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Directorate of Facilities

FACILITIES SUSTAINMENT AND CONSTRUCTION PROGRAM



BY ORDER OF THE DIRECTOR

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AUTHORITY: Defense Commissary Agency Directives Management Program is established in compliance with DoD Directives 5105.55, Defense Commissary Agency (DeCA), November 1990.

MANAGEMENT CONTROLS: This directive contains Management Control provisions that are subject to evaluation and testing as required by DeCAD 70-2 and as scheduled in DeCAD 70-3. The Management Control Review Checklists to be used by assessable unit managers to conduct the evaluation and test management controls are at Appendix E through J.

APPLICABILITY: This directives applies to DeCA activities

HOW TO SUPPLEMENT: Regions may supplement this directive by contacting Headquarters, Directorate of Facilities (DF) for permission and instruction. No new forms or form letters may be created citing this directive as authority without prior authorization of DF and the Headquarters, Office of Safety, Security and Administration (SA).

HOW TO ORDER COPIES: Submit requests to DF.

SUMMARY: This directive establishes policies and procedures and gives guidance for DeCA facility sustainment and construction activities.

SUPERSEDES: DeCADs 20-1 and 20-3

OFFICE OF PRIMARY RESPONSIBILITY (OPR): HQ DeCA/DF

COORDINATORS: ENF, END, Region Engineers, RM, GC, IG, SA, MBU

DISTRIBUTION: E

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Chapter 1

GENERAL REFERENCES

1-1. PURPOSE.

a. This directive describes the Headquarters, Directorate of Facilities' (DF) mission and functions within the DeCA and establishes policies used to carry out our programs.

b. Mission and Function: DF develops and executes design and construction programs and provides technical interpretations of engineering policy for the DeCA. DF interprets DoD guidance applicable to commissary facilities, provides oversight of engineering programs, and develops internal controls to comply with DoD policy. DF serves as the principal coordinating staff office for planning, programming, constructing, and sustaining commissaries.

1-2. ORGANIZATION AND FUNCTION.

a. Organization:

(1) DF operates as a directorate under the Executive Director for Operations (EDO), a part of the DeCA. It consists of the Headquarters policy component (DF, at Ft. Lee) as well as the "Field Operating Activity, Engineering Business Unit, (EBU)," the field activity responsible for program execution.

(2) The EBU is divided into two primary divisions, the Facilities Planning and Sustainment Division (ENF), located at Ft Lee and the Design and Construction Division (END), located at Lackland AFB, Texas.

(3) DF utilizes central management of programs and a system of region engineers, each of whom are responsible to their region directors. The region engineers assist in coordinating the various programs that DF is responsible for, as well as ensuring the maintenance of each store.

b. Program Execution:

(1) Major Construction Program (MCP): The MCP is the vehicle through which ENF and END ensure that modern facilities are designed and built in response to need. Through the various sub-categories of "construction," ENF engages in an annual programming of projects (in this category, projects must equal or exceed \$500K) that reflect the most urgent needs of our customers. END manages the design and construction for projects that equal or exceed \$500K. Additions and renovations are usually accomplished with concurrent repair/maintenance work element. See **Appendix C** for definitions.

(2) Sustainment Programs: The sub-categories of sustainment include minor construction, refrigeration/HVAC maintenance, repair/maintenance, energy and environmental. Sustainment programs are developed and executed by ENF/END, with the exception of the Environmental Program, which is solely managed by END. Sustainment programs focus on ensuring that existing facilities continue to operate in optimal condition.

(a) Minor Construction Improvement Program (MCIP): This program is based on each region's needs (on an annual basis) to cover more immediate, small-scope construction needs. The "MCIP" concentrates on construction projects with construction costs under \$500K, including upgrades, small additions (usually interior), renovations and the like. The MCIP is the usual vehicle for implementing energy and repair/maintenance projects. The region engineers, in response to a request from the Sustainment Branch (ENFS) of the EBU, submit program requirements. END is responsible for execution of MCIP projects unless specifically delegated by DF to other agents.

(b) Refrigeration/HVAC: This program is a specialized effort targeted towards the repair and maintenance of our refrigeration and air conditioning systems. Store systems are monitored, repaired and kept in good operating condition through a number of contractors who specialize in this kind of maintenance function.

(c) Repair/Maintenance: This program is a coordinated effort, with the regions, to ensure that building maintenance is accomplished as needed. Through a series of regionally directed contracts with host installations, contracts with private sector firms or with other government agencies, or through combination projects, DF and the regions do what is necessary to keep each store functioning.

(d) Energy: The purpose of the Energy program is to use energy at the right place, at the right time, and in the right amount. The program is fully explained in DeCAD 20-6, Energy Management Program.

(e) Environmental: The objective of the Environmental Program is to improve employee awareness of environmental concerns, encourage improved environmental stewardship and facilitate compliance with applicable DoD policies and Executive Orders. It establishes a program for each commissary to annually assess environmental conditions, to develop a local pollution prevention plan, to appoint an environmental coordinator and to schedule and conduct employee awareness training for all employees. The program is fully explained in DeCAH 20-7, Defense Commissary Agency Handbook on Environmental Responsibility.

1-3. REFERENCES. These organizations and source documents authorize, regulate and monitor DF.

a. Reference Documents:

- (1) DoDD 5105.55, Defense Commissary Agency
- (2) DeCAD 30-17, DeCA Safety and Occupational Health Program
- (3) DeCAD 30-18, DeCA Security Program
- (4) DeCAD 40-2, Equipment, Supplies and Services.
- (5) DeCAD 70-4, Establishment/Disestablishment of Commissaries.
- (6) DeCAD 70-12, Interservice/Interdepartmental Support Agreements
- (7) DeCAD 70-18, Budget Policies and Procedures
- (8) DeCAD 20-6, Energy Management Program

- (9) DeCAD 70-3, DeCA Management Control Plan
 - (10) DeCAH 20-1, Commissary Design Criteria Handbook
 - (11) DeCAH 20-5, Refrigeration and HVAC Maintenance Contract Handbook
 - (12) DeCAH 20-7, Defense Commissary Agency Handbook on Environmental Responsibility
 - (13) DeCAH 20-9, Planning and Programing for Major Commissary Construction Projects (Not yet published)
 - (14) USAF-AETC/DeCA - ISA, Centralized Support for Design and Construction of DoD Commissary Construction Projects, 14 December 1990
 - (15) QASP (Quality Assurance Surveillance Plan) for Maintenance and Repair of Commissary Refrigeration and HVAC Systems.
- b. Oversight Offices, Committees, Boards and Panels
- (1) The DeCA Program Budget Committee (PBC)
 - (2) The Commissary Operating Board (COB) - Interservice
 - (3) The Construction Requirements Review Committee (CRRC) - Interservice
 - (4) The Defense Management Council - DoD
 - (5) The Special Oversight Panel on Morale, Welfare and Recreation (MWR), of the House National Security Committee and
 - (6) The Senate Armed Services Committee

Chapter 2

MAJOR COMMISSARY CONSTRUCTION PROGRAMMING

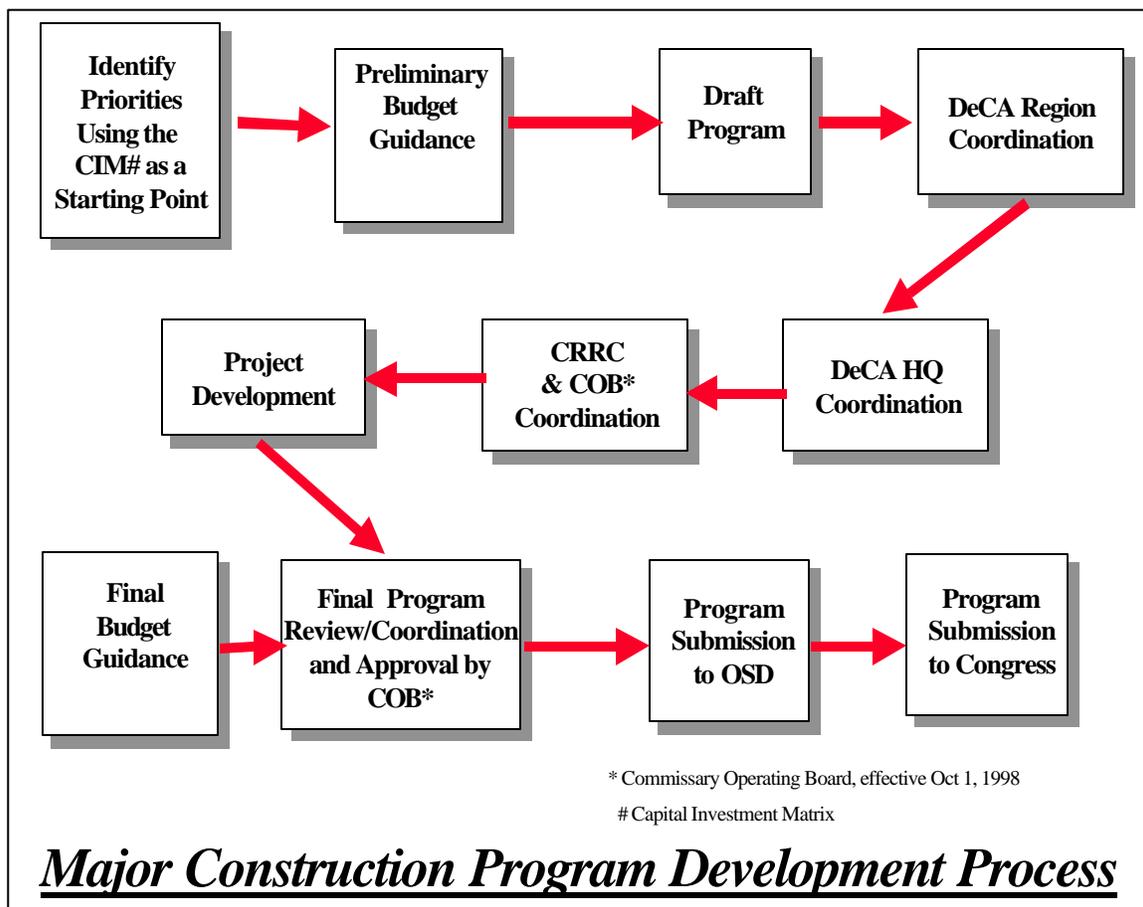
2-1. BACKGROUND.

a. The MCP includes all projects whose “construction costs” as defined in Chapter 3, “Facilities Work Classification, Funding and Authorities” of this directive, equal or exceed \$500,000.

b. Funding for the MCP comes from the surcharge collection trust fund (official title: Surcharge Collections, Sales of Commissary Stores, Defense). It contains revenues from a five percent surcharge on retail sales, prompt payment discounts on resale stocks, sale of cardboard and salvage equipment, performance based agreements and miscellaneous income (e.g., sale of scanning data).

c. The MCP is, by its very nature, dynamic. Many factors may influence the need for a new store or major alteration, including the size, age, condition, and configuration of an existing store. Similarly, shifting demographics due to base closures, realignments, or mission changes also carry considerable weight when determining major construction requirements.

2-2. POLICY. The flow chart below is a graphic representation of DeCA policy and shows the sequence of events required to develop, coordinate, and gain approval for a Major Construction Program. Detailed explanations and procedures can be found in DeCA Handbook 20-9 (not yet published).



2-3. OUT OF CYCLE PROJECTS. DF may submit a project out of the normal, annual program submission cycle to OASD. This avenue is used if it is determined that the project is of such urgency and importance that it cannot wait until the next submission. All such projects must be coordinated with the COB and the CRRC.

2-4. PROJECT DEVELOPMENT.

a. Store Planning:

(1) ENFP, in conjunction with various HQ DeCA directorates, is responsible for completing Engineering Evaluations (EE) of alternative solutions to improve or replace existing commissaries. Through this process, a detailed analysis of existing conditions is documented and weighed against current and projected operational needs. A comprehensive economic analysis is then completed to determine the best alternative using the principles of Life Cycle Cost Analysis, Economic Value Added and Quality of Life considerations. Detailed procedures can be found in DeCAH 20-9 (not yet published).

(2) Site Selection: ENFP, in coordination with each host installation, is responsible for the evaluation of potential sites for new commissary construction. The availability of a clean site, unencumbered by existing structures, buried ordnance, or other contaminants is a significant factor in determining the viability of a proposed new store project. The responsibility for providing a "clean site" lies with the landowner: the host installation. If a clean site is not available, the project will not be considered for new construction until a clean site can be made available by the installation. Specific requirements for site clearance and demolition may be a negotiated issue, varying by site.

(3) Definitive store layouts: A definitive layout illustrating the scope, operational areas and relationships, and special merchandising features is developed for each major construction project in close coordination with END and the Marketing Business Unit (MBU). After this definitive plan is reviewed and approved by the EDO, or his designated representative, the scope and layout are locked and may not be changed without DF approval. END takes the schematic floor plan and sizing analysis provided by ENF and finalizes design to complete construction working drawings.

b. Construction: END is responsible for the construction of all commissary projects via design/build or the Invitation for Bid (IFB) process.

c. Funding: Costs may be shared in commissary construction. Such sharing requires an agreement with the parties concerned, which may include the installation and/or the military exchange systems (in the case of joint commissary/exchange projects). The sharing of costs is negotiated and depends on the percent of use each party expects to get from the facilities to be built. Shared costs may include the following:

(1) Initial geo-technical, topographical and site evaluation surveys for the sole purpose of establishing commissary and/or exchange/commissary site design requirements.

