

# **U. S. Fish and Wildlife Service**



## **CONSTRUCTED REAL PROPERTY MANAGEMENT HANDBOOK**

**Supplements Part 372  
of the Fish and Wildlife Service Manual**

**April 2016**

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## CHAPTER 1. INTRODUCTION, OVERVIEW, AND ROLES

### 1.1 PURPOSE OF HANDBOOK

This handbook elaborates on policies in Part 372 of the Service Manual and provides practices and procedures to be used in managing constructed real property within the U.S. Fish and Wildlife Service (Service). “Constructed real property” refers to any stand-alone, fixed asset with a replacement value (*not* acquisition value) of \$5,000 or more. This handbook is a resource for individuals at all levels of the organization. It is *not* intended to provide comprehensive step-by-step instructions for all required actions. We encourage readers to check the Service’s real property User Guides page at <http://www.fws.gov/refuges/facilities/manuals-policies.html> and [Service’s Financial and Business Management System \(FBMS\) InsideFWS site](#) for the most up-to-date instructions and Technical Bulletins that give detailed step-by-step instructions for processes that are incorporated by reference in the materials that follow.

### 1.2 SCOPE OF HANDBOOK

Each chapter of this handbook roughly correlates to the same topic in the Service’s policy series on Facilities Management, Part 372, “Management of Constructed Real Property Assets” (FW 1 – 7).

### 1.3 SOURCES OF POLICY AND DATA

The Service’s approach to managing its constructed real property assets is predicated upon using cost-effective strategies to align facility management with achieving our conservation and public use mission. A variety of legislative authorities and policy documents impact management of constructed real property. Many are listed below. Principles in Executive Order 13327 provide a systematic approach to effective management of real property portfolios, and we have used that as a guide in structuring many components of this handbook. Asset-specific data is collected and managed in two data systems.

- A. [Executive Order 13327, “Federal Real Property Asset Management”](#) is the basis for many of our reporting requirements. Signed by President Bush in 2004, it established a governing Federal Real Property Council (FRPC) and requires agencies to evaluate and annually calculate the costs of operating, maintaining, repairing, and disposing of their individual real property assets. The Order directed the Council to establish performance goals and requires agencies to prioritize their actions for individual assets by considering costs related to life-cycle, type of acquisition, disposal, and energy usage.
- B. [Executive Order 13693, “Planning for Federal Sustainability in the Next Decade”](#) expands and updates Federal environmental performance goals with a clear, overarching objective of reducing greenhouse gas emissions across Federal operations and the Federal supply chain over the next decade, while fostering innovation, reducing spending, and strengthening the communities within which Federal facilities operate. To improve environmental performance and Federal sustainability, priority should first be placed on energy use and cost, and then on finding renewable or alternative energy solutions.
- C. [Department of the Interior Acquisition, Assistance, and Asset Policy \(DOI-AAAP\) 0026.01, \(523 Departmental Manual 1\) “Climate Change Policy”](#) which requires, in part, the identification and avoidance of investments likely to be undermined by climate impacts, such as inundation of infrastructure.
- D. [U.S. Fish and Wildlife Service policy governing Facilities Management](#) is in the Service Manual, Part 372, “Management of Constructed Real Property Assets” (372 FW 1 – 7).
- E. [Financial and Business Management System \(FBMS\)](#) is the Department of the Interior (Department) and Service database of record containing the inventory of all constructed real property assets. FBMS itemizes each asset by type, physical attributes, acquisition cost, replacement value, and relative priority to the mission of the Service. FBMS is also the official repository for any financial data related to real property and for information needed to complete the annual Federal Real Property Profile (FRPP) report.

F. Maximo, implemented as the Service Asset and Maintenance Management System (SAMMS), is the Service facility maintenance and capital improvement database of record. It contains facility inspection and maintenance work orders that document condition inspections of each asset and itemize any past-due maintenance needs and their associated costs. It also documents desired improvements to assets, including construction of new assets. It documents all project funding proposals for maintenance, capital improvement, or building of new constructed real property assets, regardless of funding source. SAMMS is linked with FBMS and has the ability to update many of the attributes of real property asset records by exporting them to FBMS.

#### 1.4 ROLES AND RESPONSIBILITIES FOR CONSTRUCTED REAL PROPERTY

372 FW 1-7 describes high-level roles and responsibilities for managing constructed real property. The following expands on those roles and responsibilities and provides additional details.

A. Field Station Managers (station managers) are responsible for:

- (1) Reporting all costs associated with the Operation and Maintenance (O&M) of constructed real property assets. (A full compilation of costs by individual asset is required annually by the Federal Real Property Council.)
  - (a) **Labor hours and material costs** spent by all station personnel maintaining or repairing any asset on the Real Property Inventory (RPI). This is accomplished via work orders that are coded in QuickTime and FBMS.<sup>1</sup>
  - (b) **Energy costs** related to any RPI asset. Administrative personnel report these costs to the Division of Financial Management (DFM) in coordination with the Regional Asset Management Coordinator (AMC).<sup>2</sup>
- (2) Annually verifying the accuracy of their station's entire RPI by validating the presence, attributes, and general condition of each asset with a replacement value of \$5,000 or more. (Items valued at less than \$5,000 do not qualify as assets and are not included in the RPI.)<sup>3</sup>
- (3) Informing the AMC of plans to construct, acquire, or replace real property assets.
  - (a) Once notified, the AMC will submit a request for an asset number through his or her Regional Budget and Finance Officer (BFO) to DFM in Denver.
  - (b) With the new asset number, the AMC will create a work order for station personnel to use in preparing purchase requests, moving credit card costs for materials, and recording labor hours spent on acquisition or construction of the new asset.
- (4) Requesting from the AMC an asset-specific work order when repairs to any individual asset are expected to exceed \$5,000. This also entails providing the AMC with the Work Breakdown Structure (WBS) of the fund source(s) that will be used, so that the AMC may create work orders that the station will need to document labor and repair costs as they occur.<sup>4</sup>
- (5) When taking possession of a new asset (whether constructed via force account or by contract, acquired with land, newly discovered, etc.), submitting to the Regional Facilities office (AMC/Facilities Management Coordinator

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<sup>1</sup> Refer to **User Guide SM-01**, "Reporting Labor Hours and Costs for Maintenance or Construction," at <http://www.fws.gov/refuges/facilities/manuals-policies.html>, "PRs for FWS-owned Buildings and Structures," at <https://inside.fws.gov/go/post/FBMS-BP> and "ACQ-12: Real Property Approver for PRs" at [https://inside.fws.gov/go/post/FBMS-BP ACQ](https://inside.fws.gov/go/post/FBMS-BP_ACQ).

<sup>2</sup> Refer to "Cost and Consumption for Metered Energy" at [https://inside.fws.gov/go/post/FBMS-BP\\_Energy?](https://inside.fws.gov/go/post/FBMS-BP_Energy?)

<sup>3</sup> Refer to **User Guide SM-02**, "Annual Real Property Inventory Inspection, Update, and Certification" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>4</sup> Refer to **User Guide SM-03**, "When Is a Real Property Work Order Required and How Do I Get One?" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

(FMC) or Facilities Program Supervisor) the required forms, photographs, and financial documents required to complete a new RPI record.<sup>5</sup>

- (6) When acquiring land that already has structures, communicating with the Regional Realty Division and Regional Facilities Program Supervisor regarding the disposal or intended mission use of existing structures.
- (7) Requesting the disposal of real property that has no mission-related use.<sup>6</sup>
- (8) Documenting through the AMC or FMC the completion of approved disposals.<sup>7</sup>
- (9) Annually reviewing the continued need for projects in the SAMMS database as well as the accuracy and scope of project descriptions.<sup>8</sup>
  - a) Verifying that work orders support a valid mission need of the station, and ensuring that any that do not or are no longer necessary (because work has been completed or is no longer needed) are reported to the AMC, who will close or cancel them, annotating them with the reason.
  - b) Notifying the AMC of the status of any partially completed projects (accomplished either with station resources, partners, or by any other means) that have work orders in SAMMS.
  - c) Informing the Regional FMC of any significant deficiencies in mission-critical assets that have developed since the station's last Comprehensive Condition Assessment (CCA) (i.e., mission-critical assets that no longer function as intended, or require repairs exceeding \$15,000).
  - d) Communicating annually to their Project Leader or Area Supervisor their station's top priority projects for Deferred Maintenance (DM), construction, or transportation.
  - e) Informing Regional management of any projects that may be appropriate for completion by a Maintenance Action Team (MAT).
- (10) Reporting to the AMC the year-end status of funded projects for the repair, construction, or demolition of real property assets. The Service is required at year-end to report project status to the Department.<sup>9</sup>
- (11) Reporting to supervisors the completion date of any DM, construction, or transportation project and indicating the amount of any leftover project funds.<sup>10</sup>
- (12) Assigning and reviewing the Asset Priority Index (API) for each asset on the station's RPI.<sup>11</sup>

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<sup>5</sup> Refer to **User Guide SM-04**, "Acquisition of New Real Property – Required Documentation" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>6</sup> Refer to **User Guide SM-05**, "Disposal Process for Real Property Assets," at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>7</sup> Refer to **User Guide SM-05**, "Disposal Process for Real Property Assets" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>8</sup> Refer to **User Guide SM-06**, "Deferred Maintenance Project Work Order Creation, Funding, and Reporting" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>9</sup> Refer to page 4, "Reporting Requirements for DM Projects" in **User Guide SM-06**, "Deferred Maintenance Work Orders" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>10</sup> Refer to page 5, "Leftover DM Money" in **User Guide SM-06**, "Deferred Maintenance Work Orders" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>11</sup> Refer to **User Guide SM-09**, "Assigning the Asset Priority Index (API)" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (13) Attending the in-briefing and out-briefing for station CCAs provided by the FMC (generally once every 5 years).<sup>12</sup>
- (14) Working with the FMC after the station has been assessed to identify three priority repair projects and whether or not such projects would be appropriate for a MAT.
- (15) Participating in the pre-inspection Route Identification Process (RIP) inventory validation of the station's roads by the Regional Transportation Coordinator, as well as the in-briefing and out-briefing for that inspection.<sup>13</sup>
- (16) Providing a person knowledgeable of station assets and condition/performance issues to accompany the FMC or other asset condition assessor during their assessment.

**B. Supervisors of station managers are responsible for:**

- (1) Ensuring the completion of annual real property inspections.<sup>14</sup>
- (2) Providing the Regional Facilities Program Supervisor with signed verification of the completion of the annual RPI review by each station under their purview.
- (3) Communicating to the AMC the relative priorities of projects ranked by the managers they supervise.
- (4) Reviewing station managers' submissions of project additions, scope changes, or work order deletions and sending requested changes to the AMC to make needed edits in the SAMMS database.
- (5) Ensuring that the station managers they supervise meet the requirements for the addition to the inventory of new real property assets (that is, submitting to the FMC or AMC the required forms, photographs, and financial documents within 30 days of taking possession of any stand-alone, fixed property asset with a replacement value of \$5,000 or more.)<sup>15</sup>
- (6) Reviewing any disposal paperwork submitted by station managers requesting authorization to dispose of station assets, signing approval (if appropriate), and sending the form to the AMC or FMC.<sup>16</sup>
- (7) Ensuring that funding provided by Congress for DM projects is spent only on approved DM projects, and only as those projects were described in SAMMS when the project was approved for funding.<sup>17</sup>
- (8) Reviewing the status of funded projects at the end of the fiscal year and ensuring this information is provided to the AMC to fulfill Departmental accomplishment reporting requirements.<sup>18</sup>

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<sup>12</sup> Refer to **User Guide SM-07**, "Comprehensive Condition Assessments: What Every Station Manager Should Know" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>13</sup> Refer to **User Guide SM-08**, "Transportation Condition Assessments: A Guide for Station Managers" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>14</sup> Refer to **User Guide SM-02**, "Annual Real Property Inventory Inspection, Update and Certification" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>

<sup>15</sup> Refer to **User Guide SM-04**, "Acquisition of New Real Property – Required Documentation" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>16</sup> Refer to **User Guide SM-05**, "Disposal Process for Real Property Assets" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>17</sup> Refer to page 5, "Leftover DM Money" in **User Guide SM-06**, "Deferred Maintenance Work Orders" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>18</sup> Refer to page 4, "Reporting Requirements for DM Projects" in **User Guide SM-06**, "Deferred Maintenance Project Work Order Creation, Funding and Reporting" at <http://www.fws.gov/refuges/facilities/manuals-policies.html> .

- (9) Ensuring station managers report costs in FBMS related to asset energy use, maintenance or construction, to include station personnel labor hours in QuickTime.<sup>19</sup>
- (10) Documenting project accomplishment (construction, maintenance, rehabilitation, repair, or demolition) where project costs, regardless of fund source, are expected to exceed \$5,000.<sup>20</sup>
- (11) Promoting and supporting MAT projects to ensure adequate employee and equipment resources are made available to support success and maximize costs savings, which reduces both the DM backlog and project management costs.
- (12) Notifying the AMC of the amount of funds remaining when DM projects for repair, maintenance, rehabilitation, construction, or demolition are complete.

C. Regional Facility Management Coordinators (FMCs) are responsible for:

- (1) Completing a CCA at each station within the Region every 5 years.<sup>21</sup> This entails:
  - a) Briefing the station manager before and after the inspection process.
  - b) Verifying and validating that all real property assets are recorded accurately in the database(s).
  - c) Documenting deficiencies found and reporting to the Regional Facilities Program Supervisor any need for further specialized inspection or an engineering assessment to fully assess deficiencies beyond the scope of the FMC.
  - d) Conducting an out-briefing of the station manager and providing a written report of the assessment.
  - e) Identifying, with the station manager's input, the station's top three repair projects based on deficiencies found.
  - f) Creating an inspection (INCA) work order in SAMMS for each asset assessed.
  - g) Creating a DM work order for each asset with deficiencies over \$15,000.<sup>22</sup>
  - h) Canceling any child DM work orders created prior to the assessment, unless attached to a parent work order for a current DM, construction or transportation 5-year plan, or Headquarters-dictated priority list.<sup>23</sup>
  - i) Estimating the repair costs to correct deficiencies.
  - j) Updating the current replacement values of assets at the station.<sup>24</sup>

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<sup>19</sup> Refer to **User Guide SM-01**, "Reporting Labor Hours and Costs for Maintenance or Construction," at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>20</sup> Refer to **User Guide SM-03**, "When Is a Real Property Work Order Required and How Do I Get One?" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>21</sup> Refer to **User Guide FM-01**, the "Condition Assessment User Guide" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>22</sup> Refer to FBMS Tech Bulletin RP-04, "Work Order Creation" at [https://inside.fws.gov/go/post/FBMS-BP\\_RP](https://inside.fws.gov/go/post/FBMS-BP_RP).

<sup>23</sup> Refer to **User Guide FM-02**, "Canceling of DM Work Orders by the FMC" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>24</sup> Refer to **User Guide FM-01**, the "Condition Assessment User Guide," page 17, "Current Replacement Value" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (2) Updating the RPI as part of the CCA and when otherwise directed, upon receipt from station managers of appropriate documentation for:
  - (a) New (or newly discovered) assets, and
  - (b) Disposals.
- (3) Making changes to existing asset records.<sup>25</sup>
- (4) Informing the AMC of any additions or deletions to a station’s inventory, so that the AMC can adjust the percentages assigned to the station’s annual maintenance work order(s).<sup>26</sup>
- (5) Participating in natural disaster and emergency response teams (emergency evaluations), and completing or updating condition assessments for assets affected.

