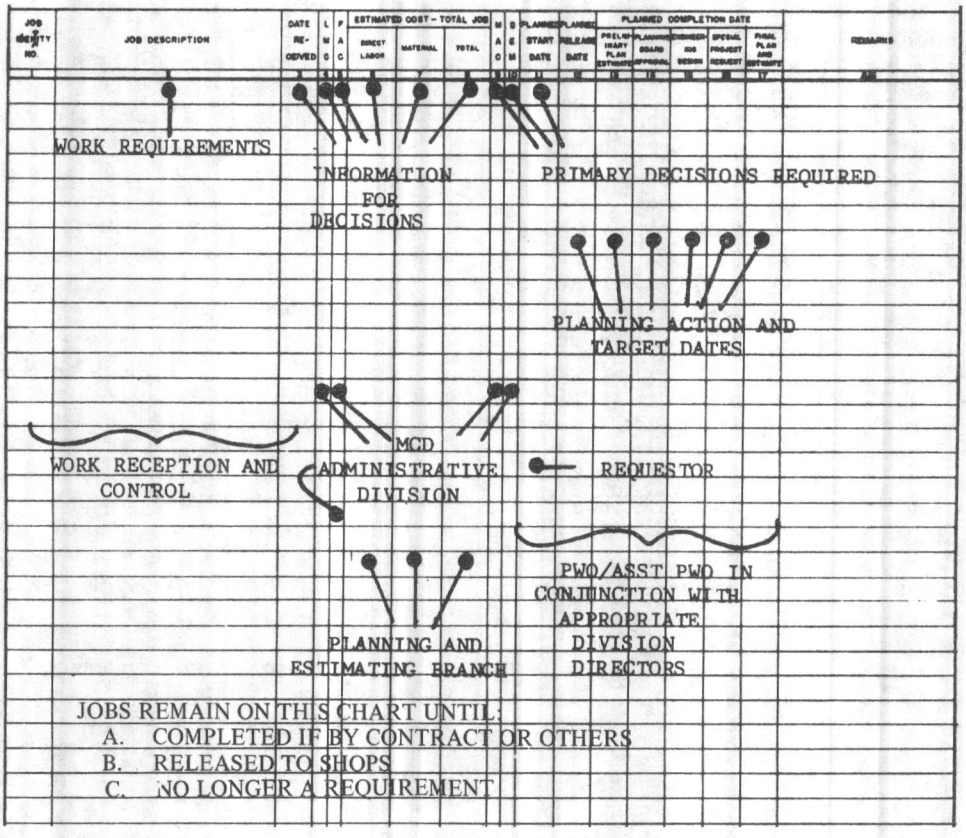


FIGURE 6-9
JOB REQUIREMENTS AND STATUS CHART – SPECIFIC JOBS

reprogramming to a later date anyway. Material availability for all jobs on the current month Shop Load Plan is a prerequisite to a practical plan.

b. Equipment Availability. Equipment availability problems usually concern one-of-a-kind items at a command, such as a thirty-ton mobile crane. Conflicts in requirements for such equipment are usually brought to the attention of management by the programming system early enough for fairly easy resolution.

c. Manpower Availability and Job Phase Sequencing. These two constraints are discussed together because they are so interrelated as to be inseparable. Gross manpower availability for each work center for specific job orders will also be the subject of a subsequent discussion. Preparing a monthly Shop Load Plan is somewhat analoguous to writing checks (programming job orders) against a checking account balance (Manpower Availability) until the balance has been reduced to zero. Rather than a single "account" and a single "cash balance," however, the programmer must deal with separate "accounts" and "balances" for each work center.

d. The Manpower Availability and Work Plan Summaries. Prior to the formulation and adjustment of monthly Shop Load Plans, the job order programmer must know the manhours available for programming within each Work Center. Where customer funds provide significant support to the Public Works Department, he must know how many manhours to allot to each fund source. To determine this information, he develops Manpower Availability Summary and Work Plan Summaries for each month.

Figure 6-10 shows Manpower Availability and Work Plan Summaries. These Summaries are the department's plan for the general utilization (and, by breaking down the Work Plan Summary by fund sources, a payroll support plan) for the Maintenance and/or Utilities Division work force.

2. The Monthly Shop Load Plan. The end product of job order programming within the Maintenance Management System is the Shop Load Plan (Figure 6-11). The Shop Load Plan is Public Works Management's (i.e., the Public Works Officer's plan) for utilization of shop forces on specific job orders for a given month. It provides the Master Scheduler with direction on what jobs to schedule within the month. All levels of management from the Shops Divisions upward participate in its preparation.

The Shop Load Plan is expressed in terms of the commitment of a finite number of manhours for each specific Work Center for each specific job programmed. The Shop Load Plan is usually divided into sections for convenience in balancing shop labor commitments against the various fund sources which support the Public Works labor force. The minimum breakdowns usually shown are (a) jobs supported by Public Works Department funds, i.e., Maintenance Floor Funds, and (b) customer funded jobs, i.e., nonappropriated fund work. These categories are further subdivided into "Work-in-Progress" jobs (carry-overs) and "new" jobs. A Shop Load Plan covers a one month period. If the Public Works Department is to program work beyond one month ahead, a number of Shop Load Plans must be prepared. Groupings of Shop Load Plans have therefore been adopted which provide a Short-Range Workload Plan and a Long-Range Workload Plan.

The Short-Range Workload period has been defined as the current month and the two succeeding months. The Long-Range Workload Period is comprised of the nine months following the Short-Range Period.

The Short-Range Workload Plan consists of three Shop Load Plans: one for the current month and the individual plans for each of the next two months.

The Long-Range Workload Plan may consist of commitments of resources to identified jobs on partially completed Shop Load Plans for each of the nine months involved (very few Public Works Departments are able to make full detailed commitments beyond the Short-Range Period because of highly variable parameters such as material delivery). Some activities utilize a listing with relevant data of jobs to be performed within the Long-Range Period as a Long-Range Workload Plan.

As each month passes, a new Shop Load Plan must be prepared for the new third month within the Short-Range Period and added to the Short-Range Workload Plan. The plans for the current month and following month are already programmed, but usually need updating.

Four times a year, the Short-Range Workload Period corresponds with the Funding Fiscal Quarter. This coincidence affords Public Works Management the opportunity to correlate job order programming with Fund Source Availability.

Before the job can be accomplished, however, it must be scheduled into a specific week and day(s). This step is the "fine tuning" after job programming, and is accomplished by the Master Scheduler, under the supervision of the Maintenance Control Director.

3. Shop Scheduling. Shop Scheduling is illustrated in Figure 6-13 (V), takes place in two phases: Master scheduling of specific job orders on a weekly basis and work center scheduling of

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MON-TO: Never

BRANCH NAME		Building Trades Branch						General Services Branch					Electrical/Metals Trades Branch							Utilities				TOTAL ALL WORK CENTERS	
WORK CENTER AND/OR SHOP CODE		0621	0622	0623	0624	0625	0626	0627	0631	0633	0634	0635	0641	0642	0643	0645	0646	0647	0649	1981	1982	2092	2093		
WORK CENTER AND/OR SHOP NAME		CARP	UPH	PAINT	SIGNS	P & P	SHTML	E/S	LABOR	PEST	GRDS	JANIT	REF	TELE	R&I	MACH	WELD	ELEC	LINE	HTG	W/S	OPER	MNT	MEN OR HOURS	%
NUMBER OF PERSONNEL	CURRENT MONTH ON-BOARD COUNT	22	3	14	2	16	6	18	14	3	12	49	3	6	3	10	10	8	9					208	
	PLANNED ADJUSTMENTS	-2	0	+1	0	0	0	0	+1	0	-2	+1	0	0	0	0	0	0	+1					0	
	AVERAGE AVAILABLE PERSONNEL	20	3	15	2	16	6	18	15	3	10	50	3	6	3	10	10	8	10					208	
AVERAGE AVAILABLE MAN-HOURS →		3520	528	2640	352	2816	1056	2982	2640	528	1760	8800	528	1056	528	1760	1760	1408	1760					36432	
INDIRECT & OVERHEAD MAN-HOURS	REWORK	20				36	15																	71	2%
	SUPERVISION	300	31	160		200	100	200	200	50	180	600		200		200	180	180	180					2961	8%
	SHOP INDIRECT	150	4	10	4	80	8	60	10	9	14	20	16	40	14	50	50	45	60					644	2%
	ALLOWED TIME	25	0	10	4	100	16	30	4	16	8	20	16	16	4	40	40	30	30					409	1%
	GENERAL OFFICE AND CLERICAL	0	0	0																				0	
	LEAVE	600	40	300	20	400	100	450	520	25	380	1200	40	100	96	80	100	120	100					4671	13%
TOTAL PLANNED INDIRECT AND OVERHEAD MAN-HOURS →		1095	75	480	28	816	239	740	734	100	582	1840	72	356	114	370	370	375	370					8756	24%

WORK PLAN SUMMARY - Department Funded

LABOR DESCRIPTION	PLANNED PRODUCTIVE LABOR IN MAN-HOURS																							TOTAL ALL WORK CENTERS	
																								MEN OR HOURS	%
SERVICE WORK	200	150	180	60	100	60	1402	200	32	50		60	40	50	100	120	60	140							
EMERGENCY WORK	70				40		200	50				20	20					40							
DYNAMIC EQUIPMENT INSPECTION SERVICE					240	40						12			150			250							
STANDING JOB ORDERS UNESTIMATED																									
STANDING JOB ORDERS ESTIMATED	200				110	70		480	208	948	5360		430	100			20	196							
MINOR WORK	344	203	247	80	215	107		75	10	25		70	40	36	200	230	128	171							
SPECIFIC JOB ORDERS	681		673	100	655	340		456	30	75		190	110	98	600	660	286	513							
TOTAL PLANNED PRODUCTIVE LABOR IN MAN-HOURS	1495	353	1100	240	1360	617	1602	1261	280	1098	5360	352	640	284	1050	1110	493	1310							
TOTAL PLANNED MAN-HOURS (INDIRECT, OVERHEAD AND PRODUCTIVE LABOR)	2590	428	1580	268	2176	856	2342	1995	380	1690	7200	424	996	398	1420	1480	868	1680							
WORK CENTER AND/OR SHOP CODE	0621	0622	0623	0624	0625	0626	0627	0631	0633	0634	0635	0641	0642	0643	0645	0646	0647	0649	1981	1982	2092	2093			
WORK CENTER AND/OR SHOP NAME	CARP	UPH	PAINT	SIGNS	P & P	SHTML	E/S	LABOR	PEST	GRDS	JANIT	REF	TELE	R&I	MACH	WELD	ELEC	LINE	HTG	W/S	OPER	MNT			

WORK PLAN SUMMARY - Housing (Family) Funded

LABOR DESCRIPTION	PLANNED PRODUCTIVE LABOR IN MAN-HOURS																							TOTAL ALL WORK CENTERS	
																								MEN OR HOURS	%
SERVICE WORK	40				30		400		8								20								
EMERGENCY WORK																									
DYNAMIC EQUIPMENT INSPECTION SERVICE					40										40										
STANDING JOB ORDERS UNESTIMATED																									
STANDING JOB ORDERS ESTIMATED								80	40	100															
MINOR WORK	100		200		80	20		150								10	50	10							
SPECIFIC JOB ORDERS	500		600		250	60		300								40	250	20							
TOTAL PLANNED PRODUCTIVE LABOR IN MAN-HOURS *	640		800		370	80	400	480	48	100					40	50	320	30							
TOTAL PLANNED MAN-HOURS (INDIRECT, OVERHEAD AND PRODUCTIVE LABOR)																									
WORK CENTER AND/OR SHOP CODE	0621	0622	0623	0624	0625	0626	0627	0631	0633	0634	0635	0641	0642	0643	0645	0646	0647	0649	1981	1982	2092	2093			
WORK CENTER AND/OR SHOP NAME	CARP	UPH	PAINT	SIGNS	P & P	SHTML	E/S	LABOR	PEST	GRDS	JANIT	REF	TELE	R&I	MACH	WELD	ELEC	LINE	HTG	W/S	OPER	MNT			

WORK PLAN SUMMARY - Other Customer Funded

LABOR DESCRIPTION	PLANNED PRODUCTIVE LABOR IN MAN-HOURS																							TOTAL ALL WORK CENTERS	
																								MEN OR HOURS	%
SERVICE WORK	40	50		40	40	40	250	50	8			20	10	30	40	20	20								
EMERGENCY WORK																									
DYNAMIC EQUIPMENT INSPECTION SERVICE					20	20						4			60										
STANDING JOB ORDERS UNESTIMATED																									
STANDING JOB ORDERS ESTIMATED					40		40	40	100		1500			50											
MINOR WORK	50	50	50	20	40	20		25				20	10	10	50	72	50	10							
SPECIFIC JOB ORDERS	300		200	24	100	40		100				60	40	40	150	238	150	40							
TOTAL PLANNED PRODUCTIVE LABOR IN MAN-HOURS *	390	100	250	84	240	120	290	215	108	0	1500	104	60	130	300	330	220	50							
TOTAL PLANNED MAN-HOURS (INDIRECT, OVERHEAD AND PRODUCTIVE LABOR)																									
WORK CENTER AND/OR SHOP CODE	0621	0622	0623	0624	0625	0626	0627	0631	0633	0634	0635	0641	0642	0643	0645	0646	0647	0649	1981	1982	2092	2093			
WORK CENTER AND/OR SHOP NAME	CARP	UPH	PAINT	SIGNS	P & P	SHTML	E/S	LABOR	PEST	GRDS	JANIT	REF	TELE	R&I	MACH	WELD	ELEC	LINE	HTG	W/S	OPER	MNT			

WORK PLAN SUMMARY Total All Fund Sources

LABOR DESCRIPTION	PLANNED PRODUCTIVE LABOR IN MAN-HOURS																							TOTAL ALL WORK CENTERS	
																								MEN OR HOURS	%
SERVICE WORK	280	200	180	100	170	100	2052	250	40	50		80	50	80	140	140	100	140						4152	11%
EMERGENCY WORK	70		0		40	0	200	50				20	20					40						440	1%
DYNAMIC EQUIPMENT INSPECTION SERVICE	0		0		300	60						16			250			250						876	2%
STANDING JOB ORDERS UNESTIMATED	0		0																					0	
STANDING JOB ORDERS ESTIMATED	200		0		150	70		600	348	1028	6860		430	150			20	196						10052	28%
MINOR WORK	494	253	497	100	335	147		250	10	25		90	50	46	250	312	228	191						3278	9%
SPECIFIC JOB ORDERS	1481		1473	124	1005	440		756	30	75	100	250	150	138	750	938	685	573						8968	25%
TOTAL MINORS & SPECIFIC JOB ORDERS	1975	253	1980	224	1340	587		1006	40	100	100	340	200	184	1000	1250	913	764						12256	34%
TOTAL PLANNED PRODUCTIVE LABOR IN MAN-HOURS	2425	453	2460	324	2000	817	2252	1806	428	1178	6960	456	700	914	1390	1890	1033	1390						27676	76%
TOTAL PLANNED MAN-HOURS (INDIRECT, OVERHEAD AND PRODUCTIVE LABOR) →	3520	528	2640	352	2816	1056	2982	2640	528	1760	8800	528	1056	528	1760	1760	1408	1760						36432	

* MULTIPLY TOTAL M-H FOR EACH WORK CENTER BY SHOP LABOR RATE (SHOP AVERAGE ACCELERATED COST PER MAN PER HOUR) TO COMPUTE PAYROLL SUPPORT.

FIGURE 6-10
MANPOWER AVAILABILITY SUMMARY (MAINTENANCE DIVISION)

IIND-CBC-5220/28 (REV. 3-65)

PROGRAM PLANNED: Month of Never | PAGE: 1 | OF PAGES:

JOB ORDER NO.	JOB DESCRIPTION	LMC	FAC	PLANNED START DATE	SCHEDULED START DATE	SCHEDULED END DATE	BRANCH WC CODE / WC NAME	0621 CARP	0622 UPH	0623 PAINT	0624 SIGNS	0625 P&P	0626 SHTML	0627 E/S	0631 LABOR	0633 PEST	0634 GRDS	0635 JAN	0641 REF	0642 TELE	0643 R&I	0645 MACH	0646 WELD	0647 ELEC	0649 LINE	1981 HTG	1982 W/S	2092 ORER	2093 MNT	ESTIMATED COST-TOTAL JOB: DIRECT LABOR	MATERIAL	CONTINGENCY	OVERHEAD &/OR SURCHARGE	TOTAL	REMARKS
1	2	3	4	5	6	7	8																							10	11	12	13	14	15
	Public Works Department Funded																																		
	Mh Available For Specific J.O.'s							681	-	673	100	655	340	-	456	30	75	-	190	110	98	600	660	285	513	-	-	-	-						
	Carryover J.O.'s																																		
4797	Repair Roof, Bldg 45	A	1					45				20	20		30									20						1850	1000			2850	Carryover Unprogrammed
	(etc. until Carryovers programmed)																																		
	New Starts.																																		
3940	Repair Fenders, Pier 1	A	1					40							80								20							400	389			789	
5958	Rehab. Cold Storage Room, Messhall, Bldg 98	B	2					40		40			38		20				100					50						670	800			1470	
	(etc. until all avail. mh committed)																																		
Total	Man-hrs Programmed to PWD-Funded Jobs							681	-	673	100	655	340	-	456	30	75	-	190	110	98	600	660	285	513										
	Family Housing Funded Jobs																																		
	Mh Available For Specific J.O.'s							500	-	600	-	250	60	-	300	-	-	-	-	-	-	-	40	250	20										
	Carryover J.O.'s (as appropriate)																																		
	New Starts																																		
8957	Rehabilitate Qtrs. "A"	B	2		4/14	20/14		68		80		20			30									38						387	425			813	
	(etc until all mh. avail. are committed)																																		
Total	Man-hrs Programmed to Family Housing Jobs)							500	-	600	-	250	60	-	300	-	-	-	-	-	-	-	40	250	20										
	Other Customer-Funded Jobs																																		
	Mh Available For Specific J.O.'s							300	-	200	24	100	40	-	100	-	-	-	60	40	40	150	238	150	40										
	Carryover J.O.'s (as appropriate)																																		
	New Starts																																		
9340	Install New Navy Exchange Cases	C	3					20		20														80						878	727			1605	
	(etc. until all avail. mh committed)																																		
Total	Man-hrs Programmed to Cust. Funded Jobs)							300	-	200	24	100	40	-	100	-	-	-	60	40	40	150	238	150	40										

FIGURE 6-11
SHOP LOAD PLAN

FIGURE 6-12
MANPOWER AVAILABILITY SUMMARY (MAINTENANCE DIVISION)

specific and minor work. Master scheduling connects specific jobs to each work center for accomplishment during the following week. Work Center scheduling takes up where master scheduling leaves off; each work center supervisor breaks down the weekly assignments provided by the master scheduler into daily work assignments for the various craftsmen in the shop. In addition to the daily assignments for work on specific job orders, the work center supervisor assigns minor work to the remaining uncommited shop forces.

Shop scheduling is done for all work center manhours after deducting for fixed assignments (Standing Job Orders, PMI, periodic inspection, etc.), leave, holiday, and other indirect or overhead time.

Of the remaining manhours, 75% should be scheduled by the Master Scheduler for larger jobs (Specific Job Orders) which have been carefully planned and estimated. The remaining 25% of Work Center manhours is scheduled by the Work Center Supervisor for smaller jobs (Minor Work Authorizations).

This ratio of specific job orders to minor work authorization provides scheduling flexibility. Occasionally, an urgent job or emergency will crop up after the Master Schedule has been prepared. Additionally, the number of on-board personnel may vary daily. Rather than disrupting work on the carefully planned and cost-estimated major jobs, some of the minor work can be temporarily shelved.

Since adherence to the Master Schedule is essential for economical accomplishment of the major work, each Job Schedule that the master Scheduler prepares is carefully checked by work center supervisors and branch managers; minor adjustments are occasionally made on the job schedule to ensure maximum Work Center efficiency. A Job Schedule must be approved at a weekly meeting (Figure 6-12) before it becomes final. The Work Center Supervisor also works in close contact with the Master Scheduler to keep him informed of actual Work Center manhours constraints or conditions.

These two levels of Shop Scheduling provide for flexibility in scheduling work. Shop Scheduling as a whole provides for the orderly and economic accomplishment of jobs. Further scheduled times, when compared to actual manhours required to accomplish the work, form the basis of management analysis of results.

4. Unfunded Work. The previous paragraphs have addressed the processing of jobs

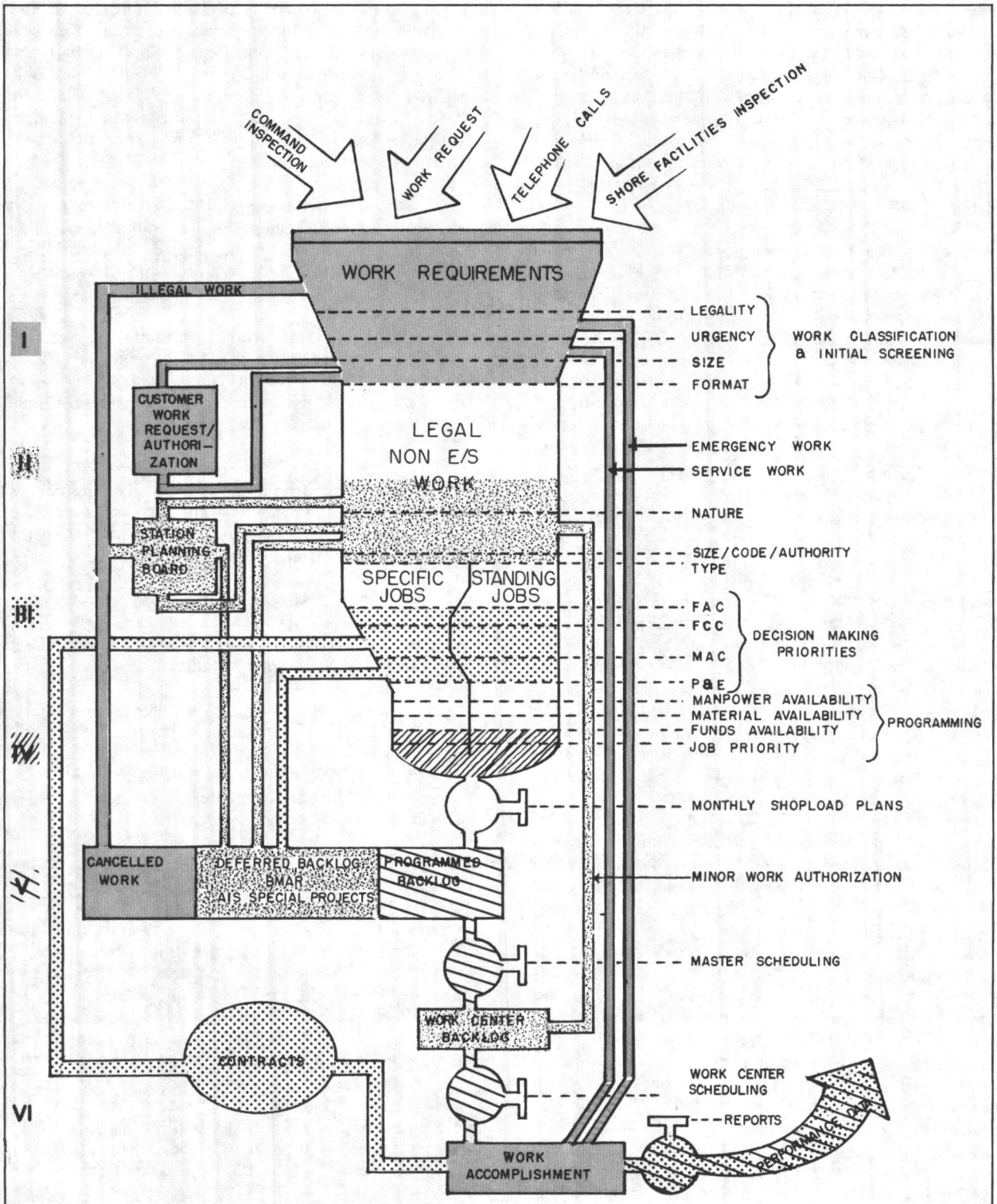

FIGURE 6-13
PUBLIC WORKS "MAINTENANCE HOPPER"

which have been funded. But what of the job which is not of sufficient priority to achieve funding, or is of a scope which exceeds the approval authority of the activity Commanding Officer? All this unfunded *maintenance and repair* work in these categories is held in suspense and reported annually to higher authority on a report entitled the Annual Inspection Summary (AIS). The AIS is very important at the CNO and Major Claimant levels and is discussed in detail at the end of this chapter.

5. Work Performance. (See Figure 6-13 (V)) The fact that the Maintenance Management System focuses primary attention on achieving increased productivity through inspection, planning, estimating, and scheduling does not lessen the need for good supervision and good work performance. In fact, the job site is where the potential for real savings and efficiency lies. Chapter 14 addresses principles of good supervision, incentives, and other principles of "people management." Suffice to say here that your most critical resource is people. How they are supervised will determine how good a job they produce for you, and thereby you for Command.

a. Service Contracts. Economics as well as the CITA program have resulted in an increase in service contracts. In general, these contracts are of great benefit to the PWO. They allow him to apply his limited in-house manpower where it is most necessary. Further, the savings he achieves through contracting allows him to stretch his budget just a little bit further. In many cases, though, the switch from inhouse effort to contract performance has resulted in some problems; therefore, this area requires special management attention. NAVFAC has devoted a great deal of attention to resolving the difficulties unique to this form of contracting. The PWO should work closely with the EFD in this area and take advantage of this effort.

Switching from in-house effort to contract performance can result in lower quality service if the contract is not adequately specified and effectively enforced. It is important, then, to give the work accomplished under service contract the same review and inspection that in-house work or construction contracts are given. Section 2.2.4.F discusses the billets recommended to ensure this objective.

All facility service contracts over $2,500 must be competitively bid and, if under a specified dollar limit, small business regulations apply unless an exception is granted. Further, a commercial/industrial cost study must be conducted prior to contracting if the work is judged a CITA, and it's annual cost is over $100,000. If under $100,000 an abbreviated cost study is allowed.

7. Tips. There is probably more free advice available on the subject of what is wrong with and how you should run your Public Works Department than on any other subject. Most of it is not only negative in nature, but also wrong. Listed below are a few positive, "right" tips on Maintenance Management which have been borne of actual experience in the field.

a. Invest in and use the system — it will let you produce more for the command with the same amount of money and people, minimize flaps, and make cocktail parties more enjoyable for the PWO.

b. Brief your Commanding Officer, Executive Officer and other department heads on the system and its benefits (as well as its apparent disadvantages). If given half a chance, these people will help you.

c. Get out on the job — the best incentive for a craftsman is to know that his boss is interested in what he is doing. This also makes customers feel secure, and provides a chance for you to get away from all the paperwork.

d. Don't preempt the system too much. A zealous PWO can be his own worst enemy by acting as "super scheduler" and requiring instant response to every command desire.

e. Make sure your work receptionist has a golden tongue, and infinite patience.

f. When things get tight use your contract authority to eliminate an excessive backlog of maintenance.

g. Do not exceed the Commanding Officer's authority, increment jobs, bend rules, etc. Realize, however, that the rule book is not carved in stone. It is written to allow some flexibility and even some "creative" interpretation. Your friendly EFD can give seasoned advice on just how creative one can be, and their advice should be sought.

h. Publish what you are doing on a monthly basis in your station newspaper.

i. Equip your emergency/service personnel with department "calling cards" which they can sign and leave in the door when a customer is not at home. (Use Public Works Call Notice, NAVFAC 11014/28(6-73).)

j. Have your work receptionist take 2 hours a week and telephone the status of the 20 oldest customer jobs to the customer " or better, do it yourself.

k. Spend all of your money by the end of the fiscal year. Have lots of contracts for painting, etc., ready to do in June (interior painting in winter).

l. PM your air conditioners in February and your furnaces in July. Apply this concept to other seasonal jobs.

m. Consider replacing lawns with low maintenance ground cover, shrubs, etc.

n. Utilize utility-back pickup trucks with two-way radios for your emergency/service calls.

o. Don't manufacture signs or parts for machinery or furniture in your shops if you can help it. Its more expensive, regardless of what they tell you.

p. Don't reorganize until you understand the organizational relationships that exist.

q. Don't organize around people.

r. Always give a customer a realistic completion date, plus two weeks. If you finish on time he will be that much happier.

s. Train P&Es to inspect and inspectors to perform P&E work.

t. Always remember, and instill in your maintenance organization an understanding that it exists to serve the command and for no other reason.

u. Brief your entire department on the financial status of Public Works once a quarter — use the same time to field questions.

v. Always advise a customer of a start date at least a week in advance so that he can make the site available.

w. In housing — *always* advise tenants well in advance of planned maintenance actions. Don't ignore this tip!

x. Consider doing service calls in the evening or at night. This will provide for less customer interference and will eliminate overtime for emergencies.

y. Hold a department party on "company time" twice a year. Make sure to clear it with the Commanding Officer.

z. Be sure your Annual Inspection Summary is complete, accurate and doesn't include any "soft" (i.e., unsupportable) projects.

F. Maintenance Management Reports

1. General. The primary source document for performance reports is the time card, on which is logged the amount of time each workman has spent on a particular job, and a particular labor class code. Other source documents include the material stub requisition, and the P&E estimates for time, materials, and costs. The reports utilized in the Maintenance Management System are designed to highlight specific areas in which the system is not working properly. One type focuses on the utilization of shop labor within the maintenance and utilities division, and permits you to acutally put an index on productive effort. The other focuses on individual job accomplishment by comparing estimated and actual times and costs for performance. This permits critical evaluation of your P&E effort, and on-the-job supervision — these, along with the standard cost report are illustrated and explained in Part 3. Other reports affecting Maintenance Management have been covered elsewhere as follows:

	Chapter
The Budget	13
Special Project Submissions	5
Long Range Maintenance Plan for Family Housing	9
Shopload Plan	6
Master and Work Center Schedules	6
Manpower Availability and Work Plan Summaries	6
Job Requirements and Status Chart	6
Job Order	6,13
Work Request	6

These reports give the Public Works Manager an opportunity to grade the performance of his maintenance management system. As noted earlier, each PWD is unique, and its problems are therefore different than others. It is, then, the responsibility of management to identify and make use of those reports which highlight shortcomings in the system. The next several pages review several of the reports which should be available at the typical activity.

2. Tabulated Report A, Feeder Report for the Maintenance and Utilities Control Report (Optional for small activities).

a. Instructions/References. NAVFAC MO-321, Chapter D; NAVCOMPT Manual, Volume III, Chapter 7.

b. Prepared by: Comptroller.

c. Frequency. Monthly, due 10 days after last day of the period.

PUBLIC WORKS DEPARTMENT TABULATED REPORT A - FEEDER FOR MAINTENANCE/UTILITIES DIVISIONS LABOR CONTROL REPORT

Work Center	Labor Class Code	Actual Labor Hours-Month	Actual Labor Hours-Fiscal Year-To-Date
11	01	74.9	638.2
	02	33.4	397.7
	03	115.0	1438.9
	04	59.6	752.6
	05	218.7	1988.0
	06	175.3	1942.5
	07	788.2	8964.4
		1465.1	16122.3
	40	5.5	51.2
	41	152.0	1820.0
	42	89.6	752.1
	43	50.0	531.0
	44		
	45	178.0	1962.0
		483.1	5116.3
		1948.2	21238.0
12	01	79.0	831.2
	02	16.0	194.6
	03	81.0	754.2
	04		215.6
	05	495.0	5318.1
	06	51.6	436.2
	07	115.0	1630.2
		837.6	9380.1
	40		31.2
	41	120.0	1432.0
	42	94.6	756.0
	43	45.0	421.8
	44		
	45	129.0	1536.0
		388.6	4177.0
		1226.2	13557.1
Branch (A) Summary	01	153.9	1469.4
	02	49.4	592.3
	03	196.0	2193.1
	04	59.6	968.2
	05	713.7	7306.1
	06	226.9	2378.7
	07	903.2	10594.6
		2302.7	25502.4
	40	5.5	82.4
	41	272.0	3252.0
	42	184.2	1508.1
	43	103.0	952.8
	44		
	45	307.0	3498.0
		871.7	9293.3
		3174.4	34795.1
Maintenance Division Summary	01	369.0	3241.0
	02	218.6	2002.1
	03	591.0	5634.0
	04	421.0	4437.2
	05	2431.6	25333.2
	06	1896.4	2070.4
	07	6945.2	73931.6
		12875.8	11664.9
	40	27.8	115.2
	41	621.5	7211.4
	42	231.2	1974.8
	43	189.6	1438.0
	44	160.0	1537.0
	45	1452.0	18536.2
		2685.1	30812.6
		15560.9	147462.1
Utilities Division Summary	01	79.0	833.2
	02	30.2	311.7
	03	104.6	1312.2
	04	29.8	347.2
	45	738.0	9334.0
		1279.3	13321.8
		7341.8	67519.2

FIGURE 6-14
TABULATED REPORT A, FEEDER REPORT FOR LABOR CONTROL REPORT

LABOR CLASS CODES	DESCRIPTION
01	**Service Work** - All productive non-emergency work performed under emergency/service work authorization, which is 16 manhours or less.
02	**Emergency Work** - All labor required to correct or repair a condition caused by a breakdown or an emergency including all labor subsequently authorized on a Minor Work Authorization or Specific Job Orders as well as that portion authorized by an Emergency/Service Work Authorization.
03	**Preventive Maintenance Inspection (PMI)** - All labor expended by semi-skilled and skilled tradesmen while performing preventive maintenance inspection and service.
04	**Standing Job Orders - Not Estimated** - All productive labor that is authorized on a standing job order which has not been estimated.
05	**Standing Job Orders - Estimated** - All productive labor that is authorized on a standing job order which has been planned, estimated, and scheduled.
06	**Minor Work Authorization** - All productive labor authorized on a minor work authorization.
07	**Specific Job Orders** - All productive labor authorized on a specific job order.
40	**Rework** - All labor used in the correction of faulty work on the part of the Public Works Department, regardless of the code previously applied.
41	**Supervision** - All supervisory personnel, and that part of a leader's time spent on supervision.
42	**Shops Indirect** - Semi-skilled and skilled craftsmen not directly chargeable to productive work which includes the schedulers and shop planners; also, labor spent in *maintenance and repair of shop equipment and power tools;* also, time expended by non-graded Public Works personnel on material handling when such labor is not chargeable directly to a job. Labor expended by shops personnel in *cleaning up their work area,* excluding work of the regular janitorial force.
43	**Allowed Time** - All non-productive time expended on official business; waiting for material, tools, parts, equipment, transportation, etc.; administrative leave, excused tardiness and time loss because of inclement weather; time spent awaiting work assignment.
44	**General Office and Clerical** - Graded personnel who are on the roster of the Maintenance or Utilities Divisions but not those graded personnel assigned to the Maintenance or Utilities Divisions who are on the roster of the Administrative Division.
45	**Leave** - All approved absences for sick, annual, and military leave, holiday pay, terminal leave, jury duty and all other leave for which pay is received.

FIGURE 6-15
SUMMARY OF MAINTENANCE AND UTILITIES DIVISIONS LABOR CLASS CODES

d. Reviewed by (Distribution). Local. Maintenance Division Director, Utilities Division Director, Maintenance Control Division Director, Administration Division (Management Analysis Branch).

e. Source Data. Labor Job Time Card.

f. Information Displayed. For each work center; actual labor hours expended by labor class code (Figure 6-15) for the report month and fiscal year to date. Summaries for branches and divisions.

g. Purpose. Provides basic feeder data to the Maintenance/Utilities Labor Control Report (NAVFAC 9-11014/29/6-67). Can be used in preparation of manpower availability summary.

h. Analysis of. Used as detail for pinpointing and analyzing variances on labor control report; of no real analytical value of itself.

3. Tabulated Report B, Completed Job Orders.

a. Instructions/References. NAVFAC MO-321, Chapter 10; NAVCOMPT Manual, Volume III, Chapter 7.

b. Prepared by. Comptroller.

c. Frequency. Usually bi-weekly, with summary information added to the monthly edition.

d. Reviewed by (Distribution). Director, Maintenance Division, Director, Utilities Division.

PUBLIC WORKS DEPARTMENT TABULATED REPORT B - COMPLETED JOB ORDERS

Trade Branch or Work Center	Job Order Number	Estimated Hours	Actual Hours	Estimated Labor Cost	Actual Labor Cost	Estimated Material Cost	Actual Material Cost	Estimated Total Cost	Actual Total Cost	Variation Total Cost
12	7212010	7	8.5	16	18.45	5	5.05	21	23.50	**2.50**
24	7212010	32	39.8	67	82.72	21	20.15	88	102.87	**16.57**
33	7212010	16	14.9	32	30.15	12	11.15	44	41.30	**2.70**
41	7212010	8	8.0	13	12.96			13	12.96	**.04**
		63	71.2	128	144.28	38	36.35	166	180.63	**17.93**
14	7242032	252	252.0	529	529.20	346	351.27	875	880.47	**5.47**
23	7242032	48	52.3	100	108.26	30	27.12	130	135.38	**11.14**
32	7242032	12	12.1	25	25.25	4	3.65	29	28.90	**.60**
42	7242032	188	188.3	305	305.09	7	30.83	312	335.92	**23.92**
		500	504.7	959	967.80	387	412.87	1346	1380.67	**34.67**
13	7272036	24	22.0	50	45.76	23	21.05	73	66.81	**6.19**
14	7272036	24	27.7	48	56.28	14	13.85	62	70.13	**8.43**
51	7272036	16	17.1	33	35.19	10	9.16	43	44.35	**3.03**
		64	66.8	131	137.23	47	44.06	175	181.29	**9.17**
12	7272062	265	283.5	548	586.85	187	172.25	735	759.10	**53.60**
33	7272062	79	74.3	161	150.75	65	59.95	226	210.70	**15.30**
41	7272062	61	110.1	125	225.72	30	49.33	155	275.05	**120.05**
		405	467.9	834	963.32	282	281.53	1116	1244.85	**129.79**
10	TRADE BRANCH A	780	758.2	1870	1819.68	1045	1078.73	2915	2898.41	**84.05**
20	TRADE BRANCH B	1650	1631.7	4290	4242.42	2580	2231.95	6870	6474.37	**395.63**
30	TRADE BRANCH C	1324	1280.0	3310	3200.00	1895	2017.51	5205	5217.51	**232.51**
40	TRADE BRANCH D	942	959.6	1885	1918.00	950	943.75	2835	2861.75	**39.25**
50	TRADE BRANCH E	631	652.0	1580	1630.00	870	891.15	2450	2521.15	**71.15**
	MAINT. DIV. SUMMARY	4696	4628.9	11355	11180.10	6470	6271.94	17825	17452.04	**372.96**
	UTIL. DIV. SUMMARY	631	652.0	1580	1630.00	870	891.15	2456	2521.15	**71.15**

NOTE: "cents" and decimal hours may be eliminated, if desired.

FIGURE 6-16
TABULATED REPORT B, COMPLETED JOB ORDERS

e. Source Data. Estimated job orders, labor job time cards, "stub" requisitions.

f. Information Displayed and Sort. Report compares actual and estimated labor hours, labor costs, and material costs, broken down by the work centers involved for each completed or cancelled job order. The monthly version also shows summaries for all completed job orders for each branch, the Maintenance Division, and the Utilities Division. The report separates EPS jobs from non-EPS jobs for statistical purposes.

g. Purpose. This report is designed to evaluate both planning and estimating and/or job execution by highlighting significant variances between estimates and actual costs for specific job orders. It is also used to highlight total job order variances which require specific follow-up action (variance report), and chronic variances attributable to a specific branch.

4. Report on Variations on Completed Job Orders.

a. Variations. An Analysis should be prepared on Form NAVFAC 11014/30 (6-67), Variances on Completed Job Orders, Figure 6-19, when the variances on Tabulated Report B meet the following criteria:

(1) On jobs totaling less than $1,000, a job variance of $100 or more should be investigated. Only that portion of the work accomplished by the Work Center(s) having a variance will be investigated.

(2) On jobs totaling more than $1,000 and less than $10,000, a job variance of 10% should be investigated. Only that portion of the work accomplished by the Work Center(s) having a variance of 10% and more than $100 will be investigated.

(3) On jobs totaling more than $10,000, a job variance of 5% should be investigated. Only that portion of the work accomplished by the Work Center(s) having a

NAVFAC 9-11014/30 (6-67)
Supersedes NAVDOCKS 2371

REPORT ON VARIATIONS ON COMPLETED JOB ORDERS

For Instructions on use of Form see NAVFAC P-321

DATE: 14 AUG. 1967

JOB ORDER NO.	BRIEF DESCRIPTION OF JOB	ESTIMATE LABOR (MH)	ESTIMATE MAT'L ($)	ACTUAL LABOR (MH)	ACTUAL MAT'L ($)	REASON FOR VARIATION AND ACTION TAKEN (If more space is needed use supplemental sheets)
1	2	3	4	5	6	7
7241875	Repair Bldg. #14	1000	1000	1200	1100	
	WC 02 Carpenter Shop	250	250	300	400	Change in scope of job. Failed to request amendment. When old siding was removed evidence of termite infestation necessitated the removal of 250 sq. ft. of sheathing and studs instead of only replacement of 62 sq. ft. of sheathing

FIGURE 6-17
REPORT ON VARIATIONS ON COMPLETED JOB ORDERS (NAVFAC Form 9-11014/30)

variance of 5% and more than $100 will be investigated.

b. Analysis. The analysis is to be used as a basis for conducting investigations to determine causes of significant variations between manhour, labor and material cost estimates and actual manhours, labor and material costs incurred and taking necessary corrective action. If on investigation, it appears that a variance was caused by change in scope of job — check closer. It may be that the cause was poor planning or poor job description on the part of the Planners and Estimators. Conversely, check occasionally to be sure that "amendments" are not being issued to make reports "look good" — and cover up poor planning. If it appears that the variance (below estimate) was caused by loose estimating, check further. Maybe the estimate was good, but the shop has come up with an improved method. Then again, maybe the "good" performance was achieved by changes on the job, i.e., two coats of paint specified, but only one coat applied. Of course, if the variance is caused by poor planning or estimating, the Director of the Maintenance Control Division should take action, — closer supervision, additional training, etc. A variance (above estimate) may be caused by poor shop performance or a poorly qualified Planner and Estimator. The facts must be rooted out and corrective aciton taken accordingly. See Procedure Chart 9 (NAVFAC MO-321) for procedure, distribution, and disposition.

5. Maintenance/Utilities Labor Control Report.

a. Instructions/References. NAVFAC MO-321, Chapter 10; NAVCOMPT Manual, Volume III, Chapter 7.

b. Prepared by. Public Works Administration Division.

c. Frequency. Monthly — 5 days after receipt of "TAB A" report from Comptroller.

d. Reviewed by: Trade Branches, Maintenance and Utilities Division Directors, Administrative (Management Analysis), Director of Maintenance Control, Shops Engineer, APWO/PWO.

e. Source Data. "TAB A" Report, Manpower Availability Summary.

f. Information Displayed and Sort. Reports displays and compares actual labor expended by labor class code for each trade branch with planned manhour expenditure for that branch for the month and year to date. Also summaries for Maintenance and Utilities Divisions.

g. Purpose. The report measures productive and overhead effort of each trade branch in manhours and compares it with that same branches plan for labor use, as well as with acceptable percentages of distribution for each labor class code. A concise coverage of analyses of the report is presented on page 10-9 and 10-10 of NAVFAC MO-321. An important point which is made is that the "acceptable range" column should be used judiciously, since local standards and trends having more meaning. See Procedure Chart 10 (Appendix B, NAVFAC MO-321) for procedures or reporting of labor.

MAINTENANCE/UTILITIES LABOR CONTROL REPORT
NAVFAC 9-11014/29 (6-67)
Supersedes NAVDOCKS 2724

FOR INSTRUCTIONS ON USE OF FORM SEE NAVFAC MO-321

1. ACTIVITY: U.S. NAVAL STATION, ANYWHERE

2. ☒ MAINTENANCE DIVISION ☐ UTILITIES DIVISION
☒ SUMMARY REPORT ☐ BRANCH REPORT

4. TOTAL PERSONNEL: 328

5. PERIOD (From-To): 1-30 April 1966

6 LINE ITEM	7 LABOR CLASS CODE	8 CONTROL ELEMENT	9. CURRENT MONTH MAN-HOURS a PLANNED	b ACTUAL	c VARIANCE	10. YEAR-TO-DATE MAN-HOURS a PLANNED	b ACTUAL	c VARIANCE	d % DIST.	11 ACCEPTABLE RANGE
1	40	REWORK	0	0	0	0	0	0	0	0.3-0.6%
2	41	SUPERVISION	2350	2094	-256	26590	23470	-3120	4.5	6-7.6%
3	42	SHOP INDIRECT	1600	1532	-68	16750	16671	-79	3.2	5-6%
4	43	ALLOWED TIME	1810	1303	-507	18586	16575	-2010	3.2	2-3%
5	44	GENERAL OFFICE & CLERICAL	704	671	-33	8244	7605	-639	1.5	1.5-2.5%
6	45	LEAVE	10640	10555	-85	68755	66923	-1832	12.9	14-18%
7										
8										
9		TOTAL INDIRECT AND OVERHEAD MAN-HOURS	17104	16155	-949	138924	131244	-7680	25.3	28-32%
10	01	SERVICE	6700	5937	-763	67990	62718	-5272	12.1	6-9%
11	02	EMERGENCY WORK	2900	2495	-405	30395	29157	-1238	5.6	1.5-2.5%
12	03	DYNAMIC EQUIPMENT INSPECTION EQUIPMENT	106	157	51	4110	3866	-244	0.7	1.5-3%
13	04	STANDING JOB ORDERS NOT ESTIMATED	2885	3110	225	37410	32402	-5008	6.2	
14	05	STANDING JOB ORDERS ESTIMATED	3500	3917	417	46750	41129	-5621	7.9	
15	06	MINOR WORK	5988	4649	-1339	66294	52995	-13299	10.2	
16	07	SPECIFIC JOB ORDERS	18551	14533	-4018	207693	165394	-42299	31.9	
17										
18										
19		TOTAL PRODUCTIVE MAN-HOURS	40624	34798	-5826	460642	387661	72981	74.1	68-72%
20		GRAND TOTAL MAN-HOURS	57728	50953	-6775	599566	518905	-80661		
21		PRODUCTIVE EFFORT (Line 19/Line 20)	70.4 %	68.3 %		76.8 %	74.7 %			68-72%
22		LABOR PERFORMANCE - EPS[1]		96 %			103 %			95-105%
23		LABOR PERFORMANCE - NON-EPS[2]		108 %			101 %			95-105%
24		PRODUCTIVE MAN-HOUR CONTROL (Line 12 + 14 + 15 + 16 / Line 19)	69.3 %	66.8 %		70.5 %	67.9 %			80-85%

28139 23256 324841 263384

1/ LINE 22: EPS (EST. HRS. / ACT. HRS.) FOR SPECIFIC JOB ORDER

2/ LINE 23: NON-EPS (EST. HRS. / ACT. HRS.) FOR SPECIFIC JOB ORDERS

FIGURE 6-18
MAINTENANCE UTILITIES LABOR CONTROL REPORT (NAVFAC Form 9-11014/29)

6. Maintenance Cost Report (Operating Budget/Expense Report, NAVCOMPT Form 2168 format).

a. Instructions/References. NAVEXOS P-3006 and NAVCOMPT Manual, Volumes 2 and 3.

b. Prepared by. Authorized Accounting Activity (Supply, Fiscal, or Comptroller) for all Navy Activities/Commands funded with other than 17-1804, 17-97-0700 and those appropriations administered by the Commandant of the Marine Corps. Applicable appropriations are 17X1319 RD7E, 17X4912 NIF and operating budget for modified industrial activities.

c. Reviewed by. NAVFACENGCOM HQ, EFD, Major Claimant, Commanding Officer, Comptroller, PWO.

d. Source Data. All cost data for facilities maintenance accumulated at the pertinent cost account or functional account level and assorted into cost categories.

e. Information Displayed and Sort. Total cumulative costs for maintenance by each cost category of the activity. Report shows all costs (labor, material, contractual, statistical) either funded, or unfunded.

f. Purpose. This is a report for higher authority. From it, claimants and NAVFAC can develop meaningful Navy-wide and total cost data to use as a basis for budgeting.

g. Management Analysis. Check for overall accuracy and compare costs with prior years. Report should reflect changes in maintenance emphasis for various categories of facility. Primarily utilized at the EFD to compare unit costs and to evaluate budget submissions. The accuracy of the data, therefore is dependent upon the accuracy of the inventory quantities reported.

NAVCOMPT FORM 2168 (REV. 3-68) (7000)
S/N-0104-706-0081

OPERATING BUDGET/EXPENSE REPORT
MAINTENANCE COST REPORT

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
N. S., ANYWHERE		☐ DETAIL ☐ UPDATED PLAN	☐ DETAIL ☐ SUMMARY	

BUDGET FOR	BUDGET GRANTOR	APPROPRIATION DATA	COST CENTER	REPORTING FISCAL OFFICER (*Signature, rank and date of submission*)

FUNC/ SUB-FUNC. CAT.	COST ACCOUNT	DESCRIPTION	WORK UNITS	MAN-HOURS		CUMULATIVE EXPENSES					
				MILITARY	CIVILIAN	MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
M		MAINTENANCE REAL PROPERTY									
	7110	MINOR CONSTRUCTION	---								
	7160	ADMINISTRATION BLDGS.	KSF								
	71JO	COMMUNITY BLDG.	KSF								
	71KB	OTHER BUILDINGS	KSF								
	7260	OTHER WATERFRONT BLDGS. & FAC,	CPV								
	7310	ROADS AND STREETS	SY								
	7410	IMPROVED GROUNDS	AC								
	7430	SEMI-IMPROVED GROUNDS	AC								
	7520	FUELING FACILITIES	CPV								
	921B	CUSTODIAL SERVICE IN-HOUSE	SF								
	9220	INSECT AND RODENT CONTROL	MSF								
	9230	REFUSE AND GARBAGE DISPOSAL	CY								
	9280	DYNAMIC EQUIPMENT INSPECTION/ SERVICE	---								

FIGURE 6-19
MAINTENANCE COST REPORT
(Operating Budget/Expense Report)

7. Type A Annual Inspection Summary (AIS).

a. Instruction. OPNAVINST 11010.34 series.

b. Prepared by. Maintenance Control Division.

c. Frequency. Annual — except for Naval Reserve activities and Navy owned, contractor operated facilities used for research and development (see OPNAVINST 11010.34), activity reports, as of 30 September, are due to major claimants by 15 October. Major claimant reports are due in CNO (OP-44) no later than 1 December each year.

d. Reviewed by. Major claimant and CNO (OP-44).

e. Source Data. Maintenance and Repair Backlog (Suspense File). Information is generated by the Shore Facilities Inspection System (Inspectors Reports). Report is a summary of facility discrepancies identified and validated by an inspection report which will not be corrected as of the end of the Fiscal Year.

f. Information Displayed and Sort. The total Maintenance and Repair Backlog, as of the end of the fiscal year, is shown on the AIS as well as data concerning number of inspections. Sample reports are provided by Figs. 6-20 a,b,c, and d. Note that information is presented in the following format:

(1) All deficiencies must be grouped by Investment Category (IC). These are the same ICs used to group MCON requirements as discussed in Chapter 4. IC1, for example, is aviation operational facilities and includes runways, taxiways, and parking aprons, hangars, etc. By gouping facilities in this fashion the "advocate" for facility matters on the CNO staff (OP-44) is able to explain MRP deficiencies in increments that the operational Navy can relate to.

(2) Deficiencies are also grouped by Deficiency Codes. Deficiency Code 1 (DC1) indicates those maintenance and repair actions which have an estimated dollar value within the funding authority of the station's commanding officer. Deficiency Code 2 (DC2) indicates MRP actions whose dollar value exceeds the funding authority of the commanding officer. See Facilities Project Manual, OPNAVINST 11010.20 series for more detail.

(3) Deficiencies must also be evaluated to determine their importance. Those which have an adverse impact on the mission capability of the claimant's commands or those which have severe economic consequence if not corrected in the coming year are to be classified as items of NMAR (Non-deferable Maintenance and Repair) and should be indicated as such on any AIS submittal OPNAVINST 11010.34 (Series) should be reviewed to obtain current criteria for NMAR designation. Other less important, though legitimate discrepancies should also be submitted, but not as items of NMAR.

(4) As annually directed by the CNO, AIS submittals must be accompanied by a written assessment from major claimants outlining the consequences of the NMAR discrepancies, if not corrected in the coming year. These assessments are individually prepared for each investment category.

To date, OP-44 has been quite successful in using the information provided by the AIS to achieve an enhanced level of funding for MRP. A review of Figure 6-21 shows the plunge in "constant dollar" funding for MRP in the years between FY67 and FY76. Since then the trend is clearly upward. At projected funding levels, most NMAR should be corrected during the 1980s. Current emphasis is upon correction of large NMAR items via the Special Project process.

g. Purpose. To provide statements of facilities conditions to higher authority in order to assist claimant in allocating resources. To provide data to the CNO and the Office of the Secretary of Defense on the backlog of maintenance and repair work. This is the source of backup data for budget and special project requests. In recent years the importance of the Annual Inspection Summary has increased considerably. It is now the basic document used by the Major Claimant to identify his facility maintenance and repair requirements and to allocate resources to them. This makes it imperative that the document be accurate — that it have credibility. Without this, the claimant will be unable to rationally assess his Maintenance of Real Property (MRP) needs vis-a-vis his other funding responsibilities.

In addition, the CNO uses the AIS as the MRP input to his long range resource allocation planning process which ultimately results in the Five Year Defense Plan (FYDP). The FYDP then serves as the basis for annual budget allocation to activities.

To date, OP-44 has been quite successful in using the information provided by the AIS to achieve an enhanced level of funding for MRP. A review of Figure 6-2 shows the plunge in "constant dollar" funding for MRP in the years between FY67 and FY76. Since then the trend is clearly upward. At projected funding levels, most NMAR should be corrected during the 1980s. Current emphasis is upon correction of large NMAR items via the Special Project process.

A final point. The success of this recent initiative is primarily based upon the assumption of a valid AIS and NMAR. Should these prove faulty, or "puffed up" in any way the entire program will lose credibility. Should this occur, severe funding reductions would be a logical next step. Its important, then, for the PWO to ensure his AIS is prepared not only promptly and correctly, but is also valid; listing only legitimate discrepancies and reasonable cost figures.

h. Analysis. Conditions of facilities compared by higher authority — reconcile with budget plans to ensure that priorities for maintenance expenditures align with reported backlogs by Investment Category.

i. Not Required for Family Housing.

TYPE "A" ANNUAL INSPECTION SUMMARY – TRANSMITTAL
OPNAV 11010/7 (2-80) S/N 0107 LF 110 1036 (Replaces OPNAV 11010/3 which is obsolete) REPORT SYMBOL OPNAV 11010-9

1. FROM	2. UIC	3. PERIOD ENDING	4. POINT OF CONTACT	5. AUTOVON NUMBER:
NAS GORDONSVILLE	07501	30 SEP 19 80	Mr. Jones	376-1234

6. TO	7. VIA	8. COPY OR COPIES TO
CINCUSNAV	N/A	LANTNAVFACENGCOM NAVFACENGCOM (1003)

STATEMENT BY COMMANDING OFFICER OR OFFICER-IN-CHARGE

All inspected real property is in satisfactory condition with the exception of the maintenance and repair deficiencies listed on OPNAV 11010/8. I judge those deficiencies designated nondeferable in nature to meet the NMAR criteria defined in OPNAVINST 11010.34 (current).

9. SIGNATURE OF COMMANDING OFFICER OR OFFICER IN-CHARGE	10. DATE SIGNED
J. C. Smith	10/6/80

11. INSPECTED BY *(enter in space below)*

Activity Public Works Department

ENTER THE APPROPRIATE FIGURES IN ITEMS 12-14 BELOW

12. 750 = NUMBER OF INSPECTIONS RECOMMENDED FOR COMPLETION BY NAVFAC MO-322

13. 763 = NUMBER OF INSPECTIONS PERFORMED

14. 101.7% = PERCENTAGE (13 ÷ 12) x 100) = %

FIGURE 6-20a
ACTIVITY AIS TRANSMITTAL SHEET

TYPE "A" ANNUAL INSPECTION SUMMARY–MAINTENANCE AND REPAIR OF REAL PROPERTY DEFICIENCY LIST
OPNAV 11010 8 (2 80) S/N 0107 LF 110 1040 (Replaces OPNAV 11010/4 which is obsolete)

REPORT SYMBOL OPNAV 11010-8 | 3. SHEET 01 of 20

1. ACTIVITY (Name, Location, Zip Code)

NAS GORDONSVILLE
Gordonsville, NC 22715

2. POINT OF CONTACT

NAME: Mr. Jones | AUTOVON NO.: 376-1234

4. UIC: 7501

10/1/80

5. DEF. ITEM NO.	DEFICIENCY DESCRIPTION	FACILITY DATA 7. FAC. NO.	8. CAT. CODE	9. COST ACC	10. IC	11. TS	DEF DATA 12. DC	13. DT	14. CURRENT COST ESTIMATE	15. PROJECT NUMBER	16. MAJOR CLAIMANT USE
6-10	(26 COMPUTER SPACES)	11-17	18-22	23-26	27-28	29	30	31	32-40	41-47	48-80
00001	Maintenance built-up Roof	101	21137	7100	06	K	1	D	525		
00002	Repair Roof	175	73010	7100	16	A	1	N	16,750		
00003	Repair A/C Plant	176	82640	7600	17	K	2	N	35,000	P1-79	
00004	Repair Road Shoulders - Area A		85110	7310	18	K	1	D	1,750		
00005	Repairs to Warehouse Roof	217	44110	7140	12	K	1	D	12,000		

FIGURE 6-20b
ACTIVITY AIS DEFICIENCY LIST

TYPE "A" ANNUAL INSPECTION SUMMARY—COST ACCOUNT SUMMARY
OPNAV 11010/9 (2 80) S/N 0107-LF-110-1045

(Replaces OPNAV 11010/5 which is obsolete)

REPORT SYMBOL
OPNAV 11010-9

1. MAJOR CLAIMANT/ACTIVITY

NAS GORDONSVILLE

2. FUND SOURCE

NIF (4912)

3. SHEET

01 OF 05

10/1/80

4. IC	5. COST ACC	6. COST ACCOUNT DESCRIPTION	NON-DEFERABLE 7. DEFICIENCY CODE 1	NON-DEFERABLE 8. DEFICIENCY CODE 2	DEFERABLE 9. DEFICIENCY CODE 1	DEFERABLE 10. DEFICIENCY CODE 2	TOTAL AIS 11. DEFICIENCY CODE 1	TOTAL AIS 12. DEFICIENCY CODE 2
	4-7	(26 SPACES)	8-16	17-25	26-34	35-43	44-52	53-61
01	71L0	Airfield Tower & Terminal Bldg	21	315	35	117	56	432
01	7320	Runways	175	419	37	275	212	604
01	75T0	Navigation Aids	-	-	31	-	31	-
ST01			196	734	103	392	299	1126
04	7520	Liquid Fuel Dispensing	-	70		-	-	70
ST04			-	70	-	-	-	70
18	7310	Roads and Streets	72	175	275	80	347	255
18	7450	Drainage	172	-	-	28	172	28
ST18			244	175	275	108	519	283
TOTAL			440	979	378	500	818	1479

FIGURE 6-20c
ACTIVITY AIS DEFICIENCY LIST BY INVESTMENT CATEGORY

TYPE "A" ANNUAL INSPECTION SUMMARY–NARRATIVE ASSESSMENT
OPNAV 11010/10 (2-80) S/N 0107-LF-110-1050

REPORT SYMBOL
OPNAV 11101-9

1. ACTIVITY *(Name, Location, Zip Code)*	2. FUND SOURCE	3. DATE	4. IC
CINCUSNAV Portsmouth, NC 22917	O&M,N (1804)	30 SEP 19 80	01 Aviation Operational

5. NON-DEFERABLE LAST YEAR	6. DEFERABLE LAST YEAR	7. FUNDING LAST YEAR	8. NON-DEFERABLE THIS YEAR	9. DEFERABLE THIS YEAR
26,751	42,275	29,800	17,300	41,325

10. CONDITION

Provide an overall condition assessment for all facilities within this Investment Category. Provide specific examples, both of good maintenance and existing NMAR items, that will assist in understanding the broad facility problems facing your claimancy in this Investment Category.

11. SPECIFIC MISSION IMPACT

Provide specific examples of mission impact deficiencies. Quantify those items where numeric values would be of significance.

12 CLAIMANT OBJECTIVE

Provide a listing of your current objectives with regard to facility deficiencies for your claimancy. Quantify items where numeric values can be assigned.

FIGURE 6-20d
MAJOR CLAIMANT NARRATIVE ASSESSMENT
BY INVESTMENT CATEGORY

M R P FUNDING LEVELS
(MILLIONS OF $)

FY	CURRENT $	CONSTANT FY 80 $
67	161.8	500.4
68	155.2	461.5
69	166.9	465.9
70	160.8	410.6
71	152.6	361.1
72	115.8	257.5
73	172.5	357.0
74	200.7	385.5
75	272.4	438.4
76	264.1	369.7
—		
77	296.6	360.9
78	335.9	377.4
79	387.2	408.6
80	492.0	492.0
81	594.9	530.5
82	736.8	
83	783.8	
84	831.6	
85	877.3	
86	945.7	

FIGURE 6-21
FUNDING FOR MAINTENANCE OF REAL PROPERTY

CHAPTER 7
UTILITIES MANAGEMENT

All aspects of a shore activity's operations require dependable, effective and economical utilities support. Ironically, this is one function which for years had received little or no command attention, and not much more from the average PWO. And yet this is an area with great potential for savings through an aggressive conservation program. The cost of UTILITIES and ENERGY are so high now, and in the forseeable future, there is no choice but to have an agressive campaign against user waste and also to ensure the maximum efficiency of the utilities systems which we operate.

This chapter provides information and guidance concerning the management, operation and maintenance of public utilities at Naval shore activities. Included in the text are references to directives and instructions which are related to utilities management.

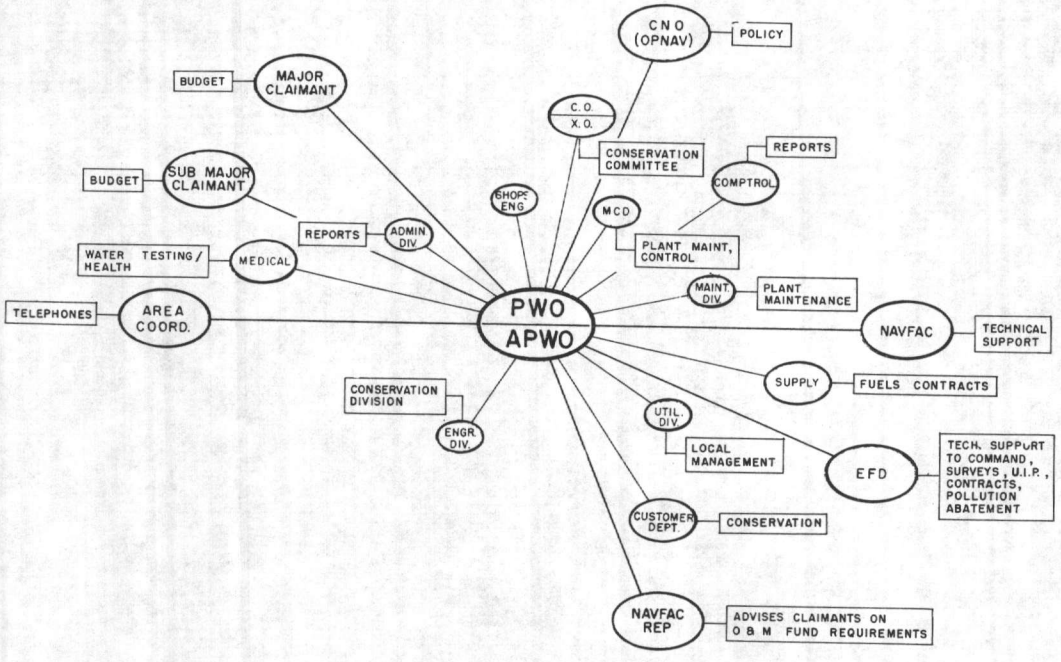

FIGURE 7-1
THE PLAYERS IN UTILITIES MANAGEMENT

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REFERENCES

1. ASPR SUPPLEMENT No. 5, *Procurement of Utility Services*
2. OPNAVINST 4100.5A, *Energy Resource Management*
3. OPNAVINST 11300.3, Subj: *Utility Services; sale of*
4. NAVCOMPT Manual, Volume 3, Chapter 5, *Procedure for Obtaining Authority to Sell Utility Services*
5. NAVCOMPT Manual, Volume 3, *Public Works Cost Accounting and Reporting Systems*
6. BUMEDINST 6240.3C, Subj: *Standards of Potable Water*
7. NAVFACINST 4100.4A, Subj: *Electric Resistance Space & Domestic Water Heating; Limited use of*
8. NAVFACINST 4100.2A, Subj: *Design Criteria Guidance for Energy Conservation*
9. NAVFACINST 4100.6, Subj: *Shore Facilities Energy Conservation Survey Program*
10. NAVFACINST 11300.7D, Subj: *Minimum Operator Attendance for Boiler Plants Utilizing Fully Automatic and Semi-automatic Controls*
11. NAVFACINST 11300.27B, Subj: *Environmental Quality Boiler Tune Up Program, Stationary Heating and Power* Plant *Operations*
12. NAVFACINST 11300.28, Subj: *Boiler Efficiency Improvement Program*
13. NAVFACINST 11300.32, Subj: *Navy Shore Facilities Heating and Power Plan Optimization Element of the Energy Engineering Program*
14. NAVFACINST 11310.2D, Subj: *Mobile Utilities Support Equipment (MUSE) Program*
15. NAVFACINST 11310.19A, Subj: *Utilities Conservation Program; Requirements of*
16. NAVFACINST 11310.41, Subj: *Utilities Improvement Program; Establishment of*
17. NAVFACINST 11380, Subj: *Air-Conditioning Tune-Up Program*
18. NAVFAC P-68, *Contract Administration*
19. NAVFAC P-96, *Utilities Management*
20. NAVFAC P-318, *Organization and Functions for Public Works Departments*
21. OPNAVINST 4100.6, *Energy Source Selection and Criteria for Shore Facilities*
22. OPNAVNOTE 4100. *Emergency Temperature Restrictions*

PART 1 - SCOPE AND OBJECTIVES

7.1.1 Objectives. The objectives of the Utilities Management Program are:

A. To furnish utilities services as required to accomplish the mission assigned and operate upon policies insuring the high quality and proper use of such services.

B. To provide management and engineering services to insure the most effective and efficient operation of utiities to conserve energy and financial resources.

C. To maintain in the most economical manner all active real property to a standard which will prevent deterioration beyond normal wear and tear, and inactive facilities to a standard commensurate with reactivation requirements.

D. To provide timely planning and programming for the expansion and/or replacement of utilities systems, or parts thereof. To accomplish alterations, additions, and other modifications to existing facilities, and minor new construction, as necessary to provide essential facilities for changes in mission or other circumstances which preclude programming under normal construction budget procedures.

7.1.2 Policies

A. Positive programs for the conservation of utilities services are to be initiated and continued to insure that the usage does not exceed the actual requirements or imposed limits.

B. Utilities services are to be purchased from existing commercial systems where economically possible in lieu of construction or expansion of Department of Defense installations. Maximum use is to be made, on a cross-servicing basis, of all government-owned or operated utilities.

C. Utility maintenance programs, consistent with accepted engineering standards and practices, are to be established. Maintenance practices must receive continued analysis with a view toward accomplishment by the most economical means. This work is to be programmed to permit orderly and economical accomplishment. Standby, emergency or alternate facilities are to be installed and maintained only as necessary to meet departmental operational requirements. Heating plants, cold storage and refrigeration plants, and pumping plants are to be automatically controlled wherever practical.

D. Supervisory improvement programs directed toward improved management and supervision of maintenance and utilities operations activities, are to be initiated and/or continued. Particular emphasis must be placed on the effective use of budget, cost, operating, property and fiscal information at all levels.

E. The activities of the installation will be concentrated in a minimum number of facilities to economize on maintenance and limit distribution losses. Periodic review of the activities of the installation are to be made to insure that only the minimum number of facilities required are being utilized.

F. Utilities Systems shall be maintained and operated in accordance with applicable environmental regulations - see Chapter 12.

G. Sound economic analyses shall be performed to evaluate options of construction/repair projects considering the life cyle costs.

7.1.3 Definition of Public Utilities. Public utilities refers to the fixed facilities and systems which provide major utilities services at naval shore activities and generally include the following:

A. Telephone systems.

B. Electrical power supply and distribution systems.

C. Water supply treatment and distribution systems including systems for fire protection.

D. Heating systems, steam, hot water and others over 750,000 BTU/hr.

E. Sewage collection, treatment and disposal facilities.

F. Air conditioning equipment and plants with a capacity of five tons and over.

G. Ice manufacturing equipment and cold storage plants operated by Public Works Department.

H. Exterior separate alarm systems - both local and central reporting types.

I. Gas generating plants, storage facilities and transmission lines.

J. Compressed air plants and systems.

K. Miscellaneous utilities, including central dehumidification and hydraulic systems, acetylene and oxygen generating plants.

Utility systems are identified by the 800 Class of Navy Category Codes and Investment Category Code 17 (IC 17). Refer to Chapter 3 for discussion of the Category Coding system.

PART 2 - RESPONSIBILITIES, ORGANIZATION, AND STAFFING

7.2.1 Responsibilities

A. Activity Line Responsibilities:

1. The Commanding Officer. The Commanding Officer is responsible for the proper management of funds allocated for the operation and maintenance of utilities according to the regulations prescribed by his chain of command.

2. Public Works Officer. The Public Works Officer is responsible to the Commanding Officer for the organization, administration and supervision of the Public Works Department, which includes the responsibility for the operation, distribution, maintenance and repair of public utilities.

Specifically the PWO is responsible for providing adequate utilities services at the lowest cost commensurate with the mission fulfillment in the quality, quantities, and at the time and place required to assure activity capability in meeting mission requirements.

3. Assistant Public Works Officer. The Assistant Public Works Officer is responsible to the Public Works Officer for day-to-day operations and overall coordination of the several organizational components of the department. He is specifically responsible for the direction of planning activities and subsequent follow-up. He also exercises control over performance and technical and management guidance to subordinate supervisors.

At smaller activities, the Assistant Public Works Officer is responsible for providing direct supervision for day-to-day operation of, and coordination of all matters pertaining to, the operations of the maintenance, utilities and transportation divisions. At larger activities, the latter responsibilities are delegated by the Assistant Public Works Officer to the Shops Engineer, who is held responsible for providing required day-to-day supervision over the three operating divisions.

4. Shops Engineer. The Shops Engineer, or his counterpart, is responsible to the Assistant Public Works Officer for the direction and coordination of all matters pertaining to the operations of the maintenance, utilities and transportation divisions and for maintaining liaison with other activity departments on problems relating to maintenance, utilities and transportation. His duties include the following:

a. The determination of areas of excessive direct or overhead labor cost, and providing direction of corrective measures.

b. The verification of progress on specific jobs.

c. The comparison of the available labor with apparent or anticipated work loads, and the recommendation of work forces as required.

d. The review of work methods to assure the adoption of the most economical use of equipment and manpower.

5. Utilities Division Director. The Utilities Division Director (UDD) or his counterpart, is responsible to the Assistant Public Works Officer/Shops Engineer for the operation and maintenance of all activity utility plants and distribution systems. His is the key position in the overall utilities operation. He is responsible for providing the required utilities services, where and when they are wanted, and at the lowest practical cost to the government. Specifically, his duties include the following:

a. The operation of utility systems at target conditions, in cooperation with the Utilities Engineer, and the monitoring of plant efficiency and performance.

b. The direction and supervision of all operator and preventive maintenance inspections on utilities equipment and systems when performed by utilities personnel.

c. The provision of technical advice and recommendations to the Assistant Public Works Officer on the planning and scope of maintenance to be performed on utilities plants and systems.

d. In cooperation with the Utilities Engineer, MCDD and MDD, the scheduling of equipment shutdowns for the accomplishment of inspection and maintenance.

e. The inspection and approval of all maintenance work performed on utilities equipment and systems.

f. The organization of the division for the effective accomplishment of assigned responsibilities.

6. Maintenance Division Director. The Maintenance Division Director (MDD), or his counterpart, is responsible to the Assistant Public Works Officer/Shop Engineer for the maintenance of all public utilities, except when preventive maintenance is accomplished by utilities personnel. When authorized, his responsibility includes the repair, alteration and new construction incident to maintenance, except work which may be done by private contract, and service work performed by

utilities operators/inspectors. Maintenance division personnel are responsible for all other maintenance required on utilities equipment and systems as determined and approved by the Utilities Division Director, and authorized in accordance with the pertinent provisions contained in NAVFAC MO-321. The Maintenance Division Director will retain responsibility for the maintenance of the facilities housing utilities, but he shall coordinate and arrange all projected work with the Utilities Division Director before proceeding with any work in the utilities areas.

B. Activity Staff Responsibilities:

1. Utilities Engineer. The Utilities Engineer or his counterpart, is responsible to the Assistant Public Works Officer for providing continuous technical assitance in the operation, maintenance, utilization and conservation of utilities. He serves as an advisor and expert consultant on utilities matters. His functions involve the application of engineering research techniques in the management of utilities. His major goals are to increase production efficiency, to reduce distribution losses, to eliminate usage waste and to procure utilities at a minimum cost. His position may be established as a staff assistant to the PWO or APWO, the UDD, or be assigned to the Engineering Division under its director.

He must research all aspects of utilities system, including metering and measurement, testing, operating methods, utilities plant maintenance programs, distribution characteristics and consumer usage requirements. This applies to electricity, steam, heating, air conditioning, water supply, sewage, wire communication, compressed air, volatile liquids and gas systems. Application of this research to practical utilities management is made through his findings which provide information and guidance to operation and maintenance personnel. He accomplishes this as a consultant to the Assistant Public Works Officer, Shops Engineer, the Utilities Division Director, the Maintenance Control Division Director and other personnel concerned in the planning, organizing, directing and controlling of the utilities system. The Utilities Engineer's major duties and responsibilities include:

a. Developing utilities systems plans, programs and procedures.

b. Planning and pursuing a progressive utilities (Energy) conservation program at the activity.

c. Developing the required production and usage targets for the economical operation of utility systems in cooperation with the Utilities Division Director.

d. Furnishing information and guidance to operating and maintenance personnel on standards and criteria.

e. Exercising continuous interest concerning the quality of the service provided.

f. Performing technical and economic evaluation of the utilities service requirements, and developing information essential to long-range planning for load growth, system flexibility and proper equipment selection.

g. Assisting the UDD, the MCDD and the MDD in developing utilities emergency plans and developing operational procedures for casualty conditions.

h. Participating in the preparation and analysis of utilities management reports.

For complete discussion of the Utilities Engineer's duties, refer to NAVFAC P-96.

2. Maintenance Control Division Director. The Maintenance Control Division Director (MCDD) is responsible to the Assistant Public Works Officer for planning the maintenance workload program, and for screening and classifying all work requests prior to their submission to the maintenance shops for accomplishment. For a complete statement of his duties, see NAVFAC P-318 and/or Chapter 2. With respect to public utilities, his primary duty is to plan for and schedule the inspection on all utilities systems and facilities, in conjunction with the Utilities Engineer and the UDD.

3. Engineering Division Director. The Engineering Division Director is responsible to the Assistant Public Works Officer for utilities matters pertaining to engineering studies normally under or coordinated with the Utilities Engineer, preliminary designs and estimates for special repair and improvement projects, and engineering designs, including the development of plans and specifications.

C. EFD Responsibilities. The EFD's, acting as extensions of NAVFAC, provide middle management for all utilities programs. They are responsible for directing the implementation of programs developed at the NAVFAC level, and for providing assistance and direction to the activity as required for the continuance of these programs. This assistance is provided in:

1. Planning to meet facility requirements.

2. Programming to improve utilization, operations and maintenance.

3. Procurement and sale of utilities services.

4. Technical analyses and counsel.

5. Application of utility cost accounting procedures.

6. Establishment of proper information flow, including logs and reports.

7. Preparation and use of management reports.

8. Analysis of reports for the detection and anticipation of problems and savings opportunities.

9. Selection of the corrective action most applicable to the problem at hand.

The EFD (code 11) is the primary NAVFAC contact for support within these programs:

1. Energy Conservation Investment Program (ECIP)

2. Energy Technology Applications Program (ETAP)

3. Energy Engineering Program (EEP)

4. Energy Conservation Surveys (ECS)

5. Boiler Tune-up (BTU)

6. Boiler Efficiency Improvement Program (BEIP)

D. Commander, NAVFAC Responsibilities. The Commander, NAVFAC, is the technical advisor to the Chief of Naval Operations for utilities management, and is responsible for ensuring that public utilities at all Naval activities are properly planned, managed and maintained. This responsibility includes establishing oprating and maintenance standards and procedures pertinent to utilities programs, and for developing management reports and technical guides.

7.2.2 Organization:

A. The Utilities Division is basically a production or operating element of the Public Works Department. The organizational structure of the Division depends upon the diversity of the utility sevices provided, and the extent and complexity of the systems operated.

B. Typical organizational structures for large and small Public Works Departments are included in Chapter 2. Additional details may be found in NAVFAC P-318.

7.2.3 Staffing:

A. The personnel staffing of the Utilities Division are predominately Wage System, or blue collar employees. Normally, the only classified or general schedule employees assigned to the Division would be clerical and stenographic personnel.

B. Criteria for staffing the Division are contained in the following directives:

1. NAVFAC P-318
2. NAVFACINST 11300.7

PART 3 - UTILITY SERVICES

7.3.1 Background. Management of the operational aspects of your activity's utility systems should be directed toward achieving maximum efficiency and economy in the use of the existing productive and distribution equipment, manpower, and materials in order to meet current mission requirements. In an environment of increasing consumer requirements, spiraling costs, aging plant facilities, and decreasing or level funding, you will find effective management both challenging and demanding of your management talents.

In this section, particular emphasis is directed to the management of steam, electricity, and water - the major utility services. The reason for this emphasis is that collectively, they are estimated to account for approximately 75% of the total expenditures of utility services.

7.3.2 Determination of Requirements. Determine your activity's requirements for the various utility services by translating the activity's mission requirements into common utility/planning terms, such as:

Population to be served.
Volume of space to be heated.
Area of floor space to be lighted.
Equipment demands.
Area of improved grounds to be irrigated.

Then convert these planning requirements, by the use of standards, into specific utility requirements, such as:

Pounds of steam.
Kilowatthours of electricity.
Gallons of water.

Refer to NAVFAC P-96 and MO-303 for more detailed procedures and engineering data.

Coincident with determining requirements for utility services, you should initiate engineering and economic studies to determine the most economical

and dependable means of fulfilling the requirements. Unquestionably, this analysis should be a joint venture your staff and the utilities engineering staff of the cognizant EFD.

7.3.3 Provision of Services. The utility services your activity needs to fulfill its current mission may be provided by: local production or processing; procurement by contract; or, a combination of the two methods. Selection of a method must not decrease the miliatry effectiveness of your activity nor result in higher cost. At some shore activities, the method of provisioning has been pretty well cast in concrete and you, as PWO, will have little alternative but to accept it. Further, the funding climate and pollution abatement regulations may restrict your selection of a course of action. In such cases, you must direct your effort toward *better* and *more* efficient management of the existing systems.

Since local conditions are not static, you must continuously update the planning data. Load or demand requirements change in response to changed mission requirements, new types of equipment, the acquisition of new facilities, or alteration and improvement of existing facilities, as well as other factors.

A. Contracting for Utility Services is the responsibility of the cognizant EFD. To the Commanding Officer of the EFD is delegated the authority to award, prepare and execute contracts for all types of utility services, subject to the provisions of ASPR and NAVFAC P-68. Although most contracts are negotiated within the structure of existing, approved tariff schedules, competitive procurement is required whenever practicable.

B. Review of Services and Requirements is legally the responsibility of the EFD, and only the EFD can modify or terminate a contract. However, as PWO, you have a vested interest in the services that are being received and are responsible for the verification of service and the amounts received; verification of bills should be authorized specifically by the EFD. Accordingly, you would ensure that your staff (particularly the UDD) continuously observe and analyze the contractor's performance, and reevaluate your activity's requirements. Any unsatisfactory or questionable performance by the contractor should be promptly reported to the EFD. Similarly, the EFD should be advised of any significant changes in requirements.

C. Contract Provisions describe the terms of the contract. The General Provisions define such factors as the billing frequency and the applicable rate schedule. The specifications for the service, such as quality, quantity, point of delivery, etc., are defined in the Technical Provisions. Any unusual requirements, such as a termination liability or facility charges are contained in the Special Provisions.

The UDD should be intimately familiar with the provisions of all existing utility contracts, particularly the rate schedules. These, in terms of dollars, are the "meat" of the contracts. As a matter of practice, all utility bills should be reviewed and verified by the UDD prior to certification for payment.

As a result of his review of the billings, the UDD, within the limit of his authority, should initiate necessary corrective and conservation measures; and recommend to you those measures which require authorization by higher authority.

7.3.4 Rate Schedules. Rate schedules, whether applicable to electricity, water or another utility service, have several similar or standard billing charges. In addition, most of the utility rate schedules contain special charges for features or characteristics which are peculiar to the specific service. Let's discuss the standard charges and some of the special charges in the context that you and your UDD should be alert to ways to save money by adjusting or reducing consumption or demand for the services.

A. Standard charges usually are of two types or levels of charge: Flat Rate and Quantity.

1. Flat rate or minimum charge regardless of quantity of service used, if any. An example of this is the monthly charge for the telephone line in your quarters; you are billed a fixed cost if you make one or forty local calls during the month.

2. Quantitative charges are based upon MKWH or MGals consumed or processed. Freqently the cost for this charge will eclipse the flat rate or minimum charge.

B. Special charges vary from service to service, but can represent a significant portion of a utility bill.

1. Electricity is usually the most costly service. There are two special charges which should be continuously monitored: Billing Demand and Power Factor. Both of these charges are "penalty" assessments since they may be adjusted or reduced by effective management.

a. Billing Demand is based upon the maximum demand or the rate at which the electricity is used. It is measured in kilowatts. An activity's demand may be reduced, for example, by scheduling of heavy industrial loads. Refer to Paragraph 7.4.3 for more details. Most significant is the fact that a demand charge not only affects the billing for a specific month, it may also affect the cost for eleven (11) following months since rate schedules frequently average the *current* month's demand with the *highest* demand recorded in the

preceding eleven (11) months by means of a "ratchet clause".

b. Power Factor is the ratio of the "usable power" to the "total power" delivered by the utility company. It is a measure of the efficiency of your distribution system and is expressed as a decimal. When your PF is below a pre-determined level (usually 0.85), the company assesses a penalty charge. Several methods for improving your activity's power factor are discussed in Part 4, of this Chapter.

2. Natural Gas rate schedules are usually formulated on the factor of *continuity* of service: Interruptible, Firm, and Preferential. Interruptible service is the least expensive; preferential the most expensive. With the emphasis on pollution abatement, the demand for low or no sulphur natural or manufactured gas at times exceeds the supply. If your activity is receiving both interruptible and firm levels of service, you should ensure that the firm service (which may be 40-50 percent higher in cost than Interruptible) is provided only to family housing, troop housing, the dispensary or hospital, and other critical uses. Those facilities on interruptible service should be provided with an alternate fuel source, or secured during periods of interruption of serivce. OSD has directed that activities burning oil maintain a 30-day storage capability based upon the coldest 30-Day requirement. NAVFAC design criteria are being changed accordingly. Reference should also be made to OPNAVINST 4100.6.

3. Telephone special costs which merit continuing scrutiny include extra equipment rental for handsets and any Wide Area Telephone Service (better known as WATS) circuits. These circuits provide an activity with the exclusive use of circuits between areas with high-density voice traffic. Costs for the circuits are high, so the traffic volume must be tabulated and reviewed periodically to ensure that the cost is justified by the use of the circuits. Effective Maintenance & Management practices are provided in NAVFAC Instruction 2300.2B and NAVFAC Manual MO 203.

Telephone "monopolies" are no longer recognized by Federal Courts and technology improvements are "leap-frogging" themselves. As a result, sole source procurement of up to date equipment and service is very complicated or difficult. Coordinate revisions to telephone systems with the EFD (code 111).

7.3.5 Sale of Utility Services

A. The Secretary of the Navy is authorized by law to sell to purchasers in the *immediate* vicinity of naval activities, certain utilities and related services when not available from private or public sources, and when the sales would be in the public interest.

B. Navy Policy is that private parties (including municipalities and public institutions), should obtain utility services from local private or public sources. The Navy will furnish such services *only* in cases of extreme urgency involving national defense or public health and safety, and then, on a purely temporary basis. (See NAVCOMPT Manual 035875).

C. The Commander, NAVFAC has been delegated authority by SECNAV to approve the sale of utility services to private parties, establish the rates to be charged, and determine the terms and conditions of the sale. Procedures for requesting authority for the sale of services are prescribed in NAVCOMPT Manual, Volume 3, and in OPNAVINST 11300.3.

D. The Commanding Officer of a shore activity, or his designated representative has been delegated the authority by the Commander, NAVFAC to award, prepare, and execute contracts for the select utility services when prior approval has been received from NAVFAC. Circumstances surrounding the sale of utility services should be reviewed at least annually with a view to discontinuing such service at the earliest practical date.

PART 4 - UTILITY OPERATIONS

7.4.1 Background. Strong management is necessary in the operations of utilities as this aspect of utilities program accounts for about 80% of the total utilities expenditures. Attention must be directed toward the basic objective of providing the necessary quantity of necessary utility services at the time and place needed, at the lowest possible cost, and with the requisite quality of service. Concomitantly, management must insure that this objective is attained with reliability. Achievement of the objective is dependent upon several considerations.

A. System Development. Continuous review, analysis and programming to assure that the systems required are available when and where needed. This may include backup or emergency equipment where applicable.

B. Operations. Continuing actions which assure that the required utilities services are available when and where needed. A viable "Casualty Repair" plan must be prepared and exercised.

C. Inspection and Maintenance. Repetitive actions which assure that the systems retain their capability to provide the required services.

It is estimated that improved operations can account for about one-half of the potential Navy-wide, short-term utilities savings (exclusive of

equipment charges or replacements). The basis for these improvements is better utilities management at all levels of supervision. This implies stricter control of the operational phases of utilities production and distribution. The following section discusses some of the aspects of the major utilities operations which require continuing observation. As PWO, you should be aware of this consideration; however, your UDD should "live" with them and frequently advise you as to their status and effectiveness.

7.4.2 Systems Operations

A. Steam is almost universally required for domestic, industrial, shipboard, or utilities production usages. Management of this utility, requires the control of four major functions; equipment scheduling, equipment operation, fuel utilization, and distribution system operation. Refer to NAVFAC-96, MO-305, and MO-209.

1. Equipment Scheduling involves balancing the operation of generation equipment with the load to insure the use of each piece of equipment within its most efficient operating range. Each unit has a normal operating range with which it is most efficient; outside of this range, operation usually decreases efficiency and economy of operations.

To obtain a sound basis for planning operations, the UDD should develop and maintain hourly minimum and maximum demand curves as a normal part of the daily operating procedure. Then using this data, he can develop typical seasonal demand curves.

2. Equipment Operation schedules should be based upon the demand curves and the selection of the most efficient equipment combination. Equipment selection requires evaluation of banking and start-up costs, unit costs, multi-unit operations, and other costs. You should require the UDD to control this function by monitoring, on a daily basis, the actual loading factor in relation to the planned loading factor range.

Navy policy encourages, wherever practical, the installation of automatic combustion controls to (1) reduce costs by decreasing manpower and fuel requirements; (2) improve combustion efficiency; and (3) reduce air pollution by more efficient combustion. Guidelines for operator attendance for boiler plants are contained in NAVFACINST 11300.7.

3. Fuel Selection dictates use of that which is available and is the most economical fuel, all cost considered. Although the primary fuel is selected at the time the plant is designed, subsequent changes in fuel costs, fuel availability and legal requirements (pollution control) may require replacing or supplementing the primary fuel with another fuel. The Navy policy is to provide a dual-fuel burning capability wherever economically, or operationally appropriate. The selection of fuel is becomming a critical item to insure continuity of operations.

Since fuel costs, Navy-wide, represent 45% or more of the cost of steam services, you and your UDD should be alert to the advantages of using different fuels to reduce operating costs. However, the fundamental responsibility for selection rests with NAVFAC. Accordingly, any proposals for fuel conversions require their approval and must conform to guidance promulgated by OPNAVINST 4100.6.

NAVFACINST 11340.7B discusses the use of contaminated fuel oils and used lube oils as a supplement to regular fuels. It cites studies which show that burner fuel can contain a substantial blend of these waste products without significantly affecting plant performance or emissions. Such recycling may prove a very cost-effective end use of these materials and should be investigated.

Likewise, use of coal as a primary or secondary fuel has received considerable interest. All new boiler plants must be evaluated for dual fuel use. Employ life-cycle cost analysis to form a basis for decision along with consideration of coal transport, storage and processing problems. Environmental constraints and the availability of quality coal may eliminate coal as an option.

4. Distribution System Operation should be concerned primarily with minimizing line losses between the point of generation to the points of usage. These operating losses can be reduced and controlled by periodic checks or preventive maintenance inpsections. This is a good area for management attention. Refer to Paragraph 7.4.3 and Section 5 for additional discussion of conservation and maintenance procedures.

B. Electricity is the major utility at most shore activities. Although many activities buy all the electricity to meet their requirements, there are a number of activities that are equipped to produce all or a part of their electricity needs. At activities generating part or all of their electricity needs, management of the electrical system requires planning and control of four primary elements; minimizing of peak demands, equipment scheduling, equipment operation, and distribution system operation. At activities purchasing all of their electricity, only the first and last elements require planning and controlling. Refer to P-96, MO-304 and MO-201.

1. Minimizing of Peak Demands is necessary to reduce the cost of purchase and/or produced electricity. Of concern are both the

quantity of electricity used and the extent and duration of the peak loads. The effect upon purchased electricity cost is caused by the relationship between the peaks and demand rates. In producing electricity, the effect is similar because satisfying peaks usually requires additional manpower and the use of lower efficiency equipment.

The UDD should be particularly alert to all possibilities for reducing peak load by shifting and rescheduling loads which are major contributing factors. Both volume and peak demands should be plotted regularly to provide visual observation of changing patterns and practices in electrical consumption. He should work closely to the peak load, to identify loads which could be rescheduled to shift the demand to other times when the loads can be absorbed more economically. The subject of usage management is discussed in Paragraph 7.4.3.

2. Equipment Scheduling involves determination of how much electricity should be purchased, how much should be generated, and how available generating equipment should be scheduled to meet most effectively the predetermined generation requirements. The fundamental factors influencing these determinations are unit operating costs and demand levels.

Generate-or-buy decisions should be based upon projections of volume and peak demands and comparision of estimated purchase costs with incremental generating costs. To obtain a sound basis for planning operations, the UDD should develop cost curves for each generating unit, and hourly maximum and minimum demand curves.

OSD has issued criteria for total energy planning to assure consideration of these system in all large new facilities and in major rehabilitation projects. Where economically sound, these systems will be required.

3. Equipment Operation schedules, with respect to the portion of the demand to be satisfied through local generation, should be developed which compare generation capabilities with generation requriements so as to obtain the most economical overall purchase-generation plan. Generator schedule should be controlled similar to that for steam systems operation.

4. Distribution System Operation should be concerned primarily with minimizing losses and detecting and correcting defects in operations. Most losses occur in the lines, transformers, and other equipment, and may be corrected or minimized by PW personnel.

(1) Periodically check lines to assure that losses are not excessive.

(2) Check the voltage at selected points to assure that the systems and equipment are not being jeopardized by excessively low voltage.

(3) Transformer losses should be minimized by keeping the transformers loaded at or near full-load and reduce penalty costs.

(4) Check power factor regularly to determine if improvements are needed to improve efficiency and reduce penalty costs.

C. Water requirements include domestic industrial, and fire protection demands. Management of water operations requires comprehensive planning and control in four principal areas: water supply, pump equipment selection and operations; water treatment; and water distribution.

1. Water Supply planning and control is primary responsibility of the UDD. He must assure that an adequate and suitable water supply is available as economically as possible, to meet your requirements. Further, water demand should be monitored and projected for planning purposes. Water usage and peak demand must be charted, for daily and long periods, so as to identify seasonal patterns of consumption. If pumping capacity is plotted on the same chart, you can compare existing capacity with requirements. Unit cost curves should be developed for each pumping installation and other water source. By comparing estimated incremental costs with estimated purchase costs, a decision should be made as to quantity of water to be produced and the quantity to be purchased.

2. Pump Equipment Selection and Operation must be based upon predicted production requirements and assuring the lowest overall pumping costs. Most pumps are of the centrifugal type, which operate most efficiently at designated load and capacity conditions. Each pump should be checked under various operating conditions; if the efficiency is low, the UDD should be alert to changes in operating conditions which may permit more efficient operations.

