

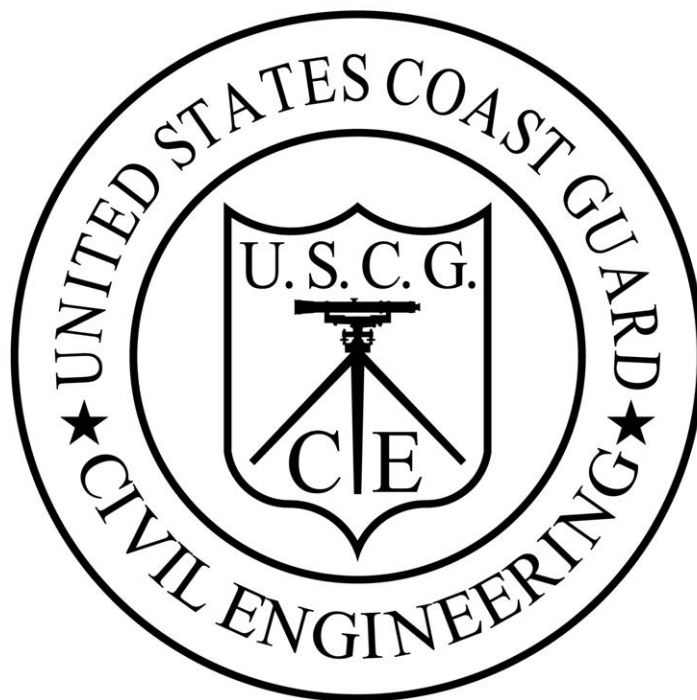
U.S. Department of  
Homeland Security

**United States  
Coast Guard**



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# CIVIL ENGINEERING MANUAL



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**COMDTINST M11000.11B  
MAY 2014**





COMDTINST M11000.11B  
02 MAY 2014

COMMANDANT INSTRUCTION M11000.11B

Subj: CIVIL ENGINEERING MANUAL

1. PURPOSE. This Manual promulgates Coast Guard Civil Engineering policy and selected procedures.
2. ACTION. All Coast Guard unit commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Manual. Internet release is authorized.
3. DIRECTIVES AFFECTED. Civil Engineering Manual, COMDTINST M11000.11A, Field Planning Manual, COMDTINST 11000.17, and Shore Facilities Project Development Manual (SFPDM), COMDTINST M11010.14 are cancelled.
4. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide guidance for Coast Guard personnel and is not intended to impose legally binding requirements on any party outside the Coast Guard.
5. MAJOR CHANGES. This Manual is a complete rewrite of the previous Civil Engineering Manual and is organized as follows:
  - a. Chapter 1: Discusses the Coast Guard Civil Engineering program responsibilities, organization, and principles for shore infrastructure logistics support.
  - b. Chapters 2-5: Identifies Coast Guard Civil Engineering resources and policies. These chapters identify the Shore Organizational Level Maintenance Program, Shore Depot Level Maintenance Program, and Shore Acquisition, Construction, and Improvement Programs.

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- c. Chapters 6-9: Provides programmatic guidance for execution of Coast Guard Civil Engineering support.
  - d. Chapters 10-12: Provides the policies for shore facilities planning and project development process, building code standards, and shore infrastructure asset standards.
  - d. Chapters 13-14: Provides guidance on Facility Assessments and Safety Inspections.
  - e. Chapter 15: Provides guidance for Coast Guard Civil Engineering community professional development, training, and recognition.
6. IMPACT ASSESSMENT. None.
7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Per the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series), Figure 2-1, #33, the Coast Guard has determined that the development and issuance of this COMDTINST is categorically excluded from further NEPA documentation, and a written Categorical Exclusion Determination is not required.
8. DISTRIBUTION. No paper distribution will be made of this Manual. An electronic version will be located on the following Commandant (CG-612) web sites. Internet: <http://www.uscg.mil/directives/>, and CGPortal: <https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>.
9. RECORDS MANAGEMENT CONSIDERATIONS. This Manual has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.
10. FORMS/REPORTS. The forms called for in this Instruction are available in USCG Electronic Forms on the Standard Workstation or on the Internet: <http://www.uscg.mil/forms/>; CGPortal at <https://cgportal2.uscg.mil/library/forms/SitePages/Home.aspx>; and Intranet at <http://cgweb.comdt.uscg.mil/CGForms>.
11. REQUESTS FOR CHANGES. Recommendations for improvements to this instruction should be submitted via the chain of command to Commandant (CG-43).

R. J. RÁBAGO /s/  
Rear Admiral, U.S. Coast Guard  
Assistant Commandant for Engineering & Logistics





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## **CHAPTER 1. SHORE INFRASTRUCTURE SUPPORT ORGANIZATION AND PRINCIPALS**

- A. PURPOSE.** United States Coast Guard (USCG) shore facilities represent a significant portion of the capital assets that enable the service to carry out its missions. The USCG plans, constructs, and maintains its shore facilities to support mission requirements. This Civil Engineering Manual is published to promulgate USCG Civil Engineering (CE) policy and selected procedures.
1. This Manual includes certain technical information not readily available in other reference documents. When adequate information is available from another source, this Manual references the appropriate source. Such information will not be duplicated in this Manual.
  2. This Manual is intended to provide a broad set of principles, rules, and guidelines to establish the framework for the CE program. Commandant (CG-43) and the Shore Infrastructure Logistics Center (SILC) will issue process documents describing the procedures to achieve the desired CE program results.
- B. ASSISTANT COMMANDANT ENGINEERING & LOGISTICS (CG-4).** Commandant (CG-4) is the technical authority for design, construction, and maintenance of USCG systems and assets in accordance with CG-4 Technical Authority, COMDTINST 4700.4 (series). Commandant (CG-4) is the engineering technical authority for surface, aeronautical, shore infrastructure, logistics, environmental stewardship and sustainability, configuration management, and energy management. Commandant (CG-4) is responsible for the management of all real property assets and occupancy agreements. Area Commanders, District Commanders, Sector Commanders, Unit Commanding Officers, and Officers-in-Charge are responsible for stewardship and the safe use of USCG facilities in accordance with the policy provided in this Manual and specific terms provided in applicable real property agreements.
- C. THE OFFICE OF CIVIL ENGINEERING, COMMANDANT (CG-43).** The Office of Civil Engineering, Commandant (CG-43), is the Headquarters Program Manager for the CE program. The Commandant (CG-43) organization is shown in Figure 1-1. Under general direction and supervision of the Assistant Commandant for Engineering and Logistics, the Office of Civil Engineering is responsible for:
1. Establishing and updating USCG CE program policy and guidance to implement Commandant (CG-4) Engineering Technical Authority and provide operationally capable shore facilities to support USCG missions. Policy and guidance will include the following general shore management areas:
    - a. DD1391 Facilities Planning and Project Development,
    - b. Design policies and standards for shore facilities,
    - c. Shore energy conservation and sustainability initiatives,
    - d. Major and minor construction,
    - e. Facilities Operating Support (Organizational Level Maintenance),
    - f. Real property acquisition, disposal, and management, including leases, and

- g. Maintenance, repair, alteration, code compliance, and recapitalization of all USCG shore facilities including fixed aids to navigation (ATON).
2. Providing administrative and programmatic oversight of the SILC's execution of CE support and services.
3. Providing technical guidance to assist the Deputy Commandant of Operations (DCO) program managers to support shore facility requirements resulting from new, modified, or eliminated missions.
4. Providing programmatic guidance to the SILC on the prioritization of Shore Acquisition, Construction & Improvement (AC&I), Depot-Level facility maintenance projects, and directing the overall execution of shore facilities maintenance funds (AFC-43).
5. Developing and championing Resource Proposals for AFC-43, Shore AC&I, and AFC-36 lease accounts.
6. Establishing CE programmatic goals and performance metrics.
7. Reviewing and approving DD1391 Facilities Planning and Project Development documents.
8. Managing and developing the CE community.
9. Championing unit level/recurring AFC-30/34 resources.
10. Executing interagency coordination with federal partners.
11. Providing facilities requirements in support of deployed USCG assets for contingency support and wartime operations.
12. Providing technical representatives for intergovernmental and international working groups as necessary.
13. Managing the USCG Motor Vehicle program in accordance with the Motor Vehicle Manual, COMDTINST M11240.9 (series).
14. Managing the USCG Representational Facility (REPFAC) and Flag Housing program in accordance with the Representational Facilities (REPFACs) and Flag Quarters, COMDTINST M11103.1 (series).

**D. SHORE INFRASTRUCTURE LOGISTICS CENTER.**

1. Responsibilities. Under the general direction and supervision of Commandant (CG-43), the SILC will:
  - a. Exercise Commandant (CG-4)'s Technical Authority over USCG real property assets and Aids to Navigation (ATON).
  - b. Establish and maintain configuration standards and processes to acquire, maintain, alter, refurbish, and dispose of real property assets in support of USCG operations.
  - c. Execute the AFC-43 Depot Level Maintenance (DLM) and the Shore AC&I programs. These programs provide for the acquisition, maintenance, major repair, and improvements to USCG real property assets, and ATON.

- d. Provide Product Line and Asset Line management for the USCG shore plant.
  - e. Execute USCG real property transactions as directed by Commandant (CG-43).
  - f. Maintain and manage the USCG Shore Facility Inventory (SFI) which tracks all real property assets.
  - g. Oversee environmental stewardship and sustainability programs in accordance with all policy, laws, and regulations.
  - h. Administer the Representational Facilities (REPFAC) program.
  - i. Administer the USCG Motor Vehicle program.
  - j. Develop and implement process guides in accordance with Paragraph 1.F.6.
  - k. Develop and document maintenance philosophy, staffing standards, and skill requirements for maintenance and management of shore facilities.
  - l. Review DD1391 Facilities Planning and Project Development documents in accordance with Chapter 6 of this Manual.
2. SILC Divisions and Offices. The following is a brief description of SILC divisions and offices. Refer to the Coast Guard Organizational Manual, COMDTINST M5400.7 (series), for the most up-to-date SILC organization construct. The CE Program's major offices are depicted in Figure 1-2.
- a. Facilities Design and Construction Center. Develops DD1391 Facilities Planning documents and provides design services for new acquisition of major improvements to USCG shore assets. Facilities Design and Construction Center (FDCC) executes the Shore AC&I and Major Acquisition Systems Infrastructure (MASI) Programs, executes major shore maintenance projects, and performs special studies as needed.
  - b. Civil Engineering Units. Executes the AFC-43 Depot Level Maintenance (DLM) program as described in Chapter 4, Shore Depot Level (AFC-43) Maintenance Program, and provides Product Line and Asset Line management of USCG shore facilities. Civil Engineering Units (CEU) execute facility inspections required by Chapter 13, provide technical publication services, develop DD1391 Facilities Planning documents, real property management, environmental program management, and disaster response services.
  - c. Engineering Services Division. Provides Product Line oversight, technical support, and configuration management for shore facilities, civil engineering technical publications, real property management, capital planning management, energy management of shore facilities, and oversight of depot level and organizational level maintenance of shore facilities.
  - d. Environmental Management Division. SILC Environmental Management Division (EMD) exercises technical authority for the shore infrastructure Environmental Management Program. SILC-EMD is responsible for the execution of the environmental compliance,

restoration and environmental liabilities, environmental planning, and sustainment/environmental stewardship programs.

- e. Chief of Contracting Offices. The SILC has two Chiefs of Contracting Offices (COCO):
  - (1) Chief of Contracting, Base Support and Services Division. The COCO for Base Support Services provides technical oversight of the contracting functions executed at each Base, Base Detachment, and USCG Training Centers. COCO for Base Support Services also provides for emergency contracting, commercial support services contracting, and purchasing, interagency agreements, and utilities contracting.
  - (2) Chief of Contracting, Construction. The COCO for Construction provides technical oversight of the contracting functions executed at the CEUs and FDCC. The contracting offices located at FDCC and the CEUs provide support for construction, maintenance, and repair of real property assets.
- f. Business Operations Division. Directs and executes workforce and performance functions within SILC, manages all administrative functions within SILC, and oversees information management systems to meet CE program requirements.
- g. Asset Logistics Division. Supports the general purpose personal property, budgeting, and financial management requirements of the SILC enterprise and provides financial support services for Director of Operational Logistics (DOL) and Force Readiness Command (FORCECOM) collocated with SILC.

**E. FACILITY ENGINEERS.** There are two types of USCG Facility Engineers (FE) associated with the CE program:

1. Headquarters and Non-Area Major Command Facility Engineers. Responsible for executing organizational and depot-level maintenance, environmental stewardship and sustainability, shore facility planning, and performing facilities assessments for all facilities within assigned Area of Responsibility (AOR). All Headquarters and Non-Area Major Command FEs are coded as civil engineering billets.
2. Area Major Command and Base Facilities Engineers. Responsible for executing organizational level maintenance, environmental stewardship and sustainability, and performing facilities assessments for all facilities within assigned AOR. Also, coordinate with servicing CEU for depot-level maintenance activities for facilities within AOR. Sector/Air Station FEs may be general or civil engineering billets. Base FEs are typically civil engineering billets.

Figure 1-2 provides an overview of Civil Engineering Offices, USCG bases, and civil engineering-coded FE billets.



**F. PRINCIPALS OF SHORE INFRASTRUCTURE LOGISTICS SUPPORT.**

1. Shore Facility Maintenance Program Philosophy. All USCG real property assets (RPUIDs) must have a documented, standardized system of maintenance with designated personnel familiar with/properly trained on the maintenance system in place to support the USCG's shore plant. The maintenance program will be designed to:
  - a. Assure that facilities meet their operational and functional requirements,
  - b. Take corrective action before advanced deterioration necessitates major repairs,
  - c. Ensure preventive maintenance is performed on a routine schedule, and
  - d. Prevent over-maintenance and under-maintenance.
2. Bilevel Maintenance. Maintenance of USCG real property assets is based on a two-tier (bilevel) maintenance philosophy.
  - a. Organizational Level Maintenance. Organizational Level Maintenance (OLM) is maintenance that a shore unit is capable and authorized to perform and is commonly funded with the AFC-3X (e.g., 30/34) account. OLM typically includes routine, preventive maintenance, and facilities operation services to support shore structures and facilities. Priority OLM activities generally include preventive maintenance of critical building systems (e.g., heating, ventilation, and air condition (HVAC), fire and other life safety systems, plumbing systems) and other recurring facility support services (e.g., snow removal, grounds maintenance services, janitorial services, pest control services). OLM may include corrective maintenance/repair activities (e.g., repairs and replacement of flooring/carpeting and window treatments, interior painting), except when such work is performed in conjunction with a depot-level maintenance (AFC-43) or major recapitalization (AC&I funded) project. OLM must be conducted in accordance with the Supply Policy and Procedures Manual (SPPM), COMDTINST M4400.19 (series), and the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series). Each shore unit's Facilities Engineer and OLM Representative (e.g., Engineering Officer, Engineering Petty Officer) must ensure OLM is executed in accordance with Chapter 3 of this Manual and applicable SILC process guides.
  - b. Depot Level Maintenance. Depot Level Maintenance (DLM) is major maintenance that is beyond the organic capability and authority of the shore unit to execute. DLM is funded with AFC-43 and includes contracting services, construction, environmental restoration, real property asset modifications that require technical expertise, all modifications affecting the structural integrity of facilities (e.g., removing load-bearing walls, increasing storage capacity beyond load rating), and all modifications affecting code compliance, overall size or the designated use of the facility. CEUs and Headquarters/Non-Area Major Command FEs execute the DLM program. DLM must be conducted in accordance with the Financial Resource Management Manual (FRMM),

COMDTINST M7100.3 (series), Chapter 4 of this Manual, and applicable SILC process guides.

3. Configuration Management. The fundamental purpose of Configuration Management is to ensure that assets meet their requirements. An asset (or product) is something that is used or produced to satisfy a need, or is the result of a process. In accordance with Coast Guard Configuration Management Policy, COMDTINST M4130.6 (series), the SILC will:
  - a. Set configuration baselines (standards) for the following critical building systems: heating, cooling, plumbing, power, lighting, emergency systems, fueling systems, fire safety, and physical security.
  - b. Establish Configuration Control Boards (CCBs) to review/approve changes to configuration baselines.
  - c. Develop and maintain a shore facilities configuration control process guide, which will provide detailed instructions to those who originate, review, develop, and have the authority to take action on configuration technical orders and detailed instructions regarding responsibility and action taken by the program to maintain configuration control of all shore facility assets.
4. Product Lines. SILC Product Lines deliver mission support for specific USCG real property assets. The SILC Product Lines serve as a single point of accountability for mission support and act as the primary point of contact for enterprise-wide service. Product Line Managers (PLM) are accountable for all mission support required by assigned assets/personnel, with full control over the configuration, maintenance/services, and supply/support for those products. Product Line Managers drive product line governance, oversee the development of configuration standards, develop requirements-based budgeting, direct project prioritization efforts, and analyze outcome/performance metrics for shore infrastructure investment decision-making. The SILC is organized into four Product Lines: Tactical Operations, Strategic Operations, Mission Readiness, and Mission Support. Each SILC Product Line oversees several Asset Lines as described in Paragraph 1.F.5.
5. Asset Lines. The Asset Line is an organizational element of the SILC and each Product Line. SILC Asset Lines are comprised of military and civilian professionals in the civil, mechanical, electrical, and ocean engineering disciplines. Responsibilities include development and implementation of support, maintenance, inventory management, and logistics policy; engineering management of system configuration, procurement, training, evaluation, and integration of new equipment and systems; sponsorship of research and development initiatives; and management of financial resources. The Asset Line has a direct impact on the USCG-wide operational and support commands involved in carrying out missions. Asset Line staff members maintain state-of-the-art expertise and regularly serve as consultants on issues with a wide variety of domestic and international organizations, professional societies, and other Federal agencies.

- a. Asset Line Manager. Asset Line Managers (ALM) are responsible for providing engineering support and process development for the USCG-wide inventory of real property assets and associated equipment and systems. ALMs are configuration managers and implement configuration standards for assets within the Asset Line portfolio to best achieve the efficient/effective use of USCG funding and resources.
  - b. Asset Maintenance. The Asset Line establishes OLM and DLM requirements for all real property and associated equipment and systems.
  - c. Asset Management. The Asset Line is responsible for the management of all real property assets within their asset line. Real Property Accountability Specialists retain ultimate responsibility for management of real property assets and must be consulted prior to any alteration or addition of such assets.  
  
Refer to the SILC Portal intranet page for the most up-to-date SILC organization construct of Product Lines and Asset Lines.
6. Process Guides. Process guides define business processes and procedures for executing the policies stated in this Manual. The SILC and Commandant (CG-43) are each responsible for developing and maintaining certain process guides.
- a. The SILC is responsible for developing and maintaining process guides and technical procedures in accordance with the guidance provided in this Manual. At a minimum, these publications will address the following topics:
    - (1) Shore Facilities Configuration Control Process Guide (Chapter 1).
    - (2) Planned Obligation Prioritization of AFC-43, AC&I, Environmental Compliance and Restoration, and Energy Projects (Chapter 2, Chapter 4, Chapter 5, Chapter 7, Chapter 8, and Chapter 10).
    - (3) Construction Project Management (Chapter 2).
    - (4) Damage Assessment Processes to be included as part of Deputy Commandant for Mission Support (DCMS) Plan 9730-10 (Chapter 2).
    - (5) Organizational Level Maintenance (Chapter 3).
    - (6) AFC-43 Depot Level Maintenance Program (Chapter 4).
    - (7) Cost Estimating (Chapter 4 and Chapter 10).
    - (8) Construction In Progress (CIP) Process Guide (Chapter 5).
    - (9) Real Property Asset Enrollment and Tracking (Chapter 6).
    - (10) Environmental Management Program (Chapter 7).
    - (11) Aids to Navigation and Marine Environmental Response (Chapter 12).
    - (12) Maintenance of USCG Housing (Chapter 12).
    - (13) Facility Assessments (Chapter 13).

- (14) Maintenance of Small Arms Firing Ranges (Chapter 13).
- (15) Safety Inspections and preventive Maintenance of Load-Bearing Structures and Weight-Handling Equipment (Chapter 14).
- b. Commandant (CG-43) will develop and maintain the following process guides:
  - (1) Logistics Compliance Inspection Process Guide (Chapter 1).
  - (2) Management Effectiveness Visit Program/Program Management Review (Chapter 2).
  - (3) Minor Shore AC&I Process Guide (Chapter 5).
- 7. Logistics Compliance Inspections. The CE program will execute the Logistics Compliance Inspection (LCI) program in accordance with the Logistics Compliance Inspection Program, COMDTINST 4730.1 (series). The LCI program will assess the posture of shore infrastructure logistics support and provide an evaluation of the CE organization's ability to perform key logistics processes in a safe, standardized, and technically compliant manner. The areas to be inspected consist of maintenance processes and procedures, configuration, maintenance documentation, technical data, and supply support. The LCI program will be integrated into other civil engineering inspection and assessment programs to minimize overall cost and disruption to field units. Commandant (CG-43) is the program manager for the CE LCI Program and is responsible for the following:
  - a. Develop and maintain the LCI Program Process Guide.
  - b. Ensure the appropriate condition of assets, records, configuration of assigned shore assets, support equipment, and maintenance support systems.
  - c. Ensure all required programs are in compliance with current laws, regulations, and standards.

# Coast Guard Civil Engineering Program Organization

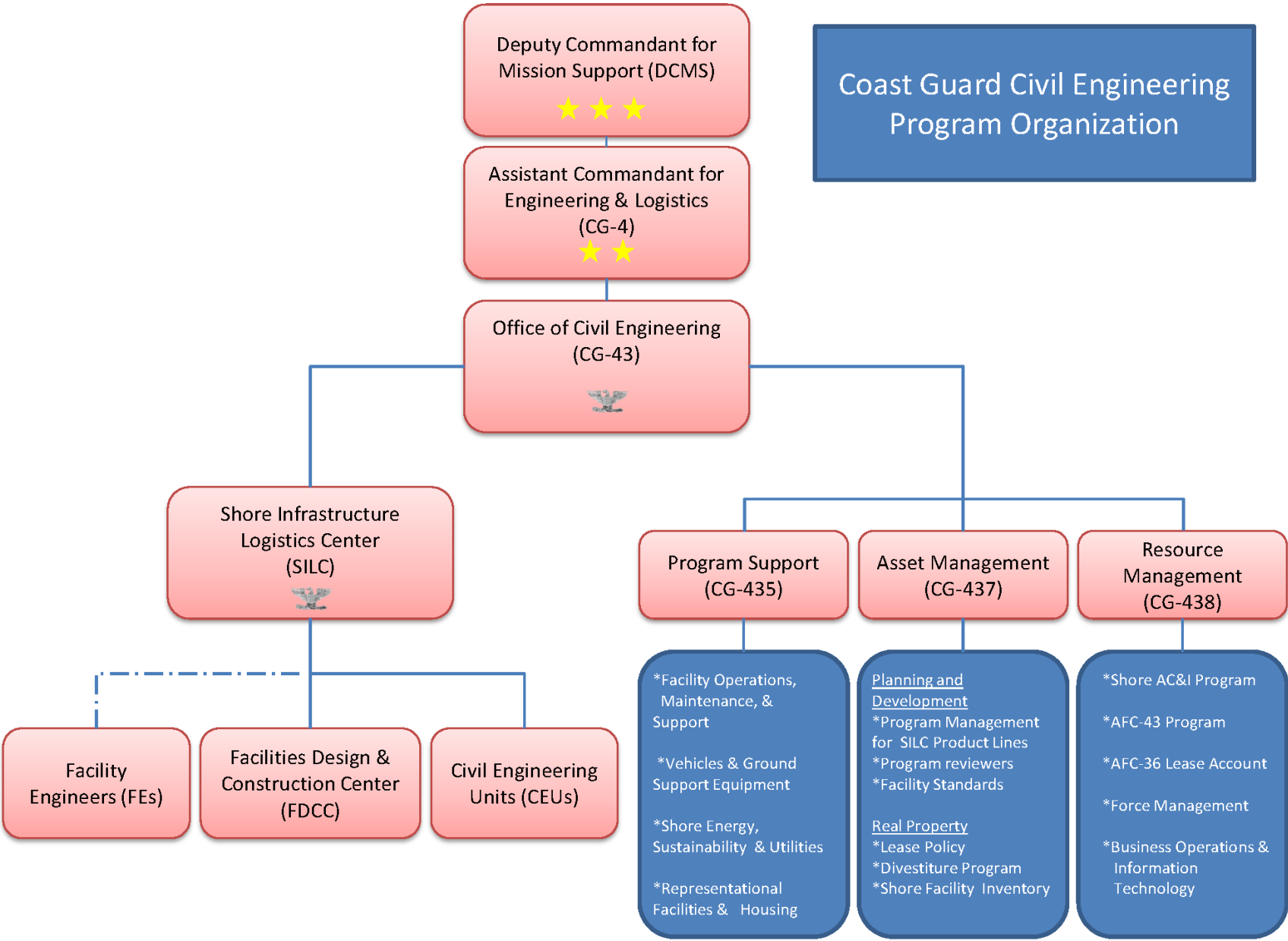


Figure 1-1. Civil Engineering Program Organization

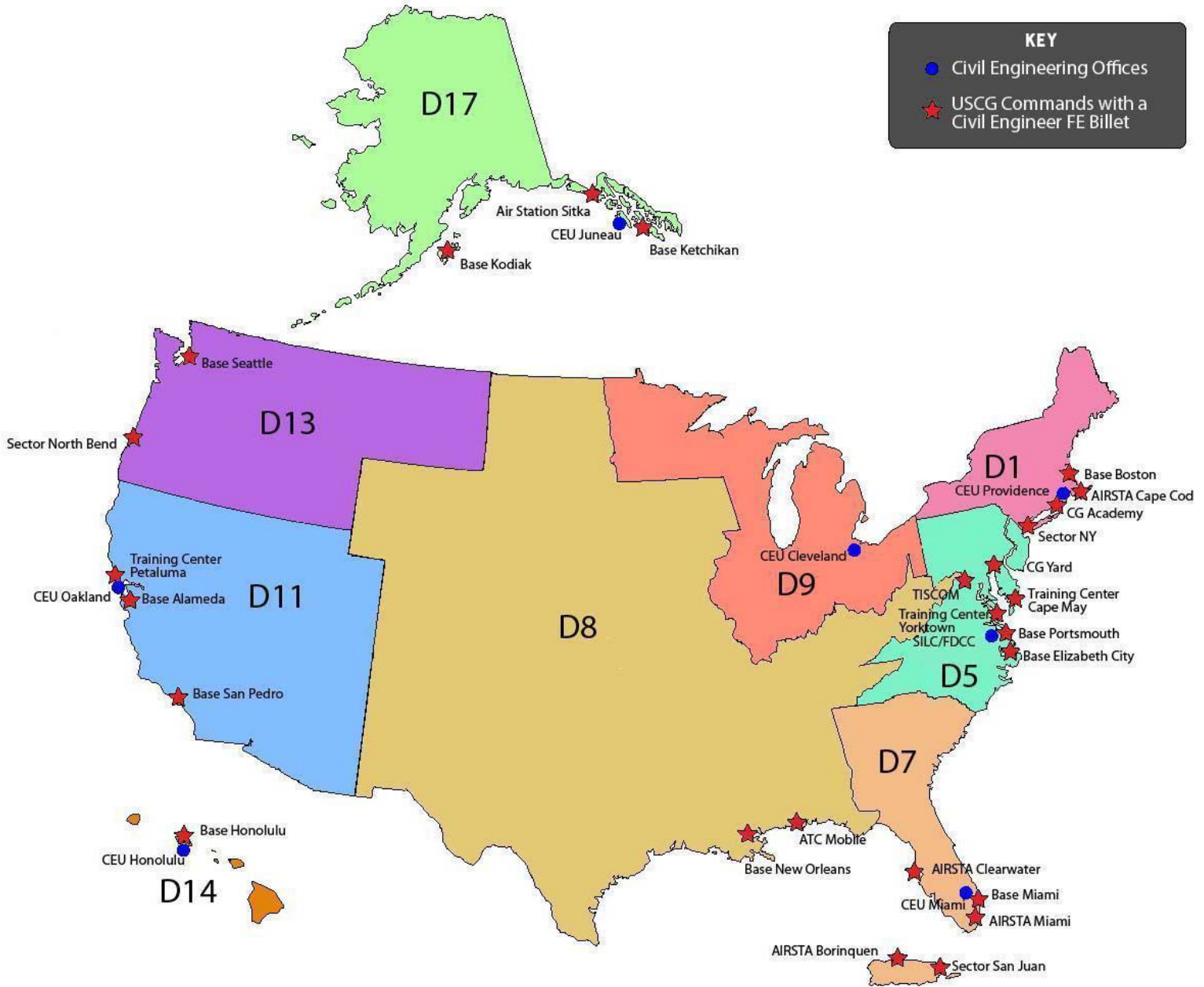


Figure 1-2. Civil Engineering Support

## CHAPTER 2. CIVIL ENGINEERING RESOURCE MANAGEMENT OVERVIEW

- A. PURPOSE.** As the manager of the Civil Engineering Program, Commandant (CG-43) is responsible for the effective use of assigned financial and personnel resources. This chapter describes the resources available and the framework by which they are managed.
- B. FINANCIAL RESOURCES.**
1. The Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), lists the funds generally available to the USCG Civil Engineering Program. The sources of these funds are:
    - a. Operating Expense (OE);
    - b. Acquisition, Construction and Improvement (AC&I);
    - c. Environmental Compliance and Restoration (EC&R);
    - d. USCG Exchange System (CGES);
    - e. Reimbursements from other government agencies; and
    - f. Private concerns such as the USCG Foundation.
  2. Individual projects will be classified by their funding source. The Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), identifies all funding source authorities and funding thresholds (i.e., OE). Exceptions are considered on a case-by-case basis and require approval by Commandant (CG-43) or Commandant (CG-47) (for EC&R funded projects).
- C. PERSONNEL RESOURCES.** Civil Engineering personnel are generally funded by the OE, EC&R, or AC&I appropriations. Personnel funded with AC&I and EC&R must perform the majority of their duties (in clear excess of 50 percent) in direct support of AC&I or EC&R projects. The use of personnel in support of their appropriations and a review of program accomplishments will be accomplished during a triennial management effectiveness visit as described below.
- D. MANAGEMENT EFFECTIVENESS VISIT PROGRAM/PROGRAM MANAGEMENT REVIEW.** Commandant (CG-43) will administer a Management Effectiveness Visit (MEV) Program to provide an exchange of information on current program issues and to evaluate the administrative effectiveness of a command. MEVs will be held at Shore Infrastructure Logistics Center (SILC), Civil Engineering Units (CEUs), Facilities Design and Construction Center (FDCC), and other major commands with civil engineering billets assigned. During the visit, Commandant (CG-43) will review practices and procedures to verify conformance with program requirements, objectives, and yearly stated performance metrics. Commandant (CG-43) will develop and maintain an MEV Program Process Guide that describes the procedures for MEVs.
- E. PLANT FUNDING MODEL.** Commandant (CG-438) is responsible for requesting follow-on funds for acquisition/construction of new assets. Follow-on funds for DLM, Organizational Level Maintenance (OLM), and energy are requested as a percentage of the Plant Replacement Value (PRV) of the new asset or as a percentage of the estimated project cost (refer to Chapter 10), whichever is greater.
- F. PLANT REPLACEMENT VALUE.** The Plant Replacement Value (PRV) is calculated in the Computerized Maintenance Management System (CMMS) using

an algorithm that is based on the facility size, category code, and area cost factor. In cases where the calculated PRV is believed to be inaccurate and this adversely impacts OE/AC&I funding determination, the project executing office or Product Line Manager may seek a correction to the PRV by submitting a PRV estimate by an independent Architect/Engineering firm to Commandant (CG-43) for approval. If approved, a note will be appended to the real property asset record in the CMMS of the corrected PRV (the CMMS PRV field will not be changed).