**D. Regional Asset Management Coordinators (AMCs) are responsible for:**

- (1) Creating and attaching parent work orders in SAMMS to DM work orders created by the FMC and creating Capital Improvement (CI) work orders as requested by station management.<sup>27</sup>
- (2) Annually updating work orders in SAMMS to reflect stations’ needs and priorities in designated categories, and canceling or closing work orders that stations indicate are no longer needed.<sup>28</sup>
- (3) Formulating the Region’s annual DM 5-Year Plan (FYP) in SAMMS<sup>29</sup> and ensuring:
  - a) Project descriptions, scores, and priorities are clearly and accurately articulated, based on information received from station managers and/or Regional supervisors;
  - b) Project descriptions meet Departmental requirements;
  - c) Project scores are appropriately justified;
  - d) The amount of DM requested for a project does not exceed the asset’s replacement value;
  - e) DM and CI work orders funded through Resource Management appropriations meet the requirements of Section 5.6 of this handbook;
  - f) Planned year totals align with the budget targets;
  - g) Any changes to previously scheduled plan years or projects are documented by annotations in the work orders that were changed; and
  - h) Project Description Sheets (PDSs) are complete for all projects in the FYP, and polished for the first three.

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<sup>25</sup> Refer to **User Guide FM-03**, “Updating the Real Property Inventory (RPI)” at <http://www.fws.gov/refuges/facilities/manuals-policies.html> .

<sup>26</sup> Refer to **User Guide FM-04**, “Administrative Disposal of Assets” at <http://www.fws.gov/refuges/facilities/manuals-policies.html> .

<sup>27</sup> Refer to FBMS Tech Bulletin RP-04, “Work Order Creation” at [https://inside.fws.gov/go/post/FBMS-BP\\_RP](https://inside.fws.gov/go/post/FBMS-BP_RP) and **User Guide AM-10** “Work Order Creation and Prioritization” at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>28</sup> Refer to **User Guide AM-01** “Updating Projects and Priorities” at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>29</sup> Refer to **User Guide AM-02**, “Creating DMFP Work Orders and the DM Five Year Plan” at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (4) Annually adjusting planned costs in project work orders for inflation, using the 5-year average of the Construction Cost Index (CCI), an industry-standardized inflation adjustment factor published by *The Engineering News Record* and provided by Headquarters.<sup>30</sup>
- (5) For each project in the FYP, completing before and after estimates of Operation and Maintenance (O&M) costs for each asset. Estimates should include annual maintenance expenditures, projected staffing changes, and any leased space cost reductions or cost sharing opportunities.<sup>31</sup>
- (6) Communicating with the Regional Engineering Division regarding planned projects requiring engineering assistance, and ensuring that sufficient funds are designated for Engineering for those projects.<sup>32</sup>
- (7) Working with station managers, supervisors, and the Regional Heavy Equipment Coordinator to review the DM FYP for potential MAT projects.
- (8) Working with Budget and Administration to execute work orders in FBMS, ensuring that appropriate fields are populated in SAMMS and FBMS to obligate and report DM project expenditures.
- (9) Reporting the status of DM-funded projects to the national office to ensure complete and accurate annual accomplishment reporting.<sup>33</sup>
- (10) Submitting requests to Finance for WBSs required for assigning funds to projects, as well as requesting new inventory numbers for assets that will be replaced or created as a result of funded projects.<sup>34</sup>
- (11) When notified by field stations, creating asset-specific work orders to track force account construction projects or any repairs over \$5,000; submitting requests to Finance for any new asset numbers or WBSs that the station may require.<sup>35</sup>
- (12) Assisting stations with the selection of the appropriate Uniform Product Code (UPC) for purchase requests related to real property.
- (13) Creating stations' annual O&M work orders in SAMMS and FBMS for station reporting of labor hours and maintenance costs by fund source, verifying that the work order numbers have been imported to QuickTime, and providing those numbers to the station.<sup>36</sup>
- (14) When notified by stations or the FMC, adjusting their stations' settlement rules and annual maintenance and repair work order(s) to account for asset additions and forthcoming deletions.<sup>37</sup>

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<sup>30</sup> Refer to **User Guide AM-03**, "Inflation Adjustments for the DM Five Year Plan" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>31</sup> Refer to **User Guide AM-04**, "Calculating 'Before and After' O&M Estimates for Projects in the DM Five Year Plan" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>32</sup> Refer to **User Guide AM-05**, "DM Five Year Plan Project Coordination" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>33</sup> Refer to **User Guide AM-06**, "Reporting Year-End Status of Funded DM Projects" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>34</sup> Refer to Tech Bulletin RP-01, "Work Order WBS and Asset Shell Request Form" at [https://inside.fws.gov/go/post/FBMS-BP\\_RP](https://inside.fws.gov/go/post/FBMS-BP_RP).

<sup>35</sup> Refer to **User Guide AM-07**, "Force Account Project Work Orders" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>36</sup> Refer to **User Guide AM-08** "O&M Work Order Creation and Adjustment" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (15) Working with station staff and the Regional Energy Coordinator to ensure meter master records in FBMS are established and maintained for the stations' energy usage by asset number.<sup>38</sup>
- (16) Changing any type of work order in SAMMS and FBMS to reflect project status (in progress, waiting materials, complete, canceled, or closed).<sup>39</sup>
- (17) Updating the RPI<sup>40</sup> upon receiving appropriate documentation from station managers for:
  - (a) New (or newly discovered) assets,
  - (b) Disposals, and
  - (c) Changes to existing asset records.

**E. Regional Transportation Coordinators (RTCs) are responsible for:**

- (1) Participating with station personnel in the pre-inspection inventory validation of each station's roads and parking lots.<sup>41</sup>
- (2) Verifying and validating that road and parking lot assets are recorded accurately in the SAMMS and FBMS databases, and making changes as required.<sup>42</sup>
- (3) Submitting necessary forms to Finance to un-lump assets and/or create new assets resulting from the RIP.<sup>43</sup>
- (4) Assisting stations with the forms required for adding or removing road assets resulting from RIP.
- (5) Informing the AMC of additions or deletions to the stations' inventory, so that adjustments can be made to the percentages assigned in the stations' annual maintenance work order(s).
- (6) Creating Federal Highways Administration condition assessment (INFH) work orders to document the inspection of road assets following RIP. Addressing urgent items found by the Federal Highways Administration (FHWA).<sup>44</sup>
- (7) Creating DM work orders necessary based on INFH work orders.<sup>45</sup>

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<sup>37</sup> Refer to Tech Bulletin RP-05: "Real Property Work Order Creation for Facility Operation" at [https://inside.fws.gov/go/post/FBMS-BP\\_RP](https://inside.fws.gov/go/post/FBMS-BP_RP).

<sup>38</sup> Refer to "Cost and Consumption of Metered Energy" at [https://inside.fws.gov/go/post/FBMS-BP\\_Energy?](https://inside.fws.gov/go/post/FBMS-BP_Energy?) and **User Guide AM-09** "Energy Reporting – Bulk Fuel Reporting" <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>39</sup> Refer to **User Guide AM-11** "Changing the Status of Work Orders in SAMMS and FBMS" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>40</sup> Refer to **User Guide FM-03**, "Updating the Real Property Inventory" and **User Guide FM-04**, "Administrative Disposal of Assets" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>41</sup> Refer to **User Guide TC-01**, "The Road Inventory Pre-Inspection and Route ID Process" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>42</sup> Refer to **User Guide TC-02**, "Assessment of Public Roads by FHWA" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>43</sup> Refer to **User Guide TC-03**, "Creating New Real Property Records for Transportation Assets" and **User Guide FM-04**, "Administrative Disposal of Assets" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>44</sup> Refer to **User Guide TC-04**, "Creating Condition Assessment and Deficiency Work Orders from FHWA Inspections" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>45</sup> Refer to **User Guide TC-04**, "Creating Condition Assessment and Deficiency Work Orders from FHWA Inspections" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (8) Creating CI and FYP work orders in SAMMS as needed for transportation projects.<sup>46</sup>
- (9) Updating in SAMMS project descriptions, scores, and priorities for transportation projects, based on information received from station managers and/or Regional supervisors.
- (10) Constructing and updating the annual transportation FYP in SAMMS, ensuring project descriptions are well-written and project scores are appropriately justified.<sup>47</sup>
- (11) Completing and submitting a Project Management Plan (PMP) to Federal Highways for construction projects over \$50,000 that will be administered by the National Wildlife Refuge System (NWRS), Fisheries and Aquatic Conservation (FAC), or the Division of Engineering (DEN).<sup>48</sup>
- (12) Communicating with the Engineering Division regarding transportation-funded projects to be completed by the Service that require engineering assistance, and ensuring that sufficient funds are designated for Engineering.
- (13) Creating work orders for stations that receive transportation funds to complete projects themselves (either force account or contracts they manage).
- (14) Reporting the status of funded projects to the national office.
- (15) Submitting requests to Finance for WBSs required for assigning transportation funds to projects, as well as requesting new asset numbers for assets that will be replaced or created as a result of transportation-funded projects.<sup>49</sup>
- (16) Coordinating with FHWA personnel to obtain the acquisition costs of assets constructed under FHWA contracts.<sup>50</sup>
- (17) Closing work orders for transportation-funded work when projects are complete.<sup>51</sup>

**F. Regional Facilities Program Supervisors are responsible for:**

- (1) Providing technical guidance to Regional senior management for all areas related to facility and asset management.
- (2) Leading management of the constructed real property portfolio within their Region's program, working with others to align constructed real property with accomplishment of the Service's mission in a cost-effective manner.
- (3) Ensuring that Regional facility and asset management practices comply with Service policies.

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<sup>46</sup> Refer to **User Guide TC-05**, "Creating Work Orders for Transportation Projects" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>47</sup> Refer to **User Guide TC-06**, "The Transportation Five Year Plan" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>48</sup> Refer to **User Guide TC-07**, "Transportation-Funded Projects Accomplished by FWS" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>49</sup> Refer to Tech Bulletin RP-01, "Work Order WBS and Asset Shell Request Form" at [https://inside.fws.gov/go/post/FBMS-BP\\_RP](https://inside.fws.gov/go/post/FBMS-BP_RP).

<sup>50</sup> Refer to **User Guide TC-03**, "Creating New Real Property Records for Transportation Assets" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>51</sup> Refer to **User Guide TC-09**, "Closing Transportation Work Orders" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (4) Developing, certifying, and submitting the annual DM and transportation FYPs.
- (5) Certifying that all Regional real property assets are verified and entered into the appropriate databases.
- (6) Ensuring all condition assessments are completed within allotted time frames.
- (7) Ensuring those they supervise receive necessary core training and continuing education related to their positions.
- (8) Submitting Regional priorities for the construction FYP.

**G. Regional Engineering office is responsible for:**

- (1) Providing oversight and ensuring compliance for projects that involve public safety (buildings, drinking water systems, and other such “non-exempt” projects as defined in 360 FW 1).
- (2) Ensuring all non-exempt repairs, modifications, renovations, and new construction comply with the latest national life safety and/or building codes.
- (3) Providing assistance (Statements of Work for Contracting, design review or drafting, referrals to Indefinite Delivery/Indefinite Quantity (IDIQ) contractors, site visits, etc.) where possible for other projects, as requested.
- (4) Coordinating inspections with Regional facility personnel and stations for specialized inspections of dams, bridges, and seismic safety, and conveying inspection results to the FMC and station manager.
- (5) Coordinating with the Headquarters Engineering Division to ensure dam safety and bridge Unique Identification (UID) numbers are available for integration into SAMMS.

**H. Regional Budget and Finance Officer (BFO) is responsible for:**

- (1) Keeping current and accurate financial records for each asset.
- (2) Completing the acquisition cost information for each new asset record in FBMS, as well as any capitalized improvement costs for existing assets.
- (3) Receiving and reviewing WBS and asset number requests from AMCs and FMCs and ensuring accuracy before sending the requests to DFM.
- (4) Receiving and reviewing purchase requests related to real property to ensure that costs will be accurately tracked in FBMS.
- (5) Submitting project completion forms to DFM.

**I. Assistant Regional Directors (ARDs) for Refuges and Fisheries are responsible for:**

- (1) Reviewing and approving their program’s Regional DM FYP, transportation FYP, and construction priorities.
- (2) Ensuring that funding provided by Congress for DM projects is spent first on the FYP-approved DM projects, and then, if any funds remain, on other DM projects in the SAMMS database, preferably on those already in the FYP.
- (3) Ensuring that stations receiving funds to replace assets comply with the requirement to dispose of the original asset and remove it from the RPI.
- (4) Ensuring that stations report maintenance costs and labor hours through QuickTime and FBMS.
- (5) Ensuring stations comply with annual inventory reviews and condition assessments.
- (6) Ensuring that asset records and work orders are updated annually.

- (7) Ensuring that pre-acquisition planning for land acquisition is coordinated with the Regional AMC to best manage or dispose of constructed real property on lands being considered for acquisition.
- (8) Supporting and promoting Regional MAT projects for DM, transportation, and Visitor Services programs.

**J. Assistant Director – Business Management and Operations is responsible for:**

- (1) Overseeing specialized inspections such as seismic safety, dams, bridges, and sustainability.
- (2) Leading contracting and leasing activities.
- (3) Leading the operation of FBMS.
- (4) Overseeing energy reporting.
- (5) Preparing cost estimates for proposed projects in and overseeing execution of the construction budget.
- (6) Coordinating financial audits and related financial reporting or reviews.
- (7) Overseeing dam construction projects.

**K. National Transportation Coordinator is responsible for:**

- (1) Ensuring FHWA and contractors comply with Service standards and expectations related to transportation condition assessments and the inventory process.
- (2) Reviewing Regional transportation FYPs in SAMMS to ensure eligibility for Federal Lands Transportation Program funding and compliance with Service standards for project descriptions.
- (3) Identifying appropriate training and guidance for RTCs.
- (4) Developing and updating the Service's policy and guidance concerning transportation-related real property, including Chapter 7 of this handbook.
- (5) Ensuring that all transportation inspections are integrated with the Service's Application for Material Inspection (SAMI).
- (6) Coordinating with the Department and its Bureau Transportation Coordination Partnership, and communicating any program changes.
- (7) Managing and coordinating the RIP and asset inspection and reporting processes.

**L. Headquarters NWRS Division of Information Technology and Management is responsible for:**

- (1) Representing the Service with the Department, the Office of Management and Budget (OMB), the Government Accounting Office (GAO), the Inspector General (IG), and others on overall management of constructed real property.
- (2) Communicating changes in real property policy and guidance from the Department and OMB, including the annual update to the DOI Budget Schedule Attachment G.
- (3) Preparing and submitting annual reports to the Department and auditors on constructed real property data within FBMS and Maximo.
- (4) Managing and overseeing the DM FYP process.
- (5) Verifying that all DM work orders are qualified for funding from the Resource Management appropriation.