3. Water Treatment Control should be continuous. Analysis should be made frequently enough to note any changes in water quality and increased use of treatment supplies. Treatment may be satisfactory in quality and still offer possible savings in cost of treatment. Water quality standards are prescribed in BUMEDINST 6240.3. Treatment procedures should be compatible with NAVFAC MO-210.

4. Water Distribution Control requires assuring that adequate pressures are maintained and losses are minimized. The UDD should ensure that the system is tested periodically to detect defects

and possible waste. He must be alert to the potential for savings by determining the cause of every break in mains and making engineering investigations to ascertain proper corrective measures if breaks occur too frequently.

D. Other Utility System operations, although representing a less significant portion of your expenditures for utility services, require a proportionate share of management attention and control. Requirements must be predetermined, equipment selected to meet demands economically and effectively, usage and peak demand monitored and projected for planning purposes, and unit cost data developed as basis for determining the most economical and reliable source for providing the necessary services.

Figure 7-2 lists NAVFAC Maintenance and Operations (MO) series of publications which should be employed in planning, programming, and maintaining and inspecting the public utilities of shore activities.

E. Safety. Safety of personnel and equipment is your responsibility as the PWO. OSHA requirements have been declared as applicable to federal activities and compliance is under review at the OSD level. Safety of equipment can be accomplished through preventive maintenance inspections, boiler inspection, cathodic protection, relay coordination studies, breaker inspection and sound maintenance practices. Lost time due to equipment casualties or personnel injuries can disrupt the ability of the PWD to meet its prime objective to supply the necessary utility services in the most cost effective manner.

7.4.3 Conservation:

A. Background. Conservation is concerned with how productively or effectively utility services are used. Succinctly, "how much of the utilities are wasted?" The need for conservation of *all* utilities becomes more important with each passing day. Utility consumption and costs continue to increase at inordinate rates. Unnecessary utility expenses represent dollars that are completely wasted, which, under the DOD level funding pattern, could be directed to useful purposes.

The entire energy situation is of great concern to the Department of Defense. Both the availability and cost of energy have caused profound changes in both Navy utilities operations and the way of life for almost every one in the industrial world. In May 1978, CNO issued OPNAVINST 4100.5A which provided specific policy, goals, objectives, and assigned responsibilities for the management of energy resources. For shore facilities the FY85 energy reduction goals (relative to FY75) were defined as:

Existing Facilities 20:% **reduction** relative to FY75

New Facilities 45% **reduction** relative to FY75 designed average energy consumption per gross square foot.

B. Energy Conservation Program

1. The decreasing availability of certain fuels, the constraints on polluting the environment and the increasing costs of utilities services have reached the point where it warrants the personal attention of every Commanding Officer and every Public Works Officer. To assist the CO and PWO in the technical aspects of energy conservation, it may be appropriate to assign the Energy Conservation Engineer functions as a staff effort.

2. The Navy has responded to higher energy costs by aggressively seeking to reduce consumption. This has included cutting energy losses incurred in the generation and distribution of utilities as well as improving energy utilization.

3. Energy conservation is an activity responsibility. Though NAVFAC/EFD support in this area has become especially vigorous, the responsibility for achieving the FY85 energy conservation goals rests with the Commanding Officer.

a. Activity Program. To be effective the program must originate at the Commanding Officer level and extend down to every individual at the activity. The PWO is charged with assisting the Commanding Officer in establishing a Conservation Committee. The UDD should review operating conditions and procedures of all utilities systems to detect losses; where total system analysis is needed, you should request the cognizant EFD to conduct a Utilities Systems Analysis in accordance with NAVFAC MO-304.

b. EFD Support. In order to implement the Energy Conservation Program at the shore activities, NAVFAC has established a number of programs by which the EFDs can support the activities to conserve energy. The major programs are (1) the Energy Conservation Survey Program, (2) the Energy Conservation Investment Program (MCON), (3) the Utilites Improvement Program (UIP) and (4) the Boiler Programs (Boiler Tune-Up-BTU Program and Boiler Efficiency Program Improvement - BEIP).

(1) The Energy Conservation Survey Program (ECSP) is conducted in accordance with NAVFACINST 4100.6 by the cognizant EFD. The survey will highlight for the PWO and UDD areas of energy improvement and provide guidance and techniques for conservation: Figure 7-3 is a collection of some of the recommended actions.

NAVFAC NO.	TITLE
MO-200	Electric Power Distribution System Maintenance
MO-201	Operation of Electric Power Distribution System
MO-202	Control of Electromagnetic Interference on Overhead Power Lines
MO-203	Wire Communication and Signal System Maintenance (Vol. 1)
MO-205	Central Heating and Steam Electric Generating Plants (5 Volumes)
MO-206	Operation and Maintenance of Air Compressor Plants
MO-207	Operation and Maintenance of Internal Combustion Enginers
MO-209	Maintenance of Steam, Hot Water and Compressed Air Distribution Systems
MO-210	Water Supply System
MO-212	Sewerage and Industrial Waste Disposal System
MO-213	Solid Waste Management
MO-215	Mobile Utilities Support Equipment (MUSE)
MO-220	Maintenance and Operation of Gas Systems (Tri-Service)
MO-230	Maintenance Manual Petroleum Fuel Facilities
MO-300	Inactivation of Facilities
MO-301	Reactivation of Facilities
MO-302	Maintenance and Operation of Intrusion Alarm System
MO-303	Utility Targets
MO-304	Utilities Systems Analysis
MO-305	Activity Conservation Techniques
MO-306	Corrosion Prevention and Control
MO-307	Corrosion Control by Cathodic Protection
MO-321.1	Maintenance Management of Public Works and Public Utilities for Small Activities
MO-322	Public Works and Public Utilities; Inspection for Maintenance of

FIGURE 7-2
NAVFAC MAINTENANCE AND OPERATION TECHNICAL PUBLICATIONS

EXAMPLES OF ENERGY CONSERVATION METHODS, TECHNIQUES, SYSTEMS AND EQUIPMENT FOR USE IN BUILDING RETROFIT

1. Tinted and other heat reflecting glass, solar window screening and window coatings to lower solar load on A/C systems.
2. White or aluminum coated roofs to reduce solar heat gain and lower A/C operating costs.
3. Economy cycle (outside air less than 55 degrees) to lower A/C loads.
4. Run-around system to reduce A/C and heating loads.
5. Air-to-air regenerative heat recovery wheels to reduce A/C and heating loads.
6. Two-stage evaporative coolers in arid zones.
7. Single stage evaporative coolers as pre-cooler for outside air makeup in arid zone A/C systems.
8. Built-up water-to-air or air-to-air-heat pumps in larger buildings.
9. Air-cooled condensers, indoor sumps on cooling towers or temperature actuated cooling tower by-pass to eliminate heating cooling towers in below freezing weather.
10. Total energy systems wherein electric power is generated by a diesel engine or combustion turbine and all heat from the air cooler, engine jacket and exhaust gases is used for domestic hot water, space heating and A/C.
11. Diesel engines or combustion turbines to drive centrifugal A/C machines, industrial pumps, etc. to reduce electrical load and maximum electrical demand charges.
12. Absorption refrigeration where heating plant operates in summer or where heating plant can be operated at less cost than total electrical cost.
13. Piggy-back refrigeration system to reduce electrical load.
14. Water cooled fixtures to reduce A/C loads and possibly to transfer heat to adjacent areas.
15. Synchronous motors, capacitors added to the distribution lines and proper choice of fluorescent lighting to provide Power Factor correction.
16. Air cooled refrigeration or A/C condensers in series with cooling towers to minimize equipment sizes and reduce electrical consumption.
17. Supervisory Control Systems in large buildings, hospitals, or building complexes to rapidly identify utility problems and provide lighting and temperature control.
18. Double bundle condensers in centrifugal refrigeration machines to use heat which would otherwise be wasted in cooling towers.
19. Large heat storage systems such as water tanks charged with *waste heat* from lights and A/C condensers when A/C equipment must be operated in winter for interior spaces, EDP equipment or other high heat source use to conserve energy.
20. Peak shaving equipment in both electrical and gas distribution systems to eliminate peak demand charges.
21. Three-phase transformers especially in large substations to reduce transformers losses.
22. Control systems for modulating hot water heating systems, shutting off heating systems at outside air temperature of 64 degrees F, night, weekend or holiday setback and for zero outside ventilation air in unoccupied buildings to reduce A/C and heating loads.
23. Adding insulation to exterior walls and ceilings wherever economically justified.

FIGURE 7-3

As an outgrowth of this survey program, NAVFAC has recently initiated a new effort aimed at producing an Activity Energy Plan for major Naval activities. The effort has six basic objectives:

1. Review and document the status of the activity's energy reduction efforts to date. This will include a review of ECIP projects and reports, the Energy Technology Applications Program (ETAP), and other relevant data.

2. Identify those areas at the activity with a significant potential for energy conservation which should be studied in more detail.

3. Identify areas at the activity with significant energy conservation potential which may justify projects eligible for immediate funding, either under the ETAP program or through general purpose or O/M funds available to the activity.

4. Screen out those areas where the possibility of achieving energy savings appears to be minimal.

5. Evaluate the activity's short-term future energy requirements.

6. Assess the activity's ability to meet the 20 percent energy reduction goal by 1985.

The results of this effort will be used to prepare an energy conservation plan for the activity to enable it to meet the 20 percent energy reduction goal by 1985 and 2% per year through the year 2000.

(2) The Energy Conservation Investment Program (ECIP) was established as a dedicated program within the Military Construction Program to assure adequate funding of energy projects. As part of the ECIP, the EFD can assist the PWO and UDD to develop projects to fulfill recommendations made during the initial survey. Projects, examples of which are displayed on Figure 7-4 that have high Savings Investment Ratio (SIR) will receive a higher priority for inclusion in the MCON program. Of special note, this NAVFAC managed program is especially well funded. Current projections show $50 - 60 million dollars of MILCON will be set outside annually for this program through FY85.

(3) The Energy Engineering Program (EEP) is a specific O&M,N funded program as defined in NAVFACNOTE 4101, Navy Shore Facilities Energy Engineering Program, 20 Jul 78 directed at identifying and developing permanent, technical actions to assist naval activities in achieving the goals of OPNAVINST 4100.5A. Elements include:

(a) The Energy Technology Applications Program (ETAP): This program provides for the accomplishment of energy conservation retrofit projects with high payback, both in energy and cost reduction. The program is specifically aimed at projects not eligible for funding under the Energy Conservation Investment Program (ECIP) because their cost is less than $100,000. Rather, ETAP finances projects costing between $5,000 and $100,000. ETAP is funded by O&MN money and is centrally managed by NAVFAC.

(b) The Navy Heating and Power Plant Optimization (HPPO) program: Its objective, as explained in NAVFACINST 11300, is to reduce the energy consumption of heating and power plants by achieving long-term improvements in plant efficiencies. This is to be a result of identifying more effective methods for operating and maintaining these plants and by utilizing more efficient equipment. Projects developed through HPPO studies are candidates for ECIP or ETAP funding as appropriate.

(c) ACT-UP (Air Conditioning Tune-Up Program): The objective of ACT-UP is to ensure that all shore facility air-conditioning, rated as 5 tons capacity or greater, is operated and maintained to achieve the highest possible level of efficiency. A more complete explanation of the program is found in NAVFACINST 11380.

(4) Utilities Improvement Program - This program was developed to provide assistance to shore activities in identifying and correcting deficiencies to utility plants and systems. The UDD and Utilities Engineer should use this support to develop activity and special projects to correct energy oriented deficiencies. See paragraph 7.6.2.

(5) The Boiler Programs - The Boiler Environmental Quality Tune-Up or BTU Program is designed for boilers of 5 million BTUS (5 MBTU) per hour and above; the multi-phased program involves boiler performance evaluation and testing, equipment maintenance controls adjustment and stack emission testing. This program requires close coordination between the UDD and EFD to improve operating and maintenance practices resulting in energy conservation and less pollution. The Boiler Efficiency Improvement Program (BEIP), will assist the activity in improved operation and maintenance of boilers under 5 MBTU/hr.

4. Monitoring of energy conservation at the activity is your responsibility as PWO. Meeting and maintaining the goal requires constant attention; monitoring of energy use has to be made for each user and those who fail to contribute to the

TYPICAL HIGH PAY BACK ENERGY PROJECTS (MCON)
FIGURE 7-4

IN		WILL PAYBACK IN
HAWAII	Replacing incandescent lights with high intensity discharge lamps in five hangars.	1.8 yrs
INDIANA	Providing controls for 30 year old heating plants.	5.3 yrs
	Equipping bay doors in production buildings with air curtains.	4.3 yrs
KENTUCKY	Installing heat exchangers in major exhaust systems.	4.9 yrs
MAINE	Providing economizers on boilers in the central heating plant.	5.8 yrs
MARYLAND	Extending the central environmental control system to all academic buildings.	2.2 yrs
	Providing solar film and insulating panels on windows in equal proportions.	7.4 yrs
NEVADA	Using remote control thermostats and modulating valves.	4.3 yrs
NEW JERSEY	Replacing hot water boiler with heat exchanger and extending/insulating main steam line to eliminate building gas or electric heating units.	2.3 yrs
NORTH CAROLINA	Installing heat limiting and set-back controls such as steam control valves, thermostats, clock timers and external temperature sensors.	3.1 yrs
ALASKA	Installing heat recovery silencers on diesel generators to reduce need for new boilers.	4.1 yrs
CALIFORNIA	Using steam regulating valves to control heating units.	2.8 yrs
	Recirculating air presently being exhausted.	4.2 yrs
	Providing a central monitor-alarm and station control system to detect performance irregularities.	2.2 yrs
	Installing new air-fired boilers and auxillary systems.	1.1 yrs
	Using power line control systems.	2.0 yrs
	Installing new boiler plant controls.	1 yr
CONNECTICUT	Insulating escape training tank.	2.4 yrs
DISTRICT OF COLUMBIA	Providing a new steam condensate return system and repairing steam distribution lines.	5.6 yrs
FLORIDA	Installing a heat exchanger and improving steam and condensate return lines.	4.3 yrs
	Using economizers on boilers, modernizing portions of the steam distribution line and installing new underground steam distribution.	5.3 yrs
	Replacing incandescent floodlights with sodium vapor floodlights.	3.3 yrs
	Providing a steam interconnect to service a base hospital thereby permitting the existing steam plant to operate on stand-by reserve.	3.0 yrs
NORTH CAROLINA	Constructing a facility to process waste oil for reuse as a fuel.	6.1 yrs
SOUTH CAROLINA	Installing heating and air conditioning controls.	1.3 yrs
	Providing a monitoring system for the steam plant.	2.0 yrs
	Using external solar screens to shield air conditioned spaces.	4.0 yrs
	Installing six inch thick thermal insulation in building attics.	6.1 yrs
VIRGINIA	Extending steam lines to additional buildings thus eliminating individual units.	3 yrs
	Providing electrical utility service at the pier for permanently assigned yard craft.	4.9 yrs
	Adapting existing chilled water system for heating purposes.	5.5 yrs
	Providing positive condensate returns.	1.7 yrs
	Making improvements to the steam generation and distribution system.	2.7 yrs
WASHINGTON	Installing individual heating units in a large number of buildings rather than replacing deteriorated steam and condensate lines.	4.1 yrs
	Modifying and upgrading of the condensate return systems.	1.9 yrs
	Providing waste heat recovery equipment.	2.1 yrs
	Installing weatherstripping, insulation, night temperature setbacks and outside temperature sensors.	3.4 yrs
ILLINOIS	Improving existing steam and condensate lines by providing a looped system with added insulation, cathodic protection and improved valves and pits for each of maintenance.	6 yrs
	Installing condensate return pumps and distribution system controls to eliminate excess piping.	2.7 yrs

conservation effort should be notified through the Commanding Officer. The use of energy must be reported through the Defense Energy Information System. The DEIS I report is prepared by the activity to show its POL and the DEIS II (a monthly report) shows the non-POL energy usage vs the FY 1975 base for that period. The reports are submitted in accordance with OPNAVINST 4100.8 directly to DLA for use by higher echelons (claimant, Navy, DOD) to monitor the combined effort to conserve energy. In turn, Major Claimants and sub-claimants receive and monitor their portion of DEIS information to stay abreast if energy conservation performance of all shore activities.

C. Utility Targets. Utility targets are after-the-fact engineered determinations of the quantities of utility services that should have been consumed and how much they should cost. Targets represent what can be done with near perfect operation.

1. Target Preparation. Construction of a target requires identification of all aspects of how the utility service is used, including plant and system losses. All domestic, industrial, inter-utility and other uses must be computed on the basis of the activities population, production requirements, fleet and aviation units supported, buildings and facilities operated, etc. The resultant target is then the standard or benchmark for measurement of performance. Detailed procedures for target preparation are contained in NAVFAC MO-303.

2. Uses of Targets. The primary use for utility targets is to measure performance. You, as PWO, can use targets as an aid in determining the effectiveness of your utilities operation and maintenance program and conservation efforts. The EFD can use targets as an indicator of the level of utilities management effectiveness at activities within its geographical area and where to place the emphasis on each of the utility programs under its cognizance. NAVFAC and the major claimants can use the targets as an indicator of overall utilities management effectiveness.

A secondary and vital use of utility targets is in the preparation of your activity's utilities budget.

3. Variation Between Target and Actual. An acceptable variation between the utility target and actual consumption is + 5 percent. Greater variation is an indication that the target computations should be verified or that corrective action may be necessary.

7.4.4 Emergency Procedures

A. Casualty Planning. Equipment and system casualties will occur in utility operations, frequently outside of normal working hours. These unscheduled interruptions of utility services generally impose hardships which may seriously curtail activity functions and reduce its effectiveness in accomplishing its mission. Providing enough standby and reserve equipment to ensure 100 percent reliability is beyond the economic capacity of the Navy.

1. Casualty Correction Plan. Management must recognize the potential for both natural and man-made emergencies and have a casualty plan that will visualize the loss of utility services. The plan, A Utility Casualty Correction Plan, should be incorporated in the activity's Disaster Control Plan as an appropriate Annex or Appendix. The plan should be prepared and be corrected and updated as required to provide the most effective plans of action.

The UDD should be responsible for coordinating casualty planning and preparation of an adequate correction plan. He should analyze each system to determine all possible sources of casualties, i.e., from complete loss of a production plant to a break in the distribution system. A priority should be given each type of outage in order to facilitate restoration of service in the order of its importance of the service to the activity.

2. Restoration of Service. Procedures for coping with each type of outage must be developed, recognizing acceptable alternate or complementary courses of action. Standby equipment, although expensive-to-operate, should be deployed to permit continuance of vital operations. When service is interrupted by a major casualty, emergency equipment may be needed to provide essential utilities until your activity's facilities are repaired and restored to operating status. The Mobile Utilities Support Equipment (MUSE) inventory was chartered by CNO to fulfill such exigencies. Refer to subparagraph B below.

3. Training and Organizing Personnel is a responsibility of the UDD. They should be indoctrinated in procedures of the plan, and be trained to make emergency repairs necessary to expeditious restoration of utility services. They should also be trained to take advantage of system loops and interconnections so that casualty areas may be isolated and bypassed to restore service with minimum delays.

B. Mobile Utilities Support Equipment (MUSE):

1. The MUSE inventory consists of relocatable utility generating or processing units for electrical power, steam, compressed air, water supply and air conditioning. The equipment is available for interim use to replace equipment out of service because of catastrophe, accident, planned overhaul, or to support military construction. It is

not intended that MUSE units augment an activity's facilities for an indefinite period. Accordingly, deployment periods are normally limited to a maximum of 18 months.

2. Procedures for obtaining MUSE equipment are detailed in NAVFACINST 11310.2. The activity is responsible for the equipment while in its custody, and for funding for installation, operating and maintenance costs.

3. NAVFAC MO-215 provides detailed information concerning the technical and general characteristics of the MUSE units. Requests for deployment of MUSE equipment should be forwarded to the MUSE Field Office, CBC, Port Hueneme, California, via the cognizant EFD.

4. Do not hesitate to request planning and technical guidance in situations requiring MUSE equipment, or when problems arise from the use of MUSE equipment. In this connection, it behooves an activity to help the EFD in developing an awareness of deficiencies in their utility systems.

PART 5 - MAINTENANCE, REPAIR AND IMPROVEMENT

7.5.1 Policies:

A. Facilities to be used more than ten years should be maintained as necessary to preserve the asset, and assure their most economical and efficient usefulness for an indefinite period.

B. Facilities to be used from three to ten years should be given maintenance consistent with the projected useful life of the structure or program to which they are related.

C. Facilities to be used for less than 3 years, and are designed only to meet a temporary demand, should be maintained to the minimum acceptable standard without jeopardizing the health and safety of personnel or seriously impairing the accomplishment of the mission.

D. Inactive facilities in mobilization plans should be maintained to the extent necessary to insure weather tightness, structural soundness, protection against fire and erosion, and as necessary to permit reactivation in a prescribed period. Layup measures appropriate for the proper protection of the property should be applied to these facilities.

E. To the extent that maintenance falls short of the standards established above, a list of those projects which must be deferred should be maintained in sufficient detail to clearly reflect the characteristics of the item and the estimated cost of accomplishment.

7.5.2 Level of Maintenance Classification (LMC) Code

A. Purpose. Each facility at an activity does not contribute equally to the activity mission. By relating the level at which each facility is to be maintained, to the support it provides to the activity mission, more effective maintenance can be provided to facilities that are vital to the mission. This is accomplished by establishing a level of maintenance classification. For maintenance work not vital to the activity mission, a high level of command approval should be required.

B. Procedure. NAVFAC MO-321 defines the characteristics that should be applied to a facility to determine its level of maintenance classification. The LMC should be determined jointly by the activity and EFD personnel for all facilities at the activity. The classification for each facility should be entered on the Inventory for Inspection, or Inspection Schedule Card and on all inspection reports when reporting deficiencies.

By relating the reported deficiencies to the proper level of maintenance desired for the facility, a determination can be made as to which work to accomplish in the near future, which work to defer, and which requires no action. The LMC should be used to determine which jobs to process for authorization, or their property on a special project request.

7.5.3 Maintenance Planning. Maintenance planning must anticipate and prevent, to the greatest extent possible, interruptions in utility systems operations and the associated loss of output or capacity caused by equipment breakdown and deterioration. A coordinated inspection and maintenance program must anticipate the eventualities of breakdowns or the gradual reduction of system efficiency as equipment wears out, and provide measures by which they can be avoided to the maximum extent possible. Utilities maintenance needs should be determined through periodic inspections of all utilities equipment and associated facilities by qualified inspectors.

A. Inspections. The nature of utilities services, and their importance to the activity in accomplishing its mission, requires that they be provided with continuous inspection to detect deficiencies and to initiate required corrective action to restore the services to normal or accepted standards. These inspections should be accomplished by:

Operator inspection.
Dynamic equipment inspection/ service.
Control inspection.
Supervisory inspection.

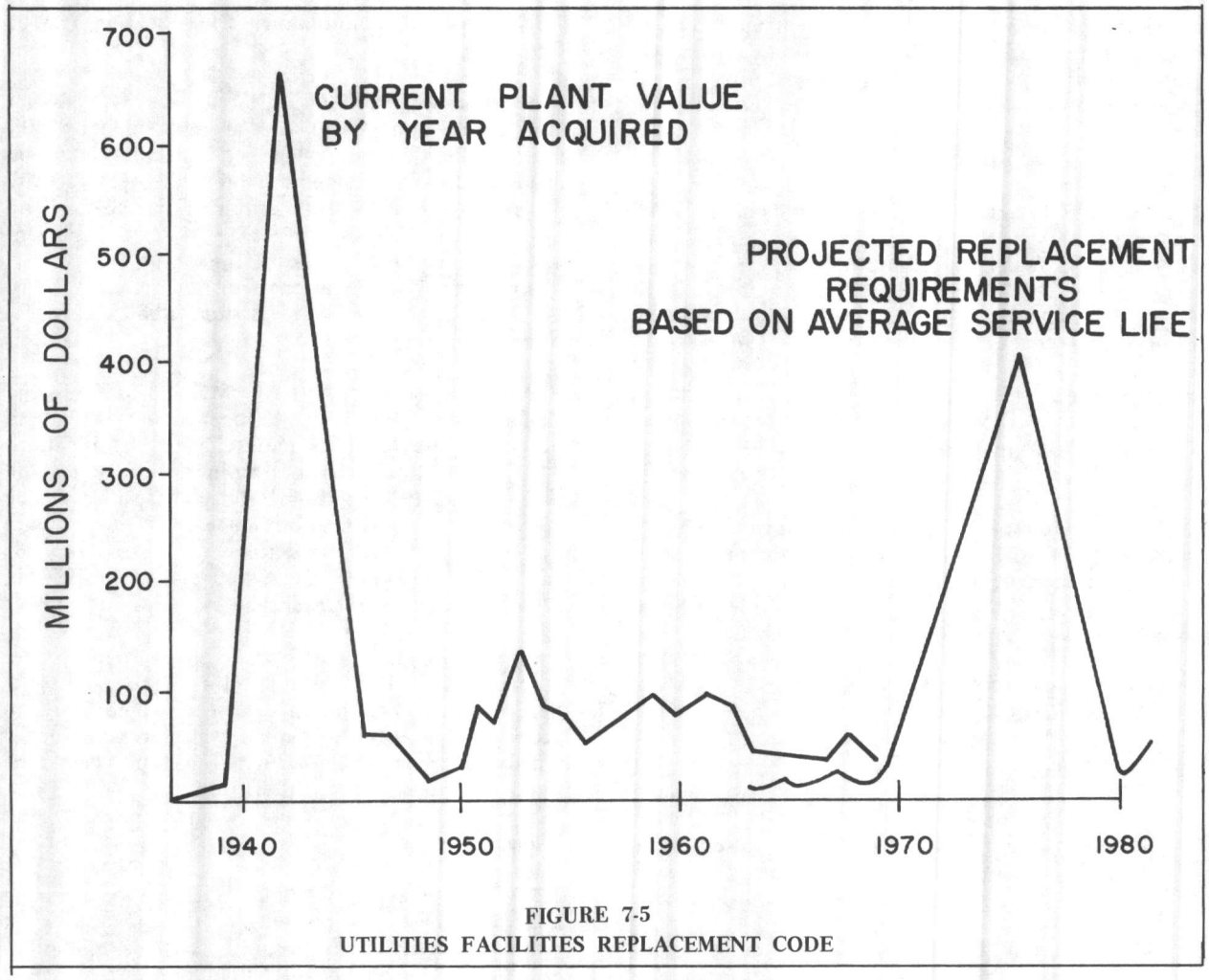

FIGURE 7-5
UTILITIES FACILITIES REPLACEMENT CODE

1. Operator Inspection consists of inspections, lubrications, and minor adjustments of equipment and systems to which a specific operator is assigned. Service work can be performed by the operator when authorized by the UDD. Other maintenance needs should be reported to the UDD.

2. Preventive Maintenance is a preplanned, systematic examination of equipment and systems to which an operator is not assigned. Involved is inspection for minor deficiencies, lubrication, minor adjustment and minor repairs. It may also apply to operator-attended equipment where the operator is not adequately qualified or may not have time to perform the inspection. Utilities Division personnel should perform these inspections. Be sure to include Cathodic Protection Systems in the PM program.

3. Control Inspection is the system of scheduled inspection or the testing of equipment and systems to provide examination of all items not included in operator and dynamic equipment inspections. Further, a control inspection assures the accuracy of the operator and dynamic equipment inspections. The UDD should plan the control inspections in cooperation with the MCD Director.

4. Supervisory Inspection is the informal, or spot, inspection performed by the PWO, APWO, and supervisors of the PW Department. This inspection is essentially intended to detect and report obvious maintenance needs.

Detailed inspection of time allowances for inspection, inspection records, and other requirements are contained in NAVFAC MO-321 and MO-322.

B. Work Input:

1. Service and Minor Work. The UDD should be authorized to approve minor work, service work and emergency work authorizations without prior review or approval of the Maitenance Control Division. However, to assure proper and

uniform reporting of charges, the work authorization should be processed in the regular manner discussed in Chapter 6. If the work is needed to meet an emergency, the UDD may assign utilities personnel, or request personnel from the Maintenance Division, prior to receipt of formal authorization.

2. Specific Work. Requests for specific jobs should be submitted by the UDD to the MCD, indicating timing or completion date for the work. In view of the adverse impact that a unilateral change could have on plant operations and the cost of utilities delivered, no work requested by the UDD or timing agreed to by him for accomplishing the work should be changed by the Maintenance Control or Maintenance Division without his prior approval.

C. Work Scheduling. Maintenance and repair work should be scheduled to permit orderly and economical accomplishment. Recurring work, such as painting, should be scheduled on a cyclical basis. For more complex and specialized work, the best qualifed persons to perfrom this work are those with operating experience. Every effort should be made to schedule the work when the operators are available. This will require the continued efforts of the UDD, MCDD and MDD.

An alternate would be to defer the work until the qualified persons are available. If it cannot be deferred, it may be possible to reassign personnel. Another alternative is to contract for the work.

7.5.4 Special Projects. Frequently there is a heavy backlog of major maintenance, repair or improvement items in the utilities area. When funds are not availabie from your O&M allocation, or the cost exceeds the authority level of your Commanding Officer, consider submission through the Special Projects procedure. Those projects that will result in savings of O&M funds, i.e., those that are self-amortizing usually receive top priority for funding from O&M funds retained by your Major Claimant. Normally, these projects should be amortized in less than 5 years. There is good, sound season for this limit. Many of the projects funded that are funded this way involve equipment that would not produce the desired savings if the period were any longer.

When you decide to submit a Special Project, forward it to your major claimant. The procedure for preparing and submitting Special Projects is detailed in Chapter 5.

PART 6 - SYSTEMS IMPROVEMENT

7.6.1 Background. The Navy's utilities systems have a net worth of approximately $4.5 billion or about 15% of the Navys real property investment. Not surprisingly, over 80% of the Navy's utility plants and systems were constructed before the end of World War II, with the preponderance of additions occuring during the war years. Refer to Figure 7-5. Consequently, an alarming percentage of our plants and systems have exceeded their average life expectancy of 30 years. Many have deteriorated and are uneconomical to operate.

Many technical factors have accelerated the decrease in utility support capability. Normal growth of utility loads due to increased standards of living, lighting levels, etc; the impact of environmental control and imposed requirements; increase of technical standards such as pressure and voltage increases for the nuclear fleet, telephone regulation, compatibility with commercial services; state of the art equipment obsolescence; and the continual impositions of inflation have all slowly reduced our margins of safety and operational support. The Navy now finds itself in a situation in which utility support of mission operation is sometimes not available and, more often, extremely unreliable.

7.6.2 Programming for Improvement. Recognizing the critical nature of utility support capability, CNO established a comprehensive Utiities Systems Improvement Program in mid-1969. NAVFACENGCOM was tasked with developing and implementing a systematic and continuing effort to identify Navy-wide utilities requirements, conditions, capacity, and deficiencies and to plan orderly improvement actions. OPNAVINST 11010.31 formalized this effort and assigned responsibilities and established uniform policies and procedures for the program. NAVFACINST 11310.41 implements that utilities improvement program (UIP) & directs EFD's to:

A. Conduct technical system condition/capacity surveys at all Naval activities to quantify the existing condition/capacity of all utility systems.

B. Determine validated utility support requirements for all activities.

C. Prepare a multi-year program for the removal of all validated deficiencies found during the technical surveys.

D. Refine utilities support requirements criteria to establish and validate utilities requirements deficiencies.

E. Use the priority rating system defined in the instruction to establish the relative impact of the deficiencies, of each system on the ability of the activity to meet its mission responsibility, to be used in project comparison.

7.6.3 Funding. The principal funding source is to be the Military Construction Program with the SFPS

being the tool for planning and logistic support requirements decision making and project submission. However, the utilities improvement effort must develop the potential of other funding sources or channels for correcting utility deficiencies.

7.6.4 Program Support. Although the EFD's have the major responsibility for accomplishing the program requirements, it is in the best interest of each shore activity to support the program, assist the EFD in the utilities improvement surveys, and promptly submit new or revised deficiency resolution projects resulting from the surveys. In this way existing and future utilities deficiencies will get the needed recognition and support in competition for the limited funds available for utilities projects.

PART 7 - COST COLLECTION AND REPORTING

7.7.1 Budgeting. For a discussion of budgeting, see Chapter 13.

7.7.2 Cost Collection. Cost collection is the basis for providing the expenditure data needed for preparation of the family of management and financial reports used in the Utilities Management Program. The cost collection system should provide for capture of data from all expenditure sources and must comply with the requirements of your support command and the provisions of the NAVCOMPT Manual.

A. Reports. Two general types of reports are used in the Utilities Management Program: Performance and Management/Financial Reports.

1. Performance Reports are the daily and weekly reports indicating plant production and operating conditions. They are prepared by the operating personnel.

Performance reports are designed to facilitate prompt action in controlling operations and in achieving greater efficiencies in operations. The reports should be used primarily by utilities supervisory personnel. However, some of the data recorded on these reports is needed for preparation of the management/financial reports.

2. Management/Financial Reports are the monthly and quarterly financial reports which compare planned manpower utilization with actual, and quantities produced with the cost of operation. This family of reports include:

Tabulated Report A - Feeder for Management B
Management Report B - Labor Control Report
NAVCOMPT 2126 - Utilities Feeder Report
NAVCOMPT 2127 - Utilities Cost Analysis Report, UCAR

Tab A, Management B and the 2126 are intended for local use. The Public Works Department is responsible for preparing the Management B and the 2126. The 2126 is vital to completion of the 2127 - the UCAR.

The Comptroller or Fiscal Officer is responsible for preparing the 2127.

Since PW personnel prepare the Management B and the 2126, they have a vested interest in the accuracy of the data included. This may not be true of the Comptroller or Fiscal Office personnel. The Tab A, and the 2127 are but a few of the plethora of reports for which they are responsible. Therefore, it is appropriate that a rough (pencil) copy of the 2127 be audited by a PW manager before final typing and mailing to higher command levels.

Preparation and uses of the management/financial reports are discussed in detail in the follwoing paragraphs. Additional information may be found in NAVCOMPT Manual, Volume 3, and NAVFAC P-96.

7.7.3 Utilities Feeder Data Report (NAVCOMPT 2126)

Instruction/References. NAVCOMPT Manual, Volume III, Chapter 7.

Prepared by. Public Works Utilities Division

Frequency. Monthly

Reviewed by. Comptroller - (Feeder data for 2127) PWO, Utilities Division Director.

Source Data. Operating logs or performance reports, fuel consumption reports, plant inventory records and NAVCOMPT 2127 (UCAR) for same reporting period of previous fiscal year.

Information Displayed and Sort. Quantities of utilities produced, purchased, and consumed by type. Also contains information on fuel consumption by type of fuel.

Purpose. Feeder information for Utilities Cost Analysis Report (UCAR) NAVCOMPT 2127.

Analysis of. Utilities Division Director should note and explain any signficant deviation from established standards or targets and forward to the Comptroller for attachment to the UCAR.

7.7.4 Utilities Cost Analysis (NAVCOMPT Form 2127)

Instruction/Reference. NAVCOMPT Manual, Volume III, Chapter 7.

Frequency. Reporting period based on fiscal year.

Annual Utilities Expense	Frequency Local Use	Higher Authority
*$500,000 or more	Monthly	**Quarterly
*$100,000 - $500,000	Quarterly	Quarterly
Less than $100,000	Annually	***Annually

* Annual Summary also required of all activities in these categories.
** Quarterly is due by the 25th day of the month following the end of the report period.
*** Annual UCAR due 15 days after officially closing accounting records.

Reviewed by:

Monthly. Public Works Department, Command major claimant (optional).

Quarterly. Public Works Department, EFD, local command, or major claimant.

Annual. Public Works Department, EFD, NAVFAC local command, claimant.

Source Data. Feeder Report, job orders, labor job time cards, stub requisitions, public vouchers, previous 2127 report(s), accounting ledgers, real property inventory, meter reading, and engineered estimates.

Information Displayed, and Sort. Unit cost and quantity data on heat, electricity, potable water, non-potable water, air conditioning, gas, pneumatic power, and other utilities broken down into appropriate components of cost and compare with targets and price charged.

Purpose. To determine unit costs of utilities delivered, produced or puchased to (1) permit establishment of utilities rates, and (2) compare actual unit costs with planned cost. To provide a rational base for budget estimating.

Management Analysis. Figure 7-9 lists a number of analysis ratios to measure various items from the UCAR. It is suggested that only the rates considered most relevant to a particular activity be plotted on a monthly or quarterly basis. Care should be taken to avoid charting too many items.

The following percentages can be used as acceptable guidelines for their respective rations:

1. Comparison of actual with planned quantities

   ± 5%

2. Labor costs vs. fuel costs - line 17 vs. line 18,
   (17 : 18) x 100%

   coal 50%
   oil/gas 20%

3. Boiler efficiency - line 1 vs. line 15,
   (1 : 15) x 100%

   normal 75-85%

4. Distribution loss - line 10 vs. line 6,
   (10 : 6) x 100% nor

   normal 10-15%

7.7.5 Other Utility Reports. Listed below are various reports and their directives which have limited or specialized uses, and for which illustrations is considered unnecessary. The new officer in Public Works should, nevertheless, check the applicability to command and initiate use if necessary.

DIRECTIVE	REPORT
NAVFACINST 11310.2	MUSE Status Report MUSE Shipping and Condition Report
NAVFACINST 5450.19	Report of Boiler Water Check Sample Boiler Water Test and Treatment Record Sewage Treatment Plant Operating Record Swimming Pool Operating Record External Boiler Feed Water Treatment Record Potable Water Supply and Distribution Operating Record Potable Water Treatment Plant Operating Record

NAVCOMPT FORM 2120 (REV. 8-68)
S/N-0104-704-0651

REPORT NAVCOMPT 7300-2

1. ACTIVITY NAME AND LOCATION | 2. UNIT IDENT. CODE | 3. AUTHORIZED SIGNATURE | DATE | 4. FOR PERIOD ENDING

SECT.	LINE NO.	ITEM	HEATING PLANTS: 750,000 TO 3.5 MIL BTU/HR 10^6 BTU'S	HEATING PLANTS: OVER 3.5 MIL BTU/HR 10^6 BTU'S	ELECTRICITY MKWH	POTABLE WATER MGAL	NON POTABLE WATER MGAL	SEWAGE MGAL	AIR CONDITIONING: 5 TO 25 TON TON/HOURS	AIR CONDITIONING: OVER 25 TONS TON/HOURS	GAS 10^6 BTU'S	PNEUMATIC POWER MCUFT	OTHER UTILITIES
1	2	3	4	5	6	7	8	9	10	11	12	13	14
I	1	GROSS PLANT PRODUCTION	6,864	6,796		11,182		13,588			163	10,810	
I	2	*LESS:* QUANTITIES USED IN PRODUCTION				355							
I	3	NET PLANT PRODUCTION (1-2)	6,864	6,796		10,827		13,588			163	10,810	
I	4	PURCHASED - INTRA NAVY											
I	5	PURCHASED - OTHER			6,919,395	19,623					34,136		
I	6	TOTAL (3 THRU 5)	6,864	6,796	6,919,395	30,450		13,588			34,299	10,810	
I	7	PRODUCTION AND PURCHASED QUANTITY TARGET	5,768	5,916	6,730,000	30,949					26,434		
I	8	INTERUTILITY TRANSFERS (FROM)	108	229	1,303,187	964					17,760		
I	9	NET UTILITIES PRODUCED AND PURCHASES (6-8)	6,756	6,567	8,616,208	29,486		13,588			16,539	10,810	
I	10	*LESS:* QUANTITIES LOST IN DISTRIBUTION	34	34	293,995	168					172	216	
I	11	NET QUANTITIES DELIVERED (9-10)	6,722	6,533	8,322,213	29,318		13,588			16,367	10,594	
I	13	RATED CAP. PROD./CENTRAL SUPPLY	48	63	25.5	S/G/P		2.4	785	1,662	102/54/02G	1,263	
I	14	MAXIMUM DEMAND	DNA	DNA	10,080	1,410		2,400			71.63	0.25 CFM	
I	15	FUEL QUANTITY USED											
		TYPE FUEL / BTU CONTENT / UNIT COST 10^6 BTU	FUEL QUANTITY CONSUMED (IN 10^6 BTU'S)										
		GAS (FIRM) 1100 0.636	2,806	2,591									338
		GAS (INT) 1100 0.463	5,057	5,479									1488
		LPG 108,465 0.11	575										568
		FUEL 142,000 0.084	142	426									1627
		TOTAL CONSUMED	8,580	8,496									4021
I	16	FUEL QUANTITY TARGET											
II	26	STEAM TO: a. QUANTITY								229			
II		b. UNIT COST PER 10^6 BTU								1.51			
II		c. COST PER UTILITY								345.07			
II	27	ELEC. TO: a. QUANTITY	8,759	8,672		48,649		2,473		460,374		118,046	
II		b. UNIT COST PER MKWH	.009	.009		.009		.009		.009		.009	
II		c. COST PER UTILITY	78.83	78.05		437.84		22.26		4,143.37		1,062.41	
II	28	POTABLE WATER TO: a. QUANTITY	5,745	81,120				49,700		475,332		128.065	
II		b. UNIT COST PER MGAL	0.22	0.22				0.22		0.22		0.22	
II		c. COST PER UTILITY	1.26	17.85				10.95		104.57		28.17	
II	29	NON POTABLE WATER TO: a. QUANTITY											
II		b. UNIT COST PER MGAL											
II		c. COST PER UTILITY											
II	30	a. QUANTITY											
II		b. UNIT COST											
II		c. COST PER UTILITY											
II	32	TOTAL TRANSFERS (FROM)	80.09	95.90		437.84				4593.01		1,090.58	

REMARKS:

FIGURE 7-6
UTILITIES FEEDER DATA REPORT

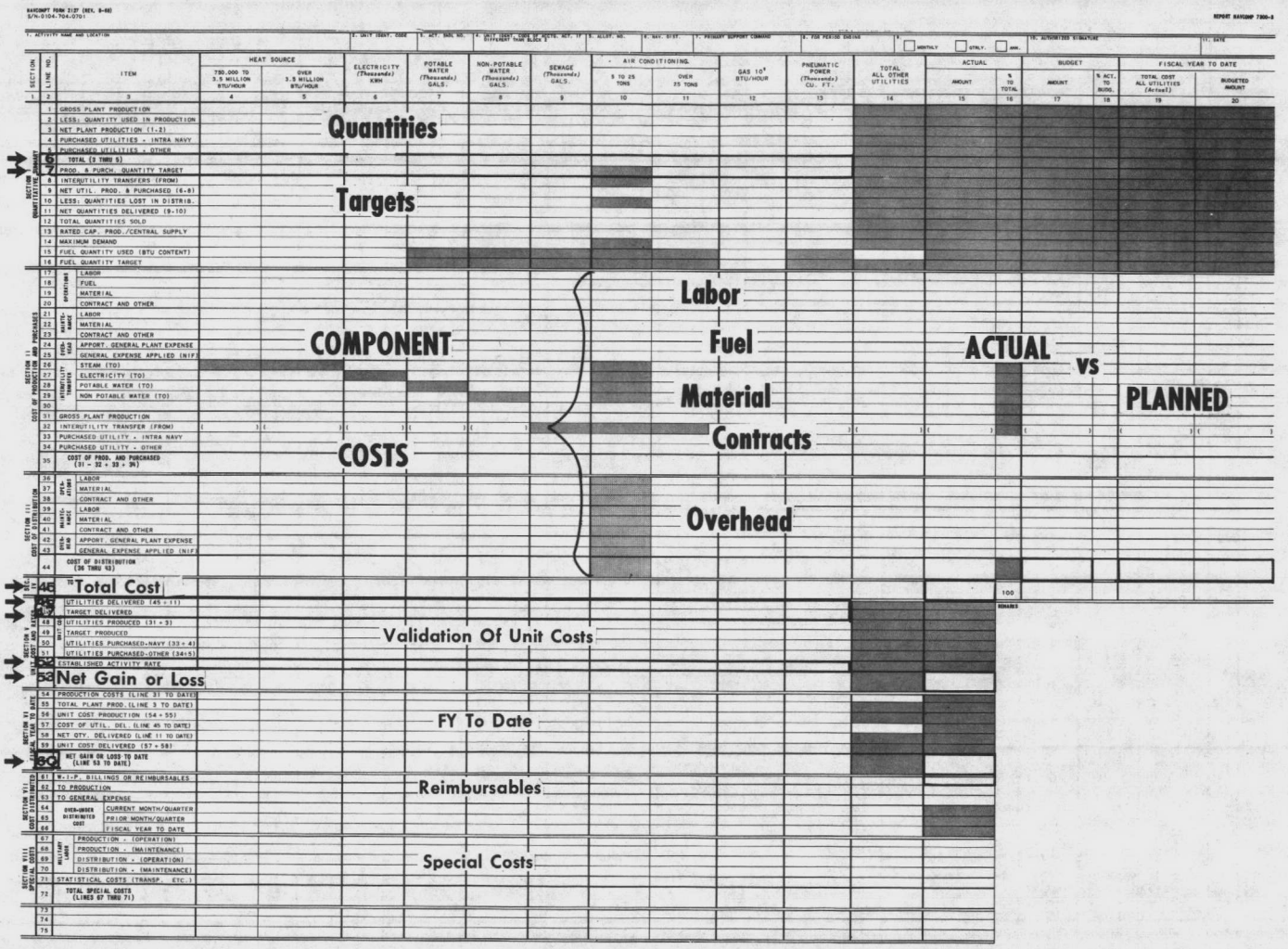

FIGURE 7-7
UTILITIES COST ANALYSIS REPORT

MEASURE	UCAR LINE ITEMS	SHOWS	HOW USED
Maintenance Labor to Material	Production: 21/22 Distribution: 39/40	Efficiency of Labor Performance	Compared to Norm
Plant Use to Capacity	14/13	(1) Overloaded Plant (2) Underloaded Plant	(1) Verify Reserve Capacity (2) Indicate reduce or deactivate excess
Plant Production Requirements	2/1	Wastage in operating auxiliary plant requirements	To increase efficiency
% Actual Maintenance Cost to Budget	Column 18 for Lines 21, 22, 23, 39, 40 and 41	Over/under Budget	(1) Indicates effective maintenance Planning (2) Need for revised maintenance budget or controls
% Actual Operations Cost to Budget	Column 18 for Lines 17, 18, 20, 24, 25, 26, 27, 28, 29, 30, 32, 33, 34, 36, 37, 38, 42, 43	Over/under Budget	Need to revise Budget or Control
Operation Labor to Plant Capacity	17/13	Labor Dollar Cost to Capacity of Plant	Established Labor Cost Standards used for Manpower Utilities and Staffing
Net Gain or Loss $'s	53	Loss or Gain of Funds to Performing Activities Allotment through Sales to Customers	Rates Planning
Maintenance Cost to Total	$\frac{21+22+23+39+40+41}{45}$	What portion of the Utilities dollars for Maintenance. Indicating Obsolescence.	Prompt Management Action to Upgrade Plants
Operation Labor to Gross Plant Production	17/31	Labor Dollar Cost Per Production Cost	Labor Cost Effectiveness Compared with Like Plants.
Quantity Loss in Distribution	10/9	Unusable Amount of Total Product Produced or Purchased.	Distr. Efficiency Compared Against a Standard Relayed to Dollar Wastage
Unit Cost to Unit Cost Target (Heat Sources only)	Delivered: 46/47	Plant Operating Efficiency	Compared Against Engineered Target-Reduce Cost
BTU Output to BTU Input (Heat Sources only)	3/15	Plant Operating Cost Efficiency	Compared Against Mfg. Rating-Reduce Cost
Quantity Target to Actual (Electric, Water and Heat only)	7/6	Actual Quantity to Target Quantity	Review Target Computations to Find Areas to Reduce Quantity Wastage. Standard 0.9 - 1.1

FIGURE 7-8
ANALYSIS RATIOS FOR MANAGEMENT FROM THE UTILITIES COST ANALYSIS REPORT

CHAPTER 8
TRANSPORTATION EQUIPMENT MANAGEMENT

The key to success in Transportation Fleet Management lies in equipment utilization. Allowances are in part determined by it; equipment replacement is a function of it; operations and maintenance funding varies with it — and command's transportation management effectiveness is largely measured by it. *All* aspects of transportation management are keyed in one way or another to the principle of maximizing utilization of each and every piece of Navy transportation equipment held by an activity.

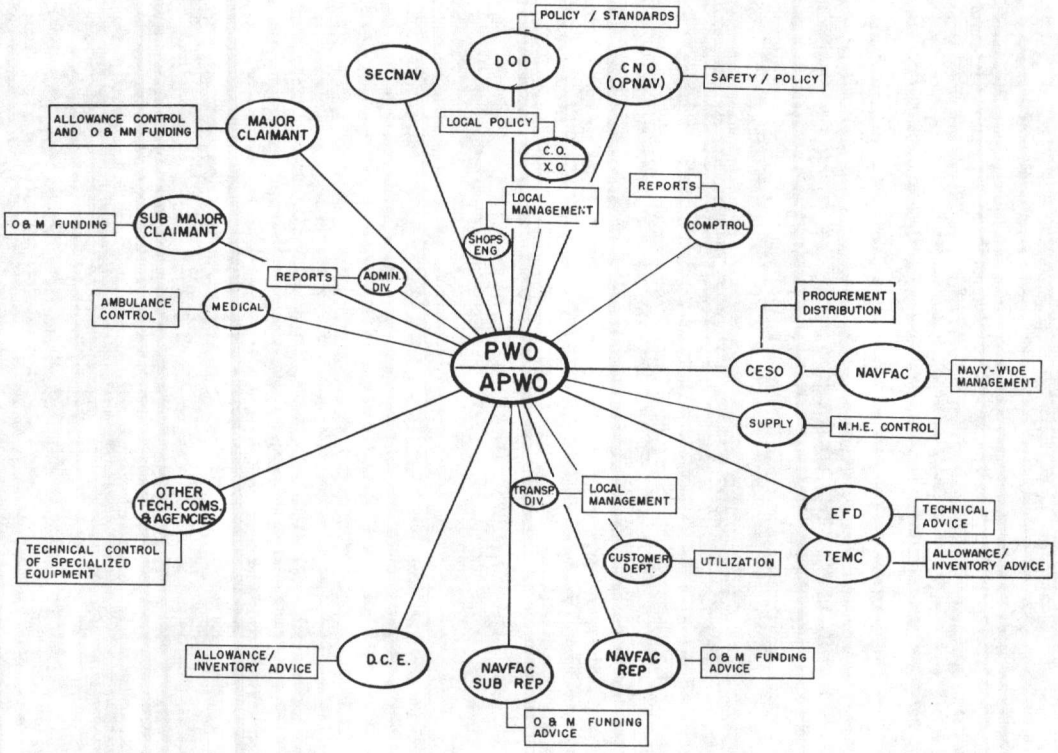

FIGURE 8-1
THE PLAYERS IN TRANSPORTATION MANAGEMENT

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REFERENCES

1. DOD Regulation 4500.36-R (current), Subj: Management, Acquisition and Use of Motor Vehicles.
2. NAVCOMPT Manual, Volume 3, Chapter 7...Instructions for NAVCOMPT Transportation Cost Report (TCR).
3. NAVFAC P-306, *Testing and Licensing of Construction Equipment Operators.*
4. NAVFAC DM-28, Maintenance Facilities.
5. NAVFAC MO-403, Navy Driver's Handbook.
6. NAVFAC P-68, Contracting Manual.
7. NAVFAC P-300, Subj: *Management of Transportation Equipment.....* The Primary Navy Reference for Transportation Equipment Management.
8. NAVFAC P-318, Public Works Departments; Organization and Function.
9. NAVFACINST 11200.12 (current), Subj: *Civil Engineering Support Equipment (Transportation Equipment); administration and control of...* Instructions for the Annual Allowance and Requirements Review.
10. NAVFACINST 11200.19 (current), Subj: *Civil Engineering Support Equipment (Transportation Equipment); Annual Requirements Review; mechanized process of...* Instructions for Requirements Cost Evaluation - Transportation Equipment Form.
11. NAVORD OP 2239, Driver's Handbook Ammunition, Explosives and Dangerous Articles.
12. OPNAVINST 11240.8 (current), Subj: *Automotive Vehicles, Construction & Weight Handling Equipment, Railway Equipment and Materials Handling Equipment; Centralized Management of.*

DEFINITIONS

Transportation Equipment. Includes all types of automotive vehicles, construction, railroad, fire-fighting and weight-handling equipment

Civil Engineering Support Equipment (CESE). Includes automotive equipment, construction and maintenance equipment, railroad equipment, and weight handling equipment (WHE). In brief, it is all transportation equipment for which NAVFAC is responsible and is the preponderence of all Navy transportation equipment. NAVAIR and NAVSUP manage Aircraft Ground Support Equipment (GSE) and Material Handling Equipment (MHE), respectively, which are not considered CESE.

Categories of Equipment. (For specific equipment codes see NAVCOMPT Manual, Vol. 3, Chapter 7.)

1. **Automotive Equipment.** All non-combat, self-propelled motor vehicles and trailers suitable for use on the highway or cross-country.

Equipment Alpha Groups: A to P, X and some Z

Equipment Cost Codes: 0060-0899 (A to P); 0900-0907 (Z); 7102-7500 (X); 7100-7501 (Z)

Except those codes designated in Alpha Group 0.

2. Construction and Maintenance equipment (ex: Front end loader, grader, etc.).

Equipment Alpha Groups: Q, S to U and some Z

Equipment Cost Codes: 2100-5950 (Q, S to U); 3175, 3530, 5126 thru 5155, 5160, 5410, 5415, 5420, 5421, 5450 thru 5500, 5530, 5702, 5900, 5910, 5912

3. **Railroad Equipment.** Locomotive and rolling stock designed primarily for use on rails, except for locomotive cranes. The term includes all Navy-owned powered railroad equipment including box, flat, gondola, etc., cars, and railroad right-away repair and maintenance equipments.

Equipment Alpha Groups: V and W and some Z

Equipment Cost Codes: 6100-6580 (V and W); 6700-6800 (Z)

4. **Weight-Handling Equipment (WHE).** Equipment including locomotive cranes used ashore in lifting large units of materials and sometimes used for loading and hauling.

Equipment Alpha Groups: Y, some Q and Z

Equipment Cost Codes: 8160 thru 8235 (Y); 8240 thru 8243 (Q); 8120 thru 8244, 8265, 8700, 8800 (Z)

5. **Materials-Handling Equipment (MHE).** Equipment used in handling materials on floors and paved surfaces in warehouses, plants and terminals. NAVSUP is responsible for procurement and distribution of MHE.

Equipment Alpha Group: R

Equipment Cost Codes: 1100-1900

6. **Specialized Equipment.** Vehicles and/or equipment designed for use by a specific command, bureau or office.

Equipment Alpha Group: Varies, but generally are F, O, P, V and X.

Equipment Cost Codes: Various, refer to page 7-54, NAVCOMPT Manual, Vol. III, Chapter 7.

7. **Aircraft Ground Support Equipment (GSE).** Specialized equipment used to support aircraft such as jet starters, high psi compressors, etc. NAVAIR is responsible for procurement and distribution on GSE.

Equipment Alpha Group: Q

8. **Miscellaneous Unnumbered Equipment.**

Equipment Alpha Group: Z

PART 1 — GENERAL POLICY

8.1.1 Authority and Control. The Chief of Naval Operations through the Chief of Naval Material has delegated the responsibility for the administration of the Navy Transportation Program to the Commander, Naval Facilities Engineering Command (figure 8-2). This responsibility includes the budgeting, acquisition and assignment of Civil Engineering Support Equipment (CESE) and providing policy, procedure, standards and guidelines, both technical and management, for operations and maintenance of CESE.

NAVFAC has material management responsibility for CESE transportation equipment. The transportation equipment allowance is aligned along command (claimant) lines. Claimants receive staff technical assistance from Transportation Equipment Management Centers (TEMC) at NAVFAC EFDs LANTDIV Norfolk, PACDIV Pearl Harbor, CHESDIV (Washington, D. C.) and SOUTHDIV Branch at Pensacola plus resident assistance is provided 11 and 13 Naval District activities by WESTDIV at San Bruno, California.

The Commanding Officer has primary responsibilities to the major claimant for the custody and operations and maintenance of transportation equipment.

The PWO is normally delegated authority to manage transportation by his Commanding Officer, except where a Public Works Center has control of the transportation equipment. The Transportation Division Director has the responsibility for routine day-to-day management of the transportation equipment issued to an activity. The responsibilities of the Public Works Department are spelled out under Scope and Objectives.

8.1.2 Scope and Objectives. The primary objectives of a Transportation Management Program are to optimize the:

A. Allowance and Inventory Available.

B. Orderly Procurement, Assignment and Replacement of Equipment.

C. Utilization of Equipment.

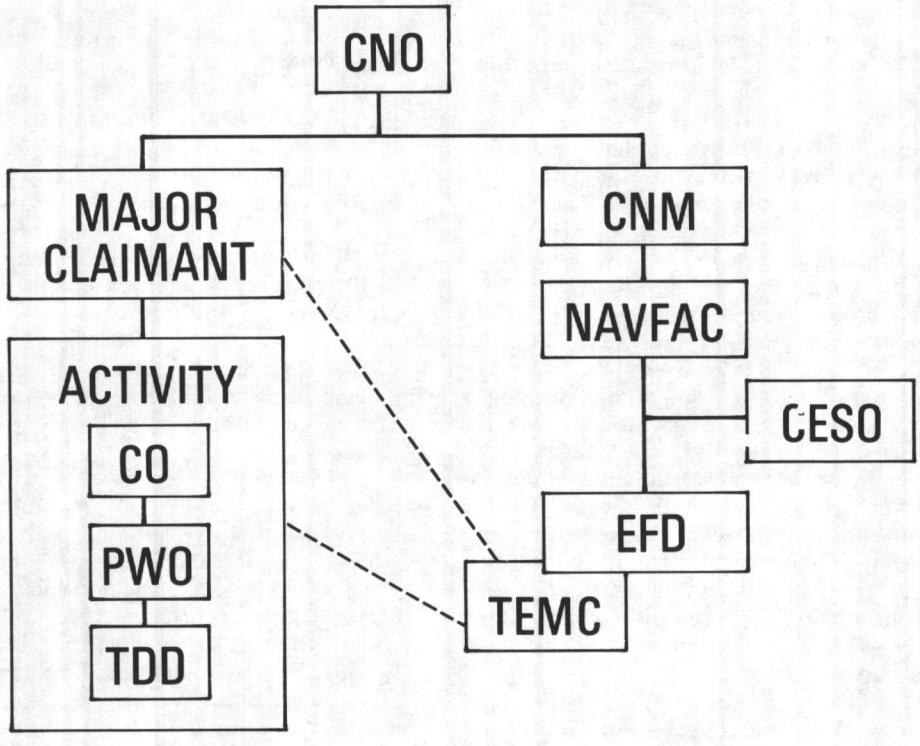


FIGURE 8-2
TRANSPORTATION EQUIPMENT MANAGEMENT ORGANIZATION

D. Availability of Safe Serviceable Equipment.

E. Safe and Lawful Operation of Equipment.

F. Economic Life of Equipment.

The Transportation Division Director at the activity is responsible for providing effective transportation services at an optimum cost. This encompasses equipment allowance and inventory control, procurement, replacement and disposal of equipment (including rentals), assignment and operation of equipment, maintenance and repair of equipment, driver education and licensing, and management analysis of cost and usage data to ensure cost effective utilization of resources. The primary concerns of the Public Works Officer are, normally, ensuring that the Transportation Division is providing adequate and responsive transportation support to the customer, that the future requirements are being identified in time to permit acquisition of equipment (this ordinarily means 2 or more years in advance) and that assigned equipment is being effectively maintained and utilized. The PWO is not normally responsible for utilization of certain types of specialized equipment such as ambulances or material handling equipment. These exceptions, which are spelled out in Chapter 1 of NAVFAC P-300 and in the definition section of this chapter, are under the technical responsibility of various other system commands. In most cases, however, the maintenance of these vehicles is carried out by the Public Works Transportation Division.

8.1.3 Organization and Staffing. The functional responsibilities, organizational components and staffing criteria of the Transportation Division, are discussed in part 2.3 of this manual as well as in NAVFAC P-318. Figure 8-5 depicts the functional organization of a typical Transportation Division. The functional areas listed for each branch depict the division of labor between the two branches.

Of all the personnel you may have in your Transportation Division the dispatcher will affect your effectiveness most. The dispatcher, along with the work receptionist in your Maintenance Control Division and your Housing Manager, are the Public Works Department representatives for over 90% of all contacts. It is important then that he or she be responsive and courteous to customers, meet their needs, and solve their daily problems. Your ability to effectively move people and material will depend on his or her resourcefulness.

8.1.4 Facility Requirements. Guidance on transportation facility requirements can be found in DM-28. As a general rule of thumb, there should be about 36 square feet of transportation maintenance shop for each piece of equipment in the inventory. Don't settle for inadequate facilities. This is the command's facility, and its commodity and condition should be better than marginal. Maintenance productivity is dependent in large measure on the condition of available facilities, and at today's high cost of labor, facility contribution to productivity is not to be ignored.

A. The Motor Pool. The Motor Pool should be located as close as possible to the "Centroid" of use. Consider the establishment of satellite pools in widely disbursed sites to achieve greater response. There is no restriction, for example, in setting up a satellite dispatch office manned by uniformed and trained operations personnel at or near the administrative office or MAA shack.

8.1.5 Authorized Types of Equipment. A complete listing of available Navy equipment and vehicles by the Department of Defense (DOD) and Navy Codes is contained in Appendix G of NAVFAC P-300. Figure 8-7 is a typical piece of CESE.

One of the precepts of transportation management is that the right piece of equipment for a job will save money. It follows that the personnel who are faced with deciding which piece of equipment to request as replacement items should be intimately familiar with the various equipment types.

Note that you are not limited by the Department of Defense lists. If you have a special requirement, your TEMC should be consulted.

PART 2 — INVENTORY MANAGEMENT

8.2.1 Objectives. The objectives which apply to inventory management are:

(1) the effective utilization of equipment and
(2) the orderly procurement, assignment and replacement of equipment.

The operational readiness of any activity can be enhanced by maintaining the proper quantity and kinds of equipment necessary to meet essential functions.

8.2.2 Allowance Control. Transportation equipment, like personnel, is subject to allowance control. Allowances for various categories of equipment at a Naval Activity are assigned and controlled by the Major Claimant on the advice of the TEMC. As with other resources, there is never enough transportation equipment available to fill 100% of all requirements. Available assets are apportioned out on a more or less "fair share" basis, with demonstrated utilization being the common measure of need. There are always exceptions, of course, based upon unique local conditions, but as a general rule, the above guidelines for allowance apportionment are true, and a sound justification

for an increase in allowance is the consistent exceeding of targeted mileage for that type of vehicle. *Allowance changes* are normally requested on the Annual Allowance and Requirements Review (see Section 8.6.3). Emergency requirements are negotiated on an individual basis with the Major Claimant and TEMC. The trick to exceeding assigned target mileage lies in local assignment and operation practices. Factors other than mileage which might be considered valid justification for increases in allowance are: (1) projected change or increase in activity mission; (2) substantial increases in the tempo of operations which cannot bear a year's experience under the existing allowance to demonstrate a need for allowance increases; (3) changes in operational procedures which can clearly be shown to require additional or different types of allowance. (Bear in mind that the claimant is also limited by an allowance, and unscheduled or unforeseen requirements means transferring vehicles within the claimant's allowance, not the creation of new allowances.)

8.2.3 Equipment Acquisition. The most salient feature of the Navy's equipment acquisition process is that it takes a long time — 2 or more years — to be specific. This means that you request transportation equipment replacements and additions for your relief or his relief. The reason for the delay is that the field requirements are assembled by claimants and TEMCs in priority order and forwarded to CESO, CBC Port Hueneme. CESO then determines the claimant fair share of budgeted funds and initiates procurement documentation to be forwarded to the procurement agency. After congressional action is completed the procurement and delivery requires 1 or more years to complete. A second notable feature is that acquisition can only be initiated once a year, in October, by way of the Activity *Annual Allowance and Requirements Review.* There are always emergency "short fuse" exceptions, but these always involve robbing some other station of a rightfully deserved and properly ordered piece of equipment.

There is another consideration: even if the PWO has done a marvelous job of justifying a new piece of equipment it may take many years to actually acquire it or it may never arrive at all. The reason is easy to surmise. In brief, the demand for the money used to buy this equipment (OPN) always far exceeds supply. As a result, the Navy is unable to replace equipment on an orderly schedule. Consequently, activities, are obliged to continue maintaining aged equipment — frequently well beyond the point where it makes prudent economic sense to do so. Though certainly a problem, this also presents to the PWO and his transportation department the challange of satisfying their customer's transportation demands with safe, sound, and reasonable looking equipment. Incidently, as noted in Figures 8-2 and 8-3, there is no reason to expect the problem of limited OPN funds to go away over the next several years.

A. Procurement Responsibilities. GSA procures motor vehicles up to and including 10,000 GVW. This includes buses, sedans, station wagons, pick-up trucks, and other small vehicles. A general summary of transportation procuring agencies is as follows:

Type of Equipment	Procurement Agency
Motor Vehicles, 10,000 GVW & Below.....	GSA
Motor Vehicles, above 10,000 GVW	Army
Construction Equipment.....	DSA
Firefighting Equipment (Structural).....	DSA
Firefighting Equipment (Crash)	Navy
Weight Handling Equipment.....	DSA
Railroad Equipment	Army
Other CESE (Specialized).....	Navy

The Naval Facilities Engineering Command (NAVFAC) has responsibility for the budgeting and release of procurement requests for the above types of equipment, including the preparation or selection of specifications.

8.2.4 Equipment Disposal. Unfortunately, you have to dispose of equipment for which you have received a replacement. You cannot strip it for parts. Procedures for disposal of equipment are covered in NAVFAC P-300. The basic procedure is the preparation and submission of a Standard Form 120 (Report of Excess Personal Property) to the TEMC who screens it for possible redistribution and then sends the SF120 on residual items to CESO for disposal. The only other action required at the station level is to hold the piece of equipment in its reported condition until instructions are received to transfer equipment to another allowance holder or move it to the Defense Property Disposal Office for disposal as excess.

8.2.5 Equipment Rental and Leasing. You can rent or lease vehicles and equipment. You can rent them in excess of your allowance for short periods if a valid requirement exists. In fact, rental is *preferable* to purchase when it will save money or fill a seasonal requirement. A few things to check when you are about to rent a vehicle are:

A. Make sure you really need it.

B. Make sure you can afford it.

C. Make sure you check the proposed rental with the TEMC.

D. Make sure you have informal contract authority.

The rules for rental of vehicles are outlined in Chapter 3 of P-300.

8-10B
NAVY PROCUREMENT OF AUTOMOTIVE AND CONSTRUCTION EQUIPMENT
OTHER (OPN) BUDGET BY YEARS PROCUREMENT, NAVY
(IN MILLIONS)

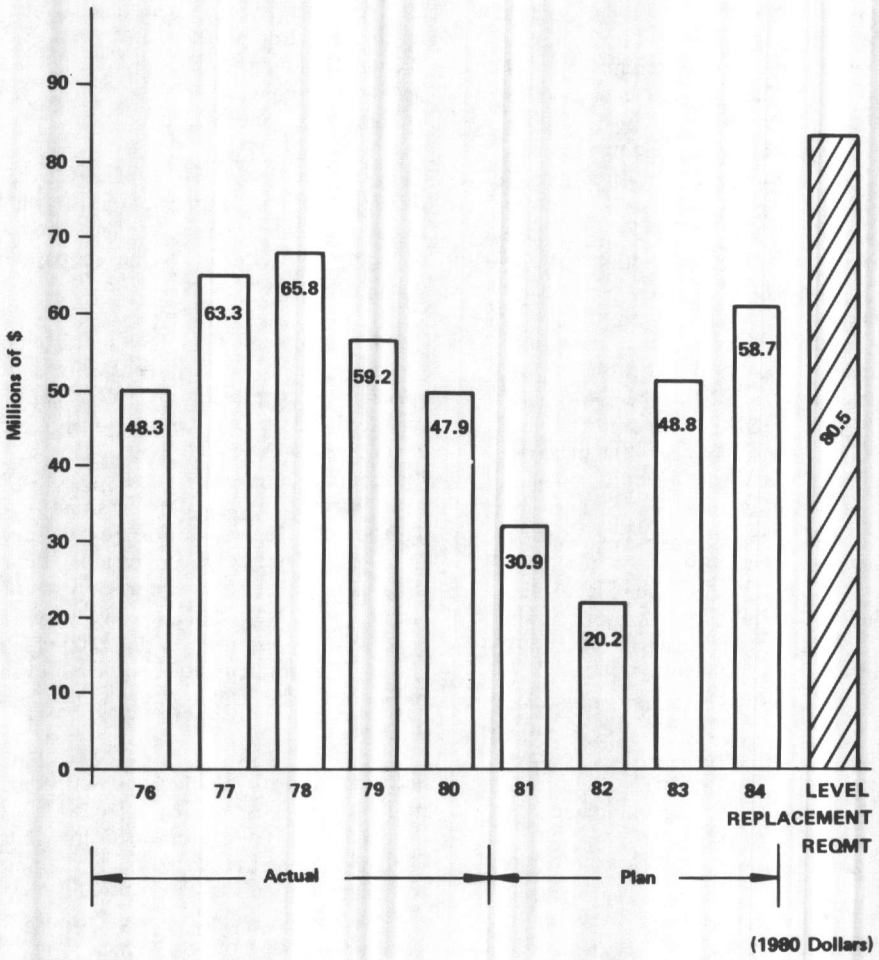
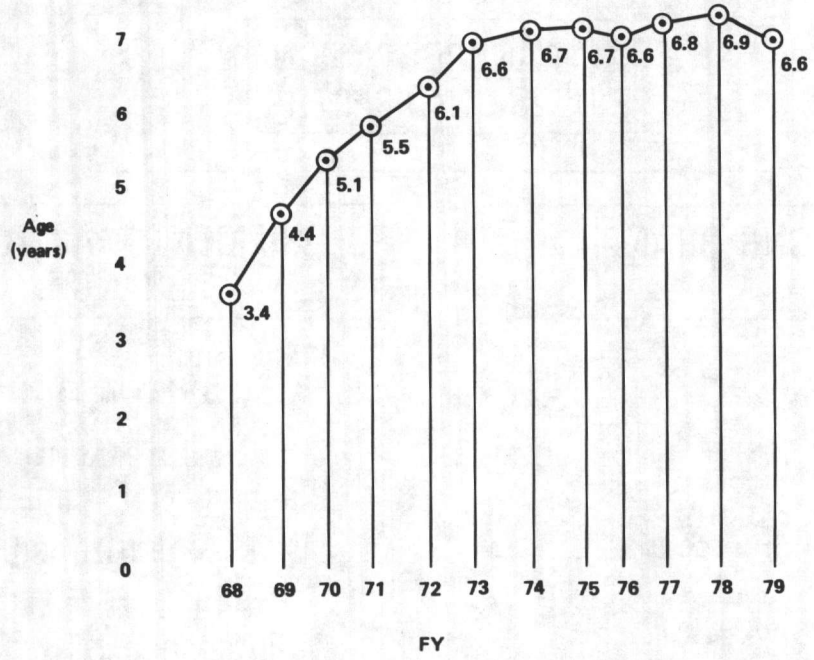


Figure 8-3

8-10C

TRANSPORTATION EQUIPMENT AGE TRENDS

Administrative Use Motor Vehicles (Sedans, buses, pickups, etc)



Note: As an approximation; if the average age of a fleet is 6.7 years, the normal vehicle would reach the age of 13 years (plus) prior to replacement.

Figure 8-4

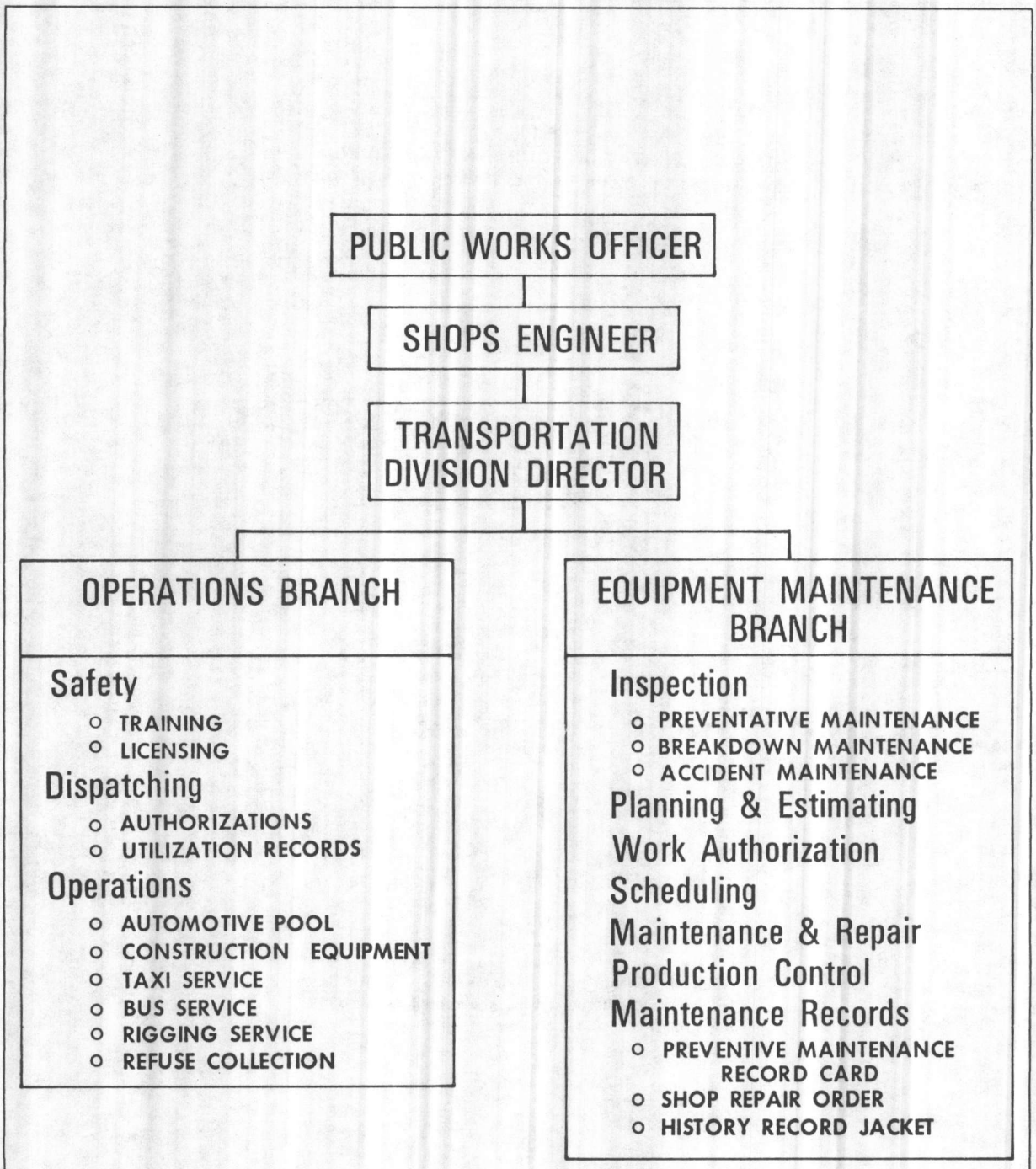


FIGURE 8-5

FUNCTIONAL ORGANIZATION FOR TRANSPORTATION MANAGEMENT

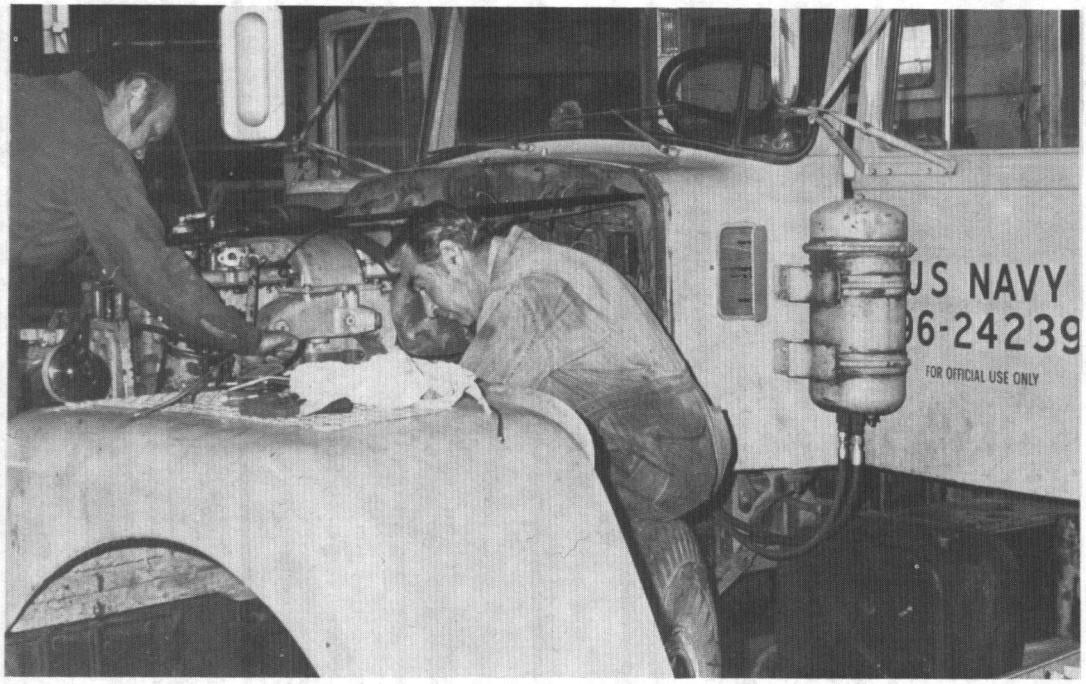


FIGURE 8-6
EQUIPMENT MECHANICS AT WORK, PUBLIC WORKS DEPARTMENT

8.2.6 Loan. Transportation equipment can be borrowed from or loaned to other Naval activities or to the Post Office. Loans to or from other Federal agencies shall be made in accordance with DOD Directive 4000.19.

PART 3 — VEHICLE AND EQUIPMENT ASSIGNMENT

8.3.1 Objectives. The principal objectives of vehicle and equipment assignments are: (1) to provide essential transportation services to the customer and (2) to provide such services in the most cost effective manner. This objective is best achieved through a mix of individual and organizational assignments of vehicles combined with the use of scheduled bus, taxi, truck services, and Class "C" assignments.

A. Types of Assignments

1. Class "A" Dispatch. A continuous vehicle (sedan) assignment to a *billet* on the basis of responsiblity or rank. Class "A" assignments must be approved by the Chief of Naval Operations. Normally a Commanding Officer's billet warrants a Class "A" vehicle, and properly documented requests for these will be approved. As you move down the chain of command, however, you will encounter increasing difficulty in obtaining approval for Class "A" assignments. Class "A" vehicles cannot be used for personal use, nor can they be used as transportation to and from work. The type and size of sedans which can be assigned are actually the subject of legislation. The command should be briefed on these parameters, as outlined in DOD Regulation 4500.36R.

2. Class "B" Dispatch. Class "B" Dispatch is the assignment of an automotive vehicle to an organizational unit of a command, or a tenant, on a continuous basis. Class "B" assignments are authorized by the Commanding Officer. Class "B" assignments should be made consistent with the mission requirements of the unit, and not merely as a matter of convenience. Utilization, though always important, should be secondary to mission requirements in a decision to authorize a Class "B" assignment.

3. Class "C" Dispatch. Pool vehicles are dispatched on an individual trip basis, either as "U-Drive" or chauffeured equipment. Since the tendency of a vehicle to wear out and break down increases with the number of drivers, "U-Drive" vehicles are usually in the shop more often than

FIGURE 8-7

TRUCK, REFUSE COLLECTION COMPACTION, 24 CY WITH CONTAINER HOIST

individually assigned or chauffeur driven vehicles. This tendency can be reduced somewhat by an active driver education and licensing program and by disciplining individuals who are observed abusing equipment.

B. Authorized Usage. Chapter 2 DOD Regulation 4500.36R presents a clear and specific list of authorized users and usage of DOD transportation equipment. It should serve as your first reference when questions as to usage arise. It is doubtful in fact, whether you can find a question of usage that isn't covered at least as a matter of general policy, within this instruction. "Official Use Only" is a matter of common sense which you must emphasize from time to time with your people.

8.3.2 Dispatching. Well coordinated dispatching of Class "C" pool vehicles can help solve (or avoid) many customer relations problems. As one of the two or three "public" points of contact in the department, the dispatcher plays a key role, not only in successful transportation operations, but also in projecting the image of the entire Public Works organization to the customer. His courtesy, flexibility, and dispatching skill will not only effect customer relations, but will result in smoother PM scheduling, reduced major maintenance (by being sensitive to driver complaints), maximum utilization of equipment and accurate records of vehicle use. A dispatcher should therefore be carefully screened and trained to ensure that he knows the capabilities and limitations of onhand equipment, is familiar with the local area and routes, is thoroughly versed in authorized usage and other regulations, has the ability to exercise good judgment and communicate tactfully with customers, and is knowledgeable in the local transportation emergency plan.

A. Trip Tickets. The trip ticket Vehicle/ Equipment Request and Record Form, NAVFAC 9-11240/1 (3-68) (Figure 8-8) is generally recognized and accepted for use in dispatching vehicles for all off-station trips. Trip tickets for on station use are optional but are seldom used. Whenever a utilization study is required, it may be necessary to apply the trip ticket to all operations as a means of gathering data.

B. Types of Dispatch. There are three classes of dispatch: "on call," "scheduled," and "U-Drive-It."

1. On Call Dispatches. "On call" dispatches are for those services which can be performed by the one time dispatch of a vehicle for short periods of time, usually not longer than a duty day. This includes the dispatch of a pool "taxi vehicle" or providing a "U-drive-it" vehicle for operation by the user. This portion of the motor pool resources normally satisfies the bulk of the installations administrative vehicle requirements. This type service must respond to transportation requirements of an intermittent nature and can consist of normal or radio dispatch. However, radio equipped vehicles provide an additional element of control and response.

VEHICLE/EQUIPMENT REQUEST AND RECORD

NAVFAC 9-11240/1 (3-68) S/N-0105-004-1150
Supersedes NAVDOCKS 11240/1 (5-65)

PART A. *To be filled in by Requesting Activity.*

1. REQUESTING ACTIVITY	2. TYPE EQUIP. REQUESTED	3. WITH OPERATOR ☐ YES ☐ NO
4. REPORT TO *(Name, Bldg., Room)*		5. PHONE
6. REPORTING TIME: DATE / TIME	7. DESTINATION	
8. ACCOUNTING DATA CHARGEABLE		
9. SIGNATURE OF REQUESTER		10. DATE

PART B. *Transportation Dept. fill in on receipt of request.*

1. REQUEST RECEIVED: DATE / TIME	2. RECEIVED BY *(Dispatcher)*

PART C. DISPATCH AND USE INFORMATION

1. USN REGISTRATION NO.	2. EQUIP. TYPE	3. EQUIP. CODE
4. DATE DISPATCHED	6. TIME: IN / OUT	7. TOTAL HOURS USED
5. DATE RETURNED	8. METER READING: IN / OUT	9. TOTAL MILES
10. DISPATCHER'S SIGNATURE		11. WORK CENTER
12. FUEL PURCHASED FROM OUTSIDE SOURCES:	NO. GALLONS	COST $

13. REMARKS *(Relevant trip information and/or vehicle deficiency)*

Trip information to be entered on reverse side.

FRONT SIDE

PART D. TRIP INFORMATION

DESTINATION	TIME: ARRIVE	TIME: DEPART	ODOMETER READING	REPORT TO
1	2	3	4	5

I certify equipment was used for OFFICIAL purposes.

1ST OPERATOR *(Signature)*	2ND OPERATOR *(Signature)*

NAVFAC 9-11240/1 (3-68) (BACK)
☆U.S. GOVERNMENT PRINTING OFFICE: 1973—789-381/5276

BACK SIDE

FIGURE 8-8
TRIP TICKET REPORT

2. Scheduled Service. Scheduled dispatch services provide for the operation of vehicles on a regular schedule. Each installation or activity normally has requirements for scheduled transportation services in the form of bus service, taxi service, or freight hauling. Requirements of this type are usually for services between offices and operational sections and satellited activities of the installation. These services may be intrastation or interstation services, depending on the geographic layout of the installation. Normally interstation service will be for trips not to exceed 75 miles one way or 150 miles a day. It is DOD and Navy policy not to compete with commercial carriers. Scheduled services will normally range from scheduled activity bus service (shuttle bus service) for the movement of station personnel to scheduled truck delivery services for laundry, commissary, supply, mail, and transportation for dependent school children. The installation standing operating procedure for motor transport services normally will prescribe the extent of scheduled activity bus services which will be used and set forth the criteria and circumstances under which other passenger vehicles may be requested in lieu of those services.

3. U-Drive-It Dispatch Service. Vehicles in this category are normally passenger and light cargo trucks, made available to using organizations and activities of the installation for support of official use functions and operated by personnel assigned to the using agency. Dispatch periods range from single trips of short duration to trips associated with the travel portion of temporary duty. U-Drive-It services may also be used to meet peak workloads, one-time requirements of a singular nature, or to provide vehicles of a particular type of design. All operators of U-Drive-It vehicles must be properly licensed, qualified, and thoroughly familiar with the local motor vehicle transport operating procedures of the installation. Control of the operation of U-Drive-It vehicles will extend to providing procedures which will (1) assure against vehicle misuse and (2) assign responsibilities for safety and security of the vehicle.

8.3.3 Utilization and Targets. As has been stated, sound utilization of assigned equipment is one of the goals of transportation management. Each category of administrative use equipment at an activity is assigned a utilization target, expressed either in miles or hours. The actual usage, expressed as a percentage of the target, is called the utilization factor and is used as an important measure of transportation management effectiveness and activity need for the various equipment codes by those who control allowances and vehicle replacement. Vehicle utilization is jointly targeted by the station and TEMC. Utilization is computed on an average basis for each equipment alpha code subject to the program. Not all vehicles and equipment are subject to targeting. Examples of exceptions are fire trucks, ambulances or other specialized equipment or vehicles in a transportation pool with less than 10 vehicles. The fact that a vehicle, or class of the vehicle, is not subject to high utilization does not exempt it from the replacement criteria of mileage and age as outlined in P-300. Mileage or hour targets are established and modified primarily on the basis of historical mileage. Part of the utilization review process also includes review of Class "B" vehicles assigned based upon mileage or demonstrated need. The document which is used to review utilization at the TEMC is the Annual Allowance and Requirements Review, column 3d, NAVFAC Form 11200/28.

Utilization at the activity level is monitored through quarterly utilization reports, NAVFAC 9-11240. Targeting procedures are explained in detail in the NAVFAC P-300 (Chapter 6).

A. Utilization Control. The most pressing question for the PWO is "How can I control utilization?" The specific answers to this question are to be found only at the individual activity, however, various clues, tips, procedures, and other remedies are presented herein to at least give the beginner some idea of how to tackle the problem.

There are several reasons why an equipment items is not achieving a target. The following are listed to prime the pump of management action.

You can control these elements, which effect utilization:

1. Command Policies
2. B and C assignments
3. Rotation of vehicles
4. Dispatch coordination
5. Types of Class "C" dispatch
6. Maintenance schedules
7. Maintenance downtime (deadline)
8. Targets (in part)
9. Parts supply (in part)
10. Legitimate usage
11. Vehicle rental
12. Accidents

B. Tips:

1. Inform the Commanding Officer. Make a formal, illustrated 10 minute briefing to the Commanding Officer on the effects of utilization on allowance, vehicle replacement, and maintenance. At the same time, explain CNO and DOD policies on Class "A" and "B" assignments. This time will solve most of your problems before they become problems and will buy credibility.

2. Inform the Customer. Publish the Commanding Officer's briefing in the station newspaper.

3. Monitor Utilization. Make sure that accurate quarterly utilization reports are being prepared and analyzed by the Transportation Division — with cooperation from "B" assignment holders. Make sure that the Transportation Division Director is identifying and tracking significant variances in vehicle utilization.

4. Isolate the Offender. A lag in utilization can usually be attributed to a particular assignment or assignment holder (specific vehicles).

5. Don't Jump the Gun. Get at least six months data — or enough to establish a trend, before taking corrective action. Don't play musical assignments.

6. Communicate. Discuss low utilization with the principal recipient of the service in question. Chances are, when he hears the problem, he will come up with the solution.

7. Check the Target. Maybe it is no longer valid. With "B" assignments, remember that *need* is a criteria along with mileage targets. If necessary, phone and then write the TEMC requesting an adjustment.

8. Switch Vehicles. This won't effect utilization averages, but will assure uniform replacement of the fleet.

9. Rent Vehicles. Do you have a permanent assignment for a seasonal requirement? Consider rental. For periods of under 30 days, you don't even need an allowance. Periods in excess of 30 days require approval from higher authority (NAVFAC P-300, Chapter 3).

10. Cut Your Allowance. It might sound preposterous, but if you actually don't need a vehicle, it is not worth fighting to retain it. If you beat the TEMC to the punch in this area, they will be so flabbergasted and off balance that you will be able to get instant approval on the next request you hit them with.

11. Switch Drivers and Vehicles in the "C" Pool. There should be no discrimination against vehicles on the basis of make or model.

12. Switch Runs. Rotate the vehicles on the long-haul run. Again, this is to balance usage, not increase utilization.

13. Coordinate Maintenance. To maximize vehicle availability (NAVFAC P-300 Chapter 18).

14. Prevent Excessive Downtime. This can be done in several ways discussed in Part 4. The standard is 7%, and this breaks down to 2% waiting, 2% being worked and 3% awaiting parts.

15. Cut Down on "Dead" Time. How much total time do your trucks spend on each short run? More coordination might be indicated.

8.3.4 Driver Training and Safety. Navy vehicles require drivers with Navy driver's ID SF46 as well as a state license. Navy driver's tests, when required, are normally administered by an operator examiner of the Transportation Division. Guidance on driver training is contained in NAVFAC P-300, NAVFAC MO-403, *Navy Driver's Handbook*, NAVFAC P-306, *Testing and Licensing of Construction Equipment Operators,* and NAVORD OP2239, *Driver's Handbook Ammunition, Explosives, and Dangerous Articles.* It is notable that Driver Safety Programs stem directly from CNO. Your dispatchers should check driver's licenses of personnel checking out Class "U-Drive-It" dispatch vehicles.

Sailors drive ships with a lot more care than they drive vehicles. The Station Safety Office has responsibility for the preparation and promulgation of safety regulations for all Navy automotive vehicles and other transportation equipment. It is always sound policy to promote safe driving through posters, POD notices, and occasional lectures with accident movies. In addition to the obvious benefits of fewer accidents, careful driving can drastically reduce the less dramatic maintenance expenditures for burned up clutches, tires and brakes, broken transmissions, and other by-products of haphazard and sloppy driving practices. The only way to curb observed careless driving is to take the time to track the driver down and discipline him.

DECAT (Driver Energy Conservation Awareness Training) is a program currently available from DOE (Department of Energy) in Las Vegas. Upon completion of this 3 day program, personnel can conduct training at their activities with small expense by local C.O.'s for basic equipment. CNO is encouraging a Navy version of DECAT and an instructon is anticipated in FY81. Contact FAC 1202A AV 221-8188 for information.

8.3.5 Operation of Construction and Weight Handling Equipment. Operation of construction equipment at a Naval activity will normally pose very few problems because it is largely an "in-house" Public Works operation. Weight handling equipment maintenance and operation has had high level attention of late. You must certify your cranes annually as being safe and reliable. Read and understand the new program for inspection, test and certification of this equipment in Chapter 21 of P-300. A few of the typical problems that are likely to arise are: (1) coordination problems with the Maintenance Division; (2) problems involving equipment capabilities (don't succumb to the temptation to misuse construction equipment! In these matters,

the *operator,* not you or the Maintenance Division Director, is the expert); and (3) maintenance problems involving long lead time parts procurement. Each of these problem areas can be minimized with the Shop Engineer's and PWO's attention. The parts problem, if it exists, can usually be sidestepped by contracting for major maintenance of construction equipment.

It should be borne in mind that most construction equipment is subject to utilization analysis, just as your road vehicles are.

8.3.6 Equipment Records. Records are kept of the acquisition assignment, usage, and maintenance history of every piece of transportation equipment. The purpose of these records is to provide data which will enable management to pinpoint excessive cost areas, poor utilization, and recurring problems in maintenance. Acquisition (manufacturer's) data and record of maintenance in the form of old shop repair orders are maintained in individual equipment history jackets. Utilization and assignment data is recorded by equipment type and user on quarterly utilization reports and annually on the Transportation Cost Report (NAVCOMPT) which also lists cost data for maintenance and operation (see Chapter 17, P-300). The necessity of the various records kept on Navy Transportation has often been questioned, but, to date, no alternatives have been proposed which will satisfy DOD and Federal information requirements while giving local management the necessary detail of information on which to base decisions. Apathy or dismissal of records as "unnecessary paperwork" at the division or branch level is symptomatic of a lack of understanding of the basic management objectives in transportation or just plain laziness. Insist on cost effective budgets (NAVCOMPT 2169) and hold the Transportation Division Director to performance within the budget.