- G. COST ESTIMATES.** A cost estimate is a breakdown of the various anticipated project execution costs. Cost estimates are required for all civil engineering projects regardless of funding source. Planning cost estimates are important to USCG Headquarters (HQ) in the budgetary process so that adequate resources are requested from higher authorities. Government cost estimates are used to establish reasonable value for project variables. Cost estimates also assist in ensuring appropriate funds are used for a specific project and that statutory funding limits are not exceeded.
- H. PROJECT PRIORITIZATION.** The Civil Engineering Program is dedicated to ensuring all resources are prioritized in a transparent manner to provide affordable reliability and operational effectiveness of the shore plant, viewed from the enterprise level. Most available resources are prioritized by Planned Obligation Prioritization (POP) boards held at various levels with representation by all concerned stakeholders. The SILC will develop process guides addressing AFC-43 Regional POP (R-POP), AFC-43 Centralized POP (C-POP), Energy POP (E-POP), Demolition POP (D-POP), and the Planning POP (P-POP). Commandant (CG-43) will issue a board precept memorandum each year which outlines the specific criteria and factors to consider for project prioritization. The SILC process guides will address prioritization of demolition, energy, and physical security projects. Representatives from Atlantic Area, Pacific Area, DCMS, and Deputy Commandant for Operations (DCO) will participate as the principal voting members in the C-POP and AC&I P-POP as advocates for their project priorities. The SILC is the approving authority for the C-POP board results and Commandant (CG-43) is the approving authority for the P-POP board results. Commandant (CG-43) will use the P-POP results to update the Shore Facilities Requirements List (SFRL), further described in Chapter 5, Shore AC&I Program. The SILC Environmental Management Division (EMD), in conjunction with Commandant (CG-47), will develop and maintain a process guide addressing the EC&R POP process for prioritization of EC&R funded projects. Commandant (CG-43) will ensure that the results of the P-POP board are briefed to appropriate senior leadership through standing councils and budget boards for consideration in the budget build process.
- I. PROJECT MANAGEMENT.**
1. Project management is the application of knowledge, skills, tools, and techniques for activities to meet project requirements. The USCG CE program will strive to deliver products, services, and results that are within scope, on time, and within budget. To accomplish this, the CE program must follow effective project management principals and develop highly qualified project managers. Effective project management includes identifying requirements;



- establishing clear and achievable objectives; balancing the competing demands for quality, scope, time and cost; and adapting the specifications, plans, and approach to the different concerns and expectations of the various stakeholders.
2. The SILC will develop and maintain standard processes for Construction Project Management that:
    - a. Identify standard procedures for capturing and validating operational requirements for the project and system delivery.
    - b. Identify standard processes for developing project solicitations packages to include cost estimates, government requirements, schedule, and contract provisions.
    - c. Provide Quality Assurance/Quality Control measures for project execution, meeting operational requirements, and closeout.
    - d. Provide standard procedures for disposition of as-built drawings, maintenance manuals, warranties, drawings, maintenance instructions, and sample service contracts.
    - e. Identify standard procedures for updating the Shore Facility Inventory (RPUIDs) as part of project closeout.
    - f. Identify standard procedures for tracking environmental liabilities and remediation. For housing projects, forward all remediation documentation to the Area Housing Office in accordance with Paragraph 7.E.
- J. PERFORMANCE METRICS.** Focused and balanced performance measures will assist in the development of strategic objectives, guide the program towards meaningful goals, and ensure resources are being utilized effectively. At the beginning of each fiscal year, Commandant (CG-43) and SILC will identify and promulgate the performance metrics it will require for the fiscal year. SILC will collect and consolidate all submissions from civil engineering field units and submit the results to Commandant (CG-43). Results will be submitted based on the reporting requirements identified in the promulgation message.
- K. SPECIAL FUNDING FOR CATASTROPHIC LOSSES.** The SILC will establish standard processes for conducting damage assessments, providing initial response for shore facility damages, and a standard format for requesting special funding. The SILC will consolidate and validate the project list to ensure that funding requests contain a complete description of damage prior to forwarding to Commandant (CG-43).
- L. CASUALTY REPORTS (CASREP).** Shore facilities or shore equipment failures that impair or degrade mission execution must be documented. Shore units will submit CASREPs to report a shore facility equipment malfunction or building/structure deficiency that impairs the facility's ability to perform its primary or a secondary mission. The CASREP must be submitted in accordance with the CASREP Procedures (Material) Manual, COMDTINST M3501.3 (series) and CASREP Tactics, Techniques, and Procedures (TTP). Shore-related CASREP

messages will be addressed to Commandant (CG-43), SILC, the reporting unit's servicing CEU, and the Product Line Manager.

## **CHAPTER 3. SHORE ORGANIZATIONAL LEVEL (AFC-3X) MAINTENANCE PROGRAM**

### **A. PURPOSE.**

1. This chapter provides policy, responsibilities, and overarching guidance for the execution of Shore Infrastructure Organizational Level Maintenance (Shore OLM) program.
2. Shore OLM is executed to achieve and sustain the optimal life cycle of USCG real property assets (RPUIDs), to include buildings, structures, utility systems, and associated equipment. Shore OLM must be timely, cost-effective, executed in a safe manner, and provide consideration to environmental stewardship and sustainability. Proper Shore OLM will minimize the requirements for and prevent unscheduled/unprogrammed AFC-43 DLM. An effective Shore OLM program supplemented with a planned AFC-43 DLM program will:
  - a. Produce the lowest shore infrastructure Total Ownership Cost.
  - b. Decrease the need for capital investment by using existing facilities to their full life expectancy.
  - c. Provide greater reliability and availability of essential utilities and services as a result of properly adjusted and maintained "vital" dynamic equipment.
  - d. Increase workforce productivity.
  - e. Provide data and information to facilitate AFC-43 DLM maintenance decisions.
  - f. Provide data to develop and justify shore maintenance budgets.

### **B. RESPONSIBILITIES.**

1. The SILC is responsible for establishing, incorporating, and overseeing standard Shore OLM principles, standards, and procedures. The SILC will:
  - a. Provide USCG-wide authoritative guidance regarding OLM of all shore infrastructure.
  - b. Provide USCG-wide management systems for administration of Shore OLM and public works function.
  - c. Track and assess the Shore OLM program with shore unit Shore OLM Measures reports.
  - d. Establish standards and procedures for specialized administrative and technical functions.
  - e. Provide professional and technical advice, guidance, and assistance to all levels of command.
  - f. Establish Shore OLM core competencies.
  - g. Train Shore OLM representatives on proper Shore OLM procedures and practices.
  - h. Support Shore OLM budget resource requirements.

2. Commanding Officers and Officers-in-Charge are responsible to maintain adequate condition of all real property assets (RPUIDs) at their units. COs and OICs will designate a Shore OLM representative (normally the senior logistics or engineering petty officer) and will ensure the Shore OLM representative executes Shore OLM as required by the SILC.
3. Unit Facilities Engineers, Sector Logistics Departments, Public Works Departments, Engineering Officers and/or Engineering Petty Officers are responsible as designated to provide operation of the shore plant and shore maintenance through execution of SILC Shore OLM requirements and standard procedures.

**C. SHORE OLM PROGRAM FUNDING.** The SILC Product Lines/Asset Lines will have visibility on execution of Shore OLM Program resources. The Shore OLM Program will commonly be resourced with the following:

1. AFC-30 Operating And Maintenance Program. AFC-30 is the USCG's general operating and maintenance expense account. In general, any service, supplies, and materials used for routine, recurring operations and maintenance (O&M) of shore infrastructure is chargeable to AFC-30, regardless of cost. Non-recurring shore infrastructure repairs are also chargeable to AFC-30 when less than \$5,000. The Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), provides a complete discussion of expenses chargeable to AFC-30.
2. AFC-34. AFC-34 funds the operation and maintenance of USCG training and recruiting centers.
3. AFC-30 Housing Maintenance Program. AFC-30 provides resources for routine recurring operation and maintenance of USCG-owned family housing. AFC-30 is allocated to the SILC, who is responsible for allocating funds based on housing maintenance requirements and condition standards. The SILC will coordinate with Commander, Personnel Services Command (CG PSC) to establish the budget allocation strategy of AFC-30 resources to ensure maintenance and safety standards are maintained consistently across all USCG-owned family housing. CG-PSC must validate and submit an AFC-30 housing inventory report to Commandant (CG-1333) and Commandant (CG-43) annually by 30 June. Allowable AFC-30 expenses are found in the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), and the Coast Guard Housing Manual, COMDTINST M11101.13 (series).
4. AFC-30 for Services and Energy. AFC-30 funds water, sewer, trash, and energy services. AFC-30 funds are distributed annually to the Areas (for Area units) and Districts (for District units) via the USCG budget model.
5. Non-Appropriated Funds. Non-appropriated funds support CGES and MWR programs in accordance with the Coast Guard Nonappropriated Fund Instrumentalities (NAFI) Manual, COMDTINST M7010.5 (series), and the Coast Guard Morale, Well-Being, and Recreation Manual, COMDTINST M1710.13 (series).

**D. SHORE OLM PROGRAM REQUIREMENTS.**

1. Shore OLM Process Guides. The SILC must develop and maintain Shore OLM processes that Shore Units located in USCG-owned or leased facilities will use to guide execution of Shore OLM. The Shore OLM process guides must include the following:
  - a. Standard Maintenance Procedure Cards for Shore OLM.
  - b. Standard for periodic facility inspection practices to monitor condition of buildings and identify areas of concern.
  - c. Routine and preventive maintenance procedures and requirements for Shore Units to include the following building systems: heating, cooling, fueling, fire safety, plumbing, electric, and emergency systems.
  - d. Guidelines and procedures for managing all Shore OLM funds (AFC-30/30M/34) distributed to Shore Units.
  - e. A standardized process for requesting AFC-43 DLM support (i.e., how to request major maintenance).
  - f. A guide for how units in leased/permitted facilities request facility maintenance and alteration projects.
  - g. Procedures for tracking and responding to facility casualties.
  - h. Procedures for tracking and managing warranties associated with the shore plant.
2. Shore OLM Goals. The USCG's Shore OLM program will strive to achieve the following:
  - a. Perform routine preventive maintenance to prevent corrective maintenance required from unexpected breakdowns.
  - b. Assure that resources are used in the most efficient manner and applied to the highest priority needs to meet operational requirements.
  - c. Provide control over maintenance workforce performance.
  - d. Perform the proper level of maintenance consistent with program objectives and SILC defined standard levels of service.
  - e. Take corrective action before advanced deterioration necessitates major repairs.
  - f. Correlate the workforce capacity of each FE's AOR with its workload.
  - g. Obtain optimum shop forces alignment by trade skills.
  - h. Provide realistic basis for comparing maintenance job cost estimates with actual costs.
  - i. Provide data indicative of trouble areas requiring corrective management action.
  - j. Separate work generation and long-range job planning from components responsible for work performance.

- k. Plan and estimate job orders to a level of detail that clearly communicates to the executor of work the scope to be performed in a manner that can be properly scheduled.
  - l. Use levels of service to provide accurate, consistent benchmarks to assist in developing realistic work schedules and to evaluate performance.
  - m. Plan work over an extended period of time to permit maximum utilization of critical shop skills, to assure material availability, to allow for shop coordination, and to permit optimum contractor support.
  - n. Inspect shore facilities to identify maintenance and repair deficiencies, establish facility condition, and to ensure that critical work items can be corrected at the appropriate time.
  - o. Utilize inspection information to develop long-range repair plans.
  - p. Separate emergency and service work from continuing maintenance and repair work to minimize disruptions caused by small urgent jobs.
  - q. Schedule work to the shops or authorizing work to contractors to accomplish assigned tasks in an orderly manner within time constraints.
  - r. Apprise management of information necessary to determine problem areas and taking prompt management actions to correct the problem.
  - s. Provide quality assurance whether work is accomplished in-house or by contract.
  - t. Utilize information generated in the system to evaluate facility condition and to communicate this to all levels of command.
  - u. Ensure unit personnel have an understanding of facilities management principles and policies.
  - v. Inform customers of the advantages of submitting accurate and complete data to assure timeliness of processing requests for work accomplishment.
  - w. Provide status of work requests to unit stakeholders on a routine basis.
  - x. Ensure planning resources are available to assure acceptable public works support for the dollars available.
3. Shore OLM Performance Measures. The SILC will track and assess the Shore OLM program with shore unit Shore OLM Measures reports. The SILC will provide FE staffs and OLM representatives (Sector Logistics, Engineering Officers, etc.) with the OLM Measures report template during the first quarter of each fiscal year. Staffs must complete and submit the report to the SILC by the end of each fiscal year.

#### **E. SHORE OLM PROGRAM EXECUTION.**

1. Unit OLM Representative. Each USCG shore unit must designate a Shore OLM representative who will be responsible for coordinating the unit's Shore OLM activities to achieve the requirements and objectives outlined in this chapter.

2. Work Requests. The shore unit OLM representative will be the unit's authorized representative to coordinate work requests with the Civil Engineering Shore OLM maintenance staff. Designation of personnel authorized to submit work requests should be transmitted in writing to the Shore OLM maintenance staff. Records of such designations must be kept current. Work requests will be executed and processed in accordance with SILC Shore OLM process guides.
3. Use of CMMS. All USCG shore units will use CMMS (i.e., SAMs or current equivalent system) to manage Shore OLM as discussed in Chapter 9, Civil Engineering Information Management Program. CMMS provides automation of Shore OLM functions performed by facility maintenance staff and contains baseline maintenance procedure cards with preventive maintenance scheduling options.
4. Records Updates. All USCG shore units must maintain records of maintenance and repairs executed on each real property asset (RPUID) in CMMS. These records must provide sufficient detail to inform facility management decisions. Shore units will have copies of as-built drawings and plot plans for their real property assets and work with SILC to make updates as necessary. Official drawings will be maintained in the EDMS in accordance with Chapter 9, Civil Engineering Information Management Program.
5. Modifications to the Shore Plant. The CE program is responsible for maintaining a complete and accurate Shore Facility Inventory at all times. Therefore, the following modifications to the shore plant require SILC and/or Commandant (CG-43) approval prior to execution:
  - a. Increases or decreases to building square footage.
  - b. Changes to the measurement of a real property asset (RPUID) such as length, capacity, power, etc.
  - c. Removal of load-bearing walls or structures.
  - d. Repurpose of a real property asset (RPUID) or using the asset for other than its intended/original purpose.
  - e. Replacement of a real property asset (RPUID).
  - f. Improvement to or acquisition of a real property asset (RPUID).
  - g. Disposal/divestiture of a real property asset (RPUID).
  - h. Modifications to the configuration of a real property asset (RPUID) that affect the use or function of the asset including any changes that affected mechanical systems (HVAC, electrical, plumbing, etc.) or impact Life Safety codes including items such as fire protection, egress, and safety of personnel.





## **CHAPTER 4. SHORE DEPOT LEVEL (AFC-43) MAINTENANCE PROGRAM**

### **A. PURPOSE.**

1. The AFC-43 program supports Depot Level Maintenance (DLM) activities of the USCG Civil Engineering (CE) Program to ensure attainment of the required service life and intended purpose of all shore infrastructure assets. The AFC-43 program funds overhead costs in support of DLM, to include design and planning services, analyses and studies, inspections, and project travel. The program also supports limited improvements to the shore plant, referred to as Minor Construction Authority described in Paragraph 4.C.
2. Commandant (CG-43) is the AFC-43 Program Manager and is responsible for the policy, budgeting, management, planning, and execution of AFC-43 funds.
3. This chapter establishes policy for AFC-43 funds allocation, funds determination, and oversight controls to ensure funds are used in accordance with applicable laws, rules, regulations, and USCG policy.
4. This AFC-43 policy supports Chief Financial Officer (CFO) requirements to ensure funding determinations are properly documented for a complete and auditable trail. The approval levels ensure the projects are monitored from the planning stage to the completion stage to validate compliance at all levels.
5. The Shore Infrastructure Logistics Center (SILC) will develop and maintain the AFC-43 (DLM) Process Guide detailing the review and approval process required to ensure project funding from the appropriate funding source, compliance with existing operational and program needs, and proper evaluation with respect to the engineering requirements, cost estimating standards, and cost accounting requirements.

### **B. AFC-43 PROGRAM FUNDING AND ALLOCATION.**

1. AFC-43 budget authority is provided annually and accounts for congressional and USCG internal adjustments to the base allotment for recurring or one-time needs. The following are examples of recurring adjustments: Operating Expense (OE) follow-on funds for Acquisition, Construction, and Improvement (AC&I) projects, non-pay cost-of-living adjustments, and congressional adjustments. The following are examples of one-time adjustments: facility modifications required for new billets and divestiture hardening requirements. In addition, from year to year, the AFC-43 program may receive funding from other sources to support shore facility maintenance and repair needs (i.e., supplemental funds provided due to natural disasters such as hurricanes, tsunamis, earthquakes, flooding, etc.) or funding to support national security, such as Overseas Contingency Operations (OCO) activities. All funds received and executed as part of the AFC-43 program will be subject to the policies outlined in this Manual.
2. A portion of the annual AFC-43 appropriation may be used to fund major enterprise-wide initiatives (e.g., divestiture program, information systems initiatives, programmatic real property and facility planning efforts, etc.), as required and approved by Commandant (CG-43) prior to determining the Centralized Planned Obligation Prioritization (C-POP) levels.

3. An annual target amount of the annual AFC-43 appropriation will be managed centrally by the SILC and allocated using a transparent and collaborative C-POP process that focuses on the most critical shore infrastructure projects from a servicewide perspective. The C-POP will be executed in accordance with this Manual, the C-POP Process Guide, and the C-POP board precept provided annually by Commandant (CG-43). The SILC will finalize the C-POP results through a memo to Commandant (CG-43) for final approval.
4. A small portion of the annual AFC-43 appropriation may be held for Antecedent Liability (AL) and reserved for projects that may not be complete in the fiscal year awarded. AL funds will be withheld and used as outlined in Paragraph 4.F.2.
5. The remaining amount of the annual AFC-43 appropriation will be allocated to the Civil Engineering Units (CEUs) and Headquarters Facility Engineering Units (FEUs) with AFC-43 execution authority using SILC's AFC-43 funds allocation process. The remaining funds support projects through the Regional Planned Obligation Prioritization (R-POP) and managed by the Unit FEs and CEUs, with oversight by SILC and Product Line Managers (PLMs).

### **C. AFC-43 AND MINOR CONSTRUCTION AUTHORITY.**

1. General.
  - a. The primary purpose of the AFC-43 program is to perform DLM activities on existing shore assets. However, some growth and changes in the shore plant are necessary and expected to support changing mission needs. As such, Congress has traditionally provided the USCG with authority to use AFC-43 funds for minor construction projects referred to as Minor Construction Authority, not exceeding \$1,000,000 in total cost at any location. The Minor Construction Authority provides the USCG critical flexibility to allow for limited improvement, expansion, and alteration investments using AFC-43 funding.
  - b. This section defines the specific constraints, documentation, review, and approval requirements for AFC-43 projects in order to ensure that the USCG does not exceed the Minor Construction Authority provided by Congress.
  - c. The CE program anticipates receiving Minor Construction Authority within the annual OE appropriation, though the amount and terms could vary from one appropriation year to the next. To ensure that the USCG does not exceed the authority granted by Congress, Commandant (CG-43) must impose a lower dollar limit on the SILC than is provided by Congress in the appropriation. For example, based on the USCG's traditional authority of \$1,000,000 in total cost at any location, the SILC's Minor Construction Authority limit will be set at \$900,000 in total cost at any location. Commandant (CG-43) will issue a policy memo and update this Manual as required to reflect current authority provided by Congress.

- d. Commandant (CG-43) will establish and maintain a Minor Construction review process to ensure AFC-43 projects are executed in accordance with the Minor Construction Authority and USCG policy. Each AFC-43 project must be reviewed to determine the project's contribution towards the Minor Construction threshold in accordance with the AFC-43 DLM Process Guide.
2. Minor Construction Authority Funding Determination.
    - a. The decision on whether to use AFC-43 funds (as opposed to Acquisition, Construction, and Improvement (AC&I) funds) will be based on the scope and nature of the shore facilities project. A shore facilities project is defined in Paragraph 4.D. and Figure 4-1 provides a funding determination flowchart.
    - b. When using Minor Construction Authority, the program will consider the cumulative cost of all improvements to existing Real Property Unique Identifiers (RPUIDs), construction of new RPUIDs, and renewal costs which extend the service life of RPUIDs to meet a specific project intent not to exceed the authority. The Minor Construction contributions must not exceed the threshold throughout the life of the project.
    - c. The shore facilities work category definitions (Maintenance, Alterations, Code Compliance, Improvements, and Demolition) provided in the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), will be used to title projects, define project scope, assess and categorize project costs under the AFC-43 program. The SILC's standard naming convention must be used for all AFC-43 projects to ensure alignment within the work categories.
    - d. The following criteria will be used in making AFC-43 funding determinations (see Figure 4-1):
      - (1) Maintenance, Alteration, and Code Compliance. Maintenance (M), Alteration (A), and Code Compliance (C) work may be completed using AFC-43 funds for up to 50 percent of the Plant Replacement Value (PRV) (RPUIDs with a PRV up to \$1,900,000) or 45 percent of the PRV (RPUIDs with a PRV over \$1,900,000). When M+A+C work exceeds 45/50 percent of the PRV, the project is considered a renewal of the RPUID and the total project costs, including the Improvement (I) component (M+A+C+I) are limited to the Minor Construction Authority. The 45 percent for RPUIDs with a PRV over \$1,900,000 is an internal Commandant (CG-43) threshold to safeguard larger projects from exceeding the 50 percent threshold.
      - (2) Improvement. An improvement to a shore facility may include construction of a new RPUID or work that increases capability or capacity, or changes the primary use/purpose of an existing RPUID. The Improvement (I) component of a shore facility project, including changes during project execution, involving a single RPUID or multiple RPUIDs must not exceed the USCG's Minor Construction Authority.

- (3) Replacement In Kind. A Replacement In Kind is necessary due to failure, obsolescence, or normal wear and tear. Replacement In Kind of items that have failed or must otherwise be replaced may include minor technology refreshments when an identical replacement is not feasible. Technology refreshments may result in minor enhancements that improve reliability, maintainability, and/or reduce maintenance costs. Replacement In Kind is not intended as an improvement to capability or capacity. If the Replacement In Kind is for a component of a system or subsystem within an RPUID, the costs are categorized as maintenance and follow the criteria in Paragraph 4.C.2.d.(1). When a project includes complete Replacement In Kind of an RPUID, costs will be categorized as an Improvement (I) and will be limited to the Minor Construction authority.
  - (4) Existing Housing. The Improvement (I) component must not exceed \$50,000 per existing housing unit.
  - (5) New Housing. Any acquisition or construction of new housing, regardless of cost, will be funded using the AC&I appropriation.
  - (6) Land. Any acquisition of land, regardless of cost, will be funded using the AC&I appropriation.
  - (7) Fixed Aids to Navigation Structures. New fixed Aids to Navigation (ATON) structures into the inventory exceeding \$25,000 will be funded using the AC&I appropriation.
  - (8) New Construction. New construction based on a new mission or significantly changed mission requirement is limited to the Minor Construction Authority per Operating Facility (OPFAC), regardless of the number of RPUIDs affected.
  - (9) Thresholds. All thresholds must include related MAC&I work identified on the Separate/Severable (SS) Certification and OE Certification.
- e. Separate and Severable Concept. Strict scrutiny must be applied when the Minor Construction Authority is being used as the basis for funding more than one project within the same OPFAC. Separate and severable projects within a single OPFAC will not be packaged together as part of an acquisition strategy. If this occurs, Commandant (CG-43) approval will be obtained. This review and approval is required to avoid any perception that the Minor Construction Authority ceiling is being circumvented by spreading requirements across multiple related RPUIDs. Therefore, if a series of projects at an OPFAC are to be accomplished where the total Improvement (I) component exceeds the Minor Construction Authority, then the projects must be separate and severable. The following considerations are examples of factors that tend to support a determination that projects are separate and severable:
- (1) Projects are sufficiently geographically distinct that one could reasonably conclude that the projects are not at the same location;

- (2) Projects are developed through separate planning processes with distinctly different desired outcomes;
- (3) Projects are comprised of RPUIDs that do not share common facility assets and functions, such as parking lots, community services, etc. (for example, maintenance and repair to a runway versus an improvement to a pier); and
- (4) Each project provides a complete and usable facility without any additional project being necessary. This is a requirement for all AFC-43 DLM projects.

By default, when work is being completed through a specific project on multiple RPUIDs within the same contract, the work is considered related and not separate and severable unless the work on the RPUIDs is geographically dispersed.

### 3. AFC-43 Project Documentation Requirements.

- a. All decisions regarding shore project AFC-43 funding determinations will be documented and filed in support of any followup review and/or audit. The Minor Construction Authority is not meant to be a substitute or replacement for the normal AC&I planning process. Prior to project approval, the reason(s), need(s), or condition(s) for the use of the Minor Construction Authority will be justified and documented in the project file.
- b. The AFC-43 project executing office is responsible for ensuring that the appropriate level of documentation is submitted for each project. Each AFC-43 project will be documented as described below to ensure compliance with USCG policy and Minor Construction Authority. The SILC will document the process and details to prepare the following documentation in the AFC-43 DLM Process Guide:
  - (1) Operating Expense Certification. The Operating Expense (OE) Certification is a breakdown of the M, A, C, I, and D work components of each RPUID affected by the project. The sum of the M, A, and C work components are compared to the RPUID's PRV to determine contributions towards the Minor Construction threshold, along with improvements. The OE Certification is required for all AFC-43 funded projects and will be produced through Computerized Maintenance Management System (CMMS).
  - (2) Separate and Severable Certification. The Separate and Severable (SS) Certification provides a review and analysis of all AFC-43 contracting activities for an OPFAC by documenting all active and completed projects within the past 12 months. This review serves to ensure that work from other projects at the OPFAC that is related to work on the project under consideration is accounted for when determining contributions to the Minor Construction threshold. The SS Certification is required for all AFC-43 funded projects and will be produced through CMMS; it performs three reviews:
    - (a) Documents M+A+C work on related RPUIDs;

- (b) Documents work on other RPUIDS that are related to meet the project intent; and
- (c) Documents the cumulative Improvements at the OPFAC for the current fiscal year.

The SS Certification is required for all AFC-43 projects and will be produced through CMMS.

(3) Project Development Submittal. A Project Development Submittal (PDS) (projects \$750,000 or greater) or PDS Lite (projects \$500,000 to \$749,000) is a package which documents the project scope and purpose, Minor Construction reviews, environmental documentation, drawings, and other items as necessary. A complete detail list is contained in Figure 4-2. See Paragraph 4.C.4.b. for exceptions.

- c. The SILC will ensure projects deemed to be separate and severable, not otherwise packaged together as part of an approved acquisition strategy, where the cumulative Improvement (I) component for the current FY exceeds the Minor Construction Authority at an OPFAC are documented and approved. The SILC will forward documentation for these projects to Commandant (CG-43) for approval. This review/approval process validates that work across multiple RPUIDs or through multiple contracting actions is separate and severable or within the project's intent (within the Minor Construction Authority). This process is required to avoid any perception that the Minor Construction Authority is being circumvented by spreading requirements over multiple related RPUIDs or through multiple contracts for new starts or new initiatives.
- d. By default, when work is being completed through a specific project on multiple RPUIDs within the same contract, the work is considered related and not separate and severable, unless the work on the RPUIDs is geographically dispersed.

4. AFC-43 Project Approval Authorities.

- a. Initial Project Approval. The following is the project approval authority for AFC-43 projects. Project approval levels must consider all related AFC-43 work identified on the OE/SS Certifications to determine the appropriate documentation and approval requirements. This should also include funding from other sources (AFC-30, AFC-42, EC&R, NAF, etc.) and should be detailed in the PDS submission (not on the OE-SS Certifications).
  - (1) Under \$175,000 requires an OE/SS Certification approved at the executing unit and filed locally.
  - (2) Equal to or greater than \$175,000 and less than \$500,000 requires an OE/SS Certification approved at the executing unit with a copy to the SILC.

- (3) Equal to or greater than \$500,000 and less than \$750,000 with no Minor Construction contributions requires a memo including project scope and purpose and OE/SS Certifications approved at the executing unit with a copy to SILC and Commandant (CG-43).
  - (4) Equal to or greater than \$500,000 and less than \$750,000 with Minor Construction contributions requires a PDS Lite approved at the SILC with approval copy to Commandant (CG-43).
  - (5) Equal to or greater than \$750,000 requires a PDS with SILC endorsement and Commandant (CG-43) approval.
  - (6) Equal to or greater than \$50,000 per housing unit (includes REPFACs) requires a PDS with SILC endorsement and Commandant (CG-43) approval.
  - (7) Equal to or greater than \$900,000 of cumulative Improvements (does not include M+A+C over 50 percent of the RPUID's PRV) within the FY at the OPFAC level requires a memo with an SS Certification documenting projects are separate and severable with SILC endorsement and Commandant (CG-43) approval.
  - (8) SS projects within a single OPFAC should not be packaged together as part of an acquisition strategy. Commandant (CG-43) approval is required when SS projects are planned or conducted at the same OPFAC within the same contract, regardless of cost.
  - (9) OE and SS Certifications for projects costing \$500,000 or greater require signature of the executing unit's CO. This is a clarification to specifically detail who must sign the OE/SS Certifications at a particular funding level.
- b. Approval Process and Documentation Requirements. A flowchart on the approval process and documentation requirements for the initial approvals for AFC-43 projects is shown in Figure 4-2. The following are exceptions to the approval process:
- (1) Projects solely to perform demolition of an RPUID or dredge a waterway will require an OE Certification if costs are \$175,000 or greater, but no PDS/Lite is required.
  - (2) Projects under \$500,000 contributing any level of AFC-43 toward an Energy Savings Performance Contractor (ESPC), Utility Energy Service Contracts (UESC), assets the USCG does not own, or applied toward Information Technology (IT) initiatives which may result in corporate IT decisions/policy: require a memo with OE/SS Certifications (when applicable) approved at the SILC, copy Commandant (CG-43). Projects \$500,000 and greater require SILC endorsement and Commandant (CG-43) approval. Typically, IT support costs should be funded with AFC-30 funds, but in rare cases it may be prudent to apply AFC-43 funds.

- (3) Projects \$750,000 and greater for miscellaneous services (i.e., planning studies, contract services, product line initiatives, etc.) must be submitted via a memo through the SILC to Commandant (CG-43) for approval to document the funding decision. The memo must describe the requirement and document the benefits of the required services.
  - c. Projects requiring SILC or Commandant (CG-43) approval will be submitted as early as possible, but no later than 30 days prior to contract award. PDSs for current year execution must be submitted no later than 15 April. Projects after this date that are urgent or unplanned should be minimal and justified.
5. AFC-43 Project Approval Authority Prior and During Execution.
  - a. Additional approvals are required to monitor projects to ensure they remain within the AFC-43 funding authority and to provide oversight for consistency in applying the funding authority.
  - b. If a proposed contract modification or the receipt of bids results in a change to the project's approval level, the unit is required to prepare the appropriate documentation and obtain the appropriate approval level prior to award.
  - c. If final payment (i.e., post-construction claim) or interest charges will cause project costs to meet or exceed \$500,000, the unit will prepare OE and SS Certifications documenting the change with a copy to the SILC and Commandant (CG-43).
  - d. If an approved PDS/PDS Lite has a change in scope (i.e., MACID) or a PDS results in a cost increase above 20 percent of the approved amount, the PDS/PDS Lite must be resubmitted for approval, documenting all changes.
  - e. To assist with monitoring the Minor Construction threshold contribution, all projects which required a PDS (greater than or equal to \$750,000) must complete an OE Certification (only) for all contract modifications to support the funding decision. The OE Certification must be completed prior to the award of a modification to document the current status of the project and filed at the local unit. Only the final (construction complete) OE Certification will be forwarded to the SILC and Commandant (CG-43) (to include PDS Lites) unless the modification causes the project to meet the criteria of Paragraph 4.C.5.d.
  - f. PDS and PDS Lite approvals with options or phases must be resubmitted each year to document compliance with the Minor Construction Authority. The PDS/PDS Lite will document all changes and must include actual costs for any prior fiscal year awards on the OE and SS Certifications.
  - g. Previously approved PDSs/PDS Lites not executed within the fiscal year may proceed for award in the following year if the following conditions apply:
    - (1) There is no change in scope;



- (2) The award is within 20 percent of the approved amount; and
- (3) The appropriation has the same authorities as in the previous year.