- (6) Completing the removal of disposed assets from the inventory.
- (7) Managing and overseeing the CCA process.
- (8) Reporting the status of funded projects to the Department.
- (9) Identifying appropriate training for FMCs and AMCs.
- (10) Developing and updating Service policy and guidance concerning constructed real property, as well as this handbook.
- (11) Coordinating Service responses to non-financial audits and Departmental, OMB, and Congressional requests for information on constructed real property.
- (12) Calculating the DM backlog in SAMMS for reporting.

**M. Headquarters Fish and Aquatic Conservation (FAC) office** is responsible for:

- (1) Implementing these policies and practices within the National Fish Hatchery System.
- (2) Verifying that all DM work orders qualify for funding from the Resource Management appropriation.
- (3) Working with NWRS Headquarters employees to develop, refine, and execute an effective Servicewide program for managing constructed real property assets.

## 1.5 HANDBOOK UPDATES

We will update this handbook as necessary to accommodate any policy or procedural changes by the Department, OMB, or the Service. Edits, questions, and suggested changes should be directed to the NWRS Division of Information Technology and Management at Headquarters.

## CHAPTER 2. USING MISSION-CENTRIC LIFE-CYCLE MANAGEMENT TO MAXIMIZE THE VALUE OF OUR INVESTMENTS

### 2.1 OBJECTIVE

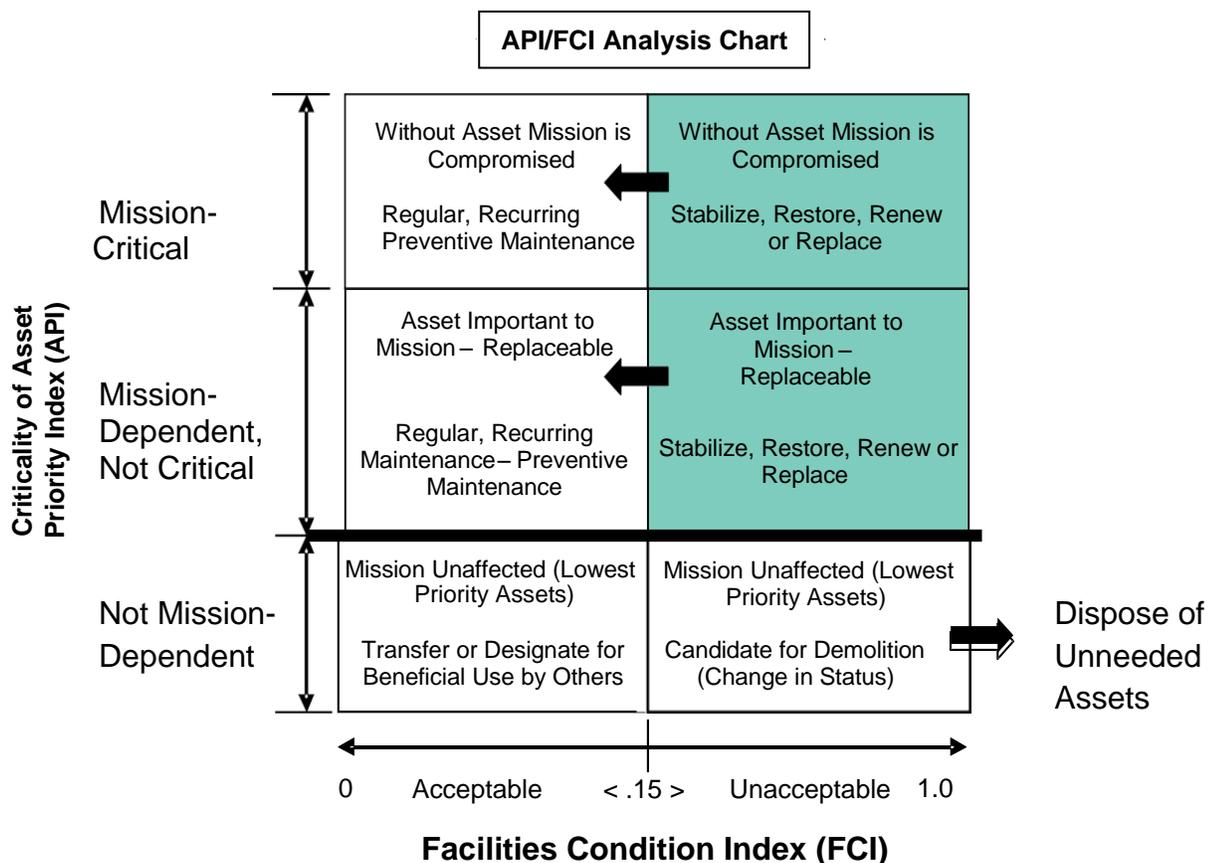
This chapter describes principles used to implement Part 372 of the Service Manual. Our objective has two parts: 1) managing constructed real property in a manner that best enables us to accomplish our mission, and 2) building life-cycle costs into our decisionmaking so that mission-critical assets are developed and managed in a reliable and cost-effective manner that is sustainable over the life of the asset and our portfolio of assets.

### 2.2 IDENTIFYING IMPORTANCE OF ASSETS TO MISSION

Each constructed real property asset is assigned an Asset Priority Index (API) in the Service Asset and Maintenance Management System (SAMMS) as an indicator of its relative contribution to mission accomplishment. Facility O&M funds give priority to assets with the highest APIs. To be considered for funding, any proposed new construction must be mission-critical. Keeping API scores current and accurate allows all organizational levels within the Service to pursue common goals for making best use of available funds.<sup>52</sup>

### 2.3 USING THE API/FCI ANALYSIS TO GUIDE INVESTMENT DECISIONS

The Facility Condition Index (FCI) is a number representing the accumulated Deferred Maintenance (DM) on an asset divided by the Current Replacement Value (CRV) of the asset. API is used with FCI to make better informed management decisions. This is displayed visually in the chart below:



<sup>52</sup> Refer to **User Guide SM-09**, "Assigning the Asset Priority Index (API)" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

The chart illustrates the order of priority for funding real property assets:

- A.** Dispose of assets that are “Not Mission-Dependent” whenever there is a cost savings.
- B.** Focus next on “Mission-Critical” assets that are in reasonably good condition (upper left section of chart) and can be kept that way through modest investment.
- C.** Focus next on “Mission-Critical” assets that are in unacceptable condition (upper right section of chart) and develop cost-effective methods to stabilize, restore, renew, or replace the asset.
- D.** The next priority is “Mission-Dependent” assets that are in reasonably good condition (middle left section of chart) and can be kept that way through a modest investment.
- E.** The next priority is “Mission-Dependent” assets that are in unacceptable condition (middle right section of chart) and develop cost-effective methods to stabilize, restore, renew, or replace the asset.
- F.** Minimize investments in assets that are “Not Mission-Dependent.”

## 2.4 LIFE-CYCLE MANAGEMENT CONSIDERATIONS

Life-cycle management (life-cycle costing) is the systematic, strategic and cost-effective planning, construction, operation, maintenance, renewal, upgrading, and replacing or disposing of assets based on understanding of the full cost and return on investment throughout the asset’s estimated useful life. When combined with the relative importance of an asset to our mission, life-cycle costing facilitates an organized, defensible, and logical approach to prioritizing and funding asset management activities.

Understanding and effectively applying life-cycle costs from project inception to conclusion and aligning those costs with mission delivery in the most cost-effective way is the key to optimizing the contribution of constructed assets in the accomplishment of the Service’s conservation mission. Considerations in the implementation of life-cycle management within the Service are outlined below.

Life-cycle management principles are important for ongoing maintenance activities and especially important when considering rehabilitation or replacement of an existing asset. Before considering either proposal, one should address whether a real property asset provides the best method of achieving mission goals. Mission-driven objectives need to be clearly understood and a determination made as to whether some other mechanism can provide a better method for achieving the intended results. Because of the significant investment associated with many constructed assets, dialogue between the field station and Regional office should occur. If the decision is made to rehabilitate or construct an asset, then the life-cycle elements below should be applied in planning and implementing the project.

### **A.** Planning: Determine functionality needs:

- (1)** What is the minimum functionality required to meet mission needs?
- (2)** Are there opportunities for co-location with other entities?
- (3)** Are there opportunities for cost sharing or other types of partnerships?
- (4)** How can we best leverage existing infrastructure?
- (5)** How might mission needs change over time, and can we realign or adapt the asset in response?
- (6)** What level of specialization does the asset require?
- (7)** What is the optimal site for mission delivery, balancing risk factors such as extreme weather events and climate change vulnerabilities?
- (8)** Are there environmental and energy conservation components of the project?
- (9)** What are full life-cycle costs and how can those costs be minimized?
- (10)** Value Engineering (VE) processes must be applied for projects exceeding \$1 million.

**B. Developing design approach:**

- (1) Apply the results of planning (as outlined above) to lock in the project concept.
- (2) Apply standard designs, designs from similar projects at other locations, site-adaptable facility designs, or standardized building floor plans to reduce design costs and help standardize facility design throughout the Service.
- (3) Determine whether the project will be accomplished via force account, Maintenance Action Team (MAT), or construction contract and adjust design needs accordingly.
- (4) Involve Regional program staff in all phases of project planning with a goal of minimizing project “scope creep.”
- (5) Incorporate environmental and energy efficiency, water conservation, renewable energy, and sustainability components as appropriate in designs.
- (6) For projects planned for construction contracting, consult with Contracting and determine the most cost-effective approach.
- (7) To the maximum extent possible, schedule contract bids for the first two quarters of the fiscal year. This will maximize competitive bids, resulting in cost savings.

**C. Constructing:**

- (1) Award construction contracts to the extent possible by the end of the second quarter of the fiscal year.
- (2) Employ construction management as described in the *Construction Inspection Handbook*.
- (3) Work with the project team to minimize changes and avoid “scope creep.”

**D. Operating:**

- (1) Give due diligence to proper operation of components to avoid major repairs.
- (2) Where energy use is involved, operate in an efficient manner that reduces cost and reliance on hydrocarbon fuels.
- (3) Assure that adequate staffing is in place to effectively operate facilities.

**D. Maintaining:**

- (1) Optimize life-cycle costs.
- (2) Give due diligence to preventive and cyclical maintenance to avoid major repairs.

**E. Renewing:**

- (1) Monitor the condition and age of assets and compare this to ongoing mission needs to determine the most appropriate timing for the rehabilitation or renewal of specific assets.
- (2) Consider whether upgrades or capital improvements are appropriate at the time of renewal.
- (3) Consider whether replacement is a better investment than renewal/rehabilitation.

**F. Upgrading:**

- (1) Consider whether mission needs are being adequately met and if an upgrade would cost-effectively address unmet needs.
- (2) Time upgrades to coincide with rehabilitation or replacement whenever possible.

**G. Replacing or disposing:**

- (1)** Complete life-cycle analysis to determine whether replacement is appropriate, or what modifications are needed for the new asset.
- (2)** Dispose of assets that are “Not Mission-Dependent” whenever there is a cost savings.
- (3)** Incorporate elimination or remediation of environmental contaminants.

**2.5 ACCOMPLISHING LARGER PROJECTS BY FORCE ACCOUNT, MAINTENANCE ACTION TEAM, OR CONTRACT**

Larger maintenance projects (generally greater than \$50,000 in cost) may be completed in several ways. Our goal is to execute projects in the most cost-effective manner, taking into account the development of our in-house workforce. Primary methods of completing major projects are:

- A.** Force account projects are completed by on-site Service staff and are generally smaller in scale and less complex, such as painting a building, repairing a road, rebuilding a damaged levee, replacing a small water control structure, etc. These projects require minimal technical assistance and are within the capability of on-site employees.
- B.** Maintenance Action Team (MAT) projects are formally planned and coordinated restoration, rehabilitation, construction, or demolition projects completed using predominantly Service staff and equipment. MAT projects provide training and networking opportunities for maintenance staff. These projects are coordinated by Regional offices and may be more complex in nature. They include levee replacements, road or parking lot improvements, building improvements, etc. Staff from multiple field stations work to accomplish the project with assistance of Regional office personnel.
- C.** Projects that are contracted to outside entities are those that are more complex in nature, that we lack necessary equipment and time to complete, or can be more cost-effectively completed by contractors.
- D.** Within the Service’s transportation program, many projects are administered by the Federal Highway Administration (FHWA) because they have extensive capacity and experience.

Regional offices should regularly hold coordination meetings involving program staff, Engineering, and Contracting to determine which method will be used for projects, particularly those in DM and transportation 5-Year Plans (FYPs). Coordinating these types of discussions early in the process positions the Region to efficiently implement projects as soon as funding is available.

**2.6. WHAT PRACTICES ENHANCE COST-EFFECTIVENESS IN CONTRACTING?**

Especially when dealing with larger, more complex projects it is advisable to consult early with your Regional Contracting office to determine the best strategy. Experience has taught us that for major maintenance or construction projects, contract bids solicited in the fall and winter (outside the prime construction season) often result in substantially lower bid costs. For this reason, *whenever possible*, complete project planning on a schedule that allows bid solicitations to occur during the fall or winter.

**2.7 WHAT PRINCIPLES DO WE APPLY IN PLANNING AND MAINTAINING ASSETS ON ENVIRONMENTALLY SENSITIVE LANDS?**

Most Service lands are environmentally sensitive, and many are located within floodplains or in coastal areas subject to severe weather. These factors and others, such as vulnerability to seismic activity or to climate change, need to be factored into project location, design, and operation considerations.

Managing risks for constructed assets on environmentally sensitive lands balances the mission criticality of the asset against its vulnerability to damage. Vulnerability is the degree to which an asset is susceptible to adverse effects. It is typically determined by a combination of three elements: exposure, sensitivity, and adaptive capacity. Exposure is the

degree to which an asset is located in an area experiencing impacts of the risk factor. Sensitivity is how an asset fares when exposed to the risk. Adaptive capacity is its ability to cope with the risk. An asset that has high exposure and sensitivity and low adaptive capacity is considered to be highly vulnerable.

Strategies to reduce vulnerability vary depending on the location, type of asset, and options available. Examples of adaption strategies include locating buildings outside floodplains or storm zones, and designing water-dependent structures such as levees to withstand overtopping, minimizing structural damage.

In recognition of the growing frequency and cost of flood damage to structures, the Federal Government is developing Federal Flood Risk Management Standards that amend Executive Order 11988, "Floodplain Management," which was issued in 1977. The goal is to reduce negative impacts of floodplain development. We should use natural systems, ecosystem processes, and nature-based approaches wherever possible. The Service supports these efforts, but this does not negate the need for us to construct facilities such as levees, boat ramps, access roads, water pumping facilities, and sometimes even buildings within floodplain areas because in some cases there is no practical alternative. The original intent of E.O. 11988 still remains "to avoid to the extent possible the long- and short-term adverse impacts associated with the occupancy and modification of floodplains and to avoid direct or indirect support of floodplain development," and includes the qualifier, "wherever there is a practicable alternative." We support these efforts by avoiding building in the floodplain wherever practical, and when we must, we keep structures to the minimum needed to achieve our mission. We design and operate them in the least disruptive way to the naturally functioning environment of floodplains.

## 2.8 INTEGRATING WITH ENVIRONMENTAL, ENERGY CONSERVATION, AND SUSTAINABILITY GOALS

The Service is committed to planning, acquiring, designing, building, operating, and maintaining constructed real property in an energy-efficient and sustainable manner to provide safe and healthy environments that reuse and recycle resources that can be depleted, conserve energy and potable water, increase cost-effective use of renewable energy, and promote environmental stewardship. We accomplish this in an economically viable manner consistent with Federal guidelines to reduce the total ownership cost of facilities.