PART 4 — TRANSPORTATION MAINTENANCE MANAGEMENT

8.4.1 Maintenance and Repair: The objectives of Navy transportation maintenance vary little from the objectives of a private owner with regard to maintaining his own automobile. The prime objective of maintenance management at the activity is to keep the fleet on the road in a safe and serviceable condition and maximize economic life at the optimum cost. The key to effective maintenance lies in maintaining *only as necessary* — not maintaining vehicles in perfect condition — and in effective maintenance scheduling and accomplishment. The procedures used to accomplish these objectives are essentially the same as in the

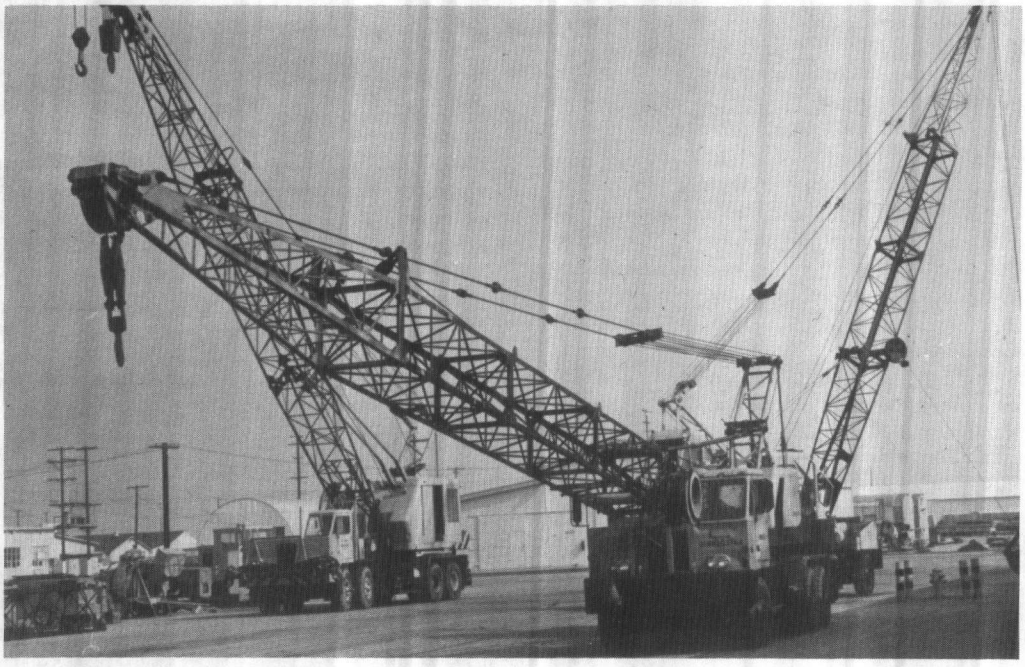


FIGURE 8-9
CRANES

maintenance management programming, namely systematic preventative maintenance and inspections, orderly work generation and reception, work classification, consistent planning and estimating, utilization of established estimating guides, workload programming and scheduling, and systematic record keeping for subsequent analysis and management action.

A. Service Contract Performance. In most cases, transportation maintenance is considered a Commercial/Industrial Type Activity (CITA). As such, it is a candidate for review and possible cost study to determine if the function can be performed effectively and economically in-house or by contract. Further, regardless of comparative costs, Commercial/Industrial type functions, like transportation maintenance, will be driven to contract because of imposed ceiling point reductions. Accordingly, the CITA strategy and cost study method is a useful tool in isolating the best candidates for contracting out. A synopsis of the Navy CITA program is included in Chapter 2, part 7 of this manual.

B. Preventative Maintenance. There are three types of PM: Driver/Operator PM (or operator inspection); Service Station PM; and Scheduled PM. The biggest problem with the Driver Maintenance is in getting the driver to do it. (This is not as great a problem with construction equipment.) Each trip ticket issued is accompanied by a NAVFAC Form 9-11240/13 (12-69) (figure 8-10) which is nothing more than a checkoff list on which a driver can note conditions which don't seem right to him. The instructions are very explicit. Even where a trip ticket is not used, every driver should be required to complete an Operators Inspection Guide and trouble report after each day. This should be required on both "B" and "C" assigned as well as regular transportation drivers. This is the only way you can ensure safe and reliable equipment.

The second problem is the occasional instance where discrepancies are noted, but no corrective action is initiated by the dispatcher. These problems stem from laziness, ignorance, or both and should be dealt with as such. Lack of early identification and correction of certain deficiencies can not only result in the compounding of maintenance costs but can also endanger human life and property.

C. Service Station PM. Service Station PM is of the same type you would expect from any first rate filling station when you purchase gas; namely, washing the windshield, checking the oil, battery and radiator water, fanbelt, tire condition, etc. Unfortunately, inroads in personnel ceilings have sometimes curtailed this type of maintenance, but provide it if you can. This represents one of the "visible" areas of Public Works.

OPERATOR'S INSPECTION GUIDE AND TROUBLE REPORT

REGISTRATION NO.	ODOMETER READING

Use this form as a guide when performing before and after operation inspections. Check (√) items that require servicing by maintenance personnel.

	1. DAMAGE *(Exterior/Interior/Missing Components)*
	2. LEAKS *(Oil, Gas, Water)*
	3. TIRES *(Check inflation, abnormal wear)*
	4. FUEL, OIL, WATER SUPPLY *(Antifreeze in season)*
	5. BATTERY *(Check water level, cables, etc.)*
	6. HORN
	7. LIGHTS/REFLECTORS/MIRRORS/TURN SIGNALS
	8. INSTRUMENTS *(Oil, Air, Temperature, etc.)*
	9. WINDSHIELD WIPER
	10. CLEAN WINDSHIELD/VEHICLE INTERIOR
	11. CARGO, MOUNTED EQUIPMENT
	12. STEERING
	13. SAFETY DEVICES *(Seat belts, flares, etc.)*
	14. DRIVE BELTS/PULLEYS
	15. BRAKES *(Drain air tank when equipped)*
	16. OTHER *(Specify in "Remarks")*

DATE	OPERATOR'S SIGNATURE

REMARKS

NAVFAC 9-11240/13 (12-69) A-23796
Supersedes DD Form 1358
S/N-0105-004-1195

FIGURE 8-10

D. Scheduled Preventative Maintenance, the third type of PM, is where most actual maintenance takes place. This type of PM is the equivalent to taking your own car in for an oil change and service. Schedules for PM are the responsibility of the Equipment Maintenance Branch and are kept in the form of PM Record Cards (Figure 8-11) in a "tickler" card file. Vehicles will be maintained according to manufacturer's recommendations.

8.4.2 Repair Procedures. A Shop Repair Order (SRO) (Figure 8-12) is the transportation equivalent of the specific job order. It is normally initiated by the Control Section Inspector/Estimator or other specifically authorized personnel designated by the Equipment Maintenance Branch supervisors. It is the authorizing document, estimating form, and cost control record of maintenance expenditures. Repair costs are estimated in advance on it to ensure that costs do not exceed economic limitations (half of current value) and to provide a standard against which to measure actual job performance and productivity of the mechanics. Estimates for transportation repairs are taken from Commercial "Flat Rate Manuals" or estimating guides. Actual labor costs and material costs are logged on the SRO by shop personnel, and the completed

ASSIGNED TO		PHONE	TYPE OF ASSIGNMENT	EQUIP. CODE	JOB ORDER NO.	PM GROUP
MAKE		MODEL	TYPE	YEAR	EST. ANNUAL MI/HRS	USN REG. NO.

TYPE PM	DATE	CUMULATIVE MILEAGE OR HRS. OPN.	MILES (OR HRS) SINCE LAST PM	MILES (OR HRS) REPORTED FOR 6 MO. PERIOD	TYPE PM	DATE	CUMULATIVE MILEAGE OR HRS. OPN.	MILES (OR HRS) SINCE LAST PM	MILES (OR HRS) REPORTED FOR 6 MO. PERIOD
LAST A			ENTRIES TRANSFERRED FROM PRIOR RECORD						
LAST B									
LAST C									
	*		LAST SEMI-ANNUAL ENTRY						
	*		MI. (OR HRS) AT TRANSFER						

* *These two entries made on temporary card on transfer of equipment.*

PM RECORD CARD NAVDOCKS 1949 (REV. 12-62)

FIGURE 8-11
PREVENTATIVE MAINTENANCE CARD

NAVFAC 9-11200/3A18X4 9-67) SUPERSEDES NAVDOCKS 1948 S/N-0108-004-1000

SHOP REPAIR ORDER PAGE ___ OF ___

(1) SRO NUMBER 05387 (2) JOB ORDER NUMBER 92C0105 (3) USN NUMBER 22-15615

(3) EQUIPMENT DESCRIPTION: (4) MAKE: GMC (5) MODEL: 5SA (6) YEAR: 1968 (7) EQUIP. CODE: 080 (8) DOD ALPHA: 200

(9) ACTIVITY: (123) NS EUREKA (10) PHONE NUMBER: 2684 (11) LAST "A" TYPE PM (12) LAST "B" TYPE PM (13) LAST "C" TYPE PM (14) ACCU. MILES/HRS.

TO BE COMPLETED UPON EQUIPMENT AVAILABILITY FOR MAINTENANCE REPAIR

PM GROUP (15): 24 | PM TYPE DUE (16): 6/2/71 | (18) DOWNTIME: IN DATE 7/19/71 TIME 1100; OUT DATE 7-22-71 TIME 1330 | TOTAL HOURS: 26.0 | (19) PRESENT METER READING: 33179

(20) WORK GENERATION (Check applicable box): [X] 1 - SCHEDULED [ ] 2 - INTERIM [ ] 3 - BREAKDOWN [ ] 4 - ACCIDENT

(21) SCHED. FOR REPLACE (Approx. No. Months): [ ] 3 [ ] 6 [ ] 12

(22) WORK PERFORMANCE: [ ] 1 - OWN ACT. EQUIP. [ ] 2 - CUST. EQUIP.

(23) REPAIRED BY: [ ] 1 - OTHER GOVT/SHOP [ ] 2 - COMM. CONT

(24) MATERIAL RECORD

QTY.	(25) DESCRIPTION	(26) MFR. PART NO.	(27) AMOUNT
1	Air Cleaner Element Assy		
1	Fuel Filter Element		
1	Set Front linings		
1	set Rear linings		
2	wheel Cyl. Kit Front		
2	Wheel Cyl. Kit Rear		
1	Filter oil Ref.	Rec	

(28) WORK CTR.	(29) LCC	(30) MAN-HRS. STD.	(30) MAN-HRS. ACT.	(31) WORK DESCRIPTION	(32) MECH. INIT.
1971	6	1.2	1.2	LUBE CHASSIS (SERVICE AIR CLEANER AND BATTERY) [X]	
				CHANGE MOTOR OIL AND FILTER CARTRIDGE [X]	
1971	12	.2		REPLACE BATTERY (CLEAN TERMINAL AND BOX) [X]	
1971	18	.6		ADJUST BRAKES Bleed [X]	
1971	9	2	2.2	Renew Air Filters	
1971	13	.3	.5	Renew Fuel Filter	
1971	12	.5	2.1	Clean Horn Circuit	
1971	9	.5	3.2	Clean smog valves & all Lines	
1971	11	.8	2.8	Clean & set Dwell & timing	
1971	6	.3		Lube & Free up Hood Hinges	
				R&R Right Front wheel For	
1971	18	.5		Brake inspection	
1971	18	7.5		Renew (4) Brake Shoes, adj shoes To Fit drums	
				True (4) Drums & Rebuild (4) wh. cyls	

(33) PARTS ON ORDER (Req. Numbers) (34) TOTAL MATERIAL $

(35) TOT. LABOR HRS. 12.5 12.0

FOR CUSTOMER JOB ESTIMATING

(36) WORK AUTHORIZED (Inspector's Signature) DATE 7-19-75

(37) WORK COMPLETED (Inspector's Signature) DATE 7/27/75

(38) CONTRACTING SERVICE REQUEST (Receipt of above order and equipment is hereby acknowledged. Permission to exceed work specified above MUST BE AUTHORIZED by requesting activity).

CONTRACTING FIRM

SIGNATURE DATE

(39) LABOR (MAINT.) ___ HRS. = $___

(40) LABOR (OPER.) ___ HRS. = $___

(41) MATERIAL $___

(42) OTHER $___

(43) TOTAL COST $___

FIGURE 8-12
SHOP REPAIR ORDER

document then serves as a principal source of data for transportation reports and analysis. Most problems with repair work have traditionally been related to parts availability. Without discussing responsibilities or assigning blame for this problem, the solution usually lies in the establishment of local sources of supply, either Blanket Purchase Agreements or Contractor Operated Parts Stores. These alternatives are discussed in following paragraphs.

The other general problem can be related to making vehicles available for repair. There is not a pat solution to this problem. The only guidance would be to consider shift operations if this is a major source of friction. As previously stated, one of the primary objectives of transportation is to minimize downtime. This is accomplished through effective scheduling of planned maintenance work to avoid having vehicles sitting in the pool awaiting repair. Coordination is required between the dispatcher and the shop supervisor to achieve this objective. With a well organized PM schedule, it should not become a problem.

A. Maintenance Manhour Standards. Standards for each type of equipment are given in hours per 1000 miles or hours per year in Appendix H of P-300. They are used to measure maintenance efficiency on the NAVCOMPT 2168/2169. It should be noted that the maintenance manhour standards are also utilized in calculations by higher authority to apportion out maintenance funds to various activities. Total maintenance costs are caluculated on the basis of predicated usage (targets) and maintenance manhour standards and should be used to develop the maintenance expense portion of your transportation budget (NAVCOMPT 2169). They can also be used to calculate adequate staffing of your maintenance shops (see Chapter 2).

B. Standardization. One problem in the Navy transportation management program is the fact that there is no standardization of equipment by manufacturer. The Navy must buy vehicles competitively. A station with an allownce of 4 pickup trucks might be assigned one Ford, one Dodge, one Chevrolet, and one International. Logistic requirements for parts support are therefore compounded by a factor of four. The problem is further complicated by built-in lead times in the supply system, and a natural hesitancy to tie up a lot of Navy Stock Fund capital and warehouse space in spare parts stock. The solution, of course, is to depend heavily on local support where it is available. Normally, a Supply Officer is willing to exercise his local procurement authority through Blanket Purchase Agreements or Purchase Orders. His cooperation will be furthered by the willingness of Public Works Transportation Division to identify and order items which can tolerate a long lead time for procurement "in the system." On some parts, such as tire chains, spark plugs, and batteries, the Supply Officer is required to procure through the GSA/DSA system. A recent innovation which has had varying degrees of success is the Contractor Operated Parts Store (COPARS). This is a contractural arrangement with a private vendor to operate a parts store on the station itself with his guarantee to supply certain categories of parts with specified limits. If your station transportation fleet has any size to it, this arrangement should be considered.

C. Warranties. Take advantage of warranties unless it will cost more in driver expense to take the vehicle to the dealer for warranty services than repairing the vehicle "in-house."

8.4.3 Commercial Repair. Contracts should be utilized for commercial repair with the same general philosophy as used in contracted facility maintenance; namely, for specialized types of work, for CITAs, as previously discussed, or as a relief valve when work gets backlogged. Your OICC contract authority will allow you this flexibility. If there is a question in this regard, be sure and verify with the local TEMC. Body repair work is a natural for contract in most cases. Guidance for preparation of repair contracts can be found in NAVFAC P-68.

PART 5 — TRANSPORTATION MANAGEMENT CONTROL

8.5.1 General. Management can be defined briefly as achieving the planned objectives within the planned resources. Most everyone can achieve an objective with unlimited funds; the real test of the manager is getting the job done with limited or constrained resources. A primary element of good management is control of resources, both O&MN funding and equipment utilization.

8.5.2 Budget Control. The O&MN resources, in terms of funding and personnel ceiling, to implement a cost effective transportation operations plan for an activity are reflected in the transportation portion of the Public Works budget (NAVCOMPT 2169). The budget plan, to be cost effective, should be structured to reflect realistic funding requirement using the maintenance manhour input standards, overhead ratios, and other standards in the NAVFAC P-300. When the PWO approves and is able to fund the budget plan, the feedback on budget performance by the Transportation Director is reflected in the monthly NAVCOMPT 2169. This should be the primary management tool used by the PWO and the Transportation Director. The NAVCOMPT 2168 provides the detail expenditure feedback on a monthly basis. If the Transportation Director is providing responsive transportation services within the budget plan, the PWO knows there is management control. The PWO should require the

Transportation Director to reconcile on a monthly basis significant variance from the budget plan.

8.5.3 Equipment Utilization Control. The technique of good equipment utilization control has been previously discussed under paragraph 8.3.3 Feedback of performance against the plan is the quarterly Activity Utilization Report (NAVFAC 0-11240/9) as described in Chapter 6 NAVFAC P-300.

PART 6 — TRANSPORTATION REPORTS

8.6.1 Transportation Cost Report.

Instruction/Reference. NAVCOMPT Manual, Volume 3, Chapter 7, Part B.

Prepared by. Comptroller. Verified by Transportation Division Director.

Frequency. Annually, by 6 August, for activities with 50 or more units of USN registered equipment. Not required for activities with fewer than 50 units as well as forces afloat, attaches´ and missions.

Reviewed by. EFD (TEMCs for Major Claimant), NAVFAC Primary (Support Commands, Systems Commands as required).

Source Data. NAVCOMPT 2168.

Information Displayed and Sort. Shows average on hand inventory, downtime hours, work units (miles or hours of operation), manhours and cumulative-expenses by cost accounts.

Purpose. Used locally and by various levels of higher authority to monitor activity and overall Navy transportation costs.

Management Analysis. The TCR is annual summary of transportation expenses reported locally on the NAVCOMPT 2168 and 2169. These should be reviewed monthly by the PWO, Transportation Director, Maintenance Supervisor and Operations Supervisor to ensure expenses are within the budget plan and variances are reconciled or corrective action is taken.

TCR

(EXAMPLE)

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
(AAA OF ACTIVITY BEING REPORTED)	NAVFACENGCOM	☐ DETAIL ☐ UPDATED PLAN	☑ DETAIL ☑ SUMMARY	30 JUNE 19__
BUDGET FOR	**BUDGET GRANTOR**	**APPROPRIATION DATA**	**COST CENTER**	**REPORTING FISCAL OFFICER** *(Signature, rank and date of submission)*
(ACTIVITY BEING REPORTED)	Claimant/Management Command		TRANSPORTATION COST REPORT	

FUNC/ SUB. FUNC. CAT.	COST ACCOUNT	Average on Hand Inventory	Downtime Hours	WORK UNITS	MAN-HOURS		CUMULATIVE EXPENSES					
					MILITARY	CIVILIAN	MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3A)	(3B)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
	62A0	26	683	195		457		3,123	2,327	130	150	5,730
	62B0	7	724	37		117		811	265	97		1,173
	62E0	3	152	47		56		391	184	109		684
	6210	5	315	26		95		654	294	12		960
	6200					725		4,979	3,070	348	150	8,547
	63A0			16,273					8,467			8,467
	63B0			616					320			320
	63E0			4,710					1,925			1,925
	6310			4,507					1,875			1,875
	6300								12,587			12,587
	6420			100		1,958		13,759	6,259	292		20,310
	6460					3,120		15,870	12,400	1,320		29,590
	64S0			14,647		2,524		17,349	13,582	1,541		32,472
	6400					7,602		46,978	32,241	3,153		82,372
	6520			4,100					1,000			1,000
	6560								4,725			4,725
	65S0			8,250					3,800			3,800
	6500								9,525			9,525
	6610									1,800		1,800
	6600									1,800		1,800
	6710					31,828		98,400				98,400
	6740					42,730		135,300				135,300
	6700					74,558		233,700				233,700
	6810					1,800		9,400	800			10,200
	6800					1,800		9,400	800			10,200
	6910				3,440	1,728	15,600	6,900	2,000			24,500
	6900				3,440	1,728	15,600	6,900	2,000			24,500
		TOTAL			3,440	86,413	15,600	301,957	60,223	5,301	150	383,231

FIGURE 8-13

TRANSPORTATION COST REPORT - NAVCOMPT 2168

8.6.2 Activity Utilization Report.

Instruction/Reference. NAVFAC P-300.

Frequency. Establishment of targets and quarterly statement of utilization.

Prepared by. Public Works Transportation Division.

Reviewed by. PWO, Transportation Division Director and holders of Class "B" assignments.

Source Data. Targets — Joint activity/TEMC annual survey and validation of assignments.

Information Displayed and Sort. Report shows actual mileage odometer readings, quarterly and annual utilization of assigned transportation equipment for each department holding vehicles.

Purpose. Used to validate assignments and to monitor and evaluate utilization of transportation equipment on a regular basis.

Management Analysis of. Variances are less than 90% or greater than 110% utilization. Utilization should be tracked over two or more reports before action is initiated. Report provides rationale for shifting vehicle assignments from department to department as needs vary, or for removing vehicles from service and declaring them excess.

Utilization Analysis:

A. Automotive Construction and Allied Equipment.

1. **Reference.** NAVFAC P-300.

2. **Applicability.** Vehicles in Alpha Groups A to N, less F, and Alpha Groups S, U, W, Y.

3. **Targets.**

a. Activity-

Annual Group Mileage/Hours =
Group Inventory

Group Target Miles/Unit.

b. Departmental-

Annual Mileage/Hours =
Group Vehicles Assigned

Group Target Miles/Unit.

4. **Utilization Evaluation.**

a. Standard Utilization Percent - 100.

b. Activity Group Utilization =

Total Period Mileage/Hours
Total Period Target

c. Allowed Inventory =

Total Period Mileage/Hours
Unit Target Miles

d. Frequency of Evaluations. Quarterly and annually.

NAVFAC 9-11260/9 (7-69)
S/N 0105-004-1175

REPORT NAVFAC 11260-17

ACTIVITY: NAVAL ACTIVITY, SOUTH END, USA

Check: [ ] DEPT/DIV/POOL [X] ACTIVITY [ ] TARGET ESTABLISHMENT — FISCAL YEAR 7X

ALPHA CODE	DESCRIPTION	ANNUAL TARGET MILES PER UNIT	FY B/G INV	1ST QUARTER ACTUAL / TARGET	1ST QUARTER % OF USE	1ST QUARTER AVG INV	1ST QUARTER END-ING INV	2ND QUARTER ACTUAL / TARGET	2ND QUARTER % OF USE	2ND QUARTER AVG INV	2ND QUARTER END-ING INV	3RD QUARTER ACTUAL / TARGET	3RD QUARTER % OF USE	3RD QUARTER AVG INV	3RD QUARTER END-ING INV	ANNUAL ACTUAL / TARGET	ANNUAL % OF USE	ANNUAL AVG INV	ANNUAL END-ING INV	REQUIRES EVALU-ATION
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
A	SEDAN	10000	10	23600 / 25000	94	10	10	46700 / 50000	93	10	10	73100 / 75000	97	10	10	102100 / 100000	102	10	10	
B	BUS,37-Passenger	16000	5	21350 / 20000	107	5	5	40930 / 40000	102	5	5	59050 / 60000	98	5	5	80250 / 80000	100	5	5	
1 G	PICKUPS	10500	50	136400 / 131250	104	50	50	261700 / 262500	100	50	50	385800 / 393750	98	50	50	508700 / 525000	97	50	50	+1
J	TRUCKS, 1½ ton, Stake	7200	7	13150 / 12600	104	7	7	25600 / 25200	102	7	7	38800 / 37800	103	7	8	52500 / 50400	104	7.5	8	
K	TRUCKS, 2½ ton	7700	29	53200 / 55825	95	29	29	104600 / 111650	94	29	29	157200 / 167475	94	29	29	210500 / 223300	94	29	29	+1
1 M	TRUCKS, 5-10 ton	3200	5	3950 / 4000	99	5	5	7600 / 8000	95	5	5	12300 / 12000	103	5	5	16580 / 16000	104	5	5	
1	Compare Unit Target Miles with Range of Targets																			

SHEET 1 OF 3

NAVFAC 9-11260/9 (7-69)
S/N 0105-004-1175

REPORT NAVFAC 11260-17

ACTIVITY: MAINTENANCE DIVISION

Check: [X] DEPT/DIV/POOL [ ] ACTIVITY [ ] TARGET ESTABLISHMENT — FISCAL YEAR 7X

ALPHA CODE	DESCRIPTION	ANNUAL TARGET MILES PER UNIT	FY B/G INV	1ST QUARTER ACTUAL / TARGET	1ST QUARTER % OF USE	1ST QUARTER AVG INV	1ST QUARTER END-ING INV	2ND QUARTER ACTUAL / TARGET	2ND QUARTER % OF USE	2ND QUARTER AVG INV	2ND QUARTER END-ING INV	3RD QUARTER ACTUAL / TARGET	3RD QUARTER % OF USE	3RD QUARTER AVG INV	3RD QUARTER END-ING INV	ANNUAL ACTUAL / TARGET	ANNUAL % OF USE	ANNUAL AVG INV	ANNUAL END-ING INV	REQUIRES EVALU-ATION
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
1 G	PICKUPS	8400	10	20800 / 21000	99	10	10	39900 / 42000	95	10	10	58600 / 63000	93	10	10	77500 / 84000	92	10	10	+1
2 J	TRUCKS, 1½ ton	7200	7	13150 / 12600	104	7	7	25600 / 25200	102	7	7	38800 / 37800	103	7	8	52500 / 50400	104	7.5	8	
K	TRUCKS, 2½ ton	7050	6	12115 / 10575	115	6	6	23205 / 21150	109	6	6	32915 / 31725	103	6	6	44830 / 42300	106	6	6	
3 M	TRUCKS, 5-10	3200	5	3950 / 4000	99	5	5	7600 / 8000	95	5	5	12300 / 12000	103	5	5	16080 / 16000	100	5	5	
	1 Excess pickup on basis of Annual usage and evaluation of mission essentiality.																			
	2 Additional Stake truck assigned 4rd quarter; low mileage increase indicates assignment should be reevaluated. 52500/8 = 656																			
	3 3rd quarter usage exceeds other quarters due to snow removal operations.																			

SHEET 2 OF 3

NAVFAC 9-11260/9 (7-69)
S/N 0105-004-1175

REPORT NAVFAC 11260-17

ACTIVITY: NAVAL ACTIVITY, SOUTH END, USA

Check: [ ] DEPT/DIV/POOL [ ] ACTIVITY [X] TARGET ESTABLISHMENT — FISCAL YEAR 7X

ALPHA CODE	DESCRIPTION	ANNUAL TARGET MILES PER UNIT	FY B/G INV	1ST QUARTER ACTUAL / TARGET	1ST QUARTER % OF USE	1ST QUARTER AVG INV	1ST QUARTER END-ING INV	2ND QUARTER ACTUAL / TARGET	2ND QUARTER % OF USE	2ND QUARTER AVG INV	2ND QUARTER END-ING INV	3RD QUARTER ACTUAL / TARGET	3RD QUARTER % OF USE	3RD QUARTER AVG INV	3RD QUARTER END-ING INV	ANNUAL ACTUAL / TARGET	ANNUAL % OF USE	ANNUAL AVG INV	ANNUAL END-ING INV	REQUIRES EVALU-ATION
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
A	C.O.	6000	1	1500		1	1	3000		1	1	4500		1	1	6000				
	ADMIN. DEPT.	10000	1	2500		1	1	5000		1	1	7500		1	1	10000				
	MED. DEPT	7500	1	1875		1	1	3750		1	1	5625		1	1	7500				
	"C" POOL	10930	7	19130		7	7	38260		7	7			7	7					
A	ACTIVITY	10000	10	25000		10	10	50000		10	10	75000		10	10	100000				
B	NAVSCON	14500	1	3625		1	1	7250		1	1	10875		1	1	14500				
	OPERATIONS DEPT	12500	1	3125		1	1	6250		1	1	9375		1	1	12500				
	"C" POOL	17500	3	13125		3	3	26250		3	3	39375		3	3	52500				
B	ACTIVITY	16000	5	20000		5	5	40000		5	5	60000		5	5	80000				
E	ADMIN. DEPT.	12000	1	3000		1	1	6000		1	1	9000		1	1	12000				
	OPERATIONS	15000	1	3750		1	1	7500		1	1	11250		1	1	15000				
	DISPENSARY	10000	1	2500		1	1	5000		1	1	7500		1	1	10000				
	"C" POOL	12500	2	6250		2	2	12500		2	2	18750		2	2	25000				
E	ACTIVITY	12400	5	15500		5	5	31000		5	5	46500		5	5	62000				

SHEET 3 OF 3

FIGURE 8-14
ACTIVITY UTILIZATION REPORT

8.6.3 Annual Allowance and Requirements Review, NAVFAC Forms 11200/289, 11200/29 and 11200/30.

Instruction/References. NAVFAC P-300, NAVFACINST 11200.12 (current) and NAVFACINST 11200.19 (current).

Frequency. Annual. 11200/28 — 1 July; 11200/28 and 11200/30 — 1 November.

Reviewed by. Transportation Equipment Management Centers and Major Claimants.

Source Data. Manufacturers plate data, odometer readings, estimate of one-time repair costs.

Information Displayed and Sort. NAVFAC 11200/28 — for each equipment code, shows allowance, average on hand, and identifies gross requirements for replacement and additions for current year. NAVFAC 11200/29 displays information for the specific piece of equipment for which a replacement is requested, or if an additional requirement, a description of the new item. NAVFAC 11200/30 for equipment included in Transportation Equipment Groups (4) — (10) (Construction Equipment) with an estimated procurement cost over $25,000.

Purpose. To identify vehicles requiring replacement, or new requirements. This report constitutes the only route for normal vehicle equipment.

Management Analysis of. TEMCs will validate allowance and consolidate requirements for inclusion in NAVFAC budget request. Basically, mileage, age and condition for each vehicle are projected 24 months for "current year." If condition or age and mileage will exceed maximum limits shown in NAVFAC P-300, the vehicle is identified for replacement. If identified as "current" year replacements, vehicles are specifically identified on the NAVFAC 11200/29 report. A separate economic analysis is performed on expensive construction equipment (over $25,000), which basically permits comparison of annual costs for retaining the present equipment, with annual costs for a new piece of equipment and annual rental costs for a similar piece of equipment.

8.6.4 Reports Covered Elsewhere

	Source
Accident Report	NAVFAC P-300
Deficiencies in New Automotive Construction and Weight Handling Equipment	NAVFAC P-300
Report of Vehicles Chartered or Rented, Form NAVDOCKS 2578	NAVFAC P-300
Report of Automotive and Construction Equipment Received, Form DOD 1342	NAVCOMPT Manual Vol. 3
School Bus Facility Operating Report, OPNAV Form 4650/1(5-70)	OPNAVINST 4650.14

ANNUAL ALLOWANCE AND REQUIREMENTS REVIEW
NAVFAC 11200/28 (12-71) *(Supersedes NAVDOCKS 2413)*
S/N 0105-050-2800

Instructions on reverse side

REPORT NAVFAC 11200-3

TO **CINCPACFLT** VIA **WESDIV, PACDIV, AIRPAC**

FROM *(Activity)* **NAVAL STATION** | UIC **99999** | FOR PERIOD ENDING 30 SEP **1975**

LOCATION **EUREKA, CALIFORNIA** | OFFICE/BUREAU OR COMMAND **H** | ND/AREA CODE **12**

TYPE OF EQUIPMENT *(Check appropriate box)*

( ) PASS CARRYING VEHICLES
(X) TRUCKS
( ) TRAILERS
( ) CRUSH MIX BATCH/PAV EQPT
( ) DRILL AND BLAST EQPT
( ) EARTH MOVING EQPT
( ) LIGHTING/POWER GEN EQPT
( ) MISC CONSTR/MAINT EQPT
( ) FIRE FIGHTING EQPT
( ) WEIGHT HANDLING EQPT
( ) RAILWAY EQUIPMENT

NAVFAC EQUIPMENT CODE	ITEM DESCRIPTION	ALLOWANCE						SUBSTITUTIONS		ON HAND EXCESS	CURRENT YEAR REQUIREMENT		
		PRESENT ALLOWANCE	REQUESTED ALLOWANCE	ON HAND	UTILIZATION %	COMMAND RECOMMENDATION	APPROVED ALLOWANCE	NO. OF ITEMS	SUBSTITUTE CODE	TO BE REPORTED SF 120	SCHEDULED FOR SUPPLY	REQUIRED REPLACEMENT	ADDITIONAL REQUIREMENTS
1	2	3a	3b	3c	3d	3e	3f	4a	4b	5	6a	6b	6c
0311	Truck, Carryall, 8 Pass., 4x2	2	2	2	100			–	–	0	0	0	0
0313	Truck, Cargo, P/U, 4x2, 4,800 GVW	16	15	16	94			–	–	0	0	3	0
0327	Truck, Cargo, P/U, 4 Dr., 5,800 GVW	5	5	2	250			1	0313	0	0	1	1
0327	Truck, Cargo, P/U, 4 Dr., 5,800 GVW	–	–	–	–			1	0342	–	–	1	–
0342	Truck, Cargo, P/U, 4x2, 7,000 GVW	3	2	3	67			–	–	0	0	0	0
0426	Truck, Stake, 4x2, 14,000 GVW	4	2	4	100			–	–	0	0	0	0
0445	Truck, Stake, 4x2, 16,000 GVW	0	2	0	–			2	0426	0	0	2	0
0602	Truck, Dump, 4x2, 24,000 GVW	2	1	2	50			–	–	1	0	1	0
5830	Truck, Refuse Container Hoisting	2	3	2	150			–	–	0	0	0	1

AUTHORIZED SIGNATURE *(Last sheet only)*

SHEET 2 OF 11

C-23614

FIGURE 8-15
ANNUAL ALLOWANCE AND REQUIREMENTS REVIEW

REPLACEMENT JUSTIFICATION - ANNUAL REQUIREMENTS REVIEW
NAVFAC 11200/29 (12-71) *(Supersedes NAVDOCKS 2414)*
S/N 0105-050-2900

Instructions on reverse side

REPORT NAVFAC 11200-3

TYPE OF EQUIPMENT *(Check appropriate box)*
( ) PASSENGER CARRYING VEHICLES
(X) OTHER TRANSPORTATION EQUIPMENT

TO CINCPACFLT | VIA WESDIV, PACDIV, AIRPAC

FROM *(Location)* NAVAL STATION | UIC 99999 | DATE 30 SEP 1975

LOCATION EUREKA, CALIFORNIA | OFFICE/BUREAU/OR COMMAND H | ND/AREA CODE 12

PART A. DATA ON PRESENT EQUIPMENT FOR WHICH REPLACEMENT IS REQUESTED IN PART B
(Leave PART A blank and fill in Part B ONLY when ADDITIONAL equipment is requested.)

PART B. DATA ON REQUESTED EQUIPMENT

NAVFAC EQUIP-MENT CODE	ITEM DESCRIPTION	U.S.N. REGISTRATION NO.	YEAR OF MFG. *(2 digits)*	ACCUMULATED MILEAGE OR HOURS (H)	NECESSARY REPAIRS FOR CONTINUED SAFE OPERATION *(Dollars)*	EQUIP. CODE & TYPE DESIGNATOR *(Enter 2-digit numerical type designator after equip. code when it is adequate for procurement. Enter "-00" after equip. code when procurement description is attached.)*	PRIORITY ACTIVITY	PRIORITY AREA
1	2	3	4	5	6	7	8a	8b
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00750	67	143,604	530	0313-01	8	
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00753	67	99,176	505	0327-01	9	
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00751	67	102,021	475	0313-01	10	
0313	Truck, Cargo, P/U, 4x2, 4800 GVW	94-00752	67	96,782	475	0313-01	11	
0602	Truck, Dump, 4x2, 24,000 GVW	96-04044	59	71,275	1,520	0602-01	12	
						5830-01	13	
5124	Generator Set, Ded, 60 KW, Trlr. Mtd.	51-00025	55	8,825H	2,905	5124-01	14	
0342	Truck, Cargo, P/U, 4x2, 7000 GVW	94-00754	58	94,893	520	0327-01	15	
0426	Truck, Stake, 4x2, 14,000 GVW	94-03427	59	74,655	710	0445-01	16	
0426	Truck, Stake, 4x2, 14,000 GVW	94-04566	59	73,893	685	0445-01	17	
0000		00-00000	00	00000	0000	0327-01	18	
0000		00-00000	00	00000	0000	5124-01	19	
0000		00-00000	00	00000	0000	5124-01	20	

AUTHORIZED SIGNATURE *(Last sheet only)*
R.S. PHILLIPS, CAPT, USN, COMMANDING OFFICER

SHEET 2 OF 2

C-23616

FIGURE 8-16
REPLACEMENT JUSTIFICATION – ANNUAL REQUIREMENTS REVIEW

REPORT NAVFAC 11200-3A

REQUIREMENTS COST EVALUATION - TRANSPORTATION EQUIPMENT
NAVFAC 11200/30 (1-72) Supersedes NAVDOCKS 2697

1. DATE: 8/15/75

A. GENERAL DATA

2. ANALYSIS NO.	5. ACTIVITY NAME AND LOCATION	6. ACTIVITY UIC CODE
A-44	NAVAL STATION, EUREKA, CA.	69999
3. RECOMMENDED PRIORITY: 10		7. OFFICE, BUREAU, COMMAND CODE: G
4. PREPARED BY: A.R. 8/13 — APPROVED BY: G.D. 8/15		8. ND/AREA CODE: 05

B. EQUIPMENT DATA

9. PRESENT EQUIPMENT DATA

(a) DESCRIPTION *(Incl. make, model, and USN No.)*: Compressor, Air, Reciprocating, GED, 500 CFM, Trailer Mounted, USN 31-00342

(c) NAVFAC EQUIPMENT CODE: 3160

(d) YEAR OF MANUFACTURE: 64

(e) ACCUMULATED SERVICE *(Check one)*: ☐ MILES/ ☒ HOURS 8475

(b) ANNUAL UTILIZATION *(Check miles or hours)*: CURRENT YEAR ESTIMATE: 700 ☐ MILES/ ☒ HRS

(f) TOTAL REHABILITATION COST: 8,280

10. PROPOSED EQUIPMENT DATA

(a) DESCRIPTION *(Incl. Fed. Stock No. if available)*: Compressor, Air, Rotary, 600 CFM, DED, Trailer Mounted

(c) NAVFAC EQUIP. CODE - TYPE DESIGNATOR: 3165-00

(d) AREA PRIORITY *(Entered by Area Coordinator)*:

(b) EST. FIRST YEAR UTILIZATION: ☐ MILES/ ☒ HRS. *No. of* 700

RENTAL PERIODS *(Check appropriate box and give no. of)*: ☐ MONTHLY *(176 Hrs.)*____ ☐ WEEKLY *(40 Hrs.)*____ ☐ DAILY *(8 Hrs.)*____

(e) PAST FY % UTILIZATION FOR THIS TYPE EQUIPMENT: 33

C. DEVELOPMENT OF ANNUAL COST FOR CAPITAL DEPRECIATION, MAINTENANCE AND OBSOLESCENCE OF PROPOSED EQUIPMENT

11. Procurement Cost of Proposed Equipment	$ 13,000/18,500
12. Total Cost of Proposed Equipment including $ 400 for Freight and Services	$ 18,900
13. Estimated Terminal Salvage Value of Proposed Equipment	$ 1,800
14. Adjusted Gross Cost of Proposed Equipment *(Line 12 minus Line 13)*	$ 17,100
15. Estimated Years Service Life	13
16. Related Annual Service Life Factor *(From Tables)*	$ .204
17. Product of Line 14 times Line 16	$ 3,488
18. First Year Maintenance Cost	$ 300
19. Average Annual Cost for Capital Depreciation, Maintenance & Obsolescence of Proposed Equip. (17 + 18)	$ 3,788

D. COMPARATIVE ANALYSIS OF PRESENT AND PROPOSED EQUIPMENTS

FACTORS	CURRENT YEAR COST OF PRESENT EQUIPMENT COL. (A)	FIRST YEAR COST OF PROPOSED EQUIPMENT COL. (B)
20. Prorated Annual Rehabilitation Cost	$ 4,150	
21. Maintenance *(Direct Labor, Overhead Labor, and Parts)*	$ 550	*Enter figure from Line 19*
22. SUBTOTAL	($ 4,690)	$ 3,788
23. Direct Labor - Operations	$	$
24. Material *(Fuel, Oil, Tires, and Consumables)*	$ 100	$ 100
25. Misc. Factors *(Describe)*	$	$
26. Total Costs	$ 4,790	$ 3,888
27. NET DIFFERENCE FAVORING PROPOSED EQUIPMENT *(Line 26, Col. A minus Line 26, Col. B)*		$ 902

E. EQUIPMENT RENTAL

28. ☐ RENTAL NOT FEASIBLE ☒ NO RENTAL SOURCE ☐ ANNUAL RENTAL COST $ ____

F. COST EVALUATION AND REMARKS *(Continued on reverse side)*

29. INDICATED ACTION

(a) ☐ REHABILITATION OF PRESENT UNIT (b) ☐ RENTAL (c) ☐ PURCHASED FOR NEW OR INCREASED ALLOWANCE (d) ☒ REPLACEMENT — 5% SAVINGS

Include "Remarks" as Item 30 on reverse side and TYPE HEAD TO FOOT

S/N 0105-050-3000

FIGURE 8-17
REQUIREMENTS COST EVALUATION – TRANSPORTATION EQUIPMENT

CHAPTER 9
HOUSING MANAGEMENT

Housing facilities and programs represent a significant portion of the investment in the Naval Shore Establishment. The management of these facilities and programs has an immediate and major influence upon the attitude and motivation of the serviceman. It is imperative that Public Works Officers and members of their civilian staffs associated with housing management be informed, interested, imaginative and proficient at all times. The leadership and motivation they provide to the Naval community must be sound, responsive and professional housing management. The real challenge in military housing management is to develop the interest and participation of all members and their dependents in maintaining orderliness, economy and standards of property care. This then, assures to each individual and the Naval community the pride of a wholesome, satisfying and normal American life.

In this manual, housing management includes family and bachelor housing. At the field activity level, the two types of housing are usually separately managed. They are discussed separately and in detail in this chapter. For continuity purposes, the temporary lodgings program, mobile home parks and guest houses are also included.

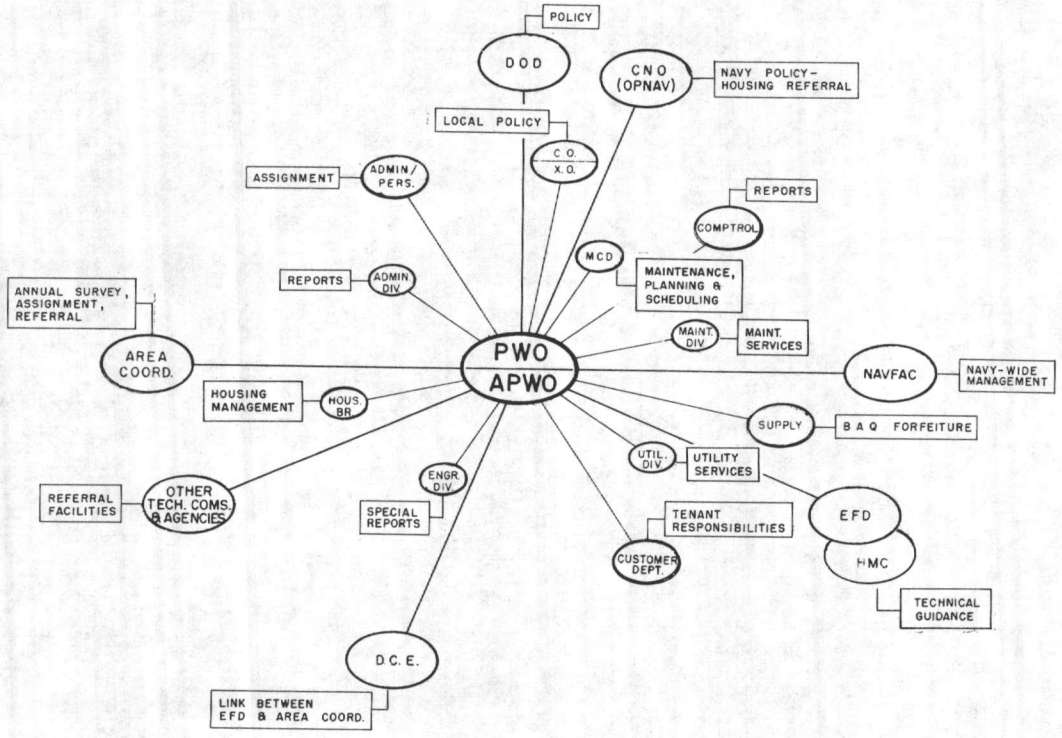


FIGURE 9-1
THE PLAYERS IN HOUSING MANAGEMENT

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REFERENCES

1. OPNAVINST 11010.1 (current), Subj: *Shore Installations and Facilities Planning and Programming*
2. OPNAVINST 11012.2 (current), Subj: *Occupancy Criteria for Assignment of Navy Bachelor Housing*
3. OPNAVINST 11101.13 (current), Subj: *Assignment, Utilization, and Occupancy Termination of Family Housing...* The Bible for Eligibility and Assignment Priority
4. OPNAVINST 11101.19 (current), Subj: *Operation and Maintenance of Flags and Commanding Officers Quarters*
5. OPNAVINST 11101.21 (current), Subj: *Housing Referral Service Guidelines, Procedures, and Reports*
6. OPNAVINST 11101.27 (current), Subj: *Occupant Responsibility for Maintenance of Family Housing*
7. OPNAVINST 11101.29 (current), Subj: *Assignment of Authority and Responsibility for Family Housing*
8. OPNAVINST 11101.32 (current), Subj: *Provision of Furnishings for Family and Bachelor Housing*
9. OPNAVINST 11107.2 (current), Subj: *Acquisition and Operation of Temporary Lodging Facilities (NAVY LODGES)*
10. BUPERSINST 11101.3 (current), Subj: *Transient Family Accommodations for Fleet Personnel of Ships Undergoing Overhaul or Repair*
11. NAVFACINST 11101.91 (current), Subj: *Survey of Family and Bachelor Housing Requirements*
12. NAVFACINST 11101.94 (Current), Sub: *Maintenance and Repair Inspection Program (MARIP) for Family Housing*
13. NAVFAC DM-35, *Family Housing*
14. NAVFAC DM-36, *Troop Housing*
15. NAVFAC DM-37, *Community Facilities*
16. NAVFAC P-34, *Specifications Used in Contracts for Public Works*
17. NAVFAC P-272, *Definitive Designs for Naval Shore Facilities*
18. NAVFAC P-308, *Family Housing Inventory*
19. NAVFAC P-383, *Children's Play Areas and Equipment*
20. NAVFAC P-700, (series), *Engineered Performance Standards*
21. NAVFAC P-930, *Navy Family Housing Manual*
22. NAVFAC MO-321, *Maintenance Management of Shore Facilities*
23. NAVFAC MO-322, *Inspection of Shore Facilities* (3 volumes)
24. NAVCOMPT MANUAL Volume III, Chapter 7, Part E
25. NAVCOMPT MANUAL 035851

DEFINITIONS

Active Housing — Navy owned or controlled family housing units available for occupancy or occupied including those temporarily unoccupied due to routine maintenance or repair.

Addition-Expansion-Extension — A physical increase to a facility which adds to the overall external dimension of the facility, and increases the property account value of the facility.

Adequate Community Housing — Dwelling units which are safe, decent, sanitary, located in a healthy environment, priced within the MAHC of the applicant including utilities, contain the number of bedrooms for which the applicant is entitled, within the prescribed commuting distance, and available without discrimination. Not owned by Navy.

Adequate Navy Housing — Dwelling units which are safe, decent, sanitary, and located in a healthy environment. Owned or leased by Navy.

Alteration — The changing or adjusting of interior configurations or other physical characteristics of an existing facility.

Applicants — Department of Defense (DOD) personnel or their dependents requesting the assistance of the housing organization in locating quarters.

Area Representative — Individual assigned the authority and the responsibility by the Chief of Naval Operations for shore Activities and Naval personnel located ashore within a specific geographical area.

Assignment — The formal provision of Government quarters to an individual.

Basic Rental Rate — Monthly rental value of the Navy quarters, established by comparison with similar private rental quarters prior to allowable adjustments.

Beneficial Occupancy Date (B0D) — The date upon which all units identified to a specific construction project are completed and available for occupancy.

Billet Quarters — Quarters designated by the area representative for occupancy by the incumbent of a specific position.

Budget — A planned program for a fiscal period in terms of: estimated costs, obligations, and expenditures; source of funds for financing, including reimbursements anticipated and other resources to be applied; and explanatory and workload data on the projected programs and activities.

Budget Year — The first fiscal year for which funds are being requested.

Budget Year Plus One — The fiscal year which starts next 1 October and ends the following 30 September, and for which funds are being requested.

Command Quarters — Quarters specifically designated by the Chief of Naval Operations for occupancy by the Installation Commander (06) of a station or installation located in an area having fixed boundaries within which all persons are subject to military jurisdiction and the authority of the Commanding Officer.

Command Sponsored Families — Families of DOD personnel assigned to duty outside of CONUS who have the approval of the Command to accompany or join the individual.

Commuting Distance — The distance from the administrative area of the installation that can be traversed by privately operated vehicle in 1 hour or less during rush hours.

CONUS — The 48 contiguous states and the District of Columbia.

Conversion — A change in the use of other facilities to government quarters or to combine two or more units of government quarters.

Current Year — The operating fiscal year which began last 1 October and ends next 30 September.

Deferred Maintenance — The validated requirements for maintenance and repair which are

essential for bringing property to a state of proper condition, but have not been fulfilled due to lack of the requisite resources.

Disposal — The permanent removal of real property from the Family Housing Property Account.

Diversion — The temporary removal of facilities from the Family Housing Property Account.

DOD Sponsored Civilian Personnel — Civilians who are located at an installation as a result of direct or indirect sponsorship by a DOD component.

Eligible Civilian Personnel (for family housing) — Department of Defense and nonappropriated fund employees as defined in OPNAVINST 11101.13 (current).

Family Housing Property Account — A record of all facilities owned or controlled by the family housing organization, identified both on a quantitative and monetary basis.

Foreign — All areas excluding CONUS and U.S. overseas.

Furnishings — Furniture and equipment necessary to provide a reasonable degree of livability in personnel quarters.

Government Quarters — Housing units that the DOD owns, leases, or for which the Government otherwise serves as landlord.

Home Port — Location at which a ship, squadron, or other deployable fleet unit is assigned for administrative purposes.

Host Activity — An installation or Field Activity which provides facilities or services to another installation or Field Activity.

Housing Authority — The individual charged with the responsibility for implementing Navy instructions and guidelines pertaining to the DOD Family Housing Program.

Housing Manager — Individual charged with responsibility for administration and management of family housing programs at a Field Activity.

Improvement — Alterations, conversions, modernization, or additions-expansions-extensions which increase the value of the property account and are for the purpose of enhancing rather than repairing a facility or system.

Inactive Housing — Family housing units which have been placed in a caretaker status and are not available for occupancy.

Inadequate Community Housing — Dwelling units which are not safe, decent, sanitary, or located in a healthy environment. Not owned by Navy.

Inadequate Housing — DOD controlled housing not classified as adequate by CNO (OP-44H) which is operated on an adjusted BAQ or rental basis.

Individual-Sponsored Dependents — Families of DOD personnel assigned to duty outside of contiguous United States (CONUS) who do not have the approval of the Command to accompany or join the individual.

Ineligible Personnel (for military family housing) — Military personnel with accompanying families who are below the rate of eligible personnel and all military personnel without dependents.

Installation Commander — A Commanding Officer or equivalent (Grade 0-6) of a station or installation located in an area having fixed boundaries within which all persons are subject to the military jurisdiction and the authority of the Commanding Officer.

Key and Essential Billets or Positions — Billets or positions designated by the area representative which require special consideration for housing assignment.

Leased Quarters — Private quarters which become public quarters upon the consummation of a lease agreement between the Navy and a private entrepreneur or the Federal Housing Administration or Veterans Administration.

Maintenance — The recurring, periodic, or scheduled work required to preserve real property facilities and furnishings in such condition that they may be effectively utilized for their designated purpose.

Maximum Allowable Housing Cost (MAHC) — A dollar amount, administratively determined for each pay grade, which represents the maximum amount an individual can be expected to pay for adequate community housing including utilities.

Military Preference Housing (MPH) — Department of Housing and Urban Development (HUD) Section 236 subsidized housing set aside under a DOD/HUD agreement for priority of occupancy by military personnel.

Minimum Property Standards (MPS) — Minimum requirements established by the Federal Housing Administration (FHA) for the construction of housing meeting Government standards.

Operating Services — Municipal-type services designed to enhance the environment and habitability of the family housing area, provide protection for life and property, and ensure equitable treatment for family housing occupants.

Permanent Duty Station — Location to where units other than ships or ship-based staffs are assigned for duty. (Comparable to homeport assignment for ships.)

Permanent Party Personnel — All personnel assigned to the Field Activity on permanent change of station orders.

Private Assets — Housing units in the community occupied by DOD personnel by private arrangement or vacant suitable units available for occupancy by DOD personnel.

Private Quarters — Dwelling units obtained from the private sector by lease, rent, purchase, or other means to include rental guarantee housing sponsored by the Government. Dwelling units obtained directly from other Government agencies (Federal Housing Administration, Veterans Administration, etc.) by an individual are also considered as private quarters.

Programming — The translation of planning into the specific goals and scope of work proposed for accomplishment during a budget cycle.

Project — A means of correcting deficiencies or improving facilities when the scope or cost of the work exceeds the approval authority of the Installation Commander accountable for the maintenance of the Family Housing Property Account.

Public Entertainment Area — The portion of a dwelling unit functionally designed or utilized for official social functions.

Public Quarters — Adequate housing accommodations provided by the Government. Full BAQ may be withheld upon occupancy by service members or their families.

Quarters — All living accommodations.

Rental Guaranty Housing — Housing units built in foreign countries and operated by private investors with a percentage of occupancy guaranteed by the United States Government.

Rental Quarters — Navy family housing facilities, including mobile home spaces, provided to tenants on a cash rental basis.

Repair — The restoration of a real property facility or system to such condition that it may be effectively utilized for its designated purposes and which does not increase the property account value.

Restrictive Sanctions — Action taken by an Installation Commander to preclude DOD personnel from entering into a new rental, lease, or purchase arrangement with, or otherwise moving into, a housing facility the agent of which has been found to have discriminated against DOD personnel with regard to race, color, creed, national origin, age, or sex. Restrictive sanctions are effective against the owner/manager/agent and all facilities under the control of that owner/manager/agent.

Special Command Quarters — Military family housing units specifically designated for occupancy by incumbents of DOD designated Special Command positions.

Station Housing Allowance (SHA) — Supplemental housing allowance to offset excessive housing costs in designated locations outside the United States.

Substandard Housing — Same as inadequate housing.

Temporary Housing — Quarters not identified on property records as military family housing, used in a manner similar to hotels, motels, or guest houses for temporary occupancy of military personnel and their families.

Tenant Activity — An installation or Field Activity which occupies facilities provided by another installation or Field Activity.

Termination — The formal cessation of assignment to Government quarters.

Unaccompanied Family — The family of a military member occupying quarters at a location other than that to which the sponsor is assigned.

Utilization — The use of family housing and mobile home spaces.

Vacate - The cessation of occupancy of family housing.

Variable Housing Allowance (VHA) — Supplemental housing allowance provided to offset excessive housing costs in designated regions within CONUS. Rates vary as function of rate/rank and region. All rates are set so BAQ + VHA covers 85% of cost of Adequate Community Housing.

PART 1 — FAMILY HOUSING

9.1.1 General Policy. It is the objective of the Family Housing Program to assure that military personnel have adequate, economic housing in which to shelter their families and/or dependents.

A. Communities near military installations will be relied on as the primary source of family housing for military personnel.

1. Government-owned housing will not be programmed (unless military personnel must live on a Government installation for reasons of military necessity) where the community has the capacity to provide satisfactory housing for military personnel at no serious financial sacrifice to them.

2. Where little or no community housing is available, or where community housing is available but the location, quality, or cost creates a distinct hazard or hardship for military families, Government-owned housing may be built to meet valid requirements. However, all reasonable precautions will be taken to preclude overbuilding and avoid harmful impact on local housing markets.

B. Although houses which have been purchased by free choice of the military occupant and certain other houses occupied by military owners will be considered in determining the military need, vacant "for sale" housing will not generally be considered in making this determination. Military personnel are transferred every two or three years and should not be subjected to the financial risk and expense of home purchase in order to provide shelter for their families and/or dependents.

9.1.2 Responsibilities, Function and Staffing. This section discusses management, responsibilities, functions and staffing for family housing from the DOD level to the Shore Activity level. Family housing organizational relationships are shown in Figure 9-2. For more detailed discussion refer to NAVFAC P-930.

A. Management Responsibilities.

1. Departmental Level

a. Secretary of Defense. The Secretary of Defense exercises control over and administers military family housing as a centrally managed and funded "program element" (hereinafter referred to as the housing program) of the Department of Defense (DOD) programming system. Executive direction of the program is assigned to the Assistant Secretary of Defense (Installations and Logistics) who is the appropriation sponsor to the Congress for military family housing for all of the military departments and DOD agencies. The ASD (I&L) exercises direction through a Deputy Assistant Secretary of Defense for Installations and Housing (DASD IH). Appropriations for the construciton, acquisition, operation, and maintenance of housing facilities, and for the administration of housing functions flow into a Department of Defense Family Housing Management Account (FHMA). Funds are made available to the military departments from the Family Housing Management Account (FHMA), (refer to Section 9.1.9) by the Deputy Assistant Secretary of Defense (Comptroller) in consonance with prior approval of funding requirements by DASD (IH). The DASD (IH) controls the Defense Family Housing Property Account which includes all properties, real and chattel, supported by the FHMA. The Secretary of Defense controls and administers the family housing program within the military department, through the respective secretaries.

b. Secretary of the Navy (SECNAV). The Secretary of the Navy is responsible for implementation of the policies and programs of the Department of Defense; however, the responsibility for administration of family housing within the Department of the Navy is assigned to the Assistant Secretary of the Navy (Manpower Reserve Affairs and Logistics) — ASN (MRA&L). As principal advisor and assistant to SECNAV for family housing, ASN (MRA&L) is particularly concerned with acquisition and disposal actions; coordination and direction of the management and program actions of the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC); and approval of programs and projects recommended by the CNO and the CMC.

c. The Chief of Naval Operations (CNO). The CNO, as the program sponsor and coordinator, recommends legislation and acquisition programs to ASSTSECNAV MRAL; establishes policies for designation, assignment, activation, disposal, and housing referral; and assigns responsibilities for the administration of facilities and programs.

Matters of a technical or financial nature are channeled through the Commander, Naval Facilities Engineering Command (NAVFAC) and the NAVFAC Field Divisions. Budgeting, funding, special projects and maintenance standards are examples of matters administered through NAVFAC.

In addition, CNO is responsible to ASN (MRA&L) for recommending, with the concurrence of CMC, consolidated annual legislative proposals and programs concerned with acquisition improvement, maintenance and operation or disposal of family housing for the entire Department of the Navy. CNO is thus considered to be the program sponsor and coordinator for these matters.

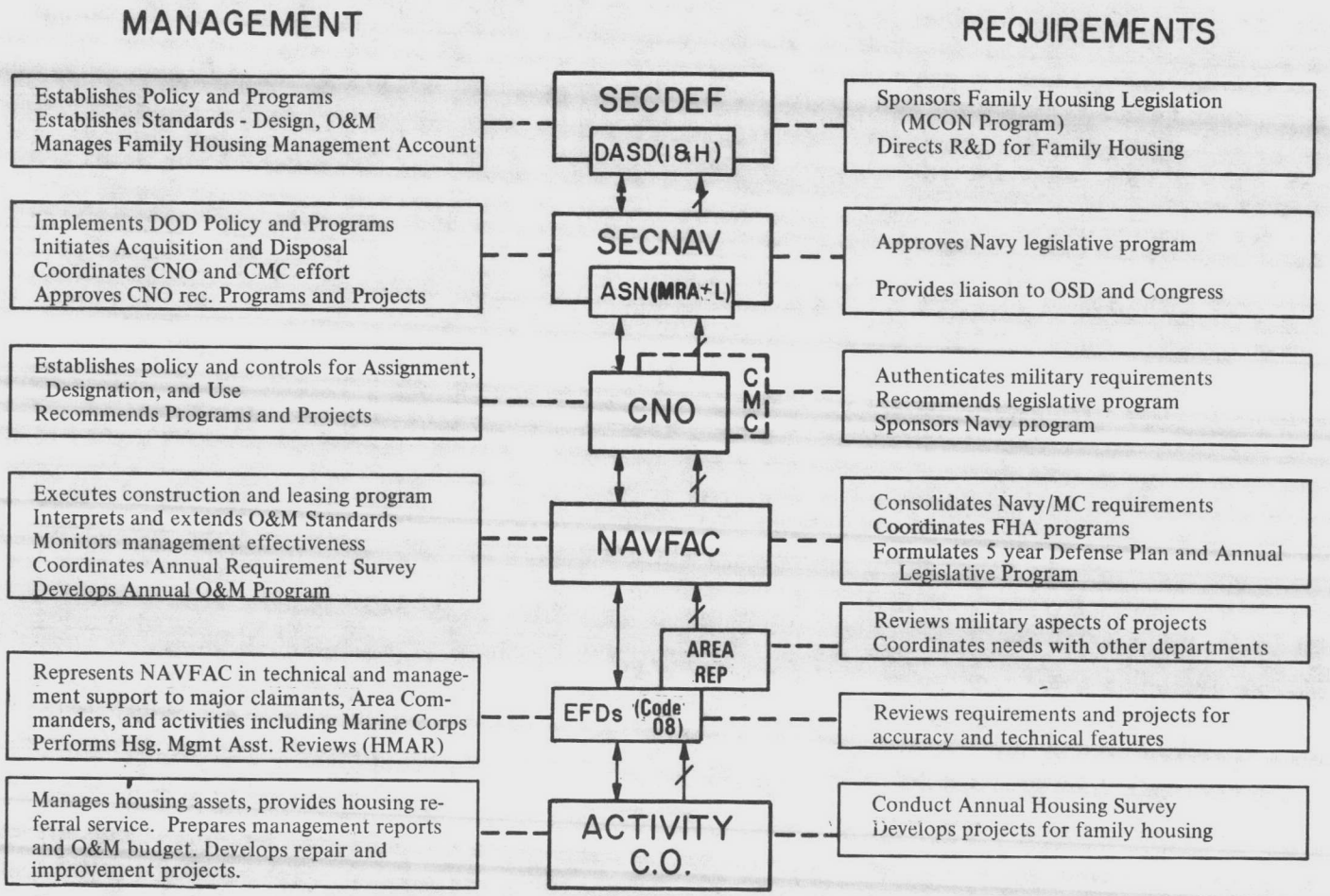


FIGURE 9-2
FAMILY HOUSING ORGANIZATIONAL RELATIONSHIP

d. Commandant of the Marine Corps (CMC). The CMC fulfills the same management and military responsibilities for Marine Corps commanded shore activities as does the CNO for Navy commanded shore activities. To maximize uniformity and integration within the Department of the Navy, the CMC administers family housing in accordance with the principles, standards, controls, cost accounts and reporting systems applied by the CNO to Navy housing.

e. The Commander, Naval Facilities Engineering Command. COMNAVFACENGCOM is the program manager and administrator of the Navy Family Housing Program under the chief of Naval Material (CNM) for CNO. NAVFAC manages, maintains and operates Navy family housing, monitors management effectiveness through periodic on-site inspections and analysis of performance reports; formulates budgets and legislative proposals; administers FHMA funds for field activities; and establishes allowances, for family housing real property. NAVFAC also does the following as it relates to family housing planning.

(1) Provides staff and advisory services to the CNO and the CMC as required.

(2) Formulates and coordinates, with the concurrence of the Commandant of the Marine Corps where appropriate, the Department of the Navy annual legislative proposals for submittal by the Chief of Naval Operations to the Assistant Secretary of the Navy (Installations and Logistics).

(3) Conducts surveys and formulates and recommends to the CNO construction, leasing, and other acquisitions to meet requirements at Navy activities. Justifies approved projects to the Office of the Secretary of Defense and the Congress.

(4) Develops and monitors, with concurrence of the CMC for Marine Corps commanded activities, improvement projects for the Department of the Navy.

(5) Develops and justifies for CNO the Navy Five Year Defense Plan (FYDP) and annual budget requirements for family housing.

(6) Selects sites for Department of the Navy family housing construction, with concurrence of the CMC for construction at Marine Corps commanded activities, and obtains required approvals therefore.

(7) Establishes criteria and standards for, plans, designs, and constructs family housing for the Department of the Navy.

(8) Establishes and maintains central inventory and use records and reporting systems for the Navy.

(9) Administers, budgets, and finances housing referral services.

(10) Administers relations with FHA, mortagees, private management, and others with respect to applicable projects under the National Housing Act.

2. Middle Management Level

a. Area Representatives. Coordinate and recommend the acquisition (construction, leasing, other) of family housing to meet the requirements of the Navy within assigned coordination areas, including Marine Corps requirements at Naval Complexes; and implement assignment policies established by OPNAVINST 11101.13 (current).

b. NAVFAC Engineering Field Divisions (EFDs). The Commanding Officers of the EFDs represent and act for the Commander, NAVFAC, in providing primary support for the Navy Family Housing Program. As well, EFD's serve as staff advisors to Major Claimants and Area Representatives; promulgate policies and instructions; and provide guidance to field Activities within their purview.

Specific Functions of the EFD are too numerous to detail, but in general EFDs:

(1) Administer family housing programs within the COMNAVFACENGCOM Command Management Plan (CMP) as the housing program manager, review program accomplishments,- and effect necessary actions to assure achievement of program goals and objectives.

(2) Provide direction and coordinate the planning and management of Navy Family Housing Programs from "cradle to grave," including requirements, acquisition, management, and disposal.

(3) Provide onsite support to Field Activities in all aspects of management, operation, and maintenance of family housing.

(4) Maintain liaison with private interests, public authorities, and other Federal agencies with respect to family housing programs.

(5) Conduct management assistance/program support (MAPS) field visits.

(6) Determine requirements while acting in a staff support role to the area

representatives; review and make recommendations on family and unaccompanied personnel housing programming.

(7) Establish and implement, for area representatives, policies and procedures for designation, assignment, termination, and utilization of family housing; conduct onsite inspections of Field Activity implementation of these policies and procedures.

(8) Determine resource requirements, develop justification for budgeting, and authorize fund allocations for the operation, maintenance, repair, and improvement of family housing.

(9) Administer the maintenance and repair inspection program (MARIP) and the Activity Family Housing Improvement Program (AFHIP).

3. Shore (Field) Activities

a. Commanding officers of shore activities are responsible for insuring adequate housing is provided servicemembers assigned to their commands. In addition, the commanding officer is responsible for advising higher authorities of the requirements at his activity for additional family housing facilities, and for essential repairs and improvements.

b. Public Works Officer. The Commanding Officer delegates to you the responsibility for supervising and directing the family housing program at your activity. Since family housing is but one of the many functional programs of the Public Works Department, you must rely upon the Housing Manager for the day-to-day direction and control of the housing program.

One way in which you, as the staff advisor on housing matters, can provide real and effective assistance to the Family Housing Program is to establish necessary operating policies with your Commanding Officer and Housing Manager, and coordinate command support in operating by the policies. A note of caution: Dealing with Tenant/Tenant disputes is a function of command. The wise PWO will avoid becoming involved in dealing with them.

Your role in housing management is a very important one, you must keep yourself informed about the operations, but without becoming involved with the minor details. Through periodic briefings, the Housing Manager can keep you abreast of achievements, potential problem areas, and matters that may demand command attention. Utilization or occupancy of the units, and status of funds are two specific aspects of the program with which you should be familiar.

c. Housing Manager. This is the person to whom you delegate the responsibility for executing and controlling the family housing program at your activity. He is a professional, and you should treat him as such. He should not be less qualified than any of your engineers or other management personnel. The qualifications of a good Family Housing Manager are discussed in detail in NAVFAC P-930.

As Housing Manager, he is in the anomalous position of being responsible to three groups — the Command, the occupants, and the community. Obviously, his primary allegiance must be to the first two groups. Nevertheless, he can foster good community relations by making the civilian population aware of the military requirements for family housing.

His actions are governed generally by published rules and regulations which are listed in the NAVFAC P-930 and other directives. A glance at these will convince you that he has a responsible position. Therefore, he deserves your full cooperation and all the command support you can give him.

B. Functions. The primary function of the Housing Division is to support the command in its responsibility to obtain adequate housing for assigned servicemembers with dependents. Particular attention is focused upon maximizing the availability and utilization of activity housing assets, while maintaining them at the lowest feasible cost consistent with the design life and preservation of the facilities.

An equally important task of the Housing Division is providing an Off-Base Referral Service. The service assists military and civilian personnel who are unable or prefer not to obtain Government-owned or controlled housing to locate suitable, economic, and non-discriminatory off-base housing. It also provides a necessary public relations link with the civilian community (refer to OPNAV Instruction 11101.21 (current)).

C. Staffing. Criteria for staffing the housing management function are detailed in NAVFAC P-930. The criteria relate manpower requirements to the workload generated by the number of units managed and other factors. For example, an activity with less than 40 units would usually assign the management functions on a collateral or part-time basis. Conversely, an activity managing 2000 units would have a staff of 10 or more depending on the number and types of units, the dispersion of projects and units, and other factors. Remember, the criteria applies only to staffing the management

functions; employees whose salaries are paid from the FHMA.

Shops personnel are excluded from the NAVFAC criteria. Normally, the services of shops personnel are purchased on an as-needed basis. However, local conditions may warrant the continuing assignment of a limited number of shops employees to the Housing Office to perform emergency/service and change-of-occupant inspections functions. Nevertheless, these persons are not performing management functions and are not included in the staffing criteria limitations.

9.1.3 Requirements Program Planning

Although the authorization and appropriations for the Family Housing Program is separated from all other DOD facilities programs, it is a component of the Five-Year Defense Plan. Accordingly, the Navy's requirements for family housing must be periodically reestablished and the construction program updated. The basic policies and procedures for establishing family housing requirements are prescribed in OPNAVINST 11101.37 and in the NAVFAC P-930, Navy Family Housing Manual. Detailed instructions for conducting surveys to identify the requirements are contained in NAVFACINST 11101.91 (current).

A. Housing Requirements. The vehicle for determining the Navy's family housing requirements is the Annual Family Housing Survey. The information obtained from this survey is eventually presented to Congress in support of recommended housing projects. Accordingly, the survey results must reflect the local conditions as accurately and comprehensively as possible. Because of the impact of family housing on the morale and well-being of Navy families, Command attention must be directed to the conduct of family housing surveys. It is customary for the Commanding Officer to assign primary responsibility for the supervising and directing of the survey to the Activity Public Works Officer and his staff. The mechanics for conducting the survey are well defined in the NAVFAC Publication and Directives referenced in the previous paragraph and are not repeated here. However, your initial concern should be in selecting and indoctrinating the members of the survey teams.

1. The Annual Survey. The survey represents your local conditions as of 31 January of the year in which the survey is conducted. It is essential that the survey include all tenant commands at a particular shore activity as well as those supported commands that are homeported at that activity but may be temporarily deployed away from the homeport. The accuracy of the survey depends upon the quantity and the quality of the information that is received from military personnel with dependents and key civilian personnel. One of the most exacting requirements placed on a survey team is that they personally audit and verify the information on the questionnaires that are returned from the eligible personnel. Inaccurate information can have a severe and adverse effect upon your activity's chances of acquiring the additional urgently needed units and/or replacement of inadequate units.

In addition to polling the eligible military and civilian personnel, the survey team must obtain a detailed inventory of suitable vacant privately-owned rental units in the adjacent community, and those planned or under construction. The following basic documents are used in establishing requirements.

a. Form NAVFAC 1376, Questionnaire on Family Housing. This form is the basic document in all surveys. It is used as the primary souce of information on existing housing conditions as of the survey date.

b. DD Form 1377, Tabulation of Family Housing Survey. This form is a compilation of the data from the questionnaires and other input documents. It is completely computerized and produced on pre-printed forms which do not require transcription.

c. DD Form 1378, Determination of Housing Requirements and Project Composition. In this form data from DD Form 1377 is combined with projected personnel and military housing data for determination of projected requirements and project composition. This form is also completely automated and converted to a preprinted form.

d. DD Form 1379, Narrative on Family Housing. A narrative description of the mission, area, local housing conditions, military inventory, and justification for any proposed programs is reported on the DD Form 1379.

2. Preparation of Housing Surveys. Instructions for the preparation of the foregoing documents, with sample forms, are contained in NAVFAC P-930, *Navy Family Housing Manual.* In addition, detailed guidance, covering the conduct of surveys, the tabulations required, and preparation of input documents, is published in NAVFACINST 11101.91 (current).

3. Evaluation of Survey Data. Evaluation of the tabulated information obtained from the questionnaires provides you with both quantitative and qualitative data as to your gross requirements for family housing units. The determination of the *net deficit,* which is the basis for initiation of future projects, requires consideration of several factors.

a. Gross Housing Requirements. The first factor to determine is the *lowest* projected military personnel strength level expected *at your activity,* including tenant activities, for the period of the next five years. This computation should conform to the latest CNO base loading data provided by NAVFAC for this purpose.

The projected base loading must be adjusted by your activity's actual marital rate or dependency rate factors. These factors should be computed on no less a period than three years. If you are unable to obtain local experience data, use the Navy-wide averages — available from The Navy Military Personnel Command (NMPC). The result of the computations is the "Gross Housing Requirements" for your activity.

b. Net Housing Deficit. To determine if your activity has a deficit of family housing, the Gross Housing Requirement must be reduced by the amount of current adequate assets. Tabulation of the assets must include all suitable existing and vacant community units as well as all adequate and occupied inadequate Government-owned and controlled units existing and approved. The resulting deficit, if any, is then the basis for your request for additional units.

4. Other Uses of Family Housing Surveys. The data gathered during the annual family housing surveys have several other potential planning uses. It is used to validate and support other MILCON projects. For example, personnel data obtained for Bachelor Housing Surveys must be compatible with that obtained during Family Housing Surveys. BEQ's/BOQ's are planned and programmed on the basis of these surveys.

B. Housing Program Planning

1. Programming. Annual programs will include provision for improvements to existing assets as well as new construction when justified to meet a net deficit of family housing. The type and amount of housing to be programmed for each installation will be governed by the length of time the installation will be used; lowest predictable strength level to be maintained; adequacy of existing community support and military controlled housing; impact of new military housing on the local economy; and predictable changes in availability of adequate private housing. Selection of an appropriate new construction program will depend on duration and level of need as defined below.

a. Long Range. Minimum of five years, with no predictable reduction thereafter. There should be reasonable expectation that recovery on construction costs can be made from the quarters allowances saved.

b. Uncertain Duration. Minimum of five years with duration thereafter unpredictable.

c. Short Range. Less than five years.

d. Terminal Need. Present and pipeline military assets plus private assets exceed eighty percent of gross requirements.

2. Net Housing Deficit. The establishment of a net housing deficit is not tantamount to approval for the acquisition of additional facilities. It does provide documentary evidence of an inadequacy at your activity and open an avenue of communication through your Area Representative, EFD, and NAVFAC to explore the chances for including a project in a future legislative program.

3. Programming the Deficit. The type and number of units that may be programmed will be governed by the duration of need for your activity; legislative and administrative programming limitations; predictable changes in availability of adequate private housing; and other factors. Further, acquisition of additional units may be by leasing suitable community housing, improvements of existing inadequate or substandard units, construction of new units, or a combination of sources.

4. Revalidation of Deficit. Data obtained from subsequent annual surveys may further support and validate your requirement for additional units. Conversely, the data may not support your previously established requirements, and NAVFAC will then reprogram appropriately.

5. Other Sources of Housing. To ensure that Navy personnel and their dependents are quickly, adequately, suitably, and economically housed in reasonable proximity to their duty station or homeports, Housing Referral Offices have been established to assist such personnel in locating housing on a non-discriminatory basis. Details on responsibilities, policy, and procedures for housing referral services are covered in OPNAVINST 11101.21 (current) and P-930. Where a long-range housing requirement exists which cannot be satisfied with existing adequate assets and foreseeable new government-owned units, you should seek assistance from community and other Federal agencies. Contact should be established with local governmental officials, the Chamber of Commerce, and real estate boards; and the FHA and VA representatives. Use of HUD special assistance programs should also be fully explored as a means of meeting the needs of military and essential civilian families. Detailed information is contained in OPNAVINSTS 11101.22 and NAVFAC P-930.

a. Military In-Leasing Program. This program provides, by means of inleasing from

private property owners, family housing to be occupied as public quarters by eligible military personnel and their dependents. The leasing program is divided into two areas, domestic and foreign. Details on the programs are covered in NAVFAC P-930.

C. Mobile Home Parks

1. Policy. Where the number of service personnel owning mobile homes is substantial and adequate private mobile home parks at reasonable rents and within acceptable distances are not sufficient to meet the requirement, projects for construction of Government parks may be programmed.

2. Requirements. Annual NAVFAC Notices provide information and establish instructions for surveying mobile park requirements.

3. Operation of Mobile Home Parks. Standards, criteria and procedurs for operations of mobile home park facilities are contained in NAVFAC P-930.

D. Family Housing Support Facilities Planning

1. Policy. The Navy policy is to make maximum use of services and facilities available in the adjacent civilian community. Navy funds are not to be expended to duplicate services or facilities which are available from other private or public sources. Community services and facilities such as fire and police protection, transportation, recreational and welfare facilities, and commercial facilities may be provided with Navy funds to the extend that funds are available.

2. Requirements. The effect of a proposed family housing project upon community services and facilities, driving patterns and highway or station road capacities must be considered simultaneously with the planning of the housing units.

a. Community Survey. A community survey should be conducted to determine what additions or changes will be necessary as a result of the increase in Navy Family Housing.

b. Programming and Funding. The requirements developed by the community survey should be covered by line item submissions to the appropriate bureau or command for sponsorship in the military construction program at the same time that the housing is programmed.

Those facilities serving family housing exclusively may be programmed for funding from FHMA funds. Other community facilities are sponsored by the activity's management bureau or command if funded with appropriated funds, or by BUPERS if to be funded by non-appropriated funds.

c. Schools and School Buses. The need for school facilities and school bus services to serve the housing area should be determined in coordination with local school authorities. When additional facilities will be needed, the local education board should be furnished the substantiating data which is needed for forwarding to the Department of Health, Education, and Welfare. It should be recognized that local and Federal officials face leadtime considerations in programming, funding and construction of school facilities, similar to those encountered in housing construction. Therefore, timely and continuing exchange of information is essential to planning for any required school facilities.

d. Commercial Facilities. In planning Navy housing projects, the need for commercial facilities must be considered. Sales and service facilities should be sought first through private sources. If private investors do not develop the necessary facilities, action should be taken for their provision by the Navy.

e. Recreation Facilities. The Family Housing Management Account provides a formal and uniform means of funding playground and other recreation facilities for family housing projects with new construciton or as improvements to existing housing projects. The following principles govern the provision and support of recreation facilities in connection with Navy developed and controlled family housing areas:

(1) Maximum use should be made of general community resources, existing station facilities, and school recreation facilities within reasonable distance.

(2) Sufficient open areas within the housing project boundaries should be provided for further development for recreation use, in accordance with sound site planning for the size of the project.

(3) Minor facilities for preschool children such as fencing and paving of small areas and installed equipment such as sandboxes and slides should normally be provided adjacent to apartment-type dwellings without individual tenant yards. (Refer to NAVFAC P-383, "Children's Play Areas Need Equipment.")

(4) Improvements to recreation facilities at existing housing projects, and for new housing, other than the minor facilities mentioned above, should be by construction project, with the same submission and approval requirements, funding limitations, etc., as currently apply to improvement projects.

(5) Recreation construction items for existing and future housing projects, should be considered for programming under the FHMA provided the following criteria are satisfied.

(a) The facility is located within the family housing area.

(b) The facility will be used solely by the occupants of the family housing area.

Funds available to the FHMA are extremely limited, and should be programmed to satisfy only the most urgent requirements. Therefore, major facilities such as swimming pools, bowling alleys, field houses, and community centers which provide universal usage, must be programmed as part of general station facilities, and not as family housing facilities.

Until technical criteria governing size and scope of recreation facilities which may be provided under the FHMA are promulgated, questions in this area should be referred to NAVFAC.

3. Design Criteria. NAVFAC DM-35, *Family Housing,* contains architecural and technical aspects of family housing and site planning, and site selection procedures. Design criteria for frequently constructed community support facilities are published in NAVFAC DM-37, *Community Facilities,* and NAVFAC P-272, *Definitive Designs for Naval Shore Facilities.* These publications include such family housing support structures as dependent schools, chapels, theaters, commissary stores, clubs and recreational facilities.

4. Guest or Transient Housing. Guest and transient facilities are under the cognizance of NMPC or Supply Systems Command and are not supported by FHMA funds. Directives governing the operation of these facilities are published by the responsible Bureau or Command.

9.1.4 Assignment and Utilization

This section is concerned with the principal procedures used in the classification, assignment, and utilization of family housing.

A. Classification. The two most prominent mehtods of classifying the Navy's Family Housing assets are by categories and by Designation.

1. Categories. Categories are used primarily to identify housing units by the year in which the housing was funded for construction or, in some cases, actually constructed. These classifications relate housing to the legislative or financial procedures by which they were acquired. They are used as the basis for inventory, utilization, and cost reporting. The major catagories of housing used for budgeting and cost accounting are found in NAVFAC P-930.

2. Designation. Designation is a procedure of identifying housing by intended occupant. It is an official action by CNO or his designee to provide for an equitable distribution of family housing by rate, rank and, in specific instances, billet. The policy on designation is contained in OPNAV Instruction 11101.13 (current).

Authority to designate and assign flag quarters and command quarters is retained by CNO. Authority to designate flag quarters is delegated to major claimant and designation of other categories of quarters is delegated to area representatives, who in turn may redelegate such authority to sub-area representatives or activity Commanding Officers. Designations conform to the following minimum groupings:

Flag Quarters
Command Quarters
Senior Officers Quarters, 06
Field Grade Officers Quarters, 04 to 05
Company Grade Officers Quarters, 0-1 to 0-3; W-1 to W-4
Enlisted Quarters

Criteria for local sub-allocation within the above groupings are contained in OPNAV Instruciton 11101.13 (current) and NAVFAC P-930. The criteria are not restrictive since the situation at activities differs in distribution of requirements and assets.

At overseas and isolated locations, some housing units may be designated for occupancy by civilian employees on a forfeiture of housing allowance basis. Housing units occupied by civilians retain their original classification as "Public Quarters" or "Substandard Housing" as appropriate.

3. Redesignation. When redesignation of family housing is necessary, it should be done between occupancies except in unusual circumstances. In any redesignation of quarters, a reasonable degree of separation of officer and enlisted housing areas should be maintained. Be sure you advise higher authority of any redesignation action taken by the command.

B. Assignment. Assignment is the official action which confers to an individual the right to occupy government-owned or controlled family housing. The activity Commanding Officer is authorized to assign eligible personnel to government quarters. The authority to assign flag officers to quarters not specifically designated as flag is retained by CNO.

1. Policy. The Navy policy is in general, that all personnel, afloat or shore-based, have equal

opportunity for assignment to government housing, compatible with available assets. In making assignments to quarters, due consideration must be given to rank, billet, and family size.

Activities managing family housing are required to maintain waiting lists of all personnel eligible for and desiring housing. The lists are compiled by grade and rank, date of eligibility, *and* bedroom requirement. Detailed guidelines for maintaining, updating and stabilizing waiting lists are contained in OPNAV Instruction 11101.13 (current). All local assignment policies and procedures must conform to the requirements of that directive.

2. Practice. The influence of suitable family housing on the morale and retention of the servicemen and their families is well recognized by higher authority. They are also aware of the fact that most eligible personnel prefer government quarters to community housing. However, a major problem exists in trying to satisfy the resultant requirements since the supply of government housing is but a small percentage of the demand.

In view of the above, the CNO expects that a serviceman will be made aware of his prospects for government housing prior to reporting to a new homeport or duty station. Further, if government quarters will not be available upon reporting, the assigning activity is required to give him a written statement indicating what, if any, he may have for government housing during his tour of duty. Content of the statement must conform to OPNAV Instruction 11101.13 (current). The objectives of the requirement is to minimize hardship to the individual if involuntary assignment is made to government quarters at a later date.

One aspect of assignment that you, as the designated representative of the Commanding Officer, should watch very closely is the operation of waiting lists. Nothing can be more devastating to morale and confidence in command, than an improper adjustment of a waiting list. The lists are a matter of public record and are closely watched by those who are awaiting assignment. Adjustments must be held to a minimum, and only in cases of severe personnel hardship, or when in the best interests of government should a late arrival of equivalent grade and rank be given priority over a person already on a waiting list. You should relieve the Housing Manager of making the final decisions on meritorious cases. Unless a specific board has been established to act on hardship cases, you should make the decision based upon established command policy, or better yet refer the decision to the C.O.

3. BAQ Procedures. Military personnel occupying public quarters forfeit entitlement to BAQ or other housing allowances including VAA and SHA. If occupying inadequate public quarters, military personnel forfeit BAQ in an amount equal to the established rents and charges for quarters occupied. Policy and procedures for determining BAQ forfeiture rates for substandard quarters are covered in P-930. Policies and procedures on implementation of rental rates and charges are also included in P-930. You should be certain that procedures for termination and reinstatement of BAQ are consistent with guidance provided. Civilian personnel occupy government quarters on a forfeit housing allowance basis when occupying quarters in overseas areas.

C. Retention and Termination

1. Retention of Quarters. Normally, personnel assigned to government quarters retain occupancy rights until detached for other duty, retired, released from active duty, or their occupancy is terminated in the best interests of the government.

For reasons of hardship or emergency, an extension may be granted in accordance with OPNAV Instruction 11101.13 (current).

Personnel occupying government quarters who received orders for unaccompanied tours, may be permitted to retain the quarters, depending upon the availability of housing at the activity. For other exceptions refer to OPNAVINST 11101.13 (current).

2. Termination. Termination is the written action which terminates an individual's entitlement to occupancy of quarters. Termination is usually a routine administrative procedure and is not considered prejudicial to the individual.

In cases of non-compliance with local rules and regulations or improper conduct, the Commanding Officer may take action to evict the occupant. Similarly, if an individual declines to vacate public quarters on the date specified, and extended occupancy is not approved, the Commanding Officer may effect removal. Additional information is contained in NAVFAC P-930.

As PWO, you should ensure that the occupants are provided with an up-to-date copy of the rules and regulations to which they are subject, *and* that they understand that a condition for retention of the quarters is continued observance of the rules and regulations by them *and their dependents.* Vigorous and prompt action in cases of violations will help to minimize the necessity to take such drastic action.

D. Utilization

1. Occupancy Standards. Utilization is a measure of an activity's effectiveness in maximizing the occupancy of its housing assets. The SECDEF established the utilization goal of 98% for adequate housing.

To attain this standard, most activities must achieve target occupancy rates of 99 percent to compensate for some installations having unavoidable below standard rates. In order to achieve this 99% occupancy, the period between termination and reoccupancy should not exceed five days.

2. Factors Affecting Occupancy Rates. Your activity's occupancy rates can be adversely affected by unforeseen or sudden movements of large numbers of eligible personnel. This usually results from:

a. Changes in homeport assignments;
b. Accelerated or early release of personnel;
c. Graduation of students from long term courses;
d. Disestablishment or transfer of mission functions.

Conversely, there are several compensating reasons why your occupancy rates should equal or exceed the targets. You can:

a. Require occupants to give ample advanced notice of proposed move-out.

b. Advise the next person on the waiting list to make preparations to move in without delay.

c. Make involuntary assignments to quarters (note: this should only be used as a last resort).

d. Alert your shops as to the scope of work required and the date to begin work.

The higher your occupancy rate, the more public funds you conserve through savings of BAQ payments.

3. Reports. Periodic reports prepared by the Housing Office provide you (and higher authority) with information on utilization of your housing assets. For details refer to NAVFAC P-930 (Chapter 9).

A sample report is the DD Form 1411, "Statement of Facilities and Assignment". It is prepared semi-annually as of 31 December (see Section 9.3.1). The report, known as the Inventory and Utilization Report, provides a detailed listing of units by size (bedroom), by grade for which designated, and actual occupancy.

This report is submitted by the activity to the EFD where summary reports on the entire Navy housing program are prepared for submission to SECDEF. Machine print-outs of the reports are provided by NAVFAC for each EFD and activity's use. Additional information on the basic reports is contained in NAVFAC P-930.

9.1.5 Household Furnishings

Furnishings include furniture, moveable household equipment and miscellaneous items necessary to provide a reasonable degree of liveability. Items excluded from the furnishings category are special allowance items, such as linens, cutlery, silverware, dishes and kitchen utensils. Household moveable equipment include such items as stoves, refrigerators, freezers, clothes washers and dryers. NAVFAC P-930 sets forth the policy concerning the position of quarters furnishings.

A. Furniture

1. Policy within CONUS. Personnel occupying Government-owned family housing within CONUS are required to use personally-owned furniture except for unusual circumstances, such as transient, short tour, special command, or student quarters. Furnishings are provided Flag and Commanding Officers quarters when official duties require frequent entertaining of visitors and dignitaries. Refer to OPNAV Instruction 11101.19 (current) for additional information concerning the policy and procedures for furnishing flag and commanding officers quarters.

2. Policy Outside CONUS. Government-owned furniture may be provided in Government-owned and controlled housing outside CONUS, as well as in private rentals where it is more economical for the Government to provide the furniture than to pay the expense of frequent shipment of personally-owned furniture. Where Government-owned furniture is provided overseas, the appropriate weight restrictions on the shipment of personally-owned household goods will be effected.

a. Temporary Loan. All accompanied military and civilian personnel entitled to shipment of household goods (HHG) are authorized furniture on a temporary basis while their HHG are in transit. The period of this loan is not to exceed 90 days, however, extensions may be specifically approved by the Field Activity on an individual basis.

3. Replacement and Repair of Furnishings. Within CONUS, procurement of furniture is

prohibited, except for special command, flag officer, commanding officer, student, transient, and short tour quarters. Most shore activities have a residual inventory of used furniture. Funds for repairs are not available except for those instances where furniture is authorized on a continuing basis. Furniture in excess of above requirements should be disposed of in accordance with OPNAVINST 11101.32 (current).

B. Equipment

1. Policy. Ranges and refrigerators are provided for all Government-owned and controlled family housing. The conditions under which additional Government-owned equipment such as clothes washers and dryers, freezers, and dishwashers may be authorized are summarized in OPNAVINST 11101.19 (current) and 11101.32 (current), and NAVFAC P-930.

C. Personally Owned Furniture and Equipment

1. Personally-owned equipment will not be used in lieu of Government-owned equipment, unless specifically authorized by the activity Commanding Officer. Where exceptions are granted, the occupants must be advised that Government funds will not be used for maintenance and repair of the personally-owned equipment.

2. Moving and Storage. The cost of moving, handling, and storage of privately-owned household goods cannot be supported with funds from the FHMA. If your Commanding Officer desires to assist occupants by moving and storing their excess or total inventory, the cost must be charged to other funds. Entitlement to moving, handling, and storage of privately-owned items at Government expense is prescribed in the Joint Travel Regulations (JTR).

3. Installation of Furnishings and Equipment. A procedure must be established to process occupant requests for installation of personally-owned labor-saving devices not provided by the Government. The Commanding Officer usually tasks the PWO with the responsibility of evaluating and approving or disapproving the requests. The PWO may further delegate to the Housing Manager the authority to approve requests up to a specific amount (i.e., $100).

The Housing Manager should supervise the installation of necessary utility connections, ensure that the equipment to be installed meets national standards for safety, control placement and removal of the equipment, and inspect any restoration of the premises that may be necessary.

a. Costs Chargeable to FHMA. When the facilities provided for the installation of occupant-owned equipment will be available to and benefit future occupants on a long-range basis; the cost of the installation may be charged to the FHMA, subject to the availability of funds.

b. Costs Chargeable to Occupant. When the facilities installed will not benefit future occupants on a long-range basis, the work, including any removal costs, should be accomplished at the occupants expense.

3. Unauthorized Equipment. Equipment not authorized for installation includes:

a. Airconditioning units requiring duct work, or fixed water or drain connections.
b. Attic or wall-type fans requiring permanent attachment to the building and structural modifications.
c. Built-in automatic dishwashers.
d. Domestic water heaters.
e. Electric or gas wall heaters.
f. Evaporative coolers requiring duct work.
g. Mechanical garbage disposal units.

D. Procurement Planning

1. General. The activity should have a planned replacement program for equipment and authorized furniture. In planning and budgeting for initial outfitting or replacement procurement of furniture for quarters authorized furnishings on a continuing basis first consideration must be actual requirements rather than any fixed formula or routine replenishment of items beyond economical repair and listed in the "Table of Maximum Allowances" contained in OPNAVINST 11101.32 (current). The repair of household furniture should be limited to items authorized on a continuing basis.