The executing office must submit notification via email to SILC/Commandant (CG-43) no later than 5 working days prior to award. If there are any changes to the status of projects reviewed/validated on the SS Certification, a revised copy of the OE and SS Certification must be forwarded with the notification of award. If there are any changes in the scope or the award amount exceeds 20 percent of the approved amount, a complete package must be submitted.

#### **D. AFC-43 PROJECT CLASSIFICATION.**

1. **Project Funding.** A project is defined as the total scope of all related work across all impacted RPUIDs to accomplish a specific outcome (project intent). Project estimates must consider all AFC-43 costs (i.e., phased, options, contingency cost, etc.) associated with the project outcome. If the project involves other funding sources (AFC-42, AFC-30, AFC-36, EC&R, etc.) to meet the project outcome, these funds must be included in the overall project cost to determine the appropriate approval level.
2. **Project Phasing Factors.** Project phasing may be used for larger projects to accommodate work schedules (housing, barracks, basewide maintenance repair work, etc.) and to ensure efficient use of available resources.
  - a. A project is considered phased based on known required work to meet a specific intent/outcome and may include the following factors:
    - (1) Work is within a common geographic location;
    - (2) Work is of the same nature;
    - (3) Work is on assets of the same type; and
    - (4) Work is completed through the same planning process.
  - b. The executing unit will determine whether phasing is advantageous and cost-effective given the following requirements.
    - (1) Each phase must be a complete and usable portion of the entire approved project. Complete and usable means fit for use, convenient to use, or that which can be used. Phasing requires approval of the entire known project scope at a total estimated cost for all phases of the project. In some cases, a phased project may also require multiple work elements on different asset types to meet a specific project intent.

- (2) Projects with no Minor Construction component that are planned to be executed across multiple fiscal years under separate contracts due to project scheduling or the availability of funding, will not be required to be tracked as a phased project (since there is no risk of exceeding the Minor Construction threshold). The work will be considered related on the Separate and Severable Certification if the completion date is within the 12-month period, to include ongoing work. If the project has any level of Minor Construction contribution, all work must be tracked as a phased project to ensure the Minor Construction threshold is not exceeded and to eliminate any perception of circumventing the Minor Construction threshold. Also, if the project spreads M+A+C costs over multiple FYs against the same RPUIDs, it must be tracked as a phased project to monitor the M+A+C cost.
- (3) A phased project that starts out as maintenance but is later altered to include a cost(s) that contributes toward the Minor Construction threshold (regardless of dollar amount) must be tracked as a phased project for the remaining work. Project documentation and approval levels will be based on the remaining total cost of the project.
- (4) A phased project with any level of Minor Construction cost must reflect all phases of work on the OE/SS Certifications and reflect the RPUID's PRV at time of approval/award for the individual phases to ensure the project continues to meet the AFC-43 funding determination.

#### **E. AFC-43 PROJECT COST ESTIMATING.**

1. AFC-43 project cost estimates will be developed in a standard format to provide consistency in the review and approval of projects. All project cost estimates must be broken down by RPUID and work categories (MACID) as described in further detail in the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series).
  - a. Maintenance, Repair, and In-Kind Replacements (M);
  - b. Alterations (A);
  - c. Code Compliance (C);
  - d. Improvements (I); and
  - e. Demolition (D).
2. The SILC will develop and maintain procedures to ensure consistency of AFC-43 cost estimating and formats. The procedures will be outlined in the AFC-43 DLM Process Guide or other process guides as appropriate.

**F. AFC-43 PROGRAM EXECUTION.****1. AFC-43 Construction In Progress and Capitalization.**

- a. Construction in Progress (CIP) is a temporary asset account that consists of project costs used to construct, fabricate, or assemble real property either through an outside vendor/contractor, or in-house USCG resources. After construction, fabrication, or assembly is complete, the CIP account will be relieved of the cost incurred and the asset(s) will be capitalized.
- b. Capitalization is the recording and carrying forward of an expenditure into one or more future periods (useful life of 2 years or more) which results in expensing the cost of an asset over the remainder of its useful life by matching the benefits gained from the expenditure with associated cost.
- c. All projects with an initial award or modification(s) where the project cost totals \$175,000 or greater will be reviewed for potential CIP. If the project meets any one of the following criteria, the project will be established as a CIP project.
  - (1) Improvements greater than or equal to \$175,000 per RPUID.
  - (2) M+A+C greater than or equal to \$175,000 per RPUID and greater than or equal to 50 percent of the RPUID's (PRV).
- d. OE Certifications meeting criteria above must provide the contract number, line of accounting, OPFAC site number, and project manager in the OE Certification comments section. This will enable USCG Finance Center (FINCEN) to establish a link between the CIP project and contract award to track and monitor invoices passing into the CIP project. The project manager will be the person responsible for submitting the final OE Certification upon completing and validating the final cost per RPUID/MACID.
- e. The SILC will include specific actions to be followed for determining, documenting, and reporting potential capitalized projects in the AFC-43 DLM Process Guide.

**2. AFC-43 Antecedent Liabilities.**

- a. The term Antecedent Liabilities (AL) refers to funds that are expired and reserved for use for projects that may require changes after award. AL will be utilized only for in-scope project changes and expenditures.
- b. Projects executed with AFC-43 funds range from simple maintenance and repair jobs to extremely complex projects with multiple work components which can take months to complete. If it appears a project may not be complete within the fiscal year it is funded, the project manager must consider if there is potential for within scope changes (due to changed/unforeseen site conditions, government caused delays, etc.) that would require AL funds.

- c. Each year the AFC-43 program must evaluate projects that will not be completed by the end of the fiscal year and estimate the potential remaining funding requirements needed to complete the projects to meet the original project intent. AL estimates will be based on the completion rate, project complexity, and local modification rates.
- d. Congress and Department of Homeland Security (DHS) require the USCG to minimize aggregate closeout unobligated balances. The AFC-43 program will make every effort to award large complex projects early in the FY to reduce significant AL requirements and to close out as many projects as possible by yearend.
- e. Units must minimize the amount of funds required for AL and only consider requests that are necessary to ensure the work meets the initial project intent and provides complete and usable assets (i.e., fit for use, convenient to use, or that which can be used).
- f. Units must process AL request and obtain approvals in accordance with the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), and the SILC’s AFC-43 DLM Process Guide.

3. AFC-43 Spend-Down.

- a. The AFC-43 program maintains aggressive spend-down targets to position the program for additional yearend or supplemental funding. The internal spend-down targets will ensure the program meets or exceeds the minimum Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), requirements and eliminates potential penalties that may be imposed. The following are the minimum spend-down targets for the AFC-43 program:

| By (Date)   | Percentage of SILC budget allotment to be obligated* |
|-------------|--|
| December 31 | 25%  |
| March 31    | 55%  |
| June 30     | 85%  |
| August 15   | 100%   |

\*Excludes Emergency Repairs (typically 2 percent) that may be required through September 30 and minimal AL Reserves.

- b. When operating under a Continuing Resolution (CR), a minimum budget allotment is provided for a specific timeframe (based on historical budget levels). The funding levels are typically less than the expected FY budget allotment and may be limited based on USCG priorities. During a CR, the entire amount of AFC-43 funding provided within a specified timeframe will be obligated during that timeframe; otherwise, the funds will be reprogrammed for other USCG uses.

**G. REVISED PLANT REPLACEMENT VALUE.**

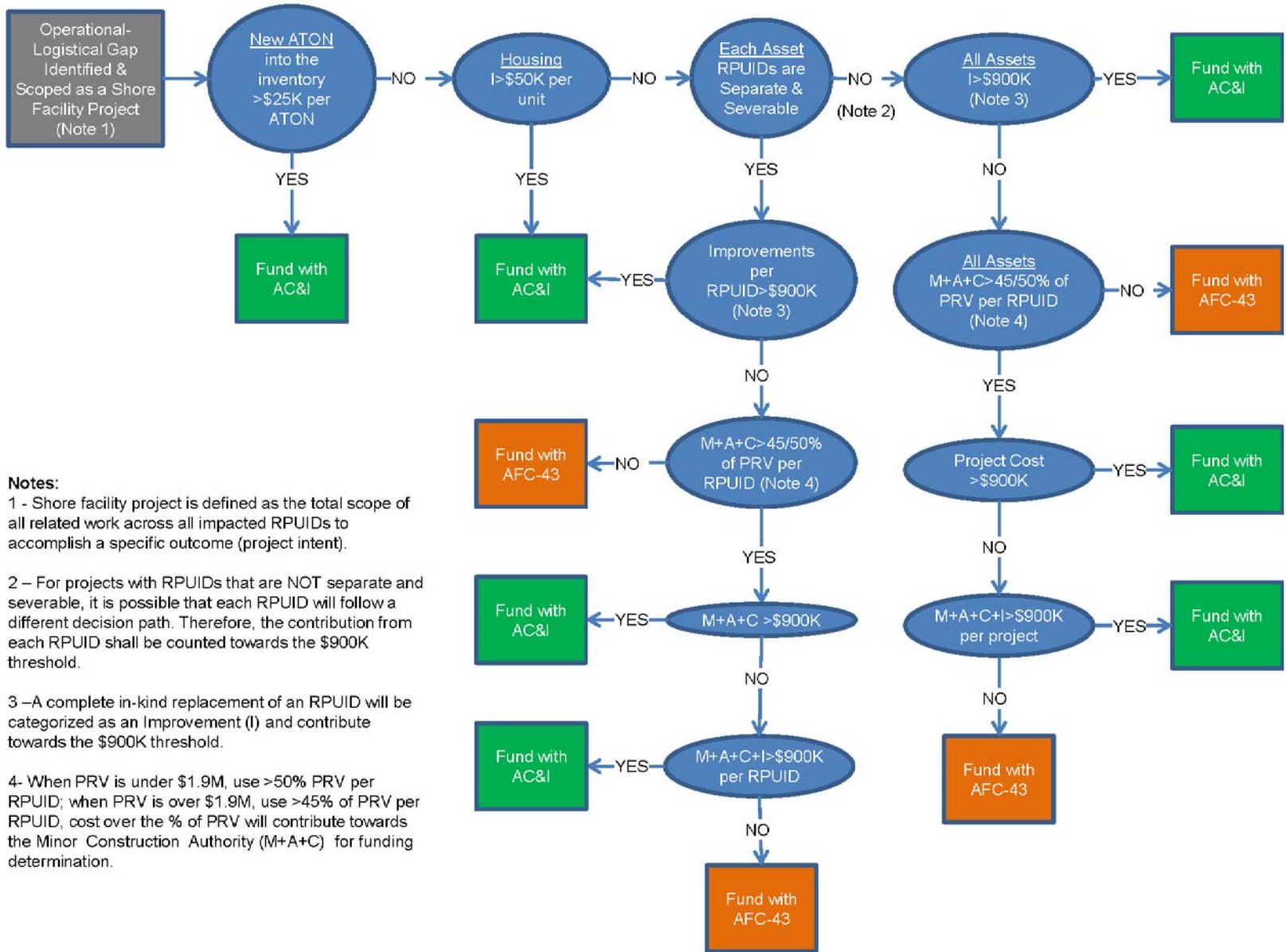
1. The PRV is maintained in the CMMS as described in Chapter 2. The PRV formula provides an approximation of our shore value. The PRV formula for certain category codes may under-value assets; therefore, in cases where it adversely impacts making an OE/AC&I funding determination, units may seek relief by submitting an independent Architect/Engineer calculated PRV through the Product Line Manager (PLM) and SILC for Commandant (CG-43) approval.
2. If the Independent Architect/Engineer revised PRV is approved, the revised PRV will be entered into CMMS by Commandant (CG-43) for informational purposes only (the CMMS PRV will remain unchanged). The PLM/SILC will use this information to determine if future changes are required to the PRV formula.
3. PRVs will be updated on a regular basis through the CMMS, typically at the beginning of the fiscal year. When a project is approved/awarded, the PRV at that time must continue to be used throughout the life of the project to ensure the project continues to meet the OE/AFC-43 funding criteria. Phased projects will be handled in the same manner and funding determinations will be based on the current PRV for the phase being executed within the FY. Prior work on a phased project will be based on the PRVs at time of approval/award. This will allow the use of updated CMMS PRVs for future phases while maintaining the original methodology used for the prior work. This provides an auditable trail for funding determinations. OE/SS Certifications will need to be manually changed to reflect the appropriate PRVs at time of project approval/award.

**H. AFC-43 AND DEFERRED MAINTENANCE BACKLOG.**

1. The backlog is used as an indicator of the condition of the shore plant. The size and content of the backlog are important to effectively manage AFC-43 funds. Management objectives are to manage the backlog, not to eliminate it. Since the backlog is a function of need only, its size must be totally independent of both funding expectations and the capacity to execute. Projects must never be rejected because funding is assumed to be unavailable. Conversely, the object is not to pack the backlog with every conceivable project possible. The backlog needs to reflect a well-balanced program of maintenance and repair which will sufficiently meet the needs of the operational programs and properly maintain the shore plant.
2. The backlog is a list of documented deficiencies and preventive maintenance requirements for the shore plant. Projects are identified through facility inspections conducted at interval times depending on the shore facility type. Inspections are conducted by a trained staff engineer or contractor. The CE Units and HQ/Non-Area Major Command FE Units are responsible for ensuring the project represents a valid requirement and identifies the proper corrective action. Once the project is approved, the unit will enter the project in the CMMS with an estimated cost.

3. The backlog is maintained in CMMS and administered by the CE Unit or HQ/Non-Area Major Command FE. The backlog must be continually reviewed and updated to ensure accuracy. Changes are recorded in CMMS to appropriately reflect the status of projects as they move through the various stages from planning to completion, along with new requirements.
4. The Deferred Maintenance backlog differs from the entire AFC-43 backlog by excluding projects for the following work categories: alterations, code compliance, improvements, and demolition. The Deferred Maintenance backlog is a list of Child Work Orders that are categorized as Maintenance which are not currently awarded. The Deferred Maintenance estimate is reported quarterly on the USCG's financial statements for informational purposes only. The following is the criteria for identifying a Deferred Maintenance project:
  - a. Corrective maintenance that corrects a deficiency to an asset that remains in service but may have potential to impact fulfilling daily operational missions;
  - b. Emergency maintenance deficiencies that correct a loss of capabilities having an immediate impact on fulfilling daily operational missions;
  - c. Event maintenance which is a category of preventive maintenance whose frequency is based on asset/equipment performance (i.e., engine hours, pressure readings, etc.). Only qualifies as deferred maintenance when project has not been completed based on scheduled interval; and
  - d. Preventive maintenance which is based on a schedule where the frequency is based on time/calendar. Only qualifies as deferred maintenance when project has not been completed based on scheduled date.
5. The backlog data is used extensively to assist in various budget functions in support of additional resources or to prevent rescissions/reduced funding levels. The data also is used to answer internal (Commandants (CG-4), (CG-8), DCMS-8, etc.) and external (DHS, Office of Management and Budget (OMB), House/Senate, etc.) inquiries, typically with little time to respond. Therefore, it is imperative the information be as complete and accurate as possible to eliminate duplication of effort with limited resources. The SILC will develop standard processes for documenting deficiencies and preventive maintenance projects to ensure complete and accurate data is being maintained in CMMS.

Figure 4-1. AFC-43/AC&I Funding Determination Flowchart



**Notes:**

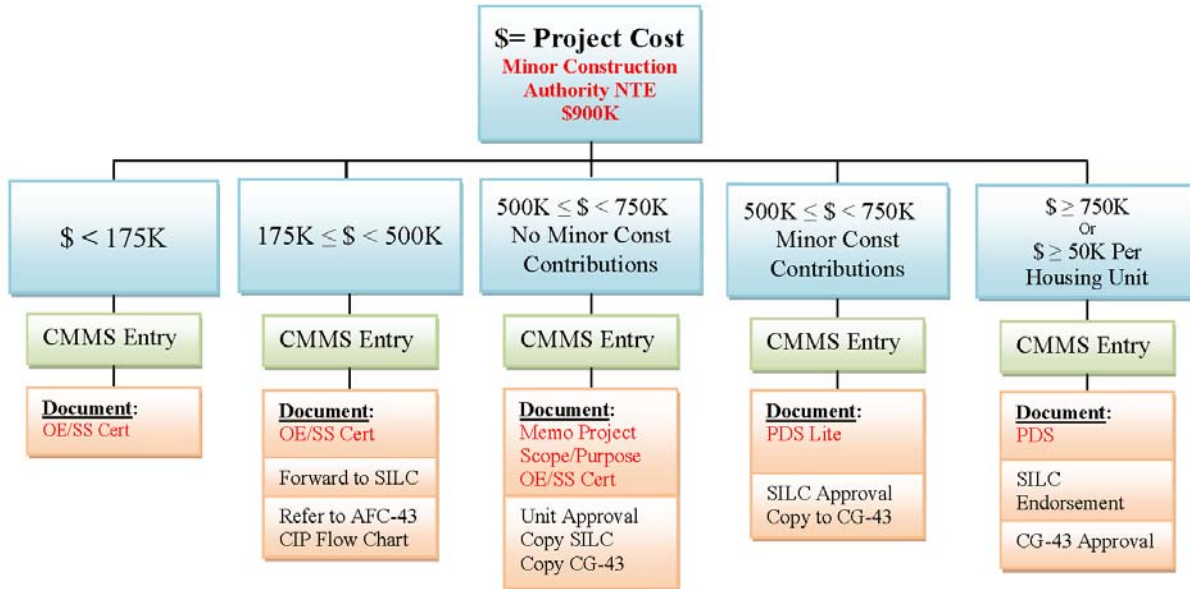
1 - Shore facility project is defined as the total scope of all related work across all impacted RPUIDs to accomplish a specific outcome (project intent).

2 – For projects with RPUIDs that are NOT separate and severable, it is possible that each RPUID will follow a different decision path. Therefore, the contribution from each RPUID shall be counted towards the \$900K threshold.

3 –A complete in-kind replacement of an RPUID will be categorized as an Improvement (I) and contribute towards the \$900K threshold.

4- When PRV is under \$1.9M, use >50% PRV per RPUID; when PRV is over \$1.9M, use >45% of PRV per RPUID, cost over the % of PRV will contribute towards the Minor Construction Authority (M+A+C) for funding determination.

Figure 4-2 AFC-43 Project Approval & Documentation Flowchart



**See section 4.E.3.b for exceptions.**

**General Note:**

Documentation requirement holds true for all stages of a project:

Example 1- If project enters new threshold category after contracting process (i.e. bids higher than IGE), appropriate documentation/ approval is required.

Example 2- If a proposed modification pushes a project into a new threshold category, appropriate documentation/ approval is required.

**PDS Documentation/Approval Requirements for Changes:**

- (1) Re-approval required annually for multi-year projects with phases and/or options.
- (2) PDSs not executed within fiscal year of approval that have no change in scope and with 20% of original approved amount may proceed with e-mail notification 5 working days prior to award.
- (3) Re-approval if cost increase >20% of original approval or major scope change impacting MACID.
- (4) Re-approval for any unforeseen changes causing project to exceed minor construction limit of \$900K.
- (5) Updated OE Certs, maintained locally, required for all mod's on projects= >\$750K
- (6) Final OE Cert for PDS/PDS Lites upon completion, forwarded to SILC & CG-43.

**PDS Lite Contents:** (1) Cover Memo, (2) Project Scope & Purpose, (3) Related Actions, (4) OE Cert & Cost Estimate Summary Forms, (5) Separate & Severable Cert, (6) Appropriate NEPA doc w/signature. (7) PDS Check List/Signed.

**PDS Contents:** (1) Cover Memo, (2) Project Scope & Purpose, (3) Related Actions, (4) Engineers Justification & Alternatives Considered, (5) OE Cert & Cost Estimate Summary Forms, (6) Separate & Severable Cert, (7) Applicable Drawings, (8) Appropriate NEPA doc w/Signature (9) PDS Check List/Signed.

Figure 4-2. AFC-43 Project Approval & Documentation Flowchart



## **CHAPTER 5. SHORE ACQUISITION CONSTRUCTION AND IMPROVEMENT PROGRAM**

### **A. PURPOSE.**

1. Shore Acquisition Construction and Improvement (AC&I) funds are used for major and minor shore construction projects on USCG-owned property, including housing, Aids to Navigation (ATON), utilities, and structures. Shore AC&I must be used on improvements to leases and on non USCG-owned infrastructure/land greater than the Minor Construction threshold (as determined by Congressional appropriations and authorizations).
2. Both Congress and the USCG require Commandant (CG-4) to establish administrative procedures that will define the manner in which it executes its annual appropriation. Congress does not specify these procedures in detail, but only requires that they be reasonable, accountable, and provide full disclosure of the agency's financial activities.
3. This chapter establishes the policy on executing shore facility projects with AC&I appropriations. Shore facility projects may be funded from several other sources such as Operating Expense (OE), USCG Exchange System (CGES), other governmental agencies, and private sources such as the USCG Foundation. Guidance to determine which shore facility projects should be funded from these sources may be found in their respective program-specific publications.

### **B. SHORE ACQUISITION CONSTRUCTION AND IMPROVEMENT PROGRAM FUNDING.**

1. Appropriations Structure. Funding for USCG shore construction is provided annually through the AC&I appropriation. The AC&I appropriation is multi-year funding, with funds available for obligation for 3 to 5 fiscal years from the day the appropriations are enacted. All projects and subprograms including Survey & Design (S&D), Minor AC&I, ATON, etc., are separate and distinct budget line items in the USCG Budget. Financial management and execution of the Shore AC&I Construction Program, including reprogramming of funds, is governed by the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series). Commandant (CG-831) is the Appropriations Manager for Shore AC&I Construction. Commandant (CG-43) is the Project Target Officer for Shore AC&I Construction.
2. Types of Funding.
  - a. Major Shore Acquisition Construction and Improvement Projects. Most AC&I projects are identified separately in the USCG budget submission to Congress. The project justification, scope, description, and cost are detailed on the USCG's budget sheet. The Shore AC&I project budget must include all requirements for a complete and usable operating facility including real property acquisition, construction, outfitting (furnishings and equipment), electronics, and demolition. Refer to Chapter 10, Shore Facilities Planning and Project Development, for further guidance on field planning for AC&I projects with the DD1391.

- b. Major Acquisition Systems Infrastructure Acquisition Construction and Improvement Projects. These projects are identified separately from Major Shore AC&I in the USCG's budget submission to Congress. The project justification, scope, description, and cost are detailed on the USCG's budget sheet. Major Acquisition Systems Infrastructure (MASI) project budget sheets include funding to satisfy all shore requirements for new USCG operational assets such as boats, cutters, and aircraft. These requirements include real property acquisition, planning, design, construction, outfitting (furnishing and equipment), electronics, and demolition. MASI funds the specific facility need of the new operational asset. If a legacy asset is being replaced, MASI typically covers the difference between existing shore capability and new requirements. For example: A new operational asset is being delivered to a new homeport. MASI covers 100 percent of all of the shore requirements to support that asset. However, if a new asset is replacing an existing operational asset in an existing homeport, MASI pays for the difference between existing infrastructure and the new asset's shore requirements. MASI projects must be planned in accordance with Chapter 10, Shore Facilities Planning and Project Development.
- c. Minor Shore Acquisition Construction and Improvement Projects. The purpose of this program is to provide funding for small scope AC&I projects. These projects are typically less complex, require less advance planning, and are easier to execute than Major Shore AC&I projects. Minor Shore AC&I projects must be between \$1,000,000 and \$3,000,000 to qualify. Awards cannot exceed \$5,000,000 for all related project costs including design, construction, outfitting, and electronics. Minor AC&I projects will be for new, emergent needs and/or are projects with costs that have the potential to exceed the OE/AC&I threshold and should be funded with AC&I to remain Antideficiency Act (ADA) compliant. Projects selected for the Minor Shore AC&I Program must result in a complete and usable facility. Minor AC&I funds cannot be combined with Major Shore AC&I; these are two separate and distinct appropriations. Commandant (CG-43) will develop and maintain a Minor Shore AC&I Process Guide detailing the process for requesting Minor AC&I funds.
- d. Survey and Design Funds. The Survey and Design Funds (S&D) Program provides funding for travel, real property acquisition, and expenses associated with project development, design, management, and execution of the AC&I Program. S&D also includes services after construction contract award associated with surveillance, submittal reviews, and field support. S&D funds exclude administrative expenses described in Paragraph 5.B.3.f. Commandant (CG-43) manages the overall S&D account and will request a spend plan of field requirements prior to the start of each fiscal year.
- e. Waterways Aids To Navigation. The Aids to Navigation (ATON) program improves aids-to-navigation which have become inadequate because of changes in waterway usage or due to U.S. Army Corps of Engineers (USACE) projects which affect the navigable waters of the

United States. Commandant (CG-43) manages ATON funding and execution strategies. Refer to Paragraph 12.E. for guidance on the execution of the ATON program.

- f. Reimbursable Projects. The Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), provides policy on reimbursable funds. Funds provided to or from other governmental agencies are classified as reimbursable funds. Reimbursable funds are only included in the USCG budget if the USCG is providing funds for a project. All project expenses, including administrative, planning, design, and overhead costs, are normally included in the reimbursable accounts.
  - g. Housing Program. The Housing Program supports the acquisition, construction, and renovation of USCG housing for use by active duty personnel and their families. Housing funds are appropriated in one of two ways:
    - (1) Congress can authorize the USCG to use funds in the USCG Housing account. These funds can only be used on housing.
    - (2) Congress can appropriate funds to the USCG as a portion of AC&I. These funds are treated like AC&I, but specifically used for housing projects.
  - h. Supplemental Funds. Congress may fund USCG infrastructure projects with a stimulus or supplemental appropriation. Supplemental appropriations are typically intended to restore facilities impacted by natural disasters (hurricanes, tsunamis, earthquakes, etc). Supplemental funds should be expended as quickly as possible to address the legislative intent. Refer to Chapter 10, Shore Facilities Planning and Project Development, for further guidance on executing supplemental AC&I funds with the DD1391 (Execution Proposal (EP)).
3. Shore Acquisition Construction and Improvement Project Funding Elements. Project funding elements listed below are for project execution purposes (and should not be confused with project elements or point accounts as listed in the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), and are included in the DD1391 cost estimating as described in Chapter 10, Shore Facilities Planning and Project Development). Remaining balances of Shore AC&I projects will be maintained by Commandant (CG-43) to ensure flexibility among project accounts. Requests for additional funds must be fully justified.
- a. Construction. This represents all costs to accomplish the construction (to include demolition or improvement) of an asset. Costs include such items as site remediation within the project boundaries as required for project execution, site work, exterior utilities, waterfront/marine construction, and building construction.
  - b. Contingency. Construction contingency funds will normally be provided upon request of funds availability at time of contract award. Construction contingency provides funds for modifications that are within scope of the original contract. The amount of construction contingency provided

is governed by such factors as scope of project, bid results, available funds, and reprogramming limitations.

- c. Furnishings & Equipment. Furnishings and Equipment (F&E) includes furniture, tools, office equipment, and other outfitting required to make a facility complete and usable. Funding is normally included in each Shore AC&I project for F&E. As a general rule, only F&E required as a direct result of the AC&I project to make the facility operational will be funded with AC&I funds. F&E for spaces not affected by the AC&I project must be procured with OE funds. All requests for F&E for a Shore AC&I project must include an itemized list which details types of items, cost, and uses/locations (e.g., galley, mess, administrative office, recreation room, etc.). The itemized F&E list does not need to identify models, colors, brands, etc. Consideration must be given to the following when estimating F&E requirements:
- (1) Maximum reuse of existing furnishings and equipment.
  - (2) Funding of only the highest priority items with AC&I funds.
  - (3) Procurement of replacement items with OE funds.
  - (4) Guidelines established for F&E are contained in Paragraph 10.G., Cost Estimating and Economic Analysis.
  - (5) In the event of cost overruns, the list must be categorized into Priority 1 and 2 items. Priority 1 F&E are the absolute minimum required to meet the mission, for example, the communications console and chair for a watchstander. Priority 2 F&E are all other items needed for a complete and usable facility, such as a chair for the break-in watchstander and kitchenette appliances.
- d. Electronics. Electronics costs cover the installation and acquisition of the electronic equipment necessary to outfit the facility (if not included in the construction contract). Electronic costs will include communications equipment, telephones, and computer systems. The electronics required for a shore project will be included in the DD1391 in accordance with Chapter 10, Cost Estimating and Economic Analysis.
- e. Modifications. Modifications are changes not identified in the original project scope, are not required to provide a complete and usable facility, and/or are requests from the end users after the DD1391 Project Proposal Report (PPR) has been approved and/or after the contract has been awarded. All modifications not identified in the DD1391 PPR must be routed to Commandant (CG-43) for approval before funding will be authorized.
- f. Administrative. Administrative costs include travel, inspection services, licensing, Leadership in Energy and Environmental Design (LEED) certification, commissioning, and other ancillary funds needed to execute the project.
- g. Antecedent Liability. If it begins to appear that a project may not be completed within the approved financial appropriation timeframe, the local funds manager will reserve funds for Antecedent Liability (AL) to

ensure the availability of funds to provide a complete and usable facility until the contract is closed. AL funds cannot be reprogrammed for use on any other project. After the project contract is closed, all remaining AL funds will be returned to the U.S. Treasury.

- h. Other. Other costs may include relocation and establishment of temporary facilities during construction (if not included in the construction contract). Refer to Chapter 10, Shore Facilities Planning and Project Development for further guidance on cost-estimating.
4. Carryover. The size of the unobligated balance and the execution schedule weigh heavily in decisions concerning USCG budget allowances and funding levels. All unobligated account balances are in danger of recission or reprogramming at the end of the fiscal year.

### **C. ACQUISITION CONSTRUCTION AND IMPROVEMENT FUNDING DETERMINATION.**

1. AFC-43/AC&I Funds. Projects with a cost that exceeds the USCG's Minor Construction threshold that increase capacity, capability, or extend an asset's service life are typically funded with Shore AC&I. Refer to Chapter 4, Shore Depot Level (AFC-43) Maintenance Program, for specific guidance on determining if a project is to be funded with AFC-43 or AC&I.
2. AFC-30/AC&I Funds. Tenant improvements to USCG or GSA-leased facilities in excess of the Minor Construction Authority (described in Chapter 4) are funded with AC&I. Tenant improvements within the Minor Construction Authority are funded with AFC-30 funds. Furnishings for projects greater than the Minor Construction threshold are funded with AC&I; for projects less than the Minor Construction threshold (total project cost) furnishings are funded with AFC-30.
3. Combination of Acquisition Construction and Improvement and Operating Expenditures.
  - a. Request a waiver from Commandant (CG-831), through Commandant (CG-43), to execute any of the following:
    - (1) To start OE funded improvements or renovations to a Real Property Unique Identifier (RPUID) within a 12-month period following the completion of a related AC&I project.
    - (2) To combine OE and AC&I funds on a single contract.
    - (3) To use OE and AC&I funds on concurrent contracts for one RPUID.

- b. OE and AC&I, or multiple AC&I PPA/appropriations funded project elements may be combined in a single construction contract. The Request for Proposals (RFP) and contract documents for combined contract funding must be structured to permit a clear delineation between the expenditure of multiple appropriations. Separate accountability of obligations for modifications and progress payments must be maintained. Use of this practice must be limited only to those projects where it is clearly advantageous, practical, and cost-effective to the USCG. Care must be taken to ensure that even the perception of executing incremental projects or improper mixing of appropriations is avoided.