(2) Relocating installation-owned, active utility and drainage systems running through the site.

(3) Providing commissary/exchange specific utility systems outside the site perimeter, including upgrades or extensions to existing systems. Systems within the site boundary (for the sole purpose of supporting the commissary/exchange) are Surcharge/NAF funded.

(4) Traffic improvements (turn lanes, road widening, traffic signals) for the sole purpose of entering or exiting the immediate commissary/exchange site.

(5) Asbestos and lead-based paint abatement in existing commissaries/exchanges when it is incidental to renovation, expansion or improvement.

(6) Water runoff controls (retention basins, culverts and engineered drainage systems).

(7) Site clearing of vegetation and the grading of terrain irregularities.

c. Host installation responsibilities may include, but are not necessarily limited to the following:

(1) Removal of ordnance, contaminants, or asbestos in the soil.

(2) Utility systems or extensions that go beyond direct project support

(3) Traffic improvements (signals, road widening) that are not directly related to entering or exiting the immediate project site.

(4) Asbestos and lead-based paint abatement in existing commissaries, which are not undergoing expansion, renovation or other improvement.

(5) Environmental documentation in accordance with the National Environmental Policy Act (NEPA) and other federal programs. (The host installation will coordinate all site-related environmental issues with the appropriate local, state and/or federal agencies, and assist or coordinate the obtaining of required permits and approvals.)

(6) A clean site free of all extraordinary site conditions or encumbrances.

(7) Specific conditions and responsibilities must be examined on a case-by-case basis.

d. Programming Documentation: DD Form 1391, Military Construction Project Data, is the main programming document for all DeCA construction projects. ENFP develops and forwards the DD Form 1391 to the installation for site-specific criteria and the installation commander's signature. DoDI 7040.4 outlines the content and format of the DD Form 1391. Estimates in the EE provide supporting documentation for the project costs contained in the DD Form 1391. Detailed procedures for programming documentation can be found in DeCAH 20-9, Not Yet Published.

e. Databases and Status Reports:

(1) ENF maintains the DeCA Major Construction Program Status Summary, which is a single-page, multi-year summary of the overall program.

(2) The Capital Investment Matrix (CIM) is a complete summary of many of the operational and physical aspects of the store. Each factor is given a value used to rank the overall condition and usability of the store. The CIM is used for programming purposes to establish a comparative priority of need. OPR: ENF

(3) Commissary Evaluation Sheet: This report is targeted at store level. Its purpose is to allow direct input into the CIM by zone managers and commissary officers. Input for the report is an annual effort. It is designed to provide information on store condition not readily available to Headquarters or regional staff. OPR: ENF

(4) Design & Construction Division Monthly Status Report: This report provides the status of ongoing construction projects. OPR: END

(5) A-E Indefinite Delivery Indefinite Quantity (IDIQ) Database is maintained for each A-E design contract. OPR: END

(6) Request for Proposal (RFP) master database for construction contracts.
OPR: END

(7) Multi-Fiscal Year Acquisition and Execution Plan for construction projects. OPR:
END

Chapter 3

FACILITIES WORK CLASSIFICATION, FUNDING, AND AUTHORITIES

3-1. BACKGROUND. Work classification is defined as the application of certain regulatory or other guidance to the identification of funding sources for various types of work, as well as categorizing the nature of the work. The purpose of this chapter is to provide guidelines in appropriate work and funding classification.

a. Classification of work is required in funding construction, equipment, repair, and maintenance of facilities. This chapter will clarify and will give examples of equipment, repair, new work and combined situations. Similarly, decisions on whether to build new or repair a facility depend, at least in part, on the value of the building and its sub-systems, the level of repair funding and the actual amounts spent on routine and non-routine maintenance.

b. Appropriate use of funds is also included in this chapter. While policies regarding the use of funds are covered throughout this directive, the appropriate use of funds in actual work situations is discussed in detail through specific examples in the remainder of this chapter. Additional examples are provided in **Appendix A**.

c. **Funding Sources.** Funding for construction, equipment, and maintenance and repair usually comes from one of two sources: Surcharge Collection or DeCA Working Capital Fund (DeCA WCF). However, Military Construction (MILCON), Base Realignment and Closure (BRAC), NATO and Government of Japan (GOJ) funds may be alternative sources of funding that can be appropriate in certain special cases. Funding sources and costs are shown in the "related projects" paragraph of the DD Form 1391 and are identified separately.

3-2. WORK CLASSIFICATION POLICY. For purposes of this policy work shall be classified as one of the following: (1) equipment, (2) construction, (3) capital investment, or (4) maintenance and repair. Work classification is generally independent of the project type or program.

a. **Equipment:** This category is subdivided into Equipment in Place (EIP) and Real Property Installed Equipment (RPIE). This chapter provides guidance on the proper classification of work applicable to both.

(1) **Equipment in Place (EIP)** is equipment (including connections to building utility systems, support structure; pads, shelters, platforms, etc.,) that is required for the building to function specifically as a commissary. It may be moveable or fixed in place. All building equipment that may be categorized as electrical, mechanical or foods service and that is installed in the facility specifically for a commissary operation is EIP. All EIP costs are chargeable to surcharge funds during initial procurement and installation. The long term maintenance, repair, replacement and upkeep of all equipment in this category are also funded from the equipment surcharge account. (**Reference Appendix A**)

(2) **Real Property Installed Equipment (RPIE)** is equipment and/or a utility that is integrated into the physical plant and cannot be severed or removed from it without "substantial" damage to the structure. It consists of equipment and utilities that allow basic building functions to occur, such as mechanical, electrical and other systems, regardless of the tenant. Funding of RPIE is from the construction surcharge account during initial procurement, construction and installation. (**EXCEPTION:** Dehumidification systems and appurtenances shall be considered EIP equipment in all cases.) Once the

facility is accepted, the equipment in this category is maintained, serviced, replaced, upgraded, repaired and otherwise kept in operating condition using the DeCA WCF, which, in DeCA, supports the Equipment Surcharge Fund, as detailed later in this chapter. Examples are listed in paragraph d., below.

b. **Construction** is the work and costs required to erect, install, assemble a new facility, or to alter, expand, extend, add to, convert, relocate, or replace an existing facility. Construction costs include the procurement, installation and relocation of RPIE. Construction also includes replacing constituent parts or materials with components that increase capacity or utility to meet a future mission or need.

EXCEPTION: In the case of commissary facilities, the following list of systems/sub-systems shall be classified as construction when they are part of a new facility, but as equipment when they are part of an alteration, addition, or upgrade project.

- Loading dock levelers and dock accessories including electrical connections
- HVAC Systems and appurtenances including associated electrical connections
- Lighting systems
- Entry/exit automatic doors and associated appurtenances to include electrical connections
- Overhead warehouse/receiving/shipping doors and door operating systems

Other examples of construction work are as follows:

- Installing, rearranging, or modifying interior built-up partitions.
- RPIE and related utilities (including appropriate utility connection charges).
- Site preparation, excavation, landscaping, back filling, or other improvements to a new or existing facility site.

Work classified as construction is funded with surcharge funds, except when other funding sources are appropriate, as discussed below.

c. **Maintenance and Repair (M&R): Repair** is defined as the restoration of a real property facility to such condition that it may be used effectively. It includes the overhaul, processing or replacement of constituent parts or materials that have deteriorated by action of the elements or wear and tear and which cannot be corrected through maintenance. **Maintenance** is defined as the recurrent, day-to-day, periodic or scheduled work required preserving real property facilities and equipment. It includes work required to maintain, restore or repair building or equipment components, which have deteriorated from fair wear and tear. Restoration or replacement of real property components is to be done with in-kind or same-as materials. Following are examples of funding sources for maintenance and repair:

(1) The repair, replacement and maintenance of the following items are properly charged to the DeCA Working Capital Fund:

- Architectural building finishes for walls, ceilings and flooring
(interior/exterior)
- Roofing
- Repainting
- Patching, reconstruction, or overlay of deteriorated paving
- Architectural accessories
- Electrical systems (not related to surcharge funded repairs listed below)

- Alarm systems
- Utility systems, both inside the building and on the site
- Structural systems
- Site systems, including, drainage, landscaping, paving, and striping
- Communications systems, internal and external
- Closed Circuit Television (CCTV)
- Public Address (PA) Systems

(2) The repair, replacement, and maintenance of the following items are properly charged to the Surcharge Fund account:

- Entry/exit automatic doors and associated appurtenances to include electrical
- Loading Dock levelers and dock accessories including electrical
- HVAC Systems and appurtenances including dehumidification systems and associated electrical connections
- Lighting Systems, including parking lot lighting.
- Overhead warehouse/receiving/shipping doors and door operating systems
- Refrigeration systems and appurtenances, including walk-ins, floors, concrete slabs, insulated floors/concrete slabs, shelters, covers/enclosures, fiberglass reinforced panel (FRP) walls, etc.
- Electrical generators, including pads, covers/enclosures, installation and testing

3-3. RESPONSIBILITIES. The office responsible for the development and submission of the MCP, MCIP and the RPMR Programs is the ENF Division. The detailed responsibilities of region engineers, PL, RM, DF, MBU and other EBU staff are identified below, and throughout this directive.

a. **Equipment Replacement Projects:** A project that is initiated as an equipment replacement project will be reviewed and classified by ENFS. The region engineer may classify the work if the project originates in the region. ENFS will coordinate and confer with other EBU elements as necessary to ensure that related work is classified correctly. The region engineer will be consulted as required to verify on-site conditions.

b. **Projects Other Than Equipment Replacement:** Since projects originate from a variety of sources, the office of origin will be primarily responsible for the correct classification of work. As a general rule DF and the EBU, which have the primary responsibility for overall construction development and execution, have the authority to review and reclassify work submitted by each region as part of the annual program submission. Such projects will be subject to refinement and possibly work classification changes as project development proceeds.

(1) ENF has authority to (re)classify work during the project development stages of new and addition/alteration projects.

(2) Both ENF and END have authority to reclassify items for projects initiated by others (under review procedures), if such reclassification is justified. Coordination between HQ and region engineers, as well as other DeCA Directorates, will be maintained during such reclassification actions. Classification disputes will be resolved by ENF.

3-4. FUNDING AUTHORIZATIONS. Each specific DeCA program operates under a system of approval for funding authorization as follows:

a. Major Construction: Commissary Operating Board and Congressional approval is required.

b. Minor Construction:

(1) \$300,000 to \$499,999.99: Director, DF

(2) \$100,000 to \$299,999.99: Chief, ENF

(3) Less than \$100,000: region director

(4) Previously approved projects (construction costs up to \$500,000): Subsequent cost increases (either at the time of project award or by contract modification) up to 25% over the approved amount (maximum total construction amount \$625,000) may be approved by the EDO. OSD and/or Congressional approval must be obtained before exceeding the \$625,000 threshold.

c. Maintenance and Repair:

(1) Over \$1,000,000 for repair and over \$1,000,000 for maintenance: EDO

(2) Up to \$1,000,000 repair and \$1,000,000 maintenance: Director, DF

(3) Up to \$500,000 repair and \$500,000 maintenance: Chief, ENF

(4) Up to \$100,000 repair and \$100,000 maintenance: region director

d. Capital Investments (Headquarters, Region or Area Administrative Office Facilities):

(1) Projects involving the expansion, alteration or relocation of headquarters, region or area administrative office facilities are classified as a Capital Investment and shall be financed through the DeCA WCF as a capital budget project in accordance with the DoD Financial Management Regulation, Vol 2B, Chapter 9.

(2) Facility investments of \$100,000 or more but less than \$500,000 for a new or replacement facility will be funded through the minor construction line of the capital budget and depreciated. For minor construction projects involving the correction of life threatening, health, or safety problems, the upper limit is increased to \$1,000,000.

(3) Acquisition of facility assets exceeding the above funding thresholds shall be funded within the Military Construction appropriation.

(4) Facility investments below the \$100,000 limit will be funded by DeCA WCF. Funds are allocated for these projects on an annual basis as part of a region's budget. Projects are managed at the region level and coordinated with ENF and END.

(5) EXCEPTION: In certain circumstances, surcharge funds may be used for the construction of administrative facilities. When an administrative facility is designated to provide store support for ADP uses, surcharge may be authorized regardless of the location of the facility. Such a facility need not be collocated within the perimeter of a store, but may be located at other DeCA facilities, as needs dictate. Facilities to accommodate administrative functions that are in direct support of commissaries or that have traditionally been performed within the physical borders of a commissary shall be funded by surcharge. For example, if an accounts control section moves from a store to the Headquarters, facilities work for it shall be funded by surcharge. In addition, surcharge may be used for any information/automation management system related to the work.

(6) Requests for Capital Investment projects must be submitted to Headquarters, Office of Resource Management (RM) for inclusion in the Agency's annual budget submission and forwarded through the region involved. Requests may also originate from Headquarters, DeCA. ENF will review proposals and project documentation as requested by RM. Capital Investment projects above \$500K fall into the category of MILCON as discussed below.