2. Repair and Replacement Limitations. Criteria for repair or replacement of furniture based upon cost and age of items are delineated in OPNAVINST 11101.32 (current).

E. Approval Authority. Approval authorities for provision of furniture are delegated within certain dollar limits, established in OPNAVINSTs 11101.19 and 11101.32 (current) and NAVFAC P-930, to the commanding officer's, EFD's, and major claimants. Requests exceeding these limits must be approved by Assistant Secretary of the Navy (I&L).

1. Procurement Sources. The primary source for procurement of furniture and equipment is GSA. Additional information is contained in NAVFAC P-930, OPNAVINST 11101.19 and OPNAVINST 11101.32 (current).

9.1.6 Maintenance and Repairs

A. Policy. Family housing shall be maintained to a standard which will provide adequate and livable

accommodations in good condition, protect the facilities from deterioration, and ensure economical maintenance and operating costs.

Maintenance funds shall be expended on the facilities only when there is a justified need, and will not be used solely on the basis of occupant's rank or billet. Excessive and unusual expenditures, which would not normally be incurred by the occupant as a homeowner, should be avoided. Such costs can result in undesirable criticism of the Navy. This applies especially to painting, equipment repairs, grounds care, alterations, additions, improvements, and other support costs attributable to occupant use of quarters assigned to personnel of senior rank and position. These quarters usually receive the closest scrutiny by reviewing authorities. Standards, criteria, and limitations discussed in this section, and the referenced directives, apply to all public quarters. They shall also apply, insofar as practical, to inadequate public quarters within the restriction that the cost of operating and maintaining inadequate public quarters may not be more than the income derived therefrom, except where the Commanding Officer has determined that a critical need for family housing exists.

B. Occupant Maintenance. The real challenge in managing family housing apart from maintaining the physical properties efficiently and economically, is to develop interest and participation of the occupants and their families in maintaining orderliness, economy, and standards of property care. Commonly referred to as the "attitude of the prudent home-owner," this can assure to the individual occupant and the entire Naval community, the pride of a wholesome and satisfying homelife.

1. Background. The Navy's policy is that occupants are responsible for performing the routine recurring housekeeping tasks which are normally performed by tenants in private housing. Tasks requiring the skill of an artisan or mechanic will be performed by government maintenance forces or a maintenance contractor wherever contractor forces are utilized. Refer to OPNAVINST 11101.27 (current).

2. Occupant Responsibility. The responsibilities assigned to the occupants will vary depending upon the house design, type of construction, condition or repair, ground conditions, and other physical factors which affect maintenance. Typical occupant maintenance tasks are listed in OPNAVINST 11101.27 (current). The extent of their responsibility must be identified and clearly defined. The most effective means of disseminating this and other detailed information is to, upon assignment, furnish occupants with a copy of an official manual or handbook.

You can save additional maintenance dollars by suggesting that occupants perform some minor maintenance tasks that they would normally do if they lived in their own house. Instructions for such items as resetting switches, opening clogged drains, or replacing washers in leaking faucets should be included in the occupants handbook (see Section 9.1.8).

3. Occupants Handbook. This publication should welcome the occupants and provide them with such information as is suggested in the sample format contained in NAVFAC P-930, Appendix G.

The tone of the handbook should promote an attitude of willing compliance by creating an overall impression of persuasion that the regulations are mutually beneficial to management and the occupant. The handbook should be updated periodically.

4. Incentives. The success of an Occupant Maintenance Program requires recognition of the occupant's effort. If not already established you, as Public Works Officer, should consider initiating a program of suitable awards, certificates, letters of appreciation, and other means of showing appreciation for a job well done. Whenever possible, request the Commanding Officer to personally present the awards and ensure that the program receives wide publicity in activity newspapers, plans of the day, and other appropriate media.

C. Condition of Quarters. Occupants should expect to move into clean, well-kept quarters and be required upon vacating to turn them over in a similar condition. Upon assignment to quarters, and again upon termination of occupancy, a joint inspection of the quarters and inventory of property should be made by a representative of the Housing Office and the occupant. Condition reports should be prepared indicating the condition of the quarters, grounds, and each item of government-owned furniture and equipment.

D. Occupants Liability for Damage or Loss. The fact that an occupant is responsible for damage to or loss of government property should be spelled out in the handbook. During the pretermination inspection, the extent of damages or loss arising from willful or malicious acts or negligence, if any, should be determined and the cost of repairs or replacements estimated. The occupant should be promptly advised of his liabilities, and be asked to voluntarily reimburse the government for the damages or make repairs. Detailed procedures for effective collection damages or loss are contained in NAVFAC P-930, Chapter 10.

E. Activity Responsibility. The activity is responsible for the performance of maintenance that

FIGURE 9-3
WHERRY HOUSING, NCBC, PORT HUENEME, CALIFORNIA
Reconditioned inadequate public quarters now classed as adequate, with four 3-bedroom and one 4-bedroom units.

FIGURE 9-3 (Cont'd)
WHERRY HOUSING, NCBC, PORT HUENEME, CALIFORNIA
Detached 3-bedroom adequate public quarters.

requires skilled or semi-skilled mechanics or artisans. The Commanding Officer expects that you will ensure that adequate, economical maintenance is provided for family housing.

1. Maintenance Planning. Your activity's family housing maintenance program, to be effective, must be based on a well defined maintenance plan. The plan is a necessary tool which assists you and the housing manager in both managing and budgeting functions.

In planning for maintenance, the housing manager should consider the availability of funds, availability of station forces, availability of units for maintenance, climate and weather conditions, and action to minimize disturbance, annoyance, or hazards to occupants. Emphasis should be placed on economic evaluations of proposed maintenance and improvements which would consider repair versus replacement in terms of anticipated use. Only through planning and scheduling of maintenance can "stop gap" maintenance be eliminated and funds be effectively utilized.

An effective maintenance management system requires a sound, long-range (5 year) maintenance plan that will provide a projection of maintenance required. The plan can be simple, allow for cyclic maintenance on a rational basis, and be compatible with the Navy's maintenance management system, even in the face of what might appear to be a highly variable workload. Maximum use shall be made of engineered performance standards in determining the dollars to be invested over cycle spans. The economics of contracting large segments of the maintenance work or contracting seasonal peak loads only, shall be fully and objectively analyzed, giving due regard to the availability and capability of contractual forces. The maintenance plan shall be confined to requirements rather than previous or expected levels of expenditures. The plan must provide:

a. A systematic method for identifying persistent maintenance problems, minimizing marginally productive costs, and encouraging continuing improved managerial methods.

b. A means for directing funds to approved projects rather than continue to be utilized for marginally productive routine maintenance.

c. A documented record of managerial actions which will provide valuable information to housing and maintenance managers and to higher authority to assess the potential workload and the activity's capability of performing the work.

To encourage a realistic family housing maintenance plan, commanding officers are given sufficient latitude to adapt the plan to the needs of their activity, particularly in the identification of major non-recurring items to be afforded intensive management attention and in setting the time frame for accomplishment. To be successful, the plan must stress improved forecasting and definition of maintenance requirements and coordination between the housing management office and the commanding officer/public works officer, and other concerned parties.

The objective of the maintenance plan is to: (1) identify and summarize the true and essential dollar support level required to provide decent family housing consistent with the anticipated economic life of the facility, (2) to establish an execution plan for work accomplishment within available funds for the current year and provide a basis for identifying funding requirements in the following budget year.

2. Work Generation and Input. The maintenance plan for your activity must be implemented according to the concepts, procedures, and controls of the maintenance management systems, continuous inspections, and engineered performance standards systems described in NAVFAC MO-321, MO-322 and NAVFAC P-7000. Those systems contain the prerequisite principles for effective and efficient operation of family housing.

The type of work normally encountered in maintaining family housing is more uniform and highly repetitive than most other public works functions. Therefore, some local deviations in organizations and procedures may be warranted to facilitate the introduction of work to public works shops and completion of the work. Above all else, the housing manager must control the input of all work, regardless of the nature and scope.

3. Maintenance by Contract. As inferred by Section 2. Housing maintenance is a Commercial/Industrial Type Activity (CITA) and is therefore a candidate for review and cost analysis. In general, then, maintenance or repair services will be provided by contract under the authority of, and in accordance with the procedures set forth in the Armed Services Procurement Regulations (paragraph 1-322) when:

a. An economic study indicates an advantage to the government without impairment of the quality of maintenance and when not precluded by other factors, or

b. Performance of specific items of maintenance or repair, or the provision of specific services beyond the capability of government forces due to lack of specialized skills, equipment or capacity, or requirements are for short-term periods of peak workload. In this regard, the availability

and suitability of service contracts through the General Services Administration and other agencies, for such work as equipment and furniture maintenance and repair, should be considered.

Consideration should be given to multi-year maintenance contracts if it can be demonstrated that they will result in a significant advantage to the government by reducing costs, increasing competition and improving performance.

4. Emergency/Service Type Work. The majority of occupant/maintenance work requests will be of an emergency or routine service category. During normal working hours, all such requests should be received by the housing manager, who will screeen, approve, and forward all emergency/service work requests to the maintenance control division or the emergency/service work center reception desk for issuance to the shops in accordance with procedures outlined in NAVFAC MO-321. If the requested work is above the limitations of emergency/service work (16 manhours), it shall follow the same procedure as outlined above except that the housing manager will approve all specific job orders, minor work authorizations, or standing job orders prior to issuance to the shops. The housing manager shall review weekly, all completed emergency/service work requests for repetitive items or work which may indicate a progressive trend towards a problem, and point up the need for an investigation to establish the cause and a more permanent solution. Prompt transfer of E/S type work from the housing office to the shops via MCD is essential if quick response is to be achieved. A teletype or recording telephone system may provide speed while retaining control of the work flow.

Outside normal working hours, emergency/service calls should be channeled to the emergency/service work center, the activity duty officer, or another continuously manned point for screening. It is essential that all such calls be documented and reported to the housing office for record purposes.

5. Work Requests at Change of Occupancy. Work required incidental to change of occupancy shall be determined by the housing office as far in advance as practicable (preferably 30 days, probably at the time of preliminary check-out of occupant) in order that the shops may schedule work to start the day the quarters become vacant. To facilitate the issuance of specific job orders for work on change of occupancy, the housing manager shall prepare housing forms similar to figures 39 and 40 of NAVFAC P-700.0 for the activity and will make these forms available to the maintenance control division (MCD) before issuance to shops. These forms show the standard times and material costs for the type of work normally required upon change of occupancy. By using this form when inspecting quarters for habitability, the housing office shall prepare the major portion of the job order, complete with the estimate for such work, and forward it to the MCD for execution. The only items for which the MCD will have to prepare estimates are the "non-standard" items of work determined by the housing office as necessary for habitability. Therefore, processing of the job order by the MCD requires a minimum of work and time.

6. Preventive Maintenance Inspection (PMI). As noted in NAVFAC MO-322, formal PMI can be minimized by encouraging occupants of the quarters to perform minor inspections. Formal PMI for public quarters should be held to an absolute minimum and should be accomplished at change of occupancy. Also, frequent PMI visits to occupied quarters may be viewed as interference by the tenants.

7. Facility Reports. A separate folder should be maintained for each dwelling unit and other facilities which are supported by FHMA funds. The record should contain completed emergency/service work orders, and major and minor specific job orders.

9.1.7 Repair and Improvement Programs

A. Policy. CNO expects that all essential maintenance, repair, and improvement work within your Commanding Officer's authority will be included in your maintenance plan, and funding requirements will be included in your regular annual operations and maintenance budget. Where the scope of major repairs and improvements exceed the authority of your Commanding Officer, it is essential that projects be the means for obtaining approval for the work and the necessary funds for the projects.

B. Projects

1. Type of Work. You may submit Projects for a variety of types of work. The following are examples:

a. Deferred maintenance work of such urgency and scope that scheduling and funding is not feasible under the regular maintenance program.

b. Major repairs, the scope and cost of which exceed your Commanding Officer's authority.

c. Unforeseen repairs, such as storm and fire damage which should not await regular scheduling.

d. Improvements including alterations, and additions.

2. Criteria for Projects. All projects for repairs and improvements, including those approved by your Commanding Officer, must meet the criteria defined in Chapter 20 of NAVFAC P-930. Several of the more significant criteria are listed below:

a. No alterations, additions or improvements which will enhance the completed quarters beyond the scope of the original construction contract may be performed on or made to newly constructed or converted quarters within *three years* of the beneficial occupancy date of the quarters.

b. The cost of repair and incidental inmprovements to inadequate public quarters must be amortized over a *two year* period.

c. There is a known continuing requirement for the facility.

d. The proposed project covers the *total* scope of the work required and will provide a complete usable facility.

3. Funding Program. The Major Repair, Improvement, and Urgent Minor Construction Programs provide sources of one-time funding for projects which exceed the approval authority of your Commanding Officer.

4. Cost Limitations. Project approval authority and funding limitations are shown in figure 9-4, and are subject to the availability of family housing funds.

C. Repair Projects

1. Approval Authority

a. Activity Commanding Officer. Your Commanding Officer has authority to approve repair projects as indicated in Figure 9-4.

Repair projects exceeding your Commanding Officer's authority should be forwarded to the EFD. Figure 9-4 summarizes EFD/SECNAV/OSD authority for approval of repair projects.

2. Project Submission. Projects exceeding Commanding Officer approval authority for major repairs should be submitted to the cognizant EFD as soon as they are developed. The project requirement must be accurately and concisely described, and supported by an engineering cost estimate. Detailed instructions for preparation of supporting documents are in NAVFAC P-930.

3. EFD Review. Projects selected for possible accomplishment are reviewed by the EFD for technical and economical aspects and validated by an on-site investigation for essentiality. The review gives particular attention to the scope of work, proposed methods and materials, and alternatives to ensure that optimum solutions are proposed.

4. Priority Listings. Annually, the EFD will request you to review all pending repair projects and submit a revised priority listing for the projects. NAVFAC 8-11101/17 is used for this purpose.

D. Improvement Projects

1. Scope. The intent of the improvement program is to encourage retention of personnel in the Navy through modernization of family quarters to provide facilities generally in conformance with new construction criteria. The program is weighted in favor of improving enlisted men's and junior officer's quarters. However, projects to accomplish improvements to other quarters and family housing facilities are also considered. Other benefits to be derived from the program include reduction of operation and maintenance costs. The improvement program includes projects for:

a. Additional living space requirements

b. Additional utility requirements

c. Modernization and/or livability items

d. Provision of new community facilities for the sole use of occupants of family housing.

e. Pollution abatement projects applying solely to family housing.

f. Provision of evaporative cooling, air-conditioning, and mechanical ventilation.

g. Television antenna systems for family housing.

2. Limitations. All improvement projects are subject to established statutory and administrative cost and floor area restrictions. Specifically, projects which propose increasing dwelling square footage beyond the limitation of NAVFAC DM-35 are prohibited. Cost and other limitations are displayed on Figure 9-4.

3. O&M Funding Improvements

a. Purpose. This program provides the Commanding Officer of an activity with the authority to accomplish minor improvements to family housing units, using FHMA O&M funds, within the limitations shown on Figure 9-4.

Category	Cost Limits	Approval Authority	Submission	
			To	Via
1. Minor Construction (BP-33)[1]				
a. Flag/CO Quarters (per unit in any 12 month period)[2]	$2,500 or less	EFD	EFD	
	$2,501-$5,000	CNO	NAVFAC	EFD
	$5,001-$20,000[3]	OSD	NAVFAC	EFD
b. Any one unit in any 12 month period; combining 2 or more units[2,4]	$5,000 or less	EFD	EFD	
	$5,001-$20,000	OSD	NAVFAC	EFD
c. Single project	$25,000 or less	EFD	EFD	
	$25,001-$100,000	ASSTSECNAV MRAL	NAVFAC	EFD
	$100,001-$500,000	OSD	NAVFAC	EFD
	over $500,000	Congress	NAVFAC	EFD
2. O&M Incidental Improvement (BP-20)				
a. Any one unit within a fiscal year	$250 or less	Field Activity		
	$251-$500	EFD	EFD	
b. Single project	$5,000 or less[5]	Field Activity		
	$5,001-$10,000[6]	EFD	EFD	
3. Annual Improvement (BP-31)	7	Congress	NAVFAC	EFD
4. Repairs (BP-20)[1,2]				
a. Flag/CO Quarters (per unit in any 12 month period)	Flag $3,700	Field Activity		
	Captain $3,000	Field Activity		
	$5,000	EFD	EFD	
	$5,001-$20,000	CNO	NAVFAC	MC/EFD
	over $20,000	OSD	NAVFAC	MC/EFD
b. Cost per unit in any 12 month period[2,4]	$5,000 or less	Field Activity		
	$5,001-$10,000	EFD	EFD	
	$10,001-$20,000	NAVFAC	NAVFAC	EFD
	over $20,000	OSD	NAVFAC	EFD
c. Single project[8]	$20,000 or less	Field Activity		
	$20,001-$500,000[8,9]	EFD	EFD	
	over $500,000	ASSTSECNAV MRAL	NAVFAC	EFD

continued

FIGURE 9-4
FAMILY HOUSING MINOR CONSTRUCTION,
REPAIR, AND IMPROVEMENT PROJECT APPROVAL AUTHORITY

NOTES:

[1] Limit does not apply to repair projects for restoration or replacement of dwelling units damaged or destroyed.

[2] For project approval purposes, the controlling 12-month period for expenditure of funds for minor construction or repairs shall begin with the date the project is submitted, and will include all costs, except maintenance, for all work accomplished during the 12-month period preceding that date.

[3] Projects over $20,000 per unit require Congressional approval in annual improvement program.

[4] Projects for the restoration of damaged units exceeding $10,000 or 50 percent of replacement cost require OSD approval and will be accomplished with minor construction funds.

[5] Projects not to exceed an average of $50 per unit within a fiscal year for a Field Activity having ten or more units or $500 per project for a Field Activity having less than ten units. Inadequate units are not counted.

[6] Projects not to exceed an average of $100 per unit within a fiscal year for a Field Activity having ten or more units or $1,000 per project for a Field Activity having less than ten units. Inadequate units are not counted.

[7] Programmed on an annual basis using EFD priority. Selected projects must be approved by OSD for legislative consideration and authorization as a program. Separate line item Congressional approval required where costs exceed $20,000 per unit, including concurrent maintenance and repairs.

[8] Repair project cost increases may be approved by the EFD up to 10 percent of the original COMNAVFACENGCOM authorized amount. At no time may this 10 percent waiver be used to increase a cost over $20,000 per unit or $500,000 per project.

[9] Projects in excess of 50 percent of replacement costs of facilities other than dwelling units require approval of Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics) (ASSTSECNAV MRAL).

FIGURE 9-4 (CONTINUED)
FAMILY HOUSING MINOR CONSTRUCTION,
REPAIR, AND IMPROVEMENT PROJECT APPROVAL AUTHORITY

b. Restrictions. Projects accomplished under the Commanding Officer's authority may not be occasioned with separate undertakings which exceed the above limitations (i.e., don't increment).

c. Submission.

(1) Submission of a project is not required for improvement accomplished under this authority. However, the requirements should be included in your O&M budget request and be supported by narrative justification.

(2) Requirements exceeding above limits may be submitted to the EFD for approval and funding or referred to higher authority.

4. Minor Construction Funded Improvements.

a. Purpose. This program is a source of funds and authority for accomplishing improvement projects which are:

(1) Unforeseen;

(2) Urgently needed to correct conditions affecting health and safety, such as fire damage;

(3) For work which should not be deferred until the next regular improvement program is processed through Congress.

b. Restrictions. All minor construction projects are subject to the same statutory and administrative restrictions which are applicable to major improvement projects. Further, no minor construction projects may be subdivided or incremented in order to reduce costs for the purpose of obtaining approval at a lower level or to avoid any limitations. Projects are submitted to the EFD for review, approval and funding, also for forwarding to higher authority when required.

Restoration of damaged or destroyed units exceeding $10,000 per unit or 50% of the replacement value are funded from minor construction.

c. Submission. Minor construction projects can be submitted as a part of the family housing improvement program, however, due to the nature of the projects, they may be submitted at any time on an individual basis. The projects should be submitted in the format and with the supporting data described in NAVFAC P-930. The documentation for all minor construction projects will include: NAVFAC Form 11013/7, Cost Estimate; DD Forms 1391 and 1391c, Military Construction Project Data; supporting pictures or drawings; and any other justification considered essential to support the project. Instructions for the preparation of necessary documents, along with completed examples, are attachments to Chapter 20 of the NAVFAC P-930.

5. Incidental Improvement Program.

a. Purpose. The Incidental Improvement Program provides an activity with a procedure for submitting projects to improve existing adequate family housing units and related facilities exceeding the approval authority of the activity Commanding Officer to the EFD for consideration and inclusion in the EFD annual program. (The regular Navy improvement program is separate from the Incidental Improvement Program and is submitted annually to Congress for approval and funding in the MCON program.)

b. Scope. The program is exclusively for improvement projects. It is a means for an activity to correct obsolescence and deficiencies in existing family housing structures, grounds, ground structures, and utility systems. Pollution abatement projects which serve only family housing, and air-conditioning projects conforming to NAVFAC and OSD policy are also included in the Improvement Program. All repair work incident to or occasioned by an improvement should be part of the Improvement project. Projects should include all work required, including concurrent repairs and maintenance to bring the family housing units up to proper standards.

c. Submission. Projects should be prepared in accordance with current instructions from the EFD and submitted at any time throughout the year. The format used is basically DD Forms 1391 and 1391c and the NAVFAC 2417. Projects incorporating or pertaining to air conditioning require additional supporting data as detailed in NAVFAC P-930.

d. Cost Limitations. Projects are limited to $10,000 per dwelling unit. Where a proposed improvement, including necessary concurrent repairs and maintenance, exceeds this cost limit, the project must be specifically approved by Congress.

e. Updating the Program. Your activity's program should be reviewed annually for changed requirements, revision of project scope, and adjustment or cost estimates. A revised priority list (NAVFAC 8-11101/17) should be prepared incident to the review. Further, you should insure that complete project submissions have been transmitted to the EFD for those projects you propose for the budget year and the following year. The review should be completed, and all submittals forwarded to the EFD by 15 January. This deadline is necessary so that the EFD can transmit a

consolidated priority list to NAVFAC by 1 February of each year.

The EFD assumes that previously submitted projects that do not appear on the revised priority list are no longer required. Such projects are removed from the EFD files and destroyed. Better check your EFD's priority listing to ensure that all your projects are included.

9.1.8 Self-Help Program

A. Background. One of the objectives of the CNO, Self-Help Program is to improve personnel support, welfare and recreational facilities in the Naval shore activities. A logical method for achieving this objective is to develop local self-help programs and accomplish the improvement projects through greater utilization of active duty and reserve resources. When project costs, including self-help labor, exceed the Commanding Officer's authority, approval of higher authority must be obtained.

B. Policy. Activity Public Works Officers are responsible for providing technical direction for the forces accomplishing locally devised projects. Where available, the technical and professional skills of Seabee resources should be utilized for on-the-job supervision of other military forces.

C. Occupant Participation. Every shore activity has a considerable reservoir of personnel, skilled and semi-skilled. Where there are family housing units, there is an even larger untapped source of muscle-power. Although largely semi or unskilled, with proper direction these persons can help in accomplishing the projects and have the immense satisfaction of personal participation in enhancing *their* neighborhood or *their* home.

D. Potential Projects. The following are typical projects which may be voluntarily accomplished locally within the statutory and administrative restrictions which are applicable to family housing improvement projects:

1. Community Facilities:

Playgrounds
Junior athletic facilities
Picnic areas with barbeque grills

2. Family Dwellings:

Landscaping
Patios with windbreaks or screens
Yard fencing
Interior painting

It is essential that you provide the materials and equipment for the projects. Should you encourage occupant repainting of part or all of their quarters, standard off-white or pastel colors should be used. Refer to Chapter 19 of P-930 for additional guidance on Self Help.

E. Project Performance. All projects must conform to applicable fire, safety and building codes, as well as your activity's Master Development Plan.

9.1.9 Financial Management

A. Budgeting

1. Background. The current structure for financing the Department of Defense Family Housing Program has its foundation in Public Law 87-554 which was passed 27 July 1962. Congressional action initiated the Defense Family Housing Management Account (FHMA,D) which preserves normal Congressional review and control while consolidating all costs associated with military family housing. DOD instructions identified the scope of the Defense Family Housing Program to include those properties and undertakings financed from the FHMA,D.

a. The Defense Family Housing Property Account includes the following properties under the jurisdiction of the DOD:

(1) All types of family dwelling units and mobile home park facilities irrespective of who occupies the housing and whether the housing is located on or off station, owned or leased, occupied or unoccupied.

(2) Non-dwelling buildings directly associated with family dwelling units or a family housing area.

(3) Roads, driveways, walks and utility systems which primarily serve family housing units or areas.

(4) The grounds area of a group of family housing units and the yards of dispersed family housing units or areas.

(5) Community facilities which are integal to a family housing area and are available for use only by family housing area residents.

(6) Fixtures and other appliances or equipment of a housing unit which are either integral components or movable items.

(7) Furniture, furnishings and other personal property which are directly associated with providing and supporting family housing units.

b. The Defense Family Housing Property Account excludes the following:

(1) Arterial roads, public walks and utility lines/mains which may pass through or front family housing locations, but which serve such locations incidental or secondary to serving other station requirements.

(2) Facilities provided for temporary family occupancy in a manner similar to hotels or motels.

(3) Community facilities which are not integral to a family housing area, or are available for use by other than family housing area residents.

(4) Educational facilities.

(5) Telephone and other communication facilities installed in a family housing unit for official use, and unofficial telephone facilities installed in family housing units.

(6) Community antenna television distribution service by governmental (other than DOD), commercial, cooperative or private enterprises.

(7) Military Assistance Program properties.

2. Five Year Defense Plan (FYDP). The Five Year Defense Plan is the foundation of the planning, programming and budgeting system. All budgeting and execution is accomplished and controlled by this plan. It establishes financial levels for future program years and unless a program is included in the FYDP, it has no official status.

Family housing programs achieve reality through the budget process by which funds are provided for personnel, material and facilities. The first program year of the FYDP becomes the basis for the annual budget submission. To make this transition, it is necessary to translate programming goals into an appropriation or budget structure. After Congressional approval, the budget becomes the framework for day-to-day management of programs.

3. Budget Considerations. It is emphasized that the budget is not simply an annual slice of the long range plan. Its preparation involves penetrating re-examination of data resulting from the planning and programming processes. Additional consideration are given to the following factors:

a. Occupancy rates;

b. Inactivation or disposal of family housing facilities;

c. Acquisition or construction of additional family housing facilities;

d. Change in the size of the administrative staff or its function.

e. Anticipated base closure or increased/decreased size of tenant activities;

f. Number of changes of occupancy;

g. Elimination of substandard or inactive units;

h. Change in utility rates;

i. Revised wage rates for federal or local employees;

j. Revised overhead rates for NIF or NIF-PWC activities;

k. Inventory of furniture and equipment;

l. Planned shop workload;

m. Availability of prior year funds; and

n. Seasonal variations in maintenance shops´ or administrative support offices´ workload.

4. Budget Preparation. Detailed instructions concerning budget policies and preparation guidelines for completing Family Housing Budget Estimates are issued to each acitivty annually by its EFD. Each activity is responsible for translating budgetary guidance into operating procedures for planning, programming and budgeting a fiscal year´s requirements. Simple projection of past experience is not valid estimating. Plans for future programs, levels of effort and cost trends must be applied. The accumulation of information and data for use in budget preparation should be a year-round process, not a last minute frantic effort. The information should be gathered, tabulated, and summarized periodically by category of quarters and Budget Line Code to ensure adequate support or justification of budget estimates.

5. Budget Review. The EFD will review each activity budget and require justification for instances where line item increases are in excess of normal inflationary rises from one year´s budget/costs and the following year´s budget. Activity budgets are summarized for submission to NAVFACENGCOM HQ.

B. Funding

1. Family Housing Management Account, Defense. The FHMA,D is the uniform acount

structure used by the various service components within the Department of Defense as the management vehicle for financing construction operation and maintenance, and debt service of family housing assets. Subordinate or transfer accounts separately finance Navy and Marine Corps Family Housing.

Annually the Congress authorizes and appropriates funds for the Family Housing Program. The act provides funds in three major functional categories: Construction, Operation and Maintenance, and Debt Payment. The amounts of money for these categories are identified for each military department, but are consolidated for DOD use.

a. Construction. Includes costs for acquisition, construction and replacement of family housing facilities; preliminary planning and design; upgrading marginal public quarters; major improvements to family housing units; and rental guarantee agreements.

b. Operations and Maintenance. Includes costs for maintaining and repairing family housing properties, providing utility and other services including administration of government-owned family housing, in-leasing of privately-owned housing, and provision of furniture and equipment.

c. Debt Payment. Includes the annual principal and interest payments on acquired Wherry and Capehart housing, payments to the Commodity Credit Corporation and FHA, and Servicemen's Mortgage Insurance Premiums.

2. Activity O&M Funds. NAVFACENGCOM HQ allocates activity FHMA,D funds to the Engineering Field Divisions (EFDs) on NAVCOMPT Form 372. EFDs issue a NAVCOMPT Form 140, Reimbursable Work Request, to each activity having management responsibility for operating and maintaining family housing within their cognizance. The Work Request will indicate activity Annual Planned Figures (APFs) and quarterly breakdowns by family housing Budget Projects.

a. Budget Projects. Budget projects for operation and maintenance include:

(1) BP-10 Housing Management and operations (includes utilities)

(2) BP-15 Leasing

(3) BP-20 Maintenance

(4) BP-96 Reimbursables

b. Limitations. Local transfers between budget projects are effected only by EFDs, subject to the following limitations which may not be deviated from without prior NAVFACENGCOM HQ approval:

(1) Allottees may not decrease the amount of BP-20.

(2) There will be no transfers between BP-96 and any other Budget Project.

C. Cost Reporting and Analysis. The Housing Cost Report (HCR) is the only report that reflects how an activity's housing funds have been used. The HCR is a useful tool for reviewers at an activity and any other levels of command having a management interest in the cost of housing.

1. The Comptroller Department or fiscal office at an activity, has responsibility for submission of the Housing Cost Report. In the mechanics of "plugging" numbers in "blanks," it is very easy to transpose figures. A copy is to be provided to the Housing Office. A facesaving procedure is to have the Housing Manager review the report prior to submission.

2. The HCR is an accrued cost report. In order that all costs are included, the Housing Office should prepare a feeder report of data not yet available to the Accounting personnel. The Housing Manager should ensure that costs, work units, and consumption data are accurate prior to submission of the report.

3. Activity HCRs are used by the Facilities Services Office, Port Hueneme (FACSO) in preparing the Family Housing Operation and Maintenance Management Report. This report is then utilized in comparing planned expenditures with actual expenditures. The Housing Manager is expected to use the Family Housing O&M Management Report in budget preparation since the EFD and NAVFAC use the report when reviewing an activity's budget submission.

4. Funds are provided an activity based on costs reported on the Housing Cost Report. For example, in the utilities area, a budget may have indicated that costs for electricity were $41.50 per MKWH, while the Cost Report indicates that only $36.75 per MKWH was paid. Put yourself in the place of a reviewer at the EFD or NAVFAC who is evaluating the budget request; how would you fund for electricity?

5. Budget estimates and the Housing Cost reports are used to measure a Housing Office's performance. There is no other information available to higher levels of command. Consequently, when dealing with the higher

echelons, accurate cost reports are essential. The impact of inaccurate cost reports is that the battle is lost before it begins.

PART 2 — OTHER HOUSING

9.2.1 Other Housing

A. Temporary Lodgings

1. Definition. Temporary Lodging accommodations are living accommodations, generally with housekeeping facilities, which are rented to authorized personnel on a temporary basis. Included are motels, hotels, mobile homes, cottages, apartments, and guest houses.

2. Exclusions. Excluded from the definition of Temporary Lodgings are:

a. Transient Housing (see paragraph B.1 below).

b. Accessory accommodations which are maintained from regular allowances supporting the parent accommodations, i.e., guest cottages contiguous to Flag or Commanding Officers quarters.

c. Recreation camps, hunting lodges, beach cottages and like facilities.

d. Accommodations furnished authorized personnel by a closed mess.

3. Background. The availability of government-owned, inexpensive temporary lodgings for Navy personnel executing PCS orders is most influential on their morale. The temporary lodging facilities provide the serviceman, and his dependents, an inexpensive interim place to live while locating the assignment of public quarters. At present, more than thirty Naval activities have temporary lodging accommodations.

4. Requirements Determination. Surveys to determine requirements for temporary loding accommodations are periodically prescribed by the Chief of Naval Personnel.

5. Acquisition and Operation. Temporary lodgings are constructed, supported and operated with nonappropriated funds. The accommodations are under the management control of the Navy Supply Systems Command (Navy Resale System Office) and locally managed by the Navy Exchange Officer. Appropriated-fund support for temporary lodging accommodations is set forth in NAVCOMPT Manual 035851.

6. Operating Policy. Basic operating policy is contained in NAVRESOINST 4060.18A.

a. Assignment. Active duty Naval personnel assigned to Navy ships, stations, and staffs arriving or departing an area on PCS orders receive preferential assignment. Other military, civilian and dependent personnel are eligible for assignment in accordance with OPNAVINST 11107.2 (current).

b. Occupancy Period. A normal period of occupancy is 10 to 15 days, but may be extended to 30 days in order to maintain full occupancy. Occupancy for more than 30 days jeopardizes a seviceman's eligibility for BAQ.

c. Reservations. Assignment of accomodations by reservations can be extended *only* to active duty personnel executing PCS orders. Assignment of all other eligible personnel is on an as available basis.

d. Charges. Charges for occupancy are established by the Navy Resale System Office as approved by the Chief of Naval Personnel.

B. Transient Housing

1. Definition. Transient housing is family housing provided personnel on ships undergoing overhaul at shipyards distant from their homeports.

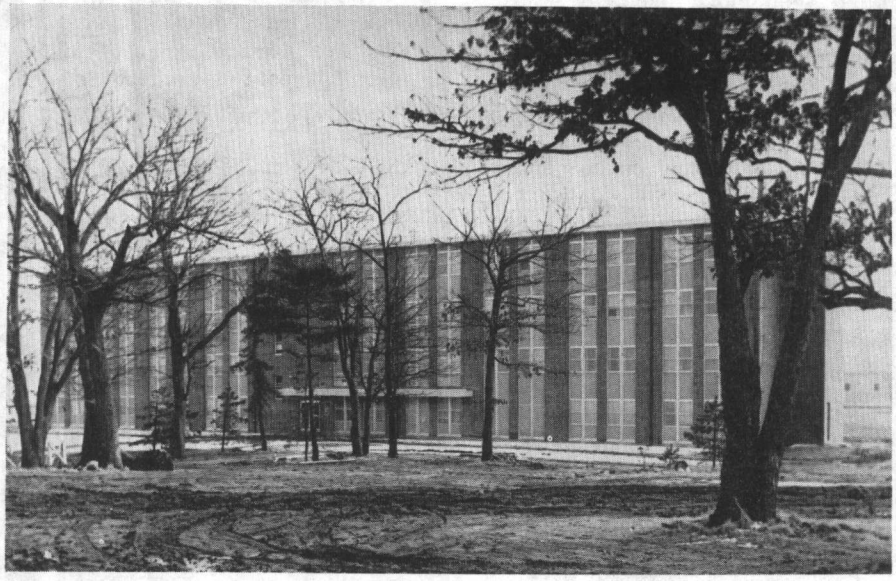
2. Background. Transient housing units include former inadequate public quarters or substandard housing which have been removed from the Family Housing Inventory by the CNO.

3. Operating Procedures. Transient facilities are operated as non-appropriated fund activities. Rental rates are established on a "break-even" basis so as to defray the total O&M costs of the units. The operation of these units is governed by BUPERSINST 11101.3 (current).

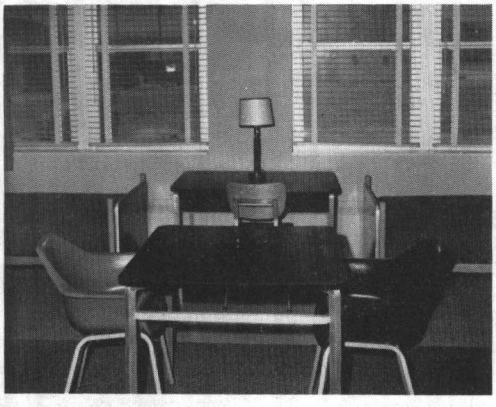
9.2.2 Bachelor Housing

A. Background. A significant difference between the Family Housing Program and the Bachelor Housing Program is the manner of management. The Family Housing Program is centrally administered by NAVFAC; the Bachelor Housing Programs are administered by the major claimants. Management relationships for Bachelor Housing are consistent with the unilinear Navy concept. However, requirements determination and planning and programming responsibilities deviate from the management chain of command.

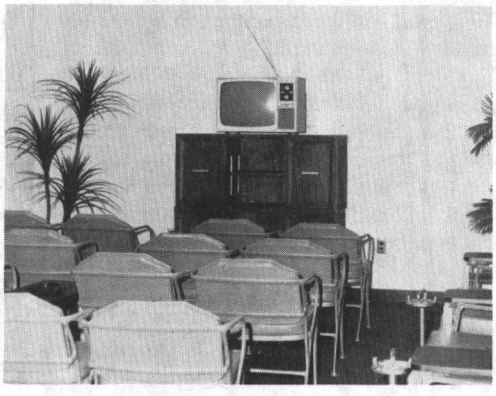
B. Requirements. Periodically the Navy's requirement for Bachelor Housing must be reestablished and the military construction program updated. The base policies, procedures, and detailed instructions for establishing bachelor housing requirements are prescribed in NAVFACINST 11101.91 (current).



General view of modern enlisted men's quarters



Interior of typical bedroom



Television and sitting room

FIGURE 9-5
CBC DAVISVILLE'S NEW BEQ

1. Bachelor Housing Survey. The vehicle for determining the bachelor housing requirements at your activity is the bachelor housing survey. The survey is initiated by CNO as required (usually annually) and addresed to selected activities for implementation.

a. The information obtained from this survey is eventually presented to Congress in support of your recommended bachelor housing projects and may be presented in support of line item projects. Accordingly, the results must reflect the local conditions as accurately and comprehensively as possible. It is essential that the survey include all tenant commands at your shore activity as well as those supported commands that are homeported there but may be temporarily deployed away from the homeport.

b. It is strongly recommended that the personnel who conducted or participated in the family housing survey also be involved in the bachelor housing survey. Your team reviews the automated bachelor housing survey, which is finally submitted to NAVFAC, via the chain of command, with copies to the major claimants.

2. Correlation of Survey Data. With the automation of the bachelor housing survey, there should be no differences between the family and bachelor housing survey data with regard to personnel strength and personnel living with dependents. For locations completing a bachelor housing survey, the requirements data will automatically overlay the information in the BFR.

Reviewing agencies have noted major discrepancies between the "effective deficits" which are computed on the bachelor housing survey (DD 1657) and the requirements stipulated either in the BFRL or on the DD 1391. There must be agreement between the requirements shown on DD 1391 and the effective requirements (deficits) listed on DD 1657. Lack of conformity in this information can kill a project without much difficulty.

C. Planning and Programming. The Chief of Naval Personnel is advisor to the CNO on all matters, other than technical engineering matters, which relate to Personnel Support Facilities (less family housing). Specifically, CNP is to assist in the development of integrated priority lists for troop housing/messing and other support and service facilities in the multi-year and annual MCON programming.

The responsibility for fomulation and prepartion of the entire MILCON Program for the consideration of the Navy Military Construction Review Board is assigned to NAVFAC. Under the concept of the multi-year military construction programming, all deficiencies are corrected at a balanced rate within an established time frame as permitted by budgetary constraints.

Additional information on planning and programming is discussed in Chapter 4. Reference OPNAVINST 11010.1 (current).

D. Bachelor Housing Criteria

1. Adequacy Standards. Criteria for Navy bachelor housing construction are set forth in OPNAVINST 11012.2 (current). The instruction details the policy governing utilization and management of bachelor quarters, provides criteria for involuntary assignment to bachelor quarters, and establishes the requirement for reporting BAQ and per diem paid.

2. Planning and Design Guides. Criteria for use in planning and designing bachelor housing are contained in NAVFAC DM-36, *Troop Housing,* and DOD 4270.1-M.

Criteria for bachelor housing support facilities are contained in NAVFAC DM-37, *Community Facilities,* and NAVFAC P-272.

PART 3 — HOUSING REPORTS

9.3.1 Housing Reports. For report titles, form numbers, and information concerning preparation, submission, and due dates refer to the Schedule of Submissions contained in Figure 9-8 and to NAVFAC P-930.

HOUSING REPORT
NAVFAC 8-11101/13 (4-68) (5 PT)
Supersedes NAVDOCKS 2964

NO LETTER OF TRANSMITTAL REQUIRED

7. PERCENT OF GROSS UTILIZATION ____ %

ITEM NO.	1. ACTIVITY NAME AND LOCATION (Abbreviate)	2. ACTIVITY CODE	3. NAV DIST CODE	4. REPORTING PERIOD, For Quarter Ending ____, 19__	5. TYPE OF HOUSING	6. TYPE OF TRANS. NEW 1	6. TYPE OF TRANS. CHANGE 2
A							

SECTION I - INVENTORY DATA

	8. NO CHANGE DURING PERIOD	C 9. NEW ADDITIONS +	H 10. GAINS BY CONVERSION +	A 11. REACTIVATION +	N 12. INACTIVATION −	G 13. LOSS BY CONVERSION −	E 14. DISPOSAL −	S 15. OTHER LOSSES −	16. PRESENT TOTAL UNITS (Including Inactive)	17. TOTAL INACTIVE
B										

SECTION II - UTILIZATION DATA

	18. TOTAL GROSS DAYS	19. VACANT FOR MAJOR REHAB	20. VACANT FOR RECURRING M&R	21. VACANT BUT AVAILABLE	22. OCCUPIED DAYS	23. NO. OF MOVE OUTS	24. NO. OF MOVE INS	NUMBER OF ACTIVE UNITS VACANT ON REPORT DATE 25. OFFICER	26. ENLISTED
C									

SECTION III - UNITS OCCUPIED ON REPORT DATE

	RANK	NAVY	MARINE CORPS	ARMY & AIR FORCE	COAST GUARD	OTHERS
D	OFFICERS	27.	28.	29.	30.	31.
E	E9 - E4 (4 or more yrs. service)	32.	33.	34.	35.	36.
F	E4 - E1	37.	38.	39.	40.	41.

SECTION IV - WAITING LIST

	42. OFFICERS	43. E9 - E4 (4 or more yrs. service)	44. E4 - E1	45. CIVILIANS
G				

SECTION V - SUBSTANDARD HOUSING DATA

	BAQ	NAVY ENTITLEMENT	NAVY ADJUSTED PAID	MARINE CORPS ENTITLEMENT	MARINE CORPS ADJUSTED PAID	OTHER SERVICES ENTITLEMENT	OTHER SERVICES ADJUSTED PAID	SUBSTANDARD HOUSING COLLECTIONS
H	OFFICER	46.	47.	48.	49.	50.	51.	
I	ENLISTED	52.	53.	54.	55.	56.	57.	58.

59. SECTION VI - REMARKS

60. HOUSING MANAGER | DATE

FIGURE 9-6
HOUSING REPORT

Family Housing Vacancy Log

NAVFAC 8-11101/20 (4-68)

Make a separate report for EACH TYPE of Housing

TYPE HOUSING (Code)

LINE	A QUARTER'S IDENTITY	B CODE	C DATE VACATED	D DATE FROM MAJOR REHAB	E DOWN DAYS	F DATE FROM M & R	G DOWN DAYS	H DATE UNIT RE-OCCUPIED	I CODE	J DOWN DAYS	K TOTAL VACANT
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											
16											
17											
18											
19											
20											
21											
22											
23											
24											

L	OFFICER					ELIGIBLE ENLISTED					INELIGIBLE ENLISTED				
STATUS	N	MC	A & AF	CG	O	N	MC	A & AF	CG	O	N	MC	A & AF	CG	O
OUTS															

M. VACANCY LOSS FROM MAJOR REHAB

N. VACANCY LOSS FROM M&R

O. VACANCY LOSS FROM VACANT BUT AVAILABLE

P. TOTAL VACANT DAYS

FIGURE B-2

B-13

Change 4
September 1968

FIGURE 9-7
FAMILY HOUSING VACANCY LOG

Title	Form No.	Prepared by	Submitted to	Date due
FY Schedule of MAPS Visits		EFD	COMNAVFAC	1 September
Monthly Status of MARCORP Leases		EFD	CHESDIV	Monthly
Monthly Status of MARCORP Leases (Summary)		CHESDIV	CMC	Monthly
Quarterly Status of NAVCRUITCOM Leases		EFD	CHESDIV & COMNAVCRUITCOM	Quarterly
Leasing Requirements Data	NAVFAC 11101/23	Field Activity COMNAVCRUITCOM	Area Representative	Annually
Family Housing Leasing Program Quarterly Report	NAVFAC 11101/15	EFD	COMNAVFAC	Quarterly
Status of Allotment	NAVCOMPT 2025	Field Activity	EFD	Monthly
Status of Allotment (Summary)		EFD	COMNAVFAC	Monthly
Cost Report Input Data		Field Activity, EFD & COMNAVFAC	FACSO	Quarterly
FG&ICQ Cost Report		Field Activity	Quarters Occupant	Quarterly
Budget Request		Field Activity EFD	EFD COMNAVFAC	Annually
Annual Report of Funding Actions		EFD	COMNAVFAC	15 December
Monthly Report of Local Transfers		EFD	COMNAVFAC	Monthly
Status of Completed MARIP's		EFD	COMNAVFAC	Quarterly
Summary of MARIP's		EFD	COMNAVFAC	1 July
Minor Construction Projects Report	NAVFAC 11014/18A	Field Activity EFD	EFD COMNAVFAC	15 October
Five-Year Improvement & ECIP Program	NAVFAC 8-11101/17	EFD	COMNAVFAC	1 February
Inventory and Utilization Maintenance Report		Field Activity	EFD	31 March & 30 September
Off-base Housing Referral Report	DD 1656	Field Activity EFD	EFD COMNAVFAC	30 September & 31 March
HUD Section 236 MPH Report		Field Activity EFD	EFD COMNAVFAC	1 June & 1 December
Survey Data Input		Field Activity	FACSO	Annually

FIGURE 9-8
FAMILY HOUSING REPORTS
SCHEDULE OF SUBMISSIONS

Title	Form No.	Prepared by	Submitted to	Date due
Tabulation of Family Housing Survey	DD 1377	Field Activity Area Representative	Area Representative COMNAVFAC	Annually
Determination of Housing Requirements & Project Composition	DD 1378	Field Activity Area Representative	Area Representative COMNAVFAC	Annually
Narrative on Family Housing	DD 1379	Field Activity Area Representative	Area Representative COMNAVFAC	Annually
Report of Adequate Public Quarters Available to Families of Sponsors on Unaccompanied Tours	NAVFAC 11101/5	Field Activity	COMNAVFAC	Semi-annually
DEIS II Report		Field Activity	DLA	Monthly

SCHEDULE OF SUBMISSIONS (con't)

STATEMENT OF FACILITIES AND ASSIGNMENT

1. REPORT PERIOD: STATUS AS OF DECEMBER 31, 19____

2. SERVICE OR AGENCY

REPORT CONTROL SYMBOL: DD-ISL(A)1082

3. LOCATION OF INSTALLATION — MILES | DIRECTIONS FROM | TOWN OR CITY AND STATE

4. NAME OF INSTALLATION

	ACTIVE HOUSING UNITS	OFFICERS: FLAG AND GENERAL a	OFFICERS: SENIOR OFFICER b	OFFICERS: FIELD GRADE c	OFFICERS: COMPANY GRADE d	OFFICERS: TOTAL e	ELIGIBLE ENLISTED: SENIOR NCO f	ELIGIBLE ENLISTED: JUNIOR NCO g	ELIGIBLE ENLISTED: TOTAL h	TOTAL UNITS ACTIVE i
A	ADEQUATE HOUSING									
1	0 BEDROOMS									
2	1 BEDROOM									
3	2 BEDROOMS									
4	3 BEDROOMS									
5	4 BEDROOMS									
6	5 BEDROOMS OR MORE									
7	*TOTAL*									
8	OCCUPIED BY FLAG & GEN.									
9	OCCUPIED BY SENIOR OFFICERS									
10	OCCUPIED BY FIELD GRADE									
11	OCCUPIED BY COMPANY GRADE									
12	OCCUPIED BY SENIOR NCO'S									
13	OCCUPIED BY JUNIOR NCO'S									
14	OCCUPIED BY INELIGIBLES									
15	OCCUPIED BY UNACOM. FAMILY									
16	OCCUPIED BY CIVILIANS									
17	*TOTAL OCCUPIED*									
18	*TOTAL VACANT*									
19	*TOTAL ADEQUATE UNITS*									
20	GRADE OCCUPANCY FACTOR									
B	SUBSTANDARD HOUSING									
1	OCCUPIED BY ELIGIBLES									
2	OCCUPIED BY CIVILIANS									
3	OCCUPIED BY INELIGIBLES									
4	VACANT UNITS									
5	*TOTAL*									

C. REMARKS

D. SUMMARY DATA

	HOUSING UNITS	NUMBER
1	ACTIVE	
2	ADEQUATE	
3	SUBSTANDARD	
4	INACTIVE	
5	ADEQUATE	
6	SUBSTANDARD	
7	*TOTAL*	
8	ADEQUATE	
9	SUBSTANDARD	

	HOUSING ASSIGNMENTS	NUMBER
10	ELIGIBLE	
11	INELIGIBLE	
12	CIVILIANS	
13	*TOTAL*	
14	*(Vacant Units)*	
15	*(Absentee Sponsors)*	

	HOUSING IN COMMUNITY	NUMBER
16	ELIGIBLES	
17	INELIGIBLES	
18	*TOTAL*	

DD FORM 1 OCT 70 1411

PREVIOUS EDITIONS ARE OBSOLETE.

FIGURE 9-9

STATEMENT OF FACILITIES AND ASSIGNMENT REPORT

REPORT OF ADEQUATE PUBLIC QUARTERS AVAILABLE TO FAMILIES OF SPONSORS ON UNACCOMPANIED TOURS
NAVFAC 11101/5 (8-66)

Report NAVFAC 11101-20

AS OF DATE	ACTIVITY	CITY	STATE

TYPE	OFFICER							ENLISTED						
	NO. OF UNITS BEDROOMS					AVAILABLE PERIOD		NO. OF UNITS BEDROOMS					AVAILABLE PERIOD	
	1	2	3	4	5+	FROM	TO	1	2	3	4	5+	FROM	TO
CAPEHART														
WHERRY														
OTHER PUBLIC QUARTERS														

FACILITIES AVAILABLE	NEAREST CITY
( )MEDICAL ( )COMMISSARY ( )PX ( )OTHER(Identify)	Name, Distance, and Direction

PERTINENT REMARKS (i.e., schools, etc.)

HOUSING OFFICER	Address	City and State	Telephone No.

FIGURE 9-10
REPORT OF ADEQUATE PUBLIC QUARTERS AVAILABLE TO FAMILIES OF SPONSORS ON UNACCOMPANIED TOURS

CHAPTER 10
EQUIPMENT AND FURNISHINGS

One of the less obvious and least defined areas of Public Works Management responsibility is that of non-technical collateral equipment and furnishings of buildings. The Public Works Officer is held responsible by command not only for the building shell, but also for much of the installed and portable equipment, furniture and furnishings which transform the shell into a usable facility. His department's responsibility encompasses not only the initial outfitting, but also the upkeep and replacement of various types of equipment and furnishings. Perhaps the biggest source of problems at the activity in this area is the differentiation of cognizance over and funding of various categories of equipment and furnishings. This chapter seeks to define and clarify these parameters for the new Officer in Public Works.

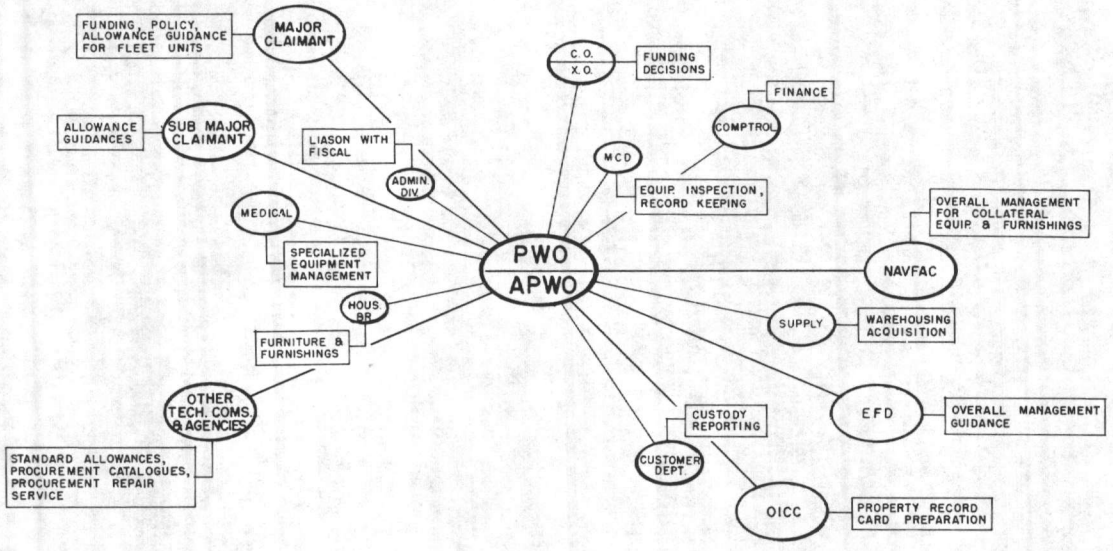


FIGURE 10-1
THE PLAYERS IN EQUIPMENT AND FURNISHINGS

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REFERENCES

1. OPNAVINST 11012.2C, Subj: *Occupancy Criteria for Assignment of Navy Bachelor Housing*
2. OPNAVINST 11101.32, *A Provision of Furnishings for Family and Bachelor Housing*
3. NAVCOMPT Manual, Volume III, Chapter 6, *Basic Directives on Plant Property Management*
4. NAVCOMPT Manual, Volume VII, Chapter 5, *Basic Directives on Financial Responsibility - Collateral Equipment*
5. NAVFACINST 7040.3 of 15 August 1969, *Collateral Equipment Program* - Outlines basic responsibilities and procedures for Initial Outfitting of collateral equipment
6. NAVFACINST 11012.120, *Interior Design* - Establishes NAVFAC interior design program, furnishes program criteria, and provides listing of facility category codes involved

DEFINITIONS

Plant Property Classes. For management, financial, and technical control purposes, plant property items and expenditures therefore are divided into the following four classes:

Plant Property Class 1 Land.
Plant Property Class 2 Buildings, Structures, and Utilities.
Plant Property Class 3 Equipment (other than industrial plant equipment).
Plant Property Class 4 Industrial Plant Equipment.

Collateral Equipment. As used in this chapter collateral equipment includes both expense (O&MN, or O&M,NR or RDT&E,N) and investment (OPN or RDT&E,N) items of equipment funded from any appropriation other than Military Construction Navy (MCN) or Military Construction Naval Reserve (MCNR) associated with the initial outfitting of a MCON/MCNR project.

Initial Outfitting. This is the collateral equipment requirement generated by new construction, replacement, modernization, expansion, extension, addition or conversion of a facility, shop or office resulting from a change or increase in functions or operations as directed by applicable major claimants in conjunction with a MCON or MCNR project and is necessary to provide a complete and usable facility.

MCON Funded Built-in Equipment. Built-in and installed equipment of a capital nature which is to become a permanent part of a structure. Normally, the costs of all items of equipment which are permanently built-in, or attached to the structure, including items with fixed utility connections, are included in the construction costs. The cost of installing in real property facilities equipment which is affixed and built into the facility as an integral part of the facility is "construction" and is included as an investment MILCON cost. The following items are typical examples:

Furniture, cabinets, and shelving, built-in.
Waste disposers such as incinerators.
Venetian blinds and shades.
Window screens and screen doors.
Elevators and escalators.
Wall-to-Wall carpeting.
Drinking-water coolers.
Telephone, fire alarm and intercom systems.
Protective construction features.
Electrical generators and auxiliary gear.
Food preparation and serving equipment, built-in.
Dishwashers.
Theater seats.
Hoods and vents.
Refrigerators and reefers, built-in.
Laboratory furniture, built-in.
Cranes and hoists, built-in.
Chapel pews and pulpits.
Bowling lanes, including seating and pin-spotting equipment.
BEQ/BOQ wardrobes, built-in or prefabricated.

Excluded: Normally, the costs of all items of equipment, including furniture and furnishings, which are loose, portable, or can be detached from the structure without tools, are excluded from the construction costs. In addition, the costs of permanently attached equipment related directly to the operating function for which the structure is being provided, such as technical, scientific, production, and processing equipment, are normally excluded from these costs. The following items are typical examples:

Furniture, loose.
Furnishings, including rugs, loose.
Filing cabinets and portable safes.
Office machines, portable.
Wall clocks, plug-in.
Food preparation and serving equipment including appliances, portable.
Training aids and equipment, including simulators.
Automatic data-processing equipment.
Photographic equipment, portable.
Communications equipment.
Dental chairs and pedestal units.
Shop equipment.
Any operational equipment for which installation mountings and construction are provided in the building design, and which are detachable without damage to the building or equipment.

Expense Items. Items of equipment having a unit value of less than $3,000 in value at time of budgeting and are not centrally managed; that is, no central authority computes service-wide procurement and controls distribution/allowances to the user level. Such equipment is often referred to as "Collateral Common" and includes such items as desks, lockers, file cabinets, book cases, etc.

Investment Items. Investment costs are those costs usually associated with the acquisition of equipment and real property, such as end items of military or commercial type, including items authorized for local procurement, but excluding items of equipment having a unit value of less than $3,000 and over which an inventory control point does not maintain centralized item management throughout the supply system down to the user level. Examples of investment items are items costing over $3,000 in value at time of budgeting such as duplicating machines, Industrial Production Equipment (IPE), hospital and dental equipment, etc.

APA Equipment (Appropriation Purchases Account). These are items of equipment under the cognizance and procurement of a technical sponsor. Such equipment is often refered to as "Collateral Peculiar" and is carried in the Supply System as APA, such as:

Technical Sponsor	Description
NAVFAC	Major Construction and civil engineering equip.
SEASYSCOM	Major electronic equip.
ONR	Training devices.
AIRSYSCOM	Aeronautical material.
AIRSYSCOM	Major aeronautical equip.
ELECSYSC-OM	Shore electronics equip.

PART 1 - INTRODUCTION

10.1.1 Local Responsibilities. Management of equipment and furnishings at the activity level involves the functions of:

1. Initial outfitting of collateral equipment and furnishings for all new facilities (Responsibility shared with EFD).

2. Maintenance and repair of installed and portable equipment and furnishings, and

3. Replacement of equipment and furnishings.

The Public Works Department at the activity is usually responsible by command for almost all types of common use furniture, furnishings, and equipment in all facilities. Exceptions are usually equipment and furnishings necessary for carrying out the particular functions of the customer, or those which are uniquely in support of operations. Examples would be a dentist's chair, or a radar set.

10.1.2 Off station Responsibilities. Off station, the responsibility for programming budgeting and funding for most collateral equipment in support of initial outfitting requirements for MCN and MCNR projects is vested with the Naval Facilities Engineering Command. Exceptions to this are as follows:

PART 2 - INITIAL OUTFITTING PROCEDURES

10.2.1 Initial Outfitting Collateral Equipment. In this program the main responsibility rests with the cognizant Engineering Field Division (EFD) of Naval Facilities Engineering Command. Assignment to the EFD insures compliance with habitability standards and criteria. Development of collateral equipment requirements is, however, normally coordinated with the activity. For most facilities, the EFD provides a complete, professional interior design service in accordance with NAVFACINSTS 11012.120 which results in a shopping list for furniture and furnishings. Shopping lists are furnished to the activity ready for procurement. Funds are also furnished to the station to take all necessary procurement action. In rare and special cases, some procurement may be undertaken by the EFD.

Collateral Equipment	Budgeting/Funding Responsibility
(a) Support equipment for which a central authority has been specifically assigned the responsibility for computing and budgeting service-wide requirements, while retaining authority to withdraw, redistribute or replace items without regard to unit cost.	Office/Bureau/Systems Command assigned central management program responsibility.
(b) Equipment items listed in the Supply Systems as Appropriation Purchases Account (APA) cognizance items or "family related" thereto.	Office/Bureau/Systems Command assigned as technical sponsor.
(c) Specialized equipment items technically unique and required to accomplish an RDT&EN program or project.	RDT&EN project manager.
(d) Training equipment and devices.	Training agency or training support agency.
(e) Equipment items properly chargeable to nonappropriated funds.	Nonappropriated fund custodian.
(f) Equipment items for Marine Corps ground faciities.	Marine Corps. No change from current responsibility.
(g) All collateral equipment, not subject to the criteria of (a) through (f) above, for the following activities only; Naval Air Rework Facilities and the Naval Avionics Facility; Naval Shipyards; Naval Ammunition Depots and Naval Ordnance, Torpedo and Weapon Stations.	Cognizant Systems Command for all expense/investment items. An execption is certain Personnel Support Facilities for which funding is rested in the Naval Facilities Engineering Command (NAVFAC).
(h) Investment Equipment (+.087 $3,000) for Morale Welfare, and Recreation Facilities.	Navy Military Personnel Command (NMPC).

Actual procurement, in almost all cases, is a local function.

For other facilities, the collateral equipment lists for these projects usually originate from the Project Engineering Documentation (PED) but are revised prior to construction award by the station. The station may require technical assistance from other system commands, offices, etc., but submission of the necessary list is made by the station. One of the best ways to prepare such a list is to take the basic floor plan and deal with one room at the time, indicating quantity and estimated price. Pricing services can usually be obtained from the Supply Department. Personnel dealing with plant account records generally adapt to this task easily. Pricing for technical items can be best obtained from your own Public Works Department Industrial Catalogues.

10.2.2 Funding and Reports. As with most budget programs, the initial outfitting - collateral equipment program concerns itself with three major categories of timing. Assume that it is June 1981, then:

1. Present Year-Currently FY81
2. Budget Year-Currently FY82
3. Out Years-Currently beyond FY83

Funding for the total program is derived by compiling data in previous years and ultimately submitting it into the normal budget cycle. The heart of the program depends on the "Reports" submitted by the activities. What the activity submits as requirements are reviewed and adjusted upward or downward based on the latest information, deduction of unauthorized items, correction of over/under priced items, etc. The principle report which the PWD will need to update will be the NAVFAC Report 7040-1, which is a summary report of collateral equipment required for future MCON projects. Instructions for its preparation are contained in NAVFACINST 7040.3. The report is actually prepared by NAVFAC to reflect previously submitted collateral equipment lists which have been prepared by the EFD and activity for each MCON and MCNR project. Activity action includes only review and corrective annotations as necessary to the report. With respect to funding, where variations occur between project inception and actual funding, there are a number of variables that seem to offset each other. Late starts versus early starts, late Usable Completion Date versus early UCD's, emergent jobs versus cancelled jobs are prime examples. The serious problems revolve around unprogrammed projects and delays or absence of requirements where in fact substantial requirements exist. These unstated requirements place a severe strain on available funds. Only cancellations or under runs on other projects can usually provide the resources. The activity plays a key part in the total picture and can insure success of the program by a few simple rules:

1. Be sure your requirements are complete, valid, and reasonably priced out.

2. Submit your requirements when called for and update them when significant changes occur.

3. Monitor your expenditures for validity; close out your allocations as soon as possible; and return any remaining funds to the Engineering Field Division.

4. Insure accurate and timely support from other SYSCOMS that support the project (NAVELEX, CNETAPA Support, etc.).

5. If price escalations are making serious in-roads on your allocations, drop items not absolutely necessary, utilize existing equipment where possible.

Tip: See maximum allowances for furniture and furnishings for BOQ's and BEQ's in OPNAVINST 11101.32.

PART 3 - MAINTENANCE AND REPAIR

10.3.1 Principles:

A. Level of Maintenance. The maintenance and repair of authorized equipment and furnishings should be limited to that effort necessary to keep the item in a serviceable condition and to protect the governments investment. The increasingly difficult task of replacing this equipment should encourage the PWO to emphasize fixing it. Such rehabilitation can be accomplished in many ways.

1. Self Help-Especially making use of assigned Seabees
2. Contract repair and refurnishment
3. Federal Prison Industry furniture repair services
4. P.W. Shop Forces (probably the most expensive alternative)

B. Fund Source. The proper fund source should be identified and used for the maintenance of non-appropriated fund items, and those acquired with appropriated funds.

C. Warehousing. Collateral furnishings within the following categories, when not in use, should be warehoused in segregated sections and should not be reassigned for use outside of their originally designated areas. For example, distinction should be made between:

1. Flag and Commanding Officers' quarters furnishings and appliances.
2. Other family housing furnishings and appliances.
3. BOQ furnishings and equipment.
4. BEQ furnishings and equipment.

D. Records. An individual maintenance/service history record should be established for each item identified in the Dynamic Equipment Inspection Service inventory (DEIS).

E. Preventive Maintenance Inspection (PMI). An unofficial standard DOD Property Record (DD Form 1342) Figure 10-2 should be prepared (or reproduced from Plant Property Records) for inclusion in all PMI history records. Their inclusion assures proper maintenance (and budgeting for maintenance).

F. Policy. Establish clear-cut guidelines (policy) for PMI and non-PMI equipment and furnishings decisions of the following types:

1. Continue to maintain at lowest possible cost.
2. Approve one-time, repair(s) - not to exceed.
3. Defer further maintenance and/or repair.
4. Initiate replacement action/disposal action.

General guidance for PMI is available in MO-322, *Inpsection for Maintenance of Public Works and Public Utilities.*

10.3.2 PMI Equipment. Certain types of equipment items which belong in the PMI inventory are chronically overlooked due to misunderstanding by Supply Office and Public Works Office personnel of the necessity for both maintenance management record keeping and Plant Property Record keeping. The following represent typical examples of possible oversights.

A. Plant Property Class 2 Items. Certain "installed/built-in" equipment items are recorded only as "integral part of Class 2 facility (building/utility system, etc.) Examples are:

1. An independent heating, electrical, water, airconditioning plant/system serving only one building/structure.

2. That portion of a distribution system contained within a particular building/structure (heating, electric, water, fire alarm/fire protection, compressed air, natural or manufactured gas), including the equipment items which are "integral to" the specific utility system.

3. Telephone and intercom systems installed within a building (not including terminals, hand sets, nor any non-Navy-owned instruments, switchboards, etc.).

4. Mechanically-operated doors.

5. Elevators and elevator shafts, complete, within a building/structure (*not* including portable drydock elevators).

6. Refrigerators and cold-storage rooms - permanently installed or walk/in.

7. Built-in safes and vaults.

8. Venetian blinds, awnings, shades and shutters - and their associated hardware.

9. Crane runways - within and extending from within a building (not including the cranes and their operating mechanisms).

10. Septic tanks - serving one building (not tied into a sewage system).

11. Railroad scales and/or turntables - fixed position.

12. Rock crushers/cement batch plants - fixed in permanent locations (*not* including temporary/portable mobile units established for a limited time/use).

13. Imhoff tanks, incinerators, liquid oxygen systems, etc.

14. Housing-type trailers - installed equipment and their connections to sewage, water, electricity, etc.

15. "Installed" family housing/quarters appliances ("built-ins", the removal of which would cause some reconstruction).

B. Plant Property Class 3 Items. These are collateral equipment items of a capital nature (similar to those cited above) the installation and use of which does not form an integral part of a structure/building/utility system, etc., and with an estimated or actual initial acquisition cost of $3,000 or more. Examples might be:

1. Electric drinking fountains and water coolers.
2. Combination locks and safes.
3. Galley and food service equipment.
4. Emergency generators.
5. Overhead cranes and their operating mechanisms.
6. Majority of the remaining items officially recorded as plant property Class 3 (Fiscal Office Records).
7. The following specific items are considered Class 3 plant property regardless of initial cost:

   a. Electronic test benches.
   b. Work benches and layout tables used in printing plant.

C. Plant Property Class 4 Items. These are collateral equipment of a shop or industrial plant

DOD PROPERTY RECORD

1. [X] ACTIVE [X] INITIAL [ ] IDLE [ ] CHANGE | 2. JULIAN DATE: 0343 | 3. I.D./GOVERNMENT TAG NO.: 62583-078187 | Form Approved Budget Bureau No. 22-R0209

SECTION I - INVENTORY RECORD

4. COMMODITY CODE	5. STOCK NUMBER	6. ACQUISITION COST	7. TYPE CODE	8. YR OF MFG	9. POWER CODE	10. STATUS CODE	11. SVC CODE	12. COMMAND CODE	13. ADM OFFICE CODE
343354510360		4,198	1	70	11	1	1(7)	62583	62583

14. NAME OF MANUFACTURER	15. MFR'S CODE	16. MANUFACTURER'S MODEL NO.	17. MANUFACTURER'S SERIAL NO.
Union Carbide Corp., Linde Division	36346	CM-15	683

18. LENGTH	19. WIDTH	20. HEIGHT	21. WEIGHT	22. CERTIFICATE OF NON-AVAILABILITY NUMBER	23. ASOD NO.	24. ARD	25. CONTRACT NUMBER
19	7	6		N62583-8199-0008			

26. DESCRIPTION AND CAPACITY

CUTTING MACHINE, flame, stationary, hinged arm type. Cutting capacity: 36 inches maximum cutting W, 156 inches max cut L, 36 inches max circle diameter. Cutting speed range 1½-37½ IPM, One flame torch, UNIWELD No. 64TRL, motor operated, magnetic tracer. Attachments: One circle cutting attachment w/two radius rods, one straight line cutting attachment, one tracing plate.

CONTINUED ON REVERSE SIDE [ ] YES [X] NO

27. ELECTRICAL CHARACTERISTICS

QUANTITY	HORSEPOWER	VOLTS	PHASE	CYCLE	AC	DC	SPEED	TYPE AND FRAME NUMBER
		110/120	1	60	X			

28. PRESENT LOCATION

USN, CBC, Port Hueneme, California
Custody Code 1800 Public Works Trans Codes 9 26
Class 4 Bldg. 322 Codes 24 $.50 Vou. 17854
Job Order OK2092-70

28a. DIPEC CONTROL NO.

29. POSSESSOR CODE: 2506600

SECTION II - INSPECTION RECORD

		YES	NO			YES	NO
30.	CAN ITEM BE STORED AND MAINTAINED ON SITE FOR AT LEAST 12 MONTHS?			42.	MUST ITEM BE REPAIRED/REBUILT/OVERHAULED TO PERFORM ALL FUNCTIONS? $		
31.	HAS ITEM BEEN REBUILT/OVERHAULED? DATE IF SO, WHEN?			43.	DO QC RECORDS INDICATE SATISFACTORY PERFORMANCE? IF NO, EXPLAIN UNDER REMARKS BELOW.		
32.	HAS ITEM BEEN MODIFIED FROM ORIGINAL CONFIGURATION? IF SO, EXPLAIN UNDER REMARKS BELOW.			44.	ARE MANUALLY OPERATED MECHANISMS IN WORKING ORDER? IF NO, DESCRIBE UNDER REMARKS BELOW.		
33.	WAS ITEM INSPECTED UNDER POWER? IF NOT EXPLAIN UNDER REMARKS BELOW.			45.	ARE SCALES, DIALS, AND GAUGES WORKING AND READABLE? IF NO, DESCRIBE UNDER REMARKS BELOW.		
34.	ARE MAINTENANCE COSTS NORMAL? IF NOT, EXPLAIN UNDER REMARKS BELOW.			46.	ARE HYDRAULIC PUMPS, VALVES, AND FITTINGS OPERATING PROPERLY? IF NO, DESCRIBE UNDER REMARKS BELOW.		
35.	ARE SAFETY DEVICES ADEQUATE AND SATISFACTORY? IF NOT, EXPLAIN UNDER REMARKS BELOW.			47.	ARE ELECTRONIC SYSTEMS AND CONTROLS OPERATING PROPERLY? IF NO, DESCRIBE UNDER REMARKS BELOW.		
36.	ARE INSTALLATION INSTRUCTIONS AVAILABLE FOR TRANSFER?			48.	HOW MANY HOURS WAS ITEM USED BY CURRENT POSSESSOR?		
37.	ARE OPERATING INSTRUCTIONS AVAILABLE FOR TRANSFER?			49.	EXPLAIN UNDER REMARKS LAST USE OF EQUIPMENT DESCRIBED IN ITEM 26 ABOVE.		
38.	WAS ITEM LAST USED ON A FINISHING OPERATION?			50.	ESTIMATED COST FOR PACKING, CRATING, HANDLING. $		
39.	WILL ADJUSTMENTS OR CALIBRATION CORRECT DEFICIENCIES?			51.	INDICATE DATE ITEM WILL BE AVAILABLE FOR REDISTRIBUTION.		
40.	IS ITEM SEVERABLE WITHOUT DAMAGE TO COMPONENTS? IF NOT, GIVE THEIR REPLACEMENT COST. $			52.	CONDITION CODE.	0-1	
41.	IS ITEM IN OPERABLE CONDITION?			53.	OPERATING TEST CODE.		

SECTION III - REMARKS

54. REMARKS

P.W. Req'n N62583-9281-0239
Contract No. N00600-70-C-1263 dtd 30 June 70.
Uniweld Torch No. 64TRL purchased separately from Hopper, Inc., Ventura at a cost of $117 (included in acq.).

REMARKS CONTINUED ON REVERSE SIDE [ ] YES [X] NO

SECTION IV - DISPOSITION RECORD

55. CONSIGNEE (NAME AND ADDRESS, INCLUDING ZIP CODE)	56. TYPE OF DISPOSITION	56a. DATE OF DISPOSITION AND PROCEEDS IF SOLD
	[ ] DONATION [ ] DESTRUCTION [ ] SALE [ ] ABANDONMENT	

SECTION V - VALIDATION RECORD

57. VALIDATION (TYPED NAME(S) AND SIGNATURE(S))

F. H. CROSIER

DD FORM 1 FEB 68 1342 — PREVIOUS EDITIONS OF DD FORM 1342 ARE OBSOLETE. REPLACES DD FORMS 1342M, 1342S, AND 1342SM WHICH ARE OBSOLETE. S/N-0102-012-9001

FIGURE 10-2
DOD PROPERTY RECORD FORM

type, with an estimated or actual initial acquisition cost of $3,000 or more, such as:

1. Installed machine tools located in the Maintenance Division work centers, the Transportation Division work centers and (occasionally) in the Utilities Division Plant Shops.
2. Electric arc and gas welding equipment.
3. Paint spray booth equipment.
4. Industrial scales and balances.
5. "Elephant tools" - extremely large machine tools (generally cause structural modifications) costing over $100,000.

D. Minor Property Items. These are collateral equipment and/or furnishings items, similar to the above with individual initial cost of less than $1,000 and/or examples such as the following:

1. Office equipment-typewriters (manual), labor-saving devices, etc.
2. Engineering drafting equipment.
3. Desk calculators (hand operated).

Note: Many of these items are recorded as "Organic Property" at Marine Corps installations.

E. Navy Family Housing Equipment/Appliances. Plug-in type refrigeration, ranges, washers, dryers, etc.

F. Consumables. Shop hand tools, laboratory glassware, miscellaneous office supplies, etc.

10.3.3 Non-PMI Equipment and Furnishings.

A. Minor property items and consumables listed above are not, normally found among the PMI items. However, some items in these two categories still require "servicing" at regular intervals. Where this is the case, it is appropriate to establish a *Service History Record* on such items to obtain a measure of such work involving O&MN funds (usually expended on Service Work Authorization forms forwarded to the Maintenance Division shops from the Work Reception Desk in the Maintenance Control Division).

B. Minor property items in the category of initial outfitting collateral equipment should be listed in the facility history record of the facility.

A relatively inexpensive (and optional) way of measuring the maintenance costs on such items is to direct the return of service work authorizations and minor work authorization documents (with actual time/costs posted) to the facility history record. On a quarterly, semi-annual or annual basis the charges can be summarized on a simple listing of maintenance charges for all such items in the facility. In this way, cumulative O&MN expenditures can be compared with total initial outfitting costs to aid in determining appropriate replacement policy.

PART 4 - TIPS AND PITFALLS

A. Spend the correct money (housing, O&M, non-appropriated) for the maintenance and repair and replacement of various categories of equipment.

B. Don't try and buy initial outfitting collateral equipment unilaterally. The next IG inspection will catch it.

C. Make sure you understand the type of facility, categories of equipment, and funding source before initiating non-technical collateral equipment lists for MCON/MCNR projects.

D. Don't forget to include all applicable items in your PMI program.

E. Don't use furniture purchased for an MCON project for *anything else.* Auditors feed on this sort of trick.

F. For replacement of investment items costing over $3,000 try and get money from the Major Claimant.

G. When ordering or replacing electrical equipment, make sure the item is compatible with the existing utility system. Overseas this holds for *all* utility consuming equipment.

H. Don't forget that collateral equipment is an integral part of MCON projects.

I. Make sure the door is big enough to get the washer and dryer through.

J. Determine at an early stage who will unpack and install heavy appliances and furniture - the contractor or your forces.

K. Make staging and storing arrangements for initial outfitting equipment before it lands on your doorstep.

L. Consult available criteria, directives, and permissible furniture allowances for Personnel Support Facilities before listing requirements.

M. The EFD's (Code 04) are staffed with interior designers. Their primary mission is furniture/furnishings/color coordination for MCON/MCNR initial outfitting, but they are frequently available on a cost-reimbursible basis to assist in renovation and refurnishing projects. This is an excellent potential source of professional help in all aspects of interior design. Get help from the pros - it pays off in better looking, longer lasting facilities - and it makes your job easier.

CHAPTER 11
MATERIAL MANAGEMENT

Many of the every-day problems in the management of a typical Public Works Department are material problems. If the following list of statements sounds familiar, then you are having your share of these problems.

1. This is not what I ordered.
2. That has been on order for over 6 months.
3. We ordered 20. We received only 8.
4. This is the wrong size/finish/dimension/etc.
5. Well, Shop Stores used to carry it.

The most common reason given for such problems is "Supply goofed!" More often than not, however, Public Works has "goofed" in some manner.

In most cases the material problems of the Public Works Department are caused by Public Works misunderstanding of, or failure to use the Supply Support System correctly.

To minimize these problems the officer in Public Works needs a fundamental knowledge of the Supply Systems capabilities and limitations.

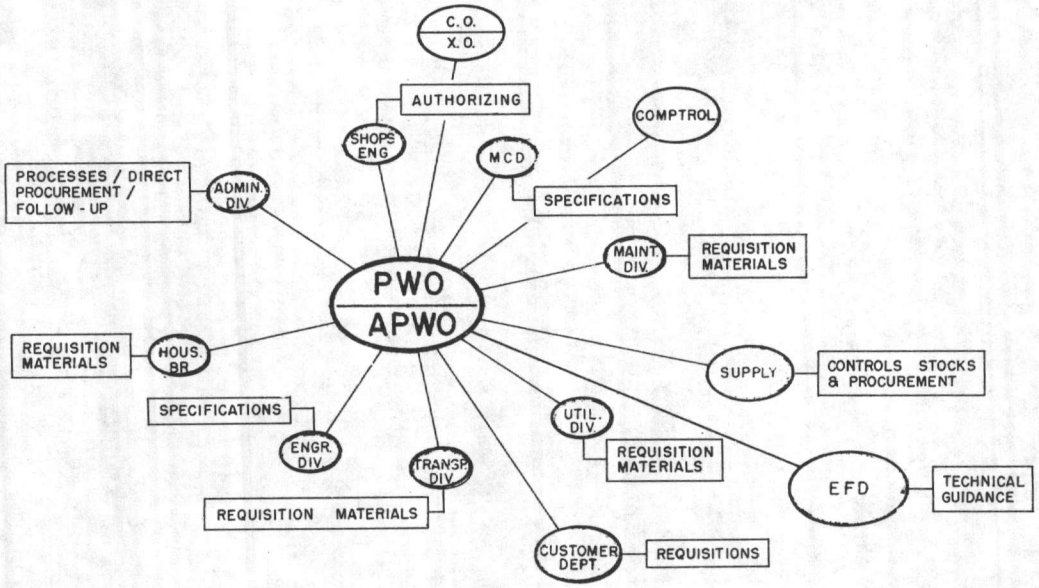

FIGURE 11-1
THE PLAYERS IN MATERIAL MANAGEMENT

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PART 1 - PUBLIC WORKS - SUPPLY PARTNERSHIP

11.1.1 Public Works - Supply Partnership. From initial procurement actions through disposal actions, the personnel of the Public Works Department need the assistance and cooperation of Supply Department personnel. The mutual objective is economic management of materials.

Toward this end, the PWO should strive to achieve and to maintain harmonious inter-departmental relations. He should "get to know" and work with the Supply Officer on a full partnership basis. The key to success in obtaining this partnership lies in communications between personnel from the department heads down to the working level.

PART 2 - THE TWO PART SYSTEM

11.2.1 The Integrated Supply System. The varied supply demands by a Seabee Battalion in the Pacific, a Navy Radio Station in Cutler, Maine, the Naval Base in Guantanamo, Cuba, and other world-wide elements of the Operating Forces and Shore Establishment of the Navy require a purchase storage, and distribution system with a scope unequalled in the commercial world. This **Integrated Supply System** is currently operating in an era when expensive and frequent cold war contingencies must be supported by funds from ever-constricting budgets. Economy, efficiency of operation (two all important terms), and superior management have never been so critically important. **The mission of this Integrated Supply System is then, first and always foremost, responsive support to the operating forces; and second and significantly, optimum economy.**

The term "Supply System" is used to describe collectively the field activities of Naval Supply Systems Command (NAVSUP), other Naval System Commands, Defense Logistics Agency (DLA), General Services Administration (GSA), and other Military services which receive, hold and issue materials to the operating forces or to activities of the shore establishment.

The Supply System is "integrated" in two different ways. First, the Navy Supply System itself is integrated within the Navy. Prior to World War II, technical materials were controlled by the technical commands and were generally provided to the fleet on a direct turnover basis from private industry. The staggering quantity of material required by the highly mobile naval forces and advance bases soon surpassed the ability of this system to meet demands. As a result, it was necessary that these technical items be "integrated" into the supply system where they could be managed system-wide.

Secondly, the Integrated Supply System refers to an integration of the DLA, GSA, Navy, Army, Air Force and Marine Corps Systems. This has been accomplished by assigning these agencies with national responsibility for management of a specific range of material in support of all military services' requirements. Within the Navy, this centralized management is accomplished by three supply activities designated as Inventory Control Points (ICP). These activities are Aviation Supply Office (ASO), Philadelphia; Ships Parts Control Center (SPCC), Mechanicsburg; and the Navy Publications and Forms Center (NPFC), Philadelphia. Within DLA, inventory management duties are performed by the six Defense Supply Centers which act as Integrated Managers (IM) for the Defense Supply System. For the other Military Services inventory management is assigned to various supply activities designated as Weapons Integrated Material Managers (WIMM). For GSA, inventory management is performed by ten Regional Offices, each of which may manage the full range of GSA items rather than a specific class or range of items as with the Defense Supply System activities. How the Defense Supply System fits into the Navy System will be discussed later.

11.2.2 Navy Supply System. There are basically two parts to the Navy Supply System. One part is managed by the Naval Supply Systems Command and is concerned with over two million items assigned to Inventory Control Points for management. It includes such categories of material as repair parts and consumable supplies. Its management includes receipt, storage, and distribution to the consumer of all required materials.

In order to perform this function, the Navy Supply System must have the data needed to accurately answer the following questions:

A. WHAT will be required?

B. HOW MUCH will be required?

C. WHEN will specific items be required?

D. WHERE will items be needed?

E. HOW will they be transported?

In other words, the supply system must have reliable information on types and quantities of items, leadtime involved, and points of ultimate use.

Not only must the personnel of the Supply Systems Command have the answers to the questions listed above, but they must also control the hundreds of thousands of items at all stages. Items must be given specific identification codes, so

that requisitions are correctly understood, and activities receive the desired materials. Supply information must be coordinated, to avoid duplication of authority, responsibility, and functions; and even more important, to prevent "pockets" where authority, responsibility, and functions are not delineated. A smoothly operating organization is imperative if the right quantities of the proper items are to be available when and where they are needed for Navy installation.

The second part of the Supply System consists of the technical Systems Commands and the Bureaus of the Navy Department who retain inventory management of items, but with receipt, storage, and shipment usually remaining with the supply department of field activities. Items may be Bureau or Systems Command controlled because of: high unit cost, design considerations, special programs, or because a close watch is desired over the item.

The system works at four levels; departmental, Bureau or Systems Command, Inventory Control Points, and individual activities. The Inventory Control Points are discussed later in this supplement; and the field activity functions are discussed in the section on shop stores and its sources of materials.

At the departmental level, the responsibility consists chiefly of determining broad policy, and reviewing overall operation and performance.

Except for the limited number of technical Bureau/System Commands controlled items, sponsorship of most kinds of materials is vested in NAVSUP. In other words, NAVSUP formulates policy for, and exercises general supervision over, all operations involving the cataloging, purchase, stock control, storage, transportation, accounting, issue, and disposal of various categories of supplies, equipment and repair parts. In addition, NAVSUP is assigned technical responsibility for Materials Handling Equipment.

In general, however, technical responsibility is vested in some other command or office. Thus, NAVELEX has technical responsibility for electronics supplies; NAVAIR for aviation supplies; BUMED for medical and dental supplies and equipment; and NAVFAC for construction supplies and equipments.

NAVSUP has delegated to the supply departments established at Navy field activities the general responsibility of purchasing receiving, storing, distributing, and controlling the materials that are required by the particular activity, in the performance of its assigned tasks. These activity supply departments must also maintain the necessary accounts for materials, unless there is a separate Fiscal Department that takes over these duties.

The nerve centers of the system are the three Inventory Control Points (ICP's). Each manages a material commodity or group of commodities which are held in a "distribution system" composed of supply activities called stock points. In order for these ICP's to make the material available in the right quantity at the right place, it is necessary to maintain close control over the distribution system. To do this the distribution system is tied together by a highly sophisticated communications network. Through this network the distribution points report daily the status of stock at their location. This intelligence enables the ICP's to position material as required and to compute purchase requirements for the material.

The ICP stock management responsibilities to the system can be summed up as follows:

1. Position material at the various stock points.
2. Retain inventory control of this material through extensive reporting systems.
3. "Push" material to the stock points.
4. Provide technical assistance to the System (and to the customers).
5. Provide cataloging services to the system (and to the customers).
6. Perform program support functions for weapons systems equipment and components.

There are two types of activities that make up the distribution system: (1) activities whose primary mission is supply and (2) activities that are components of systems commands other than NAVSUP or naval operational activities.

The major activities whose primary mission is supply are:

1. Naval Supply Centers.
2. Navy Supply Depots.

These above types of activities have a mission of warehousing, distributing, and control of material.

The other designated activities are supply departments of:

1. Naval Shipyards.
2. Naval Air Stations.
3. Naval Stations.
4. Construction Battalion Centers, etc.

Their mission is to provide specialized supply support to the command at which they are located. A majority of these activities are large enough to be linked with the ICP in the same manner as activities whose primary mission is supply. The student needn't worry about the exact relationship of all these activities to the ICP. The system is sufficiently complicated to make it necessary to examine each

activity in order to determine its exact relationship to other activities and the various ICP's.

The activities that form the distribution system are classified as either reporting activities or nonreporting activities.

As a general rule, a reporting activity is replenished by direct action taken by the controlling ICP on the basis of the stock status reports submitted by the activity. A non-reporting activity is replenished on the basis of requisitions generated with the activity and submitted to its source of supply.

Reporting Activity. Stock point which reports daily to the cognizant ICP transactions affecting the stock status of the activity. Inventory management is maintained by the ICP for a reporting activity.

Nonreporting Activity. Activity which does not submit stock status reports to ICP. Inventory management is maintained at the local level for a nonreporting activity.

An activity may be a reporting activity for material under the inventory control of one ICP and a nonreporting activity for material under control of another ICP.

PART 3 - FINANCING OF MATERIALS IN THE NAVY SUPPLY SYSTEM

11.3.1 General. It is important that the CEC Officer have a clear idea not only of what he wishes the supply department to do, but also what the supply officer *can* do, within the limits of his delegated authority and his assigned responsibilities. In this context, the class of materials is first presented and then the sources of funds for purchase are identified.

11.3.2 Types of Materials. The Navy divides material into four categories - equipment, equipage, repair parts, and consumables.

Equipment is considered to be any functional unit which is operated singly or as a component of a system or subsystem and which is identified by manufacturer's nameplate data and is supported by an Allowance Parts List (APL).

Equipage is an item of a durable nature listed in an Allowance Equipage List (AEL), or other authorized listing issued by an inventory control point. Equipage items differ from equipment in that they are usually portable, high cost items which are easily stolen.

A Repair Part is any item which appears in an Allowance Parts List (APL), a manufacturer's handbook, or a similar parts list.

Consumable Materials, sometimes called expendables, are administrative and housekeeping items, general-purpose hardware, common tools, or any other items not specifically defined as equipage or repair parts.

Types of materials carried in the supply system are funded by two different methods: **direct appropriation (APA)** as in the case of investment items procured by the System Commands or revolving fund (NSF). However, equipments that are installed in a ship at the time of construction and aviation managed materials are generally funded by appropriation. This method is used for these items because of their high unit cost. The items are issued without charge; however, cost accounting records are maintained on their issue.

11.3.3 The Navy Stock Fund (NSF). The Navy Stock Fund is a revolving working-capital "pool of money" used to finance the purchase and maintenance of common supply items required for the support and operation of the Navy. This money is used to buy material which, when purchased, becomes part of the Navy Stock Account, and waits in inventory until needed by an activity customer.

The Navy Stock Fund, "Working Capital", originally provided by congressional appropriation, is used repetitively to procure stocks of "common use items,", i.e., the types of items for which ultimate disposition or user cannot be determined in advance, but the need is based on past utilization. When the material is finally issued to the ultimate user, the funds financing the operation of the user, (usually O&MN) are charged for the value of the issued material and the NSF is credited for the value of the material. The total value of material and cash in the Navy Stock Fund thereby remains constant. The Navy Stock Account (NSA) is the stores account or functional account in which the material is held until issue to an end user and assignment of the proper cost code is accomplished. The value of the material in the NSA fluctuates constantly. Accountingwise, the NSF is composed of both money and material and remains constantly at its authorized value, with the "mix", or ratio, of money to material constantly changing.

Each Inventory Control Point (ICP) as well as stock points, receives a portion of the stock fund from NAVSUP, the overall fund administrator. The ICP must use its portion of the fund to purchase and maintain adequate NSA stock levels held at the various stock points (Supply Centers, Depots, CBC's, etc.).

The use of the NSF concept makes it possible to have the ultimate consumer pay for the material he uses, which gives him a greater interest in achieving economy, and permits a clearer budget picture of the cost of operating individual units or

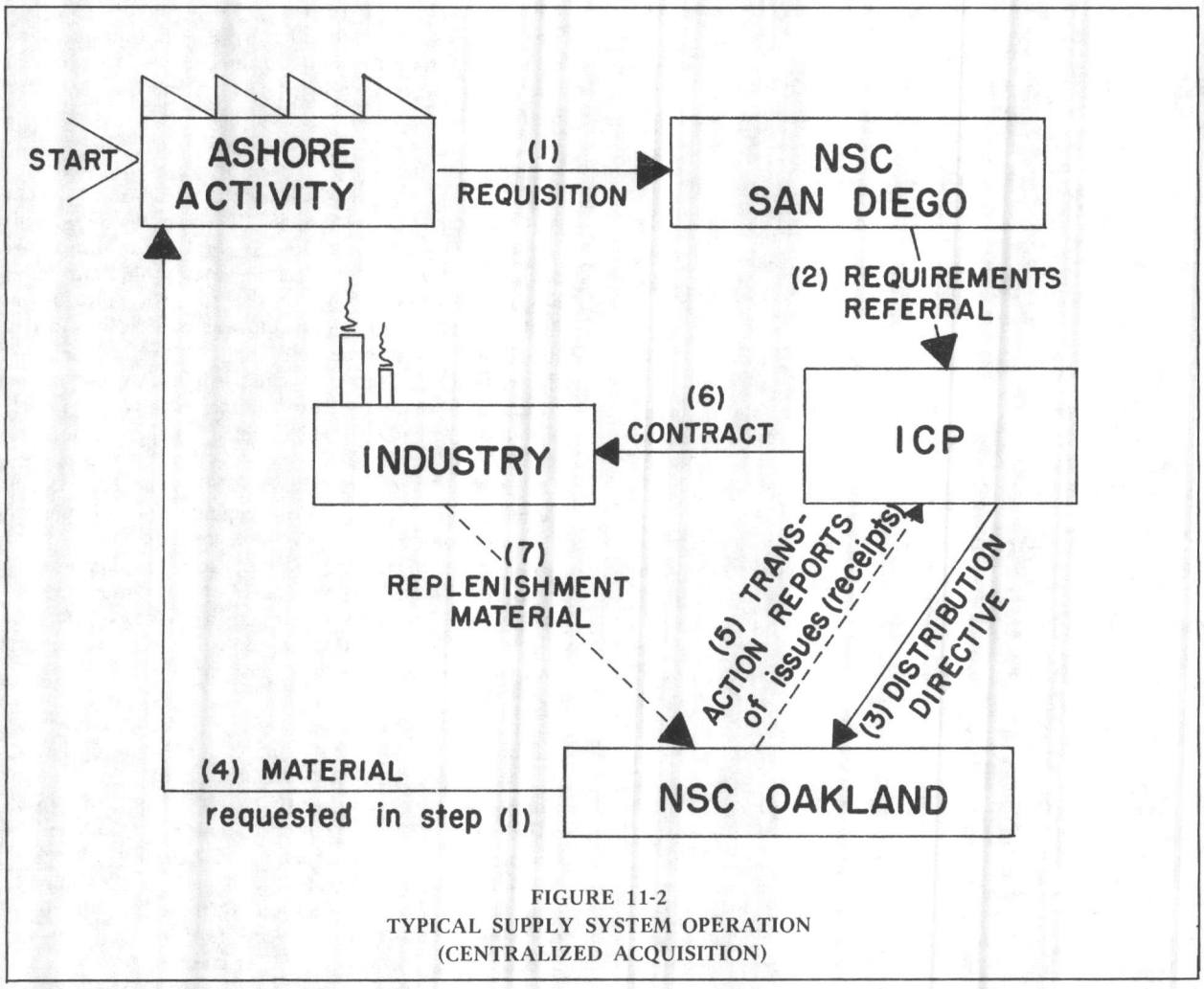


FIGURE 11-2
TYPICAL SUPPLY SYSTEM OPERATION
(CENTRALIZED ACQUISITION)

organizations (which is in conformance with the Resources Management concept).