**D. ACQUISITION CONSTRUCTION AND IMPROVEMENT PROJECT PRIORITIZATION.**

1. General. Each year the USCG submits a budget to the Department of Homeland Security (DHS) which includes a 5-year Capital Investment Plan. The Capital Investment Plan outlines the USCG's fiscal requirements including shore facilities, cutters, aircraft, and other major acquisitions. Commandant (CG-43) submits the Shore Facilities Requirement List (SFRL) for inclusion into the USCG's Capital Investment Plan. The SFRL is a list of all approved Shore AC&I projects, both prioritized and unprioritized.
2. SFRL Project Planning Requirements. The SFRL is prioritized to ensure that Shore AC&I is appropriately applied to support the USCG's missions and operational needs. The SFRL is divided into two distinct sections: prioritized and unprioritized projects. The projects on the prioritized list generally have approved DD1391 (PPR) and Planning Proposal (PP) level documents with Shore AC&I needed to execute the preferred alternative. All unprioritized projects must have approved DD1391 Problem Statement (PS) level documents. See section Paragraph 5.D.4. regarding prioritization of the SFRL.
3. Uses. The SFRL has a variety of uses in the field and at headquarters, which are summarized as follows:
  - a. Field. At the field level, the prioritized portion of the SFRL will provide guidance on where the project falls in comparison to other Shore AC&I requirements and the estimated funding cost/year. SFRL is also used to guide SILC's DD1391 planning efforts.
  - b. Headquarters and Funding. Headquarters uses the prioritized SFRL as the basis for Resource Proposals and budget requests. The SFRL is also used to support the USCG's Capital Investment Plan.
4. Annual Prioritization. The SFRL will be updated as project costs evolve, DD1391 planning documents are approved, and the USCG's budget allocation is updated. At a minimum, the SFRL is formalized, endorsed by Commandant (CG-43), and promulgated to the field at least once a year as follows:
  - a. At the beginning of each fiscal year, the SILC will re-validate SFRL projects with the Areas, Districts, Headquarters Units, and Headquarters Planning Coordinators (HQPC).

- b. The SILC will hold an AC&I project prioritization board and submit a list of project priorities to Commandant (CG-43). The Planning Planned Obligation Prioritization (P-POP) must be executed in accordance with SILC process guides and the guidance set forth in Chapter 2, Resources. Representatives from Atlantic Area, Pacific Area, Deputy Commandant for Mission Support (DCMS), and Deputy Commandant for Operations (DCO) will participate as advocates for their operational priorities.
  - c. Commandant (CG-43) must review the SFRL with Headquarters stakeholders and provide signature on the final approved SFRL. The Commandant (CG-43) approval memo will also provide SILC with guidance for the next SFRL prioritization board.
5. Shore Acquisition Construction and Improvement Prioritization Criteria. In general, SFRL prioritization should be based on projects that realize the greatest return on investment. Commandant (CG-43) must issue a board precept memorandum each year, cleared through DCMS, which outlines the specific criteria and factors to consider for project prioritization. Consideration will be given to the following when prioritizing Shore AC&I projects:
- a. Improved mission effectiveness,
  - b. Life safety code compliance,
  - c. Consolidation of units/facilities within the USCG,
  - d. Consolidation of units/facilities within the DHS, and
  - e. Reduced USCG-wide shore infrastructure life cycle cost.

**E. ACQUISITION CONSTRUCTION AND IMPROVEMENT PROGRAM EXECUTION.**

- 1. Shore AC&I Obligation Goal. The SILC will strive to award 80 percent of Shore AC&I projects within 2 years of the day the appropriation was enacted and to award 100 percent of Shore AC&I within 3 years of the day the appropriation was enacted.
- 2. Requests for Proposals.
  - a. The SILC must verify funds availability for Shore AC&I projects prior to issuing the RFP or negotiating a contract. This will ensure Commandant (CG-43) can provide total project funding requirements within the approved project scope. For the purpose of this Manual, soliciting bids is defined as release of the RFP or negotiation package.
  - b. Requests for funds availability to issue the RFP or negotiate a contract must include the following:
    - (1) Description and cost of the base bid and each optional bid item. All requests containing optional bid items must include a statement that the base bid contains all work necessary to achieve a complete and usable facility. Optional bid items will be limited to work approved in the DD1391. Requests for funds to award optional bid items in excess of approved budgets must be fully developed per paragraph Paragraph 5.E.4.

- (2) Expected bid opening date, or for negotiated contracts, anticipated best and final offer.
  - c. A request for additional funds to solicit bids or renegotiate a contract must be submitted to Commandant (CG-43).
- 3. Shore Acquisition Construction and Improvement Construction Contract Awards and Funding Requests.
  - a. To expedite funds transfers, results of Shore AC&I project bid openings or contract negotiations must be reported to Commandant (CG-43) as soon as possible with a funds transfer authorization (FTA) request. All Shore AC&I FTA requests must be approved and completed by Commandant (CG-43) prior to awarding a contract to ensure compliance with procurement law.
  - b. When requesting funds to award a contract, include an obligation schedule of all remaining approved project items (e.g., electronics, furnishings/equipment) for which funds will be required at a later date. When overall project funds required exceed the total approved budget by 10 percent, include a detailed explanation of the overrun and an impact analysis if redesigned and/or rebid. The explanation and impact analysis is required to assist Commandant (CG-43) in submitting a reprogramming request to acquire or reprogram funds. As a general rule, additive items will not be awarded unless sufficient funds are available within the approved budget. Include a detailed justification for any funds requests for additive items if the project will exceed the budgeted amount. Funds requests must be of sufficient detail to support reprogramming of funds at approval levels above Commandant (CG-43) if necessary.
  - c. FDCC will provide a project award summary in a standard format determined by SILC upon contract award. The project award summary must include:
    - (1) Name of project;
    - (2) SFRL project number;
    - (3) Amount of award, divided into construction and/or design;
    - (4) Remaining funds requirements, broken out into contingency; outfitting; electronic; construction surveillance;
    - (5) Contracting method;
    - (6) Date awarded;
    - (7) Start date; and
    - (8) Planned contract completion date.
- 4. Acquisition Construction and Improvement Project Cost Overruns.
  - a. The following steps will be taken during project design and development to control costs on projects that exceed the estimate or budget for such projects:



- (1) Apply value engineering.
  - (2) USCG Civil Engineering (CE) design staff must generate an independent cost estimate for construction projects to ensure bid proposals are fair and reasonable.
  - (3) Ensure that unit commanders, program managers, and other interested parties do not increase or change the scope of the project without obtaining a funding increase commensurate with the increased project cost or reducing the cost of other project elements (F&E, electronics, etc.).
  - (4) Structure the RFP so that all items are included in the base bid and ensure that the base bid cost estimate is at least 5 percent less than construction funds available. Include additive bid items as appropriate for lower, priority construction features that were included in the approved DD1391.
- b. If the project still exceeds its projected estimate, FDCC should provide recommendations for reductions in scope to stay within the approved budget.
5. **Project Closeout.** The Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), provides guidance on project closeout. Project closeout must be executed in a timely manner to ensure excess funds are returned to Headquarters for use on other Shore AC&I projects and to preclude lapsing of funds. Project accounts should be closed out as soon as possible after the construction contract is complete, but no later than 90 days after beneficial occupancy. After 90 days of beneficial occupancy, unobligated Shore AC&I project balances are subject to withdrawal by Commandant (CG-43) to cover shortages in other AC&I projects.

## **F. CONSTRUCTION IN PROGRESS.**

1. **Capitalization of Projects.** Construction In Progress (CIP) is an accounting term that applies to capital investment costs. Capital investment costs pass through the CIP account, a temporary asset account in the USCG's core accounting system (Oracle). These costs are transferred from the CIP account into the Oracle Fixed Asset module once the new asset is placed into service. The CIP process is directly linked to achieving Chief Financial Officer (CFO) compliance in accordance with the CFO Act of 1990. The SILC must develop and maintain a process guide which identifies standard procedures for CIP and for adding real property assets (RPUIDs) into the Shore Facility inventory.
2. **Basic Requirements.** CIP requirements are simple in nature and consist of three primary phases:
  - a. **Project Establishment.** A CIP account number is established at the onset of a Shore AC&I project. All post-award project development costs (i.e., Architect/Engineer design, DD1391 (PP) and (Execution Proposal (EP)) are considered capital costs. Commandant (CG-43) must submit a Project Management Data Sheet (PMDS) which provides project description and funding information.

- b. In Progress. After a CIP account number is established, associated costs are posted in a CIP analysis report. Commandant (CG-43) is required to review these reports on a monthly basis and verify accuracy.
  - c. Asset Delivery. The CE program must provide RPUIDs (and associated data) for all new assets to Commandant (CG-85) within 90 days of beneficial occupancy.
3. Roles and Responsibilities.
- a. Commandant (CG-438). Commandant (CG-438) will serve as the primary liaison between Facilities Design and Construction Center (FDCC), CE field units, Commandants (CG-8, CG-9), and USCG Finance Center (FINCEN) counterparts. Commandant (CG-438) will track the Commandant (CG-85) CIP Scorecard and ensure overall compliance.
  - b. Facilities Design and Construction Center. As the primary Shore AC&I project execution office, Facilities Design and Construction Center (FDCC) will submit the required establishment forms, monthly reviews, and supporting documentation for CIP packages, including cost per RPUID. FDCC must work with SILC's real property to ensure that RPUIDs are generated for each new asset and submitted within 90 days of project acceptance.
  - c. Civil Engineering Units. When Civil Engineering Units (CEU) execute Shore AC&I projects, CEUs will assist Commandant (CG-438) in submitting the required establishment forms, monthly reviews, and supporting documentation for capitalization packages.
  - d. Shore Infrastructure Logistics Center Real Property Branch. SILC Real Property Branch will provide RPUIDs for new assets and enroll the assets into the SILC database in accordance with the USCG Facilities Classification Guide.
4. Use of AFC-43 funds. New assets and/or capabilities can be delivered with AFC-43 funds on a limited basis. These projects must also be accounted for and properly capitalized on the CIP. See Chapter 4, AFC-43 Depot Level Maintenance Program, for policy on capitalization of AFC-43 Improvement Projects.

**G. QUARTERLY OBLIGATION STATUS REPORT.**

- 1. FDCC must prepare a Quarterly Obligation Status Report so that Commandant (CG-43) can monitor progress of Shore AC&I Obligations. The report must be submitted to Commandant (CG-43) on 15 December, 15 March, 15 June, and 15 September each year.
- 2. Commandant (CG-43) will provide FDCC with a template for the status report which will include the following information:
  - a. Program Element. Project Line of Accounting (LOA).
  - b. Shore Facilities Requirements List number.
  - c. Project Title. Include unit name and title from the SFRL.

- d. Award Date. Either the actual award date of the contract or the estimated target award date if the project has not been awarded yet.
- e. Appropriated Amount. Total funding (including any rescissions) appropriated for the project.
- f. Contract Award Amount. Amount of initial contract award for the project.
- g. Total obligations. Total obligations to date for the project.
- h. Unobligated Balance. Amount of funding to date that remains unobligated.
- i. Remarks/Projected Spend Plan by Quarter. List anticipated expenditures/obligations for the next 12 months. Enter the estimated amount in each quarter for the next 12 months.

AC&I Projects will be listed by fiscal year in chronological order, grouped by appropriation, and sorted by Allotment Target Unit (ATU). For example, the entire FY2011 Program will be listed in ascending order by Districts, then Area Units, then SILC units, then HQ units, followed by the FY2010 Program, etc.



## CHAPTER 6. REAL PROPERTY MANAGEMENT PROGRAM

**A. PURPOSE.** This chapter provides a brief overview of USCG real property management and highlights several of the most critical policies that govern real property management in the USCG.

### **B. DEFINITION OF TERMS.**

1. **Real Property.** Real property consists of lands and land rights, buildings, and structures, including improvements and additions, and installed utility systems. The USCG's definition of real property includes the intention of an asset to be permanent in its nature (such as land) or to be permanently affixed to the land throughout its useful life (such as buildings and structures). It includes equipment affixed and built into a facility as an integral part of the facility (installed equipment, such as heating systems), but not movable equipment (such as plant equipment). In many instances, this term is synonymous with real estate. The Real Property Management Manual, COMDTINST M11011.11 (series), details the policies and responsibilities of the USCG for acquisition, management, utilization, and divestiture of real property assets. Real property accountability is key to the USCG's compliance with the CFO act.
2. **Personal Property.** In accordance with 41 CFR 102-36.40, personal property is any federal property, except real property (buildings, land, structures). Personal property is all expendable and non-expendable, tangible assets including aircraft, vessels, boats, vehicles (including trailers), major electronics systems, stand-alone electronics, electronic test equipment, general purpose equipment, small arms, computers, Aids to Navigation (ATON) equipment, buoys, personal protective equipment, artwork, models, and artifacts; and intangible intellectual assets such as patents or internal-use software. Personal property also includes items used to produce goods or services in support of the USCG's mission (i.e., property, plant, and equipment used by the USCG Yard in the shipbuilding and repair process). Personal property excludes items held in anticipation of physical consumption such as Operating Materials and Supplies (OM&S). The U.S. Coast Guard Personal Property Manual, COMDTINST M4500.5 (series), provides USCG policy for the management of personal property.

### **C. REAL PROPERTY MANAGEMENT POLICIES.**

1. The authority having jurisdiction for USCG real property is Commandant (CG-4), delegated to Commandant (CG-43) as the Real Property Accountable Official. Commandant (CG-43) will maintain a Real Property Warrant Program, outlined in the Real Property Management Manual, COMDTINST M11011.11 (series), to establish and sustain the procurement authority, with oversight from the SILC, for field office real property officials to execute real property transactions.
2. Commandant (CG-43) is the approval authority for all real property acquisitions, space requests, interagency transactions, property exchanges, new leases, or expansions, modifications to existing leases, donations, permanent easements, disposals, and demolitions, except in emergency cases as detailed in Section 2.5.2 of the Real Property Management Manual, COMDTINST M11011.11 (series).

If a unit wishes to engage in any activities previously mentioned that affect office or warehouse building square footage, they must receive prior approval from Commandant (CG-43), regardless of funding source.

3. All real property will be tracked and managed in the USCG's Shore Facility Inventory (SFI) in accordance with the Real Property Management Manual, COMDTINST M11011.11 (series) and SILC process guides (e.g., USCG Facilities Classification Guide). The USCG's SFI must be kept under configuration control.
4. Shore Unit COs and OICs will ensure that the size or use of any real property asset (building and/or structure) within their AOR is not altered without written endorsement from their chain of command, the SILC, and approval from Commandant (CG-43). A list of all modifications requiring approval is provided in Paragraph 3.E.5.

## CHAPTER 7. SHORE ENVIRONMENTAL MANAGEMENT PROGRAM

**A. PURPOSE.** Environmental stewardship is an essential aspect of all USCG operations and support activities. The USCG Civil Engineering (CE) program is committed to operate in an environmentally responsible manner. Environmental stewardship and sustainable business practices will be appropriately considered and properly integrated throughout the complete life-cycle management of the shore plant. Conservation, protection, and restoration of the environment and its natural, cultural, and historical resources will be foundational considerations throughout all aspects of the CE Program.

### **B. RESPONSIBILITIES.**

1. Commandant (CG-47). Commandant (CG-47) is the Environmental Compliance, Restoration and Environmental Liabilities, Planning, and Sustainability Program Manager. Commandant (CG-47) is responsible for establishing and promulgating the overall environmental program policies, goals, objectives, and budget for the USCG.
2. Shore Infrastructure Logistics Center. The Shore Infrastructure Logistics Center (SILC) exercises technical authority for the shore infrastructure Environmental Management Program. SILC-Environmental Management Division (EMD) is responsible for the effective and efficient execution of the environmental compliance, restoration and environmental liabilities, environmental planning, and sustainment/environmental stewardship programs. SILC-EMD will develop and maintain process guides (in consultation with Commandant (CG-47)) identifying standard processes and procedures for execution of the shore infrastructure environmental program (e.g., Environmental, Compliance, and Restoration (EC&R) Process Guide, Environmental Compliance Evaluation (ECE) Process Guide, Unit Environmental Guides, etc.). All SILC-EMD process guides will be reviewed and approved by Commandant (CG-47) for consistency with Commandant (CG-47) environmental policies prior to promulgation.
3. CE Project Executing Offices. Civil Engineering (CE) Project Executing Offices (CEUs, FDCC, FEs) will execute USCG CE projects in accordance with Environmental Management Program policy and procedures to ensure regulatory compliance and environmental sustainability for shore infrastructure.
4. Commanding Officers and Officers in Charge. Commanding Officers and Officers In Charge (OICs) are responsible for ensuring that units/facilities operate in a continual state of compliance with all applicable Federal, State, and local environmental laws and regulations, incorporate sustainable practices into daily operations, and proactively pursue the environmental program goals and objectives as established and promulgated by USCG, Department of Homeland Security (DHS), and/or higher authority.
5. Shore Organizational Level Maintenance. Shore Organizational Level Maintenance (OLM) will be executed in accordance with Environmental Management Program policy and procedures to ensure regulatory compliance and environmental sustainability.
6. All USCG Personnel. All USCG personnel are responsible for executing their duties in an environmentally responsible manner, striving to improve the

environment, and reduce the USCG environmental footprint in accordance with the Commandant's Sustainability, Environmental, and Energy Policy Statement.

**C. ENVIRONMENTAL COMPLIANCE, RESTORATION, PLANNING, AND HISTORIC PRESERVATION PROGRAMS.**

1. Policy. Overarching environmental program policy will be established and maintained by Commandant (CG-47) to ensure USCG operations and business practices achieve and sustain environmental regulatory compliance and achieve the goals and objectives as established and promulgated by Federal Executive Orders, DHS Chief Readiness Support Officer/Office of Sustainability and Environmental Programs (OSEP).

Environmental Program policy will be promulgated by Commandant Manual, Instruction, Note, or similar authoritative means. Policy will generally be categorized into four main program pillars:

- a. Environmental Compliance (e.g., policy on hazardous waste management and Environmental Compliance Evaluations (ECEs), etc.);
- b. Environmental Restoration and Liabilities (e.g., policy on environmental liabilities, etc.);
- c. Environmental Planning and Historic Preservation (e.g., policy on National Environmental Policy Act (NEPA) implementation, Coastal Zone Management, etc.); and
- d. Environmental Sustainability and Training (e.g., Environmental Management Systems, Pollution Prevention Opportunity Assessments, Qualified Recycling Programs, etc.).

An overview of current USCG Environmental Program policy is contained in the USCG Commanding Officer's Environmental Guide (current edition). Specific and more detailed USCG Environmental Program policy can be obtained through the USCG Directives System and/or the USCG Environmental Management Program web portal.

2. Procedures. Environmental Program execution and procedural guidance to implement USCG environmental policy process guides or procedure cards and will generally be categorized by the following:
  - a. Environmental Compliance (e.g., ECE Process Guide, Unit Environmental Guides, etc.);
  - b. Environmental Restoration and Liabilities (e.g., Environmental Liabilities Process Guide, EC&R Process Guide, etc.);
  - c. Environmental Planning and Historic Preservation (e.g., Environmental Considerations for Decision-Making Job Guide, etc.); and
  - d. Environmental Sustainability and Training (e.g., Pollution Prevention Opportunity Assessments, Unit Environmental Coordinator Online Training Tool, etc.).



SILC-EMD will be responsible for development and maintenance of all environmental program standardized processes and procedures that impact the CE Program. They will be maintained in or accessed through the USCG Environmental Management Program web portal.

- D. DOCUMENT AND DATA MANAGEMENT.** SILC-EMD will establish and maintain a SILC Environmental Management Program web portal. The web portal will serve as the primary access point and repository for all of SILC's Environmental Program data. It will provide ready access to environmental management program documents, data, and information.
- E. HOUSING PROJECT DOCUMENTATION.** When a housing project includes an environmental risk abatement or remediation component, the SILC will forward project documentation to include environmental risk abatement documentation (e.g., asbestos abatement certifications, lead-free certifications) to Area Housing Officers so that the housing environmental risk database can be maintained.



## **CHAPTER 8. SHORE ENERGY MANAGEMENT PROGRAM**

**A. PURPOSE.** This chapter establishes the framework for managing the USCG's Shore Energy Program. The Shore Energy Program is governed by multiple Federal Statutes, Executive Orders (EO), Office of Management and Budget (OMB)/Department of Homeland Security (DHS) Directives, and Commandant Instructions. The statutes, EOs, and directives listed below establish sustainability performance and operational requirements for Federal buildings and infrastructure.

1. Federal Leadership in Environmental, Energy, and Economic Performance, EO 13514.
2. Strengthening Federal Environmental, Energy, and Transportation Management, EO 13423.
3. Energy Independence and Security Act (EISA), 2007.
4. Federal Leadership in High Performance and Sustainable Buildings Memorandum of Understanding (MOU), 2006 Guiding Principles.
5. DHS Sustainable Practice Guidance Manual (D 025-01), 2012.
6. Presidential Memorandum, Implementation of Energy Savings Projects and Performance-Based Contracting for Energy Savings, 2 December 2011.
7. U.S. Coast Guard Energy Management Strategy, May 2010.
8. Facilities Energy Manual, COMDTINST M11000.7 (series).
9. Energy Policy Act of 2005 (EPAAct, 2005).

### **B. USCG ORGANIZATIONAL RESPONSIBILITIES AND COORDINATION.**

1. The USCG Assistant Commandant for Engineering and Logistics (CG-4) is responsible for promulgating a consolidated USCG energy management strategy with achievable objectives. These objectives are centered on energy sustainability, energy reliability, and financial accountability.
2. The Office of Energy Management (CG-46) establishes the overall energy policies and objectives for the USCG.
3. The Office of Civil Engineering (CG-43) is the USCG's Technical Authority for the Shore Energy Program and is responsible for the policies and oversight of the Program.
4. The Shore Infrastructure Logistics Center (SILC) will develop process guides, technical orders, and design standards in consideration of Federal Energy Management standards and life-cycle costs.
5. The Civil Engineering Units (CEUs) and Facility Engineering (FE) Departments will coordinate the execution of shore energy projects on the approved Centralized Planned Obligation Prioritization (C-POP) and local Planned Obligation Prioritization (POP) lists (refer to Chapter 2, Civil Engineering Resource Management Overview, for additional guidance on the POP process).

**C. SHORE ENERGY POLICY.**

1. New and existing buildings (over 5,000 square feet) will be designed, constructed, renovated, operated, and maintained to meet the 2006 MOU Guiding Principles for High Performance and Sustainable Buildings when economically feasible.
2. To assist in meeting the Guiding Principles, the Leadership in Energy and Environmental Design (LEED) rating system may be used. The LEED rating system for green building design, construction, and operation includes four levels: certified, silver, gold, and platinum. All new and existing buildings (over 5,000 square feet) will be designed, constructed, renovated, operated, and maintained to meet LEED certified rating. If a contractor proposes to provide silver, gold, or platinum LEED ratings, this may be considered a betterment in the proposal, but these requests need to be reviewed by SILC-Engineering Services Division (ESD) and approved by Commandant (CG-43).
3. The USCG may utilize Energy Savings Performance Contracts (ESPC) and Utility Energy Savings Contracts (UESC) to achieve shore energy program targets and goals to the maximum extent feasible. Optimally, all ESPCs and UESCs will have a Return on Investment (ROI) of 10 years or less if AFC-43 contributions are requested to help support the project. Projects with ROIs over 10 years will be reviewed with more scrutiny.
4. All shore alternatively financed energy projects regardless of the funding stream (i.e., AFC-43, ESPC, UESC, etc.) will be submitted to the Energy POP (E-POP) Board for approval. Documentation requirements must follow the guidance in Chapter 10, Shore Facilities Planning and Project Development.
5. In accordance with EISA 2007, a Federal Energy Management Program (FEMP) Level One Energy Audit must be performed on all covered facilities every 4 years. Normally, 25 percent of the covered facilities are done annually. These audits are used to develop a business case for installing, upgrading, or implementing shore energy conservation projects that yield substantive cost savings.
6. When buildings (over 5,000 square feet) have been verified to comply with the 2006 MOU Guiding Principles, they are to be revalidated every 4 years when economically feasible.

**D. DOCUMENTATION AND REPORTING REQUIREMENTS.**

1. The Facilities Design and Construction Center (FDCC), CEUs, and FE Departments constructing new buildings and/or executing major renovations to existing buildings that involve energy projects must retain all energy documentation in the project folders.

2. The SILC must provide Commandant (CG-43) with an annual inventory of USCG buildings (over 5,000 square feet) that meet the Guiding Principles, EOs, and other Federal mandates listed above. This inventory will support the numerous performance reports and scorecard metrics Commandant (CG-43) is required to submit to DHS and OMB on the USCG's progress with respect to various sustainability goals and targets for buildings (over 5,000 square feet) in the Shore Facility Inventory (SFI).



## CHAPTER 9. CIVIL ENGINEERING INFORMATION MANAGEMENT PROGRAM

**A. PURPOSE.** This chapter contains policy and requirements pertaining to use, access, and acquisition of software sponsored by the Office of Civil Engineering, Commandant (CG-43). Due to the many and varied purposes served by the data maintained within databases as well as individual files created as part of almost every aspect of work performed in the Civil Engineering (CE) program, consistent data entry processes and standards applied to file generation are of paramount importance. Data accuracy, consistency, and completeness are vital to providing credible decision-making reports, comprehensive inventory reports, and conclusive answers to queries. Standardization of file generation eases file sharing, file incorporation, and file reuse. Inconsistent, incomplete, or other improper use of software will ultimately result in waste of financial and human resources and will hinder the CE Program's ability to respond promptly and accurately to the many scenarios it continually encounters.

### **B. RESPONSIBILITIES.**

1. The Program Support Division, Commandant (CG-435), is responsible for oversight of all information systems sponsored by Commandant (CG-43). Commandant (CG-435) will work with the Shore Infrastructure Logistics Center (SILC) to ensure Information Technology (IT) requirements of the program are fully met, advocate to obtain and support approved funding requirements, and oversee financial and resource requirements.
2. The SILC Business Operations Division (BOD) will ensure that the selection, configuration, and use of all Commandant (CG-43) sponsored IT systems are in support of CE program objectives, will satisfy production needs of the CE community, and are in compliance with Commandant directives.
3. The SILC will establish a Configuration Control Board (SILC IT CCB) to manage CE IT systems. Commandant (CG-43) will participate as a member of the SILC IT CCB.

**C. AUTHORIZED SOFTWARE.** All commands within the CE program will use only authorized software for the storage and retrieval of database values, generation of files associated with work orders, projects, real property transactions, etc., and for any other functions where the use of software is deemed appropriate. This policy extends to all commands doing business with the CE program when performing functions similar to those commands within the CE program (e.g., a Station generating a work order for a real property asset). Unless otherwise specified by CE policy, specific guidance for the use of or changes to authorized software will be detailed in various Process Guides, Technical Orders, etc., maintained by the SILC Business Operations Division Information Systems Branch (SILC-BOD).

1. Authorized Software. The list of authorized software will be maintained by the SILC-BOD.
2. Changes to Authorized Software List. Recommended changes to the authorized software list, whether adding/removing titles or changing software configuration/capabilities, will initially be vetted through the SILC-BOD in accordance with the SILC IT CCB charter and associated process guide. Additionally, if requirements are specified by Commandant (CG-6) and approved at this level, adherence is required. CE Units must not purchase or

otherwise obtain, regardless of cost, licenses for software not currently on the authorized software list without prior authorization from the SILC IT CCB.

3. Versioning. Unless otherwise determined by the SILC IT CCB, all Commercial-Off-The-Shelf (COTS) software sponsored by the CE program will be maintained no more than one major revision level behind that which has been publicly released by the manufacturer.
4. Circumventing Authorized Software. While the use of software such as Microsoft Excel or Microsoft Access is permissible due to their inclusion as part of the USCG Standard Workstation (CGSW) platform, using them to circumvent or augment authorized enterprise software should only be viewed as an interim solution, and the requirement for a permanent fix should be referred to SILC-BOD at the soonest opportunity. If existing authorized software does not meet current business requirements, a request to modify the authorized software list should be made to the SILC-BOD. Creating localized solutions to enterprise problems quickly results in differing methodologies to perform similar tasks from location to location. These differences can adversely impact CE program's effectiveness, efficiency, and can result in wasted resources.

EXAMPLE: A unit determines an existing enterprise database does not permit for the collection of certain data elements or contains more elements than they desire to track. In response, the unit generates an Access database that allows the additional elements to be tracked or that decreases the number of elements tracked.

**D. ACCESS TO SOFTWARE.** Access to authorized software will be granted as appropriate.

1. Access Methodologies. The most efficient or economical means of access will be employed wherever possible. This may result in a variety of web-, server-, or client-based access.
2. User Login Credentials. The ability to access certain software may require the generation of user login credentials (e.g., a username/password). Where appropriate, the means to obtain these credentials will be provided via associated SILC Process Guides.
3. Role-Based Permissions. Wherever practical, access to software will be granted based on the role(s) of the person requiring access. Lists of roles and associated application access will be maintained by the SILC-BOD.
4. User Validation. For applications where login credentials have been generated, a periodic review of users accessing the application must be made to determine continued requirement for access. Users who no longer have need to access an application will have their login credentials removed. All CE program units will include, as part of their personnel checkout procedures, determination of user login credentials, and will inform the SILC-BOD in cases of positive discovery. User validation will occur at least annually, but may be on a more frequent cycle based on the Certification and Accreditation (C&A) findings for the application. The frequencies and methodologies for validating users will be maintained by the SILC-BOD.



- E. COMPUTERIZED MAINTENANCE MANAGEMENT SYSTEM.** The SILC must maintain a single Computerized Maintenance Management System (CMMS) application (such as SAM/Maximo). The CMMS application is the primary means of managing the CE program's Real Property (RP) asset inventory, all work being performed against the RP assets, and equipment/systems within the RP assets.
1. Work-Specific Data. All work orders and projects, regardless of work type (e.g., Corrective Maintenance, Preventive Maintenance, etc.) or project intent (e.g., Maintenance, Alteration, etc.), will have an electronic record maintained in the CMMS application.
  2. Asset-Specific Data. All RP assets will have an electronic record maintained in the CMMS application. At a minimum, all data values needed to satisfy current Federal Real Property Council (FRPC) and Department of Homeland Security (DHS) guidelines for asset inventory must be tracked. Additionally, if the asset is leased, a corresponding Ingrant record must also be maintained in the CMMS application.
  3. Equipment-Specific Data. All equipment/systems within an asset will have electronic records in the CMMS IAW configuration guidelines specified by the appropriate Asset Line Manager (ALM). The configuration guidelines will be maintained by SILC-BOD.
- F. ELECTRONIC DOCUMENT MANAGEMENT SYSTEM.** The SILC must maintain a single Electronic Document Management System (EDMS) application (such as CG-TIMS/Adept) to manage all electronic CE files (such as facility inspections, plot plans, project documents, etc.).
1. File Types. All files associated with work records, asset records, and equipment records maintained in the CE program's CMMS application must be placed in the EDMS application. Wherever possible, files received as deliverables of contracts should be obtained in electronic format. Files received in hard copy should be scanned and subsequently placed in the EDMS application.
  2. Metadata. Every file placed in the EDMS application will have an electronic library card created. Data placed on this card (i.e., metadata) is used to perform searches and to relate the files to records in the CMMS application and elsewhere. The metadata configuration guidelines will be maintained by SILC-BOD.
- G. COMPUTER AIDED DESIGN APPLICATION.** The SILC will utilize a single computer-aided design application (such as AutoCAD) for plot plans, design drawings, and other facilities drawings.
- H. ANCILLARY DATA.** In some instances, data used by an application does not necessarily reside within the native application, but is necessary to the proper execution of the application. For example, one of the elements used in calculating an asset's Plant Replacement Value (PRV) is the cost per unit of measure. This cost value is located in a table external to the native database.
1. Authoritative Sources. Whenever deemed appropriate by the SILC IT CCB, an authoritative source will be selected for use as ancillary data. An authoritative source may be the originator of the data, the legal authority for

the data, or one that is recognized by members of a community of interest to be valid or trusted. The criteria used to determine authoritative sources and the list of authoritative sources selected will be maintained by the SILC-BOD.

2. Refresh Cycle. In order to ensure data currency, data from authoritative sources will be refreshed on a recurring cycle appropriate to the data being used. All ancillary data sources must be validated at least annually. Data refresh cycles will be determined by the SILC-BOD.