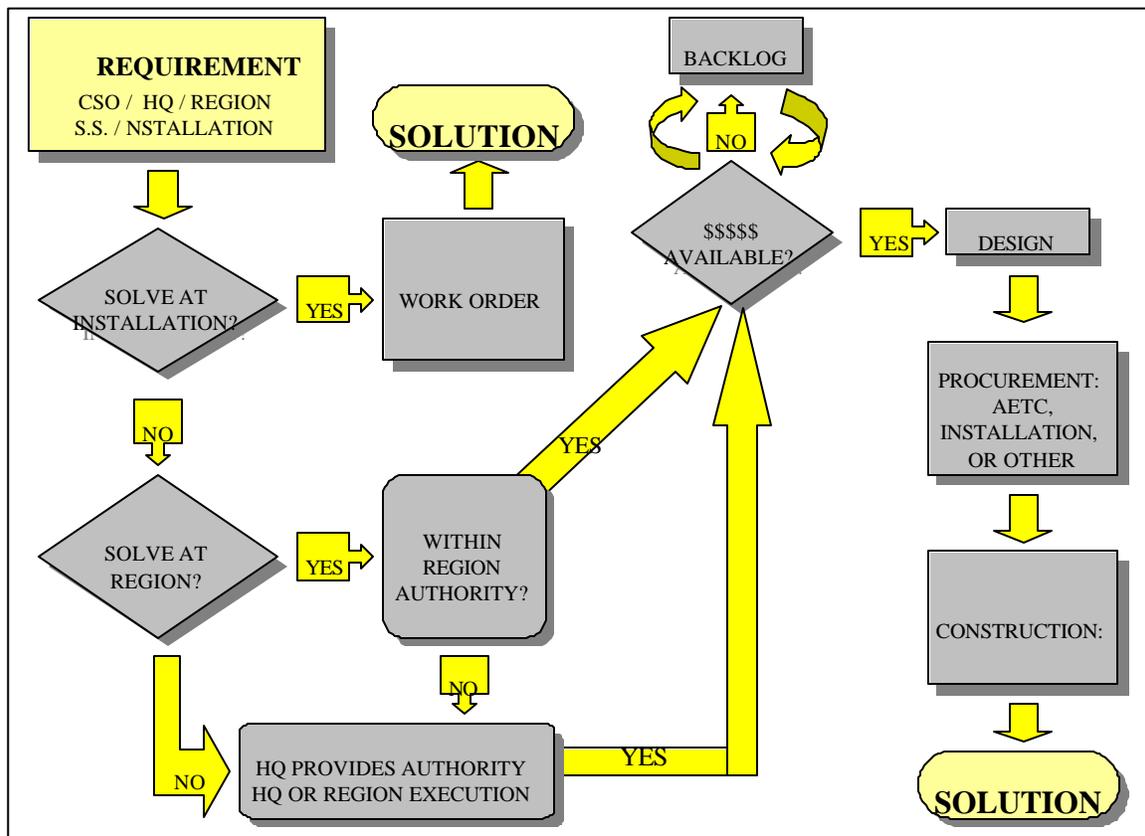
Chapter 4

FACILITIES SUSTAINMENT PROJECTS

4-1. BACKGROUND. Facilities sustainment projects may consist of work governed by up to four different programs; Minor Construction Improvement Program (MCIP), Real Property Maintenance and Repair (RPMR), Refrigeration Equipment Replacement Program (RERP), and the Energy Management Program (EMP). Each of these programs serves a specific purpose in the sustainment of commissaries and each is governed by a distinct set of policies, procedures, authority limitations, and funding conventions. This chapter consolidates this information, with the exception of the Energy Management Program, which is covered in DeCAD 20-6.

4-2. SUSTAINMENT PROJECT POLICY. Sustainment projects shall be developed to include all necessary work, regardless of what program governs the work or what funding source(s) is used to fund it. Policies, procedures, authorities, and funding propriety for MCIP, RPMR, and REPR are included in the following paragraphs. The flow chart below illustrates the work process for a typical sustainment project.

Sustainment Project Process Diagram



4-3. SUSTAINMENT PROJECT PROCEDURES.

a. ENF will issue an annual “region data call” for sustainment projects, not later than the end of March with responses due within 45 days. The regions’ submission to ENF shall list projects in priority order, from highest to lowest priority, and shall be in accordance with the special instructions issued with the call.

b. ENF will review each region submission and develop a consolidated MCIP. Projects will be reviewed to ensure overall compliance with DeCA criteria. Regions may add or delete sustainment projects due to emergency needs within funding limits.

c. Available funding levels ultimately determine the final sustainment projects recommended for approval. Projects approved by DF are assigned a project number by ENF. The region director or END, as the case may be, is then authorized to proceed with designs for all projects in the program. Design funds for specific projects are forwarded upon written request. ® **The DD Form 1391 shall be signed by the Installation Commander.**→ ® C1, November 21, 2000)→ Execution funding will not be provided until a signed DD Form 1391 is received.

d. Funding for design and construction of sustainment projects with construction or maintenance and repair costs over \$100K will be centrally managed by ENF.

e. When requesting design funds for sustainment projects, the proposed source for obtaining design and construction administration support should be indicated. For CONUS, engineering and contracting support will generally be obtained from the EBU. The region may manage design and construction of sustainment projects, but for CONUS projects, region authority is limited to a total project cost of \$1,500,000, including construction, equipment, design, Supervision, Inspection and Overhead (SIOH) and contingencies. At OCONUS locations the region will generally manage sustainment projects, regardless of cost, with support from the Corps of Engineers, NAVFACENCOM, the host installation, or other sources. If region engineers do not obtain a design commitment from a particular installation or other design agency, they may request design/construction assistance from ENF. ENF will initiate project definition services and design through the ten- percent stage through their A-Es. ENF will coordinate such actions with operations staff, AETC, the region involved and the installation engineer. After completion of the 10 percent design, ENF will send the project to END for final design and construction execution.

f. All region-managed projects with a total project cost above \$100,000 will be submitted to ENF for review. The region engineer will ensure that two complete sets of design documents are forwarded to ENF. This review will generally take place by the 50 percent design stage, or earlier. Projects will not be funded for advertisement without prior ENF review and approval.

4-4. SUSTAINMENT PROJECT RESPONSIBILITIES.

a. Region engineer responsibilities:

(1) Identify functional requirements, conduct site visits to validate work requirements, and develop scope of work concepts and documentation to support sustainment projects prior to submitting them for the region director’s approval.

(2) Act as the region representative on all sustainment projects within their region. They will be involved in project design evaluation as well as the technical review of procurement documents. Management support will be provided by ENF as requested.

(3) Monitor, update and track region sustainment needs.

(4) Coordinate actions with the region director, region personnel, design and construction agents, and ENF.

(5) Ensure that each sustainment project is coordinated with the host installation. Requests for project approval must fully disclose the relation of the project to the host installation's master plan and must detail further planned construction to the same or closely related facilities.

(6) A project scope and estimated cost on front page of DD Form 1391 is required for all projects. A narrative description shall be part of the scope and shall describe the work to be accomplished and why the work is needed. A sketch that illustrates the work to be accomplished and any proposed alterations to the facility or store layout shall be included. The cost shall be broken out according to the classification of work (refer to Chapter 3 of this directive).

(7) Apply value-engineering principles to assign project priorities and determine the best and most cost effective methods of executing these projects. Coordinates proposed projects with the host installation, region personnel, and service major commands and obtains host installation support for technical inspection, contract administration and, if feasible, contract procurement. Gives highest priority to projects having an impact on safety, security or quality of service provided to the commissary patrons.

(8) Assist the commissary officer, on an as-needed basis, with work identification, narrative description, method of repair, justification, and coordination with the installation engineer.

(9) Develop and forward formal funding requests (including cost estimates) for RPMR projects to ENF. The request must be signed by the region's chief of operations division (RDO) or the region director.

(10) Maintain project oversight, and review and forward contract modification requests.

b. ENF responsibilities:

(1) Assist region engineers in identifying facility deficiencies, developing scopes of work, cost estimates, and preliminary designs.

(2) Provide status of region construction in progress to DF and other headquarters staff, and DoD level liaison.

(3) Obtain approvals for all sustainment projects whose total project cost exceeds the region director's approval authority.

(4) Review sustainment project design documents.

(5) Provide the overall planning and programming of funding for sustainment projects and develop the annual budget in conjunction with the Headquarters, Program and Budget Division (RMB).

(6) Prepare the DD Form 1391 for RPMR not identified in original scope of an MCP project and assigns project number. END project manager responsible for the MCP project will prepare this documentation as a part of a construction contract and coordinate it with the region engineer (as applicable). Approval limits are outlined in Chapter 3.

(7) Assist regions in the development and inspection of projects as requested.

(8) Initiate funding request memorandums to RMB and provide RPMR cost data for budgeting and accounting of RPMR funds.

(9) Maintain project status based on region input and provide status of region sustainment projects to DF.

(10) Provide programming data such as size, current sales, equipment requirements, staffing, and features unique to the store that are required for project development.

(11) Review and validate region sustainment projects. This review is intended to preclude duplication and conflict with major construction projects.

c. END responsibilities: Provide final design and construction execution for assigned sustainment projects. **® END will obtain the Installation Commander's signature on DD Form 1391 (front page) at 35%, but NLT 65% design submittals for the sustainment projects initiated by HQ DF.** → ® (C1, November 21, 2000) →

d. RM responsibilities:

(1) Formulate sustainment, DeCA WCF, and Surcharge budgets based on sustainment project requirements. Issue FADs and MIPRs, and monitor execution. Maintain accounts for DeCA WCF and Surcharge funding obligations and expense and control obligations, expenses and fund reserves.

(2) RPMR Projects: Financial Management Business Unit issues MIPRs and reimbursable orders, as appropriate, to the contracting or executing agency of the project.

(3) Pre-position funds with region Resource Management Division to cover ISA costs for routine RPMR.

4-5 MINOR CONSTRUCTION IMPROVEMENT PROGRAM (MCIP). The MCIP is used when the construction portion of the overall scope of a project is under \$500K. All work is to result in a complete and usable facility or facility addition.

a. **MCIP Responsibilities.** The MCIP is developed based on an analysis of the regions' needs, urgency, and DeCA budget constraints. Identification of projects is the responsibility of each region, but may be supplemented with projects resulting from DF initiatives. MCIP projects with construction costs of \$100,000 to \$499,999.99 will be submitted to the Director, DF for approval. If a MCIP project with construction costs from \$100K to \$499,999.99K is not awarded within two years of approval, the region director must initiate a request to DF to have the project re-approved.

b. **Region MCIP Budget Procedures for Projects with a total project cost of less than \$100,000:**

(1) The region directors shall submit an annual list of projects they propose to accomplish under their funding approval authority (less than \$100K per store/year). The projects shall be listed in priority order and will be included as a separate line item in the region's annual operating budget submission to HQ DeCA. The annual budget call is issued in early June with the responses due by the last workday in July.

(2) The level of project documentation required for region director's approved projects, as a minimum, should include a description of work to be accomplished and a cost estimate.

(3) ENF will review MCIP budget requests and recommend a funding level for each region. After approval, RMB issues funding to support the region's MCIP budget at the beginning of the fiscal year. Upon receipt of funds, the region director is responsible for managing the established MCIP budget. The region is also responsible for monitoring obligations to ensure projects approved will not result in an over obligation of the region's MCIP budget. Region engineers are responsible for assignment of project numbers for reference purposes.

(4) Region directors are authorized to approve additional funding for award of contracts that exceed the approved-programmed amount. Requests are based on receipt of a firm fixed price from a responsible contractor by way of normal procurement methods. Approval may be granted, provided the total project cost does not exceed his cumulative approval authority of \$100K/store/year by more than 15 percent. A project should not be awarded unless it will remain within the allowable \$100K limit, since programming should not be based on the 15 percent overage. If award is not possible, execution will be halted until approval from ENF is obtained.

(5) ENF and RM will monitor the status of the regions' MCIP execution and expenditures and periodically report to ENF on overall program status.

(6) The region engineer shall notify ENF immediately upon determination that construction costs of a project will exceed the threshold of \$100K plus 15 percent. Work will be stopped on the project until ENF notifies the region director that the project has been re-approved.

c. MCIP Special Guidance:

(1) Region authority to execute (design and construct) minor projects, including associated replacement of refrigeration equipment and RPMR work, is outlined below:

(2) All project approval thresholds in this directive apply regardless of how it is executed or who does the execution.

(3) For OCONUS projects, regions have authority to manage execution for all MCIP and sustainment projects.

(4) Contracts involving more than one funding source must identify the various elements of work in each category and must include the costs for each element.

(5) Projects shall not be split into increments solely to keep the cost within MCIP approval levels.

(6) A concurrent MCIP project cannot be used to reduce the cost of a major construction project.

(7) If an MCIP project exceeds the statutory definition of minor construction, DF shall request re-approval from EDO prior to construction award and provide the reason for this variance. Scope changes of more than 10 percent or bid estimates greater than 25 percent of the government estimate may be used as a guideline for determining out-of-scope projects, although any substantive change to a project generally requires re-approval.