## CHAPTER 3. MAINTAINING A COMPLETE AND ACCURATE INVENTORY OF ASSETS

### 3.1 PURPOSE AND SCOPE

This chapter describes Service policy for maintaining a complete and accurate Real Property Inventory (RPI) of constructed real property assets. It also identifies the official databases used for that purpose, as well as what the roles and responsibilities are relative to maintaining that inventory.

### 3.2 REQUIREMENTS

The Federal Government must annually account for its financial assets and calculate depreciation and liabilities. This annual accounting is the driver behind the yearly survey and certification of real property that is required at each station. Additionally, as a result of Executive Order 13327, each Federal Government executive branch agency is required to:

- A.** Maintain, within a single, comprehensive database, a current and accurate inventory of the assets that it owns, leases, or manages. This database is maintained by the General Services Administration (GSA), which is authorized to determine whatever descriptive information is necessary to appropriately describe the nature, use, and extent of the real property holdings of the Government.
- B.** Annually report its inventory to the Federal Real Property Council (FRPC) in a standard format. This report is known as the Federal Real Property Profile (FRPP).

### 3.3 THE FEDERAL REAL PROPERTY PROFILE (FRPP)

The FRPP is the detailed inventory of assets under the custody and control of the agencies of the Federal executive branch. Agencies are required to report by December of each year the status of numerous data elements for each of their assets as of the end of the fiscal year, as well as the status of four performance measures.

Annual FRPP guidance determines the reporting requirements, which include real property type, status, legal interest, size, location, replacement value, repair needs, historical status, and, for some building types, utilization. When submitting FRPPs, agencies certify the accuracy and completeness of the data. FRPP data is used to guide decisions on asset management and budgeting by Congress, the Office of Management and Budget (OMB), the Department of the Interior (Department), GSA, and others.

### 3.4 DATA STORAGE

The official database of record for the Service's RPI is the Financial and Business Management System (FBMS). All acquisitions and modifications that effect any of the FRPP data elements (such as predominant use, size, and current replacement value), to include the disposal of assets, must be documented in FBMS as they occur.

The Service's official database of record for condition assessments, maintenance records, and budget development for all current or proposed assets is the Service Asset Maintenance and Management System (SAMMS). SAMMS can update several FRPP data elements through an interface with FBMS. SAMMS also stores data elements not required by the FRPP that are of importance in terms of Service asset management (see section 3.5, item F).

### 3.5 UPDATING THE INVENTORY

- A.** GSA annually publishes "Guidance for Real Property Inventory Reporting," detailing the data elements required for the annual report and highlighting any changes to those requirements. New reporting requirements may necessitate a data call to field stations, which send their updates to their Regional Facilities office (Asset Management Coordinator (AMC) or Facilities Management Coordinator (FMC)).

- B.** Each fiscal year, station managers must sign a certification stating that a physical onsite inventory of the assets on their station has been conducted, which verifies the existence of all the assets on their inventory and the accuracy of all data elements reported for assets under their purview.
- C.** AMCs and/or FMCs update asset records manually in FBMS as well as through an interface with SAMMS. Quality control checks verify that inventory data for their Regions are accurate.
- D.** Headquarters completes final quality control checks, then certifies and submits data to the Department. The Department reviews the data, works with Headquarters to make any needed adjustments, and then sends it on to OMB, through GSA. The submitted report is the FRPP for the Service.
- E.** Throughout the year, to prevent a year-end bottleneck of data validation and cleanup, the National Wildlife Refuge System (NWRS) Headquarters Facilities and Equipment Branch distributes to each Region various spreadsheets that identify potential FRPP issues with their inventory.
- F.** It is important to review and correct certain data elements of assets, even though those elements may not be reported in the FRPP. Even if they aren't reported in the FRPP, they can affect other, non-FRPP required reporting and recordkeeping, as well as our ability to effectively manage our assets. Some of these elements are:
  - (1)** Asset Priority Index (API), which reflects the asset's relative importance to the mission. API is an important consideration when determining project funding, and it assists us in meeting the asset management framework stipulated by E.O. 13327.
  - (2)** Predominant construction material, construction year, public use, and disability access all serve a practical purpose in project planning and administration. Construction year is also important from a budget life-cycle planning perspective; from a financial perspective, for depreciation purposes; and for asbestos liability reporting.
  - (3)** Other identifiers enable the cross-referencing of records in SAMMS with other specific information systems for managing quarters, bridges, dams, roads, and parking lots.
- G.** For specific step-by-step instructions on the annual inventory validation process, refer to User Guide SM-02 "Annual Real Property Inventory Inspection, Update and Certification" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

## CHAPTER 4. COMPLETING CONDITION ASSESSMENTS

### 4.1 OBJECTIVE

This chapter outlines the Service's process for the various condition assessments of constructed real property assets:

- A.** Annual Condition Assessments
- B.** Comprehensive Condition Assessments
- C.** Specialized Inspections
  - (1)** Public roads
  - (2)** Bridges
  - (3)** Dams
  - (4)** Seismic safety
  - (5)** Energy and water evaluations
  - (6)** Accessibility

### 4.2 OVERVIEW

- A.** Condition assessments verify and validate the Real Property Inventory (RPI), and we use them to systematically determine the condition of assets, document any deficiencies found, and estimate the costs to correct deficiencies. Doing so:
  - (1)** Provides accurate and complete mandatory reporting for the Federal Real Property Profile (per E.O. 13327).
  - (2)** Makes Service managers aware of the condition of all assets in our portfolio and of the cost to correct deficiencies.
  - (3)** Helps us to plan and execute budgets for public transportation assets, visitor facilities, construction, and Deferred Maintenance (DM).
  - (4)** Implements best management practices.
  - (5)** Helps us to identify assets that should be disposed of.
- B.** Training and Qualifications
  - (1)** Field station personnel conduct annual assessments at a relatively coarse level. Personnel completing these assessments should have a general understanding of Service policies and practices related to constructed real property assets, but no specialized training or qualifications are required.
  - (2)** Facility Management Coordinators (FMC) are the Service's subject matter experts for all matters related to condition assessments and estimating costs to correct deficiencies. Service personnel conducting Comprehensive Condition Assessments (CCA) must complete all training requirements for Regional FMCs as outlined in 372 FW 4, "Assessing Condition and Documenting Costs to Correct Deficiencies." Additionally, they must annually complete 40 hours of continuing education related to facilities, assets, or transportation.
  - (3)** Contracted or specialized inspectors must have industry standard qualifications applicable to the type of asset they're inspecting.

### C. Safety

Personal safety is everyone's concern and it is paramount. It is the responsibility of all parties to identify and avoid unsafe conditions. The inspector must notify and document all unsafe conditions related to facility management that he/she observes during the inspection process.

### D. Standardization

Standardized procedures are a major component of asset and facility management.

- (1) All inspections must be physically conducted on-site, with station personnel present.
- (2) In-briefings and out-briefings must occur for station personnel as part of all inspections, regardless of type.
- (3) Headquarters is responsible for standardizing facility and asset management procedures while streamlining efforts and processes to ensure proper facility and asset management.
- (4) The Service Application for Material Inspection (SAMI) must be used for all CCAs. Specialized inspections not using SAMI must interface with SAMI.

### E. Level of Inspection Criteria

The inspection criteria will vary based on the type of assessment conducted. Inspectors, both Service employees and contracted inspectors, will inspect to the highest level of current life safety and building codes. Normally, inspectors will not climb antennas; enter tanks, grain bins, or confined spaces; open electrical breaker panels, electrical transformers, or switchboards; or inspect spaces or equipment that may present significant life-threatening conditions. If such inspections are required, the station manager and Regional Safety Officer will be consulted.

### F. Explicit Procedures

The condition assessment process is detailed and complex. For step-by-step instructions on each of the many tasks required in the process, refer to User Guide FM-01, "Condition Assessment User Guide," at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

## 4.3 PROCESSES TO BE USED FOR VARIOUS TYPES OF CONDITION ASSESSMENTS

The remainder of this chapter addresses processes used to conduct the various types of assessments listed in section 4.1, above.

### A. Annual Condition Assessments (ACAs) are conducted each fiscal year by station personnel.

#### (1) Station managers:

- (a) Review their Real Property Inventory (RPI), verifying and validating each asset record and its associated attributes.<sup>53</sup>
- (b) Notify their Regional Facilities Program Supervisor if the RPI lists any assets that no longer exist, and then submit through their supervisory chain the appropriate forms to document asset disposal.<sup>54</sup>
- (c) Notify the Regional Facilities Program Supervisor if the station has assets valued at \$5,000 or more that are not on the RPI, and submit the paperwork necessary to add them to the inventory.<sup>55</sup>

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<sup>53</sup> Refer to **User Guide SM-02**, "Annual Real Property Inventory Inspection, Update and Certification" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>54</sup> Refer to **User Guide SM-05**, "Disposal Process for Real Property Assets" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

<sup>55</sup> Refer to **User Guide SM-04**, "Acquisition of New Real Property – Required Documentation" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (d) Submit to the Regional Facilities Program Supervisor a signed verification testifying as to the accuracy and completeness of their station's RPI.
- (e) Review the station's work orders from the Service Asset and Maintenance Management System (SAMMS) and notify the Asset Management Coordinator (AMC) if any are no longer needed or if major changes in asset condition have occurred since the last assessment.
- (f) Communicate project priorities to the area supervisor.

**(2) Regional AMCs:**

- (a) Collect and verify the receipt of annual inventory certifications from each station in their Region.<sup>56</sup>
- (b) Update the inventory upon receipt from station managers of appropriate documentation for:
  - I. New (or newly discovered) assets
  - II. Disposals
  - III. Changes to existing asset records
- (c) When notified by stations, adjust the station's annual work order(s) to account for asset additions and forthcoming deletions.

**B. Comprehensive Condition Assessments (CCAs) are conducted by the Regional FMC on a 5-year cycle. The FMC will identify stations for CCAs 12 months in advance of the on-site inspection. The CCA will focus on those assets valued at \$100,000 or more, or that are deemed critical to the mission.**

- (1) Prior to the assessment, the FMC downloads data for the field station being assessed from SAMMS into the SAMI tool, reviews the data, and sends a report of the data to the station manager.
- (2) At the beginning of the on-site inspection, the FMC holds an in-briefing with the station manager and other field station personnel, as appropriate, to review the CCA process and the station's priority repairs or replacements.
- (3) During the assessment, the FMC is accompanied by a person from the station who is knowledgeable about the station's mission and assets. For each asset assessed, the FMC takes GPS coordinates, photographs, and measurements; verifies the asset type and updates the asset description if needed; and inspects the asset and notes its condition.
- (4) The FMC enters into SAMI deficiency data for each asset inspected while on site.
- (5) Following the assessment, and while still at the station, the FMC meets again with the station manager to review the deficiencies found, identifies assets for disposal as well as any "discovered" assets, and provides the manager with a written report. The FMC, with cooperation from the station manager, will identify the station's top five DM priorities.
- (6) The assessment of a station is considered complete when the FMC:
  - (a) Creates an inspection work order in SAMMS for each asset inspected.
  - (b) Populates each inspection work order with the findings for that asset.
  - (c) Calculates the costs to appropriately rehabilitate, repair, replace, or dispose/demolish, as necessary, each deficient asset.
  - (d) Creates a DM work order for each asset with deficiencies greater than \$15,000.
  - (e) Estimates the Current Replacement Value (CRV) for each asset.

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<sup>56</sup> Refer to **User Guide AM-12**, "End-Year RPI Verification by Stations" at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

- (f) Makes any updates necessary to asset records.
  - (g) Cancels any DM work order created prior to the current assessment, unless the work order is already included in a current 5-Year Plan (FYP) or Headquarters-designated priority construction list. If changes are needed to DM work orders that are in a FYP, the FMC must notify the AMC or Regional Transportation Coordinator (RTC), as appropriate, of those changes.
  - (h) Makes needed changes to the real property database to account for assets “discovered” during a CCA, or those assets found missing yet still on the RPI. These changes will be made once the required forms have been received from the station.
  - (i) Using the SAMI tool, exports the data from the completed assessment from SAMI into SAMMS.
- (7) The station manager returns any required asset documentation within 2 weeks of the CCA out-briefing.<sup>57</sup>
- C. Specialized Inspections are considered part of the CCA process, but may have slightly different cycles or assessment requirements, and they may be governed by a different authority. Specialized inspections must use SAMI or provide the data collected in a format available for integration with SAMMS. Station managers and the inspecting team must conduct an in-brief and out-brief on site.
- (1) Transportation – The RTC works with the Federal Highways Administration (FHWA), by contract with Service Headquarters, to conduct inspections, provide documentation of deficiencies, and estimate repair costs and replacement values. As part of the pre-inspection Route Identification Process (RIP) attended by the station manager and RTC, all roads and parking lots receive a route number, classification rating, and tier level. The RTC leads the RIP, creates and completes the inspection work orders in SAMMS, creates any needed DM work orders, and makes required updates to transportation asset records, to include CRV updates.
  - (2) Bridges –DEN is responsible for coordinating these inspections. DEN also conducts quality assurance on the inspection and deficiency cost estimates, and confirms replacement values. Inspection data are made available for SAMMS integration. All bridge identification numbers are generated by the Bridge Safety Officer. (See 362 FW 1 for detailed information.)
  - (3) Dams –DEN is responsible for coordinating these inspections. DEN also conducts quality assurance on the inspection and deficiency cost estimates, and confirms replacement values. Inspection data are made available for SAMMS integration. The Dam Safety Officer acquires dam identification numbers from the State. (See 361 FW 1 for detailed information.)
  - (4) Seismic Safety –DEN is responsible for coordinating these inspections. DEN also conducts quality assurance on the inspection and deficiency cost estimates, and confirms replacement values. Inspection data are made available for SAMMS integration. (See 363 FW 1 for detailed information.)
  - (5) Accessibility – The Public Civil Rights Programs require that, with respect to facilities, reasonable accommodations are provided to all people with disabilities. The Office of Diversity and Inclusive Workforce Management (ODIWM) at Headquarters is responsible for ensuring compliance. Regional Diversity and Civil Rights (DCR) offices receive a copy of the CCA report to review facility infrastructure to ensure compliance with civil rights laws.

#### 4.4 COST ESTIMATING

All costs entered into a DM FYP project must use the industry standard RSMeans cost estimating tools unless otherwise approved by the Headquarters NWRS Facility and Equipment Branch. Regional FMCs are trained in cost estimating using RSMeans. Added to the RSMeans estimate by national policy are two items: (1) a “Departmental contingency allowance,” which is intended to approximate the Government’s cost for repairs to the asset, plus or minus 25%; and (2) an adjustment for geographic location in recognition of varying costs impacted by site-specific logistics and variable

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<sup>57</sup> Refer to **User Guide SM-04**, “Acquisition of New Real Property – Required Documentation” and **User Guide SM-05**, “Disposal Process for Real Property Assets” at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.

material and labor costs. Standard industry practice has resulted in establishment of a classification system for cost estimating based on expected precision of results. Based on the standard procedure for Federal Government budget requests and strict time lines, the Service uses a modified Class 3 estimate (accurate to within plus or minus 25%) for DM FYPs.