## CHAPTER 10. SHORE FACILITIES PLANNING AND PROJECT DEVELOPMENT

- A. PURPOSE.** This chapter establishes USCG policy on planning and project development for Shore Acquisition, Construction, and Improvement (AC&I)/Major Acquisition Systems Infrastructure (MASI) funded projects, and acquisitions through lease and Title 10 transfer as defined in the Real Property Management Manual, COMDTINST 11011.11 (series). All Shore Facilities planning will follow the documentation policy and procedures outlined in this chapter (see Figure 10-1). Detailed procedures and responsibilities will be identified in separate process guides for Shore AC&I funded projects.
- B. FACILITIES PLANNING, PROJECT DEVELOPMENT, AND THE USCG BUDGET.** Analytical analysis and proper justification is required for facilities projects to be eligible to compete in a budgeting process. The USCG field planning function supports the overall budget process to acquire AC&I appropriations. Facility requirements are developed through careful analysis of the operational needs and developed into a full range of alternatives. Further analysis of these alternatives yields a recommended preferred course of action. As the project is developed, a detailed engineering scope and cost of the preferred solution is prepared. The SILC will complete all planning documents (i.e., DD1391 (PPR) level) prior to formal budget submission of a project into the USCG's Resource Proposal system. Commandant (CG-43) will consider exceptions on a case-by-case basis. The completion of planning documents and associated cost estimates ensure that the USCG maximizes the effectiveness and distribution of limited Shore AC&I dollars. The completion of planning documents also directly supports the development of project construction contract documents (specifically the RFP). Figure 10-1 is a strategic timeline that illustrates facilities planning in relation to the USCG budgeting cycle. This table is also posted on the Commandant (CG-43) intranet web page.
- C. FACILITIES PLANNING AND PROJECT DEVELOPMENT RESPONSIBILITIES.** Commandant (CG-4) is responsible for the execution of USCG facilities planning and project development. The SILC is responsible for generating all USCG facilities planning and project development documents. Commandant (CG-43) executes headquarters review of all facilities planning documents and is the final approval authority.
- D. PLANNING DOCUMENTATION WORKLOAD.** Planning documentation is developed by a limited amount of field planning resources, and often these resources cannot address all planning requirements within desired timeframes. Just as developed projects are prioritized and compete in a budgeting process, per Shore Facilities Requirements List (SFRL) prioritization, planning workload is also periodically prioritized in accordance with SILC established procedures in the Planning-Planned Obligation Prioritization (P-POP) process guide. All requests for planning initiatives will be prioritized by the SILC in accordance with the P-POP process.
- E. DD1391.** The USCG field planning and project development process uses a set of standardized tools to ensure a uniform evaluation and presentation of projects and project alternatives. This is a joint analytical effort in which field and headquarters units participate through the concurrent clearance process. All facilities planning and project development must be documented utilizing the DD1391 document. The DD1391 document replaces the former Problem Statement (PS), Planning Proposal

(PP), Decision Memo for Shore Infrastructure (DMSI), Execution Proposal (EP), and Project Proposal Report (PPR). Figure 10-2 provides a sample template of the DD1391. The SILC will utilize a web-based application to develop DD1391s when available.

1. DD1391 Stages. The DD1391 is a progressive planning document that is scalable at each stage and can be expanded or shortened as necessary depending on the complexity of a project. No waivers of DD1391 (PP, EP, or PPR) will be granted. The DD1391 will be submitted for approval at multiple stages during the planning and project development process. For USCG purposes, the terms DD1391 (PS), DD1391 (PP), DD1391 (EP), and DD1391 (PPR) will be used to describe the submittal stages of the DD1391. Figure 10-3 identifies what attachments are required to be submitted along with the DD1391 form at each stage. The development of the DD1391 document is an iterative process. Each consecutive stage is merely an expansion of information contained in the previous stage. As such, each submission of the DD1391 will contain all previous information from the previous stage.
  - a. DD1391 (PS). The first step in the field planning process (with exceptions noted below) is the DD1391 (PS). The objective of the DD1391 (PS) is to identify that a valid need exists and to communicate information for a potential shore facility project between the field and headquarters program managers. An approved DD1391 (PS) is an agreement among all interested stakeholders that a legitimate need exists and has sufficient merit to devote future resources to fully analyze the need, assess alternatives, and recommend a solution. The DD1391 (PS) validates the need; it does not identify a decision on a recommended course of action or provide National Environmental Policy Act (NEPA) documentation. If the project is of an urgent nature, a DD1391 (PS) does not have to be completed prior to full analysis; in these instances the initial document may be a DD1391 (PP) as described below. A DD1391 (PS) project is added to the SFRL upon Commandant (CG-43) approval.
  - b. DD1391 (PP). The DD1391 (PP) identifies and fully assesses potential alternatives to address the shore infrastructure need identified in the DD1391 (PS). The DD1391 (PP) provides a detailed, comprehensive business case analysis of alternatives and provides a detailed recommended alternative. Recommendations may range from renovation, relocation, or acquisition/construction of new facilities. The DD1391 (PP) marks the decision stage in the planning process and the USCG must make an initial judgment concerning the scope and magnitude of the proposed alternative. Therefore, the DD1391 (PP) must include fully developed appropriate NEPA documentation consistent with the evaluation of alternatives in accordance with National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST 16475.1 (series).

If the DD1391 (PP) is approved, the DD1391 (PPR) will include the appropriate NEPA documentation to execute the preferred alternative. Commandant (CG-43) is the approving authority for the DD1391 (PP).

- c. DD1391 (PPR). The DD1391 (PPR) develops the approved recommended alternative in the DD1391 (PP) by identifying a detailed engineering scope and estimated cost. The information in the DD1391 (PPR) is used at the field level to initiate an RFP for solicitation of either an Architect/Engineer design (for a Design-Bid-Build contract) or for solicitation of a Design-Build contract. The DD1391 (PPR) provides headquarters with the justification to support a budget request through the Resource Proposal process.

The DD1391 (PPR) will include fully developed appropriate NEPA documentation for the execution of the approved alternative in accordance with National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Commandant (CG-43) is the approving authority for the DD1391 (PPR).

- d. DD1391 (EP). Congress may occasionally initiate legislation/appropriations which require the USCG to spend previously unsolicited/unrequested funding for a specific purpose. Often this earmarked and/or supplemental funding is directed for specific shore AC&I use. In order to quickly execute earmarked funds, the planning process is abbreviated so that an engineering solution and a plan for executing funds can be quickly identified to meet Congressional intent. The document utilized for Congressional earmarks is the DD1391 (EP) and will only be used to execute Congressional mandates when time is of the essence to spend the earmarked or supplemental funds.

The DD1391 (EP) is similar to the DD1391 (PPR) with a few differences. First, the assessment of alternatives is limited to only what is required to define a solution that meets the intent of the funding, which is normally identified in the Congressional earmark language. The DD1391 (EP) must include a detailed project target schedule that provides details on when and how the funds will be obligated to support efficient project execution. Because of the hybrid nature of this document, the DD1391 (EP) will typically be developed at the Civil Engineering Unit (CEU) with collaboration from Facilities Design and Construction Center (FDCC) on anticipated construction and funding obligation timelines.

The DD1391 (EP), directed through specific legislation with accompanying funding, marks the decision stage in the planning process and the USCG must make an initial judgment concerning the scope and magnitude of the proposed alternative. Therefore the DD1391 (EP) must include fully developed NEPA documentation consistent with the evaluation of the alternatives in accordance with National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). If the DD1391 (EP) is approved, the DD1391 (PPR) will include appropriate NEPA documentation to execute the preferred alternative. Commandant (CG-43) is the approving authority for the DD1391 (EP).

2. DD1391 Content. This section provides a general description of the fillable fields in the DD1391 form. Each DD1391 submittal must include a cover memo which indicates what stage of the DD1391 is being submitted.

- a. Component. This will always be USCG.
- b. Date. Enter date completed.
- c. Installation and Location/UIC. Enter the Allotment Target Unit (ATU)-Operating Facility (OPFAC), followed by the full, simple name format of the benefitting unit, avoiding abbreviations wherever possible (except for state).
- d. Project Title. Enter the full, simple name format of the project title, avoiding abbreviations wherever possible. The project title should match the title assigned in the Computerized Maintenance Management System (CMMS) database. The project title will begin with DD1391 (PS/PP/EP/PPR) followed by a verb (construct, demolish, renovate, upgrade, etc.) to yield an immediate perception of the nature of the project.
- e. Program Element. Indicate the funding program element, which will usually be AC&I, but could also be AFC-30 or AFC-36 in the case of a lease.
- f. Category Code. Indicate the primary category code number of the project.
- g. Project Number. Enter the SFRL project number.
- h. Project Cost. Contains the total estimated cost of the project in thousands of dollars. Project cost is not required for the DD1391 (PS).
- i. Acquisition, Construction, and Improvement Cost Estimate. The extent to which this section is filled out will depend on the stage of development of the DD1391, as described in Paragraph 10.E.1., DD1391 stages. At the PS stage, this section is not required. At the PP stage, square foot cost data is used. At the PPR stage, a line item estimate detailing a proposed engineering scope is required. See DD1391 Cost Estimating and Economic Analysis, Paragraph 10.G.
  - (1) Cost Elements. The DD1391 identifies seven line item elements: demolition, site work, exterior utilities, waterfront/marine construction, building construction, furnishings/equipment, and other. Each of these elements can be expanded by clicking on the plus sign in the fillable form to enter multiple line items. For each element/line item, enter the item name, unit of measure, quantity, and unit cost.
  - (2) Cost Amplifiers. This section identifies all cost amplifiers being applied to the project subtotal.
    - (a) Design Build Fees. Enter the estimated percentage of the project subtotal for survey and design cost (usually between 6 to 10 percent).
    - (b) Sustainability. Enter the estimated percentage of the project subtotal for integrating sustainable construction practices into design.

- (c) Construction Surveillance. Enter the number of months of construction surveillance and the estimated monthly cost for construction surveillance.
  - (d) Contingency. Enter the estimated percentage of the project subtotal for contingency cost (see Paragraph 10.G. for guidance on contingency estimates).
  - (e) Escalation. Enter the annual percentage of escalation and the number of years of escalation to the estimated midpoint of construction (see Paragraph 10.G. for guidance on escalation/inflation rates).
  - (f) Total Request. This field will contain the total project cost estimate.
- j. Description of Proposed Construction. Provide a brief detailed description of the recommended solution. Be as descriptive as possible and distinguish between new construction, expansion, renovation, and buildings/structures being demolished. Include square footage when possible. At the end of this section is a fillable summary to include building number, category code, Real Property Unique Identifier (RPUID), unit of measure, and renovation/demolition/expansion quantities for proposed actions on each real property asset.
- k. Requirement. Indicate total facility requirement (square footage, length of pier, etc.), quantity of existing facility that is adequate, and quantity of facility that is substandard and is no longer able to meet its intended need. Headquarters Planning Coordinators and Area representatives will validate the requirements provided in this section.
- (1) Scope. Provide a detailed discussion of the justification for the project. Discuss the background of the facility's mission, its history, and a description of the deficiencies.
  - (2) Project. State a narrative of the intended purpose of the project.
  - (3) Requirement. Provide a narrative of the requirement that the project is intended to solve. Include any planning factors, assumptions, etc.
  - (4) Current Situation. Provide a general background of current operations as well as a discussion of known issues or gaps in the current facilities' ability to meet operational requirements.
  - (5) Impact if Not Provided. Define what the operational impact will be if the proposed project is denied. Be as quantitative as possible, including issues such as reduced operating hours of an asset, additional cost of operation, increased maintenance, increased safety risks, etc.
  - (6) Additional Economic Alternatives Considered. Provide a summary discussion of the alternative solutions that are considered and analyzed. The discussion should include alternatives that are considered and dismissed, why they are dismissed, as well as a summary ranking of the viable alternatives. A detailed economic

analysis of the viable alternatives must be attached to the DD1391 (PP) in accordance with Paragraph 10.G.

- I. Supplemental Data. Provide a discussion of any additional project parameters.
  - (1) Design Data. Is project to be LEED certified? Is building hardening required?
  - (2) Building Equipment. Is there any additional equipment required and what is the source of funding?
  - (3) Site Approval. Is the site owned, leased, permitted, or is property acquisition necessary?
  - (4) Issues. Check Yes or No as appropriate.
  - (5) Planning. Check Yes or No as appropriate as to whether the proposed project is consistent with previous planning initiatives.
  - (6) Host Nation Approval. Check as appropriate as to whether a foreign nation's approval is required to construct the project, and if it is required, indicate date of approval or anticipated approval.
  - (7) National Capital Planning Commission. Indicate whether National Capital Planning Commission approval is required, and if so, indicate the date.
  - (8) Environmental Documentation. Indicate if environmental documentation (NEPA, Section 106, ESA, etc.) has been completed, and if so, to what level. Attach completed environmental documentation.
  - (9) Mitigation Issues. Indicate Yes or No as appropriate to the identified mitigation issues.
  - (10) Environmental Cleanup. Indicate Yes or No as appropriate as to whether a cleanup is required, and indicate date started and completed.
  - (11) Project Issues. Indicate Yes or No as appropriate to the other identified project issues.



3. DD1391 Routing. DD1391 documents will be routed electronically whenever possible in accordance with process guides. All DD1391 (PS), (PP), and (EP) documentation for field unit projects will be routed as follows:

From: CEU/FDCC  
 To: COMDT (CG-43)  
 Thru: 1) Benefitting Unit (Sector Command or higher)  
 2) District  
 3) Area  
 4) Shore Infrastructure Logistics Center (SILC)

All DD1391 (PS), (EP), and (PP) documentation for headquarters unit or non-Area major commands (e.g., Academy, Training Centers, Aviation Logistics Center, etc.) will be routed as follows:

From: Major Command/CEU/FDCC  
 To: COMDT (CG-43)  
 Thru: 1) Parent Command (if prepared by CEU/FDCC) or  
 CEU (if prepared by Major Command)  
 2) SILC

All DD1391 (PPR) documentation for all projects will be routed as follows:

From: FDCC  
 To: COMDT (CG-43)  
 Thru: SILC

4. DD1391 Review and Approval.

- a. Field Legal Review. The USCG Legal Services Command (CG-LSC) must review all DD1391s (except DD1391 (PS)) prior to submission to Commandant (CG-43). CG-LSC must provide acknowledgement of a satisfactory legal review or clearly identify legal issues that require headquarters resolution to include:
- (1) Compliance with fiscal law: The appropriate funding source must be identified as acquisition, construction and improvement or operating expense and ensure that the required budget authority is specified.
  - (2) Compliance with real property law: The review should ensure that appropriate use is made of current year authorized Operating Expense (OE) funds for General Services Administration (GSA)/direct leases.

- (3) Compliance with environmental laws.
- (4) The legal review must indicate if all proposed activities, alternatives, memoranda of agreement/understanding, or real property interests are authorized as a matter of law.

The servicing legal office must provide an endorsement that acknowledges a satisfactory review or clearly identifies any legal issues that require headquarters resolution.

- b. Headquarters Review and Approval. The Headquarters (HQ) review is based on the nature and scope of the project. At a minimum, Commandants (CG-4), (CG-8), (CG-0941-E), (CG-0944), CG DCO-A, CG DCMS-34, and CG DCMS-82 along with the HQ Planning Coordinator (HQPC) will review each field planning package as part of the concurrent clearance process. Commandant (CG-43) will be the approving authority on all DD1391 documentation.

- (1) Headquarters Planning Coordinators. Each Headquarters Planning Coordinator (HQPC) plays an important role in managing the planning process. The HQPC is a Subject Matter Expert (SME) whose responsibilities include: advising, analyzing, and reviewing DD1391 documents. HQPC responsibilities cover a wide range of program requirements. For each of their primary programs, the HQPC is responsible for:
  - (a) Accurately describe mission, policies, and responsibilities.
  - (b) Identify USCG regulatory and statutory requirements.
  - (c) Describe current resource and staffing levels.
  - (d) Describe current organizational structure.
  - (e) Identify and resolve issues regarding program resources.
  - (f) Identify services or products provided.
  - (g) Work with field planners to improve or amend DD1391 documents to achieve the objectives of the program. This interaction arises when headquarters staff has questions in regard to the content of DD1391 documents.
  - (h) Proactively work with field planners to develop field planning requests submitted for headquarters review and approval.

A list of current HQPCs for various facility types can be found on the Commandant (CG-43) intranet web page (see Table 10-1).

- (2) Review of DD1391. The review of DD1391 documents will be conducted electronically whenever possible in accordance with process guides. In general, DD1391 documentation is submitted electronically through the Commandant (CG-43) intranet web page and concurrent clearance will be electronically generated. Appropriate offices will be able to review and submit review comments via the intranet. Commandant (CG-43) is the approving authority for all DD1391 documentation.

## **F. GENERAL PLANNING GUIDELINES.**

1. Federal Initiatives, Directives, and Executive Orders. The DD1391 Facilities Planning Process must consider federal initiatives, directives, and Executive Orders as applicable (e.g., OMB memo on *Freeze the Footprint*, Executive Order 13653 *Preparing the United States for the Impacts of Climate Change*, etc.).
2. Colocation. DD1391 documents will examine colocation alternatives (as appropriate) with other USCG units, with DHS agencies, and Department of Defense (DoD) installations. Colocation can provide consolidation of units executing similar mission sets, sharing of interagency operations centers and hangar space, consolidation of shared facilities, and maintenance and operational resources. Cost savings may be realized through the elimination of under-utilized space and establishment or expansion of shared services, and design of colocated facilities can increase efficiency and flexibility. To meet Government-wide colocation objectives, USCG field planning must consider as appropriate any potential colocation options with other DHS components or U.S. Government agencies.
3. Base Realignment and Closures. The Base Realignment and Closure (BRAC) Act (P.L. 100-526 – 24 October 1988) was developed to provide a means for the DoD to improve the effectiveness of the military base structure and to realize significant savings through realignment and closure of unnecessary or under-utilized military bases. To date, there have been a total of five rounds of BRAC (1988, 1991, 1993, 1995, and 2005).
  - a. BRAC and Its Relationship to the USCG. BRAC is a DoD term and action which could impact USCG units located on DoD bases. The closure of a DoD base may force the relocation of any USCG units located at that base. Relocations can be costly, time-consuming, and interrupt USCG operations.
  - b. Base Realignment and Closures Impact on the USCG. Once it is determined that a USCG unit is impacted by BRAC, the process should allow for an appropriate period of preparation and engagement through the chain of command. BRAC information is sent to Commandant (CG-4) and Commandant (CG-8) through Commandant (CG-00). BRAC impacts will be addressed through the DD1391 documentation process. There is no separate planning system internal to the USCG for BRAC.
  - c. Base Realignment and Closures Property Notification. When a BRAC action results in an availability of excess property, DoD will notify the USCG and other agencies of BRAC properties through their Notification of Availability of DoD Real Property process. If a USCG unit is interested in BRAC property, a formal memorandum request should be submitted to Commandant (CG-4) for execution of a Title 10 transfer through the DD1391 process.

## **G. DD1391 COST ESTIMATING AND ECONOMIC ANALYSIS.**

1. Required Cost Categories. The appropriate units of measure and information are to be provided with each item. Final square-footage costs should be

rounded to the nearest dollar. All category dollar figures should be rounded to the nearest \$1,000, with the total cost rounded to the nearest \$10,000 for projects costing less than \$1,000,000 and the nearest \$50,000 for projects more than \$1,000,000.

- a. Demolition. Facilities to be demolished will be identified by RPUID, and the extent of demolition will be quantified by appropriate units of measure (gross square feet, linear feet, etc.).
- b. Site Work. This category includes the costs for structures and earthwork but does not include exterior utilities. Site work includes, but is not excluded to, fencing, flag poles, irrigation, landscaping, paving, recreation areas, and roads.
- c. Exterior Utilities. This category includes the cost of constructing exterior utility systems beyond the 5-foot building line.
- d. Waterfront/Marine Construction. This category includes the cost of waterfront structures.
- e. Building Construction. This category includes all cost within the 5-foot line (5 feet from the building perimeter/exterior wall). Quantities and costs include built-in equipment such as serving lines for dining facilities, etc. Other outfitting items, like desks, tables, etc., are to be covered in the furnishings/equipment category. Estimates on building will be based on the space standards for new or renovated facilities contained in the Shore Facilities Standards Manual, COMDTINST M11012.9 (series).
- f. Furnishings/Equipment. This category includes all furnishings and equipment not included in the construction contracts that are needed to make the facility usable for its intended purpose. Furnishings/equipment must be broken down into identifiable categories. If furnishings/equipment are being requested for units with existing property, the estimate must include a specific line item indicating estimated percentage of existing equipment reuse. The following items are specifically excluded from inclusion in furnishing/equipment: floor coverings, built-in equipment, electronics, morale equipment (unless associated with a new facility function), and artwork. Priority 1 Furnishings and Equipment (F&E) are the absolute minimum required to meet the mission, for example, the communications console and chair for a watchstander. Priority 2 F&E are all other items needed for a complete and usable facility such as a chair for the break-in watchstander and kitchenette appliances.
- g. Electronics. This item includes costs associated with the installation and acquisition of all electronic equipment not included in the construction contract but necessary to fulfill the communications and electronic maintenance requirements of the facility. Major electronics equipment such as transmitters, receivers, antennas, etc., should be included as separate line items.
- h. Other/Non-Recurring Costs. This category is a collection of items (if not included in the construction contract) infrequently included in projects. Typical line items for other are: design services, land

acquisitions, temporary facilities, relocation/moving services, and major mechanical/maintenance equipment (such as boat hoists), LEED certification, Environmental, Compliance, and Restoration (EC&R), etc. Report the cost of design in this category as a separate line item for all projects.

- i. Cost Amplifiers. Cost amplifiers account for geographic location, project size, escalation, phasing, and contingency and must be included in each project estimate. Escalation and contingency costs must be identified and listed as separate line items in the major cost category "Cost Amplifiers." Project size factors and geographic location must be included in each line item within the "Building Construction" cost category and/or where applicable.
    - (1) Escalation. Estimated construction costs will be escalated to the midpoint of construction. Escalation costs will be based on DoD Cost Data.
    - (2) Contingency. A contingency factor must be applied to all estimates to ensure the project remains within budget. Use of uniform contingency factors will aid Commandant (CG-43) project review. The standard contingency factors are: 25 percent for DD1391 (PS) cost estimates, 20 percent for DD1391 (PP, EP) cost estimates, and 5 percent for DD1391 (PPR) cost estimates. The SILC may increase these contingency factors for high risk projects; in these instances, the SILC will provide explanation/justification for increasing project contingency.
  - j. Net Present Value Total Ownership Cost. All Shore AC&I projects must include the life-cycle cost of the project in accordance with Office of Management and Budget (OMB) Circular A-94.
  - k. Operating Expense Costs. An Operating Expense (OE) follow-on cost estimate is the approximated operating expense requirements of a completed shore construction project. OE funds are obtained through the budget process based on these cost estimates. All new construction (AC&I and AFC-43) cost estimates will include estimates for the recurring operating costs to include maintenance and utilities as follows:
    - (1) Recurring AFC-43: 4 percent of total project cost.
    - (2) Recurring AFC-30: 2 percent of total project cost.
    - (3) Recurring AFC-30 (energy): 0.5 percent of total project cost.
    - (4) OE costs are prorated for new square footage only; i.e., if the project increases a facility from 5,000 to 10,000 square feet, then all of the OE follow-on calculations are prorated by 50 percent.
    - (5) Include any other known follow-on costs not already provided (i.e., firing range cleanup, weight-handling equipment testing, etc.).
2. Cost-Estimating Process Guide. All DD1391 cost estimates and economic analyses will be submitted in a standard summary format to provide consistency throughout the project preparation and review process. Cost estimates will be standardized at the various levels of project development

(PS, PP/EP, PPR). Adoption of a standard format for project states will provide efficiencies in project documentation and review. The SILC will develop and maintain procedures that will provide consistency of format and consider the following:

- a. Cost-Estimating Tools. The use of computerized cost-estimating programs to establish project costs is encouraged. The computerized program must be identified in each cost estimate and used consistently in the cost analysis. Public or private sector cost-estimating programs are acceptable.
- b. UniFormat. Use of UniFormat is authorized and encouraged. UniFormat organizes information by functional elements (systems and assemblies) with the primary purposes of identifying functional elements in Building Information Modeling (BIM) models and organizing preliminary project descriptions and early cost estimates.
- c. DD1391 Economic Analysis. Economic Analysis is a systematic approach to the problem of choosing the best method of allocating scarce resources to achieve a given objective. Economic analyses are required for DD1391 documentation. The following references provide guidance for conducting Economic Analyses: OMB Circular A-94; the Coast Guard Strategic Cost Manual, COMDTINST M7000.4 (series); and the Naval Facilities Engineering Command Economic Analysis Handbook, NAVFAC P-442.

**Table 10-1. Headquarters Planning Coordinators**

| <b>Unit/Facility Type</b>                 | <b>HQPC</b>    |
|---|----------------|
| Activities (Overseas Units)               | CG-741         |
| Aids to Navigation Teams (ANT)            | CG-731         |
| Air Station/Air Facility                  | CG-711/CG-41   |
| Area Offices                              | CG-81          |
| Area Servicing Armories                   | FORCECOM       |
| Art and Artifact Center                   | CG-0922        |
| Aviation Logistics Center (ALC)           | CG-41          |
| Aviation Training Center (ATC)            | FORCECOM/CG-71 |
| Aviation Technical Training Center (ATTC) | FORCECOM/CG-41 |
| Boats (integrated and non-integrated)     | CG-731/CG-45   |
| Boat Stations                             | CG-731         |
| C4IT Service Center                       | CG-64          |
| Ceremonial Honor Guard                    | CG-0922        |
| Child Care Facilities                     | CG-111         |
| Chief Administrative Law Judge Office     | CG-00J         |

**Table 10-1. Headquarters Planning Coordinators Continued**

| <b>Unit/Facility Type</b>                       | <b>HQPC</b>   |
|---|---------------|
| USCG Counterintelligence Service                | CG-25/CG-21   |
| USCG Cryptologic Group                          | CG-25/CG-21   |
| USCG Investigative Service (CGIS)               | CG-25/CG-21   |
| USCG Institute                                  | FORCECOM      |
| Command Centers                                 | CG-741        |
| Communications Station                          | CG-64         |
| Cutters (Homeports)                             | CG-751/CG-45  |
| District Office                                 | CG-81         |
| Differential GPS (DGPS) Sites                   | CG-64         |
| Dive Program                                    | CG-721        |
| Electronic System Support Unit/Detachment       | CG-64         |
| Exchanges                                       | CG CSC/CG PSC |
| Finance Center                                  | CG-84         |
| Galleys   | CG-111        |
| Headquarters                                    | CG-82         |
| Health Care                                     | CG-112        |
| Hearing Office                                  | CG-094        |
| Housing   | CG-1333       |
| Industrial Support Detachment                   | CG-45/DOL-3   |
| Intelligence Coordination Center                | CG-25/CG-21   |
| International Ice Patrol                        | CG-WWM-3      |
| Major Acquisition Systems Infrastructure (MASI) | CG-932        |
| Marine Safety Center (MSC)                      | CG-5PS        |
| Marine Safety Lab                               | CG-5PS        |
| Marine Safety Units (MSU)/Detachments (MSD)     | CG-741        |
| Maritime Safety Security Team (MSST)            | CG-ODO-2      |
| Maritime Security Response Team (MSRT)          | CG-ODO-2      |
| Maritime Intelligence Fusion Center (MIFC)      | CG-25/CG-21   |
| Morale, Well-Being, and Recreation (MWR)        | CG-CSC        |
| Museums   | CG-0922       |
| National Motor Lifeboat School                  | FORCECOM      |

**Table 10-1. Headquarters Planning Coordinators Continued**

| <b>Unit/Facility Type</b>                                      | <b>HQPC</b>   |
|--|---------------|
| National Data Buoy Center                                      | CG-5PW        |
| National Pollution Funds Center                                | CG-8          |
| National Strike Force Coordination Center (NSFCC)/Strike Teams | CG-5PS        |
| National Vessel Documentation Center                           | CG-CVC        |
| Navigation Center  | CG-NAV        |
| National Maritime Center                                       | CG-5PC        |
| Operations System Center (OSC)                                 | CG-64         |
| Personnel Service Center (PSC)                                 | CG-PCS-BOPS   |
| Port Security Units (PSUs)                                     | CG-ODO-2      |
| Project Resident Office (PRO)                                  | CG-93         |
| Recruiting Office  | CG PSC        |
| Representational Facilities (REPFACs)                          | CG-43/CG-1333 |
| Research and Development Center (RDC)                          | CG-926        |
| Sector Command Buildings                                       | CG-741        |
| Surface Forces Logistics Center (SFLC)                         | CG-45         |
| Small Arms Firing Ranges (SAFR)                                | CG-721        |
| Small Arms Repair Facility (SARF)                              | CG-721        |
| Tactical Law Enforcement Teams (TACLET)                        | CG-ODO-2      |
| Telecommunications and Information Systems Command (TISCOM)    | CG-64         |
| Training Centers (TRACENs)                                     | FORCECOM      |
| Training Quota Management Center (TQC)                         | FORCECOM      |
| Training Teams   | FORCECOM      |
| USCG Academy   | CG-12C        |
| USCG Yard  | CG-45         |
| USCG Band  | CG-0922       |
| Vessel Traffic Services  | CG-741        |



## Shore AC&I Strategic Timeline

| Shore AC&I Strategic Timeline |    |    |    |              |    |    |    |       |    |    |    |              |    |    |    |       |    |     |    |       |    |     |    |          |    |    |    |                  |    |        |    |     |  |                     |  |              |  |  |  |
|-------------------------------|----|----|----|--------------|----|----|----|-------|----|----|----|--------------|----|----|----|-------|----|-----|----|-------|----|-----|----|----------|----|----|----|------------------|----|--------|----|-----|--|---------------------|--|--------------|--|--|--|
| CY -6                         |    |    |    | CY -5        |    |    |    | CY -4 |    |    |    | CY -3        |    |    |    | CY -2 |    |     |    | CY -1 |    |     |    | CY       |    |    |    | CY +1            |    |        |    |     |  |                     |  |              |  |  |  |
| Q1                            | Q2 | Q3 | Q4 | Q1           | Q2 | Q3 | Q4 | Q1    | Q2 | Q3 | Q4 | Q1           | Q2 | Q3 | Q4 | Q1    | Q2 | Q3  | Q4 | Q1    | Q2 | Q3  | Q4 | Q1       | Q2 | Q3 | Q4 | Q1               | Q2 | Q3     | Q4 |     |  |                     |  |              |  |  |  |
| <b>Bud</b>                    |    |    |    |              |    |    |    |       |    |    |    |              |    |    |    | RP    |    | For |    | DHS   |    | OMB |    | Congress |    |    |    | Op Stage         |    |        |    |     |  |                     |  |              |  |  |  |
| <b>DBB</b>                    |    |    |    | DD-1391 (PS) |    |    |    | Appr  |    |    |    | DD-1391 (PP) |    |    |    | Appr  |    |     |    | PPR   |    |     |    | Appr     |    |    |    | A/E              |    | Design |    |     |  | IFB                 |  | Construction |  |  |  |
| <b>DB</b>                     |    |    |    | DD-1391 (PS) |    |    |    | Appr  |    |    |    | DD-1391 (PP) |    |    |    | Appr  |    |     |    | PPR   |    |     |    | Appr     |    |    |    | Design/Build RFP |    |        |    | AWD |  | Design/Construction |  |              |  |  |  |