4-6. REAL PROPERTY MAINTENANCE AND REPAIR (RPMR). Prior to the activation of the DeCA, host installations were responsible for funding and executing all RPMR. These costs were charged to the installation's Operation and Maintenance (O&M) account. Since forming, DeCA has become responsible for funding and executing all RPMR. Exceptions, clarifications, and details involving these rules are identified in this directive. Work classification assistance (construction, maintenance & repair, RPIE, and EIP is provided at **Appendix A**. All costs associated with commissary facility RPMR are funded from the DeCA WCF or the Surcharge equipment funds account as applicable. See Chapter 3 for details. The commissary officer or zone manager handles routine, day-to-day commissary RPMR work orders, service calls, or work requests covered under the terms of the Interservice Support Agreements (ISA) (up to the limit of the ISA).

a. **RPMR Procedures for Work Orders, Service Orders, and Work Requests:**

(1) The DeCA activity (commissary officer) provides the region engineer with facility deficiency data for the development of commissary M&R projects and monitors and verifies status of the work-in-progress.

(2) Routine and/or minor maintenance and repair is handled at store level. Minor RPMR is defined as a requirement of \$100,000 or less and is typically dealt with using the ISA contract with the installation, or in cases of emergency, with DeCA's IMPAC card. The IMPAC card is to be used only for non-recurring incidents when normal channels are unavailable. The current limit on the IMPAC card is \$2,500 per use.

(3) The commissary officer maintains a log of work orders and action taken with date, number and status. Upon completion of work, the installation forwards SF Form 1080 or NAVCOMPT Form 2277 and supporting documentation, to the DeCA activity (usually the commissary officer) for certification of services received.

(4) Once certified, the documents are sent to the region for review and recording. The region Resource Management Division then forwards the data to the Defense Finance and Accounting Services (DFAS) for payment.

(5) When the cost for required services exceeds the cost thresholds of the ISA, region Resource Management Division may issue a MIPR to the installation for services required or obtain the services through other contract services.

(6) Any repair that costs less than \$100,000 will be billed against MIPR.

4-7. REFRIGERATION EQUIPMENT REPLACEMENT PROGRAM (RERP).

Refrigeration equipment replacement, in a 10-12 year cycle, is accomplished most frequently as an adjunct to the MCP and MCIP and, less often, through a targeted refrigeration equipment replacement project. All requests for purchases of refrigeration equipment (e.g., compressors and refrigerated display cases), except for equipment associated with major construction, require ENF approval and funding. ENF will program equipment replacement funds for each fiscal year, based in part on each region's input. The cost of replacing deteriorated refrigeration equipment is not considered a construction cost and does not apply against the construction cost limits.

a. Responsibilities:

(1) ENF reviews and approves all refrigeration equipment replacement excluding MCP. ENFS, with assistance from the region engineers, develops statements of work and funds refrigeration equipment replacements. Equipment replacement projects are coordinated with Operations.

(2) END coordinates design and installation for all MCP refrigeration equipment replacements. ENFS, in conjunction with END, identifies equipment for reuse in MCP projects.

(3) The region engineer validates commissary refrigeration equipment replacement requirements and forwards to ENF. The region engineer assists in providing documentation for developing equipment replacements.

(4) The commissary officer assists in identifying refrigeration equipment requirements.

b. Procedures:

(1) The commissary officer initially identifies commissary refrigeration equipment requirements. Personnel at the region or headquarters may also identify commissary requirements. Refrigeration equipment replacement requirements are forwarded to the region engineer for validation. The region engineer coordinates review with the region and assists in developing a statement of work.

(2) Valid requirements are coordinated with ENFS who reviews and approves the request and coordinates review with the Equipment/Supply Division (RAE) of the Contracting Business Unit. If the request is denied, ENF documents the rationale and provides documentation to the region and to the commissary officer. Once the request is approved, ENF evaluates the State of Work (SOW) and cost estimate, and funds the request.

(3) ENF forwards the funding, SOW, and cost estimate to the appropriate contracting office for procurement. In instances where an adequate SOW and cost estimate have been developed by the region, ENF may return the approved documentation and funding to the region with directions to initiate procurement.

4-8. DATABASES, STATUS REPORTS AND PROJECT FILES. The status of MCIP projects in progress shall be closely monitored by the region to ensure approved projects are executed in a timely manner, within the approved scope and programmed amount.

4-9. ACCEPTANCE OF REAL PROPERTY AND FINAL CERTIFICATION.

a. The construction value of projects over \$100K shall be capitalized and transferred to the host installation's real property records at the completion of each project. Normally, the construction agent (END, Corps of Engineer, installation engineer, etc.) will prepare the documentation transferring the real property assets, and process for signature and acceptance.

b. The transfer document (DD Form 1354, Transfer and Acceptance of Military Real Property) is normally used as the basic source document for transferring the value of military construction project to the installation's real property records for projects over \$50K

c. A completed DD Form 1354 signed by the commissary officer or END (transferred by block) on behalf of the region director and by the installation facilities engineer (accepted by block), is required. Copies of all completed DD Forms 1354 will be provided to END and RM. Equipment exceptions to the real property transfer and acceptance documents should be specifically listed and itemized on the DD Form 1354. The reverse side of the DD Form 1354 or similar document must detail any remaining deficiencies to minimize future litigation.

d. In the event of a government claim against the contractor, a claims receivable will be established. The region engineer will be responsible for ensuring that a copy of this certification is obtained from the contracting officer or his representative and provided to the region logistics office and region resource management division so that a transfer may be entered in the logistical and financial system.

e. Project Files. Each region shall maintain project files for each respective MCIP project. The project files shall represent a complete historical record of the project from inception to completion, including all correspondence, drawings, financial transactions and other documentation pertinent to the project.

Chapter 5

REFRIGERATION AND HVAC MAINTENANCE CONTRACTS

5-1. BACKGROUND. Maintenance of commissary refrigeration and HVAC systems increases operational reliability by minimizing product losses and inconvenience to commissary patrons through equipment failure. Systems integrity, operability, maintainability and reliability are best achieved through the use of refrigeration and HVAC maintenance technicians specializing in state-of-the-art refrigeration systems. Commercial refrigeration and HVAC maintenance contracts provide a cost effective and reliable means for meeting system maintenance requirements.

5-2. POLICY. Commercial refrigeration and HVAC maintenance contracts will be used to maintain and repair DeCA refrigeration and HVAC equipment when determined to be the most cost effective and reliable method of achieving maintenance support. ENFS provides review for ISA requirements and specific termination or alteration procedures when warranted. These steps are outlined in **Appendix B**. END is to ensure that inoperable equipment under warranty is repaired/replaced by the responsible contractor/supplier.

5-3. RESPONSIBILITIES.

a. The Air Force Air Education and Training Command (AETC) Contracting Squadron (CONS) is the contracting office for refrigeration and HVAC maintenance contracts for DeCA. The Chief, ENFS may grant limited exceptions for utilizing other offices for contracting. The contracting officer prepares, signs, and issues contracts, delivery orders and modifications; directs contractor performance; requests proposals from the contractor for out of scope work; processes payments and performs all contract administration.

b. The Chief, ENFS is the refrigeration and HVAC maintenance contract program manager. ENFS provides technical support to the AETC CONS contracting officer, region engineers, and commissary personnel. ENFS inspects equipment, conducts quality assurance training, prepares support documentation for contract modifications and reviews contract documentation (e.g., discrepancy reports and contractor claims).

c. The region engineer is the chief inspector for the refrigeration and HVAC maintenance contracts in the region. The region engineer provides: technical support to the contracting officer and commissary personnel on all issues arising under the contract; validates all contractor payment documentation (DD Forms 250), Contract Discrepancy Reports (CDR); coordinates Quality Surveillance Representative (QSR) training; inspects equipment in region commissaries.

d. The QSR performs daily and emergency repair checklist inspections, reviews service statements, documents monthly maintenance, prepares CDRs, and maintains a contract file. The commissary officer appoints QSRs and alternate QSRs.

e. The Authorized Government Personnel (AGP) notifies the contractor of emergency or advisory conditions. No other commissary personnel may initiate an emergency service call. The QSR and alternate QSRs must be AGPs. Other commissary personnel may also be AGPs. The commissary officer identifies the AGPs.

5-4. PROCEDURES.

a. The region engineer and ENFS ensure that provisions of the Quality Assurance Surveillance Plan (QASP) are utilized to administer contracts throughout the region. Functions and procedures to be implemented to assure contractor performance are provided in detail in **DeCAH 20-5, Maintenance Contract Handbook**, which includes the QASP responsibilities.

b. Equipment Inspections for Quality Assurance: During the contract period, spot inspections will be conducted by ENFS engineers and the region engineer. Inspections will include documenting equipment appearance and condition (e.g., display cases, walk-in coolers, air handling units, compressors, chillers, and condensers), and verification of display case discharge temperatures, walk-in cooler temperatures, and store ambient temperature and humidity. The ENFS engineer will also inspect the maintenance contract file for completeness, (e.g., checklists, service statements, and CDRs). The ENFS engineer will prepare an inspection report and forward it to the contracting officer. The region engineer will also maintain an inspection report file. The contractor will correct any deficiencies identified in the inspection report. The QSR will verify that deficiencies have been corrected.

c. Training: The region engineer coordinates yearly training sessions for QSRs. An engineer from ENFS and an AETC CONS contracting officer will conduct the training. The commissary officer notifies the region engineer when a new QSR or alternate QSR is appointed and requires training. Funding for QSR training is provided by HQ DeCA if associated with the Facility Energy Supervisor's (FES) training, otherwise it remains a region obligation.

d. Contract Modifications: The contracting officer is the only person who can modify the contract. If a requirement for a change is identified at the commissary, a request for a modification must be made to the region engineer. This request should include a description and justification of the work required. The region engineer evaluates the request and if valid, forwards to ENFS for action. ENFS, for the most part, will initiate modification requests in coordination with the region engineer.

e. Contract File and Refrigerant Usage: The QSR maintains a contract file containing the contract, delivery order, daily and emergency repair checklists, QSR training record, listing of QSRs and AGPs, and copies of the contractor's service statements, CDRs, DD Forms 250, and AF Forms 372. The QSR also maintains a contract file of service statements, which will serve as documentation of refrigerant usage. Refrigerants used and systems involved are identified on the contractor's service statements.

f. ENFS will provide END with a listing of existing commissary equipment to be incorporated into designs for construction projects as they are scheduled for execution. END is responsible for ensuring all new deficient equipment issues in construction projects are corrected prior to the end of the contract warranty period. END and the commissary QSR will monitor the construction contractor's maintenance services. END will ensure that all the construction contractor's equipment punch list items are corrected prior to the end of the construction contractor's maintenance services phase of the contract, which is usually 90 days after the Beneficial Occupancy Date (BOD).

g. END will provide ENFS with the start and end dates of the construction contractor's maintenance services for the purpose of placing the region maintenance contractor on a "Reserve" or "Active" basis as applicable. END will provide ENFS with a listing of the equipment to be incorporated into the region maintenance services at or prior to the BOD. ENFS will ensure that the region maintenance contractor's services are placed on an "Active" basis at the end date of the construction contractor's maintenance services.

Chapter 6

CHLOROFLUOROCARBON (CFC) REFRIGERANTS

6-1. BACKGROUND.

a. CFCs have historically been used in commissary refrigeration systems. Since it was discovered that CFCs are ozone-depleting substances, their production has ceased in accordance with treaty. Accordingly, these substances are being eliminated from DeCA refrigeration systems.

b. Hydrochlorofluorocarbon (HCFC, R-22), which was used as an interim refrigerant, is presently being utilized in air conditioning systems and many refrigeration systems. HCFC, which is also an ozone-depleting substance, will be phased out by January 1, 2030. The EPA identifies CFC and HCFC as hazardous materials unless they are recycled or reclaimed. This category of material requires specialized recovery, handling, reclamation for reuse, and disposal. EPA regulations also require that DeCA record CFC and HCFC refrigerant usage. Compliance with these regulations is mandatory.

6-2. POLICY. New refrigeration systems will only use HFC (hydrofluorocarbon). CFC usage has been drastically reduced with a goal of complete elimination. CFC refrigerants will be recovered, reclaimed, and banked for reuse at other DeCA commissaries still using CFC refrigerants. HCFC-22 will be used in air conditioning systems. Each commissary will document refrigerant usage. HCFC-22 has been phased out in new refrigeration systems.

6-3. RESPONSIBILITIES. Key DeCA responsibilities are identified below:

a. ENFS has CFC refrigerants program responsibility. ENFS oversees the refrigerant change out program; coordinates procurement of refrigerant reclaim and banking services; manages the refrigerant bank; ensures that non-CFC refrigerants are used in all equipment replacements and identifies suitable replacement refrigerants for all applications.

b. END ensures that non-CFC refrigerants are incorporated into MCP projects and provides a record of all initial refrigerant charge quantities for all refrigeration and HVAC systems on MCP projects to respective store and a copy to ENFS.

c. The commissary officer notifies ENFS if the maintenance contractor has not repaired refrigerant leaks. The commissary officer will obtain material safety data sheet (MSDS) for all refrigerants from the maintenance contractor and will provide them to the facility's hazard communication program coordinator (see DeCAD 30-17, Chapter 9).

6-4. PROCEDURES.

a. **Refrigerant Usage Recording and Reporting:** When service is performed on refrigeration or HVAC equipment, the maintenance contractor or installation maintenance office will provide a service statement to the commissary identifying work performed and materials used.

(1) The commissary officer will document refrigerant usage by filing the service statements in the contract file, which will note quantity of refrigerant used, date system was charged and if leaks were repaired.