There is a close interaction between the Account and the Fund, so that some confusion may exist as to their relative functions. It will help you to distinguish between them if you keep in mind that the NSF is concerned with money and the NSA with material.

Another note of caution: End of year purchases can be tricky. Your O&MN dollars are not "obligated" until the item is dropped from inventory. If this does not occur prior to end of the FY your O&MN dollars are lost, even though material is ordered. Check with your supply officer to ensure you handle this situation correctly.

11.3.4 Appropriations Purchases Account (APA). The Appropriation Purchases Account is the stores account record for items financed directly from one of the regular Navy appropriations (i.e., Procurement of Air Craft & Missiles, Navy; Ship Contruction, Navy; Other Procurement, Navy; etc.). These appropriations are the result of congressional legislation, and they are made for specific purposes expressly stated in the appropriation act. The materials entered in APA records may be highly technical items keyed to a Bureau/Systems Command program or of a type for which the Navy demand is too limited to justify financing from a working-capital fund. Having already been charged to an appropriation when procured, no further charge or transfer of funds is required at the activity level when issue is made (hence the misleading misnomer that APA material is "free"). APA material normally consists of complex, high value components such as electronic modules which are tightly controlled by ICP's or systems commands, and must be returned to the Supply System for repair rather than being thrown away or cannabalized for parts when defective.

PART 4 - HOW DOES THE SYSTEM WORK?

11.4.1 General. There are, in general, two methods of material procurement. First is to use the

FIGURE 11-3
THE SHOP STORE

integrated supply system we have been discussing. This should be considered the primary source of material and is discussed in Paragraphs 11.4.2 through 11.4.5. A second method of procurement is known as local purchase. In effect, it means buying material directly from local civilian vendors. Open purchase methods are outlined in Paragraph 11.4.6.

11.4.2 Operation. It can be considered to start with a material request which goes to your activity's Supply Department. Let's say that you have a requirement for material that is not carried at your activity. A requisition is prepared and forwarded to the nearest stock point, say NSC San Diego (a reporting activity). NSC San Diego after scanning their stock records and discovering that the material is not-in-stock (NIS), depending on priority, refers your requisition to the ICP or holds it in back ordered status. However, if the material is not carried (NC) in stock the supply activity will pass your request to the Inventory Control Point (ICP) designated as the inventory manager for the material. The ICP reviews its master records to determine if the material is available in the "system." NSC Oakland has the material on hand, so the ICP issues a distribution directive to Oakland. NSC Oakland then ships the requested material to the Supply Department of your activity and reports the issue to the ICP. To carry the process a step further, if the issue had dropped Oakland's stock below the prescribed level, the ICP would take action to procure more material from industry to replenish Oakland's stock. Note that all this is by passed if management of the particular item is decentralized. In such a case, the nearest stockpoint may purchase the item locally (Para. 11.4.6).

11.4.3 Shop Stores. Materials commonly utilized by Public Works shops are often carried in a shop store operated by the Supply Department and located in close proximity to the shop or shops supported. When such shop stores are established in one command but operated by the Supply Department of another command they are designated as ready supply stores. The primary purpose of the shop store is to speed the issue of material to support current public works operations. Thus the stock is specialized, stock control and issue procedures are simplified, and the store is operated by personnel familiar with the public works materials. (See Figure 11-3)

Stock Levels and Replenishment. The Supply Officer will establish stock levels for regularly carried shop store items in accordance with NAVSUP and FMSO guidelines which base levels upon the preceding four quarters of demand history and the relative distance to the main supply source. If supported from the command's main supply

stocks, the shop store is authorized an average of one month of inventory with a high limit of 2-1/2 to 3 months depending on the distance to the main supply warehouses. When stocks are obtained directly from the Supply System without local backup stocks in main supply, then the shop store is authorized an average inventory level of 2-1/5 to 5 months. The Supply Officer and the PWO will jointly determine range and depth of new items until demand data can be accumulated. Levels are also adjusted to allow replenishment in full package quantities. When a stock item is issued down to its established low limit, shop store personnel prepare a requisition to replenish the item from main supply or from the Supply System as applicable, to return the item to its normal operating level.

Some items required for jobs of a nonrecurring nature may not be available in the shop store, and will have to be ordered direct from the activity Supply Department or main supply stocks. You will find that a large percentage of items used by the Public Works Department are not carried by the Shop Stores or by main supply warehouses of the Supply Department due to the lack of sufficient repetitive demand or due to other stocking restrictions. These items must be ordered on a direct turnover (DTO) basis. Therefore, the PWO must take care to plan ahead and to advise supply personnel, as early as possible, of anticipated requirements in case these items must be ordered from the Supply System or purchased locally.

Nonstandard Items. Items not obtainable through the Navy Supply System as standard stock may be financed under NSF and carried as nonstandard material in a shop store or in main supply stocks whenever an activity has a legitimate continuing requirement for such stock. For nonstandard stock so financed, the following conditions apply:

1. Nonstandard material will not be stocked when standard items are available, except when the nonstandard material is considered to be indispensable.

2. Maximum utilization must be made of standard stock and noncritical items, in lieu of brand names, critical, and extra specification items.

3. Substitution of similar standard items will be made for nonstandard items, wherever possible.

4. When demands for a specific item indicate a repetitious requirement, steps will be taken to have the item standardized, if possible.

Because some Supply Departments are not required or are unable to record demand on nonstandard items, those nonstandard items to be stocked are normally assigned a local stock number by the Supply Department. This facilitates the application of standard computerized inventory control procedures to these items to accumulate demand data and to establish appropriate stocking levels.

Insurance Items. Insurance items are those standard or nonstandard items lacking sufficient repetitive demand for stocking, but which prudence requires that a nominal quantity be stocked, since the lack of the item could prevent the accomplishment of an activity's assigned mission. Insurance items are required for plant or production property maintenance and repair of an emergency nature and must be limited to those essential items of a long purchase lead time, not normally carried in Supply Department stocks, which are related to indispensable equipment or to equipment indispensable to the maintenance or productive effort of the activity, i.e., insurance items related to water, heating or lighting systems, power lines, automotive or material handling equipment, etc.

The stock level of an insurance item must be limited to the quantity estimated as needed to satisfy the type of emergency use for which the item is held. Each insurance must be annually reviewed by the shop store supervisor in conjunction with personnel of the shop concerned to insure that the item's retention as an insurance item is fully justified under the above criteria.

Because some Supply Departments are not required or are unable to record demand on nonstandard items, those nonstandard items to be stocked are normally assigned a local stock number by the Supply Department. This facilitates the application of standard computerized inventory control procedures to these items to accumulate demand data and to establish appropriate stocking levels.

11.4.4 SERVMARTS. SERVMARTS are established at major activities to provide the customer with a convenient, walk through, self-service store in which to readily obtain common consumable items normally used by the activity. These include such things as office supplies, cleaning supplies, galley supplies, forms, tools, minor repair parts, and paints. SERVMARTS often stock items commonly used by Public Works, either in addition or in lieu of shop store stocks including such items as electrical fittings, sprinkler supplies, gaskets, bolts, nuts, nails, washers, hinges, automotive oils and greases, spark plugs, condensers, points, bases, etc. (Figure 11-4)

Customers must present a single money-value-only requisition with an authorized signature, which is on file at the SERVMART, to gain entry and to shop for needed items. By their very nature SERVMART items are highly

FIGURE 11-4
THE "SERVMART"

vulnerable to pilferage and theft. PWO's should therefore insure that local procedures provide for positive accountibility for ordering and receiving items from SERVMART.

11.4.5 Pre-Expended Bins. A pre-expended bin in another source of supplies. The bins contain high usage items, generally of low unit cost, which have already been expended from the stock records and related financial accounts of the supply department. These bins are located at points within the shops and are readily accessible to shop personnel. This immediate availability of material saves considerable time that would otherwise be required for preparing requisitions and obtaining authorization. Also eliminated is the need for posting individual issues and the accompanying expense of processing them through the activity supply and fiscal departments, for expenditure.

The supply office and the department head having cognizance over the shop in which the bins are located determine jointly which items are to be carried in pre-expended bins. Items should be restricted to those of low-pilferage value where possible. Additionally the items are limited to a unit cost of $25.00 or less except that the $25.00 limit may be exceeded with approval of the commanding officer. In no instance will stock in each bin exceed an estimated 30 day supply. The pre-expended bins must be actively monitored and controlled by PW and Supply personnel to insure bins are replenished in a timely manner, excess items are turned in to the Supply Department, unused ready-for-issue items are returned to correct bins, and that pre-expended bin procedures are not otherwise abused.

11.4.6 Local Purchase. Whenever a Supply Department goes directly to industry to obtain materials, they are involved in local purchase which is the second source of materials (the first and primary source being the integrated supply system). Most local purchases are within the category designated as "small purchases" or those of $10,000 or less per transaction. Most naval activities have purchase authority of $10,000 or less. Purchases greater than $10,000 must be referred to major field activities with regional purchase support responsibilities such as Naval Supply Centers and Naval Regional Contracting Offices. These purchases (contracts) involve the preparation of specs and formal solicitation of bid proposals and quotations (similar to NAVFAC construction contracts).

Methods. Confining our discussion to the transactions that CEC officers will commonly be involved with at the activity level, the following is a list of six local purchase methods and their salient features in outline form. It should be clearly

understood that the authority to use these techniques is with the Supply Department at the activity level (i.e., only supply "officers" have materials/supplies purchase authority, just as only CEC officers can have construction contract authority).

1. IMPREST FUND:

a. Quick and convenient method for purchases up to $150 per transaction for piority 7-15 requirements and up to $300 per transaction for priority 1-6 requirements (or for priority 7-15 if written justification is provided).

b. Similar to a petty cash fund - a revolving fund used for cash only purchases on a "cash and carry" or collect on delivery (COD) basis.

c. Activities may hold up to $5000 in their imprest fund depending on the volume of purchases. Funds are held and paid out by an accountable individual designated as the "Imprest Fund Cashier."

d. No competition is required if the price is considered fair and reasonable.

e. The following conditions must also be met for each imprest fund purchase:

(1) One delivery (i.e., not a series of shipments).

(2) Materials available within 30 days for COD shipments.

(3) No complex technical items requiring technical specifications or inspections.

2. Blanket Purchase Agreements (BPA):

a. A very economical and efficient method for repetitive purchases of readily available off-the-shelf items such as electrical supplies, plumbing supplies, auto parts, etc. from local vendors.

b. Analogous to a "charge account" established by the Supply Department with local vendors in order to minimize overhead and administrative costs of placing numerous purchase orders with these vendors. The government receives one billing and makes one payment for all orders placed with each BPA vendor during the month.

c. The agreement is established on a DD-1155 purchase order form, incorporates discounts if applicable, does not specify costs by item and is effective for an indefinite period or until cancelled with 30 days notice by either party.

d. Orders are made by a phone "call" or informal memo to the vendor with a $5000 maximum limit per call.

e. Orders over $500 must be completed, i.e., a minimum of three quotes must be obtained or the circumstances documented if three quotes cannot be obtained.

3. Purchase Orders:

a. A standard method of making one time purchases up to $10,000 using the DD1155 form which is signed and forwarded to a supplier.

b. Constitutes a government offer to buy which is unilateral since written acceptance by the supplier is not required. Thus the issuance of a P.O. neither creates a contract nor affords assurance of the supplier's compliance or delivery.

c. Becomes a contract only when the supplier has tendered the requested performance. Until tendered, the government can revoke the offer. Once any part of the performance is tendered, the government is normally liable for costs, i.e. the customer's cancellation of the order may be accepted or may result in a "restocking" charge, "set-up" charge or other selling or manufacturing cost.

d. Also requires competition or a minimum of three quotes for purchases over $500.

4. Contracts:

a. A bilateral written agreement between the government offering to buy and a supplier accepting the offer to buy.

b. A supplier must sign a contract thus committing the supplier to perform in accordance with standard clauses and provisions indicated on the contract.

c. Gives government some legal clout over the vendor since the vendor can be liable for damages if the vendor fails to perform or "defaults" unless the default is a result of circumstances beyond his control such as "acts of God", strikes, etc.

5. Delivery Orders:

a. Order limits vary from $10 to $500,000 or more as specified under the terms of each contract. The ordering activity's purchase authority has no bearing in placing delivery orders.

6. National Credit Card:

a. Standard Form 144 utilized by authorized customers to make direct purchases from specified vendors in the same manner as with any plastic credit card.

b. Authorized only for on-the-road purchases of gas, oil, emergency repairs and boat and plane fuel.

Competition: As mentioned above, all purchases over $500 must be open for competition, which means that at least three quotes must be obtained by the purchasing agent. If three quotes cannot be obtained, the agent must then document the circumstances and indicate how the price was

determined to be "fair and reasonable." For purchases less than $500, only one quote is necessary as long as the price appears fair and reasonable based upon the purchasing agent's experience or knowledge of the item, or upon readily available catalog prices etc. Additionally purchases under $500 must be rotated among available suppliers. This means that the lowest price vendor should not always get the order unless other vendor prices for the required items are considered so much higher as to be unfair or unreasonable. Competition may also be limited to minority and small business in the local area using "set aside" buys.

Sole Source Purchases: For requirements over $500 which can be obtained from only one supplier, a written sole source justification must be provided by the customer since the Defense Acquisition Regulations (the DOD purchase "bible") prohibits limiting competition to one supplier. This justification must provide a complete description of the required item including the intended use or application and those capabilities and characteristics of the item which limit its purchase to the sole source. To avoid sole source difficulties, PWO's should require PW personnel to develop purchase requirements in terms of "performance" specs vice "design" specs.

11.4.7 Mandatory Sources: Not yet discussed are the many categories of material which must be purchased from specific sources. They are outlined as follows:

1. GSA Federal Supply Schedules (FSS)

a. The most common mandatory sources, these are lists of suppliers with which GSA has established indefinite delivery contracts to supply the government at specified prices upon the receipt of delivery orders from authorized activities.

b. Some of the schedules are mandatory for Navy activities while some schedules are optional meaning that we do not have to buy from them. In contrast, some schedules may not be used by the Navy. These limitations are specified on the schedule.

c. Must still compete GSA purchases over $500, if there is more than one GSA supplier listed (multi-award schedules) or justify in writing why the more expensive item is required.

d. Items normally purchased on GSA contracts include office equipments, light bulbs, tires, batteries, furniture, carpeting and floor and ceramic tile.

2. Federal Prison Industries (FPI)

a. A government corporation under the Department of Justice which provides training and employment for prisoners.

b. Articles produced are sold only to the Federal Government.

c. Mandatory items are listed in FPI catalogs and include mattresses, gloves, brooms, brushes, canvas goods, clothing, key punching, some furniture, upholstery, signs and shelving.

d. For items also listed on GSA schedules, Federal activities must go to FPI first.

3. National Industries for the Blind and Severely Handicapped (NIB)

a. A conglomeration of nonprofit agencies employing and training blind and handicapped persons.

b. Mandatory items are listed in a catalog and include such items as mattresses, SKILCRAFT ballpoint pens, hospital supplies, cleaning supplies, clothing items and office supplies.

c. For items listed by both FPI and NIB, Federal activities must go to FPI fist; if listed by both GSA and NIB, they must go to NIB first.

4. Miscellaneous Military Sources:

a. Navy Publication and Printing Offices for printing and reproduction services and equipment.

b. Government Printing Office for certain government forms.

c. Naval Regional Contracting Offices for certain items under their regional control such as rock and gravel, rock salt, stevedore services, etc.

d. Navy Inventory Control Points for specific items under their control.

e. DLA Integrated Managers for specific items under their control such as Defense Fuel Supply Center for fuel or Defense Construction Supply Center for large lumber purchases and construction equipment.

5. Exceptions to the mandatory sources are possible under one or more of the following criteria:

a. The mandatory source cannot meet the government's critical delivery deadline or specification requirements.

b. The purchase is for less than the listed unit of issue or is less than the specified dollar limit (usually $25 for GSA).

c. The supplies are both purchases and used outside CONUS, Alaska or Hawaii.

d. The purchasing activity has requested, justified and been granted a waiver from the mandatory source agency to purchase the item from other than that agency.

PART 5 - THE DEFENSE SUPPLY SYSTEM

11.5.1 General. It was pointed out in the beginning of this chapter that the Navy Supply System is

integrated with the Defense Supply System. Actually more than half of the Navy's total material requirements are managed by the Defense Logistics Agency (DLA). DLA was established to purchase and centrally manage on a wholesale basis certain common items for all the military services.

Under this "single manager" concept each service determines its gross requirements; DLA totals the requirements for all the service, purchases supplies from commercial sources, and sells them to the service at its cost plus an extra charge for transportation, losses in stock, and similar minor costs.

The DLA headquarters is located at Cameron Station, Alexandria, Virginia. This headquarters organization provides leadership and management over operational functions decentralized to the field DLA activities. It should be noted that this management is analogous to that of NAVSUP in the Navy. The field activities which are referred to as Defense Supply Centers (DSC) purchase and distribute material as outlined below:

1. **Defense Personnel Support Center, Philadelphia, Pennsylvania.** Controls subsistence, medical supplies, and clothing.

2. **Defense Fuel Supply Center, Washington, D.C.** Controls bulk petroleum and petroleum based chemicals. The primary function of this organization is to purchase petroleum.

3. **Defense Electronics Supply Center, Dayton, Ohio.** Controls electronic and electrical equipment and repair parts.

4. **Defense Industrial Supply Center, Philadelphia, Pennsylvania.** Controls industrial type items such as bearings, block and tackle, rigging and slings, rope cable and fittings, hardware, metal bars, sheets, and shapes.

5. **Defense Construction Supply Center, Columbus, Ohio.** Controls construction material and automotive and construction equipment, components and repair parts.

6. **Defense General Supply Center, Richmond, Virginia.** Controls furniture, food preparation equipment, recreation and athletic equipment, package petroleum products, office supplies, and cleaning supplies.

11.5.2 The DLA Distribution System. If we were to describe the functions of a DSC in the area of inventory management, we would basically be repeating what we have already outlined as the functions of an ICP in the Navy System. The six Defense Supply Centers are designated as Integrated Managers (IM's) and function as the counterpart of the Navy ICP's in the Defense Supply System.

The main organizational elements of the DLA distribution system, are listed below:

1. Distribution Depot (DD). A distribution depot is simply a storage point for DLA material. Issue of material from these depots is centrally controlled by the cognizant Defense Supply Center and is based on requisitions received and processed centrally by the DSC. Consequently, DD's cannot accept requisitions directly and issues are made only when directed by the DSC. The principal DD's are located in Mechanicsburg, Pennsylvania; Memphis, Tennessee; Ogden, Utah; Tracy, California; Richmond, Virginia and Columbus, Ohio.

2. Specialized Support Depot (SSD). Because of the large number of afloat customers, DLA has established two SSD's to provide direct support to the Navy. (Other services do not have SSD's and therefore, submit all requisitions directly to the DSC's). The two SSD's are NSC Norfolk and NSC Oakland. The SSD's unlike the DD's, have the authority to receive requisitions directly and make issues locally. The inventory held at these depots is still owned and managed centrally by the cognizant DSC. Figure 11-5 shows a comparison between the Defense Supply System and the Navy Supply System.

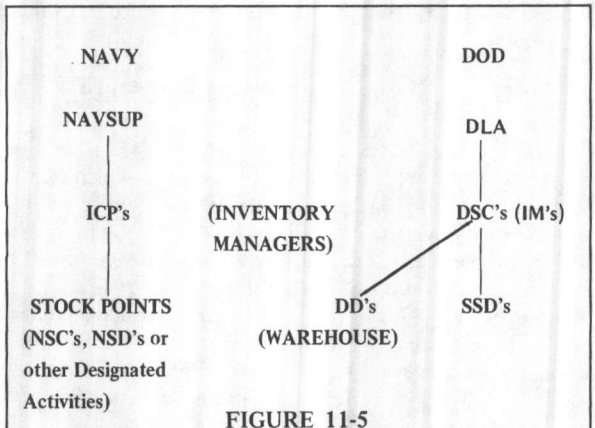


FIGURE 11-5
DEFENSE SUPPLY SYSTEM & NAVY SUPPLY SYSTEM

11.5.3 Funding the Defense Supply System. The Defense Stock Fund (DSF), administered by the Defense Logistics Agency, is similar in concept and operation to the Navy Stock Fund. DSF is utilized to buy and position items of stock which have common use and applications within the Department of Defense and which are under the inventory control of the Defense Logistics Agency. Upon the birth of DLA in fiscal year 1963, many common use items previously financed by, and held

in the NSF, were transferred to and recapitalized in the DSF. The advent of the DSF has therefore accordingly reduced the size of the NSF.

Both the Navy Stock Account and the Defense Stock Account may be thought of as a form of "suspense account" in which material is held pending issue to ultimate consumers, at which time accurate and complete appropriation, allotment, and cost accounting may be accomplished.

11.5.4 The Navy Retail System. As stated earlier, DLA manages over half of the Navy's material requirements. Since there are only two SSD's in the DLA distribution system, how do the other major Navy stock points satisfy their customer's requests for DLA managed material? The answer is simple. Material is bought from the DSC's with Navy Stock Fund money and positioned at Navy Stock Points. Navy activities acting in this capacity are called Navy Retail Stock Points. Under the retail concept, requirements are computed locally and replenishment is obtained by submitting requisitions to the DLA System.

The retail management function for Navy-owned stocks of DLA, GSA and TARCOM material is performed by the Fleet Material Support Office (FMSO) Mechanicsburg, Pennsylvania which acts as the Navy Retail Office. This centralized retail management is financial only and is accomplished by FMSO's apportionment of part of the NSF to the Retail Stock Points.

PART 6 - THE FEDERAL SUPPLY CLASSIFICATION SYSTEM

11.6.1 The Stock Number. Some type of material classification system is imperative for orderly handling of vast stores of materials, and for acquiring, inspecting, storing, and issuing these inumerable items. Under the Federal Supply Classification (FSC) System, most material used by the Navy is assigned a 13-digit National Stock Number (NSN), which is the same for all government agencies.

Cognizance Symbols. The 13 digit of the NSN are preceded by a 2-digit alphanumerical cognizance symbol, the purpose of which is to indicate which Bureau, Systems Command, office or Inventory Control Point (ICP), has control or "cognizance" over the supply and distribution of specified categories of material within the supply system and also to indicate which stores account (APA or NSA) the material is carried in. The second digit of the cognizance symbol is the key to the office. Bureau Systems Command, or Inventory Control Point having inventory control of the material. An odd number for the front digit shows that the material is carried in the Navy Stock Account (NSA), while an even number shows that the material is carried in the Appropriations Purchase Account (APA).

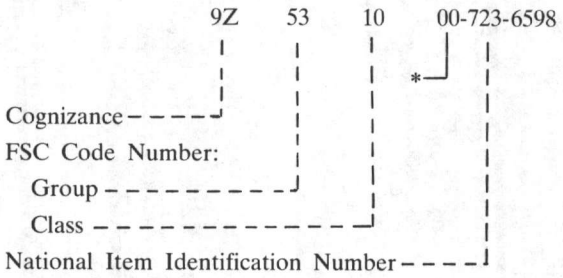
For example, in the cognizance symbol "2C", the "C" designates major construction and civil engineering equipment under the control of the Naval Facilities Engineering Command, while the "2" indicates that the material is carried in the Appropriations Purchased Account (APA).

Stock Groups and Classes. The Federal Supply Classification (FSC) system divides all material into numbered Groups by category of material. Each group is subdivided into as many Classes as needed. FSC groups and their titles are shown in Volume I of the NAVSUP Manual and the Federal Titles indicate the general nature of the material contained in each group. This publication also shows the breakdown of each group into classes.

The following breakdown of Group 75, Office Supplies, illustrates the division of group into FSC classes:

FSC Class	Titles
7510	Office Supplies (general)
7520	Office Devices and Accessories
7530	Stationery and Record Forms

Breakdown of National Stock Numbers. The 13 digits of the NSN are arranged in groups of 4, 2, 3 and 4 separated by hyphens. The group and class of an item make up the first four digits of the stock number, as shown above. The last nine digits are called the National Item Identification Number (NIIN), which identifies a specific item within a class. For example, the stock number for a washer is 9Z5310-00-723-6598, which is broken down as follows:



*(NCB) National Codification Bureau Code (Identifies NATO country in which material is manufactured. U.S., for example, is 00 and 01.

PART 7 - THE UNIFORM MATERIAL MOVEMENT AND ISSUE PRIORITY SYSTEM (UMMIPS)

11.7.1 General. When you consider the volume of requisitions processed through the Supply System and the resulting competition for resources, transportation, warehousing, processing time, etc., it becomes inperative that we have a means to distinguish between urgently needed repair parts and paper clips. In essence, within the integrated Supply System we need a system for segregating requisitions in order of importance.

This sense of priority is achieved through UMMIPS; for future reference OPNAV Instruction 4614.1 series applies. The system is based on two factors:

1. A Force Activity Designator (FAD).
2. An Urgency of Need Designator (UND).

The FAD is a roman number, I-V, assigned by JCS, CNO or principal Navy commands. It establishes the relative military standing and importance of the ship or shore activity (i.e., I being combat forces. The FAD can change depending on status (i.e., a Seabee Battalion in homeport versus a Battalion ready to deploy or deployed).

The UND, an alphabetic letter from A to C, establishes how critical is the need for the material and is assigned by the requisitioning activity. The criteria for determining UND is contained within 4 tables which are part of the UMMIPS instruction referenced earlier. In general, the following UND definitions apply:

a. Unable to perform mission without the needed material.

b. Ability to perform mission is impaired without the needed material.

c. Routine requirements such as administrative items, stock, etc.

With the FAD assigned and the UND determined, reference to Figure 11-6 will reveal the Issue Priority Designator (IPD) that can be assigned to the requisition by the requisitioning command. The IPD establishes the relationship between FAD and UND and will determine how quickly the supply system should be able to respond to your material requirements (Figure 11-7). The IPD's are tied in with a transportation priority system which is beyond the scope of this discussion.

PART 8 - CONCLUSION

11.8.1 Conclusion. Although it will not be discussed in this chapter, disposal of excess and or obsolescent/deteriorated materials and equipment is also an integral and important function of the Supply System. For detailed information on disposal and condition codes, see NAVSUP Manual, Volume 2, Chapter 8.

It should be quite evident that supply support and the coordination of material requisitions within the Public Works Department are matters of vital concern to the Public Works Officer. Although each Civil Engineer Corps Officer and each Division Director is encouraged to develop a close working relationship with his counterpart in the Supply Department, the number of persons authorized to sign requisitions and/or to receipt for material deliveries should be kept to a bare minimum.

Supply Corps Officers should be requested to explain procedures and limitations; discuss purchase problems related to requests from Public Works; and conduct training classes periodically to develop greater understanding on the part of key supervisory personnel within the Public Works Department.

Key Supply Department supervisory personnel might also benefit by similar activity on the part of CEC Officers relating to work request, trouble/service calls/"cumshaw", etc. Through these efforts, economic material procurement practices relating to the various services, accounts and transactions outlined herein should become harmonious and routine.

FORCE/ACTIVITY DESIGNATOR	URGENCY OF NEED DESIGNATOR		
	A	B	C
I	01	04	11
II	02	05	12
III	03	06	13
IV	07	09	14
V	08	10	15

FIGURE 11-6
DERIVATION OF PRIORITY DESIGNATORS
(Relating Force/Activity Designators to Urgency of Need)

TIME SEGMENT		TIME STANDARD (IN CALENDAR DAYS) FOR PRIORITY DESIGNATORS:		
		01-03	04-08	09-15
A.	Requisition Submission	1	1	2
B.	Availability Determination and (See Fig. 11-9) Storage Site Processing	3	4	13
C.	Transportation Hold and CONUS Intransit to CONUS Requisitioner, Canada, or to POE	3	6	13
D.	Oversea Shipment/Delivery:			
	1. To Alaska, Hawaii, South America, Caribbean, or North Atlantic	4	4	38
	2. To Northern Europe, Mediterranean, or Africa	4	4	43
	3. To Western Pacific	5	5	53
E.	Receipt Take up by Requisitioner	1	1	3

FIGURE 11-7
UMMIPS TIME STANDARDS

CHAPTER 12
ENVIRONMENTAL PROTECTION

The concern in recent years over the problems of environmental quality has made this issue of highest priority. The Federal Government, through laws and Executive Orders, has addressed the issue that if we are to continue to rely on the air, land, and water resources of this earth — upon which our survival depends — we must treat these resources with care and respect. The Navy's operations are within those principle resources and therefore must be concerned with the impact it has on the quality of the environment.

This chapter addresses the broad area of environmental protection and provides an awareness of how the Public Works Department and the Public Works Officer are involved in the environmental protection efforts on a continuing basis.

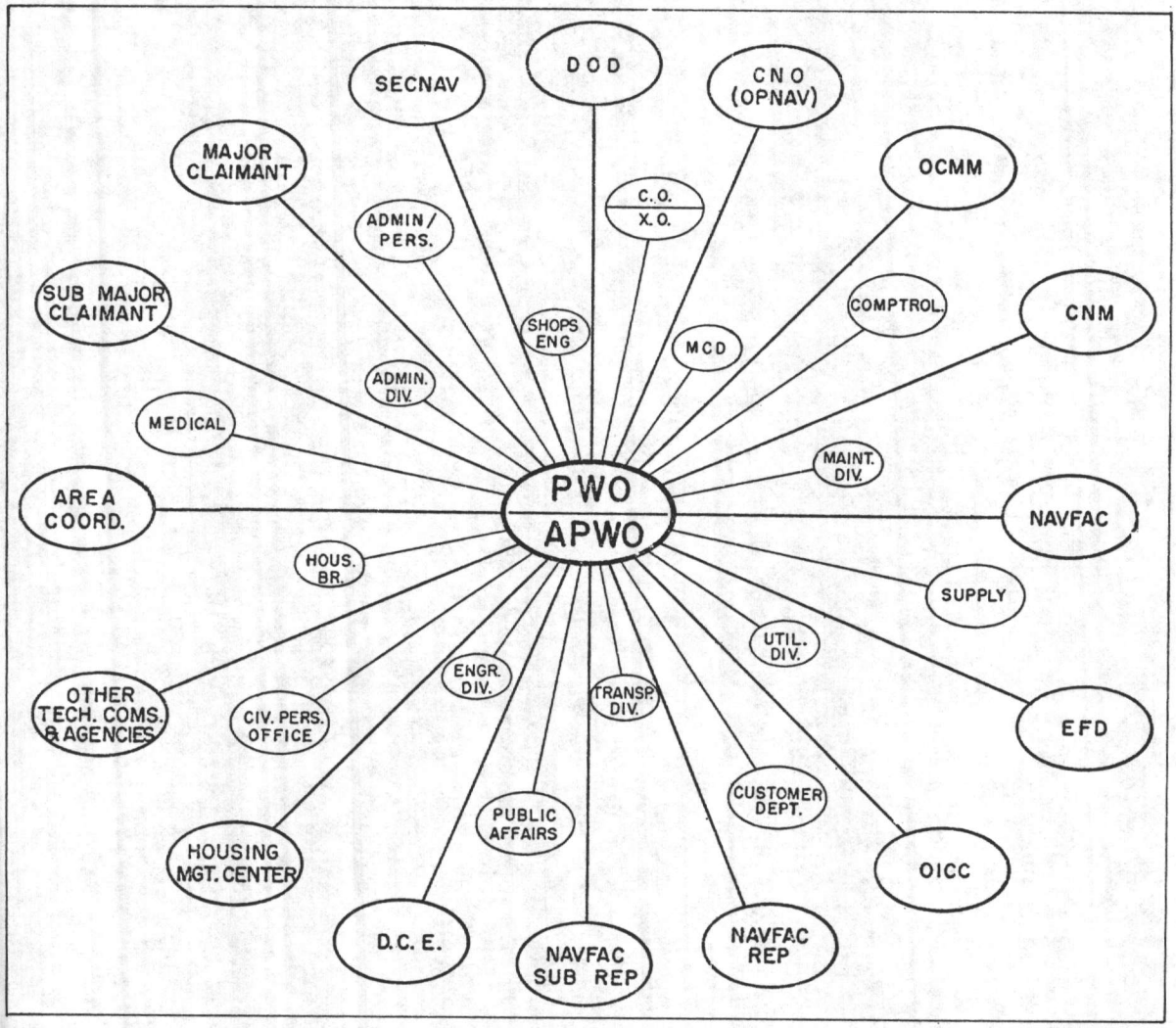


FIGURE 12-1
THE PLAYERS INVOLVED IN ENVIRONMENTAL PROTECTION

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REFERENCES

1. OPNAVINST 6240.3E, *Environmental Protection Manual*
2. NAVCOMPINST 7020.18, *Trash and Waste Material Recycling*
3. NAVFACINST 6250.3D, *Pest Management Operations in the Naval Shore Establishment; Performance and* reporting of

DEFINITIONS

Administrator: The Administrator of the U.S. Environmental Protection Agency.

AICUZ: Air Installations Compatible Use Zones.

Air Quality Control Region: For Navy purposes, an air quality control region may be considered any interstate area, or major intrastate area, deemed necessary by the EPA for the attainment and maintenance of a single set of air quality standards.

EA: Environmental Assessment. Formerly known as Candidate Environmental Impact Statement (CEIS).

CEQ: Council on Environmental Quality.

CHIL: Consolidated Hazardous Item List.

Code of Federal Regulations (CFR): A codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the Federal Regulations is kept up to date by the individual issues of the Federal Register. These two publications must be used together to determine the latest version of any given rule.

Council on Environmental Quality (CEQ): A council established by P.L. 91-190, the National Environmental Policy Act of the President and is assisted by a staff of technical experts representing many disciplines. The duties of the Council are essentially to:

Assist and advise the President in pertinent matters;

Gather timely and authoritative information concerning conditions and trends in the quality of the environment;

Review and appraise the various programs and activities of the Federal government;

Develop and recommend national policies;

Conduct investigations, studies, surveys, research and analysis; and

Document and define changes in the natural environment.

DES: Draft Environmental Statement. Formerly known as Draft Enviromental Impact Statement (DEIS).

Discharge: Includes, but is not limited to, any spilling, leaking, pumping, pouring, emitting, emptying, or dumping.

Dredged Material: Any material excavated or dredged from the navigable waters of the United States including any runoff or overflow which occurs during a dredging operation or from a contained land or water disposal area.

EFD: Engineering Field Division of the Naval Facilities Engineering Command.

PEA: Preliminary Environmental Assessment. Formerly known as Environmental Impact Assessment (EIA).

ES: Environmental Statement. Formerly known as Environmental Impact Statement (EIS).

Environmental Pollution: That condition which results from the presence of chemical, physical or biological agents in the air, water, or soil which so alter the natural environment that an adverse effect is created on human health or comfort, fish and wildlife, other aquatic resources, plant life, structures, or equipment to the extent of producing economic loss, impairing recreational opportunities or marring natural beauty and aesthetics.

EPA: Environmental Protection Agency.

Federal Register: Published daily, Monday through Friday, by the Office of the Federal Register, National Archives and Records Service, General Services Administration. Distribution is made only by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC, 20402. It provides a uniform system for making available to the public regulations and legal notices issued by the Executive Branch of the Federal government.

Hazardous Substance: Elements and compounds, that in sufficient quantities present an imminent and substantial danger to the public health or welfare, which include, but are not limited to, fish, wildlife,

shorelines, and beaches. (It should be recognized that virtually any substance has the potential for presenting an imminent and substantial danger to the public health or welfare depending upon the amount, concentration, properties and effects of the substance.) They include those substances and materials determined to be hazardous by the Environmental Protection Agency pursuant to the Clean Air Act, Clean Water Act, Resources Conservation and Recovery Act and Toxic Substances Control Act and by the Department of Transportation pursuant to the Hazardous Materials Transportation Act.

Hazardous Waste: Waste materials are those that are: (1) toxic or poisonous; (2) corrosive; (3) irritating or sensitizing; (4) biologically infectious; (5) explosive; or (6) flammable; and (7) that which present a significant hazard to human health and the environment. They include only those materials and concentrations of materials that are determined to be hazardous by the Environmental Protection Agency pursuant to the Resource Conservation and Recovery Act.

Navy Assessment and Control of Installation Pollutants (NACIP): Program to identify current and former storage and disposal sites for hazardous waste material, to determine the effects of the contaminants on the environment, and to develop appropriate projects to correct adverse effects.

Natural Resources: Include forests, fish, wildlife, soil, water and plants (including grasslands).

Naval Environmental Protection Support Service (NEPPS): A centralized operation established within the Chief of Naval Material organization to collect, process, and disseminate environmental protection data to document the extent to which the environment is affected by Navy facilities and operations.

NEESA: Naval Energy and Environmental Support Activity.

NEPA: National Environmental Policy Act (PL 91-190).

NEPSS: Naval Environmental Protection Support Service.

NPDES: National Pollutant Discharge Elimination System. NPDES is a system by which the EPA issues permits for the discharge of any pollutant upon condition that such discharge will meet all applicable requirements of the Clean Water Act.

Oil: Oil of any kind or in any form, including but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil.

Oil Spill:

Minor Spill: A discharge of oil of less than 1,000 gallons in inland waters, or less than 10,000 gallons in coastal waters, or a discharge of any material in a quantity that does not pose a threat to the public health or welfare. Discharges that: (1) occur in or endanger critical water areas; (2) generate critical public concern; (3) become the focus of an enforcement action; or (4) pose a threat to public health or welfare, should be classified as medium or major spills depending on their degree of impact.

Medium Spill: A discharge of 1,000 gallons to 10,000 gallons in the inland waters or 10,000 gallons to 100,000 gallons in coastal waters, or a discharge of any quantity of material that poses a threat to public health or welfare. The definition of *minor* spill covers those spills which might be classified as major even though their quantities conform to the definition of a medium spill.

Major Spill: A discharge of oil of more than 10,000 gallons in inland waters or more than 100,000 gallons in coastal waters or a discharge of any quantity of material or substance that substantially threatens the public health, or generates wide public interest.

Potential Spill: Any accident or other circumstance which threatens to result in the discharge of oil or hazardous polluting substance. A potential spill shall be classified as to its severity based on foregoing guidelines.

Oil Waste: Any liquid petroleum product mixed with waste water and/or oil in any amounts which, if discharged overboard, would cause or show a sheen on the water.

OMB: Office of Management and Budget.

Pest: Any insect, rodent, nematode, fungus, weed; any other form of terrestrial or aquatic plant or animal life or virus, bacteria, or other micro-organism (except viruses, bacteria, or other micro-organisms on or in living man or other living animals) which the EPA declares to be a pest.

Pesticide: Any substance or mixture of substances intended for preventing, destroying, repelling, or mitigating any pest; any substance or mixture of substances intended for use as a plant regulator, defoliant or desiccant.

Pest Management: The management of programs which include determination of the need for, and methods of, application of all biological, physical, and chemical techniques intented to reduce disease vector and economic pest populations to acceptable levels, with considerations given to the effects of control operations and pesticide disposal on other

elements of the environment. It requires professional staffing to assure that programs are carried out with optimum safety, efficiency and environmental protection.

Point Source: For the purposes of NPDES, any discernible, confined and discrete conveyance, including but not limited to, any pipe, ditch, channel, tunnel, conduit, well, discrete fissure, container, rolling stock, concentrated animal feeding operation, or vessel or other floating craft, from which pollutants are or may be discharged.

Public Health or Welfare: Includes consideration of all factors affecting the health and welfare of man including, but not limited to, human health, the natural environment, fish, shellfish, wildlife, and public and private property, shorelines and beaches.

RCRA: Resource Conservation and Recovery Act.

Recovered Resources: Materials or energy recovered from solid wastes.

Regional Administrator: One of the Regional Administrators of the U.S. Environmental Protection Agency.

RESO: Regional Environmental Support Office.

Sanitary Landfill: A land disposal site employing an engineered method of disposing of solid wastes on land in a manner that minimizes environmental hazards by spreading the solid wastes in thin layers, compacting the solid wastes to the smallest practical volume, and applying cover materials at the end of each operating day.

Schedule of Compliance: A schedule of remedial measures including an enforceable sequence of actions or operations leading to compliance with an effluent limitation, other limitation, prohibition, or standard.

SPCC: Spill Prevention Control and Countermeasure.

State Pollution Control Agency: A state agency, designated by the Governor, having responsibility for enforcing state laws relating to the abatement of pollution.

PART 1 — NAVYS ENVIRONMENTAL ORGANIZATION

12.1.1 Introduction

A. The Challenge. In the past several years significant emphasis has been placed on improving and protecting the environment in which we live. This emphasis has resulted in considerable environmental legislation and the establishment of both private and governmental organizations which concern themselves with the protection and enhancement of the environment. The Navy has also long been involved in the *environmental movement,* especially the activity public works officer whose realm of responsibility encompasses the Navy´s shore establishment. The public works officers environmental challenges have in particular been great since the majority of the Naval bases are located within the fragile coastal zones on the eastern, western and gulf seaboards. A typical Navy shore activity could be compared to a self-contained city with all the associated environmental concerns of air, water, solid waste, and noise pollution compounded by the Navy base infrastructure of industrial processes, ships, aircraft, etc. To meet the environmental challenges the Navy has adopted a policy to actively participate in a program to protect and enhance the quality of the environment, through strict adherence to all applicable regulatory standards, and by initiating action to control pollution caused by Navy facilities. The Navy´s program includes cooperation with federal, state, and local environmental protection organizations.

Maximum effort is being made to incorporate environmental pollution prevention features in the basic design of conversion, alteration, expansion, extension, and construction of Navy facilities. Of course, the preferred method for abatement and control of environmental pollution is at the source of the pollutants with the intent of environmental pollution prevention being integrated into new planned projects or products. Overall, the Navy´s philosophy is to consider environmental protection and enhancement simply as a part of *doing business.*

B. Funding Support. To assist in directing dollars to correct pollution problems the Navy provides *fenced* or dedicated funding for corrective environmental projects. Accordingly, all funds appropriated and apportioned for corrective and preventive projects under the Navy Environmental Protection Program can not be used for other purposes. This policy removes the Navy´s environmental funding needs from direct competition with the operational funding needs of the Navy to procure *beans, bullets and black oil.* As excellent reference source to gain an in depth understanding of the guidelines and responsibilities for the administration of the Navy´s environmental protection program is OPNAVINST 6240.3E, *Environmental Protection Manual.*

12.1.2 The Environmental Key Players.

A. Chief of Naval Operations. CNO shoulders the responsibility for the Navy´s environmental program and provides guidelines and specifies responsibility for the administration of the environmental program. The Environmental Protection Division (OP-45) within the office of CNO under the direction of the Deputy CNO for Logistics, directed by a CEC officer, performs the following functions in the Navy´s environmental program.

1. Establishes policy, directs, coordinates, and monitors the Navy´s Environmental Protection Program.

2. Effects coordination with DOD and with nonmilitary agencies involved in environmental quality matters.

3. Provides Navy focal point for review of environmental impact statements.

B. Major Claimant. Claimants are responsible for identifying and maintaining current information concerning all aspects of their operations significantly effecting environmental quality, and determining the feasibility of taking necessary actions to improve environmental quality. Each major claimant has assigned a focal point to coordinate all environmental concerns within the claimants area of responsibility.

C. Activity. It is the commanding officer or public works officer who bears the primary responsibility for cooperation with federal, state, interstate and local pollution control agencies with respect to control and abatement of environmental pollution. It is the activity who can best recognize their environmental problems, evolve solutions and insure a viable activity environmental program. In most cases it will be found that it is the PWO who has been tasked by the activity CO with the challenge of instituting and maintaining a cohesive and viable activity environmental program. However, to insure proper coordination and to maintain a focal point of technical assistance, activities coordinate environmental matters relating to federal, state, interstate and local pollution control agencies, with the NAVFAC Engineering Field Divisions. However, there is much assistance available to the PWO from other commands to help the activity, specifically the NAVFAC Engineering Field Divisions.

D. The Naval Environmental Protection Support Service (NEPSS).

1. NEPSS. NEPSS, under the program management of NAVFAC, is a technical support service that interfaces with all Navy organizations.

It actively supports the environmental responsibilities and goals of activity commanding officers, systems commands, area commandants, and major claimants by providing technical and managerial services. The Navy Energy and Environmental Support Activity (NEESA) at the Naval Construction Battalion Center, Port Hueneme, California, is the executive agent and overall program coordinating office. NFSO maintains environmental information/data systems and has equipment and specialists for short-term measurements and special investigations of pollution problems. In short, the NEPSS is the Navy's clearing house of environmental data, information and technical expertise. Refer to Figure 12-2.

2. EFD. The six NAVFAC Engineering Field Divisions (EFDs) have within their organizations the Regional Environmental Support Offices (RESOs) of NEPSS. These EFD/RESOs provide technical expertise and resources to assist shore activities in complying with all applicable environmental requirements including permits and other procedural requirements. The EFD also provides liaison and coordination and serves as a focal point with the many environmental regulatory and enforcement agencies. Refer to Figure 12-3.

3. SESO/AESO/OESO. Special technical groups for Navy ships, aircraft and weapons sytems provide the specialized expertise required of NEPSS in these areas. These groups include a Ship Environmental Support Office (SESO), an Ordnance Environmental Support Office (OESO) in the Naval Sea Systems Command, and an Aircraft Environmental Support Office (AESO) in the Naval Air Systems Command.

4. Services. The services of NEPSS are acquired through the activity's geographical EFD. The NEPSS, through the EFD, can provide services in the following areas to assist the activity:

a. Identify and quantify sources of pollution so that appropriate corrective actions can be programmed and funded.

b. Determine if discharges from activity facilities are in compliance with regulations/standards.

c. Assist in preparation of information for EPA permits and state implementation plans and follow-up operating reports as required.

d. Analyze environmental protection data and trends, evaluate new methods of instrumentation, sampling, techniques, and data handling.

e. Assist in data analysis in support of corrective measures, procedures, or projects.

f. Collect ambient data, as required, to meet specific local/state requirements.

g. Provide reliable and accessible information to all Navy and Marine Corps commands.

h. Serve as a source of technical data and criteria.

E. Other Players. There are many other commands also involved in the Navy's Environmental Protection Program such as the: Area Coordinators with responsibility for coordination and implementation of the National Oil and Hazardous Substances Pollution Contingency Plan and promoting environmental protection and enhancement efforts being conducted under the primary responsibility of other commands; The Oceanographer of the Navy with responsibility in the marine environment; the Naval Weather Service Command provides meteorological/ oceanographical forecasts to support pollution control measures; and Bureau of Medicine and Surgery provides technical coordination on human health aspects of pollution, including existing and new facilities.

PART 2 — ENVIRONMENTAL FUNDING

12.2.1 Pollution Control Reports (PCR)

A. Background. In carrying out the directives of the President and the intent of Congress to protect our environment, the Office of Management and Budget (OMB) has promulgated direction which ultimately manifests itself in what is known as a Pollution Control OMB Report (PCR) which identifies deficiencies of a particular agency — in our case, the Navy — with regard to compliance with environmental laws and regulations promulgated by federal, state and local agencies. The PCR identifies deficiencies and the cost of the solution to rectify the deficiency, and it programs a year of accomplishment for solution for each major category of pollution projects, e.g., air, noise, water, solid waste, hazardous and toxic materials, pesticide and radiation. The PCR is the basis for the Navy's budget submittals through the chain of command to Congress to obtain funding and approval for pollution control projects. The reports contain two basic exhibits, Exhibit 1, which includes pertinent details for each individual project and Exhibit 2, which is a summary and status report of the Navy's plans.

B. Exhibits. Figure 12-4 diagrams the involvement of the various players, including the activity, in seeking funds to correct pollution problems. Note that a deficiency most commonly is identified at the activity level or at the NAVFAC engineering field division level in coordination with

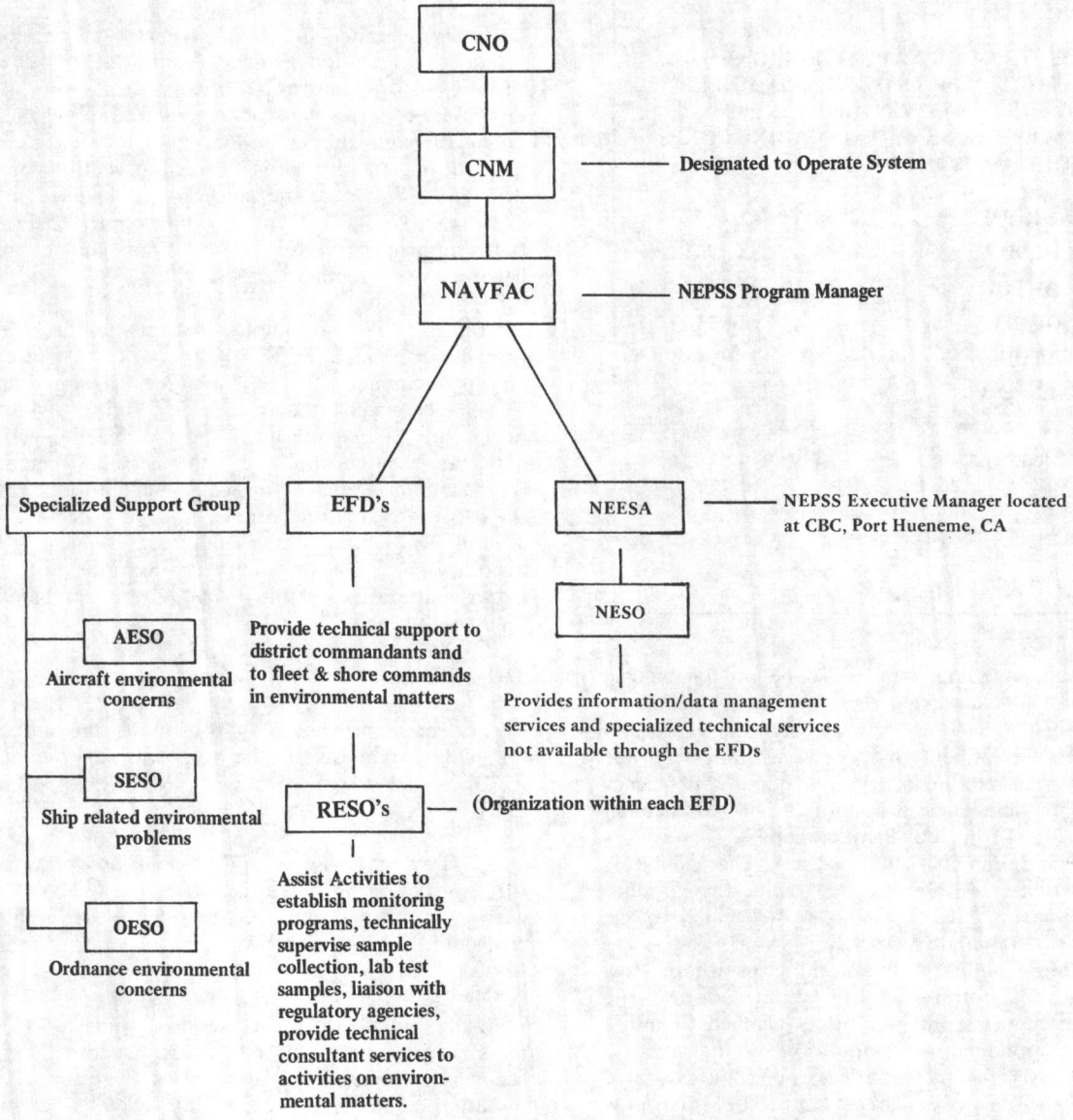

FIGURE 12-2

ORGANIZATION OF
NAVY ENVIRONMENTAL PROTECTION SUPPORT SYSTEM
NEPSS

EFD/RESO
HOTLINE

NEED HELP WITH AN ENVIRONMENTAL PROBLEM?

IT IS THROUGH NAVFAC REGIONAL SUPPORT OFFICES (WITHIN ENGINEERING FIELD DIVISIONS) THAT NEPSS SERVES THE NAVY AND MARINE CORPS SHORE ACTIVITIES.

NORDIV	A/V 443-4972
CHESDIV	A/V 288-3761
LANTDIV	A/V 690-7313
SOUDIV	A/V 794-5510
PACDIV	(808) 471-3948
WESTDIV	
San Bruno	A/V 859-7492
San Diego	A/V 933-8853
Seattle	A/V 941-3916

FIGURE 12-3

the activity; however, it may also be programmed at the major claimant level. As a specific example, let us take the case of a Navy activity which provides only primary treatment to its sewage effluent. If the state law required secondary treatment, a deficiency exists. This deficiency is identified on a document known as a Proposed Project report (containing Exhibit 1 and Exhibit 2 information). The Exhibit 1s for all activities within the geographical cognizance of an engineering field division are assembled by the EFD and forwarded to the Naval Facilities Engineering Command in Washington where they are reviewed, collated and summarized into the PCR. The reports contain projects planned to insure (1) full compliance with applicable standards and (2) budgeting for necessary corrective and preventive measures. These reports, which now contain the total Navy deficiencies, are forwarded through the chain of command to OMB. EPA, acting as a consultant to the Office of Management and Budget, also reviews each project for validity.

The Pollution Control Report contains a summary of all appropriations such as Military Construction, O&MN and OPN funds required for pollution abatement as identified at a particular point in time. It should be pointed out that, by definition, OMB has stated that funds can not be requested for recurring costs such as those associated with normal maintenance functions, personnel salaries, etc. In other words, an activity is justified in requesting pollution abatement funding to bring the sewage treatment facility up to present standards as established by the federal, state or local governing agencies, but the cost of the day-to-day operation and maintenance of the plant can not be paid for with OMB pollution abatement funding.

C. Importance of OMB Report. As previously stated, the Pollution Control Report forms the basis of the budget submission to Congress. With favorable congressional action, funds are channeled down through the chain of command via existing procedures to the activity for correction of the deficiency. Status of the correction is updated in the Pollution Control Report. By executive decree, funds appropriated for pollution abatement cannot be used for any other purpose.

Congress has provided excellent support of the projects contained in the Pollution Control Report and programmed by the Navy for accomplishment. The PCR remains the best vehicle for justifying the needs for funds. Inasmuch as the Navy must use extremely scarce resources, the accomplishment of this program depends on constant improvement in the accuracy of the report and on succinct and accurate presentation of requirements which is best accomplished by the activity. Sample Pollution Control Reports Exhibit 1 and 2 are contained in Figures 12-4 and 12-5.

12.2.2 Budgeting.

A. The approved PCR constitutes the authority for budget requests in the respective appropriations for the next fiscal year (i.e., MILCON, O&MN, OPN, etc.).

B. The activity may utilize the PCR as the basis for justifying and obtaining funding from the various appropriations to deal with the activities environmental pollution projects.

For example, the MILCON appropriation would normally provide for real property acquisitions, such as sewage and industrial waste systems, vapor recovery systems, etc. However, it is essential that pollution abatement projects not only be identified in the PCR, but also be processed in accordance with the Shore Installation Facility Planning and Programming System discussed in Chapter 4 of this manual. The reader is also referred to Chapter 7 in the OPNAVINST 11010.10C, *Facilities Project Manual* for a discussion of funding of projets utilizing O&MN appropriations which are also supported by a PCR report.

PART 3 — NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

12.3.1 Objective. The objective of the National Environmental Policy Act (NEPA) is to have

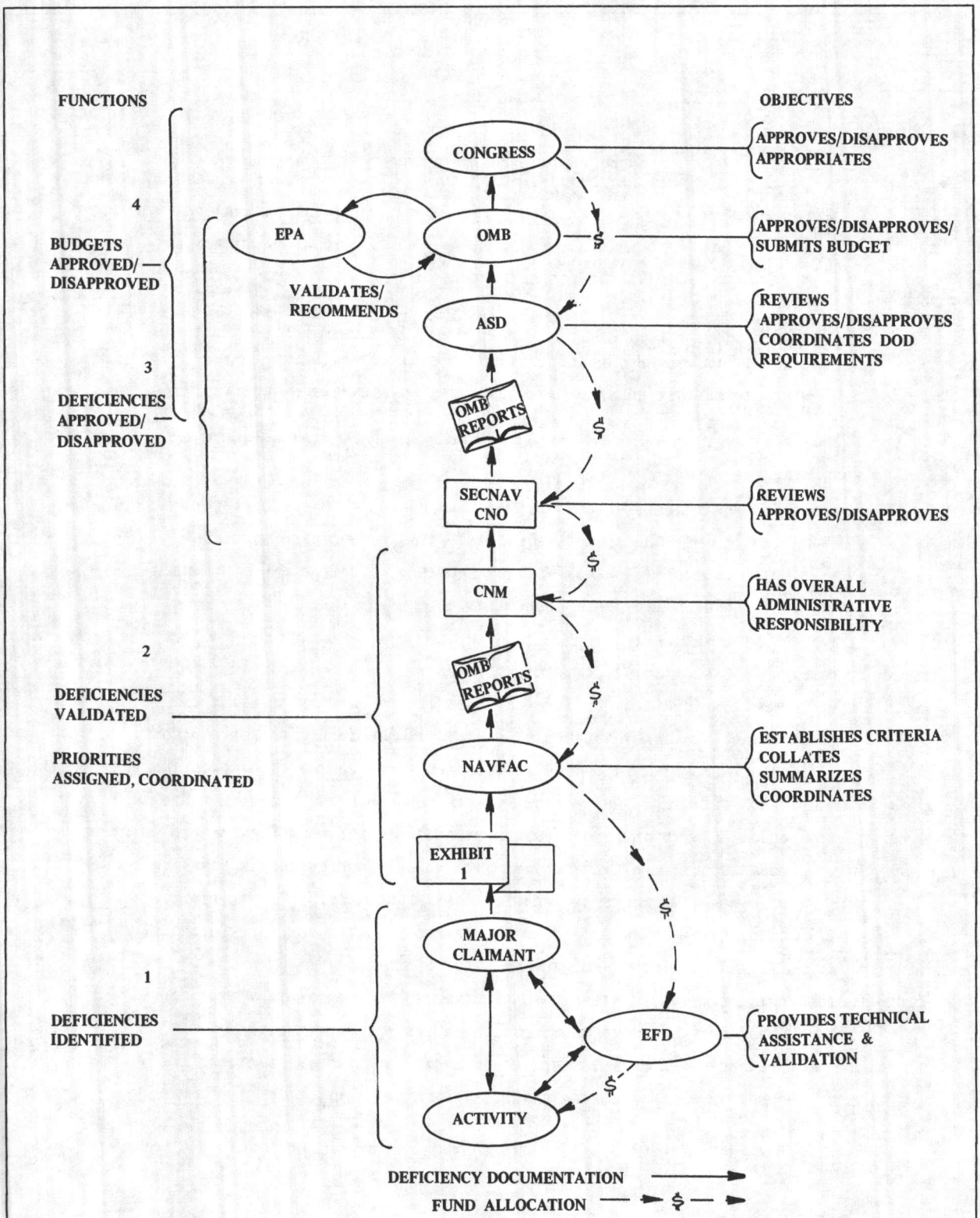

FIGURE 12-4
DATA AND FUND FLOW - OMB REPORTS

COMPUTER DATE 75FEB20

E N V I R O N M E N T A L P O L L U T I O N C O N T R O L
PROPOSED PROJECT REPORT
EXHIBIT 1 INFORMATION

(001) UIC N60258
(002) PROJECT NO W015L

MEDIA: WATER

(003) DATA PREPARED 01MAY74

(004) DATE REVISED 01NOV74

AGENCY: DEPARTMENT OF THE NAVY
NAVAL FACILITIES ENGINEERING COMMAND
WESTERN DIVISION

GSA INVENTORY CONTROL NO: 23190

1. FACILITY: SHIPYARD
ADDRESS : LONG BEACH CALIFORNIA CTY: LOS ANGELES

AGENCY CONTACT: ROLLAND HAMILTON MGR, ENVIRONMENTAL BR (415) 871-2603

N A R R A T I V E
(LIMIT OF 65 POSITIONS PER LINE INCLUDING SPACES AND PUNCTUATION)

2. SPECIFIC TYPE OF POLLUTION:

(020)0010 DRAINAGE (INCIDENTAL) WASTEWATER FLOW FROM DRYDOCKS CAN CONTAIN
0020 SUSPENDED SOLIDS, SOLVENTS, PAINT, HYDROCARBONS, OIL,
0030 LUBRICANTS, HEAVY METALS, BACTERIA, FLOATING AND SETTLEABLE
0040 SOLIDS AND OTHER POLLUTANTS.

3. AMOUNT OF POLLUTION:

(030)0010 GENERATED: 2,200,000 GPD

4. POLLUTION SOURCE AND DISCHARGE, EMISSION OR DEPOSIT POINT:

(040)0010 THE PRIMARY SOURCES OF POLLUTANTS ARE SHIP REPAIR OPERATIONS
0020 OCCURRING IN DRYDOCKS INCLUDING ABRASIVE BLASTING, PAINTING AND
0030 CLEANING. THE PRIMARY VEHICLE FOR CONVEYING THE POLLUTANTS IS
0040 PLANNED AND UNCONTROLLED HYDROSTATIC RELIEF AND DRYDOCKED SHIPS
0050 COOLING WATER. CONTAMINATED WATER IS COLLECTED IN SUMPS IN
0060 GRAVING DOCKS AND PUMPED TO SAN PEDRO BAY. NO APPROPRIATELY
0070 SIZED SEWER EXISTS TO HANDLE DOCKED SHIPS CHT PUMP OUT.

5. EXISTING TREATMENT AND OTHER CONTROL MEASURES:

(050)0010 SANITARY WASTEWATERS ARE DIRECTED TO THE SANITARY SEWER WHEN
0020 OPERABLE SOME SOLIDS CATCH BASINS ARE PROVIDED IN
0030 GRAVING DOCKS. CLEAN UP OF SPENT ABRASIVE IS PRACTICED.
0040 TO THE MAXIMUM EXTENT POSSIBLE AT PRESENT,

COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE PROJECT NO W015L

FIGURE 12-5
POLLUTION CONTROL REPORT - EXHIBIT 1

COMPUTER DATE 75FEB20

ENVIRONMENTAL POLLUTION CONTROL
PROPOSED PROJECT REPORT
EXHIBIT 1 INFORMATION

(001) UIC N60258
(002) PROJECT NO W015L

MEDIA: WATER

(003) DATA PREPARED 01MAY74

(004) DATE REVISED 01NOV74

5. EXISTING TREATMENT AND OTHER CONTROL MEASURES:

(050)0050 UNCONTAMINATED FLOWS ARE DIRECTED DIRECTLY TO CATCH BASINS AND
0060 TOXIC CHEMICALS ARE CONTAINED AT THEIR SOURCE.

6. EFFECTIVENESS OF EXISTING TREATMENT AND CONTROL:

(060)0010 EXISTING FACILITIES HAVE NO EFFECT ON DISSOLVED METALS, CAN
0020 NOT HANDLE LIQUID INDUSTRIAL WASTE OR CHT DUMPOUT, ARE NOT
0030 EFFICIENT IN EFFECTING CLEANUP OR PREVENTING WASTE LIQUID AND
0040 SOLID DISCHARGES AT THEIR SOURCES

7. REMEDIAL MEASURES PROPOSED AND ESTIMATED EFFECT ON CORRECTING PROBLEM:

(070)0010 THE PROBLEM WILL BE CORRECTED BY PROVIDING MODIFICATIONS
0020 TO EXISTING DRYDOCKS TO BY-PASS UNCONTAMINATED FLOW AND TO DIRECT
0030 REMAINING CONTAMINAED FLOW AND/OR THE POLLUTANTS CAUSING
0040 CONTAMINATION TO APPROPRIATE COLLECTION,TREATMENT
0050 AND DISPOSAL SYSTEMS

8. APPLICABLE STANDARDS:

(080)0010 P.L.92-500, SECTION 313, FEDERAL FACILITIES COMPLIANCE
0020 SECTION 402, NPDES PERMIT NO CA0003786, FOR EFFLUENT
0030 LIMITATIONS AND COMPLIANCE SCHEDULE SECTION 303, STATE
0040 OF CALIFORNIA "WATER QUALITY CONTROL PLAN (FOR)
0050 OCEAN WATERS OF CALIFORNIA", FOR RECEIVING WATER STANDARDS

9. PROJECT SCHEDULE:

(090)		AGENCY (MMM/YY)		REGULATION (MMM/YY)	
DESIGN (COMPLETION)	(901)	JUL76	(906)	_____	
CONSTR (START)	(902)	NOV76	(907)	_____	
CONSTR (COMPLETION)	(903)	DEC77	(908)	_____	
OPERATION (START)	(904)	JAN78	(909)	_____	

COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE PROJECT NO W015L

FIGURE 12-5
POLLUTION CONTROL REPORT - EXHIBIT 1 (CONT'D.)

COMPUTER DATE 75FEB20

ENVIRONMENTAL POLLUTION CONTROL
PROPOSED PROJECT REPORT
EXHIBIT 1 INFORMATION

(001) UIC N60258
(002) PROJECT NO W015L

MEDIA: WATER

(003) DATA PREPARED 01MAY74

(004) DATE REVISED 01NOV74

9. PROJECT SCHEDULE:

(090)		AGENCY (MMM/YY)		REGULATION (MMM/YY)
FINAL COMPLIANCE	(905)	MAR78	(910)	JUL77

10. OTHER RELEVANT INFORMATION:

(100)0010 THE MAGNITUDE OF ANTICIPATED CONSTRUCTION AND REQUIREMENT FOR NOT
0020 INTERFERRING WITH CRITICAL SHIP REPAIR SCHEDULES MAKES IT
0030 IMPERATIVE THAT THIS PROJECT BE INCLUDED IN THE FY 76 MILCON
0040 PROGRAM TO ALLOW ADEQUATE CONSTRUCTION TIME TO ACHIEVE THE
0050 STATUTORY COMPLIANCE DEADLINE. SINCE THE PROJECT WAS
0060 DEFERRED TO FY77. IT IS RECOMMENDED THAT
0070 CONSTRUCTION BE SCHEDULED TO PROVIDE
0080 COMPLIANCE ORIENTED FACILITIES FIRST.
0090 THIS PROJECT (P-174) INCLUDES PREVIOUSLY
0100 DESIGNATED PROJECT P-181, DRYDOCK SEWERS.

(DE)(LINE) (USE GUIDE BELOW FOR CHANGING DATA-IF NECESSARY USE REVERSE SIDE)

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COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE

PROJECT NO W015L

FIGURE 12-5
POLLUTION CONTROL REPORT - EXHIBIT 1 (CONT'D.)

COMPUTER DATE 75FEB20

E N V I R O N M E N T A L P O L L U T I O N C O N T R O L
PROPOSED PROJECT REPORT
EXHIBIT 2 INFORMATION

(001) UIC N60258
(002) PROJECT NO W015L

MEDIA: WATER

(003) DATA PREPARED 01MAY74

(004) DATE REVISED 01NOV74

1. FACILITY: SHIPYARD
ADDRESS : LONG BEACH CALIFORNIA CTY: LOS ANGELES

AGENCY CONTACT: ROLLAND HAMILTON MGR, ENVIRONMENTAL BR (415) 871-2603

(005) VARIOUS LOCATIONS: NO

(014) SPECIAL AREA CODE:

(006) PROJECT NAME: DRYDOCK DRAINAGE COLLECTION AND TREATMENT
(L I M I T O F 50 P O S I T I O N S)

(007) REMARKS:

(008) REVISION NOTE: STATUS & DOLLAR CHANGE
(L I M I T O F 47 P O S I T I O N S)

(009) STATUS: PRELIMINARY PLANNING

(010) CONSTRUCTION COMPLETE: DEC77

(011) FUNDING COMMAND: NAVFAC

(012) PURPOSE: PROJECT

20. COST OF POLLUTION CONTROL MEASURES IN THOUSANDS OF DOLLARS:
(FUNDED FIGURES APPEAR IN PARENTHESES)

(200)

	(201) APPN	(202) FY	(203) DESIGN	(204) CONSTR	(205) FUNDED	(206) INTERNAL	(207) PROJECT	(208) NUMBERS
0010	MCON	77	150	4,020	NO	P-174		
			T O T A L C O S T S	4,170				

(013) PRIORITY: 9999

30. PRIORITY JUSTIFICATION:

(300)0010 IF THE EFFLUENT LIMIATIONS CONTAINED IN THE SHIPYARD NPDES PERMIT
0020 EFFECTIVE 15 MAR 74, ARE NOT MET BY 1 JULY 77, THE SHIPYARD WILL
0030 BE LIABLE TO CIVIL ACTION, IN FEDERAL COURT, WHICH CAN BE FILED
0040 BY EPA, THE STATE OR ANY CONCERNED CITIZEN. IF LITIGATION IS
0050 ADJUDICATED AGAINST THE SHIPYARD, FINES OF UP TO $25,000 PER DAY
0060 OF VIOLATION AND IMPRISONMENT OF UP TO 1 YEAR CAN BE LEVIED
0070 PURSUANT TO P.L. 92-500.

COPY 2 TO: ENVIRONMENTAL PROTECTION DATA BASE PROJECT NO W015L

FIGURE 12-6
POLLUTION CONTROL REPORT - EXHIBIT 2

federal agencies build into their decision making process, beginning at the earliest possible point, an appropriate and careful consideration of the environmental aspects of a proposed action in order that adverse environmental effects may be avoided or minimized and environmental quality previously lost may be restored. This consideration of the environment is documented in reports called environmental impact assessments/statements. This, of course, infers that at the earliest practical stage in the planning process of an action or project the environment be considered. In pursuit of the long-term goals of the NEPA, the environmental factors must be considered in the decision-making process just as we now consider other factors such as economy, cost-effectiveness, technology, etc., of a proposed project or action.

Requiring consideration of all applicable environmental factors during the planning process for a proposed project/action will accomplish several benefits:

1. Identification of adverse impacts of proposed actions so they can be eliminated, minimized or, if unavoidable, considered in the decision-making process of the alternative actions available.

2. Assurance that proposed actions incorporate protection and enhancement of environmental quality.

3. Provides the decision maker with information on the impact the proposed action will have upon the environment. In short, the impact of an action on the environment becomes another parameter to assist the decision maker choose among the alternatives available.

12.3.2 Navy Implementation. OPNAVINST 6240.3E *Environmental Protection Manual,* change/ implementing NEPA, requires that at the inception of an action such as MCON, O&MN, urgent minor construction requests, land acquisition, etc., a Preliminary Environmental Assessment (PEA) of the probable ecological and environmental impacts of the action be made. For instance, a PEA would be made during the development of a facility study for an MCON project as discussed in Chapter 4 of this manual. In the event the PEA indicates the proposed action will have a significant effect on the environment and/or be environmentally controversial, an Environmental Assessment (EA) is required. Those actions also determined by the CNO EA Review Panel to have a significant impact and/or to be environmentally controversial also require the development of Draft Environmental Statement (DES), and eventually a Final Environmental Statement (FES), which are made available to the President's Council on Environmental Quality (CEQ), and to other appropriate federal, state, and local agencies.

12.3.3 NEPA Definitions. To *assist* in understanding the various types of environmental reports, the following definitions are offered. (Note: Terms such as "PEA" are revisions of those previously used and familiar to many. Former titles are noted on the Table of Definitions, page 12-7.)

A. Action. An action could include, but is not limited to, the following:

1. Recommendations or reports relating to legislation, including those for appropriations.

2. Urgent and special projects that do not require appropriations approval through the budget process.

3. Establishment or modifications of policies, regulations, instructions, manuals or major policy statements.

B. Categorical Exemptions (exclusion): A category of actions which do not individually or comulatively have a significant effect on the human environment and which have been found to have no such effect in procedures adopted by a Federal agency in implementation of the regulations and for which, therefore, neither an environmental assessment nor an environmental statement is required.

C. Preliminary Environmental Assessment. A preliminary environmental assessment (PEA) is an initial evaluation of the impact of an action on the environment generally using the procedures described in Parts 2 and 8. PEAs shall be performed for all actions having the potential for environmental impact. In this sense "having the potential" may usually be interpreted as a proposal for alteration, no matter how slight, of a natural system (in its existing condition) and/or the effect of an introduced presence on the natural system.

D. Environmental Assessment. An environmental assessment (EA).

1. Means a concise public document for which the Navy is responsible which serves to:

a. Briefly provide sufficient evidence and analysis for determining whether to prepare an environmental statement or a finding of no significant impact.

b. Aid the Navy's compliance with NEPA when no environmental statement is necessary.

c. Facilitate preparation of a statement when one is necessary, i.e., when the contemplated action is considered to have a potential for significant environmental impact, environmental

controversy, or resulting from the mandatory submission requirements. Before a decision is rendered through the established chain of command review process, these assessments shall be forwarded to the Chief of Naval Operations (OP-45) for review.

2. Shall include brief discussions of the need for the proposal, of alternatives as requred by Section 102(2)(e) of the Act, of the environmental impacts of the proposed action and alternatives, and a listing of the agencies and persons consulted. (40 CFR 1508.9)

E. CNO Review Panel. A selected group of professional personnel established as discussed in Part 6, and convened, as required to critique the content of submitted EAs/DESs and recommend subsequent disposition/processing to CNO (OP-45).

F. Finding of No Significant Impact (FNSI): A document by "which the Navy (after CNO review) briefly presents the reasons why an action not otherwise excluded will not have a significant effect on the human environment and for which an environmental statement therefore will not be prepared". The FNSI "shall include the environmental assessment or a summary of it and shall note any other environmental related documents." (40 CFR 1508.13) If the assessment is included, the finding need not repeat any of the discussion in the assessment but may incorporate it by reference. An FNSI may be one result of a CNO review of an environmental assessment (EA).

G. Draft Environmental Statement (DES). Those statements which are prepared for actions which potentially have a significant impact on the quality of the human environment or which are potentially controversial in environmental effects, and which are filed with the EPA and distributed to cognizant Federal, State, local and private agencies, organizations and individuals for review and comment. In addition to those normally required, as identified, draft environmental statements include those environmental assessments which have been: (a) recommended for draft status by the CNO Review Panel, (b) approved by CNO and SECNAV, and (c) forwarded to EPA and other appropriate agencies, organizations and individuals, for review and comment before preparation of a final environmental statement.

H. Final Environmental Statement (FES). A completed statement, normally a separate, and additional document (from the draft), which incorporates all pertinent comments and information made as a result of review of the DES and which is also filed with the EPA.

I. Public Record of Decision (PRD). A concise summary for the public record of the decision made by an agency (Navy) among the alternatives presented in an FES. The document, to be prepared in CNO; will state the decision, identify the alternatives considered (including that which was environmentally preferable) and discusses other considerations (than the environment) that influenced the decision identified. Those proposals to minimize environmental harm, if applicable, will be identified as well as those that are not capable of being implemented. Additionally, any monitoring associated with mitigation shall be addressed.

J. Supplemental Environmental Statement (SES). A document describing environmental impacts of a project or the proposal which is prepared when substantial changes are made in the proposed action, or significant new information becomes available. A supplement may be prepared at any time after preparation and filing of a draft or final statement, and is filed with the EPA (as with a DES) and distributed to recipients of the DES and FES.

12.3.4 Format.

A. Structure of PEA/ES. OPNAVINST 6240.3E requires all EIA and CEISs to be prepared in a standardized format. Refer to the subject instruction for a detailed understanding of the below listed items which each EIA/EIS includes.

1. Introduction

   a. Project Description
   b. Existing Environment of Proposed Site

2. Relationship of Proposed Action To Land Use Plans, Policies and Controls for the Affected Area.

3. Probable Impact of the Proposed Action on the Environment.

   a. Assessment of the positive and negative effects of proposed action.

   b. Secondary or indirect, as well as primary or direct, impact.

4. Alternatives.

5. Any probable Adverse Environmental Effects which cannot be avoided should proposal be implemented.

6. Relationship between Local Short-Term Use of man´s environment and maintenance and enhancement of Long-Term Productivity.

7. Any irreversible and irretrievable commitments of resources that would be involved in the proposed action if implemented.

8. Considerations that offset adverse environmental effects.

B. Content. An assessment and or statement is a careful, objective detailing of the effects on the human environment of a proposed action and its alternative. Another way of viewing the assessment/statement is to consider it a *disclosure* of the environmental impacts of the action. The assessment/statement should be clearly and simply written containing all pertinent information.

12.3.5 Assistance Available in Preparing EIA/EIS

A. Organization. To assist in the preparation of assessments/statements OPNAVINST 6240.3E provides guidelines or environmental items to consider. Additionally, the EFDs have capabilities to assist in preparation of statements. The NEPSS can also provide environmental information. To obtain the necessary information informal consultation with other governmental agencies and environmental organizations may be necessary.

B. Funding EIA/EIS Development. The primary administrative and funding effort in meeting the requirements of NEPA fall under the cognizance of the major claimants.

12.3.6 A Review Time

In implementing NEPA, the Council on Environmental Quality (CEQ) states:

The NEPA process is intended to help public officials make decisions that are based on understanding of environmental consequences, and take actions that protect, restore and enhance the environment.

Consequently, the Navy cannot commence work on major projects and programs having a significant impact on the quality of the human environment until the public has had at least ninety days to examine both draft and final statements...and if the final ES follows the draft by more than sixty days, the review time is extended (by thirty days) as well. This requirement does not apply to continuing actions even though an environmental statement is being submitted for the first time or is being revised. In addition, a waiver from the review process may be obtained from the CEQ when emergency circumstances warrant. This latter course of action is to be considered rare, and can only be obtained by the submission of a request to CNO (OP-45).

PART 4 — ENVIRONMENTAL LEGISLATION

12.4.1 Introduction. The following discussion touches upon several of the more important environmental laws which play a significant role in the Navy's Environmental Protection Program. OPNAVINST 6240.3E *Environmental Protection Manual* provides in-depth coverage of the environmental legislation and the Navy's program to comply with the legislation. The reader is referred to the *Environmental Protection Manual* or the EFD serving the concerned activity for a greater understanding of the Navy's program or to develop activity environmental compliance and protection programs.

12.4.2 Water Pollution Abatement

A. Background. The Clean Water Act (CWA) is the most significant current water protection legislation. It represents a clear goal of the United States Congress to restore and maintain the chemical, physical and biological integrity of this country's waters. The CWA and resultant federal, state and local regulations have led to the Navy constructing such shore facility projects as industrial waste treatment plants, connections to municipal systems, pier sewers to receive ships' wastes and improvements to existing waste treatment plants, to mention but a few.

B. NPDES. Water law amendments in 1972 established a National Pollutant Discharge Elimination System (NPDES) which authorizes a national permit system to be administered by EPA and approved states. All discharges from point sources into navigable waters are unlawful unless permitted or excluded by law or regulation. Permits for activities are negotiated between the EFD and the EPA regional district administrator.

The core of the permit is a specific schedule of compliance, which prescribes an enforceable sequence of actions or operations leading to compliance with effluent standards of limitations. The compliance schedule contains dates to be used as checkpoints for measuring progress toward compliance with the effluent limitations. In addition to a compliance schedule, each NPDES permit contains a list of specific water quality parameters which are to be monitored and reported, the frequency of monitoring and reporting, and the effluent limitations for each parameter.

C. Use of Sewer Systems. Wastewater discharges into sewer systems that lead to publicly-owned treatment works are not required to have NPDES permits, discharges to Navy-owned treatment works might. All industrial discharges to treatment works will be required to meet certain "influent" standards. Some will be required to pretreat; many will be required to perform some monitoring and reporting. Full national implementation of pretreatment standards for most industrial categories is required by 1 July 1984. Standards for the electroplating industrial categories have been promulgated; compliance is due by 12 October 1982.

National pretreatment standards are prescribed by Federal regulations at 40 CFR 401-460. Publicly-owned treatment works are required to adopt programs for implementing pretreatment standards and enforcing compliance. Pretreatment programs have not been widely implemented. Public sewering agencies may elect to identify specific pretreatment requirements in sewer-use permits or contracts issued to affected users. Compliance details should be clearly identified in the permits/contracts.

12.4.3 Air Pollution Abatement

A. Background. The air pollution abatement program within the Navy involves the reduction of non-complying visible and gaseous emissions into the atmosphere. Examples of projects to accomplish this goal are: conversion of boilers to cleaner fuels; stack monitors to control emissions from boilers and incinerators; elimination of open burning; and those projects related to control of industrial gaseous and particulate emissions.

B. Program Definition. Under the Clean Air Act, each state has the primary responsibility for assuring air quality. Accordingly, each state has developed plans in compliance with EPA general guidelines which contain emission standards and regulations. Navy activities are required to comply with the state plans, including obtaining permits where required. In as much as these plans are highly technical and specialized, each activity should work closely with their EFD in formulating compliance with the state plans.

Air pollution sources are classified as either stationary or mobile. State implementation plans for control of stationary sources employ emission limitations which either apply to sources (i.e., boilers, incinerators, fuel storage tanks, etc.) or to specific parameters regardless of contributing source (i.e., particulates, sulfur oxides, opacity, photoactive solvents, hydrocarbons, etc.). Mobile source controls of emission limits on automobiles and aircraft, transportation controls including traffic and parking limitations and fuel composition, and fueling limitations. A Navy Air Pollution Source Inventory System (NAPSIS) has been initiated by NEPSS to identify and locate all air pollution sources subject to federal, state and local standards.

12.4.4 Oil Pollution Abatement

A. Background. Oil pollution abatement problem is not the result of massive oil spills but rather the pernicious small spills in harbors caused by leaks in systems, overflows through vent pipes, parting of fuel hose lines and human error. The intentional discharge of oil and oily wastewater are prohibited by both the CWA and Navy policy.

B. Program Definition. The Navy's approach for the oil pollution abatement problem is multi-faceted consisting of the following elements to combat oil pollution.

1. Preventive measures such as altering ship systems to reduce the likelihood of an accidental spill.

2. Operational Procedures. Activities are reevaluating existing operational procedures to reduce the oil pollution potential. Increased educations and improved training in relation to oil handling problems and improved preventive maintenance techniques is underway.

3. Spill Prevention Control and Countermeasures (SPCC).EPA regulations require Naval activities that have a reasonable potential for discharging oil into navigable waters to prepare Spill Prevention Control and Countermeasure (SPCC) plans. These plans identify all existing facilities within the confines of Naval activities that, because of location could reasonably be expected to discharge oil into inland or coastal water or onto adjoining shorelines in harmful quantities, i.e., film, sheen, emulsion, or discoloration on surface of water. The SPCC plans also define requirements for resources to prevent or control spills from reaching navigable waters.

4. Containment of Spill. The Navy is procuring oil boom for containment of oil close to source of spill as well as a surface active liquid film (piston film) which retards the spreading of oil.

5. Removal. The National Oil and Hazardous Substances Pollution Contingency Plan requires that those responsible for pollution are responsible for cost and action to clean up. Accordingly, the Navy has developed a rapid response capability to clean up oil emanating from Naval vessels or shore facilities. This response capability includes prepositioning of equipment, craft, and materials at various activities with a trained organization of people to clean up oil spills within our harbors. The PWD may be involved to varying degrees in maintaining the oil spill recovery capability perhaps by providing for the clean up teams/organization, maintaining the clean-up equipment, etc. The Navy Supervisor of Salvage is responsible for dealing with deep ocean spills.

12.4.5 Hazardous Materials Management.

A. Background. The most complex pollution abatement program pertains to the management of hazardous materials. The compliance requirements for shore facilities are derived from several Federal laws.

The Resource Conservation and Recovery Act (RCRA) is the principal law governing the management of hazardous waste. It provides for regulation of generation, transportation, storage, treatment, and disposal operations. RCRA subjects shore facilities to the implementing substantive and procedural requirements of state and local agencies.

A national manifest system has been created to "track" hazardous waste from point-of-generation to ultimate-point-of-disposal. Shore facilities that generate hazardous waste bear the responsibility of assuring compliance with the "cradle-to-grave" tracking requirements of the manifest system.

All "open dumps" used for waste disposal are prohibited. Shore facilities that otherwise treat, store, or dispose of hazardous waste must be permitted. Permits are issued by states and EPA.

Hazardous substances that are not hazardous waste are controlled by different laws. A few specific industrial operations have been identified by EPA as sources of hazardous air pollutants. These operations are regulated under the NESHAP (National Emission Standards for Hazardous Air Pollutants) program of the Clean Air Act. Industrial processes that introduce hazardous substances into wastewater discharges are regulated under the discharge permit and pretreatment programs of the Clean Water Act.

B. Hazardous Waste Generation and Transportation. Numerous states have active programs for regulating hazardous wastes. Since 1976, Navy shore facilities have been required to comply with applicable state and local hazardous waste management requirements. EPA regulations promulgated in May 1980 established the least stringent requirements that all state programs must meet. Until state programs are aligned with the Federal requirements, some shore facilities can expect to face parallel programs with different requirements. In the worse case, multiple actions may be required to satisfy the same legal end result.

Every generator of hazardous waste shares in the legal responsibility for assuring that those wastes are disposed of in a proper manner. A single Navy activity (or department of an activity) may be designated to exercise the generator responsibilities for several individual "on-site" generators. "On-site" generators are any that lie wholly within the same contiguous boundary.

All generators (and others responsible for handling, storing, treating, and disposing of hazardous waste) were to register with EPA by 18 August 1980. Mandatory Federal compliance requirements for generators and transporters became effective on 19 November 1980. From that time on, all off-site shipments of hazardous waste have to be accompanied by a manifest and have to be properly packaged, labelled, and placarded. The Federal manifest provides a record of what the waste consists of, who has taken custody of it as it moves from point-of-generation to point-of-disposal, and where it has been ultimately and properly disposed. The return of a completed manifest to the generator closes the "cradle-t0-grave" tracking loop. The various state programs in effect in 1980 contain different format, recordkeeping and reporting requirements. A shore facility arranging to ship hazardous waste across state boundaries may face a requirement to prepare different manifests for each state.

Federal definitions, criteria for identifying hazardous waste, generator and transporter requirements, small-quantity generator exemptions, requirements for on-site treatment for recycling or reusing hazardous waste, and recordkeeping, reporting and other generator/transporter-related compliance requirements are identified at 40 CFR 260-262 (see appendix A).

C. Hazardous Waste Treatment, Storage and Disposal. Just as some activities may be designated as "responsible generator," some may also be designated as "responsible hazardous waste management (HWM) facility". HWM facilities are any that treat, store or dispose of hazardous waste.

In general, any shore facility that retains hazardous waste on-site for more than 90 days (less in some states) qualifies under Federal regulations as an HWM facility. Each qualifying "responsible HWM facility" must apply for an RCRA permit, under Federal regulations, by 19 November 1980.

HWM facilities that applied to EPA by 19 November 1980 are considered to be in an "interim" permit status. Such facilities must proceed to comply with all applicable requirements at 40 CFR 265 (see Appendix A) even before an EPA permit is issued. (EPA does not expect to act on all applications for many years ... maybe five years or longer.)

HWM facilities operating in areas subject to state permitting programs are required to comply with the state's permit processes and permit conditions.

D. PCB Disposal. Polychlorinated biphenyls (PCBs) have been singled out for very restrictive pollution prevention action. Most PCB-related operations are prohibited after 2 July 1984. The specific Federal prohibitions, contamination criteria, disposal options, placarding, recordkeeping and recording requirements are detailed at 40 CFR 761 (see Appendix A).

The continued use of PCBs in totally enclosed containers is not prohibited. Electric power

transformers, for instance, that contain PCB dielectric fluid do not have to be removed from service as long as they are not leaking. The regulations do prescribe servicing requirements for transformers.

12.4.6 Toxic Substances Management

The Toxic Substances Control Act (TSCA) imposes specific compliance actions on manufacturers, processors, and distributors of designated toxic chemicals. Whereas the Resource Conservation and Recovery Act is legislation for controlling "end-of-pipe" hazardous waste, TSCA is "front-of-pipe" control legislation. Its purpose is to prevent the introduction into commerce of demonstrated toxic chemicals.

TSCA does not contain clear and specific language to identify its applicability to Federal agencies. Under certain conditions, shore facilities (such as ordnance manufacturers) may be considered as manufacturers, processors, or distributors. Certain premarketing tests must be conducted by manfacturers of new substances.

TSCA establishes a means by which EPA can prohibit specified uses of chemical substances that have a demonstrated toxic nature. PCBs (polychlorinated biphenyls) were the first chemicals to be severely restricted by TSCA. The continued manufacturing of PCBs is prohibited, as is the use of PCBs in anything other than a totally enclosed container.

12.4.7 Solid Waste Disposal and Resource Recovery

A. Solid Waste Disposal. The Resource Conservation and Recovery Act (RCRA) governs the disposal of solid waste on land and resources recovery. In accordance RCRA, EPA has promulgated guidelines for land disposal and thermal processing operations which are mandatory for Navy activities. The EPA guidelines delineate minimum levels of performance required of any solid waste land disposal site operation. Significant assistance in this area is available from the EFDs and NEPSS.

B. Recycling. Approximately 65 percent of the solid waste generated at Naval activities is composed of paper, glass and metal, a large percent of which is considered recyclable. This indicates that activities could take action to reduce the volume of these wastes being disposed of in our diminishing landfill areas by reclaiming material through recycling efforts.

Source separation of waste material is a prelude for resource recovery. The regulations discussed in OPNAVINST 6240.3E, identify recyclable materials that are required to be separated from the waste stream at the point of generation. Only paper products are currently considered for source separation. Most Navy activities have completed the required source separation studies.

If, after source separation, any Navy activity has in excess of 100 tons/day of residential, commercial, or industrial waste, the activity is required to establish or utilize resource recovery facilities. If the total disposed waste from all Federal activities in a Standard Metropolitan Statistical Area (SMSA) exceeds 100 tons/day, a lead Federal activity is to be designated to carry out resource recovery. Navy activities generating 50 tons/day are lead activities in the following SMSAs: Philadelphia, Los Angeles, San Diego, Chicago, and Norfolk.

Waste recovery by recycling will conserve our diminishing natural resources and simultaneously benefit the enhancement of environmental quality. NAVCOMPT Instruction 7020.18 *Trash and Waste Material Recycling* discuss funding of an activities recycling program.

12.4.8 Pest Management. The Federal Insecticide, Fungicide and Rodenticide Act (FIFRA) regulates the use of pesticides to prevent unreasonable adverse effects on the environment. The benefits of pesticides are many, for they are used to protect human health and Navy property, and improve the desirable factors in the environment. These benefits, however, are accompanied with grave responsibility to use pesticidal compounds safely since they can present a potential hazard to man and the environment. Pesticides and equipment listed in the DOD section of the Federal Supply Catalog are preferred for pest control operations. Open purchase can be utilized, however, the pesticide must be approved by the EFD Applied Biologist. Additionally, all activity personnel responsible for application and direct management of the activity's pesticide program are required to be trained and certified competent. NAVFACHQ and their EFDs are responsible for the technical management of this program ashore. NAVFACINST 6250.3E *Pest Control Operations in the Naval Shore Establishment; performance and reporting of,* discusses the reporting requirement for activities past management operations.

12.4.9 Noise Abatement. OPNAVINST 6240.3E interprets the policy section of the Federal Noise Control Act (NCA) as a directive to implement noise control programs. The OPNAV Instruction provides far more explicit requirements for the Navy than do any noise laws. EPA identified noise standards applicable to Navy facilities in a December 1976 publication titled, "Inspection of Federal Facilities for Compliance with Noise Abatement Standards".