**Key**

**FY** FY 0 Budget Cycle

**DBB** Design-Bid-Build Projects

**DB** Design-Build Projects

**Budget Key**

**RP** Resource Proposal

**For** Forecast Stage

**DHS** Department Stage

**OMB** OMB Budget Stage

**Cong** Congressional Stage

**Op** Operational Stage

**Documentation Key**

**PS** Problem Statement

**PP** Planning Proposal

**PPR** Project Proposal Report

**RFP** Request for Proposal

**IFB** Invitation for Bids

**AWD** Contracting and Award

**Appr** Review and Approval

**Constr** Design/Construction


Figure 10-1. Shore AC&I Strategic Timeline

|   |  |  |                        |                                 |              |
|---|--|--|------------------------|---------------------------------|--------------|
| 1. Component                              |  | FY 20 <input type="text"/> USCG ACQUISITION, CONSTRUCTION,<br>AND IMPROVEMENTS PROGRAM |                        | 2. Date                         |              |
| 3. Installation and Location/UIC          |  |  | 4. Project Title       |                                 |              |
| 5. Program Element                        |  | 6. Category Code   | 7. Project Number      | 8. Project Cost (\$000)         |              |
|   |  |  |                        | \$0                             |              |
| 9. AC&I COST ESTIMATE                     |  |  |                        |                                 |              |
| Item                                      |  | U/M  | Quantity               | Unit Cost                       | Cost (\$000) |
| + DEMOLITION                              |  |  |                        |                                 | \$0          |
| + SITE WORK                               |  |  |                        |                                 | \$0          |
| + EXTERIOR UTILITIES                      |  |  |                        |                                 | \$0          |
| + WATERFRONT/MARINE CONSTRUCTION          |  |  |                        |                                 | \$0          |
| + BUILDING CONSTRUCTION                   |  |  |                        |                                 | \$0          |
| + FURNISHINGS/EQUIPMENT                   |  |  |                        |                                 | \$0          |
| + OTHER                                   |  |  |                        |                                 | \$0          |
| COSTS SUBTOTAL                            |  |  |                        |                                 | \$0          |
| COST AMPLIFIERS                           |  |  |                        |                                 | \$0          |
| Survey & Design                           |  | <input type="text"/> %   |                        |                                 | \$0          |
| LEED Certification                        |  | <input type="text"/> %   |                        |                                 | \$0          |
| Construction Surveillance                 |  | Months of Construction   | \$12,000               | Cost Per Month                  | \$0          |
| Contingency                               |  | <input type="text"/> %   |                        |                                 | \$0          |
| Escalation                                |  | 0 % Annual Escalation  | <input type="text"/> % | # of Years <input type="text"/> | \$0          |
| <b>TOTAL REQUEST</b>                      |  |  |                        |                                 | \$0          |
| 10. Description of Proposed construction: |  |  |                        |                                 |              |
|   |  |  |                        |                                 |              |
| Bldg. #:                                  |  | Cat Code:  | RFPN:                  | PRV:                            |              |
| Bldg. #:                                  |  | U/M:   | Renov. Qty:            | Demo. Qty:                      | Expan. Qty:  |
| 11. Requirement:                          |  |  |                        |                                 |              |
| Adequate:                                 |  |  |                        |                                 |              |
| Substandard:                              |  |  |                        |                                 |              |
| Scope:                                    |  |  |                        |                                 |              |
|   |  |  |                        |                                 |              |

**Figure 10-2. (Sheet 1 of 5)  
DD1391 Template**

|   |  |  |                   |                         |  |
|---|--|--|-------------------|-------------------------|--|
| 1. Component  |  | FY 20 <input type="text"/> USCG ACQUISITION, CONSTRUCTION,<br>AND IMPROVEMENTS PROGRAM |                   | 2. Date                 |  |
| 3. Installation and Location/UIC  |  |  | 4. Project Title  |                         |  |
| 5. Program Element  |  | 6. Category Code   | 7. Project Number | 8. Project Cost (\$000) |  |
|   |  |  |                   | \$0                     |  |
| <p><b>Project:</b></p> <input type="text"/>   |  |  |                   |                         |  |
| <p><b>Requirement:</b></p> <input type="text"/>   |  |  |                   |                         |  |
| <p><b>Current Situation:</b></p> <input type="text"/>   |  |  |                   |                         |  |
| <p><b>Impact If Not Provided:</b></p> <input type="text"/>  |  |  |                   |                         |  |
| <p><b>Additional: Economic Alternatives Considered:</b></p> <input type="text"/>  |  |  |                   |                         |  |
| <p><b>12. Supplemental Data:</b></p> <p>A. Estimated Design Data:</p> <input type="text"/>                              |  |  |                   |                         |  |
| <p>B. Equipment associated with this project which will be provided from other appropriations:</p> <input type="text"/> |  |  |                   |                         |  |
| <p>C. Site Approval: <input type="text"/></p>   |  |  |                   |                         |  |

**Figure 10-2. (Sheet 2 of 5)  
DD1391 Template**

|  |  |   |                         |
|--|--|---|-------------------------|
| 1. Component   | FY 20 <span style="background-color: #ccccff;">          </span> USCG ACQUISITION, CONSTRUCTION,<br>AND IMPROVEMENTS PROGRAM |  | 2. Date                 |
| 3. Installation and Location/UIC   | 4. Project Title   |   |                         |
| 5. Program Element   | 6. Category Code   | 7. Project Number   | 8. Project Cost (\$000) |
| <span style="background-color: #ccccff;">          </span>   | <span style="background-color: #ccccff;">          </span>   | <span style="background-color: #ccccff;">          </span>                          | \$0                     |
| <p>D. Issues:</p> <p>Yes No</p> <p><input type="checkbox"/> <input type="checkbox"/> DDESB, AICUZ, Airfield, EMR, or Wetlands</p> <p><input type="checkbox"/> <input type="checkbox"/> Air quality</p> <p><input type="checkbox"/> <input type="checkbox"/> Endangered species/sensitive habitat:</p> <p><input type="checkbox"/> <input type="checkbox"/> Cultural/archeological resources</p> <p><input type="checkbox"/> <input type="checkbox"/> Clearing of trees</p> <p><input type="checkbox"/> <input type="checkbox"/> Known contamination at selected site/hazardous materials</p> <p><input type="checkbox"/> <input type="checkbox"/> Operational problems</p> <p><input type="checkbox"/> <input type="checkbox"/> Traffic patterns impact</p> <p><input type="checkbox"/> <input type="checkbox"/> Acoustic impact</p> <p><input type="checkbox"/> <input type="checkbox"/> Existing utilities upgrade</p> <p><input type="checkbox"/> <input type="checkbox"/> Ordnance sweep required prior to construction</p> <p>If yes to the above, please provide an explanation:</p> <div style="background-color: #ccccff; height: 20px; width: 100%; margin-top: 5px;"></div> <p>E. Planning (If no, please provide an explanation):</p> <p>Yes No</p> <p><input type="checkbox"/> <input type="checkbox"/> <span style="background-color: #ccccff; display: inline-block; width: 500px; height: 15px; vertical-align: middle;"></span></p> <p>F. National Capital Region Approval:</p> <p><input type="checkbox"/> Required</p> <p style="padding-left: 20px;">Approval Date: <span style="background-color: #ccccff; display: inline-block; width: 80px; height: 15px; vertical-align: middle;"></span></p> <p style="padding-left: 20px;">Expected Date: <span style="background-color: #ccccff; display: inline-block; width: 80px; height: 15px; vertical-align: middle;"></span></p> <p><input type="checkbox"/> Not Required</p> <p>G. NEPA Documentation:</p> <p>Yes No</p> <p><input type="checkbox"/> <input type="checkbox"/></p> <p>Level of NEPA</p> <p><input type="checkbox"/> Categorical Exclusion</p> <p><input type="checkbox"/> Environmental Assessment (EA)</p> <p><input type="checkbox"/> Environmental Impact Statement (EIS)</p> |  |   |                         |

**Figure 10-2. (Sheet 3 of 5)**  
**DD1391 Template**

|  |  |  |                   |                         |  |
|--|--|--|-------------------|-------------------------|--|
| 1. Component   |  | FY 20 [redacted] USCG ACQUISITION, CONSTRUCTION,<br>AND IMPROVEMENTS PROGRAM |                   | 2. Date                 |  |
| 3. Installation and Location/UIC   |  |  | 4. Project Title  |                         |  |
| 5. Program Element   |  | 6. Category Code   | 7. Project Number | 8. Project Cost (\$000) |  |
|  |  |  |                   | \$0                     |  |
| <p>H. Mitigation Issues:</p> <p>Yes No</p> <p><input type="checkbox"/> <input type="checkbox"/> Wetlands replacement/enhancement</p> <p><input type="checkbox"/> <input type="checkbox"/> Hazardous waste</p> <p><input type="checkbox"/> <input type="checkbox"/> Contaminated soil/water</p> <p><input type="checkbox"/> <input type="checkbox"/> Other</p> <p>I. Environmental Cleanup:</p> <p><input type="checkbox"/> Required</p> <p style="padding-left: 20px;">Start Date: [redacted]</p> <p style="padding-left: 20px;">Completion Date: [redacted]</p> <p><input type="checkbox"/> Not Required</p> <p>J. Project Issues:</p> <p>Yes No</p> <p><input type="checkbox"/> <input type="checkbox"/> Systems safety</p> <p><input type="checkbox"/> <input type="checkbox"/> Soils - foundation and seismic conditions</p> <p><input type="checkbox"/> <input type="checkbox"/> Soils - foundation and seismic conditions</p> <p><input type="checkbox"/> <input type="checkbox"/> Construction/operational permits</p> <p><input type="checkbox"/> <input type="checkbox"/> Local air quality/wastewater permits</p> <p><input type="checkbox"/> <input type="checkbox"/> Complies with Final Governing Standard (Environmental standard for Spain, Italy and Greece)</p> <p><input type="checkbox"/> <input type="checkbox"/> Land Acquisition (i.e., location, quantity)</p> <p><input type="checkbox"/> <input type="checkbox"/> Technical Operating Manuals</p> <p><input type="checkbox"/> <input type="checkbox"/> Feasibility/Constructibility in FY</p> <p><input type="checkbox"/> <input type="checkbox"/> Historic Preservation</p> <p><input type="checkbox"/> <input type="checkbox"/> Does the facility have an overhead crane requirement?</p> <p><input type="checkbox"/> <input type="checkbox"/> Navy Crane Center contacted to assist with dev. of crane estimate (lifting capacity &lt; 10 tons)?</p> <p><input type="checkbox"/> <input type="checkbox"/> Navy Crane Center contacted to coord. Procurement and Timelines (lifting capacity &gt;= 10 tons)?</p> <p><input type="checkbox"/> <input type="checkbox"/> Physical Security:</p> <p style="padding-left: 20px;"><input type="checkbox"/> Shielding</p> <p style="padding-left: 20px;"><input type="checkbox"/> SCIF</p> <p style="padding-left: 20px;"><input type="checkbox"/> Fencing</p> <p style="padding-left: 20px;"><input type="checkbox"/> IDS</p> <p style="padding-left: 20px;"><input type="checkbox"/> Other Type:</p> <p>If yes to the above, please provide an explanation:</p> <div style="background-color: #e0e0ff; height: 150px; width: 100%;"></div> |  |  |                   |                         |  |

**Figure 10-2. (Sheet 4 of 5)  
DD1391 Template**

|  |  |  |                   |                         |  |
|--|--|--|-------------------|-------------------------|--|
| 1. Component   |  | FY 20 [redacted] USCG ACQUISITION, CONSTRUCTION,<br>AND IMPROVEMENTS PROGRAM |                   | 2. Date                 |  |
| 3. Installation and Location/UIC   |  |  | 4. Project Title  |                         |  |
| 5. Program Element   |  | 6. Category Code   | 7. Project Number | 8. Project Cost (\$000) |  |
|  |  |  |                   | \$0                     |  |
| <p>K. Facility Sustainable Development:</p> <p>"Design of Sustainable Facilities and Infrastructure", team focus has been applied with improvements proposed beyond guidance cost. Justification required for each item checked. Final design authorization will confirm acceptance of features discussed. We are accepting the Green Building Councils LEED tm rating system, on a self-certification basis, along with cost impact analysis as justification:</p> <p>Yes No</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <input type="checkbox"/> Increased energy conservation of integrated building systems beyond DOD standards where preliminary calculation demonstrates Life Cycle Cost (LCC) benefit.</li> <li><input type="checkbox"/> <input type="checkbox"/> Use of renewable energy resources where LCC demonstrates feasibility.</li> <li><input type="checkbox"/> <input type="checkbox"/> Monitoring and/or reduction or elimination of toxic and harmful substances in building environment.</li> <li><input type="checkbox"/> <input type="checkbox"/> Life cycle cost analysis which includes value of increased or enhanced personnel productivity.</li> <li><input type="checkbox"/> <input type="checkbox"/> Efficiency in water resource conservation from recycled used, ground recharge, etc. supported on a cost or locale requirement basis.</li> <li><input type="checkbox"/> <input type="checkbox"/> Increased use of materials and products with recycled and/or recyclable content. Generally expected to be competitive in the market and within guidance cost.</li> <li><input type="checkbox"/> <input type="checkbox"/> Recycling of construction waste and building materials after demolition.</li> <li><input type="checkbox"/> <input type="checkbox"/> Reduction in waste products as a consequence of construction.</li> <li><input type="checkbox"/> <input type="checkbox"/> Building systems commissioning to assure full interoperability.</li> </ul> |  |  |                   |                         |  |
| <p>Attachments:</p> <div style="background-color: #ccccff; height: 40px; width: 100%;"></div>  |  |  |                   |                         |  |
| <p>Activity POCs:</p> <div style="background-color: #ccccff; height: 40px; width: 100%;"></div>  |  |  |                   |                         |  |
|  |  |  |                   |                         |  |

**Figure 10-2. (Sheet 5 of 5)  
DD1391 Template**

**DD1391 Attachments**

| Attachments | Description  | PS                        | EP | PP | PPR |
|-------------|--|---------------------------|----|----|-----|
| 1           | Acronyms   |                           |    |    |     |
| 2           | Vicinity Map, Location Map, Site Plans, Sketches   | Vicinity map is desirable |    |    |     |
| 3           | Memos, Letters, Endorsements, Planning Factors approval, references, other project documents |                           |    |    |     |
| 4           | PAL & BFR  |                           |    |    |     |
| 5           | Detailed Cost Estimate and Economic Analysis   |                           |    |    |     |
| 6           | Detailed Alternative Analysis include Planning Factors and Stakeholder's Criteria            |                           |    |    |     |
| 7           | Environmental Documentation  |                           |    |    |     |
| 8           | CG-LSC Legal Review  |                           |    |    |     |
| 9           | Real Property Issues   |                           |    |    |     |
| 10          | Photographs  |                           |    |    |     |
| 11          | Meetings Minutes & Trip Reports  |                           |    |    |     |
| 12          | Engineering Studies  |                           |    |    |     |
| 13          | Electronics Input  |                           |    |    |     |
| 14          | Target Project Schedule  |                           |    |    |     |
| 15          | Furnishings/Equipment  |                           |    |    |     |
| 16          | Deviations from the PP/BFR   |                           |    |    |     |
| 17          | Project Design Parameters  |                           |    |    |     |
| 18          | Planning & Design (Design Status, etc.)  |                           |    |    |     |
| 19          | Misc Support Data (Quantitative Data, TEMPEST, ESQD, etc.)                                   |                           |    |    |     |
| 20          | Information Systems (AFC-42 cost)  |                           |    |    |     |
| 21          | Force Protection   |                           |    |    |     |
| 22          | Disposal/Demo Data   |                           |    |    |     |
| 23          | Project Impact to Shore Facility Inventory   |                           |    |    |     |
| 24          | NAF/AAFES (only applies to certain programs)   |                           |    |    |     |
| 25          | Congressional Add Data Sheets  |                           |    |    |     |
| ...         | Other attachments as necessary   |                           |    |    |     |

**Legend:**

|  |  |
|--|--|
|  | Required information – explain if not provided |
|  | Desirable if information is known or available |
|  | Not Required but may be desirable              |

**Figure 10-3. DD1391 Tabs and Attachments**





## CHAPTER 11. BUILDING CODE STANDARDS

- A. PURPOSE.** This chapter contains policy for the use of building codes in the design, construction, and occupancy of all USCG shore facilities. The building code landscape has changed with the merger of the three model national building codes, Building Officials Code Administrators International, Inc. (BOCA), Southern, and Uniform, into one national code creating council, the International Code Council (ICC). The ICC first published the International Building Code (IBC) in 2000 and updates this code and all other international codes on a 3-year cycle. ICC encourages government participation in the code consensus process.
- B. NATIONAL MODEL BUILDING CODE.** The national model building code for USCG shore facilities constructed within the United States and its territories must be the latest edition of the IBC except where more stringent requirements of the following codes and standards are in effect which will take precedence over the IBC. Existing facilities are grandfathered to comply with the applicable code in the year constructed or the year of last major renovation.
1. Exceptions to National Model Building Code.
    - a. The Life Safety Code, National Fire Protection Association #101. The National Fire Protection Association (NFPA) Code #101, Life Safety Code, will take precedence over any conflicting requirements of the IBC. The building official is authorized under 29 CFR Part 1910 to substitute compliance with the International Fire Code (IFC) in lieu of the Life Safety Code provided this change is documented in the building's design documents.
    - b. The National Electrical Code, National Fire Protection Association #70. NFPA Code #70, National Electric Code, will take precedence over any conflicting requirements of the IBC. This code is further modified with a prohibition on the use of aluminum conductors in building interior power distribution systems.
    - c. Aircraft Hangar Fire Protection, National Fire Protection Association Standard #409. All new aircraft hangars must be equipped with a foam-water deluge system in the main hangar area, designed in accordance with NFPA Standard #409, Aircraft Hangar Fire Protection, except that closed head discharge sprinkler heads will be required. Hangar lean-to areas must be separated from the main hangar area by 1-hour firewalls. Curbs, ramps, or drains must be provided at all openings which penetrate the separating wall. Automatic sprinkler systems must be provided in all lean-to areas. Spill control (in the form of holding tanks) must be provided around foam storage tank(s) to prevent spilled/leaked foam concentrate from reaching any drains (UFC 3-600-01, Fire Protection Engineering for Facilities). Spill control must be sized to contain 100% of the tank capacity.
    - d. Architectural Barriers Act Accessibility Guidelines. The Architectural Barriers Act Accessibility Guidelines (ABAAG) will take precedence over any conflicting requirements of the IBC for existing buildings. In order to be in compliance with Section 504 of the Rehabilitation Act of 1973, existing buildings will be brought into compliance with the ABAAG.

- e. Americans with Disabilities Act Accessibility Guidelines. The Americans with Disabilities Act Accessibility Guidelines (ADAAG) will take precedence over any conflicting requirements of the IBC for new building construction.
- f. International Residential Code. International Residential Code (IRC) will be used for the design and construction of detached one- and two-family dwellings and multiple single-family dwellings (townhouses) not exceeding three stories in height.
- g. Seismic Code Compliance. Shore Infrastructure Logistics Center (SILC) will maintain an inventory of buildings requiring seismic retrofit and recommended projects to the Centralized Planned Obligation Prioritization (C-POP) and local POPs annually until the inventory has been upgraded.

**C. LOCAL CODES AND STANDARDS.** Many states and subordinate localities have their own building codes and standards. These codes are usually adapted from or patterned after the IBC. While adherence to local building codes and standards is not required, adherence to the requirements of local codes which are more restrictive than the IBC should be evaluated and followed where it is in the best interest of the government.

**D. DEPARTMENT OF DEFENSE INSTALLATIONS.** In situations where a USCG facility is located on a Department of Defense (DoD) site, the host installation may require conformance with DoD design standards. If these standards conflict with the IBC, then DoD standards will still be used.

**E. LOCATIONS OUTSIDE THE UNITED STATES.** USCG shore facility designs that are to be built outside the United States and its territories will be in conformance with the IBC, except where the host nation uses a building code which contains additional or more restrictive requirements; those requirements may be followed as determined by the building official.

**F. AUTHORITY HAVING JURISDICTION.**

1. USCG. The Authority Having Jurisdiction (AHJ) for USCG shore facilities is the Assistant Commandant for Engineering and Logistics, Commandant (CG-4) and is delegated to the Office of Civil Engineering, Commandant (CG-43). This responsibility may not be further delegated.
2. United States Access Board. The AHJ for all barrier-free access interpretations of the ABAAG and the ADAAG is the United States Access Board. The USCG does not have the authority to grant waivers to the ABAAG or the ADAAG and, in general, will be very reluctant to request any waiver.

**G. BUILDING OFFICIAL.** The SILC Commanding Officer (CO) is appointed as the building official for USCG shore facilities. The duties of the building official are set forth in the IBC Section 104. The SILC CO may delegate his/her duties to a duly authorized representative or representatives; such delegation must be made in writing and cannot be further delegated.

**H. WAIVERS TO BUILDING CODES.** Any requested waivers to the building codes policy may be granted only on a case-by-case basis, and only where sufficient justification exists. Waiver requests will be submitted in writing to the building

official. The USCG does not have the authority to grant waivers to the ABAAG and in general will be very reluctant to request any waiver from the Access Board. Specific waivers to the ABAAG for office buildings (category code 610) will be referred to the General Services Administration (GSA) for approval; specific waivers to the ABAAG for family housing (category code 711) will be referred to the Department of Housing and Urban Development (HUD).

#### **I. CERTIFICATE OF OCCUPANCY.**

1. Certificate Issuance. No building or structure will be used or occupied, and no change in the existing occupancy classification of a building or structure or portion thereof will be made until the building official has issued a certificate of occupancy.
2. Temporary Certificate. The building official is authorized to issue a temporary certificate of occupancy before the completion of the entire work provided that such portion or portions will be occupied safely. The building official must set a time period during which the temporary certificate of occupancy is valid.
3. Certificate Revocation. The building official is authorized to revoke a certificate of occupancy whenever the certificate is issued in error or where it is determined that the building or structure or portion thereof is in violation of any USCG regulation or any provisions of the applicable building codes.

#### **J. UNSAFE FACILITIES.**

1. Determination of Unsafe Facilities. Buildings, structures, or utilities that become unsafe, insanitary, or deficient because inadequate means of egress, inadequate light and ventilation, constitute a fire hazard, involve illegal or improper occupancy, inadequate maintenance, or otherwise endanger human life will be deemed in an unsafe condition by the building official. Unsafe buildings, structures, or utilities must be demolished or made safe, as the building official deems necessary. An unoccupied building that is not secured against entry must be deemed unsafe.
2. Unsafe Facilities Report. The building official will initiate a report to be filed on the facilities unsafe condition. The report will state the nature of the unsafe condition.
3. Unsafe Facilities Action Report. The building official will prepare a report that specifies the required repairs or improvements to be made to abate the unsafe condition or that requires the unsafe building, structure, or utility to be demolished within a stipulated time.
4. Restoration to Safe Condition. The building, structure, or utility determined to be unsafe by the building official is permitted to be restored to a safe condition. After repairs have been completed, the building official will inspect the facility to ensure compliance with the building code. A new Certificate of Occupancy will be reissued.

#### **K. DEMOLITION.**

1. General Services Administration Procedures. The USCG's delegated authority from GSA for the demolition of buildings, structures, and utilities expired in 2006 and has not been renewed. In accordance with the Federal

Property Management Regulations (FPMR), GSA must be informed when a facility asset is removed from the Federal real property inventory and the justification for such removal.

2. USCG Procedures. The demolition of a building, structure, or utility will be considered a disposal action and is subject to the procedures of Real Property Management Manual, COMDTINST M11011.11 (series).
- L. HEALTH, SAFETY, AND SECURITY INSPECTIONS.** Many USCG Program offices have a vested interest in shore facilities other than the Civil Engineering (CE) Program. This policy in no way will be construed to interfere with the subject matter experts in the health, safety, or security programs and the rules and regulations promulgated within their Commandant Instructions (COMDTINSTs) as they interface with facilities. The CE Program should use these inspections as an aid in determining the issuance of a building occupancy permit or a building demolition determination.
- M. LAND CONDEMNATION.** Land condemnation is articulated in Real Property Management Manual, COMDTINST M11011.11 (series).
- N. TECHNICAL AUTHORITY.** The Technical Authority (TA) for building codes resides with the Assistant Commandant for Engineering and Logistics (CG-4), who is also the Warranting Officer (WO) for naval, aeronautical, industrial, and civil engineering disciplines, as well as logistics. The Deputy Warranting Officer (DWO) is the Chief, Office of Civil Engineering. The WO and the DWO will appoint the CO, SILC as the Technical Warrant Holder (TWH) for building codes. The TWH may identify and appoint qualified subject matter experts (SMEs) to assist in the implementation of this requirement.
- O. FUNDING.** Funding for facility repairs, building code compliance, and demolition must be in accordance with the policies of Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), and this Manual.
- P. BARRIER-FREE DESIGN.**
1. Architectural Barriers Act of 1968. The Architectural Barriers Act (ABA) provides protection for people with disabilities on Federal government property or in Federal government buildings. The standards the federal government uses to meet accessibility requirements for the design, construction, and alteration of buildings are the ABAAG. The ABAAG allows a military exclusion from compliance for all facilities which are intended for use or occupancy by able-bodied military personnel only, i.e., 100 percent military usage. The USCG will use the ABAAG in determining compliance only in existing buildings.
  2. Americans with Disabilities Act of 1990. The Americans with Disabilities Act (ADA) provides protection for people with disabilities, parallel to laws established by the Federal government to protect women and minorities from discrimination. The standards the private sector, local governments, and State governments use to meet accessibility requirements are ADAAG. The USCG must use ADAAG in determining compliance in all new buildings. Given the DoD Wounded Warrior Program and the need to have flexibility in facility usage over the lifespan of the building, designing new buildings to ADA standards is economically justified.

3. Section 504, Rehabilitation Act of 1973. Section 504 of the Rehabilitation Act of 1973 requires the USCG to ensure that individuals with disabilities, both civilian employees and members of the public, are not excluded from or discriminated against under any program or activity because the facilities are inaccessible. All USCG-owned, USCG-leased, and GSA-leased office buildings occupied by the USCG will be surveyed to ensure program compliance with Section 504. The ABAAG provides the technical standards to evaluate this compliance. The USCG is required to submit an annual report (MD-715) to Office of Management and Budget (OMB) on progress in achieving Section 504 compliance.
4. USCG Accessibility Compliance. There are a number of USCG structures in which accessibility by individuals with disabilities is appropriate and compliance with the law is mandatory. These structures are divided into the following five categories:
  - a. Civilian Business. Buildings or parts of buildings to which the civilian public is invited or must enter to conduct normal business.
  - b. Civilian Employment. Buildings or parts of buildings in which civilians with disabilities may find employment.
  - c. Contract Employees. Buildings or parts of buildings in which contract employees with disabilities may find employment.
  - d. Dependents. Facilities which service or benefit the dependents of USCG personnel.
  - e. Family Housing. In pursuance of section 4.1.4(3) of Uniform Federal Accessibility Standards (UFAS), all Family Housing must be designed and constructed with at least 5 percent of the total but at least one unit (on an installation-by-installation basis) of all housing constructed to accommodate individuals with disabilities. Such housing must be either accessible or readily and easily modifiable to be accessible. The modification of individual units (including the making of adaptations) will be accomplished on a high priority basis when a requirement is identified. Common areas such as walks, streets, parking, and play areas, and common entrances to multi-unit facilities must be designed and built to be accessible.



## CHAPTER 12. SHORE INFRASTRUCTURE ASSET STANDARDS

**A. PURPOSE.** The information in this chapter establishes policy regarding specific types of infrastructure. No new funding is provided to specifically support new projects generated from this chapter. New projects will be prioritized at the SILC POP boards in accordance with Chapter 2, Civil Engineering Resource Management Overview.

### **B. DESIGN GUIDANCE.**

1. The Shore Facilities Standards Manual (SFSM), COMDTINST M11012.9 (series) provides space standards for planning and design of USCG facilities. The standards in the SFSM, along with the standards provided in this chapter, must be utilized in the planning and design of USCG infrastructure.
2. The DoD publishes Unified Facilities Criteria (UFC) that provide guidance for a wide range of infrastructure types. It is recommended that SILC planners and designers refer to and use the UFC as applicable in the development and design of USCG infrastructure.
3. The SILC will develop and maintain USCG design guides to enable configuration management of USCG infrastructure.

### **C. BOAT INFRASTRUCTURE ASSETS.**

1. **GENERAL.** The following definitions apply to this section:
  - a. **Boat.** A vessel less than 65 feet in length.
  - b. **Trailerable Boat.** Any boat that is capable of being removed from the water via trailer.
  - c. **Non-trailerable Boat.** Any boat that is removed from the water via a means other than a trailer (typically a mobile boat hoist).
  - d. **Covered Mooring.** A structure located at a dock that provides shelter to a boat while moored. Covered moorings are intended to provide shelter for the ready boat(s) and protect crews performing boat maintenance, boat checks, and dockside training while boats remain in the water.
  - e. **Boat Maintenance Facility (BMF).** A BMF is an enclosed structure on land that accommodates a boat(s) and provides ample space for the crew to conduct boat maintenance. A BMF also accommodates associated equipment such as a mechanical lift, boat trailer/cradle, and tool storage.
  - f. **Boat Storage Facility (BSF).** An enclosed or partially enclosed structure on land that serves primarily to keep boats protected from the weather. A BSF maintains the condition of a boat. BSFs do not accommodate boat maintenance functions and typically are not climate controlled.
  - g. **Boat Ramps.** A structure sloped into the waterfront to provide boat launch and retrieval for boats.
  - h. **Boat Fueling Infrastructure.** All systems and tanks that support the fueling of boats for readiness, routine operations, and training evolutions.
  - i. **Bravo Zero Response Boat.** A boat that is required to maintain Bravo Zero status.

## 2. POLICY.

### a. General Requirements.

- (1) For new projects, the total number of bays for covered moorings, BMFs, and BSFs must not exceed the total authorized boat allowance for the shore unit(s).
- (2) When constructing Boat Infrastructure, engineers must consider environmental, land availability, and other factors such as future status of the unit, number and types of boats assigned, and operational schedule. Environmental factors may possibly prohibit construction of Boat Infrastructure regardless of the justifiable need (e.g., contamination in the harbor, tidal range, wildlife protection). Land availability may also limit construction and/or expansion regardless of the need.
- (3) The USCG will fund construction of boat infrastructure projects in accordance with Chapter 4 and Chapter 5 of this Manual. Commandant (CG-43) will only authorize use of AFC-43 Depot Level Maintenance funds to construct boat infrastructure when the scope of the proposed project meets the guidelines of the Minor Construction Authority and the project scope fully meets the shore unit's mission requirements. Specifically, boat infrastructure projects must not be reduced in scope to allow for execution within the Minor Construction Authority.
- (4) The SILC will prepare boat infrastructure project documentation in accordance with Chapter 4 and Chapter 10 of this Manual to identify project alternatives, solutions, and costs.

### b. Covered Moorings.

- (1) Shore units are authorized one covered mooring if:
  - (a) One Bravo Zero response boat is sited year-round, and
  - (b) The District Commander determines that environmental factors are such that a covered mooring will enhance unit readiness.
- (2) For new planning and design initiatives, a two-bay covered mooring is authorized for protection of the ready boat and protection of a second platform (to aid maintenance efforts) if:
  - (a) One Bravo Zero response boat is sited year-round,
  - (b) The shore unit frequently keeps two boats in the water, and
  - (c) The District Commander determines that environmental factors are such that construction of a covered mooring will enhance unit readiness. The District Commander must provide an endorsement of the project document to validate that the covered mooring(s) will enhance unit readiness.



- (3) For units that have one existing covered mooring to accommodate the ready boat, but may be authorized a two-bay covered mooring per Paragraph 12.C.2.b.(2) above, construction of a second covered mooring will only be considered if the unit is located in an extreme weather environment (as defined in Paragraph 12.C.2.g.) and the second covered mooring is intended to accommodate a non-trailerable boat. Otherwise, a covered mooring may only be upgraded to a two-bay covered mooring when the existing structure reaches the end of its lifespan.
- (4) Covered moorings that accommodate multiple boats must consist of one structure where possible.

c. Boat Maintenance Facilities.