(2) Serious Incident Reports, DeCAF 30-70, prepared by the commissary officer will be prepared for all known leaks/releases of refrigerant gas into the air. A copy of DeCAF 30-70, Serious Incident Report, for these occurrences will be forwarded to the region engineer. ENFS will receive a copy through SA. ENFS will do random checks to ensure appropriate actions are implemented.

(3) Within 30 days following the end of each quarter, the commissary officer will check the service statements reflecting refrigerant usage to ensure proper documentation for possible EPA review.

(4) The Occupational Safety and Health Administration (OSHA) classifies CFC and HCFC as hazardous chemicals. EPA employs this OSHA requirement (29 CFR 1910.1200) to identify chemicals relevant to their reporting requirements. It is the responsibility of the contractor to conform to all EPA reporting requirements.

b. **Baseline Refrigerant Establishment:** Within 30 days following completion of a construction project, END will provide a record of initial refrigerant charge quantities and refrigerant type for all refrigeration and HVAC systems installed to the respective store and a copy to ENFS.

c. **Refrigerant Recovery and Reclaim Procedures:**

(1) END will coordinate all refrigerant recovery for MCP when existing commissaries close or existing equipment is replaced. END will include recovery of refrigerants and transfer of recovered refrigerant to the Defense Supply Center Richmond (DSCR). ENF, through DSCR, will furnish empty recovery vessels. Request for recovery vessel delivery will be coordinated with ENFS.

(2) ENFS will coordinate all refrigerant recovery for equipment replacements and minor construction. ENFS will ensure recovery of refrigerant and turnover of recovered refrigerant to DSCR. ENFS will coordinate delivery of recovery vessels.

(3) ENFS will coordinate all refrigerant reclamation for CFC refrigerant change outs at CONUS, Hawaii, and Alaska commissaries. At all OCONUS commissaries, except for Hawaii and Alaska, the installation and region engineer will contract for disposition of recovered refrigerants in accordance with the host country's environmental guidelines.

(4) At commissaries covered by a refrigeration and HVAC maintenance contract, ENFS will coordinate with the appropriate contracting office to accomplish the change out by contract modification. ENFS will arrange delivery of empty recovery vessels.

(5) At all installation maintained commissaries, ENFS will coordinate with the region engineer and the installation to recover refrigerants and accomplish the change out. ENFS will arrange delivery of empty recovery vessels.

d. **Refrigerant Change Outs.**

(1) Refrigerant change out requirements will vary depending on the commissary site, the type of refrigerant and the condition of the system. All systems will require one or more oil changes. Refer to refrigerant and compressor manufacturer requirements for type of oil and number of oil changes required. Prior to evacuation, the system should be leak tested and repairs accomplished per EPA requirements.

(2) ENFS will make a determination of replacement refrigerant for all change outs. Detailed refrigerant change out procedures and guidance can be obtained from FOA/ENFS.

e. **Refrigeration Leaks:** In the event of a known leak/release of refrigerant into the atmosphere, the commissary officer will immediately contact the maintenance contractor and the host installation's hazardous material response office..

(1) Based upon the quantity/size of the refrigerant release and from prior coordination with the contractor and host installation's hazardous material response office, the commissary officer will make the determination of whether to evacuate the facility.

(2) The commissary officer will obtain a copy of the maintenance contractor's report (detailing the type and amount of refrigerant released) and provide/fax this information to the host installation's environmental office, the region engineer and ENFS.

(3) The commissary officer will request support from local occupational health offices to monitor the atmosphere in below grade work areas (e.g., enclosed crawl spaces, utility tunnels, etc.) for containment of the released gas. The MSDS for the refrigerant agent will prescribe its specific gravity (i.e., if it is heavier than air—greater than 1.0 means it's heavier and will settle in low areas). Released vapor may reduce oxygen available for breathing.

f. **OCONUS Commissaries:** CFCs are being replaced with more environmentally friendly refrigerants. The region engineer will initiate and monitor the conversion process by:

(1) Coordinating site inspections with the installation to determine which stores are not in compliance.

(2) Becoming familiar with host nation requirements, if any.

(3) Ensuring that all recommendations are consistent with DeCA goals and CFC policy as well as meeting host nation requirements. In the event of inconsistent requirements between the host nation and DeCA, ENFS will be notified to resolve the dispute.

(4) Submitting semiannual status updates of the conversion schedule.

(5) Performing quality assurance spot checks to ensure quality work.

Appendix A

CLASSIFICATION EXAMPLES

Background: The following examples are intended as a guide to properly classify work and are written to be used generically. Their purpose is to allow the user to make more consistent judgments.

General Note 1: Repair is defined as the restoration of a real property facility to such condition that it may be used effectively for its designed purpose. It includes the overhaul, processing or replacement of constituent parts or materials that have deteriorated by action of the elements or wear and tear and which cannot be corrected through maintenance.

Repair is further differentiated for the purpose of classifying **Real Property Installed Equipment (RPIE)** or **Equipment in Place (EIP)**. When the work is to be done to a “government facility”, the equipment is normally classified as RPIE, since it pertains to integral building systems. When it is done for the operational purposes of the government tenant, the EIP category is appropriate unless otherwise noted. These definitions are based on the concept of what constitutes a complete and usable facility, and are consistent with DoD guidelines.

General Note 2: A complete and usable facility is defined as a building or structure which may be used for any government purpose, regardless of tenant, without undue modification of its components. The facility shall insure that life, safety and sanitary demands are met, consistent with its intended purpose.

The funding of repair work is specifically addressed in each example. With the noted exceptions found in earlier chapters, **the surcharge account is not to be used for repair work. *It is important to remember that DeCA has only two primary sources of funds, Surcharge and DeCA WCF.*** The acronyms MCP, MCIP and the terms construction, equipment, installed equipment, real property installed equipment, repair, maintenance, etc., do not describe fund sources, but refer to programs and should not be used interchangeably.

Funding is subdivided into separate accounts within the Agency to allow more precise budget management. The use of the accounts is defined in Chapter 3 and summarized below. The two primary funding sources, Surcharge and DeCA WCF, are divided into these accounts as follows:

Facilities & Equipment Related Surcharge *Sub Accounts*

- a. Facilities Equipment Account. This includes refrigeration equipment, HVAC equipment and systems, and other commissary unique EIP equipment, as defined in Chapter 3.
- b. Facility construction account. This includes all new work that is commissary store related.
- c. Refrigeration/HVAC Equipment maintenance and repair account. This includes the repair and replacement of these specific kinds of equipment.

Facilities & Equipment Related DeCA WCF *Sub Accounts*

a. Real property maintenance and repair (RPMR), including some categories of real property installed equipment (RPIE) (See Chapter 3 of this directive for details), and is for projects costing \$100,000 or less.

b. Real property maintenance and repair (RPMR), including some categories of real property installed equipment (RPIE) (See Chapter 3 of this directive for details) and is for projects costing more than \$100,000.

SITE WORK

1. Situation: Existing on-site utilities need greater capacity to handle the increased loads of a future, larger commissary.

Solution:

a. If the on-site utility is determined to be of an age or condition requiring repair (using R.S. MEANS facilities index data), then it must be considered repair work.

b. The future capacity of, or technology used to replace the old system is not a factor as long as the purpose remains the same and no expansion (i.e., linear feet of pipe) is involved. Capacity increases, due to modernization of design standards and criteria are not to be used to justify classification as new work.

c. Utility enhancements for the sole purpose of commissary operations on systems not requiring repair are considered new work; systems enhanced for multiple users may be cost shared with other users or the installation. R.S. MEANS facilities indices may be used. DeCA responsibility for utility funding ends at the site perimeter.

Funding: The work may be either source, as described above.

2. Situation: An asphalt parking lot is in disrepair; we want to replace it with a new concrete lot.

Solution: Repair. Material selection, improved technology, or repair by replacement does not justify reclassification as new work.

Funding: DeCA WCF

3. Situation: The installation insists that we upgrade the parking area to meet ADA requirements.

Solution: This would be a new work item, but, if ramps and curb cuts existed before, but needed changes, then the condition of the ramps would determine their repair status.

Funding: Surcharge construction funds shall be used, if no ramps existed, or if the ramps were in good condition or need repairing, then DeCA WCF is used.

4. Situation: Accidents in the parking area require us to install new lighting.

Solution: The lighting work is necessitated by a change of requirements and is considered new work if no lights existed previously. If the lighting existed and was defective it would be repair.

Funding: Funding is Surcharge construction for the new requirement of installing lights initially and would be Surcharge equipment funds to repair (by exception).

ARCHITECTURAL

1. Situation: Flooring in the meat department does not follow the revised DeCA guidelines for health, safety and sanitation, although it is not damaged and still functional.

Solution: The flooring replacement in the meat department is surcharge MCIP.

Funding: Surcharge equipment funds shall be used in all cases.

2. Situation: A new sales floor is placed over an existing floor that was in need of repair.

Solution: This is repair work. In a situation where a floor is replaced for aesthetic reasons, the floor replacement is new work.

Funding: DeCA WCF in all cases of repair and Surcharge construction for new work.

3. Situation: A major add/alter project is planned for a store and the roof is being considered for replacement, although it is not failing.

Solution: The roof replacement must be classified as new work, **unless** life cycle determination is made that the roof will fail, according to R.S. MEANS or other sources, within a short length of time (1 year) after construction completion of the main project. It would therefore be economically opportune to fix the roof now. It may then be classified as repair work. A failing roof would always be a repair (DeCA WCF) cost.

Funding: As the situation dictates.

4. Situation: A suspended ceiling with air vents requires replacement due to wear. The decision is made to replace the lighting and upgrade it.

Solution: The repair/replacement of the lighting, with newer, state of the art fixtures is always surcharge equipment and the ceiling repair. The higher lumen rating and shape of the new lighting is a technological advance and design criteria change and will not justify changing the equipment classification in this case. The ceiling vents are integral to the system and may be changed as well.

Funding: Surcharge equipment funds will be used in all cases for lighting, and DeCA WCF is used for the ceiling, including grid modification or replacement.

5. Situation: A meat cooler (of the type without an integral floor panel) is relocated during a renovation and the new location requires a new tile floor surface.

Solution: If the area to which the meat cooler is going requires floor surfacing anyway, due to the floor condition, the new flooring is repair. If the flooring (including insulation), is an intrinsic part of the construction of the cooler, not normally required as part of a typical floor, it is an equipment expense. A cooler and its installation requirements are considered part of the refrigeration system.

Funding: Surcharge equipment funds in all cases (by exception).

6. Situation: During a major renovation, interior partitions are removed and replaced with others in a new configuration to reflect the new floor plan.

Solution: Interior repartitioning involving the replacement of old partitions with others in new locations is repair. The amount of linear footage of new wall in excess of the existing wall length is new construction. The replacement of partitioning in good condition to accommodate a new floor plan is construction.

Funding: Surcharge construction is to be used for the repair of partitioning that is incidental to work in a larger Surcharge funded project. DeCA WCF is used when the repair is stand-alone. .

7. Situation: A loading dock is noticed to be separating from the building due to improper compacting of the fill. In the process of separation, the seals are damaged.

Solution: The loading dock is part of the real property; the seals are a dock accessory and are EIP (by exception), under the definitions given in this directive.

Funding: Dual funding is required: DeCA WCF for the dock itself and Surcharge funds for the seals.

8. Situation: The installation insists that DeCA adhere to ADA criteria by installing an elevator in a commissary to accommodate a physically handicapped employee whose office is on the second floor.

Solution: The construction of an elevator in an existing facility is not an ADA requirement. If the construction took place, it would be new work.

Funding: Building improvements for the sake of design or code change is new work.

EQUIPMENT

Note: Please review the definitions of EIP and RPIE in **Appendix E, or Chapter 3**, before proceeding to the examples. DoD criteria requires that our stores be considered dual purpose, that our facility is not only a commissary (EIP), but a government building (RPIE). As such, building systems must be thought of as functioning for the building, a commissary operation, or both. That is the basic difference in the classification of EIP and RPIE.

1. Situation: An addition/alteration project contains considerable HVAC repair/upgrade. Is the HVAC work considered construction or repair?

Solution: If the existing equipment is failing due to any reason, including original design flaws, improper maintenance, age or heavy use, the upgrade of the system is repair, regardless of the capacity of, or the technology used to design the new system. However, capacity increases necessitated by expansion of the system to serve new areas or purposes is new work. In cases where both are factors, the difference may be prorated. Please note that there is a distinction between correcting design flaws and doing new work for the sake of design improvement.

Funding: Surcharge equipment funds (by exception) in all cases.

2. Situation: Should the repair of plumbing fixtures used for processing station sinks be considered "equipment".

Solution: Yes, but the question begs "What kind of equipment?" EIP or RPIE? Fixtures for these locations are considered commissary specific and thus "equipment in place (EIP)".

Funding: Surcharge equipment funds shall be used in all cases.

3. Situation: The replacement hot water heater, dehumidifier, etc., will be used not only to serve commissary needs but the building would require it as well, due to it's geographic location. What kind of equipment is it?

Solution: RPIE. In dual use situations, consider the primary purpose (for the commissary or for the building) and classify accordingly. It would be EIP if the building were located somewhere where this feature was not required, thus making it commissary specific.

Funding: Surcharge equipment funds shall be used for the dehumidifier and DeCA WCF for the water heater.