According to EPA,Navy owned and operated railroad engines and other related equipment, and

affected trucks, buses, and other motor vehicles used on highways are required to comply with in-use noise emission standards. The EPA position appears to go beyond the language of the Noise Control Act. In-use emission standards are not applicable to military aircraft. Although it is not legally required, the Navy is carrying out extensive aircraft noise abatement. See Chapter 4 of this manual for further information regarding applicability of the Air Installation Compatible Use Zone Program.

Product performance standards are point-of-sale standards and do not apply to the user of affected products.

State and local substantive noise laws relating to building codes, land use, and zoning regulations are generally implemented through administrative procedures which do not yet apply to Federal facilities. Property boundary noise limits, on the other hand, do apply to noise generated by aircraft ground operations, munition detonation, public address system announcements, stationary running engines, and numerous industrial and construction operations.

12.4.10 Natural Resources. In consonance with federal programs for the management and conservation of natural resources, it is the intent of the Navy to restore, improve, preserve, and properly use natural resources at shore activities. The material resource programs include soil and water conservation, forest resource management, fish and wildlife management, air and water pollution abatement, outdoor recreation, landscaping and natural beauty. Of course, the extent of an activity's natural resource program will be dependent upon the renewable or existing resources at the activity. Implementation of an activity natural resource program is discussed more fully in Chapter 3 of this manual and OPNAVINST 6240.3E *Environmental Protection Manual.*

CHAPTER 13
PUBLIC WORKS BUDGETING AND FINANCE

This chapter presents a rational approach to Public Works Budgeting. Admittedly, it is a presentation of what ought to take place, rather than what may be happening at some activities. The concepts outlined are based on the premise that Public Works Officers (and their personnel) are stewards of the Public Trust, must assure that all resources under their management are most effectively used, and must be completely honest and above board with superiors in the chain of command concerning requirements, resources uses, and the impact of less than optimum funding. The chapter addresses budgeting from the point of view of the Public Works Officer stationed at a facility that is funded under the appropriation "Operations and Maintenance, Navy (O&MN)". The Navy Industrial Fund (NIF) is discussed briefly on pages 31 through 32.

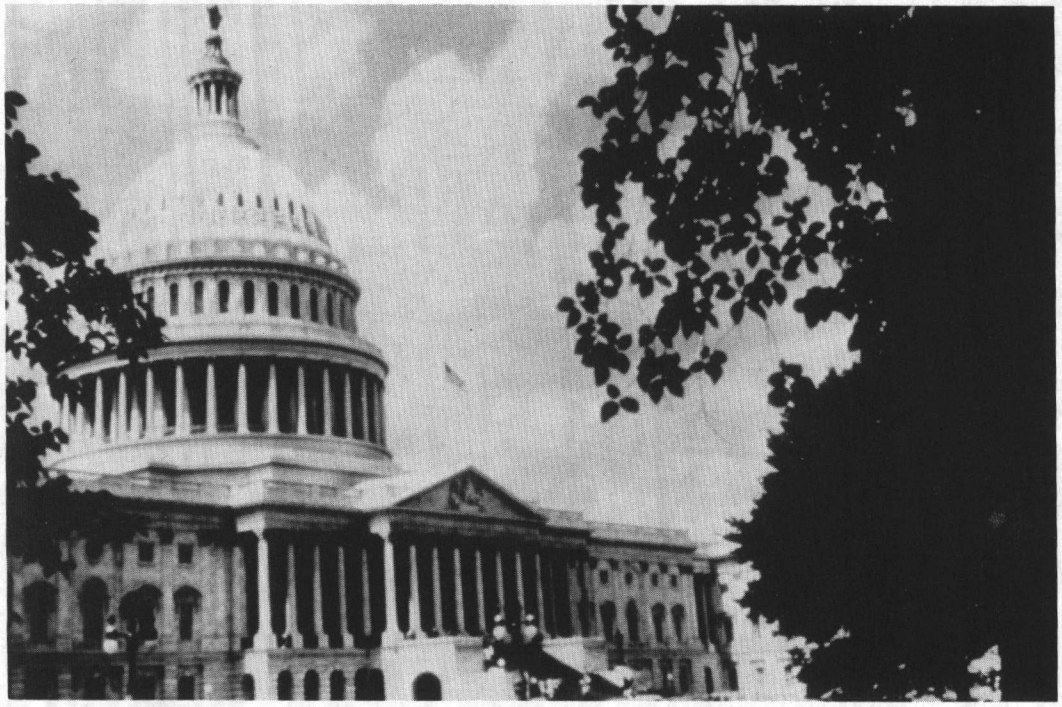

FIGURE 13-1
THE CAPITOL

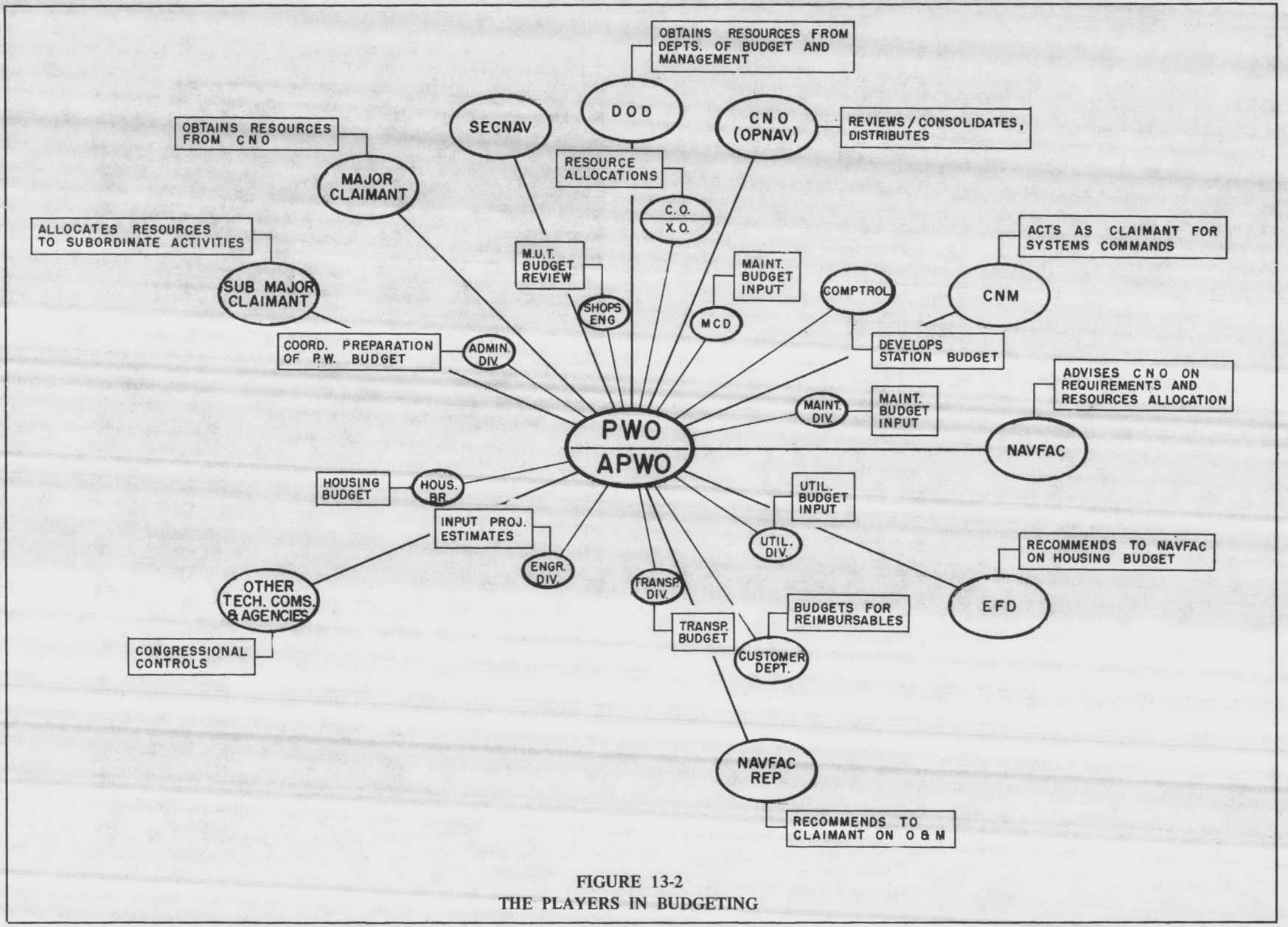

FIGURE 13-2
THE PLAYERS IN BUDGETING

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REFERENCES

1. SECNAVINST 5000.13 of 10 October 1961, Subj: *Glossary of Terms Used in the Areas of Financial, Supply and Installation Management*
2. *NAVCOMPT MANUAL,* NAVSO P-1000, Department of the Navy, Office of the Comptroller
3. *Financial Management of Resources,* NAVSO P-3006, Department of the Navy, Office of the Comptroller
4. *Resource Managers Guide, Field Activities,* NAVSO P-3047, Department of the Navy, Office of the Comptroller
5. *The Navy Industrial Fund Financial Management Guide,* NAVSO P-3503, Department of the Navy, Office of the Comptroller
6. OPNAVINST 11010.23 (Series)

DEFINITIONS

Accrual Accounting. Basically, the accrual accounting concept requires that the accountant charge an activity for resources as they are consumed. Under accrual accounting, we charge (expense) an activity during the month the material actually is delivered (dropped from inventory) or the service is used. By the use of accrual accounting, the manager will compare monthly work with realistic monthly costs. (Accrual accounting does not eliminate the accounting for obligations since Congress still requires obligational controls.)

Activity. A unit of the Naval Establishment, of distinct identity, established ashore under an officer in command or in charge, which receives an Operating Budget (OB) or an Operating Target (OPTAR) or planning estimate from a Major Claimant or Subclaimant.

Activity - Active Status. Activities in operating condition requiring facilties and personnel adequate to support planned operations and to maintain equipment in an operating condition. Includes the activities listed as active in the Catalog of Naval Shore Activities, OPNAV P09B3-105.

Activity - Inactive Status. Activities in a non-operative condition requiring physical protection of the property, personnel necessary for fire protection and periodic inspection by local representatives of management bureaus to insure that defects which would lead to accelerated deterioration are promptly corrected in accordance with accepted practices for econmical maintenance. Includes activities listed in Catalog of Naval Shore Activities, OPNAV P09B3-105, Section 6 - Inactive Status, those activities contained in official DOD Base Closure lists for current year, and those officially declared by DOD as anticipated base closures for budget year.

Activity - CONUS. Activities located within the 48 contiguous states and District of Columbia (excludes Alaska and Hawaii).

Activity - Overseas. Activities located outside the 48 contiguous states and the District of Columbia (includes Alaska and Hawaii).

Changes in Unfilled Orders. The difference between unfilled orders for the current period versus the prior period. The difference can be plus, minus, or zero.

Cost Center. The individual organizational units of a responsibility center, i.e., departments or staff offices.

Expense Element. Expense Elements are codes which identify the nature of the resource consumed in an activity, i.e., an input. They follow closely (and replace) the Object Classification.

Element of Expense. Same as Expense Element.

Facilities Management. The direction, control, appraisal, and equitable distribution according to relative need of resources, required for the Facilities Management Functions.

Facilities Management Functions. The maintenance, alteration, repair, overhaul, and disposal of land and improvements (Class 1 and 2 property); the procurement and production of utilities and the operation of utilities distribution systems; the operation and maintenance of construction weight-handling, and automotive and railway transportation equipment; and the provision of public works engineering and related public works services.

Facility. A separate, individual building, structure, or other item of real property improvement which is subject to separate reporting under the DOD real property inventory.

Family Housing Functions. Family housing functions include requirements surveys; planning for operation and maintenance; programming of maintenance, repairs, and alterations; translation of plans and programs into budgetary requirements; application of resources, including financial resources; control of issue and repair of household furniture and equipment; utilization of housing; routine inspections; rentals and leasing; coordination with the utilities conservation officer; surveillance of occupancy maintenance; preparation and review of reports on inventory, occupancy, and costs; and review of performance compared to standards.

Functional Category/Subfunctional Category. The Department of Defense has prescribed the collection of expenses by functional category. Functional categories are designed to collect expense information for one or more of the following reasons:

1. The cost of the function is required to meet restrictions made by Congress or to meet the needs of outside parties;

2. Information on the cost of a function is useful in deciding on the authorization to be provided to an operating activity;

3. The cost of the function provides a control total tied to an underlying cost accounting system needed for management of the function; or

4. The cost of the function is useful in making comparisons and special analyses of cost.

The functional categories developed in response to OSD requirements do not fulfill all of the Navy and Marine Corps requirements for management information. Therefore, additional classifications have been developed to supplement the functional categories. These additional accounts are called subfunctional categories. The subfunctional categories are coded with alpha-numeric characters which indicate both the function and subfunction thereunder. The functional and subfunctional categories are listed and defined in NAVCOMPT Manual, Volume 2, Chapter 4, Part D.

Functional Commander. Designation given various intermediate commands such as Systems Commands, Type Commands or Air Training Commands.

Job Order Number. Coded numbers used to describe type of expense for each cost account code, such as military costs, civilian costs, material costs, etc.

Major Claimant. A bureau/office/command/ Headquarters which is designated as the administering office under the operation and maintenance (O&MN) appropriations in NAVCOMPT Manual, Volume 2, Chapter 2, which receives major claimant operating budgets directly from the Chief of Naval Operations. As used in this instruction the major claimant designation also applies to the NavMat Systems Commands.

Maintenance Floor. A minimum amount established by the Congress in the annual appropriation act for maintenance, repair and alterations (Functional Category Codes M & R). Funds allocated for this purpose may not be used for any other puspose. This floor is established at the Congressional Level. Activity maintenance "Floors" are actually Major Claimant assigned targets and are not statutory in nature.

Obligational Authority. (1) An authorization by Act of Congress to procure goods and services within a specified amount either by appropriation or otherwise, such as by unfinanced contract authorization (q.v.). (2) the administrative extension of such authority, as by apportionment or funding (q.v.). (3) The amount of authority so granted.

Obligational Authority, New (NOA). The sum of new Congressional authorizations to incur obligations. Includes appropriations other than those to liquidate contract authorizations, contract authorizations, and reappropriations of current funds which would otherwise expire for obligation purposes. As applied by any separate appropriation title includes transfers from (less transfers to) other appropriation or authorization accounts in the same year in which the appropriation or authorization is made.

Obligations Incurred (or "Obligations"). (1) Amounts of orders placed, contracts awarded, services received, and similar transactions during a given period requiring future payment of money. Such amounts include adjustments for differences between obligations previously recorded and accrued expenditures or actual payments. Defined in more detail in DOD Directive 7220.6. (2) Obligations incurred under an appropriated fund (or subdivision) are the sum of the applicable "accrued expenditures" (q.v.) and the increase (or less decrease) in "contracts and orders outstanding" (q.v.).

Operating Budget. The annual budget of an activity stated in terms of functional/subfunctional categories and cost accounts. The budget will contain estimates of the total value of all resources required for performance of the mission of the activity including reimbursable work or services for others. It will include a quantitative expression of workload in terms of total number of work units by appropriate level of cost accounts.

Project. A simple planned undertaking of construction, repair, maintenance and/or equipment installation either separately or in combination, necessary to satisfy a finite requirement. Not to be confused with the term "project" as used in congressional military construction legislation.

Resources. Military and civilian personnel, material on hand and or order, and the authority to procure or use material, utilities, and services required for performance of the basic mission of the responsibility center and work performed for others.

Responsibility Center. A command which has been assigned responsibility for its operating funds. This normally would equate to an activity having Commanding Officers and Officer-in-Charge.

Sub-Cost Center. Organizational breakdown of a cost center, i.e., division, office, shop. (Sub-cost centers are identified and reported under PRIME at the Commanders´ discretion.)

Subfunctional Category Code L7. Expenses specifically identified and measurable to rental of vehicles from commercial sources and other Government agencies; the maintenance and operation of activity-owned vehicular and other related equipment; the cost of chauffeurs/drivers, and trainmen whose time is not charged to other subfunctional categories; and the running cost of commercially rented vehicles. Expenses related to this subfunction are identified by the 6100 through 6900 series of cost accounts.

Subfunctional Category Code M1. Recurring maintenance. Includes expenses specifically identified and measurable to maintenance and repair which can be accomplished within the approval authority of the activity Commanding Officer as defined in the current series of OPNAVINST 11010.20. Expenses related to this subfunction are identified by the 7100 through 7900 series of Cost Accounts.

Subfunctional Category Code M2. Nonrecurring maintenance. Includes expenses specifically identified and measurable to maintenance and repair which requires approval at a level above the activity Commanding Officer as defined in the current series of OPNAVINST 11010.20. Expenses related to this subfunction are identified by the 7100 through 7700 series of cost accounts.

Subfunctional Category Code N1. Expenses for procurement or production and distribution of utilities. Includes purchased electrical energy; steam and hot water; water; and other utilities. Includes operation of electrical generating plants and distribution systems; heating plants and distribution systems, including fuels; water plants and systems; and sewage and waste systems; air-conditioning and refrigeration plants; and other utility systems, such as gas distribution systems and organic support. Expenses related to this subfunction are identified by the 8000 series of cost accounts.

Subfunctional Category Code P1. General engineering support. Includes those expenses specifically identified and measurable to over-all public work administration, operating services and engineering functions. Expenses related to this subfunction are identified by the 9100, 9300 series of cost accounts.

Subfunctional Category Code R1. Expenses specifically identified and measurable to minor construction which can be accomplished within the approval authority of the activity Commanding Officer as defined in the current series of OPNAVINST 11010.20. Expenses related to this subfunction are identified by Cost Account 7010.

Subfunctional Category Code R2. Expenses specifically identified and measurable to minor construction which requires approval at a level above the activity Commanding Officer as defined in the current series of OPNAVINST 11010.20. Expenses related to this subfunction are identified by Cost Account 7010.

Unfilled Order. Documents meeting the criteria of an obligation, issued for an item of service that has not yet been received (expensed).

PART 1 - GENERAL INFORMATION

13.1.1 What is a Budget? The term "budget" has many different connotations to different people. When we use the term "Public Works Budget," we shall mean a statement, in financial terms, of the plan of operation for the department for a given time span. Prior to the time that funding is actually provided by our superiors for use during that time period, the budget is a proposed plan. Once funding is available, the adjusted budget becomes our financial road map for the period, a benchmark against which we measure progress as actual performance data becomes available. This plan must be expressed on budget documents in a common format and language for all naval activities. The term "budgeting," as we shall use it, then encompasses:

1. Predicting operational requirements of the department for a specified period in advance.
2. Consolidating these requirements into a proposed departmental operational plan for the period.
3. Translating the operational plan into financial terms on a budget document for submission to superiors for their approval (or partial approval) and for their issuance of funding documents.
4. Adjusting the financial (and operating) plans to agree with the funds granted.
5. Measuring progress against the plan by way of planned versus actual reports, and making adjustments as operational requirements dictate.

13.1.2 The Role of the Public Works Officer in Budgeting. The Public Works Officer (PWO) is the central figure in Public Works budgeting. As the senior management official of the department, his will be the crucial decisions which will shape the budget. At a small activity, he may have to do the majority of the actual budgeting work himself. At a large activity, he will have a team of skilled division directors to assist him in budgeting, but he must function as "Chairman of the Board." He must establish the objectives toward which the department should strive within the period, and approve the intermediate goals for their attainment. He must come to an understanding with the Commanding Officer on priorities, and state them clearly to the budgeting team. His is the responsibility to convince command of the requirements of the department to obtain a fair share of the always - too-small resource pot made available to the activity. His, also, is the hard choice on where to make cuts when the resources provided fall short of the requirements (as they inevitably do). His are the decisions on what adjustments to make during the fiscal period to keep "Plan" and "Performance" coincident. In short, the key figure in public works budgeting must be the PWO. In order to carry out these functions, he must have a good grasp of the principles of Navy Financial (or Resources) management.

13.1.3 Useful Background Information on Budgeting.

A. Types of Appropriations. In granting funds to the Executive Branch (and therein the DOD and Navy) Congress utilizes two separate legislative actions. First, Congress authorizes the program under an Act of Authorization. Then the money to support the authorization is appropriated from tax revenues by an Act of Appropriation. Both acts are required before congressional approval to spend the resources is established.

Authorization Acts are provided either as (i) Permanent - as an example, the Armed Services Procurement Act of 1947 which establishes the general rules and guides for the manner in which we make procurements; or (ii) Specific Authorization wherein Congress identifies the procurements or programs upon which we may embark. In the case of military construction, research, certain procurements, and weapon systems procurements, Congress passes enabling legislation setting forth the magnitude of these programs for which specific appropriations must be made. The Navy appropriations are of three types - Annual or One Year, Continuing or No-Year and Multiple Year.

One Year Appropriations are generally used for current administrative, maintenance and operational programs. Annual programs are available for obligation (procurement) for one fiscal year and for expenditure (payment) for two additional years. Appropriations for military pay and operation and maintenance are typical examples.

No Year or Continuing. Provide funds for long range construction projects and permit obligation and expense authority to remain available indefinitely. Authorization however, expires on a specific date established in the Legislation.

Multiple Year Appropriation. Appropriations for research, ship and aircraft and other procurements are funded from an appropriation type extending obligation authority approximately two years to a special cut-off date and expense authority two years beyond that. With passage of the FY 1979 Military Construction Appropriation funds for projects will be available for obligation for five years. Thus aligning military construction funding with other capital acquisitions.

B. Budgeting Time Spans. Congress grants most funds to the executive branch (thus the Navy) on

the 1 October - 30 September fiscal year basis[1], formal budget document submissions up the chain of command are stated in terms of specific fiscal year time spans. The fiscal years are further divided into 3-month quarters. In addressing the formal budgeting process, a review of the specific years to be dealt with is in order:

1. The "past year" is right now, the year in which you are preparing the submission.
2. The "current year" is the one which is going to start the next October 1st.
3. The "budget year" is the year following the "current year".

For instance, if we are preparing a submission on 1 March 1981 the "past" year (the year in which we are presently operating) is FY 1981, the "current year" is FY 1982, and the "budget year" is FY 1983.

C. Length of the Budget Cycle. Let's review the formal federal budget cycle to get an idea as to how good our crystal ball gazing has to be. Take FY-X, the Budgeting Milestones for which are shown in Figure 13-3, as an example. FY-X begins on 1 October of calendar year X-1 and runs through 30 September on CY-X. The President asks Congress for FY-X funds by submitting his budget in January of CY X-1. To allow adequate time for the numerous consolidations, reviews and adjustments required within the Navy, Department of Defense and the Office of Management and Budget, activities are required to submit their budget requests for FY-X to their next superiors in the command chain around August of CY X-2. This is usually the only opportunity the shore activity has to make an actual input to the FY-X budget request to the Congress. Our crystal ball must, then, be at least two full years deep if we are to make an accurate input to the budget request.

Some 10 months later, in June of CY X-1, the activity is required to submit a second funding request for FY-X. This updated request is really a request for a share of the Navy funding pie which has fixed, as far as the maximum limit was concerned, when the President sent the budget to Congress in January. The June submission, called an "apportionment request," is used by the funding agents, called Major Claimants, as a basis for fairly sharing a fixed amount of funding[2] (sometimes referred to as "sharing the poverty"). Any increases to one command must come out of other command's hides.

As originally conceived, the concept of budget requests being made to Congress six months ahead of the start of the applicable FY was to provide ample time for Congress to complete deliberations and appropriate the necessary funds before the FY began. Because of the complexity of modern defense budgets, this was the exception rather than the rule. With the passage of the 1974 Congressional Budget and Impoundment Control Act (PL93-344) the Fiscal Year cycle was changed from July - June to a October - September time frame thus permitting a longer period for the congressional reviews and passage of defense legislation. Further, the Congress imposed rather strict deadlines upon themselves which mandates completed actions by specific dates, and they appear to be complying with these deadlines.

D. What Limits are Imposed on Budget Growth. In actual practice, major claimants will usually provide to each activity a "control total," a dollar figure which each budget or apportionment request may not exceed. The activity control totals are arrived at by subdividing similar control totals which have been assigned to the major claimants by CNO. These were derived from control amounts specified to the services by the Secretary of Defense, working within the overall framework of the Five Year Defense Plan and under the constraints established by the President through the Office of Management and Budget on overall sizing of Federal Budgets. The effect of this process at the activity level is to provide a fairly firm indication, about a year ahead of time, of the financial constraints within which the activity must function. This stimulates timely action on the important responsibility of management to set objectives and goals, establishing priorities to assure that those requirements to be funded within constraints are the most important ones. Major claimants allow submission of supplemental requests for unfunded requirements, that is, those requirements which are essential to the activity, but too low in priority to be funded within control

[1]Public Law 93-344, "Congressional Budget and Improvement Control Act of 1974 established October 1, 1976 as the start of Fiscal Year 1977, and Fiscal Years thereafter will commence on October 1st and terminate on the following September 30th.

[2]That for Operations and Maintenance, Navy (for a recent FY) from which most Public Works Departments are funded, reads as follows:

"For expenses, not otherwise provided for, necessary for the operation and maintenance of the Navy and the Marine Corps, as authorized by law; and not to exceed $1,526,000 can be used for emergencies and extraordinary expenses, to be expended on the approval or authority of the Secretary of the Navy, and payments may be made on his certificate of necessity for confidential military purposes; $11,691,000,000, of which not less than $380,300,000 shall be available only for the maintenance of real property facilities;* *Provided, That* of the total amount of this appropriation made available for the alteration, overhaul, and repair of naval vessels, not more than $2,100,000,000 shall be available for the performance of such work in Navy shipyards of which not less than $22,000,000 shall be available for such work only at the Ship Repair Facilities, Guam: *Provided further,* That such amounts of the funds available for work only at the Ship Repair Facilities, Guam, may be used for work in other Navy shipyards in amounts equal to the amount of work placed at the Ship Repair Facilities, Guam, funded from other sources."

*This is the "Maintenance Floor" Clause.

totals. Precise justification statements must accompany these request, especially details of adverse effects on the activity if the requested increases are not forthcoming. The summation of unfunded requirements requests are utilized during preparation of budget submissions to the Congress to attempt to increase overall Navy totals, and, during apportionment, to make final "fine tuning" adjustments between major claimants and, then, activities. A pragmatic approach to preparing a budget submission might, then, be defined as:

1. Determining and pricing out total requirements.
2. Aligning requirements in priority order.
3. Selecting those requirements to be funded within available resources (i.e., select "funded requirements").
4. Defining impact on deferring accomplishment of "unfunded requirements."

A concept of budget formulation recently introduced by OMB entitled "Zero Base Budget" causes the major claimant to in fact submit two budgets for consideration. A "conventional budget" (often called incremental budget) where the previous years budget submission is used as a basis to which incremental cost for inflation are added to create the new budget). Each of these is developed within the same fiscal controls, and must be reconcilable; however, they are different in form and content.

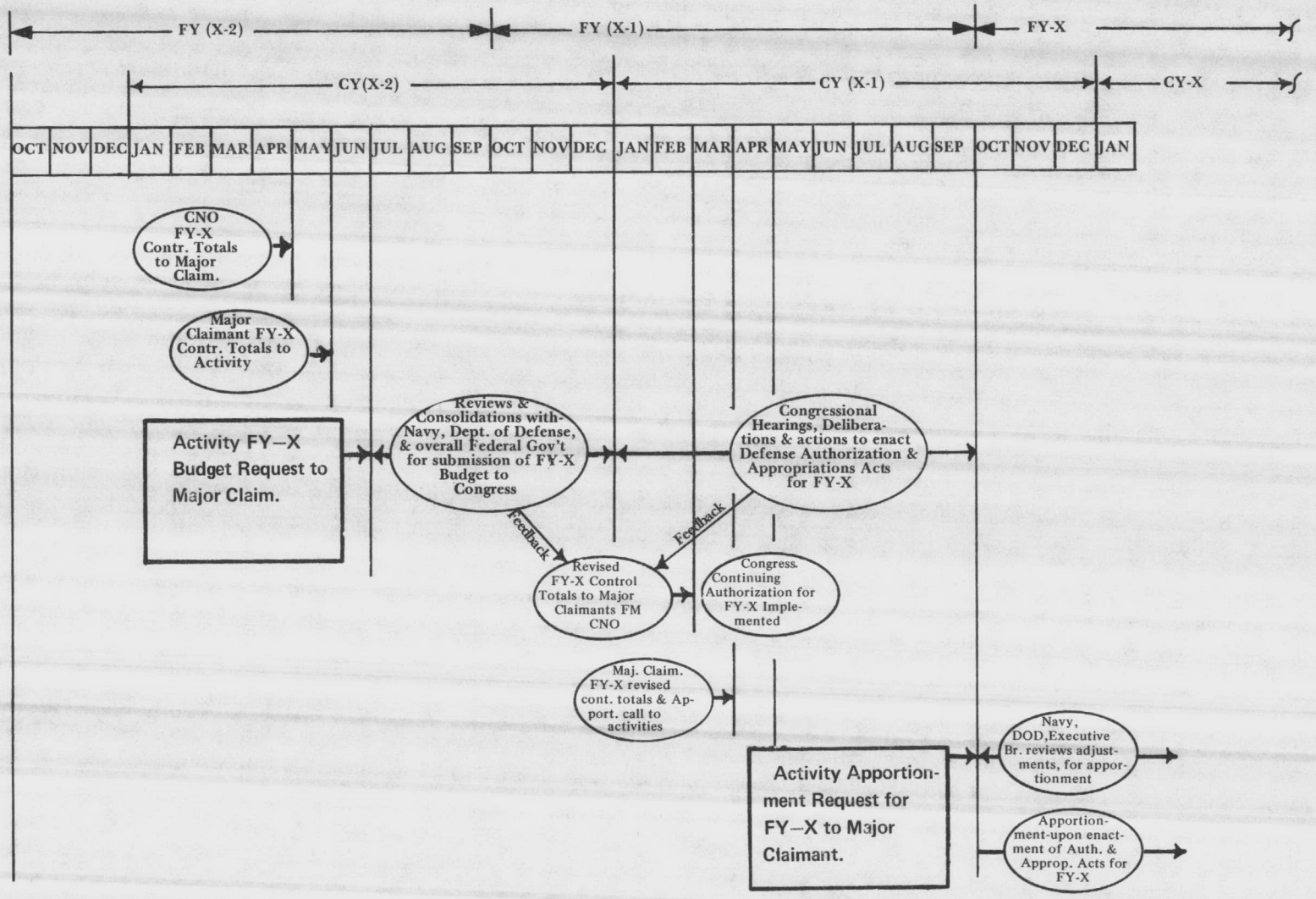
Guidance and requirements for development of zero-base budget submission are somewhat in the developmental stages due to the relatively recent adoption of the concept. However, one of the basic requirements is that the budget be broken into three stages of levels of funding. They are referred to as the "minimum," "basic," and "enhanced" levels of funding.

Narrative material in support of the budget places different emphasis at each level of funding. The material for the "minimum" submission stresses the program impact at a decremented level and addresses the importance of those programs that will remain unfunded and potential impact on Fleet readiness. At the "basic" level, the narrative describes the program to be conducted and provides detailed justification and workload factors to support funding at that level which is somewhat higher than the minimum level. The "enhanced" level represents the level of funding which would be desired, if additional resources were available. The narrative material describes the program or requirement that would be supported and provides justification in support of the additional funds.

The development of quality justification material and availability of detailed data are essential to the successful defense of the budget and for orderly response to the requirements for additional data during the budget review process. It is therefore mandatory that activity commanders (1) be made aware of all planning information at the earliest possible time, (2) be afforded adequate time to prepare and submit the data, and (3) participate at each echelon of command to the maximum extent possible in consolidating the material and developing the required justification for the request.

13.1.4 What must the Public Works Officer Budget For? There is a standard way of grouping Public Works functions for resources management purposes. Fortunately for the PWO, these groupings closely parallel the organizational structure of his department, facilitating the assignment of personal responsibility for each group. In resources management terminology, the PWO's budgetary responsibilities fall into two broad groupings; Facilities Management functions and Family Housing functions. Facilities Management functions at most activities are funded from the Operations and Maintenance, Navy Appropriations (O&MN). Family Housing functions at all activities are funded from the Defense Family Housing Management Account (FHMA). Budgeting for O&MN and Family Housing is through separate funding chains with different sets of rules. Each will be treated separately.

FIGURE 13-3
MILESTONES IN FY-X BUDGET SUBMISSION CYCLE



PART 2 - FACILITIES MANAGEMENT FUNCTIONS

13.2.1 Facilities Management Functions Defined[1]. The official definition of facilities management functions, from OPNAVINST 11010 series of instructions is:

The maintenance, alteration, repair, overhaul and disposal of land and improvements (Class 1 and 2 property); the procurement and production of utilities and the operation of utilities distribution systems; the operation and maintenance of construction, weight handling, and automotive and railway transportation equipment; and the provision of public works engineering and related public works services.

As you can see, the breakdown of Facilities Management functions align closely with the functional subdivisions of a Public Works Department.

13.2.2 What Does a Facilities Management Budget Look Like? Budgets for O&MN funded naval activities are normally prepared on a NAVCOMPT Form 2168 or on the RPMA PB-27. Figure 13-4 shows a 2168 while Figure 13-4A depicts a PB-27. Note that major claimants are generally required by NAVCOMPTNOTE 1110 to submit their RPMA budget in the PB-27 format. However, the format for your Public Works submittal to your activity comptroller and individual activity submittal to your major claimant may take the 2168 form, the PB-27 form, or some variation depending on your activity comptroller and the major claimant's needs and desires. Regardless of format, the entries shown on the 2168 in Figure 13-4 represent typical RPMA budget entries. The PWO must understand all these entries if he or she is to use the budgeting system as a management tool.

13.2.3 Accounting Codes for Facilities Management Functions. Robert Townsend has defined computers as "big, stupid adding machine-typewriters."[2] Computers and accounting machines can only speak in numbers and letter codes. If machines are to be used in Resources Management, our accounting system must contain a code for use in accumulating information. Accounting system code words are commonly used in describing budgeting processes. If we're going to budget, we're going to have to learn how to talk to the machines. The Defense Resources Management System utilizes code groupings called "Functional Categories" to describe the various functional operations of shore activities. Functional Categories are divided into "Subfunctional Categories." The functional categories are letters; the subfunctional categories are designated by a number following the letter.

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[1]More detailed budget submissions are usually required on facilities management functions than for the other operations of a Naval Shore Activity. The question, "Why?" often arises. The basic reason is that this detailed information is required by the Navy by the Office of the Secretary of Defense for specific reports to the Congress. OPNAVINST 11010.17A of 18 March 1971 elaborates on this subject as follows:

1. Special interest in the condition of military and real property and related utilities operations was manifested by Congress, by the Secretary of Defense and by the Secretary of the Navy in studies, reports, and directives issued in the 1960-63 period.

2. Under the Defense Appropriation Act of 1963, in the appropriation for Operations and Maintenance, Congress established the "Maintenance Floor" and has provided the statutory requirement in annual appropriations since then. To comply with the statute, OSD issued guidance to provide uniform definitions of cost elements for control of maintenance floor costs. Pursuant to OSD guidance, Navy Comptroller instructions generally affected all Navy Public Works because specific instrucitons for leave acceleration, fringe benefits, overhead and equipment rental had to be uniformly applied in costing and billing procedures for a variety of organizations and host-tenant agreements that extended beyond the performance of real property maintenance.

3. Independent of these actions, but directly related to the functions and organizations affected by them, the Secretary of the Navy in 1963 approved the establishment of a Single Executive Manager for Facilities matters as recommended in the Report on "Review of Management of the Department of the Navy (NAVEXOS P-2426A)." The Single Executive assignment included responsiblity to develop a budget/execution system to provide uniform and equitable distribution and appraisal techniques.

4. In 1966, the Navy was reorganized under authority of revised General Order No. 5, restructured to the unilinear Navy. Project Prime (RMS) was under the development at the same time and decisions were made prior to FY 1968 to provide each activity with a single operating budget and to distribute the resources through the chain of command. The budgets for facilities management were merged with the budgetary procedures for Project Prime. However, the Single Executive responsibility for facilities was assumed by the Chief of Naval Operations, with OPNAV-04-44 assigned as the focal point. The technical control of related budget data systems was retained under policies issued by OPNAVINST 11010.23B and the detailed guidance in the original issues of OPNAVINST 11010.27. Embraced within this Navy policy are specific and unique detailed reporting and management requirements imposed by OSD (I/H) for Real Property Maintenance functions.

[2]Robert Townsend, *Up the Organization*, Knopf, New York, 1970.

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	[X] DETAIL [ ] UPDATED PLAN	[ ] DETAIL [ ] SUMMARY	30 JUNE 197__

BUDGET FOR	BUDGET GRANTOR	APPROPRIATION DATA	COST CENTER	REPORTING FISCAL OFFICER (Signature, rank and date of submission)
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	17_1804.602X	Public Works Department	JOHN D. DOE, CDR, SC, USN

FUNC./ SUB-FUNC./ CAT.	COST ACCOUNT	DESCRIPTION		WORK UNITS	MAN-HOURS		CUMULATIVE EXPENSES					
					MILITARY	CIVILIAN	MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3)		(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
M1	7110	TRAINING	MSF	197				14.1	5.9	.2	.4	20.6
M1	7160	ADMINISTRATION	MSF	130			2.2	11.4	4.1	1.5	.2	19.4
M1	7100	TOTAL BUILDINGS	MSF	327			2.2	25.5	10.0	1.7	.6	40.0
M1	7410	IMPROVED GROUNDS	AC	269				24.5	3.1	.5		28.1
M1	7440	UNIMPROVED GROUNDS	AC	510				.3				.3
M1	7400	TOTAL GROUNDS						24.8	3.1	.5		28.4
M1	7630	HEAT .75 to 3.5 BH	MBH	38584				14.3	2.4	1.6		18.3
M1	7650	WATER FACILITIES	MILGAL	2400			2.8	3.1	3.5			9.4
M1	7600	TOTAL UTILITY PLANTS					2.8	17.4	5.9	1.6		27.7
M1	7710	ELECTRICAL	LF	182111				14.0	5.1			19.1
M1	7770	GAS DIST SYS	LF	2131				4.3	1.0			5.3
M1	7790	FIRE ALARMS	BX	51				2.4	1.2	2.1		5.7
M1	7700	TOTAL UTIL DIST SYS						20.7	7.3	2.1		30.1
M1	7910	MAINT SHOP OH					10.7	363.7	12.7		2.8	389.9
M1	7930	CONST & GR MAINT EQP					2.0				57.4	59.4
M1	7900	TOTAL RPM OH					12.7	363.7	12.7		60.2	449.3
M1		TOTAL DIRECT RPM					17.7	452.1	39.0	5.9	60.8	575.5
MZ	7000	REIMB COSTS					3.2	67.3	11.0		.6	82.1
M		TOTAL RPM					20.9	519.4	50.0	5.9	61.4	657.6
		LESS: REIMBURSABLES										(82.1)
M1	7999	CHANGE IN UFO										-
		LESS: MILITARY										(17.7)
		NEW OBLIGATION AUTHORITY										557.8

FIGURE 13-4

OPERATING BUDGET/EXPENSE REPORT (FOR SUBFUNCTION M1)

The Functional Categories/Subfunctional Categories describing Facilities Management Functions are:[1]

Description (In People-Talk)	Functional Category (Subfunctional Category) (In Machine-Talk)
Base Services (that portion including Automotive Transportation	L(7)
Maintenance of Real Property	M
Utilities Operations	N
Other Engineering Support	P
Minor Construction	R

[1] Complete listings are contained in Volume ? Chapter 4, Paragraph 024640 of NAVCOMPT Manual.

13.2.4 How Detailed Must Our Cost Breakdown Get? As already noted, Functional Categories are divided into Subfunctional Categories. We need a further breakdown to really be able to see what's happening with our money. The machine code-numbers to provide us this breakdown are called Cost Account Numbers (CANS, for short). The summarization levels in the PW0's budget are shown in Figure 13-5.

Shown in Figure 13-4A but not in Figures 13-4 or 13-5, and of great importance in budgeting for the Functional Catagory M (maintenance) budget is the sub-grouping of cost Accounts by Investment Catagories (IC's). For additional information on the relationship of Maintenance Cost Accounts to IC's refer to NAVFAC P-72 or OPNAVINST 11010.23 (series).

RPMA PB-27

SUBMISSION _____
CLAIMANT _____
FY _____
APPROPRIATION _____
SUBFUNCTION M1 (MRRP)
($000) DATE: _____

PART (1) - M1 DETAIL DATA

COST ACCOUNT	WORK UNIT OF MEASURE	QTY. OF WORK UNITS (1)	MILITARY LABOR COST (2)	TOTAL COST (3)
71L0	KSF			
71T0	KSF			
7320	SY			
7330	SY			
7550	LF			
7560	CPV			
75S0	CPV			
75T0	CPV			
SUBTOTAL (IC 01)		N/A		
71K0	KSF			
7530	CPV			
SUBTOTAL (IC 02)		N/A		
7210	LF			
7220	LF			
7230	LF			
7240	CY			
7260	CPV			
7270	CPV			
75U0	CPV			
SUBTOTAL (IC 03)		N/A		
71M0	KSF			
7520	CPV			
75W0	CPV			
SUBTOTAL (IC 04)		N/A		
7110	KSF			
7570	CPV			
SUBTOTAL (IC 05)		N/A		
71U0	KSF			
75V0	CPV			
SUBTOTAL (IC 06)		N/A		

RPMA PB-27

SUBMISSION _____
CLAIMANT _____
FY _____
APPROPRIATION _____
SUBFUNCTION M1 (MRRP)
($000) DATE: _____

PART (1) - M1 DETAIL DATA

COST ACCOUNT	WORK UNIT OF MEASURE	QTY. OF WORK UNITS (1)	MILITARY LABOR COST (2)	TOTAL COST (3)
71V0	KSF			
7250	SF			
7280	SF			
7290	TN			
72A0	TN			
7590	CPV			
SUBTOTAL (IC 07)		N/A		
7120	KSF			
75X0	CPV			
SUBTOTAL (IC 08)		N/A		
71J0	KSF			
7580	CPV			
SUBTOTAL (IC 09)		N/A		
75A0	CPV			
SUBTOTAL (IC 10)		N/A		
71N0	KSF			
75B0	CPV			
75R0	CPV			
SUBTOTAL (IC 11)		N/A		
7140	KSF			
71P0	KSF			
7340	SY			
SUBTOTAL (IC 12)		N/A		
7150	KSF			
SUBTOTAL (IC 13)		N/A		
7160	KSF			
71R0	KSF			
75D0	CPV			
SUBTOTAL (IC 14)		N/A		

RPMA PB-27

SUBMISSION _____
CLAIMANT _____
FY _____
APPROPRIATION _____
SUBFUNCTION M1 (MRRP)
($000) DATE: _____

PART (1) - M1 DETAIL DATA

COST ACCOUNT	WORK UNIT OF MEASURE	QTY. OF WORK UNITS (1)	MILITARY LABOR COST (2)	TOTAL COST (3)
7170	KSF			
7180	KSF			
7190	KSF			
71A0	KSF			
71S0	KSF			
75E0	CPV			
SUBTOTAL (IC 15)		N/A		
71J0	KSF			
75G0	CPV			
SUBTOTAL (IC 16)		N/A		
75H0	CPV			
75J0	TN			
75K0	TN			
7610	KVA			
7620	KBTU/HR			
7630	KBTU/HR			
7640	KBTU/HR			
7650	KGAL/DA			
7660	KGAL/DA			
7670	KGAL/DA			
7680	KBTU/HR			
7690	CPV			
76A0	TN			
76B0	TN			
76C0	CPV			
76D0	CPV			
76E0	CPV			
76F0	KGAL			
76G0	TN			
76H0	KGAL/DA			
76I0	KGAL/DA			
76J0	KGAL			
7710	LF			
7720	LF			
7730	KGAL/DA			

RPMA PB-27

SUBMISSION _____
CLAIMANT _____
FY _____
APPROPRIATION _____
SUBFUNCTION M1 (MRRP)
($000) DATE: _____

PART (1) - M1 DETAIL DATA

COST ACCOUNT	WORK UNIT OF MEASURE	QTY. OF WORK UNITS (1)	MILITARY LABOR COST (2)	TOTAL COST (3)
7740	LF			
7750	KGAL/DA			
7760	LF			
7770	LF			
7780	LF			
7790	# Fire Alarm Bxs			
SUBTOTAL (IC 17)		N/A		
7310	SY			
7350	SY			
7410	AC			
7430	AC			
7440	AC			
7450	LF			
7510	MI			
75L0	LF			
SUBTOTAL (IC 18)		N/A		
75P0	CPV			
7820	# of calls			
7830	# of calls			
7840	-			
7910	-			
7920	-			
7930	-			
SUBTOTAL (NOT IC)		N/A		

RPMA PB-27

SUBMISSION _____
CLAIMANT _____
FY _____
APPROPRIATION _____
SUBFUNCTION M1 (MRRP)
($000) DATE: _____

PART (1) - M1 DETAIL DATA

COST ACCOUNT	WORK UNIT OF MEASURE	QTY. OF WORK UNITS (1)	MILITARY LABOR COST (2)	TOTAL COST (3)
TOTAL M1 (TL M1)		N/A		

PART (2) - M1 SUMMARY DATA

M1 Civilian Labor	(1)	$
M1 Contract	(2)	$
M1 Other	(3)	$
SUBTOTAL	(4)	$
M1 Military Labor	(5)	$ ← MUST EQUAL
M1 TOTAL	(6)	$ ← MUST EQUAL

PART (3) - M1 PROGRAM DATA

		Program Totals (1)
M1 - Program 1	(01)	
M1 - Program 2	(02)	
M1 - Program 3 (Intel)	(03)	
M1 - Program 3 (Other)	(04)	
M1 - Program 4	(05)	
M1 - Program 5	(06)	
M1 - Program 6	(07)	
M1 - Program 7	(08)	
M1 - Program 8	(09)	
M1 - Program 9	(10)	
M1 - Program 10	(11)	
M1 - TOTAL	(12)	
MUST EQUAL		

FIGURE 13.4A
RPMA PB-27 BUDGET EXHIBITS

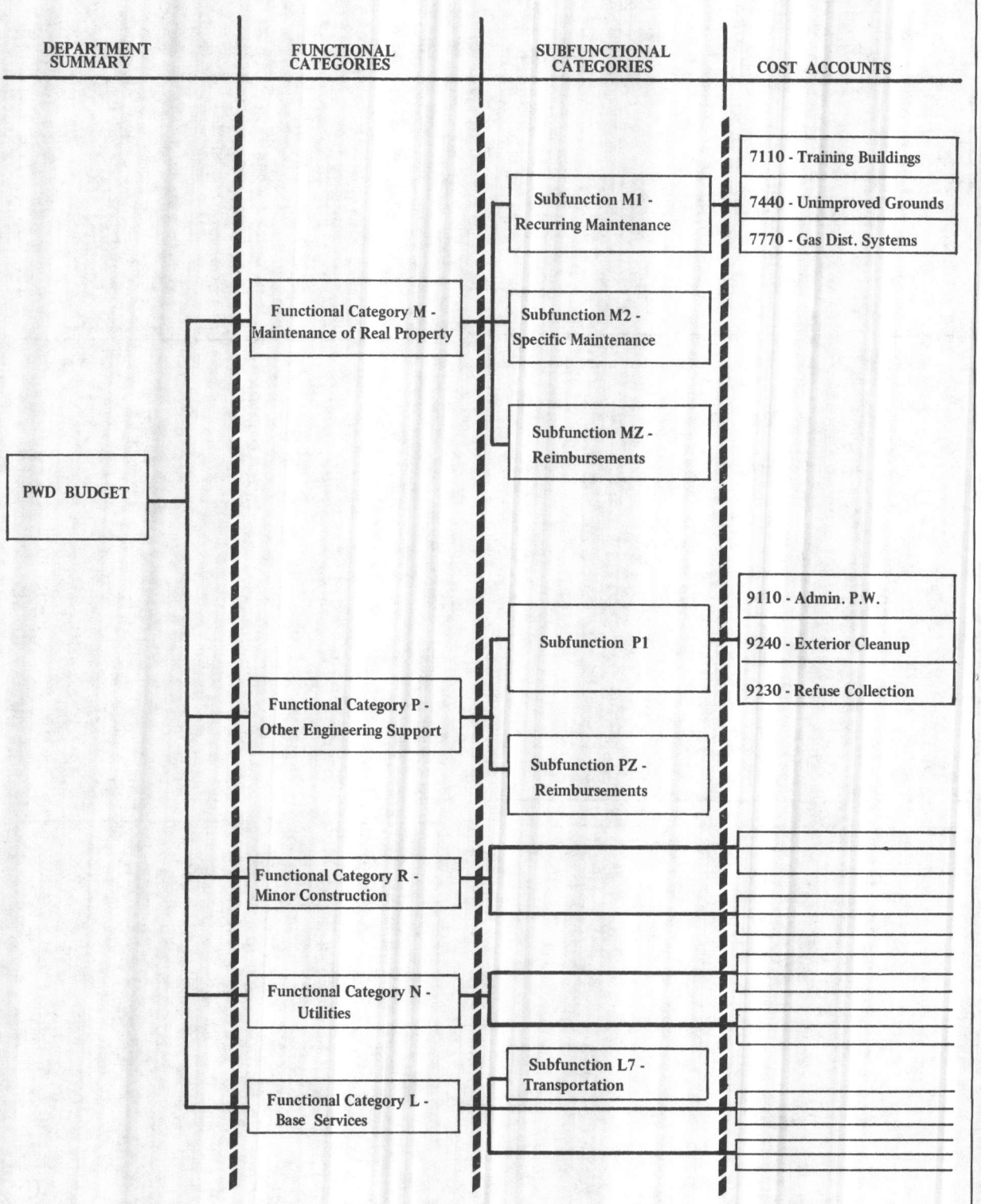


FIGURE 13-5
TYPICAL SUMMARIZATION LEVELS ON O&MN BUDGETS

Some examples of Facilities Management Cost Accounts under the various Functional Categories are:[1]

Functional/Subfunctional Category	Description	Cost Account	Description
M1	Recurring Maintenance	7110	Maintenance of Training Buildings
M1	Recurring Maintenance	7160	Maintenance of Admin. Buildings
M1	Recurring Maintenance	7440	Maintenance of Unimproved Grounds
N1	Utilities	8110	Production Plant Operations, Steam and Hot Water .75 - 3.5 MBTU
N1	Utilities	8410	(Potable) Water Plant, Operation
N1	Utilities	8810	Gen. Utility Oper. OH
L7	Transportation	6240	Sedans
L7	Transportation	6380	Bus 37 Passenger
L7	Transportation	6540	Grounds Maintenance, EO
P1	Other Engineering Support	6240	Exterior Clean-up
P1	Other Engineering Support	9260	Intrastation moves

13.2.5 How Many Ways Must We Slice the Pie? The Functional Category - Cost Account Structure arrays costs by outputs, i.e., maintenance performed on various facilities, specific utilities generated, transportation utilized. NAVCOMPT Volume 2, Chapter 4 provides additional details.

13.2.6 Where Do Budget Submissions Go? The Activity Comptroller Department correlates the inputs from all other departments to form a single budget submission package. Departments are usually designated in resources management terms as "Cost Centers." The activity as a whole is usually designated as a "responsibility center." The budgets must be submitted up the military chain of command to the "Major Claimant," or funding authority. Figure 13-6 reflects the paperwork flow on a typical O&MN budget submission.

Major claimant in turn responds to budget calls from higher authority and this ultimately leads to a consolidated Navy budget being submitted to DOD for approval. One of the concerns of the Chief of Naval Operations relates to the physical condition of the Navy shore establishment. For this reason the budget submission for Real Property Maintenance Activities (RPMA) has been configured to match the Investment Category (IC) concept employed in the Military Construction Program. The following is an extract from a recent Issue Paper prepared to support the RPMA budget need in the development of the Navy POM Process:

"The enormous size and variety of Navy facility assets which are supported by O&M,N appropriations (currently $28 Billion worth of facilities) tends to complicate analysis of

[1] A complete list of Functional Categories utilized by Naval Shore Activities (O&MN Funded) as provided in NAVCOMPT Manual, Volume 2, Chapter 4, Part D are:

Functional Categories	Codes	Functional Categories	Codes
1. Mission Operations	A,B,C	7. Overseas Dependent Education	K
2. Administration	D	8. Base Services	L
3. Supply Operations	E	9. Maintenance of Real Property	M
4. Maintenance of Material	F,G	10. Utility Operations	N
5. Property Disposal	H	11. Other Engineering Support	P
6. Medical Operations	J	12. Minor Construction	R

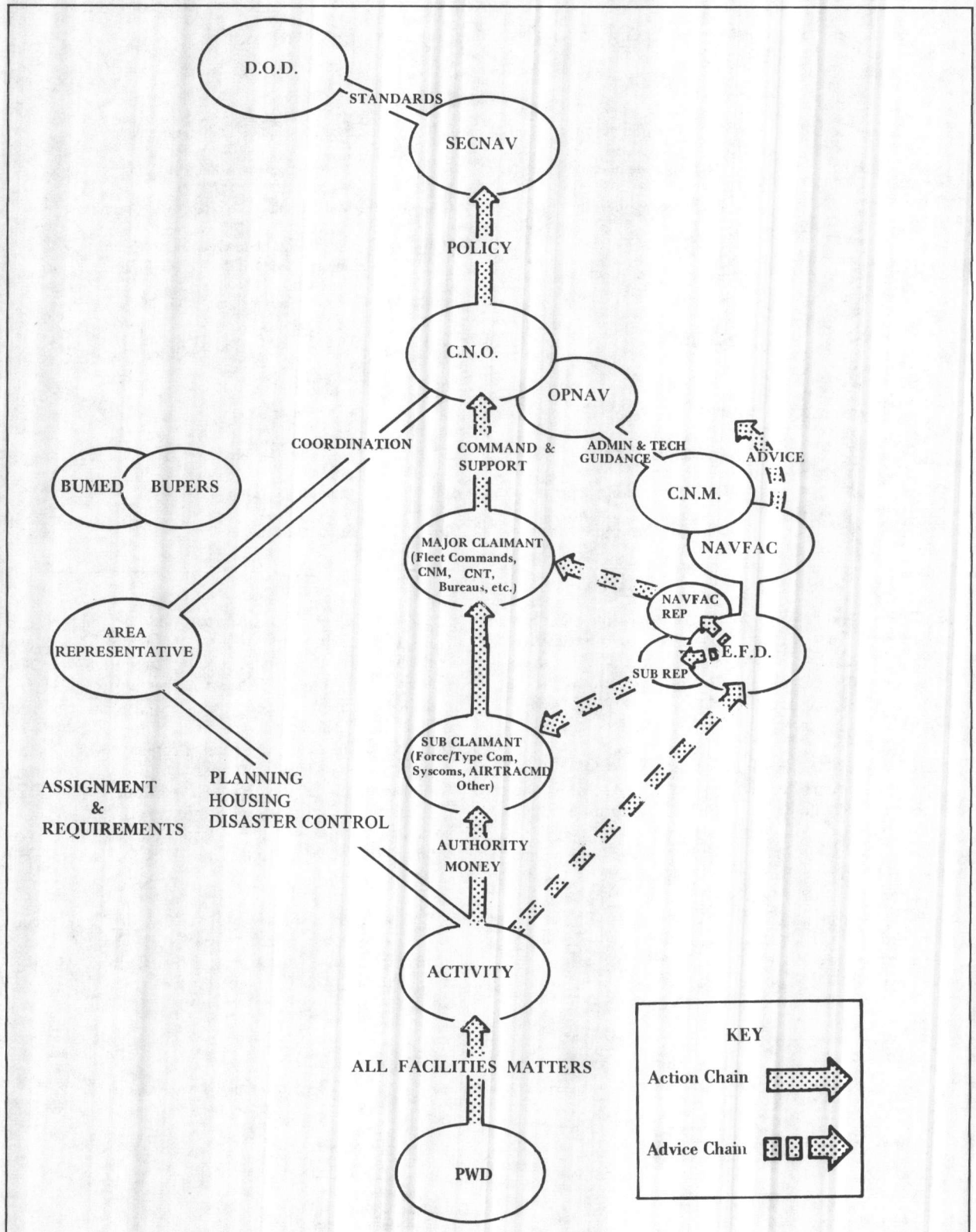


FIGURE 13-6
O&MN BUDGET SUBMISSION
FLOW UP-THE-CHAIN

maintenance and repair requirements. In order to resolve this matter and derive accurate program estimates, it is necessary to study component parts which comprise the Naval Shore Establishment. Furthermore, the design and definition of those component parts is critical if one wishes to gain insight into the variety of assets and their link to mission responsibilities. The method currently used to structure facilities information divides shore facilities into eighteen investment categories which are explicitly mission related (e.g. IC 01 = Aviation Operational Facilities; IC 03 = Waterfront Operational Facilities).

Analytical results which derive from investment category analyses are used as fundamental building blocks for insertion into the Navy Planning, Programming and Budgeting System. This is accomplished through coordinated reviews and updates of POM, FYDP and Budget information. It is recognized that planning must take place in the earliest stages of POM/FYDP in order to accomplish objectives of the maintenance/repair program.

Fundamental to effective planning is the organization, review and examination of historical information and the establishment of cause and effect. Maintenance and Repair analysis seeks to find relationships which exist among physical characteristics of the Navy's plant, historical maintenance expenditures and historical maintenance backlogs. The analysis is structured by investment category so that once a relationship is established its linkage to mission can be addressed. An overlay, then, of expected future mission and expected future plant characteristics produces a forecast of expected future maintenance and repair requirements.

Two extremely important sources of maintenance and repair management information are extracted from the Real Property Inventory (RPI) and RPMA budget execution exhibits. The RPI is utilized as the primary source of information regarding the physical characteristics of the Navy's facility assets; and the budget execution report is the source of maintenance expenditure data.

The cornerstone of the maintenance and repair management information system is the Annual Inspection Summary (AIS). Each year all activities in the Navy with a responsibility for funding maintenance and repair are required to provide a list of all deficiencies that exist as of a specific date for real property under their cognizance. Upon completion of the inspection, the activity is required to identify that list of deficiencies which, because of operational needs or economic impact, cannot be deferred beyond the current fiscal year. These lists of total deficiencies and nondeferrable deficiencies are then forwarded to the Major Claimant. The concept of having activities recognize the difference between deferrable and nondeferrable deficiencies is signficant. This technique forces the lowest responsible level of management to recognize the importance of various deficiencies over others, thus insuring that mission related deficiencies receive the highest priority. Of equal importance is the amount of creditibility which is built into the backlog listing. The resultant Navy AIS can fairly safely be assumed to be in strict accordance with a rather restrictive DOD definition of BMAR. Each claimant is required to summarize the activity AIS by Investment Category (IC) and to provide to the CNO a narrative assessment of the condition of real property and an impact statement of this condition on the ability to perform the assigned mission.

The establishment of the maintenance and repair management information system leads to the development of profiles of data structured by investment category. Evaluation of quantitative and subjective data contained within these profiles leads to the determination of the Navy's "minimum cost of ownership" in terms of facility maintenance and repair.

The Navy's requirements for facilities maintenance and repair are composed of four components. The first component addresses the amount of funding which is necessary to offset annually generated maintenance and repair requirements of active facilities. This component exists regardless of past funding levels or current condition of plant assets. Funding trends below this level result in consumption of plant assets and accumulation of a nondeferrable maintenance and repair backlog. The second component considers the marginal growth in an existing backlog which is the result of accelerated deterioration. The accelerated deterioration results from "exposure" caused by a lack of repair. The third component is the marginal growth in value of an existing backlog which is caused by inflation. The fourth component considers resources necessary to systematically reduce the nondeferrable component of maintenance and repair backlog to a quantifiable goal over a specified time horizon.

The requirements for Facility Maintenance and Repair can be broken down into four sub-requirements:

(1) funds to offset annually generated requirements

(2) funds to offset the marginal growth in backlog due to backlog deterioration

(3) funds to offset the marginal growth in backlog due to backlog inflation

(4) funds to systematically reduce backlog.

It is evident that items (1) and (2) must be funded in order to offset "real" growth in backlog. We view this cost as a direct on-going responsibility

associated with ownership and refer to it as "cost of ownership".

The approach to funding items (3) and (4) is one which is reviewed annually by a special board set up within the office of the CNO. The Shore Facilities Programming Board (SFPB) is composed of members from all Major Claimants and CNO (OP-44). It meets annually in June to review CNO maintenance and repair policy, and establish long term CNO program objectives and goals. This board recommends a priority mix of facilities by IC which are to receive emphasis above the cost of ownership due to mission hardships inflicted by the continued existence of BMAR. This board also reviews the time horizons for BMAR reduction in consideration of mission requirement and OSD guidance. It can be said, therefore, that the CNO approved program objectives are direct long term guidance for a funding plan above "cost of ownership." Therefore, this incremental plan for BMAR reduction addressed by items (3) and (4), plus the basic cost of ownership addressed by items (1) and (2), comprise the Navy's facility "Minimum Cost of Ownership".

In summary, the current management philosophy aids in institutionalizing a systematic approach to assessing the impact of real property on overall naval operations. By relating real property needs to operational requirements, creditibility is built into the programming and budgeting process. The complete participation of the activities and claimants in the process assures a far more timely and accurate assessment of the problem. The ultimate goal of the current philosophy is to have each activity commanding officer and claimant familiar with the relationship of his facility needs to his ability to perform the assigned mission so that their resource allocation decisions are based upon an understanding of the costs, benefits, and risks associated with the alternatives considered."

13.2.7 Where Does the "Action" Take Place in Public Works Budgeting? Most of the decisions which determine how much Facilities Management Resources the PWO will have for the current year are made right at the activity level. The control figure for O&MN funding assigned to the activity by the major claimant will usually specify a target amount which should be spent on Maintenance of Real Property (MRP) (Functional Category M1) and Minor Construction (Functional Category R1), which together comprise the "Maintenance Floor." How much of the remaining control total shall be allocated for other engineering support (Subfunctional Category P1), Utility Operations (Subfunctional N1) and Transportation O&M (Subfunctional Category L7), is at the discretion of the Commanding Officer. The decision on how much of the "MRP" target to utilize for Minor Construction (R1) and how much for Maintenance (M1) also rests with the Commanding Officer, within the constraints the Major Claimant has established. Some claimants for example, limit expense for R1 to a percentage of M1 expenses, (i.e. 2%). The PWO must, therefore, compete at the local level with other department heads for his fair share of the control total. He begins with a slight advantage, as Public Works can usually depend on being allocated all or most of the MRP Target control figure. The department must do its homework well, however, if its overall fair share is to be forthcoming.

13.2.8 What Homework Must the PWO Do? The PWO must be completely knowledgeable on the finances of his department if he is to successfully compete for resources. The knowledge he must possess can be expressed as the *Five Commandments* for Public Works Budgeting:

A. Know Thy Requirements. Know them to some degree of detail. Know the "why" and the "how" of them as well as the "what."[1] Know them in terms of expense elements as well as Functional Categories, and be able to speak in terms of labor, material and contracts as well as function. Don't count on always being able to fall back on a subordinate at activity budget meetings. Requirements for current year funding can be estimated with very reasonable accuracy by projecting forward from mid-year reports (Annual Inspection Summary, UCAR, etc.) as previously described. Get requirements for the upcoming year projected and reduced to budget format as soon as the mid-year reports are out. Know them as well as you know your wife, but not as passionately; cool judgement will be required to select which are to be funded.

B. Know Thy Commanding Officers Priorities on Thy Requirements. Every Commanding Officer has some personal desires on the priorities of the Public Works Department. Some, such as a strong desire to provide the best possible troop housing accommodations, are almost intrinsic in command. Others, such as a strong bent to conserve utilities, may have been engendered by the counselling of a prudent PWO. From whatever source, a knowledge of the Commanding Officer's priorities on Public Works functions is vital to top Public Works management in shaping financial planning. In selecting those requirements which must be

[1]The level of detail which a PWO can keep at his fingertips will, of course, vary with the function and the activity size and complexity. While he could very reasonably be on top of the detailed requirements for each type of utility and the basic reasons behind them, the same would not necessarily be true for each Cost Account under Maintenance of Real Property becaue they are much more numerous and complex, comprised of hundreds of job orders. Summarized information must suffice in those cases (but be able to speak specifically to items of special concern to the Commanding Officer.

deducted in order to live within the control totals, the PWO must be able to speak in terms of costs and benefits on tradeoffs, especially if he is recommending deferring a requirement in which the Commanding Officer who is responsible for the condition of his facilities. The PWO must provide his knowledgeable advice in facilities matters to the Commanding Officer, but the final priorities rest with command.

An addendum to this commandment is to know as well thy Major Claimant. The increased MRP funds available to the claimants have caused them to pay a great deal more attention to facility matters than ever before. Claimants are being tasked by CNO to achieve a variety of facility maintenance objectives, especially within certain Investment Catagories. Activities will be expected to achieve the objectives. Further, those activities which agressively strive to respond to Major Claimant directives can expect to receive far more resources than those who drift along. The PWO as the facility manager for the CO, should be alert to major claimant objectives and keep the CO thoroughly informed regarding what his boss´ wishes are.

C. Establish Reasonable Objectives and Goals. This is perhaps the most important job of management. Once overall requirements are defined and priorities wrung out, specific objectives to be aspired to within resource totals can be established. The smaller the resource pacakge, the fewer (or smaller) the objectives that can be achieved. (For instance, the objective to complete updating all utilities "one-line" drawings using summer temporary hires may have to be eliminated, or shrunk to updating electrical "one-liners" only.) Once the department totals are firmed up and objectives nailed down, the next necessary step is to set time goals against which progress can be measured (such as "complete updating of electric system one-liners by 31 August").

D. Cultivate Thy Comptroller. An old adage of Public Works Management states that, "a PWO must know the Comptroller´s business better than the Comptroller does." Much truth resides therein. As the PWO may control up to or more than half of the funds received by O&MN funded the activity, close relationship between Public Works and the Comptroller Department must exist if business is to progress smoothly. A personal rapport between the PWO and the Comptroller on Public Works funding matters can be one of the PWO´s (and the Comptroller´s) most valuable management assets. Complementing each other, they form a powerful management team. Support from the Comptroller can often be the deciding factor in support of the PWO in command decisions.

E. Do Not Drown Thy Commanding Officer in Detail. The Public Works and Resources Management Systems provide data for computation of Public Works requirements in exquisite mathematical detail. A common failing in briefing Commanding Officer´s on Public Works requirements is to begin by explaining, in intricate detail, the complicated rationale by which the requirements were derived. Most Commanding Officer´s are primarily interested in the end product, the quantified requirement. They cannot but lose patience during a detailed count of the trees when the size of the forest was the question to be answered. State the total requirement first, and provide a breakdown only as far as the Commanding Officer wants it. But be prepared to answer the Commanding Officer´s questions to any level he may ask. Save the intimate detail for negotiations with the Comptroller and other department heads.

13.2.9 When Should What Be Done? A typical sequence of a PWO preparing for a budget request for "current" year funding might run as follows:

A. January - This is a month of raw data assembly, principally in the area of first report preparation. The Maintenance Control Division will be busy preparing the Annual Inspection Summary. Transportation and part of Administration will be making inputs to the Transportation O&M Cost Report. Utilities, Engineering and others in Administration should be inputting to the Utilities Cost Analysis Report. Besides actually preparing the smooth submissions of the above cost reports, the Comptroller Department will be turning out the Quarter NAVCOMPT 2168´s and 2169´s. These documents all form a basis for projection of next fiscal year´s requirements. About 20 January, they should be all available.

B. February - This should be the month when requirements for next year are pretty well nailed down. Use the entire Public Works Management Team for this effort. It should be coordinated by the APWO, and the Administration Division should be the central clearing house for information assembly. The objective is to have next fiscal year´s requirements quantified in both workload units and costs correlated to expense-elements and costs for each Public Works Functional Area, by the end of February. Along with the total requirement, recommended priorities should be utilized by lay out a series of deductive items (like deductive bid items in a contract) for use in adjusting for final constraints. The Public Works Budget Panel chaired by the PWO with the APWO as Executive Chairman, the Administration Division Director as recorder, and the directors of the other divisions as working members, makes a well-balanced team. (An activity with an experienced shops engineer may find it most advantageous to use that officer as executive chairman of the panel). The PWO should hold the first panel meeting around the end of January to charge the group with its objective and

lay the ground rules. Factors causing changes for next year such as new facilities being brought on-line, anticipted changes in base loading, anticipated rate increases for utilities, contractual services for which increases are expected, etc., should be brought to the attention of all members. Policy guidance on items to consider as possible deductive measures to adjust within final constraints should be given by the PWO. Specific assignments should be made to each panel member. A recommended functional assignment list might be:

M - MCD lead, Maintenance Division, Engineering Division and Utilities Division contributes.

N - Utilities Division lead, Engineering Division contributes.

P - Administration Division lead, Maintenance Control Division and Engineering Division contributes.

L7 - Transportation Division lead, Administration contributes.

R - Maintenance Control Division lead, Engineering Division contributes.

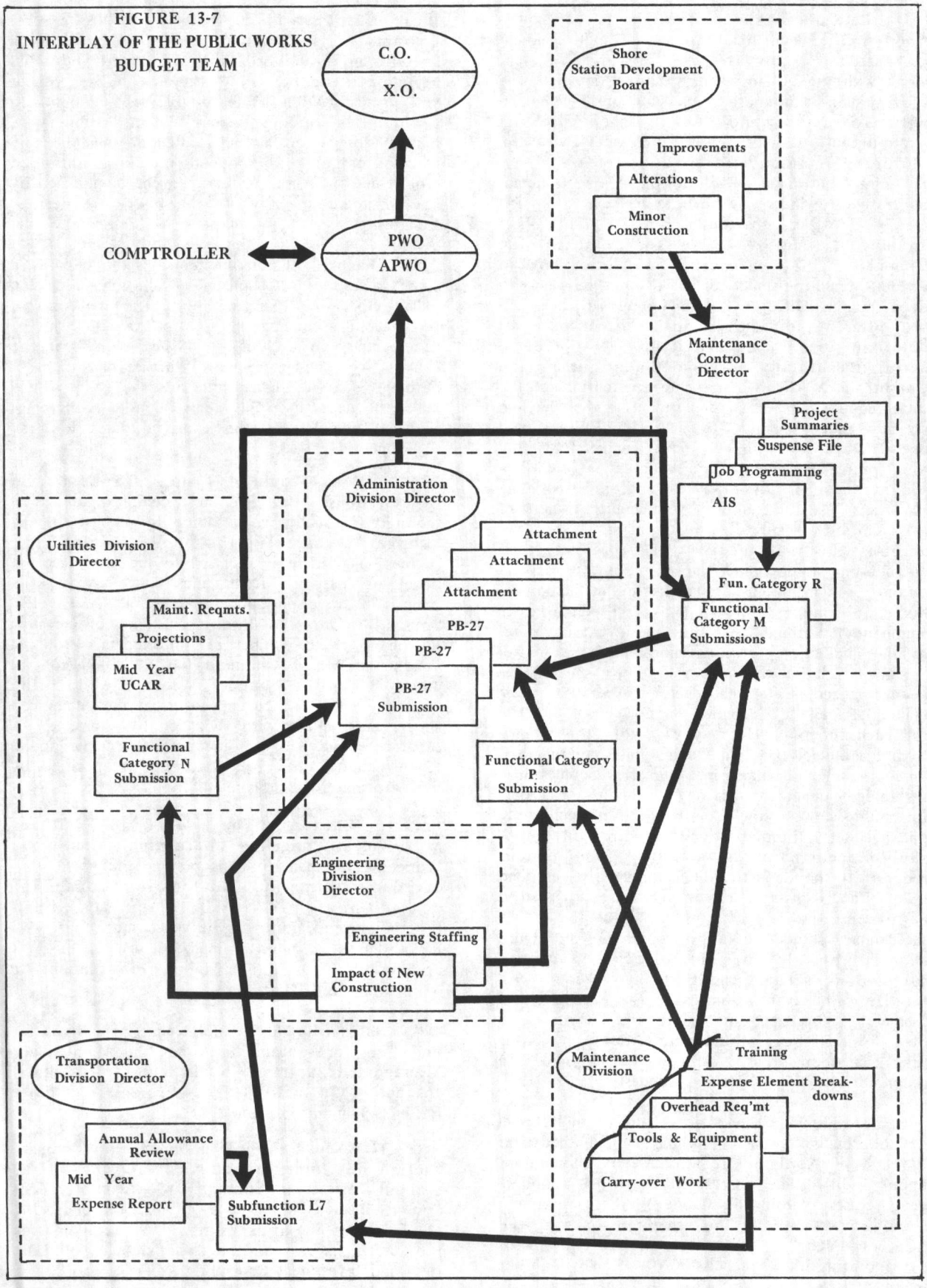
Figure 13-8 graphically portrays the process that should take place.

The responsible codes should have rough budget submission data in the form of PB-27's and back-up attachments, along with recommended, costed deductive items, ready for presentation to the panel by the date specified by the PWO (about the end of February). The budget year request submitted the previous July makes a valuable starting point. Progress meetings of the panel should be held to the minimum required to keep the effort moving on schedule. One progress meeting about the middle of February might well suffice. A key factor for success in this endeavor is for the PWO to make crystal clear that it enjoys his top priority, and that he expects to be cautioned when other directions impinge upon the time required to complete this assignment *on time*. The Administration Division Director should summarize the overall department requirements upon completion of the individual functional components.

The panel should meet again as a whole to hear the reports of the lead codes to the PWO. An afternoon should be set aside for this purpose so that all members can get the full picture. After a overall summary presentation by the Administration Division Director, each responsible code should make a summary presentation on requirements for his functional categories for the "current" year, comparing them to the "past" year at a base, explaining the reasons for changes, outlining proposed deductive items. Other panel members should be invited to question and offer suggestions. This meeting (or meetings, if more time is required) is the department's opportunity to hammer on its position "in-house" before addressing the requirements with other activity components. Once this process has been completed and its results recorded and summarized, the PWO is ready for activity budget meetings.

C. Early March - This is the month when budgeting actions for the "current" year really heat up. The budget call from the Major Claimant, along with the not-to-be exceeded Control Amounts, may arrive as early as the end of this month. It is important to appreciate that the decision on when to issue the budget call is one made independently by each Major Claimant. He can pick that schedule which he deems most suitable to his needs. As an example CINCPACFLT has for some time issued his call in January. BUMED, on the other hand, normally waits until May to issue his. The early part of March should be used by the PWO to smooth the way for his department in the upcoming station-wide apportionment request deliberations. Having his requirements and rationale in hand, his thrusts should be in two directions, up to the Executive Officer and Commanding Officer, and horizontally to the Comptroller. About the first of March, he should let both these channels know that he has his requirements costed out and is ready to discuss them. While a working-luncheon with the Comptroller might prove a good approach, the Executive Officer, and then the Commanding Officer, should receive carefully prepared briefings. The dreary detail of computation must be ruthlessly subordinated to salient data of direct use to command. This is the time when the "fifth commandment of budgeting" must be in full force. Beyond a statement of total requirement, the Commanding Officer (and the Comptroller) needs to know where cost growth is occuring, and the basic reasons why. He will be interested in what deductive items will have to be sacrificed if the full requirements cannot be funded. This is a time for utter honesty and frank, cool statements of fact. The second commandment of budgeting, "*Know Thy Commanding Officer's Priorities...*", should be in the forefront of the PWO's mind. Be realistic on deductions (the worst possible course would be to recommend deducting all the items high on the Commanding Officer's list). While the PWO must be careful not to appear to be attempting to "steal a march" on the other department heads, the "skid-greasing" that can be accomplished by the earliest possible apprising of command (and the Comptroller) of Public Works requirements can be invaluable to all concerned during the upcoming hectic period between the budget call by the Major Claimant and the short fused submission date. Never let the Commanding Officer or Executive Officer be surprised by a statement on Public Works requirements from the Comptroller, and vice versa.

FIGURE 13-7
INTERPLAY OF THE PUBLIC WORKS BUDGET TEAM



D. Late March-April - Now the pace becomes feverish. The budget call from the Major Claimant may arrive as early as the latter part of March, along with the all important Control Amounts. The activity submission to the next superior in command will most likely be due in late April. If communications have been fully open with the Major Claimant, there should at least be no procedural surprises (a call to the Major Claimant Staff Civil Engineer in March to be sure is a good idea). Many decisions must be reached in a short amount of time. An early, tough job for the Commanding Officer must be to decide how to divide the all-too-small control amount between his departments. Different Commanding Officer's will use different procedures, ranging from concensus determinations by an activity budget board, to acting on unilateral recommendations by the Comptroller. All involve some summation of the total requirements of all departments and a decision on how much to find for each. The PWO should begin this process with a slight advantage, for within the Control Amount, a Maintenance target which should be spent for MRP will be specified. The PWO can usually count on receiving the whole of this amount to support his department. But the amounts he will receive for utilities, other engineering support and transportation will depend on how convincing his arguments are in support of his requirement, and what overall priority the command determines that they merit. At any rate, by the middle of April, the portion of the control amount which Public Works will receive should have been finalized. From that decision, the PWO must make the final determination on how much to allow for each function. He may wish to get assistance from his budget panel in making this determination, or may prefer to make it alone. He should utilize his budget panel to put together his final package for submission to the Comptroller, especially the package on unfunded priority requirements which should accompany the activity apportionment request. If the deductive items previously described have been chosen carefully, the unfunded requirements request (sometimes called a "Reclama") should be fairly easy to prepare. Once the Comptroller has compiled the activity submission package, the PWO can get on with finalizing the translation of the resource targets assigned to his department into specific goals and objectives to be attained within the year. After taking a deep breath, he can then plunge into preparation of the budget year request.

E. May-June - The Major Claimant budget call for the "budget" year will usually be published near the end of April and require activity submissions about 1 July. The process of preparing a budget year request within the Public Works Department should be essentially the same as preparing the "Current Year" request. It basically consists of extrapolating the same data forward for another fiscal year. Most Major Claimants publish control amounts for the budget year also, including a specific maintenance floor. The command must again distribute the control amount by department and prepare submissions totaling that amount. In addition, an "unfunded requirements" submission, must be prepared. Particular attention must be paid to the budget year request (including unfunded requirements) as this is the only chance the activity has to make an input to the budget request to Congress.

F. October - Upon commencing the new fiscal year, some Major Claimants require the submission of an Operating Plan for the FY in the form of revised 2168's totaling the Control Amount. This is, in essence, an update, or "fine tuning" of the Current Year budget request. Whether or not this is a requirement of higher authority, the PWO should make the necessary adjustments in order to have his financial roadmap for the year laid out before the department.

13.2.10 What Would A Typical O&MN Budget Request Consist Of? The most complex submission required is usually the response to request for the "budget" year (required about 1 July). The submission of data is required to the Cost Account detail for "past," "current" and "budget" years. The basic data are displayed on a series of NAVCOMPT 2168, PB-27, or other forms, backed up by narrative justification, and number of supplementary exhibits. When the Major Claimant has provided control amounts for the "budget" year as well as the "current year", the totals shown on the submission sheets must agree with those control amounts. A separate request for resources to cover "Unfunded Requirements" may be submitted, as specified by the particular Major Claimant.

13.2.11 What Are The Sources of Facilities Management Budgeting Information? The Public Works Management Systems provide the PWO with detailed information and logical rationale for developing practical budgets. Each function/subfunction will be discussed separately. Exact details on how to finalize budget submissions are contained in Major Claimant Instructions or Notices of the 7100 series.

A. Subfunction M1 - Maintenance The basis for budgeting for subfunction M1 is the Maintenance Management System (in particular the Annual Inspection Summary (Fig 6-20)) and the Shore Facilities Planning System.

(1) Annual Inspection Summary. A primary tool in developing requirements for M1 is the Annual Inspection Summary (See Chapter 12). Submitted in October of each year to report the condition of facilities as of 30 September, this report breaks out unfunded deficiencies by Line Item and Investment Catagories.

(2) Subfunctional MZ - Reimbursements - A Key Factor in Many Public Works Budgets. Reimbursements in the M1 function come principally from tenant commands. Many activities have been formally designated as Public Works lead activities to consolidate such services within a geographical area, and to save costs to the Navy. Many PWO's may find a substantial portion of their Maintenance Division workforce supported by reimbursements from other commands. Without the reimbursements, the payroll could not be supported. MZ estimates must be obtained from paying customers. (Note that to obtain total Real Property Maintenance expense authority, MZ must be added to the summation of M1 cost accounts.)

(3) Decisions, Decisions! The PWO will personally involve himself in the decisions on how much of the Real Property Maintenance total will be allotted to each cost account. The available funds will never be great enough to cover all deficiencies. He must therefore set the objectives to be achieved within the available resources, in consonance with priorities established by the Commanding Officer. His MCD staff should, working within priority guidance provided by the PWO, prepare proposals on "Deductive Items" for his approval.

B. Subfunction R1 - Minor Construction. Minor Construction Projects, within the approval authority of the Commanding Officer as specified in OPNAVINST 11010.20 (Series) (currently $15,000 per project) are funded from the Maintenance Floor Control Amount. The first decision required will be how much will be utilized for subfunction M1 and how much for R1. The listing of approved requirements for R1 should be maintained for the Shore Station Development Board. Once the Commanding Officer has approved the specific amount to be utilized for subfunction R1, the Shore Station Development Board should select the projects to be accomplished. This is a command function which the PWO is less well qualified to perform than the board, as it involves setting mission priorities.

C. Subfunction P1 - Other Engineering Support. This subfunction is the "catchall" of Public Works budgeting, covering such diverse functions as Public Works Engineering, Leasing Real Property and Garbage Collection. Several divisions must contribute to its formulation. The MCD is the logical point to develop data on the items contained in this subfunction which are controlled through the Maintenance Management System. The Maintenance Division must contribute to Service Shop Overhead, and the Engineering Division and Administrative Division Directors must develop the requirements of their divisions. The Administrative Director is a good coordination point for this subfunction.

D. Subfunction N - Utilities. The first statement that must be made about the function N Budget is that it is filled out differently from those for other subfunctions. Figure 13-18 shows a typical utilities budget. Note that the first set of entries are gross figures (with reimbursements and plant and system *maintenance* costs included), the NZ entries show anticipated reimbursements for each utility, and the third set of entries show net costs with reimbursements deducted (but *maintenance* costs still included). The Allocated Cost Credit (Cost Account 89Z2) deducts the maintenance costs (which are charged to subfunction M1). The primary source of information for the N1 Budget is the Mid-Year NAVCOMPT 2127 (Utilities Cost Analysis Report). Projections forward can be made by computing *Utilities Targets* for projected new or dropped facilities as planned in the SFP and making necessary adjustments for anticipated cost changes. The Utilities Division Director (or Utilities Engineer) should be adept at such projections.[1]

E. Subfunction L7 - Transportation. The sequence of entries on the Transportation Budget, is basically the same as for utilities. Gross entries (including reimbursements) are made out of LZ, followed by net entries. In recent years, several Major Claimants have simplified the L-7 budget submittal. Several, in fact, require on a single line budget, grouping all costs in all costs accounts into a one line summary. The Mid-Year Transportation Operations and Maintenance Cost Report provides an excellent basis of projection for the Transportation Budget. Projections of future unit costs for labor, materials, etc., can be made from this report. The work units total, miles or hours of operation, are the Annual Targets discussed in Chapter 8. Unit miles (or hours) x Unit Costs = Total Expenses. The Transportation Division Director should be adept at such projections.

13.2.12 Completing the Budgeting Cycle - Feedback on Performance (The Cost Collection System). If we are to complete the budgeting loop by measuring progress against our financial plan so that adjustments can be made, the Comptroller must have a method to trap the actual costs and array them in the same format as our plan. The Accounting System, subdividing costs successively into functional Categories, Subfunctional Categories and Cost Accounts, and in the matrix format, by elements of expense, is utilized for this purpose. Within the Cost Accounts and Elements of Expense, the system utilized Job Orders to provide further

[1]If he's not, train him to be. (**Note:** Some Major Claimants direct that all utilities costs be shown as funded with control totals.)

breakdowns for use with our management systems. These are, in essence, band accounts established for particular reasons. Some, called "Standing Job Orders", are open-ended. These are utilized to collect cost of a continuing nature, such as utility bills or service calls. Others, called "Specific Job Orders," are opened for specific undertakings, such as a specific reimbursements within a cost account (the reader must have noted that the terms "Standing Job Order" and "Specific Job Order" are terms which are utilized in completely different contexts in budgeting than they were in Maintenance Management). Costs are collected and reported under O&MN on an accrual basis, that is, labor is expensed as it is consumed, and material is expensed as delivered for use (dropped from inventory). This allows the manager to compare monthly work with realistic monthly costs. Congress also requires that records be kept on an obligation basis, whereby material expenses are recorded when the material is ordered (for most Public Works jobs, about 2 to 3 months before actual use). The reports which are constructed based upon the cost collection system for use by the PWO and other managers within the Department are discussed in Chapter 12 of this manual.

PART 3 - NAVY INDUSTRIAL FUNDING - INTRODUCTION

Many production-oriented activities of the Navy (in total employing almost one-half of our civilian employees) operate under the Navy Industrial Fund (NIF). Budgeting under NIF is significantly different from the process for O&MN and Family Housing.

13.3.1 What is the Navy Industrial Fund? The NIF is a revolving fund used to finance the operations of designated industrial and commercial type activities. It is designed to be a self-sustaining operation in that the fund, or "corpus", is reimbursed for costs incurred from customer funds appropriated to pay for the product or service rendered. NIF operations are generally planned on a "breakeven" basis. Although strictly speaking there is no profit motive, any "profits" or "losses" sustained serve to temporarily increase or decrease the capital of the fund. Rates are then adjusted to apply these increases or decreases to operating activity.

Costs of the operation are financed from each NIF activity's net working capital. Industrial accounting systems similar to those used in private industry form the basis for collecting costs and billing customers. Customers place work orders and establish proper commitments and obligations against monies apportioned to them. As work is accomplished and the costs of jobs ascertained, customers are billed. As the bill is collected, the NIF activity is reimbursed for costs incurred and services performed.

13.3.2 What Does the NIF Do? The concept of NIF has three important features which encourage better

FROM: U.S. NAVAL ACTIVITY, NORFOLK, VA. 23511, UIC 99999 | TO: COMNAVTYCOM | BUDGET: [X] DETAIL [ ] UPDATED PLAN | REPORT: [ ] DETAIL [ ] SUMMARY | FOR PERIOD ENDING: 30 JUNE 197__

BUDGET FOR: U.S. NAVAL ACTIVITY, NORFOLK, VA. 23511, UIC 99999 | BUDGET GRANTOR: COMNAVTYCOM | APPROPRIATION DATA: 17_1804.602X | COST CENTER: PUBLIC WORKS DEPARTMENT | REPORTING FISCAL OFFICER (Signature, rank and date of submission): JOHN D. DOE, CDR, SC, USN

FUNC. SUB-FUNC. CAT.	COST ACCOUNT	DESCRIPTION		WORK UNITS	MAN-HOURS MILITARY	MAN-HOURS CIVILIAN	CUMULATIVE EXPENSES MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3)		(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
N1	8110	PROD PLANT OPR	MILBTU	59485			4.2	78.3	48.3		.5	131.3
N1	81P0	TRANSFER ACCT 7630									18.3	18.3
N1	8100	ISTEAM HW-SMALL	MILBTU	59485			4.2	78.3	48.3		18.8	149.6
N1	8330	DISTR SYS OPR	MKWH	38004				94.8	589.9		(1.0)	683.7
N1	8350	PURCHASED ELEC								636.4		636.4
N1	83D0	TRANSFER ACCT 7710									19.1	19.1
N1	8300	ELECTRICITY	MKWH	38004				94.8	589.9	636.4	18.1	1339.2
N1	8410	POTABLE WATER PLT	MGAL	208425				23.5	100.1		.5	124.1
N1	8450	PUR POTABLE WATER								583.2		583.2
N1	8460	PUR POT WATER NAVACT									.1	.1
N1	84P0	TRANSFER ACCT 7650					2.8				6.6	9.4
N1	8400	POTABLE WATER	MGAL	208425			2.8	23.5	100.1	583.2	7.2	716.8
N1	8610	PLANTS PUR 5-25 TN T/C		350				20.7	2.0			22.7
N1	8600	AIR CONDITIONING T/C		350				20.7	2.0			22.7
N1	87E0	OTHER UTILITY DIST						103.7	24.7			128.4
N1	8780	TRANSFER ACCT 7770									5.3	5.3
N1	87H0	FUELS ISSUED	MILBTU						13.2			13.2
N1	8700	OTHER UTILITY SYS						103.7	37.9		5.3	146.9
N1	8000	TOTAL UTIL OPR O&M					7.0	439.9	778.2	1219.6	49.4	2375.2
NZ	8100	STEAM HW-SMALL	MILBTU	18213							70.1	70.1
NZ	8300	ELECTRICITY	MKWH	375							998.2	998.2
NZ	8400	POTABLE WATER	MGAL	192113							645.4	645.4
NZ	8600	AIR CONDITIONING	T/C	112							9.1	9.1
NZ	8700	OTHER UTILITY SYS									21.3	21.3
NZ		TOTAL REIMB									1744.1	1744.1
N1	8100	STEAM HW-SMALL	MILBTU	41272			4.2				75.3	79.5
N1	8300	ELECTRICITY		37629							341.0	341.0
N1	8400	POTABLE WATER		16312			2.8				68.5	71.3
N1	8600	AIR CONDITIONING		238							13.6	13.6
N1	8700	OTHER UTILITY SYS									125.6	125.6
N1		TOTAL UTILITIES NET O&M					7.0				624.1	631.1
N1	89Z2	ALLOCATED COST CR					2.8				49.3	52.1
N1	8000	TOTAL UTIL OPS NET					4.2				574.8	579.0
N1	8999	CHANGE IN UFO										-0-
		LESS MILITARY										(4.2)
		NEW OBLIGATION AUTHORITY										574.8

FIGURE 13-8

OPERATING BUDGET/EXPENSE REPORT

FROM	TO	BUDGET	REPORT	FOR PERIOD ENDING
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	[X] DETAIL [ ] UPDATED PLAN	[ ] DETAIL [ ] SUMMARY	30 JUNE 197_
BUDGET FOR	**BUDGET GRANTOR**	**APPROPRIATION DATA**	**COST CENTER**	**REPORTING FISCAL OFFICER (Signature, rank and date of submission)**
U.S. NAVAL ACTIVITY NORFOLK, VA. 23511 UIC 99999	COMNAVTYCOM	17_804.602X	PUBLIC WORKS DEPARTMENT	JOHN D. DOE, CDR, SC, USN

FUNC/ SUB-FUNC. CAT*	COST ACCOUNT	DESCRIPTION		WORK UNITS	MAN-HOURS		CUMULATIVE EXPENSES					
					MILITARY	CIVILIAN	MILITARY SERVICES	CIVILIAN LABOR	MATERIAL AND SUPPLIES	COMMERCIAL CONTRACTS	OTHER	TOTAL EXPENSES
(1)	(2)	(3)		(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
L7	62A0	SEDANS	MILES	2128500				14.3	14.2		.6	29.1
L7	62B0	BUS 37 PASS UNDER	MILES	709500				4.8	4.7		.2	9.7
L7	6200	MAINT VEH TRANS	MILES	2838000				19.1	18.9		.8	38.8
L7	63A0	SEDANS	MILES	2128500				14.3	14.2		.6	29.1
L7	63B0	BUS 37 PASS UNDER	MILES	709500				4.8	4.7		.2	9.7
L7	6300	OPER VEH TRANS	MILES	2838000				19.1	18.9		.8	38.8
L7	64R0	MAT HANDLING EQP	HRS	35208				2.3	1.2			3.5
L7	64S0	CONSTR REPT REQD	HRS	24588				5.4	4.7	.6		10.7
L7	64T0	CONSTR REPT NOT RQD	UNITS	112			1.0	18.6	1.5			21.1
L7	64U0	GRNDS MAINT EQP	HRS	19536				3.8	1.1			4.9
L7	64Z2	ALLOCATED COST CR					(1.0)				(28.7)	(29.7)
L7	6400	MTN OTHER TRNS EQP						30.1	8.5	.6	(28.7)	10.5
L7	65R0	MAT HANDLING EQP	HRS	35208				2.3	1.2			3.5
L7	65SQ	CONSTR REPT RQD	HRS	24588				5.4	4.7	.6		10.7
L7	65T0	CONSTR REPT NOT RQD	UNITS	112			1.0	18.6	1.5			21.1
L7	65U0	GRNDS MAINT EQP	HRS	19536				3.8	1.1			4.9
L7	65Z0	ALLOCATED COST CR					(1.0)				(28.7)	(29.7)
L7	6500	OP OTHER TRANS EQP						30.1	8.5	.6	(28.7)	10.5
L7	6650	ALL OTHERS	HRS								5.2	5.2
L7	6670	HIRE VEH COM/GSA COSTS								10.1		10.1
L7	6600	OTHER EQP RENTAL								10.1	5.2	15.3
L7	6710	CHAUFFEURS/DRIVERS	HRS	23489			2.8	78.0				80.8
L7	6720	TRAINMEN	HRS	17729			2.8	78.0				80.8
L7	6740	EQP OPERS/RIGGERS						9.3				9.3
L7	6700	OTHER OPER COSTS	HRS	41218			5.6	165.3				170.9
L7	6000	TOTAL TRANSP COSTS					5.6	263.7	54.8	11.3	(50.6)	284.8
LZ	6200	MAINT VEH TRANS	MILES	209226				8.0	7.9			15.9
LZ	6300	OPER VEH TRANS	MILES	69774				2.7	2.6			5.3
LZ	6400	MNT OTHER TRANS EQP						8.4	1.3	.6		10.3
LZ	6500	OP OTHER TRANS EQP						2.8	.4	.6		3.8
LZ	6700	OTHER OPER COSTS	HRS	5760				9.3				9.3
LZ		TOTAL REIMB						31.2	12.2	1.2		44.6
L7	6200	MAINT VEH TRANS	MILES	2628774				11.1	11.0		.8	22.9
L7	6300	OPER VEH TRANS	MILES	2768226				16.4	16.3		.8	33.5
L7	6400	MNT OTHER TRANS EQP						21.7	7.2		(28.7)	.2
L7	6500	ALL OTHERS	HRS					27.3	8.1		(28.7)	6.7
L7	6600	OTHER EQP RENTAL								10.1	5.2	15.3
L7	6700	OTHER OPER COSTS	HRS	35458			5.6	156.0				161.6
L7		NET TOTAL COST					5.6	232.5	42.6		(50.6)	240.2
L7	6999	CHANGE IN UFO										-0-
		LESS: MILITARY										(5.6)
		NEW OBLIGATION AUTHORITY										234.6

FIGURE 13-9
OPERATING BUDGET/EXPENSE REPORT

management and which create an environment similar to that of private industry.