#### 4.5 FACILITY CONDITION INDEX (FCI)

The FCI is calculated by dividing an asset's DM costs by its CRV. The FCI can be used to determine the health of an individual asset, a group of assets, that of an entire field station, or of our entire nationwide portfolio. An FCI greater than 0.15 indicates an unacceptable condition where corrective action should occur. Policy dictates that repair costs for an asset must not exceed the asset's replacement value. Therefore, no asset may have an FCI greater than 1.0.

#### 4.6 CURRENT REPLACEMENT VALUE (CRV)

The CRV includes all costs necessary to reconstruct the asset as it currently exists, without modification or improvements, other than those for code-required changes or Americans with Disability Act (ADA) compliance improvements.

- A. CRVs are based on the cost of construction under contract. These costs include: construction labor, materials, and equipment; engineering costs, including planning and design and construction management; special studies, such as geotechnical, hydraulic, or hydrologic; and applicable permits, taxes, and special assessments.
- B. The FMC calculates CRVs using the online program WebCRV, commonly referred to as "the CRV Calculator." Once processed through the CRV Calculator, the asset replacement cost and base year of the estimate are updated automatically in SAMMS. For this reason, all CRVs, regardless of inspection type, must be submitted through the WebCRV.
- C. CRVs for specialized inspections may be generated by a means other than the WebCRV. However, the Headquarters NWRS Facility and Equipment Branch must approve non-WebCRV-produced estimates before the FMC enters the data into SAMMS.
- D. All CRVs must be submitted through the WebCRV, whether or not the WebCRV is used to calculate the cost.
- E. Demolition costs are those costs required to remove an asset in accordance with all Federal, State, and local laws. Demolition costs must be included in the calculation of the CRV if, in the opinion of the FMC, the asset should be demolished and replaced. Inclusion of demolition costs in the CRV is necessary to ensure that the FCI of the asset does not exceed 1.0.

#### 4.7 RETENTION OF RECORDS FOR AUDITS

All condition assessments provide the foundation for developing funding requests for major projects and are subject to audit. All final documents generated during an assessment must be saved at the Regional office for two assessment cycles.

#### 4.8 CONDITION ASSESSMENT FINAL RESULTS

The final results of all assessments are listed in a comprehensive debrief report prepared through SAMI. The debrief report includes all assets inspected, asset brief descriptions, safety and other urgent concerns, deficiencies, newly discovered assets, assets requiring disposal, and a list of the station's top DM priorities. The debrief report is distributed to the station manager, Project Leader (if different from the station manager), area supervisor, Regional Engineering Chief, Regional Safety Officer, Regional AMC, and other appropriate personnel within the Region.

## CHAPTER 5. PLANNING AND EXECUTING DEFERRED MAINTENANCE (DM) BUDGETS

### 5.1 PURPOSE

This chapter elaborates on policies in 372 FW 5 and provides practices and procedures to use in planning, executing, and reporting accomplishments for Deferred Maintenance (DM) budgets. It also identifies key tasks employees must complete at the field station, Regional office, and Headquarters during planning and executing DM budgets. It is not intended to provide comprehensive step-by-step instructions for all required actions. We encourage you to check the Service's Intranet site for up-to-date user guides as well as technical bulletins<sup>58</sup> that give detailed step-by-step instructions for planning and executing DM budgets.

### 5.2 OBJECTIVES

- A. Develop and maintain consistent DM 5-Year Plans (FYP) that support our highest priority needs and are written in a compelling manner.
- B. Execute funded projects consistent with FYPs in a cost-effective and efficient manner.

### 5.3 SCOPE

This chapter applies to DM planning and budgeting for all constructed real property assets owned or managed by the National Wildlife Refuge System (NWRS) and the National Fish Hatchery System in the Fisheries and Aquatic Conservation (FAC) program. If other divisions have responsibility for and require assistance in meeting the requirements associated with managing real property assets, we recommend that they consult with their Regional NWRS or FAC Facilities Program Supervisor.

### 5.4 ROLES AND RESPONSIBILITIES FOR DM PROJECT PLANNING AND EXECUTION

- A. Station managers are responsible for timely, appropriate, and effective expenditure of Service appropriations allocated to their field stations, and for reporting expenditures to the appropriate work order(s) in the Financial and Business Management System (FBMS). (Specific responsibilities related to DM planning are detailed in chapter 1 of this handbook.) We must report all costs associated with construction, operation, maintenance, and demolition of our constructed real property assets; therefore, the station manager's responsibilities require diligent communication and funds management, careful project planning and execution, and timely accomplishment tracking and reporting.
- B. Regional Asset Management Coordinators (AMC) responsibilities are identified in chapter 1 of this handbook. Diligent execution of these responsibilities results in a consistent DM FYP with quality project descriptions, accurate scores, and clearly articulated projects that support the mission of the Service in the most cost-effective and efficient manner. These plans also include appropriate attention to training our maintenance and facilities management professionals through the thoughtful integration of potential Maintenance Action Team (MAT) projects into Regional FYPs. Estimated project costs remaining at the fully burdened rate allow a modest contingency in the FYP if the projects are completed through the MAT process. Cost savings achieved by completing a DM project using a MAT will be managed by the Regional office and used in the following order of priority: 1) complete approved DM projects that have cost overruns, or 2) redirect funds to other priority DM or emergency repair projects at the discretion of the Regional Refuge Chief or FAC Assistant Regional Director (ARD) or his or her delegate.
- C. The Headquarters' Facilities Management Branch, under direction of the Chief of the NWRS, is responsible for:
  - (1) Communicating DM policies and Budget Schedule Attachment G changes from the Department and the Office of Management and Budget (OMB).

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<sup>58</sup> Refer to FBMS Tech Bulletin RP-04, "Work Order Creation" at [https://inside.fws.gov/go/post/FBMS-BP\\_RP](https://inside.fws.gov/go/post/FBMS-BP_RP).

- (2) Preparing and submitting annual reports to the Department and auditors on contents of FBMS and Maximo.
- (3) Reviewing and coordinating the editing of the annual DM FYP, ensuring that project descriptions are well-written and meet Departmental requirements, that project scores are appropriately justified, and that the amount of DM requested for a project does not exceed the asset's replacement value.
- (4) Verifying that all DM work orders proposed for funding qualify for the resource management appropriation funds.
- (5) Reviewing planned DM work orders in the Service Asset and Maintenance Management System (SAMMS) and populating work orders with the appropriate funded year before executing budgets.
- (6) Verifying that duplicate and aged work orders are removed from SAMMS.
- (7) Calculating the DM backlog in SAMMS for reporting.
- (8) Reporting the status of funded projects to the Department.

## 5.5 KEY GUIDANCE

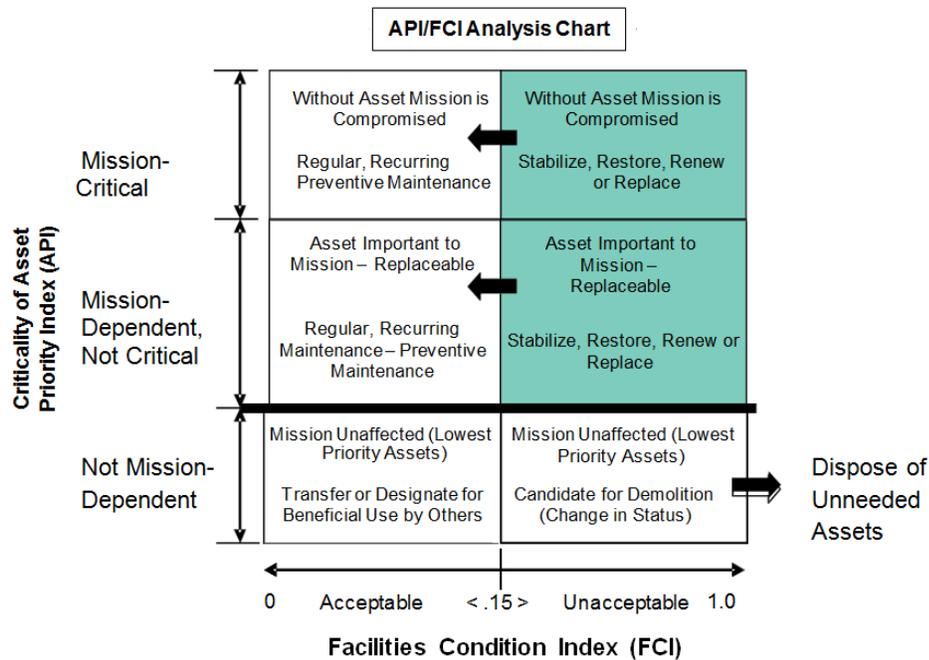
### A. DM projects for resource management appropriations must meet the following criteria:

- (1) Projects must be for corrective maintenance and repairs that have been deferred for a period of more than 1 year. Cyclical life-cycle investments within the expected useful life plus 1 year of asset components, routine annual maintenance (e.g., grading and upkeep of Tier 3 roads, janitorial services, changing of air filters and light bulbs, etc.) are not considered DM.
- (2) Projects include the restoration and maintenance for the existing occupancy capacity. Projects must not significantly expand the capacity of an asset or otherwise upgrade it to serve additional purposes. Expansion of existing assets using DM funding is limited to 50 percent, and the project funding must be less than 50 percent capital improvement. Projects with planned costs higher than the Current Replacement Value (CRV) of the original asset must have a Capital Improvement (CI) work order for the excess costs. The CI work orders describe the portion of the overall project that is CI and DM work in excess of the CRV.
- (3) Estimates for FYP projects must include budgeting for planning, design, and execution, as well as disposal of any asset being replaced. Projects should be \$50,000 or larger in value except under exceptional circumstances. Smaller projects are generally considered routine maintenance and repair needs, and as such, are expected to be managed using annual maintenance funding. However, multiple "smaller ticket" work orders may be combined under one parent FYP work order to meet the \$50,000 threshold (such as replacing roofs and windows on multiple buildings at one station), where doing so facilitates efficient execution and qualifies as a high Regional priority based on the Asset Priority Index (API), Facility Condition Index (FCI), and mission impact.
- (4) Project planning, design, and execution must be completed in a manner no less restrictive than prescribed in the Department's guidance in Attachment G and the Service's annual 5-year planning guidance.
- (5) Large and complex projects are typically separated into project phases over multiple fiscal years. Emergency projects that cannot be planned for in advance due to unknown deficiencies, natural disasters, and other uncontrollable events, should be phased to the extent practical. Phasing of projects enables the Service to manage workloads, better verify and validate site and design conditions, and solicit bids and proposals in a manner that maximizes competition and facilitates timely obligation and expenditure of funds.
- (6) Projects may be for demolition and disposal of unnecessary or hazardous structures. When rehabilitation of a mission-necessary asset is no longer cost-effective, a project for the replacement of the existing asset *must* include disposal of the existing asset.
- (7) All DM projects must be validated by an inspection work order completed within the last Comprehensive Condition Assessment (CCA) cycle (generally within the past 6 years).

### B. The FYP represents the Service's highest priority facility maintenance needs by focusing on the following:

- (1) Service priority initiatives.** These are issued by the Director annually through the annual call memorandum for FYP budget request submissions. The Chief – NWRS leads preparation of the call memorandum. The memorandum includes the latest guidance from the Service and the Department on updating the FYP.
- (2) Contribution to mission accomplishment.** This begins with an appropriate API score (high for repairs and replacement, low for demolition without replacement) and a current condition assessment work order for the asset. A blend of local, Regional, and national perspectives must be applied to determine which projects best contribute to the accomplishment of the organization’s mission. To meet this end, project proponents must provide a clear and compelling description of the project’s benefits, including the station’s strategic goals and their contribution to the overall Service mission.
- (3) Ranking categories.** Projects receive a ranking score in each of the following categories:
  - (a)** API and FCI,
  - (b)** Scope of project benefits,
  - (c)** Investment strategy, and
  - (d)** Consequences of failure to act.
- (4) Investment strategies.** These should be addressed in the project planning and description as follows:
  - (a)** Determining that the planned project is the correct size and complexity to meet the mission need;
  - (b)** Using standard designs wherever possible to reduce planning and design costs;
  - (c)** Assessing life-cycle costs for the project to determine that it is operationally sustainable into the future;
  - (d)** Providing a reliable comparison of annual Operation and Maintenance (O&M) costs before and after project completion;
  - (e)** Assessing options for cost sharing, co-location, or other methods of meeting needs of multiple organizations; and
  - (f)** Integrating all life-cycle cost components to evaluate the project’s relative return on investment.
- (5) Risks, interpreted as consequences of failure to act.** Continuing to defer maintenance, repair, replacement, or disposal may have negative consequences. This risk may be in the form of reduced capacity to carry out a mission action, such as managing a productive wetland impoundment, or loss of a major financial investment in an asset if repairs are not made in a timely manner. Address risks in the project justification. If risks include loss of major asset investments or other financial liabilities, discuss the financial aspects under the investment strategy.

The majority of the projects in the DM FYP should appear in the upper right quadrant of the following “API/FCI Analysis” chart. This quadrant contains mission-critical assets that are in the worst condition.



To sustain new and rehabilitated mission-critical assets in acceptable condition (upper left quadrant), pro-active planning for life-cycle maintenance and adequate resources are required.

Disposal of assets with low API scores (those no longer needed) helps to manage O&M costs and ensures the safety of our workforce, volunteers, and the visiting public. Assets appropriate for disposal fall into the lower two quadrants of the chart above.

### C. Project Data Sheet Preparation

The Project Data Sheet (PDS) is a form that is printed from SAMMS. It contains the project description, scoring, and justification; API; FCI; requested amount; percentage of requested amount that is over the cost of required DM; any previous or future project phases; current and projected annual O&M for the asset; and a history of the project's approval by the Service and the Department. The PDS is the medium by which the project is reviewed and approved by the Service, the Department, and ultimately Congress.

- (1) Well-written project descriptions are essential to articulating a project's needs and goals. A good description also portrays how the project supports local, Regional, and national priorities, and concisely describes how the project will sustain the long-term mission delivery capability of the asset.
- (2) Scope of benefits, investment strategy, and consequences of failure to act narratives describe and justify how the project supports the assigned scoring. Collectively, the written justification in each element must provide a compelling explanation for the project; this is critical for all FYP projects and essential for projects in the first 2 years of the plan. See Appendix 1 for guidance on developing compelling narrative to support DM projects.
- (3) Prior to inclusion in a Regional FYP, submissions must be reviewed for proper grammar and clarity of writing, as well as for alignment with Departmental and OMB guidance. Acronyms and abbreviations should not be used. The goal is to accurately articulate the project to the Department, OMB, and Congress via the PDS.
- (4) The investment strategy section must contain the actual O&M costs reported for the asset by the station through FBMS for the prior year. This item is auto-filled from FBMS. The AMC must enter a well-reasoned estimate of what O&M costs will be in the year following the project's completion. Staffing changes, cost sharing opportunities, leased space cost reductions, and operations and annual maintenance needs should all

be considered when making these estimates. Supporting documentation for both existing and projected future costs may be requested by OMB, the Department, or Headquarters. (Refer to **User Guide AM-04**, “Calculating ‘Before and After’ O&M Estimates for Projects in the DM Five Year Plan” at <http://www.fws.gov/refuges/facilities/manuals-policies.html>.)

- (5) All FYP projects completed by the Service must be documented in SAMMS with expenditures reported in FBMS, regardless of the project’s total cost or fund source. This is necessary to comply with accomplishment reporting requirements.