4. Situation: Are exit lights considered "equipment"?

Solution: Yes, they're installed as a general building subsystem and are not commissary specific. The lighting system in its entirety is considered EIP only by exception.

Funding: Surcharge equipment funds in all cases, including repair.

5. Situation: Sales area lighting has been determined to be too dim for use in our new criteria. Is the replacement of the lighting RPIE or EIP; construction or repair?

Solution: If the lighting in question is fully functional, the work becomes surcharge equipment work.

Funding: Lighting is a funding category exception therefore, Surcharge equipment funds shall be used in all cases.

6. Situation: A renovation requires the installation of an Intrusion Detection System where none existed.

Solution: The installation is new (equipment/EIP) work.

Funding: Surcharge funds for new construction.

7. Situation: A display case is installed to take the place of an existing one that has deteriorated. The new case is installed in a different location, requiring new utility connections.

Solution: Relocated, replacement, utility connections are considered repair, as is the new display case, since they are an EIP (commissary specific) item. They would be considered new work if no case had existed before or if the new utility connections were expanded to connect services not previously provided.

Funding: Surcharge equipment funds in all cases, since refrigeration systems are considered EIP (surcharge) funded by exception, even for repair.

8. Situation: Refrigerated display cases and coolers are being installed in both a major and minor construction project. Associated work for cases and coolers involves drains, concrete curbs around cooler

walls, protection posts or bollards to protect coolers/case, and electrical power for refrigeration and lights in refrigerated display cases/coolers. How is this work classified?

Solution: Electrical power, protection of refrigerated equipment, drains and any other work directly supporting refrigeration equipment shall be considered to be an integral part of the refrigeration system.

Funding: Surcharge equipment funds in all cases.

Appendix B

REFRIGERATION AND HVAC MAINTENANCE ISA TERMINATION PROCEDURES

Coordination and planning with key HQ DeCA elements must take place before any effort to modify or terminate installation operation support functions is undertaken. In accordance with DeCAD 70-12, DeCA must keep the installation informed of any decision to change an agreement that may influence their mission. ISA modifications and/or termination should be made cooperatively and with sufficient advance notification to permit appropriate funding adjustments to be made during the prior year budget cycle. If an ISA must be unilaterally terminated or suspended with less than 180 days notice to either party, reimbursement of associated expenses incurred during the 180 day period following notification may be sought by the affected party.

Appendix C

MCIP CONSTRUCTION AS PART OF EQUIPMENT REPLACEMENT PROJECTS

1. Equipment replacement projects have significant scheduling requirements especially related to meeting EPA requirements. Projects are prioritized on a "worst need basis" in the interest of continuity of operation, economy and patron convenience. The need for equipment replacement is usually the prime consideration. All known MCIP requirements, repair and equipment replacement needs should be consolidated into a single project when feasible.
2. Minor construction shall be included especially when:
 - a. the construction is directly related to the installation of equipment,
 - b. sales area decor needs to be upgraded, or
 - c. shopping patterns do not enhance sales
3. Floor plan design deficiencies (equipment layout, circulation, etc.) alone do not justify a construction project unless one or more of the following is true:
 - a. The store has much higher operating costs than normal, which can be traced to facilities deficiencies or shortcomings caused by inconvenient workflow patterns.
 - b. The store is losing significant sales that can be traced to facility deficiencies or shortcomings.
 - c. Facilities related patron complaints are excessive.
 - d. The store has been previously identified as a high priority for a construction project valued at \$500,000 or more (MCP), but due to funding shortages and other higher priority needs, approval is unlikely. Caution must be used to ensure that the MCIP is not used incrementally.
 - e. There is a known requirement to change the store capacity due to base realignment and closure actions, force restructuring, mission change, or other cause.
 - f. Adverse life, safety, sanitary, energy or environmental conditions.

Appendix D

KEY TERMS, DEFINITIONS, ABBREVIATIONS, AND ACRONYMS

AGP: Authorized Government Personnel

BMAR: Backlog of Maintenance and Repair. BMAR is a fiscal year-end measurement of maintenance and repair (M&R) of real property (not equipment) work which remains as a firm requirement and was not funded during the fiscal year due to a lack of resources.

BRAC: Base Realignment and Closure. BRAC appropriated funding is provided by Congress on an annual basis.

CFC: Chlorofluorocarbon. Refrigerant known to cause depletion of the ozone layer and is now being phased out of DeCA refrigeration systems.

Capital Investment: A facility investment, to expand, alter, or relocate headquarters, region or area administrative office facilities.

CIC: Capital Investment Committee. A DeCA committee comprised of senior staff who performs initial review and approval of the MCP.

COB: Commissary Operating Board. This multi-service board reviews and approves the construction program before submission to OASD/FMP.

CRRC: Construction Requirement Review Committee: A multi-service committee of the DCB which performs the initial review and validation of the MCP.

Construction: The work and costs required to erect, install, or assemble a new facility. Also the alteration, expansion, extension, addition to, conversion, relocation or replacement of existing facilities. Construction costs also include the procurement, installation and relocation of installed equipment. This work includes replacing constituent parts or materials with components that increase capacity or utility to meet a future mission or need. Additional examples of construction work are as follows:

- a. Installing or rearranging interior built-up partitions. See “Work Classification Examples” for repair of interior partition funding.
- b. Installing or rearranging air conditioning, interior utility systems, equipment, and related utilities (including appropriate utility connection charges).
- c. Providing cathodic protection on newly constructed utility plants and systems.
- d. Site preparation, excavation, landscaping, back filling or other land improvements to a new facility site.

DeCA WCF: Defense Commissary Agency Working Capital Fund.

Estimated Cost: A preliminary calculation of project cost.

Equipment-in-Place (EIP): Equipment that is required for the building to function, directly or indirectly, as a commissary. It may be moveable or fixed in place. All internal/external building equipment or systems that may be categorized as related to the function of food service, (required in the operation of a commissary facility), is EIP. All EIP costs are considered non-construction costs and are chargeable to Surcharge Funds.

Facility Project: Any project that involves construction, RPMR, and facility equipment. A facility project includes, but is not limited to, the projects under DeCA's MCP, MCIP, RPMR and Energy Conservation Programs.

Field Operating Activity (FOA): An organizational element of the DeCA, as distinguished from the headquarters element, regions, or others.

Fiscal Year (FY): October 1 to September 30.

Funded Costs: Customarily used to designate costs of construction, contingency, and supervision, inspection and overhead (SIOH) costs.

G&A Services: General and Administrative Base Operating Support (BOS) Services. These are the services provided by host installations to the tenants (DeCA commissaries) on a reimbursable basis. Memorandums of Understanding (MOU) or Interservice Support Agreements (ISA or ISSA) contain the full list of services provided by installations. M&R is one of several items included in an ISA considered to be G&A Services. Funding source for G&A services is the DeCA WCF.

Heating, Ventilating and Air Conditioning (HVAC): A building's mechanical system, which provides heating and cooling.

Hydrofluorocarbon (HFC)/Hydrochlorofluorocarbon (HCFC): Refrigerants

IFB: Invitation for Bid

Interservice Support Agreement (ISA): A formal agreement that defines recurring services to be provided by one supplier to one or more receivers and defines the basis for calculating reimbursement charges for the services.

Maintenance: The recurrent, day-to-day, periodic or scheduled work required preserving a real property facility. It includes work required to maintain, restore or repair building components, which have deteriorated from fair wear and tear. Restoration or replacement of real property components is to be done with in-kind or same-as materials and is to return the facility to such condition that it may be used effectively for its designed purpose. Examples of maintenance and repair are as follows.

- Repainting
- Roof spot repair or total replacement in the event that a major portion of the roofing system has failed and is leaking.
- Repairing or patching damaged walls
- Repairing or replacing ineffective lighting systems
- Repairing or replacing deteriorated or damaged floor or ceiling tiles
- Patching, reconstruction, or overlay of deteriorated paving

Major Construction Program (MCP): Projects under this program include those funded construction costs of \$500,000 or more. Primary source of funding for this program is Surcharge Collection.

Military Interdepartmental Purchase Request (MIPR): DD Form 448, a funding document used to transfer funds from one DoD activity to another DoD activity.

Minor Construction Improvement Program (MCIP): Projects under this program include those funded construction costs less than \$500,000. Primary source of funding for this program is the surcharge fund.

O&M: Operations and Maintenance

Office of the Assistant Secretary of Defense, Force Management Policy OASD/FMP: Responsible DoD oversight office for DeCA, located in Washington, DC.

Program Year (PY): The fiscal year (October 1 to September 30) in which it is planned to award a construction contract for a project.

QASP: Quality Assurance Surveillance Plan (QASP)

QSR: Quality Surveillance Representative (QSR)

Real Property: Installation property consisting of lands and all appurtenances to lands. Includes building, building structures, pavements, grounds and any improvements.

Real Property Installed Equipment (RPIE): Equipment and or utilities that are integrated into the physical plant and cannot be severed or removed from it without substantial damage to the structure. It is equipment that allows the building to function as a usable government facility, independent of a particular government tenant. Certain exceptions to this definition are listed in Chapter Three.

Real Property Maintenance and Repair (RPMR): All maintenance and repair related to the buildings and grounds, which constitute real property. Funding source for RPMR is DeCA WCF. Major RPMR, which costs \$50,000 or more, is centrally managed and funded by HQ DeCA.

Repair: Restoration of a real property facility or components to such condition that it may be used effectively for its designed purpose. It includes the overhaul, processing, or replacement of constituent parts or materials that have deteriorated by action of the elements or wear and tear, which cannot be corrected through maintenance.

Special Oversight Panel on Morale, Welfare and Recreation (MWR), House National Security Committee: Approval authority for DeCA in the House of Representatives, US Congress.

Senate Armed Services Committee: Approval authority for DeCA in the US Senate

Supervision, Inspection and Overhead (SIOH): Costs attributed to project administration.

Surcharge Collection Fund: This revenue currently consists of five percent of sales collected from patrons, vendor discounts, sale of cardboard/salvage, and miscellaneous recycles.

Sustainment: The overall concept of keeping a facility fully maintained and functioning. Sustainment includes the various subcategories included in this directive.

Total Project Cost: This includes design, construction, equipment, M&R, contingency, SIOH or supervision and administration (S&A) costs.

Unfunded Costs: These are non-construction costs in a construction project. Costs under this category are not subject to congressional approval such as design, equipment and DeCA WCF costs.

Appendix E

INTERNAL MANAGEMENT CONTROL REVIEW CHECKLIST FOR MAJOR COMMISSARY PLANNING AND PROGRAMMING

TASK: Directorate of Facilities (DF)

SUBTASK: Major Commissary Construction Programming

THIS CHECKLIST: Planning the Major Commissary Construction Program

ORGANIZATION: Facilities Planning and Sustainment Division (ENF)

ACTION OFFICER: Chief, Facilities Planning and Sustainment Division

REVIEWER: Director, DF

DATE COMPLETED: _____

ASSESSABLE UNITS: Store Planning Branch (ENFP)/Region Engineers

EVENT CYCLE 1: Establish DeCA Directorate of Facilities policy for the planning of major commissary construction or renovation.

Step 1: Establish procedures to ensure adequate identification and prioritization of facilities scheduled for construction/upgrade.

Risks:

1. Continued use of inefficient facilities resulting in excessive operational and maintenance costs.
2. Inappropriate expenditure of funds at proposed project sites.

Control Objectives: Establish and disseminate DeCA policy which clearly states the procedures for the development of the major commissary construction program.

Control Techniques:

1. Follow DeCA directive procedures that address the guideline for major commissary construction planning, programming, and prioritization.
2. Establish coordination and supervisory verification checks to ensure all appropriate region, headquarters, and DoD staff elements approve of the commissaries selected for major construction.
3. Ensure the inclusion of the installation in the approval process.

Test Questions:

1. Was the guidance policy, which details the requirements for major construction programming written and disseminated? (ENF/ENFP)

Response: YES___ NO___ N/A___

Remarks:*

2. Were the coordination controls for region, headquarters, DoD and installations approval established? (ENFP and regions)?

Response: YES___ NO___ N/A___

Remarks:*

3. Were the above control requirements disseminated? (ENFP and regions).

Response: YES___ NO___ N/A___

Remarks:*

4. Were records maintained of the various staff element programming requests? (ENFP and regions).

Response: YES___ NO___ N/A___

Remarks:*

5. Were programming timelines established? (ENFP).

Response: YES___ NO___ N/A___

Remarks:*

6. Was the program adequately reviewed and validated by HQ elements, regions and DoD elements? (ENF, ENFP and regions).

Response: YES___ NO___ N/A___

Remarks:*

Step 2: Establish budgeting and cost estimating procedures for the major construction program.

Risk:

1. Inaccurate cost estimates could result in program budget shortfalls
2. Inaccurate cost estimates could result in the resubmission of projects when actual project costs exceed authorized funding limits and place execution at risk.

Control Objective: Establish and disseminate DeCA policy which clearly states the procedures for the development of major commissary construction cost estimates.

Control Techniques: Use the standardized DD Form 1391 for reporting project costs and justification to OASD/FMP for approval.