First, a *contractual relationship* is created between the customer and the producer, forcing the producer to accurately define all tasks to be accomplished, to accurately forecast all costs associated with these tasks and to quote the customer a fixed price in most cases. The customer must provide funds for the cost of his requirements just as he must when he buys from commercial firms. As a result, the customer is motivated to order only those items and services for which there is a real need.

Second, cost-accounting employed by NIF activities enables management to *identify costs to a* particular job. This identification is essential for establishing management control of costs, for developing standards for pricing, and for providing a means of projecting realistic budgets based on expected future workloads. This identification also provides a means of measuring efficiency since all work performed is expressed in one common denominator - dollars.

Third, a *revolving fund* provides flexibility to utilize dollars as may be operationally required, relatively free from the Congressional appropriation cycle with its established spending limitations. Money is centralized under local jurisdiction.

While the reason for adopting a NIF system was to create an environment conductive to more responsible and efficient management, the NIF system is no more effective than the manager's ability to use the tools it provides. Therefore, it is very important that the NIF manager be familiar with the financial apsects of NIF.

13.3.3 Fund Management. The Comptroller of the Navy is responsible for the initial cash balance (Corpus) of the NIF, and the allocation of cash to individual activities. He is also responsible for the development of accounting policies and procedures common to all NIF activities (published in the NAVCOMPT Manual) and detailed accounting procedures common only to activity groups with similar functions (published in industrial fund

handbooks). NAVCOMPT approval is also required on all Automatic Data Processing applications.

Instructions for preparation and submission of NIF budgets and quarterly financial statements are issued by NAVCOMPT. These budgets and financial statements are also reviewed, analyzed, adjusted as necessary, and summarized for final submission to the Department of Defense.

Activity command and management are exercised through the chain of command. Workload assignments are worked out between the responsible management command or office and the activity on a quarterly basis and translated into manpower and other resource requirements.

13.3.4 Industrial Fund Planning and Budgeting. The relationship between industrial-commercial activities and customers, places a special responsibility on the Commanding Officer and his staff for accurately forecasting workload or sales. The workload forecast forms the basis for the production plan or the work programmed, which, in turn, largely governs the staffing pattern, the budget, and other elements of production.

The work must be planned to make the best and most effective use of facilities. A poor workload forecast results in inefficient production an consequent distorted and erratic costs that disrupt customers' budget planning. Because of military necessity, Civil Service rules, etc., there are relatively high fixed costs and high shutdown costs at a naval activity. Such costs can be accurately determined and applied to the units produced. With an even, regular production schedule, they pose no problem, but with an erratic schedule, they add to unit costs.

Various methods of estimating and predicting sales are based largely on analyses of past orders and close coordination with planning agencies. The activity must coordinate closely with the headquarters component that issues its production directives and, through that component, with its customers, so that it can schedule production as evenly as possible.

Navy industrial-commercial activities are budgeted for and are operated in almost the same manner as a private business, their budget requirements for the most part being on end-use objectives.

Each industrial-commercial activity has its own internal operating budget. Such internal budgets provide a way to anticipate varying costs and needs for funds based on the forecasts of operating workloads furnished by the parent bureau. These budgets must accurately forecast costs and whether the activity will operate at capacity or near shutdown. In general, these budgets are divided into two-principal segments - productive work and overhead expense. They are prepared on a long-range (fiscal year or semi-annually) or a short-range (quarterly) basis, and are reviewed and adjusted as circumstances warrant.

13.3.5 What Difference Does NIF make to the Public Works Officer? In some ways, quite a bit - in others, little. In the case of a production activity, such as a shipyard, the main difference is that the principal financial support for the Public Works Department must be generated by overhead charges to the production customers. All Public Works services at such a NIF activity are overhead except direct work on the product produced by the activity (such as Public Works welders working on a ship being repaired at a shipyard) and family housing services. Family Housing is treated as a production customer (and therefore must pay a share of the activity overhead). At NIF activities where Public Works is an overhead function, development of requirements for each fiscal year should be developed on the same basis as formerly described for Facilities Management, utilizing a similar budget panel. The big difference at the NIF activity is that the PWD need go no higher than the activity Commanding Officer for approval of his budget. Family Housing budgeting is performed exactly as for other activities except that the overhead charges of the NIF activity must be applied.

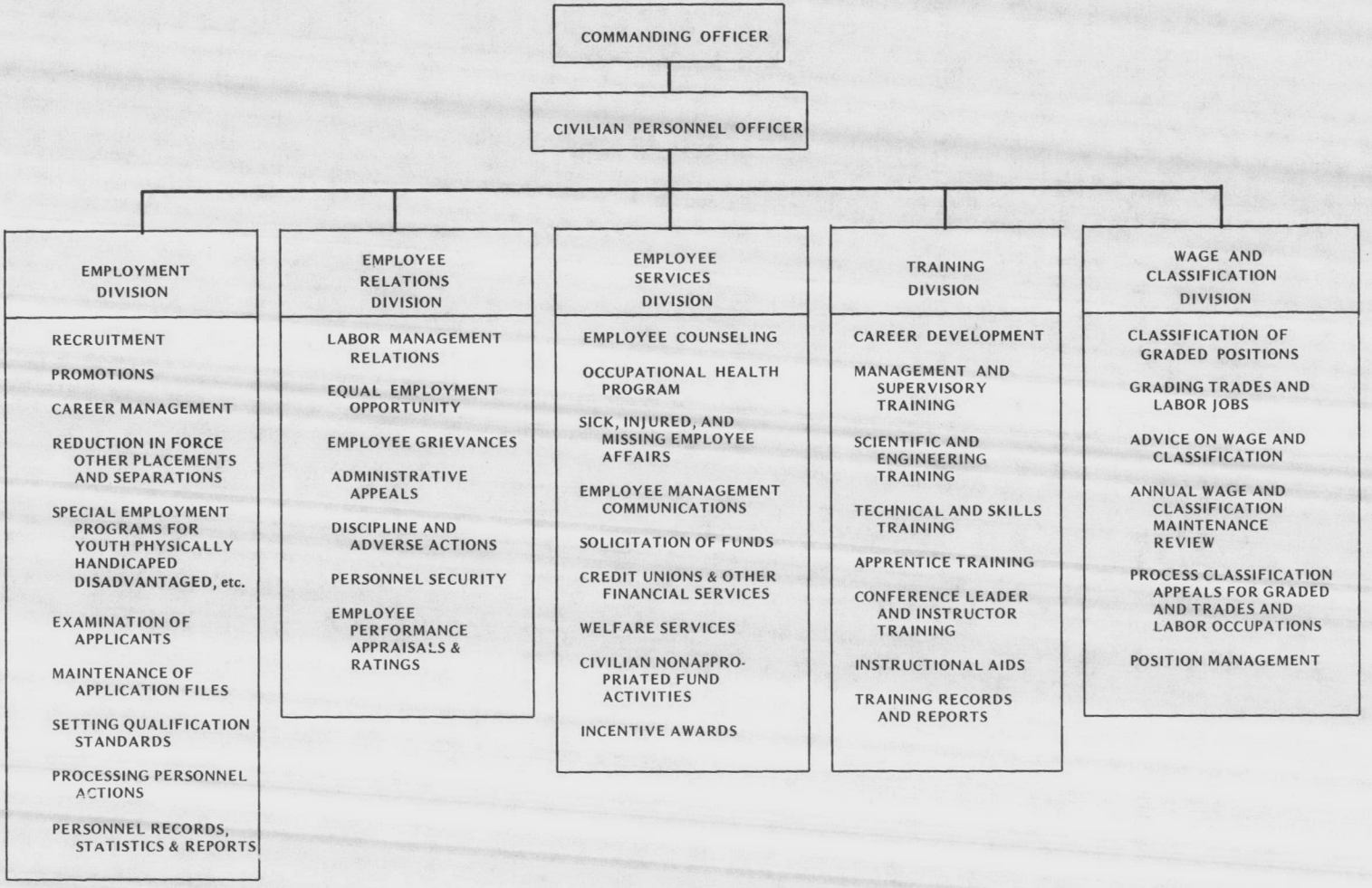
13.3.6 What About Public Works Centers? PWC's are NIF activities whose product is Public Works Services, Customer activities therefore support the full cost of operating the Center, including overhead. PWC budgeting is covered in detail in Part B of this manual.

INTRODUCTION

All Naval Shore activities require civilian personnel and their services. Civilian personnel are administered and managed by a series of laws, regulations and policies promulgated on the Washington level and executed by the Commanding Officer on the activity level.

Resources for such execution of these laws, regulations and policies are part of the general staff of the Commanding Officer. The staff assistant for civilian personnel is generally vested with the title: Civilian Personnel Officer who heads up the department entitled Civilian Personnel. Functions and organization of this department are shown in Figure 14-1.

One of the most important things for a Public Works Officer (PWO) to remember is that the Civilian Personnel Officer is a key member of management and should be consulted on any and all matters of civilian personnel administration.



ORGANIZATION CHART OF A
TYPICAL ACTIVITY CIVILIAN PERSONNEL OFFICE
FIGURE 14-1

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PART 1 - GENERAL

14.1.1 Civil Service Reform Act - 1978 and its Organization. On October 13, 1978, President Carter signed the Civil Service Reform Act, designed to improve government efficiency and to balance management authority with employee protections. Among the major features of the Act are an independent and equitable appeals process; protection against abuse of the merit system; and incentives and rewards for good work and skilled management.

Most of the provisions of the Civil Service Reform Act took effect in January 1979.

Together with these reforms, Congress approved Reorganization Plan No. 2, also effective in January 1979, to divide the functions of the present U.S. Civil Service Commission between two new agencies-an Office of Personnel Management (OPM) and an independent Merit System Protection Board (MSPB). The Plan also establishes a new Federal Labor Relations Authority (FLRA) to oversee Federal labor-management policies and to provide leadership in administering these policies.

Under a separate authority, Reorganization Plan No. 1 of 1978, the Equal Employment Opportunity Commission will take over from the Civil Service Commission the leadership and enforcement of provisions of the Civil Rights Act affecting the Federal Government. This transfer of functions, also to occur in January 1979, will include hearing and resolving certain discrimination complaints.

The New Organization for Personnel Management

As a result of Reorganization Plan No. 2, the U.S. Civil Service Commission will be abolished in January 1979, and its functions divided between two new agencies. An Office of Personnel Management (OPM) will provide leadership in managing the Federal work force. An independent Merit Systems Protection Board (MSPB) will resolve employee complaints and appeals. A third new agency, the Federal Labor Relations Authority (FLRA), will administer the Federal labor relations program and investigate unfair labor practices.

The functions of the new agencies are described below:

Office of Personnel Management (OPM). The Office of Personnel Management wil help the President carry out his responsibilities for management of the Federal work force. The Office will be headed by a director and deputy director appointed by the President and confirmed by the Senate.

OPM will take over many of the current responsibilities of the Civil Service Commission. These include central examining and employment operations, personnel investigations, personnel program evaluation, executive development, and training. OPM will also administer the retirement and insurance programs for Federal employees and will exercise management leadership in labor relations and affirmative action.

As the central personnel agency, OPM will develop policies governing civilian employment in Executive branch agencies and in certain agencies of the Legislative and Judicial branches, and will help agencies carry out these policies. Subject to its standards and review, OPM will also delegate certain pesonnel powers to agency heads.

Merit Systems Protection Board (MSPB). The Merit Systems Protection Board will be the independent agency to safeguard both the merit system and individual employees against abuses and unfair personnel actions. The MSPB will be headed by three board members, appointed on a bipartisan basis to 7-year nonrenewable terms. The Board will hear and decide employee appeals and order corrective and disciplinary actions against an employee or agency when appropriate. It will also oversee the merit system and report annually to Congress on how the system is functioning.

The Federal Employee Appeals Authority and Appeals Review Board will be abolished when MSPB is created.

Within the MSPB will be an independent Special Councel, appointed by the President for a 5-year term. The Special Counsel will have the power to investigate charges of prohibited personnel practices, including reprisals against whistleblowers; to ask MSPB to stop personnel actions in cases involving prohibited personnel practices; and to bring disciplinary charges before the MSPB against those who violate merit system law.

Federal Labor Relations Authority (FLRA). The Federal Labor Relations Authority will oversee the creation of bargaining units, supervise elections, and deal with labor-management issues in Federal agencies. The FLRA will be headed by a chairman and two members, who will be appointed on a bipartisan basis to staggered 5-year terms. (This agency will replace the Federal Labor Relations Council.)

Within the FLRA, a General Counsel, appointed to a 5-year term, will investigate alleged unfair labor practices and prosecute them before the FLRA. Also within the FLRA and acting as a separate body, the Federal Service Impasses Panel will, as it does now, resolve negotiation impasses. See Figure 14-2.

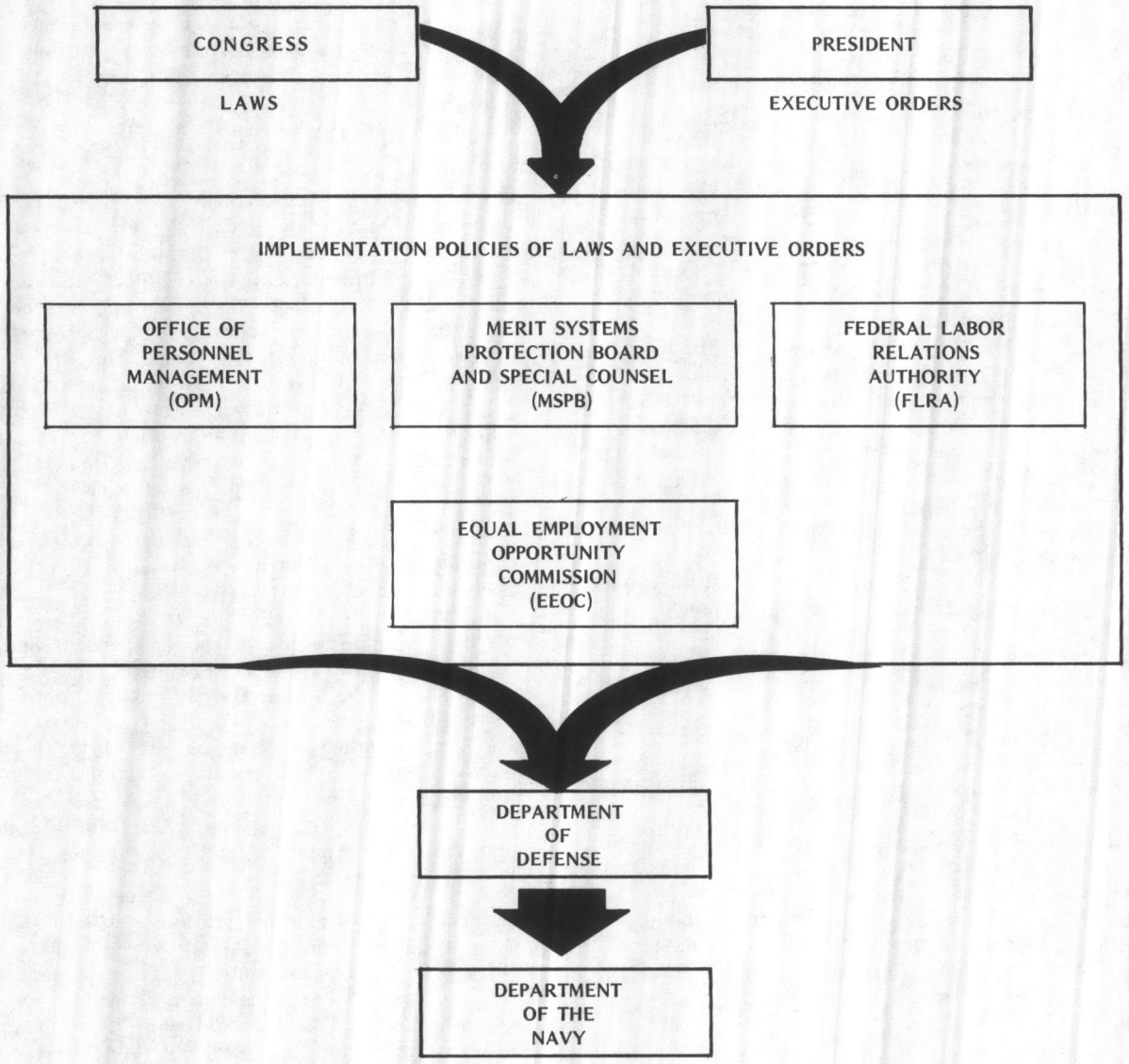

FIGURE 14-2
FEDERAL CIVILIAN PERSONNEL ORGANIZATION

14.1.2 Merit System Principles and Prohibitive Personnel Practices

Merit System Principles

Prohibited Personnel Practices

For the first time in law, nine basic merit practices will govern all personnel practices in the Federal Government. The law also defines prohibited practices, and requires disciplinary action to be taken against offenders.

Personnel Practices and Actions in the Federal Government Require:

- Recruitment from all segments of society, and selection and advancement on the basis of ability, knowledge, and skills, under fair and open competition.
- Fair and equitable treatment in all personnel management matters, without regard to politics, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for individual privacy and constitutional rights.
- Equal pay for work of equal value, considering both national and local rates paid by private employers, with incentives and recognition for excellent performance.
- High standards of integrity, conduct, and concern for the public interest.
- Efficient and effective use of the Federal work force.
- Retention of employees who perform well, correcting the performance of those whose work is inadequate, and separation of those who cannot or will not meet required standards.
- Improved performance through effective education and training.
- Protection of employees from arbitrary action, personal favoritism, or political coercion.
- Protection of employees against reprisal for lawful disclosures of information.

Officials and Employees Who Are Authorized to Take Personnel Actions Are Prohibited From:

- Discriminating against any employee or applicant.
- Soliciting or considering any recommendation on a person who requests or is being considered for a personnel action unless the material is an evaluation of the person's work performance, ability, aptitude, or general qualifications, or character, loyalty, and suitability.
- Using official authority to coerce political actions, to require political contributions, or to retaliate for refusal to do these things.
- Willfully deceiving or obstructing an individual as to his or her right to compete for Federal employment.
- Influencing anyone to withdraw from competition, whether to improve or worsen the prospects of any applicant.
- Granting any special preferential treatment or advantage not authorized by law to a job applicant or employee.
- Appointing, employing, promoting, or advancing relatives in their agencies.
- Taking or failing to take a personnel action a a reprisal against employees who exercise their appeal rights; refuse to engage in political activity; or lawfully disclose violations of law, rule, or regulations, or mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to public health or safety.
- Taking or failing to take any other personnel action violating a law, rule, or regulation directly related to merit system principles.

14.1.3 New Performance Appraisal Systems. In January 1979, the current government-wide requirement for adjective performance ratings (outstanding, satisfactory, unsatisfactory) will be repealed so that each agency may develop and phase-in its own appraisal system(s). The new systems will be fully effective in most Federal departments and agencies by 1981.

Performance appraisals under the new systems will be a basis for decisions to train, reward, assign, promote, demote, retain, or remove employees (for reasons other than misconduct). Agencies will be encouraged to have employees participate in establishing performance objectives for their jobs.

Specifically, new appraisal systems must make it possible for agencies to:

- advise employees on what the critical elements of their jobs are;
- establish performance standards that will permit accurate evaluation of job performance on the basis of objective, job-related criteria;

- assist employees to improve unacceptable performance; and
- reassign, demote, or remove those employees whose performance continues to be unacceptable, but only after they have been given an opportunity to show that they can perform acceptably and have failed to improve.

The Act requires agencies to inform employees of the critical elements and performance standards of their jobs by October 1, 1981. During the iterim period, OPM will require agencies to provide written warnings to employees prior to the initiation of demotion or removal actions based on poor performance.

If an agency proposes to remove or demote an employee because of poor performance, and if that employee's performance becomes acceptable and remains acceptable for one year, the record of the poor performance will be removed from agency files.

14.1.4 New Procedures for Adverse Actions and Appeals. Beginning in January 1979, adverse actions, such as removals, suspensions for over 14 days (instead of 30), and reductions in grade or pay, may be appealed to the Merit Systems Protection Board. Employees in organized bargaining units may be able under their negotiated agreements to ask their union to seek arbitration instead of appealing to MSPB.

Appeals now pending before the Federal Employee Appeals Authority or the Appeals Review Board will be sent to MSPB for completion.

If an agency proposed to demote or remove an employee because of unacceptable performance, that employee is entitled to:

- receive written notice from the agency 30 days before the proposed action;
- be represented by an attorney or other representative;
- answer orally and in writing within a reasonable time; and
- receive a written decision (agreed to by a higher level supervisor than the one who proposed the action) which states the reason for the action.

An agency's final decision will be provided in writing within 30 days after the end of the notice period.

If any agency decides to demote or remove an employee at the end of the notice period, the employee may appeal to the MSPB for a hearing, or, if within a bargaining unit, the employee may use the grievance arbitration procedure. The agency's decison will be upheld if it is shown by substantial evidence that the employee failed to meet performance standards for one or more critical elements of the job. For adverse actions based on grounds other than poor performance, an agency's decision to remove an employee must be supported by a preponderance of evidence.

Any agency's decision will not be upheld if an employee shows that the decision:

- was based on harmful procedural errors on the part of the agency;
- was based on any prohibited personnel practice; or
- was unlawful.

The same standards will apply whether the adverse action is appealed to MSPB or resolved by an arbitrator.

Agencies whose decisions are reversed may be required in certain cases to pay employees for reasonable attorney fees. These payments might occur in cases where agencies engaged in prohibited personnel practices.

Decisions or orders of MSPB will be appealable to the U.S. Court of Appeals, or, in matters of pay, the Court of Claims.

Complaints Involving Discrimination

In January 1979, there will be new procedures to handle discrimination complaints in two situations.

The first situation includes agency actions which the employee claims were discriminatory and which are of a type that may be appealed to MSPB (e.g. removals and demotions). These are called "mixed cases." An agency will have 120 days to try to resolve the discrimination issue by using counseling and investigation. If an employee is not satisfied with the final agency decision, or if time runs out, that employee may appeal to MSPB. Instead of going to MSPB with a "mixed case," the union may call for grievance arbitration.

An employee may not directly appeal a "mixed case" to the Equal Employment Opportunity Commission (EEOC). However, an employee may ask EEOC to review the MSPB decision. Other steps would be followed if EEOC and MSPB do not agree.

The second type of situation includes discrimination complaints about actions or failures to act which are not appealable to MSPB (e.g. promotions or working conditions.) In this case, an employee may appeal the final agency action to EEOC, or a union may call for grievance arbitration procedures. Appeals to EEOC will follow the current procedures for processing discrimination

complaints. MSPB will play no part in these decisions.

Regardless of whether the decision is made by MSPB, EEOC, or an arbitrator, an employee will have the right to appeal that decision to a U.S. District Court.

EEOC will also be responsible for approving agency goals and timetables in affirmative action plans.

14.1.5 Special Counsel Protections. The Special Counsel to the Merit Systems Protection Board will be, in effect, an independent investigator and prosecutor. This individual will be appointed by the President for a 5-year term.

Specifically, the Special Counsel will investigate charges that agency officials:

- undertook prohibited personnel practices, including reprisals against whistleblowers;
- engaged in prohibited political activity;
- withheld information under the Freedom of Information Act without just reason;
- discriminated in violation of law; or
- carried out activities prohibited by any other civil service law, rule, or regulation.

After these investigations, the Special Councel may bring disciplinary charges before the MSPB against officials if the evidence shows a probable violation. They may be reprimanded, removed, fined, or barred from Federal employment.

As a new feature, the Special Counsel will have authority to protect *whistleblowers.* Whistleblowers are those employees or applicants who expose practices which they reasonably believe to be a violation of law, rule, or regulation, or which they believe constitute mismanagement, gross waste of funds, abuse of authority, or a danger to public health or safety. Employees or applicants who make disclosures specifically prohibited by law or Executive order will not be protected.

The Special Counsel will investigate charges of reprisal without revealing the identity of the whistleblower, and may petition any member of the MSPB to stop any personnel action while the matter is under investigation. The results of the investigation will be reported to the whistleblower.

Agencies may be required to conduct investigations and prepare reports on the substance of complaints made by whistleblowers. In such cases, the Special Counsel will review the agency reports to determine whether they contain sufficient information and whether the findings appear reasonable. Copies of the agency reports will be sent to the President and to Congress, and to the persons who filed the complaints.

14.1.6 Changes in Federal Labor Relations. The Civil Service Reform Act contains a number of new provisions which will clarify the roles and responsibilities of labor organizations and which will, to an extent, expand the rights of employees in collective bargaining units.

The Act affirms the basic rights of Federal employees to form, join, and assist labor organizations (or to refrain from doing so). It prohibits strikes and work slowdowns, as well as picketing that interferes with government operations.

For most matters, employees working in organized bargaining units must use the grievance arbitration procedures negotiated by the union. However, an exception is made for adverse actions and discriminations complaints. In such cases, employees may use either the negotiated procedures or the appeals procedure. The union is required to represent all employees in the bargaining unit who choose the negotiated procedures, whether or not they are members of the union.

The issues subject to collective bargaining will remain generally the same as at present. However, departments and agencies (such as OPM, OMB, and GSA) which issue government-wide regulations affecting Federal employees, will be required to consult with labor organizations representing a substantial number of employees over any substantive changes. In addition, a union that represents, in one bargaining unit, a majority of affected employees will be able to negotiate without regard to their own agency's regulations on matters otherwise within the scope of bargaining.

The Act makes all types of management actions subject to collective bargaining unless specific "management rights" exist. These reserve to agency officials the authority to make decisions and take actions which are not subject to the collective bargaining process, and exclude bargaining on Federal pay and benefits or nonvoluntary payments to unions by employees. The changes in the management rights area will: (1) *prohibit* agencies from bargaining on mission, budget, organization, number of employees, or internal security; and (2) *permit,* but not require, them to negotiate over the methods, means, and technology of conducting agency operations. Management will have the right to determine whether vacant positions may be filled only by the persons within the agency or by persons within and outside the agency.

Other new provisions in the Act include:

A time limit of 45 days for agency heads to decide if a proposed action is negotiable. This decision will be appealable to the Federal Labor Relations Authority.

Court enforcement of FLRA decisions and orders, including judicial review in unfair labor practice cases.

- Provisions for back pay and attorney fees for employees subject to unjustified or unwarranted personnel actions.
- Dues withholding-based on voluntary allotments by employees-at the exclusive union's request. (Allotments are irrevocable for one year, and the withholding service is at no charge to the employee or labor organization.)
- Official time during regular working hours for employees representing unions in negotiations.

14.1.7 Other Features of the Civil Service Reform Act.

- Agencies will conduct MINORITY RECRUITMENT PROGRAMS to help eliminate underrepresentation of minority groups in the Federal work force. The Office of Personnel Management and the Equal Employment Opportunity Commission will provide guidelines and assistance.

- NONPAID WORK BY STUDENTS in connection with educational programs is permitted, provided they do not reduce opportunities for regular employees.

- Employees who would otherwise be separated under reductions inforce may be RETRAINED for jobs in other agencies.

- Until January 1981, the TOTAL NUMBER OF CIVILIAN EMPLOYEES in the Executive branch is limited to the number of employees on board as of September 30, 1977. (Postal Service and Postal Rate Commission employees are excluded from this total.)

- Employees who are age 50 with 20 years of service, or who, regardless of age, have 25 years of service, may choose EARLY RETIREMENT in major reorganizations, transfers of function, or reductions-in-force.

- OPM must notify the U.S. Employment Service about competitive examinations it administers. Agencies must provide both OPM and the U.S. Employment Service EMPLOYMENT INFORMATION about positions for which they are seeking candidates outside of the civil service system.

  THE MOBILITY PROGRAM authorized the Intergovernmental Personnel Act has been extended to include additional types of organizations and individuals. Federal employees who accept these assignments must return to the Federal Government for a period equal to that of the assignment.

- Subject to its standards and review, OPM may DELEGATE AUTHORITY FOR PERSONNEL MANAGEMENT FUNCTIONS, including certain competitive examinations, to the heads of agencies employing persons in the competitive service.

- The COMBINED RETIREMENT PAY AND FEDERAL CIVILIAN SALARY received by future retirees of the uniformed services may not exceed the pay for Executive Level V.

- Federal agencies are authorized to adopt OPM's MERIT SYSTEM STANDARDS as a personnel requirement for grants to state and local governments.

PART 2 - The Navy Department and Civilian Personnel.

14.2.1 Organization and Functional Responsibilities for Civilian Personnel Management

A. The Secretary of the Navy retains and delegates the following functions to the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics): See Fig. 14-3.

1. Formulation and issuance of Department of the Navy guidance/direction on civilian personnel policies and equal employment opportunity policies.

2. Representation of the Department of the Navy with the Office of the Secretary of Defense, the other military department, the Civil Service Commission, and other external agencies in all matters affecting civilian personnel and equal employment opportunity policy, except as delegated to the CNO in specific instances.

3. Formulation of Department of the Navy positions on legislation, proclamations, and executive orders affecting civilian personnel policy and equal employment opportunity policy.

4. Providing civilian personnel policy and equal employment opportunity policy guidance, and coordination to Department of the Navy nonappropriated fund employees.

5. Monitoring and evaluation of Department of the Navy civilian personnel, Equal Opportunity and Equal Employment Opportunity programs to assure effectiveness and compliance with law, regulations and SECNAV guidance and policies.

B. The position of Deputy Assistant Secretary of the Navy (Civilian Personnel (DASN(CP)) in the Office of the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics)

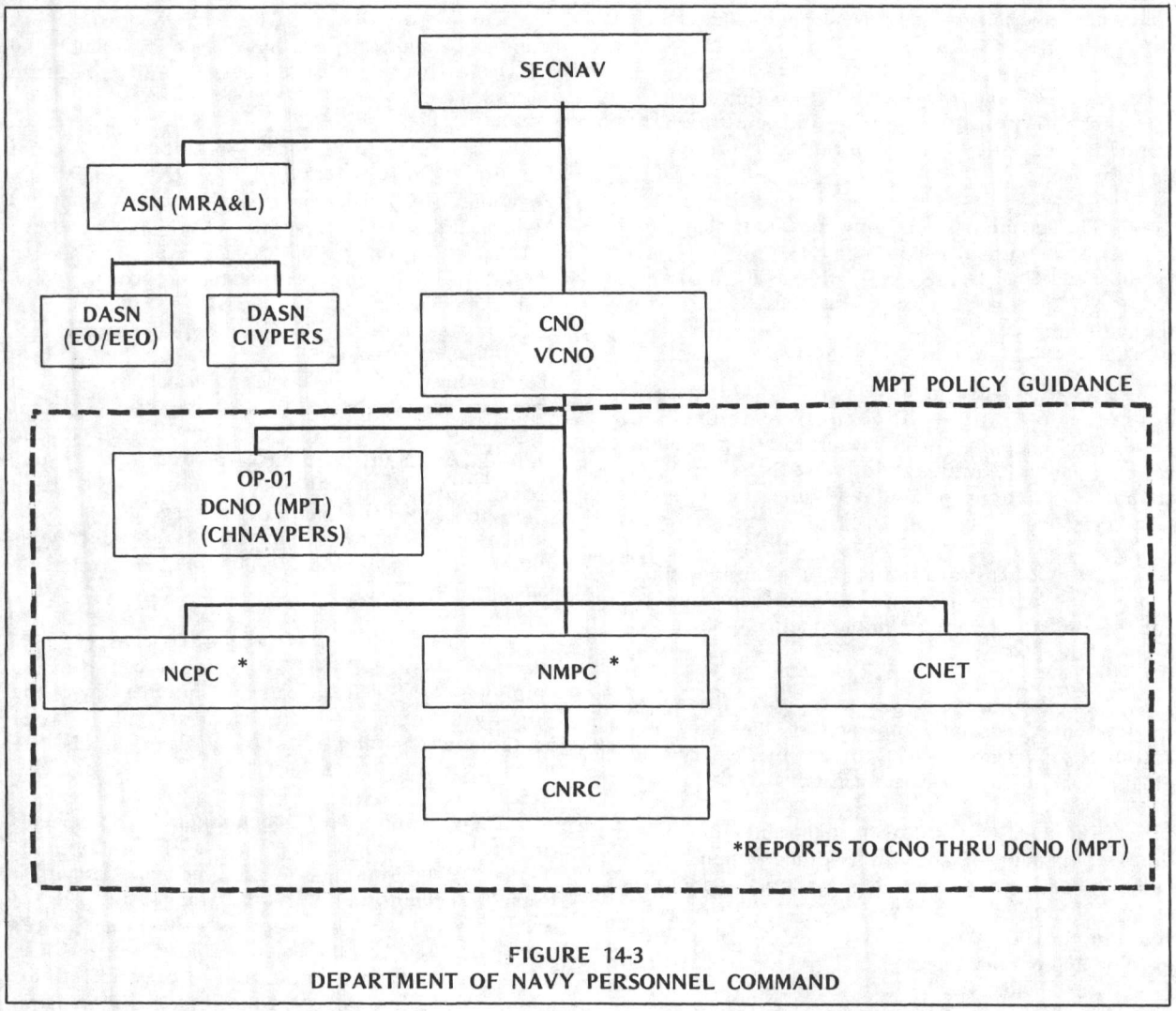

FIGURE 14-3
DEPARTMENT OF NAVY PERSONNEL COMMAND

(ASN(M,RA&L)) is established. The DASN (CP) will assist the ASN (M,RA&L) in carrying out the following responsibilities:

1. Formulate and promulgate policy guidance on civilian personnel matters within the Department, covering appropriated and nonappropriated fund personnel.

2. Support the ASN as functional head of the civilian personnel career program and chairman of the Board of Governors of the program.

3. Coordinate and ensure appropriate consistency of application and representation of civilian personnel matters between Navy and Marine Corps.

4. Evaluate the civilian personnel programs of the Navy and Marine Corps with respect to effective policy and program execution and performance.

5. Formulate Department of the Navy position on legislation, proclamations and executive orders affecting civilian personnel policy.

6. Represent Department of the Navy with the Office of the Secretary of Defense, other military departments, Civil Service Commission and other external agencies on matters affecting civilian personnel policy, except as delegated to the CNO and the CMC in specific instances.

C. The DASN (CP) will:

1. Chair and administer the Department of the Navy Labor Relations Council with representation from the Secretariat, CNO, CMC, OGC and Special Assistant Non-appropriated Funds (SANAF).

2. Chair and administer the Department of the Navy Civilian Personnel Policy Council with representation from the Secretariat, CNO, CMC,

OGC and Special Assistant Non-appropriated Funds (SANAF).

3. Manage the on-site evaluation both of civilian personnel and of equal employment opportunity policy and program execution and performance.

D. The position of Deputy Assistant Secretary of the Navy (Equal Opportunity (DASN (EO)) is established. The DASN (EO) will assist the ASN (M,RA&L) in carrying out the following responsibilities:

1. Formulate and promulgate policy guidance on equal opportunity and equal employment opportunity within the Department covering military, active and reserve personnel, and civilian, both appropriated and non-appropriated fund, personnel.

2. Coordinate and ensure appropriate consistency of application and representation of equal opportunity/equal employment opportunity between the Navy and Marine Corps.

3. Evaluate the equal opportunity/equal employment opportunity programs of the Navy and Marine Corps with respect to effective policy and program execution and performance.

E. The DASN (EO) will chair and administer the Department of the Navy Equal Opportunity Policy Council with representatives from the Office of the Secretary of the Navy, CNO, CMC, OGC, and the Special Assistant to the ASN (M,RA&L) for Non-appropriate Funds.

F. In order to implement the transfer of functions and responsibilities, the CNO will establish the position of Assistant Deputy Chief of Naval Operations (Civilian Personnel/EEO), (ADCNO (CP/EEO)). Within the Office of the Chief of Naval Operations, the Deputy Chief of Naval Operations (Manpower, Personnel and Training), (DCNO (M,P&T)), will be tasked with implementation of CNO civilian personnel management and equal employment opportunity responsibilities. For the CNO, the DCNO (M,P&T), with the assistance of the ADCNO (CP/EEO), will be responsible for the following:

1. Develop and issue civilian Department of the Navy personnel directives and guidance (Civilian Personnel Instructions and Civilian Personnel Letters) based on policies established by the Secretary of the Navy.

2. Develop and issue Navy EEO implementing directives and guidance based on policies established by the Secretary of the Navy.

3. Coordinate the efforts of Navy commands and activities in civilian personnel and EEO policy implementation and program performance.

G. The incumbent of the position of Assistant Deputy Chief of Naval Operations (Civilian Personnel/EEO) will serve as Special Assistant for Civilian Personnel/EEO to the DASN (CP) and the DASN (EO). In this regard the ASN (M,RA&L) should participate in the selection process when filling the position of ADCNO (CP/EEO). The Special Assistant for Civilian Personnel/EEO has the following responsibilites: serve on the staff of the Secretary of the Navy as principal assistant and provide staff support to the Deputy Assistant Secretary of the Navy (Civilian Personnel) and Deputy Assistant Secretary of the Navy (Equal Opportunity) for the development of civilian personnel and EEO policy. In carrying out these responsibilities, the incumbent in this position is authorized to sign "By direction of the Secretary of the Navy" in:

1. Issuing Civilian Marine Personnel Instructions (CMPI's); according recognition to employee organizations at the national level and approving/disapproving negotiated labor agreements; and adjudication of wage grade and position classification appeals.

2. Approval of memoranda or agreements of understanding among the DOD components relating to uniform policies and practices. Many of these agreements involve setting conditions of employment for foreign national employees overseas. Significant or controversial subjects will be brought to the attention of, or referred for approval of, the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics).

3. Matters involving unresolved differences between CNO (ADCNO (CP/SACP/EEO) and CMC, will be referred to the Assistant Secretary of the Navy (Manpower, Reserve Affairs and Logistics) for resolution. Services provided to the Marine Corps will continue under a Memorandum of Agreement.

H. Redesignate the Capital Area Personnel Services Office, Navy (CAPSO-N) as the Navy Civilian Personnel Command and organizationally assign as a second echelon command, reporting to the CNO, with the following repsonsibilities:

1. Operate centrally managed civilian personnel programs, such as the Administrative Co-op, personnel and management training and centralized recruiting.

2. Command and manage the NCPC Field Divisions and centrally managed consolidated

civilian personnel offices (third echelon organizations).

3. Operate the civilian personnel security program, and operate the civilian personnel management information system (MIS) for eventual integration in the total force MIS.

I. The Federal Personnel Manual (FPM) contains the Civil Service regulations and guidelines on every aspect of personnel managing; hiring, firing, training, negotiating, paying, granting leave, appealing, handling grievances, etc. The Navy Civilian Manpower Management Instructions (CMMIs) supplement the FPM with our guidance on civilian personnel management. The CMMI´s are interleaved throughout the FPM where Navy interpretations or additional guidance is necessary. Each civilian personnel office has A CMMI/FPM volume which is available to any Department of the Navy manager or employee.

PART 3 - STAFFING THE PUBLIC WORKS DEPARTMENT

14.3.1 Organization. The first step in organization is to establish the type and number of positions that will be required for the performance of allotted tasks at an activity, or unit within an activity.

On the basis of the organization, each Navy activity is assigned a definite Fiscal Year end strength target for civilian positions. Previously, activities operated under personnel ceilings, which could not be exceeded without prior permission from the sponsor command or bureau.

The end-year target employment level is usually set by the sponsor command or office for an activity as a whole; the various billets are assigned to the department and other units according to comparative workloads. The employment strengths may be temporarily exceeded provided the activity budget contains funds for temporary hires; if not, sponsor bureau or office permission is necessary. A PWO who must plan the organization of his department will find it advisable to refer to the suggestions and guidelines given in NAVFAC P-318, *Organization and Functions for Public Works Department.*

OPNAVINST P5310.5A, Section 50, *U.S. Navy Staffing Criteria Manual for Activities Ashore* (Public Works Section), gives a general description of key billets and outlines qualitative and guantitative personnel requirements, both military and civilian, for each type and size of public works activity.

Another source from which the PWO can obtain advice and assistance with the work of establishing civilian jobs and positions is the cognizant Engineering Field Division. The staff of this latter office will usually include some person with the necessary knowledge and experience to help in setting up positions.

The Classification Act of 1949 differentiates between two categories of employment - graded and ungraded.

14.3.2 Graded Positions. In the case of graded positions, position descriptions must be prepared by each new position and each changed position, showing its duties and responsibilities. Analysis and evaluation of the position by the proper authority (usually the Civilian Personnel Office of the activity) will result in the classification of the postion; that is, the proper grade, title and pay will be determined. This process of classification is discussed more fully in a later section, Position Classification.

14.3.3 Ungraded Positions. In the Navy, ungraded jobs are grouped into categories called positions. A position includes all jobs which are sufficiently alike in duties and qualification requirements that:

A. They can logically be called by the same title.

B. The same range of locality pay rates can be applied to them with equity.

C. The same test of fitness can be applied satisfactorily for recruitment and placement.

Each activity must have on file a job description for each rating it is using. Since many positions in the Public Works Department are ungraded, the PWO should become familiar with FPM 532, the Federal Wage System (FWS).

PART 4 - THE POSITION DESCRIPTION

14.4.1 The Position Description. A position description is an official written statement of the major duties, responsibilities, and supervisory relationships of a position. Because positions exist in such great variety, the form of a description cannot be predetermined, and it is usually simply typed on plain paper and attached to a copy of form NAVSO 12510/7 (Rev. 10-67), Position or Job Description, a cover sheet used for purposes of identification or certification.

A. When We Need Position Descriptions. A position description is needed when a new position is established. A new description is also needed when any of the duties, responsibilities, or organizational capacities of a previously established position have been, materially, changed. In this case, the position will have changed, and might therefor require new classification action.

B. Preparation of a Position Description (PD). In developing a PD, too much detail can result in obscuring the essential facts. Therefore, it is wise to be as brief and concise as possible rather than to submit a long, involved description covering, for example, 8 or 10 pages.

However, the data on the PD must be clear, complete, and accurate, so as to provide an adequate basis for the classification. The position classifier who will use the PD to make the classification recommendation, is trained in the application of classification standards, but he is dependent upon the PD for the facts in each specific case.

14.4.2 Instructions for Preparing Descriptions of Graded Positions (NAVEXOS 12510/7A)

A. General Information. Descriptions should be written in plain, clear language using short, factual statements. General, indefinite terms and vague expressions should not be used. Abbreviations, form numbers, and phrases which have no meaning outside the immediate office should not be used. Conclusions or opinions about the difficulty of the work should not be given. Descriptions prepared in accordance with this format will facilitate their processing and classification.

B. Primary Standards

1. Knowledge Required by the Position
2. Supervisory Controls
3. Guidelines
4. Complexity
5. Scope and Effect
6. Personal Contacts
7. Purpose of Contacts
8. Physical Demands
9. Work Environment

The primary standards noted above are referred to as the "Nine Factor Evaluation System" component. These items are described in detail in Civil Service Commission Publication TS27 of May 1977. Also in this publication are descriptions of primary standards, a postion evaluation statement, how to write a position description as well as a host of data germane to position descriptions. This publication should be used in all cases where positions descriptions are being written, rewritten or reviewed.

14.4.3 Review and Audit. When the posititon classifier receives a PD, he reviews it to determine level of difficulty and responsibility. The classifier may have to make a work audit in order to amplify or clarify some aspects of the position. When this is done the classifier prepares audit notes which are attached to and become part of the PD.

14.4.4 Who Writes Position Description?

A. Managements Responsibility. Line management is fully and exclusively responsible for deciding what the duty and responsibility content of each position shall be. Line management may add, remove, or change assignments at any time. Thus line management is responsible for currency and adequacy of position descriptions. Assuming that a position description meets these objectives and serves the purposes mentioned above, it is of little consequence who prepares it. The development of factual information regarding the duties and resonsibilities of civilian positions in the Navy is a primary responsibility of individual commands. Inherent in this responsibility is the right to determine who should prepare position descriptions.

B. The Supervisors Responsibility. The immediate supervisor is responsible for initiating classification action in most cases. In all cases he is responsible for seeing that an accurate presentation of relevant facts is made. He should, therefore, direct the preparation of each needed description. In cases such as the following, the supervisor should ordinarily write the description:

1. When the work of the position is not being regularly performed by one person, either because no employee has yet been assigned the duties of the position or because its incumbent is on extended absence.

2. When the work of the position is being performed by a recently assigned employee who is not yet well acquainted with it and there is good reason for not delaying preparation of the description until he becomes well acquainted with the work.

3. When the work of the position is undergoing, or is about to undergo, material change and there is good reason for not delaying preparation of the description until the incumbent becomes well acquainted with his assignments as changed.

C. The Incumbents Role. Regardless of who prepares a position description, if the work of a position is being regularly performed by one person, that person is an important source of information about the position. It is, therefore, a widespread practice to have such persons either prepare the descriptions or participate in their preparation. When an incumbent writes the description he should be counseled by his supervisor through a discussion of the position and the approach to be taken in describing it, before he begins to write the description.

D. Review by the Supervisor. Regardless of who has written a position description, the supervisor

should review it for adequacy of information, clarity, accuracy, and over-emphasis or under-emphasis.

If an employee has any erroneous concepts of the scope of his work, the degree of his responsibilities, or the relation of his position to other positions, the supervisor should correct such misunderstandings at this time. Every attempt should be made to reach agreement between the employee and supervisor as to how the position should be described. If agreement cannot be reached, either may condition his certification of the description on NAVSO 12510/7 by attaching supplementary comments thereto. Any conflict thus raised will, of course, have to be resolved by the proper management officials before the position description can be acted upon.

If an employee's description shows the duties he has been performing to differ from an approved and desired plan of organization, the supervisor should make an appropriate change in the assignment. Classification action should be taken on an up-to-date description of the position as changed.

E. The Classifiers Role. The classifier is responsible for: (1) instructing employees and supervisors on how to write descriptions-either on an individual or group basis: (2) reviewing descriptions for adequacy-either in rough draft or final form: (3) writing descriptions when called upon to do so; and (4) determining the advisory classfication.

F. The Position Versus the Employee. Position classification involves classifying positions and not employees. The classifier is not permitted to take into account any of the personal qualities of the incumbent, such as his efficiency, loyalty, length of service, sex, race, color, or creed.

There are situations, however, where an employee's individual traits or abilities may affect the nature of the work he performs, and thus have a legitimate effect on the classification of his position. A particularly capable employee, for example, might be given duties and responsibilities beyond those originally prescribed for his position. Similarly, a highly qualified employee may change the method and levels of operation at which position requirements are carried out. This is especially true of professional specialists.

G. The Position Versus the Position Description. A PD is an official written statement of the duties, responsibilities and organizational relationships of a position. It does not prescribe the duties of the position-it merely *reports* them as they exist at any given time. It in no way interferes with any lawful authority an operating official may posses to detail an employee to different work on a temporary basis, or to change his work assignment on a continuing basis. In the latter case, the existing PD should be replaced by a new and current description.

H. Position Description versus Postion Classification Standards. A PD is a description of an individual position, and should be written in specific language to portray that position. A classfication standard is a description of the many positions comprising a class, and is necessarily more generalized in its approach. For this reason classification standards make poor basis for preparing PDs and should not be used for this purpose.

I. Classification versus Pay. Failure to recognize the distinction between classfication and pay often leads to agitation to classify positions improperly in attempts to solve pay problems. Basic principles of both classfication and pay demand that classfication problems be solved within framework of the classfication plan and that pay problems be solved within the framework of the pay plan.

Classification should never be used as a tool for adjusting pay rates, either up or down, for budget purposes, or to suit the present or future employee of the position. Position classifiers frequently encounter such situations, particularly with shortage category positions where recruitment is difficult because private industry is paying higher salaries for equivalent skills and knowledge. Likewise, it is a common occurrence for an employee or supervisor to attempt to get a position classifed to a higher grade to reward the employee for long service, quality, or quantity of work. Classification is not the solution. In some cases increased in-hiring rates within the grade may be recommended to the Civil Service Commission, in other cases, superior accomplishment awards may be granted and in still other cases additional duties and responsibilities may be assigned to positions to warrant higher grades through reclassification.

PART 5 - COMPENSATION

14.5.1 Pay Levels. The pay levels for graded positions are fixed by the salary acts passed by the Congress. The objective of this legislation is to provide equal pay for equal work. Each of the 18 grades of the Classification Act has an established salary range, and the incumbent of a grade moves upward within the grade, in salary (step) increments. (See Figure 14-4).

In general, movement of an individual from one to the next higher of these increments depends upon the length of service at a grade step, and performance of the duties Employees who perform at an acceptable level of competence, as certified by the supervisor, are advanced to the next higher pay step within the range for the grade after serving the required period of time.

The Merit Pay System (MPS) is the pay system for supervisory and management officials of grades GM13 through 15 which, using performance appraisals, distributes a certain portion of the payroll to individuals in some proportion to the contribution of each individual employing organization. Performance standards are set, evaluated quarterly, and reviewed at the end of the rating period to ascertain the MPS member's success in meeting their stated performance objectives.

14.5.2 The Federal Wage System (FWS). FWS came into being in 1965 by a Presidential Order which directed the CSC to eliminate wage differences then existing between the same jobs in the same areas, as established by different agencies of the Federal Government. Under a National Wage Policy Committee, FWS policies have been established. Each agency is responsible for fixing and administering rates of pay for wage board (ungraded; blue collar, trades and crafts) employees of the agency. DoD Directive 5120.39 of 5 June 1968 established the Department of Defense Wage Fixing Authority.

Salaries for blue collar or wage employees are set in accordance with the Federal Wage System (FWS). The FWS is based on the principle that pay will be fixed in accordance with prevailing rates in the geographic area in which the position operates. The prevailing rates are set as a result of statistically valid wage surveys, conducted by local area wage survey committees, of the level or rates paid by private employers in the same local wage area for similar kinds and levels of work performed in the Federal Service. Non-supervisory wage positions and leaders are graded according to 15 levels. Based on the job description, each job is placed in the proper grade.

With satisfactory work performance an employee advances automatically to the second rate after 26 weeks of creditable service, to the third rate after 78 weeks of creditable service at the second rate, to the fourth and fifth two years (104 weeks) of creditable service at the third/fourth rate.

The outcomes of the activity of Wage Survey Committees are wage schedules which differ by region, but are compatible within regions. They reflect the wages paid by private employers within regions, (and in some instances rates paid in specified industries outside the local wage area) and are periodically updated.

In addition to the 15 wage level for non-supervisory employees and leaders, there are 19 supervisory wage levels, including (in descending order):

Superintendents, General Foremen or Foremen.

Supervisory grade level depends upon the range of responsibility, level of work supervised, and the complexity of work supervised, and the complexity of work operations supervised.

Each established area wage schedule has 5 rates of pay (steps) with the first and third step 4% below and above the second step, respectively and each of the fourth and fifty steps 4% above the previous step. A typical FWS wage rate schedule is shown in Figure 14-5.

14.5.3 Selection for and Appointment to Positions and Jobs. Selection for employment is one of the most important decisions a line manager makes. This decision is not made by the CPO who normally recruits candidates for employment, receives applications, prepares lists of eligibles for position/job openings; but selection of employees from eligible candidates is the responsibility of line officials.

Selection can be made from various sources (e.g., merit, promotion, OPM registers, voluntary applicants, re-assignments and special hiring program). These sources offer the line manager alternatives in staffing their respective organization.

In most cases, highly qualified candidates should be interviewed by the PWO or his designate(s). Employment interviewing is often done very poorly; a few words on this may be in order. Remember, the purpose of the interview is to gain sufficient position/job relevant information to enable the interviewer to choose the candidate with the greatest prospect of fulfilling management's expectations. The following is excerpted from *Employment Interviewing,* Personnel Methods Series 40.5, CSC:

What are the major methods that an interviewer uses to get an applicant to talk and yet get the information the interviewer wants? The major methods are:

1. The interviewer doesn't ask questions which can be answered "yes" or "no". Most of his questions are worded so that the candidate has to talk. He also repeatedly asks questions such as "How did you get interested in that?" and "How did you feel about that?"

2. The interviewer pauses for at least a few seconds after the applicant has seemingly finished before he asks any more questions in order to give the applicant a chance to talk further. On this point, it has been suggested that "knowing when not to inject onself into the interview is often as important as asking questions deftly.....The interviewer who feels he must fill every void of silence should know that his eagerness to talk is usually caused by

PAY RATES OF THE GENERAL SCHEDULE
(1 October 1980)

Step	1	2	3	4	5	6	7	8	9	10
GS-1	7,960	8,225	8,490	8,755	9,020	9,069	9,189	9,444	9,699	9,954
2	8,951	9,069	9,242	9,531	9,820	10,109	10,398	10,687	10,976	11,265
3	9,766	10,092	10,418	10,744	11,070	11,396	11,722	12,048	12,374	12,700
4	10,963	11,328	11,693	12,058	12,423	12,788	13,153	13,518	13,883	14,248
5	12,266	12,675	13,084	13,493	13,902	14,311	14,720	15,129	15,538	15,947
6	13,672	14,128	14,584	15,040	15,496	15,952	16,408	16,864	17,320	17,776
7	15,193	15,699	16,205	16,711	17,217	17,723	18,229	18,735	19,241	19,747
8	16,826	17,387	17,948	18,509	19,070	19,631	20,192	20,753	21,314	21,875
9	18,585	19,205	19,825	20,445	21,065	21,685	22,305	22,925	23,545	24,165
10	20,467	21,149	21,831	22,513	23,195	23,877	24,559	25,241	25,923	26,605
11	22,486	23,236	23,986	24,736	25,486	26,236	26,986	27,736	28,486	29,236
12	26,951	27,849	28,747	29,645	30,543	31,441	32,339	33,237	34,135	35,033
13	32,048	33,116	34,184	35,252	36,320	37,388	38,456	39,524	40,592	41,660
14	37,871	39,133	40,395	41,657	42,919	44,181	45,443	46,705	47,967	49,229
15	44,547	46,032	47,517	49,002	50,487*	51,972*	53,457*	54,942*	56,427*	57,912*
16	49,198	50,838*	52,478*	54,118*	55,758*	57,398*	58,500*	58,500*	58,500*	
17	53,849*	55,644*	57,439*	58,500*	58,500*					
18	58,500*									

*The asterisk shows grades and steps within grades that would not get any Office of Personnel Management salary increase because Congress has frozen federal salaries at $50,112.50.

FIGURE 14-4
GENERAL SCHEDULE OF PAY FOR CLASSIFIED EMPLOYEES

DEPARTMENT OF DEFENSE WAGE FIXING AUTHORITY
WASHINGTON, D. C. 20310

AC-013
21 OCTOBER 1980

FEDERAL WAGE SYSTEM REGULAR AND SPECIAL PRODUCTION FACILITATING
WAGE RATE SCHEDULES FOR THE WAGE AREA OF LOS ANGELES, CALIFORNIA*

WG WL-WS GRADE	WG RATES					WL RATES					WS-WD-WN RATES					WD-WN PAY LEVEL	
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5		
1	6.03	6.28	6.53	6.78	7.03	6.63	6.91	7.19	7.46	7.74	8.76	9.13	9.50	9.86	10.23		
2	6.37	6.64	6.91	7.17	7.44	7.01	7.30	7.59	7.88	8.18	9.11	9.49	9.87	10.25	10.63		
3	6.72	7.00	7.28	7.56	7.84	7.39	7.70	8.01	8.32	8.62	9.47	9.86	10.25	10.65	11.04	1	
4	7.07	7.36	7.65	7.95	8.24	7.77	8.09	8.41	8.74	9.06	9.79	10.20	10.61	11.02	11.42	2	
5	7.40	7.71	8.02	8.33	8.64	8.14	8.48	8.82	9.16	9.50	10.13	10.55	10.97	11.39	11.82	3	
6	7.74	8.06	8.38	8.70	9.03	8.52	8.87	9.22	9.58	9.93	10.46	10.90	11.34	11.77	12.21	4	
7	8.07	8.41	8.75	9.08	9.42	8.88	9.25	9.62	9.99	10.36	10.80	11.25	11.70	12.15	12.60	5	1
8	8.41	8.76	9.11	9.46	9.81	9.25	9.64	10.03	10.41	10.80	11.14	11.60	12.06	12.53	12.99	6	2
9	8.75	9.11	9.47	9.84	10.20	9.61	10.01	10.41	10.81	11.21	11.46	11.94	12.42	12.90	13.37	7	3
10	9.07	9.45	9.83	10.21	10.58	9.98	10.40	10.82	11.23	11.65	11.80	12.29	12.78	13.27	13.76	8	4
11	9.41	9.80	10.19	10.58	10.98	10.36	10.79	11.22	11.65	12.08	12.01	12.51	13.01	13.51	14.01	9	5
12	9.74	10.15	10.56	10.96	11.37	10.72	11.17	11.62	12.06	12.51	12.29	12.80	13.31	13.82	14.34	10	6
13	10.08	10.50	10.92	11.34	11.76	11.10	11.56	12.02	12.48	12.95	12.63	13.16	13.69	14.21	14.74	11	7
14	10.43	10.86	11.29	11.73	12.16	11.46	11.94	12.42	12.90	13.37	13.04	13.58	14.12	14.67	15.21		8
15	10.76	11.21	11.66	12.11	12.56	11.84	12.33	12.82	13.32	13.81	13.50	14.06	14.62	15.18	15.75		9
										WS-16	14.04	14.62	15.20	15.79	16.37		
										WS-17	14.63	15.24	15.85	16.46	17.07		
										WS-18	15.29	15.93	16.57	17.20	17.84		
										WS-19	16.02	16.69	17.36	18.03	18.69		

EFFECTIVE DATE: 1 OCTOBER 1980

*These rates are based on local prevailing wages—not a national scale; hence, each PW office must check with its local payroll office.

FIGURE 14-5

COORDINATED FEDERAL WAGE SYSTEM REGULAR WAGE RATE SCHEDULE

concern about his own comfort rather than concern for the applicant."

3. The interviewer tries several different subjects at the beginning to determine which subject is most provocative in getting the applicant to talk, although he returns to those topics on which the candidate froze in order to determine if the lack of response is significant.

4. The interviewer repeats parts of the key sentences of the applicant in a questioning tone to indicate that he wants elaboration.

5. The interviewer asks one question at a time.

6. The interviewer makes his questions clear but without indicating what he thinks the correct answer is.

7. The interviewer's manner is interested, his attention is uninterrupted, and neither his manner nor words imply criticism or impatience, or a critical attitude toward what is being said.

8. The interviewer doesn't ask highly personal questions until rapport has been established.

9. The interviewer doesn't bring the applicant abruptly back to the point when the applicant digresses.

10. The interviewer uses language which is appropriate for the applicant.

Interviewers frequently fall into the trap of trying to counsel applicants whom they have to reject for employment, perhaps in compensation for this rejection. This counseling is unwise for a number of reasons of which three may be emphasized. In the first place, most interviewers, no matter how skilled, do not have the additional training needed for vocational and personal guidance. Also, this guidance may be on matters on which the applicant needs much more help than the interviewer can provide in a few minutes. Finally the interviewer may be wrong in his conclusions. Guidance on matters beyond his competence might not always be dangerous but could certainly be laughable. For those and other reasons, vocational and personal guidance should be left to those with special training rather than being assumed gratuitously by employment interviewers.

The following checklist on the conduct of the interview may be useful to the interviewer:

1. Do I know in detail the characteristics of persons who will probably do best on the job to be filled?

2. Have I studied thoroughly the results of the other selection methods, including the application blank?

3. Do I have a complete list of questions for all applicants, based on an analysis of the information available about them?

4. Have I determined the topic or topics on interview I am going to use and have I a complete list of subjects for discussion?

5. Did I get each applicant to speak freely and yet to the point? Did I listen carefully to what was said and observe behavior at the same time?

6. Did I follow leads or did I stick to one pattern for all applicants?

7. Did I speak less than 35 percent of the time? Did I act in such a manner that it gave the applicant a chance to show his natural behavior?

8. Did I get reliable information on all the factors included on the rating form? Did I cover adequately all the items marked in the list of proposed topics? Did I ask expanding questions to be sure that I understood what was said?

9. Did the applicant leave with a favorable opinion of my organization?

If the answer to these questions is "yes", then the interview was conducted well".

When a candidate is selected by the responsible line official, and CPO is notified by the line official of the successful candidate, the CPO will proceed to effect the employment of the individual.

14.5.4 Career-Conditional Appointments. These appointments are the usual type of appointment given to eligibles selected from a civil service register to fill a position which will continue for more than 1 year. Such an appointee must serve a total of 3 years before he becomes a career employee.

The 3-year tenure is a requisite for CAREER status in the Federal service, but the first year is a probationary period intended to test the employee's fitness and general desirability.

14.5.5 Temporary and "TAPER" Appointments. Temporary limited appointments may be made to noncontinuing positions. Such appointments are not to exceed one year. Extensions require approval by the Office of Personnel Management. A continuing position in an activity may be filled by a person given a temporary appointment only under certain conditions: When no register has been established for the position, or when existing registers are

inadequate to satisfy the employment requirements. An incumbent of a temporary appointment continues to serve only until a register is established (temporary appointment pending establishment of a register- "TAPER"), and the OPM may direct displacement. Such an incumbent, of course, may take the appropriate examiniation, and compete for a career/career-conditional appointment.

The appointment of any person aged 70 years or over is always a temporary appointment, and may not exceed 1 year (although these appointments are renewable for 1-year periods).

No temporary appointment carries any probationary requirement since the incumbent cannot acquire competitive status or eligibility for reappointment after separation. Inasmuch as they have no competitive status, these incumbents may not be transferred, or promoted non-competitively to career or career-conditional appointment.

14.5.6 Hours of Work. For graded and ungraded positions, the basic workweek is fixed by law at 40 hours. These working hours should be scheduled on 5 days, Monday through Friday; when this is not possible, the 2 days outside of the basic workweek should be scheduled well in advance.

Overtime for graded and ungraded employees is defined as any period of time worked over and beyond the basic 8-hour work period in any day or in excess of 40 hours in an administrative workweek. To be eligible for overtime pay, overtime work must be ordered and approved by proper authority. The use of overtime should be restricted to cases of real necessity. If a supervisor "suffers or permits" an employee to work overtime (noon hour/after or before hours, etc.), the employee is entitled to compensation- Fair Labor Standards Act of 1974.

On legal holidays designated as nonwork days, employees are excused from work, but receive their regular pay. Except for New Year's Day (1 Jan), Independence Day (4 July). Thanksgiving Day (last Thursday in November) and Christmas Day (25 Dec), all legal holidays are observed on designated Mondays or Fridays. Graded and ungraded employees are given holiday premium pay for 8 hours or less of work performed on a holiday that is observed during the 40-hour basic workweek.

The Commanding Officer of an activity is authorized to schedule hours of work so that they will best meet operating needs but this authority must itself be excercised in the best interest of employees as well as of management.

PART 6 - ADMINISTRATION

14.6.1 Maintenance of Personnel Records. The PWO should not detail any of his staff to the task of keeping any personnel records that are available from either the personnel department of the activity, or the CPO.

Within the Public Works Department, the Personnel Branch of the Administration Division is responsible for all matters pertaining to time keeping and personnel records, and for maintaining necessary liaison with the CPO of the activity. As a result, one or two clerks are normally all that will be required for performing the work connected with the records required by the PWO. The latter should not step into the functions of the personnel department, and the Head of the Personnel Branch should not duplicate any services which the CPO stands ready to provide.

14.6.2 Leave Administration. The provision of leave for civilian employees is similar to that for naval personnel except that for civilian employees, annual leave and sick leave are measured in working days versus calendar days. However, the several different types of leave available for civilian personnel make the regulations somewhat complicated. A variety of situations may arise in connection with charging leave, and with maintaining leave records. The following discussion gives the general picture. When specific problems arise, the activity Civilian Personnel Department or FPM 630 will provide the correct answers.

A. Annual Leave. The use of annual leave should be approved beforehand, except in cases of emergency. Ultimate decision for approval rests with the supervisor, but employees should be encouraged to use their annual leave insofar as its use does not interfere seriously with work schedules. As long as the accrual and charging of leave are related to the standard workweek, computation of leave remains a routine matter. Public law 93-181, December 1973, brought about major changes in the administration of annual leave for Federal employees.

One significant change now permits the crediting of annual leave not used because of "exigencies of the public business" or sickness. The law states that an employee who forfeits annual leave because: (1) operational demands did not permit its usage, or (2) because of personal illness, may now have the leave credited to a "special" leave account, upon submission of SUFFICIENT DOCUMENTATION, providing that the leave was SCHEDULED IN ADVANCE.

Newly hired employees, who previously could not use annual leave until their fourth month of work,

may now use any leave earned during their first 90 days of employment.

The previous limit on the number of days of annual leave for which an employee may receive cash payment when leaving government has been removed. Employees may be paid for all annual leave to their credit at the time of separation.

B. Sick Leave. All civilian employees, regardless of length of service, accrue sick leave at the rate of 4 hours for every biweekly period; that is, a total of 13 days per year. No limit is placed upon the amount of sick leave that may be accumulated. Advanced leave (sick and annual) can be granted under special circumstances.

C. Military Leave. Military leave constitutes an approved absence, with pay and without charge to annual leave, granted to employees who are members of Reserve components of the Armed Forces and who are called to duty in that capacity. No employee whose appointment is temporary (unless temporary pending establishment of a register), part time, or intermittent is eligible for military leave. All military leave is measured in terms of calendar days versus working days.

D. Leave Without Pay. Leave without pay is approved absence in a nonpay status. It should not be confused with unauthorized absence, which is called absence without leave, and which is a basis for disciplinary action.

The ordinary use of leave without pay is to cover an absence for which an employee does not have enough annual or sick leave. In unusual circumstances, such as (1) to avoid a break in continuity of service for employed dependents of transferring service (military) personnel or (2) for educational puposes (similar to faculty subbaticals) when the completion of the course will contribute to the agency's best interest, leave without pay (normally, not to exceed one year) is granted upon request to an employee who may have annual leave to his credit.

14.6.3 Employee Training. To meet the needs for systematic training and development of its civilian employees, the Navy has formulated an employee development program that extends to virtually every level of responsibility and authority.

The specific aim of this program is to maintain a well-trained and capable force of employees, equipped to perform an effective job for the Department of the Navy. The establishment of this program is based on the premise that it is a management responsibility to raise operating efficiency through adequate development of all employees.

Compliance with statute(s) and/or NAVSEC/OPM Instructions may require employee attendance/participation in some training programs vis: apprentice, orientation, security, safety and health, etc. The training division of the activity CPO. will provide current information pertaining to the scheduling of such instruction.

Training is a function in which both line and staff must participate. All CEC Officers who are charged with supervisory or management duties should be aware of the need for indoctrination training, on-the-job training, supervisory and management at all levels and training to meet the demands of new work processes or equipment. The training resources of the Naval activity were created to serve the operating requirements of the command. Line officials, including the PWO will determine the need for, and the content of training; the CPO will develop, for approval, courses of instruction to serve operating needs; and assit in providing competent instructors (including, where necessary, line supervisors/management personnel); evaluate and record results.

14.6.4 Department of the Navy Basic Performance Appraisal Program. The Civil Service Reform Act (CSRA) requires that, no later than 1 October 1981, agencies develop one or more appraisal programs that permit the evaluation of employees through the use of performance elements and performance standards. A performance element is any major component (i.e. duty, task, requirement, responsibility, or objective of a position) for which the employee is held accountable and performance of which contributes meaningfully to the success or failure in performing the duties of that position.

Performance standards represent the expressed measure of the level of achievement established by management for the performance elements of a position or groups of positions. Measurement factors may include, but are not limited to, elements such as quantity, quality, and timeliness. The Basic Performance Appraisal Program (BPAP), as described by CNO letter Ser 141C23/700917 of 16 July 1980, is designed to comply with that requirement.

Specifically, the program covers civilian employees in General Schedule Grades GS-1 through GS-12, and all Federal Wage System (FWS) employees. For each of these employees, program requirements include the identification of at least one, preferably three to five, critical performance element. A performance standard for the satisfactory level must be written for each critical performance element identified. At the end of the 12-month rating period, each employee's performance is measured against the established standards for each critical element. A summary

performance rating, based on a five-level rating scheme, is then assigned.

A. Identification of Performance Elements and Development of Performance Standards. The following comments are excerpted from CNO letter Ser 141C23/700917 of 16 July 1980.

1. Before the beginning of the appraisal period, critical performance elements must be identified and put in writing for all positions. They must be consistent with the duties and responsibilities in the applicable position description. Job analysis should be used in identifying critical elements.

2. Components of the job not considered critical but on which the supervisor desires to appraise employee performance, may also be identified in writing and performance standards established. Each job must have at least one critical performance element, preferably three to five.

3. For supervisory positions, one or more critical elements must be established that apply to broad managerial requirements, including managing and evaluating performance of subordinates, and meeting equal employment and affirmative action goals, as appropriate.

4. For each critical performance element, the satisfactory job-related performace standard will be developed and put in writing. These standards will be used to appraise employee work performance. These standards will be used to appraise employee work performance. The standards must be expressed in terms such as quantity, quality, timeliness, cost effectiveness, effect obtained, and processes used. In the standard setting process, appropriate consideration should be given to employees assigned collateral duties not related to their specific jobs (i.e., EDO, awards, etc.). The critical performance elements and standards are to be recorded on the Department of the Navy Performance Appraisal Form. Comments on performance as discussed during progress reviews and any changes in critical performance elements and standards also should be recorded on this Form. After discussing with the employee and prior to signing by the reviewer, the performance appraisal form must be signed by both the supervisor and employee. Signature by the employee does not imply agreement with critical performance elements, performance standards or with the rating, but merely that the appraisal has been discussed with the employee and understood.

5. Participation by the employee in the development and setting of performance standards is encouraged. Employee participation may occur in a number of ways, ranging from discussions between the employee and supervisor to, at the request of and in conjunction with the supervisor, employee development of performance standards.

6. Before or at the beginning of the rating period, the supervisor will give to the employee a copy of the Performance Appraisal Form. They will discuss performance expectations to insure mutual understanding of the critical performance elements and standards. Disagreements will be resolved by the reviewing official. When the appraiser is the commanding officer/head of activity, a higher level review is not required.

B. Appraisals.

1. With the exception of the initial rating cycle, all employees shall be appraised against established performance standards at least annually. The first appraisal cycle must cover at least 90 calendar days, but not more than 15 months. The appraisal cycle may be tied to the anniversary date for within-grade increases, the SES/MPS cycle (June), or tied to other reasonable events as determined by the commanding officer/activity head; however, the first rating cycle must begin on or before 1 October 1981. Employees on extended details should also be appraised on their performance during the detail.

2. At any time during the appraisal cycle when performance falls below the "marginal" level, a written performance appraisal must be conducted, critical performance elements and standards reviewed, corrective action identified and a reasonable time frame established (See CPI 432) during which the employee is given an opportunity for performance to improve. At the end of this period, the employee's performance should again be appraised.

3. The law provides that failure to meet the minimum performance standards (i.e., marginal performance level) for one or more critical elements constitutes unacceptable performance and may be used as a basis for removing the employee from the position. Action must be taken to reassign, demote, or remove the employee, but only after the employee has been given assistance in improving and an opportunity to demonstrate acceptable performance. With the exception of employees serving probationary or trial periods under the provisions of 5 U.S.C. 3321, the reduction in grade or removal of an employee for unsatisfactory performance must be processed in accordance with FPM/CPI 432.

4. Supervisors must hold a progress review to discuss performance with each employee at least once, at about the halfway point of the appraisal period. More frequent progress reviews are encouraged. If conditions arise that could cause a change in one or more critical performance

elements, a special review should be held. Such review may be initiated by either the supervisor or employee. Disagreements will be handled as in para. V.A.6. above.

5. The employee's most recent performance appraisal is to be considered in all merit promotion selections involving that employee.

6. The supervisor must indicate on the appraisal form what corrective actions are recommended for all critical performance elements marked less than "satisfactory."

7. Performance appraisals must be approved by the reviewing official, except when the commanding officer/head of activity is the employee's first or second level supervisor. In which event, the performance appraisal need not be signed by a reviewing official.

C. Levels of Performance.

1. Standards will be described in writing for at least the satisfactory performance level for each critical performance element established. When noncritical performance elements are used as a part of the appraisal process, both the noncritical performance element and the standard for the satsifactory performance level must also be recorded in writing. While an employee's cumulative performance on noncritical performance elements may increase or decrease a summary performance rating of satisfactory, highly satisfactory or outstanding by no more than one performance level, performance on noncritical performance elements cannot be used to alter a summary performance rating of marginal or unsatisfactory. Supervisors must rate performance, in writing, on each critical performance element and each noncritical element, if established, in one of the following five levels:

U - **Unsatisfactory.** Performance which substantially fails to meet the satisfactory performance standard and is unacceptable. Usually the employee's performance will show serious deficiencies in terms of quantity, quality, or timeliness.

M - **Marginal.** Performance which falls below the satisfactory performance standard; improvement is needed.

S - **Satisfactory.** Performance meets the "satisfactory" standard; all requirements are met.

H - **Highly Satisfactory.** Performance clearly exceeds the "satisfactory" standard; requirements are more than fully met.

O - **Outstanding.** Performance so far exceeds the "satisfactory" standard as to be truly exceptional.

2. Supervisors will assign an overall performance rating using the following criteria:

U - **Unsatisfactory.** This rating will be assigned when any critical element has been rated "U" and indicates that performance in the job is unacceptable. Corrective action must be taken.

M - **Marginal.** This rating will be assigned if any critical element has been rated "M" and indicates that improvement in performance is needed.

S - **Satisfactory.** All critical elements are rated "S" or better and overall performance is generally described by the "satisfactory" standards.

H - **Highly Satisfactory.** All critical elements are rated "S" or better, most are rated "H" or better, and overall performance clearly exceeds "satisfactory" standards.

O - **Outstanding.** Performance is rated "O" on all critical performance elements for which standards have been established. Performance so far exceeds "satisfactory" as to be truly exceptional. A written justification is required to show how performance on critical performance elements was truly exceptional.

D. Rating Form and Procedures.

1. One summary form is to be used for appraising all employees under this plan. (See Figure 14-6) Critical performance elements are to be listed in column A of the form (noncritical performance elements may also be recorded). In column B the performance standard for the "satisfactory" level must be described. (Standards for the other levels may also be recorded in this column.) Column C is to be used for recording the results of progress reveiws, employee/supervisor comments, and for indicating what corrective action will be taken to help improve the employee's performance when performance on any critical element falls below the "satisfactory" level. In column D, enter the appropriate individual element letter rating, i.e., O for Outstanding, H for Highly Satisfactory, S for Satisfactory, M for Marginal, and U for Unsatisfactory. In the block marked "Summary Rating," enter the appropriate overall rating in accordance with criteria provided in para. V.C. above. The form is to be signed by the

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DEPARTMENT OF THE NAVY PERFORMANCE APPRAISAL FORM

EMPLOYEE'S NAME Last First Middle Initial		OFFICIAL POSITION TITLE/SERIES/GRADE	
ORGANIZATION UNIT (Division, Branch, etc.)	Org. Code	OFFICIAL DUTY STATION	Address or Duty Station

Column A PERFORMANCE ELEMENT (List performance elements below. Designate critical elements by entering "C" in the bracket below the element number.)	Column B PERFORMANCE STANDARDS (Indicate level, i.e., marginal, highly satisfactory, etc.)	Column C PROGRESS REVIEW RESULTS, COMMENTS, CORRECTIVE ACTION AND ASSISTANCE TO BE PROVIDED, ASSUMPTION/CONDITIONS, "O" JUSTIFICATION	Column D RATING
1. [ ]			
2. [ ]			
3. [ ]			
4. [ ]			

FIGURE 14-6

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PERFORMANCE ELEMENT	PERFORMANCE STANDARDS	PROGRESS REVIEW RESULTS, COMMENTS, CORRECTIVE ACTION AND ASSISTANCE TO BE PROVIDED ASSUMPTION/CONDITIONS, "O" JUSTIFICATION	RATING
5. [ ]			
6. [ ]			
7. [ ]			
RATING PERIOD: From: _____ To: _____		Summary Rating	

CERTIFICATION

Signature indicates that a particular step has been completed and understood by all parties.
(Date your signature)

APPRAISAL STAGES	EMPLOYEE	SUPERVISOR	REVIEWER
Elements/Standards Set	Signature Date	Signature Date	Signature Date
Progress Review(s)	Signature Date	Signature Date	Signature Date
	Signature Date	Signature Date	Signature Date
Annual Performance Appraisal	Signature Date	Signature Date	Signature Date

FIGURE 14-6 (CONTINUED)

supervisor, employee and the reviewer (usually the rater's immediate supervisor).

2. For each employee covered by this system, the DON Performance Appraisal Form and any supporting documentation required by activity instructions shall be maintained either in a separate folder, apart from but physically located in the same office with the Official Personnel Folder (OPF), or within an envelope kept in the OPF itself. Should activity instructions provide for retention of unofficial copies of performance documents by supervisors/managers, the storage, access, and retention of such documents will be subject to the rules and regulations governing the Freedom of Information and Privacy Acts. Personal notes retained by supervisors/managers that are not required by this or the activity performance appraisal instructions, which are for the personal use of the author and are not provided to any other person, and which are retained or discarded at the author's sole discretion, are not considered a part of the performance appraisal file system; therefore, such notes are not subject to the Privacy Act.

E. Performance Appraisal Used as Basis for Making Personnel Management Decisions.

1. Within-grade Increases.

a. **Federal Wage System:** Employees will receive within-grade increase when eligible if their performance is satisfactory. For this purpose, satisfactory performance is defined in 5 U.S.C. 5343 as a performance rating of satisfactory. Under this plan, satisfactory performance equates to a performance rating of "satisfactory" or better on *all* critical performance elements. (See FPM Supp. 532-1)

b. **General Schedule:** Employees not covered by merit pay provisions will receive within-grade increases when eligible if their performance is at an acceptable level of competence. Under this plan, acceptable performance equates to a performance rating of satisfactory or better on all critical elements. (See FPM/CPI 531)

2. Promotions.

a. **Career Promotions:** The results of performance appraisals must be used as a basis for determining promotions. An employee will not be recommended for a career promotion unless performing at the satisfactory level, or better, on all critical performance elements. The attainment of a satisfactory rating does not, in and of itself, automatically entitle such an employee to a career promotion.

b. **Competitive Promotions:** Performance appraisals will be used to the extent that elements of the employee's present job are similar to the selection criteria of the job for which she/he is being considered.

3. Special Achievement Awards: The law (5 U.S.C., Chapter 45) provides that special achievement awards may be used as a form of recognition. They may be used to recognize sustained superior performance by an individual employee, or to recognize a special action or service by an employee or by a group of employees. The special achievement award may be cash, honarary or both. When used to recognize a special act or service, the special achievement award is intended to recognize performance which exceeds job requirements as a one-time occurrence, such as performance on a particular project or assignment, a creative effort that contributes to science or reseach, or an action of heroism. While the periodic appraisal provides the opportunity to review and assess how actual performance compares with standards set for the job, supervisors should also recognize employees through awards at other times. If the supervisor determines that recognition is merited, the recommendation should be submitted as soon as possible so that the award will be timely. (Guidance on the use of incentive awards is provided in FPM, Chapter 451/CPI 451.)

4. Training: The CSRA' provides that the performance appraisal system must be used as one of management's tools for making decisions regarding employee training. When properly used, training can improve the efficiency and economy of operations of the Government, can provide for the development of maximum proficiency in the performance of official duties, can help establish and maintain the highest standards of performance in the transaction of public business, and can help install and utilize effectively the best modern practices and techniques. By serving as a basis for determining training needs, the performance appraisal system can function as a vital management tool in promoting the efficiency and economy of operations.

5. Reduction in Force: Each employee who is currently evaluated outstanding shall have a 4 years of service added to his/her creditable service for purposes of reduction in force (FPM/CPI 351).

F. Within-Grade Periodic Pay Increases. Employees occupying positions subject to the General Schedule receive, under certain conditions, periodic increases in basic pay rates. These increases are referred to as within-grade increases. An employee, to be entitled to a within-grade increase, must meet the following requirements.

1. He must have served the required waiting period for advancement to the next higher rate;

2. He must not have received an equivalent increase during the prescribed waiting period;

3. His level of competence must have been determined to be acceptable (not marginal).

The length of the waiting period varies with the numerical rate of a grade in which the employee is serving. The waiting periods are as follows:

1. 52 calendar weeks of creditable service to go to rates 2, 3, or 4 (See Figure 14-3);

2. 104 calendar weeks of creditable service to go to rates 8, 9, or 10.

3. 156 calendar weeks of creditable service to go to rates 8, 9, or 10.

Granting of within-grade increases does not occur automatically, and the fact that an individual has received a satisfactory performance evaluation does not necessarily lead to a within-grade raise; work performance must be at a sufficient level to merit a pay increase and not just adequate/marginal for retention on the job. In other words, marginally satisfactory is not enough (See Form NAVEXOS 12552/2 *Certification - Within-Grade Salary Increase).*

The Commanding Officer and his delegates are responsible for determining what constitutes an acceptable level of competence and for determining which employees are performing at an acceptable level of competence. This requirement provides a valuable management device for recognizing, by within-grade increases, those employees who have performed acceptably.

Every employee must be kept currently advised of his work performance and, at least 60 days in advance of the date on which he will complete his waiting period, he will be advised by his supervisor of any defect in the quantity or quality of his work which would be the basis for withholding a within-grade increase. Failure to inform the employee of any factor that raises a question about his work being of an acceptable level of competence does not delay or otherwise affect the requirement for a determination to be made, at the completion of the employee's waiting period, of whether his work is of an acceptable level of competence. Failure to properly inform the employee of the unacceptable level (in advance) however, requires that a subsequent determination be made.

Within-grade increase determination shall be based on the essential requirements of the employee's position, and the increase should be awarded when his work performance clearly meets those standards recognizing that for an increase, work performance must be of sufficient level to merit a pay increase and not just adequate for retention on the job. The determination shall be based on the employee's work performance during the waiting period and shall be recorded in writing.

In the interest of uniformity of application of this requirement, all supervisory personnel should avail themselves of published guidelines and training offered at activity levels of CPO, on the subject of within-grade increases.

14.6.5 Quality (Performance) Salary Increases (QSI). Quality increases are designed to recognize and to reward, on a continuing basis, employees at all levels who display continuing high quality performance. The authority to grant additional within-grade increases for this purpose is an important companion to the authority to grant within-grade increases periodically to employees whose work is found to be of an acceptable level of competence. Together, these two statutory authorities provide a degree of flexibility in pay administration which permits greater recognition of the differences in performance shown by employees in the same type and grade of position.

The statutory standard for a quality increase is "high quality performance above that ordinarily found in the type of position concerned."

In this context, high quality performance is characterized by an employee's performing the most important functions of his job in a manner that substantially exceeds normal requirements so that, when viewed as a whole, his work performance is of a high degree of effectiveness.

To meet the statutory standard, performance must exceed *medium, average, or typical* work to such an extent that the employee concerned merits faster-than-usual pay advancement. High quality performance is atypical in the sense that it exceeds performance ordinarily found in the type of position concerned. On the other hand, it does not represent such perfection as to be impossible of attainment by a well-qualified employee.

To warrant a quality increase, performance must be sustained at the high level for a reasonable period and must give promise of continuing at the high level. Hence, a quality increase should not be granted until there is sufficient active service upon which to base a conclusion that high quality work is characteristic of the employee's performance.

An employee meeting the high performance standards required for an outstanding rating under chapter 43 of title 5, United States Code, would

ordinarily meet the standard of performance for a quality increase described above. This does not mean, however, that the assignment of an outstanding rating automatically requires that the employee be given a quality step increase.

14.6.6 Promotion. Employment of civilian personnel at a Navy activity is effected in line with condition that prevail at the particular time. Subsequently, changes in mission, in organizational setup, in relative workloads, or in congressional legislation may result in changes of grade level of existing positions, as well as in the creation of new positions and the abolishment of former positions.

The Navy policy is to give full consideration to the utilization of employee skills, but management needs must also be considered. Consequently, with any shift in functions, or significant expansion or retraction in workload, it may become necessary to upgrade or downgrade the jobs at a given activity.

The Navy Merit Promotion Program has as its primary tenet the concept that for promotion, as for initial selection, the best qualified person should be located and placed in the position. Thus, in addition to meeting Civil Service Commission qualification standards which apply to initial appointment, candidates for promotion may be required to meet additional standards imposed by the selected activity. Such additional standards must, of course, be relevant to the position, be applied alike to all candidates, and be such that well-qualified persons may reasonably be expected to meet them.

Each Naval activity must have a written promotion program available to employees for their information and the views of employees and their organizations must be sought when changes in the promotion program are proposed. One important feature of the promotion program is the "area of consideration," it may be a segment of the activity, the activity itself, the naval district, or a broader geographical area-even nationwide for certain high-level postions. The area of competition should be sufficiently broad to insure a group of well-qualified candidates. Selection is, of course, a management perogative; the function of the promotion program is to provide the selecting official a "slate" of top-quality candidates.

The Federal Merit Promotion Program requires the evaluation of applicants on such elements as: Job-related and selection placement criteria, experience, awards, special training, self-development and outside activities. The following elements will be used in determining the total quality of the applicant's background in order that highly qualifed candidates may be referred to the selecting official.

1. Awards (i.e., Outstanding, Quality Step Increase, Superior Achievements or other performance of job-related awards).

2. Special training appropriate to position.

3. Self-development (i.e., graduate courses or other training or studies).

4. Outside activities (job-related, not social or fraternal).

5. Publications, patents, papers.

PART 7 - THE INCENTIVE AWARDS PROGRAM

14.7.1 Incentive Awards. The Incentive Awards Program in the Department of the Navy is part of the overall program for the Federal service; authority for this program is congressional legislation passed in 1954.

In its implementation of procedures for administering this program, the Navy requires that the program be endorsed and supported by all levels of management, and on a continuing basis. It is therefore mandatory for PWOs to utilize this program to the end that the Navy and its civilian employees derive the greatest possible benefit.

Graded and ungraded employees alike are eligible for various types of awards. Employees should be encouraged to participate in every possible way in the improvement of efficiency and economy in Government operations. Management should recognize and reward individual employees, or groups of employees, for beneficial suggestions, inventions, superior accomplishments, or other special acts or services which are related to their official employment, or which contribute materially to the public interest.

Desired results from this program will be achieved if the following objectives are kept in mind:

1. Utilization of employee suggestions and accomplishments to effect optimum use of manpower, money, and materials.

2. Use of the available incentives, by commanding officers and supervisors, to secure employee participation in managerial improvement efforts.

3. Maintaining good morale and satisfactory employee-management relationships by recognition of employee suggestions and superior accomplishments which result in a high degree of benefit to the Navy and to the Government in general.

14.7.2 Types of Awards. Under the Incentive Awards Program, cash awards, honorary awards, or a combination of the two, are available for (1) inventions and/or beneficial suggestions that are adopted and used by the Federal Government; (2) superior accomplishments in performance and achievement; and (3) special act or service beyond the call of duty. Honorary awards only are available for (1) distinguished, superior, or meritorious civilian service; (2) safety records; and (3) length of service.

A Beneficial Suggestion is a constructive idea, relating to an official operation, conceived and developed by an employee (or group of employees) and submitted to management for evaluation and award consideration based on tangible and/or intangible benefits to the Navy and the Government.

A Superior Accomplishment is a contribution by an employee (or group of employees) over and above the normal work requirement of the employee. There are three types of Superior Accomplishments:

1. **Superior Achievement** is an achievement by an employee which has resulted in demonstrable dollar economy to the Government.

2. **Special Act or Service** is of an unusual or distinctive character or in the public interest and is related to official employment.

3. **Sustained Superior Performance** is work performed by an employee which demonstrates sustained superior performance of assigned duties for a period of not less than six months. Not more than one award for Sustained Superior Performance will be granted within a twelve month period.

When an activity takes public notice of the accomplishments of its employees, in any of the areas mentioned above, it is making its own contribution to the establishment of good employee-management relations.

Details of the various awards, those mentioned here and some additional ones, can be found in FPM/CMMI 451.

PART 8 - DISCIPLINARY ACTIONS: DEMOTIONS

14.8.1 Disciplinary Actions. Heads of Navy activities are responsible for the administration of disciplinary matters involving employees under their jurisdiction. The Commanding Officer should delegate authority for administering discipline to subordinate officers and to civilian supervisors. These officers and supervisors must be careful to handle matters concerning discipline with good judgement and fairness. Heads of activities will determine, in the light of local problems and local organization, the scope of responsibility of each officer, and supervisor.

Most disciplinary actions are occasioned by an employee's failure to comply with existing rules and regulations, established work procedures, and safety practices. Warnings and suspensions should be sufficient to induce the offender to comply with activity rules but in some cases it may become necessary to initiate actions leading to removal.

It is the policy of the Navy to keep all employees fully and constantly informed of the standards of conduct expected of them. When an employee's failure to comply with these standards is a result of ignorance of the standards, the onus rests upon his supervisor.

Civilian supervisors should keep in mind that along with authority to take disciplinary measures, they have also been charged with responsibility for directing their employees in phases of their work performance.

The administration of discipline must be consistent with the needs. In each case, the penalty must be determined in the light of the facts. There exists a Navy standard schedule of disciplinary offenses and penalties, to assist activities when disciplinary actions must be taken. Part of this schedule is shown in Figure 14-6.

Any disciplinary action should be weighed in terms of the efficiency it is designed to promote. In general, formal disciplinary action should not be taken in the case of experienced personnel if other means can be used. An emphatic oral admonition, for an employee who has committed his first error, or a suspension without pay in a more extreme case, ought to suffice to correct the offending condition. Length of suspension period should be governed by the gravity of the offense.

However, suspensions as well as removals result in loss of production. These remedies should be used only when other methods fail. The cost of recruiting and training a new employee may be in excess of the cost and trouble of bringing the experienced employee to an attitude and standard of performance that is compatible with the interest of the activity. Withal, there is no guarantee that the new employee will have a better attitude, or a higher standard of performance, than the experienced man.

Although removal of employees should be kept to a minimum, there will be cases where an employee's performance warrants suspension or removal. The action must be fully justified and substantiated. There are two sets of procedures that may be followed: informal and formal. The informal procedure is used in the case of any employee who

has no protective rights by virtue of his type of appointment, or veteran status. The formal procedure must be used where the employee is a veteran, or has completed his probationary period and acquired competitive status. (See Part 9, this chapter, for employee rights to adverse action appeals).

Prompt action is required if there is to be maximum effectiveness. Charges should be preferred as soon as possible after the offense is committed. All hearings should be conducted in a fact-finding spirit. The employee should be notified promptly of the final decision.

Every effort should be made to help the employee understand the basis of the decision. He should be advised that removal through disciplinary action does not necessarily cause the employee to forfeit his eligibility for future Federal employment. If within 6 months of the removal action, the discharged employee makes a request to the Merit Systems Protection Board, the Board will investigate the circumstances surrounding his dismissal, and will decide the suitability for further Government employment.

The civilian personnel department of the activity will provide advice and assistance in all matters of discipline. The staff in these offices are familiar with the provisions of FPM 751 *(Disciplinary Actions and Prohibitions),* and are interested in seeing that the Navy policy in this respect is enforced for the benefit of all concerned. Examples in Figures 14-7 through 14-13 will provide assistance to the PWO in matters of this nature.

14.8.2 Demotions. In most downgrading actions, (whether caused by reclassification of a position; reduction in force, or disciplinary action), the employee affected must be given advance written notice of the proposed actions.

This notice must state all the reasons for the proposed action, giving them specifically and in detail. It must advise the employee of his rights to appeal the action. It must be in the employee's hands 30 calendar days before the proposed action is to take place; the 30 days must be exclusive of the date of receipt.

When final decision is reached in downgrading case, the employee must again be notified in writing. This second notice must restate the reasons given in the first notice; it must state the reasons for the adverse decision, in case of employee appeal; and it must be submitted to the employee at least 5 days before the effective date of the downgrading action.