**D. FYP Update Process:**

- (1) The Director initiates the plan update each fiscal year with a memorandum to the Directorate. The Chief – NWRS leads preparation of the memorandum, which includes the latest guidance from the Service and the Department on updating the plan to reflect our national priorities, goals, and objectives.
- (2) Regions conduct a detailed review and update each FYP project 2 years before they anticipate needing funding (before the project moves into the first year of the FYP) to ensure that the project scope, cost estimates, and phasing are sufficient for full project execution and delivery. Cost estimates for projects in the last 3 years of the FYP are updated annually. Estimates for projects in the first 2 years of the FYP will be adjusted for inflation to ensure sufficient funding in the year that work will begin. Advanced coordination between the NWRS and FAC program offices and the Engineering and Contracting offices will include discussion of estimates, project scope, acquisition planning, and workload management, with the understanding that the program mission need is the ultimate driver of project planning, scheduling, and prioritization.
- (3) Projects are reviewed Regionally and nationally. Regional offices working in conjunction with field stations need to examine the overall portfolio of assets within the Region across field stations and programs to seek out cost efficiencies. Practices such as co-location of offices, complexing or zoning of operations and maintenance, and examining and promoting opportunities to establish working agreements with outside partners need to be evaluated to determine and implement the most cost-effective method of meeting overall facility needs.
- (4) Prior to implementing plans to construct new assets or expand their existing capacity, Regional leadership should ensure that adequate staffing and field station budgets are available or planned so that they’re sure we can meet O&M capacity. This is particularly critical in the planning of large offices, visitor centers, and similar structures. These facilities are energy intensive, require specialty trades and unique skills to operate and maintain, and are prone to early development of DM needs if not managed properly.
- (5) Headquarters program managers review the proposed projects to ensure that they conform to the Service’s investment strategy and spending priorities, and are consistent with the Department’s budget guidance (Attachment G). Incomplete or inadequately justified projects will be returned to the Region for correction.

**E. Disposal offsets are required for increased building footprints.**

OMB memorandum M1-12 (May 11, 2012) and subsequent policy updates and Departmental directions require that all new office and warehouse space is balanced through disposal actions. Office and warehouse projects that increase the building footprint, regardless of fund source, require identification and demolition of or lease termination of other assets within the same asset code to offset the increased square footage. All owned assets identified for space offset must have a demolition work order in the Regional FYP, and all leased space identified as space offset must include documentation of lease expiration or reduction in lease square footage. All offsets must be processed in SAMMS and FBMS within 6 months of the completion of the new replacement asset. The intent of the footprint reduction policy is to reduce the overall cost of real property management within the Federal Government. Within the Service, the greatest opportunity to reduce O&M costs is through the reduction of leased space.

**F. Office space is limited to 180 square feet per person.**

All administrative buildings must comply with the design standard of a maximum of 180 usable square feet per person, including shared space, per OMB and Departmental policy; Director's memorandum (DCN #049989), "Space Management Efficiencies," dated December 21, 2011; and the USFWS *Space Management Handbook*, dated September 2012. Projects must be evaluated for right-sizing in a manner that provides space for the actual current need of the building with cost-effective options for future expansion if needed.

## 5.6 BUDGET GUIDANCE

- A. Regional NWRS DM FYP projects should be for \$50,000 or more, except under exceptional circumstances. Smaller projects are generally considered routine maintenance needs and, as such, are expected to be managed as annual maintenance.
- B. DM projects exceeding \$1.5 million must be approved by the Assistant Director - Fisheries and Aquatic Conservation or the Chief – NWRS before they're included in the DM FYP. ARDs send requests for approval of these projects by developing a memo, uploading it to DTS, and routing it for approval to the appropriate Directorate member in Headquarters. At a minimum, the DTS request package must include an approval request memorandum with a completed PDS that justifies the project.
- C. Any reprogramming of funds for use other than for the approved DM project for which the Region received the funds must be approved by the program's respective Directorate member at Headquarters, responding to a memo from the program ARD in the requesting Region. Multiple requests may be made on a single memo from the Region.
- D. DM appropriations may only be used to pay salaries, travel expenses, overtime, and other employee-related expenses when the individual is directly contributing to the successful completion of the planning, design, construction, and construction management of the specific project for which the funding is allocated. This is limited to Engineering, MAT members, and force account project crews working directly on the accomplishment of a DM FYP project through planning, design, surveying, and execution of construction or construction inspection. Indirect costs, such as overhead, administrative costs, etc., are not allowable costs for DM funds, as these are funded from other sources and are not directly contributing to project accomplishment. Engineering costs, including engineering contracts, salaries, travel, overtime and leave, are not considered administrative or overhead charges. Engineering leave charged to a project must be of a ratio proportional to the employee's base billable hours directly contributing to the successful completion of the project. Refer to the *Refuge Budget Allocation Handbook* for explicit guidance.
- E. Replacing exhibits and displays with outdated messages are an operational expense and must not be funded with DM appropriations.
- F. DM projects must not include biological surveys, monitoring, biological control, or pesticide applications.
- G. Habitat restoration is not funded with DM appropriations, but using DM funding for the removal of structures to prepare the stewardship lands for restoration is acceptable.

## 5.7 EXECUTING DM PROJECTS

- A. To execute FYP projects in the FBMS:
  - (1) AMCs configure and submit work orders in SAMMS for funding in FBMS to purchase materials and labor obligations for projects.
  - (2) AMCs track the completion status of funded projects and submit actual costs as part of the Region's Annual Accomplishments report.

- B. Stabilizing the FYPs.

Planned projects in the first 2 years of the FYP must remain unchanged except for bona fide emergencies (non-emergency adjustments may be approved only by exception). All waiver requests for FAC to add or remove projects

from the first 2 years of the FYP must be signed by the FAC ARD and submitted via DTS to the Assistant Director – FAC. Changes to the first 2 years of the NWRS FYP must be approved by the Regional Refuge Chief and submitted via DTS to the Chief – NWRS at Headquarters. Project changes resulting from emergencies, natural disasters, or critical health and safety must be approved at the Regional Refuge Chief/FAC ARD level with notification to the Chief – NWRS or the Assistant Director – FAC. This control process is necessary to achieve the Service’s long-term investment strategy.

Changes within the first 3 years of the FYP that do not result in projects being added or removed from the FYP (such as those resulting from high or low contract award costs, unforeseen site conditions, or changes in appropriations targets) can be approved by the Regional Facilities Program Supervisor, and communicated via email to the national Chief of Facilities and Equipment Management, under delegated authority of the Chief – NWRS. Project changes must also be documented in the affected work orders in SAMMS.

## CHAPTER 6. TRANSPORTATION PROJECTS WITHIN THE FEDERAL LANDS TRANSPORTATION PROGRAM BUDGET

### 6.1 OVERVIEW

This chapter describes key practices for the Service's Federal Lands Transportation Program (FLTP), formerly known as the "Refuge Roads" program, which funds projects that increase access via roads, trails, and public transportation to those Service facilities that are open to the public. Both the National Wildlife Refuge System (NWRS) and the National Fish Hatchery System in the Fisheries and Aquatic Conservation (FAC) program are eligible for FLTP project funds.

Funding is currently authorized by a line item within the Surface Transportation Authorization Act (aka "Transportation Act") approved by Congress, and is allocated through the Federal Highway Administration (FHWA). Once funds are allocated to the Service (contract authority versus budget authority for other Service appropriations), the National Transportation Coordinator sub-allocates the funds among the Regions according to a formula approved by the Assistant Regional Directors (ARDs) of Refuges. Title 23 contract authority funds are current year plus 3 years of eligible use. In this regard, FHWA treats these funds as "no-year" and manages a given Transportation Act project accordingly over its lifespan. Each Region then funds projects they have scheduled in the current year of their transportation 5-Year Plan (FYP) budget, according to the process and priorities established by their approved Long-Range Transportation Plans (LRTP).

The Surface Transportation Act establishes funding eligibility requirements; sets requirements for a National Federal Lands Transportation Facility Inventory; and provides technical details for applications, planning, asset management, data collection, and other aspects of program administration. In addition to public use roads and trails on refuges and hatcheries, on occasion FLTP funds may be authorized for use on State or locally maintained facilities to improve safe access to Federal lands or provide other critical improvements. The eligibility definition is for facilities to, through, or within Federal Lands Management Agency (FLMA) lands. Focusing FLTP within Service boundaries is a priority, but it is also important to view transportation facilities as a network, regardless of ownership and maintenance responsibilities.

Note regarding Emergency Relief for Federally Owned Roads (ERFO): ERFO is a supplemental disaster response program of the FHWA Office of Federal Lands Highway for repairs required on public travel ways as a result of disasters on Federal lands. ERFO is outside the scope of FLTP and is not part of the Service's transportation budget. ERFO funds are provided through the Federal Highways Trust Fund and General Fund through Emergency Relief for Federal Aid Highways, based on prioritized public interest and available funding. For more information on ERFO, refer to the ERFO Disaster Assistance Manual at <http://FLH.fhwa.dot.gov/programs/erfo>.

### 6.2 ROLES

Each Region is represented by a Regional Transportation Coordinator (RTC) who works with the National Transportation Coordinator(s). All positions are funded through FHWA. Each RTC coordinates with an FHWA funds administrator as well as FHWA construction project managers within their respective FHWA division(s). Projects administered by the FHWA are managed for the Service by FHWA project managers for the life of the project. The RTC serves as the project manager for projects that Service staff execute.

Regional staff evaluate and prioritize projects for the transportation FYP. The RTC is responsible for assembling the FYP in the Service Asset and Maintenance Management System (SAMMS) and providing it to Headquarters. He/she is also responsible for coordinating with staff overseeing fish hatcheries, refuges, and other Service public lands to enable a comprehensive approach to the Region's FYP.

Headquarters transportation staff manage the overall program with FHWA, establish guidance to the Regions for implementing the program, and provide oversight to meet FHWA and program requirements. National staff are the primary administrators of transportation program accounts, working with Headquarters budget staff to ensure accountability of funds, and to allocate them correctly. Additional priorities include identifying needs for future Transportation Act reauthorizations and coordinating with other Service entities to implement the program.

### 6.3 LONG-RANGE TRANSPORTATION PLANS

Providing a comprehensive, coordinated, and continuous transportation planning process helps us to maintain a stable transportation program and is a requirement for receiving future transportation funds. LRTPs describe how we implement transportation planning processes that are consistent with those of State and metropolitan areas. Generally, plans have a horizon of 20 years or more. To accomplish our goals, we have developed two levels of long-range transportation planning—national and Regional:

- A.** Our national LRTP is a strategy and guide for Regional LRTPs. In concert with Service Directives and FHWA performance management metrics, we concentrate our transportation funding on repairing and improving our most used transportation assets to enable safe and efficient wildlife-dependent visitation. These multi-modal assets include auto tour routes, entrance roads, and other primary public transportation and alternative transportation assets that are Functional Class I and II (see 372 FW 6 for definitions) and provide access to and within refuges and fish hatcheries. The national LRTP embraces six goal areas: environment, safety, asset management, access/mobility/connectivity, visitor experience, and coordinated opportunities. These outline a project selection guide with a performance metrics schema across the goals and their respective strategies. Transportation goals, strategies, and measures all link back to the provisions within our current Surface Transportation Act requirements or other priorities.
- B.** Regional LRTPs are consistent with the national plan, yet also provide specific detail on Regional priorities and project selection processes. Regional LRTPs have more of a project focus and a goal of providing safe and reliable access to and within refuges and fish hatcheries. These LRTPs take a “deeper dive” into data collection and analysis across the Region to put the best analysis forward so we can set priorities and meet performance management goals. LRTPs must be periodically updated on a 4- to 5-year cycle.

### 6.4 Five-Year Transportation Plans and Programs

Using Regional LRTPs as a guide, RTCs work with Regional and field staff to create an FYP of transportation projects similar to Transportation Improvement Plans that State Departments of Transportation and metropolitan planning organizations use for short-term project funding.

The National Transportation Coordinator reviews Regional FYPs and bundles them into a national package that he/she sends to FHWA national Headquarters for approval and funding at the beginning of each fiscal year. Updates to transportation FYPs normally occur in response to a Director’s memorandum prepared by the Headquarters’ Facilities Branch that also requests updates to construction and Deferred Maintenance (DM) FYPs. This strategy permits a more comprehensive look at needs and funding sources for transportation improvements.

During the annual update to the transportation FYP, Headquarters requests that each Region provide a list of unfunded, priority transportation needs. To help frame the need areas, Regions are asked to organize needs around ten specific asset or operational areas (e.g., auto tour routes, primary access road improvements, transportation safety, parking, or animal/vehicle interactions). Completing these priority assessments every year is part of implementing a completed Regional LRTP, and helps align future projects for FLTP funding or special funding pursuits through grants or other discretionary sources.

### 6.5 MANAGEMENT OF TRANSPORTATION PROJECTS FROM PLANNING AND PROGRAMMING TO DELIVERY

Each Region’s transportation FYP is the program of record for future transportation projects in the Region. The first year uses committed funds, often to continue or complete projects started in design during the past fiscal year. The RTC, following guidance from Regional management, manages the use of FLTP funds within the Region. When preparing an annual FYP update, the RTC determines whether a project will be implemented by FHWA or by the Service. This decision is important to the programming and delivery actions to follow. Generally, larger projects that are more complex or last longer have been administered for the Service, while smaller or less complex projects are accomplished by individual stations or Maintenance Action Teams.

FHWA, specifically its Federal Lands Highway Division, administers about 70 percent of the projects completed using FLTP funds. The Service manages the remaining projects. An understanding of this practice is necessary to follow the

flow of funds within the program. The contract authority within the program stays within the FHWA financial system for projects administered by FHWA. Project costs are then monitored by FHWA staff and Service staff throughout the project. For Service-administered projects, funds are transferred administratively to the Financial and Business Management System (FBMS) and placed in the appropriate Regional accounts. These funds are managed to liquidate cash and provide account management throughout the fiscal year. There are specific reporting requirements at the end of the year for unobligated balances that establish carryover funds and reinstatement of unused authority. As mentioned earlier, Title 23 transportation authority funds are considered “no-year” funds that provide flexibility for us to manage projects and needs over several years.

As outlined for LRTPs, the national transportation planning process identifies potential projects that meet planning goals and other objectives. Each Regional LRTP cascades from the national LRTP, identifying specific project selection criteria and scoring rubrics. The responsibility to review and select the best projects for the FYP rests with the Region. Headquarters staff monitor the selection of projects to ensure that the Regions are using a comprehensive, planning-based approach.

Once a program has been established, stability from year to year is critical to its success. Although disasters and other critical needs may shift our decisionmaking on current or future year funding, a strong planning-based approach ensures stability in programming as well as its credibility and our good stewardship of financial resources. Managing our program and demonstrating these successes will ensure its validity in the eyes of those developing policy and making management decisions.

Overall, we follow the specific guidance developed by FHWA for the FLTP. Consult Regional or Headquarters transportation staff for updates.