Test Questions:

1. Have all construction costs been identified and properly shown on the DD Form 1391? (DF)

Response: YES___ NO___ N/A___

Remarks:*

2. Have all non-construction costs been identified and properly shown on the DD Form 1391? (DF)

Response: YES___ NO___ N/A___

Remarks:*

3. Have all BRAC, DeCA WCF or other funds been identified and properly shown on the DD Form 1391? (DF)

Response: YES___ NO___ N/A___

Remarks:*

4. Was the construction cost estimate developed using all cost criteria? (DF)

Response: YES___ NO___ N/A___

Remarks:*

Step 3: Establish standard sizing criteria to ensure that the scope of work, which details construction requirements, meets operational needs.

Risk: Constructing inappropriately sized commissaries.

Control Objective: Establish and disseminate DeCA policy which clearly states the procedures for sizing and developing scopes of work for major commissary construction projects.

Control Techniques:

1. Develop a standard sizing technique that utilizes the latest modeling techniques.
2. Follow the established procedures and guidelines for appropriately sizing major commissary construction projects.

Test Questions:

1. Were the most recent modeling methods used in determining store size? (ENFP)

Response: YES___ NO___ N/A___

Remarks:

2. Were all factors indicated in the Engineering Evaluation for sizing considered and recorded? (ENFP)

Response: YES___ NO___ N/A___

Remarks:*

3. Were the store sizing requirements provided by the MBU correctly incorporated into the scope requirement? (ENFP)

Response: YES___ NO___ N/A___

Remarks:*

Step 4: Establish standard siting criteria for new commissary construction and renovation of existing commissaries to ensure that all site specific concerns are investigated and resolved.

Risk:

1. Expenditure of excessive construction funds in developing difficult sites.
2. Overall design compromises or deficiencies due to inherent siting difficulties.

Control Objective: Establish and disseminate DeCA policy which clearly states the procedures for siting major commissary construction projects.

Control Techniques:

1. Develop standard siting checklists that include all siting requirements and that specifically address potential problem areas.
2. Establish Engineering Evaluation guidelines for new commissary siting and commissary renovation.
3. Establish coordination and review procedures to ensure all appropriate Headquarters staffing elements and installations approve of the selected site or renovation layout.
4. Review the Engineering Evaluation for completeness and accuracy of site selection or renovation criteria.

Test Questions:

1. Was the guidance policy inherent in the Engineering Evaluation disseminated? (ENF)

Response: YES___ NO___ N/A___ **Remarks:***

2. Was the approval process for siting decisions contained in the Engineering Evaluation inclusive and functioning for all elements of DeCA and the installation? (ENFP)

Response: YES___ NO___ N/A___
Remarks:*

3. Were the above control requirements disseminated to the appropriate staff elements? (ENFP)

Response: YES___ NO___ N/A___

Remarks:*

4. Was the Commissary Construction Alternatives Questionnaire completed and included in the Engineering Evaluation? (ENFP)

Response: YES___ NO___ N/A___

Remarks:*

5. Was the economic impact of siting alternatives analyzed and included in the decision making process? (ENFP)

Response: YES___ NO___ N/A___

Remarks:*

*Explain rationale for YES responses or provide cross-references where rationale can be found. For NO responses, cross-reference to where corrective action plans can be found. If response is NA, explain rationale.

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director of Facilities
FUNCTIONAL PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. These controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

ASSESSABLE UNIT MANAGER
(Signature)

Appendix F

MANAGEMENT CONTROL REVIEW CHECKLIST FOR FACILITIES WORK CLASSIFICATION, FUNDING AND AUTHORITIES

TASK: Correct classification of new and repair work.

SUBTASK: 1. Define work categories.
2. Establish and define funding authority levels.

THIS CHECKLIST: Ensures that each program category is properly defined and that funding authority is defined and controlled.

ORGANIZATION: Directorate of Facilities (DF)

ACTION OFFICERS: Chief, Design and Construction Division (END)
Chief, Facilities Planning and Sustainment Division (ENF)

REVIEWER: Director, (DF).

DATE COMPLETED: _____

ASSESSABLE UNIT: The assessable units are END, ENF and each region. Each test question is annotated to indicate which organization is responsible for responding to the question.

EVENT CYCLE 1: Identification of work classification by program objective.

Step 1: Define the various kinds of programs available for design, construction and repair.

Risk: Misclassify work requirements, which may lead to the misapplication of funds.

Control Objectives: Establish and disseminate DeCA policy which clearly states the criteria for the classification of various work elements.

Control Techniques:

1. Establish coordination and supervisory verification checks to ensure all appropriate regions, Headquarters, and DoD staff elements are familiar with and review commissary work classification guidelines.
2. Establish DF procedures that address the guidelines for authorizing the expenditure of various kinds of funds available for commissary work, i.e., construction, maintenance and repair, and equipment replacement projects.

Test Questions:

Are the various programs, their intended uses and limitations clearly understood and disseminated to each sub-element of the organization? (ENF)

Response: YES___ NO___ N/A___

Remarks:

2. Were project requirements validated and coordinated for proper classification? (ENF, regions)

Response: YES___ NO___ N/A___

Remarks:*

3. Were reference standards, including applicable DoD and/or DeCA Directives available for use? (ENF/END, regions)

Response: YES___ NO___ N/A___

Remarks:*

4. Was evidence on hand that disputes in classification were resolved through coordination with ENF if required? (ENF, ENFS, regions)

Response: YES___ NO___ N/A___

Remarks:*

5. Were records of work classification and project scopes on file in those instances where projects originated from an office other than the region engineer? (ENF)

Response: YES___ NO___ N/A___

Remarks:

6. Were the appropriate Letters of Funding Authorization on record at each responsible office? (ENF, END)

Response: YES _____ NO _____ N/A _____

Remarks:

Explain rationale for YES responses or provide cross-references where rationale can be found. For NO responses, cross-reference to where corrective action plans can be found. If response is NA, explain rationale.

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director of Facilities

FUNCTIONAL PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. These controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses.

ASSESSABLE UNIT MANAGER

(Signature)

Appendix G

MANAGEMENT CONTROL REVIEW CHECKLIST FOR FACILITIES SUSTAINMENT PROJECTS

TASK: Manage the Sustainment Program, encompassing minor Construction, equipment replacement and facilities maintenance and repair projects.

THIS CHECKLIST: Sustainment program projects

SUBTASK: Integrate the special uses and limitations of the Minor Construction Program, Equipment Replacement Program and the Facilities Maintenance and Repair Program into a coherent and unified program

ORGANIZATION: Facilities Planning and Sustainment Division (ENF)

ACTION OFFICER: CHIEF, ENF

REVIEWER: Director of Facilities (DF)

DATE COMPLETED: _____

ASSESSABLE UNITS: The assessable units are ENFS, END, region engineers, and commissary officers. Each test question is annotated to indicate which organization(s) is (are) responsible for completing this check list are shown in the DeCA Management Control Plan, DeCAD 70-3.

EVENT CYCLE 1: Establish DF policy for administration of all Sustainment Program projects

Step 1: Establish sustainment policy and execution authority.

Risk: Unauthorized expenditure of and misclassification of funds.

Control Objectives: Ensure that available funds are used to greatest efficiency.

Control Techniques: Establish lines of approval authority for Sustainment Program projects.

1. The Director, DF approves funding for all sustainment projects whose construction component (MCIP) is \$500,000 or less, whose repair component is \$1,000,000 or less and whose maintenance component is \$1,000,000 or less
2. The Chief, ENF approves sustainment projects whose construction component is \$300,000/store/year or less, whose repair component is \$500,000 or less and whose maintenance component is \$500,000 or less.
3. The region director approves all sustainment projects within their region whose construction, repair and maintenance components are each \$100,000/store/year or less.

Test Questions:

1. Have letters of delegation of funding authority been issued to the authorized government officials? (DF)

Response: YES ____ NO ____ NA ____

Remarks:*

2. Have exceptions to funding ceilings based on project requirements from the approved funding levels been properly coordinated, identified, and analyzed? (DF)

Response: YES ____ NO ____ NA ____

Remarks:*

Step 2: Identification of the criteria, which must be met in order to use Surcharge Collection, to correct facilities deficiencies using the Sustainment Program.

Risk: Inappropriate use of Surcharge or DeCA WCF funds to perform sustainment project work.

Control Objective:

1. To use Surcharge or DeCA WCF funds as dictated by the type of work and the type of facility wherein the work is to be accomplished.

Control Techniques: Train project administrators on work classification.

Test Question:

Have all levels of administrators, including project managers and Region Engineers been trained and instructed in work classification? (DF, Region Engineers)

Response: YES ____ NO ____ NA ____

Remarks:*

Step 3: Execution of the Sustainment Program.

Risk: Inappropriate expenditure of funds through inadequate program management.

Control Objective: To ensure that the Sustainment program is used appropriately and is well managed.

Control Techniques:

1. ENF appoint program/project manager(s)?
2. Conduct in-process reviews.
3. Track programming, design, criteria and execution changes.
4. Implement a lessons learned program.
5. Track and control budgetary transfer documents.
6. Track and control project justification and project development documentation.
7. Track and control project completion and acceptance documentation.

Test Questions:

1. Has ENF or the region appointed a program manager for the Sustainment Program and a project manager for each project? (DF, Region)

Response: YES____ NO____ NA____

Remarks:*

2. Has a system been initiated to monitor the status of the program and each project at any given time? (DF and Region Engineers)

Response: YES____ NO____ NA____

Remarks:

3. Has a Lessons Learned Program been initiated to prevent reoccurrence of systemic programming, management, or technical failures? (DF and Region Engineers)

Response: YES____ NO____ NA____

Remarks:

4. Has HQ DeCA been notified when bids received exceed any of the component Sustainment Program funding authorities? (DF, region)

Response: YES____ NO____ NA____

Remarks:*

5. Are the Region Engineers' project files complete? (Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

Step 4: Project Coordination

Risk: Waste of Government funds through the inception, design or execution of a project, which does not meet the needs of DeCA or the Installation.

Control Objectives: To ensure that all parties are involved in and are responsive to the process of project development.

Control Techniques: The documentation of the needs of the customer through site visits, meetings, or other means of communications.

Test Questions:

1. Do region engineer site visits correlate current design/construction program requirements? (Regions)

Response: YES____ NO____ NA____

Remarks:*

2. Are site visits documented and reports disseminated? (Regions)

Response: YES____ NO____ NA____

Remarks:

3. Is the Sustainment Program file maintained at HQ DeCA to reflect regional program requirements as well as funding categories and project changes? (DF)

Response: YES____ NO____ NA____

Remarks:*

4. Is each region tracking Sustainment projects by funding category? (Regions)

Response: YES____ NO____ NA____

Remarks:*

EVENT CYCLE 2: Identification of repair and maintenance components and the placement of work orders or service order to the supporting entities.

Step 1: Identify RPMR work, place work orders and keep status.

Risk:

1. Absence of a preventive maintenance and inspection program would degrade the facility leading to expensive major repair.
2. Misclassification of work items.

Control Objectives:

1. Implementation of a preventative maintenance program
2. Timely execution of preventive maintenance.
3. Timely documenting and reporting of maintenance and repair.

Control Techniques:

1. Region schedules facility inspections as part of a preventative maintenance program.
2. Individuals who perform inspection report to commissary officer/regions about the findings.
3. Commissary officer or his designee file information on the work required and submit work orders accordingly.
4. A work order log with dates, reasons and execution days will be kept.

Test Questions:

1. Were facility inspections scheduled and carried out? (Region Engineers, CSO)

Response: YES____ NO____ NA____

Remarks:*

2. Has a work order log been set up? (Region Engineers, CSO)

Response: YES____ NO____ NA____

Remarks:*

3. Were work orders placed for the items identified and proper entries made in the work order log?
(Region Engineers, CSO)

Response: YES____ NO____ NA____

Remarks:*

4. Does the log record the successful completion of the item of work? (Region Engineers, CSO)

Response: YES____ NO____ NA____

Remarks:

Event Cycle 3: Development of major RPMR project documentation is completed.

Step 1: Review status of work orders placed. Develop major RPMR projects consisting of work, which could not be done because they exceed ISA provisions. Coordinate with installation to prioritize the project within its work schedule.

Risk: Major RPMR will not be developed, therefore, the facility will continue to deteriorate.

Control Objective: Backlog maintenance and repair work is reviewed, validated and prioritized. Project is developed, budgeted and accomplished in a timely manner.

Control Techniques:

1. Capture items from work order log for major RPMR project. Make appropriate annotation on the status for the item.
2. The DD Form 1391 has been prepared and signed by the installation engineer for the work to be performed.
3. Letters of funding authorization will be issued.

Test Questions:

1. Were backlog items in the work order log captured in the major RPMR project and appropriately annotated? (Region Engineers, CSO)

Response: YES ____ NO ____ NA ____

Remarks:*

2. Was the project prioritized by the region? (Region Engineers)

Response: YES ____ NO ____ NA ____

Remarks:*

3. Was DD Form 1391 prepared and signed by installation engineer? (Region Engineers)

Response: YES ____ NO ____ NA ____

Remarks:*

4. Were letters of funding authorization properly issued and signed by the authorized government official? (ENF)

Response: YES ____ NO ____ N/A ____

Remarks:

Event Cycle 4: Sustainment Project execution.

Step 1: DF provides funds to the contracting/executing agency.

Risk:

1. DeCA would issue funds (MIPR) which installations would fail to obligate.
2. Unauthorized use of DeCA WCF or surcharge.

Control Objectives:

1. MIPRs will be issued only for funds that can be obligated in a fiscal year.
2. DeCA WCF/surcharge will not be used inappropriately.