- (1) Construction of BMFs will comply with all applicable codes and standards to include: International Building Codes, Unified Facility Criteria, and Occupational Safety and Health Administration standards. BMFs for Sectors will accommodate maintenance functions for trailerable and non-trailerable boats. BMFs at shore units (other than Sectors) will accommodate maintenance functions for trailerable boats only.
- (2) Construct new BMFs to accommodate a 10% increase in future boat dimensions (clear height, length, width) where possible. The 10% increase in capacity will provide future flexibility in the event that boat replacements increase in size.
- (3) Maintenance of trailerable boats.
  - (a) All shore units, except Stations (small), who operate a trailerable boat and conduct maintenance are authorized a BMF.
  - (b) For installations with multiple tenants, BMFs must be sized to accommodate the installation's total authorized boat complement where possible. This will provide a centralized service location and eliminate the requirement to build multiple BMFs.
  - (c) New BMFs will be sized according to the following table:

| No. of Authorized Trailerable Boats | No. of Maintenance Bays Authorized |
|-------------------------------------|------------------------------------|
| 1-4                                 | 1                                  |
| 5-8                                 | 2                                  |
| 9-12                                | 3                                  |
| 13-16                               | 4                                  |
| 17-20                               | 5                                  |

- (d) If a shore unit operates multiple trailerable boat types, the BMF must be sized to accommodate at least one of the largest boat types.
- (4) Maintenance of non-trailerable boats.
- (a) Infrastructure requirements for non-trailerable boats can include marine railways and finger piers for mobile boat hoists haul-outs and BMFs.
  - (b) All Sectors are authorized a one-bay BMF that supports their complement of non-trailerable boats.
  - (c) Formal planning documentation must be utilized for new BMF projects beyond the standard one-bay Sector BMF allowance for non-trailerable boats. The analysis must address the following:
    - [1] Impact that the lack of adequate boat support facilities have on the unit's operations and readiness,
    - [2] Operational impact of relying on offsite commercial or offsite USCG-owned facilities,
    - [3] Frequency non-trailerable boats are hauled out,
    - [4] Type of maintenance conducted at the site for non-trailerable boats (organizational level or depot level),
    - [5] Economic analysis of the cost to build and maintain support facilities versus using commercial facilities, and
    - [6] A determination on maintenance support for haul-out gear (i.e., if Small Boat Product Line will support mobile boat hoists or if SILC will support marine railways).
- d. Boat Storage Facilities.
- (1) The following units are authorized BSFs:
    - (a) Deployable Specialized Forces located in a region with extreme weather conditions as identified in Paragraph 12.C.2.g.,
    - (b) Reserve units that must maintain trailerable boats in readiness status with minimal daily staffing,
    - (c) District Nine assets for winter SAR missions (e.g., air boats, ice boats), and
    - (d) Aids to Navigation teams located in extreme weather climates as identified in Paragraph 12.C.2.g.
  - (2) Additional BSFs may be authorized with a thorough analysis of the need and impact to mission execution.
  - (3) BSFs are not authorized for boats that also have the capability to be sheltered by covered moorings or BMFs.

e. Boat Ramps.

- (1) Project documentation for boat ramps must consider the following factors:
  - (a) Proximity and ease of access to the nearest boat ramp,
  - (b) Availability of the nearest boat ramp,
  - (c) If the installation of a boat haul-out is feasible or more costly than the construction of a boat ramp,
  - (d) If the constructed boat ramp will support USCG operations year-round,
  - (e) Documented impact to unit's operations if a boat ramp is not constructed,
  - (f) Discussion on the safety and practicality of hauling boats in and out of the water at the local public boat ramp (i.e., local ramp may be poorly lit, difficult launch angle, etc),
  - (g) The environmental impact that boat ramp construction will have on the site, and
  - (h) The cost of constructing and maintaining the boat ramp.

f. Boat Fueling Infrastructure.

- (1) Shore units with a Bravo Zero Response Boat required to transit in excess of 20 minutes (one way) to a reliable fuel source are authorized USCG-owned Boat Fueling Infrastructure.
- (2) The SILC will size tanks to hold a 2-week supply of fuel based on normal cruising speed and program hours. Fuel tanks will accommodate fueling needs for all boats at a unit, not just the Bravo Zero assets.

g. Extreme Weather Criteria.

- (1) Shore units with weather conditions that meet one of the following criteria are considered to be located in an extreme weather environment:
  - (a) The long-term average number of days where the maximum temperature is greater than or equal to 90 °F more than 60 days per year,
  - (b) The long-term average number of days with precipitation greater than or equal to 0.1 inch occurs more than 180 days per year,
  - (c) The long-term average number of days with a minimum temperature of less than or equal to 32 °F more than 100 days per year, or
  - (d) The long-term average number of days with a snow depth greater than or equal to 1.0 inch occurs more than 50 days per year.

- (2) Weather criteria data must be based on the National Climatic Data Center published by the National Oceanic and Atmospheric Administration (NOAA).

**D. AIRCRAFT INFRASTRUCTURE ASSETS.**

- 1. Aircraft Hangar Fire Protection. All new aircraft hangars will comply with Paragraph 11.B.1.c.
- 2. Design Criteria. UFCs 3-260-01, 3-260-02, and 4-211-01N provide guidance for design of aircraft infrastructure and airfields.
- 3. Aircraft Hanging Policy. New aircraft hangar decks will be sized to provide for 100% hanging of rotary wing aircraft. New aircraft hangar decks for fixed wing aircraft will be sized according to the following table:

| No. of Fixed Wing Aircraft | No. of Hangar Bays |
|----------------------------|--------------------|
| 1                          | 1                  |
| 2-4                        | 2                  |
| 5-6                        | 3                  |
| 6+                         | 4                  |

Deviations from this table will be considered on a case-by-case basis and must be fully justified in project documentation.

**E. HOUSING AND REPRESENTATIONAL FACILITY ASSETS.**

- 1. The USCG Housing Manual, COMDTINST M11101.13 (series), establishes the policy for USCG housing. The Assistant Commandant for Human Resources, Commandant (CG-1), is responsible for housing program administration and establishes Area Housing Authorities (AHA) area of jurisdiction, designates Command housing, determines where family and unaccompanied housing is required, and declares owned housing inadequate. Commandant (CG-43) is the housing asset manager and will acquire, maintain, and dispose of USCG housing in accordance with Commandant (CG-1) policy and the policy set forth in this Manual.
- 2. The Representational Facilities and Flag Quarters Manual, COMDTINST M11103.1 (series), provides the policy for Representational Facilities (REPFACs). Commandant (CG-43) is designated as the REPFAC and Flag Quarters Program Manager in support of Deputy Commandant for Mission Support (DCMS), Commandant (CG-1), and Commandant (CG-4). Commandant (CG-43) serves as the primary headquarters liaison to the base support construct.
- 3. New housing projects must comply with barrier-free design as discussed in Chapter 11, Building Code Standards.
- 4. The SILC will develop and maintain a process guide(s) which identifies OLM and processes for the maintenance of housing units.

**F. SMALL ARMS FIRING RANGE ASSETS.**

1. The Ordnance Manual, COMDTINST M8000.2 (series), promulgates policy guidelines and instructions for the administration, use, training, and maintenance of service weapons and weapon systems by the USCG. The Assistant Commandant for Capability, Commandant (CG-7), is responsible for administering the program elements that involve basic weapons qualification courses and weapons training, and procurement of all service small arms and ammunition.
2. The SILC will acquire, maintain, and dispose of USCG Small Arms Firing Ranges (SAFR) in accordance with Commandant (CG-7) policy and the policy set forth in this Manual. The Department of the Air Force Engineering Technical Letter (ETL) 11-18: Small Arms Range Design and Construction provides guidance on design and construction of small arms firing ranges.
3. The SILC will develop and maintain a process guide(s) which identifies OLM and DLM processes for maintenance of ranges. The SILC's processes will consider the guidance contained in Best Management Practices for Lead at Outdoor Shooting Ranges, Environmental Protection Agency, EPA-902-B-01-001 and Preventing Occupational Exposures to Lead and Noise at Indoor Firing Ranges, Department of Health and Human Services Publication Number 2009-136.

**G. RELOCATABLE BUILDINGS.**

1. General.
  - a. A relocatable building is a portable building designed to be readily moved and reused. Relocatables are generally assembled offsite and transported to a site for use. Relocatables may be one unit or multiple units connected together. Relocatables may or may not be anchored to the ground, placed on concrete blocks, and skirted. Not all pre-engineered (and modular) structures are considered relocatable buildings. A pre-engineered trailer (single or multiple components) is typically considered a relocatable building. A trailer (single or multiple partitions) will be considered a relocatable building, but a pre-engineered modular structure may not be relocatable.
  - b. The USCG must ensure government funds are executed appropriately and efficiently in accordance with the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), Office of Management and Budget (OMB) Circular A-11 and the Antideficiency Act. The use of relocatable buildings conflicts with Congressional intent for budget execution and is not an acceptable means of providing facilities for long-term needs.
  - c. Relocatable buildings are classified as real or personal property in accordance with the USCG Facilities Classification Guide.

2. Use Of Relocatable Buildings.
  - a. Relocatable buildings may be used to support USCG operations following a natural disaster or during Incident Management events.
  - b. Relocatable buildings may be procured to support USCG operations while awaiting the execution of an approved and funded permanent facility solution. For example, the SILC may procure a relocatable building to accommodate personnel displaced during the execution of an Acquisition, Construction, and Improvement (AC&I) or AFC-43 DLM project.
  - c. Relocatable buildings must not be procured to circumvent the AC&I planning and construction processes described in Chapter 5 and Chapter 10 of this Manual.
3. Acquisition Of Relocatable Buildings. Acquisition of relocatable buildings should be limited. Relocatable buildings will only be purchased with the written consent of Commandant (CG-43).
4. Lease Of Relocatable Buildings. Lease of relocatable buildings should be limited. Relocatable buildings may be leased when the total cost of the project (personal property lease, site work, foundation, utilities, cost of removal, etc.) for the life of the lease does not exceed the cost to purchase the relocatable building. All leases of relocatable buildings will be scored in accordance with OMB Circular A-11, Appendix B. Capital leases and lease-purchase arrangements are not permitted without the written consent of Commandant (CG-43). Generally, only operating leases are permitted, and operating leases will be analyzed to ensure compliance with OMB Circular A-11, Appendix B. Leases of relocatables are executed by government contract through a contracting officer.

## **H. AIDS TO NAVIGATION AND MARINE ENVIRONMENTAL RESPONSE ASSETS.**

1. Aids to Navigation Assets.
  - a. The term ATON includes the USCG-wide inventory of floating and fixed ATON platforms (navigational buoys and fixed ATON structures). ATON also includes visual and audible signal technology and power systems used on floating and fixed platforms. Fixed ATON are classified as real property in accordance with the USCG Facilities Classification Guide.
  - b. The Office of Visual Navigation, CG-NAV-1, is the ATON program manager.
  - c. The SILC will fund ATON projects in accordance with Chapter 4 and Chapter 5 of this Manual and the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series).

- d. The SILC's ATON/MER Asset Line is responsible for providing engineering support and process development for the USCG-wide inventory of ATON equipment and systems. The SILC oversees the design and construction of new ATON structures and the repair, replacement, and upgrade of existing structures. The ATON/MER Asset Line will serve as the Contracting Officer's Representative (COR) for acquisition of new buoys and mooring equipment.
2. Marine Environmental Response Assets.
    - a. The term Marine Environmental Response (MER) includes land-based pre-positioned Vessel of Opportunity Skimming Systems (VOSS), Spilled Oil Recovery Systems (SORS) onboard USCG cutters, oil containment booms, hydraulically-driven chemical and oil transfer pumping systems, pollution response barges, portable oil containment devices, oil/water separators, power packs, transport systems, and storage systems.
    - b. The Office of Marine Environmental Response Policy, CG-MER, is the MER program manager.
    - c. The SILC will fund MER equipment in accordance with the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series).
    - d. The SILC's ATON/MER Asset Line will provide engineering support and process development for the USCG-wide inventory of MER equipment and systems. The SILC will administer contracts to purchase new MER equipment and systems. The ATON/MER Asset Line staff will provide technical support and serve as Contracting Officer's Representatives (COR) for MER equipment procurement.
  3. ATON and MER Process Guides. The SILC will develop and maintain a process guide(s) which identifies OLM and DLM processes for maintenance of ATON and MER.





## CHAPTER 13. FACILITY ASSESSMENTS

- A. PURPOSE.** This chapter contains policy for the execution of facility assessments, or condition assessments, for all shore facilities. A facility condition assessment is an integral part of shore facility management. The assessment of condition and adequacy is required to identify shore plant deficiencies, to allocate future maintenance and recapitalization resources, to support budget requests, and to evaluate the success of shore facility maintenance efforts. This evaluation can only be accomplished through periodic inspections.
- B. ASSESSMENT SCHEDULE.** Each USCG shore unit must be visited by trained CE personnel for the purposes of executing the facility assessment program at least once every 3 years. The SILC will develop a Facility Assessment Process Guide to detail the process and frequency of assessments for each owned or leased asset type, including fixed ATON structures. Facility assessments must be scheduled/coordinated with LCIs to the maximum extent possible.
- C. ASSESSMENT REQUIREMENTS.**
1. Responsible Office. The SILC is responsible for implementing the USCG's shore facility assessment program and ensuring assessments are performed for all units. The SILC may delegate the assessment of assets at units with a Facility Engineering billet carrying the ENG-13 specialty code to the Facility Engineer assigned to the unit.
  2. Assessment of USCG-Owned Facilities. All USCG-owned buildings and structures in the Shore Facility Inventory (SFI) will be assessed at a frequency provided in the Facility Assessment Process Guide.
  3. Assessment of USCG-Leased Facilities. All USCG-leased facilities (direct-leased, General Services Administration-leased, permitted, etc.) will have a walkthrough assessment to ensure landlord compliance with lease terms and that the property continues to appropriately support the USCG's needs. Lease walkthroughs will be conducted by SILC designated personnel per the Facility Assessments Process Guide.
  4. Standard Process Requirements. The SILC will develop and maintain a process guide which identifies how assessments are to be executed, report format, use of information technology tools to produce deliverables (e.g., unit project backlog), and any other necessary report requirements. The standard assessment report will, at a minimum, contain the following deliverables:
    - a. List of Discrepancies. Provide a list of all facility-related deficiencies (or discrepancies) found during the assessment. A deficiency (or discrepancy) is an item that needs to be addressed (i.e., code compliance, safety concerns, repairs, overdue preventive maintenance, etc.) to meet the operational and functional requirements of the facility. Do not include preventive maintenance required beyond 5 years. Both AFC-30 and AFC-43 maintenance items should be identified.
    - b. New Backlog Projects. Provide a detailed project report of any new AFC-43 backlog projects resulting from the inspection.
    - c. Validated Backlog. Provide a current AFC-43 project backlog list for the unit generated from CMMS, including any new projects identified

- from the assessment. The AFC-43 backlog will consist of a list of projects required up to 5 years out.
- d. Updated Official Plot Plan. Validate and update the Official Plot Plan (OPP). Ensure all safety hazards such as power transmissions lines, towers, and aircraft hazards are properly inspected and marked on the OPP. Ensure all Real Property Unique Identifiers (RPUIDs) are properly marked on the OPP.
  - e. Shore Facility Inventory Update. The Shore Facility Inventory (SFI) will be updated following each assessment as necessary. Updates to the SFI will be executed in accordance with the Real Property Management Manual, COMDTINST M11011.11 (series), SILC process guides, and the USCG Facilities Classification Guide.
  - f. Shore OLM. Assess completion of Shore OLM as required by Chapter 3 and document discrepancies to include examination of the use of AFC-30 O&M funds.
  - g. Safety Assessments. Assess completion of Safety Assessments as required by Chapter 14.
  - h. Facility Condition Index. The Facility Condition Index (FCI) is a metric that reflects the overall condition of the unit's shore plant based upon a comparison of its Plant Replacement Value (PRV) with its outstanding Maintenance (M) backlog. FCI metrics will be reported and filed in accordance with the SILC Facility Assessment Process Guide.
  - i. Department of Homeland Security Reporting Requirements. Commandant (CG-43) will coordinate with SILC to ensure all Department of Homeland Security (DHS) required facility metrics are captured and included in the SILC Facility Assessment Process Guide.
5. Report Distribution and Filing. The assessing office will provide the final assessment report via the appropriate routing structure to the Unit Commander. A copy of the report will be retained by the assessment office. An electronic copy of the report will be posted in accordance with SILC guidance and notification of the post will be made to the appropriate representatives at the unit, the unit's chain of command as applicable and appropriate (i.e. Sector, District, Area, HQ Program Office, Deputy of Logistics (DOL), Force Readiness Command (FORCECOM), etc.) and SILC.
  6. Mission Dependency Index. Mission Dependency Index (MDI) data will be validated with each assessment in accordance with the timeline established in Paragraph 13.B. The MDI database will be maintained according to SILC guidance.
  7. Training Personnel to Execute Assessments. The SILC Facility Assessment Process Guide will provide guidance and standards for training personnel to execute Facility Assessments.
  8. Contracted Assessments. If deemed advantageous to the government, the use of a qualified contractor for completing a facility assessment is permitted. The contractor's final deliverable must meet all of the requirements outlined herein.

## **CHAPTER 14. SAFETY INSPECTIONS**

**A. PURPOSE.** This chapter defines the requirements for safety inspections of load-bearing structures, weight-handling equipment, pressure vessels, motorized hangar door controls, and emergency power supplies.

**B. RESPONSIBILITY TO INSPECT.**

1. The Shore Infrastructure Logistics Center (SILC) will develop and maintain process guides identifying processes for safety inspections and preventive maintenance of load-bearing structures and weight-handling equipment as discussed in this chapter. The SILC will provide the technical support for the required inspections.
2. Personnel involved in the maintenance, alteration, repair, inspection, testing, and operation of weight-handling equipment must be trained and qualified to perform their assigned duties in accordance with the SILC process guide.
3. Unit Commanding Officers are responsible for ensuring safety inspections of load-bearing structures, weight-handling equipment, and pressure vessels are completed at their units. Deficiencies discovered as a result of an inspection must be brought to the attention of the unit Commanding Officer immediately. Unit Commanding Officers are encouraged to leverage the capabilities of SILC to accomplish these inspections through area-wide contracts.
4. Inspections of load-bearing structures require a high degree of technical expertise and will be executed as part of the AFC-43 DLM program. Inspections of weight-handling equipment and pressure vessels are routine, recurring Shore OLM; SILC will provide technical support for inspections and is capable of executing area-wide contracts as needed. Repairs identified as a result of safety inspections will be funded in accordance with Chapter 3 and Chapter 4.

**C. REQUIREMENT TO INSPECT LOAD BEARING STRUCTURES.**

1. Description of Requirements. The following is a description of load-bearing structures that require structural inspections:
  - a. Piers, docks, wharves, and service docks that handle large trucks, cranes, forklifts, buoys, piling, and sinkers.
  - b. Structures used for primary or secondary support of lifting devices or equipment. This includes boat haul-outs, marine railways, ferry slips, and building frames or trusses which support overhead cranes, gantries, etc.
  - c. Building structural components, including pole buildings, elevated floor storage structures, long-span roof structures in snow zones, and offshore towers with helicopter landing capability.
  - d. Warehouse storage structures such as racks, shelving, and lofts used for storage. Storage racks, shelving, lofts, and similar locations and structural components utilized for storage must have clearly marked maximum load rating capabilities.
  - e. Load-bearing training structures required to support personnel loads during training.

- f. Towers will be inspected in accordance with Tower Manual, COMDTINST M11000.4 (series).
  - g. The following are excluded from formal periodic structural inspections: boat docks/piers, non-warehouse storage structures (see Paragraph 14.C.1.d. above), and Aids to Navigation (ATON) structures subjected to personnel and environmental loadings only. These items will be inspected during facility condition assessments and all required tower inspections.
2. Load-Bearing Structure Inspection Guidelines. Structural inspections will be conducted by a licensed civil engineer or appropriate substitute. Inspections must be performed at least once every two years, when the structure is modified by construction, when loading is expected to significantly increase, and/or when damage occurs. The inspector will:
- a. Determine if current safe-load limits are adequate or must be modified due to changes to the structure's condition or configuration. The safe working load will be determined by a licensed structural engineer. The method used must be appropriate for the type and condition of the particular structure.
  - b. Ensure load limit signs are posted and clearly visible.
  - c. Evaluate if posted limits are being exceeded or there is any evidence of structural deterioration. A change in operating procedures may result in the imposition of a heavier load. An analysis of the structure's ability to handle the maximum load must be conducted prior to adding or increasing mobile weight-handling equipment. If a mobile crane is present, ensure that the structure can handle the single-wheel load, which can be two or four times the crane's rated capacity.
  - d. A new working load determination will be made when the inspection discloses any change in physical condition, function, or usage that affects the safe load-bearing capacity. Storage lofts must have clearly marked maximum load rating capacities.
  - e. Provide operators of mobile load-lifting equipment with the load limits of the structures on which the equipment normally operates. This information must be displayed in the cab of the vehicle and within easy view of the operator.

#### **D. REQUIREMENT TO INSPECT WEIGHT-HANDLING EQUIPMENT.**

- 1. Description of Requirements. OSHA 1910, Subpart N, 176 through 184 establishes the safety requirements for weight-handling equipment and rigging gear. Safety Standards for Cableways, Cranes, Derricks, Hoists, Hooks, Jacks, and Slings, ANSI/ASME B30 provides additional technical guidance.
  - a. Weight-Handling Equipment. Weight-Handling Equipment (WHE) is any equipment used for lifting or moving loads to provide a mechanical advantage for lifting, moving, excavating, or placing materials. Examples of weight-handling equipment are: cranes, derricks, hoists, gin poles, elevators, winch trucks, capstans, winches, and straddle carriers. For the purposes of this Manual, vehicles, hand trucks, and similar devices

are exempt from load testing. This Manual does not apply to WHE installed onboard vessels, including cranes and boat hoists.

- b. Rigging Gear. Rigging gear is all devices used in conjunction with weight-handling equipment for guying, attaching, or securing loads. Examples of rigging gear includes pallets, slings, ropes, spreaders, strongbacks and other equalizing devices, blocks, cables, hooks, chokers, shackles, clips, wedges, and chains. Excluded are hand tools such as bars, wrenches, spuds, punches, and hammers.

## 2. Inspection Guidelines.

- a. Weight Handling Equipment. All WHE must be certified prior to initial use, load tested at least once every year, and prior to use after any alteration or repair to the equipment which affects the lifting capability of the equipment.
  - (1) WHE must be certified and load tested by an OSHA recognized certification agency.
  - (2) Test loads must not be more than 125 percent of *rated* load unless otherwise recommended by the manufacturer (OSHA 1910.179). Never exceed the equipment's *design* load when weight testing.
  - (3) Units must maintain a record of load tests for all WHE.
  - (4) WHE that has been idle for a period of over 6 months must be given a complete inspection in accordance with OSHA 1910 Subpart N, 179.(j).(4) prior to placing back in service.
- b. Rigging Gear. The following rigging gear must be proof-tested: new, repaired, or reconditioned rigging gear (OSHA 1910.184).
  - (1) Commanding Officers will ensure rigging gear is not loaded in excess of their rated capacity.
  - (2) All WHE and rigging gear must be visually inspected for deterioration, cracks, leakage in lines, tanks, valves or drain pumps, and maladjustment prior to each daily usage.

## E. REQUIREMENT TO INSPECT BOILERS AND UNFIRED PRESSURE VESSELS.

- 1. Description of Requirements. Boilers (fired pressure vessels) and unfired pressure vessels must be installed, maintained, and inspected regularly. The ASME Boiler and Pressure Vessel Code establishes the standards for power boilers, heating boilers, and other unfired pressure vessels. The following is a general description of the types of pressure vessels:
  - a. Power Boiler. A boiler which operates at a vapor pressure exceeding 15 PSIG or a water pressure greater than 160 psi and a temperature higher than 250 °F (ASME Boiler and Pressure Vessel Code, Section I).
  - b. Heating Boiler. Steam-generating boilers and hot water boilers intended for low-pressure service that are directly fired by oil, gas, electricity, or coal. Steam or vapor boilers do not exceed 15 PSIG, hot

water boiler pressures do not exceed 160 PSIG or temperatures of 250 °F (ASME Boiler and Pressure Vessel Code, Section IV).

- c. Unfired Pressure Vessel. A tank which contains vapor or liquid under pressure which is not exposed to the products of combustion. Unfired pressure vessels are normally pressurized to 15 PSIG or higher (ASME Boiler and Pressure Vessel Code, Section VIII).
- d. Exceptions. Inspection requirements do not apply to:
  - (1) Cylinders for shipment of compressed or liquefied gas.
  - (2) Air tanks for vehicle brakes.
  - (3) Unfired pressure vessels with a volume of 5 cubic feet or less.
  - (4) Unfired pressure vessels whose working pressure does not exceed 15 PSIG.
  - (5) Unfired pressure vessels which contain only water for domestic supply purposes (including those which contain air, if the air serves only as cushion).
  - (6) Unfired pressure vessels which are used as refrigerant receivers in refrigerating and air conditioning equipment.
  - (7) Unit heaters (gas, electric, or steam).
  - (8) Boilers with less than 350,000 BTU/hr net heat output.

## 2. Inspection Guidelines.

- a. All boilers and unfired pressure vessels must be inspected and tested on an established schedule. The interval between inspections and tests must not exceed the intervals stated in .
- b. Boilers and unfired pressure vessels must be inspected by a licensed mechanical engineer inspector or qualified marine safety inspector and tested in accordance with the procedures set forth in the ASME Boiler and Pressure Vessel code, Section V, Subsection A (Nondestructive methods of examination), article 9 and 10.
- c. The Inspection of Boiler or Pressure Vessel, USCG Form CG-5519, must be used to document the inspection results. The report must be submitted to the Unit Commanding Officer.
- d. Exterior and interior inspection is an inspection that can reasonably be conducted on the internal and external surfaces of a boiler or pressure vessel while it is shutdown and the manhole plates or other inspection opening closures are removed.
- e. Operational inspection is an inspection conducted while a boiler or pressure vessel is in operation, if possible.

## F. REQUIREMENT TO INSPECT MOTORIZED HANGAR DOOR CONTROLS.

- 1. Description of Requirement. Motorized hangar doors must be inspected to ensure safe operation. Periodic inspections and maintenance of rails, tracks, rollers, gears, cables, motors, and safety stops are also required.

2. Inspection Guidelines.
  - a. Motorized hangar door control devices must be inspected and tested monthly to ensure that they are functioning as required and that no attempt has been made to defeat or alter their purpose.
  - b. If the motorized hangar door inspection indicates that repairs are required, initiate steps to affect repairs in accordance with SILC process guides. Provide a detailed project report of any new AFC-43 backlog projects resulting from the inspection.

**G. REQUIREMENT TO INSPECT EMERGENCY GENERATORS AND UNINTERRUPTABLE POWER SUPPLIES.**

1. Description of Requirement. Emergency generators and Uninterruptable Power Supply (UPS) systems must be inspected and tested to ensure equipment readiness.
2. Inspection Guidelines.
  - a. All backup power sources must be tested in accordance with the manufacturer's recommendations. Units must perform this test in accordance with SILC process guides and maintenance procedure cards.
  - b. Backup power supply must comply with the National Fire Protection Act and National Electric Code.
  - c. All communication emergency power supply systems must be tested under load conditions once every month for a minimum of 30 minutes for diesel generators and at least 5 minutes every 3 months for battery systems.

**NOTE**

Remote unmanned sites are exempt from these standards. Emergency power supplies at remote sites must be tested as part of a routine maintenance program.

**H. CONTRACT REQUIREMENTS FOR RENTAL OF WEIGHT-HANDLING EQUIPMENT.**

1. Description of Requirement. WHE may be rented by a USCG unit or used onboard USCG facilities for construction. Rigging equipment may be used with these machines or by itself in weight-handling operations. These cranes and equipment can be from a variety of sources and are generally incidental to construction contracts, ship repair contracts, demolition contracts, maintenance contracts, deliveries of supplies and equipment, etc. Many USCG units have contracting authority with the capability to procure rental WHE.
2. Contract Guidelines. The following guidelines apply to contracted WHE equipment and must be taken into account when contract documents are written.

- a. Contractors must be required to comply with applicable American National Standards Institute (ANSI) or ASME standards (e.g., ASME B30.5 for mobile cranes, ASME B30.22 for articulating boom cranes, ASME B30.3 for construction tower cranes, ASME B30.8 for floating cranes, ASME B30.9 for slings, ASME B30.20 for below the hook lifting devices, ASME B30.26 for rigging hardware, and ANSI/Industrial Truck Standards Development Foundation (ITSDF) B56.6 for rough terrain forklifts).
- b. Require a certificate of compliance from the contractor that the WHE and the rigging gear meet applicable OSHA and ANSI/ASME regulations (with the contractor citing which OSHA and ANSI/ASME regulations are applicable, e.g., cranes/multipurpose machines used in cargo transfer must comply with 29 Code of Federal Regulations (CFR) 1917; cranes/multipurpose machines used in construction, demolition, or maintenance must comply with 29 CFR 1926; cranes/multipurpose machines used in shipbuilding, 1-8 ship repair, or shipbreaking must comply with 29 CFR 1915; slings must comply with ASME B30.9, rigging hardware must comply with ASME B30.26).
- c. Require that the contractor certify that the operator is qualified and trained for the operation of the crane or machine to be used.

**I. ENGINEERING ANALYSIS BOARDS.** Shore equipment/facilities failures of sufficient magnitude may require a formal analysis in accordance with the Administrative Investigations Manual, COMDTINST M5830.1 (series). The Engineering Analysis Board (EAB) is established by Commandant (CG-43), SILC, or the Product Line as necessary. The Naval Engineering Manual, COMDTINST M9000.6 (series), provides guidance for conducting the EAB and the required items for the Engineering Analysis Report (EAR). Shore equipment/facilities EABs will follow the same format and procedures as Naval Engineering EABs, but will focus on the shore equipment/facilities failure, shore equipment/facilities maintenance history, etc., as needed. EABs will include a representative from Commandant (CG-1132).

**Table 14-1. Inspection Schedule for Boilers and Unfired Pressure Vessels**

| Item            | Exterior and Interior Inspection   | Pressure Test  | Operational Inspection   |
|-----------------|--|--|--|
| Heating Boilers | <ul style="list-style-type: none"> <li>1. At least once annually for steam boilers.</li> <li>2. At least every 3 years for hot water boilers.</li> <li>3. After repair of pressure parts.</li> </ul> | <ul style="list-style-type: none"> <li>1. At least once every 6 years.</li> <li>2. After repair of pressure parts.</li> <li>3. At least once every 3 years for boilers over 20 years.</li> </ul> | <ul style="list-style-type: none"> <li>1. At least once annually.</li> <li>2. After any major modification to boiler, controls, or auxiliary equipment.</li> </ul> |



**Table 14-1. Inspection Schedule for Boilers and Unfired Pressure Vessels  
Continued**

| <b>Item</b>              | <b>Exterior and Interior Inspection</b>   | <b>Pressure Test</b>  | <b>Operational Inspection</b>  |
|--------------------------|---|---|--|
| Power Boilers            | <ol style="list-style-type: none"> <li>1. At least once annually.</li> <li>2. After repair of pressure parts.</li> </ol>              | <ol style="list-style-type: none"> <li>1. At least once every 3 years.</li> <li>2. After repair of pressure parts.</li> <li>3. At least once annually for boilers over 20 years old.</li> <li>4. At the discretion of the inspector.</li> </ol> | <ol style="list-style-type: none"> <li>1. At least once annually.</li> <li>2. After any major modification to boiler, controls, or auxiliary equipment.</li> </ol> |
| Unfired Pressure Vessels | <ol style="list-style-type: none"> <li>1. At least once every 2 years.</li> <li>2. After any major modification or repair.</li> </ol> | <ol style="list-style-type: none"> <li>1. After repairs of pressure parts.</li> <li>2. At the discretion of the inspector.</li> </ol>   |  |



## CHAPTER 15. PROFESSIONAL DEVELOPMENT, TRAINING, AND RECOGNITION

- A. PURPOSE.** The success of the Civil Engineering Program relies upon the professional development and training of its people along with formal recognition of noteworthy achievements. This chapter addresses program standards for advanced degrees, registration, certifications, and professional societies as well as descriptions of formal training and award programs.