## 6.6 FOCUS ON PERFORMANCE MANAGEMENT IN TRANSPORTATION

Fixing America’s Surface Transportation Act (Public Law 114-94), the current Surface Transportation Act legislation, mandates performance management and the measurement of metrics. FHWA has worked over the past few years with Federal lands management agencies to outline these procedures. To date, its focus has been on the four characteristics of: 1) road condition for paved and unpaved roads, 2) bridge condition, 3) safety and reduction of fatalities, and 4) resource/environmental protection. The national LRTP follows these FHWA sideboards, and expands potential metrics to align with other transportation goals identified in our plan (e.g., visitor satisfaction, additional access and connectivity, and coordination/partnering).

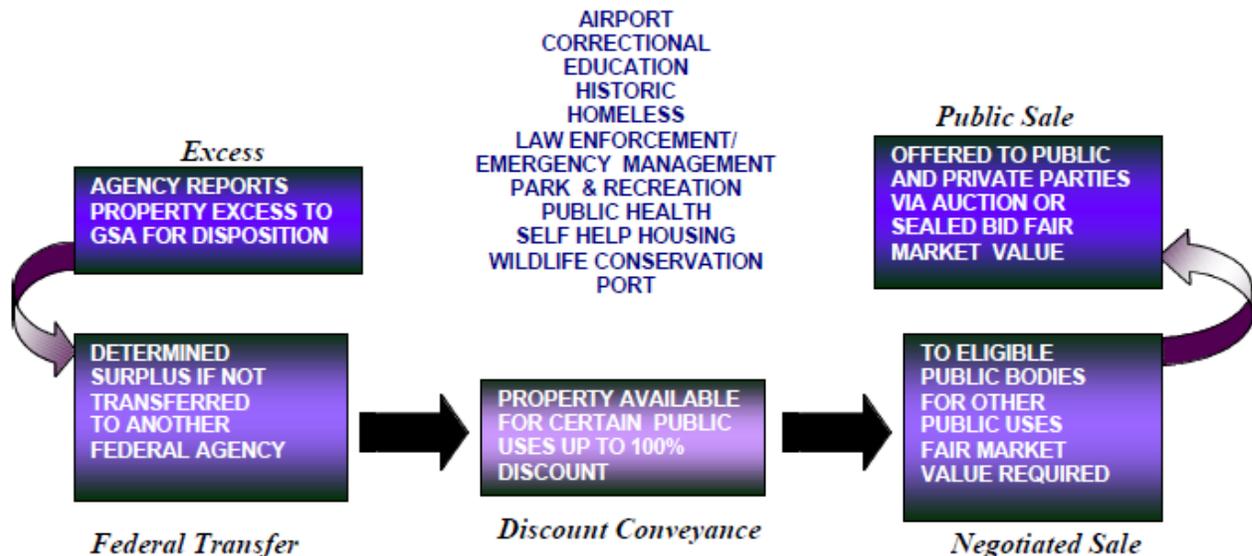
Our approach is more comprehensive than base performance metrics that FHWA requires. All Regional LRTPs and the national plan will consider these goals. The connection of these metrics to our planning and project selection processes are considered and measured over time. Through the sophisticated connection and measurement of these key metrics, we demonstrate leadership in the stewardship of transportation funds. In turn, demonstrating these linkages should sustain our available funding over future Transportation Act reauthorizations.

Consult the national LRTP for specific descriptions of performance metrics and Regional LRTPs for detailed implementation and monitoring of the same. (This is a developing field, so consultation should also occur with the RTC and Service Headquarters staff for a contemporary view on performance metrics within the transportation program).

## CHAPTER 7. DISPOSING OF CONSTRUCTED REAL PROPERTY

### 7.1 PROCESS OVERVIEW

This chapter describes procedures for planning to dispose of real property and then implementing those plans. The following flowchart shows an overview of the process.



By following these procedures, we dispose of all constructed real property that we are replacing or that is no longer contributing to our mission. These processes meet Federal and Departmental disposal planning requirements for constructed real property assets that we own or manage, excluding leased space management, which is not covered here. See Part 370, Space Management, of the Service Manual for more information on leased space.

### 7.2 HOW WE SELECT DISPOSITION CANDIDATES

Selecting assets for disposition often involves trade-offs between field operations and mission objectives. To help field station managers decide which assets to remove, and to meet mandatory reporting requirements, we identify the Asset Priority Index (API) and Facility Condition Index (FCI) in Maximo. The API uses a numeric system to rank assets, based on mission dependency and our ability to substitute something else to achieve our goals (i.e., “substitutability”). The FCI is the ratio of the asset’s Deferred Maintenance (DM) costs to its Current Replacement Value (CRV). Station managers should review Comprehensive Management Plans, historical preservation plans, other step-down management plans, and cultural resource inventories to determine whether an asset is integral to the station’s mission. Regional facility management staff, in coordination with field station managers, should determine if the asset meets the following criteria when recommending candidates for disposal.

- A. **API:** The asset has a low API because it is unused or underutilized, or because its design is obsolete and it cannot be reasonably altered or economically repurposed.
- B. **FCI:** The asset is deteriorated, destroyed, or damaged beyond economical repair or has been destroyed or damaged beyond repair in a natural event, such as a fire or a storm.
- C. **Consequences of Failure to Act:** The asset is dangerous to people, likely to damage nearby structures, poses probable release of contaminants to the environment, or creates an attractive nuisance.
- D. **Investment Strategy:** The asset has high annual operation and maintenance costs and its disposal will not have a significant adverse impact on field station mission accomplishment.
- E. **Scope of Benefits:** The asset fragments critical habitat for threatened or endangered species.

### 7.3 USE OF API AND FCI TO IDENTIFY DISPOSITION CANDIDATES

Station managers are responsible for developing and implementing portfolio-level disposition plans. The API/FCI analysis calls attention to candidates for disposal by off-site removal, demolition, or abandonment.

- A. API of 0–10:** Assets with low APIs (low mission dependency) are prime candidates for disposal.
  - (1) If the asset has a high FCI (poor condition), it's a prime candidate for demolition or abandonment.
  - (2) If it has a low FCI (good or fair condition), it's a candidate for off-site removal (transfer, public benefit conveyance, sale, or donation).
- B. High FCI:** Assets with a high FCI (poor condition) are prime candidates for replacement, demolition, or abandonment without replacement.
  - (1) If the asset has a CRV of \$100,000 or more, its FCI will be supported by an Inspection-Condition Assessment (INCA) work order, based on a Comprehensive Condition Assessment (CCA) that supports the FCI calculation.
  - (2) Many disposal candidates have a CRV below the \$100,000 threshold for CCAs. Before we include a disposal project in the DM 5-Year Plan (FYP) or Regionally rank it for demolition funding through the construction appropriation, the Regional Facilities Management Coordinator (FMC) will create an INCA work order for the asset. The INCA must include a deficiency cost estimate to support the FCI calculation.

No INCA work order is required if the asset's CRV is less than \$100,000 and the project is not scheduled in the DM FYP, nor Regionally ranked for construction funding.

### 7.4 HOW WE CONDUCT DISPOSAL PLANNING

The Department requires that we submit an updated list of disposal candidates to them each year. Regions ensure that the disposal planning fields on the Disposition Data tab of the Financial and Business Management System (FBMS) are complete, accurate, and up-to-date prior to reporting the disposition to the Department. The Department's annual disposal planning guidance lists these fields, and the Headquarters' Facilities Branch provides a user guide telling employees how to complete them.

- A.** All demolition projects proposed for DM or construction funding must meet the following minimum eligibility requirements. For force account demolitions, the Project Data Sheet (PDS) information is optional, the FCI and API criteria are guidelines, and historic status review is mandatory.
  - (1) **PDS Information:** All PDS information required by Attachment G to the Department's current budget guidance must be completed before the project is funded or included in the first 3 years of the FYP. These elements currently include API, DM backlog, CRV, FCI, scope of benefits, investment strategy, and consequences of failure to act.
  - (2) **FCI:** Assets with an FCI of 0.5 or greater are eligible for demolition funding. Assets with an FCI less than 0.5 may be deemed eligible for disposal on a case-by-case basis.
  - (3) **API:** Assets with an API of 10 or less take priority over assets with higher APIs. Assets with an API greater than 10 are eligible for demolition funding if they have been replaced or disposal is justified by the investment strategy, consequences of failure to act, or scope of benefits.
  - (4) **Historic Status:** Assets that are less than 50 years old or have been evaluated and found not eligible for listing on the National Register of Historic Places (NRHP) are eligible for demolition funding. Assets that have been found eligible for listing on the NRHP may be eligible for disposal on a case-by-case basis, with the concurrence of the State Historic Preservation Office (SHPO) or Tribal Historic Preservation Office.
  - (5) **Water Rights Status:** Assets that could potentially affect water rights must be reviewed by the Regional Water Rights Manager before they are funded or included in the first 3 years of the FYP. This helps to ensure that the removal of the asset will not lose or diminish the quantity or quality of our water rights.
- B.** We own many designated heritage assets that are in poor condition, are not used in operations, and have a medium API only because of their designation. Station managers should carefully consider how much to spend on these assets because we may need to stabilize them for many years and Operation and Maintenance (O&M)

funding is limited. An asset's historic status and geographic location may influence whether a station pursues a "high-end" or "low-end" approach.

- (1) **Repair or Renovation:** We may use a "high-end" approach for heritage assets in areas that visitors frequent. These assets play a critical role in interpretive activities, so we may need to maintain at least their exterior appearance to a higher standard. We should retain and repair or renovate these assets.
- (2) **Mothballing:** A "low-end" approach focuses on implementing the least costly measures to preserve and protect the asset. If a heritage asset is vacant and not used in operations, and we don't plan to use it in the near future, we may "mothball" it. The goals of mothballing are to protect the asset from decline, minimize safety and liability risks, and minimize future annual O&M and component renewal costs.
- (3) **Section 106 Compliance:** Before we schedule or request funding for a project to replace or dispose of a heritage asset, we must evaluate it against the criteria in Section 106 of the National Historic Preservation Act (NHPA) in consultation with the SHPO or Tribal Historic Preservation Officer to assess the adverse effects of disposition. If we identify potential adverse effects, we must document ways to avoid, minimize, or mitigate them as prescribed in 36 CFR Part 800.

## 7.5 HOW WE SELECT A DISPOSAL METHOD AND SCREEN ASSETS FOR OFF-SITE REMOVAL

After identifying disposal candidates, station managers should consider the retention and disposal options for each asset. The flowchart in Appendix 2 at the end of this chapter shows an overview of the screening process.

- A. **Disposal screening:** When we exercise delegated authority from the General Services Administration (GSA) to dispose of Federal real property, we must follow the same rules and procedures as GSA, the disposal agency for the Federal Government (FMR Subchapter C, Part 102-75). Before we dispose of an asset, we must obtain GSA clearance to determine that the asset is excess to the Department and other Federal agencies and to meet Title V reporting requirements of the Department of Housing and Urban Development (HUD). However, in many cases, we may consult with GSA informally. An SF-118, Report of Excess, is required only if GSA determines that the asset is a candidate for off-site removal. For assets that clearly have no off-site fair market value, we may accept clearance from GSA in the form of an email.
  - (1) **Excess property** means property under the control of a Federal agency that is not required for its needs and responsibilities, as determined by the head of the agency. We make this determination by reporting facilities to GSA on an SF-118. The asset becomes "excess" when we report it to GSA.
  - (2) **Surplus property** means excess property that is not required for the needs and responsibilities of the Federal Government, as determined by the GSA Administrator. After screening for Federal transfer, GSA designates property that is not reutilized as surplus.
- B. **Off-site removal methods** for excess property include Federal transfer, Public Benefit Conveyance (PBC), sale, and donation to eligible public bodies. Before approving demolition or abandonment, the disposal agency must document that it has exhausted off-site removal options. It is usually more efficient to report excess property to GSA for screening, even when this is not required. See paragraph 7.5(C)(2) below for exceptions where screening for off-site removal is not required because an asset clearly has no off-site fair market value or an emergency requires immediate demolition.
  - (1) **Federal Transfer:** We must screen unused real property for transfer within the Department before we determine it is excess to Departmental needs. We then must screen excess real property for transfer within the Federal Government before it can be called surplus.
    - (a) **Transfer within the Department:** We may transfer an asset within the Department, regardless of its off-site fair market value.
    - (b) **Transfer to Other Federal Agency:** GSA must conduct all transfers outside the Department where the asset's fair market value exceeds \$50,000. We may transfer an asset directly to another Federal agency if its fair market value is \$50,000 or less. However, unless we have identified a recipient in advance, it is usually more efficient to report the asset to GSA as excess and let them process the transfer.

- (2) **Public Benefit Conveyance:** All PBCs must be conducted through GSA, with approval by the Regional Realty Chief or his or her designee. The types of PBCs are:
  - (a) **Homeless Use:** The McKinney-Vento Act requires that if an asset is suitable for homeless use, as determined by HUD, the disposal agency must first consider transferring it as a homeless conveyance. If GSA conducts the disposal, they will submit Title V HUD reporting. If we conduct the disposal, we must consult with GSA and complete Title V HUD reporting requirements before using any other types of PBC or disposal methods. After submitting the report to HUD, the disposal agency may simultaneously screen for other PBCs and disposal methods.
  - (b) **Other PBCs:** States, local governmental bodies, and certain nonprofit institutions may acquire surplus real property at a discount of up to 100 percent for various types of beneficial public uses. Specific use restrictions are included in the deed. Failure to abide by the use restrictions could cause the property to revert to Federal ownership.
- (3) **Negotiated Sale** means a non-competitive transaction in which the Federal Government offers a State or local government (including any tax-supported entity of the State, county, or city) an asset for fair market value up to \$15,000. Estimated fair market value and mutually agreeable terms are obtained by negotiation. No restriction on use of the property is conveyed, except that it must be a public use. All negotiated sales must be conducted through GSA and approved by the Regional Realty Chief or his/her designee.
- (4) **Public Sale** means an advertised, competitive sale to the public, through either a sealed bid or a public auction. The goal is to obtain fair market value, which is determined by appraisal or market analysis. If it is not possible to obtain that amount, we may, with full written justification, sell it for the amount most advantageous to the Federal Government. It is usually most efficient for GSA to conduct the sale. If we conduct the sale, all public sales for less than fair market value require written concurrence from GSA.
- (5) **Donation to an Eligible Recipient:** If no one is willing to pay fair market value or an amount advantageous to the Federal Government, or the estimated cost of continued care and handling exceeds estimated proceeds from the sale, we may donate federally owned real property to an eligible recipient. All donations require written concurrence from GSA and must be approved by the Regional Realty Chief or his/her designee.

**C. Demolition or Abandonment** are options for surplus property that has no off-site fair market value, or when efforts to dispose of the asset by off-site removal have failed. Public notice is required, and the demolition or abandonment must not be detrimental or dangerous to public health or human safety. Guiding Principle V in the *High Performance and Sustainable Buildings Guidance* requires us to recycle or salvage at least 50 percent of non-hazardous demolition materials, excluding soil, where local markets or onsite recycling opportunities exist.