It should be made clear to employees that in demotions as a result of regrading such demotion refers to the level of the duties and responsibilities of the job, and is in no way a reflection upon the worth of the employee.

Since all demotions must be affected in accordance with civil service regulations, and in the case of veterans, with the provisions of the Veterans' Preference Act, all factors should be carefully considered before any decisions are made. Also, in the interests of good employee-management relations, downgrading procedures must be given due deliberation and careful handling.

PART 9 - GRIEVANCES AND ADVERSE ACTION APPEALS

14.9.1 General. An appeal is a request of reconsideration of a decision to take adverse action removal, suspension for more than 30 days, and furlough without pay. A grievance is an expression of dissatisfaction with some aspect of an employee's employment situation which he seeks to have corrected - i.e., working conditions or environment, inadequate parking facilities, lack of opportunity for overtime, relationships with supervisors or co-workers, a change of assignment, etc. The basic difference is that in an appeal the employee has suffered a material loss, whereas a grievance ordinarily involved no loss at all, or, if it does, a less serious one. They are handled differently because an employee affected by an adverse action is entitled under law and Executive Order to certain rights, including the right of appeal to the Commission, whereas grievances concern matters which are not ordinarily subject to review outside the agency and for which no processing requirements are prescribed by law or Executive order. An adverse action may be taken against an employee "only for such cause as will promote the efficiency of the service." A just and substantial cause is necessary as a basis for an adverse action and the propriety of the action must be determined on the merits of each individual case.

14.9.2 APPEALS FROM ACTIONS BASED ON UNACCEPTABLE PERFORMANCE, PERSONAL CAUSE, AND OTHER REASONS

Adverse actions: removal, suspension for more than 14 days, reduction in grade or pay, and furlough for 30 days or less are appealable to MSPB. Concept of "reduction in rank" is abolished as an appealable matter.

Right to a hearing: employee is entitled to hearing on appeal to MSPB.

Burden of proof: burden of proof rests upon agency.

Civilian Manpower Management Instruction 751
Appendix A
Effective 17 June 1968

STANDARD SCHEDULE OF DISCIPLINARY OFFENSES AND PENALTIES FOR CIVILIAN EMPLOYEES IN THE NAVAL ESTABLISHMENT

0515-411-0002

NAVSO P-1095A (Rev. July 1968)

1. This list is not intended to cover every possible type of offense. Penalties for offenses not listed will be prescribed by the head of the activity consistent with penalties for offenses of comparable gravity.

2. Many of the items listed on this schedule combine several offenses in one statement, connected by the word "OR"; usage of the word "OR" in a charge makes it nonspecific.

3. Penalties for disciplinary offenses will, in general, fall within the range indicated. In unusual circumstances, depending on the gravity of the offense, the past record, and the position of the employee, a penalty outside the general range may be imposed.

4. Depending on the gravity of the offenses, removal proceedings may be instituted against an employee for four infractions committed in any 24 month period.

5. Where appropriate, consideration may be given to change to lower grade in lieu of removal.

6. Suspension penalties on this schedule apply to work days. However, if the total period of the suspension exceeds 30 calendar days, procedures in FPM Chapter 752.2 apply.

7. Reckoning periods start with the date of the offense.

RANGE OF PENALTIES FOR STATED OFFENSES

(Reprimands—Suspensions—Removals)

Number of infractions in reckoning period

	NATURE OF OFFENSE	1st		2nd		3rd		RECKONING PERIOD
		MIN	MAX	MIN	MAX	MIN	MAX	
ACTS OF OMISSION	1. Unexcused failure to ring clock or sign attendance record or otherwise check in	Reprimand	1 day	1 day	5 days	5 days	15 days	6 months
	2. Unexcused tardiness	Reprimand	1 day	1 day	5 days	5 days	15 days	6 months
	Disciplinary action is in addition to non-pay status for period of tardiness.							
	3. Failure to carry or show proper identification on Navy premises as required by competent authority, or misplacement or loss of identification badge	Reprimand	1 day	1 day	5 days	5 days	15 days	6 months
	4. Failure to report personal injury or accident	Reprimand	1 day	1 day	5 days	5 days	15 days	1 year
	5. Unexcused or unauthorized absence on one or more scheduled days of work	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
	Charge may also be used for failure to report for overtime.							
	The charge of EXCESSIVE UNAUTHORIZED ABSENCE with the penalty of removal may be used when the absence exceeds five work days or when it appears the employee has abandoned his position. Extenuating circumstances offered by the employee should be considered.							
	6. Leaving job to which assigned or Navy premises at any time during working hours without proper permission	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
	7. Failure to observe precautions for personal safety, posted rules, signs, written or oral safety instructions, or to use protective clothing or equipment	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
	8. Violating traffic regulations, reckless driving on Navy premises, or improper operation of motor vehicle	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
	Driver's permit to operate vehicle on premises may be revoked, in lieu of other penalty, if vehicle involved is privately owned and recklessness or hazard to others is not involved in offense.							
	9. Loafing, wasting time, or inattention to duty	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
	10. Careless workmanship resulting in spoilage or waste of materials or delay in production	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
	11. Failure or delay in carrying out orders, work assignments, or instructions of superiors	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
	12. Failure to honor just debts without good cause	Reprimand	5 days	3 days	10 days	10 days	Removal	1 year
ACTS OF COMMISSION	13. Unauthorized possession of, loss of, or damage to Government property or the property of others, or endangering same through carelessness	Reprimand	10 days	10 days	Removal	15 days	Removal	1 year
	Does not apply to damage to government-owned household furnishings or quarters resulting from normal tenancy therein.							
	14. Gambling or unlawful betting on Navy premises	Reprimand	10 days	10 days	Removal	15 days	Removal	2 years
	15. Covering up or attempting to conceal defective work; removing or destroying same without permission	Reprimand	10 days	10 days	Removal	15 days	Removal	2 years
	16. Disorderly conduct; fighting; threatening or attempting to inflict bodily injury to another; engaging in dangerous horseplay; or resisting competent authority	Reprimand	Removal	10 days	Removal	15 days	Removal	2 years
	17. Reporting for duty or being on duty under the influence of intoxicants; unauthorized possession of or attempting to bring intoxicants on Navy premises	Reprimand	Removal	10 days	Removal	15 days	Removal	2 years
	18. Selling intoxicants on Navy premises	Reprimand	Removal	10 days	Removal	Removal		2 years
	19. Promotion of gambling on Navy premises	Reprimand	Removal	15 days	Removal	Removal		2 years
	20. Sleeping during working hours	Reprimand	Removal	15 days	Removal	Removal		2 years
	21. Failure to safeguard classified matter	Reprimand	Removal	15 days	Removal	Removal		2 years
	Consider the nature of the employee's position or assignment, whether disclosure resulted, and the classification of the jeopardized matter. See U.S. Navy Security Manual for definition of classified matter and security manual of the appropriate agency when non-Navy matter is jeopardized.							
	22. Smoking in unauthorized places or carrying matches in explosive areas	Reprimand	Removal	15 days	Removal	Removal		2 years
	23. Endangering the safety of or causing injury to personnel through carelessness	Reprimand	Removal	15 days	Removal	Removal		2 years
	24. Making irresponsible statements which are slanderous or defamatory about other employees or officials	Reprimand	Removal	15 days	Removal	Removal		2 years
	Consider the duties and position of the employee, the nature of the statements made and the extent to which they damage the activity or the injured party, the nature and timing of any retraction by the employee, and the extent to which the damaging statements are supported by established facts.							
	25. Malicious damage to Government property or the property of others	Reprimand	Removal	15 days	Removal	Removal		2 years
	26. Actual or attempted theft of Government property or the property of others	Reprimand	Removal	15 days	Removal	Removal		2 years
	Whether or not restitution was made should enter into the determination of the penalty for the offense.							
	27. Immoral, indecent, or notoriously disgraceful conduct	Reprimand	Removal	15 days	Removal	Removal		2 years
	For acts similar to those covered by offenses 27 and 28, the general charge of "conduct unbecoming a Government employee," explained by specifics, may be more appropriate.							
	28. Disrespectful conduct; use of insulting, abusive, or obscene language to or about other personnel	Reprimand	Removal	15 days	Removal	Removal		2 years
	29. Discrimination against an employee or applicant because of race, color, religion, sex, or national origin, or any reprisal action against employee	Reprimand	Removal	15 days	Removal	Removal		2 years
	30. Falsification, misstatement, exaggeration, or concealment of material fact in connection with employment, promotion, any record, investigation, or other proper proceeding	Reprimand	Removal	15 days	Removal	Removal		2 years
	31. Falsifying attendance record for oneself or another employee	Reprimand	Removal	15 days	Removal	Removal		2 years
	32. Disobedience to constituted authorities, or deliberate refusal to carry out any proper order from any supervisor having responsibility for the work of the employee; insubordination	Reprimand	Removal	15 days	Removal	Removal		2 years

NOTE: Information concerning other offenses for which employees may be punished by removal, fine, or imprisonment may be found in FPM Chapter 735, subchapter 2-10, and appendix B-2 thereto.

FIGURE 14-7

STANDARD SCHEDULE OF DISCIPLINARY OFFENSES AND PENALTIES FOR CIVILIAN EMPLOYEES IN THE NAVAL ESTABLISHMENT

25 April 1979

From: Immediate Supervisor
To: Employee

Subj: Letter of Caution

Ref: (a) FPM 751

1. This letter of caution confirms our verbal discussion on 22 April 1979 concerning your Unauthorized Absence. You did not report for work on 29 October 1979 nor did you contact your supervisor concerning your absence. Your explanation that you overslept and thought it was too late to come in does not justify your actions.

2. I have verbally discussed your leave record with you on several occasions. As recently as 15 March 1979 I again pointed out to you that any absence for annual leave must be arranged for and approved by your supervisor, in advance.

Signature

FIGURE 14-8
SAMPLE LETTER OF CAUTION

Standard of review

Decision of agency to be sustained only if the agency's decision:

— In the case of an action based on unacceptable performance, is supported by substantial evidence.

— In any other case, is supported by a preponderance of the evidence.

Agency's decision may not be sustained if the employee or applicant:

— Shows harmful error in the application of the agency's procedures in arriving at such decision;

— Shows that the decision was based on any prohibited personnel practice; or

— Shows that the decision was not in accordance with law.

Same standards apply whether decision is handled by MSPB or an arbitrator.

Payment of employee's or applicant's attorney fees by agency may be required if employee or applicant prevails and MSPB, FLRA or the arbitrator determines that payment by the agency is warranted in the interest of justice, including any case in which the agency engaged in a prohibited personnel practice or any case in which the agency's action was clearly without merit.

Judicial review of appeal decisions in Court of Claims or U.S. court of appeals.

14.9.3 APPEALS THAT INCLUDE DISCRIMINATION ISSUES

The following procedure applies to all cases involving any action that is appealable to MSPB and which include an allegation of unlawful discrimination ("mixed cases"):

— In such a matter before an agency, the agency has 120 days to resolve it. The agency decision then becomes judicially reviewable unless the employee appeals to MSPB within the time limits set by MSPB.

— MSPB decides both the issue of discrimination and the appealable action within 120 days of filing of the appeal. No EEOC participation at this step. Decision and order of MSPB represent final agency action and shall be judicially reviewable unless employee petitions EEOC to reconsider within 30 days after notice of MSPB's decision.

Employees may appeal to MSPB when the agency fails to issue a decision within 120 days.

These provisions do not affect the right to trial de novo (new trial) under applicable law.

From: Immediate Supervisor
To: Employee

Subj: Letter of Requirement

Ref: (a) FPM 430

1. This is to confirm your quarterly appraisal discussion on 30 May 1979 and is issued in an effort to assist you in improving your work performance. During the past three (3) months your work has not met the standard requirements for your position. From my observation of your work, the following deficiencies have been noted:

a. You are careless in the typing aspects of your work.

b. You do not begin to work promptly in the morning or after the lunch break.

c. You leave customers standing at the counter while you drink coffee and carry on personal conversations with your co-workers.

d. Your reports are not submitted by the due date.

e. Although the workload has not been unusually heavy, your backlog consists of 50 unfinished orders.

2. The following are requirements to be met to bring your work up the high quality standards established for this shop:

a. You must be more thorough and pay strict attention to details in performing your work. Proof-read your typing so that you are certain that the proper accounting data, quantity, item, and stock number are typed on each order.

b. You are to begin work promptly at 0800 and at 1230 after the lunch break.

c. We are a service organization and the customer is to be given prompt, courteous attention. There are no specific "breaks" for coffee within this shop and coffee is available for consumption at any time during the day when it does not interfere with the regular work operations. Personal conservations will be held to a minimum, and confined to the work in progress.

d. You are to maintain a "tickler" file with the date of submittal for each report. Deadlines for these reports will be met.

e. By steady application to your assigned tasks and by working a full 8 hours each day, it is felt that your backlog will be eliminated.

3. I will review your workload with you at the end of each working day to determine your progress. In addition, I am available to answer your questions and to assist you in improving your performance of work.

Signature

FIGURE 14-9
SAMPLE LETTER OF REQUIREMENT

From: Immediate Supervisor
To: Employee

Subj: Proposed Disciplinary Action; notice of

Ref: (a) FPM 751

1. In accordance with reference (a), which contains regulations governing conduct of employees of the Navy Department, you are charged with violation of these regulations as follows:

2. You will be allowed until to answer these charges personally and/or in writing and to furnish affidavits in support of your answer. Your answer may be made on the reverse side of the personnel folder copy of this form. You may retain the original.

3. You will be granted a hearing on these charges, upon request, and may have a representative and witnesses. Witnesses must be acquainted with the facts of the case and/or present factual evidence. Your request for a hearing should be included in your reply. Even though you do not request a hearing, the Senior Civilian Supervisor may conduct a hearing if considered advisable. During these procedures, you will be carried in a work status.

4. In the event the violation described above is substantiated, then, in accordance with reference (a), it is proposed to assess a disciplinary penalty in accordance with the Standard Schedule of Disciplinary Offenses and Penalties of the Navy Department. The schedule of Penalties provides for the following range: For the infractions, (Min.) to (Max.); reckoning period.

5. Your record contains the following derelictions of duty (if none, so state):

6. After consideration of your reply, if any, a written decision will be furnished you advising the action which will be taken in this matter. In the event a penalty is assessed as a result of these charges, you will also be advised of your right to appeal such action.

Signature

FIGURE 14-10

SAMPLE LETTER OF NOTICE OF PROPOSED DISCIPLINARY ACTION

From: Supervisor FULL NAME and title
To: Employee's FULL NAME and rate

Date: Date of filling out the form

Ref: Nothing ncessary

Paragraph 1. Offense No. from the schedule. Applicable parts of offenses from the schedule. Describe specifically the action or lack of action by the employee. Explain why the reasons given by the employee in your informal discussion are not acceptable. (If employee made no comment, so indicate on the form.) Explain your reasons for recommending the action. State the recommended action and the proposed effective date.

Paragraph 2. Fill in the blank with a date that will allow 5 working days (not counting the date of delivery of the form to the employee).

Paragraph 3. Nothing necessary.

Paragraph 4. Call your Administrstive Officer to find out if any previous offenses of the same type have been committed within the reckoning period. Fill in the proper number of this infraction and from the schedule, fill in the minimum and maximum penalties for that infraction.

Paragraph 5. Call your Administrative Officer to find out all the previous offenses of all types committed by the employee within the past two years. List these offenses and penalties in the blank space.

Paragraph 6. Nothing necessary.

Signature

FIGURE 14-11
LETTER OF NOTICE OF PROPOSED DISCIPLINARY ACTION
(SUGGESTED CONTENT)

From:
To:

Subj:

Ref: (a) FPM 751
(b) Station Disciplinary Action Instruction
(c) Station Employee Appeals Procedure Instruction

1. This letter of reprimand is issued to you in accordance with provisions of reference (a) and authority delegated to me in reference (b).

2. The letter is for the above numbered infraction of the Standard Schedule of Disciplinary Offenses and Penalties for Civilian Employees in the Naval Establishment (NAVEXOS P1095A). The offense is detailed below.

3. Your explanation of the offense was heard as indicated. The statement was not satisfactory. Repetition of this offense within the reckoning period will result in more severe disciplinary action.

4. You may asppeal this action under reference (c).

Signature

FIGURE 14-12
LETTER OF REPRIMAND NOTICE
(SUGGESTED CONTENT)

SUGGESTIONS

Letter of Reprimand. If the immediate supervisor decides to give the employee a Letter of Reprimand, he must prepare (i.e., handwriting is acceptable) in the suggested form, sign and date it, deliver the original to the employee and have him sign and date his signature.

From: Immediate Supervisor's FULL NAME and Title

To: Employee's FULL NAME and Civil Service Rating

Date: Date of preparation

Infraction: Call your Administrative Officer to find out if any previous offenses of same type have been committed within the reckoning period.

Offense Number: From Standard Schedule

Reckoning Period: From Standard Schedule

Explanation Hear: Give date and hour of your informal discussion with the employee.

Specific Offense: Use only the part of the "Nature of Offense" from the Schedule which describe the employee's actual conduct and leave out parts which do not apply. For example, if an employee used abusive language which was not obscene, he should be charged with abusive language only and not with Offense No. 27 in its entirety. Describe specifically the action or lack of action by the employee. Explain why the reasons given by the employee in your informal discussion are not acceptable. (If the employee makes no comment, so indicate on the form) Explain your reasons for taking the action.

FIGURE 14-13
LETTER OF REPRIMAND (SUGGESTED CONTENT)

Date:

From:
To:

Subj: Proposed Disciplinary Action

Ref: (a) FPM 751

1. You are herewith notified of proposed disciplinary action with regard to your violation of regulations contained in reference (a). Specifically, you were charged with:

2. Any evidence submitted or answer made by you have been considered, and it is my recommendation to based on the following facts:

3. You will be notified of the command action in this case.

4. If command sustains this recommendation, the length of the reckoning period to be imposed in this case is . A repetition of this offense or other violations during this period may result in a more severe penalty.

5. Appeal Rights:

Signature

Copy to:
Employee
Official Personal Folder
Department Head
Command (Action Copy)

FIGURE 14-14
LETTER OF PROPOSED DISCIPLINARY ACTION (SAMPLE FORM)

14.9.4 Representation. The employee is entitled to have a representative of his own selection if he wishes. The representative may be an attorney, a labor union, a veterans organization, or anyone else who is willing to act on the employee's behalf. The employee may designate his representative in his letter of appeal.

A union with exclusive recognition is entitled to be represented, as a matter of right, at a hearing on a grievance. In an adverse action appeal hearing, however, the employee may object to the attendance of a union representative on grounds of privacy. In this event the appeals officer determines the validity of the objection and makes the decision on the question of attendance.

14.9.5 Informal Grievance Appeal. An employee is entitled to present a grievance under the formal grievance procedure if (1) he has completed action under agency-prescribed informal procedure, and (2) he files his formal grievance within the time limit established therefor after completion of action under the information procedure. CMM1-771 prohibits acceptance of a grievance for processing under the formal procedure which has not been processed through the informal. The following steps and actions apply to the processing of grievances in the informal procedure.

A. An employee may present a grievance concerning a continuing practice of condition at any time; however, where the grievance is concerned with a particular act or occurrence, he must present his grievance within 15 calendar days of the date of that act or occurrence or the date he becomes aware of that act or occurrence. The time limit may be extended for good cause shown by the employee. That official who would otherwise render a decision at step 1, as described below, on the merits of the grievance may recommend to the Commanding Officer via the department head that the grievance be rejected without consideration of its merits if it is filed late without good cause being shown for its late submission, or if he considers that the matter grieved does not come within the purview of the grievance procedure. The Commanding Officer may reject a grievance on such procedural basis, in which event the employee has the right, and will be so advised, to protest that decision.

B. The employee may submit his grievance either orally or in writing, and must initially present it to his immediate supervisor. He has the right to be accompanied by a representative at this and all future steps in the grievance procedure. If resolution is not within the authority of the immediate supervisor he shall refer the employee to the official having such authority. The appropriate official shall make such investigation as he considers necessary and advise the employee of his findings and decision. The findings and decision may be given orally or in writing, as deemed appropriate. The decision will be rendered as promptly as possible, and normally not later than three days from the date the grievance was received.

14.9.6 Formal Grievance Procedure. An employee is entitled to submit a grievance under the formal grievance procedure outlined in the current Negotiated Labor-Management Agreement. The grievance must be in writing and shall be addressed to the Commanding Officer; it must contain sufficient detail to identify and clarify the basis for the grievance; and it must specify the personal relief requested by the employee.

14.9.7 Procedural Note. It should be noted that appeal procedures, while overall are well established as to absolute items that must be covered, are sometimes modified locally or regionally. The PWO is well advised to seek guidance from the Civilian Personnel Office prior to acting on an appeals and grievances.

PART 10 - SEPARATION AND REDUCTION IN FORCE

14.10.1 Separations. Any personnel action which results in the loss of a civilian employee to the Naval Establishment is technically a separation. Most such separations will be effected by the personnel department. Transfers, military separation, administrative separations, and so forth, need not be discussed here; but it may be advisable to say something about resignations, retirements, and reductions in force.

14.10.2 Resignations. Resignation is always a voluntary act on the part of the employee. He should give advance notice (2 weeks at least) of his intention to resign; this allows management a chance to replace him, or to make new adjustments. However, the employee cannot be forced to give notice; he fixes the effective date.

An oral resignation must be accepted, but it is advisable to have the employee give a written confirmation. If he does not do so, it is a good idea to provide him with a written notice of acceptance of his resignation. This provides a record of the action, protecting him against any claim on abandonment of job, and clearing the way for steps to replace him before he actually leaves.

14.10.3 Reductions in Force. Whenever a curtailment of the working force is required, the activity management should determine as quickly as possible the extent to which this reduction must take place.

Reductions in force are made in the order in which employees would be released according to his competitive level on a retention register established

by the activity personnel office. These registers list all employees by retention preference within the specific competitive area.

It is necessary to know what area is included in the competitive area, since it may vary from case to case. In general, the competitive area as established in a reduction in force action is an activity, or an especially designated part thereof, within which employees are assigned, promoted, or demoted by a single administrative authority. However, additional competitive areas may be established by the supporting bureau or office.

A competitive level is defined as all positions (within a competitive area) where the duties, responsibilities and working conditions are so similar that an exchange of personnel is feasible.

Commanding Officers. The initial decision to conduct reductin of force, and subsequent decisions as to when the reduction will be made, and the size of the reduction, are local management determinations, subject, of course, to pertinent directives of the management bureau or office. In addition to compliance with the regulatory and procedural requirements of the retention preference regulations, it is the policy of the Department of the Navy that all practicable steps be taken to lessen the impact of reduction in force on employees and on the community. Activities should assume the following responsibilities in this connection.

14.10.4 Advance Planning and Preparation.

A. To the maximum extent practicable, changes in activity mission, workload, and funds, personnel turnover, and any other factors affecting employment levels, should be anticipated, with a view to maximum utilization of vacancies for the placement of employees who might otherwise become surplus.

B. Within the Civilian Personnel Office, enough employees should be trained, as a unit, to process any reduction in force that may become necessary and to operate outplacement programs.

C. Supervisor development programs should include the basic principles and procedures of reduction in force.

D. When it becomes apparent that a reduction will become necessary, preliminary determinations concerning the extent of the RIF, the rights of employees likely to be affected, and other considerations, should be made known promptly. Delay in getting necessary RIF under way almost always results in more drastic and far-reaching effects than would otherwise have been the case.

E. The Office or Personnel Management recommends, as a desirable personnel practice, letting employees and their (exclusive) Labor Organizations know in advance the extent of the area within which they will compete in the event of reduction in force. Accordingly, competitive areas should be made known, through appropriate media, in advance of any reduction in force. Any change in competitive area should, of course, be similarly made known to employees and the exclusively recognized employee Labor Organization(s).

14.10.5 Advice and Assistance to Employees.

A. Employees should be given the maximum feasible information concerning reduction in force. Appropriate media are activity newspapers and group meeting; the latter, since they provide an opportunity to ask questions and clarify misunderstandings, are desirable. It follows, of course, that supervisors should be fully informed in advance, so that they may be in a position to give clear, factual, and complete explanation to their subordinates.

B. Navy's Department pamphlet entitled "Trade Talk" special issue 1973 No. 1. This special issue "Mechanics of a RIF" explains reduction in force procedures and covers the points in which all concerned are most likely to be interested. Activities undergoing RIF are urged to make this pamphlet available to all employees.

C. Outplacement programs should be tailored to the locality, the size of the reduction in force, and the categories of employees affected.

14.10.6 Retention Groups and Subgroups. Relative retention preference for reduction-in-force action is based on tenure, veteran preference, length of service and performance rating.

A. Initially, employees are placed in Retention Group I, II or III on the basis of tenure, as described in the following paragraph. Within each competitive level all employees in Retention Group III are reached for action before any employees in Retention Group I. Employees who are serving under appointments limited to one year or less and employees whose current performance ratings are unsatisfactory are not in retention groups and are not listed on retention registers.

B. Group I comprises, in general, career employees who have completed probation and are not serving in obligated positions: Group II comprises, in general, career-conditional employees and career employees in obligated positions: Group III comprises those serving temporary appointments pending establishment of register, those holding indefinite appointments, and nonstatus employees.

C. Within each retention group, employees are divided into two subgroups. Those who are entitled to veteran preference are in subgroup "A" and all others are in subgroup "B". Within each retention group all employees in subgroup "B" are reached before any employee in subgroup "A".

Within each retention subgroup, employees have relative retention preference in the order of their total length of Federal service.

14.10.7 Length of Service.

A. Establishment of Service Computation Date. Activities shall establish a service computation date for each competing employee. The service computation date for each employee is whichever of the following dates reflects his total length of service (including creditable military service), and performance rating credit.

1. The date of his entrance of duty, if he had no previous creditable service.

2. The date obtained by subtracting his total creditable previous service from the date of his latest entrance on duty.

3. The date obtained by subtracting from (1) or (2) above the service equivalent of four additional years of service (if the performance rating of record-previous period-is Outstanding).

14.10.8 Summary of Reduction in Force Procedure.

A. Competitive areas are established according to primary subdivisions of an agency. In the field service each naval activity usually constitutes a competitive area.

B. Competitive levels within which employees compete for retention, are established in each competitive area. Positions in a competitive level must be similar enough that interchange of personnel, without undue interruption of work, is feasible.

C. Within each competitive level employees are placed in *retention groups* according to tenure (kind of appointment).

D. Retention groups are divided into subgroups separating employees entitled to veteran preference from non-preference employees.

E. Within each subgroup employees are ranked in order of length of Federal service.

F. When a reduction in force in any competitive level becomes necessary, employees are reached for action in the order of their subgroup standing and within their subgroup in the order of length of service - BOTTOM UP.

G. Employees reached for reduction for force action compete, on the basis of relative retention preference, for positions for which they are qualified but which are occupied by other employees with lower retention standing.

H. Employees who cannot be placed in the activity are separated. Those having Career tenure, however, are accorded certain reemployment rights in the Navy and elsewhere in the Federal service.

PART 11 - EQUAL EMPLOYMENT OPPORTUNITY

14.11.1 Equal Employment Opportunity. To insure the continuance of an affirmative, purposeful and imaginative approach to full implementation of the Equal Employment Opportunity Program, each individual activity must develop meaningful action programs. Each activity (includes headquarters offices) must issue an Affirmative Action Plan tailored to meet the needs of its situation and local conditions, specifying practical, realistic, short and long-term goals, and target dates.

Commanding Officers must take the necessary action to insure that the following minimum requirements are successfully achieved:

1. A current published *personal* policy statement by the activity head supplemented by specific and periodic oral and written pronouncements to insure continued attention to the policy by all levels of supervisors and employees.

2. An individual or a special group designated to conduct a continuing evaluation of EEO and related programs and to make recommendations for changes and improvements. (Consideration should be given to assigning this responsibility to the EEO committee.)

3. A local Affirmative Action Plan published for minority groups and women setting forth specific goals and target dates.

4. NAVEXOS P-2411 (Poster) properly annotated and posted on all official bulletin boards.

5. A continuing dialogue established with community minority group leaders.

6. Specific recruitment efforts in predominantly minority communities and schools, in women´s schools, and through contract with minority and women´s organizations, groups, and leaders. Integrated recruiting teams should be used for recruitment whenever practicable, particularly in predominately minority schools.

7. EEO included in supervisory development programs on a regular basis.

8. A training program designed to provide an opportunity for the disadvantaged to improve their qualifications for advancement.

9. Minority employees and women participating on an equal basis in training programs, detail assignments, temporary promotions, and additional pay assignments.

10. Minority group members and women represented on promotion boards and other boards and committees where membership is appointive.

11. Measurable improvement in the status of minorities and women at the activity.

12. Achievements of individual minorities and women published in appropriate media including particularly the minority press, women's section in newspapers, women's publications, and in station publications.

13. Activity program accomplishments and/or progress published at least annually.

14. Discrimination complaints, both formal and informal, processed and resolved expeditiously.

15. Organized employment groups encouraged to make substantial contributions to the successful achievement of EEO goals.

16. At least semi-annual review by the head of the activity of EEO accomplishments with department heads.

Line management officials have a continuing responsibility to actively support the equal employment opportunity policy and to communicate this support to subordinates. They must insure equality in determining qualifications, selection, promotion, training, details, discipline, and awards of employees. They must also cooperate fully in investigating any formal or informal discrimination complaints so that proper, objective, and expeditious action may be taken. Supervisors are expected to cooperate fully in developing and carrying out affirmative action efforts, especially with respect to motivating, training, and developing minority personnel and women, as well as other employees.

The civilian personnel officer and his staff occupy key roles in the Equal Employment Opportunity Program. They are responsible for many functions involving employment, training, promotion, and employee counseling which have a critical impact on the effectiveness of the program. All personnel office employees should be held responsible for assisting in developing and executing aggressive, affirmative action, plans and projects.

Each Commanding Officer is designated as the Equal Employment Opportunity Officer (EECO) of that activity.

Head of activities must appoint sufficient EEO Counselors to meet the activities' need to maintain an open and sympathetic channel through which employees and applicants may raise questions or grievances and get resolutions. Before filing a formal discrimination complaint, the complainant must meet with the EEO couselor. In this regard, physical dispersion and ready accessibility, along with weight of numbers, should be given careful consideration. An Equal Employment Opportunity Coordinator is normally designated at each activity. The coordinator should be of sufficient stature in the activity to merit the respect and cooperation of senior military and civilian managers.

Each activity normally designates a person to serve as special advisor to the activity head on the Department of the Navy's Action Program for Women and a Spanish speaking coordinator. Ideally, this collateral designation should be a female employee working in a professional or technical level on par with male employees. She should be interested in advancing the program as well as capable of devising imaginative approaches and presenting the Department of the Navy's program before various groups.

Each activity must also establish a committee on equal employment opportunity to serve in a staff advisory capacity to the activity head. Specific functions and responsibilities of the EEO committee are to be determined by the activity head. Guidelines are contained in CMMI 713-D. Although the functions of the committees may vary, depending on the local situation and command policy, the relationship of the committee and the EEO Coordinator should be made clear. The committee should function in an advisory capacity.

PART 12 - LABOR-MANAGEMENT RELATIONS IN THE FEDERAL SERVICE

14.12.1 Labor-Management Relations in the Federal Service. Beginning with Presidential Executive Order 10988 in 1962, EO 11491 of 1969, EO 11616 of 1971, (11636 of 1971 - State Dept. only) and EO 11838 of 1975, the Federal Government recognized the right of its employees to be represented and to bargain collectively with their employer, and to negotiate agreements governing their relationship. Currently, more than half the Navy civilian employees are covered by such contracts. Very often, the PWO will be required:

1. To deal with employees within his department in a manner stipulated by terms of a negotiated agreement.

2. To participate, as a negotiating team member, in negotiating or renogitating such an agreement.

While the business of collective bargaining has for almost a century been a way of life in many private parts of our economy, collective bargaining experience in the public sector spans little more than a decade. In other words, management in the public sector is often temperamentally unequal of the task, as well as being unskilled for it. Public sector management, having been insulated from the main stream of industrial activity with respect to labor-management relations, must learn and learn quickly, to operate within the prescriptions imposed by new concepts of employee relations.

EO 11491 as amended (by 11616, 11636 and 11838) lists certain management practices as unfair, i.e., management shall not:

1. Interfere with, restrain, or coerce an employee in the exercise of the rights assured by this Order.

2. Encourage or discourage membership in a labor organization by discrimination in regard to hiring, tenure, promotion, or other conditions of employment.

3. Sponsor, control, or otherwise assist a labor organization, except that an agency may furnish customary and routine services and facilities under section 23 of the Order when consistent with the best interests of the agency, its employees, and the organization, and when the services and facilities are furnished, if requested, on an impartial basis to organization having equivalent status;

4. Discipline or otherwise discriminate against an employee because he has filed a complaint or given testimony under the Order;

5. Refuse to accord appropriate recognition to a labor organization qualified for such recognition; or

6. Refuse to consult, confer, or negotiate with a labor organization.

It has been said that management gets the type of union and union leadership it deserves. If management accepts labor-management relations as an unwanted obligation, and lets this be known, then it will likely get non-cooperation from the union and the union's leadership and little, if anything, will be realized from the investment management makes in this program. If, on the other hand, management really believes in the objectives of the program, and lets this belief be known, then it is more likely that the relationship will be productive and will contribute to the effective conduct of the public business.

The union can greatly assist management in identifying problems, pinpointing weaknesess, suggesting improvements, and otherwise helping to accomplish the mission in an efficient and economical manner.

The first order of business for the PWO, given the existence of negotiated agreement, is to study it-not just read it. FPM 711 should also be studied. Living under the contract can be a positive, cooperative experience. It can also be an exasperating, counter-productive experience. The relationship between line managers and the union steward is crucial, and the seeds of cooperation or non-cooperation, are cultivated in this relationship. Managers must understand the steward's function. One labor organization describes a steward as follows:

"A shop steward is the most important man in the Union. He has often been called the 'backbone' of the Union. To the members of thousands of Locals he is 'Mr. Union.' What the member thinks of the union and the kind of support he or she will give depends to a great extent on the efficiency of the shop steward. He is the leader of the shop, office or department.

"A Union may have the best group of officers and the best executive board, but with incompetent Stewards the members are helpless. Your agency, workshop or office may have the best policies that can be written, but without an informed Shop Steward they will not be carried out. Both Union and Management are powerless to function properly without competent Stewards.

"We repeat, it is the Steward who is Mr. Union to the members in the shop or office and to the supervisor. The supervisor rarely sees any of the union officers, and even the dues-payers seldom meet the officers. The person they come in contact with is the Steward as he accepts applications, collects dues, and is the one to contact with gripes and grievances. Since he holds such an important position in the Union, and the prestige of the union depends on his every action, he should be well informed regarding his duties, his responsibilities, and the rights of the members.

"The Shop Steward and the supervisor play a vital part in the production of any department. A definite correlation exists between the manner in which their relationship is maintained on a day-to-day basis as well as the efficiency of the department. The Shop Steward recognizes the fact that the supervisor is the head man in the department, and, as such, is responsible to higher management for the quality and quantity of the work. It might be well to point out that in more enlightened situations he is also held responsible for maintaining sensible relationships with the

employees. The supervisor is the key man for management. The Shop Steward is the key man for the union. These two must work together in good faith on department problems. They must promote and maintain morale and friendly relations. They must be willing to cooperate. They must be anxious to settle grievances as they arise, exercising a positive and friendly approach. As the representative of the employees, the Steward must respect the supervisor, as he, in turn, expects to be respected by the men and women he represents.

"The reputation of a good Steward does not rest on the number of grievances he settles, but on the number he settles in the primary state. He knows the proper way to approach the supervisor, or any member of management, is as an equal seeking the solution to a common problem. Remember you are not two gladiators in an arena about to fight. Only people who are not sure of themselves feel the need for a front and appearing aggressive, domineering and belligerent. *You have nothing to fear,* being fully protected by controlled temper and your sense of humor. Be positive and friendly in your approach-never hesitant, disagreeable and on the defense."

14.12.2 Principal Right of Unions One of the union's most prized rights under exclusive recognition is that management is required to consult with union representatives on matters affecting employees. The management team will undoubtedly find that Stewards and other union officials are particularly aware of this right to be brought into the act when new or revised personnel policies are under discussion. This will be especially so until such time as they become personally sure that management fully accepts them and acknowledges their right to be concerned with the satisfaction of the needs, desires, and expectations of employees and the union.

If management does not accept the steward (ignores him or challenges his right to be involved in the process), he may act in a number of undesirable ways. To illustrate, he may actually go out and solicit grievances or he may agree to prosecute unjustified complaints, just to dramatize his availability and usefulness to employees; or he may try to get employees to look suspiciously at innocent management acts. Indirect reaction affecting the steward is where a potentially cooperative steward becomes so frustrated by management indifference or hostility that the employees begin to feel that he cannot effectively represent them. When this happens, the union will most likely look around for a stronger, more aggressive steward and, as a result, this can trigger further problems.

The other side of the coin, of course, is where the steward feels that management accepts him and acknowledges his right to participate in the making and administration of the 'law of the shop.' Given this situation, and assuming that he is also a reasonable man, he will most likely try to avoid such action as soliciting grievances or prosecuting unjustified complaints. The supervisor will also be able to enlist his aid in communicating to the employees the reasons for management objectives which are compatible with employee goals. Finally, if the steward feels free to come to the supervisor, he will likely keep the manager better informed about the way in which employees are responding or may respond to management plans as well as providing helpful suggestions from time-to-time.

14.12.3 Supervisor-Employee Relationship. Misunderstandings with respect to the contract will arise over a variety of issues. One of the most common source of such problems is in connection with the administration of work rules governing such subjects as the distribution of overtime, wash-up time allowances and leave administration. Even with a written contract, these subjects will probably continue to be sources of misunderstandings, but much can be done to bridge the gap between management and the workforce and lead to an improved labor-management relationship.

The supervisor, by virtue of his position, can do much to foster understanding between himself and the employee. The simple act of starting a conversation, for example, is a relatively easy matter for most supervisors but something which many employees approach uneasily. However, if these "conversational" contracts are limited to periods when the employee is upset about this or that problem which the supervisor is discussing, they may lead to further misunderstanding rather than greater understanding. In this area, however, one other caution needs to be mentioned-the supervisor must make sure that he does not cause misunderstandings between the employee and his representative (the steward) in his effort to avoid supervisor-employee misunderstandings.

14.12.4 Supervisor-Steward Relationship. The difficulties involved in maintaining an effective supervisor-employee working relationship are compounded when the employee also happens to be the union steward. The source of misunderstanding often centers around the employee-steward's activities in connection with representational duties covered in the contract, or, more likely, those not spelled out in detail in the contract. Probably the most common sources of misunderstanding concern rights of the steward when conducting official business, the type of permission needed when going on union business and what is to be considered 'internal' union business versus 'representational' activities.

Stewards are entitled to a reasonable amount of official duty time to perform their 'representational' activities but official time for internal union business is prohibited. Typical of internal union business are the collection of dues from members of the unit and the recruitment of new members. Since situations could arise as the result of either deliberate action or an honest misunderstanding of the terms of the contract, the supervisor is faced with a substantial challenge in his efforts to make the supervisor-steward relationship a productive one.

The supervisor of an employee who is also a union steward has, by definition a dual supervisory responsibility. First, he must give the same supervision to the employee-steward as he does to any other employee in the performance of his assigned duties. Second, and this is often the more important of the two responsibilities, the supervisor is management's monitor of the employee when he is carrying out his contract administration responsibilities for the union. It is here that the supervisor becomes wide open to criticism from both management and the union because he must often decide what are reasonable bounds for his own employee, who is engaged in administering a contract covering employees who may or may not work in his area of responsibility. Since the employee is, in effect, serving two masters when carrying out his steward role, there are numerous opportunities for misunderstanding between the supervisor and the employee-steward. The best guide for the supervisor if he is to be successful in this effort is to know the scope of authorized steward activity and to work with the steward to develop practical ground rules to this effect from the outset of the relationship.

14.12.5 Manager-Supervisor Relationship. Another area where misunderstandings regarding the terms of the contract sometimes arise is the manager-supervisor relationship. The situation for the first-line supervisor is considerably different from that of the middle manager or the top manager level. The first-line supervisor must get a full day's work for a full day's pay from each worker. The top manager is concerned with policy and planning matters, setting up and maintaining an effective communications system, and generally, doing what he can to provide an overall climate that will help assure employee-management cooperation. The middle manager is just that; a "middle man" who is responsible for overseeing the first line supervisor-employee relationship taking place at the primary action level. He must make sure that the policies and practices established by top management are, in fact, implemented and followed by line supervisors and the work force. Finally, he serves as a communicator between line supervision and top management.

These differences in point of view affect both the contract administration process and the manager-supervisor relationship and, directly or indirectly, create conditions which can cause misunderstandings. Sometimes top managers fail to get a complete factual picture of the situation on the line. Not knowing what the facts are, they may fail to give the lower level supervisor needed support, correct guidance or proper interpretation of what the contract was intended to mean in situations of this sort. This, in turn, can lead to either lax administration or improper application of the terms of the contract by lower level supervisors (knowing that they have erred in carrying out the terms of the contract can lead, in turn, to selective filtering by the line of their upward communications to top management). As a result, communications between the various levels of management can completely break down.

Other possible barriers to manager-supervisor understanding include differences in interpretation and application of contract provisions; or permitting the union steward to bypass one or more echelons of supervision in his day-to-day dealings under the contract. While the reason for manager-supervisor misunderstandings are often different, the practical results are the same - an adverse impact on mission accomplishment.

What, then, can be done to avoid misunderstandings within the management team which can result in poor contract administration? The answer, of course, is that there must be effective communications up and down the management line-so that supervisors know how top management expects them to administer the contract and otherwise carry out the labor-management relationship. (This same principle also applies to reducing inter-departmental differences-exchanging information across departmental lines.) Lower level supervisors must be encouraged to seek advice, counsel and support when they are unsure of their understanding of the contract as it applies to a particular situation. In like manner, they should feel free to suggest changes when they feel that certain provisions are impractical or otherwise contribute to disputes. Most of all, it is essential that the first-line supervisor not be led to believe that he is isolated as the man in the middle between the demands of top management and those of the union and the employee.

PART 13 - EMPLOYEE SERVICES

14.13.1 Employee Services. It is established Navy policy that a program of employee services, based upon local needs and contributing to the efficient performance of official duties, be set up at each activity. The purpose of such a program are (1) to

keep employees informed of management policies and rules; (2) to limit the occasions where work processes must be interrupted so that employees may tend to personal affairs; and (3) to promote sound and cooperative relationships between employees and management officials.

Information services include indoctrination handbooks and materials - which have sustaining reference value - bulletin boards, public address systems, and station newspapers.

In the category of financial services, the most commonly used are employee relief and welfare funds, credit unions, banking facilities, income tax assistance, and locations for payment of utility bills.

Among the special services generally provided are: housing and transportation assistance; blood banks; counseling; notarial acts at no charge, and outlets for the purchase of protective apparel or equipment not ordinarily furnished by the Government. The solicitation for contributions for patriotic, civic, and charitable causes is generally classed as an employee service. Nearly all employees are eligible and elect to participate in Federal Employees Group Life Insurance and Health Benefits Programs.

The Navy makes available to its employees the facilities and assistance necessary to provide in-plant food service by means of cafeteria, lunch counters, snack bars, or vending machines. At field activities, the development and execution of plans for operation of the service become the functions of a good service board, subject to approval by the head of the activity. Such a board normally consists of from 5 to 7 employees appointed by the head of the activity. The latter may, however, arrange to have some of all of the members designated by an elective process or nominated by employee groups. Food services may be operated directly by the board through employment of a manager or by commercial enterprise as concessions. The primary objective is to make nourishing food available to the greatest possible numbers of employees at the lowest possible price consistent with conservative financial management.

The Navy recognizes the need for individual employees and groups of employees to participate in welfare and recreational activities and encourages the formation of associations to conduct such activities. Civilian food service, welfare and recreational activities are authorized non-appropriated fund activities, deemed by the Navy to be an integral part of the Department. As such, they are instrumentalities of the Government and are entitled to all the immunities and privileges pertaining thereto.

CHAPTER 15
PUBLIC WORKS COLLATERAL RESPONSIBILITIES

The Public Works Officer, like any other officer at a Naval activity, normally has many collateral duties. As a facility "specialist," he can usually depend upon having several unique collateral duties and management functions. Some are presented and discussed in this chapter. Many officers, especially junior officers, feel that they have so many collateral duties that they have no time for their primary duty. Further, they sometimes (although not often) feel that their primary duty is really not very important anyway. A special word of advice is offered here about collateral duties. Often an officer's *service* reputation is made by how well he performs his collateral duties and not his primary duty. Therefore, look at the collateral duties you have been assigned and approach them with a positive, rigorous attitude. In all probability you will have one or more collateral duties with which you can really make your mark; possibly for years to come.

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1. *The Watch Officer's Guide*...United States Naval Academy, Annapolis, Maryland (latest edition)
2. OPNAV Instruction 5100.8-16 (Series) *Navy Directives on Safety, Accident Reporting Procedures, etc.*
3. NAVMAT P-5100 (Series) *Safety Precautions for Shore Activities*...Outlines Safety considerations and procedures for various functions at a Naval Activity
4. NAVMAT P-10470, July 1969, *Safety Equipment Manual*...Deals with safety equipment
5. NAVSO P-2427, *How to Negotiate Labor Management Agreements*...How to do it negotiator's guide
6. NAVPERS 18359A, Marth 1965, *Work Simplification for Naval Units*
7. NAVFAC MO-325, *Work Simplification for Maintenance of Public Works and Public Utilities*
8. NAVPERS 10899-B, *Disaster Control (Ashore and Afloat)*
9. NAVFAC Instruction 3440.12, Subj: *Navy Disaster Control Guidance; promulgation of*

PART 1 — COLLATERAL DUTIES

15.1.1 Military Duties. In the day to day press of Public Works business, it is possible to lose sight of the fact that the officer in Public Works is first and foremost a Naval Officer, commissioned by the President or Congress to execute military functions. Second, the officer in Public Works is a Civil Engineer Corps Officer, representing not only the Civil Engineer Corps and Chief of Civil Engineers but also the Commander, Naval Facilities Engineering Command. The PWO's role as professional engineer and facilities manager must always play a secondary role to his military role. As a Naval officer and Civil Engineer Corps officer, the PWO exercises his commission in carrying out military duties — CDO, OOD, Public Works Officer — and by functioning as a division officer for a special enlisted man — the Seabee — who might be assigned to the Department.

15.1.2 Watches. As Command Duty Officer or Officer of the Day, the Public Works Officer has the opportunity not only to function in a command capacity, but also to utilize the on-duty time to inspect the activity and after-hours functions with an eye toward improving his department's services or functional organization. As a word of advice, the PWO should not attempt to get off of a command watch and establish a separate officer's watch for Public Works. This action only tends to drive a wedge of misunderstanding into the gap between the PWO and their officers at an activity, and the isolation of a separate watch removes the PWO from the "mainstream" of command activities.

A. Public Works Watches. The foregoing statements do not mean that there will not be separate Public Works watches at a Naval activity. There should always be, for example, some form of 24-hour emergency service desk. Whether there is a fully manned section or merely an answering service to field emergencies, is a function of local circumstances and policy. There should always be some form of contact with Public Works, however. Another watch sometimes found in Public Works Departments is a 24-hour taxi service, either within the Transportation Division or assigned as a function of the OOD's watch section. At a station where steam is generated, there will be a 24-hour boiler watch (in this regard compare costs of manned and unmanned boiler systems), or where power is a critical commodity (either primary or emergency) you will usually require a separate power plant or generator watch. As with any other department head, the PWO is always "on-call" to command. At large activities where there are several CEC Officers in Public Works, there will usually be a rotating telephone watch to relieve the PWO of receiving anything but bona-fide emergencies.

B. The Watch Officers Guide is recommended as part of the Public Works Officer's library for reference in watch standing matters. In addition, there will always be local instructions implementing the various watch procedures at the activity.

15.1.3 Division Officer. As Division Officer for enlisted personnel assigned to the Public Works Department, the PWO carries a full spectrum of

FIGURE 15-1
SWORD MANUAL DRILL AT CECOS

responsibilities centering around the administration of enlisted personnel. These duties include:

A. Maintaining a Division Officer's notebook in which Personnel Data Cards (NAVPERS 2840) for each enlisted man in the Seabee Division are kept.

B. Encouraging preparation to qualify for advancement in rating.

C. Seeing to the messing and berthing of the men.

D. Seeing that the men are working within their rate and rating.

E. Insuring that duties assigned to Public Works personnel are commensurate in responsibility, satisfaction, and career enhancement with those assigned to other station personnel.

F. Administering liberty and leave.

G. Carrying out personnel inspections.

H. Providing personal example and leadership.

I. Insuring the men receive sound career counseling.

A Word of Advice: Your Seabees are dependent upon you to assure they get a "fair shake" in the shore establishment. You, and not command, are the expert in their particular qualifications and your primary interest should be in assuring that they are not misused. By this it is meant that Seabees are not meant just to man duty driver sections — nor should they be denied sufficient work in their rating to keep current their skills and qualify for advancement. There are perfectly legal and productive outlets for each and every Occupational Field XIII rate and rating in the shore establishment. Just one of these is the Self Help Program, wherein Seabees are permitted to *supervise* other station military personnel in improving their barracks, welfare, and recreation facilities. There are any number of others and it is the PWO's job to find them. Remember that you have all the resources of the station personnel officer at your disposal in this capacity. Also remember that you must "protect" these billets during the CITA Inventory and Review stages (Section 2.7).

15.1.4 The Station Planning Board. This is the board who among other functions decides what minor construction/alteration projects the command will fund with its limited resources (see paragraph 6.2.1.B.2.d). In this respect it performs a vital function of removing the burden of deciding improvement priorities from the PWO's back. The planning board is normally chaired by the Executive Officer and has as members officers or officials from the various operating departments. The PWO normally serves as a staff member and coordinator for the board. He is usually tasked with setting up meetings, assembling and presenting lists of desired improvement projects along with cost estimates, pros and cons, etc., and keeping a record of board decisions. The station planning board can also function in preparation of various Shore Facilities Planning Documents such as the Logistics Support Requirements Plan or the Basic Facilities Requirements List (see Chapter 4). It can also be an important sounding board to establish command priorities at budget time.

15.1.5 Disaster Preparedness Officer. Commanding Officers of major Naval shore activities usually have the additional responsibility of Disaster Preparedness. To assist him in carrying out his responsibilities he will designate an officer in his command as the "Disaster Preparedness Officer."

NAVFAC is CNO's "Chief Technical Advisor Ashore" and, as such, is responsible, in part, for coordinating the administration of disaster preparedness program for all Naval shore activities and providing policy guidance relating to criteria for organization, manning, training, equipment, and inspection of disaster forces. Because of NAVFAC's role, CEC officers play an important part in the disaster control organization of the shore activity and are sometimes designated as the Disaster Preparedness Officer.

Functions of the Disaster Preparedness Officer are generally:

A. Organizing. Organize the activity into a disaster control organization with clearly defined organizational units and recommend assignments of personnel to head each function and team.

B. Planning. Prepare and maintain a comprehensive Disaster Preparedness Plan.

C. Training. Coordinate recurring training with each level of the Disaster Control Organization and provide sufficient follow-up to ensure a working and meaningful training program; procure and distribute special equipment and supplies.

D. Advising. Assemble, maintain, and provide the expert knowledge on all instructions, reporting requirements, intercommand relationships, and civilian/military/Civil Defense responsibilities that are applicable or required on an every day basis, in a disaster alert status, or during and after a disaster. In this capacity he is the Disaster Preparedness Advisor to the Unit Commander.

E. Advertising. Insuring, by any means, that each and every person at the activity knows what he is to do in all emergency situations.

References which form the basis for an understanding of Disaster Preparedness are listed. They, in turn, provide references to many other sources of information. Another source of information is the Defense Civil Preparedness Agency (DCPA) and/or the local Civil Defense Officials.

1. OPNAVINST 3440.13C of 5 March 1975, Subj: *Disaster Preparedness Ashore*

2. NAVFACINST 3440.12 (Series), Subj: *Navy Disaster Control Guidance; promulgation of*

15.1.6 Labor Management Relations Committee. Roughly only 20-25% of the private sector of the work force in the United States eligible to be covered by a Labor-Management Contract are so covered today. However, 55-60% of the Navy's civilian work force eligible to be similarly covered by negotiated agreements are. The Public Works Officer, therefore, as a major employer of blue collar civilian employees will likely be called upon to contribute to Labor-Management Negotiations, either as a member of a management team, or as chief negotiator or "managment spokesman." It goes without saying that labor will have on its side of the table a trained negotiator, usually contracted, and therefore, management must "do some homework" before negotiations commence or experience some frustrations. There are many guides to labor management negotiations and copies of agreements available through the Office of Civilian Personnel Management (OPM) and their regional offices, if not through your local Civilian Personnel Office. Day to day labor management relations are covered in some detail in Chapter 14. There are also publications available which explain how to administer labor management agreements. Your Civilian Personnel Office will be able to assist you in these matters and it behooves you to educate yourself in this area.

15.1.7 Industrial Health and Safety. Although the PWO will not normally be assigned as "Safety Officer," he is nevertheless deeply involved by virtue of the nature of his business. Although not abnormally hazardous, Public Works shops and job sites are areas of potential hazards, not only from the point of view of machinery and tools, but also from the point of view of caustics, fumes, and other less obvious sources. The basic defenses against excessive industrial accidents are publicity and training of personnel — making the employee conscious of potential hazards and improving safety measures in his day to day performance of duties. The responsibility for safety is not limited to the Public Works shops either, but extends into every facility on the base. The primary Navy guides for safety practices are in the OPNAVINST 5100-8 to -16 series, the NAVMAT Manual P-5100, *Safety Precautions for Shore Activities,* and the NAVMAT Manual P-10470, *Safety Equipment.* These books should form part of your Public Works Library.

If it has not already, your base may soon feel the impact of the Williams-Steiger Occupational Safety and Health Act (OSHA) of 1970, Public Law 91-576. It was not until President Ford issued Executive Order 11807 on September 30, 1974, that the different Federal agencies had specific orders on implementing the OSHA within the federal service. The Law and the Executive Order combine to require two fundamental duties of Public Works Officers and all other Navy supervisors:

1. Provide employees a work place free from recognized hazards and

2. Comply with standards set by Agency heads which will be "consistent with" those already issued by the OSHA Administration, under the Secretary of Labor.

The two documents also combine to make these very specific and often tougher OSHA standards applicable overseas and to uniformed personnel, as well.

As of this writing, there is much for the Navy to do to fully comply with the Law and the Executive Order. New Navy-wide standards are as yet under preparation. Navy accident record-keeping systems are being modified to match those used by the OSHA Administration. But, while these top level efforts are underway, the Public Works Officer should be moving so his Department and Base are not overwhelmed by the new programs.

DO:

1. Learn the standards already issued by OSHA which apply to the work done in your shops and around the base. (Available from Superintendent of Documents.) Some Standards apply to your minor construction effort, too.

2. Provide safety training for your supervisors and employees.

3. Apply the current standards of NAVMAT P-5100, Safety Precautions for Shore Activities, to your shops and spaces. Budget for replacement or modification of unsafe equipment or areas. Do not be caught short.

4. Involve employees. Allow (and require) employees of each shop or work area to name a safety representative.

5. Provide safety equipment where it is a requirement of a person's job.

6. Ensure your accident reporting is in an up-to-date format.

7. Require your Engineering Division to learn how OSHA affects the design of new or rehabilitated facilities.

DON'T:

Give advance warning of an OSHA inspection of your spaces or a contractor's site. It is a criminal offense.

For assistance, try the Base Safety Office if your base has one, the EFD, or write to:

Occupational Safety and Health Administration
1825 K Street, N.W.
Washington, DC 20006

15.1.8 Training. Most of the routine problems encountered by a Public Works Department can eventually be traced to the fact that someone didn't understand what needed doing or what the proper procedure or technique was. Inherent in the Civil Service System is the right of a good employee to "work his way up the ladder" in either the blue or white collar registers. Thus, as an example, a planner/estimator-inspector at an activity might have begun his career 20 years earlier as a laborer and progressed through various journeyman and supervisory jobs to his present position. In this position he is responsible for estimating with a high degree of accuracy, utilizing Engineered Performance Standards and his own experience and judgment, what the commitment of each work center will be toward any given specific job order. The purpose of this procedure is to permit orderly shop scheduling and job accomplishment — thereby permitting increased production. Would it come as a shock to realize that this individual has never been trained as a Planner/Estimator and doesn't understand the use of EPS? Unfortunately, this and similar situations are not uncommon. There are Maintenance Control Division Directors who don't really understand the objectives and concepts of Maintenance Management; Administration Division Directors who cannot properly prepare or analyze a report; and supervisors who know nothing about filling out personnel evaluations. The fault? Management! Managers, meaning the Public Works Officers, have been unable to "afford the time" for the formal training of employees and have accepted the resultant inefficiencies as normal characteristics of the "bureaucracy" or even the Civil Service employee!

Even the most rudimentary knowledge of management includes the precept that training pays for itself many times over. In addition, there are certain Public Works positions which require formal licensing in order to operate. In the blue collar areas, you will find requirements for licensing of:

Boiler Inspectors
Elevator Inspectors
Boiler Plant Operators
Sewage Plant Operators
Water Plant Operators
Crankcase Emission Device Certifiers
Pest Controlmen

All engineers and architects working for Public Works, both civilian and military — should be professionally registered.

There are two types of training available to a PWO for use — Formal Training and On-the-Job Training (OJT):

A. Formal Training. There is a formal course somewhere for everyone in the Public Works Department, either at Navy schools such as CECOS, or through the Navy Technical Training Center at PWC, Norfolk, or in private industry and institutions. Information on formal courses is available from two principle sources — the Civilian Personnel Office and the local Engineering Field Division Program Management Office. There is usually a surfeit of training available and the problem becomes one of selecting rather than finding. In addition to increasing efficiency, formal training reaps many benefits in employee job satisfaction, interest, and loyalty. The electrician who has been sent to one week expense paid schooling in generator maintenance at a civilian company will return to the job with the feeling that he is now an indispensable member of the team with true purpose rather than just an employee.

B. On-the-Job Training takes many forms, beginning with good supervision at the job level and ending with the PWOs taking the time to let each and every employee know what the objectives, policies, and plans of his department are. Training films, lectures, discussions and seminars are available by the bushel. The chief problem in instituting and maintaining OJT is in keeping a viable organized program in motion after the first stab. This can be overcome by (1) designating *someone* as overall training coordinator, and (2) making a schedule out in advance and following it.

PART 2 — OTHER RESPONSIBILITIES

15.2.1 Self Help. The self-help program is a method of performing maintenance, repair, and/or construction on personnel support facilities such as bachelor enlisted quarters, recreation and welfare facilities utilizing military labor to perform the work. The military labor consists of Seabees, the

construction tradesmen of the Navy, providing the technical and construction guidance to Navy personnel unskilled in construction trades. In theory the non-Seabee sailors or "self-helpers" perform the work under the technical supervision of the Seabees.

OPNAVINST 11000.8 (current) sets both the policies and responsibilities for the development and execution of a local self-help program. DOD Directive 1135.2 of 5 August 1952 sets forth the policy for the procurement of services for maintenance, repair, alterations and new construction of real property within DOD in continental United States and Alaska. This publication specifies the conditions under which military construction units and military personnel, other than organized military units, may be used to procure these services. It is important for the Public Works Officer to know and understand the limitations imposed by the DOD Directive. The following types of work are considered legitimate projects for self-help accomplishment:

1. Living Facilities
2. Temporary Lodgings
3. Parking Garages/On-Base Parking
4. Trailer Parks
5. Locker Clubs
6. Recreation Clubs and other welfare facilities

In order to insure that work accomplished under the self-help program is done in a professional and economical manner, reliance is made on Civil Engineer Corps Officers and Seabee resources for professional and techical guidance of personnel unskilled in the construction trades. This technical expertise can come from several organizations which could include the Public Works Officer, PWD Seabee Division, Construction Battalion Unit (CBU), Reserve Naval Mobile Construction Battalion (RNMCB) or NMCB.

The planning, authorization and funding of self-help projects is carried out in the normal manner in accordance with current instructions. A continuing public relationships program should be maintained to ensure that all local government employee and trade union officials understand and are aware of the objectives of the activities self-help program and that competition with public works departments, civil service and the civilian construction industry is neither contemplated nor desired.

15.2.2 The Construction Battalion Unit. For years the Seabee shore duty billets have been scattered throughout the shore establishment with little apparent logic. Skilled Seabees had to serve ashore after years at sea, so every opportunity was taken to obtain Seabee shore billets, any billets, regardless of functions assigned.

Consequently, until late 1969, Seabees ashore could be found doing almost any job, but rarely were their jobs related to their training and skills.

FIGURE 15-2
NAVAL SCHOOL, CIVIL ENGINEER CORPS OFFICERS

Commencing in late 1969, the Chief of Civil Engineers obtained approval of the Chief of Naval Operations and the Secretary of the Navy to organize Seabee units, now called CBUs, at centers of Naval activity, to more effectively utilize these Seabee shore billets; to improve their peacetime training; and to enhance their readiness posture.

The CBUs are now taking the lead in the self-help program, in the immediate geographic areas where they have been established. The marvelous combination of the high priority self-help program, coupled with Seabee resources, results in a program with many positive Navy-wide benefits and direct training and readiness value to the Seabees.

The typical Construction Ballation Unit is platoon sized at 45 men and one Civil Engineer Corps Officer as Officer-in-Charge. It is equipped with 20-30 pieces of heavy construction equipment, basic tool kits, weapons, and combat gear. It is designed to be self-sufficient for construction operations with almost all assigned personnel capable of productive labor.

A CBU is capable of taking the lead in self-help projects, and will do so with vigor. Production will not consume all of the unit's time, as some time each week will be set aside for military training, including disaster recover, weapons familiarization, mount-out exercises, and related exercises.

The Seabee in the post-RVN Navy can now look forward to excellent duty and meaningful employment in every Seabee billet, at sea or ashore.

CONSTRUCTION BATTALION UNITS

Designation	Locations
401	Great Lakes, Illinois
402	Pensacola, Florida
403	Annapolis, Maryland
404	Memphis, Tennessee
405	San Diego, California
406	Lemoore, California
407	Corpus Christi, Texas
410	Jacksonville, Florida
411	Norfolk, Virginia
412	Charleston, South Carolina

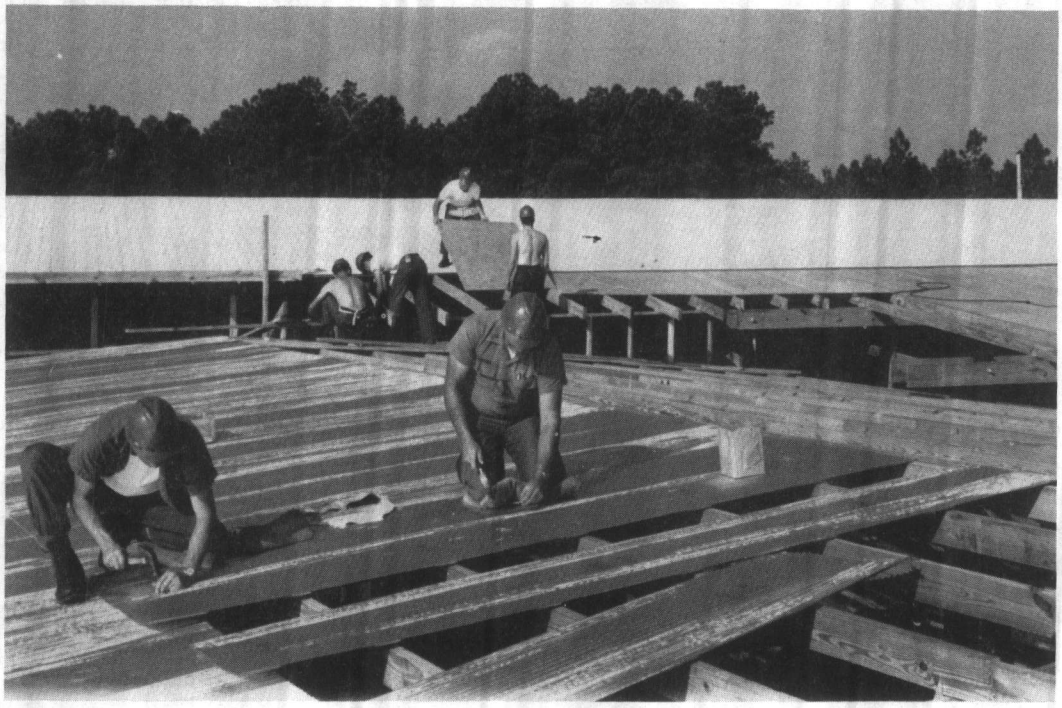

FIGURE 15-3
"SELF-HELP" PROJECT BEING ACCOMPLISHED
BY CBU-402 AT PENSACOLA, FLORIDA

CONSTRUCTION BATTALION UNITS

Designation	Locations
413	Pearl Harbor, Hawaii
414	New London, Connecticut
415	Oceana, Virginia
416	Alameda, California
417	Whidbey Island, Washington
418	Bangor, Washington

15.2.3 Work Simplification. Work simplification involves the systematic use of common sense to make work easier, cheaper, and quicker with the same or less human effort. The basic precept of work simplification is that there is always a better way — a better way to do a particular job and a better way to utilize equipment and/or personnel. Constant analysis of work at the shop and office level will not only result in dollar savings by increased efficiency, but will also instill a sense of pride in shop personnel, build morale and generally make for a more "heads up" organization. Its principal application will be in the maintenance area (Chapter 6) but it will find use in other functional areas as well.

Work simplification involves suggestions and is closely coordinated with the Cost Reduction/Management Improvement and Beneficial Suggestion Program in providing methods to evaluate and improve the way maintenance and other work is accomplished at the site. Heretofore the management systems presented in this manual have been aimed at maximizing productivity or usage through optimizing coordination and scheduling. For example, in the maintenance area we seek to plan, estimate, program and schedule work so that materials will be available on the job, men from various trades will be available when needed, and the job will therefore proceed smoothly. In work simplification we focus on the workman himself, through the eyes of the industrial engineer, critically analyze the necessity for and procedures utilized in each step, and seek to find a more efficient way.

This program has had only faltering success in the past — due largely to the reluctance of people to either institute or accept change, but with the ever diminishing availability of resources and skyrocketing costs, it would appear that further increases in efficiency will be sought through this technique. You should therefore have NAVFAC MO-325, *Work Simplification,* in your library. A more comprehensive reference is NAVPERS 18359A, *Work Simplification for Naval Units.* These, along with books on operations and production analysis and methods engineering provide a vast background of scientific techniques which can be used in work analysis and simplification.

PART 3 — OFFICER IN CHARGE OF CONSTRUCTION/RESIDENT OFFICER IN CHARGE OF CONSTRUCTION (OICC/ROICC)

15.3.1 Contract Responsibility. The PWO, more often than not, will have additional duty orders to the local Engineering Field Division as Officer-in-Charge of Construction (OICC) for limited and/or informal contracts and as ROICC for larger contracts. In these capacities he has a separate reporting chain of command through the EFD, a separate staff, separate manuals and directives, and separate procedures — in short — a whole different job. NAVFAC P-68, *Contracting Manual, the Armed Services Procurement Regulations,* and CECOS 202, *An Introduction to* NAVFAC *Contracting,* are the principal references for the ROICC.

A. The OICC. Commanders/Commanding Officer of the six Engineering Field Divisions are designated as OICCs and have authority to award most NAVFAC contracts without prior approval of NAVFAC Headquarters. Contractural authority is further delegated to certain Civil Engineer Corps Officers located at established naval activities as well as other geographical areas in which NAVFAC has DOD contract responsibility. This is accomplished by the Commanders/Commanding Officers of Engineering Field Divisions appointing Civil Engineer Corps Officers to act as OICC for certain contracts within their geographical area of responsibility. When this authority has been so delegated, the appointee has the full authority and responsibility for the contracts which he administers provided they are within the stipulated limits. OICCs so designated often fill other roles, such as that of Activity Public Works Officer. When acting in a contractual capacity, the OICC derives contract authority, *not from his Commanding Officer, but from the "Contracting Officer."* The responsibilities of the OICC are extensive and include everything from advertising the contract to preparation of final payment vouchers, and release of the contractor.

The OICC becomes directly involved after a determination has been made to accomplish a particular project by contract. Should the size of the contract exceed the authority of the OICC/PWO, he will equest the Commander/Commanding Officer of the EFD to perform the OICC functions. In either case, the contract administrator acts as OICC for the contract if it is for construction, or as OIC it it is not (e.g., ARCHITECT — Engineer or Maintenance — Service Contracts).

B. The ROICC. In order to fully understand the responsibilities of the ROICC, a comprehensive

review of significant functions required for the proper administration of a construction contract is necessary.

1. Designation of Inspector. When a construction contract is scheduled to be advertised, it is appropriate that both the Assistant Resident Officer-in-Charge of Construction (AROICC), who will eventually be responsible for the day-to-day administration of the project, and the inspector be designated.

2. Review of Plans. Review of the plans and specifications prior to award of the contract contributes significantly to the reduction of the number of problems encountered during the construction phase. Therefore, the ROICC should ensure that this review is accomplished in a timely manner, with recommended changes forwarded to the OICC for incorporation into the plans and specifications by amendment, if necessary.

3. Preconstruction Conference. As soon as practicable after the award of the contract, a preconstruction conference should be held with government representatives and the contractor present. The purpose of the conference is twofold: (1) to acquaint the contractor with the numerous details of administration required in the conduct of the contract; and (2) to coordinate the contractor's construction plans with the using activity and other interested parties. A complete discussion of the preconstruction conference is in Chapter 5 of *An* Introduction to NAVFAC Contracting.

4. Record Keeping. Throughout the life span of the contract all significant actions should be documented in writing at the time they occur. This can take the form of memos to the file, letters to the contractor, etc. Proper and timely preparation of correspondence does much to improve the administration of the contract. Certain correspondence lends itself to "standard" letters which vary little from contract to contract.

5. Monitoring Contractor Progress. As the contract work proceeds, the ROICC should remain current as to contractor progress, problems encountered, changes pending and any other significant information. Frequent visits to the site of work are indispensable to accomplish the above. If the contract has been assigned to an AROICC for day-to-day administration, much of the required information should be accumulated and related by him during frequent job status meetings. Of particular value is the Inspectors Daily Report (NAVFAC 4-11013/10). These should be checked periodically for accuracy and completeness, as they form the historical basis of the government position if a dispute develops between the government and the contractor.

6. Equipment Delivery. In addition to reviewing the current progress, the ROICC should continually be attempting to foresee problems which the contractor may encounter. One such frequently encountered problem is the late delivery of material and equipment. Although many reasons or excuses may follow late delivery, it is certainly advantageous to the government to attempt to forestall the problem rather than justify and explain it.

Expediting is accomplished by the Defense Contract Administration Service upon the request of the ROICC, in accordance with local procedures. Direct contact with the manufacturer is sometimes beneficial. Every possible effort should be made to obtain satisfactory delivery.

7. Change Orders. Change orders are formal changes to the basic contract and must be made in compliance with NAVFAC instructions and ASPR. Change orders result from design changes, changed requirements, changed conditions, ripple effect changes and constructive changes. A complete discussion of change orders is included in Chapter 4 of *An Introduction to NAVFAC Contracting.* The ROICC is responsible to ensure that change orders to not unnecessarily delay construction progress and that they are promptly initiated, negotiated and issued to the contractor.

Any potential delay of construction progress is the immediate concern of the ROICC. No delay should be accepted as inevitable until all possible actions have been taken to prevent its occurrence.

8. Customer Liaison. Keeping the "customer" informed of the construction status is a most important function of the ROICC. Periodic meetings allow the ROICC to inform the "customer" of the status of construction, the anticipated completion date, and significant delays being encountered. During these meetings the "customer" has the opportunity to ask questions, discuss possible changes, and discuss plans for future occupancy of the facility. The need for good "customer" relations should be continually emphasized by the ROICC.

9. Joint Inspection. Upon completion of the construction, the ROICC schedules a final inspection conducted jointly by the contractor and government representatives. It is appropriate to note at this time all discrepancies found during the final inspection and to require the contractor to correct those determined to be at variance with contract requirements. As soon as possible thereafter, the completed facility should be formally transferred to the user. With the completion by the contractor of all stated contract requirements, the next step is to have the contractor execute releases

in conjunction with his submission of the final invoice.

10. Administrative Duties. In addition to the responsibilities which relate directly to each contract, the ROICC is responsible for the administration of the ROICC Office and the supervision of the military and civilian personnel assigned. Staffing should be continually evaluated to insure that there are an adequate number of qualified personnel, that required functions are properly assigned, and that performance on those assigned to the project is satisfactory.

The ROICC should ensure that the OICC is constantly kept informed on the status of assigned contracts. Certain responsibilities have not been delegated to the ROICC, such as the signing of contractual documents, the issuance of change orders, and the approval of the Schedule of Prices and Invoices. For such actions, the OICC will normally rely on the recommendations of the ROICC as the basis for his decision.

Throughout the administration of a contract, the ROICC should refer to NAVFAC P-68 for guidance concnerning responsibility for carrying out the various functions.

PART 4 — PUBLIC RELATIONS

15.4.1 General. The Public Works Officer as PWO, and also as OICC/ROICC, by the very nature of his business, has many contacts with the community. Since the Navy places high emphasis on maintaining its "public image," it is worthwhile to review some of the potential pitfalls of Navy-community relations which the PWO can help to avoid. Allied with public relations is dealing with the many and varied forms of encroachment from outside the "fence" as was discussed in paragraph 4.3.3, Chapter 4, of this manual. At the same time, the Naval activity itself can be considered a "community" or an extension of the community, and the PWO/PWD has many proven methods at his disposal to smooth the customer/PWD interface.

15.4.2 The Community. In almost every case where there is an "encroachment" problem between the military base and the civilian community, the military base was there first, and is the very reason why the community was established in the first place. Nevertheless, the onus of responsibility for removing or minimizing the problem lies with the military. Encroachment can take several forms. Aside from the obvious ones of land use and expansion of facilities, there are problems which

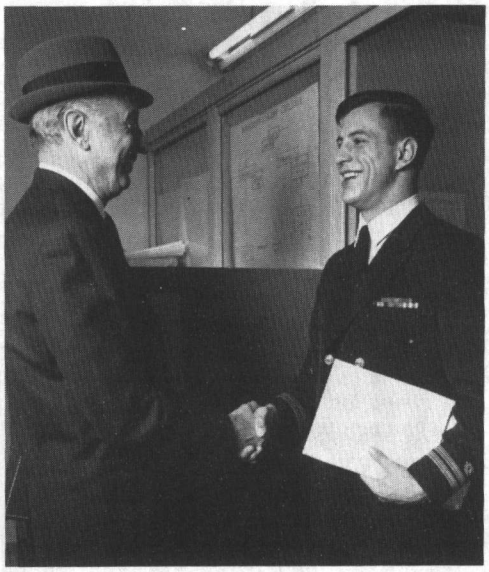

FIGURE 15-4
PUBLIC WORKS OFFICER AT COMMUNITY MEETING

relate to aircraft approach zones at Naval air stations, explosive radii at ammunition depots, radio interference at communication facilities, and waterfront usage at shipyards and Naval stations. Almost every activity will have several potential or existing encroachment problems, which may be a necessary by-product of the activity mission and function. The solution to these types of problems is a two pronged one of (1) establishing and maintaining a dialogue with the community, discussing the reasons why certain things are as they are, and emphasizing the positive aspects of a military presence in the community, and (2) keeping the community informed of future plans for the base and inviting their comments before the fact. Such participation should include various civic organizations, ranging from the Chamber of Commerce to the PTA; community officials, such as the mayor, city council, and City Planning Agency, as well as the agencies which exercise direct authority over the Navy, such as local Pollution Control Agencies. What has this got to do with the PWO? Who is better qualified to represent command to the public with respect to his "property-holder" role? The PWO should, with the knowledge and consent of his Commanding Officer, actively participate in community affairs. He should establish beachheads with the various organizations which effect public opinion and use these beachheads to "tell the Navy's side" of various present and planned actions which might elicit community reaction. By telling people in advance of what you intend to do, you will scotch most of the complaints before they are formed. Show the community what you intend to do and why.

Consideration of the impact on social and economic factors is also a required part of environmental impact assessments and statements during the concept stage of major projects.

There is a second set of benefits in this type of an involvement by a Navy CEC officer. These involve the satisfaction of being part of a community with its many professional and personal relationships, and the professional education to be derived by listening to civilian contemporaries expound on the problems and solutions at work in their sector. Even if personal involvement is not possible, the community agencies and civic organizations should be invited to review actions and proposals for development, master plans, etc., which might effect them.

15.4.3 The Activity. The Public Works Department is a *service* organization and its mission is to provide support to command. It does so only through continuous contact with customers — at all levels. The smoothness of these contacts will determine in no small measure not only the "image" of the Public Works Department, but also the success and responsiveness which your department is able to maintain. A few suggestions which have been developed through past experience is offered below:

A. The Trouble Desk. As soon as you get to your new station, and before you are known, call your Emergency/Service desk with a hypothetical problem, preferably an illegal minor construction problem which if approved would take serveral man days to accomplish. See what type of response or turn down you get. Were you satisfied or frustrated as a customer? Your work receptionist should be, first and foremost, a *receptionist* with all the receptionist's friendliness, courteousness, and tact. If you prefer a more subtle approach, sit down with him/her and ask her to explain her role, and biggest problems to you.

B. The Transportation Dispatcher. Try and observe how personnel in the dispatch office treat customers. They should have the same measure of courtesy as the work receptionist.

C. Housing Administration. This is the area that can either make or break the image of a Public Works Department. People who will put up with considerable inconvenience in their office will not stand for it in their homes. The key to success in housing administration lies in letting the tenant know what his responsibilities are, and what yours are, and scrupulously assuring that both are carried out at all times. In the matter of assignment, publish the rules *and* the waiting list so that anyone can see where he stands at any time. Make sure that a tenant moves into a clean, well maintained set of quarters, and have your housing manager personally welcome the new tenant to his quarters, explain services available, responsibilities, and make a punch list of items for correction with the tenant. In the case of other department heads or superiors, the PWO should personally accompany his housing manager to welcome the tenant to his quarters. Make sure that service calls generated by tenants of housing are promptly accomplished — even if it means paying some overtime. Have service personnel leave cards with their names on it when making service calls. Establish a "do-it-yourself" program for improvement and supply necessary tools, materials and guidance to assure uniform standards of accomplishment. Supply plants and flowers to the tenants which they can plant, and have a "yard of the month" contest. Let tenants know well in advance of any work which will pose an inconvenience or nuisance to them. In short, do everything a good private landlord would do, and more. Your life will be considerably easier, and cocktail parties much more enjoyable for it.

APPENDIX A
PUBLIC WORKS MANAGEMENT CONTROL INDICES

Budget and Finance

Total Expenditures Last FY	_____
Control Figure This FY	_____
Plan to-date This FY	_____
Actual Expenditures-to-date This FY	_____
Next FY Control Figure	_____
Current Plant Value This FY	_____
Current Plant Value Last FY	_____

Personnel (Civilian)	**Actual**	
	FY___	**FY___**
Manpower (on-board 1 October)	_____	_____
Manpower (ceiling 1 October)	_____	_____
Labor Turnover (%)	_____	_____
Number of Grievances	_____	_____
Average age of shop workforce	_____	_____
Sick leave statistics (%)	_____	_____
*Overtime (M/H)	_____	_____
Average hourly rate (wage board)	_____	_____
Average hourly rate (general schedule)	_____	_____

Engineering	**Actual**	
	FY___	**FY___**
Division Tasks (any type) on-hand over three months	_____	_____
Dollar value of unfunded major repair projects (30 September)	_____	_____
$Value of unfunded minor construction projects (30 September)	_____	_____
Number of division tasks on-hand, not in process	_____	_____

Maintenance Control	**Actual**		**Target**
	FY___	**FY___**	
Work generated by Continuous Inspection (%)	_____	_____	65
EPS Utilization (%)	_____	_____	_____
Preventive Maintenance Inspection (%)	_____	_____	1.5-3.0
Standing Job Orders (%)	_____	_____	20-30
Amount of Controlled Work (%)	_____	_____	80-85
BMAR (dollars)	_____	_____	_____
Contract vs in-house (dollars)	_____	_____	_____
Number of items on-hand, not in process (work requests, inspection reports)	_____	_____	_____

Maintenance	**Actual**		**Target**
	FY___	**FY___**	
Division Overhead (%)	_____	_____	28-32
Shop forces backlog (months)	_____	_____	6 mos ± 25%
*E/S average time per work authorization	_____	_____	_____
*E/S average response time	_____	_____	_____
E/S work (%)	_____	_____	7.5-11.5

Transporation	**Actual** FY____	FY____	**Target**
Vehicles downtime (%)			not > 7%
Operations response (%)			100%
Maintenance manhour input (% of standard)			not > 110%
Maintenance shop productivity			not < 100%
Average vehicle repair turn around time (hours)			
Vehicle utilization (%)			not < 90%
Inventory			
Indirect to direct maintenance manhours (%)			not > 43%

standard
actual

UTILITIES	**COST** Budget $000	Actual $000	**CONSUMPTION** Baseline	Actual
HEAT				
.75 to 3.5 MBTU/hr			MBTU	MBTU
over 3.5 MBTU/hr			MBTU	MBTU
ELECTRICITY			MWH	MWH
POTABLE WATER			KGAL	KGAL
NON-POTABLE WATER			KGAL	KGAL
SEWAGE			KGAL	KGAL
AIR CONDITIONING				
5-25 tons			TONS	TONS
25-100 tons			TONS	TONS
over 100 tons			TONS	TONS
GAS			MBTU	MBTU
PNEUMATIC POWER			MCUFT	MCUFT
OTHER				

For all utilities services, plot local demand and available
capacity vs time on separate sheets.

Housing	**Actual** FY____	FY____	**Target**
Number of Occupant Complaints			
Housing Occupancy rates by housing type (%)			
Wherry Housing (%)			99
Public Quarters, built before FY 50 (%)			99
Public Quarters, built between FY 50 and FY 69 (%)			99
Public Quarters, built after FY 70 (%)			99
Leased Housing (%)			99
Substandard Housing (%)			95
Number & Cost of E/S Calls			

	COST Plan	Actual	**CONSUMPTION** Plan	Actual
Expenditures				
Utilities				
Electricity				
Fuel				
Total Operations				
Alterations & Additions				
Total Maintenance				
Cost vs Income on Inadequate quarters				

	Actual FY____	FY_____	Target
Total Departmental Overhead (%) (30 September)	_____	_____	25-30

*Note:

1. M/H = Manhours
2. E/S = Emergency/Service
3. BMAR = Backlog of Maintenance and Repair
4. Total Departmental Overhead = (Administrative + Engineering + Maintenance Control + Housing

   (Maintenance + Utilities + Transportation) x 100
5. Information should be provided Public Works Officer in graphical form, where possible, on a monthly or quarterly basis, as appropriate.

APPENDIX B
ABBREVIATIONS/ACRONYMS

ABFC	Advanced Base Functional Component
ACBD	Active Commission Base Date
ACE	Activity Civil Engineer
ACTY	Activity
ADP	Automatic Data Processing
A/E	Architect/Engineer
AEL	Allowance Equipment List
AICUZ	Air Installation Compatible Use Zone
AIS	Annual Inspection Summary
ALO	Activity Liaison Officer
APA	Appropriation Purchases Account
APL	Allowance Parts List
APWO	Assistant Public Works Officer
ARB	Appeals Review Board
AROICC	Assistant Resident Officer in Charge of Construction
ASBCA	Armed Services Board of Constract Appeals
ASD(I&L)	Assistant Secretary of Defense (Installation & Logistics)
ASESB	Armed Service Explosive Safety Board
ASN	Assistant Secretary of the Navy
ASPR	Armed Services Procurement Regulation
AYC	At Your Convenience
BAR	Board of Appeals and Review
BAQ	Basic Allowance for Quarters
BASPOP	Base Population
BEQ	Bachelor Enlisted Quarters
BESEP	Base Electronics System Engineering Plan
BFRL	Basic Facility Requirements List (OPNAV Form 11000-1)
BMAR	Backlog of Maintenance & Repair
BOD	Beneficial Occupancy Date
BOQ	Bachelor Officers Quarters
BPA	Blanket Purchase Agreement
BSA	Basic Stock Allowance
BUMED	Bureau of Medicine and Surgery
BUPERS	Bureau of Naval Personnel
CANS	Cost Account Numbers
CBU	Construction Battalion Unit
CDO	Command Duty Officer
CEC	Civil Engineer Corps
CECOS	Civil Engineer Corps Officers School
CEL	Civil Engineering Laboratory
CEQ	Council on Environmental Quality
CESE	Civil Engineering Support Equipment
CF	Cubic Feet
CFM	Contractor Furnished Material
CHIL	Consolidated Hazardous Item List
CHNAVMAT	Chief of Naval Material
CINCLANTF-LT	Commander in Chief, U.S. Atlantic Fleet
CINCPACFL-T	Commander in Chief, U.S. Pacific Fleet
CITA	Commercial/Industrial Type Activity

CIV-M-MARP	Civilian Mobilization Manpower Allocation/Requirements Plan
CMC	Commandant of the Marine Corps
CMMI	Civilian Manpower Management Instruction
CNET	Chief of Naval Education and Training
CNM	Chief of Naval Material
CNO	Chief of Naval Operations
CNOBO	Chief of Naval Operations Budget Office
CO	Commanding Officer
COMNAV-AIRPAC	Commander Naval Air Force, Pacific Fleet
COMSURF-LANT	Commander Surface Force, Atlantic Fleet
CBU	Construction Battalion Unit
CONUS	Continental United States
COPARS	Contractor Operated Parts Store
CPM	Critical Path Method or Construction Project Management
CPO	Civilian Personnel Office/Officer
CPRV	Current Plant Replacement Value
CQC	Construction Quality Control
CSC	Civil Service Commission
CWE	Current Working Estimate
CY	Current Year or Cubic Yard
CZM	Coastal Zone Management
DASD(FH)	Deputy Assistant Secretary of Defense for Family Housing
DCAS	Defense Contract Administration Service
DCE	District Civil Engineering
DD	Distribution Depot or Department of Defense (used on forms)
DLA	Defense Logistics Agency
DNFYP	Department of the Navy Five-Year Program
DOD	Department of Defense
DPC	Defense Procurement Circular
DSAM	Defense Supply Agency Manual
DSC	Defense Supply Center
EA	Engineering Analysis or Economic Analysis or Environmental Assessment
EE	Engineering Evaluation of Existing Assets
EEO	Equal Employment Opportunity
EEOO	Equal Employment Opportunity Office
EFD	Engineering Field Division
EOB	Expense Operating Budget
EPA	Environmental Protection Agency
EPS	Engineered Performance Standards
ES	Environmental Statement
E/S	Emergency/Service
ESR	Engineering Service Request
FAC	Functional Activity Code
FACSO	Facilities Systems Office
FAD	Force Activity Designator
FEAA	Federal Employees Appeals Authority
FHMA	Family Housing Management Account
FIIN	Federal Item Identification Number
FMSO	Fleet Material Support Office
FPM	Federal Personnel Manual
FSC	Federal Supply Classification
FSO	Fuel Supply Office
FWS	Federal Wage System
FY	Fiscal Year
FYDP	Five Year Defense Program
GDM	General Development Map
GE	Government Estimate
GFE	Government Furnished Equipment
GFM	Government Furnished Material
GS	General Schedule
GSA	General Services Administration

GVW	Gross Vehicle Weight
HE	High Explosive
HERO	Hazard of Electromagnetic Radiation or Ordnance
HMC	Housing Management Center
IBOP	International Balance of Payments (Gold Flow)
IC	Investment Category
ICP	Inventory Control Point
IFB	Invitation for Bid
IPD	Issue of Priority Designator
IPE	Industrial Production Equipment
IRO	Industrial Relations Office
IRV	Item Rating Value
ISSA	Inter-Service Support Agreement or Intra-Service Support Agreement
JAG	Judge Advocate General
JCS	Joint Chiefs of Staff
KWH	Kilowatt Hour
LSNP	Logistic Support Mobilization Plan
LF	Linear Feet
LMC	Level of Maintenance Classification Code
LRMP	Long Range Maintenance Plan
LSR	Logistics Support Requirements
LWOP	Leave Without Pay
MAC	Method of Accomplishment Code
MC/A	Minor Construction and Alteration
MCD	Maintenance Control Division
MCON	Military Construction, Navy
MCNR	Military Construction, Naval Reserve
MCR	Maintenance Cost Report
MDD	Maintenance Division Director
MHE	Materials Handling Equipment
MIC	Management Information Center
MILCON	Military Construction
MILCON PO	Military Construction Program Objectives
MOBCON	Mobilization Construction Plan
MOQ	Married Officers Quarters
MP(N)	Military Personnel, Navy
M&R	Maintenance and Repair
M/S	Maintenance Service
MSC	Military Sealift Command
MT	Measurement Ton - 40CF
MUSE	Mobile Utilities Support Equipment
NA	Network Analysis
NARF	Naval Air Rework Facility
NATRABRN	Naval Air Training Branch
NAVAIR-SYSCOM	Naval Air Systems Command
NAVCOMPT	Navy Comptroller
NAVELEC-SYSCOM	Naval Electronics Systems Command
NAVFAC-ENGCOM	Naval Facilities Engineering Command
NAVRESO	Naval Resale System Office
NAVSEA-SYSCOM	Naval Sea Systems Command
NAVSEEACT	Naval Shore Electronics Engineering Activity
NAVSUP-SYSCOM	Naval Supply Systems Command
NCBC	Naval Construction Battalion Center
NEESA	Navy Energy & Environmental Support Activity
NEPA	National Environmental Policy Act
NEPSS	Navy Environmental Protection Support System
NESO	Naval Environmental Support Office
NFA	Navy Facility Assets
NIF	Navy Industrial Fund
NMAR	Non-deterable Maintenance and Repair
NMCRB	Navy Military Construction Review Board
NOA	Obligational Authority, New
NOMIS	Naval Ordnance Management Information System

NPDES	National Pollutant Discharge Elimination System
NRSO	Navy Resale Systems Office
NSA	Navy Stock Account
NSC	Naval Supply Center
NSD	Naval Supply Depot
NSF	Navy Stock Fund
NSFO	Navy Special Fuel Oil
NSN	National Stock Number
NSP	Navy Support Plan
NSSO	Navy Ships Store Office (obsolete - see NAVRESO)
NTP	Notice to Proceed
NTE	Not to Exceed
OBE	Overtaken by Events
OCP	Office of Civilian Personnel
OIC	Officer in Charge
OICC	Officer in Charge of Construction
OJT	On-the-Job Training
OMB	Office of Management & Budget
O&MN	Operations and Maintenance, Navy
OOD	Officer of the Day
OPLAN	Operations Plan
OPNAV	Office of the Chief of Naval Operations
OSD	Office of the Secretary of Defense
OSHA	Occupational Safety and Health Act
PAPS	Projected Aviation Program Summary
PCE	Program Cost Estimate
PD	Position Description
P&E	Planning and Estimating
PEA	Preliminary Environmental Assessment
PERT	Program Evaluation Review Technique
PMI	Preventive Maintenance Inspection
POL	Petroleum Oil and Lubricants
POP	Population
PRE-M-DAY	Pre-Mobilization Day; Peacetime Conditions
PSF	Personnel Support Facilities
PSM	Please See Me
PWC	Public Works Center
PWD	Public Works Department
PWLA	Public Works Lead Activity
PWO	Public Works Officer
PWRS	Prepositioned War Reserve Stock
QSI	Quality (Performance) Step Increase
RATCC	Radar Air Traffice Control Center
RCP	Request for Contractual Procurement
RDT&E	Research, Development, Test, and Evaluation
REHAB	Rehabilitate
RESP'Y	Respectfully
RIF	Reduction in Force
RMS	Resources Management System
ROICC	Resident Officer in Charge of Construction
RPI	Real Property Inventory
RPM	Revolutions Per Minute
SCE	Supervisory Civil Engineer/Staff Civil Engineer
SECDEF	Secretary of Defense
SECNAV	Secretary of the Navy
SERVMART	Supply Service Market
SF	Square Feet
SFPS	Shore Facilities Planning System
SIC	Superior in Command
SIOH	Supervision, Inspection, and Overhaul
SNDL	Standard Navy Distribution List
SPCC	Ships Part Control Center/Spill Prevention Control & Counter-Measure
SRMP	Short Range Maintenance Plan
SRO	Shop Repair Order
SSD	Specialized Support Depot
SY	Square Yard
TACAN	Tactical Air Navigation System

TCR	Transportation Cost Report
TEMC	Transportation Equipment Management Center
TOPO	Topography
UCAR	Utilities Cost Analysis Report
UCD	Useable Completion Date
UDD	Utilities Division Director
UE	Unit Expenditure
UFD	Unfunded Facility Deficiency
UIC	Unit Identification Code
UMMIPS	Uniform Material Movement and Issue Priority System
UND	Urgency of Need Designator
VE	Value Engineering
V/R	Very Respectfully
XO	Executive Officer

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