### NOTE

The Yellow Book is the primary professional development guide for CE officers. The White Pages is a professional development resource, a personnel director, and a general guide for civilians in the Civil Engineering Program. Both the Yellow Book and White Pages are published annually by Commandant (CG-43).

- B. ADVANCED DEGREES.** The Civil Engineering Program sponsors several postgraduate degree programs. These programs provide officers with important technical, technological, managerial, and business management competencies needed to be effective managers and leaders. Selection for these programs is competitively-based on past professional and academic performance, standardized test scores, and demonstrated initiative. Junior officers should anticipate challenging field level assignments after program completion. Mid-grade officers with more than two prior field assignments may be assigned to critical staff positions to support doctrine and policy development.

The application requirements and policy governing the USCG advanced education program are discussed in detail in the Coast Guard Advanced Education Program, COMDTINST 1524.1 (series). A solicitation for applicants is released each year via ALCOAST message via the USCG Message System (CGMS). Officers must possess a Bachelor's of Science in Engineering to be eligible. Commandant (CG-43) will approve schools/curriculum proposed by selectees. The following programs are sponsored by Commandant (CG-43):

1. Master's of Science in Civil Engineering Program. The traditional track provides a technical focus over a broad suite of civil engineering disciplines to include construction management, facilities management, environmental management, and real property. Officers will be assigned to an accredited post-graduate school for 18 months offering a Master's of Science in an approved civil engineering discipline.
2. Joint Master's of Science in Civil Engineering/Master's of Business Administration Program. Officers will be assigned to an accredited post-graduate school for 24 months offering both a Master's of Science (or Engineering) in Civil Engineering (or directly applicable area, i.e., facilities management) and a Master's of Business Administration (or directly applicable area, i.e., finance).
3. Master's of Science in Ocean Engineering Program. This is a 24-month program leading to a Master's of Science in Ocean Engineering (MSOE). USCG Ocean Engineering is closely affiliated with the USCG Civil Engineering Program. Program graduates are typically assigned to Civil Engineering units, and are well suited for civil engineering tours later in their careers.

4. Master's of Science in Engineering Management. This is a 12-month program leading to a Master's of Science in Engineering Management. Eligible officers for this program are required to have completed at least three Civil Engineering tours (minimum of 10 years of experience in the Civil Engineering Program) and have a Master's of Science in Civil Engineering. Senior Lieutenant Commanders (LCDRs) who show promise for senior executive positions are encouraged to apply. Members who received a joint Master's of Science degree in the joint Civil Engineer CE/MBA program are not eligible to apply. Follow-on tours will include positions at the Shore Infrastructure Logistics Center (SILC), Headquarters (CG-43), and within the SILC construct.

**C. PROFESSIONAL REGISTRATION.** Professional Licensure/Registration is a significant achievement, enhances the USCG's credibility, and demonstrates technical aptitude for promotions. All civil engineering personnel should strive for professional licensure. The following standards, although NOT all-inclusive, apply:

1. Engineers are encouraged to sit for the Fundamentals of Engineering exam as soon as possible after graduation. Upon successful completion of the Fundamentals of Engineering exam and prerequisite experience requirements, engineers are encouraged to earn a Professional Engineer's (PE) license.
2. Architects are encouraged to sit for the National Council of Architectural Registration Boards (NCARB) Architectural Licensing exam or the Council of Landscape Architectural Registration Boards (CLARB) exam.
3. Each registered Professional Engineer and Registered Architect (RA) is authorized and encouraged to use the letters denoting his registration (PE, RA, etc.) as appropriate on drawings and engineering-related correspondence.
4. All Commanding Officers of SILC, FDCC (Facilities Design and Construction Center), and CEUs must have a Professional Engineer's license. Additionally, the Civil Engineering Program will generally look to fill the FDCC Executive Officer, all CEU Executive Officer, and all Facilities Engineering assignments with personnel who have obtained their Professional Engineer's license.
5. The use of permissive orders for military personnel and authorized administrative leave for civilian personnel for obtaining professional registration is encouraged.

**D. PROFESSIONAL CERTIFICATION.** Professional certifications are another means to enhance one's professional development and improve job performance/capability. Civil Engineering personnel are highly encouraged to obtain professional certifications such as Certified Facility Manager (CFM), Certified Energy Manager (Manual), Project Management Professional (PMP), and Department of Homeland Security (DHS) Acquisition Certifications.

**E. PROFESSIONAL SOCIETIES AND ORGANIZATIONS.** Civil Engineering personnel are highly encouraged to participate in professional societies. Membership in one or more professional societies can help maintain close association with other professionals, increases awareness of the latest trends in engineering disciplines, and provides outstanding networking opportunities. Several organizations offer certification programs which enhance knowledge and credibility within the professional community.

## F. CLASS C (AFC-56) TRAINING.

1. Definition. Class C resident training courses are defined by the Civil Engineering Program as essential or directly related to mission accomplishment or achievement of program objectives. This training provides advanced/specialized knowledge and skills to perform a task or group of tasks required by a specific billet. The Headquarters' AFC-56 account funds Class C training, including tuition and travel.
2. Roles. Class C Training is centrally managed by Commandant (CG-43) for Civil Engineering units including SILC, FDCC, CEU, and FE divisions (i.e., Training Centers, Air Stations, Bases, etc.). Each Civil Engineering unit will designate a training coordinator to serve as the single point of contact for Class C training.
3. Curriculum. A wide range of courses are provided including engineering design (i.e., Heating, Ventilation, and Air Conditioning (HVAC), electrical), cost estimating, design-build, dredging, environmental, planning, public works, real property, and a host of other topics. Each course has gone through an extensive approval process to ensure curriculum aligns with organizational needs and specific job requirements. New courses can be added but are typically driven by a change in job requirements. Most Commandant (CG-43) AFC-56 funded courses are provided by the US Army Corps of Engineers (USACE) or the Naval Civil Engineering Corps Officer School (CECOS).
4. Quota Distribution. Prior to the beginning of each fiscal year, Commandant (CG-43) will publish the list of Commandant (CG-43) funded courses and the number of quotas for the upcoming fiscal year. Each Civil Engineering office is given the opportunity to submit a prioritized list of quota requests. Quotas are distributed based on unit priority needs, number of eligible personnel at each unit, and best investment for the Civil Engineering Program.
5. Program Execution. Once quotas are distributed, the AFC-56 program is generally executed as follows:
  - a. 8 weeks Prior to Course. Unit training coordinator submits SF-182, Request, Authorization, Agreement, and Certification of Training, to Commandant (CG-43).
  - b. 5 weeks Prior to Course. Commandant (CG-43) submits Request for Orders to C School to Training Quota Management Center (TQC). Commandant (CG-43) also sends notification to students that orders have been requested and provides amplifying instructions (i.e., course reporting instructions, rental car assignment, etc.).
  - c. 4 Weeks Prior to Course. Student receives automatic email notification that orders have been posted in Direct Access.
  - d. Cancellations/Substitutions. C School training is considered to have top priority over typical work demands. Once orders for a student have been requested, all cancellations and substitutions must be made via official message traffic. Valid reasons for canceling C School training include serious health/injury issues related to the trainee or family member or death of a family member. Commandant (CG-43) must be

notified as early as possible of a potential cancellation so that the quota can be readvertised.

**G. AWARDS AND RECOGNITION.** The below award and recognition program is sponsored by Commandant (CG-43). SILC, CEUs, and Headquarters Units are highly encouraged to recognize personnel and unit engineering achievement within the Civil Engineering community. Units are also encouraged to submit through local chapters of professional development organizations, such as the Society of American Military Engineers (SAME), American Institute of Architects (AIA), American Society of Civil Engineers (ASCE), American Society of Mechanical Engineers (ASME), American Society of Engineering Education (ASEE), etc. Commandant (CG-43) will be informed when a member receives formal recognition from any local chapter.

1. Society of American Military Engineers Awards. Society of American Military Engineers (SAME) sponsors four annual awards to the USCG for engineering achievement. Award nominations are solicited on or about January via ALCOAST message. The contributions or achievements must have occurred during the calendar year preceding the award and may also include completion of multiyear activity during the fiscal year. Commandant (CG-43) holds a selection board consisting of senior civil engineering personnel to determine winners. Awards are typically presented at the SAME Joint Engineer Training Conference held annually in the Spring. A description of each award is as follows:
  - a. Cowart Plaque (Civil Engineering Organization). The Cowart Plaque (CE) is presented as an award of excellence to a USCG Civil Engineering unit that has made an outstanding contribution to the USCG Civil Engineering Program. The Cowart Award is named for Vice Admiral Kenneth K. Cowart, the former Chief of the Office of Engineering. The award was first presented in 1968. All civil engineering organizations are eligible with the exception of Commandant (CG-43) and the SILC.
  - b. Cowart Plaque (Facility Engineering Organization). The Cowart Plaque (FE) is presented as an award of excellence to a USCG Facilities Engineering organization that has made an outstanding contribution to the USCG Civil Engineering Program.
  - c. Oren Medal. The Oren Medal is presented to a regular or reserve (active, inactive, or retired) USCG officer or an equivalent grade civilian employee in recognition of outstanding contribution to military engineering through achievement in planning, design, construction, administration, research, or development. The Oren Medal is named in honor of Rear Admiral John B. Oren, past president of the Society of American Military Engineers and former Chief, Office of Engineering. This medal was first presented in 1968.
  - d. Sargent Medal. The Sargent Medal is presented to an active duty USCG Warrant Officer, Chief Petty Officer, Petty Officer, or equivalent grade civilian employee in recognition of the most outstanding contribution to USCG Civil Engineering or Facilities Engineering. The Sargent Medal is named in honor of Vice Admiral Thomas R. Sargent,

III, former Chief of Civil Engineering and Vice Commandant of the USCG. The medal was first awarded in 1980.

2. Engineer of the Year Award. Civil Engineering personnel are also eligible for the Engineer of the Year Award. Award nominations are solicited on or about September via ALCOAST message. Commandant (CG-4) manages the selection process and sets forth specific selection criteria.





**APPENDIX A. Acronyms**

|        |  |
|--------|--|
| A      | Alteration   |
| ABA    | Architectural Barriers Act                                 |
| ABAAG  | Architectural Barriers Act Accessibility Guidelines        |
| ADA    | American with Disabilities Act                             |
| ADA    | Anti-Deficiency Act  |
| ADAAG  | Americans with Disabilities Act Accessibility Guidelines   |
| AC&I   | Acquisition, Construction, & Improvement                   |
| AFC    | Allotment Fund Control Codes                               |
| AFC-30 | Unit Operating & Maintenance Funds                         |
| AFC-36 | Central Account for GSA Leases                             |
| AFC-42 | Command, Control, and Communication Systems Funds          |
| AFC-43 | Major Maintenance & Repair Funds for Shore Facilities      |
| AHJ    | Authority Having Jurisdiction                              |
| AHA    | Area Housing Authorities                                   |
| AIA    | American Institute of Architects                           |
| AL     | Antecedent Liability                                       |
| ALD    | Asset Logistics Division                                   |
| ALM    | Asset Line Manager   |
| ANSI   | American National Standards Institute                      |
| ASCE   | American Society of Civil Engineers                        |
| ASEE   | American Society of Engineering Education                  |
| ASME   | American Society of Mechanical Engineers                   |
| ATON   | Aids to Navigation   |
| ATU    | Allotment Target Unit                                      |
| BIM    | Building Information Modeling                              |
| BOCA   | Building Officials Code Administrators International, Inc. |
| BOD    | Business Operations Division                               |
| BRAC   | Base Realignment and Closures                              |
| C      | Code Compliance  |
| C&A    | Certification and Accreditation                            |
| CASREP | Casualty Report  |

**Appendix A to COMDTINST M11000.11B**

|        |  |
|--------|--|
| CCB    | Configuration Control Board  |
| CCI    | Current Cost Indices   |
| CE     | Civil Engineering  |
| CECOS  | Naval Civil Engineering Corps Officers School  |
| Manual | Civil Engineering Manual   |
| CEU    | Civil Engineering Unit   |
| CFM    | Certified Facility Manager   |
| CFO    | Chief Financial Officer  |
| CFR    | Code of Federal Regulations  |
| CG     | USCG   |
| CGES   | USCG Exchange Systems  |
| CG-LSC | USCG Legal Services Command  |
| CGMS   | USCG Message System  |
| CGSW   | USCG Standard Workstation  |
| CIP    | Construction in Progress   |
| CLARB  | Council of Landscape Architectural Registration Boards                                 |
| CMMS   | Computerized Maintenance Management System (i.e. Shore Asset Management System (SAMS)) |
| CO     | Commanding Officer   |
| COCO   | Chief of Contracting Office  |
| COMDT  | Commandant   |
| COTS   | Commercial-Off-The-Shelf   |
| C-POP  | Centralized Planned Obligation Prioritization  |
| CR     | Continuing Resolution  |
| D      | Demolition   |
| DCMS   | Deputy Commandant for Mission Support  |
| DCO    | Deputy Commandant for Operations   |
| DHS    | Department of Homeland Security  |
| DLM    | Depot Level Maintenance  |
| DMSI   | Decision Memo for Shore Infrastructure   |
| DoD    | Department of Defense  |
| DOL    | Deputy of Logistics  |
| DWO    | Deputy Warranting Officer  |
| EAB    | Engineering Analysis Board   |

|          |  |
|----------|--|
| EAR      | Engineering Analysis Report  |
| ECE      | Environmental Compliance Evaluation  |
| EC&R     | Environmental, Compliance & Restoration Funds  |
| EDMS     | Electronic Document Management System (such as the USCG Technical Information Management System (CG-TIMS)) |
| EISA     | Energy Independence & Security Act   |
| EMD      | Environmental Management Division  |
| EO       | Executive Orders   |
| EP       | Execution Proposal   |
| EPA      | Environmental Protection Agency  |
| EPCRA    | Emergency Planning & Community Right To Know Act   |
| ESD      | Engineering Services Division  |
| ESPC     | Energy Savings Performance Contracts   |
| ETL      | Engineering Technical Letter   |
| FCI      | Facility Condition Index   |
| FDCC     | Facilities Design and Construction Center  |
| FE       | Facilities Engineer  |
| F&E      | Furnishings and Equipment  |
| FEMP     | Federal Energy Management Program  |
| FINCEN   | USCG Finance Center  |
| FORCECOM | Force Readiness Command  |
| FPMR     | Federal Property Management Regulations  |
| FRPC     | Federal Real Property Council  |
| FTA      | Funds Transfer Authorization   |
| FY       | Fiscal Year  |
| GSA      | General Services Administration  |
| HAZMAT   | Hazardous Materials  |
| HQ       | Headquarters   |
| HQPC     | Headquarters Planning Coordinator  |
| HUD      | Department of Housing and Urban Development  |
| HVAC     | Heating, Ventilation, and Air Conditioning   |
| I        | Improvement  |
| IAW      | In Accordance With   |
| IBC      | International Building Code  |

**Appendix A to COMDTINST M11000.11B**

|       |   |
|-------|---|
| ICC   | International Code Council                            |
| IFC   | International Fire Code                               |
| IRC   | International Residential Code                        |
| IT    | Information Technology                                |
| ITSDF | Industrial Truck Standards Development Foundation     |
| LCI   | Logistics Compliance Inspection                       |
| LEED  | Leadership in Energy and Environmental Design         |
| LOA   | Line of Accounting                                    |
| M     | Maintenance, Repair, and In-Kind Replacements         |
| MASI  | Major Acquisition Systems Infrastructure              |
| MBA   | Masters of Business Administration                    |
| MDI   | Mission Dependency Index                              |
| MER   | Marine Environmental Response                         |
| MEV   | Management Effectiveness Visit                        |
| MOU   | Memorandum of Understanding                           |
| MSCE  | Master's of Science in Civil Engineering              |
| MSOE  | Master's of Science in Ocean Engineering              |
| NCARB | National Council of Architectural Registration Boards |
| NEPA  | National Environmental Policy Act                     |
| NFPA  | National Fire Protection Association                  |
| NHPA  | National Historic Preservation Act                    |
| OCO   | Overseas Contingency Operations                       |
| OE    | Operating Expense                                     |
| OIC   | Officer in Charge                                     |
| OLM   | Organizational Level Maintenance                      |
| OMB   | Office of Management and Budget                       |
| OM&S  | Operating Materials & Supplies                        |
| OPFAC | Operating Facility                                    |
| OPP   | Official Plot Plan                                    |
| OSHA  | Occupational Safety and Health Administration         |
| PCB   | Polychlorinated Biphenyl                              |
| PDS   | Project Development Submittal                         |
| PE    | Professional Engineer                                 |

|        |  |
|--------|--|
| PLM    | Product Line Manager                       |
| PMDS   | Project Management Data Sheet              |
| PMP    | Project Management Professional            |
| POP    | Planned Obligation Prioritization          |
| PP     | Planning Proposal                          |
| P-POP  | Planning Planned Obligation Prioritization |
| PPR    | Project Proposal Report                    |
| PS     | Problem Statement                          |
| PRV    | Plant Replacement Value                    |
| QRP    | Qualified Recycling Program                |
| RA     | Registered Architect                       |
| REPFAC | Representational Facilities                |
| RFP    | Request for Proposal                       |
| RP     | Real Property                              |
| RPUID  | Real Property Unique Identifier            |
| S&D    | Survey and Design Funds                    |
| SAME   | Society of American Military Engineers     |
| SFI    | Shore Facility Inventory                   |
| SFLC   | Surface Forces Logistics Center            |
| SFRL   | Shore Facilities Requirement List          |
| SILC   | Shore Infrastructure Logistics Center      |
| SME    | Subject Matter Expert                      |
| SORS   | Spilled Oil Recovery Systems               |
| SS     | Separate and Severable                     |
| TA     | Technical Authority                        |
| TQC    | Training Quota Management Center           |
| TWH    | Technical Warrant Holder                   |
| UESC   | Utility Energy Service Contracts           |
| UPH    | Unaccompanied Personnel Housing            |
| UPS    | Uninterruptable Power Supply               |
| USACE  | United States Army Corps of Engineers      |
| USCG   | United States Coast Guard                  |
| VOSS   | Vessel of Opportunity Skimming Systems     |

**Appendix A to COMDTINST M11000.11B**

|     |                           |
|-----|---------------------------|
| WHE | Weight Handling Equipment |
| WO  | Warranting Officer        |

**APPENDIX B. Definitions**

**Acquisition:** The act of acquiring real property assets (RPUIDs) through construction, purchase, lease, exchange, donation, transfer, or by assignment/reassignment by GSA or DHS.

**AC&I:** The Acquisitions, Construction, and Improvements appropriation for the acquisition of new capital assets, construction of new facilities, and physical improvements to existing facilities and assets. The appropriation covers USCG-owned and operated vessels, aircraft, shore facilities, and other equipment such as computer systems, as well as the personnel needed to manage acquisition activities.

**AFC-36:** The USCG's central AFC-36 account funds rent and security charges paid for GSA property leases (Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series)).

**AFC-42:** The USCG AFC-42 account funds depot-level maintenance expenses incurred in support of the Electronic Systems Logistics Support Program in the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series).

**AFC-43 Depot Level Maintenance Program:** The USCG AFC-43 account supports the execution of Depot Level Maintenance (DLM) on USCG real property assets. The program is responsible for nonrecurring major maintenance, repair, and rebuilding of USCG real property assets to ensure attainment of the asset's maximum service life and intended purpose. The program also allows a level of minor improvements (as may be provided in law).

**AFC-43 Project:** The total scope of all related work across all impacted real property assets (RPUIDs) to accomplish a specific outcome (project intent). Project estimates must consider all AFC-43 costs (i.e., phased, options, contingency cost, etc.) associated with the project outcome. If the project involves other funding sources (AFC-42, AFC-30, AFC-36, EC&R, etc.) to meet the project outcome, these funds must be included in the overall project cost to determine the appropriate approval level.

**Allotment Fund (Control) Code (AFC):** AFCs represent a breakdown of OE and Reserve Training administrative operating targets for specified purposes (Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series)).

**Alterations:** Work required to adjust interior arrangements (such as load bearing walls) or other physical characteristics of an existing facility/structure so that it may be more effectively adapted to or utilized for new or changed operational requirements. This includes changes to layout, work related to move, and work motivated by aesthetic needs beyond the physical activities defined as "M." The objective in differentiating "M" versus "A" activities is to adequately protect true maintenance as a base, as opposed to other important work required to use and optimize facilities for continued, efficient use. Alterations will not change the asset's real property facility category code (e.g., alterations to expand the number of showers in a barracks does not alter the use of the facility).

**Antecedent Liability (AL):** A financial obligation stemming from in-scope project expenditures which are required beyond the fiscal year(s) in which the project was appropriated.

**Appropriation:** An authorization by an act of Congress to incur obligations for specified purposes and to make disbursements thereof out of the treasury.

**Bilevel Maintenance:** Execution of two levels of maintenance in accordance with logistics transformation. Bilevel maintenance consists of Organizational level (O-level or OLM) and Depot level (D-level or DLM).

**Boat:** A vessel less than 65 feet in length.

**Boat Fueling Infrastructure:** All systems and tanks that support the fueling of boats for readiness, routine operations, and training evolutions.

**Boat Maintenance Facility (BMF):** A BMF is an enclosed structure on land that accommodates a boat(s) and provides ample space for the crew to conduct boat maintenance. A BMF also accommodates associated equipment such as a mechanical lift, boat trailer/cradle, and tool storage.

**Boat Ramps:** A structure sloped into the waterfront to provide launch and retrieval for boats.

**Boat Storage Facility (BSF):** An enclosed or partially enclosed structure on land that serves primarily to keep boats protected from the weather. A BSF maintains the condition of the boat. BSFs do not accommodate boat maintenance functions and typically are not climate-controlled.

**Bravo Zero Response Boat:** A boat that is required to maintain Bravo Zero status.

**Building:** A fully enclosed structure, typically affixed to the ground through mechanical means or a structurally supportive foundation with walls, floor(s) and a roof, accessible through doors, consisting of one or many levels, in which personnel work or dwell, equipment is maintained or stored, or other authorized activities are conducted.

**Capitalization:** Capitalization is the recording and carrying forward of an expenditure into one or more future periods (useful life of 2 years or more), which results in expensing the cost of an asset over the remainder of its useful life by matching the benefits gained from the expenditure with associated cost. Capitalization does not include repair and maintenance costs.

**Code Compliance:** Activities solely required to bring a facility back into code, including life safety, fire, seismic, health and safety, occupational health and safety, environmental, and energy regulations. "C" activities can be performed on any Group Element defined by UNIFORMAT II (ASTM E-1557) with the exception of F20 – Selective Building Demolition and G1020 – Site Demolition and Relocations.

**Complete and Usable:** Fit for use, convenient to use, or that which can be used.

**Computerized Maintenance Management System (CMMS):** The IT application maintained by the SILC which manages the CE program's Shore Facility Inventory and projects. Shore Asset Management System (SAM) is the Computerized Maintenance Management System (CMMS) application at the time of this publication.

**Contingency Funds:** Provides funds for change orders or unforeseen site conditions. The amount of construction contingency provided is governed by such factors as scope of project, bid results, available funds, and reprogramming limitations.



**Construction:** Depot level activity which includes: the erection, installation, or assembly of a new asset (RPUID); the addition, expansion, extension, alteration, conversion, or replacement of an asset; the relocation of an asset; and/or the demolition of an existing asset.

**Construction Funds:** Represents all costs to accomplish construction (to include demolition or improvement) of an asset. Costs include such items as site work, exterior utilities, waterfront/marine construction, and building construction.

**Construction In Progress (CIP):** A temporary account that consists of project costs used to construct, fabricate, or assemble real property either through an outside vendor/contractor, or in-house USCG resources. After construction, fabrication, or assembly is complete, the account will be relieved of the cost incurred and the asset(s) will be capitalized.

**Contract:** A mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments, contracts include (but are not limited to) awards and notices of awards; job orders or task letters issued under basic ordering agreements; letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and bilateral contract modifications.

**Cost Estimates:** A cost estimate is a breakdown of the various projected project execution costs. Cost estimates are required for all civil engineering projects regardless of funding source. Planning cost estimates is important to USCG HQ in the budgetary process so that adequate resources are requested from higher authorities. Government cost estimates are used to establish reasonable value for project deliverables. Cost estimates also assist in ensuring appropriate funds are used for a specific project and that statutory funding limits are not exceeded.

**Covered Mooring:** A structure located at a dock that provides shelter to a boat while moored. Covered moorings are intended to provide shelter for the ready boat(s) and protect crews performing boat maintenance, boat checks, and dockside training while boats remain in the water.

**DD1391 Facilities Planning Process:** The USCG planning process which is modeled after the DD1391, Military Construction Project Data form. The USCG DD1391 process has various stages of submission to include: Problem Statement (PS), Planning Proposal (PP), Execution Proposal (EP), and Project Proposal Report (PPR).

**Deferred Maintenance:** Maintenance which is delayed or postponed until a future period.

**Deficiency:** The difference between an asset's current physical or functional condition and an established minimum level of condition/performance.

**Depot Level Maintenance (DLM):** Major maintenance that is beyond the organic capability and authority of the field unit. DLM is funded with AFC-43 and includes contracting services, renovations, construction, environmental restoration, real property asset modifications that require higher technical skills, all modifications affecting the structural integrity of facilities (removing load bearing walls, increasing storage capacity beyond load rating, etc.), and all modifications affecting code compliance.

**Demolition:** Demolition activities, partial demolition activities in preparation for other categories of work, and work related to divestiture activities are explicitly defined under Uniformat II (ASTM E-1557) Group Element; F20 – Selective Building Demolition or Individual Element; G1020 – Site Demolition and Relocations.

**Electronic Document Management System (EDMS):** EDMS is the IT application the SILC uses to manage all electronic CE files (such as facility inspections, plot plans, project documents, etc.).

**Environmental Compliance and Restoration (EC&R):** The EC&R appropriation provides for environmental compliance and restoration of contamination from hazardous substances and pollutants at all current and former USCG facilities. It provides for identification, investigation, and cleanup, and also physical changes to USCG buildings and structures, in order to comply with federal, State, and local environmental laws and regulations.

**Environmental Stewardship:** The integration and application of environmental values into mission operations and execution in order to sustain readiness, improve quality of life, strengthen community relations, and preserve valuable natural resources.

**Environmental Sustainability:** Sustainability creates and maintains the conditions under which humans and nature can exist in productive harmony, that permit fulfilling the social, economic, and other requirements of present and future generations.

**Furnishings & Equipment:** Furnishings and Equipment (F&E) includes furniture, tools, office equipment, and other outfitting required to make a facility complete and usable. F&E funding is normally included in each Shore AC&I project. As a general rule, only F&E required to make a facility operational as a direct result of the AC&I project will be funded with AC&I funds.

**Improvement (I):** Work that increases an asset's (RPUID's) capacity, capability, or a new asset (RPUID) (construction or replacement) is classified as Improvement. Per the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), improvements are activities that enhance the mission (and functional) capabilities of a building or infrastructure, including any Group Element defined by UNIFORMAT II (ASTM E-1557) for new construction, acquisitions, additions, expansions, or use adaptations, with the exception of F20 – Selective Building Demolition and G1020 – Site Demolition and Relocations. The only other possible exception is structural work on marine construction. If marine work improves the structural capacity beyond original design, then it is an improvement; otherwise, it is classified as M, A, or C depending on the root cause for the work.

If alterations to the asset change the asset's facility use code, then costs should be considered as an improvement. Additionally, by definition, I work includes any work of the following UNIFORMAT II (ASTM E-1557) groupings: A – Substructure, and B10 – Super Structure (per the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series)).

**Maintenance (M):** Routine recurring work that is required to minimize the effects of deterioration and to keep property in a condition fit for its intended use. Includes preventive maintenance, normal maintenance, and replacement of similar components, charged to the period incurred.

**Major Acquisition Systems Infrastructure (MASI):** AC&I funding managed outside of the Civil Engineering Program; used specifically to fund improvements/acquisitions to USCG infrastructure in support of USCG AC&I acquisitions (e.g., new cutters, new aircraft, Rescue 21).

**Minor Construction Authority:** The USCG's authorization to use Operating Expense (OE/AFC-43) funds for minor construction up to a dollar threshold limit as specified by law. This includes work that increases capacity, capability, and extends the useful service life.

**Non-trailerable Boat:** Any boat that is removed from the water via a means other than a trailer (typically a mobile boat hoist).

**Operating Expenses (OE):** The OE appropriation provides for the operation and maintenance of all authorized USCG programs and facilities not otherwise specifically provided for in other appropriations or funds. Unless otherwise directed by Congress in the appropriations language, OE is an annual appropriation, not to exceed one year. The CE program manages AFC-30, AFC-36, and AFC-43 OE accounts.

**Organizational Level Maintenance (OLM):** Maintenance that an operational field unit is capable of and authorized to perform.

**Plant Replacement Value (PRV):** The estimated cost to construct a replacement real property asset with consideration to current codes, design criteria, and materials. PRV is automatically calculated in the CMMS.

**Preventive Maintenance (PM):** Planned actions undertaken to retain an item at a specified level of performance by providing repetitive scheduled tasks which prolong system operation and useful life. Examples of preventive maintenance include inspection, cleaning, lubrication, and part replacement.

**Project:** The total scope of all related work across all impacted RPUIDs to accomplish a specific outcome (project intent).

**Project Management:** The application of knowledge, skills, tools, and techniques to project activities to meet project requirements.

**Real Property (RP):** Generally, real property consists of lands and land rights, buildings, and structures, including improvements and additions, and installed utility systems. The USCG's definition of RP includes the intention of an asset as being permanent in its nature (such as land) or being permanently affixed to the land throughout its useful life (such as with buildings and structures). It includes equipment affixed and built into a facility as an integral part of the facility (installed equipment, such as heating systems) but not movable equipment (such as plant equipment). In many instances, this term is synonymous with real estate. Refer to the CFR 41, 101-47.103.12 and the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series).

**Relocatable Building:** A portable building designed to be readily moved and reused. Relocatable buildings are generally assembled offsite and transported to a site for use. A relocatable building may be one unit or multiple units connected together. A pre-engineered trailer (single or multiple partitions) is typically considered a relocatable building.

**Renovation:** Repairs that restore the asset to its original purpose or a new modified purpose.

**Renewal:** Renewal costs are determined when an RPUID's M+A+C cost exceeds 50% of the RPUID's plant replacement value. This is considered to extend the service life of the RPUID.

**Routine/Recurring Maintenance:** Actions taken to maintain or restore an asset or associated equipment to its original capacity, efficiency, or capability. This includes functions such as: interior decorating activities due to normal wear and tear or performed for cosmetic reasons (e.g., carpet, painting, window treatments); base support operations (e.g., lawn and garden services, janitorial services, food services, pest control services, snow removal, tree removal); preventive maintenance on buildings and equipment (cyclical maintenance executed at planned intervals); and corrective maintenance and repairs (repairs that typically occur at least once every 5-7 years).

**RPUID:** A unique number identifying a real property asset (building, structure, utility, or land asset) as provided by CMMS.

**Service Life:** The normal expected operating life of an asset.

**Shore AC&I:** AC&I used for major and minor shore construction projects on USCG-owned property, including housing, ATON, utilities, structures. AC&I must be used on improvements to USCG leases or on non-USCG-owned infrastructure/land greater than the Minor Construction threshold (as determined by Congressional appropriations and authorizations).

**Shore Unit:** A grouping of RPUIDs which make up an organization (i.e., OPFAC), such as a station, sector, unit, center, etc.

**Structure:** Any fixed construction that does not meet the definition of a building. Examples include roads, runways, helicopter landing pads, fences, skeletal towers, docks, piers, and wharves.

**Trailerable Boat:** Any boat that is capable of being removed from the water via trailer.

**Value Engineering:** A process of planning and designing building features, systems, equipment, and material selections for the purpose of achieving essential functions at the lowest life-cycle cost consistent with required performance, quality, reliability, and safety.