- (1) **GSA clearance**, which can take the form of an email, and Title V HUD reporting are required prior to demolition or abandonment. GSA's clearance confirms that the asset has no off-site fair market value or has been properly screened for off-site removal.
- (2) **Cases When Screening for Off-Site Removal Is Not Required:** We may demolish or abandon excess assets on Federal land without first screening for off-site removal in these three cases:
  - (a) **The asset type has no off-site fair market value:** We may demolish or abandon assets without screening for off-site disposal where the asset type has no off-site fair market value. Examples include roads, parking lots, trails, utilities, water distribution systems, wells, canals, ditches, levees, culverts, water control structures, dams, impoundments, retaining walls, seawalls, and fences. GSA clearance, which can take the form of an email, is required before abandoning them on Federal land because we lack authority to abandon federally owned assets on Federal land.
  - (b) **GSA concurs in writing that it's unlikely we will receive expressions of interest and there's no off-site fair market value:** We may demolish or abandon individual assets without screening for off-site removal if GSA concurs in writing that the disposal candidate is unlikely to receive expressions of interest if screened for Federal transfer and has no off-site fair market value. GSA clearance can be in the form of an email.

- (c) **We document the disposal as an emergency demolition:** We may proceed directly to demolition if the station manager justifies in writing that the asset must be demolished immediately because it threatens imminent and uncontrollable serious harm to personnel, the public, or other resources, and there is no time to screen it for off-site removal.
- i. The justification must include a detailed description of the threat, the asset's estimated fair market value, and a statement of how it was determined, the rationale for requiring immediate demolition without screening for off-site removal, a description of the demolition, and, if possible, photographs.
  - ii. The station manager must specify the terms and conditions of the demolition to the demolition team to ensure that personnel, other resources, and the public are not endangered before, during, or after the demolition.
  - iii. The station manager must oversee the demolition in person or explain in the justification why this was not possible.

#### D. Disposal Methods Where Prior Approval Is Not Required

**(1) Disposal with Land:** When we dispose of assets with land, a DI-103A or DI-103 to document separate prior approval to dispose of those improvements on the land is optional. To ensure that we include these disposals in disposal plans and process them promptly after actual disposal, the Regional Realty office must provide advance notification to Regional facility management staff so that the information on the assets can be updated in our Real Property Inventory (RPI).

**(2) Lease and Operating Agreement Termination:**

- (a) We do not require a DI-103A or DI-103 to document prior approval to terminate space leases or operating agreements. Contracting and General Services will manage disposal planning and actual disposal. If the asset is Maximo-relevant, document its actual disposal afterward, as described in 7.7 below.
- (b) We manage many constructed real property assets that we do not own under operating agreements with other Federal agencies, States, counties, municipalities, or non-Federal entities. These assets are referred to as "Service-Managed, Not Owned." We do not need to get prior approval on a DI-103A or DI-103 before terminating an agreement for the management of such assets, but to ensure that we include these disposals in our disposal plans and process records for them promptly after the actual disposal, station managers must provide advance written notification to Regional facility management staff informing them of their plans.

### 7.6 HOW WE COMPILE AN ADMINISTRATIVE RECORD OF A DISPOSAL

**A. Documenting Prior Approval for Planned Disposal:** When a station manager identifies an asset for off-site removal (including Federal transfer), demolition, or abandonment, the station submits the DI-103A or DI-103 with the "Statement of Circumstances" and the advance approval sections completed to the FMC or AMC. Each asset requires a separate form.

**(1) DI-103A Certificate of Unserviceable Property:** If the disposal does not require a Board of Survey action, use DI-103A. Submit the DI-103A, with Sections A and B completed, only if:

- The asset is unserviceable through fair wear and tear;
- There are no apparent property irregularities;
- There is no need to determine employee financial liability;
- There are no possible claims against the Government; and
- Firearms, ammunition, hazardous materials, controlled substances, explosives, or museum property are not included.

Regional office staff will review and complete the optional “Property Staff Recommendations” and Section C (Reviewing Authority) and return the form to the station. A Technical Bulletin lists the minimum requirements for the approval sections of the DI-103A.

- (2) DI-103 Report of Survey:** If any of the conditions for using form DI-103A are not met, disposal requires a Board of Survey Action. This includes disposals where there was no advance approval because the asset was not found during an annual or Comprehensive Condition Assessment (CCA). All blocks of the DI-103 must be completed, including the signature of the Board of Survey Chairperson and another Board member.
- B. Documenting Actual Disposal:** When disposal is complete, the station manager completes the “Certificate of Destruction” section of the DI-103A or DI-103 and returns the form to the Regional office. A Technical Bulletin lists the minimum requirements for the DI-103A. All blocks of the DI-103 must be completed.
- (1) Record Retention:** Stations must keep a hard copy administrative record of compliance with disposal laws and regulations on file at the station for at least 5 years from the date the disposal was reported.
  - (2) FBMS Documentation:** For reference during audits, we also attach a PDF of the disposal documentation package to the FBMS building record before retiring the FBMS asset and building or decommissioning the Maximo record.
- C. Additional Documentation Requirements for Off-Site Removal, Demolition, and Abandonment:**
- (1) Regulatory Compliance:** The Statement of Circumstances section in DI-103A or DI-103 must include documentation that GSA processed the disposal or that we used the same disposal screening and other procedures GSA would have used. We must also document that we complied with all applicable environmental and cultural resources laws, regulations, and policies. Include all concurrence signatures and, if possible, compliance checklists and GSA clearances in the documentation package. These include, but are not limited to, proof that we’ve complied with the National Environmental Policy Act; the Comprehensive Environmental Response, Compensation, and Liability Act; NHPA; the Archeological Resources Protection Act; and the Native American Graves Protection and Repatriation Act.
  - (2) Water Rights Review:** If the disposal potentially affects water rights, the Regional Water Rights Manager’s concurrence is required. That concurrence and, if possible, attachments must document that the Regional Water Rights Manager has reviewed the disposal to ensure that it does not lose or diminish the quantity or quality of our water rights (see 403 FW 3, Water Rights – Acquisition and Protection).
  - (3) Federal Transfer:** Where the disposal method is a Federal transfer, attach the completed DI-104, Transfer of Property, to document the transfer date.
  - (4) GSA Paperwork:** If GSA conducts the screening and/or disposal, attach the SF-118, Report of Excess, and completed GSA checklists.
  - (5) Sale Price:** If sold, attach the receipt to document the sale price, which we report in the Federal Real Property Profile (FRPP) as Disposition Value. Remove all personal identifying information, including the recipient’s name, before attaching the receipt.
- D. Documenting Disposals with Land and Lease/Operating Agreement Expiration or Termination:** When assets are disposed incidental to a land exchange or termination of a land lease or operating agreement, no additional DI-103A or DI-103 is required. When the disposal is complete, provide the following documentation:
- (1) Federal Transfers with Land:** Document Federal transfers with land by attaching the letter of land transfer and DI-104, Transfer of Property, signed by representatives of both the Service and the receiving bureau or agency.
  - (2) Other Disposals with Land:** Provide an improvement description and recorded date from the signed deed. Remove all personal identifying information, including the recipient’s name, before attaching the deed. If the deed does not list all the improvements, include the improvement description from any appraisal. If none is available, explain and list the assets in a brief “Statement of Circumstances” signed by the station manager.
  - (3) Lease/Operating Agreement Expiration or Termination:** If the lease or agreement has a leased space contract record in FBMS, the National Disposal Coordinator will attach a computer screenshot showing that CGS has

retired the record for the agreement. CGS will maintain all other documentation. If the lease or agreement does not have a leased space contract record, provide a copy of the agreement showing the expiration date and any correspondence notifying the Service that the agreement has expired or been terminated.

## 7.7 HOW WE REPORT DISPOSALS IN FBMS AND MAXIMO

- A.** We must report disposals in FBMS and Maximo within 30 days after disposal is complete.
- B.** Regional facility management staff must report disposals in FBMS as follows, following detailed instructions in Technical Bulletins and user guides.
  - (1)** First, attach a PDF of the disposal documentation to the FBMS building record. Do not update the disposal fields in FBMS or Maximo until the PDF is attached.
  - (2)** In the FBMS building record, complete the disposal reporting fields.
  - (3)** In the FBMS building record, create a “Supplementary Text” field saying that the disposal documentation is attached, stating the disposal date and method, and summarizing the reason for disposal in one sentence.
  - (4)** For quarters, ask the Regional Quarters Coordinator to remove the quarters record from iQMIS. Deleting the iQMIS record will deactivate the FBMS rental object linked to the building record.
  - (5)** Deactivate any utility meter records assigned exclusively to the asset.
  - (6)** Remove the asset from any annual O&M work order settlement rules and utility meter allocation models.
- C.** Regional facility management staff must report disposals in Maximo as follows, following detailed instructions in Technical Bulletins and user guides.
  - (1)** Cancel or complete work orders for the asset.
  - (2)** In the Maximo location record, on the Disposal Info tab, enter the disposal reason and add REMOVE in front of the property description. If all work orders for the asset are cancelled or closed, check the “Mark for Decommission” check box.
- D.** After attaching the disposal documentation and reporting the disposal in FBMS and Maximo, send an email request to the National Disposal Coordinator to retire the FBMS and Maximo records. Following detailed instructions in Technical Bulletins and user guides, the National Disposal Coordinator must:
  - (1)** Retire the FBMS asset and building records.
  - (2)** Decommission the Maximo record.
  - (3)** Compile a PDF of FBMS and Maximo screenshots.
  - (4)** Attach the PDF to the retired FBMS building record for reference.

## APPENDIX 1. TIPS FOR WRITING COMPELLING DM AND CONSTRUCTION PROJECT JUSTIFICATIONS

Competition for funding is keen. To successfully compete for funds, we must consistently provide compelling project requests that clearly articulate that the projects are needed and should be funded. Webster defines compelling as “something that arouses admiration, attention and interest in an irresistibly powerful way.” When writing project funding requests, these are the feelings you want to inspire in your reader. Our audience does not just include Service decisionmakers, but also extends to the Department of the Interior, the Office of Management and Budget (OMB), Congress, and others.

You will know you have assembled a compelling project proposal when:

1. It captures the reader’s attention by concisely substantiating the nature of the project,
2. Decisionmakers clearly understand the merits of the project, even if they are unfamiliar with our operations,
3. The reader readily accepts this as an appropriate and necessary investment by the Government, and
4. The project cost is reasonable given the benefits of the project.

Project budget requests to construct or repair constructed real property assets require written justifications in project data sheets (see attachment G to the Department’s annual budget guidance for details). Project data sheets for projects in the first year of the Deferred Maintenance (DM) 5-Year Plan (FYP) and the construction FYP are submitted to the Department, OMB, and Congress with each annual budget submittal. Project data sheets in a less polished form need to be in place for years 2 through 5 to help us prioritize projects. The project data sheet requires a number of numeric data entries, and also has four data fields for narrative to justify each individual project. Narrative in these four data fields must substantiate the numeric entries in other data fields. In addition, narratives must be as compelling as possible so that requests are more likely to be approved. We describe the critical considerations for assembling project data sheets in Table 1.

### Miscellaneous tips for writing project narratives:

- Write for your final audience, Congressional appropriators.
- Be complete and informative, but be brief. Succinctness and clarity is critical.
- Do not use acronyms or abbreviations.
- Quantify project benefits/outcomes to the extent possible.
- Be persuasive, but do not get too colorful, emotional, or informal in the style of writing.
- Use active voice. Active voice clarifies who is doing what; passive voice obscures it. Active voice is generally shorter and clearer. Active sentences are structured with the actor first (as the subject), then the verb, then the object of the action.
- Write short sentences. Keep subject, verb, and object close together. Place the main idea before exceptions and conditions and avoid double negatives and exceptions to exceptions.
- Avoid redundant or confusing language.
- Say exactly what the project will do. Do not “speak in code;” e.g. do not say things such as “funding this project will enable adequate ecosystem management,” “this project will promote adaptive management,” or “this project with further Strategic Habitat Conservation initiatives.” Avoid these sorts of broad, sweeping statements and instead focus on specific conservation or visitor services objectives we need to achieve.
- Avoid internal or technical jargon or colloquialisms that readers outside the Service aren’t likely to recognize. Examples include: “force account,” “phenological,” “parturition,” “refugium.” If, to save space, you need to use a technical term repeatedly (e.g., “feral ungulates”), define it (e.g., “cattle, pigs, and goats that have escaped domestication and are wild”).
- Double check your work to ensure that the entire project data sheet makes a cohesive and compelling case. Make sure that everything is complete and that one section does not contradict what is in another section.
- Do not follow these guidelines to the point that all projects sound alike or are a “cookbook.” The project list as a

whole should be interesting to read without a lot of repetitious language.

- Federal guidelines for writing in plain language may be helpful to some and are available at <http://www.plainlanguage.gov/howto/guidelines/FederalPLGuidelines/index.cfm?CFID=537364&CFTOKEN=587ee21ee75edfd0-E4D5D0C6-1372-4132-8D2AC4C558C9BCB5&jsessionid=98CE11439C7BA260F468C34D2DD4A3B1.chh>

**Table 1. Considerations for Writing Compelling Project Data Sheet Narratives**

Narrative Data Field	Aspects to think through and incorporate as appropriate
Project Description	<p align="center"><b>Compelling point – The reader clearly understands the nature of the project.</b></p> <p><b>Considerations:</b></p> <ul style="list-style-type: none"> <li>• What specifically are you proposing? (Describe it in terms that enable the reader to visualize what will be done. Use quantities in your descriptions.)</li> <li>• What is the purpose of the project?</li> <li>• Where is the project taking place?</li> </ul>
Scope of Benefits	<p align="center"><b>Compelling point – This project is relevant and important.</b></p> <p><b>Considerations:</b></p> <ul style="list-style-type: none"> <li>• What meaningful public need or outcome will occur if this project is completed?</li> <li>• How does the project demonstrably contribute to mission goals for fish and wildlife conservation or visitor services, or both? (quantify and describe key outcomes of the project)</li> <li>• How vital is the asset and the proposed project?</li> <li>• How does this project integrate with other activities underway at this location?</li> <li>• How does the project align with any formal planning efforts?</li> <li>• What is the context of this project in relationship to overall needs Regionally and nationally?</li> </ul>
Investment Strategy	<p align="center"><b>Compelling point – This is money well spent.</b></p> <p><b>Considerations:</b></p> <ul style="list-style-type: none"> <li>• Is cost realistic and proportionate to usefulness?</li> <li>• Does it complement other efforts? Does it leverage investments in existing infrastructure?</li> <li>• Have all viable alternatives been considered and the most cost-effective option selected?</li> <li>• Is it overcomplicated? Have cost savings elements, such as right-sizing, been considered?</li> <li>• If office space is part of the project, does it comply with the 180 useable square feet per person standard, and are you capitalizing on all co-location opportunities?</li> <li>• Describe any partnerships; contributed funds; value of in-kind services and supplies; and any county, city, or State support for the project.</li> <li>• Will annual operation and maintenance or leased space costs decrease with the project?(quantify)</li> <li>• Describe any quantifiable positive economic impacts of the project on local communities.</li> </ul>
Consequences of Failure to Act	<p align="center"><b>Compelling point – Risks are involved if we don't take action. Now is the time to act!</b></p> <p><b>Considerations:</b></p> <ul style="list-style-type: none"> <li>• Why does this have to be done now?</li> <li>• If the project is not completed now, will there be major and measurable direct impacts on employee or public health and safety, on natural or cultural resources, or on capacity for public use?</li> <li>• If the project is not completed now, will there be measurable direct impacts on the condition of the asset and future costs to repair or replace it?</li> <li>• Is there a substitute for the project, and have all alternatives been considered?</li> </ul>

## Appendix 2. FWS Disposal Process for Constructed Real Property