Control Techniques:

1. All funds requests are supported by scopes of work, cost estimates, and statement that funds will be obligated.
2. Cost estimates separate DeCA WCF and Surcharge Funds.

Test Questions:

1. Were region funding requests substantiated by cost estimates and signed by the authorized government official? (DF, Region Engineer)

Response: YES ____ NO ____ NA ____

Remarks:*

2. Were costs appropriately identified as DeCA WCF or Surcharge Collections? (DF)

Response: YES ____ NO ____ NA ____

Remarks:*

Event Cycle 5: Completion of work.

Step 1: Inspection and certification of completed work.

Risk: Commissary will be charged for work not carried out according to requirements and/or not completed.

Control Objectives:

1. Work is performed and completed as required.
2. Contractor or the supporting entity is properly paid for the service provided.

Control Techniques:

1. Head of the DeCA activity determines the means to perform a final inspection and provide certification of completed work.
2. Bills for payment of completed work are certified by the designated responsible person.

Test Questions:

1. Was there a designated responsible representative for facility projects? (DF, Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

2. Was final inspection made prior to certification? (Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

3. Did the designated responsible person certify the bills? (Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

*Explain rationale for YES responses or provide cross-references where rationale can be found. For NO responses, cross-reference to where corrective action plans can be found. If response is NA, explain rationale.

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director of Facilities
FUNCTIONAL PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. These controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

ASSESSABLE UNIT MANAGER
(Signature)

Appendix H

MANAGEMENT CONTROL REVIEW CHECKLIST REFRIGERATION AND HVAC MAINTENANCE CONTRACTS

TASK: Property Management

SUBTASK: Surveillance Methodology

THIS CHECKLIST: Contract File

ORGANIZATION: Directorate of Facilities (DF)

ACTION OFFICER: Chief, Sustainment Branch (ENFS)

REVIEWER: Chief, Facilities Planning and Sustainment Division (ENF)

DATE COMPLETED: _____

ASSESSABLE UNIT: The assessable units are Commissary Officers (CSO), Region Engineers, END, and ENFS. Each test question is annotated to indicate which organization(s) is (are) responsible for completing this check list are shown in the DeCA Management Control Plan, DeCAD 70-3.

EVENT CYCLE 1: Recording and verifying work performance.

Step 1:

Risk: Contractor will be paid for unsatisfactory maintenance services which were not performed.

Control Objectives: Contractors are paid for work actually performed.

Control Techniques:

1. QSR completes daily and emergency repair checklist inspections; completes and submits CDRs.
2. QSR completes and submits DD Form 250 and AF 372.
3. QSR reviews contractor service statements and maintains contract file and notes refrigerant usage as stated on service statements.
4. QSR receives quality assurance training.

Test Questions:

1. Does QSR take and record all display cases and walk-in cooler, and store temperatures and humidity or utilizes control system or 40-9 daily logs? (CSO)

Response: YES____ NO____ NA____

Remarks:

2. Does the QSR record time of emergency service call placement, time of arrival of contractor and time of completion of emergency service? (CSO)

Response: YES____ NO____ NA____

Remarks:

3. Does QSR fill out and submit CDRs when required by daily or emergency service work call checklist? (CSO)

Response: YES____ NO____ NA____

Remarks:

4. Does QSR fill out and submit DD250s and AF372s? (CSO)

Response: YES____ NO____ NA____

Remarks:

5. Does QSR review and sign contractor service statements? (CSO)

Response: YES____ NO____ NA____

Remarks:

6. Does QSR maintain contract file including contract, delivery order, daily and emergency checklists, current QSR and AGP list, CDRs, DD250s, and AF372s? (CSO)

Response: YES____ NO____ NA____

Remarks:

7. Does QSR maintain contractor's service statements in contract file to document refrigerant usage and system used in? (CSO)

Response: YES____ NO____ NA____

Remarks:

8. Does QSR assist in monitoring the construction contractor's maintenance services as required? (CSO)

Response: YES____ NO____ NA____

Remarks:

9. Does contract file contain training certification for QSR and alternate QSR(s)? (CSO)

Response: YES____ NO____ NA____

Remarks:

EVENT CYCLE 2: Verifying work performance and contractor payment documentation.

Step 1:

Risk: Contractor will be paid for maintenance service that was not performed.

Control Objectives: Contractors are paid only for work actually performed.

Control Techniques:

1. Region Engineer validates CDRs and forwards to contracting officer expeditiously.
2. Region Engineer validates and consolidates DD250s and AF372s and submits to Contracting Officer by the fifth day of each month.
3. Region Engineer coordinates training of QSRs.

4. Region Engineer performs equipment inspections.

Test Questions:

1. Does region engineer review and validate CDRs and forward to the contracting officer within 24 hours? (Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

2. Does region engineer validate, consolidate and submit DD250s and AF 372s to the contracting officer by the fifth day of each month? (Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

3. Does region engineer maintain a record of completed and scheduled QSR training? (Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

4. Does region engineer maintain equipment inspection reports on file? (Region Engineers)

Response: YES____ NO____ NA____

Remarks:*

EVENT CYCLE 3: Verifying construction contractor's maintenance services and correction of equipment punch list items/warranty items.

STEP 1

Risk: Contractor will not correct equipment punch list/warranty items and the work will have to be corrected by the region maintenance contractor at additional expense to the government.

Control Objectives: Equipment will be installed in proper operating condition and there will be continuity of maintenance services.

Control Techniques:

1. END engineers provide ENFS the beginning and end dates of the construction contractor's maintenance services.
2. END engineers provide to ENFS, a list of new and existing equipment at BOD for incorporation/reactivation of the region maintenance contract.
3. END engineers coordinate with ENFS and the commissary officer on deficient equipment issues covered under the construction contract warranty.
4. END engineers ensure that all equipment punch list items are corrected prior to the end of the construction contractor's maintenance services.

Test Questions:

1. Do END engineers provide ENFS a date for beginning and end of the construction contractor's maintenance services? (END)

Response: YES____ NO____ NA____

Remarks:*

2. Do END engineers provide to ENFS a correct list of new and existing equipment at BOD for incorporation into the region maintenance contract? (END)

Response: YES____ NO____ NA____

Remarks:*

3. Do END engineers coordinate with ENFS and the commissary officer on deficient equipment issues covered under the construction warranty? (END)

Response: YES____ NO____ NA____

Remarks:

4. Do END engineers ensure that all equipment punch list items are corrected prior to the end of the construction contractor's maintenance services? (END)

Response: YES____ NO____ NA____

Remarks:*

EVENT CYCLE 4 : Verifying work performance and contractor payment modification,

STEP 1:

RISK: Contractor will be paid for maintenance service that was not performed.

Control Objectives: Contractors are paid only for work actually performed.

Control Techniques:

1. ENFS engineers validate CDRs as required by the contracting officer.
2. ENFS engineers perform training of QSRs.
3. ENFS engineers expeditiously prepare contract modifications.
4. ENFS engineers perform equipment inspections.
5. ENFS engineers reactivate region maintenance contracts on the next day following the end of the END construction contractor's maintenance services.

Test Questions :

1. Do ENFS engineers review and validate CDRs as required by the contracting officer? (ENFS)

Response: YES ___ NO ___ N/A ___

Remarks:*

2. Does ENFS receive a record of completed and scheduled QSR training from the Region Engineer? (ENFS)

Response: YES ___ NO ___ N/A ___

Remarks:*

3. Do ENFS engineers approve and prepare contract modification documentation? (ENFS)

Response: YES ___ NO ___ N/A ___

Remarks:*

4. Does ENFS maintain equipment inspection reports on file? (ENFS)

Response: YES ____ NO ____ N/A ____

Remarks:*

5. Does ENFS reactivate region maintenance contracts on the next day following the end of the END construction contractor's maintenance services? (ENFS)

Response: YES ____ NO ____ N/A ____

Remarks:*

*Explain rationale for YES responses or provide cross-references where rationale can be found. For NO responses, cross-reference to where corrective action plans can be found. If response is NA, explain rationale.

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director of Facilities
FUNCTIONAL PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. These controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

ASSESSABLE UNIT MANAGER
(Signature)

Appendix I

MANAGEMENT CONTROL REVIEW CHECKLIST FOR REFRIGERATION EQUIPMENT REPLACEMENT

TASK: Property Management

SUBTASK: Refrigeration Equipment Requirement Validation

THIS CHECKLIST: Contract File

ORGANIZATION: Directorate of Facilities (DF)

ACTION OFFICER: Chief, Sustainment Branch (ENFS)

REVIEWER: Chief, Facilities Planning and Sustainment Division (ENF)

DATE COMPLETED: _____

ASSESSABLE UNIT: The assessable units are Region Engineers and ENFS. Each test question is annotated to indicate which organization(s) is (are) responsible for completing this check list are shown in the DeCA Management Control Plan, DeCAD 70-3.

EVENT CYCLE 1: Region Engineer reviews/validates all requests for refrigeration equipment replacement, coordinates review with region DO, and forwards all requests to ENFS.

Step 1:

Risk: Equipment will be replaced which does not need replacement or equipment purchases will be uncoordinated resulting in waste of Government funds.

Control Objectives: Refrigeration equipment replacement requirements are validated and approved by ENFS.

Control Techniques:

1. Region Engineer reviews/validates refrigeration equipment replacement and coordinates review with Region DO.
2. Region Engineer forwards refrigeration equipment replacement requests to ENFS.

Test Questions:

1. Does Region Engineer review, validate and coordinate all refrigeration equipment replacements with Region DO? (Region Engineer)

Response: YES____ NO____ NA_____

Remarks:

2. Does Region Engineer forward all refrigeration equipment replacement requests to ENFS? (Region Engineer)

Response: YES____ NO____ NA_____

Remarks:

Event Cycle 2: ENFS reviews/validates all requests for refrigeration equipment replacement, coordinates review with the Equipment and Supply Division (RAE) of the Contracting Business Unit.

Step 1

Risk: Equipment will be replaced which does not need replacement or equipment purchases will be uncoordinated resulting in waste of Government funds.

Control Objectives: Refrigeration equipment replacement requirements are validated and approved by ENFS.

Control Techniques: ENFS reviews/validates refrigeration equipment replacement and coordinates review with the Marketing Business Unit (MBU).

Test Question: Does ENFS review, validate and coordinate review of all refrigeration equipment replacements with MBU? (ENFS)

Response: YES____ NO____ NA_____

Remarks:

*Explain rationale for YES responses or provide cross-references where rationale can be found. For NO responses, cross-reference to where corrective action plans can be found. If response is NA, explain rationale.

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director of Facilities

FUNCTIONAL PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. These controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

ASSESSABLE UNIT MANAGER

(Signature)

Appendix J

MANAGEMENT CONTROL REVIEW CHECKLIST FOR CHLOROFLUOROCARBON (CFC) REFRIGERANTS

TASK: CFC Leak Identification and Elimination

SUBTASK: Refrigerant Usage File

THIS CHECKLIST: Refrigerant Usage Logbook

ORGANIZATION: Sustainment Branch (ENFS)

ACTION OFFICER: Chief, Sustainment Branch

REVIEWER: Chief, Facilities Planning and Sustainment Division (ENF)

DATE COMPLETED: _____

ASSESSABLE UNIT: The assessable units are Commissary Officers (CSO) and ENFS. Each test question is annotated to indicate which organization(s) is (are) responsible for completing this check list are shown in the DeCA Management Control Plan, DeCAD 70-3.

EVENT CYCLE 1: Recording refrigerant usage and reporting leaks/release of refrigerant gas into the air to the host installation's hazardous material response office, the region engineer and ENFS.

Step 1: Maintaining file of refrigerant usage from service statements.

Risk: Contractor/Installation not repairing leaks in system resulting in fines of up to \$25,000 per day.

Control Objectives: Leaks are repaired per EPA regulations.

Control Techniques:

1. Commissary officer obtains Material Safety Data Sheet (MSDS) for all refrigerants from maintenance contractor and provides to facility's hazardous communication program coordinator.
2. Commissary personnel note refrigerant usage and leak repairs from service statement and file data in contract file.
3. Commissary personnel identify to region engineer and ENFS when leaks/release of gas into the air occur using a serious incident report.

Test Questions:

1. Do commissary personnel note refrigerant usage, leaks/release of gas into the air within 24 hours of receipt of a service statement? (CSO)

Response: YES ____ NO ____ NA ____
Remarks:*

2. Do commissary personnel file serious incident reports within 24 hours of receipt of a service statement when leaks are not repaired by service personnel? (CSO)

Response: YES ____ NO ____ NA ____
Remarks:*

Event Cycle 2: ENFS initiates refrigerant leak repair.

Step 1: Handling of Serious Incident Report

Risk: Contractor /installation not repairing leaks in system resulting in fines.

Control Objectives: Leaks are repaired per EPA regulations.

Control Technique: ENFS validates leak repairs with region engineer to ensure actions are accomplished.

Test Question: Does ENFS expeditiously review and validate serious incident reports? (ENFS)

Response: YES ____ NO ____ NA ____
Remarks:*

*Explain rationale for YES responses or provide cross-references where rationale can be found. For NO responses, cross-reference to where corrective action plans can be found. If response is NA, explain rationale.

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director of Facilities

FUNCTIONAL PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. These controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

ASSESSABLE UNIT MANAGER
(Signature)